



Appendix N

Version: 10/01/2021

Process for Triennial Audits of RTA/RFGPTS

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Process for Triennial Audits of RTA/RFGPTS Safety Programs

The Part 674 approach to the RTA/RFGPTS Triennial Safety Program Audit is essentially the same as the intended full Triennial Review described in the Federal Transit Administration's (FTA) best practices document – Recommended Best Practice (RBP) for States Conducting Three-Year Safety Reviews (March 2009), <https://www.transit.dot.gov/oversight-policy-areas/sso-three-year-review-recommended-best-practices-march-26-2009-final>.

FTA's RBP (pages 4 and 5) identifies eight (8) distinct verification methods that are currently used by SSO programs during their Three-Year Safety Reviews:

- **Document Review:** Sampling the RTA/RFGPTS Safety Program Description and referenced and/or supporting procedures to ensure that each required element of the State's Program Standard and 49 CFR Part 674 is addressed.
- **Rules Review:** Sampling the RTA/RFGPTS operating rules and bulletins and maintenance rules and procedures to determine if they have been reviewed and updated on a regular basis, if they have been distributed to appropriate RFGPTS personnel as specified in the Safety Program Description, if training has been offered, and if this process has been tracked.
- **Records Review:** Sampling of the RTA/RFGPTS records for evidence of implementation of the Safety Program Description and referenced or supporting procedures. Records reviewed and/or sampled may include, but are not limited to, training records, records of employee rules compliance checks, internal safety audit reports, maintenance inspection reports, minutes of safety committee meetings, etc.
- **Interviews with Senior Management:** Discussions held with senior RTA/RFGPTS management, to assess their knowledge of the safety program, as specified in the Safety Program Description and referenced or supporting procedures, and to gauge their commitment to the safety program.
- **Interviews with Safety Personnel:** Discussions held with RTA/RFGPTS safety staff, including the CSO, to assess implementation of the safety program, to identify issues in its implementation, and to highlight areas of compliance and non-compliance with Part 674 requirements.
- **Interviews with Other Personnel:** Discussions held with other RTA/RFGPTS personnel (including a representative sample of rank and file operations and maintenance personnel) to verify their understanding of requirements specified in the Safety Program Description and referenced or supporting procedures.
- **Field Observations:** Observations and sampling conducted onsite to observe implementation of the processes and procedures described in the Safety Program Description and supporting or referenced documents, procedures and materials related to the safety program.
- **Inspections and Measurements:** Inspections and measurements conducted onsite to ensure that the infrastructure and equipment is maintained to the specifications identified in the standards, procedures, and manuals.



Each of these verification methods has specific strengths and limitations. To adequately assess implementation of each of the Safety Program Description topics, FTA believes that more than one verification method should be used.

Sampling Rate

The RBP indicates that a sampling approach should be developed, but it does not indicate what that sampling rate should be. The audit process is not expected to be 100%, and generally, the higher the sampling rate, the higher the cost will be for the Triennial Safety Program Audit. The Triennial Safety Program Audit approach described here addresses all of FTA's verification methods described in the RBP focused on the Agency Safety Plan (ASP), including the entire Safety Program Description. The ASP is focused on implementation of a transit-specific safety management system (SMS). The implementation of the SMS and the ASP (specifically the progress towards improved safety performance) should also be included in this Triennial Safety Program Audit.

The Triennial Safety Program Audit addresses compliance, and then builds on that experience to make future Triennial Audit cycles more sophisticated and effective at measuring the safety risk environment and identifying potentially unmitigated safety risk. As a focus in developing this Triennial Safety Program Audit process, there is a need to build "corporate knowledge" of the RTA/RFGPTS safety performance and safety risk environment through experience, data collection, and analysis of risk-related information. This information includes experience with investigations, internal audits, close calls/hazards, and completion of corrective action plans (CAPs).

Triennial Safety Program Audit Approach

The Triennial Safety Program Audit of the RTA/RFGPTS requires the successful completion of the following tasks, which are summarized in the following subsections:

1. Building Knowledge and Tools
2. Planning and Preparation
3. Completing On-site Activities
4. Reporting and Corrective Actions.

This Triennial safety program audit approach is intended to be transparent as well as efficient, effective, and sustainable, allowing the required activities to be completed within current grant funding levels now and for future Triennial Safety Program Audits and ongoing Safety Risk Monitoring activities (as required in Part 674).



Building Knowledge and Tools

1. **Triennial Audit Plan.** The SSO program audit team should be selected and meet to go over the preparation and analysis activities and develop the Triennial Audit Plan. Once the Triennial Audit activities commence, the Triennial Audit Plan will be used to manage schedule and resources, tracking progress of all planned activities to completion.
2. **Audit Scope.** The SSO program defines the triennial time period to match the RTA/RFGPTS three-year cycle of internal safety program audits. The SSO program triennial audit will include the current and possibly previous three-year internal safety audit cycle, so that all audits, investigations, and resolution of CAPs can be reviewed and physically checked for appropriate resolution. This audit scope is intended to be synergistic with ongoing safety risk monitoring activities.
3. **Notification and Document Request.** In the year that the triennial audit is due, the SSO program will communicate with the RTA/RFGPTS to determine an appropriate timeframe for the triennial audit. The SSO program will notify the Accountable Executive, CSO and RFGPTS management in writing for the triennial audit, at least sixty (60) days in advance of the review/audit. This notification will contain a list of pre-audit documents and procedures which are due within thirty (30) calendar days.
4. **Documentation Collection.** A list of documents will be collected to be reviewed and analyzed for the Triennial Audit. Primary documents of interest include RTA/RFGPTS programmatic and process level documents related to operations, maintenance, infrastructure and vehicle issues, and safety (and security), with a focus on the RTA/RFGPTS minimum standards for safety. Note that investigations, internal audits, and CAPs should already be collected and analyzed by the SSO program as an ongoing process, which is why there is no need to request that information here, unless some information is missing.

