



Procedure SSO-003

Reportable Events Notifications

Current Version: 04/05/2022

Scope

This procedure provides the contact information, the notification processes and required reporting to be used by RTA/RFGPTS, under the jurisdiction of New Jersey, for reportable safety events (Accidents, State Reportable Incidents/Hazardous Conditions, and Occurrences) that occur on the rail systems and rail-related property.

Notification requirements are provided in federal and state regulations, and additional guidance has been provided by FTA, including the National Transit Database (NTD) reporting requirements.

- Federal Regulation – 49 CFR Part 674.7 and 674.33
- FTA Guidance – Two-Hour Accident Notification Guide,
<https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide-0>
- 2022 NTD Safety and Security Reporting Policy Manual,
<http://www.transit.dot.gov/ntd/2022-ntd-safety-and-security-reporting-policy-manual>

SSO/FTA contact information is provided in **Table 1**.

Table 1. SSO/FTA Contact Information

CONTACT	EMAIL ADDRESS	TELEPHONE #
NJDOT SSO Program	NJOFGSSO@dot.nj.gov	(609) 273-5169
FTA*	TOC-01@dot.gov	-

**Include NJOFGSSO@dot.nj.gov on any email correspondences with the FTA and any response.*

Notification thresholds and reporting requirements for safety events are provided in **Tables 2 – 4**.



SSOA/FTA – 2 Hour Notification Requirements for Accidents

As defined in 49 CFR Part 674.33(a), notification shall be made to the NJDOT program staff, by telephone, **within two (2) hours** for any reportable safety event that meets the FTA reportable threshold for Accidents. In addition, the RTA/RFGPTS will notify the FTA with initial information within the **same 2-hour period**, in accordance with the contact information provided above in **Table 1**.

At a minimum, the following information is required when submitting notifications to the FTA:

- Full Name of RTA/RFGPTS
- Description of Event (time, date, primary and secondary event types (e.g., collision, derailment, fire, etc.))
- Specific location (intersection, station, etc.)
- Degree of injuries, if available
- Degree of damage, if available
- Contact Name, email, and phone number

Table 2 outlines the criteria for **Accident** notifications and investigations.

Table 2. SSOA/FTA - 2 Hour Notification/Investigation Requirements for Accidents

Events	FTA and NJDOT SSO Program Criteria	Exclusions
Fatalities	One or more fatalities within 30 calendar days of safety event. <u>This requirement includes</u> all loss of life (fatality) that occur on a transit property or are related to transit operations or maintenance.	<u>This requirement excludes</u> deaths resulting from illness or other natural causes, criminal homicides, and drug overdoses, that are not related to collisions with a rail transit vehicle.
Serious Injury 1. Requires hospitalization for more than 48 hours, commencing within seven days from the date the injury was received; 2. Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); 3. Causes severe hemorrhages, nerve, muscle, or tendon damage; 4. Involves any internal organ; or 5. Involves second- or third-degree burns, or any burns affecting more than five percent of the body surface.	One or more serious injuries outlined in items 1 – 5. <u>This requirement includes</u> all serious injuries that occur on a transit property or are related to transit operations or maintenance.	<u>This requirement excludes</u> serious injuries resulting from illness or other natural causes, drug overdoses, and criminal assaults that are not related to collisions with a rail transit vehicle.



Events	FTA and NJDOT SSO Program Criteria	Exclusions
Collision between a rail transit vehicle and another rail transit vehicle	All	<u>This requirement excludes</u> hard couples.
Collision of a rail transit vehicle at a grade crossing	Resulting in substantial damage, serious injury, or fatality	Substantial damage <u>excludes</u> damage that is limited to: <ul style="list-style-type: none"> • Cracked windows; • Dents, bends, or small puncture holes in the body; • Broken lights, mirrors; or • Removal from service for minor repair or maintenance, inspection, testing, or video and event recorder download.
Collision of a rail transit vehicle with a person, motor vehicle, or object	Resulting in substantial damage, serious injury, or fatality	-
A runaway train	All	-
Evacuations	Due to life safety reasons	-
Derailments	All, mainline or yard	Not the result of a collision
Fires	Resulting in a serious injury or fatality	-
<p><u>RTA/RFGPTS Actions:</u></p> <ol style="list-style-type: none"> 1. SSOA/FTA - 2 Hour Notification (email) 2. External Notification (Telephone call to NJDOT SSO Program) 3. 24 Hour Summary 4. RTA/RFGPTS to report to FTA within 30 days via NTD 5. Investigation Report within 30 days (or progress update) 6. Follow Hazard Risk Management Protocols 		



