Massachusetts Bay Transportation Authority

FTA Safety Management Inspection Update
MBTA Board of Directors Meeting
April 24, 2025
Meredith Sandberg, Chief of Quality, Compliance & Oversight

SMI Quarterly Update

Quality, Compliance & Oversight

Draft for Discussion & Policy Purposes Only

FTA SMI Response Progress Summary

Legend: 🟩 Submissions Accepted 🟧 Under FTA Review 🟪 Resubmittal Required ⬛ Not Yet Submitted

Overall CAP Progress[1]

90% Submitted

- 495 (green)
- 77 (orange)
- 62 (gray)

63%

6/1/2022 — 12/21/2026

Overall Findings

Total	42
Closed	27
Ongoing	15

SD 22-04: Track Maintenance & PPE
79% Submitted
- 58, 6, 17
- 62%
- 6/8/2022 — 12/21/2026

SD 22-05: Vehicle Securement
100% Submitted
- 110, 30
- 100%
- 6/1/2022 — 2/21/2025

SD 22-06: Operations Control Center
100% Submitted
- 18, 9
- 100%
- 6/1/2022 — 3/7/2025

SD 22-07: Lapsed Certifications
Directive Closed
- 15
- 100%
- 6/13/2022 — 10/1/2024

SD 22-09: Workforce
100% Submitted
- 43, 3
- 100%
- 10/1/2022 — 12/20/2024

SD 23-10: Safety Information & SMS
95% Submitted
- 91, 5, 5
- 92%
- 10/17/2022 — 6/20/2025

SD 22-11: Safety Communication
100% Submitted
- 36, 6
- 100%
- 9/21/2022 — 6/28/2024

SD 22-12: Policies, Procedures, Training
78% Submitted
- 124, 18, 40
- 76%
- 6/13/2022 — 2/19/2026

Overall Finding Progress

22-04
✅ ✅ ✅ ④ ✅ ✅ ✅ ✅ ✅

22-05
✅ ✅ ③

22-06
✅ ✅ ✅ ✅ ⑤ ⑥ ✅

22-07 (Closed)
✅ ✅ ✅

22-09
✅ ② ✅ ✅

23-10
✅ ② ③ ④ ✅ ⑥

22-11
① ② ✅

22-12
① ② ③ ✅ ⑤ ✅ ✅

✅ **Finding Closed**

Adjustment to the portfolio as we learn; FTA CAP Rewrite Approvals
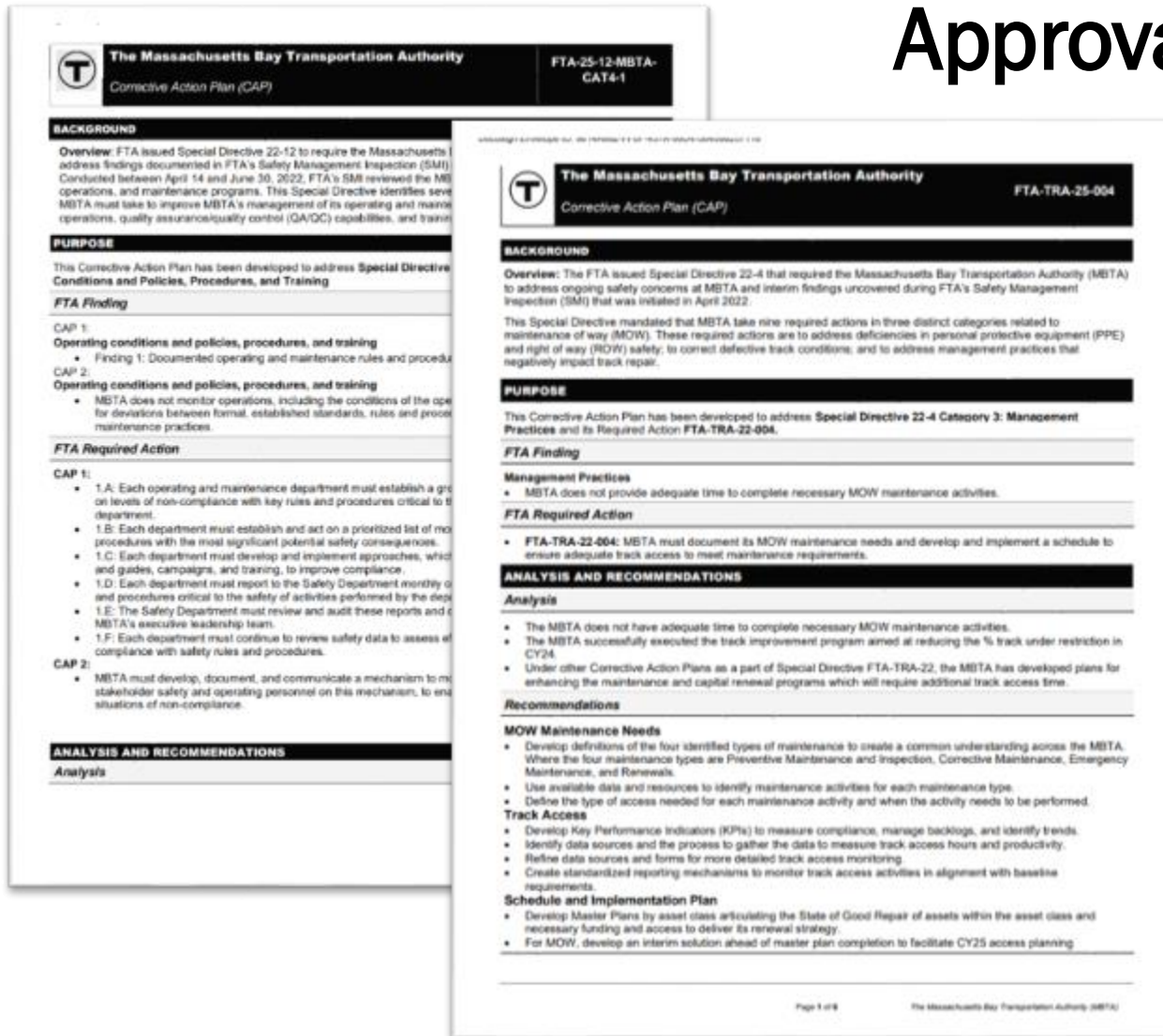
SD 22-4 CAP 4

