

State Safety Oversight (SSO) Program

Certification Work Plan Template

Purpose of the Certification Work Plan (CWP)

State Safety Oversight (SSO) programs that are not certified are **required** to complete a work plan to participate in the Federal Transit Administration's (FTA's) new SSO Formula Grant Program. Work plans must be completed **before** a State can submit its grant application. FTA expects that the work plan developed by each State will reflect the scope of the activities in the SSO program, the size of the grant, and the number and complexity of rail transit agencies (RTAs) overseen by the State.

FTA's Office of Safety and Oversight (TSO) developed this Certification Work Plan (CWP) template to support SSO program personnel and contractors in responding to FTA's SSO pre-certification submittal correspondence. States are not required to use this template and may use a template of their choice. Whatever format is ultimately selected, each State's Certification Work Plan must contain, at a minimum, the information requested in FTA's CWP template.

FTA's CWP template is a tool to help SSO agencies plan, manage, implement, report on, and evaluate the new SSO program being established to address the explicit mandates identified in Section 20021(a) of the Moving Ahead for Progress in the 21st Century Act (MAP-21), now codified at 49 U.S.C. § 5329. This guidance includes:

- A **SAMPLE** completed CWP, for use and reference by States to develop and document their own approaches to implement the new MAP-21 requirements.
- A **BLANK** template for States to enter their information and proposed activities.

CWP Template Content

This CWP template contains five (5) sections that mirror the Summary of Results Checklist provided by FTA to all States on October 1, 2013 and discussed in teleconference calls and follow-up correspondence in late 2013 and early 2014. These sections are as follows:

- **Section 1: Independence from the Rail Fixed Guideway Public Transportation System-** Includes activities to identify, disclose and manage legal and financial relationships between the State and each rail transit agency in its jurisdiction.
- **Section 2: Enforcement Authority-** Addresses the State's plan to obtain authority to enforce findings required to ensure the safety of the public transportation agency. This includes enabling legislation, or the steps required to establish enabling legislation, to allow the SSO program to compel the RTA to take actions to address identified deficiencies.
- **Section 3: SSO Program Implementation Activities-** Covers the State's approach to enhancing its existing 49 CFR Part 659 activities for accident investigation, hazard management, oversight of internal safety review programs at the RTA, three-year reviews, and reporting to meet the explicit mandates specified in MAP-21. Each State should also list any actions taken to incorporate Safety Management Systems (SMS) principles and activities into their oversight programs.

State Safety Oversight (SSO) Program

- **Section 4: Staffing and Qualification of SSO Personnel and Contractors-** Documents the State's proposed approach to staffing its new SSO program, to include employees and contractors. Also documents the proposed approach to ensure all personnel who work on the SSO program are participating in FTA's Public Transportation Safety Certification Training Program and are obtaining technical training and subject-specific training as determined necessary by the State.
- **Section 5: Grant and Waivers-** Addresses the specific items needed for each State to become an FTA grantee and meet specific grant requirements identified in 49 U.S.C. Section 5329(e).

The CWP template also references **TECHNICAL ASSISTANCE TABS** for each section that contain sample materials and resources for States to review and consider as they establish the activities and final deliverables, milestone schedules and priorities for their CWPs. Please see [FTA's website](#) to download this detailed information.

States should also reference applicable Federal Register notices, Dear Colleague letters, Frequently Asked Questions (FAQs), and other information available on [FTA's website](#).

**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SAMPLE (COMPLETED) CWP TEMPLATE

This sample template is provided to support SSO personnel and contractors in developing their own CWPs.

Instructions: The CWP template contains eight columns. Column (1) is provided by FTA based on the MAP-21 statute. States should fill in Column (2) with information from the Summary of Results Checklist provided by FTA on October 1, 2013. Requirements that were approved by FTA can be color-coded green, with no further action required in columns (3) to (8). If FTA identified a gap in the Summary of Results Checklist, the State should identify this item as yellow and proceed to fill out columns (3) to (8). Each activity should have an anticipated outcome in column (6) and supporting activities and a timeline in columns (4) through (7). FTA will work with each State to verify that the anticipated outcome complies with the MAP-21 statutory requirements and the supporting activities and timeline are reasonable. Lastly, States should provide a current status in column (8) and continue to update this status to manage performance against this goal. Once a grant is awarded, FTA will meet with States quarterly to check the status in column (8) with the timeline in column (7).

