



U.S. Department of Transportation
Federal Transit Administration

2022 FTA JOINT STATE SAFETY OVERSIGHT AND RAIL TRANSIT AGENCY HYBRID WORKSHOP

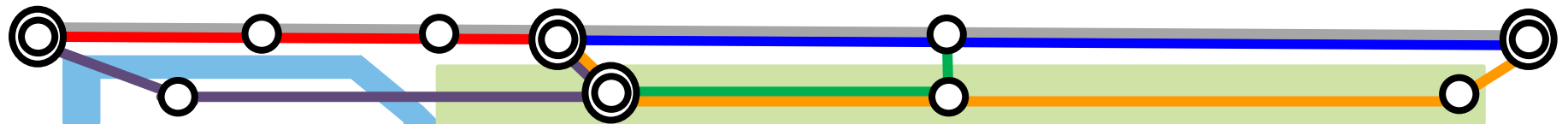
OCTOBER 25-27, 2022 WASHINGTON, D.C



SSO Audit Top-5 Findings – For SSOAs

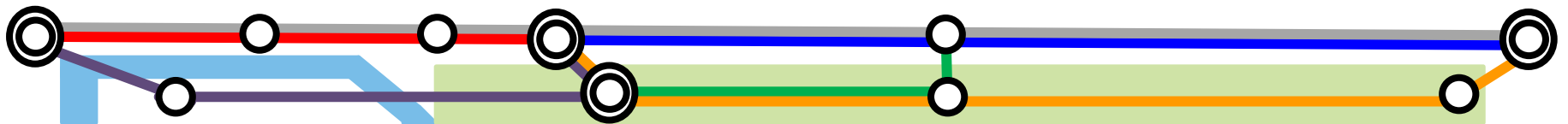
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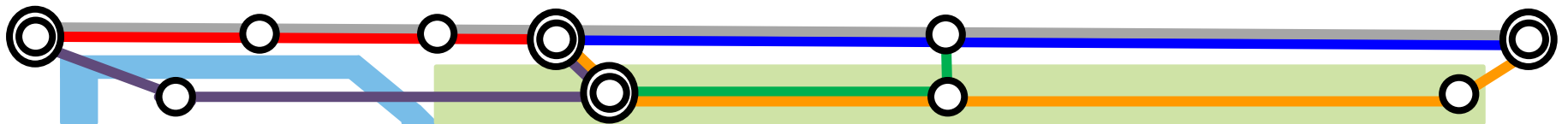
SSO Audit Top-5 Findings Agenda – For SSOAs

- Overview
- Audit Cycle
- Top-5 Findings – for SSOAs
- Questions



SSOA Audit Program Overview

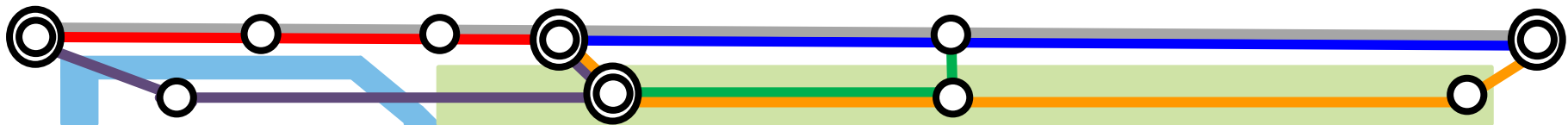
- 49 CFR Part 674.11 requires FTA will audit each State's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9).
- FTA has completed 6 Audit Cycles since 2005 and is currently conducting Cycle 7
 - Cycle 7 - From 2019 –2022
 - Combination of virtual, on-site and hybrid audits
 - Hybrid Audits – Mixture of Virtual Interviews and Document Reviews, and On-site inspections at select RTAs



SSOA Audit Program Overview

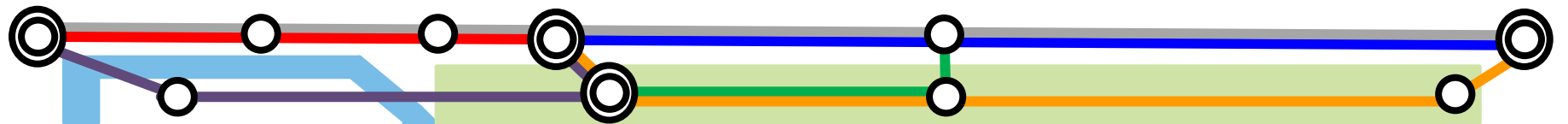
- FTA’s SSO Audit Process
 - Consistent with previous Audit cycles, FTA’s Audit reviews 10 areas
 - Each Audit is conducted by FTA’s SSO Program Manager, contract support and FTA region as applicable
 - FTA targets 90-business days after on-site audit for Final Report
 - Audit CAPs are resolved in an ongoing manner between SSOA and FTA