- Preventive Maintenance and Inspection
- Corrective Maintenance
- Emergency Maintenance
- Renewals
- Track Access Reporting

SD 22-12 1R

- Rules governance
- Mitigating violations
- Succinct, clear rules & regulations
- Compliance
- Ongoing monitoring

Key Milestone; First Special Directive closure of the SMI

Officially notified of the Satisfaction of Requirements by the FTA for Special Directive 22-7: Lapsed Certifications

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Building up momentum; 5 CAP Closures in 2025 so far & IAL Closure

SD 22-6 CAP 7

Verifies that all OCC dispatchers are current in their safety certifications prior to starting their shifts.

SD 22-12 CAP 4

Develops and implements a training program and needs assessment for rail transit operations and maintenance departments.

SD 22-10 CAP 1

Reviews and updates SMS planning, implementation, and operations.

9/14/23 Immediate Action Letter (IAL) Closure

Reporting and response to near-miss safety incidents.

SD 22-4 CAP 2

Develops new PPE compliance inspection forms.

SD 22-10 CAP 5

Defines and assigns roles, responsibilities, and thresholds of authority in carrying out safety risk assessments.

Monthly Updates: Consent Agenda, SHE subcommittee, Online: mbta.com/quality-compliance-oversight

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Maintaining momentum with Quality practices

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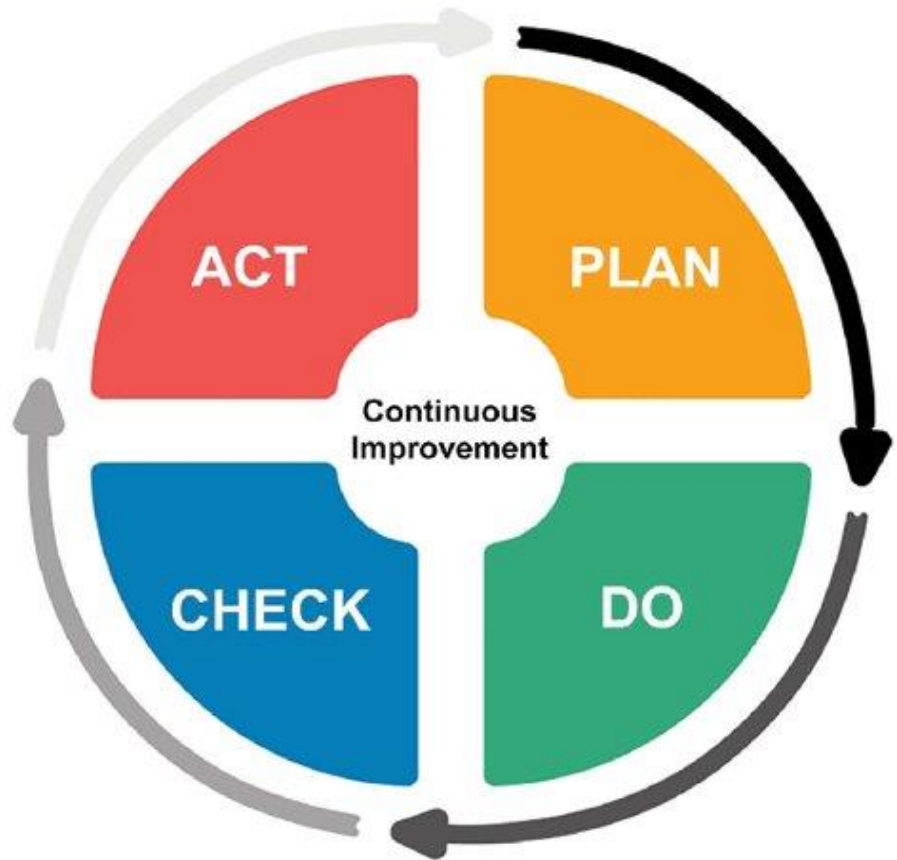
Quality, Compliance & Oversight

- Growth-focused assurance
- Data-driven continuous improvement
- Repeatable processes and procedures
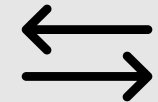- More predictable outcomes and reliable service

CAP/finding

Design/implement long-term strategic changes

Change Management Strategy

Data driven processes to measure/improve

Data as of: April 6, 2025

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Continuous Improvement

High Standards   Better Service   Best Results

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Questions?

