



The Massachusetts Bay Transportation Authority

Corrective Action Plan (CAP)

FTA-22-9-MBTA-CAT1-1

BACKGROUND

Overview: FTA issued Special Directive 22-9 to require the Massachusetts Bay Transportation Authority (MBTA) to address findings documented in FTA's Safety Management Inspection (SMI) report released on August 31, 2022. Conducted between April 14 and June 30, 2022, FTA's SMI reviewed the MBTA rail transit system management, operations, and maintenance programs. This Special Directive identifies four findings requiring action that the MBTA must take to address FTA's findings. The findings and required actions outlined in this Special Directive will assist the MBTA in focusing its attention on balancing demands from operations and capital projects with workforce capacity and capability to inform resource prioritization.

PURPOSE

This Corrective Action Plan has been developed to address **Special Directive No. 22-9, Category 1: Managing the Impact of Operations, Maintenance, and Capital Project Requirements on the Existing Workforce**

FTA Finding

Managing the Impact of Operations, Maintenance, and Capital Project Requirements on the Existing Workforce

- Finding 1: MBTA's staffing levels are not commensurate with the demand for human resources required to carry out current rail transit operations and maintenance in addition to executing capital program activities.

FTA Required Action

MBTA must conduct and submit to FTA a workforce analysis and associated workforce planning to include:

1. *Required activities that must be performed for rail transit operations, maintenance, and capital projects delivery:* A description of present and projected day-to-day requirements for rail transit operations, preventive and corrective maintenance, and capital project delivery through the next five fiscal years.
2. *Required resources to perform mission-critical activities:* A description of the assignment of the necessary human resources to support present and projected day-to-day requirements for rail transit operations, preventive and corrective maintenance, and capital project delivery through the next five fiscal years per the description above.
3. *Current staffing capabilities for mission-critical activities:* The results of an assessment of MBTA's ability to safely operate, maintain, and complete capital project delivery for its rail transit system at current service levels of workforce.
4. *Safety case for mission-critical activities that can be performed within current and projected resources over the next five fiscal years:* The identification of safety risk associated with current staffing shortages and how they are or will be mitigated and any needed changes or reductions in activities.

ANALYSIS AND RECOMMENDATIONS

Analysis

In the past several years, different divisions at the MBTA have attempted to conduct workforce assessments. However, each attempt had a specific scope, and therefore was either not comprehensive or assumptions were too high-level for the model to be operable. To meet the demand for resources that are required to safely perform all rail transit operations, maintenance, and capital project delivery, the MBTA will conduct a workforce assessment with a holistic approach. The MBTA will also analyze the data currently available and the data that will be developed to ensure that the assessment is comprehensive and manageable over the next 5-year period and beyond.

Recommendations

MBTA will conduct a workforce assessment that will establish a baseline of minimum staffing levels necessary to deliver safe and effective transit services, bring the system to a state of good repair, ensure execution of capital improvements



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and provide required administrative support. In order to ensure that this workforce assessment is comprehensive, authority-wide and independent, the MBTA will hire a consultant (or a team thereof) to create this assessment.

ACTION PLAN

Description: MBTA will hire a consultant to assist in the completion of an authority-wide workforce assessment. The assessment will include a review of industry best practices, definitions of the MBTA's "mission critical" activities, and analysis of (a) the staffing level required to support mission critical activities, (b) the MBTA's ability to support those activities with current staffing levels, and (c) a risk assessment and mitigation strategy for any identified gaps between current staffing and the staffing level required to support mission critical activities.

PLAN STRUCTURE

#	Actionable Items	Description	Responsible Party ¹	Est Start ²	Est End ³
1	Develop an advisory group to lead consultant engagement for workforce assessment	Establish a Workforce Assessment Advisory Group (WAAG) and Workforce Assessment Executive Steering Committee (WAESC) comprised of stakeholder groups that will work collectively to partner with, support, and oversee the consultant contracted to create the authority-wide workforce assessment.	QCOO: Katie Choe Administration: Howaida Kamel	10/1/2022	10/15/2022
2	Procure consulting services	Issue an RFP for consulting services to review industry best practices, define scope of required actions to support day to day operations, maintenance, and capital support, identify required resources to support identified activities, evaluate current staffing levels to support mission-critical activities, and perform a safety risk assessment. Scope will also include the hiring plan specified in SD 22-9 Finding 2.	QCOO: Katie Choe GM: Lynsey Heffernan HR: Tom Waye	10/1/2022	11/10/2022
3	Strategic Planning Session	Conduct a strategic planning session for SD 22-9 Finding 1 CAP implementation with the WAAG identified in Actionable Item #1.	QCOO: Katie Choe GM: Lynsey Heffernan	10/15/2022	10/31/2022
4	Onboard consultant	Onboard selected consultant	QCOO: Katie Choe Administration: Howaida Kamel	11/14/2022	1/17/2023

¹ In the event of personnel or departmental changes, responsibilities for actionable items shall transfer to the new leadership.

