



Technical Training Plan (TTP) Checklist

Overview

[49 CFR Part 672 - Public Transportation Safety Certification Training Program](#) (PTSCTP) establishes a uniform safety certification training curriculum and requirements to enhance the technical proficiency of individuals who conduct safety reviews, inspections, examinations, and other safety oversight activities of public transportation systems operated by public transportation agencies and those who are directly responsible for oversight of public transportation agencies. **The Federal Transit Administration (FTA) has prepared the following checklist to assist State Safety Oversight Agencies (SSOAs) in complying with the SSOA requirements for technical training records, as outlined in 49 CFR § 672.21(e).** FTA also developed a technical training plan (TTP) template to support this process.

Note: The SSOA technical training requirements in 49 CFR § 672.21(e) are separate from the PTSCTP curriculum required under 49 CFR § 672.11.

This guidance document is not legally binding in its own right and the Federal Transit Administration will not rely upon it as a separate basis for affirmative enforcement actions or other administrative penalty. Conformity with this document (as distinct from existing statutes and regulations) is voluntary only, and nonconformity will not affect rights and obligations under existing statutes and regulations.

SSOA Requirements

§ 672.21(e)(1)

Regulatory Text: Each SSOA shall retain a record of the technical training completed by its designated personnel in accordance with the technical training requirements of this part. SSOAs shall retain training records for at least five (5) years from the date the record is created.

	§ 672.21(e)(1) Checklist Item	Considerations
<input type="checkbox"/>	Did the SSOA retain technical training records for designated personnel for at least five (5) years from the date the records were created?	<ul style="list-style-type: none"> • “Technical training records” includes, but is not limited to, documentation that verifies the completion of technical training included in the TTP for designated personnel (e.g., test results, course completion certificates, etc.). • Retain documentation that demonstrates the technical training of designated personnel for at least five (5) years. • FTA may request this information, as needed.

§ 672.21(e)(2)

Regulatory Text: Each SSOA shall develop and maintain a technical training plan for designated personnel who perform reviews, inspections, examinations, and other safety oversight activities. The SSOA will submit its technical training plan to FTA for review and evaluation as part of its annual reporting to FTA as required under § 674.39 of this chapter. This review process will support the consultation required between FTA and SSOAs regarding the staffing and qualification of the designated personnel in accordance with 49 U.S.C. 5329(e)(3)(E).

	§ 672.21(e)(2) Checklist Item	Considerations
<input type="checkbox"/>	Did the SSOA develop and maintain a technical training plan for designated personnel who perform reviews, inspections, examinations, and other safety oversight activities?	<ul style="list-style-type: none"> • “Technical training plan” includes, but is not limited to, the documentation that summarizes technical training for all designated personnel (see later checklist items for required information to include in the TTP). • FTA developed a TTP template to support this process.
<input type="checkbox"/>	Did the SSOA submit its technical training plan to FTA for review and evaluation as part of its annual reporting to FTA as required under § 674.39?	<ul style="list-style-type: none"> • The TTP must be submitted electronically through a reporting system specified by FTA. • The TTP is a separate annual reporting requirement from the initial PTSCPT certification and re-certification requirements that are also identified in part 672.

§ 672.21(e)(3)

Regulatory Text: Each SSOA shall identify the tasks related to reviews, inspections, examinations, and other safety oversight activities requiring SSOA approval, which must be performed by the SSOA to carry out its safety oversight requirements, and identify the skills and knowledge necessary to perform each oversight task at that system. At a minimum, the technical training plan will describe the process for receiving technical training in the following competency areas appropriate to the specific rail fixed guideway public transportation system(s) for which reviews and inspections conducted:

- (i) Agency organizational structure.
- (ii) Agency Safety Plan.

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(iii) Knowledge of agency:

