Washington Metropolitan Area Transit Authority

Board Action/Information Summary

○ Action ◉ Information	MEAD Number: 201698	Resolution: ○ Yes ◉ No

TITLE:

Update on Safety Actions

PRESENTATION SUMMARY:

The presentation is an update of the latest information and progress related to the Federal Transit Administration (FTA) Safety Management Inspection (SMI) and oversight, and follow up on the National Transportation Safety Board (NTSB) investigation of the January's 2015 L'Enfant Plaza Smoke/Arcing Insulator.

PURPOSE:

The purpose is to provide the Board's Safety and Security Committee and the public with an update on the ongoing actions to the FTA SMI report, a review of the FTA oversight process, and an update on the NTSB Investigation.

DESCRIPTION:

The recent FTA SMI and subsequent change to direct safety oversight, as well as the L'Enfant Plaza incident NTSB investigation, has brought a series of recommendations and actions required to address safety concerns. WMATA is aggressively and systematically moving towards closing these recommendations through documenting the appropriate corrective action plans, communicating these plans to external agencies and stakeholders, and providing progress updates.

Key Highlights:

- The FTA's Safety Management Inspection (SMI) documents 54 findings (44 for Metrorail and 10 for Metrobus) and requires WMATA to respond to 91 actions.
- WMATA and FTA staff are working collaboratively to address actions and processes.
- NTSB Investigation Report on Smoke /Arcing Insulator expected in the Spring 2016.

Background and History:

Following the January 2015 smoke and arcing insulator incident, the NTSB launched an investigation, and the Federal Transit Administration initiated a Safety Management Inspection. Both led to recommendations and required follow up actions by WMATA.

As part of the investigation, a formal and public NTSB Investigative Hearing was held in

June 2015. After completion of the hearing, WMATA was afforded an opportunity to review factual reports for technical accuracy. Metro submitted its own proposed findings of cause and corrective actions as part of the final record in November 2015. Metro anticipates the final report to be published in the Spring of 2016.

In March, the FTA conducted a Safety Management Inspection which resulted in an issurance of Safety Directive 15-1 (June 2015) identifying 54 safety findings and 91 required actions to improve safety. The SMI evaluated operations and maintenance of both bus and rail, safety management capabilities and organizational structure, adopting an all-encompassing, safety management system (SMS) approach. WMATA systematically worked to develop corrective action plans (CAPs) for all actions and in September of this year received FTA's approval of the CAPs as "open and acceptable". WMATA is working to close each of the CAPs and submits weekly deliverables to the FTA on the status of the action items. The master schedule shows all CAPs will be completed by September of 2019.

Additionally, on October 9, FTA assumed direct oversight of WMATA, exercising its new authority to do so, as established by the Moving Ahead for Progress in the 21st Century Act (MAP-21) in 2012. The same act (and subsequent rulemakings) also codifies a Safety Management System (SMS) framework for safety oversight of all public transit properties, to be managed by each transit property's State Safety Oversight Agency. FTA and WMATA are working on transitioning from Tri-State Oversight Committee to FTA Oversight. As part of this transition, FTA is reviewing and reconciling/consolidating all open items from TOC as well as reviewing/approving the WMATA's Investigative Report on the August 6, 2015 derailment of a (non-passenger) Metrorail train between Federal Triangle and Smithsonian stations. This investigative report was submitted on October 14, 2015, and per the federal requirements must be formally accepted by the Oversight Agency, (now FTA) before public release.

Discussion:

The presentation is an update to provide information to the Board and public on the status of the NTSB Investigation, FTA's SMI and corrective actions and ongoing actions to improve the safety culture.

FUNDING IMPACT:

Define current or potential funding impact, including source of reimbursable funds.	
Project Manager:	Louis J. Brown
Project Department/Office:	SAFETY

TIMELINE:

Previous Actions	• January 22, 2015 - Safety & Security Committee discussion of the January 12, 2015 L'Enfant Plaza Incident • February 26, 2015 - Safety & Security Committee discussion of early safety actions and NTSB Investigation into January 12, 2015 incident and FTA upcoming SMI • March 26, 2015 - Safety & Security Committee discussion on January 12, 2015 L'Enfant Plaza incident. • May 28, 2015 - Safety & Security Committee discussion on NTSB Investigative Hearing process fro L'Enfant Plaza incident • June 25, 2015 - Safety & Security Committee update on external reviews • July 23, 2015 - Safety & Security Committee discussion on FTA SMI Final Report and recommendations • September 3, 2015 - Safety & Security Committee briefing on Technical Incident Report by DGMO on August 6th derailment • September 25, 2015 - Safety & Security Committee update on external reviews and August 6th derailment investigation • November 19, 2015 - Safety & Security Committee update on FTA oversight and August 6th derailment investigation report
Anticipated actions after presentation	• WMATA will continue to implement necessary actions to improve the safety culture • Continue moving forward with status updates to the stakeholders on safety actions and corrective action plans completion

RECOMMENDATION:

To inform the Board's Safety & Security Committee of the status of previous investigations, corrective actions and reviews.

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Washington Metropolitan Area Transit Authority

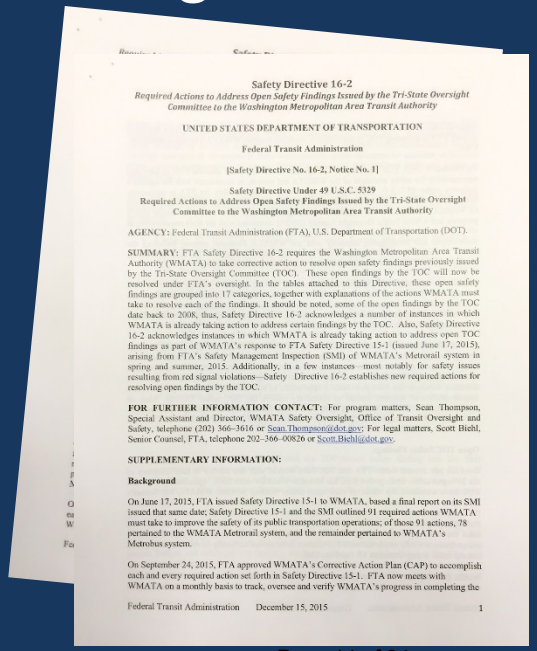
Safety Report

Moving Metro Forward **Safely**

Safety and Security Committee
December 17, 2015

FTA Safety Directive 16-2

- 217 TOC findings consolidated into 153 FTA findings in four categories
- Directive does not include all 91 findings from SMI
- Findings will now be resolved under FTA oversight
- Approved corrective action plans already underway



Safety Directive 16-2

Required Actions to Address Open Safety Findings Issued by the Tri-State Oversight Committee to the Washington Metropolitan Area Transit Authority

UNITED STATES DEPARTMENT OF TRANSPORTATION

Federal Transit Administration

[Safety Directive No. 16-2, Notice No. 1]

Safety Directive Under 49 U.S.C. 5329
Required Actions to Address Open Safety Findings Issued by the Tri-State Oversight Committee to the Washington Metropolitan Area Transit Authority

AGENCY: Federal Transit Administration (FTA), U.S. Department of Transportation (DOT).

SUMMARY: FTA Safety Directive 16-2 requires the Washington Metropolitan Area Transit Authority (WMATA) to take corrective action to resolve open safety findings previously issued by the Tri-State Oversight Committee (TOC). These open findings by the TOC will now be resolved under FTA's oversight. In the tables attached to this Directive, these open safety findings are grouped into 17 categories, together with explanations of the actions WMATA must take to resolve each of the findings. It should be noted, some of the open findings by the TOC date back to 2008, thus, Safety Directive 16-2 acknowledges a number of instances in which WMATA is already taking action to address certain findings by the TOC. Also, Safety Directive 16-2 acknowledges instances in which WMATA is already taking action to address open TOC findings as part of WMATA's response to FTA Safety Directive 15-1 (issued June 17, 2015), arising from FTA's Safety Management Inspection (SMI) of WMATA's Metrorail system in spring and summer, 2015. Additionally, in a few instances—most notably for safety issues resulting from red signal violations—Safety Directive 16-2 establishes new required actions for resolving open findings by the TOC.

FOR FURTHER INFORMATION CONTACT: For program matters, Sean Thompson, Special Assistant and Director, WMATA Safety Oversight, Office of Transit Oversight and Safety, telephone (202) 366–3616 or Sean.Thompson@dot.gov; For legal matters, Scott Biehl, Senior Counsel, FTA, telephone 202–366–00826 or Scott.Biehl@dot.gov.

