



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



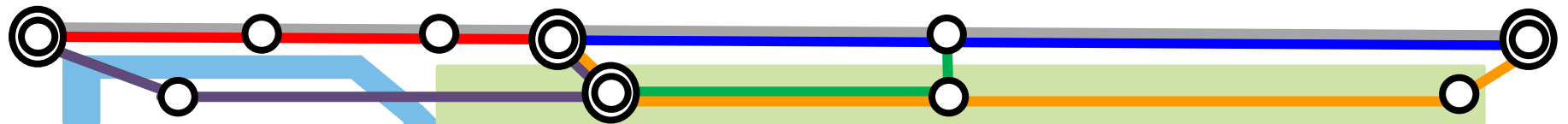
State Safety Oversight Reporting Tool (SSOR) Annual Report

Myesha Stephney

Program Analyst, Office of Safety Review

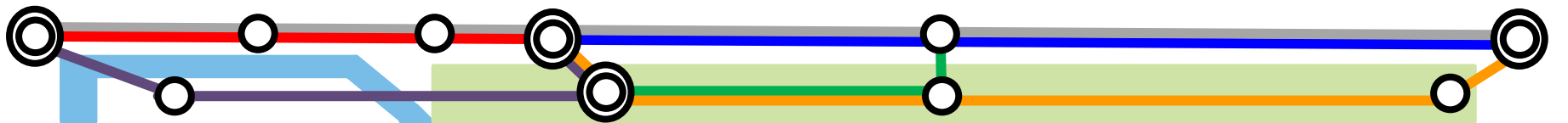
Office of Transit Safety and Oversight

Federal Transit Administration



Overview

- Annual Reporting Requirement
- Challenges and Resolutions
- Lessons Learned from 2021 Annual Report
- 2022 Annual Report Submissions
- SSOR Data Uses

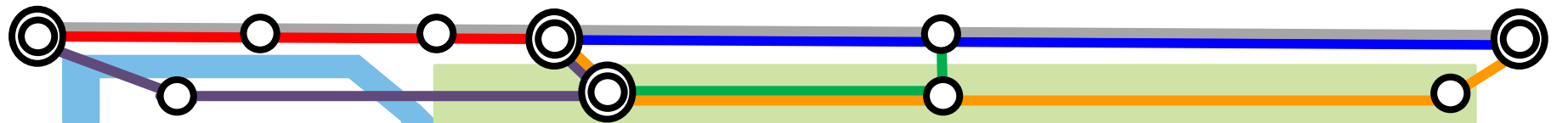


Annual Reporting Requirement

Part 674.39 (a) State Safety Oversight Agency annual reporting to FTA

On or before March 15th of each year, an SSOA must submit the following material to FTA:

1. The SSO program standard adopted in accordance with Part 674.27, with an indication of any changes to the SSO program standard during the preceding twelve months;
2. Evidence that each of its employees and contractors has completed the requirements of the Public Transportation Safety Certification Training Program, or, if in progress, the anticipated completion date of the training;
3. A publicly available report that summarizes its oversight activities for the preceding twelve months, describes the causal factors of accidents identified through investigation, and identifies the status of corrective actions, changes to Public Transportation Agency Safety Plans, and the level of effort by the SSOA in carrying out its oversight activities;
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 Part 674.31;
5. Evidence that the SSOA has reviewed and approved any changes to the Public Transportation Agency Safety Plans during the preceding twelve months; and
6. A certification that the SSOA is in compliance with the requirements of this part.