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| <ul style="list-style-type: none"> (A) Territory and revenue service schedules. (B) Current bulletins, general orders, and other associated directives that ensure safe operations. (C) Operations and maintenance rule books. (D) Safety rules. (E) Standard Operating Procedures. (F) Roadway Worker Protection. (G) Employee Hours of Service and Fatigue Management program. (H) Employee Observation and Testing Program (Efficiency Testing). (I) Employee training and certification requirements. | <ul style="list-style-type: none"> (J) Vehicle inspection and maintenance programs, schedules, and records. (K) Track inspection and maintenance programs, schedules and records. (L) Tunnels, bridges, and other structures inspection and maintenance programs, schedules, and records. (M) Traction power (substation, overhead catenary system, and third rail), load dispatching, inspection and maintenance programs, schedules, and records. (N) Signal and train control inspection and maintenance programs, schedules, and records. |
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	§ 672.21(e)(3) Checklist Item	Considerations
<input type="checkbox"/>	<p>Did the technical training plan describe the process for receiving technical training specific to each RTA it oversees?</p>	<ul style="list-style-type: none"> “Process for receiving technical training” includes, but is not limited to, how designated personnel receive and complete training (e.g., courses, exams, on-the-job training, etc.) to acquire and maintain the skills and knowledge to perform each oversight task. Provide a description of your SSOA’s overall process for initial and recertification technical training for designated personnel, including any training elements specific to individual RTA’s.
<input type="checkbox"/>	<p>Did the SSOA identify:</p> <ul style="list-style-type: none"> The tasks related to reviews, inspections, examinations, and other safety oversight activities requiring SSOA approval? The skills and knowledge necessary to perform that oversight task at each rail transit agency (RTA)? 	<ul style="list-style-type: none"> Identify the required skills and knowledge for each task. Separately identify the skills and knowledge required for each RTA the SSOA oversees. “Tasks” include, but are not limited to, the actual activities that must be completed by designated personnel to perform safety oversight requirements for reviews, inspections, examinations, and other safety oversight activities requiring SSOA approval.

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	§ 672.21(e)(3) Checklist Item	Considerations
		<ul style="list-style-type: none"> • “Skills and knowledge” includes, but is not limited to, the abilities and information required for designated personnel to complete the tasks identified to meet the previous requirement.
<input type="checkbox"/>	<p>Does the SSOA’s technical training plan demonstrate agency-specific competency areas for each RTA, including, at a minimum, the 16 competency areas listed in 49 CFR § 672.21(e)(3)?</p>	<ul style="list-style-type: none"> • The competency areas and associated technical training identified in the TTP must be specific to each RTA the SSOA oversees. • All designated personnel must satisfy training requirements for all sixteen competency areas necessary to perform each oversight task. • Refer to the regulatory text above for the 16 minimum competency areas that must be included for each RTA. <ul style="list-style-type: none"> • Note that the competency areas (A)–(N) in the regulatory text begin with the phrase “Knowledge of agency” (e.g., “Knowledge of agency territory and revenue service schedules) to further reinforce that all competency areas and associated technical training must be agency-specific. • Additional technical training beyond the minimum requirements may also be included in the TTP.

§ 672.21(e)(4)

Regulatory Text: The SSOA will determine the length of time for the technical training based on the skill level of the designated personnel relative to the applicable rail transit agency(s). FTA will provide a template as requested to assist the SSOA with preparing and monitoring its technical training plan and will provide technical assistance as requested. Each SSOA technical training plan that is submitted to FTA for review will:

- (i) Require designated personnel to successfully:
 - (A) Complete training that covers the skills and knowledge needed to effectively perform the tasks.
 - (B) Pass a written and/or oral examination covering the skills and knowledge required for the designated personnel to effectively perform their tasks.
 - (C) Demonstrate hands-on capability to perform their tasks to the satisfaction of the appropriate SSOA supervisor or designated instructor.
- (ii) Establish equivalencies or written and oral examinations to allow designated personnel to demonstrate that they possess the skill and qualification required to perform their tasks.

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- (iii) Require biennial recertification training to maintain technical skills and abilities, which includes classroom and hands-on training, as well as testing. Observation and evaluation of actual performance of duties may be used to meet the hands-on portion of this requirement, provided that such testing is documented.
- (iv) Require that training records be maintained to demonstrate the current qualification status of designated personnel assigned to carry out the oversight program. Records may be maintained either electronically or in writing and must be provided to FTA upon request. Records must include the following information concerning each designated personnel:
 - (A) Name;
 - (B) The title and date each training course was completed, the proficiency test score(s), and the minimum passing score of the test, where applicable;
 - (C) The content of each training course successfully completed;
 - (D) A description of the designated personnel's hands-on performance applying the skills and knowledge required to perform the tasks that the employee will be responsible for performing and the factual basis supporting the determination;
 - (E) The tasks the designated personnel are deemed qualified to perform; and
 - (F) Provide the date that the designated personnel's status as qualified to perform the tasks expires, and the date in which biennial recertification training is due.
- (v) Ensure the qualification of contractors performing oversight activities. SSOAs may use demonstrations, previous training and education, and written and oral examinations to determine if contractors possess the skill and qualification required to perform their tasks.
- (vi) Periodically assess the effectiveness of the technical training. One method of validation and assessment could be efficiency tests or periodic review of employee performance