Appendix

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SD 22-4: Track Maintenance & PPE

Legend: Submissions Accepted · Under FTA Review · Resubmittal Required · Not Yet Submitted

Donut chart: 79% — 58, 17, 6

SD 04.CAP 1 — Closed — 10
SD 04.CAP 2 — Closed — 5
SD 04.CAP 3 — Closed — 5
SD 04.CAP 4 — 32% — 2, 6, 17
SD 04.CAP 5 — Closed — 7
SD 04.CAP 6 — Closed — 10
SD 04.CAP 7 — Closed — 7
SD 04.CAP 8 — Closed — 8
SD 04.CAP 9 — Closed — 4

62%

6/8/2022 — 12/21/2026

- ✓ F1: Published updated Rulebook for Operations Employees incorporating PPE requirements – CAP CLOSED
- ✓ F2: All action items completed CAP CLOSED
- ✓ F3: Raised Tufts Curve Speed Restriction after completing Cologne Egg replacement – CAP CLOSED
- • F4: Developed Track Maintenance Access Needs CY25
- ✓ F5: Submitted budget requests for MOW equipment and resource needs – CAP CLOSED
- ✓ F6: Developed Capital Funding Request & Plan for Accelerated Implementation of EAM – CAP CLOSED
- ✓ F7: Developed and Implemented New Weekly Track Conditions Report for Executives – CAP CLOSED
- ✓ F8: Updating SMRP metrics to FTA for our quarterly update 9/30/24 – CAP CLOSED
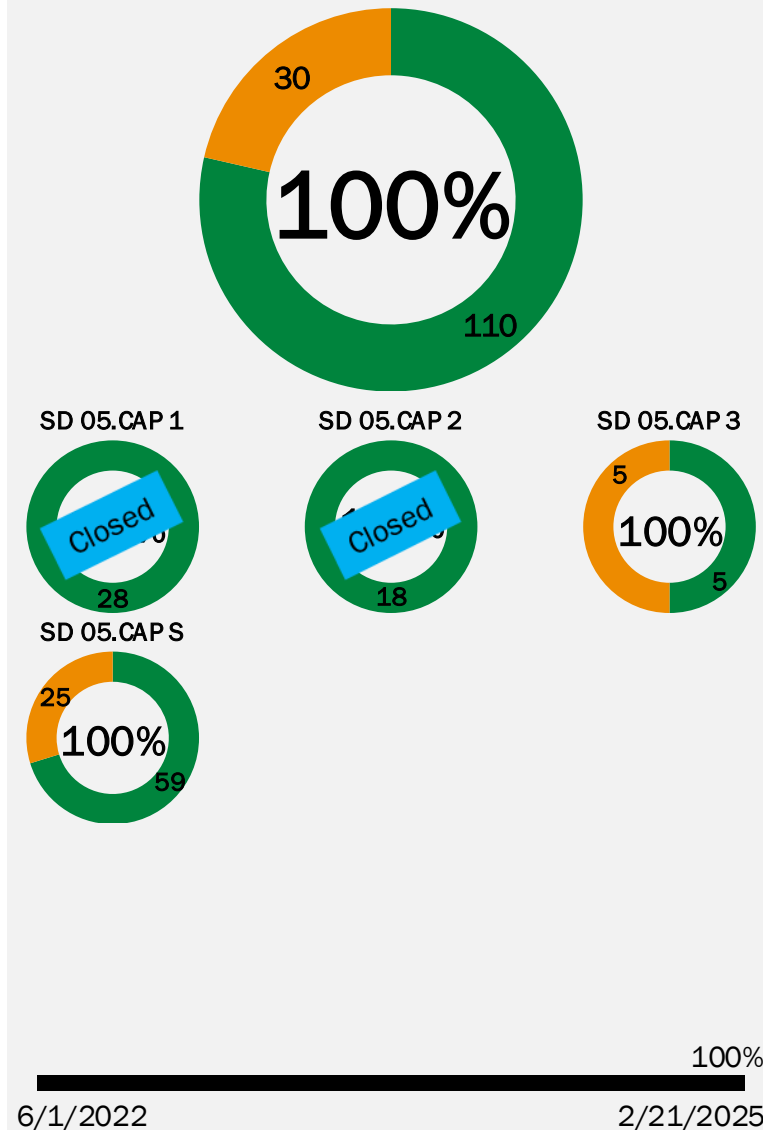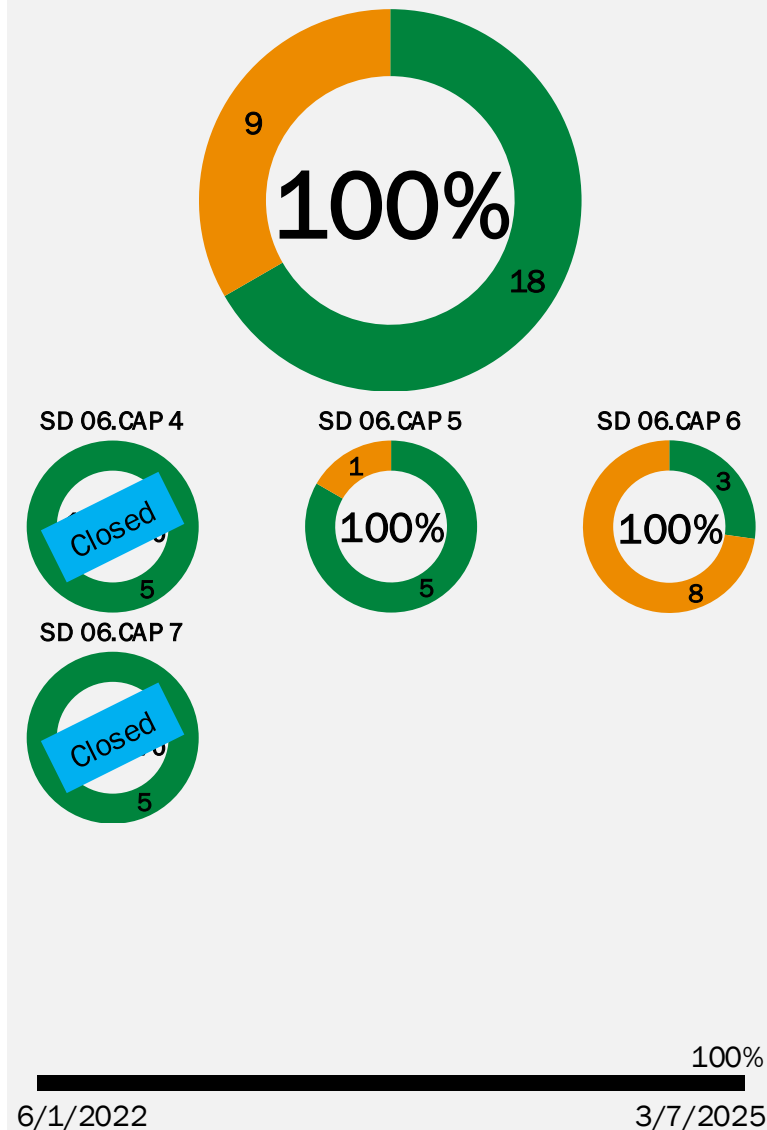- ✓ F9: Restored Green Line Work Train to Working Order – CAP CLOSED