State-Only Reportable Incidents/Hazardous Conditions

The following table contains a list of State-Only Reportable Incidents/Hazardous Conditions that require notification to the NJDOT SSO program (but not the FTA), by telephone and email, **within 2 hours** and required reporting as outlined below. The NJDOT SSO program has the authority to require these additional event types per 49 CFR Part 674.25(c) and (d).

Table 3. State-Only Reportable Incidents/Hazardous Conditions

Events	Required Reporting		
	Log	24 Hr. Summary	Investigation Report
Two or more non-serious injuries (employees and contractors), <u>requiring medical transportation away</u> from the event.	X		
Any incident or occurrence that results in suspension of service	X		
Damage to the OCS that disrupts service – includes significant OCS damage or pull downs and chipped/damaged pantographs; damage to third rail or power poles	X	X	X
Evacuation of a rail vehicle to the right of way or into street/traffic, not for a life safety reason	X		
Collision of a rail vehicle with a motor vehicle (excludes mirror strikes), not substantial damage or serious injury	X	X	X
Collision of a rail vehicle with a person, resulting in non-serious injury	X	X	X
Collision of a rail vehicle with an object, not substantial damage, or serious injury	X	X	X
Close calls/Near Misses <ul style="list-style-type: none"> • Rail vehicle to rail vehicle, including rail work equipment • Rail vehicle to motor vehicle or object • Rail vehicle to workers on the right of way, including a work zone violation or incursion 	X	X	X
Hard couple (causing some damage) in a yard	X		
Split switch – rail revenue vehicle or work vehicle	X	X	X



Events	Required Reporting		
	Log	24 Hr. Summary	Investigation Report
Any rail system related hazardous condition determined to be an Unacceptable/Significant Hazardous Condition and/or causes disruption in service	X	X	X
Fires that result in substantial property damage	X	X	X
RTA/RFGPTS Actions <ol style="list-style-type: none"> 1. SSOA - 2 Hour Notification (email) 2. External Notification (Telephone Call to NJDOT SSO Program) 3. 24 Hour Summary and/or Investigation Report and progress updates (as indicated) 4. RTA to report to FTA within 30 days via NTD, as required 5. Inclusion in Incident/Occurrence and/or Hazard Log 6. Follow Hazard Risk Management Protocols 			

The NJDOT SSO program has the right to require the RTA/RFGPTS to conduct and submit an investigation for any of the events outlined in Table 3. Any and all investigations conducted by the RTA/RFGPTS are to be reported to the NJDOT SSO program.

Experience has shown that some events become reportable to the NJDOT SSO program based on further information beyond the 2-hour time limit, and this will continue to be an expected situation for the program. Example specific reportable events include accurately and quickly assessing substantial damage or serious injury. In addition, in some cases, an event appears to be reportable, and then is later determined to not meet the reportable event criteria. Each of these situations will be managed on a case-by-case basis. In each case, the notification and reporting should be made as soon as possible or as needed. It is also expected that occasionally a notification or set of progress reports for an event might be removed from the NJDOT SSO program event investigation process, because it is later determined to be outside of the reporting criteria.