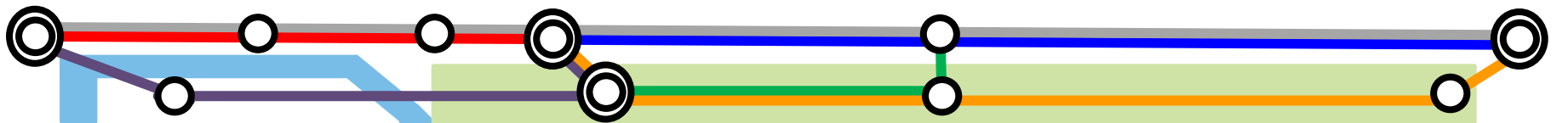


Reporting Method

Part 674.39 (b) These materials must be submitted electronically through a reporting system specified by FTA

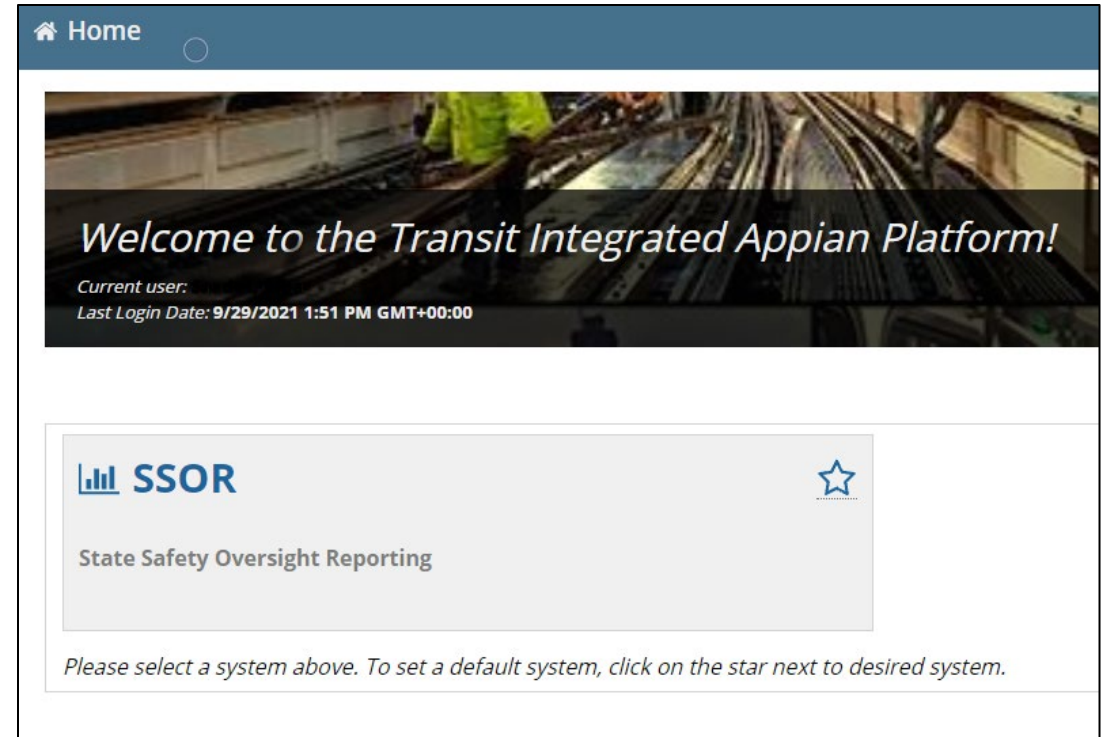


FTA created SSOR to fulfill this requirement

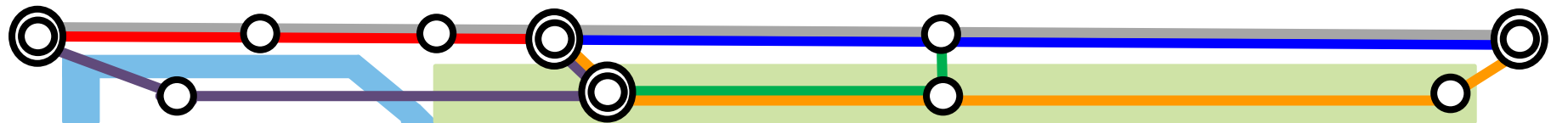


SSOR Overview and Primary Functions

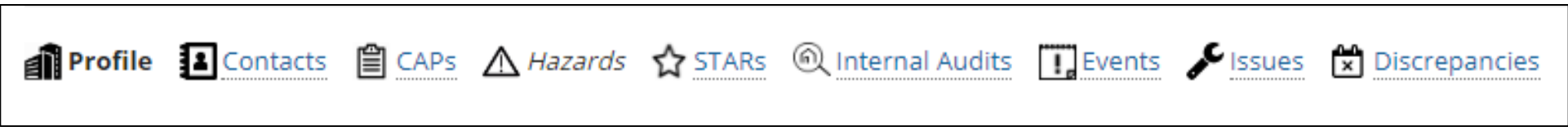
- Serves as FTA's source of contact information for SSOA personnel and rail transit agency safety staff
- Allows for SSOAs to document SSO Program activity throughout the year
- Provides SSOAs with access to current and historical SSO Program data for their agency



