



# Massachusetts Bay Transportation Authority

**FTA Safety Management Inspection Update**

**MBTA Safety, Health & Environment Committee Meeting**

**April 11, 2024**

**Meredith Sandberg, Chief of Quality, Compliance & Oversight**



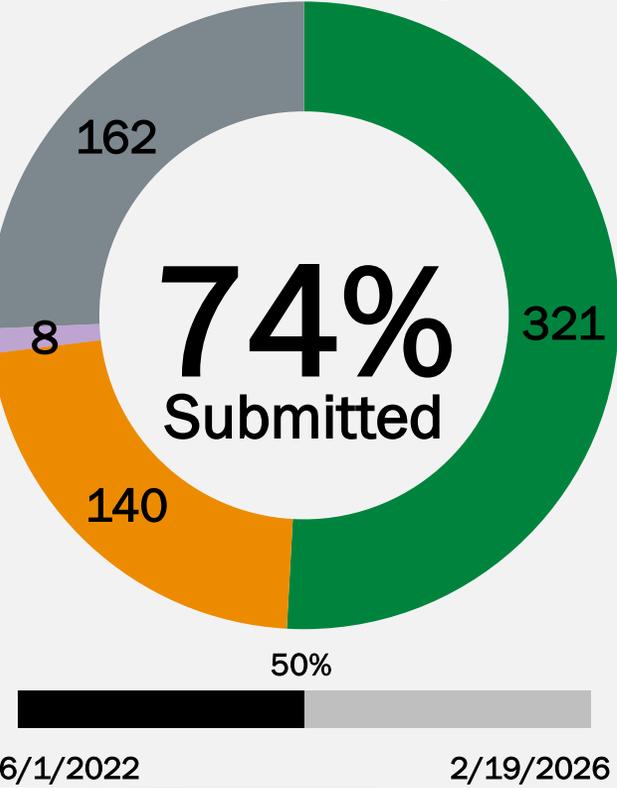
# Much of DPU's Triennial Audit will be addressed with currently planned work; working with Safety to plan for all

| Triennial Audit Grouping   | DPU Findings | Addressed with current work | DPU Recommendations | Addressed with current work | DPU Identified Opportunities | Addressed with current work |
|--|--------------|-----------------------------|---------------------|-----------------------------|------------------------------|-----------------------------|
| Grouping 01. ASP Updates and Safety Management System ("SMS") Implementation | 2            | -                           | 5                   | 2                           | -                            | -                           |
| Grouping 02. Safety Management Policy  | -            | -                           | 1                   | -                           | 2                            | 1                           |
| Grouping 03. Safety Risk Management  | 1            | -                           | 4                   | 3                           | 3                            | 3                           |
| Grouping 04. Safety Assurance – Performance Measure                          | -            | -                           | 6                   | 2                           | 2                            | 2                           |
| Grouping 05. Safety Assurance – Notifications and Investigations             | 5            | 1                           | 9                   | 3                           | 3                            | 3                           |
| Grouping 06. Safety Assurance – Compliance with Rules/Procedures             | 4            | 3                           | 5                   | 3                           | 2                            | 2                           |
| Grouping 07. Safety Assurance – Compliance with Inspections and Maintenance  | 3            | 2                           | 6                   | 6                           | 2                            | 2                           |
| Grouping 08. Safety Assurance – Compliance with Federal, State, and Local    | 1            | -                           | 5                   | -                           | 1                            | -                           |
| Grouping 09. SA – Management of Change                                       | 3            | 3                           | 3                   | 2                           | 2                            | -                           |
| Grouping 10. Safety Assurance – Continuous Improvement                       | -            | -                           | 4                   | -                           | 3                            | -                           |
| Grouping 11. Safety Promotion – Competency and Training                      | 3            | 3                           | 8                   | 8                           | 1                            | 1                           |
| Grouping 12. Safety Promotion – Safety Communication                         | -            | -                           | 6                   | 3                           | 6                            | 5                           |
| <b>Total</b>   | <b>22</b>    | <b>12</b>                   | <b>62</b>           | <b>32</b>                   | <b>27</b>                    | <b>19</b>                   |
|  |              | <b>55%</b>                  |                     | <b>52%</b>                  |                              | <b>70%</b>                  |

