

# **CERTIFICATION APPLICATION State Safety Oversight Program**

**In Conformance with 49 U.S.C. 5329(e) and  
49 CFR Part 674**



Federal Transit Administration  
U.S. Department of Transportation  
1200 New Jersey Avenue, SE  
Washington, DC 20590

**May 11, 2017**



# Application for Certification of State Safety Oversight Program, Form TSO-SSO-1

<b>1. TYPE OF SUBMISSION:</b> <input type="radio"/> Application <input type="radio"/> Changed/Corrected Application	<b>2. TYPE OF APPLICATION</b> <input type="radio"/> New <input type="radio"/> Revision, please identify revised item: <input type="radio"/> Other, please specify:  <b>Notes:</b>
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<b>DATE SUBMITTED:</b>	<b>TRANSMITTAL LETTER:</b> <input type="radio"/> Included with Application <input type="radio"/> Submitted separately <input type="radio"/> Other, please specify:  <b>Notes:</b>
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**APPLICANT INFORMATION:**

<b>Legal Name of State Agency:</b>
<b>FTA Recipient Identification Number:</b>
<b>Organizational DUNS Number:</b>
<b>Employer/Taxpayer Identification Number (EIN/TIN):</b>

**ADDRESS:**

<b>Street 1:</b>
<b>Street 2:</b>
<b>City:</b>
<b>State:</b>
<b>Postal Zip Code:</b>

**ORGANIZATIONAL UNIT:**

<b>Department Name:</b>
<b>Division Name:</b>

**CONTACT INFORMATION (for person to be contacted on matters involving this application):**

<b>Prefix (Mr., Mrs., Miss, Ms., Dr., etc.):</b>
<b>Name (First, Middle and Last):</b>
<b>Title:</b>
<b>Office Telephone:</b>
<b>Mobile Telephone:</b>
<b>Fax Number:</b>
<b>Email:</b>

**INFORMATION ON EACH RAIL FIXED GUIDEWAY PUBLIC TRANSPORTATION SYSTEM (RFGPTS) IN THE STATE'S JURISDICTION:**

- RFGPTS Name
- RFGPTS National Transit Database (NTD) Identification (ID) Number
- RFGPTS Status (Engineering, Construction, Operations)
- RFGPTS Chief Safety Officer (CSO) Contact Information (Name, Title, Phone, Email)

<b>RFGPTS #1:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #2:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #3:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>

**Application for Certification of State Safety Oversight Program, Form TSO-SSO-1**

<b>RFGPTS #4:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #5:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #6:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #7:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>
<b>RFGPTS #8:</b>	<b>NTD ID:</b>	<b>STATUS:</b>	<b>CSO:</b>

**CHECKLIST OF ITEMS TO BE SUBMITTED:** Beginning on the next page, please identify and attach the reference documents, plans and legislation that demonstrate the State's conformance with each of the 49 CFR Part 674 certification items listed. The certification items are identified by name, with a brief explanation provided, and the applicable 49 CFR Part 674 and 49 U.S.C. 5329(e) references cited. The "Application Submittal" column requests the State to identify where the certification item is addressed, and to provide the FTA with a copy of the referenced document, if the final version has not already been submitted to FTA. The application also requests that State identify if a draft version of the final document was previously submitted to FTA. Other check boxes are also provided to allow the State to further clarify the status of its documentation or activity to address the specific certification item. The FTA's SSO Certification Toolkit provides additional detail and guidance on each certification item.

## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

Certification Item	49 CFR Part 674 Requirement	Application Submittal
<b>Category 1: SSO Agency Independence</b>		
<p><b>a) Legal Entity</b> Enabling legislation or other document establishing the State safety oversight agency (SSOA) as a legal entity of the State</p>	<p><b>49 CFR Part 674.11(c):</b> Establish a State safety oversight agency, by State law, in accordance with the requirements of 49 U.S.C. 5329(e) and this part.</p> <p><b>49 CFR Part 674.13(a):</b> Every State that must establish a State Safety Oversight program in accordance with 49 U.S.C. 5329(e) must also establish a SSOA for the purpose of overseeing the safety of rail fixed guideway public transportation systems within that State.</p> <p>See also: 49 U.S.C. Section 5329(e)(3)(c)</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO</p> <p><input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application</p> <p><input type="radio"/> Attached with application</p> <p><input type="radio"/> Other - Please explain below:</p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 5px;"></div> <p>Explanation:</p>
<p><b>b) Legal Independence from RFGPTS</b> Certification of Legal Independence, with full disclosure of legal connections and waiver request (if applicable)</p>	<p><b>49 CFR Part 674.13(a)(1):</b> The SSOA is financially and legally independent from any public transportation agency the SSOA is obliged to oversee.</p> <p><b>49 CFR Part 674.41:</b> (a) An SSOA must be financially and legally independent from any rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).</p> <p>See also: 49 U.S.C. Section 5329(e)(4)(A)(i)</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO</p> <p><input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application</p> <p><input type="radio"/> Attached with application</p> <p><input type="radio"/> Other - Please explain below:</p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 5px;"></div> <p>Explanation:</p>
<p><b>c) Financial Independence from RFGPTS</b> Certification of financial independence with full disclosure of financial connections and waiver request (if applicable)</p>	<p><b>49 CFR Part 674.13(a)(1):</b> The SSOA is financially and legally independent from any public transportation agency the SSOA is obliged to oversee.</p> <p><b>49 CFR Part 674.41:</b> (a) An SSOA must be financially and legally independent from any rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).</p> <p>See also: 49 U.S.C. Section 5329(e)(4)(A)(i)</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO</p> <p><input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application</p> <p><input type="radio"/> Attached with application</p> <p><input type="radio"/> Other - Please explain below:</p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 5px;"></div> <p>Explanation:</p>

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<p><b>d) Overlap of Transportation Services</b>                      Certification that the SSOA does not directly provide public transportation in same area as RFGPTS</p>	<p><b>49 CFR Part 674.13(a)(2):</b> The SSOA does not directly provide public transportation services in an area with a rail fixed guideway public transportation system the SSOA is obliged to oversee.</p> <p>See also: 49 U.S.C. Section 5329(e)(4)(A)(i)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:</p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>e) Employment Conflict of Interest</b>                      Certification that the SSOA does not employ any individual who administers RFGPTS programs or Waiver Request (if applicable)</p>	<p><b>49 CFR Part 674.13(a)(3):</b> The SSOA does not employ any individual who is also responsible for administering a rail fixed guideway public transportation system the SSOA is obliged to oversee.</p> <p><b>49 CFR Part 674.41(b):</b> An SSOA may not employ any individual who provides services to a rail fixed guideway public transportation system under the oversight of the SSOA, unless the Administrator has issued a waiver of this requirement in accordance with § 674.13(b).</p> <p>See also: 49 U.S.C. 5329(e)(4)(A)(iii)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:</p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>f) Contractor Conflict of Interest</b>                      Conflict of Interest Policy established for any contractors providing services to the SSOA or Waiver Request (if applicable)</p>	<p><b>49 CFR Part 674.41(c):</b> A contractor may not provide services to both an SSOA and a rail fixed guideway public transportation system under the oversight of that SSOA, unless the Administrator has issued a waiver of this prohibition.</p> <p>See also: 49 CFR Part 674.13(b)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:</p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>