<https://faces.fta.dot.gov/suite/>



SSOR Modules and Data



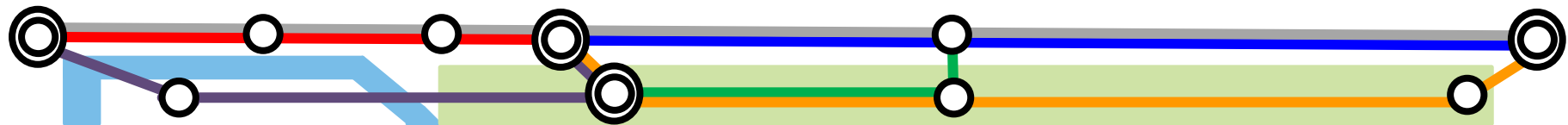
Reporting Modules

- Profile
- Contacts
- Corrective Action Plans
- Hazards*
- SSO Triennial Audit of the RTA
- Internal Audits
- Events

* Reporting currently disabled

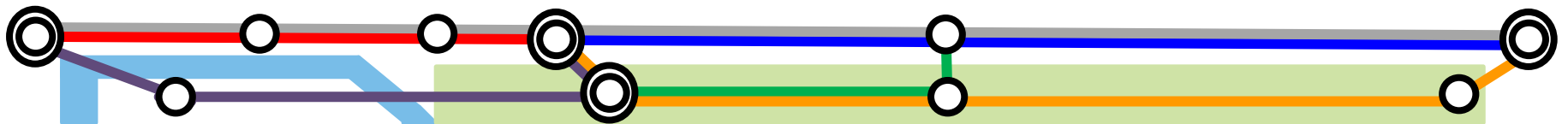
Validation Modules

- Issues
- Discrepancies



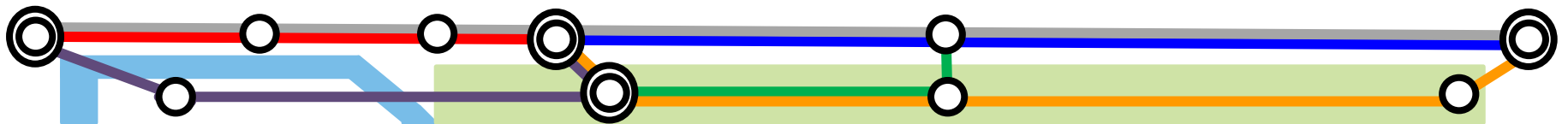
Required SSOA Documents

- Program Standard
- Technical Training Plan
- Annual Safety Status Report to Governor, FTA, and RTA Board of Directors (or Equivalent Authority)
- Certification of Compliance
- Organizational Chart
- Financial/Spend Plan (covers 3-5 years)



