Massachusetts Bay Transportation Authority

FTA Safety Management Inspection Update
MBTA Board of Directors Meeting
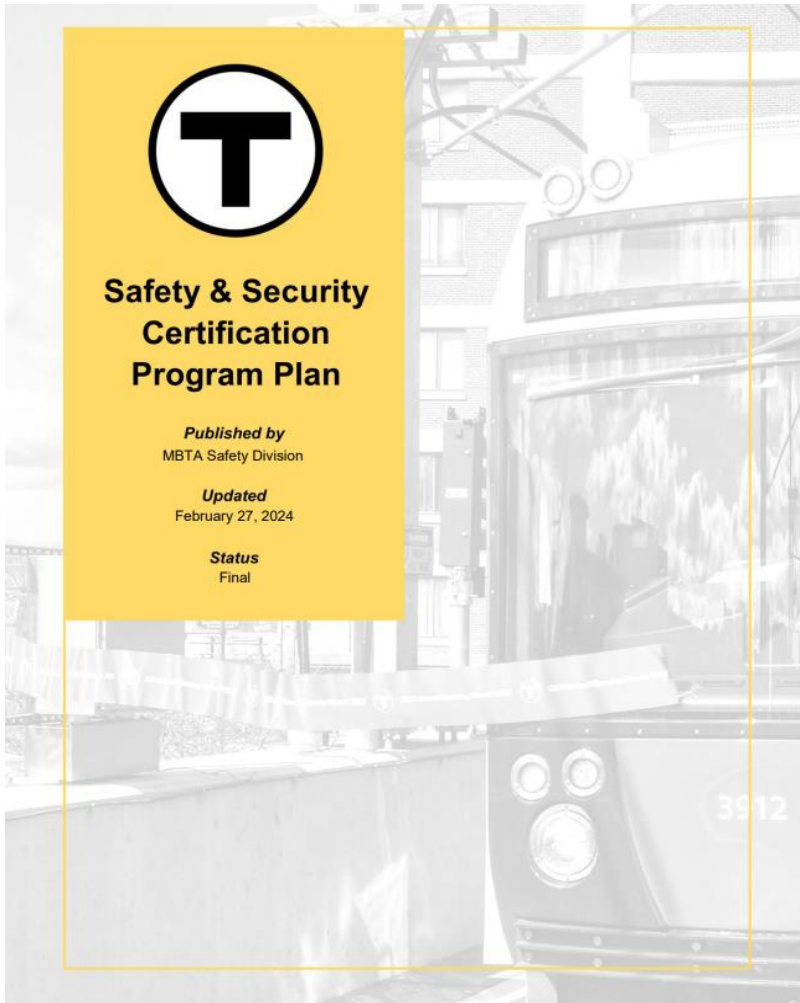June 20, 2024
Meredith Sandberg, Chief of Quality, Compliance & Oversight

Safety & Security Certification Program Plan (SSCPP)
Special Directive 22-9, CAP 3

Updated from 2015 version with current industry standards and best practices
- Anticipating and identifying potential hazards and security vulnerabilities

Safe and secure project lifecycle
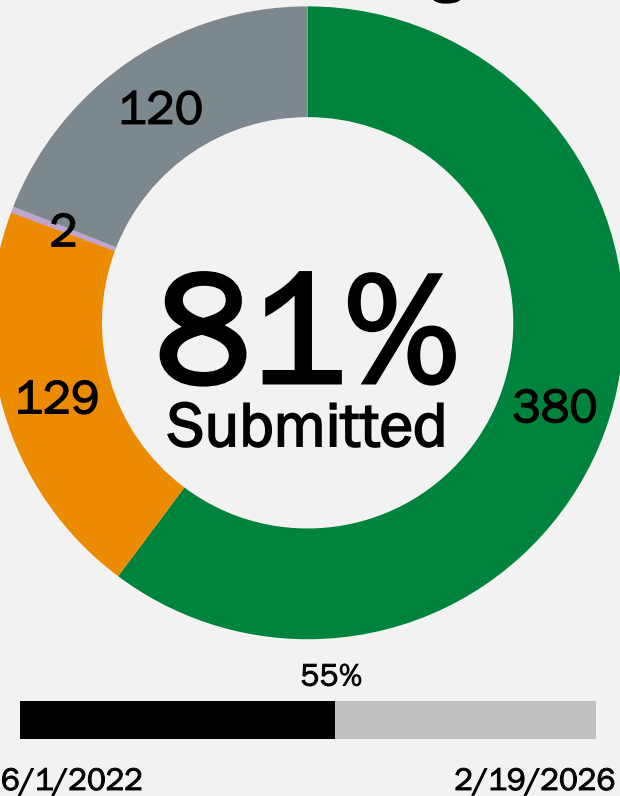- Ensuring mitigations are developed to reduce, control, or eliminate risks