² Est Start – Estimated Start Date

³ Est End Estimated Completion Date



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5	Establish required activities and define key terms	Develop list of required activities that must be performed to support safe operations, maintenance, and capital project delivery. Establish and agree on the operational definitions of key terms, such as "mission-critical" and develop the criteria for assessing safety risk.	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Charles Thorn Administration: Howaida Kamel Safety: Ron Ester	12/1/2022	2/23/2023
6	Prepare and review first draft of workforce assessment	Consultant will prepare and deliver to the MBTA for review a first draft of the initial workforce assessment. To develop the first phase, the consultant will collect information from members of the WAAG, subject-matter experts within departments, including frontline and supervisory personnel The first draft will be reviewed by the WAAG, WAEC, and Department Heads	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Charles Thorn Administration: Howaida Kamel	1/18/2023	4/27/2023
7	Establish resource needs for mission-critical activities and current staffing capabilities for mission-critical activities	Consultant will complete and deliver to the MBTA a revised draft of the initial workforce assessment, establishing resource needs for mission-critical activities and assessing current staffing capabilities for mission-critical activities.	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Charles Thorn Administration: Howaida Kamel	4/28/2023	5/31/2023
8	Prepare and review first draft of safety risk assessment	Consultant will prepare and deliver to the MBTA a first draft of the workforce safety risk assessment for review by the MBTA. The first draft will be reviewed by the Safety Department and the WAAG.	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Charles Thorn Administration: Howaida Kamel Safety: Ron Ester	4/28/2023	7/31/2023
9	Finalize safety risk assessment	Consultant will complete and deliver to the MBTA a revised draft of the workforce safety risk assessment. The revised draft will be reviewed for approval by the WAESC.	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Charles Thorn Administration: Howaida Kamel Safety: Ron Ester	8/1/2023	8/31/2023
10	Final MBTA internal review and sign-off of workforce assessment	MBTA senior leadership will review the workforce assessment and work with the consultant(s) to address any outstanding issues that may prevent successful utilization of the workforce assessment. Following successful finalization of the assessment, MBTA leadership will formally sign off on the assessment.	QCOO: Katie Choe Operations: Jeff Gonneville Capital: Jay Neider Administration: David Panagore Safety: Ron Ester	9/1/2023	9/28/2023
10.A	Present Workforce Assessment to MBTA Board	Present the results of the final Workforce Assessment to the MBTA Board	Administration: David Panagore Operations: Jeff Gonneville	10/1/2023	12/31/2023



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11	CAP Verification	MBTA departments will evaluate actionable items/deliverables before submission to FTA to confirm there is reasonable evidence that the findings and this required action have been resolved, considering the scope and performance measures.	QCOO: Katie Choe Safety: Ron Ester	ongoing	
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COMPLETION DOCUMENTATION

Performance Metrics

The metrics in evaluating the performance of this action plan will be based on the successful completion of the deliverables on or before the determined schedule.

Verification

Documentation for each of the deliverables will be reviewed by MBTA senior leadership. Timelines of submission in relation to project plan will be monitored by the Office of Quality Compliance and Oversight. Board presentations and documentation will be publicly available via MBTA.com.

BUDGET/COST ESTIMATE

Overview: Consultant expenses for creation of the workforce assessment. The budget values below are estimates that will require further refinement as the work associated with this CAP is developed and implemented.

Segment Code	Cost Estimate
Consultant – Workforce Assessment	\$1,500,000
Consultant – Safety Risk Assessment	\$1,500,000
30% Contingency	\$900,000
Total	\$3,900,000



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CORRECTIVE ACTION PLAN COMMITMENT

Responsible Parties

Department ⁴	Name	email	Signature DocuSigned by:
Administration	Sarah Montague <i>Director of Performance & Process Improvement</i>	[Redacted]	Sarah Montague DocuSigned by: 1F5DA2CA848B4D6...
General Manager	Lynsey Heffernan <i>AGM of Policy & Transit Planning</i>	[Redacted]	Lynsey Heffernan DocuSigned by: 68022497BCF94B6...
Capital Programs	Charles Thorn <i>Deputy Chief of Capital Programs</i>	[Redacted]	Charles Thorn DocuSigned by: 0275B64F42834E7...
Finance	Mary Ann O'Hara <i>Chief Financial Officer</i>	[Redacted]	Mary Ann O'Hara DocuSigned by: 3F02AECAC6884B1...
Human Resources	Tom Waye <i>Chief Human Resources Officer</i>	[Redacted]	Tom Waye DocuSigned by: 06923A79EBBE462...
Operations	Erik Stoothoff <i>Acting Chief Operating Officer</i>	[Redacted]	Erik Stoothoff DocuSigned by: 420D662BD86D47B...
Procurement	Jeff Cook <i>Chief Procurement & Contract Administration Officer</i>	[Redacted]	Jeff Cook DocuSigned by: B8296B90D874B0...
Labor Relations	Ahmad Barnes <i>Sr Director of Labor Relations</i>	[Redacted]	Ahmad Barnes DocuSigned by: C905D70689224D6...

Executive Leadership of Responsible Parties

DocuSigned by:

 3BE466B7125C441...
Jeffrey D. Gonneville
MBTA Deputy General Manager

12/29/2022

Date

DocuSigned by:

 1816C5AFC522457...
David Panagore
MBTA Chief Administrative Officer

December 21, 2022

Date

⁴ Offices designated as supporting roles provide subject matter expertise to responsible parties during action development and are not directly responsible for delivery of actionable items listed above.



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Executive Leadership of Responsible Parties

<p>DocuSigned by:  <small>8F5D73951C94413</small> James Neider <i>MBTA Chief of Capital Programs</i></p>	<p>December 17, 2022</p> <hr/> <p>Date</p>
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<p>DocuSigned by:  <small>3000898240064E6</small> Katie Choe <i>MBTA Chief of Quality, Compliance, and Oversight</i></p>	<p>December 22, 2022</p> <hr/> <p>Date</p>
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<p>DocuSigned by:  <small>30C25B06E237430</small> Ronald Ester <i>MBTA Chief Safety Officer</i></p>	<p>12/30/2022</p> <hr/> <p>Date</p>
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<p>DocuSigned by:  <small>8B8CDDC4491D4D5</small> Steve Poftak <i>MBTA General Manager</i></p>	<p>December 19, 2022</p> <hr/> <p>Date</p>
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