Procedure SSO-008

RTA/RFGPTS Safety Oversight and Risk Monitoring Procedure

Current Version: 10/01/2021

Scope: This procedure explains the process and requirements for the activities that make up the NJDOT SSO program risk monitoring of all RTA/RFGPTS under the jurisdiction of New Jersey. Risk Monitoring is a process used to address safety oversight and enforcement of a transit agency's Safety Management System (SMS) Safety Assurance (and some aspects of Safety Risk Management) activities. As defined by the Federal Transit Administration (FTA), Safety Assurance means the processes within a transit agency's SMS that function to ensure the implementation and effectiveness of safety risk mitigation and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Risk Monitoring Related Requirements: Safety Risk Monitoring is used by the NJDOT SSO program to stay informed about the risk environment at each New Jersey RTA/RFGPTS, as well as to be informed about changes in the risk environment, safety performance, and safety culture. This knowledge is used for systematic oversight and enforcement of the RTA/RFGPTS safety program (as documented in the interim Agency Safety Plan and related minimum standards for safety). Risk Monitoring is accomplished through data and information collection and analyses and visits to each New Jersey RTA/RFGPTS on a regular basis for meetings, investigations, audits, and inspections, as well as follow-up review of RTA/RFGPTS corrective action plan (CAP) completion and effectiveness of those CAPs in mitigating the identified safety issues.

In order to perceive changes in the risk environment at the RTA/RFGPTS, some time is needed between risk monitoring visits. The NJDOT SSO program will determine the amount of appropriate time required for the RTA/RFGPTS to adjust, respond, or plan any required mitigation and include that time when noting a proposed date to follow up on effected risk monitoring topics. This will allow for the RTA/RFGPTS to own their risk and time to continue their risk management and assessment processes.

The following are the requirements related to conduct of RTA/RFGPTS Safety Risk Monitoring (investigations, audits, and examinations) as defined in 49 CFR Part 674.

§ 674.25 Role of the State safety oversight agency.

(a) An SSOA must review and approve the Public Transportation Agency Safety Plan for every rail fixed guideway public transportation system within its oversight. An SSOA must oversee an RTA's execution of its Public Transportation Agency Safety Plan. An SSOA must enforce the execution of its Public Transportation Agency Safety Plan, through an order of a corrective action plan or any other means, as necessary or appropriate. An SSOA must ensure that a Public Transportation Agency Safety Plan meets the requirements at 49 U.S.C. 5329(f).

(b) An SSOA has primary responsibility for the investigation of any allegation of noncompliance with a Public Transportation Agency Safety Plan. These responsibilities do not preclude the Administrator from exercising his or her authority under 49 U.S.C. 5329(f) or 49 U.S.C. 5330.

(c) An SSOA has primary responsibility for the investigation of an accident on a rail fixed guideway public transportation system. This responsibility does not preclude the Administrator from exercising his or her authority under 49 U.S.C. 5329(f) or 49 U.S.C. 5330.

Scope of Data and Information Collection and Analyses: The following are the data and information collection and analysis sources and activities.

(1) Tracking issues from results of, content of, or CAPs resolution from:
   a. Investigations (Sections 6 and 7 and Appendix O)
   b. Internal Audits (Section 4)
   c. Triennial Audits (Section 5 and Appendix N)
   d. Daily Incident Log (RTA/RFGPTS Communication and Coordination and Section 9)
   e. Hazard Log (RTA/RFGPTS Communication and Coordination and Section 9)

(2) Analyses of the tracking issues based on these and other sources of risk information from the RTA/RFGPTS

(3) The NJDOT SSO program staff also maintain a register of specific issues at each RTA/RFGPTS that are being tracked as potential sources of risk. This list typically contains topics that indicate an actual or perceived risk may require mitigation. If an identified topic progresses to a point at which an immediate threat emerges, it will be addressed by the RTA/RFGPTS in a timely fashion, as warranted. This monitoring is for potentially emerging or ongoing safety risks and is accomplished through a process as follows:
   a. If a specific potential safety issue is identified or **experienced once**, a note of that issue is made on the register along with any response or reaction from the RTA/RFGPTS.
   b. If the specific or related potential safety issue is **experienced again**, or if the risk appears to be increasing to the point that it is becoming hazardous, then the NJDOT SSO program staff actively start monitoring that potential risk through data collection and discussions with the appropriate RTA/RFGPTS staff.
   c. If the specific or related potential safety issue is **experienced a third time**, this will require a visit by the NJDOT SSO program staff to inspect, assess, and audit this situation. In some cases, these safety issues become state reportable events, and are required to be fully investigated in accordance with Appendix O.

