

# **2020 FTA Joint State Safety Oversight and Rail Transit Agency Virtual Workshop**

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**October 6-8, 2020**



U.S. Department  
of Transportation

**Federal Transit  
Administration**



U.S. Department of Transportation  
Federal Transit Administration

# State Safety Oversight Annual Report Validation

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## Overview

- Annual Reporting Requirement
- Reporting Method
- 2019 Annual Reporting Observations
- Documents
- Annual Validation Criteria

# Annual Reporting Requirement

## **Part 674.39 (a) State Safety Oversight Agency annual reporting to FTA**

On or before March 15<sup>th</sup> of each year, an SSOA must submit the following material to FTA:

- (1) The SSO program standard adopted in accordance with Part 674.27, with an indication of any changes to the SSO program standard during the preceding twelve months;
- (2) Evidence that each of its employees and contractors has completed the requirements of the Public Transportation Safety Certification Training Program, or, if in progress, the anticipated completion date of the training;
- (3) A publicly available report that summarizes its oversight activities for the preceding twelve months, describes the causal factors of accidents identified through investigation, and identifies the status of corrective actions, changes to Public Transportation Agency Safety Plans, and the level of effort by the SSOA in carrying out its oversight activities;
- (4) A summary of the triennial audits completed during the preceding twelve months, and the RTAs' progress in carrying out CAPs arising from triennial audits conducted in accordance with Part 674.31;
- (5) Evidence that the SSOA has reviewed and approved any changes to the Public Transportation Agency Safety Plans during the preceding twelve months; and
- (6) A certification that the SSOA is in compliance with the requirements of this part.



# Reporting Method

## Part 674.39 (b)

These materials [reporting requirements] must be submitted electronically through a reporting system specified by FTA

