

TRI-STATE OVERSIGHT COMMITTEE



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DRPT



Tri-State Oversight Committee Rail Safety & Security Oversight

Quarterly Update

March 14, 2013



General Summary

- TOC continues to closely monitor WMATA's efforts to investigate, and address findings from, the Anacostia self-evacuation and other high-profile accidents/and incidents
- 2013 SSPP has been formally approved
- CAP progress, both in closing open items and improving the tracking system, is steady and ongoing
- TOC participation in Silver Line and 7000 Series Railcar projects continues
- TOC is implementing a new on-going three-year review process



Proactive Safety Program

- WMATA continues to focus on changes to improve its system safety program
 - February 20th presentation of Safety Measurement System (SMS) development and deployment to FTA
 - General compliance with TOC notification and reporting deadline requirements for accidents, incidents, and hazards
 - Movement to a system of department-specific CAPTURE meetings to ensure consistent updates on Corrective Action Plans



Accidents/Incidents/Hazards

- Strong end-of-year push to close-out open A/I reports
- Backlog has significantly decreased from the time of the last Board presentation
 - Since 12/20/12:
 - 8 have been closed
 - WMATA continues to respond in a timely manner to TOC reviews and comments on accident report materials



Accidents/Incidents/Hazards

- Anacostia Self-Evacuation
 - Second self-evacuation of a train by passengers in the past year
 - TOC's focus remains on ensuring WMATA addresses underlying structural and systemic issues
 - Meetings with WMATA SAFE and other departmental management personnel
 - WMATA has responded to TOC and FTA's initial, detailed questions designed to highlight WMATA's understanding of the incident's causes and its intended response
 - TOC believes WMATA is taking appropriate steps to identify root and contributing causes



Internal Audits

- Currently scheduled audits include:
 - Public Relations (March 2013)
 - Procurement (April 2013)
 - Storerooms and Material Logistics (April 2013)
- TOC observes internal audits to validate its current understanding of agency functions and to increase its fluency with WMATA personnel and processes
- WMATA Internal Security Audits
 - TOC sought formal guidance from the FTA on using TSA BASE in lieu of internal security audits, but has received no answer to date
 - As described in a Feb. 25, 2013, letter to Chief Taborn, TOC is unable to accept the BASE as a substitute without written FTA authorization

