



Tri-State Oversight Committee Rail Safety & Security Oversight

Quarterly Update
December 6, 2012



Topics

TOC continues to closely monitor WMATA's efforts to address some of the high-profile accidents, incidents, and hazardous conditions which occurred this year

- Rule Compliance Special Study has been completed
- Mock review of the TOC SSO Program has been completed
- Internal safety and security audits remain strong
- CAP progress, primarily with respect to those arising from internal audits, is ongoing



Topics- cont

- Improvements to CAP spreadsheet and CAPTURE meeting structure are on the horizon
- TOC participation in Silver Line and 7000 Series Railcar projects continues
- TOC is due to begin the Three-Year Safety and Security Review process in 2013



Proactive Safety Program

- WMATA continues to focus on changes to improve its system safety program
- Safety Measurement System (SMS) development and implementation
- Compliance with TOC notification and reporting deadline requirements for accidents, incidents, and hazards
- Assisted in the completion of a “mock” review of the TOC SSO program and assisted in the rule compliance study



Accidents/Incidents/Hazards

- November 3rd Friction Ring Incident

TOC:

- is aware this is fifth such incident since December 2011
- has formally requested that WMATA conduct an investigation into the underlying causes of these incidents
- is aware of configuration management issues identified by WMATA related to friction ring problems
- will track CAPs that WMATA has developed until TOC is satisfied the appropriate steps to address these underlying issues have been taken
- is awaiting a FMECA (Failure Modes, Effects and Criticality Analysis) report which WMATA has proposed, which will address all friction ring incidents.



Accidents/Incidents/Hazards

- Notification and Reporting Requirements
 - TOC and WMATA are:
 - working together to resolve some of the reporting requirements created by different types of incidents
 - aware of “grey areas” caused by the TOC Program Standard and minimum requirements set forth in 49 CFR Part 659.35. TOC may request a hazard investigation on any hazard as outlined in the Program Standard.
 - working together to clarify these obligations in unique cases, and continuing to meet with WMATA SAFE staff to address concerns



Rule Compliance Special Study

- Undertaken to evaluate the effectiveness of steps taken by WMATA to address findings of non-compliance contained in the 2010 Triennial Review Report
- Involved interviewing and shadowing RTRA and SAFE personnel, as well as significant document reviews
- In general, current Rule Compliance efforts mark a significant improvement over past practice
- TOC has developed a draft report currently under review by WMATA which will contain observations and recommendations to help WMATA strengthen its Rule Compliance Program



Mock Review of TOC SSO Program

- Not an audit of WMATA, but rather an independent review of the TOC to gauge its compliance with the 49 CFR Part 659 and the quality of its oversight
- Included valuable contributions from SAFE and MTPD personnel
- Has already led to changes designed to formalize and streamline TOC-WMATA interaction
 - Ex: Introduction of approval letter to close out accidents and incidents
- Draft report is pending



CAP Process Issues

CAP Spreadsheet

- The FTA to work with TOC and WMATA to come up with a document that is easier to read and one that has a clearer explanation of CAP status.
- No meaningful information regarding the current status of the CAP
- TOC is moving forward with improvements to CAP Spreadsheet

