



Procedure SSO-014

Risk Based Inspection Program - Inspection Activities, Scheduling and Coordination with Transit Agencies

Current Version: 01/27/2025

Scope: This procedure provides a process for scheduling and coordinating inspections, both announced (with advanced notice) and unannounced (without advanced notice). In addition, the procedure outlines NJDOT and rail transit agency responsibilities, as well as required notifications and NJDOT recordkeeping requirements. This procedure was developed in consultation with each rail transit agency under the jurisdiction of the NJDOT.

Requirement: This procedure is required to comply with the Federal Transit Administration (FTA) Special Directive 22-38. Under 49 U.S.C. § 5329 (k) and 49 CFR Part 670 – The State must develop and implement a risk-based inspection program.

Procedure:

- (1) **NJDOT Roles & Responsibilities** – The NJDOT Program Manager will designate the NJDOT Scheduling Coordinator who is responsible for scheduling and coordinating inspections, both announced and unannounced (See Appendix C for designated staff). In addition, the NJDOT Scheduling Coordinator will maintain the scheduling component of the “NJDOT RBI Index” by logging all communications, assignments and requests, in addition to saving all correspondences to SharePoint. As necessary, the Program Manager will designate an alternate Scheduling Coordinator and communicate any changes to the transit agencies.

The “NJDOT RBI Index” contains an index of risk-based inspection activities (both announced and unannounced) and serves as a tool for documenting pertinent communications between the NJDOT and the transit agency, as well as assignments. This database identifies inspection activities, including “Core” inspections (Standard Oversight Inspections) performed on a consistent and ongoing basis. The database covers a wide spectrum of activities both general and specific, encompassing areas such as track, vehicle maintenance, signals, station inspections and train ride inspections, etc. The NJDOT also maintains an RBM Analysis and RAM database that alerts the NJDOT Scheduling Coordinator upon completion of assessments.

- (2) **NJDOT Annual Letter to Transit Agencies** – Each year, by December 1st, the NJDOT Scheduling Coordinator will send a list of the regular “Core” (announced) inspection activities to the rail transit agency as well as the site-specific spreadsheets that detail inspection & maintenance forms/checklists used by the transit agencies (as detailed in SSO-017), in accordance with the contact information maintained by the NJDOT.
 - a. The rail transit agency will review the documents and provide a response, detailing any available scheduling information and any form/checklist changes or updates, no later than January 1st. The rail transit agency must provide the information in the format requested by the NJDOT. In addition, they must request an extension and a reason for the delay if they anticipate not meeting the deadline.
- (3) **Inspection Activities** – the NJDOT SSOA has the authority and capability to inspect RTA activities, including infrastructure, equipment, records, personnel, and data. The NJDOT performs inspection activities as follows:



- a. **Inspections of Equipment, Infrastructure, & Practices** – The NJDOT performs inspections of equipment, infrastructure, and practices consistent with each RFGPTS’s elements. This includes both “Core” Inspections and other risk-based inspections. “Core” inspections, though performed consistently and on an on-going basis, are part of the NJDOT’s risk-based inspection program. These “Core” inspections, as well as the frequencies are covered in the “NJDOT RBI Index” (See Pgs. 6-7 for a comprehensive list of Core inspections). The index includes both general and specific inspections and accounts for differences in system elements to ensure the RBI program is commensurate with the number, size and complexity of the RFGPTS. For example, there are some noteworthy differences between the systems relating to traction power, with two systems using catenary and one on third rail, as well as one using diesel. In addition, the NJDOT performs ‘Train ride-alongs’ and ‘Station Inspections’. All stations are inspected by the NJDOT over a 3-year cycle.
- b. **Event Verification** – The NJDOT performs verification activities to assure transit agencies are investigating safety events and to confirm they successfully repaired event scenes. These verification activities include a combination of on-site inspections and/or documentation reviews. Field verification is not required for each event and is performed on a case-by-case basis. Some factors that may determine if an on-site inspection is performed are severity, location, injury/fatality, risk, etc.

In addition, in some cases, the NJDOT inspects areas with similar characteristics to those where events occurred. Further, the NJDOT assesses whether the transit agency is leveraging data and information collected through investigation activity to determine probable cause and to support the identification of hazards. This includes a verification that the transit agency is following their approved Investigation Procedure. Upon notification of a safety event, NJDOT RBI Staff complete the following:

- i. Record the event in the “Event Investigation Status” Log and save supporting documentation to SharePoint.
- ii. Evaluate the safety event to determine if an on-site inspection and/or document review is necessary. In addition, evaluate if it is necessary to inspect any other areas with similar characteristics. A programmatic decision is made whether to perform an analysis through the NJDOT’s Risk Assessment Matrix (RAM).