Robust workforce development
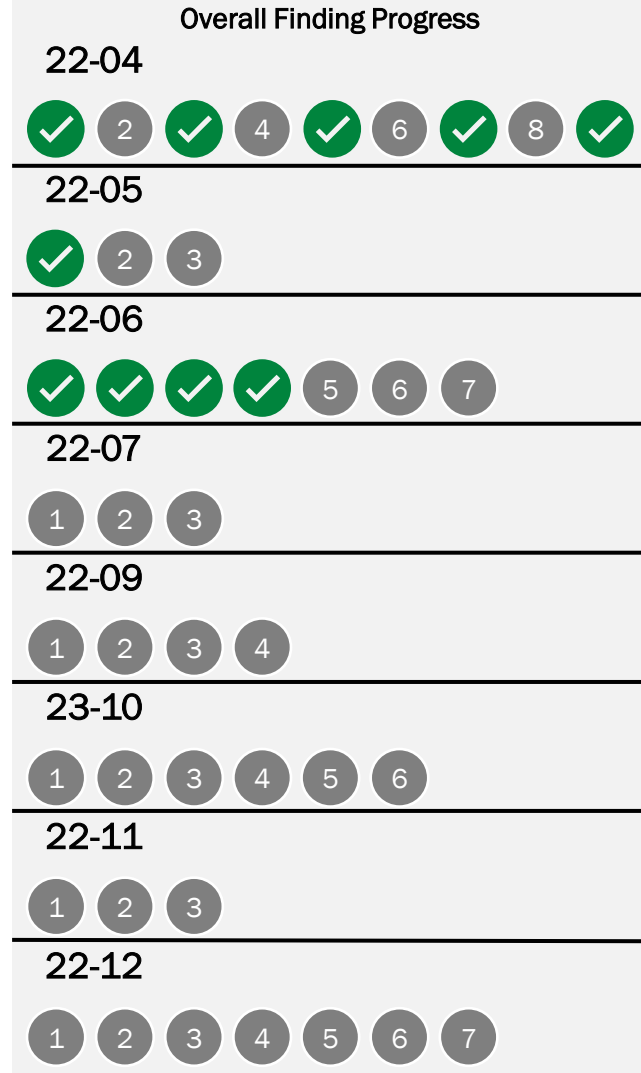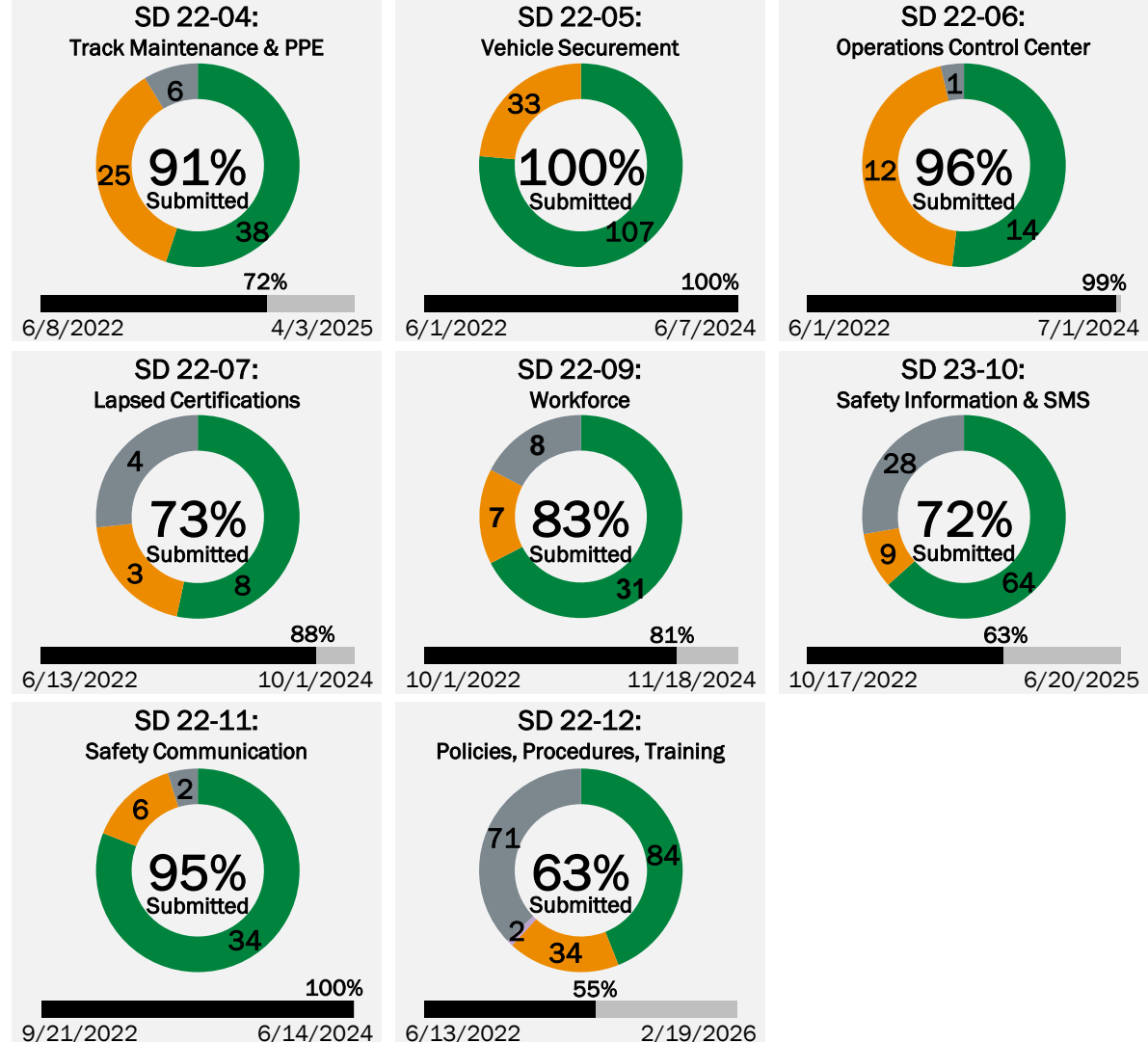- Developing and implementing necessary training and procedures