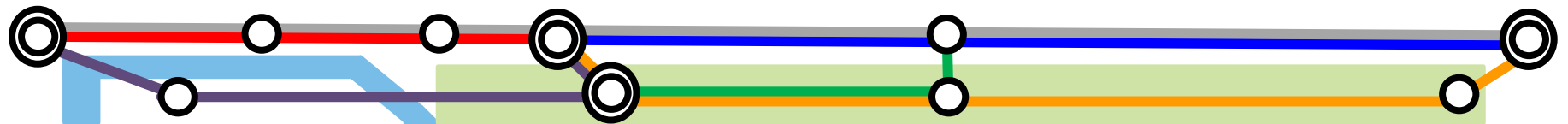
Required RTA Documents

- Agency Safety Plan (ASP)
- ASP Approval Letter



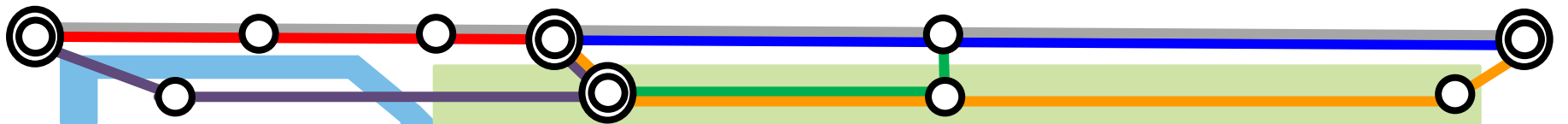
Data in SSOR – Events

- SSOAs are required to provide investigation data on events that meet a Part 674 accident threshold (“reportable” events)
- SSOR collects the following investigation information from SSOAs:
 - SSOA ID
 - Confirmation of Receipt of Two-Hour Notification
 - Investigation Conducted By
 - Confirmation investigation report was adopted
 - Report (upload)
 - Probable Cause



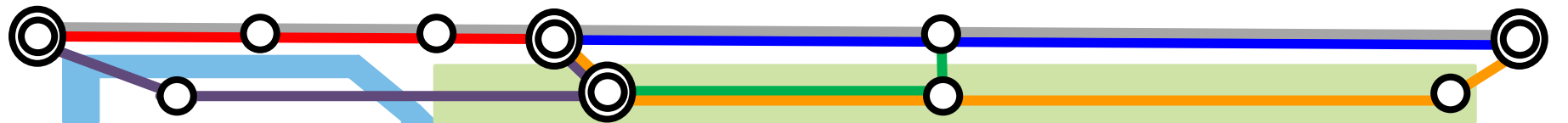
Data in SSOR – Events

- The following information is imported from the RTA NTD reports as “read-only” data that the SSOA can review:
 - NTD Event ID
 - NTD Event Information
 - Description
 - Reporter Mode ID
 - Event Date/Time
 - Address
 - Event Type
 - Location
 - Rail Alignment
 - Was there a Tow-away?
 - Was there Significant Damage?
 - Vehicles and Persons Involved
 - Total Fatalities
 - Total Injuries
 - Mode



Challenges – Event Investigation Data

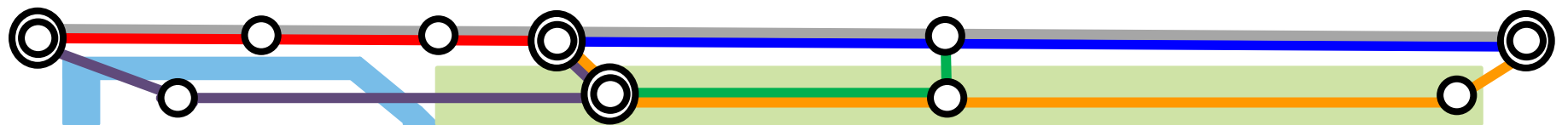
- SSOA Annual Reports since 2019 did not include probable cause determinations for all applicable events
 - Some SSOAs reported that event investigations were not finalized by the March 15 submission deadline
 - In some cases, an RTA's late NTD event submissions prevented an SSOA from seeing the applicable record in SSOR by the March 15 deadline