SUPPLEMENTARY INFORMATION:

Background

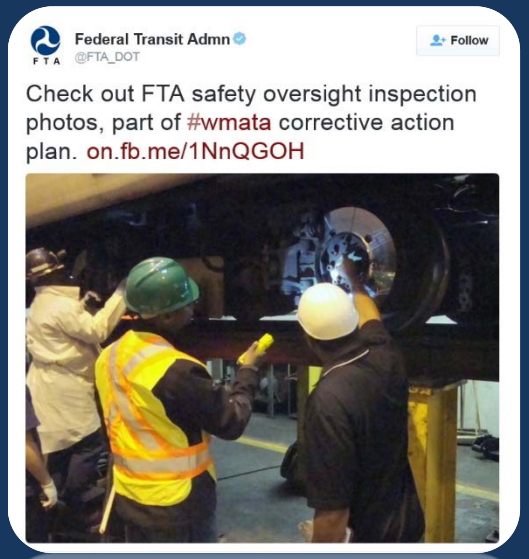
On June 17, 2015, FTA issued Safety Directive 15-1 to WMATA, based a final report on its SMI issued that same date; Safety Directive 15-1 and the SMI outlined 91 required actions WMATA must take to improve the safety of its public transportation operations; of those 91 actions, 78 pertained to the WMATA Metrorail system, and the remainder pertained to WMATA's Metrobus system.

On September 24, 2015, FTA approved WMATA's Corrective Action Plan (CAP) to accomplish each and every required action set forth in Safety Directive 15-1. FTA now meets with WMATA on a monthly basis to track, oversee and verify WMATA's progress in completing the

Federal Transit Administration December 15, 2015 1

FTA Safety Directive 16-2

- Category 1: Directed to complete action (102)
- Category 2: Require additional or alternate action(s) (8)
- Category 3: Combined two or more findings for correction (21)
- Category 4: Incorporated into SMI for monitoring and verification (22)



Corrective Action Plan Process

Finding
- Receive finding(s) from Regulator(s) or Internal Reports

Develop
- Develop corrective action plan (CAP) with internal stakeholders

Approve
- Submit CAPs to Regulator for approval
  - Approved or Required adjustments to the corrective action plan

Action
- Implement “open and approved” CAP(s)

Close
- Submit documentation to Regulator showing completion
  - Verified and closed or required additional action to close

Overview of SMI Findings

Federal Transit Administration
Safety Management Inspection (SMI)

44 Metrorail Findings

1. ROCC Staffing and Procedures (14)
2. Ineffective Training & Compliance (8)
3. Insufficient Track Time for Maintenance (4)
4. System-wide Maintenance Issues (7)
5. Fire Life Safety (2)
6. Performance of Information Technology (4)
7. Tunnel Ventilation System (3)
8. Outstanding items (2)

10 Metrobus Findings

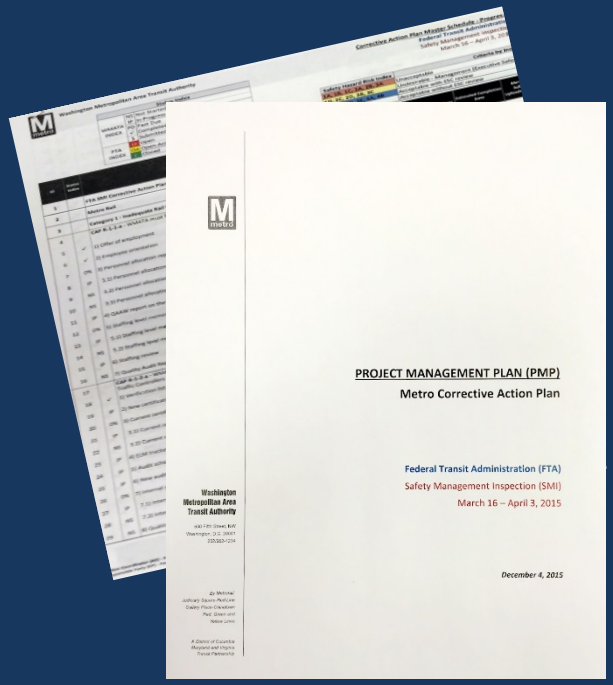
1. Protection of Bus Operators (1)
2. Insufficient Training (2)
3. Inconsistent Testing & Compliance (3)
4. System-wide Maintenance (2)
5. Performance of Information Technology (2)