Note: If the NJDOT deems an on-site inspection is necessary and the rail transit agency is notified, the rail transit agency must maintain the integrity of the event scene.

- iii. Assign an on-site inspection to verify the system successfully repaired the event scene and/or to perform a document review in accordance Section 4.

Note: The NJDOT assesses whether the rail transit agency is leveraging data and information collected through investigation activities and the independent investigation report review process covered in Appendix O.

- c. **Ongoing Monitoring** – The NJDOT performs ongoing monitoring of rail transit agency personnel performing their job functions to assess if the tasks are being performed safely, to rail transit agency standards, and at the required frequency. The objective of ongoing monitoring is to identify any practical drift, help improve rail transit agency performance, and to give the NJDOT Inspector valuable perspective on day-to-day operations to build competency as part of the NJDOT’s Technical Training Plan. Areas for ongoing monitoring are covered in the “NJDOT RBI Index”, under “Core” and RBI inspections. This includes operations centers, maintenance facilities, and training facilities.



- d. **Defects and Corrective or Remedial Actions** – The NJDOT reviews rail transit agency defects and associated corrective or remedial actions on a regular basis and performs inspections and/or document reviews as deemed necessary. Some examples of the data sets that are reviewed are inspection and maintenance forms/checklists, deferred maintenance/defect logs, and the Monthly RBI Report covered in Procedure SSO-017. Efforts are focused on significant rail transit agency defects, either by severity or quantity. Each month, the NJDOT RBI Staff (led by the NJDOT RBI Data Analyst) will complete the following:
- i. Perform a review of the data that is collected from the rail transit agency.
 - ii. Identify any significant defects as well as any corrective actions, remedial actions, or associated formal corrective action plans (CAPs). In addition, evaluate if the rail transit agency is following their defined safety risk management process. The spreadsheets (logs) maintained by the rail transit agencies establish basic defect categories and naming conventions to support ease of tracking and data analysis.
 - iii. Determine if any follow up actions are required utilizing the Risk Assessment Matrix (RAM) (See SSO-019). Follow up actions may include, but are not limited to on-site inspection, meeting with transit agency personnel, documentation review, and/or formal corrective action plan (CAP) development by the transit agency. Follow-up actions are determined on a case-by-case basis. Factors that may determine a follow up action necessary are severity, location, injury/fatality, risk, etc.
 - (a) Assign an on-site inspection in accordance with Section 4.
- e. **CAP and Safety Risk Mitigation Verification** – The NJDOT performs inspections to assess the progress towards and/or verify completion of CAPs and implementation of safety risk mitigations. These inspections are aimed at identifying any areas of potential practical drift which may take place as the CAP or safety risk mitigation is implemented over time. In addition, these inspections will cover safety certification verification activities. The NJDOT will continuously monitor the progress of corrective action plans and safety risk mitigations. Each month, NJDOT RBI Staff will complete the following:
- i. Perform a review of the data that is collected from the transit agency. Some examples of data are CAP progress updates, Hazard Tracking Logs, Safety Certification documentation/updates and associated logs, etc.
 - ii. Evaluate any progress towards completion of CAPs and safety risk mitigations and determine if an inspection is required.
 - (a) Assign an on-site inspection in accordance with Section 4.
- (4) **Inspection Scheduling** – This process is initiated by the NJDOT Scheduling Coordinator to schedule inspection activities. The NJDOT has the authority to perform announced or unannounced inspections for any of the activities outlined in Section 3.
- a. **Announced Inspections** – Once an inspection activity(s) is selected, the NJDOT Scheduling Coordinator will send a scheduling request email to the rail transit agency. The email will detail the **announced** inspection activity(s) and a request for: 1) available date(s)/time(s), 2) point of contact(s), 3) meet-up location(s), and 4) any pertinent and supporting documentation such as standard operating procedures, OEM manuals, and checklists, as well as previous inspection/maintenance records. The NJDOT will give at least 24 hours' notice whenever feasible.



- i. Upon receiving a scheduling request, the transit agency will respond within **three (3) business days** or request an extension if additional time is needed, unless it is a time sensitive activity (e.g. Event Verification).
- ii. The NJDOT Scheduling Coordinator will monitor their email as well as the Dropbox (njofgsso@dot.nj.gov) for correspondences from the rail transit agency. If the rail transit agency does not respond in the timeframe, the NJDOT Scheduling Coordinator will:
 - (a) Send a second email request.
 - (b) Upon receiving a second email scheduling request, the rail transit agency will respond within **three (3) business days** or request an extension if additional time is needed. If the rail transit agency does not respond to the second email request, a third and final email request will be sent to the Chief Safety Officer (or SMS Executive).
 - (c) Upon receiving a third email scheduling request, the rail transit agency will respond within **three (3) business days** or request an extension if additional time is needed. If the third request goes unanswered, the NJDOT will issue a Notice of Administrative Violation.