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
(1) Provides the reference to the specific MAP-21 49 U.S.C. Section 5329(e) that must be addressed. Provided by FTA	(2) Indicates whether the State’s program complies with the requirement in column (1), and any issues that FTA found and provided in the Summary of Results Checklist on Oct. 1, 2013. To be completed by the State	(3) Identifies the high-level task to address the requirement in column (1) To be completed by the State	(4) Indicates the specific steps the State will take to complete the action plan task in column (3) To be completed by the State	(5) Indicate who is responsible for the action plan task in column (3) To be completed by the State	(6) Indicates the anticipated end state and accompanying deliverable(s) for the action plan task in column (3) To be completed by the State	(7) Indicates the time frame for completing the action plan task in column (4) To be completed by State	(8) Includes a status for the action plan task in column (3), based on the key provided below To be completed and updated by the State on a quarterly basis

Status: NA=Not Applicable; NS=Not Started; IP=In Progress; IB=In Progress, Behind Schedule; SC=Substantially Complete; C=Complete



**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SECTION 1 – Independence from RFGPTS: These provisions require the eligible State to designate an SSO agency that is a legal entity of the State and that is financially and legally independent from the rail fixed guideway public transportation system (RFGPTS) in its jurisdiction. SEE TABS 1 and 2 FOR EXAMPLES.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(3)(C): State establishes a State safety oversight agency (SSOA) as a legal entity of the State	Cleared by FTA	None Required	None Required	NA	NA	NA	NA
2. 5329(e)(4)(A)(i): SSOA is legally independent from RFGPTS		Identify and evaluate legal relationships	<ol style="list-style-type: none"> 1. Establish intra-agency team to conduct assessment 2. Research legal relationships between State DOT/SSO Agency and RFGPTS 3. Document results in memorandum or letter report 	SSO Program Manager; Supervisor, SSO Legal Counsel	Letter Report	60 days	NS
		Review alternatives for addressing any identified legal conflicts of interest with rail transit agency	<ol style="list-style-type: none"> 1. Propose alternatives, based on research, for resolving any identified legal conflicts of interest 2. Consider traditional approaches, such as recusals and re-assigning board memberships, as well as newer approaches, including different reporting chains for the SSO program or the use of independent boards or review teams to authorize or manage specific types of actions 	See above.	Alternatives Memo	90 days	NS
		Prepare package documenting proposed approach and re-submit to FTA	<ol style="list-style-type: none"> 1. Select approach for ensuring legal separation from rail transit agency 2. Call or email FTA for informal review of proposed approach 3. Develop procedures, policy, organization charts, proposed recusal forms or annual affidavits 4. Submit materials to FTA along with formal request to approve State’s approach to managing MAP-21 legal independence provisions 	See above.	Policy Statement; Letter to FTA	180 days	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
5. 5329(e)(4)(A)(i): SSOA is financially independent from RFGPTS		Identify and evaluate financial relationships between the SSO agency and each rail transit agency	<ol style="list-style-type: none"> 1. Establish intra-agency team to conduct assessment 2. Research financial relationships between State DOT/SSO Agency and RFGPTS 3. Document results in memorandum or letter report 	SSO Program Manager; Supervisor, SSO Legal Counsel	Letter Report	60 days	NS
		Review alternatives for addressing any identified financial conflicts of interest	<ol style="list-style-type: none"> 1. Propose alternatives, based on research, for resolving any identified financial conflicts of interest 2. Consider alternatives such as ensuring separate budgets and reporting relationships for SSO and transit grant management functions; recusals and the use of independent review teams to evaluate situations potentially affected by the SSO agency's financial connections to the rail transit agency 	See above.	Alternatives Memo	90 days	NS
		Prepare package documenting proposed approach and re-submit to FTA	<ol style="list-style-type: none"> 1. Select approach for ensuring financial separation from rail transit agency 2. Call or email FTA to informally review proposed approach 3. Develop procedures, organization charts, proposed recusal forms or annual affidavits 4. Submit materials to FTA along with formal request to approve State's approach to managing MAP-21 financial independence provisions 	See above.	Policy Statement; Letter to FTA	180 days	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
6. 5329(e)(4)(A)(ii): SSOA does not directly provide public transportation in same area as RFGPTS	Cleared by FTA	None Required	None Required	NA	NA	NA	NA
7. 5329(e)(4)(A)(iii): SSOA does not employ any individual who administers RFGPTS programs	Cleared by FTA	None Required	None Required	NA	NA	NA	NA