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<b>Category 2: General Program Requirements</b>		
<p><b>a) Acknowledgement of Responsibility</b>                      Enabling legislation or other documentation explicitly acknowledging the State's responsibility for overseeing the safety of all RFGPTS within the State</p>	<p><b>49 CFR Part 674.11(a):</b>                      Explicitly acknowledge the State's responsibility for overseeing the safety of the rail fixed guideway public transportation systems within the State.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>b) Funding Prohibition</b>                      Legislation, directive, administrative code, or other vehicle through which the State prohibits RFGPTS from funding the SSO agency</p>	<p><b>49 CFR Part 674.11(f):</b> Demonstrate that by law, the State prohibits any public transportation agency in the State from providing funds to the SSOA.                       See also: 49 U.S.C. Section 5329(e)(3)(F)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>c) Establishment of Minimum Standards for Safety</b>                      Clear statement of the State's authority to establish minimum standards for the RFGPTS within the State consistent with FTA's Public Transportation Safety Program</p>	<p><b>49 CFR Part 674.25(a):</b> An SSOA must establish minimum standards for the safety of all rail fixed guideway public transportation systems within its oversight. These minimum standards must be consistent with the National Public Transportation Safety Plan, the Public Transportation Safety Certification Training Program, the rules for Public Transportation Agency Safety Plans and all applicable Federal and State law.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>

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<p><b>d) Annual Report</b>                      Procedures to be used by the State to develop and provide an annual status report on RFGPTS safety to the Governor, FTA and the RFGPTS Board of Directors</p>	<p><b>49 CFR Part 674.13(a)(7):</b> At least once a year, the SSOA reports the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the board of directors, or equivalent entity, of the rail fixed guideway public transportation system.</p> <p>See also: 49 U.S.C. Section 5329(e)(4)(A)(vii)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>e) Multi-State System Oversight Agency Designation</b></p>	<p><b>49 CFR Part 674.15:</b> Designation of oversight agency for multi-state system.</p> <p>In an instance of a rail fixed guideway public transportation system that operates in more than one State, all States in which that rail fixed guideway public transportation system operates must either:</p> <p>(a) Ensure that uniform safety standards and procedures in compliance with 49 U.S.C. 5329 are applied to the rail fixed guideway public transportation system, through an SSO program that has been approved by the Administrator; or</p> <p>(b) Designate a single entity that meets the requirements for an SSOA to serve as the SSOA for that rail fixed guideway public transportation system, through an SSO program that has been approved by the Administrator.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>



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Certification Item	49 CFR Part 674 Requirement	Application Submittal
<b>Category 3: Enforcement Authorities</b>		
<p><b>a) Enforcement Authorities</b>                      Legislation, directive, administrative code, or other vehicle through which the State establishes its responsibility for overseeing all aspects of RFGPTS safety (including engineering and construction) and through which the SSOA has the authority and ability to enforce safety requirements and investigate safety concerns and accidents at the RFGPTS</p>	<p><b>49 CFR Part 674.11(a):</b> Explicitly acknowledge the State's responsibility for overseeing the safety of the rail fixed guideway public transportation systems within the State.</p> <p><b>49 CFR Part 674.13(a)(5):</b>                      The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed guideway public transportation systems within the State.</p> <p>See also: 49 U.S.C. Section 5329(e)(3)(A)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 10px;"></div> <p>Explanation:</p>
<p><b>b) Adoption of Federal and State Laws</b>                      Legislation, directive, administrative code, or other vehicle through which the State establishes its authority to adopt and enforce Federal and relevant State laws on all aspects of RFGPTS safety</p>	<p><b>49 CFR Part 674.11(b):</b> Demonstrate the State's ability to adopt and enforce Federal and relevant State law for safety in rail fixed guideway public transportation systems.</p> <p>See also: 49 U.S.C. Section 5329(e)(3)(B)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 10px;"></div> <p>Explanation:</p>
<p><b>c) Review, Approve, Oversee, and Enforce Agency Safety Plan</b>                      Legislation, directive, administrative code, or other vehicle through which the State establishes its authority to review, approve, oversee, and enforce the RFGPTS Safety Plan</p>	<p><b>49 CFR Part 674.13(a)(4):</b>                      The SSOA has authority to review, approve, oversee, and enforce the public transportation agency safety plan for a rail fixed guideway public transportation system required by 49 U.S.C. 5329(d).</p> <p><b>49 CFR Part 674.25(b):</b>                      An SSOA must review and approve the Public Transportation Agency Safety Plan for every rail fixed guideway public transportation system within its oversight. An SSOA must oversee an RTA's execution of its Public Transportation Agency Safety Plan. An SSOA must enforce the execution of a Public Transportation Agency Safety Plan, through an order of a corrective action plan or any other means, as necessary or appropriate. An SSOA must ensure that a Public Transportation Agency Safety Plan meets the requirements at 49 U.S.C. 5329(d).</p> <p>See also: 49 U.S.C. Section 5329(e)(4)(A)(iv)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 10px;"></div> <p>Explanation:</p>

