Procedure SSO-018

Risk Based Inspection Program – Data Management System

Current Version: 1/27/2025

Scope: This procedure describes the NJDOT's data management system, including details on how records and data are stored, managed, and maintained. 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 Storage and Database** – The NJDOT uses a combination of a cloud-based storage/file transfer platforms (such as SharePoint, SimpliGov, MoveIT) and databases [such as Spreadsheets, Accident Incident (ACID) Database] to store data. These have the capacity to accurately store/transfer records and dynamically adapt to any future needs.

   a. **SharePoint** – a secure platform used to store, organize, share and access all program-related information and electronic files, including the data that is collected from the transit agencies. Examples include, but are not limited to: inspection, maintenance, & investigation reports, logs/spreadsheets, procedures, photographs/videos, meeting minutes, NJDOT RBI Index, etc.

   b. **SimpliGov** – a cloud-based workflow automation platform with digital forms and file sharing capability.

   c. **MOVEit** – a cloud-based file transfer software product that encrypts files.

   d. **Databases** – Spreadsheets and access databases - used to record, analyze, process, and track data as well as RBI inspection reports and inspection prioritization.

(2) **Data Management System Maintenance** – the SharePoint platform is managed and maintained by the NJDOT IT Department. The spreadsheets, access databases, and SimpliGOV are managed and maintained by the NJDOT SSOA. Both SharePoint and the access databases incorporate redundancy measures for backup purposes.

(3) **Data Organization** – The NJDOT will analyze and organize data collected from the rail transit agencies. The raw data (e.g., inspection & maintenance records, reports, etc.) is organized by rail transit agency, department, and tasks, as necessary. From this, select data is integrated into the spreadsheets and ACID Database for tracking and analysis to support risk-based monitoring. Examples include data pertinent to Safety Events, Near-Misses, Corrective Action Plans, Risk Based Inspection Reports, Findings and Resolution, etc. Other data, such as Inspection & Maintenance Key Performance Indicators, Defects and resolutions, and Deferred Maintenance are tracked via rail transit agency reports. These reports are used by the NJDOT for analysis.

(4) **Data Accessibility, Security and Assurances** – NJDOT's SharePoint is accessible only to individuals who have been granted access through internal NJDOT controls. The NJDOT requires two-factor authentication for all accounts.

   NJDOT RBI Staff will review monthly data submissions (direct access and electronic) and verify all required data was provided by the transit agency on time and in acceptable formats. The NJDOT will

use the site-specific maintenance and inspection records/forms indexes (spreadsheets) to verify submission.

The NJDOT will ensure that the system accurately stores records through training, quality assurance reviews, and tracking of changes/modifications through a dedicated spreadsheet. In addition, the access databases include some data restrictions and data validation programming to ensure accuracy.

(5) Security Sensitive Information (SSI) rail transit agencies are responsible for ensuring the protection of SSI information in accordance with SSO-018. The NJDOT will identify any documentation that contains SSI and communicate the need for redaction to the rail transit agency as necessary.

(6) Data Retention & Disposal – Data collected from the rail transit agency will be maintained and disposed of in accordance with the *Destruction of Public Records Act of 1953 (P.L. 1953, c. 410)*. New Jersey records storage standards can be found in the New Jersey Administrative Code 15:3: Subchapter 6: Records Storage.

The raw data of inspection & maintenance checklists/forms will be retained until data has been entered or otherwise incorporated into the electronic records system or database and verified. As the raw data is owned by the rail transit agencies, they are required to maintain this data in accordance with 49 CFR 673 (three years).

Update:

- 1/27/2025 – Initial release