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**State Safety Oversight (SSO) Program Work Plan
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SECTION 2 – Enforcement Authority: *These provisions require the eligible State to obtain authority for its State Safety Oversight (SSO) program and designated SSO agency to oversee and enforce safety at each RFGPTS in its jurisdiction from engineering and construction through operations. SEE TABS 3 and 4 FOR EXAMPLES.*

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(3)(A): State has assumed responsibility for overseeing all aspects of RFGPTS safety (including engineering and construction)		Establish State's approach to obtaining enforcement authority over all aspects of safety for RFGPTS in engineering, construction and operations	<ol style="list-style-type: none"> 1. Establish intra-agency review team to address legal and policy issues regarding the State's role, activities and requirements to oversee all aspects of RFGPTS safety, including during engineering and construction 2. Review alternatives within the State for establishing the new authorities required in MAP-21 mandates: <ol style="list-style-type: none"> a. Develop approach for specifying enforcement authority for overseeing all aspects of RFGPTS safety in engineering, construction and operations b. Develop approach to adopting and enforcing relevant Federal and State laws c. Develop approach for enforcement authority regarding the implementation of the Agency Safety Plan d. Develop approach for investigative, auditing, and inspection authority e. Develop approach for prohibiting RFGPTS funding of State SSOP program 3. Document approaches proposed for specific legal and enforcement issues in letter memo or report 4. Review sample legislation included in the Technical Assistance Tabs developed by FTA and in relevant FTA circulars and guidance documents, as well as State regulatory program requirements 5. Submit report or letter memo to FTA for review and concurrence 	SSO Program Manager; Supervisor, Legal Counsel	<p>Alternatives Memo</p> <p>Report or Letter</p> <p>Documenting Proposed Mechanism to Confer Authority to the SSO Program</p> <p>Call with FTA</p> <p>Final Proposed Approach Documented and Submitted to FTA</p>	<p>60 days</p> <p>90 days</p> <p>120 days</p> <p>180 days</p>	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
		<p>Coordinate with RFGPTS on selected approach for enforcement authority</p> <p>Manage executive, legislative or judicial process required to obtain new enforcement authority for the SSO program</p> <p>Close-out certification item with FTA</p>	<ol style="list-style-type: none"> 6. Once FTA concurrence is received on proposed approach, conduct a workshop with the RFGPTS in the State to outline proposed approach 7. Modify proposals as warranted based on feedback from RFGPTS; resubmit any major changes to FTA 8. Establish State requirements for overseeing and enforcing RFGPTS safety 9. Establish State requirements for safety certification for RFGPTS in engineering and construction: <ol style="list-style-type: none"> a. See FTA’s Guidance Circular 5800.1, Safety and Security Management Guidance for Major Capital Projects at: http://www.fta.dot.gov/legislation_law/12349_6930.html for current practices 10. Draft orders, notices and other documents, including those for public review and comment, to provide the SSOP and the designated SSOA with the authority to require and enforce safety regulations for the rail transit system 11. Submit draft, proposed and final orders, notices, legislation and other documents to FTA to close-out certification process in this area. 12. Submit letter requesting close-out to FTA 13. Receive FTA approval on close-out 	SSO Program Manager; Supervisor, Legal Counsel	<p>Workshop Summary Report</p> <p>State Requirement Memo</p> <p>Draft and Final Order, Legislation, Code, or Other Document</p> <p>Final Close-out Letter to FTA</p>	<p>240 days</p> <p>300 days</p> <p>360 days</p> <p>600 days</p>	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
2. 5329(e)(3)(B): State adopts and enforces Federal and relevant State laws on all aspects of RFGPTS safety		See above.	See above.	See above.	See above.	See above.	See above.
3. 5329(e)(3)(F): State prohibits RFGPTS from funding the SSO agency		See above.	See above.	See above.	See above.	See above.	See above.
4. 5329(e)(4)(A)(iv): Designated SSOA has the authority to review, approve, oversee, and enforce RFGPTS Safety Plan		See above.	See above.	See above.	See above.	See above.	See above.