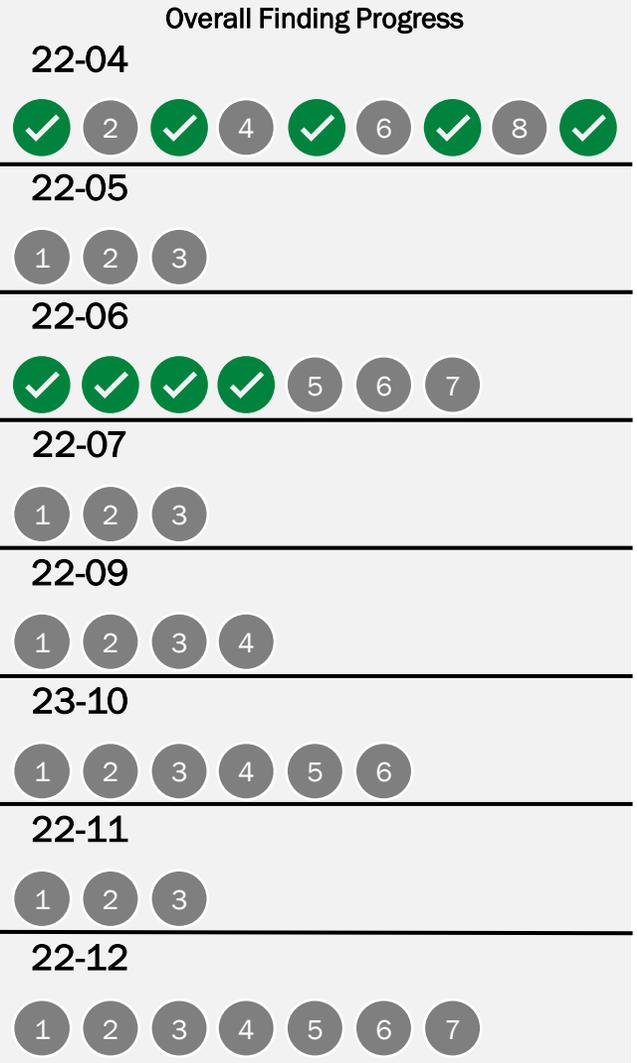
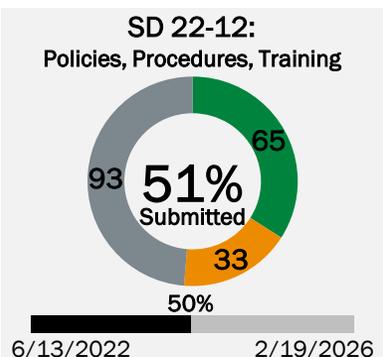
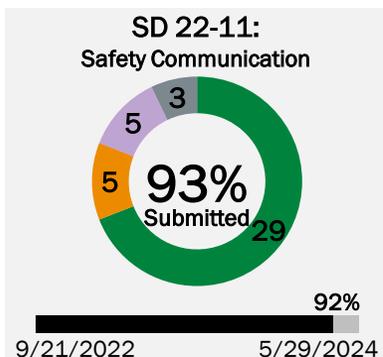
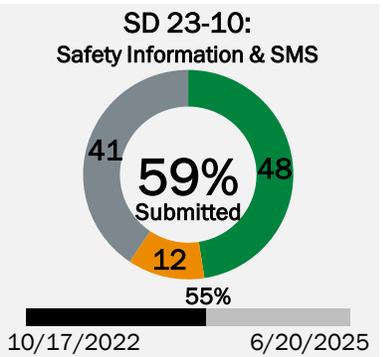
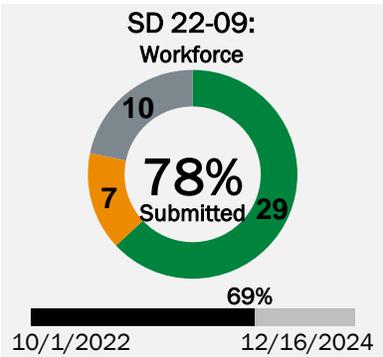
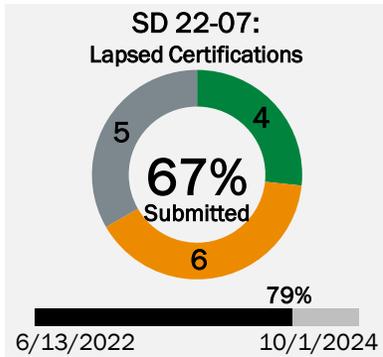
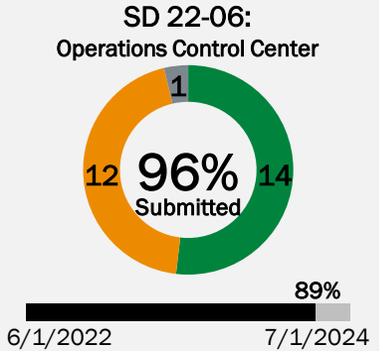
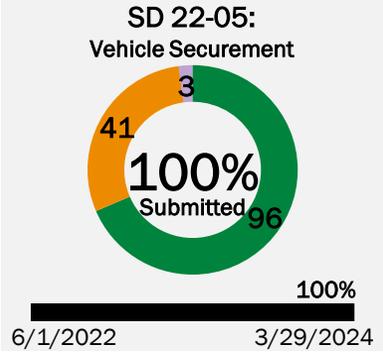
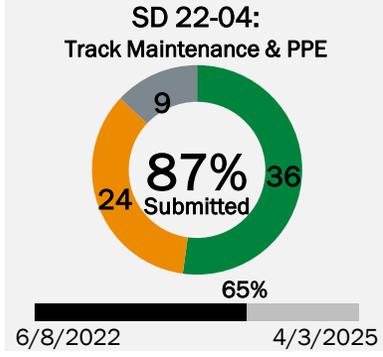
The screenshot displays a web page from the Massachusetts Bay Transportation Authority (MBTA) regarding a Corrective Action Plan (CAP) for FTA 23-10-MBTA-CAT2-1. The page is titled 'Safety Information and Safety Management System (SMS)'. It includes sections for 'BACKGROUND', 'PURPOSE', 'FTA Findings', and 'ANALYSIS AND ANALYSIS'. A sidebar on the right features a circular progress indicator showing '71% Submitted' for the 'FTA Safety Management Inspection Response'. Below this, there is a section for 'MBTA Careers' with a photo of staff members.

