

Washington Metropolitan Area Transit Authority

Board Action/Information Summary

☐ Action ☒ Information

MEAD Number:
201931

Resolution:
☐ Yes ☒ No

TITLE:

Update on FTA and NTSB Actionable Items

PRESENTATION SUMMARY:

The Department of Safety and Environmental Management (SAFE) will be providing an update on the open National Transportation Safety Board (NTSB) and Federal Transit Administration (FTA) Corrective Action Plans (CAPs) and associated actionable items.

PURPOSE:

This update informs the Safety Committee on the current status of the open NTSB and FTA CAPs. This briefing will publicly communicate the status of the actionable items as Metro continues to close these and all other recommendations as part of improving safety.

DESCRIPTION:

Upon receipt of a recommendation, the Authority has 90 days to develop a CAP including the hazard ratings for the recommendation and mitigation. All documentation including the estimated completion date is provided to the NTSB or FTA for review and approval. Once the corrective action is completed, WMATA's internal Quality Assurance, Internal Compliance and Oversight validates the completion and all documentation is submitted to the NTSB or FTA for review, validation and approval. Upon receipt of approval from the NTSB or FTA, the specific action is considered closed.

Key Highlights:

- There have been 299 Corrective Action Plans (CAPs) assigned to WMATA.
- 102 of the 299 have been closed in the past two years.
- 197 CAPs remain open.
- Each CAP may have multiple actionable items, of which there are 1283. Of that total, 539 have been approved and closed, 501 have been submitted for approval and closure, and the remaining 243 are in development.

Background and History:

The CAPs can be divided into three separate groups:

- The FTA Safety Management Inspection (SMI) CAPs are the result of a system-wide inspection. This inspection was conducted in the spring of 2015 by the FTA, while it was utilizing its new safety authority established by the Moving Ahead for Progress in the

21st Century Act (MAP-21). As a result of the investigation, 91 CAPs were assigned, as defined in Safety Directive 15-1.

- The FTA WMATA Safety Oversight (FWSO) CAPs are those that have been assigned as part of the FTA's oversight capacity. These CAPs are embedded in the FTA's Safety Directives, of which there have been five issued in addition to the SMI mentioned earlier. These Directives include: 16-2, Tri-State Oversight Committee; 16-4, Track Integrity Investigation; 16-5, Stop Signal Overrun Investigation; 16-6, Rail Vehicle Securement Investigation; and 17-1, Traction Power Electrification Investigation. These Directives have resulted in 177 CAPs.

- The final group are the CAPs that have been assigned by the NTSB. There are 31 CAPs in this group.

Closures by entity are:

- Of the 91 FTA SMI CAPs, 38 have been closed.
- Of the 177 FTA FWSO CAPs, 62 have been closed.
- Of the 31 NTSB CAPs, two have been closed.

The CAP closures have contributed to the progress on improving areas such as preventive and corrective maintenance; policy and procedures, and training and recordkeeping. The status of each CAP is posted online for tracking and review at: <https://www.wmata.com/initiatives/transparency/Corrective-Action-Plans.cfm>

Discussion:

Actionable Items:

Actionable items are attached to each CAP that demonstrate how WMATA will close out the CAP.

Of the current 1283 actionable items:

- 539 have been approved and closed,
- 501 have been submitted for approval and closure, and
- the remaining 243 are in development.

A single action may be equivalent to closing a finding in which WMATA developed an overall CAP. However, the majority of the CAPs have numerous actionable items that address the specific finding or recommendation.

To address these actionable items, WMATA must implement them and submit documentation to either FTA or the NTSB for their approval.

The number of actionable items will change over time, when they are closed by the FTA or NTSB, or if new ones are added. For example, a new FTA Safety Directive will generate additional CAPs and actionable items. (The last Safety Directive was issued in December 2016 as part of the Traction Power Electrification Investigation).