FTA SMI Response Progress Summary

Legend: Submissions Accepted (green) · Under FTA Review (orange) · Resubmittal Required (purple) · Not Yet Submitted (gray)

Overall CAP Progress[1]

- 120 Not Yet Submitted
- 2 Resubmittal Required
- 129 Under FTA Review
- 380 Submissions Accepted

81% Submitted

Progress bar: 55%
6/1/2022 — 2/19/2026

Overall Findings

Total	42
Closed	10
Ongoing	32

SD 22-04: Track Maintenance & PPE
- 6 (gray)
- 25 (orange)
- 38 (green)

91% Submitted
72%
6/8/2022 — 4/3/2025

SD 22-05: Vehicle Securement
- 33 (orange)
- 107 (green)

100% Submitted
100%
6/1/2022 — 6/7/2024

SD 22-06: Operations Control Center
- 1 (gray)
- 12 (orange)
- 14 (green)

96% Submitted
99%
6/1/2022 — 7/1/2024

SD 22-07: Lapsed Certifications
- 4 (gray)
- 3 (orange)
- 8 (green)

73% Submitted
88%
6/13/2022 — 10/1/2024

SD 22-09: Workforce
- 8 (gray)
- 7 (orange)
- 31 (green)

83% Submitted
81%
10/1/2022 — 11/18/2024

SD 23-10: Safety Information & SMS
- 28 (gray)
- 9 (orange)
- 64 (green)

72% Submitted
63%
10/17/2022 — 6/20/2025

SD 22-11: Safety Communication
- 2 (gray)
- 6 (orange)
- 34 (green)

95% Submitted
100%
9/21/2022 — 6/14/2024

SD 22-12: Policies, Procedures, Training
- 71 (gray)
- 2 (orange)
- 34 (orange)
- 84 (green)

63% Submitted
55%
6/13/2022 — 2/19/2026

Overall Finding Progress

22-04: ✓ 2 ✓ 4 ✓ 6 ✓ 8 ✓
22-05: ✓ 2 3
22-06: ✓ ✓ ✓ ✓ 5 6 7
22-07: 1 2 3
22-09: 1 2 3 4
23-10: 1 2 3 4 5 6
22-11: 1 2 3
22-12: 1 2 3 4 5 6 7

✓ Finding Closed

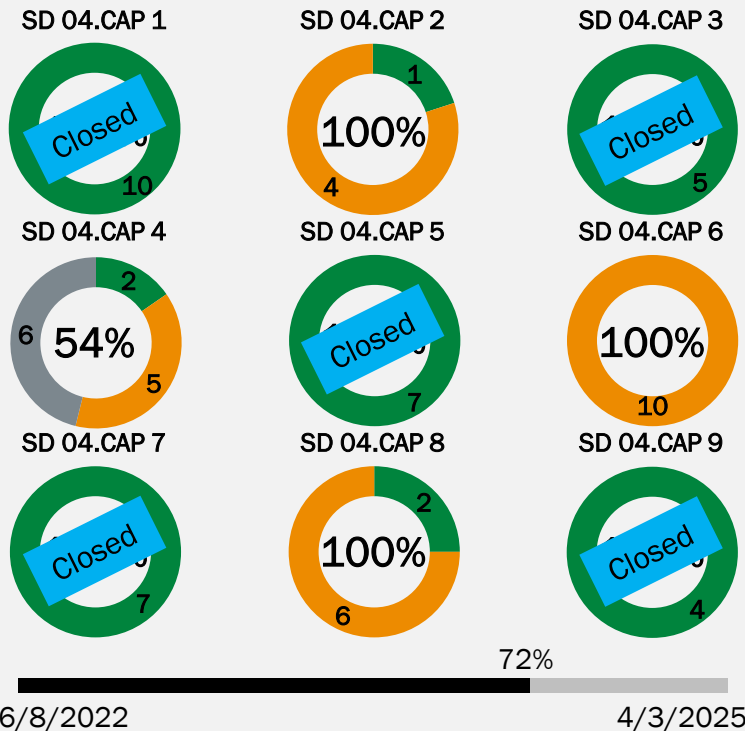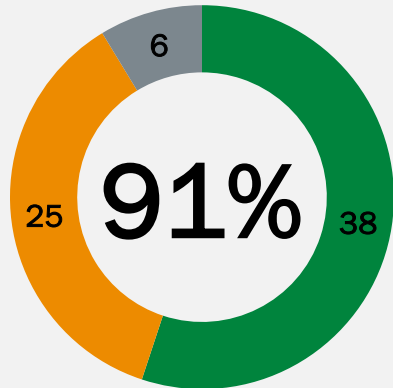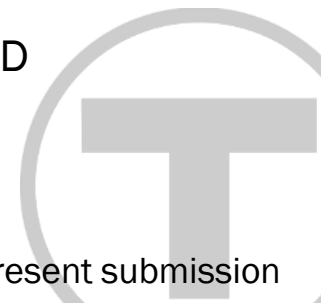1. Total of 631 actionable items; inclusive of updated 23-10 & 23-12 CAPs, does not include IAL items

Data as of: June 9, 2024

Draft for Discussion & Policy Purposes Only

Questions?