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SECTION 3 – SSO Program Implementation Activities: These provisions require the eligible State to ensure that the designated SSO agency carries out an effective safety regulatory program. SEE TABS 5, 6 and 7 FOR EXAMPLES.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(4)(A)(v): SSOA has investigative and enforcement authority with respect to all aspects of RFGPTS safety		SSO agency builds capability to conduct independent investigations of accidents and hazards at RFGPTS	<ol style="list-style-type: none"> Building on the plan developed in Section 2 above to obtain investigative and enforcement authority, the SSO agency develops/revises its investigation procedures, forms and processes to facilitate independent State investigation of accidents, incidents and hazards SSO agency pilots its new procedures by conducting, first, a joint investigation with the RFGPTS, and then an entirely independent investigation of an accident or hazard at the RFGPTS The SSO agency coordinates this new/reviced process with the RFGPTS, and briefs the RFGPTS CEO on the new process The SSO agency submits its new/reviced procedures to FTA, as well as a copy of the independent investigation final report 	SSO Program Manager; Supervisor; SSO staff or contractor support	Investigation Procedure Workshop with RFGPTS Joint and Independent Investigations Reports	90 days 120 days 180 days 220 days	NS
		SSO agency enhances tracking, verification and management of corrective action plans (CAPs)	<ol style="list-style-type: none"> In anticipation of enforcement authority, the SSO agency develops a new procedure for managing, tracking, verifying close-out of CAPs with the RFGPTS The SSO agency reviews Technical Assistance Tabs 5-7, and coordinates with the RFGPTS to enhance the CAP management process The SSO agency submits the new procedure and a CAP close-out report to FTA 	SSO Program Manager; Supervisor; SSO staff or contractor support	CAP Management Procedure	120 days	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
		SSO agency enhances oversight of RFGPTS hazard management program SSO works with RFGPTS on data collection and analysis	<ol style="list-style-type: none"> 1. SSO agency establishes new approach for the monitoring of RFGPTS safety performance and the identification, reporting and management of hazards 2. SSO agency conducts workshop with RFGPTS safety, operations and maintenance leadership regarding hazard management program and proposed new approach 3. During workshop, and in follow-on activities, SSO agency develops a Draft Safety Performance Agreement with the RFGPTS 4. SSO finalizes new procedure and submits it to the RFGPTS and FTA 5. SSO agency works with RFGPTS to implement the new procedure to enhance the collection and analysis of safety, operations and maintenance data and information to identify hazards and monitor safety performance in keeping with new procedure 6. The SSO agency establishes monthly meetings to review the safety, operations and maintenance data, and oversee and support the RFGPTS in identifying, investigating and assessing hazards 7. The SSO agency and the RFGPTS conduct a joint hazard assessment regarding an issue identified at the rail transit agency, develop a risk mitigation plan, and submit to FTA 	SSO Program Manager; Supervisor; SSO staff or contractor support	Hazard Management Procedure DRAFT Safety Performance Agreement with RFGPTS Meeting Minutes Hazard Assessment and Risk Mitigation Plan	120 days 180 days 200 days 240 days	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
2. 5329(e)(4)(A)(vi): SSOA audits, at least once triennially, RFGPTS compliance with Safety Plan		SSO agency develops enhanced approach to overseeing RFGPTS implementation of its agency safety plan	<ol style="list-style-type: none"> 1. SSO agency reviews and approves Rail Transit Agency Safety Plan 2. SSO agency reviews and approves supporting and referenced procedures 3. SSO agency develops plan or procedure to oversee (even more actively than in Part 659 program) the rail transit agency's implementation of its safety plan 4. SSO agency develops checklists and process for conducting three-year audit using FTA's guidance in Technical Assistance Tabs 5-7 5. SSO agency develops sampling plan to identify the inspections, tests, observations, and measurements to be conducted in support of the audit 6. SSO agency determines whether the audit will be conducted once every three years or in an on-going manner over the three year period 7. SSO agency audits RFGPTS implementation of its agency safety plan, and submits report to FTA, including new procedures, checklists and plans 8. SSO agency also uses this process to investigate any allegation of noncompliance it receives regarding the RFGPTS implementation of the safety plan 	SSO Program Manager; Supervisor; SSO staff or contractor support	Approved RFGPTS Agency Safety Plan and Procedures Oversight Procedure for RFGPTS Agency Safety Plan Audit Checklists and Sampling Plan Final Audit Report Investigation Reports for Allegations of Non-Compliance	60 days 60 days 120 days 200 days 240 days 360 days On-going	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
3. 5329(e)(4)(A)(vii): SSOA provides annual status report on RFGPTS safety to the Governor, FTA and the RFGPTS Board of Directors		SSO agency amends existing reporting procedures to address 5329(e)(4)(A)(vii) requirements	<ol style="list-style-type: none"> 1. Update annual reporting procedure to include the timeframes and content of reports to be delivered to the Governor of the State, FTA, and the RFGPTS Board of Directors 2. Initiate Monthly Briefings with the RFGPTS CEO/General Manager 3. Initiate Quarterly Briefings with the RRFGPTS Board of Directors during Board Meetings 4. Coordinate with internal agency staff regarding additional briefing elements or information to be provided to the Governor in advance of the annual report 	SSO Program Manager, Supervisor	Report Procedure Monthly CEO Briefing Package Quarterly RFGPTS Board Briefing Package	90 days On-going On-going	NS

