



# 2023 FTA JOINT STATE SAFETY OVERSIGHT AND RAIL TRANSIT AGENCY WORKSHOP

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NOVEMBER 14 – 16, 2023 | ST. LOUIS, MISSOURI





# Session 4

## Risk-Based Inspection Program

# Risk-Based Inspection Program Update

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Office of Safety Review  
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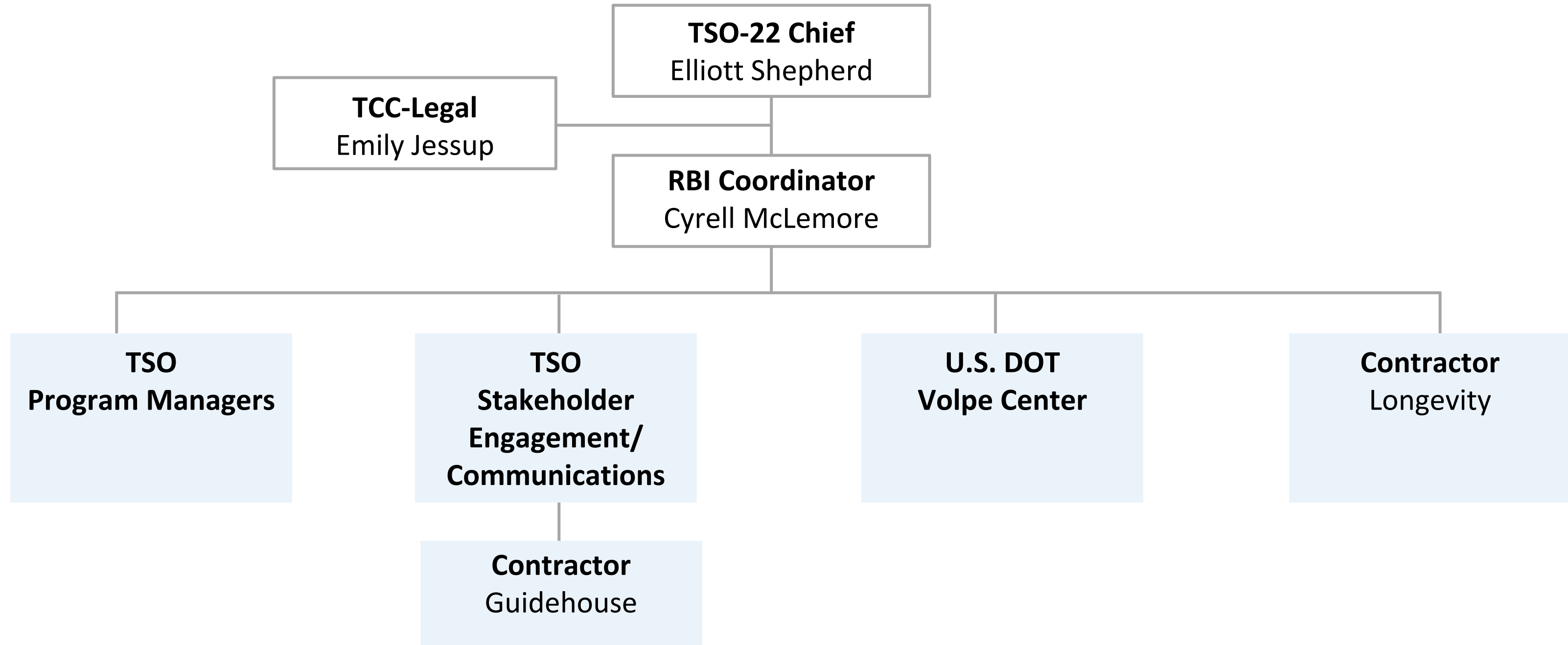
**Emily Jessup**