NTSB CAPs

Two NTSB CAPs have been closed since last board update:

- Develop a program to monitor railcar event recorders

- Assess the state of good repair of tunnel ventilation systems in accordance with industry best practices.

There are 29 open NTSB CAPs.

Fourteen CAPs have been submitted to the NTSB and are currently under review.

Examples of the CAPs that are under review include:

- Removal of 1k series railcars from revenue service
- Development and implementation of tunnel ventilation operational procedures
- Developing and deploying ROCC training and efficiency testing on emergency actions
- Incorporating smoke alarms in emergency drills/exercises
- Ensuring train operators are trained on the emergency shutdown of the railcar ventilation system

Fifteen CAPs are currently open. Examples include:

- Developing and implementing a wayside warning protection technology
- Review/revise tunnel inspection/repair procedures to mitigate water intrusion
- Training employees on tunnel inspections
- Installing/maintaining smoke detection system
- Installing rail line identification and direction signage in tunnels/entrances

FUNDING IMPACT:

Information item only - no funding impact.	
Project Manager:	Patrick Lavin
Project Department/Office:	SAFE

TIMELINE:

Previous Actions	<ul style="list-style-type: none"> • NTSB CAP Review on April 27, 2017
Anticipated actions after presentation	<ul style="list-style-type: none"> • Continue to fully implement all NTSB and FTA CAPs • Continue to implement programs and activities to strengthen the safety culture

RECOMMENDATION:

To inform the Board's Safety Committee of the status of open CAPs from the NTSB and FTA.



Washington Metropolitan Area Transit Authority

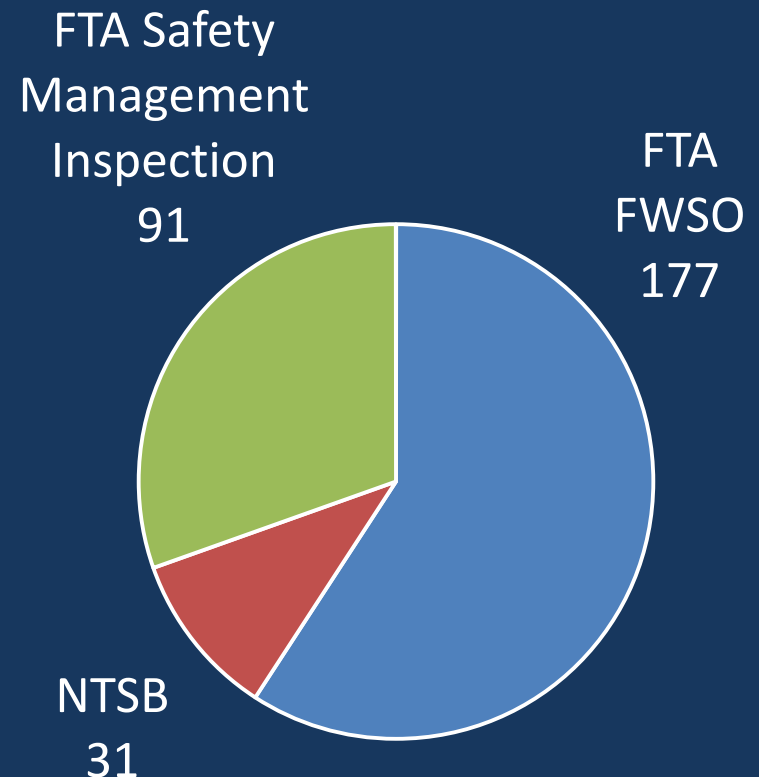
Update on FTA & NTSB Actionable Items

Safety Committee
November 16, 2017



CAPs by Source

- 299 CAPs have been assigned to WMATA
- 102 of the 299 have been closed in the past two years
- 99 of the 197 open CAPs have been submitted to the respective agency for review
- FTA and NTSB corrective action plans are posted online