General Documentation List:

- a. Agency Safety Plan (ASP)
- b. System Security Plan (SSP)
- c. Organizational Chart
- d. Safety Policy Statements
- e. Operating Rulebooks
- f. Emergency Response Procedures
- g. System safety and security statistics (ASP Goals) for the most recent three-year period prior to the review.
- h. Inspection and Maintenance Manuals, including standards (this request would be targeted to the rail systems and infrastructure being audited)
- i. SOPs related to the rail systems and infrastructure being audited, including command and control
- j. Other relevant documentation, as determined by the analysis activities and discussions.



5. **Complete Document Review Verification for Triennial Audit.** Once the documentation is collected, it is reviewed and analyzed to address the requirements of the RBP for the Document Review verification method across the Safety Program Document and the ASP/SMS implementation.
6. **Collect Safety Risk Data and Analysis.** The SSO program collects significant safety information from the rail systems. The following data and information will be collected, reviewed, and analyzed to support the sampling used in the Triennial Audit.
 - a. All RFGPTS investigations, including reports and related CAPs for the previous three years, as well as the current year.
 - b. All safety program related internal audits for the current and previous three-year cycle, including all Audit Reports and CAPs. This includes the related findings and recommendations (Internal Safety Audit/Review Findings Log).
 - c. The previous Triennial Audit report and CAPs.
 - d. All Investigation and Audit CAP closure data and evidence for the previous three years.
 - e. Close Call/Safety Event/Hazard data and information for the previous three years.
 - f. The RFGPTS safety data and information analyses from the previous three years, such as from the executive safety committee meetings.
 - g. FTA Audits of the SSO program – the previous two FTA Audits. This activity will focus on the findings and recommendations directed towards the RFGPTS, and SSO program progress towards completing the corrective actions (what was determined to be an appropriate response and what was actually accomplished to close the CAPs).
7. **Complete Data Analysis to Identify High-Priority Topics for Triennial Audit.** The audit team will complete an analysis of these compiled data sets to determine the Triennial Audit sampling of topics within each of the safety program elements/topics, including the minimum standards for safety. The use of this analysis will maximize audit effectiveness and efficiency by placing priority on previously identified areas of risk, including a check for implementation and effectiveness of related open and closed CAPs. The close call or safety event data that was used for the FTA’s Safety Advisories and for Hazard data reporting will be used to focus on potential emerging risk and an opportunity to be predictive. This analysis activity will be further enhanced over time through experience and developing the Part 674 Safety Risk Monitoring capabilities. Previous safety-related events and internal audit findings will be reviewed and assessed for effectiveness of resulting changes and mitigations.
8. **Complete Rules and Records Verification for Triennial Audit.** In addition, based on the FTA RBP for the Rules and Records verification categories, the audit team will analyze the RFGPTS rules and records across all elements and topics of the safety program documents and minimum safety standards, as appropriate. Results of this part of the audit will be used to advise the rest of the Verification methods for the audit. The amount of records reviewed will be expanded in Triennial Audits over time based on lessons learned through this audit and ongoing Safety Risk Monitoring.



Planning and Preparation

9. **Progress Meeting.** The audit team will meet to review the analyses and progress through the first three Verification Categories (Documents, Rules, and Records Reviews) and preparation for the onsite portion of the Triennial Audit.
10. **Audit Template Development and Schedule.** For each of the program documentation topics or groups of topics, a template is used to document details to be checked, interviews of RFGPTS staff (and other related staff), and inspections of locations, equipment, and/or documents. The completed audit schedule should be shared with the RTA/RFGPTS at least thirty (30) calendar days in advance of the audit/review. The draft schedules are provided ahead of time to facilitate the scheduling of interviews, inspections, and documentation review. Invitations to FTA headquarters and regional offices and the Transportation Security Administration (TSA) should be made with sufficient time for them to schedule the time to attend. All of this information is a part of the Audit Plan.
11. **Coordination with the RTA/RFGPTS.** The SSO program audit team continues to communicate with the RTA/RFGPTS as the triennial audit on-site week approaches to share information about any changes, to provide the list of team members that will attend, and to update the interview times and personnel schedule for each interview/inspection. The on-site activities will be planned ahead of time, but will need to be flexible because of conflicting schedules and activities during the on-site visit.
12. **Complete Update of Triennial Audit Plan.** The Triennial Audit Plan will be a living document, providing flexibility as some activities are completed and other activities are scheduled/re-scheduled until all required Triennial Audit reviews, interviews, and inspections are completed.

Completing On-site Activities

13. **Track Access Training.** All members of the SSO program audit team will need to have current track access training from the RFGPTS. Typically, the RFGPTS will need to be available on the first day to provide track safety training to all the team members prior to the start of the data collection on-site inspections and interview events that require access to the RFGPTS Facilities and Right-of-Way locations. This may also be completed prior to the on-site visit.
14. **Audit Briefings.** The SSO program on-site audit team will provide opening and closing briefings during the on-site visit or virtual meeting. These briefings will be focused on sharing activities to be completed and any observations from the preparation and completion of the on-site interviews and inspections. The entire Triennial Audit is intended to be transparent, with all aspects shared with participants. At the conclusion of the audit, any preliminary findings are communicated to the CSO and RFGPTS management in an exit briefing.