Appendix

Draft for Discussion & Policy Purposes Only

SD 22-4: Track Maintenance & PPE

91%
- 38
- 25
- 6

SD 04.CAP 1 — Closed — 10

SD 04.CAP 2 — 100% — 1, 4

SD 04.CAP 3 — Closed — 5

SD 04.CAP 4 — 54% — 2, 6, 5

SD 04.CAP 5 — Closed — 7

SD 04.CAP 6 — 100% — 10

SD 04.CAP 7 — Closed — 7

SD 04.CAP 8 — 100% — 2, 6
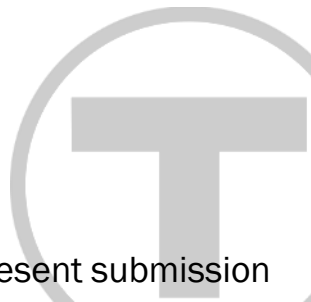
SD 04.CAP 9 — Closed — 4

72%

6/8/2022　　　4/3/2025

- ✓ F1: Published updated Rulebook for Operations Employees incorporating PPE requirements – CAP CLOSED
- • F2: All action items completed CAP CLOSURE REQUESTED
- ✓ 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) – ==CAP REWRITE REQUESTED==
- ✓ 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 – ==CAP CLOSURE REQUESTED==
- ✓ 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 CAP CLOSURE REQUESTED
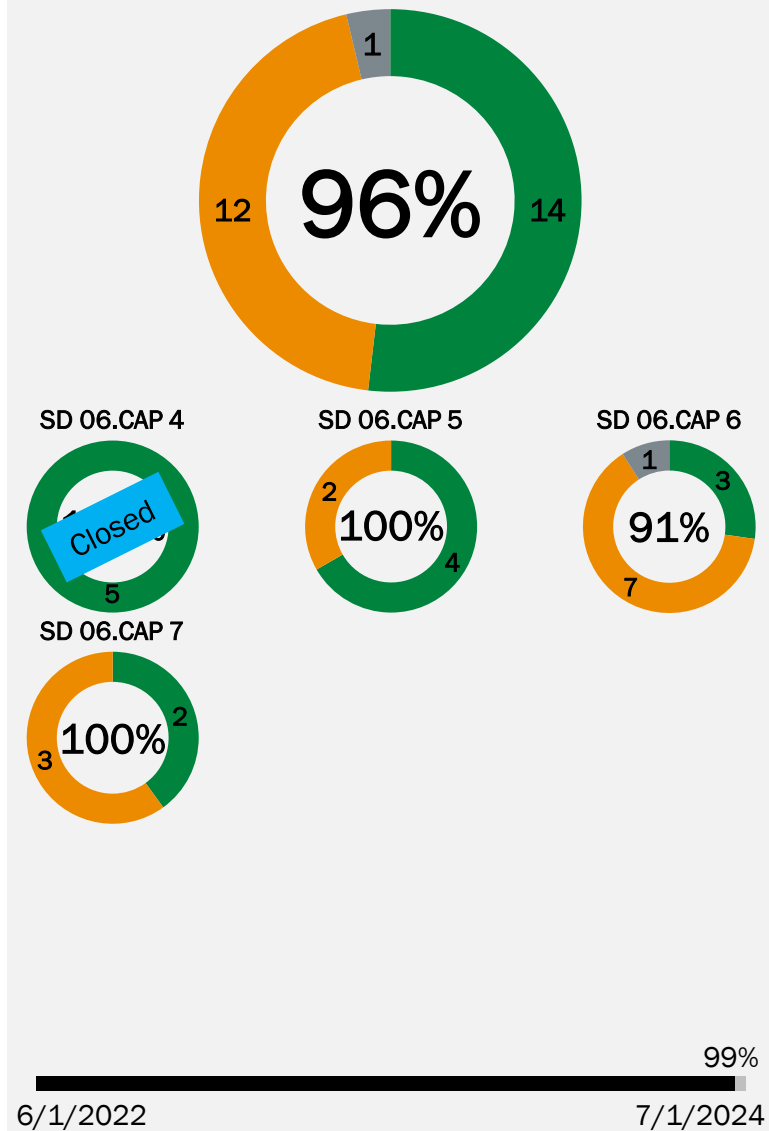- ✓ F9: Restored Green Line Work Train to Working Order – CAP CLOSED

Data as of: June 9, 2024　　　Draft for Discussion & Policy Purposes Only　　　Note: Percentages in charts represent submission