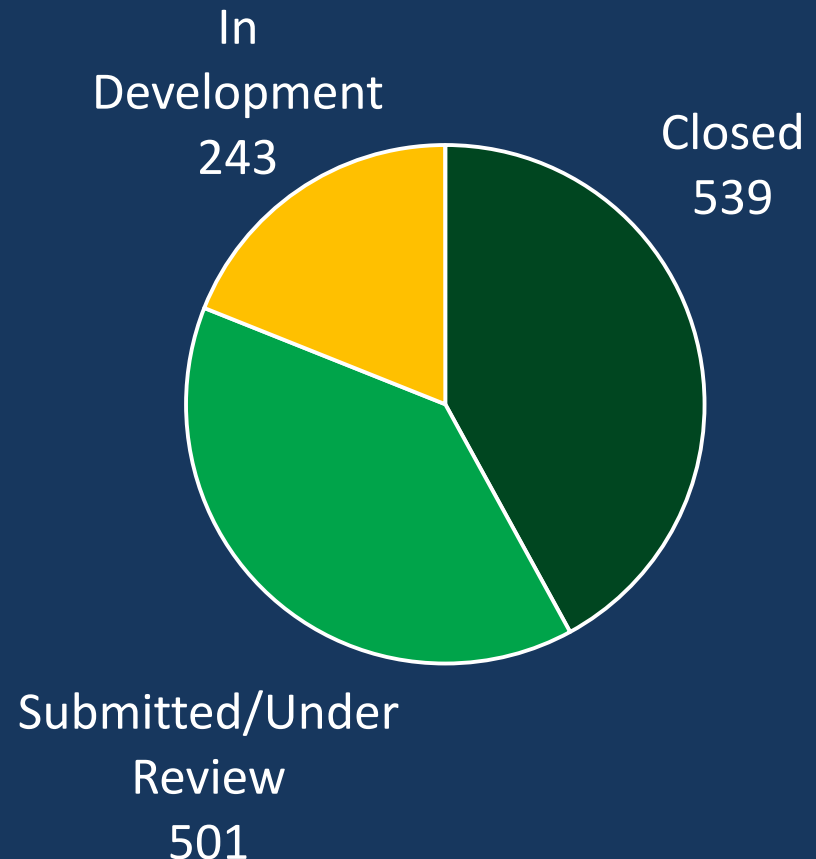


<https://www.wmata.com/initiatives/transparency/Corrective-Action-Plans.cfm>



Actionable Items Status

- There are 1,283 assigned actionable items, which describe WMATA's plan to address the CAP
- Once all actionable items are approved and implemented, the CAP is closed
- Actionable Item Status:
 - In Development (19%)
 - Submitted/Under Review (39%)
 - Closed (42%)





Closed NTSB CAPs

- Develop a program to monitor railcar event recorders (R-10-22)
- Assess the state of good repair of tunnel ventilation systems in accordance with industry best practices (R-15-08)



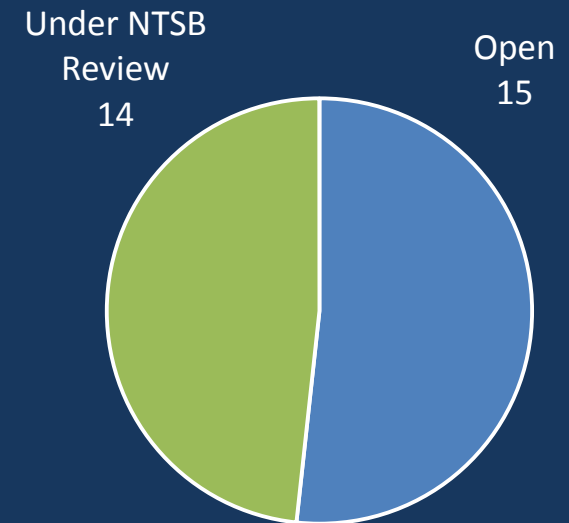
Open NTSB CAPs

Fourteen in review, including:

- Removal of 1k series railcars from revenue service
- Tunnel ventilation operational procedures
- ROCC training and efficiency testing on emergency actions
- Incorporate smoke alarms in emergency drills/exercises
- Ensure train operators are trained on the emergency shutdown of railcar ventilation

Fifteen in review, including:

- Wayside warning protection technology
- Review/revise tunnel inspection/repair procedures to mitigate water intrusion
- Train employees on tunnel inspections
- Install/maintain smoke detection system
- Install line identification and direction signage in tunnels/entrances





- National Transportation Safety Board (NTSB)
Recommendation Program Tracker**
As of April 06, 2016
- | NTSB's Hazard
Category? | Description | CAP No. |
|----------------------------|--|---------|
| I | Underreporting: The hazard must be investigated in the field
immediately because possible. | 0 |
| II | Underreporting of a recurrent safety concern (SEC)
definition required: The hazard must be recurrent,
affecting the threat factor, often more than one event,
involving in coordination with the SEC, subject to the
SEC's definition. | 10 |
| III | Acceptable w/ review: The Chief Safety Officer must
determine if the hazard can be automatically controlled on
project or in the field. | 7 |
| IV | Acceptable w/o review: The hazard does not need
investigation, but corrective actions are monitored
on a continuing basis. | 2 |
- On acceptance into the recommendations, NTSB's report this category are accepted
without survey and possibility of acceptance. This is used in a safety management tool
for ongoing review to the latest practices tool.
- | Actionable Recommendation | | | |
|--|---|---|---|
| <input checked="" type="checkbox"/> Closed | <input checked="" type="checkbox"/> Open/Reopened/Revised | <input checked="" type="checkbox"/> Submitted | <input checked="" type="checkbox"/> In Progress |
| <input checked="" type="checkbox"/> Not Closed | <input checked="" type="checkbox"/> Not Opened | <input checked="" type="checkbox"/> Not Submitted | <input checked="" type="checkbox"/> Not In Progress |
- | NTSB # | NTSB Required Action(s) | WMASTA
Hazard
Risk
Category | Date Closed | Action
Status | WMASTA Comments |
|---------------|---|--------------------------------------|---------------|-------------------------------------|---|
| NTSB B-07-001 | Stop of existing and future train equipment with
Red Back Protection. | | | | |
| NTSB B-07-024 | Implement (A) Procedures to ensure accurate offset
Timing. | I | May 2013 | <input checked="" type="checkbox"/> | |
| NTSB B-07-026 | Ensure appropriate consultation between all
departments responsible for maintenance and design
to resolve issues before new equipment is purchased. | II | June 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-07-029 | Establish a single point of responsibility within NTSB
through accident investigations or related research. | III | October 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-07-027 | Establish written procedure regarding self-identification
for signs of risk operations over safety, business and
information of public from NTSB. | II | October 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-07-028 | Review and completed by 2008, the replacement of
all No. 8 terminals to quartered terminals. | | October 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-08-003 | Review and update NTSB to provide for layers of
protection for Amtrak train, using
performance for Brakley, Scope & Design,
and management from the field to the NTSB. | I | June 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-08-001 | Develop a systematic approach to prevent
unauthorized checks of employee compliance with
National operating and safety rules and regulations. | II | October 2013 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-08-003 | Perform periodic hazard analyses on the deficiencies
identified through the Compliance and Operating Rate
Check and Data Use. | II | November 2012 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-08-004 | Formally implement engineering technology that will
automatically stop or slow workers of approaching
trains and will automatically alert train operators
of such. | II | November 2012 | <input checked="" type="checkbox"/> | Closed |
| NTSB B-09-006 | Safety redundancy of the traditional system
prevents track occupancy data on a real-time basis to
prevent loss of data and automatically generating
alerts. | I | July 2012 | <input checked="" type="checkbox"/> | WMASTA is addressing NTSB's comments
received on March 10, 2016. |



Questions