Resolution – SSOAs and RTAs

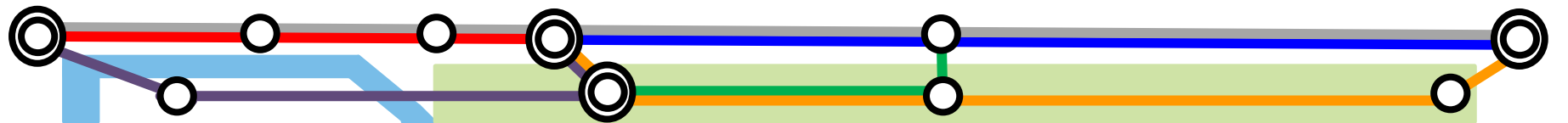
Data Updates

- FTA will reach out to the SSOAs to obtain missing event investigative data for events from 2019 – 2021
 - SSOAs should work with FTA to provide the information requested, such as probable cause determinations for these events
 - RTAs should work with their SSOAs to provide any information, such as final investigation reports, that the SSOA requests as part of this requirement



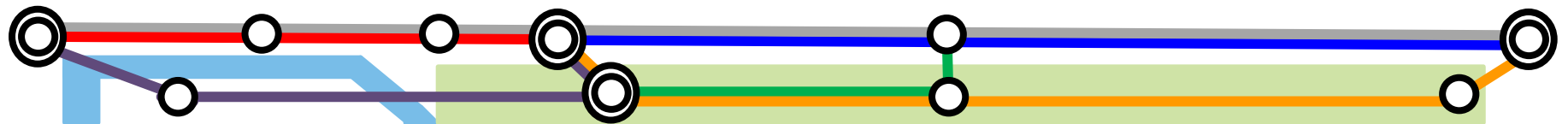
Challenges – Corrective Action Plans

- SSOAs are required to oversee CAPs, and provide FTA CAP tracking information as part of its Annual Report in the SSOR
- SSOAs must provide CAP:
 - Agency
 - Source Type
 - Effective Year
 - Department
 - Approved
 - Proposed Implementation Date
 - Issue Verified
 - Actual Implementation Date
 - Status
 - Issues Preventing Resolution



Challenges – Corrective Action Plans

- FTA observed that some SSOAs have:
 - CAPs that they are actively overseeing and tracking at their RTAs that are not listed in the SSOR
 - Open-Overdue CAPs with past-due implementation dates
 - Open-Overdue CAPs with no “Issues Preventing Resolution” listed for the CAP



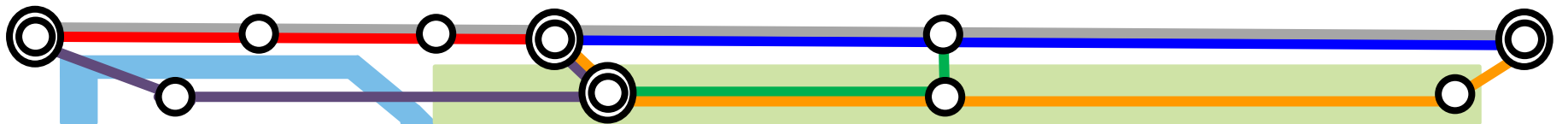
Resolution – SSOAs

Communication

- SSOAs should communicate regularly with its RTA(s) to obtain the most updated CAP tracking logs and statuses
- SSOAs and RTAs should work together to determine the best CAP implementation date

Data Updates

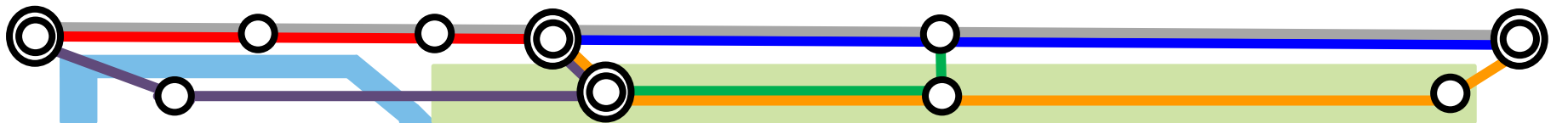
- SSOAs should make updates to CAP proposed implementation dates in the SSOR upon their approval



