2018 APTA Rail Conference

State Safety Oversight Updates

Office of Transit Safety and Oversight
Federal Transit Administration

June 12, 2018
Overview

• State Safety Oversight (SSO) Program Background
• SSO Certification Process
• Certification Status
• Resources
• Questions
SSO Program Background

Legislation was Enacted

The FTA's Role

The FTA's Process

Part 674 Certification
What if a state misses the April 15, 2019 deadline?

- FTA can’t obligate financial assistance. Funds must be withheld until SSOP is certified by FTA.
- State-wide impact
  - Applies to all Chapter 53 grant recipients
## Deadlines

<table>
<thead>
<tr>
<th>Deadlines</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Deadline</td>
<td>April 15, 2019</td>
</tr>
<tr>
<td>Submission Deadline</td>
<td>September 30, 2018</td>
</tr>
</tbody>
</table>
What FTA is doing for SSOAs

- $136 million in grant funds (since FY2013)
- Technical assistance workshops
- Monthly one-on-one calls
- Quarterly conference calls
- Certification toolkit
- Site visits
SSO Audits

- FY18 audits postponed
- Audits scheduled for FY19
## Post Certification

<table>
<thead>
<tr>
<th></th>
<th>49 CFR Part 659</th>
<th>49 CFR Part 674</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial &amp; Legal Independence</td>
<td>None required</td>
<td>Is financially and legally independent from any public transportation entity that the State safety oversight agency oversees</td>
</tr>
<tr>
<td>Operational Independence</td>
<td>None required</td>
<td>Does not directly provide public transportation services in an area with a rail fixed guideway public transportation system subject to the requirements of this section</td>
</tr>
<tr>
<td>Administrative Independence</td>
<td>A party or entity could not provide services to both the oversight agency and the transit agency it oversees</td>
<td>Does not employ any individual who is also responsible for the administration of rail fixed guideway public transportation programs subject to the requirements of this section</td>
</tr>
<tr>
<td>Oversight Agency Authority</td>
<td>Varied from state to state</td>
<td>Has the authority to review, approve, oversee, and enforce the implementation by the rail fixed guideway public transportation agency of the public transportation agency safety plan</td>
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*FTA*  
Federal Transit Administration
## Post Certification

<table>
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<th>Investigative &amp; Enforcement Authority</th>
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<td>Varied from state to state</td>
<td>Has investigative and enforcement authority with respect to the safety of rail fixed guideway public transportation systems of the eligible State</td>
<td></td>
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<tr>
<th>Triennial Auditing</th>
<th>49 CFR Part 659</th>
<th>49 CFR Part 674</th>
</tr>
</thead>
<tbody>
<tr>
<td>On-site reviews of rail transit agencies at least every three years</td>
<td>Audits, at least once triennially, the compliance of the rail fixed guideway public transportation systems in the State</td>
<td></td>
</tr>
</tbody>
</table>

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<tr>
<th>Annual Reporting</th>
<th>49 CFR Part 659</th>
<th>49 CFR Part 674</th>
</tr>
</thead>
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<td>Annual certification of compliance submitted to FTA.</td>
<td>Provides, at least once annually, a status report on the safety of the rail fixed guideway public transportation systems the State safety oversight agency oversees to FTA; the Governor of the State; and the board of directors of the rail fixed guideway agency.</td>
<td></td>
</tr>
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</table>
Certification Status

As of June 12, 2018:

• Fourteen states have received certification
• Thirteen states have submitted certification applications that are under review by the FTA
• One state have the submitted their application, but it has yet to be determined complete by the Certification Team
• Three states have completed all prerequisite steps but have not yet submitted a certification application to FTA
# Certification Status Table

Status table tracks each state’s certification status

- Updated as new states are certified

Inquiries?

- Contact state’s SSO manager
# Resources to Help You Prepare Now

## Read, watch, and participate

- Review FTA’s SMS Framework
- Visit FTA’s YouTube page to view previous webinars
- Participate in webinars explaining new regulations and guidance
- Read our newsletter, *TSO Spotlight*

![Image of newsletter](image.jpg)

## Get trained

Register for Transit Safety Courses:

- Contact the Transportation Safety Institute (TSI) at **transit@dot.gov** or (405) 954-3682
- The SMS Awareness eLearning course is available on TSI’s Learning Management System
  - [https://tsi-dot.csod.com](https://tsi-dot.csod.com)
  - "Bus/Rail Transit Safety and Security"

## Sign up to receive updates

Sign up for GovDelivery:

- FTA announcements and new documents
- [https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new](https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new)

Questions? Comments? Email us at **FTASafetyStakeholder@dot.gov**
Questions?

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