Data as of: April 6, 2025 Draft for Discussion & Policy Purposes Only Note: Percentages in charts represent submission

SD 22-5: Vehicle Securement

100%

30
110

SD 05.CAP 1 — Closed — 28

SD 05.CAP 2 — Closed — 18

SD 05.CAP 3 — 5 — **100%** — 5

SD 05.CAP S — 25 — **100%** — 59
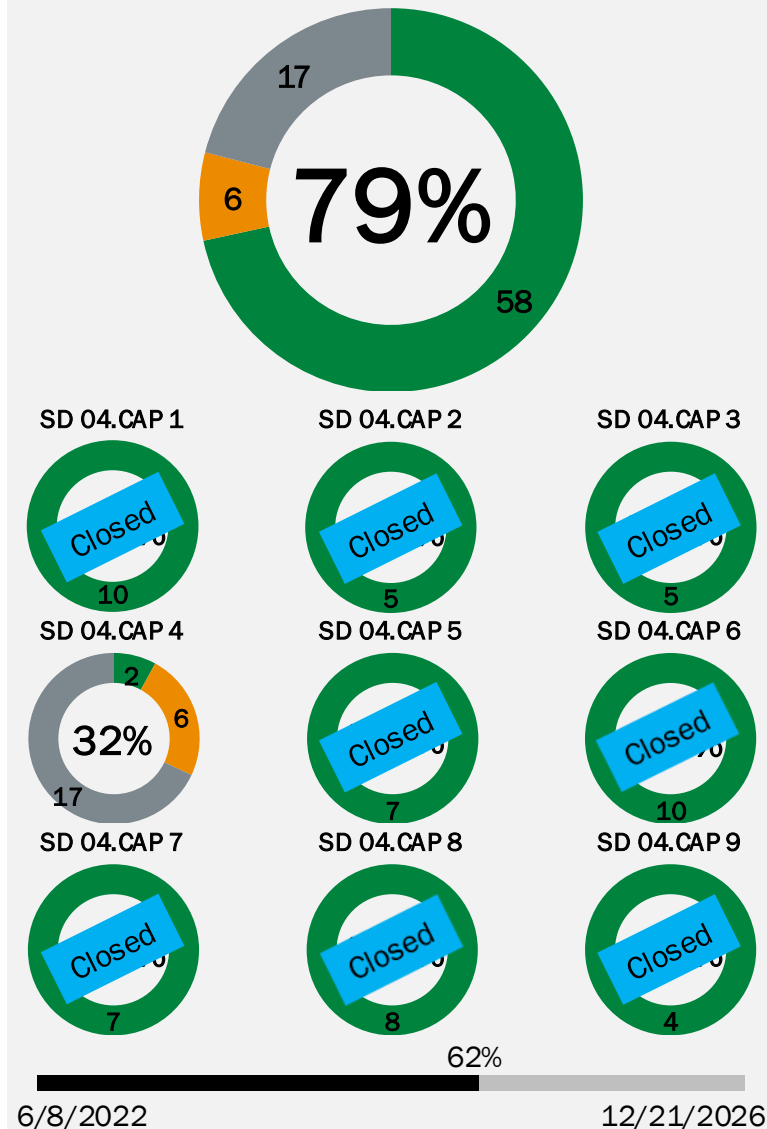
✓ F1: Procedures for Safe Movements of Rail Vehicles– all action items completed – CAP CLOSED