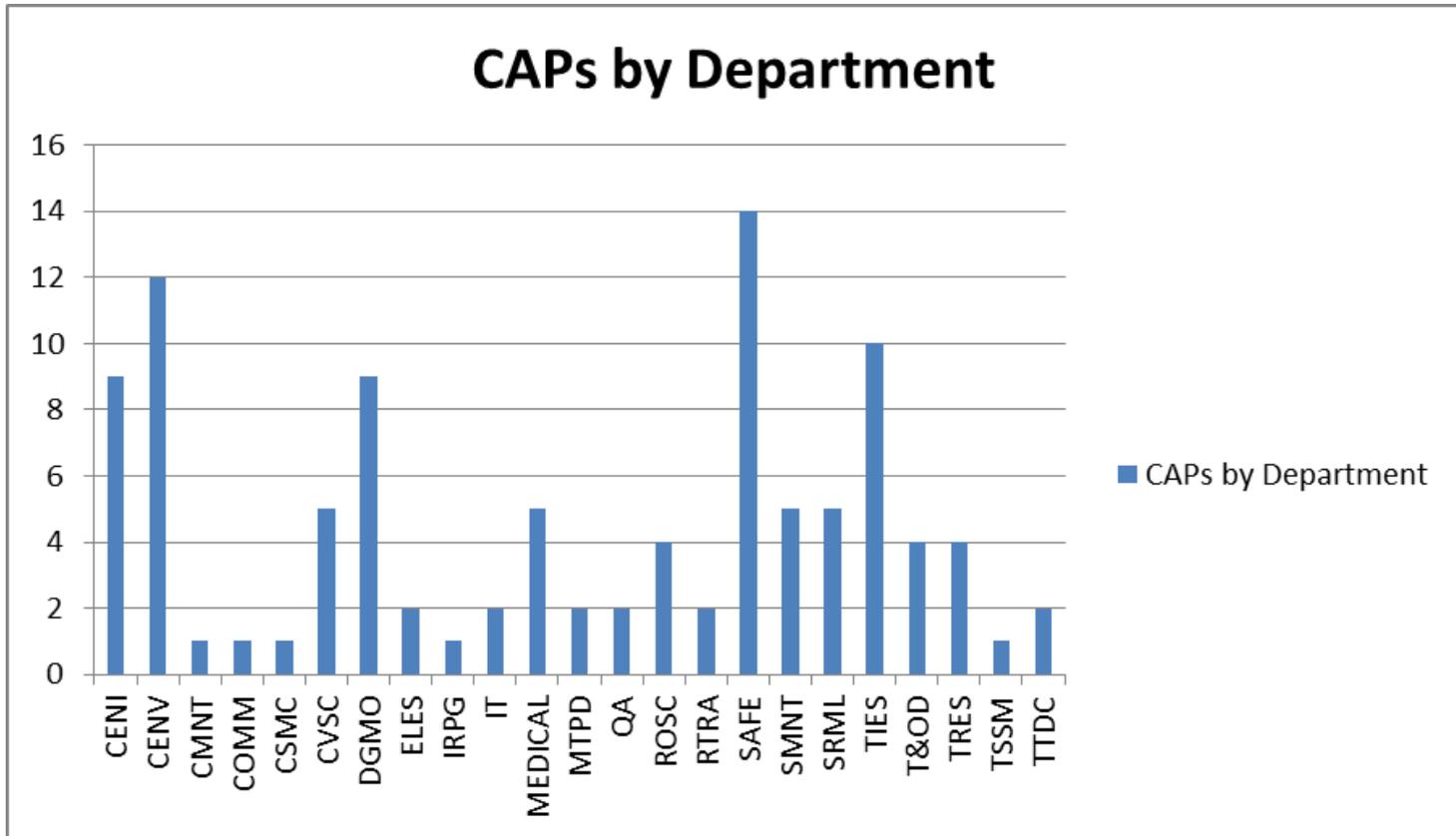


CAPTURE Meetings

- Transition to a more efficient and proactive approach
- Documents to be submitted prior to meeting for review
- WMATA no longer to watch as TOC reviews documents
- Time can be used for clarifying any questions or concerns



CAPs by Department





TOC Oversight of Capital Projects

- TOC continues to be involved in overseeing safety and security aspects of both the Silver Line and
- 7000-Series Railcar Procurement capital projects
 - Silver Line
 - DCMP Safety/Security Working Group
 - Dulles Start-up Committee
 - 7000-Series
 - Safety Certification Working Group
 - Project Review



Three-Year Reviews

- TOC is due to begin the three-year safety and security review process in 2013
- TOC is considering performing reviews in an on-going manner over the three-year period.
- TOC is aware of numerous administrative and programmatic benefits to both TOC and WMATA will result from adopting this approach
- TOC's objective is to strengthen its oversight of WMATA while being less burdensome
- TOC reviews will remain completely independent of WMATA's Internal Audit program
- TOC has outlined the on-going review approach in a White Paper. We await written feedback on the approach from WMATA.

Questions and Comments

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