*Attorney-Advisor*  
Office of Chief Counsel  
Federal Transit Administration

# Meet the RBI Team



# Meet the RBI Team



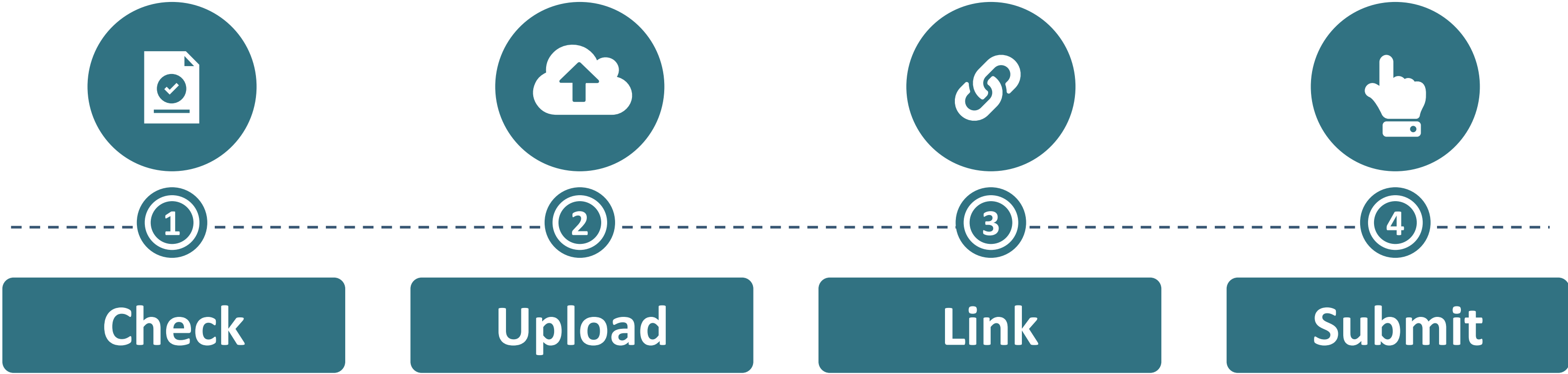
# RBI PROGRAM DEVELOPMENT DOCUMENTATION

## Submission & Review

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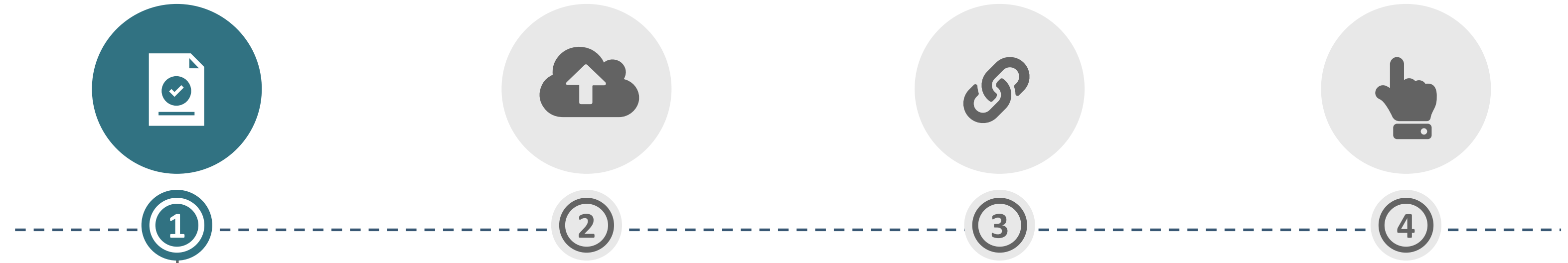


# Submission Process





# Submission Process



## Check

Check your documents against the RBI program Development Checklist.

CATEGORY 1: AUTHORITY TO PERFORM RISK-BASED INSPECTIONS		
<b>SSOA Required Action # D001</b>		
Submit Program Standard and relevant documentation that demonstrate the SSOA has the authority and capability to enter the facilities of each RTA that the SSOA oversees.		
Checklist Item	Considerations	
<input checked="" type="checkbox"/> 1.1 Does the Program Standard <b>explicitly state</b> that the SSOA has the <b>authority to access</b> each RTA they oversee?		
<input checked="" type="checkbox"/> 1.2 Does the Program Standard demonstrate that the SSOA has the <b>capability to access</b> each RTA they oversee?	<b>1.2.1</b> Capability includes physical access to the facilities (e.g., an access key card) and the necessary training and requirements to safely access facilities (e.g., PPE, ROW training). <b>1.2.2</b> The SSOA should demonstrate capability to access the entire RTA system, including a process to obtain access. <ul style="list-style-type: none"> <li>SSOAs should be able to demonstrate primary access to the majority of the facilities (rail control center, maintenance facility, storage facility, etc.)</li> <li>Any restricted areas that require an attendant (e.g., due to safety reasons) should be noted.</li> </ul>	