✓ F2: Training for SMRV Procedures – all action items completed – CAP CLOSED

• F3: Implemented Compliance Program for Safe Movement, all action items completed – CAP CLOSURE REQUESTED

• Supplemental: All action items completed. Under FTA review. – CAP CLOSURE REQUESTED
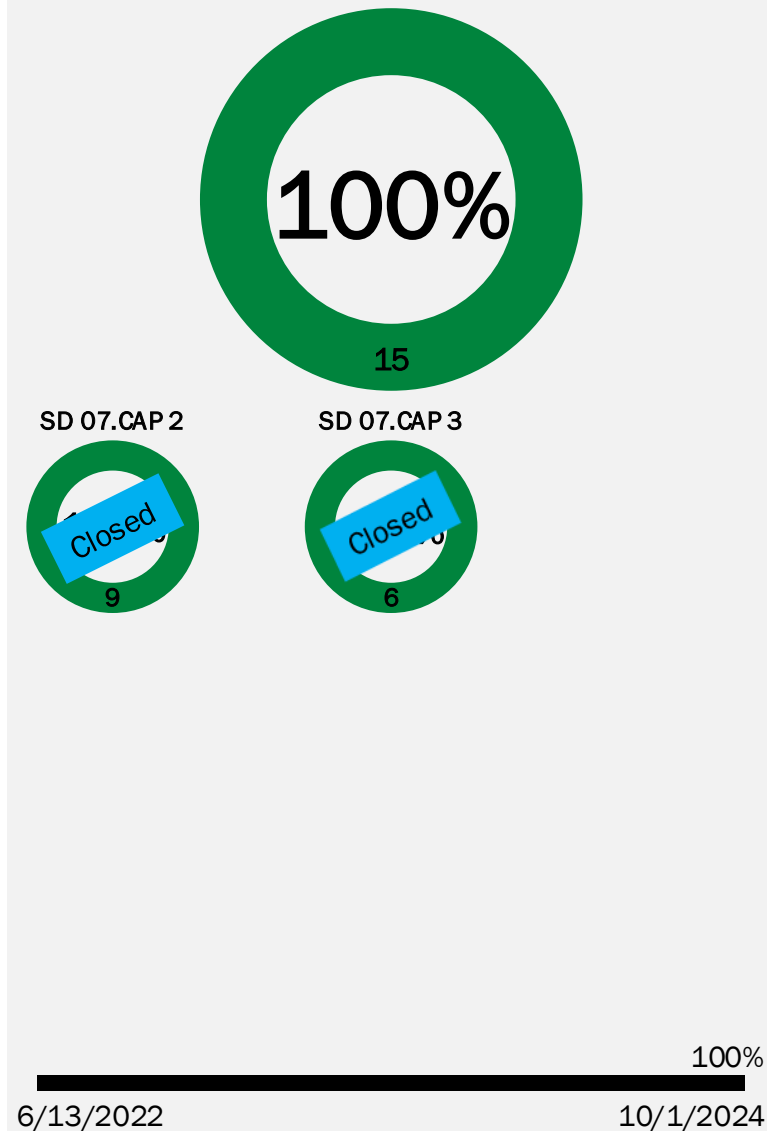
100%

6/1/2022   2/21/2025

Data as of: April 6, 2025   Draft for Discussion & Policy Purposes Only   Note: Percentages in charts represent submission

SD 22-6: Operations Control Center

100%
9
18

SD 06.CAP 4
Closed

SD 06.CAP 5
100%
1
5

SD 06.CAP 6
100%
3
8

SD 06.CAP 7
Closed
5

100%

6/1/2022   3/7/2025

- ✓ 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 submitted, under FTA verification

- • F6: Implementing plan to make OCC role more attractive (OCC renovation in design phase) – CAP CLOSURE REQUESTED