(4) Current events at the RTA/RFGPTS, current safety performance – collected through committee meetings and on-site activities.

Scope of Activities for Risk Monitoring: The NJDOT SSO program staff visit/attend meetings with the New Jersey RTAs/RFGPTS and the CSO. These visits can also be held via teleconference or virtually. The content of these visits is defined by an agenda that focuses the information collection and meetings. These visits also include follow-up to previous visits, meetings, and

review of safety performance (and culture). Activities typically completed during these visits are some or all of the following:

(1) **Monthly Internal RTA/RFGPTS Safety Meetings** – these internal meetings may include any or all levels of executive management, management, supervision, and staff related to the rail system operations, maintenance, command and control, and projects. As an example, these meetings are used by the RTA/RFGPTS to go over CAPs status/progress, hazards, ongoing construction activities, accidents and to go over current events at the RFGPTS.

(2) **Monthly CSO Safety Meetings (CSO and/or RTA/RFGPTS staff)** – These meetings include the CSO and may include all levels of the RTA/RFGPTS executive management, management, supervision, and staff related to the rail system. These meetings are used to review/address items related to the NJDOT SSO program, including investigations, internal/external audits, observations/inspections, training, hazard tracking, and CAPs. At a minimum, the Monthly CSO Safety meeting must include the items on the **Monthly CSO Safety Meeting Agenda** which is included as part of this Appendix**.**

   Note: meetings are held to review/address items related to the NJDOT SSO program for each of the RTA/RFGPTS. Meeting minutes, documenting action items from each monthly meeting will be prepared by the CSO and submitted to the NJDOT SSO program no later than two weeks after each monthly meeting.

(3) **Additional Meetings** – these meetings may include any or all levels of executive management, management, supervision, and staff related to the rail system operations, maintenance, command and control, and projects.

(4) **Audits, observations, and inspections** – these are usually targeted based on existing investigations or high-priority CAPs (open or closed). This activity might also include participation in internal audit activities or follow-up of those activities.

(5) **CAP closures** – reviewing CAP closure evidence and effectiveness of the mitigations. It may be sufficient to just review records if the CAP was about training or completing a work that is then recorded on a work order. The review of CAP closure evidence should be topics where an in person inspection can be completed, a demonstration might be provided, or a follow-up discussion would provide additional information about the success of the CAP implementation. There is no intent to inspect every CAP in the field.

(6) **Checking for new issues** – these new issues are collected through meetings and by visiting the rail systems, facilities, and infrastructure. Some of these activities are scheduled to assure that the entire rail system is visited and experienced by the NJDOT SSO program staff over a certain period of time or a particular review topic may be selected.

(7) **Current state of the rail system** – it is critical that the NJDOT SSO program staff have experience with the current state of the rail systems and related infrastructure, including operations, maintenance, command and control, and projects.

(8) **Internal Audits, SSO Program Audits and Examinations, and the Triennial Audit**: The RTA/RFGPTS internal audits and the SSO program Safety Risk Monitoring audits and inspections are intentionally independent, but also synergistic. In addition, CAPs

resolution, closure, and assurance of success of those CAPs are related to those activities. The SSO Triennial Audit (described in Section 5 and **Appendix N**) integrates with all of these audit and inspection activities, and is used to assure that safety oversight and enforcement are applied to the entire safety program (including the minimum standards for safety).

Sample Agenda for Safety Risk Monitoring Visits, Separate from and in Addition to Monthly Meetings

- Review ongoing risk issues being monitored
- Select CAP closures for review on-site, record of these onsite reviews will then be recorded in the tracking database; the CAPs selected should be topics that can be reviewed by inspection, demonstration, or interview
- Collect photographs (without people in them)
  - Rail vehicles and work equipment
  - Buildings – office and shops
  - Yards
- Consider a need for any Technical Training Plan (TTP) activities due for SSOA staff

Update:

- March 5, 2018 – Initial release
- June 30, 2021 – minor word choice changes, included monthly CSO safety meetings, teleconference/virtual meetings, and minor edits to align with **Appendix M**.
- October 1, 2021 – minor formatting changes