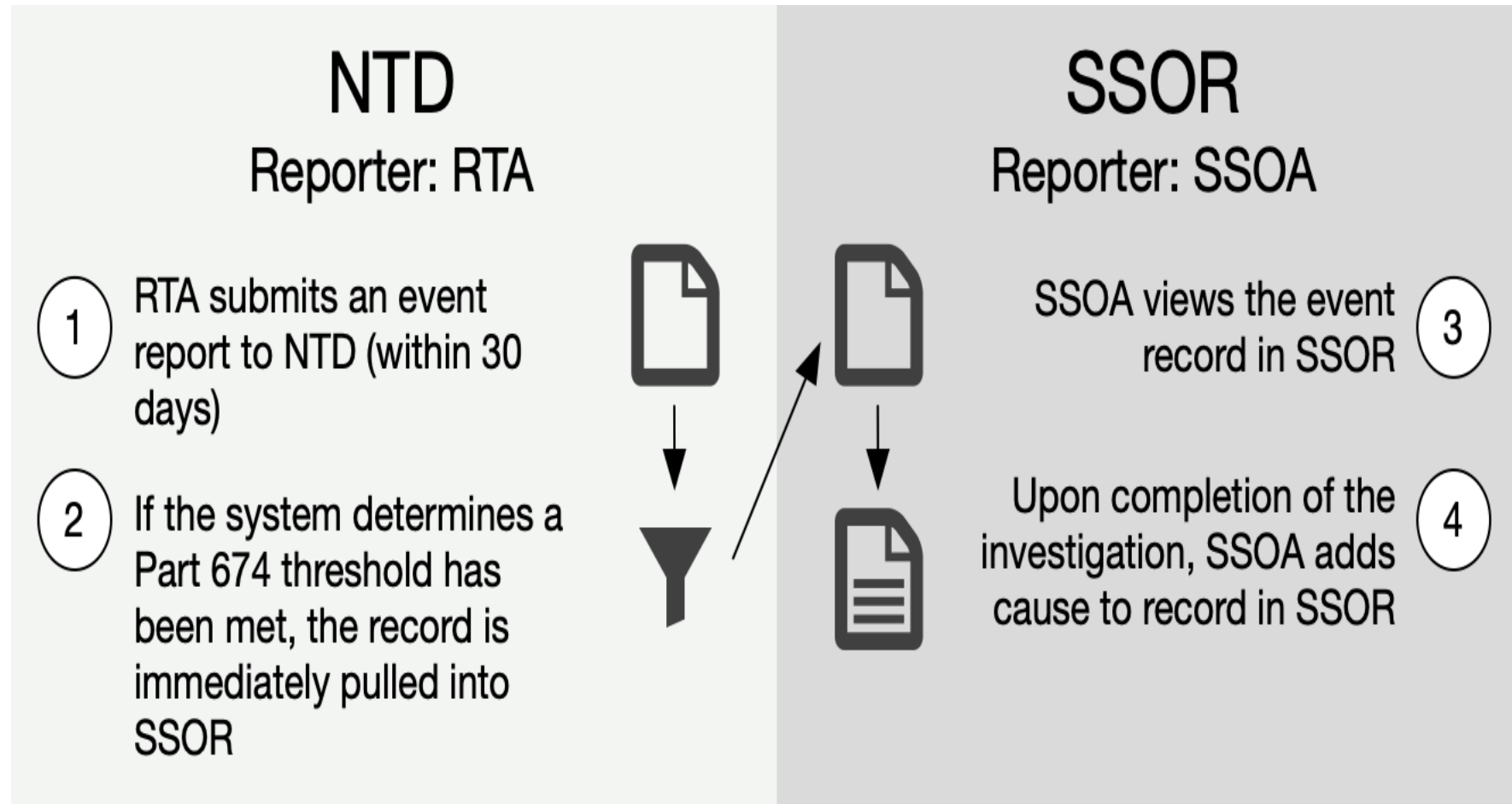


# 2019 Annual Reporting Observations



- Deadline: Monday March 16, 2020
- Earlier start on Annual Report
- System Familiarization
  - User Guide
  - Training
  - Using SSOR more frequently

# 2019 Annual Reporting Observations



# Annual Report Validation Criteria

Based on the rule, the FTA Validation Team will verify and validate the SSOA Annual Report based on the following compliance areas:

- Program Standard
- Public Transportation Safety Certification Training Program
- Annual Report
- Accidents
- Corrective Actions
- Public Transportation Agency Safety Plans (SSPP)
- Level of Effort by SSOA in Carrying Out its Oversight
- Triennial Audits
- Compliance










## Documents



- Program Standard
- Public Transportation Agency Safety Plan
- Certificate of Compliance
- Technical Training Plan
- Safety Status Annual Report to Governor, FTA, Board of Directors or Equivalent Entity
- Organizational Chart
- Financial/Spend Plan (covers 3-5 years)
- FRA Waiver (if applicable)

# Level of Effort Validation

Email	Hours Worked	Previous Year Hours Worked	Difference in Hours	Date Range	Type	User	
	60	60	0	2016 - 2019	SSOA Alternate		
	2000	2000	0	2006 - Present	SSOA Primary		
	161 ↑	0	161	2004 - Present	Contractor		

3 items

## Contractor Duties

Contractor Duty	Hours	Total Cost
Corrective Action Plan Review and Tracking	20	\$2,350.00
Event Investigation Support	27	\$4,230.00
Field Observations and Investigations	0	\$0.00
Other: Other duties as requested by SSO.	229	\$23,800.00
Overseeing Internal Safety Reviews	32	\$3,220.00
Program Standard Update and Revision	17	\$1,680.00
Rail Transit Agency SSPP/ASP Review	57	\$6,180.00
Special Studies	150	\$21,500.00
Three-Year Safety Review	0	\$0.00

# Event Data

## ***Event Details***

- Agency
- Date
- Event Type
- Description
- Report
- CAPs
- Mode
- Notification

## ***Investigation Details***

- Investigation Conducted By
- Report Issued By
- Report Reviewed and Adopted
- Probable Cause



# Corrective Action Plans

- Agency
- Source Type
- Effective Year
- Department
- Approved
- Proposed Implementation Date
- Issue Verified
- Actual Implementation Date
- Status
- Issues Preventing Resolution



# SSO Triennial Audit of RTA (STARs)

- Agency
- Audit Type
- Date Started and Concluded
- Report
- Final Report Date
- Issues
- Number of Findings
- Contractor Used
- CAPs





## SSOR Best Practices

- SSOR Available All Year
- Early January Start
- Review User Manual
- Review SSOR Videos
- Attend SSOR Trainings
- Submit Annual Report Earlier
- Provide Feedback on Improvements to FTA



**2020**  
**Annual Report Deadline**

**Monday**  
**March 15, 2021**



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## Contact Information

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