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<p><b>d) Allegations of Noncompliance</b>                      Legislation, directive, administrative code, or other vehicle through which the State establishes its authority to investigate any allegation of noncompliance with a Public Transportation Agency Safety Plan</p>	<p><b>49 CFR Part 674.25(c):</b> An SSOA has primary responsibility for the investigation of any allegation of noncompliance with a Public Transportation Agency Safety Plan. These responsibilities do not preclude the Administrator from exercising his or her authority under 49 U.S.C. 5329(f) or 49 U.S.C. 5330.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
<p><b>e) Requiring and Verifying Corrective Action</b>                      Legislation, Program Standard section, and related procedures or process through which the SSOA requires, approves and tracks corrective action plans, and the procedures and/or checklists to be used by the State in conducting inspections at the RFGPTS, including unannounced, on-site inspections to verify CAP implementation.</p>	<p><b>49 CFR Part 674.27(a)(8):</b> Corrective actions. The program standard must explain the process and criteria by which the SSOA may order an RTA to develop and carry out a Corrective Action Plan (CAP), and a procedure for the SSOA to review and approve a CAP. Also, the program standard must explain the SSOA's policy and practice for tracking and verifying an RTA's compliance with the CAP, and managing any conflicts between the SSOA and RTA relating either to the development or execution of the CAP or the findings of an investigation.</p> <p><b>49 CFR Part 674.37 (a):</b> A CAP must describe, specifically, the actions the RTA will take to minimize, control, correct, or eliminate the risks and hazards identified by the CAP, the schedule for taking those actions, and the individuals responsible for taking those actions. The RTA must periodically report to the SSOA on its progress in carrying out the CAP. The SSOA may monitor the RTA's progress in carrying out the CAP through unannounced, on-site inspections, or any other means the SSOA deems necessary or appropriate.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>

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<b>Category 4: Investigations and Audits</b>		
<p><b>a) Investigative Authority</b>                      Authority and primary responsibility for the investigation of accidents</p>	<p><b>49 CFR Part 674.13(a)(5):</b>                      The SSOA has investigative and enforcement authority with respect to the safety of all rail fixed guideway public transportation systems within the State.</p> <p><b>49 CFR Part 674.25(d):</b>                      An SSOA has primary responsibility for the investigation of an accident on a rail fixed guideway public transportation system.</p> <p><b>49 CFR Part 674.27(a)(7):</b>                      The SSO program standard must identify thresholds for accidents that require the RTA to conduct an investigation. Also, the program standard must address how the SSOA will oversee an RTA's internal investigation; the role of the SSOA in supporting any investigation conducted or findings and recommendations made by the NTSB or FTA; and procedures for protecting the confidentiality of the investigation reports.</p> <p>See also: 49 U.S.C. Section 5329(e)(3)(A)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:</p> <p>Explanation: <input type="text"/></p>
<p><b>b) Notification of Accidents and Other Safety Events</b>                      Specifies the requirements for the notification of accidents</p>	<p><b>49 CFR Part 674.7</b>                      Accidents are a specific sub-set of events that result in a loss of life; a report of a serious injury to a person; a collision involving a rail transit vehicle; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.</p> <p><b>49 CFR Part 674.33:</b>                      (a) Two-hour notification. In addition to the requirements for accident notification set forth in an SSO program standard, an RTA must notify both the SSOA and the FTA within two hours of any accident occurring on a rail fixed guideway public transportation system. The criteria and thresholds for accident notification and reporting are defined in a reporting manual developed for the electronic reporting system specified by FTA as required in § 674.39(b), and in appendix A of the FTA's final rule.</p> <p>(b) FRA notification. In any instance in which an RTA must notify the FRA of an accident as defined by 49 CFR 225.5 (i.e., shared use of the general railroad system trackage or corridors), the RTA must also notify the SSOA and FTA of the accident within the same time frame as required by the FRA.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:</p> <p>Explanation: <input type="text"/></p>