Resolution – RTAs

Communication

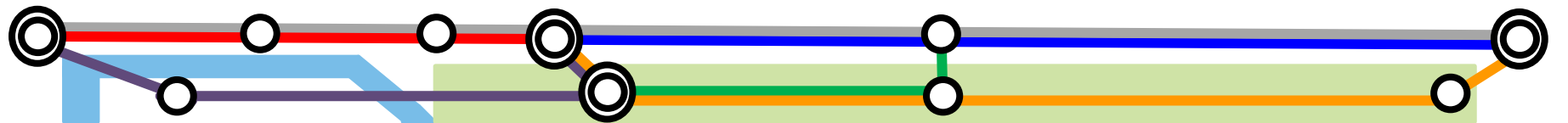
- RTAs should communicate regularly with its SSOA to provide updates on its CAP logs, CAP actions, and efforts towards closing open CAPs
- RTAs should work with their SSOA to confirm timeframes for CAP closure, and provide continuous information on issues preventing CAP resolution to its SSOAs



Challenges – Event Reporting

Notification vs. Reportable

- An SSOA receives a two-hour event notification from their RTA, and then does not see the event import into the SSOR.
- Typically, this is because:
 - The RTA made the two-hour notification based on information available at the time and upon further investigation and by the time they submit their report to the NTD, the RTA updates event details;
 - Some SSOAs have two-hour notification requirements from their RTAs that go beyond the minimum Part 674 requirements; or
 - The RTA may have made an error completing the NTD event form and the resulting NTD event record does not meet a Part 674 threshold



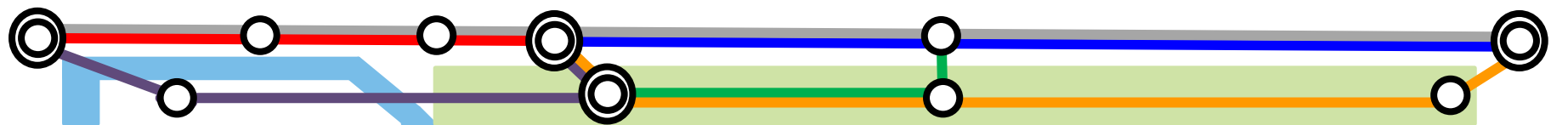
Resolution – SSOAs

Communication

- SSOAs should communicate regularly with their RTAs
- If event details in SSOR do not match the SSOA’s understanding of the event, the SSOA should contact their RTA and ask necessary follow-up questions
 - The SSOR includes the latest NTD data submitted by RTAs, and the SSOAs have access to the information year round

Data Access

- SSOAs may be granted “Safety Viewer” access to an RTA’s NTD safety forms
 - SSOAs should contact their RTA’s NTD User Manager and request “Safety Viewer” access
- Safety Viewer access provides read-only access to an agency’s NTD safety data and will allow an SSOA to review event data reported by the the RTA



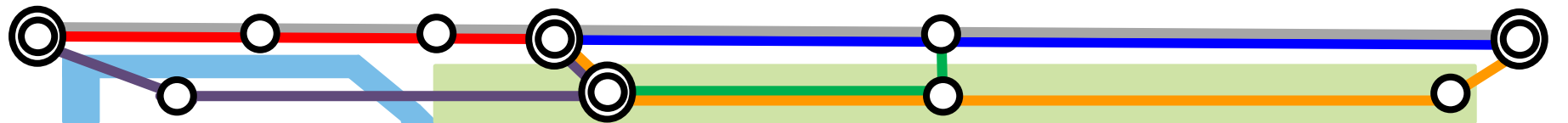
Resolution – RTAs

Communication

- RTAs should communicate regularly with their SSOAs and coordinate efforts on the events that occur at the RTA
- The RTA should ensure that their NTD reporters are creating, editing and submitting their reports accurately
- If there is a change in the event details found by the RTA after its initial two-hour notification to the SSOA, FTA and NTSB (if applicable), the RTA should inform the SSOA

