

FTA

FEDERAL TRANSIT ADMINISTRATION

2016 SSO Program Workshop

49 CFR Part 674 Certification FTA's Audit Program

Juan Morrison
Program Analyst
Office of Safety Review
Office of Transit Safety and Oversight
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Summary of Cycle 5 Audits Outline

- Summary of Cycle 5 Audits
 - Background
 - Summary
 - Top-5 Findings
- Cycle 6 Audits Process
 - Part 674 Requirements
 - Revised Audit Manual
 - Next Steps

Summary of Cycle 5 Audits Background

- 49 CFR Part 659.7 requires FTA to monitor and evaluate compliance of the State Safety Oversight (SSO) agencies with FTA's SSO rule
 - In 1999, FTA established a goal of meeting this requirement through a three-year audit program
 - FTA has not always met this goal, but has worked to prioritize audits as resources are available

Summary of Cycle 5 Audits Summary

- FTA's cycle 5 audits to be completed during CY 2016
 - Just two States are subject to the Cycle 5 audit process
- FTA's Cycle 5 audits included on-site reviews of CWP and U.S.C. 5329 requirements, but did not document in audit report
 - Audit reports generally identified only findings
 - Early audit reports that issued U.S.C. 5329 related findings will be removed

Summary of Cycle 5 Audits

Top-5 Findings

- 1 SSPP elements not sufficiently implemented
- 2 Hazards are not sufficiently reported
- 3 CAPs not sufficiently tracked and verified
- 4 Accidents not reported or not sufficiently investigated
- 5 Program Standard must be updated

Cycle 6 Audit Process: Requirements

- Part 674.11:
 - Within three years of April 15, 2016, every State that has a RTA must have a SSO program that has been approved by the Administrator.
 - FTA will audit each State's compliance at least triennially, consistent with 49 U.S.C. 5329(e)(9).

Cycle 6 Audit Process: Audit Manual

- TSO to revise the SSO audit manual for:
 - Support Part 674 Requirements
 - Including auditing Program Standard
 - Requirements of FTA's Public Agency Safety Plan Rule
 - FTA's audit manual to incorporate Part 673 requirements (upon release of rule)
 - Evaluate SSOA's implementation of new SSO Program Application
 - Assess critical elements from SSOA application including enforcement authority, legislation, resource, training, grant requirements, etc.

Cycle 6 Audit Process: Audit Manual

- New FTA audit manual to maintain effective practices:
 - Sufficient notification to SSOAs
 - Including Regional Offices
 - Comment period for draft report
 - Tracking audit findings to resolution

Cycle 6 Audit Process: Next Steps

- Review Public Agency Safety Plan (Part 673) and determine audit scope
- Develop FTA's audit manual
 - Share audit manual with SSOAs for comment
- Develop FTA's SSO audit schedule

Questions?

Juan Morrison
Program Analyst
Office of Safety Review
Office of Transit Safety and Oversight
202.366.7005
Juan.Morrison@dot.gov