SD 22-5: Vehicle Securement

100%

33 — 107

SD 05.CAP 1 — 100% — 28

SD 05.CAP 2 — 100% — 18

SD 05.CAP 3 — 100% — 5 / 5

SD 05.CAP S — 100% — 28 / 56
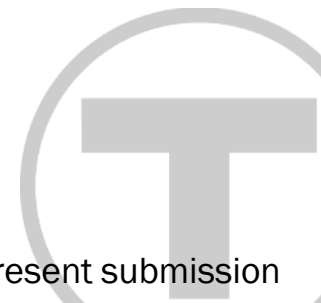
100%

6/1/2022 — 6/7/2024
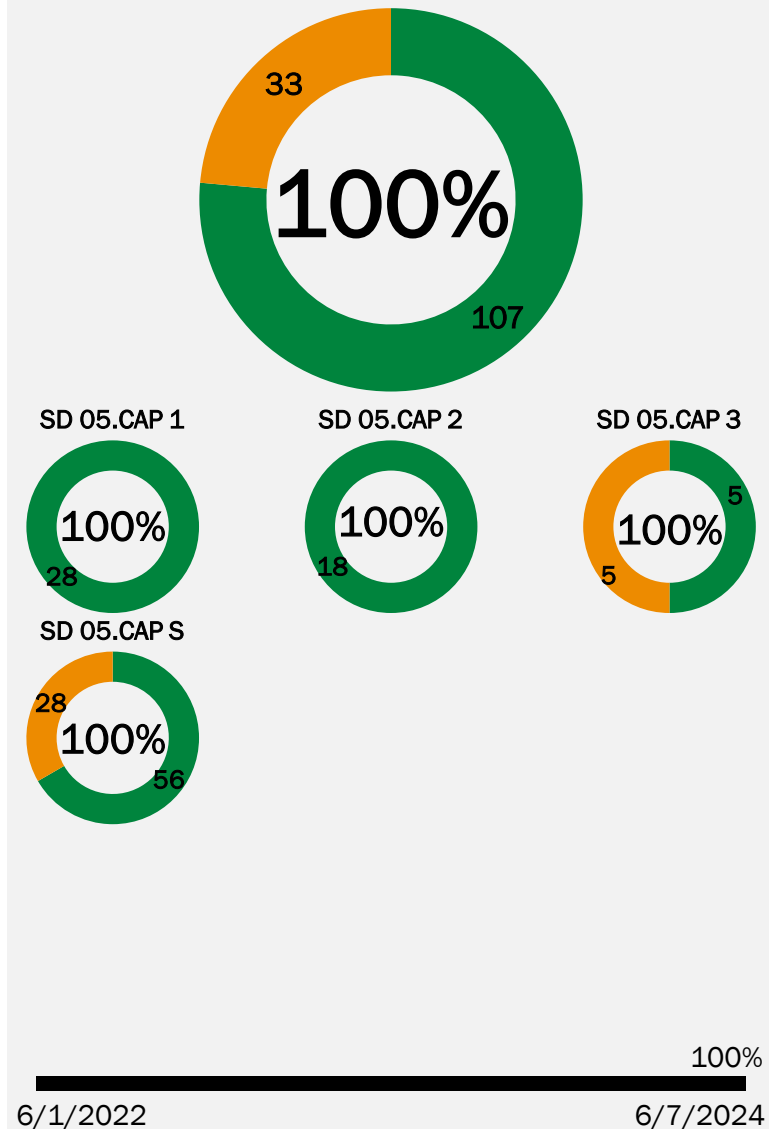
- F1: Procedures for Safe Movements of Rail Vehicles– all action items completed CAP CLOSURE REQUESTED

- F2: Training for SMRV Procedures – all action items completed CAP CLOSURE REQUESTED

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

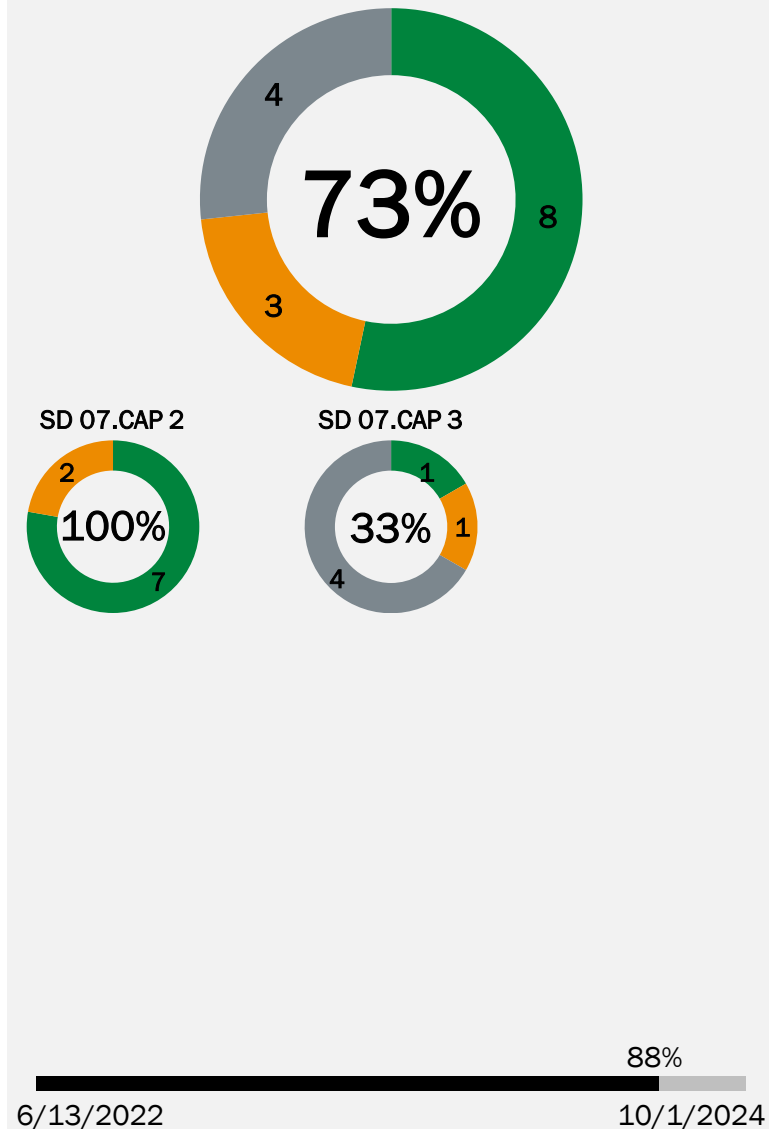- Supplemental: All action items completed. Under FTA review.