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<p><b>c) Right to Access RFGPTS</b>                      Legislation, directive, administrative code, or other method through which the State establishes its authority to access the RFGPTS, including rail property, vehicles, records and personnel, accident scenes and other relevant locations, to conduct audits and investigations into accidents, implementation of the Agency Safety Plan, and implementation of corrective action plans</p>	<p><b>49 CFR Part 674.35:</b>                      (a) An SSOA must investigate or require an investigation of any accident and is ultimately responsible for the sufficiency and thoroughness of all investigations, whether conducted by the SSOA or RTA. If an SSOA requires an RTA to investigate an accident, the SSOA must conduct an independent review of the RTA's findings of causation. In any instance in which an RTA is conducting its own internal investigation of the accident or incident, the SSOA and the RTA must coordinate their investigations in accordance with the SSO program standard and any agreements in effect.                       (b) Within a reasonable time, an SSOA must issue a written report on its investigation of an accident or review of an RTA's accident investigation in accordance with the reporting requirements established by the SSOA. The report must describe the investigation activities; identify the factors that caused or contributed to the accident; and set forth a corrective action plan, as necessary or appropriate. The SSOA must formally adopt the report of an accident and transmit that report to the RTA for review and concurrence. If the RTA does not concur with an SSOA's report, the SSOA may allow the RTA to submit a written dissent from the report, which may be included in the report, at the discretion of the SSOA.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 200px; height: 80px; vertical-align: middle;"></span></p>

## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

Certification Item	49 CFR Part 674 Requirement	Application Submittal
<p><b>d) Investigation Procedures</b>                      Procedures to be used by the State in carrying out investigations at the RFGPTS's in its jurisdiction</p>	<p><b>49 CFR Part 674.35:</b></p> <p>(a) An SSOA must investigate or require an investigation of any accident and is ultimately responsible for the sufficiency and thoroughness of all investigations, whether conducted by the SSOA or RTA. If an SSOA requires an RTA to investigate an accident, the SSOA must conduct an independent review of the RTA's findings of causation. In any instance in which an RTA is conducting its own internal investigation of the accident or incident, the SSOA and the RTA must coordinate their investigations in accordance with the SSO program standard and any agreements in effect.</p> <p>(b) Within a reasonable time, an SSOA must issue a written report on its investigation of an accident or review of an RTA's accident investigation in accordance with the reporting requirements established by the SSOA.</p> <p>The report must describe the investigation activities; identify the factors that caused or contributed to the accident; and set forth a corrective action plan, as necessary or appropriate. The SSOA must formally adopt the report of an accident and transmit that report to the RTA for review and concurrence. If the RTA does not concur with an SSOA's report, the SSOA may allow the RTA to submit a written dissent from the report, which may be included in the report, at the discretion of the SSOA.</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                     </p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 10px;"></div> <p>Explanation:</p>

## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

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<p><b>e) Protection from Disclosure</b> Confidentiality of information policy, legislation or other vehicle to prohibit investigation reports from being admitted as evidence or used in a civil action for damages</p>	<p><b>49 CFR Part 674.23:</b> (a) A State, an SSOA, or an RTA may withhold an investigation report prepared or adopted in accordance with these regulations from being admitted as evidence or used in a civil action for damages resulting from a matter mentioned in the report.  (b) This part does not require public availability of any data, information, or procedures pertaining to the security of a rail fixed guideway public transportation system or its passenger operations.</p> <p><b>49 CFR Part 674.27(a)(7): Investigations.</b> The SSO program standard must identify thresholds for accidents that require the RTA to conduct an investigation. Also, the program standard must address how the SSOA will oversee an RTA's internal investigation; the role of the SSOA in supporting any investigation conducted or findings and recommendations made by the NTSB or FTA; and procedures for protecting the confidentiality of the investigation reports.</p>	<p>Document Name: Document Date: Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation:</p> <div style="border: 1px solid black; height: 80px; width: 100%; margin-top: 5px;"></div>

## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

Certification Item	49 CFR Part 674 Requirement	Application Submittal
<p><b>f) Triennial Audit</b>                      Procedures and checklists to be used by the State in conducting the Three-Year Audit of the RFGPTS's implementation of its Agency Safety Plan</p>	<p><b>49 CFR Part 674.13(a)(6):</b> At least once every three years, the SSOA audits every rail fixed guideway public transportation system's compliance with the public transportation agency safety plan required by 49 U.S.C. 5329(d).</p> <p><b>49 CFR Part 674.27(a)(5):</b> Triennial SSOA audits of Rail Public Transportation Agency Safety Plans. The SSO program standard must explain the process the SSOA will follow and the criteria the SSOA will apply in conducting a complete audit of the RTA's compliance with its Public Transportation Agency Safety Plan at least once every three years, in accordance with 49 U.S.C. 5329. Alternatively, the SSOA and RTA may agree that the SSOA will conduct its audit on an on-going basis over the three-year timeframe. The program standard must establish a procedure the SSOA and RTA will follow to manage findings and recommendations arising from the triennial audit.</p> <p><b>49 CFR Part 674.31:</b> Triennial audits: general requirements. At least once every three years, an SSOA must conduct a complete audit of an RTA's compliance with its Public Transportation Agency Safety Plan. Alternatively, an SSOA may conduct the audit on an on-going basis over the three-year timeframe. At the conclusion of the three-year audit cycle, the SSOA shall issue a report with findings and recommendations arising from the audit, which must include, at minimum, an analysis of the effectiveness of the Public Transportation Agency Safety Plan, recommendations for improvements, and a corrective action plan, if necessary or appropriate. The RTA must be given an opportunity to comment on the findings and recommendations.</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                     </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 200px; height: 80px; vertical-align: middle;"></span></p>

## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

Certification Item	49 CFR Part 674 Requirement	Application Submittal
<b>Category 5: SSO Staffing, Training and Qualification</b>		
<p><b>a) SSO Program Workload Assessment</b>                      To demonstrate to the FTA, an appropriate staffing level for the SSOA that is commensurate with the number, size, and complexity of RFGPTS in the eligible State</p>	<p><b>49 CFR Part 674.11(d):</b> Demonstrate that the State has determined an appropriate staffing level for the State safety oversight agency commensurate with the number, size, and complexity of the rail fixed guideway public transportation systems in the State, and that the State has consulted with the Administrator for that purpose.</p> <p>See also: 49 U.S.C. Section 4329(e)(3)(D)</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 200px; height: 60px; vertical-align: middle;"></span></p>



