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2019 Joint SSO and RTA Workshop

State Safety Oversight Program
Part 674 Audit Overview

FTA SSO Program Managers
Office of Transit Safety and Oversight
Federal Transit Administration

September 25, 2019

U.S. Department of Transportation
Federal Transit Administration

Overview

- TSO-20 Office of Safety Review Update

- SSO Audit Process and Schedule

- 5329 SSO Formula Grant Funds

- Questions

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OFFICE OF SAFETY REVIEW

Office of Safety Review Program Manager Assignments

State Assignments				
Ruth Lyons	Maria Wright	Joe Powell	Tim Braxton	Lauren Tuzikow
Georgia	New Jersey	Arkansas	Arizona	California
Hawaii	New York	DC FEMS	Colorado	Missouri
Washington	Utah	Louisiana	Florida	Oregon
		Maryland	Illinois	Puerto Rico
		Massachusetts	Michigan	Tennessee
		Minnesota	North Carolina	Virginia
		Ohio	Oklahoma	WMSC
			Pennsylvania	West Virginia
			Texas	Wisconsin

# PART 674 SSO AUDIT PROCESS OVERVIEW

Overview

- SSO Audit Program Background

- FTA Audit Team

- SSO Cycle Schedule for 2019/2020

- SSO Audit Process

- SSO Audit Review Areas

SSO Audit Program Background

- 49 C.F.R. § 674.11 requires FTA to monitor and evaluate compliance of the SSO agencies with FTA's SSO rule

  - The SSO audit provides an independent, structured, and documented process to verify whether state programs address criteria outlined in FTA regulations