Data as of: June 9, 2024   Draft for Discussion & Policy Purposes Only   Note: Percentages in charts represent submission
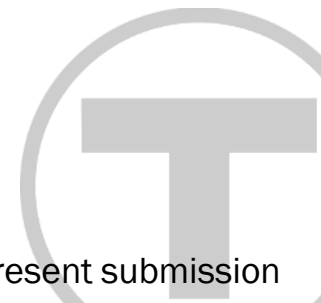
SD 22-6: Operations Control Center

✓ 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: Updating materials for specialized dispatcher training.

Data as of: June 9, 2024   Draft for Discussion & Policy Purposes Only   Note: Percentages in charts represent submission

SD 22-7: Lapsed Certification Process

73%

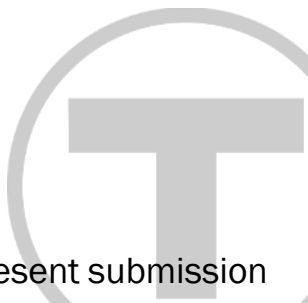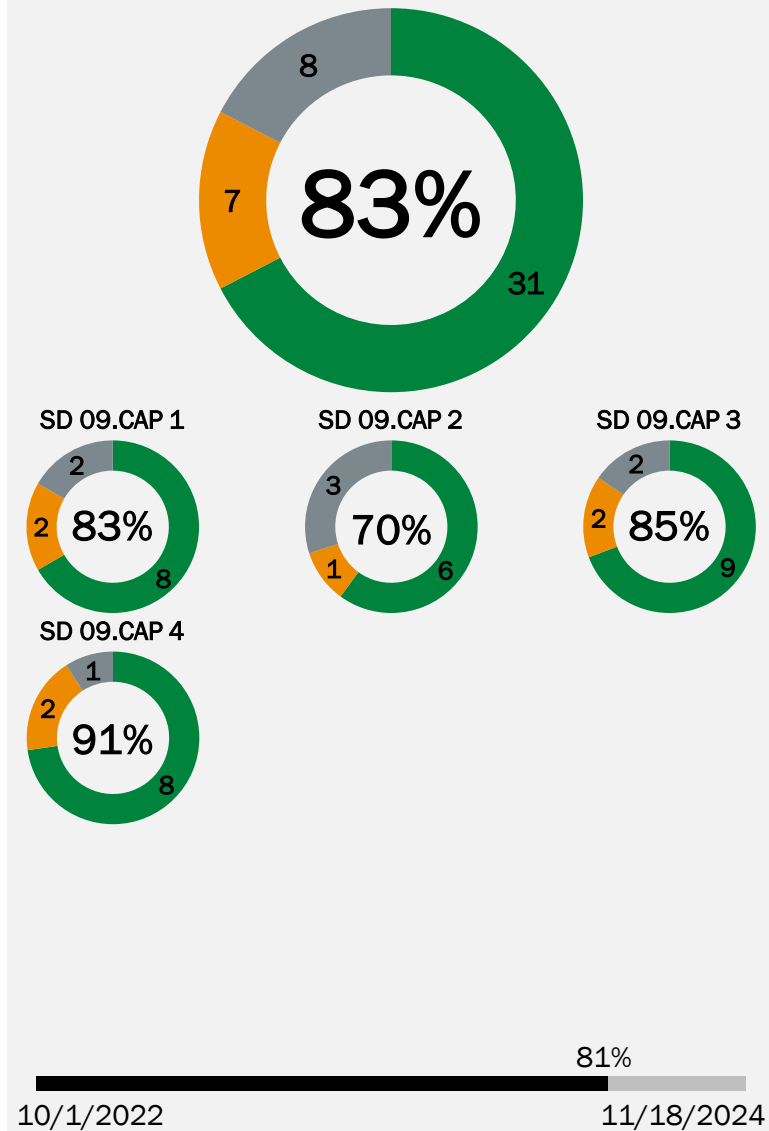SD 07.CAP 2 — **100%**

SD 07.CAP 3 — **33%**

- 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.