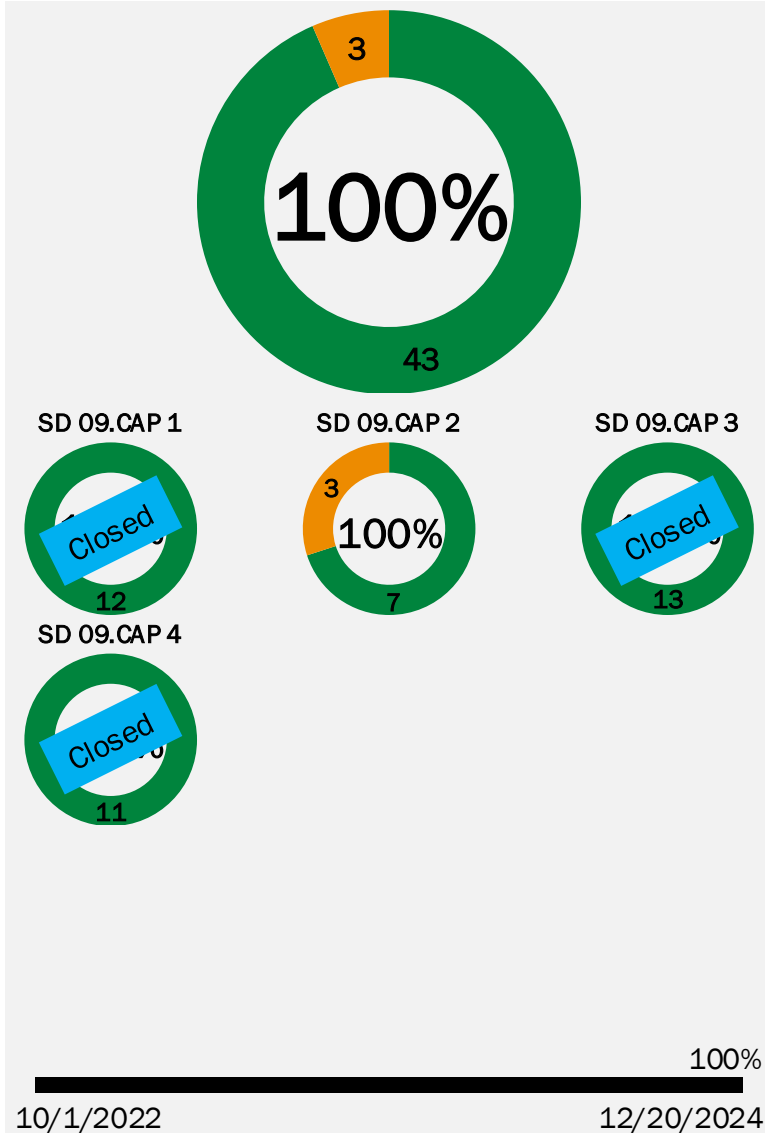- ✓ F7: Updating materials for specialized dispatcher training. – CAP CLOSED

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SD 22-7: Lapsed Certification Process

100%

15

SD 07.CAP 2   SD 07.CAP 3

Closed   Closed

9   6

✓ F1: Ensured 100% of Operating Personnel Are Current in Certifications – Finding Closure Requested in Fall 2023. Quarterly report for rest violations showing 99.9% compliance submitted to FTA on 4/8/24 - FINDING CLOSED

✓ F2: Ensured 100% of Operating Personnel Are Current in Certifications – CAP CLOSED

✓ F3: Ensured 100% of Operating Personnel Are Current in Certifications; Designing and Implementing Certification Management Procedures - dashboard went live 2/1/24 – CAP CLOSED
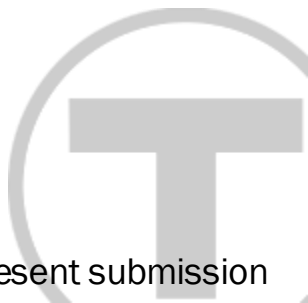
100%