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SECTION 4 – Staffing and Qualification of SSO Personnel and Contractors: These provisions require the eligible State to ensure that the designated SSO agency is staffed with qualified personnel. SEE TABS 8 and 9 FOR EXAMPLES.

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(3)(D): Determines, in consultation with FTA, an appropriate staffing level for the SSOA that is commensurate with the number, size, and complexity of RFGPTS in the eligible State		Develop SSO work breakdown structure	<ol style="list-style-type: none"> Review <i>Federal Register</i> notice for final SSO grant program apportionment amount for FY 13 and FY 14 Establish final budget for State’s SSO grant program (including State match) Review FTA’s Technical Assistance Tabs and State’s Pre-Certification Submittal Results, and the State’s response to Section 3 above, to establish list of activities that will be performed in the program using FTA FY 13 and FY 14 funding Also review SSO program responsibilities and statutory requirements within the existing 49 CFR Part 659 program that will meet MAP-21 requirements Establish a work breakdown structure (a detailed task-by-task evaluation and analysis) of actual full-time equivalent (FTE) position requirements for the SSO agency to operate the SSO program Complete the work breakdown structure and recommend appropriate staffing levels Submit to FTA for review and approval 	SSO Program Manager, Supervisor	Work Breakdown Structure Proposal for staffing, including State personnel and contractors Letter to FTA FTA acceptance of State work breakdown structure and staffing proposal	90 days 120 days 140 days 170 days	NS
		Develop proposed staffing plan and budget	<ol style="list-style-type: none"> Using results of the work breakdown structure, develop a staffing plan for the SSO program to document identified positions, required qualifications, and roles and responsibilities of State employees and contractors Develop formal job descriptions Develop SSO staffing budget Submit staffing plan and budget to FTA 	SSO Program Manager, Supervisor	SSO Program Staffing Plan SSO Program Staffing Budget	30 days 60 days	NS