Required Actions: 91

Metrorail 78, Metrobus 13

FTA SMI Corrective Actions

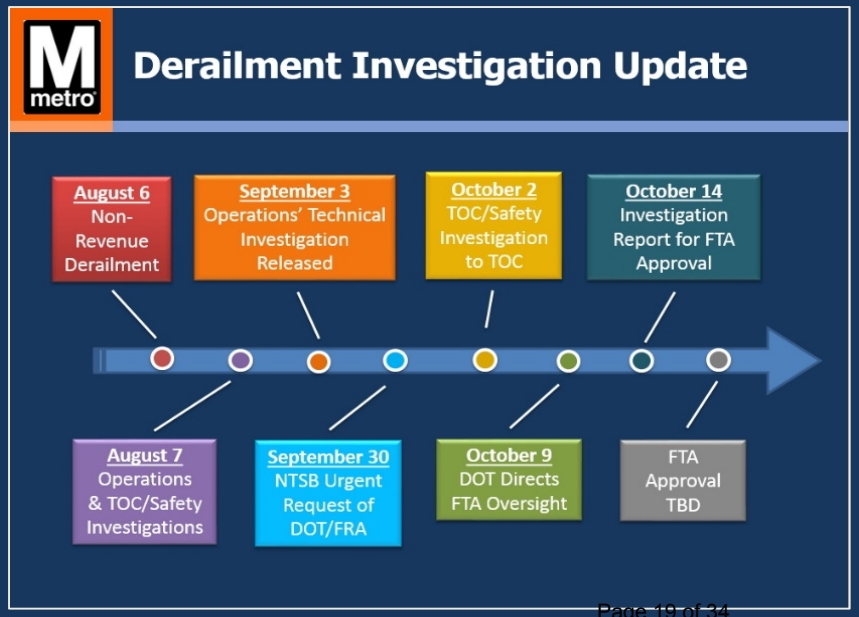
- All CAPs “open and approved”; over 700 actionable items
- Submitted Master Schedule and PMP on December 4th
- Currently implementing over 189 actionable items
- Estimated completion September 2019
- FTA SMI and approved CAPs are online



http://www.fta.dot.gov/tso_16628.html

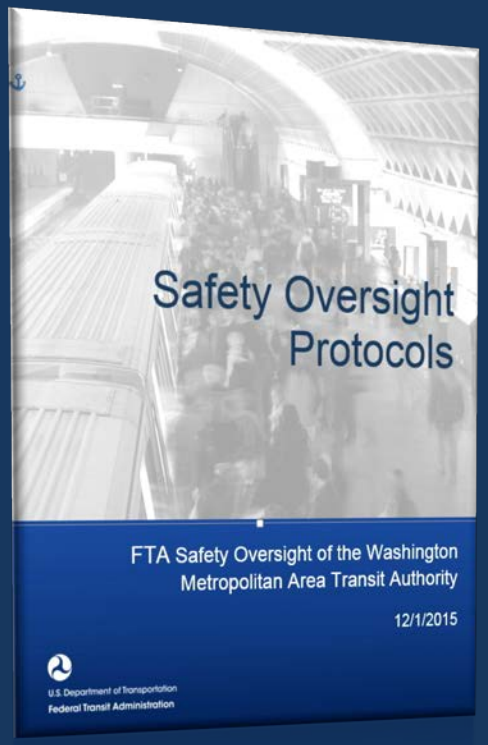
Derailment Investigation Report

- Submitted to FTA on October 14th
- Request of additional information on December 4th
- Awaiting FTA's final response/approval



FTA Oversight

- Continuous communication and collaboration with FTA staff
- Awaiting reconciliation of CAPS and Incidents
- Reviewed and commented on FTA draft Safety Oversight Protocols
- FTA conducting field visits / personnel meetings



NTSB Investigation of Smoke/Arcing Insulator Incident

- 14 early actions taken by WMATA
- Four early recommendations by NTSB
- Public Investigative Hearing conducted June 2015
- Final Comments submitted November 9th
- Anticipate NTSB final report prior to Spring 2016

Moving Forward

WMATA continues to be focused on implementing all corrective action plans in an open and transparent environment to improve upon the safety of our customers, employees and Washington Metropolitan region.