6/13/2022   10/1/2024

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SD 22-9: Workforce

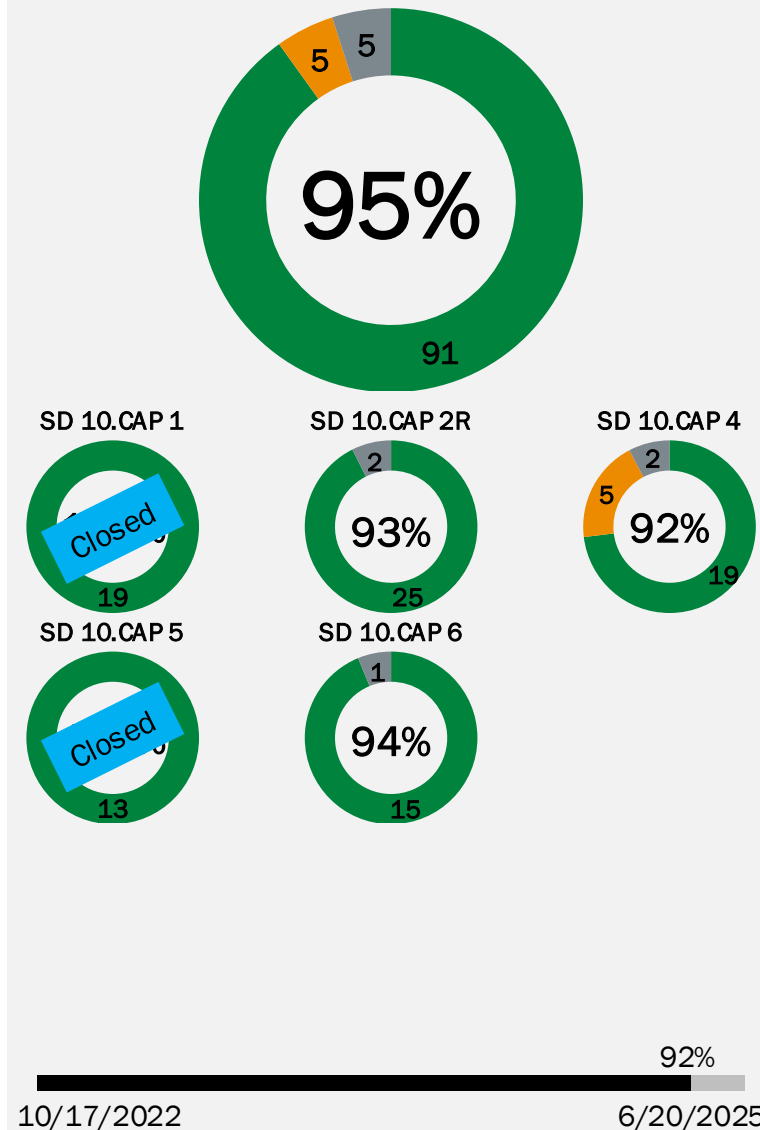**Legend:** Submissions Accepted · Under FTA Review · Resubmittal Required · Not Yet Submitted

✓ **F1:** Workforce Assessment: Final safety risk assessment and workforce assessment accepted. – CAP CLOSED

• **F2:** Hiring Plan: First draft of five-year hiring plan accepted, final draft under verification. -- CAP CLOSURE REQUESTED

✓ **F3:** In final stages of implementing training plan for updated Safety Certification policy, verified results with FTA on-site. – CAP CLOSED

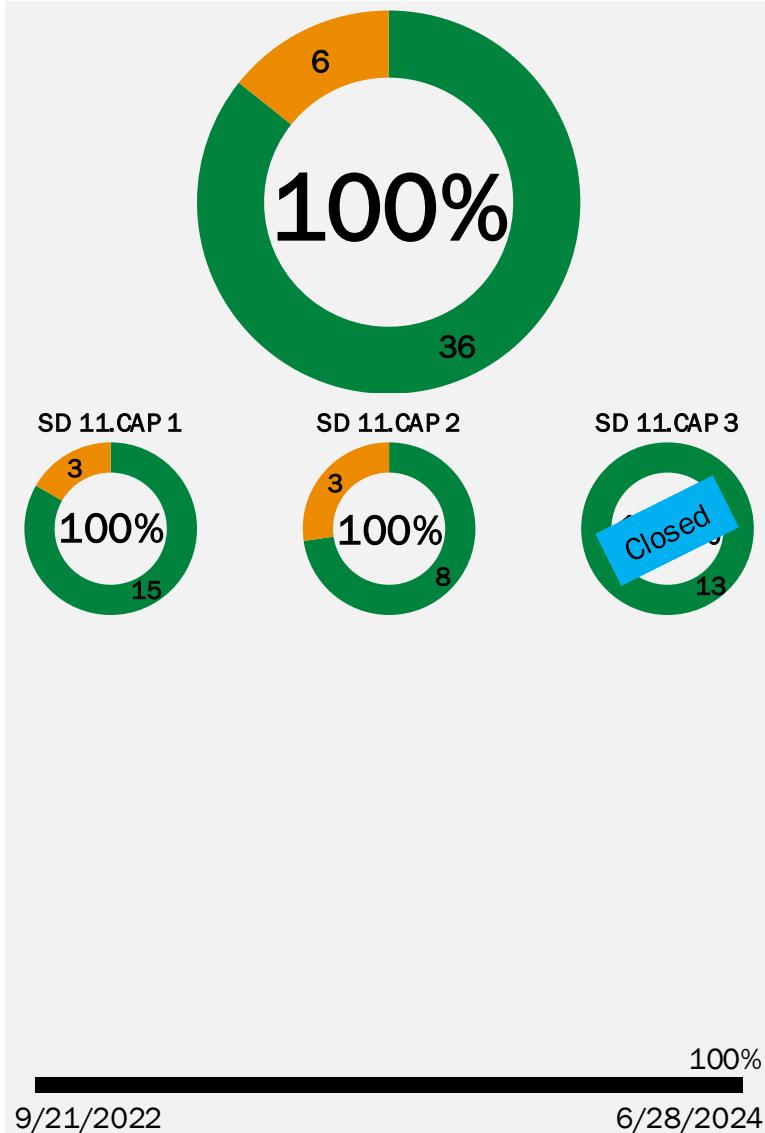✓ **F4:** Contractor Oversight: All action items completed, verified results with FTA on-site. – CAP CLOSED