# FTA SMI Response Progress Summary

## Overall CAP Progress<sup>1</sup>



|                  |         |    |
|------------------|---------|----|
| Overall Findings | Total   | 42 |
|                  | Closed  | 9  |
|                  | Ongoing | 33 |



✓ Finding Closed

1. Total of 631 actionable items; inclusive of updated 23-10 & 23-12 CAPs, does not include IAL items



Questions?

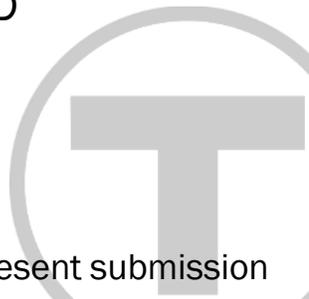
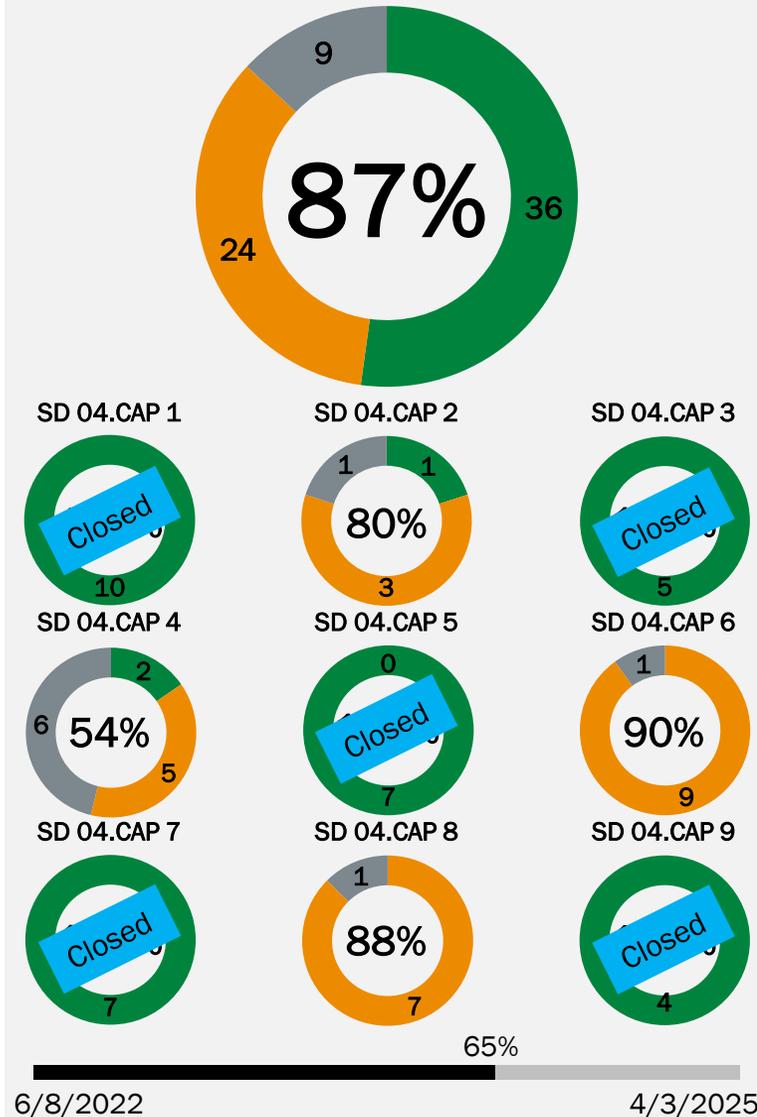
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# Appendix