Note: The NJDOT reserves the right to perform an unannounced inspection.

- iii. Upon receiving a response from the rail transit agency, the NJDOT Scheduling Coordinator will request NJDOT Inspector availability. This can be accomplished through email or other means, such as: telephone, electronic or virtual meeting format. The NJDOT Scheduling Coordinator will provide a list of available inspection activities and dates. NJDOT Inspectors will respond with their availability within **two (2) business days**, or immediately if deemed necessary.
 - iv. The NJDOT Scheduling Coordinator will monitor their email as well as the NJDOT Dropbox (njofgsso@dot.nj.gov) for responses and select the NJDOT Inspector for each inspection activity. The NJDOT Scheduling Coordinator will verify the inspector has valid certifications [contractor on-track safety training, Individual Training Plan (ITP)/Public Transportation Safety Certification Training Program (PTSCTP)] and competencies, prior to assigning an inspection activity. Training, Certifications, and competencies are tracked in the NJDOT Technical Training Plan (TTP). This ensures the qualifications and capability of NJDOT Inspectors in required areas of expertise.
 - v. The NJDOT Scheduling Coordinator will notify the NJDOT Inspector & the rail transit agency confirming the inspection activity(s) by sending a meeting using the NJDOT Dropbox email to both the NJDOT Inspector and the rail transit agency in accordance with the contact information maintained by the NJDOT. The meeting request will include the designated point of contact as well as any supporting documentation. In addition, the NJDOT Scheduling Coordinator will record the assignment in the “NJDOT RBI Index”.
- b. **Unannounced Inspections** – Once an unannounced inspection activity(s) is selected, the NJDOT Scheduling Coordinator will request NJDOT Inspector availability. This can be accomplished through email or other means, such as: telephone, electronic or virtual meeting format. The NJDOT Scheduling Coordinator will provide a list of available inspection activities and dates. NJDOT Inspectors will respond with their availability within **two (2) business days**, or immediately if deemed necessary.
- i. The NJDOT Scheduling Coordinator will monitor their NJDOT email as well as the NJDOT Dropbox (njofgsso@dot.nj.gov) for responses and select the NJDOT Inspector for each inspection activity. The NJDOT Scheduling Coordinator will verify the inspector has



valid certifications [contractor on-track safety training, Individual Training Plan (ITP)/Public Transportation Safety Certification Training Program (PTSCTP)] and competencies, prior to assigning an inspection activity. Training, Certifications, and competencies are tracked in the NJDOT Technical Training Plan (TTP). This ensures the qualifications and capability of NJDOT Inspectors in required areas of expertise.

- ii. The NJDOT Scheduling Coordinator will notify the NJDOT Inspector confirming the unannounced inspection activity(s) by sending a meeting using the NJDOT Dropbox email to the NJDOT Inspector. In addition, the NJDOT Scheduling Coordinator will record the assignment in the “NJDOT RBI Index”.

(5) Cancellations – The NJDOT must be promptly notified of any cancellations or changes to inspections from either the NJDOT Inspector or the rail transit agency. The rail transit agency will provide notification of any cancellations or changes as soon as possible. The notification must include an explanation for the cancellation or change.

- a. The NJDOT Scheduling Coordinator and NJDOT Inspector(s) will monitor their NJDOT email as well as the NJDOT Dropbox (njofgsso@dot.nj.gov) for any cancellations or changes.

- i. **Cancellation or changes by the Rail Transit Agency** – upon notification of a change or cancellation, the NJDOT Scheduling Coordinator will:

- (a) Make the appropriate internal notifications.
- (b) Record the change or cancellation on the “NJDOT RBI Index” as well as any explanations provided.
- (c) Attempt to reschedule and/or coordinate a different risk-based inspection activity, if feasible.

- ii. **Cancellation or changes by the NJDOT Inspector** - upon notification of a change or cancellation, the NJDOT Scheduling Coordinator will:

- (a) Make the appropriate internal notifications and attempt to reassign the inspection following Section 3 if there’s enough time.
 - (i). Update the meeting invitation as well as the “NJDOT RBI Index” to reflect the reassignment.
- (b) If there is not enough time to reassign, make the appropriate external notifications in accordance with the contact information maintained by the NJDOT.
 - (i). Cancel the meeting and record the cancellation on the “NJDOT RBI Index”.
 - (ii). Contact the transit agency to reschedule.