- 15. Complete Interviews (Senior, Safety, and Other Staff); Field Observations; and Inspections and Measurements Verification for Triennial Audit.** The Triennial Audit Team will complete all activities based on an approved schedule and audit plan. This will often include a team of 3 to 5 people (SSO and contractor staff). The audit team typically covers all interviews and inspections in two groups to assure that all topics and issues can be covered. Each audit team member is responsible for taking notes, collecting documentation, and taking photos of all activities completed. This documentation is then added to the templates each evening of the on-site activities. At least one person on the audit team will be responsible for consolidating all notes and documentation for each topic of the on-site audit activities. An additional trip may be required to follow up on questions or rescheduled activities.

Reporting and Corrective Actions

- 16. Complete Triennial Audit Draft Report.** The draft triennial audit report will be completed and shared internally with SSO program management and with the CSO and RFGPTS management. The effort to draft this report typically takes 30-45 calendar days after the on-site visit.
- 17. Draft Triennial Audit Report.** The CSO and RFGPTS management will typically have thirty (30) calendar days to review the draft. If there is a need to meet to discuss issues or questions from the draft report, this will be completed either via teleconference or in person. Any disputes of specific findings or recommendations will either be resolved via communications between the parties or will be documented in the report if not resolved. The CSO compiles and submits formal comments. Any changes or corrections will be incorporated into the Triennial Audit Report at this point.
- 18. Final Triennial Audit Report and CAPs.** Once the audit report is finalized, it is delivered to the Accountable Executive, CSO, RTA/RFGPTS management, and any other participants (such as FTA staff). With the delivery of the final triennial report, the RTA/RFGPTS is required to develop appropriate CAPs to address all findings. CAP development is required within thirty (30) calendar days after delivery of the report.

The CSO must submit an **External Safety Audit/Review Findings Log** to track through implementation all findings, recommendations, and corrective actions taken/plans developed as a result of the external safety audit/review process. Recommendations are required to be considered for developing a CAP and the determinations be documented. The log is to be provided to the SSOA in editable spreadsheet format Monthly.

- 19. CAPs Submission & Approval.** The RTA/RFGPTS will submit the CAPs developed from the final triennial report for the SSO program team to review and approve. If there are any issues or questions with these CAPs, the SSO program team will contact the CSO to share specific comments and issues. Once the CAPs are agreed to, the SSO program will formally approve the CAPs via letter to the CSO. At that point, the CAPs will be added to the monthly **External Safety Audit/Review Findings Log**.



Grouping of Safety Program Topics

In development of the Triennial planning, the elements/topics of the Safety program related documents can be grouped for efficiency in completion of the audit activities. These groupings also match the safety management system (SMS) required for the ASP development. The general list of the safety program related control documents/minimum standards for safety documents have also been added to the groupings. Note that there is no expectation that the triennial audit will include the entire safety program and implementation of the SMS, only some aspects of each topic, with respect to risk priority. Note that the 24 elements/topics from the previous safety program document, System Safety Program Plan (SSPP), are included and organized into these 12 groupings.

Grouping 1. ASP/SMS Implementation

- Review records and recordkeeping for the SMS and its implementation
- Also use the results of the remaining audit groups to assess the SMS implementation
- Annual ASP Review and Update
 - Certification of Compliance
 - Element 4. Plan Review and Modification
- Documentation and Tracking of Minimum Standards for Safety
- Integration with Public Safety and Emergency Management
 - Element 11. Emergency Management Program
- SEPP All Elements/Topics
- Emergency Operations/Management Plan(s) and Related Training for RTA/RFGPTS staff and Emergency Responders
- Drills and Exercises Program
- Most Recent TSA BASE Review
- Assuring Integration of the Safety Department in Policy and Procedure Development and Changes

Grouping 2. Safety Management Policy

- Safety Management Policy documentation, signed/endorsed by the Accountable Executive
- Agency's safety objectives
- Organizational Accountabilities and Responsibilities
- Employee Safety Reporting System
- Policy Communication Throughout Transit Agency
- Safety Program Definition and Administration
 - Element 1. Policy Statement
 - Element 2. Purpose, Goals, and Objectives
 - Element 3. Management Structure
 - Element 4. Plan Review and Modification
 - Element 5. Plan Implementation

Grouping 3. Safety Risk Management

- Hazard Identification



Risk Assessment and then Prioritization
Selection and Implementation of Mitigations
Element 6. Hazard Management Process
Element 7. Safety Certification Process – for the formal hazard analyses
Element 8. System Modifications – for the formal hazard analyses
Other sources of formal risk assessment, safety and public safety related

Grouping 4. Safety Assurance – Safety Performance Measures and Targets for Improvement

Element 9. Safety Data Acquisition
Safety Performance Criteria, Targets, and Measures
National Safety Plan
FTA Guidance on Safety Performance Measures and Targets
Coordination with the State and MPO for Safety Performance Measures and Targets
SSO Program Standard Requirements/Procedures for Hazard/Risk Identification, Data Collection, and Analyses/Assessments
Hazard Log, Risk Register, and Corrective Actions/Mitigations Tracking and Status
CAPs definition, tracking, closure process
SSPP Element 24. Minimum Document Submission to the NJDOT SSO Program

Grouping 5. Safety Assurance – Notifications and Investigations of Safety Events

Element 10. Reportable Event Notification, Investigation, and Reporting
Element 11. Emergency Management Program
Element 23. Roadway Worker Protection
RFGPTS Investigation Procedure(s)
SSO Program Standard Requirements/Procedures for Safety Event notifications and investigations
Emergency Response/Operations Procedures
Rail Operating Rule Book and Required Training
Right-of-Way or Roadway Worker Protection (RWP) Plan and Required Training
Command and Control/Train Control Standard Operating Procedures (SOPs) and Required Training
Field Supervision SOPs and Required Training