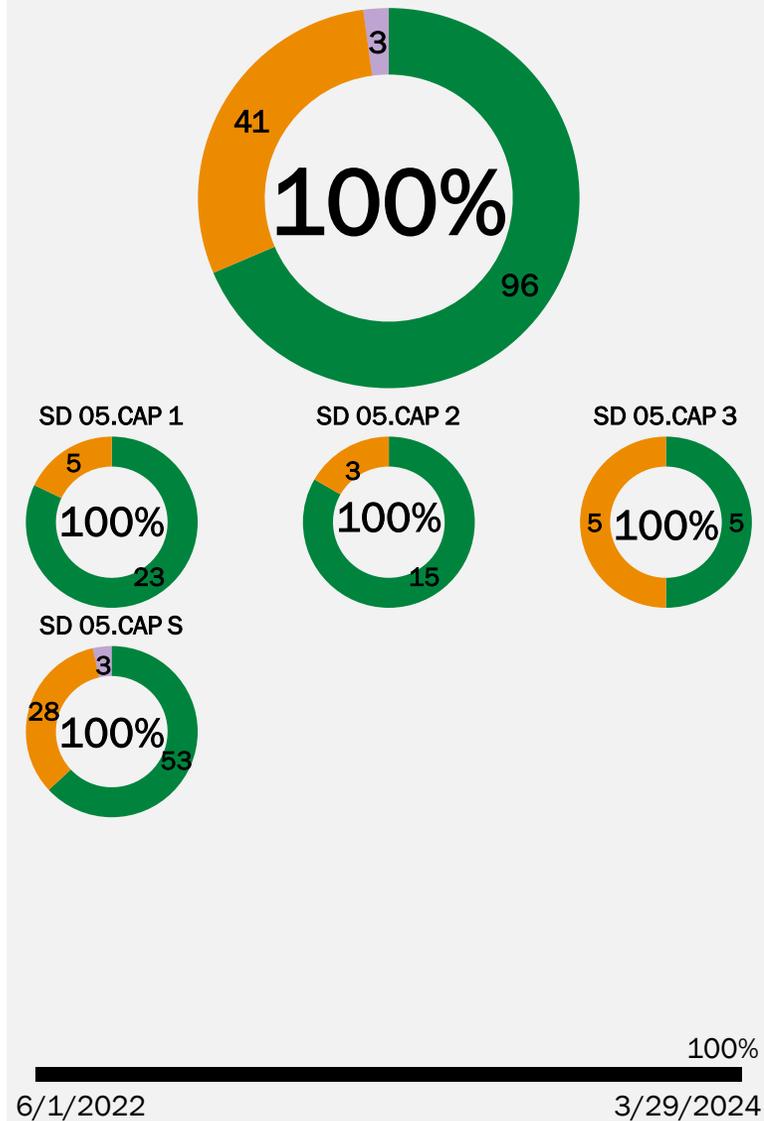


# SD 22-4: Track Maintenance & PPE

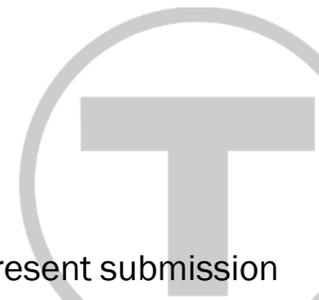
- ✓ F1: Published updated Rulebook for Operations Employees incorporating PPE requirements – CAP CLOSED
- F2: **All action items completed**
- ✓ F3: Raised Tufts Curve Speed Restriction after completing Cologne Egg replacement – CAP CLOSED
- F4: Developed schedule for ROW Access for MOW – Track Improvement Program (TIP) – relief approved for remaining action items on 2/21/24
- ✓ F5: Submitted budget requests for MOW equipment and resource needs – CAP CLOSED 12/22/23
- F6: Developed Capital Funding Request & Plan for Accelerated Implementation of EAM – Trapeze demo for FTA planned for April on site
- ✓ F7: Developed and Implemented New Weekly Track Conditions Report for Executives – CAP Closed 2/9/24
- F8: **Submitted SMRP metrics to FTA for our quarterly update 3/29/23**
- ✓ F9: Restored Green Line Work Train to Working Order – CAP CLOSED