	§ 672.21(e)(4) Checklist Item	Considerations
<input type="checkbox"/>	<p>Does the TTP demonstrate the SSOA requires all designated personnel to successfully obtain and demonstrate the relevant technical skills and knowledge in the following three ways?</p> <ol style="list-style-type: none"> 1. Complete training that covers the relevant skills and knowledge. 2. Pass a written and/or oral examination that covers the skills and knowledge required to effectively perform tasks. 3. Demonstrate hands-on capability to perform tasks to the satisfaction of the appropriate SSOA supervisor or designated instructor. 	<ul style="list-style-type: none"> • The TTP must demonstrate the SSOA requires all designated personnel to successfully obtain and demonstrate the relevant technical skills and knowledge by: <ol style="list-style-type: none"> 1. Completing training 2. Passing written and/or oral examinations 3. Demonstrating hands-on capability to perform tasks • All designated personnel must complete RTA-specific technical training (step 1 above). • An SSOA can establish equivalencies in place of written and/or oral examinations (step 2) to assess skills and knowledge. See the next checklist item for more information on technical training equivalencies.

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	§ 672.21(e)(4) Checklist Item	Considerations
		<ul style="list-style-type: none"> • Steps 2 and 3 above may occur simultaneously. • The training, written and/or oral examinations, and hands-on capability demonstrated in the TTP for each designated personnel must: <ul style="list-style-type: none"> • Align with the skills and knowledge the SSOA identified for each competency area. • Align with the process for receiving technical training that the SSOA established. • Be specific to each RTA for which designated personnel perform reviews, inspections, examinations, and other safety oversight activities.
<input type="checkbox"/>	<p>Does the TTP demonstrate the SSOA established equivalencies or written and oral examinations to allow designated personnel to demonstrate they possess the skill and qualification required to perform their tasks?</p>	<ul style="list-style-type: none"> • Equivalencies can only be created in place of written and/or oral examinations referenced in § 672.21(e)(4)(i)(B). • RTA-specific technical training, as referenced in § 672.21(e)(4)(i)(A), and demonstrating hands-on capability, as referenced in § 672.21(e)(4)(i)(C), are required for all designated personnel. • Provide a description of your SSOA's overall process for how established equivalencies are used in place of the standard written and/or oral examinations. • The equivalencies or written and oral examinations established by the SSOA for each competency area must: <ul style="list-style-type: none"> • Be specific to the RTA(s) that the SSOA oversees. • Allow designated personnel to demonstrate they are qualified to perform tasks by: <ul style="list-style-type: none"> • Applying RTA-specific training that covers the relevant skills and knowledge required to effectively perform tasks • Demonstrating hands-on capability to perform tasks to the satisfaction of the appropriate SSOA supervisor or designated instructor.

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	§ 672.21(e)(4) Checklist Item	Considerations
<input type="checkbox"/>	<p>Does the TTP demonstrate biennial recertification training for designated personnel to maintain technical skills and abilities, which includes classroom and hands-on training, as well as testing?</p>	<ul style="list-style-type: none"> • Observation and evaluation of actual performance of duties may be used to meet the hands-on portion of this requirement, provided that such testing is documented.
<input type="checkbox"/>	<p>Does the SSOA maintain training records to demonstrate the current qualification status of designated personnel assigned to carry out the oversight program?</p>	<ul style="list-style-type: none"> • “Training records” includes, but is not limited to, documentation that verifies the current technical training qualifications included in the TTP for designated personnel (e.g., test results, course completion certificates, etc.). • Records may be maintained either electronically or in writing and must be provided to FTA upon request.
<input type="checkbox"/>	<p>Does the TTP include the current qualification status for each designated personnel, including the following information?</p> <ol style="list-style-type: none"> 1. Name 2. The title and date for each completed training course 3. The proficiency test score(s) 4. The minimum passing score of the test, where applicable 5. The course content (course descriptions) for each successfully completed training course 6. Detailed information describing the individual's hands-on performance applying required skills and knowledge along with supporting evidence 7. A list of all tasks the individual is qualified to perform 8. The training expiration date 9. The due date for biennial recertification training 	<ul style="list-style-type: none"> • The current qualification status for all “designated personnel” must be included in the TTP. • FTA developed a TTP template to support SSOAs in documenting this information. • Training records that demonstrate the current qualification status of designated personnel outlined in the TTP must be provided to FTA upon request.

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	§ 672.21(e)(4) Checklist Item	Considerations
<input type="checkbox"/>	Does the SSOA periodically assess the effectiveness of the technical training?	<ul style="list-style-type: none">• One method of validation and assessment could be efficiency tests or periodic review of employee performance.• Include the most recent date the SSOA conducted this assessment of technical training effectiveness in the TTP.• FTA may request additional information, as needed.