Grouping 6. Safety Assurance – Compliance with Operations Rules/Procedures

Element 13. Rules Compliance
Element 22. Hours of Service
Rail Operating Rule Book and Required Training
Command and Control/Train Control Standard Operating Procedures (SOPs) and Required Training
Field Supervision SOPs and Required Training
Inclement Weather Procedures and Refresher Training
Operator Certification/Refresher Training and Record-Keeping
Inspection and Maintenance Manuals, SOPs, and Standards, Supervision, Training, and Competency



Grouping 7. Safety Assurance – Compliance with Inspection and Maintenance (I&M) Requirements

- Element 14. Facilities and Equipment Inspections
- Element 15. Maintenance Audit and Inspection Program
- Element 23. Roadway Worker Protection
- Transit Asset Management (TAM) Plan
- Inspection and Maintenance (I&M) Manuals, SOPs, Standards, Supervision, Training, and Competency
- Right-of-Way or Roadway Worker Protection (RWP) Plan and Required Training
- Maintenance (equipment and rail infrastructure/systems) Job-based Certification/Refresher Training

Grouping 8. Safety Assurance – Compliance with Local, State, and Federal Safety Requirements

- SSPP Element 18. Compliance with Local, State, and Federal Safety Requirements, includes OSHA-Related Requirements at the state, local, and/or transit agency level
- Element 19. Hazardous Materials Program
- Element 20. Drug and Alcohol Program

Grouping 9. Safety Assurance – Management of Change

- Element 7. Safety Certification Process
- Element 8. System Modifications
- Element 17. Configuration Management
- Element 21. Procurement
- Configuration Management Plan (CMP)
- Safety Certification Plan (SCP)
- Tracking of Significant Capital Projects
- Safety-Related Procurement Specifications/Requirements

Grouping 10. Safety Assurance – Continuous Improvement

- Element 12. Internal Safety Audit Program
- Tracking the Three-Year Cycle of ISAs
- Element 9. Safety Data Acquisition – includes results from investigations, internal audits, emergency management
- Assuring Integration of the Safety Department in Policy and Procedure Development and Changes
- Element 4. Plan Review and Modification

Grouping 11. Safety Promotion – Training

- Element 16. Training and Certification Program
- Rail Operating Rule Book and Required Training
- Right-of-Way or Roadway Worker Protection (RWP) Plan and Required Training
- Command and Control/Train Control Standard Operating Procedures (SOPs) and Required Training
- Field Supervision SOPs and Required Training
- Inclement Weather Procedures and Refresher Training



Operator Certification/Refresher Training and Record-Keeping
Maintenance (equipment and rail infrastructure/systems) Job-based
Certification/Refresher Training
Inspection and Maintenance Manuals, SOPs, and Standards, Supervision, Training, and
Competency

Grouping 12. Safety Promotion – Communication

Policy Communication Throughout Transit Agency
Element 9. Safety Data Acquisition – data analysis results for investigations, internal
audits, hazard management, emergency response, rules/procedures compliance
Safety Performance Criteria, Targets, and Measures
Employee Safety Reporting System

Update:

- June 30, 2021 – Minor edits, detailed CAP submission, tracking and development to align with the Program Standard, included the External Safety Audit/Review Findings Log, and clarified report submissions and communication with CSO
- October 1, 2021 – revised rail property to RTA/RFGPTS



Three Year Safety and Security Review Summary Conformance Checklist

SUMMARY CONFORMANCE CHECKLIST FOR THREE YEAR SAFETY & SECURITY REVIEW

FIXED GUIDEWAY SYSTEM: _____ _____ REV. NO: _____ NO. _____ ITEM _____	<i>ACCEPTABLE</i>	<i>UNACCEPTABLE</i>	PLAN TITLE: _____ _____ DATE: _____ NO. _____ ITEM _____	<i>ACCEPTABLE</i>	<i>UNACCEPTABLE</i>
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		<i>ACCEPTABLE</i>	<i>UNACCEPTABLE</i>			<i>ACCEPTABLE</i>	<i>UNACCEPTABLE</i>
1	Policy Statement & Authority for System Security Program Plan (SSPP) and System Security Plan (SSP)			10	Verification of the FGTA S/RTS compliance with the Accident Notification, investigation and Reporting requirements of the approved SSPP and SSP		
2	Description of Purpose, Goals, and Objectives of SSPP and SSP			11	Verification of the effective management of the safety and security program implemented		
3	Safety and Security Policy disseminated within FGTS/RTS			12	Training Program and Requirements		
4	Authority for the development of the FGTS/RTS clearly identified			13	Verification of the annual review of the SSPP and SSP/SEPP and associated documents		
5	Safety and security philosophy defined			14	Verification of the methods by which the FGTS/RTS monitors compliance with the requirements of the SSPP and SSP/SEPP		
6	Stated management responsibilities for the implementation of the safety and security programs			15	Verification that investigations are conducted in accordance with established procedures adopted by the FGTS/RTS, and that deficiencies are identified and corrective actions taken		
7	Coordination between the safety and security functions with other departments			16	Verification of the establishment and implementation of emergency preparedness program plans as specified in the SSPP and SSP/SEPP		
8	Established objectives by which to monitor the effectiveness of the safety and security program goals			17			
9	Verification of the FGTS/RTS's implementation of a Hazard Management Process			18			

THE SYSTEM SAFETY AND SYSTEM SECURITY PLANS ARE:
 _____ ACCEPTABLE
 _____ UNACCEPTABLE, REVISE AND RESUBMIT

REVIEWED BY: _____ **DATE:** _____
APPROVED BY: _____ **DATE:** _____

Conformance Checklist Form (For NJDOT Use Only)