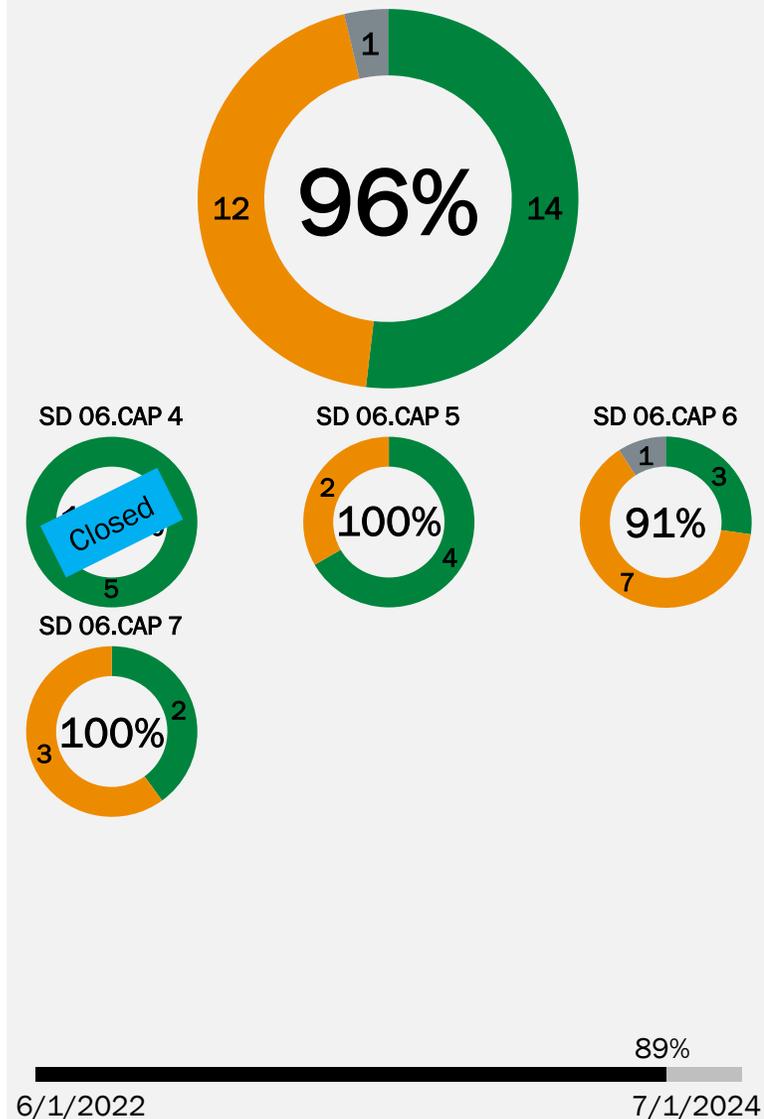
# SD 22-5: Vehicle Securement



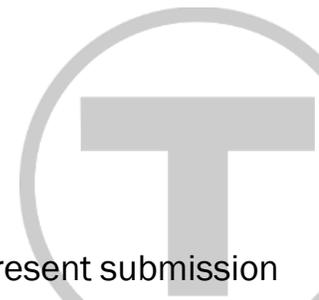
- F1: Procedures for Safe Movements of Rail Vehicles– all action items completed, in FTA verification
- F2: Training for SMRV Procedures – all action items completed, in FTA verification
- F3: Implemented Compliance Program for Safe Movement, all action items completed, in FTA verification
- Supplemental: **All action items completed. Under FTA review.**



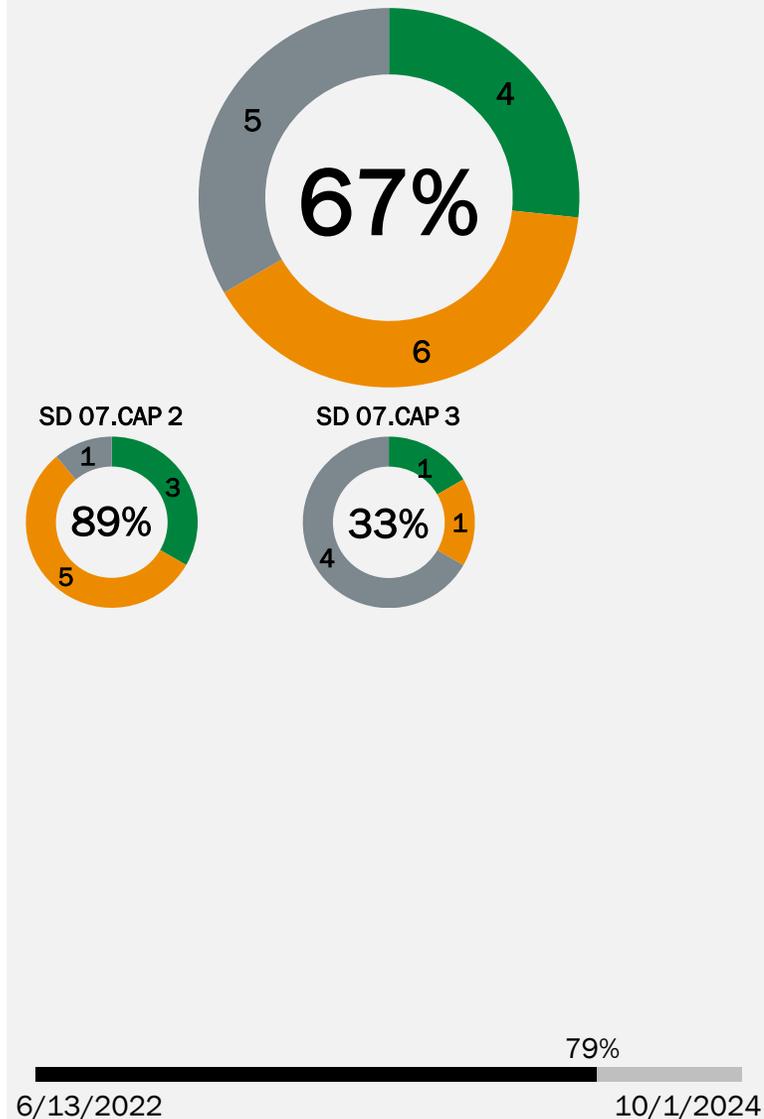
# SD 22-6: Operations Control Center



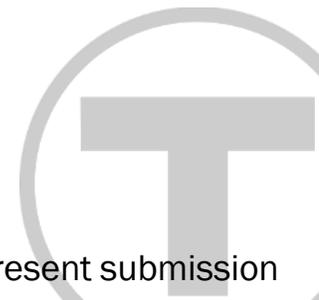
- ✓ F1: Ensured that staff working in OCC are certified – FINDING CLOSED
- ✓ F2: Established policies to ensure OCC staff have sufficient time off between shifts – FINDING CLOSED
- ✓ F3: Established Operating Procedures to Ensure No Staff Performing Dual Roles – FINDING CLOSED
- ✓ F4: Ensured 100% Compliance with Work Hour Restrictions – CAP CLOSED
- F5: Staffed to 27 RTL Dispatchers Including Supplemental Resources - all action items completed, under FTA verification
- F6: Implementing plan to make OCC role more attractive (OCC renovation in design phase) – Held PDG meeting for design & construction of new OCC room.
- F7: Submitted Plan for Formal tracking and notification system – all action items completed.