## Application for Certification of State Safety Oversight Program - Checklist of Items to be Submitted

Certification Item	49 CFR Part 674 Requirement	Application Submittal
<p><b>b) SSOA Organization and Personnel Qualifications and Experience</b> Set of submittals required to demonstrate that the SSOA has sufficient resources and qualified personnel to oversee the number, size, and complexity of the RFGPTS's within the State.</p>	<p><b>49 CFR Part 674.5:</b> (a) In accordance with 49 U.S.C. 5329(e), a State that has a rail fixed guideway public transportation system within the State has primary responsibility for overseeing the safety of that rail fixed guideway public transportation system. A State safety oversight agency must have sufficient authority, resources, and qualified personnel to oversee the number, size, and complexity of rail fixed guideway public transportation systems that operate within a State.</p> <p>(b) FTA will make Federal financial assistance available to help an eligible State develop or carry out its State safety oversight program. Also, FTA will certify whether a State safety oversight program meets the requirements of 49 U.S.C. 5329(e) and is adequate to promote the purposes of the public transportation safety programs codified at 49 U.S.C. 5329.</p> <p><b>49 CFR Part 674.11(e):</b> Demonstrate that the employees and other personnel of the State safety oversight agency who are responsible for the oversight of rail fixed guideway public transportation systems are qualified to perform their functions, based on appropriate training, including substantial progress toward or completion of the Public Transportation Safety Certification Training Program.</p> <p><b>49 CFR Part 674.25(e):</b> An SSOA may enter into an agreement with a contractor for assistance in overseeing accident investigations; performing independent accident investigations; and reviewing incidents and occurrences; and for expertise the SSOA does not have within its own organization.</p> <p><b>49 CFR Part 674.35(c):</b> All personnel and contractors that conduct investigations on behalf of an SSOA must be trained to perform their functions in accordance with the Public Transportation Safety Certification Training Program.</p>	<p>Document Name:</p> <p>Document Date:</p> <p>Reference Location in Document:</p> <p><input type="radio"/> Final version already submitted to FTA/TSO</p> <p><input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application</p> <p><input type="radio"/> Attached with application</p> <p><input type="radio"/> Other - Please explain below:</p> <div style="border: 1px solid black; width: 100%; height: 80px; margin-top: 10px;"></div> <p>Explanation:</p>

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Certification Item	49 CFR Part 674 Requirement	Application Submittal
<p><b>c) Training Program Certification</b>                      Certification of the SSOA's conformance with FTA's Public Transportation Safety Certification Training Program. Completed registration and certifications uploaded to the FTA's Safety Resource and Training Website</p>	<p><b>49 CFR Part 674.11(e):</b> Demonstrate that the employees and other personnel of the State safety oversight agency who are responsible for the oversight of rail fixed guideway public transportation systems are qualified to perform their functions, based on appropriate training, including substantial progress toward or completion of the Public Transportation Safety Certification Training Program.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>

### Category 6: Program Standard

<p><b>a) Updated Program Standard Meeting 49 CFR Part 674 Requirements</b></p>	<p><b>49 CFR Part 674.27(a):</b>                      An SSOA must adopt and distribute a written SSO program standard, consistent with the National Public Transportation Safety Plan and the rules for Public Transportation Agency Safety Plans. This SSO program standard must identify the processes and procedures that govern the activities of the SSOA. Also, the SSO program standard must identify the processes and procedures an RTA must have in place to comply with the standard.</p> <p><b>49 CFR Part 674.27(b):</b>                      At least once a year an SSOA must submit its SSO program standard and any referenced program procedures to FTA, with an indication of any revisions made to the program standard since the last annual submittal. FTA will evaluate the SSOA's program standard as part of its continuous evaluation of the State Safety Oversight Program, and in preparing FTA's report to Congress on the certification status of that State Safety Oversight Program, in accordance with 49 U.S.C. 5329.</p>	<p>Document Name:                      Document Date:                      Reference Location in Document:</p> <p> <input type="radio"/> Final version already submitted to FTA/TSO  <input type="radio"/> Draft version previously submitted to FTA/TSO, final version attached with application  <input type="radio"/> Attached with application  <input type="radio"/> Other - Please explain below:                 </p> <p>Explanation: <span style="border: 1px solid black; display: inline-block; width: 150px; height: 40px; vertical-align: middle;"></span></p>
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**End of Application**