Comments



Three Year Safety and Security Review Detailed Conformance Checklist

FIXED GUIDEWAY SYSTEMS - DETAILED CONFORMANCE CHECKLIST FOR THREE YEAR SAFETY & SECURITY REVIEW		
SYSTEM SAFETY PROGRAM PLAN/SYSTEM SECURITY PLAN		
SECTION NUMBER: _____	TITLE: _____	
NJDOT CONTROL NUMBER: _____	AUDIT DATE(S): _____	
REVIEWER: _____	DATE: _____	
COLUMN DEFINITIONS A: Item implementation in accordance with safety & security program plan(s) I: Implementation area of concern (see supplemental form included in this report) U: Unable to review (see reason/reference in "remarks" column)		

ITEM NO.	NJDOT STANDARDS		SSPP/ SSP PARA NO.	AUDITABLE ENTITY	DEPARTMENT	ITEM DESCRIPTION	A	I	U	REMARKS
	SECT	PARA								
1	2	All		SSPP	Safety/Trans. Police	Does the SSPP meet the state safety oversight standards?				
2	2.2	(1)		Safety Policy	Safety/Mgmt	Has the SSPP been approved by top management for implementation?				
3	2.1	All		Authority	Safety	Does the SSPP identify the system's authority regarding safety & security (statutes, legislation, etc.)?				
4	2.2	(2)		Precepts & Purpose	Safety	Does the SSPP identify the precepts and of the system & the purpose's purpose?				
5	2.2	(2)		Goals & Objectives	Safety	Are measurable goals and objectives for the system's SSPP established?				
6	2.2	(1)		Safety Policy	Safety	Has the SSPP been distributed to all departments for implementation? Management Operations Finance/Admin. Maintenance Control Center Training Public Affairs Transit Police Engineering				
7	2.2	(1)		Safety Policy	All	Is there clear identification of management roles in safety? Management Operations Finance/Admin. Maintenance Control Center Training Public Affairs Transit Police Engineering				



**New Jersey Department of Transportation
 State Safety Oversight (SSO) Program Standard (SSOPS)
 Appendix N – Exhibit B – Three Year Safety & Security Review Detailed Conformance Checklist**

ITEM NO.	NJDOT STANDARDS		SSPP/ SSP PARA NO.	AUDITABLE ENTITY	DEPARTMENT	ITEM DESCRIPTION	A	I	U	REMARKS
	SECT	PARA								
8	2.2	(3.5.1)		Inspection & Test	Operations & Maintenance	Are there daily inspections and tests for operations for: Signaling System Emergency Systems Emergency Trip Stations Fire Protection/Suppression Equipment Control center status alarms for: Fire Signals Traction Power Interlockings Maintenance inspections/tests for: Track Ballast Ties/Fasteners Right-of-Way				
9	2.2	(4)		SSPP Rev. & Update	Safety	Is there evidence that the SSPP is being periodically reviewed and updated?				
10	2.2	(5)		Organization. Structure	Safety	Does the SSPP identify responsibility for administering the safety program?				
11	2.2	(3.1.5)		Maint. Inspect. & Tests	Safety	Review safety department: <ul style="list-style-type: none"> • Fire protection/suppression inspections • Operations inspections and audits accid./unaccept. • Hazard condition investigations 				
12	2.2	(3)		Organization Structure	All	Review safety responsibilities of departments: Management Operations Maintenance Training Safety Public Affairs Finance/Admin. Operations Control Center				
13	2.2	(3.1.5)		Maint. Inspect. & Tests	Maintenance	Review quality assurance audit & inspection documents & procedures				
14	2.2	(3.1.5)		Maint. Inspect. & Tests	Maintenance	Review prev. maintenance schedules and performance documentation for: Civil (Track & Structures) Traction Power Systems Support Services Vehicles Fire Protection/Suppression (Gen. Maint.)				
15	2.2	(3)		Organization Structure	Safety	Review documentation of System Safety Dept. staff qualifications and performance of responsibilities				
16	2.2	(5)		Oper/Maint Training	Safety/Training	Review documentation of operationally-related safety training				
17	2.2	(3.2)		Oper/Maint Training	Training	Review training program curriculum for emphasis on safety				



**New Jersey Department of Transportation
 State Safety Oversight (SSO) Program Standard (SSOPS)
 Appendix N – Exhibit B – Three Year Safety & Security Review Detailed Conformance Checklist**

ITEM NO.	NJDOT STANDARDS		SSPP/ SSP/ SSP PARA NO.	AUDITABLE ENTITY	DEPARTMENT	ITEM DESCRIPTION	A	I	U	REMARKS
	SECT	PARA								
18	2.2	(5) (11)		Emerg Resp. Planning.	Safety/Operations	Review emergency preparedness planning procedures				
19	2.2	(12.1) (12.2)		Internal Audit Process	Safety/Training	Review documentation of process & implementation of standard operating procedures, rules, maintenance procedures and verify staff compliance				
20	2.2	(3.4.1)		Public Awareness Program	Public Affairs	Review public affairs – public awareness programs				
21	2.2	(17)		Config. Control	Safety	Review documentation of evidence that safety reviews new systems & equipment				
22	2.2	(17)		Config. Control	Safety	Review configuration management and configuration control documentation for safety impacts				
23	2.2	(2)		Purpose	Operations, Safety Training, Maintenance	Interview and determine that each department is cognizant of their responsibility toward safety; discuss responsibilities assigned to: Operations Maintenance Training Safety				
24	2.2	(6)		Hazard Identification/ Resolution Process	Operations, Maintenance, Safety, Training, Engineering	Is there a process for identifying hazards, performing hazard analysis, determining criticality, and a resolution process? Operations Maintenance Training Engineering Safety				
25	2.2	(17)		Config. Mgmt.	Operations, Maintenance, Safety, Engineering	Is there a process for review of specifications to assure that operational considerations toward designing to minimize hazards, incorporation of safety devices, or special procedures? Operations Maintenance Safety Engineering				
26	2.2	(21)		Procurement	Operations, Maintenance, Safety, Engineering	Is compatibility, “fail-safe” design, hazard reduction, ease of maintenance, and danger warnings considered during procurement, of equipment & facilities?				
27	2.2	(8)		Syst. Mod. Review & Approval Process	Procurement, Maintenance, Safety, Engineering	Are safety considerations included in design reviews for replacement parts, new services procured, modifications, or rehabilitation of equipment & facilities? Procurement Engineering Safety Maintenance				