Recordkeeping Requirements for Occurrences

Part 674 also requires RTAs/RFGPTS to collect information from the rail system operations and maintenance activities of **Occurrences**. This information is typically collected through the Control Center of the RTA/RFGPTS and are documented in an **Incident/Occurrence Log** and shared Monthly (by the 15th) with the SSO Program in an editable format. At a minimum, the **Incident/Occurrence Log** should record the following events:

Table 4. Recordkeeping Criteria for Occurrences

Safety Rule Violations (at a minimum)
<ol style="list-style-type: none"> 1. Stop signal violation 2. Rail vehicle doors open wrong side at platform 3. Berthing train at platform not at proper location 4. Wrong/unintended route (switch set in unexpected direction)
Rail system damage/problems that may disrupt service
<ol style="list-style-type: none"> 1. Broken rail/track buckle 2. Railcar braking system failure 3. Door faults/doors opening wrong side Signal system failure/problems 4. Flooding/ice on or near the right of way 5. Damage to the OCS or third rail 6. Mirror strikes
Emergency/hard braking of rail revenue vehicle
Vehicles blocking the right of way, close call or not
Person(s) too close to rail dynamic envelope or trespassing on the right of way, close call or not
Person(s) at station platform too close to rail dynamic envelope, close call or not
Fires (other than events meeting criteria in tables 2 or 3)
Elevator Entrapments
RTA/RFGPTS Actions:
<ol style="list-style-type: none"> 1. Document in Incident/Occurrence Log and provided to SSO program monthly 2. Follow Hazard Risk Management Protocols

The RTA/RFGPTS is required to conduct investigations of safety events (including some Occurrences) to identify causal factors and monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended (673.27).



2 Hour Notification

The New Jersey RTAs/RFGPTS are required to communicate with the NJDOT SSO Program designated contact by phone and email, as listed in this procedure. The initial phone call is intended for the RTA/RFGPTS staff to provide any known facts about the safety event that has occurred. If the safety event warrants communication with the FTA, then the RTA/RFGPTS will contact FTA with a brief description of the safety event. FTA has indicated that email is preferred to a phone call.

(24) Hour Summary

The NJDOT has developed a standardized form to capture information via the NJDOT EAR Database as detailed below. This completed form, in editable format, will be emailed to NJOFGSSO@nj.dot.gov no later than the close of business of the next business day after the 2-Hour Notification, or as directed and as listed in this procedure. **If the information is not pertinent to the event, the item should be identified on the Initial Notification Form as “not applicable” (N/A).** At a minimum, the completed form must include the following information:

- Name and job title of person reporting and name of RTA/RFGPTS
- Event type (fatality, injuries, property damage, evacuation, derailment or other)
- Location, time, and date
- Notification time for NJDOT SSO program
- Fatalities
- Injuries
- Rail transit vehicle(s) involved (type, number)
- Other vehicle(s) involved (type, number)
- Property damage estimate
- NTSB, FRA, TSA reportable
- Short description of the event.
- Immediate Actions
- RTA/RFGPTS primary person (i.e., Chief Investigator) conducting the investigation (name, title, phone and fax numbers, email address)

The RTA/RFGPTS may be required to provide additional information at the NJDOT SSO program’s request.



RTA/RFGPTS Reportable Event Notifications to Other Federal Agencies

Complete additional notifications to federal/state agencies as required. The RTAs/RFGPTS are required to notify NTSB or TSA for events listed in 49 CFR Part 840¹ and 49 CFR Part 1580², and the specific sections are shown in the following text boxes. For all notifications to other federal (or state) agencies (FRA³, NTSB, and TSA), the **NJDOT SSO program requires that the RTA/RFGPTS share those notifications and any additional information requested by those other federal agencies.** This may be as easy as just adding these potential notifications to the Initial Notification Form. For TSA notifications and because the RTA/RFGPTS may notify from the security department, a separate Initial Notification Form is acceptable.