# Submission Process

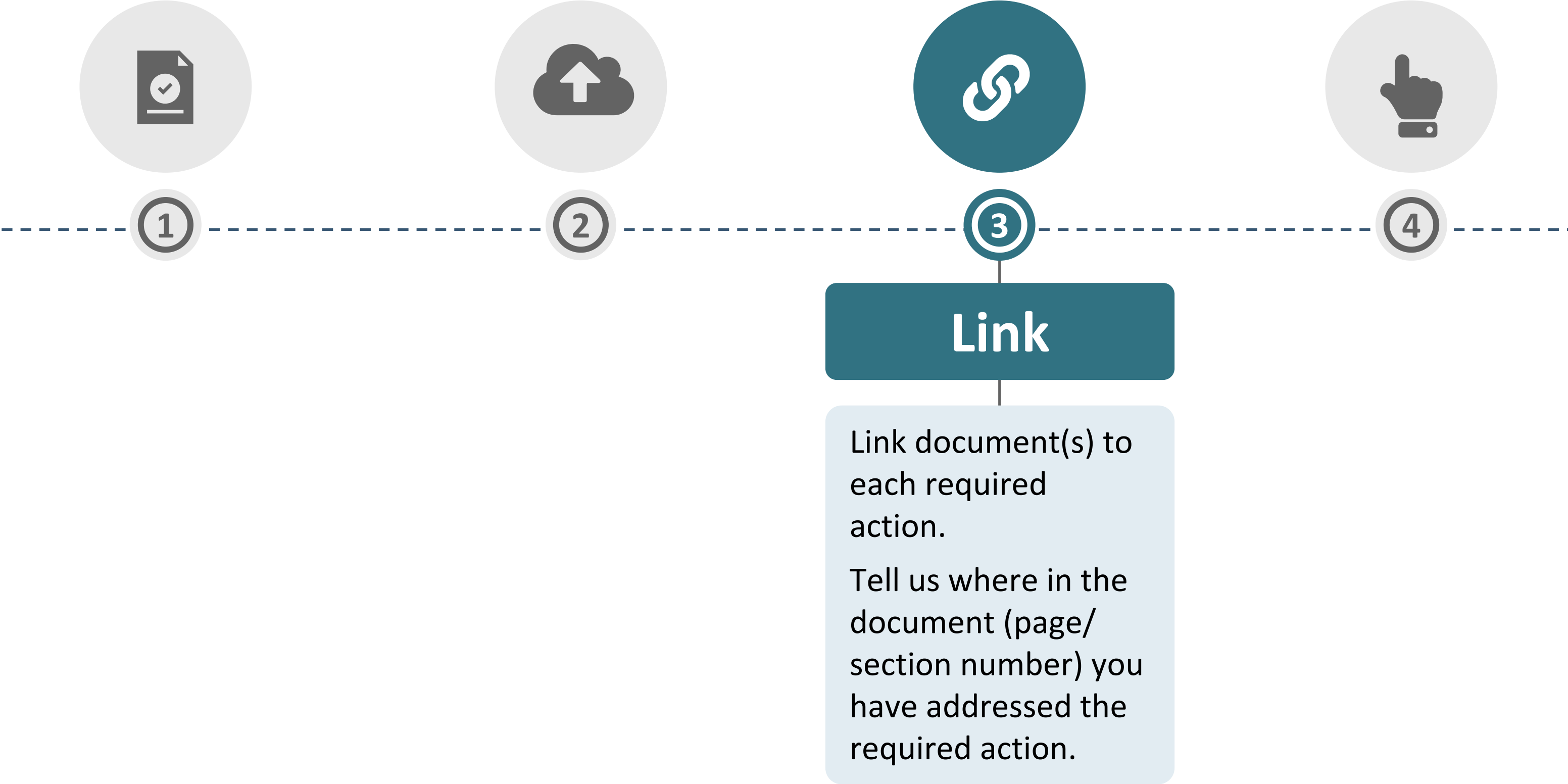


## Upload

Upload all documents to the online Special Directive Monitoring & Tracking Tool (SDMTT).

- ### MINIMUM REQUIRED DOCUMENTS
- Program Standard
  - Agency Safety Plan from each RTA that you oversee
  - Workload Assessment\*
  - Technical Training Plan\*
  - Governing documents from SSOA legal counsel describing authority
- \* recommend using FTA-provided template*