- 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.
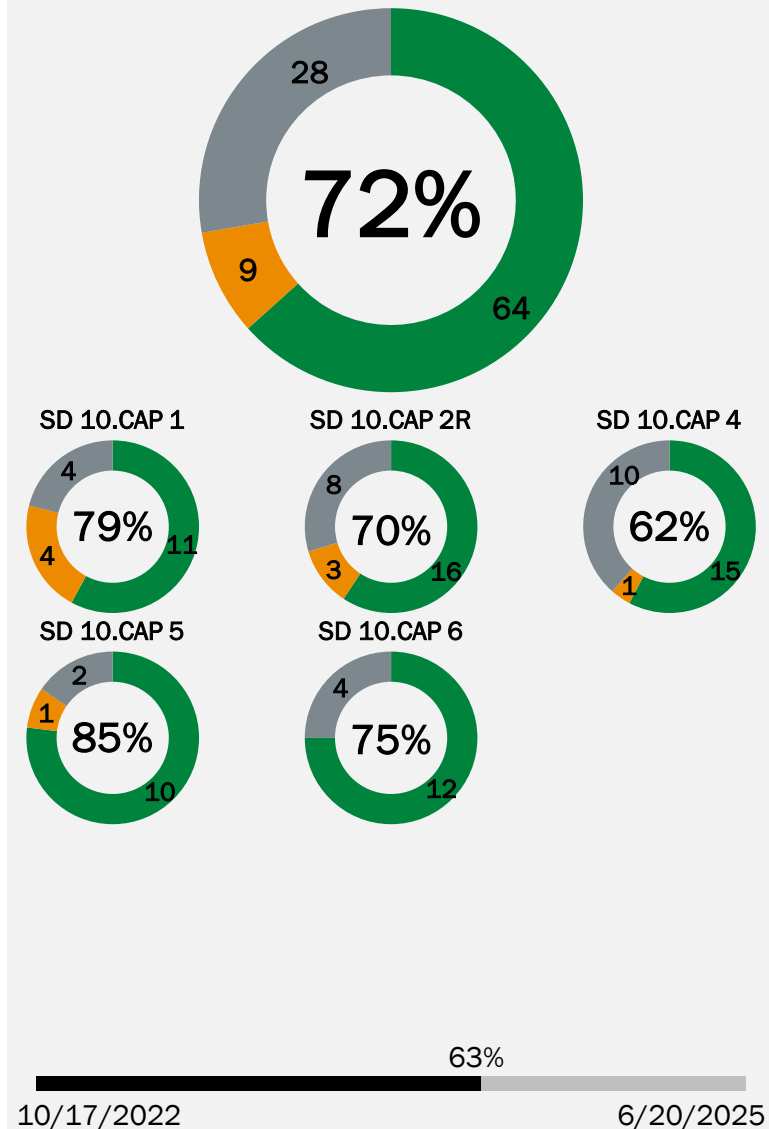
88%

6/13/2022   10/1/2024

Data as of: June 9, 2024   Draft for Discussion & Policy Purposes Only   Note: Percentages in charts represent submission

SD 22-9: Workforce

83%

8 | 7 | 31

SD 09.CAP 1 — 83% (2 | 2 | 8)

SD 09.CAP 2 — 70% (3 | 1 | 6)

SD 09.CAP 3 — 85% (2 | 2 | 9)

SD 09.CAP 4 — 91% (1 | 2 | 8)

81%

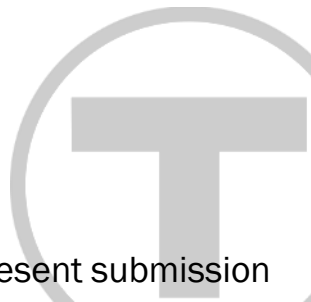10/1/2022 ———————————— 11/18/2024

- F1: Workforce Assessment: <mark>Final safety risk assessment and workforce assessment submitted.</mark>

- F2: Hiring Plan: <mark>First draft of five-year hiring plan submitted.</mark>

- F3: <mark>In final stages of implementing training plan for updated Safety Certification policy.</mark>

- F4: Contractor Oversight: All action items completed.
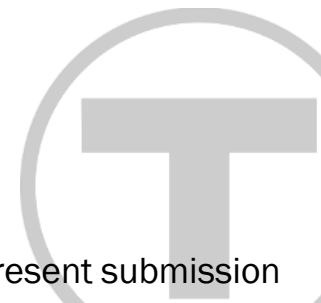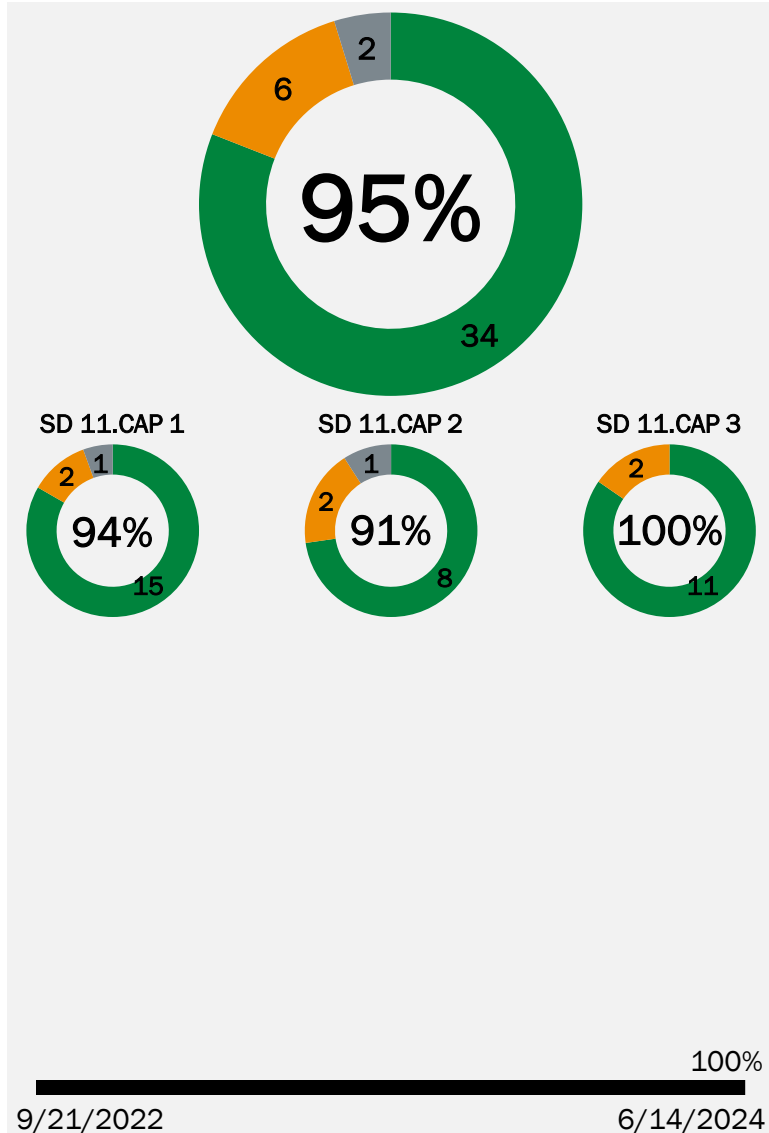
SD 23-10: Safety Information & SMS