# SD 22-7: Lapsed Certification Process



- F1: Ensured 100% of Operating Personnel Are Current in Certifications – Finding Closure Requested
- F2: Ensured 100% of Operating Personnel Are Current in Certifications – all action items completed.
- F3: Ensured 100% of Operating Personnel Are Current in Certifications; Designing and Implementing Certification Management Procedures - dashboard went live 2/1/24.



Submissions Accepted

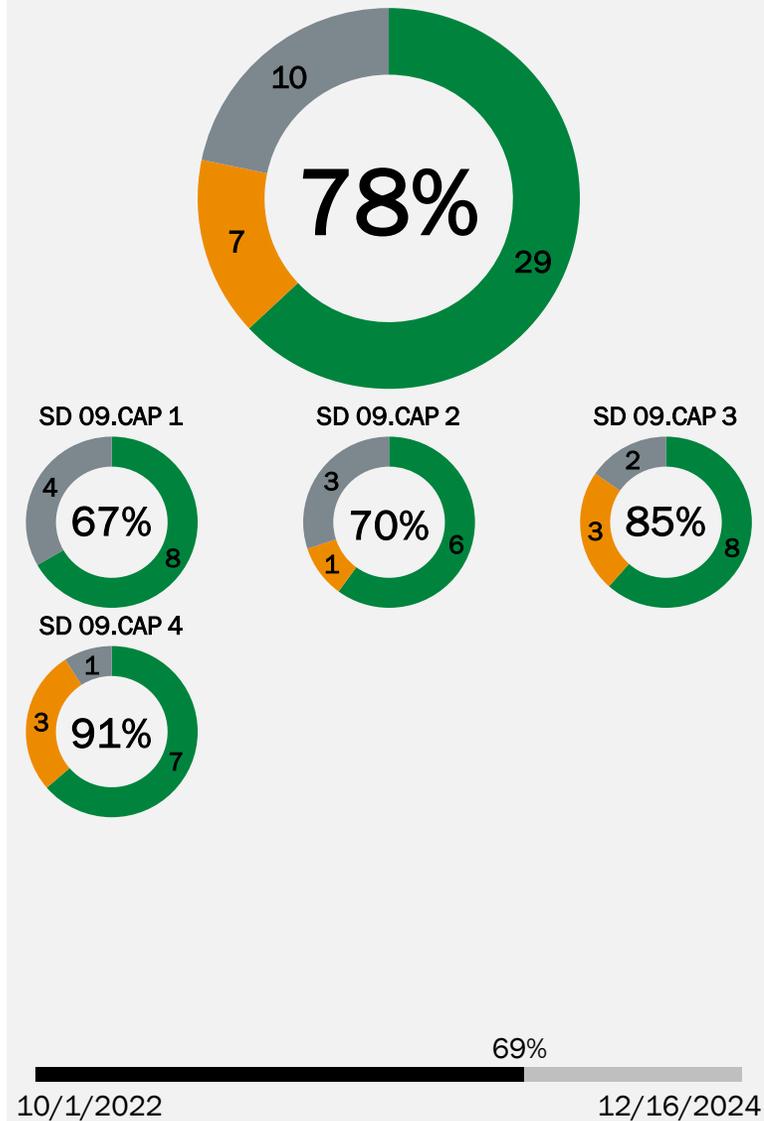
Under FTA Review

Resubmittal Required

Not Yet Submitted

# SD 22-9: Workforce

- F1: Workforce Assessment: Progressing toward completing WFA modeling.
- F2: Hiring Plan: Conducted an industry scan of transit agency recruitment, hiring, and retention practices which will inform potential practices that a transportation agency may choose to implement in efforts to mitigate workforce challenges
- F3: Updated Safety Certification policy for identified gaps, developing training on new policy.
- F4: Contractor Oversight: All action items completed.