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49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
2. 5329(e)(3)(E): Requires that SSOA employees and other designated personnel are qualified to perform oversight functions through appropriate training		Identify technical qualifications for SSO staff and contractors Establish long-term plan for ensuring access to technical expertise	<ol style="list-style-type: none"> 1. Establish technical qualifications as part of advertised job positions (see Item 1 in Section 4 above) 2. Establish technical qualifications for contractors as part of solicitations for service 3. Establish technical training and/or certification or mentoring opportunities for SSO program personnel in specific rail transit disciplines with the RFGPTS, another SSO agency, or through the State’s FRA Participation Program 4. Identify long-term strategy for ensuring access to technical expertise in areas of rail transit vehicles, track, signals and train control, traction power, rail grade crossings, and operations/maintenance practices 	SSO Program Manager, Supervisor	Job description with technical qualifications Solicitations with technical qualifications Long-term plan including specific opportunities to technical training	90 days 90 days	NS
3. 5329(e)(3)(E): Requires that SSOA employees and other designated personnel successfully complete FTA’s public transportation safety certification program		Establish requirement for participation in FTA’s public transportation safety certification training program	<ol style="list-style-type: none"> 1. Specify participation in and successful completion of FTA’s training program as a term and condition of employment 2. Specify participation in and successful completion of FTA’s training program as a requirement in any solicitation for contract services 3. Establish individual training plans for each SSO program employee 4. Submit to FTA 	SSO Program Manager, Supervisor	Excerpt language requiring FTA’s training program Individual training plans	30 days 90 days	NS

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SECTION 5 – Grants and Waivers: *These provisions specify requirements for the eligible State to participate in the MAP-21 SSO grant program and request waivers from specific financial and legal independence clauses (49 U.S.C. Section 5329(e)(4)(A)(i) and (iii)). SEE FTA's FAQs ON THE SSO GRANT PROGRAM FOR EXAMPLES.*

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(6)(B)(ii): The SSOA is already an FTA grantee or is ready to become an FTA grantee		SSO agency is designated as an FTA grantee	<ol style="list-style-type: none"> Obtain letter from Governor to the appropriate FTA Regional Administrator that identifies the designated recipient for the SSO Formula Grant Program funds. Work with its FTA Regional Office to determine what additional activities or information are required to become established as an FTA recipient for this program. Establish requirements for personal identification numbers and authorization codes for using FTA's electronic grants system 	SSO Program Manager, Supervisor, Governor	Letter to FTA Region Protocols for accessing grant funds	Prior to award	NS
2. 5329(e)(6)(C)(ii)-(iii): The SSOA is ready to make its 20 percent match independent of RFGPTS funding		State documents 20 percent match for FY 13 and FY 14 SSO grant funding	<ol style="list-style-type: none"> State prepares letter for FTA Regional Administrator and FTA Associate Administrator of Office of Safety and Security committing to an independent funding match at a specified amount State certifies independence of funding source 	SSO Program Manager, Supervisor, Finance or Grant Manager	Letter and certification	Prior to award	NS
3. 5329(e)(4)(B): SSOA is not requesting a waiver	Cleared by FTA	None Required	None Required	NA	NA	NA	NA

BLANK CWP TEMPLATE

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**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

This blank template can be completed by SSO personnel and contractors.

Instructions: The CWP template contains eight columns. Column (1) is provided by FTA based on the MAP-21 statute. States should fill in Column (2) with information from the Summary of Results Checklist provided by FTA on October 1, 2013. Requirements that were approved by FTA can be color-coded green, with no further action required in columns (3) to (8). If FTA identified a gap in the Summary of Results Checklist, the State should identify this item as yellow or red and proceed to fill out columns (3) to (8). Each activity should have an anticipated outcome in column (6) and supporting activities and a timeline in columns (4) through (7). FTA will work with each State to verify that the anticipated outcome complies with the MAP-21 statutory requirements and the supporting activities and timeline are reasonable. Lastly, States should provide a current status in column (8) and continue to update this status to manage performance against this goal. Once a grant is awarded, FTA will meet with States quarterly to check the status in column (8) with the timeline in column (7).