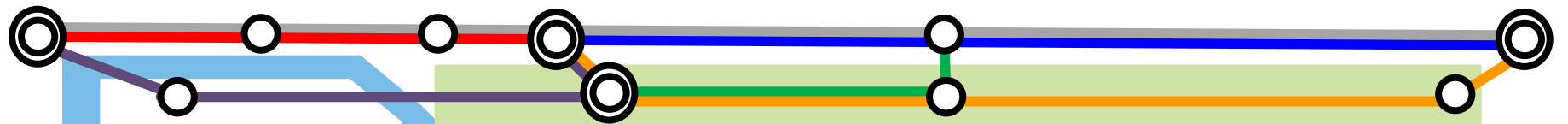
Data Access

- RTA NTD User Managers may grant NTD “Safety Viewer” access to individuals from the SSOA



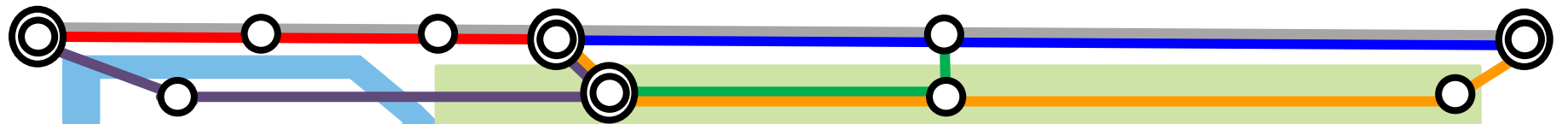
How FTA Utilizes the SSOR

- The SSOR is FTA's official system of record for the Annual Reports, but it is also used for other FTA efforts, including:
 - Data to support the Rail Safety Data Report (RSDR) and other analyses
 - Collect data requests from Safety Advisories
 - FTA's SSO Audit Program
 - Modes in Engineering information
 - SSOA and RTA contact information
 - FTA SSO PM monitoring and communication with the SSOAs



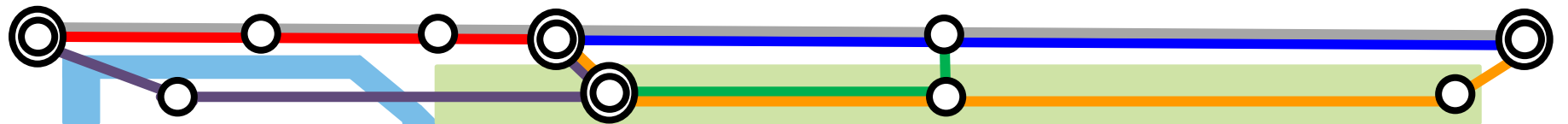
2021 Annual Reporting Lessons Learned

- FTA IT HelpDesk SSOR tickets received:
 - 2020 – 55 tickets
 - 2021 – 17 tickets
- Less user error, more system familiarization
- FTA meets regularly to discuss enhancements, fixes and guidance to enhance the user experience



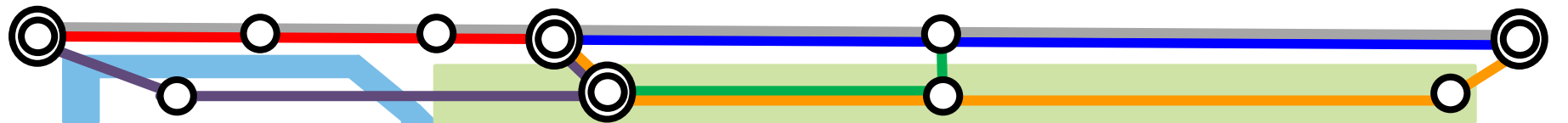
2021 Annual Reporting Lessons Learned

- Earlier start on Annual Report
 - 69% of SSOAs submitted their 2021 Annual Report the day before or on the March 15th deadline
- Communication between the SSOA and RTA to correct event discrepancies or missing information collected in the SSOR
- System Familiarization
 - User Guide
 - Training
 - Using SSOR more frequently