FTA’s SSO Audit Areas	
1	Program Management
2	Grant Program
3	Program Standard
4	Staffing & Qualification of SSOA
5	Oversight of PTASP
6	Oversight of RTA Internal Reviews
7	Investigations
8	SSOA Triennial Audits
9	Corrective Actions
10	Annual Repots



SSOA Audit Program Overview

Audits CY2019	Audits CY2020 & CY2021	Audits CY2022	Cycle 8 Audits CY2023
<ul style="list-style-type: none">• CoPUC• MDPU• GDOT• MDOT• OHDOT• TxDOT• WSDOT• UDOT	<ul style="list-style-type: none">• DCFEMS• MoDOT• BSSO• NJDOT• PENNDOT• NY PTSB• WMSC• PREMA	<ul style="list-style-type: none">• ORDOT• NCDOT• TnDOT• CPUC• FDOT	<ul style="list-style-type: none">• CoPUC• GDOT• DCFEMS• MDOT• MDPU• TxDOT• WSDOT• OHDOT• UDOT



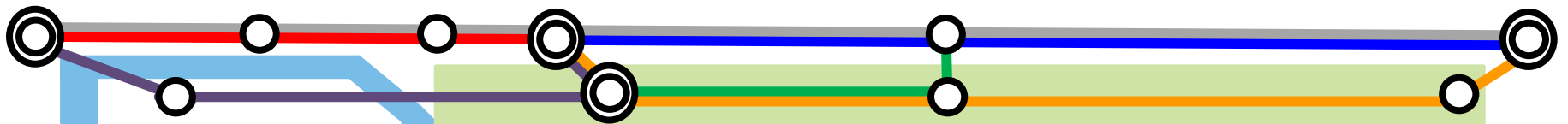
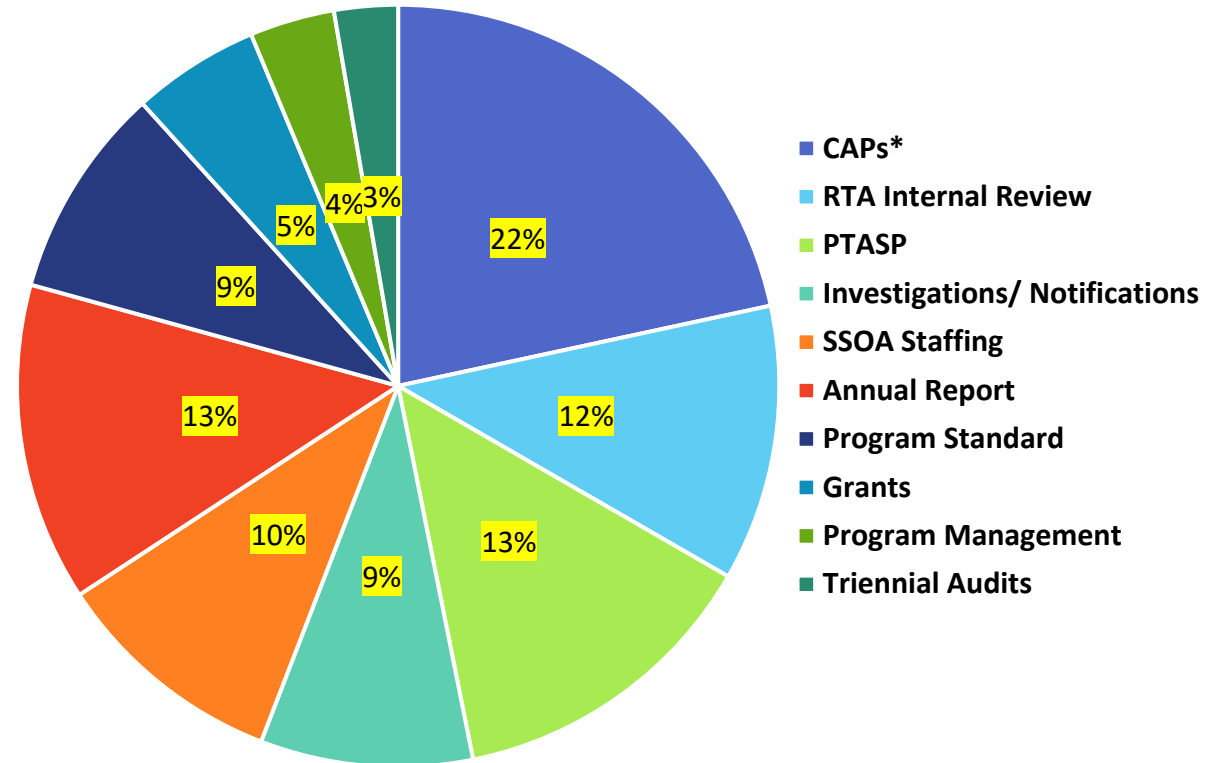
SSOA Summary 7 Cycles of Audits