72%

- 28
- 9
- 64

SD 10.CAP 1 — 79% (4, 4, 11)

SD 10.CAP 2R — 70% (8, 3, 16)

SD 10.CAP 4 — 62% (10, 1, 15)

SD 10.CAP 5 — 85% (2, 1, 10)

SD 10.CAP 6 — 75% (4, 12)

- F1: ==Submitted SMS Implementation and Project Plans update.==

- F2/F3: ==Incorporated safety risk tiers into risk software==

- F4: ==Submitted CAP development process.==

- F5: ==Scheduled and delivered Safety Risk Management Training==

- F6: Evaluated Safety Data products

- Completed Safety Department Staffing Analysis and submitting weekly hiring updates to FTA, completed Strategic Hiring Plan

63%

10/17/2022   6/20/2025

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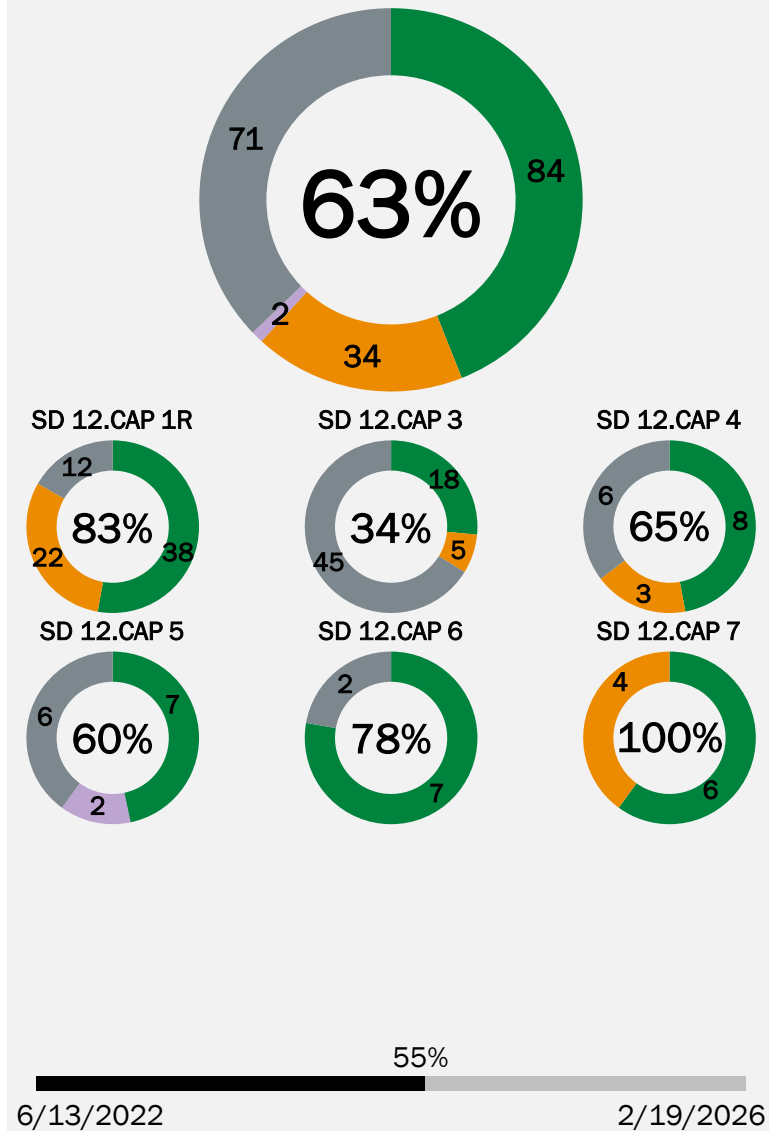
SD 22-11: Safety Communication

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

Data as of: June 9, 2024   Draft for Discussion & Policy Purposes Only   Note: Percentages in charts represent submission

SD 22-12: Policies, Procedures & Training

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

Main chart: **63%** — 84, 34, 2, 71

- SD 12.CAP 1R: **83%** — 12, 22, 38
- SD 12.CAP 3: **34%** — 18, 5, 45
- SD 12.CAP 4: **65%** — 6, 8, 3
- SD 12.CAP 5: **60%** — 6, 7, 2
- SD 12.CAP 6: **78%** — 2, 7
- SD 12.CAP 7: **100%** — 4, 6

- F1/F2: <mark>Communicating deliverables with FTA to confirm scope.</mark>

- F3: <mark>Submitted interim action plans for VM.</mark>

- F4: <mark>Developed and submitted Operations Training content</mark>

- F5: <mark>Requested relief on specific Action Items</mark>

- F6: Evaluated program design for Rail Ops mentorship

- F7: Completed all action items, FTA verified quarterly Radio Weak Spots assessment. CAP CLOSURE REQUESTED

55%

6/13/2022 — 2/19/2026

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