49 CFR §840.3 Notification of railroad accidents (NTSB)

The operator of a railroad shall notify the Board by telephoning the National Response Center at telephone 800-424-0201 at the earliest practicable time after the occurrence of any one of the following railroad accidents:

- (a) No later than 2 hours after an accident which results in:
 - (1) A passenger or employee fatality or serious injury to two or more crewmembers or passengers requiring admission to a hospital
 - (2) The evacuation of a passenger train
 - (3) Damage to a tank car or container resulting in release of hazardous materials or involving evacuation of the general public
 - (4) A fatality at a grade crossing
- (b) No later than 4 hours after an accident which does not involve any of the circumstances enumerated in paragraph (a) of this section but which results in:
 - (1) Damage (based on a preliminary gross estimate) of \$150,000 or more for repairs, or the current replacement cost, to railroad and non-railroad property
 - (2) Damage of \$25,000 or more to a passenger train and railroad and non-railroad property.
- (c) Accidents involving joint operations must be reported by the railroad that controls the track and directs the movement of trains where the accident has occurred.
- (d) Where an accident for which notification is required by paragraph (a) or (b) of this section occurs in a remote area, the time limits set forth in that paragraphs shall commence from the time the first railroad employee who was not at the accident site at the time of its occurrence has received notice thereof.

¹ Available at <http://www.gpo.gov/fdsys/pkg/CFR-2011-title49-vol7/pdf/CFR-2011-title49-vol7-part840.pdf>

² Available at <http://www.gpo.gov/fdsys/pkg/CFR-2011-title49-vol9/pdf/CFR-2011-title49-vol9-part1580.pdf>

³ FRA notification requirements for commuter rail or shared track are 49 CFR §225.9, §233.5, and §234.7, if applicable.



49 CFR §1580.203 Reporting significant security concerns (TSA)

- (a) Applicability. This section applies to:
- (1) Each passenger railroad carrier, including each carrier operating light rail or heavy rail transit service on track that is part of the general railroad system of transportation, each carrier operating or providing intercity passenger train service or commuter or other short-haul railroad passenger service in a metropolitan or suburban area (as described by 49 U.S.C. 20102), and each public authority operating passenger train service.
 - (2) Each passenger railroad carrier hosting an operation described in paragraph (a)(1) of this section.
 - (3) Each tourist, scenic, historic, and excursion rail operator, whether operating on or off the general railroad system of transportation.
 - (4) Each operator of private cars, including business/office cars and circus trains, on or connected to the general railroad system of transportation.
 - (5) Each operator of a rail transit system that is not operating on track that is part of the general railroad system of transportation, including heavy rail transit, light rail transit, automated guideway, cable car, inclined plane, funicular, and monorail systems.
- (b) Each person described in paragraph (a) of this section must immediately report potential threats and significant security concerns to DHS by telephoning the Freedom Center at 1-866-615-5150.
- (c) Potential threats or significant security concerns encompass incidents, suspicious activities, and threat information including, but not limited to, the following:
- (1) Interference with the train or transit vehicle crew.
 - (2) Bomb threats, specific and non-specific.
 - (3) Reports or discovery of suspicious items that result in the disruption of rail operations.
 - (4) Suspicious activity occurring onboard a train or transit vehicle or inside the facility of a passenger railroad carrier or rail transit system that results in a disruption of rail operations.
 - (5) Suspicious activity observed at or around rail cards or transit vehicles, facilities, or infrastructure used in the operation of the passenger railroad carrier or rail transit system.
 - (6) Discharge, discovery, or seizure of a firearm or other deadly weapon on a train or transit vehicle or in a station, terminal, facility, or storage yard, or other location used in the operation of the passenger railroad carrier or rail transit system.
 - (7) Indications of tampering with passenger rail cars or rail transit vehicles.
 - (8) Information relating to the possible surveillance of a passenger train or rail transit vehicle or facility, storage yard, or other location used in the operation of the passenger railroad carrier or rail transit system.
 - (9) Correspondence received by the passenger railroad carrier or rail transit system indicating a potential threat to rail transportation.
 - (10) Other incidents involving breaches of the security of the passenger railroad carrier or the rail transit system operations or facilities.

Update:

- June 30, 2021 - Updated the notification and reporting requirements
- October 1, 2021 – minor edits for word choice, no significant changes to procedure
- April 5, 2022 - updated link to 2022 NTD S&S page