NJDOT Core Inspections

<u>Inspection Activity</u>	<u>Frequency</u>
001 I&M-Bridge & Viaduct Inspections	Triennially
002 I&M-Diesel Fuel/Storage (excludes PATCO/NLR/HBLR)	Annually
003a I&M-Emergency Fire Alarm System-Maint. Bldg.	Annually ^{DR}
003b I&M-Emergency Fire Detection System- Tunnel (excludes RL)	Annually ^{DR}
003c I&M-Emergency Fire Extinguishers-Tunnel (excludes RL)	Annually ^{DR}
003d I&M-Emergency Fire Sprinkler System-Maint. Bldg.	Annually ^{DR}
003e I&M-Emergency Fire Sprinkler System-Tunnel	Annually ^{DR}
003f I&M-Emergency FM 200/Halon Testing- Tunnel & Utility Bldg.	Annually ^{DR}
003g I&M-Emergency FM 200/Halon Testing-CIH	Annually ^{DR}
003h I&M-Emergency FM 200/Halon Testing-Maint. Bldg.	Annually ^{DR}
003i I&M-Emergency Gas Generator-Tunnel (excludes RL)	Annually ^{DR}
003j I&M-Emergency Generator & Fire pump	Annually ^{DR}
003k I&M-Emergency UPS system-Main. Bldg./Tunnel	Annually ^{DR}
003l I&M-Emergency Ventilation System-Tunnel (incl. Fire Door) (ex RL and PATCO)	Annually ^{DR}
004 I&M-Forklifts and Scissor lifts	Triennially
005 I&M-Grade Crossings (excludes PATCO)	Annually
006 I&M-Hoists, Cranes, Jacks & Lifts	Triennially
007 I&M-Maintenance Doors	Triennially
008 I&M-Maintenance Non-Rev. Rail Vehicle (Shuttlewagon, TUV, Hi Rail equip.)	Triennially
009 I&M-Paint Booth Air System (excludes PATCO)	Triennially
010 I&M-Passenger Rail Vehicle - Articulation Joints (excludes PATCO)	Triennially*
011 I&M-Passenger Rail Vehicle - ATP/ATC/ATO + Cab Signals	Annually
012 I&M-Passenger Rail Vehicle - Aux Power Supply**	Triennially
013 I&M-Passenger Rail Vehicle - Batteries, Lighting (external, internal & emergency)	Triennially
014 I&M-Passenger Rail Vehicle - Brakes & Deadman & Compressor**	Annually
015 I&M-Passenger Rail Vehicle - Converter	Triennially
016 I&M-Passenger Rail Vehicle – Couplers**	Annually
017 I&M-Passenger Rail Vehicle – Doors**	Annually
018 I&M-Passenger Rail Vehicle – Pantograph (excludes RL/PATCO)**	Annually
019 I&M-Passenger Rail Vehicle – Third Rail Shoes & Beam (ex. RL/HBLR/NLR)**	Annually
020 I&M-Passenger Rail Vehicle – Trucks & Traction Motors**	Annually
021 I&M-Passenger Rail Vehicle – Wheel gauge**	Annually
022 I&M-Radio system (includes tunnel)	Triennially
023 I&M-Pre-Trip Inspections	Triennially
024 I&M-Signal system-CIHs	Triennially
025 I&M-Switches - Mainline	Annually
026 I&M-Switches - Yard – Operations, Maintenance, or both	Annually
027 I&M-Track- Mainline	Annually
028 I&M-Track- Yard	Annually
029 I&M-Traction Power - OCS/3rd Rail – Yard (excludes RL)	Annually
030 I&M-Traction Power - OCS/3rd Rail- Mainline (excludes RL)	Annually
031 I&M-Traction Power- Substations (excludes RL)	Annually
032 I&M-Wheel Truing machine/Wheel profiling/Wheel Press/Stingers	Annually
033 Inspection-Blue Signal/Flag Protection Procedure	Annually
034 Inspection-Business Car (excludes PATCO/RL)	Quarterly
035 Inspection-Emergency Exercises/Drills	Annually



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036 Inspection-Vehicle Lock Out Tag Out Procedure	Annually
037 Inspection-Operations Control Center	Annually
038 Inspection-Radar Checks	Annually
039 Inspection-RWP Contractor Safety Training/Training Facility	Annually
040 Inspection-RWP Procedures and Compliance	Annually
041 Inspection-Safety/Operational Rules Compliance	Annually
042 Inspection-Shop Tour & Facility	Annually
043 Inspection-Station	Triennially
044 Inspection-Train Ride Along	Annually
045a-d Other-Quarterly Vehicle Maintenance Site Visit	Quarterly

Unless indicated, activity is performed at all rail transit agencies.

^{DR} Document Review

Triennially – every three years

** Required for competency.

Update:

- 01/27/2025 – Initial release