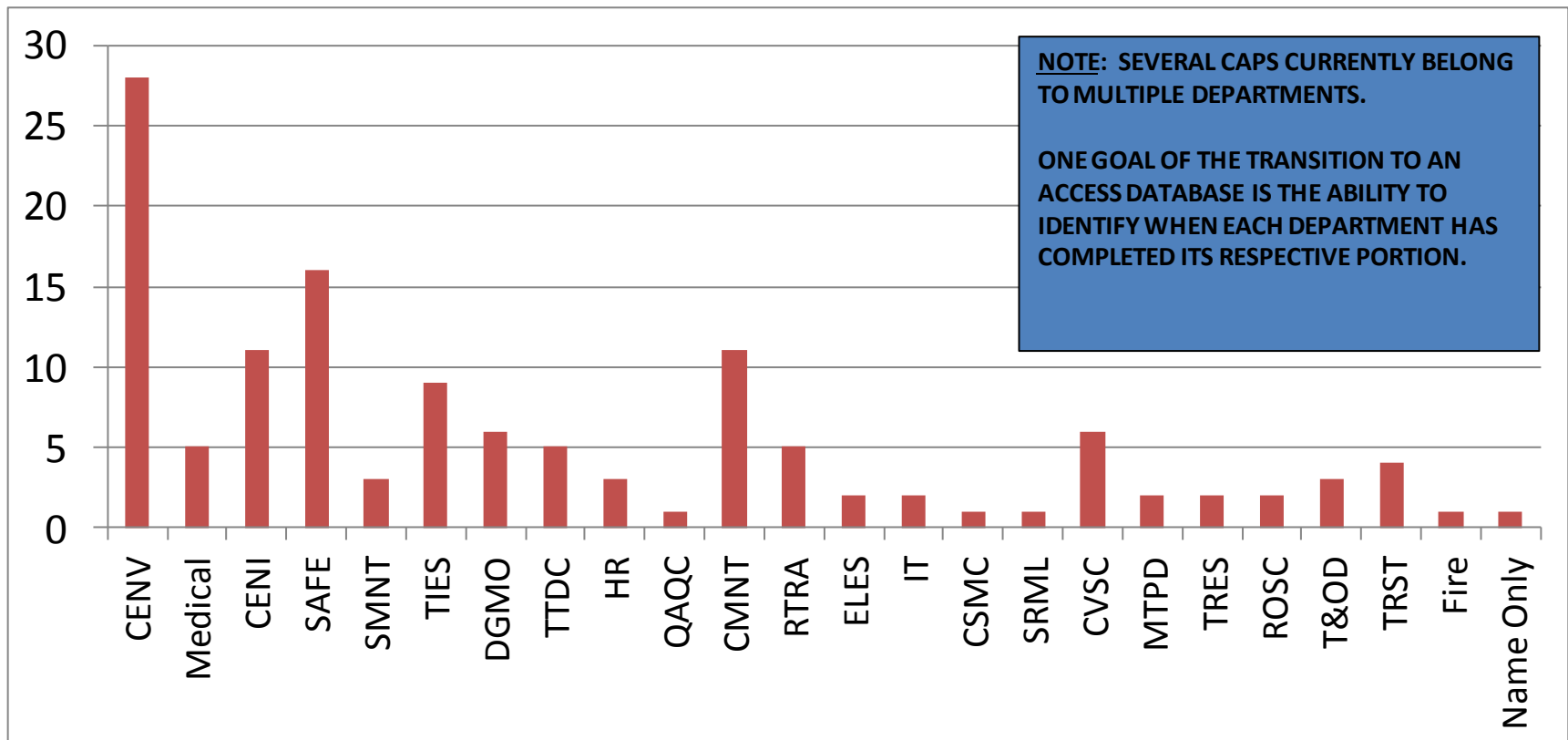


Corrective Action Plans

- As of 3/1/2013, there are 117 open CAPs
 - 15 CAPs have been closed in CY2013, with 5 more currently under TOC review
- TOC is completing a new CAP tracking mechanism



Open CAPs by Department





New CAP Tracking Mechanism

- Switch from Excel spreadsheet to Access database
- This transition will allow TOC and WMATA to:
 - Track the completion of interim milestones
 - More easily sort information related to outstanding CAPs, approaching deadlines, and CAP history
 - Track individual departments' work in completing CAPs that involve collaboration by multiple departments



New CAP Tracking Mechanism

(cont'd)

- Capture a wider range of information, yet develop targeted reports tailored to a specific audience
 - CAPTURE meetings
 - WMATA Board/TOC Executives
 - Departmental management
 - Summaries of all open CAPs vs. detailed histories of a single CAP
- Draft format presented to FTA at a February 20 meeting
 - Initial response was positive, but TOC is awaiting more detailed feedback



<u>TOC ID</u>	<u>CAP Source Report</u>	<u>Finding / Recommendation</u>	<u>CAP</u>	<u>Status</u>	<u>Responsible Department</u>	<u>Responsible Person</u>	<u>Estimated Completion Date</u>
10-189	2010 Triennial Review report: Area of Concern 15B-6	While WMATA appears to be formalizing training records within a new data system, many records for (particularly) long-time employees are unavailable for review.	11/23/11--CENV/TTDC will develop a written plan to ensure all employee training records are available for review as an interim solution until PeopleSoft 7 training module is implemented. (January 2011). HR will also be implementing PeopleSoft 9.1 and the and the 9.0 version of the Enterprise Learning Module beginning January 2011. Implementation of eLM is undetermined.	OAA	HR	Moore-McGee	9/30/2013
TOC Triennial Safety & Security Review							
Last Update Provided:		1/8/2013	Next Update Scheduled	<input type="text"/>			
Most Recent Update / Next Steps:		1/8/13 - Upon completion of the installation of the Enterprise Learning Module and PeopleSoft employee training records will be open for review. Procedure is under development					
10-191	2010 Triennial Review report: Area of Concern 15B-8	While WMATA appears to have a plan and basis for a QA/QC Program, it appears to remain unfunded.	WMATA will evaluate a goal and timeframe for fully implementing a QA/QC program.	OAA	QAQC	DiNatale	9/30/2013
TOC Triennial Safety & Security Review							
Last Update Provided:		1/8/2013	Next Update Scheduled	<input type="text"/>			
Most Recent Update / Next Steps:		1/8/13 - At this time no change, QC remains unfunded.While QAAW has expanded its role, it will not be enough to close the CAP. A funding source is still being sought.					