**New Jersey Department of Transportation
 State Safety Oversight (SSO) Program Standard (SSOPS)
 Appendix N – Exhibit B – Three Year Safety & Security Review Detailed Conformance Checklist**

ITEM NO.	NJDOT STANDARDS		SSPP/ SSP PARA NO.	AUDITABLE ENTITY	DEPARTMENT	ITEM DESCRIPTION	A	I	U	REMARKS
	SECT	PARA								
39	2.2	(12)		Internal Audit Process	Safety	Does the safety department conduct periodic reviews of operations and maintenance activities to identify equipment, procedural or training changes that are required to eliminate safety deficiencies and hazards?				
40	2.2	(12)		Internal Audit Process	Operations, Maintenance, Safety	Is there evidence that all staff are following established rules and procedures in these departments: Operations Maintenance Safety				
41	2.2	(11)		Emergency Resp. Png.	Operations	Is there a formal process for planning and responding to system emergencies?				
42	2.2	(11)		Emergency Resp. Png.	Operations, Maintenance, Safety	Are the following departments involved in the planning, coordination and response process to emergencies? Operations Maintenance Safety				
43	2.2	(18.1) (18.2)		Employee & Contractor Safety Program	Safety	Does the safety department monitor compliance to applicable codes, standards & regulations?				
44	2.2	(18.1)		Transit System Employees	Safety	Is there evidence that the safety department has assisted in determining safety measures for working in confined spaces? Has the safety department assisted in training staff for confined space working?				
45	2.2	(11)		Emergency Response Planning Coord. Training	Operations, Maintenance, Safety	Are fire protection/suppression, life safety, and elect. safety requests coordinated with outside agencies? Are joint operational plans, training and emergency drills coordinated between safety, operations, maintenance, security, medical, fire, command control & communications? Maintenance: electrical safety audit(s)? Safety: joint operating plans for emergencies, drills, and emergency response?				
46	2.2	(19)		Hazardous Materials Program	Operations, Maintenance, Safety	Has a hazardous materials management program been established and implemented by: Operations Maintenance Safety				
47	2.2	(18.1)		Employee Contractor Safety Program	Operations, Maintenance, Safety	Is personal protection equipment provided and used? Are appropriate departments monitoring the use: Operations Maintenance Safety				
48	2.2	(9)		System Data Acquisition Analysis Follow-Up	Safety	Is there a safety information and data analysis system within the safety department that collects the following? Critical/catastrophic hazards? Safety documentation? Accident, incident and hazardous condition reports?				



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ITEM NO.	NJDOT STANDARDS		SSPP/ SSP PARA NO.	AUDITABLE ENTITY	DEPARTMENT	ITEM DESCRIPTION	A	I	U	REMARKS
	SECT	PARA								
49	2.2	(3.2)		Inter-Dept. & Inter- System Coordination	Safety	Is there evidence that the safety department is providing appropriate departments with information and periodic follow-up reports regarding: Passenger & employee injuries? Safety performance reports? Accident/hazardous condition recommendation status? Investigations of accidents, incidents and unsafe conditions?				
50	2.2	(6.3) (10.6) (12.3.5)		Interdep. & Inter System Coordination	Operations, Maintenance, Safety	Are appropriate reports being disseminated to outside agencies as required on a: Monthly basis Quarterly basis Annual basis				
51	2.2	(16) (19)		Training & Certification	Operations, Maintenance, Safety	Has an occupational safety related training program been established and implemented?				
52	2.2	(12)		Internal Audit Program	Safety	Does the safety department monitor training content in courses of instruction for appropriate emphasis on safety?				
53	2.2	(18.1) (18.2)		Employee & Contract Safety Program	Safety	Are there training programs established and implemented for mitigating chemical, physical and/or biological hazards?				
54	2.2	(18.1)		Contract/ Subcontract. Safety Coord.	Operations, Maintenance, Safety	Are contractors/subcontractors who perform work on the system required to attend safety orientation classes?				
55	2.2	(3.1.5)		Training & Certificat.	Maintenance, Training, Safety	Do maintenance workers who perform work on critical systems attend classroom training? Do they receive on-the-job or in-service training?				
56	2.2	(3.1.4) (3.1.5)		Training & Certificat.	Operations, Maintenance, Safety	Is operations & maintenance staff appropriately trained in following safety rules and procedures applicable to their work?				
57	2.2	(2)		Descript. of Purpose	Operations, Maintenance, Safety, Human Resources	Is there a progressive discipline process for staff that violates safety rules and procedures? Is it enforced by all departments?				
58	2.2	(2) (5)		Public Awareness Program	All	Is there an internal safety awareness program that ensures establishing safety goals and measures their achievement?				
59	2.2	(2) (5)		Public awareness program	Safety public relations	Is there a coordinated public awareness program for the public that places emphasis on safety?				