- Each State's assigned Program Manager will lead the audit effort

FTA Audit Team
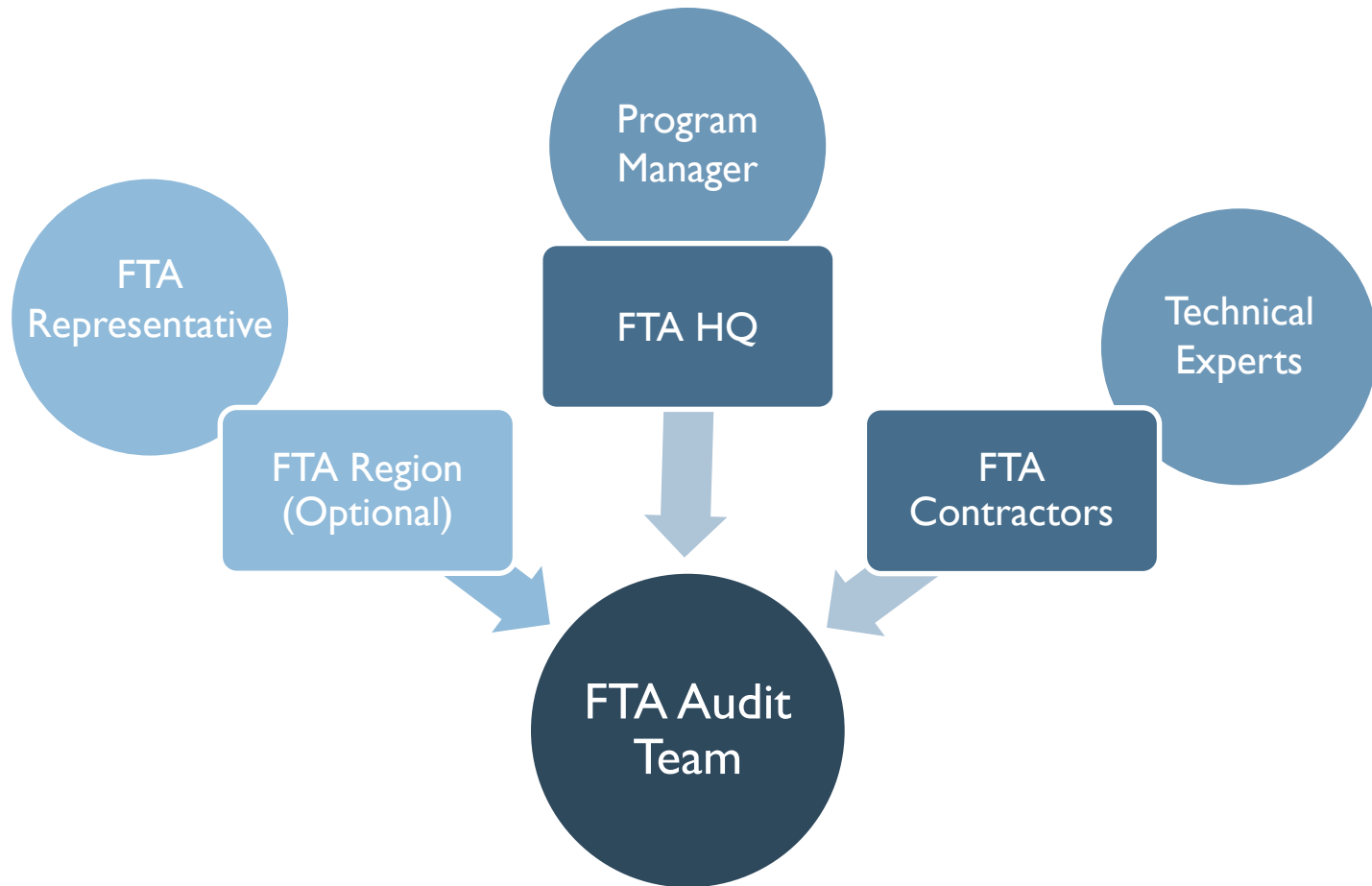
SSO Audit Cycle

The following table shows the proposed triennial audit schedule for the 2019 cycle and beyond:

2019*	2020 (TBD)	2021 (TBD)
Colorado	Oregon	Virginia
Utah	District of Columbia	Arizona
Maryland	Michigan	Hawaii
Washington	New Jersey	North Carolina
Massachusetts	Pennsylvania	Illinois
Texas	Minnesota	Florida
Georgia	Tennessee	Louisiana
Ohio	Missouri	Wisconsin
	Puerto Rico	Arkansas
	West Virginia	California
	New York	Oklahoma
		WMSC

*Exact dates are determined through further coordination with the SSOA

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SSO Audit Phases

There are six audit phases:

1. Scheduling
2. Scoping
3. On-Site Activities
4. Draft Audit Report
5. Final Audit Report
6. Monitor and Close Out Corrective Action Plans

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Phase 1: Scheduling

- FTA Audit Scheduling

  - Audit Coordination will occur between FTA and SSOA to determine the upcoming schedule

  - The FTA Audit Team will work internally to limit scheduling conflicts and reduce "audit fatigue"

  - This will ensure SSOA personnel are available for the on-site portion of the audit

FTA Audit Scheduling

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Phase 2: Scoping

- FTA sends Audit Notification Letter to SSOA

  - Includes list of documents requested for the audit

- SSOA submits documentation to FTA Audit Team

- FTA Audit Team reviews documentation and identifies any additional documents that may be required

- FTA Audit Team develops Entrance Briefing for the on-site audit activities. This includes initial observations, schedule of activities, and audit focus areas

Audit Notification Letter Sent

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Submit Documentation

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FTA Audit Team Reviews Documents

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FTA Audit Team Develops Entrance Briefing

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Phase 3: On-Site Audit Activities

- The on-site audit activities are led by the TSO-20 Program Manager with support from the FTA Audit Contractors. These activities consist of the following:

  – Conduct Entrance Briefing and review schedule of activities

  – Conduct interviews, record reviews, and field verification activities

- FTA Audit Team holds the Exit Briefing with SSOA and RTA

  – Present observations and preliminary findings

  – Explain post-audit process

Entrance Briefing

On-Site Audit Activities

Interviews and Record Reviews

Observations

Exit Briefing

Phase 4: Draft Audit Report

- Draft audit report is developed and forwarded to the SSOA

- SSOA reviews draft audit report for accuracy

Draft Audit
Report
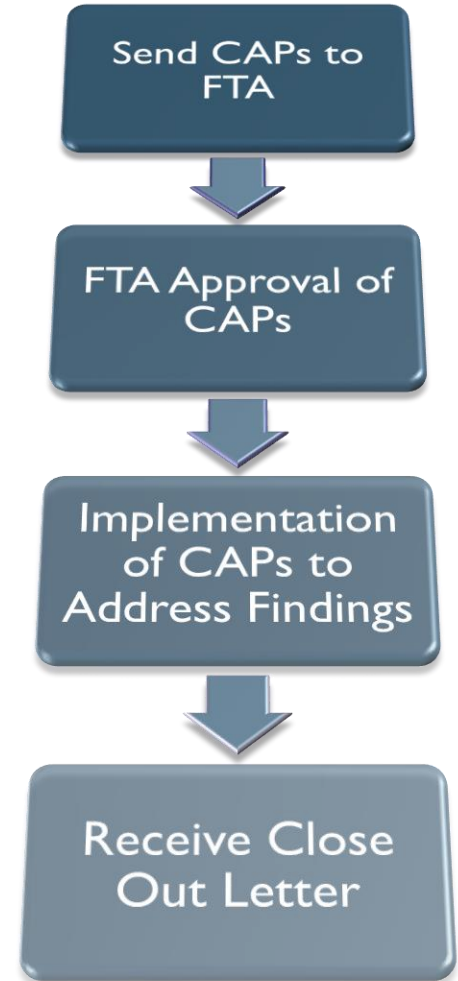
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Review Audit
Report

Phase 5: Final Audit Report

- If applicable, the TSO-20 Program Manager revises draft audit report based on comments from the SSOA Program Manager

- The final audit report is sent to the SSOA

Review Audit Report

Final Audit Report

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Phase 6: Monitor and Close Out Corrective Action Plans

- The SSOA Program Manager sends their Corrective Action Plans (CAP) to FTA to address findings in the Audit Report

  – The initial CAP is submitted to FTA by the SSOA within 60 calendar days of the final audit report

- The FTA Audit Team reviews and approves proposed CAPs

- Once all CAPs have been implemented and findings are resolved, FTA will send a close out letter acknowledging that all CAPs are closed

Send CAPs to FTA

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FTA Approval of CAPs

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Implementation of CAPs to Address Findings

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Receive Close Out Letter

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SSO Audit Review Areas

The SSO triennial audit process involves soliciting the SSOA's responses to specific questions in the following program review areas:

- **Program Management** – This section assesses the SSOA's compliance with agency independence, general program requirements, and authority

- **Grant Program** – This section assesses the SSOA's Grant Program, including the manner in which the SSOA uses these funds to execute its SSO Program

- **Program Standard** – This section assesses the SSOA's Program Standard with the requirements set by the regulations

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SSO Audit Review Areas

- **Staffing and Qualifications of SSO Personnel and Contractors** – This section assesses the SSOA's and their Contractor's compliance levels of staffing, training, and qualifications in addition to ensuring RTAs have appropriate levels of staffing, training, and qualifications

- **SSPP/PTASP** – This section assesses the SSOA's compliance in overseeing RTAs' System Safety Program Plan (SSPP) or Public Transportation Agency Safety Plans (PTASPs)

- **RTA Safety Reviews** – This section assesses the SSOA's compliance in overseeing RTA safety reviews

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SSO Audit Review Areas

- **Investigations and Reviews** – This section assesses the SSOA's compliance in overseeing accident investigations and reviews

- **SSOA Triennial Audits** – This section assesses the SSOA's compliance in auditing RTAs every three years to its safety plan

- **Corrective Action** – This section assesses the SSOA's compliance in overseeing the RTAs' corrective action processes and procedures

- **Annual Reports** – This section assesses the SSOA's compliance in sending annual reports to the FTA, Governor, and RTA Board of Directors summarizing oversight activities

5329 SSO FORMULA GRANT

Common Grant Activities

Eligible

- ☑ In-State and out-of-State training and travel

- ☑ Training (for SSO personnel) taken at the rail transit system

- ☑ Staff wages and payments to contractors

- ☑ Vehicles, equipment, or information systems

Not Eligible

- ☒ Oversight of other (non-rail) transit modes

- ☒ Rail transit system operations, safety, or maintenance expenses

- ☒ Training for rail transit system personnel

- ☒ Expenses that benefit the rail transit system

Grant Management

- Recipients have the year of apportionment plus two years to come in for their funds

- Once award funds are past the period of availability, they are lapsed funds which are no longer available to be awarded

Post Award and Reporting

After a grant is awarded, States must submit quarterly Federal Financial Reports and Milestone Progress Reports.

- See the most recent version of FTA's Award Management Circular 5010.1E https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/award-management-requirements-circular-50101e or contact your regional office for details.

- Note: all project expenditures, whether paid for with Federal award money or local matching funds, must comply with Federal requirements, including civil rights.

Grant Management Tips

- Identify available funds in existing awards before applying for new funds

- Spend oldest funds first for on-going expenses such as program administration

- Regularly reconcile balances with those in the TRAMS

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Questions?

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