# Submission Process



# Submission Process





# RBI PROGRAM DEVELOPMENT DOCUMENTATION

# Submission Demonstration

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# Review Process



## **Duration: about 3 months**

- Time frame will pause if FTA contacts SSOA for more information



## **Required actions guide the review process**



## **FTA will contact the SSOA if:**

- Documents are missing or additional information is needed



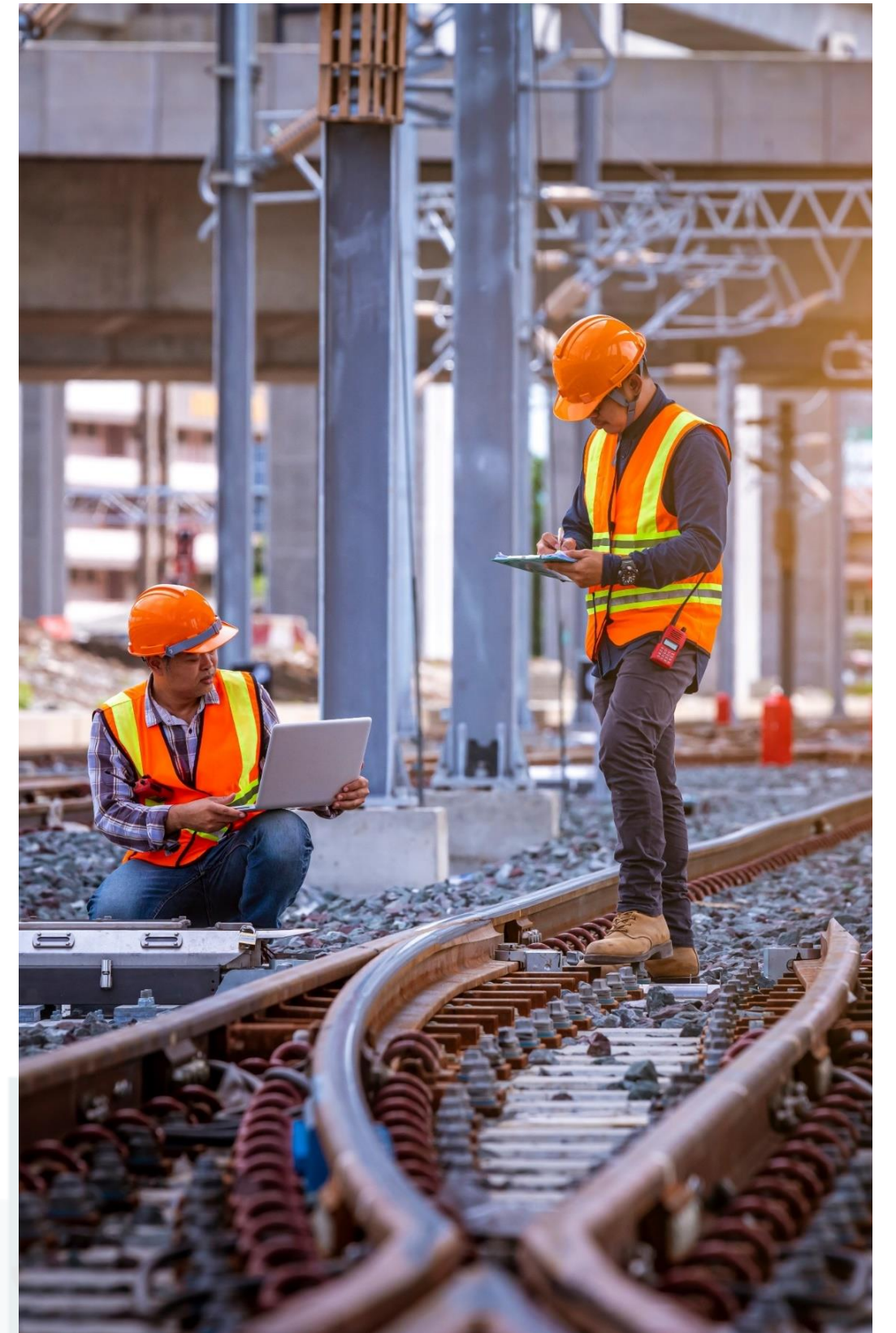
## **FTA will issue the SSOA an RBI program development approval letter**



## **Within 1 year from the approval date, the SSOA must submit documentation showing at least 6 months of RBI implementation**

# Prepare for Implementation Now

- Notify FTA of barriers to obtaining legal authority
- Consider new staffing needs; recruit and train early
- Expect the best, but prepare for the worst
  - Develop staffing contingency plans
  - A limited number of contractors serve multiple SSOAs





# The Road Ahead

- By October 2024, all SSOAs will be implementing their RBI programs
- SSOAs will move through the special directive timeline at different rates
- FTA will support you no matter where you are in the special directive timeline
- Proactively sharing experiences will help everyone continue to raise the bar



# Stay Informed



## Submit Questions

Email: [FTA-RBI@dot.gov](mailto:FTA-RBI@dot.gov)



## Access Resources

<https://www.transit.dot.gov/RBI>