- Top 5 FTA Audit Findings – **For SSOA**

- RTA Internal Reviews
- PTASP Oversight
- Investigations and Notifications
- SSOA Staffing
- Annual Report Submission

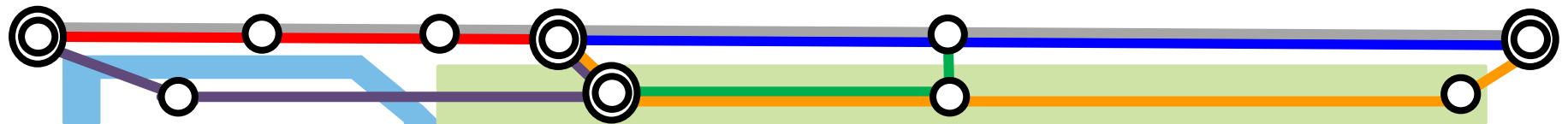
*CAPs will be further discussed in separate Conference Agenda item

Total Audit Findings



FTA Audit Finding 1 – Oversight of RTA Internal Reviews

- Requirement:
 - Part 674.27(a)(4) - Also, the program standard must establish a procedure whereby an RTA will notify the SSOA before the RTA conducts an internal review of any aspect of the safety of its rail fixed guideway public transportation system
- Internal Review Finding:
 - “SSOA did not ensure that the RTAs internally audit all PTASP elements over the three-year cycle”

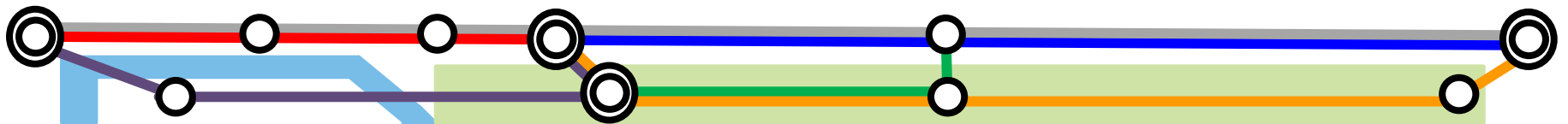


FTA Audit Finding 1 – Oversight of RTA Internal Reviews

- RTA Internal Review Issue:
 - RTA did not review all elements of PTASP
 - Example 1: RTA did not have resources to conduct internal reviews (and did not conduct)
 - Example 2: RTA internal review schedule/ process does not include all PTASP elements (since it is different the previous 21-SSPP elements)
- How to Improve Compliance:
 - SSOA to coordinate with RTA for deep dive of internal review schedule and ensure all PTASP elements are addressed in three-year period. Common missing element is “internal review program”

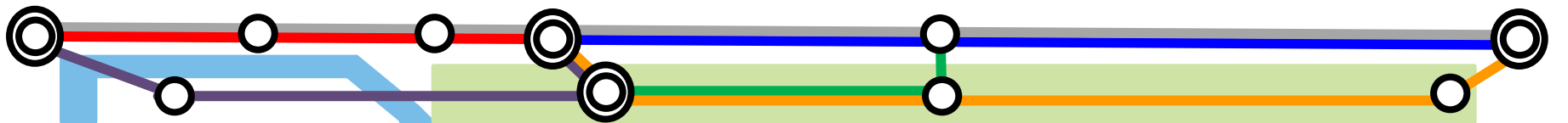


- *Understanding PTASP content and internal reviews may support SSOA triennial audit schedule*
- *Note that PTASP updates may include new content that will need to be added to internal review process*



FTA Audit Finding 2 – PTASP

- Requirement:
 - Part 49 CFR Part 674.25 - An SSOA must oversee an RTA's execution of its Public Transportation Agency Safety Plan. An SSOA must enforce the execution of a Public Transportation Agency Safety Plan, through an order of a corrective action plan or any other means, as necessary or appropriate.
- PTASP Finding:
 - “SSOA did not ensure the RTAs’ PTASPs included all Part 673 and 674 requirements.”