TOC ID: CAP Source Type: Est. Comp. Date: Status:

Finding / Recommendation	Requirements	Initial Hazard Rating	Mitigated Hazard Rating
CM initiatives of other WMATA departments need to be addressed as part of an overall WMATA CM Plan.	1	<input type="text" value="Revise the CM plan to ensure that it fully addresses CM initiatives of all appropriate depts."/>	<input type="text"/>
	2	<input type="text" value="Revise the WMATA SSPP to accurately reflect the WMATA CM program"/>	<input type="text"/>
	3	<input type="text"/>	<input type="text"/>
	4	<input type="text"/>	<input type="text"/>
	5	<input type="text"/>	<input type="text"/>
Responsible Dept. <input type="text" value="CENV"/>		Responsible Person <input type="text" value="Troup"/>	

CAP
 11/23/10--CENV response: The foundation of CM for railcars is based on OPA 200-6, Engineering Modification Instruction. CENV will work with CENI to develop a configuration management implementation plan with an overall timeframe and intermediate milestones that fully achieves the purpose of P/I 4.10/2. The schedule of development is in the milestones section - total est. eschedule is 14 months. CENI will reorganize with a sub organization specific to Configuration Management. CM team will develop standards and protocols for CAD drawings, filing, and software revisions, both vital and non-vital. This will be completed by January 2012.

Most Recent Update/Next Steps	Milestones	Complete
<input type="text" value="1/8/13 - Much of The CENV CM is Complete. Need to include In The System-wide Plan"/>	1	<input type="checkbox"/>
	2	<input type="checkbox"/>
	3	<input type="checkbox"/>
	4	<input type="checkbox"/>
	5	<input type="checkbox"/>
	6	<input type="checkbox"/>
	7	<input type="checkbox"/>
	8	<input type="checkbox"/>
	9	<input type="checkbox"/>
	10	<input type="checkbox"/>

Last Update Provided: Next Update:

Old Updates

11/23/10--SSPP updated to reflect TOC, FTA and WMATA SAFE findings and recommendations. Draft of revised SSPP completed September 30, 2010, and is currently being reviewed internally by WMATA. Final draft SSPP to be provided to TOC by January 1, 2011.

12/17/10--WMATA Actions (CAP) statement appears adequate. TOC requests regular reports of activities and outputs to track progress. We request that TOC also be invited to periodic meetings held to address configuration management as a means of monitoring WMATA's progress in achieving full compliance with TOC requirements and WMATA's SSPP. 08/27/12: TOC reviewing materials received. 09/26/12: Comment sheets returned to WMATA.



TOC Oversight of Capital Projects

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



TOC Oversight of Capital Projects (cont'd)

- Silver Line
 - DCMP Safety/Security Working Group
 - Dulles Start-up Committee
 - Construction Verification Walk-downs
 - TOC is aware of an incident this month involving a Dulles Test Train
 - Track Damage on February 26



Triennial Reviews

- In accordance with the provisions of 49 CFR Part 659, and following consultations with WMATA, TOC has decided to move forward with an on-going triennial review process.
 - This transition has been designed to achieve:
 - A more efficient use of WMATA resources by allowing WMATA to align its internal audit schedule in accordance with TOC reviews
 - The development of increased contact and stronger relationships between TOC and WMATA staff
 - Build better understandings of the day-to-day issues and considerations faced by those working on the system



Triennial Reviews

- TOC will continue to work with WMATA to ensure the development of an efficient and effective oversight process



Questions and Comments

www.tristateoversight.org

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