



Procedure SSO-017

Risk Based Inspection Program – Data Sharing & Collection

Current Version: 1/27/2025

Scope: This procedure provides the process in which the NJDOT acquires data from each transit agency to support risk-based inspection monitoring as well as prioritization activities. This procedure specifies what data sets are to be shared, the acceptable processes for sharing data, and the frequency in which the data is required to be shared. This procedure has been written in consultation with the transit agencies.

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) Data Sets to be Shared** – Rail Transit agencies are required to provide the NJDOT with data the rail transit agency collects when identifying hazards and assessing and mitigating safety risk, as well as Safety Program Data, Maintenance Data, & Inspection Data. This includes raw data and summary data. The NJDOT reserves the right to use RTA analysis results or conduct our own analysis (See Procedure SSO-019). **Table 1** outlines the different types of data and subcategories rail transit agencies are required to provide to the NJDOT. Further, the site-specific maintenance and inspection records/forms that are used by each agency under our jurisdiction are documented in indexes (spreadsheets) maintained by the NJDOT. These indexes are commensurate with the complexity of each rail transit agency and outline the data that is required to be submitted.

Table 1 – Data Collection Subcategories

Safety Program Data, which includes:	Maintenance Data, which includes:	Inspection Data, which includes:
<ul style="list-style-type: none">Records of events, including primary source information from each transit agency investigation if the transit agency completes investigations on behalf of the SSOA*Hazard records, including hazard source, associated consequences, safety risk ratings, and the status of any mitigationsSafety risk mitigation records, including before and after risk ratings, and how the transit agency monitors the implementation and effectiveness of safety risk mitigationsCorrective Action Plans*Records of near misses	<ul style="list-style-type: none">Inspection and maintenance records and report formsWork ordersRecords of failures and defectsRecords of revenue vehicles out of service, including causal informationMajor maintenance activity schedule and progressAdherence to maintenance schedules (Key Performance Indicators), including reports and documentation of deferred maintenance	<ul style="list-style-type: none">Inspection records and report formsRecords of failures and defectsRecords of speed restrictionsIncident and Safety Risk Mitigation VerificationAdherence to inspection schedules, including reports and documentation of inspections not performedCapital project schedules and progress



*The NJDOT may already collect some of the data as part of daily and monthly reporting.

Note: Data that contains Personally Identifiable Information (PII) or Sensitive Security Information (SSI) must still be shared or made available. Sensitive information can be redacted or protected, as required (See Procedure SSO-018 for additional requirements). Additionally, it is understood that some security sensitive information may be required to be reviewed on site.

(2) **Monthly RBI Report** – The NJDOT requires each rail transit agency to submit a monthly RBI report in editable format. The report incorporates various datasets outlined in Table 1, including Inspection & Maintenance Program Key Performance Indicators, Defects, Records of Near Misses, Speed Restrictions, Revenue Vehicles Out of Service, etc. Rail transit agencies can use the NJDOT's report format or submit their own report(s). An example of the NJDOT report can be found in **Exhibit 1**. Note: Some data is routinely provided through established processes. For example, Speed Restrictions may be included in daily dispatch reports and therefore would not require a duplicate monthly submission.

a. **Additional Data** – In addition to the data sets outlined above, the NJDOT reserves the right to require additional data to support its Risk Based Inspection Program. Additional data may be needed urgently and will be requested on a case-by-case basis through formal Request for Information (RFI), email/telephonic requests, or during on-site inspections.

i. The transit agency will comply with any additional data requests.

(3) **Processes for Sharing the Data** – The following processes for data sharing are acceptable:

a. **Direct Access** – the rail transit agency provides NJDOT access to a data system(s) that is used by the agency to store data, streamlining data sharing. The rail transit agency will provide access and training as necessary and notify the NJDOT when the documents are available.

b. **Electronic Submission** – the rail transit agency submits data through email or an approved NJDOT file share service or an external hard drive. The NJDOT can offer file share service capability.

PATCO will provide data via direct access, while NJ Transit will provide data through electronic submission. Rail transit agencies can request to use either process, provided they give adequate notification to the NJDOT.

(4) **Data Formats** – Rail transit agencies are required to share data in universally accepted formats that are widely accessible. Examples are *.doc*, *.pdf*, *.xls*, *.png*, *.jpeg*, *mp3*, *mpeg4*, *avi*, etc. Additional formats may be accepted upon NJDOT's discretion and accessibility. Transit agencies should standardize formatting and ensure uniform naming conventions for files.

(5) **Frequency** – Rail transit agencies are required to provide direct access or electronically submit data (including the Monthly RBI Report) to the NJDOT by the 15th of each month (covering the previous month's data).

a. If the rail transit agency is unable to comply with the deadline, they must request an extension, in writing, and provide an explanation for the delay.



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Note: Daily reporting (dispatcher/occurrence logs, safety event notifications/reports, etc.) and other monthly reporting requirements (hazard logs, corrective action logs, safety event logs, etc.) shall remain unchanged.

- (6) Enforcement Actions** - Should the transit agency fail to provide direct access or electronically submit the required data within the designated timeframes or formatting, the NJDOT will contact the rail transit agency and discuss any deficiencies with the Chief Safety Officer (SMS Executive). The rail transit agency will cooperate and address any concerns.
- a. If the transit agency does not cooperate, a Notice of Administrative Violation will be issued in accordance with Procedure SSO-004.



Exhibit 1 – Monthly RBI Report

(See attachment)



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Update:

- 1/27/25 – Initial release