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SD 23-10: Safety Information & SMS

95%
5 5
91

SD 10.CAP 1
Closed
19

SD 10.CAP 2R
2
93%
25

SD 10.CAP 4
2
5 **92%**
19

SD 10.CAP 5
Closed
13

SD 10.CAP 6
1
94%
15

92%

10/17/2022   6/20/2025

- ✓ **F1: All action items completed – CAP CLOSED**
- F2/F3: Established safety information elevation criteria
- F4: Defined Operating Departments involved in Mitigation Monitoring
- ✓ **F5: All action items completed – CAP CLOSED**
- F6: Evaluated Safety Data products

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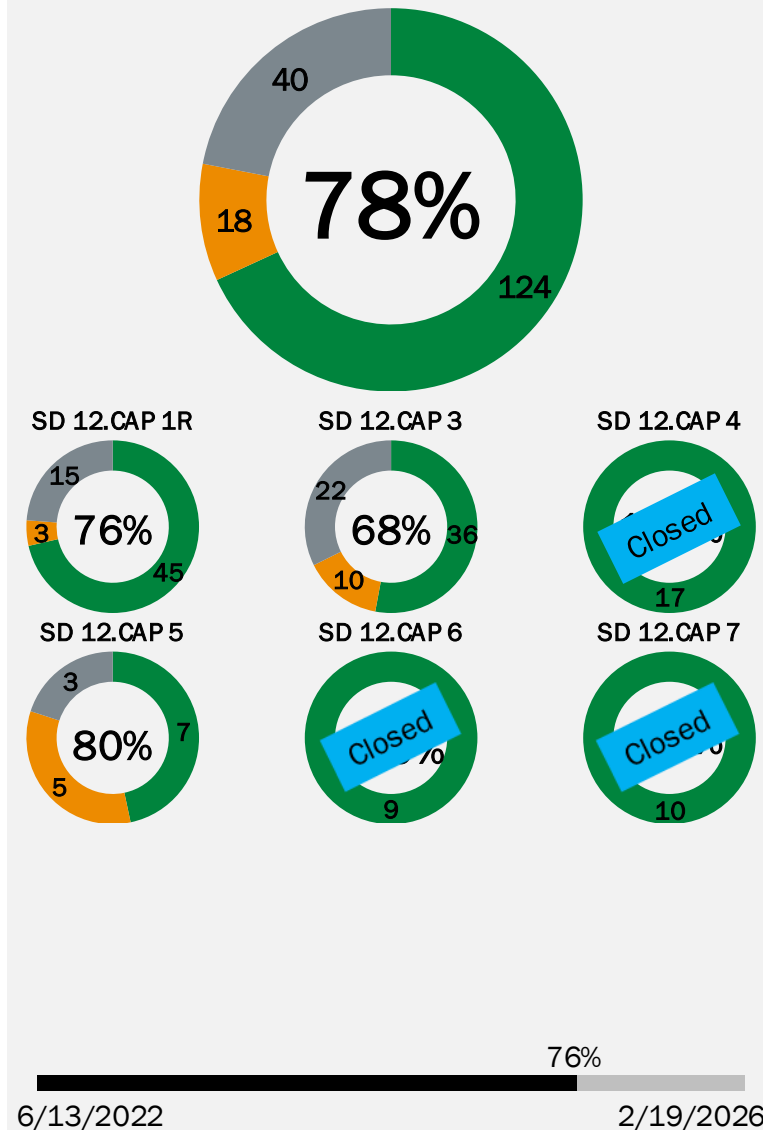
SD 22-11: Safety Communication

- F1: All action items completed, under FTA verification– CAP CLOSURE REQUESTED

- F2: All action items completed, under FTA verification– CAP CLOSURE REQUESTED

- ✓ F3: All action items completed, under FTA verification – CAP CLOSED

100%

9/21/2022   6/28/2024

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SD 22-12: Policies, Procedures & Training

Legend: ● Submissions Accepted ● Under FTA Review ● Resubmittal Required ● Not Yet Submitted

Main chart: 78% (124 green, 18 orange, 40 gray)

SD 12.CAP 1R: 76% (45, 3, 15)
SD 12.CAP 3: 68% (36, 10, 22)
SD 12.CAP 4: Closed (17)
SD 12.CAP 5: 80% (7, 5, 3)
SD 12.CAP 6: Closed (9)
SD 12.CAP 7: Closed (10)

Timeline: 6/13/2022 — 2/19/2026, 76%

- **F1/F2: Submitted OTIP Training Material**
- **F3: Submitted VE/VM QMPs and Audit Program**
- ✓ F4: **All action items completed – CAP CLOSED**
- F5: Submitted monthly digitization progress
- ✓ F6: Evaluated program design for Rail Ops mentorship – CAP CLOSED
- ✓ F7: Completed all action items, submitted Weak Signals Quarterly Report – CAP CLOSED

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