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	SECT	PARA								
60	2.2	(3.1.5)		Maint., Inspections, & Tests	Maintenance	Review maintenance documentation to ensure that safety-critical inspections and tests have been performed on: <ul style="list-style-type: none"> • Signal system (wayside and on rail car), electrical and control sub-systems of guideway vehicles, emergency ventilation, lighting, exits, exit ways, ups, communications, emergency trip stations & telephones, monitoring fire protocol, suppression systems • OCC status alarms for: signaling, fire, traction power, interlockings track, wayside maintenance and inspections power, escalators, elevators, kiosks, stations, lay up areas and remote vehicle storage locations 				
61	2.2	(3.1.4)			Operations Control Center	Review control center documentation to ensure safety critical inspections and tests are performed: <ul style="list-style-type: none"> • Service departure tests of guideway vehicles • Station status alarms • Control systems and alarm monitoring 				
62	2.2	(3.1.5)		Maint. Inspect. & Tests	Maintenance	Review quality assurance audit, inspection and test procedures of the maintenance and support departments for: fixed guideway vehicles systems civil and structures support services				
63	2.2	(3.1.4) (3.1.5)		Training and Certification	Operations, Maintenance, Engineering	Review evidence of coordination regarding certification, re-certification and de-certification that enforce violations and control changes to system equipment & facilities				
64	2.2	(2)		Drug & Alcohol Abuse Program	Personnel Admin.	Is there a program established and implemented for monitoring, counseling, and enforcing alcohol and substance abuse in the work place?				
65	2.2	(21)		Procurement	Maintenance, Procurement, Engineering, Safety	Review procurement documents for critical software programming requirements. Have engineering and safety reviewed the software analysis?				
66	2.2	(22)		Hours of Service	Safety, Training, Transportation, Maintenance	Is there evidence that an hours of service policy has been established and implemented for monitoring, training and enforcing hours of service.				
67	2.2	(23)		Roadway Worker Protection	Safety & Training	Is there evidence that an roadway worker protection policy has been established and implemented for monitoring, training and enforcing roadway worker protection?				
68	2.2	(24)		Docs. on Submission to OSSO	Safety	Review evidence that required documentation is being submitted to the OSSO as required.				
69	2.2	(12.3.1)		Audit Response	Safety	Review the safety department for compliance regarding internal safety program audits				



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	SECT	PARA								
70	2.2	(12.3.5)		Audit Reporting	Safety	Review documentation for management awareness of safety deficiencies & follow-up by: Operations Maintenance Safety Training				
71	3	(3.2) (1.1)		Policy Statement	All	Is there a clear statement of the transit system's commitment toward security in all aspects of operations?				
72	3	(3.2) (2.1)		Description of Purpose	Transit Police	Does the program plan provide an explanation of the security program's purpose?				
73	3	(3.2) (1.1)		Policy Statement	Safety Transit Police	Does the SSP outline and discuss the process the transit system has adopted for implementation regarding security? Is there a clearly stated policy toward security and has it been endorsed by top management and disseminated to all departments?				
74	3	(3.2) (1.3)		Objectives	Transit Police	Are there clearly stated security program goals and objectives?				
75	3	(3.2) (1.4)		General	Transit Police	Are there plans and programs in place to achieve security goals and objectives?				
76	3	(3.2) (2.2) (2.7) (3.1) (3.2) (3.3)		Security Program Implement. Requirements	Transit Police	A description of the role of the security program, identification of who is responsible for the security program, staff involved (number), staff functions, and position/reporting relationship within the transit system organization. Does the plan include a description of how the security forces interface with other law enforcement agencies functionally, communicate, and share jurisdictional responsibility?				
77	3	All		Requirements for SSPP	Transit Police	Does the security program recognize NJDOT's authority and responsibility for overseeing implementation of the security program by reviewing records, witnessing inspections and tests, inspecting facilities, participating in training sessions, observing work practices, and auditing total program implementation?				
78	3	(3.2) (2.2)		Security	Transit Police	Is there an organization chart showing the relationship between safety and security, and other transit system departments?				
79	3	(3.2) (6.0)		Audit Completes	Safety Transit Police	Are there requirements for conducting periodic reviews and internal audits to determine compliance with the security portion of the SSPP?				
80	3	(3.2) (5.1)		Threat & Vulnerable Identification Assess. & Resolution	Transit Police	Is there a summary of current efforts to ensure the security of passengers and employees with respect to proactive programs and response measures?				



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	SECT	PARA								
81	3	(3.2) (2.5) (2.6)		Security Operating Activities	Operations Maintenance Safety Security	Does the security program include a description or tabulation of the major facilities and a description of the security devices and procedures to protect the facilities?				
82	3	(3.2) (5.1)		Threat & Vulnerable Identification. Assess. & Resolution	Transit Police	Is there a description of current conditions regarding crime rates and security breaches, by location?				
83	3	(3.2 – All)		Organizational Structure	Transit Police	Is the responsibility for preparation and maintenance of the security portion of the SSP including periodic reviews and update identified?				
84	2	(2.2) (17)		Config. Mgmt.	Operations, Maintenance, Safety, Security	Are there configuration controls to ensure that management before adoption properly evaluates modifications? Are the configuration controls in written form? Are they distributed to all appropriate parties? Is the configuration control process formally documented and complied with?				
85	3	(3.2) (4.4)		Security Operating Activities	Operations, Maintenance, Safety, Security	Does the SSP identify by title and description each of the implementation procedures included in the security portion of the SSP including procedures for security program planning, proactive measures, emergency response measures and training?				
86	3	(3.2) (3.1)		Security	Operations, Maintenance, Safety, Security	Is identification of the specific departments and individuals responsible for the preparation, modification, and implementation of each of the procedures identified in item # 81 above?				
87	3	(3.2) (6.2)		Security Training	Transit Police	Does the SSP describe the training and certification programs for employees whose duties include in whole or in part, their security role?				
88	3	(3.2) (5.2)		Threat & Vulnerability Identification, Assess & Resolution	Transit Police	Are the methods used to identify threats and vulnerabilities of the transit system identified?				
89	2	(2.2) (17)		Config. Management	Operations, Maintenance, Safety Security	Are there requirements for conducting assessments of transit system modification and extensions as part of the design process with respect to security?				
90	3	(3.2) (5.3)		Threat. & Vulnerability Identification	Operations, Maintenance, Safety, Security	Does the SSP include a program for the testing of security-related equipment and facility inspections to assess their vulnerability to security threats?				