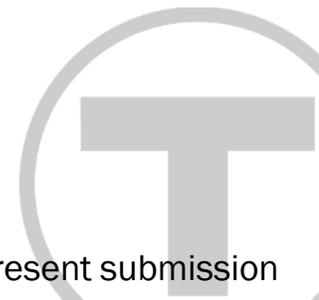
10/1/2022

12/16/2024

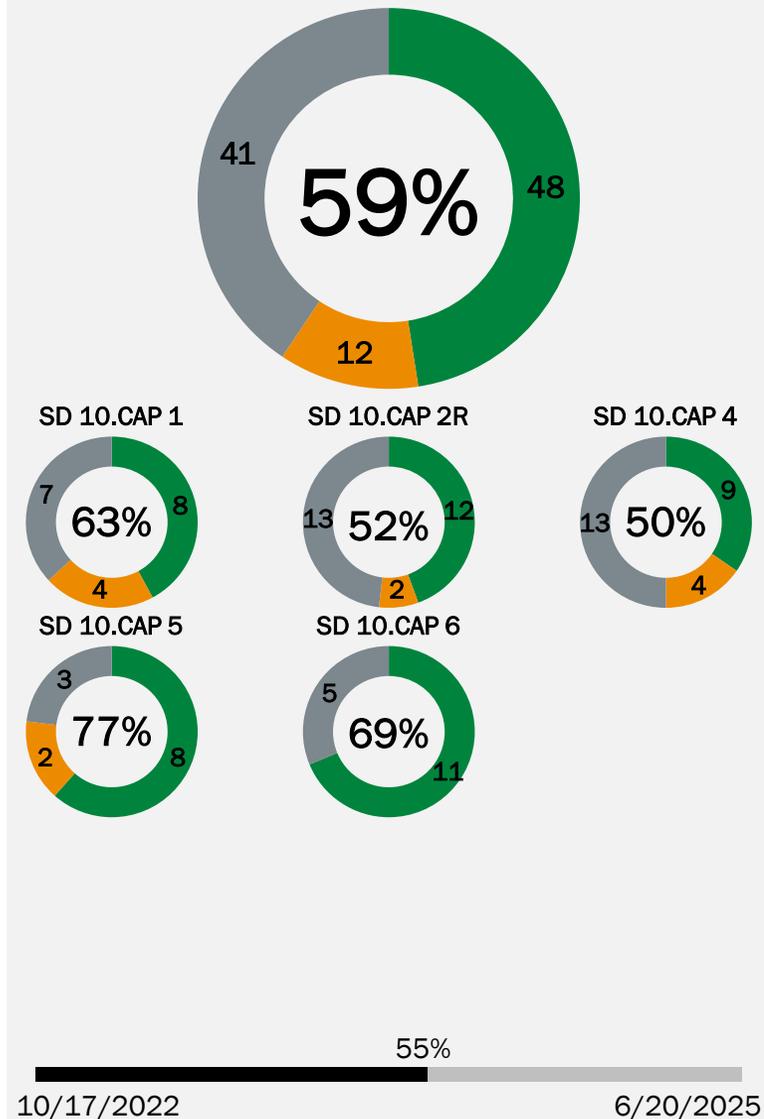
Data as of: March 31, 2024

Draft for Discussion & Policy Purposes Only

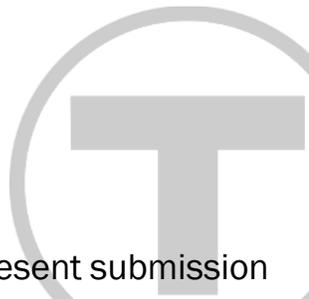
Note: Percentages in charts represent submission



# SD 23-10: Safety Information & SMS

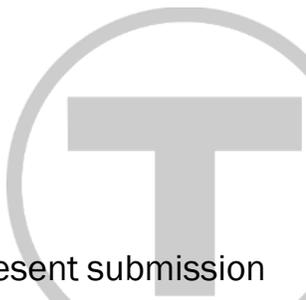
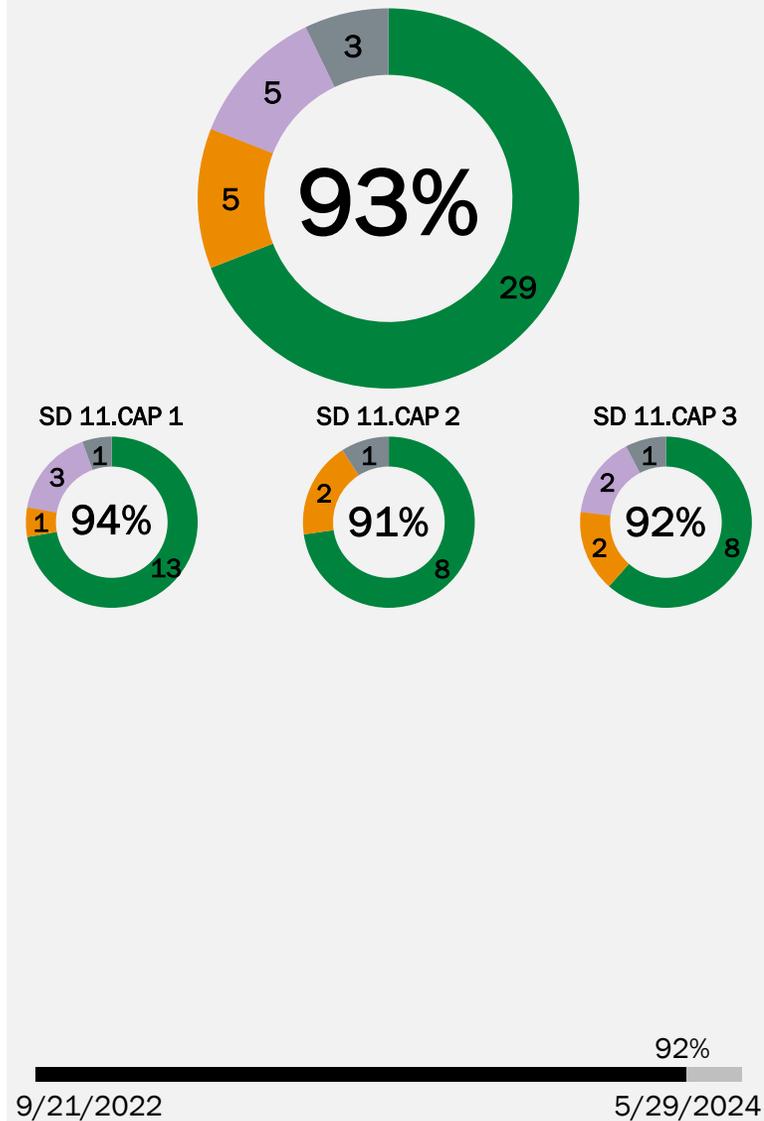