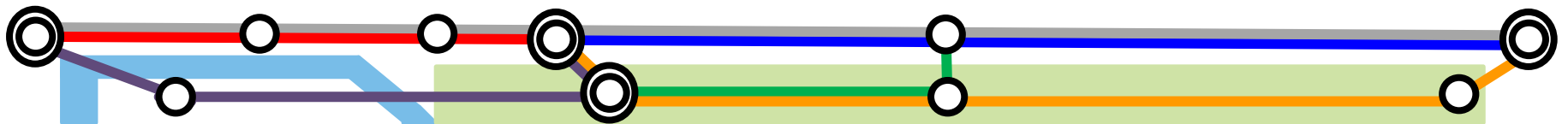


FTA Audit Finding 2 – PTASP

- PTASP Issue:
 - PTASP does not include Part 673 requirements
 - Example: PTASP does not include safety performance targets as specified in Part 673
- How to Improve Compliance :
 - Ensure RTA PTASP has clear details for Part 673 requirement.
 - Ask for FTA's technical assistance center review of PTASP.

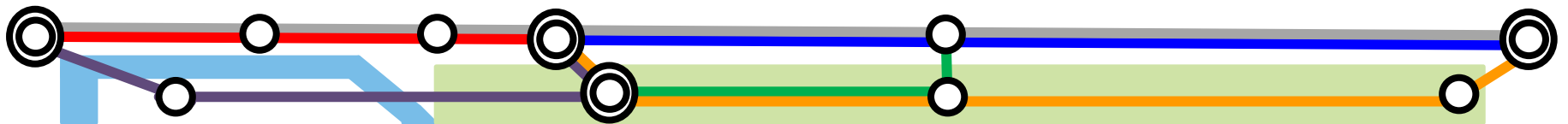


Many PTASPs did not incorporate the recommendations made by FTA's technical assistance center



FTA Audit Finding 3 – Accident Notification

- Requirement:
- Part 674.33 Notifications of accidents
 - a) Two-hour notification. In addition to the requirements for accident notification set forth in an SSO program standard, an RTA must notify both the SSO and the FTA within two hours of any accident occurring on a rail fixed guideway public transportation system.
- Accident Notification Finding:
 - “SSOA did not ensure that the RTA provided notification of all accidents within two hours.”

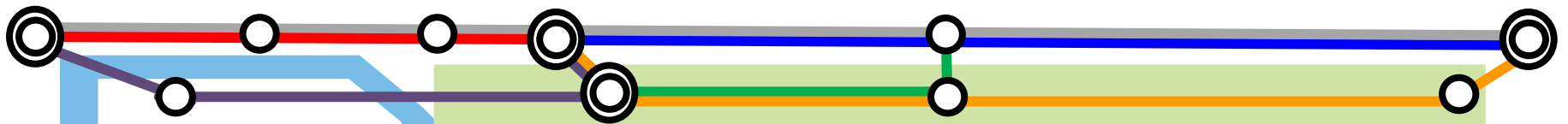


FTA Audit Finding 3 – Accident Notification

- Notification Issue:
 - Notification not provided to SSOA and FTA within 2-hours
 - Example 1: Notification was provided over 24-hours after the accident
 - Example 2: SSOA does not have documentation supporting 2-hour notification
- How to Improve Compliance :
 - Digital notification to SSOA from Control Center, etc.
 - Document trace showing 2-hour notification provided (email, text, etc.)