2021 Annual Report

- FTA expects for the SSOAs to provide all of their oversight effort and information in their Annual Report, including:
 - final investigation reports
 - event causal information
 - corrective action plan information
 - final RTA Internal Review reports
 - final SSOA Triennial Audit of the RTA reports
 - updated RTA ASPs
 - current RTA modes in engineering
 - up-to-date contact information
- FTA would like to thank the SSOAs for submitting their Annual Reports by the March 15th deadline for the past two years

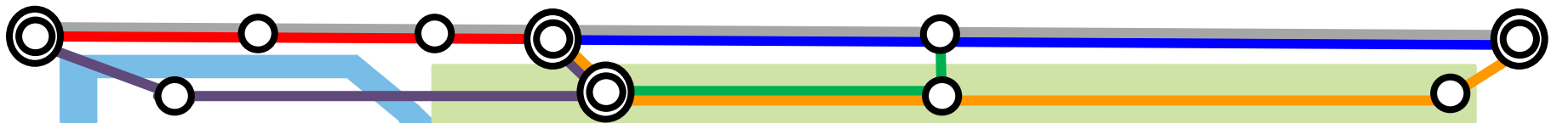


SSOR Resources

FTA's SSOR website

<https://www.transit.dot.gov/regulations-and-programs/safety/state-safety-oversight-reporting-tool>

- For SSOAs:
 - SSOR Help Page
 - SSOR User Manual
 - SSOR FAQs
 - SSOR Refresher Training
 - Stay tuned for additional SSOR training and webinars



SSOR Best Practices

- SSOR Available All Year
- Early January Start
- Review User Manual
- Attend SSOR Trainings
- Submit Annual Report Earlier
- Provide Feedback on Improvements to FTA
- Use SSOR HelpDesk and Office Hours
- Communicate frequently

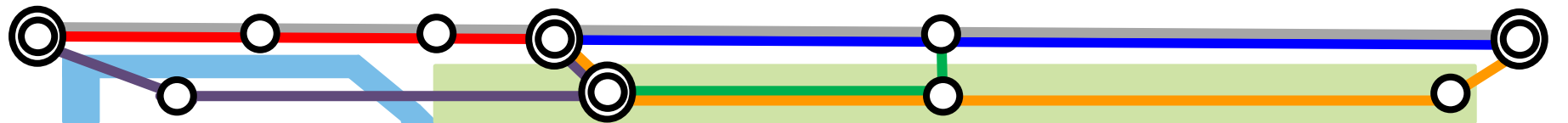
Friendly Reminder

2022

Annual Report Deadline:

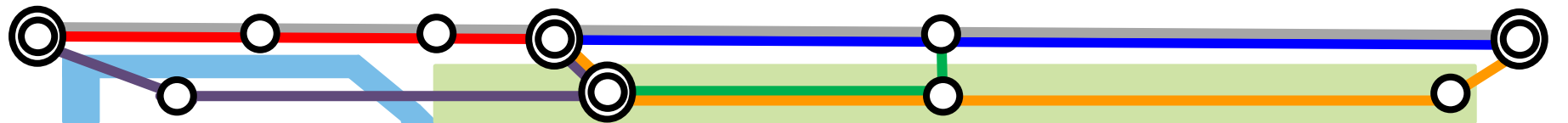
Wednesday

March 15, 2023



SSOR Points of Contact

SSOR Assistance Required:	Please Contact:
Questions about the SSO Program	FTA SSO Program Manager
Annual Reporting Requirements	FTA SSO Program Manager
Events Missing or Incorrect in SSOR	RTA/NTD Reporter
Issues Created in SSOR	FTA SSO Program Manager
Technical/IT Issues	SSOR HelpDesk [FTAITHelpDesk@dot.gov]
General SSOR System	Myesha Stephney [Myesha.stephney@dot.gov]



Contact Information

Myesha Stephney

Program Analyst, Office of Safety Review

Office of Transit Safety and Oversight

Federal Transit Administration

myesha.stephney@dot.gov

202-493-0507