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
Provides the reference to the specific MAP-21 49 U.S.C. Section 5329(e) that must be addressed.	Indicates whether the State’s program complies with the requirement in column (1)	Identifies the high-level task to address the requirement in column (1)	Indicates the specific steps the State will take to complete the action plan task in column (3)	Indicate who is responsible for the action plan task in column (3)	Indicates the anticipated end state and accompanying deliverable(s) for the action plan task in column (3)	Indicates the time frame for completing the action plan task in column (4)	Includes a status for the action plan task in column (3), based on the key provided below
Provided by FTA	To be completed by the State based on the Summary of Results Checklist provided on October 1, 2013	To be completed by the State	To be completed by the State	To be completed by the State	To be completed by the State	To be completed by State	To be completed and regularly updated by the State

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**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SECTION 1 – Independence from RFGPTS: These provisions require the eligible State to designate an SSO agency (SSOA) that is a legal entity of the State and that is financially and legally independent from the rail fixed guideway public transportation system (RFGPTS) in its jurisdiction. SEE TABS 1 and 2 FOR EXAMPLES.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(3)(C): The State establishes a SSOA as a legal entity of the State							
2. 5329(e)(4)(A)(i): The SSOA is legally independent from RFGPTS							
3. 5329(e)(4)(A)(i): The SSOA is financially independent from RFGPTS							
4. 5329(e)(4)(A)(ii): The SSOA does not directly provide public transportation in same area as RFGPTS							
5. 5329(e)(4)(A)(iii): The SSOA does not employ any individuals who administer RFGPTS programs							

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**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SECTION 2 – Enforcement Authority: These provisions require the eligible State to obtain authority for its SSO program and designated SSOA to oversee and enforce safety at each RFGPTS in its jurisdiction from engineering and construction through operations. SEE TABS 3 and 4 FOR EXAMPLES.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(3)(A): The State assumes responsibility for overseeing all aspects of RFGPTS safety (including engineering and construction)							
2. 5329(e)(3)(B): The State adopts and enforces Federal and relevant State laws on all aspects of RFGPTS safety							
3. 5329(e)(3)(F): The State prohibits RFGPTS from funding the SSOA							
4. 5329(e)(4)(A)(iv): The SSOA has the authority to review, approve, oversee, and enforce RFGPTS Safety Plan							

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**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SECTION 3 – SSO Program Implementation Activities: These provisions require the eligible State to ensure that the designated SSOA carries out an effective safety regulatory program.

SEE TABS 5, 6 and 7 FOR EXAMPLES.

49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(4)(A)(v): The SSOA has investigative and enforcement authority with respect to all aspects of RFGPTS safety							
2. 5329(e)(4)(A)(vi): The SSOA audits, at least once triennially, RFGPTS compliance with Safety Plan							
3. 5329(e)(4)(A)(vii): The SSOA provides annual status report on RFGPTS safety to the Governor, FTA and the RFGPTS Board of Directors							

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**State Safety Oversight (SSO) Program Work Plan
Response to FTA’s Pre-Certification Submittal Review Correspondence and FTA’s SSO Grant Program Notice**

SECTION 4 – Staffing and Qualification of SSO Personnel and Contractors: These provisions require the eligible State to ensure that the designated SSOA is staffed with qualified personnel. SEE TABS 8 and 9 FOR EXAMPLES.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
2. 5329(e)(3)(D): The State determines, in consultation with FTA, an appropriate staffing level for the SSOA that is commensurate with the number, size, and complexity of RFGPTS in the eligible State							
3. 5329(e)(3)(E): The State requires that SSOA employees and other designated personnel are qualified to perform oversight functions through appropriate training							
4. 5329(e)(3)(E): The State requires that SSOA employees and other designated personnel successfully complete FTA’s public transportation safety certification program							

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**State Safety Oversight (SSO) Program Work Plan
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SECTION 5 – Grants and Waivers: These provisions specify requirements for the eligible State to participate in the MAP-21 SSO grant program and request waivers from specific financial and legal independence clauses (49 U.S.C. Section 5329(e)(4)(A)(i) and (iii)). SEE FTA’S FAQs ON THE SSO GRANT PROGRAM FOR ADDITIONAL INFORMATION.							
49 U.S.C. Section	FTA Assessment	Action Plan Task	Action Plan Steps	Responsibility	Anticipated Outcome	Timeline	Status
1. 5329(e)(6)(B)(ii): The SSOA is already an FTA grantee or is ready to become an FTA grantee							
2. 5329(e)(6)(C)(ii)-(iii): The SSOA is ready to make its 20 percent (%) match independent of RFGPTS funding							
3. 5329(e)(4)(B): The SSOA is not requesting a waiver							

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