- F1: FTA accepted SMS Gap analysis, developing implementation plan to close gaps
- F2/F3: Assessed responsible parties for risk acceptance
- F4: **Implementing plan to complete backlog of reports**
- F5: **Identifying gaps Safety Risk Assessment Training**
- F6: Evaluating Safety Data products
- Completed Safety Department Staffing Analysis and submitting weekly hiring updates to FTA, completed Strategic Hiring Plan

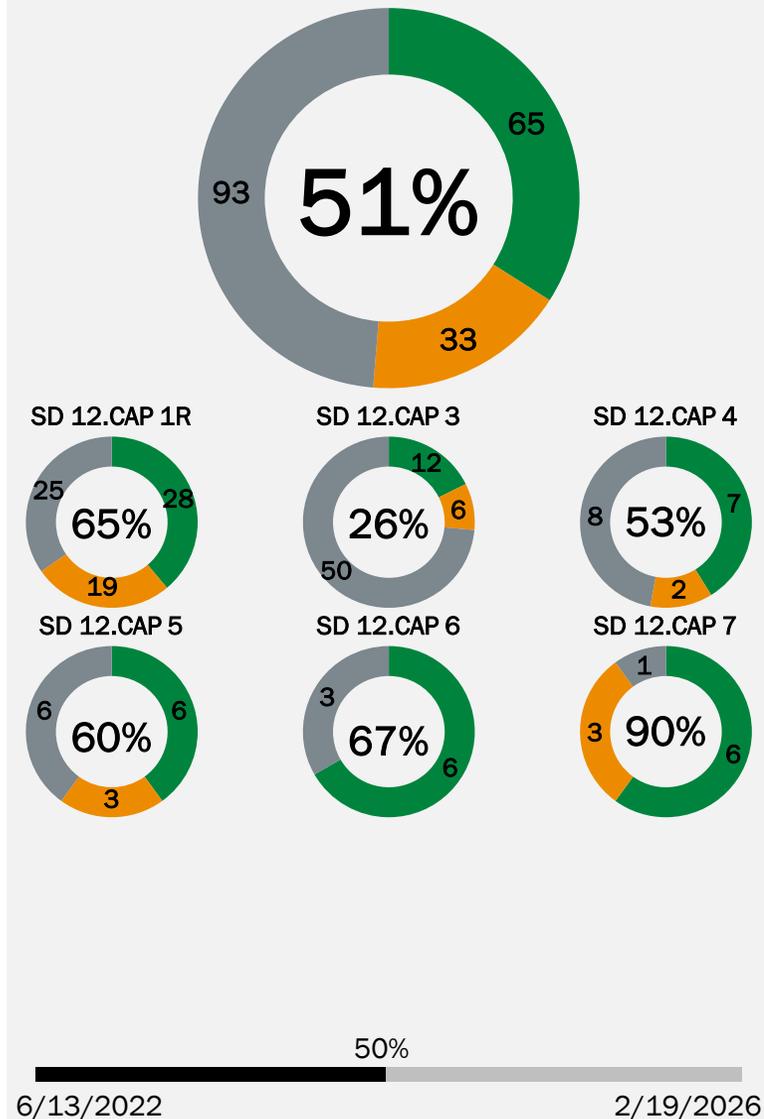


# SD 22-11: Safety Communication

- F1: All action items completed, under FTA verification
- F2: All action items completed, under FTA verification
- F3: All action items completed, under FTA verification



# SD 22-12: Policies, Procedures & Training



- F1/F2: Developed thematic areas for Compliance
- F3: **Inventoried Current State of Quality Management activities for VM & VE**
- F4: Developed Recommendations for Centralized Training Governance
- F5: Developed plan for digitization for PMIs for E&M and VM
- F6: Evaluated program design for Rail Ops mentorship
- F7: Completed all action items, FTA verified quarterly Radio Weak Spots assessment.

