



NATIONAL TRANSPORTATION SAFETY BOARD  
**Investigative Hearing**

Washington Metropolitan Area Transit Authority Metrorail train 302 that encountered heavy smoke in the tunnel between the L'Enfant Plaza Station and the Potomac River Bridge on January 12, 2015

GROUP	F
EXHIBIT	
11	

Agency / Organization

Tri-State Oversight Committee

Title

## TOC Certification Work Plan and MAP-21 Compliance Overview

## TOC CWP and MAP-21 activities

- The TOC received approval of their Certification Work Plan (CWP) on 5/16/2014, committing to two actions: short-term improvements to the TOC and replacement of the TOC with the Metro Safety Commission (MSC) as a fully independent and compliant SSO for WMATA.
  - In addition to the CWP, the TOC utilizes a Transition Action Item List to detail and schedule steps in the transition process. This list closely reflects activities and deliverables identified in the CWP and provides step-by-step details with individual due dates and responsible parties.
  - The TOC anticipates that the MSC will be running and in control of all SSO activities in June/July 2019.
- The transition to MSC is supported by TOC's coordination with the Metropolitan Washington Council of Governments (MWCOCG), through which the TOC will access SSO grant program funding.
  - The TOC signed an MOU with MWCOCG, detailing the partnership in the MSC transition, on 3/11/2015.
    - This document acknowledges that each of the jurisdictions will have responsibilities to fully enact the CWP, and that these responsibilities will have a direct impact on how SSO grant program funding will be dispersed from the MWCOCG.
  - The TOC anticipates submitting to FTA letters from DC, Maryland, and Virginia designating the MWCOCG as the interim recipient of SSO grant funds by 3/13/2015.
  - The TOC will begin work on a funding MOU detailing the specific matching dollar amounts and compensation for MWCOCG's services on 3/16/2015.
    - This MOU will directly impact the activities referenced in and timelines for submitting the SSO grant application. The TOC anticipates coming in for all available funds at once, but has not determined how each jurisdiction's funding contributions will be made and transferred. The TOC will provide a separate letter to the FTA Regional Administrator outlining the process for and committing to the matching funds.
- Current projects:
  - *Program Standard and Procedures enhancements*
    - The TOC has made several significant updates to their Program Standard and Procedures that track with MAP-21 requirements. The TOC intends to continue revision as more guidance is released and will adjust as needed before, during, and after the transition to the MSC and will submit drafts to the FTA for approval.
  - *Internal Operations Manual*
    - The TOC is updating their Internal Operations Manual to reflect its current activities and the activities it intends to undertake during the transition to the MSC.
  - *Annual reports to the TOC Executive Committee and FTA*
  - *Quarterly reports to the WMATA Board of Directors*
    - While these meetings are currently scheduled, they are currently occurring biannually.

- *MSC structure*
  - The TOC is working with the MWCOG to procure contracting assistance for support in determining the size, structure, and scope of the MSC.
- *SSO Grant Program funding*
  - The TOC and the MWCOG are making a concerted effort to meet the end of September deadline for FY 2013 funds.
- *Conflict of Interest policy*
  - The TOC has prepared a policy that applies to the existing TOC structure and addresses the current potential conflicts of interest. The TOC anticipates that this document will require significant revision after the creation of the MSC.
  - The current policy is ready for TOC Executives' signatures and a final draft policy will be sent to the FTA for review in late spring 2015 prior to execution in the three jurisdictions.
- Upcoming projects:
  - *Enabling legislation*
    - Amongst other challenges brought on by a three-jurisdiction SSO agency, the TOC faces a unique challenge in arranging legislative schedules. Each of the three jurisdictions will need to individually pass virtually identical legislation in three different legislative cycles.
    - The TOC anticipates that it will need Congressional approval for its enabling legislation and a compact among the jurisdictions once the individual legislative policies have been established.
    - The TOC intends to have some draft provisions prepared prior to the release of the final rule, but will not pursue legislative changes prior to the release.
  - *Needs Assessment*
    - Using the technical assistance provided by the FTA, the TOC and the MWCOG anticipate completing a full resource assessment and milestone schedule in June 2015.
    - Both the TOC and the MWCOG anticipate further utilization of contractors to assist in the interim TOC program and in the transition to the MSC.
  - *MSC Structural analysis*
    - The TOC will partner with the MWCOG and contractor support to review potential organizational structures for the MSC.