Understand reportable events for SSOA notification



FTA Audit Finding 4 – Annual Reports

- Requirement:

- Part 674.39(a)(3) - On or before March 15 of each year, an SSOA must submit the following material to FTA:

(1) The SSO program standard adopted in accordance with § 674.27

(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 § 674.31

(2) Evidence that each of its employees and contractors has completed the requirements of the PTSCTP

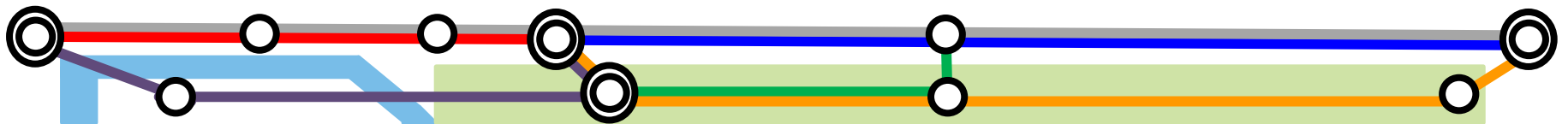
(5) Evidence that the SSOA has reviewed and approved any changes to the Public Transportation Agency Safety Plans during the preceding twelve months; and

(3) A publicly available report that summarizes its oversight activities for the preceding twelve months

(6) A certification that the SSOA is in compliance with the requirements of this part. (b) These materials must be submitted electronically through a reporting system specified by FTA.

- Annual Report Finding:

- “SSOA submitted annual reports that did not accurately contain all required information”

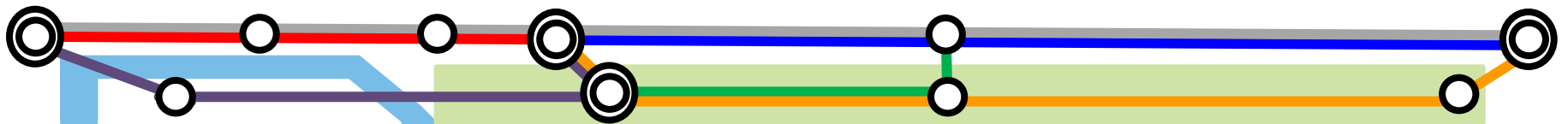


FTA Audit Finding 4 – Annual Reports

- Annual Report Issue:
 - SSOA did not list all reported CAPs in the annual report
 - Example: FTA Audit Team was provided with the 2021 CAP log with 42 Open CAPs. Annual report includes just 16 CAPs.
- How to Improve Compliance :
 - Ensure annual report contains accurate information for CAPS, including CAP details (Date closed, person responsible)

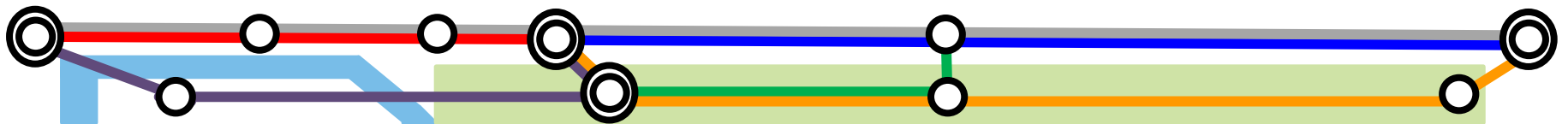


With access to NTD during 2020 and 2021, SSO accident reporting in annual report has minimal errors



FTA Audit Finding 5 – SSOA Staffing

- Requirement:
 - Part 674.11(d) -Demonstrate that the State has determined an appropriate staffing level for the State safety oversight agency commensurate with the number, size, and complexity of the RFGPTS
- Staffing Finding:
 - “SSOA’s staffing level was not commensurate with the staffing needs identified in their workload assessment.”

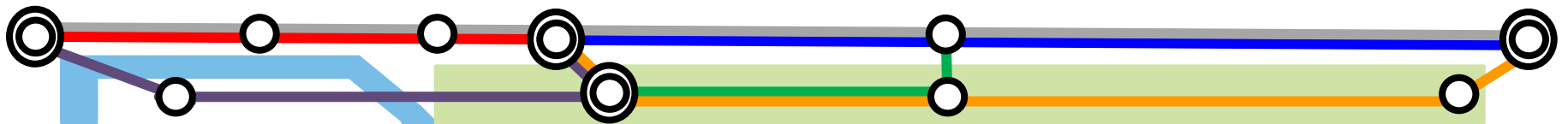


FTA Audit Finding 5 – SSOA Staffing

- Staffing Issue:
 - SSOA Staffing is not consistent with workload assessment
 - Example: RTA did not update workload assessment (since 2018 certification) and staffing is different than workload assessment
- How to Improve Compliance :
 - SSOA to update workload assessment with current tasks and staff



As projects increase, consider increasing resources in workload assessment



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