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	SECT	PARA								
91	3	(3.2) (3.3)		Threat. & Vulnerability Identification	Transit Police	Acquire a description of security data collection and distribution to persons on a need-to-know basis				
92	3	(3.2) (5.3)		Threat & Vulnerability Identification, Assess & Resolution	Transit Police	Does the security element of the SSP describe the manner and who analyzes security information to assess the probability and severity of threats and vulnerability? Does the plan provide a description of the security reports routinely prepared and the method of distribution? Is the method of resolving identified threats and vulnerabilities by elimination, mitigation, and acceptance described? Are regular progress reviews scheduled on a periodic basis by top management to assure that the security program remains current?				

THE SYSTEM SAFETY PLAN IS:

_____ ACCEPTABLE

_____ UNACCEPTABLE, REVISE AND RESUBMIT

REVIEWED BY: _____ **DATE:** _____

APPROVED BY: _____ **DATE:** _____

Conformance Checklist Form (For NJDOT Use Only)

Comments



Three Year Safety and Security Review Supplemental Form

SYSTEM SAFETY & SECURITY PROGRAM REVIEW SUPPLEMENTAL FORM	
TRANSIT SYSTEM: _____	REVIEWED BY: _____ DATE: _____
AREA OF CONCERN NO.: _____ DESCRIPTION OF CONDITION:	STATUS: <input type="checkbox"/> Open <input type="checkbox"/> Accepted With Conditions <input type="checkbox"/> Awaiting Supporting Documentation <input type="checkbox"/> Unacceptable; Corrective Action Needed <input type="checkbox"/> Unable To Audit
FIXED GUIDEWAY TRANSIT SYSTEM RESPONSE:	



ATTACHMENT A: LIST OF PRE-AUDIT DOCUMENTS AND PROCEDURES		
49 CFR 674.27(a)(4)		
Document and Procedures Requested	Received (Yes or No) - Date	
– RTA/rail property List of Processes and Procedures		
– RTA/rail property Agency Safety Plan		
– RTA/rail property Agency Safety Plan CSO Approval Letter		
– NJDOT-SSOA Approval Letter Agency Safety Plan		
– NJDOT-SSOA Agency Safety Plan Review Checklist(s)		
– RTA/rail property - List of all rail Safety Committees, their members, and the schedule for their meetings (if not included in the Agency Safety Plan)		
– RTA/rail property System Security Plan		
– RTA/rail property SSP CEO Approval Letter		
– NJDOT-SSOA Approval Letter SSP		
– NJDOT-SSOA SSP Review Checklist(s) + SEPP		
– RTA/rail property Internal Safety and Security Review Schedule(s)		
– RTA/rail property Internal Safety and Security Review Checklists and Procedures		
– RTA/rail property Internal Safety and Security Review Notifications to the NJDOT-SSOA since []		
– RTA/rail property Internal Review Annual Reports from the Previous 3 Years		
– RTA/rail property -formal transit agency Annual Letters of Certification		
– RTA/rail property – documentation of Annual Report Review and Approval		
– RTA/rail property Corrective Action Plans (Matrix) all - from last Three-Year Review		
– RTA/rail property Electronic and written (Ways and Means) used to track hazards through resolution		
– RTA/rail property Accident Notifications (three most recent)		
– RTA/rail property Accident Tracking Logs		
– RTA/rail property Accident Investigation Procedures		
– RTA/rail property Investigation Reports (three most recent final reports)		
– Samples of periodic accident investigation status reports		
– RTA/rail property Corrective Action Plan Tracking Log		
– RTA/rail property Corrective Action Plan (two from recent accident investigation finding(s)) Tracking Logs		
– Corrective Action Plan approval letter		
– RTA/rail property Operator Rulebooks, Standard Operating Procedures and samples of Special Notices and Operating Bulletins, including safety/security rules		



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and procedures		
– RTA/rail property Maintenance Audit Program Documentation including audit and inspection standards and procedures, checklists, audit and inspection results, and mechanisms used for tracking results		
– RTA/rail property - overview of process used by the rail transit agency to develop, maintain, and ensure compliance with rules and procedures having a safety impact (if not clearly specified in the Agency Safety Plan)		
– RTA/rail property Organization Chart that clearly depicts safety reporting relationships (if not included in the Agency Safety Plan))		
– RTA/rail property training program statistics - specific to right-of-way safety, track inspection and maintenance		
– RTA/rail property - training certification and qualification requirements for train operators, supervisors, and controllers (if not specified in the Agency Safety Plan)		
– RTA/rail property Right-of-way access training program materials and statistics and the number of employees/contractors trained versus the number required to receive training for calendar year []		
– RTA/rail property -maintenance management information system- reports summarizing open work orders for vehicles, track, signals/switches, traction power and frequency of inspection (if not specified in the Agency Safety Plan)		
– RTA/rail property -representative sample of safety goals and action plans for calendar year []		