



ITEM ID: 2023-200-0

TRANSMITTAL DATE: May 19, 2023

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TO: Board of Directors

FROM: Frank Castellon, Chief System Safety, Security and Compliance Officer

SUBJECT: System Safety and Compliance - CY23 Quarterly Update

Issue

Staff is providing a quarterly update on the Authority's safety and compliance status and activities, including strike data, reportable injuries, rule violations, compliance audits, regulatory inspections, and public outreach. This update covers the 1st quarter of Calendar Year (CY) 2023.

Recommendation

Receive and file.

Strategic Commitment

This report aligns with the Strategic Business Plan commitment of:

- **Safety is Foundational:** We will stay on the leading edge by deploying new technologies and processes to enhance the safety and security of our riders, fellow employees, and the communities we serve. The Authority's System Safety, Security, and Compliance Department identifies and works to mitigate existing and potential hazards in the system through oversight, compliance audits, training, public outreach, and statistical data analysis.

Background

The Authority's mission is to provide safe, efficient, dependable, and on-time transportation

service for the southern California region. The System Safety, Security, and Compliance (SSSC) Department works to optimize the agency's safety and promote a positive safety culture in the workplace through education, engineering, and enforcement, as well as auditing and inspecting for safety and regulatory compliance. Using a data-informed approach, the department utilizes leading and lagging data indicators coupled with management experience, research, and professional expertise to understand current trends and make decisions about the use of Agency resources in areas of focus.

Additionally, the SSSC Department tracks and evaluates inspections conducted by the Federal Railroad Administration (FRA) and other regulatory agencies. These inspections apply the general and permanent rules published in the Code of Federal Regulations (CFR), Transportation (Title 49 CFR Part 200-299) to oversee agency compliance and assess penalties for violations against freight and commuter railroad agencies. The FRA conducts inspections and audits agencies' records to monitor and enforce railroad safety regulations specified in Title 49 CFR. The Authority places paramount importance on safety and regulation compliance.

Discussion

Systemwide Strikes

In Quarter 1 (Q1) of CY2023, there were 20 total strikes systemwide, a decrease of 27% compared to Q1 of CY2022 when there were 28 strikes systemwide. This information represents a continued downward trend from Q3 and Q4 in CY22, and one that we have sustained in Q1 2023.

In response to the increase in strikes, and trespasser reports in CY 2022, staff continued the directed law enforcement efforts through LASD, resulting in a rise in targeted enforcement in areas that, according to data trends, correlated to higher trespasser activity and strikes. This approach to addressing system wide strikes through the directed law enforcement model has resulted in a sustained reduction of trespasser strike occurrences. In addition, staff has used data trends resulting in targeted right-of-way law enforcement patrols, outreach to homeless shelters in targeted areas and engineering strategies that deterred trespassing along the right-of-way. Directed law enforcement actions contributed to the decrease in strikes in Q1 of this year when compared to Q1 of last year. The Authority averaged 8.2 strikes per month systemwide in 2022 compared to 7 strikes a month so far this year. This is a reduction of 14.6%.

The Authority has taken significant steps to address the issues of trespassers and homeless encampments in historically problematic areas of our rights-of-way. These efforts are a collaboration between our Metrolink Bureau sheriffs, maintenance of way contractors, and social service outreach agencies that assist individuals in need of help or support. These efforts have resulted in positive outcomes as follow up visits to the areas in Q1 showed no sign of the encampments returning. LASD is tracking repopulation of encampments that have been cleared out and, by the end of Q1 2023, law enforcement contacts on the right-of-way have seen that only 2% of total encampments have returned after they were initially removed.

A Trespasser Prevention Task Force made up of SSSC department staff was established in

January to address the areas on our system that have historically been more prevalent to strikes and trespassers. The task force takes an organized approach to strike mitigation by performing a site-risk assessment to identify the elements that may contribute to trespassing in a given area of focus. Risk assessments are used to communicate to law enforcement the increased likelihood of conditions that make sustained encampments possible. The results of the risk analysis are then quantified with a risk ranking of each area that assists us in creating a strategic mitigation plan that makes the most of the available resources.

The SSSC Department outreach continues to address strikes on our system that fall under the category of suicides and deliberate acts. Staff has developed and deployed suicide prevention training for frontline employees, contractors and law enforcement to learn how to spot the warning signs of a person that may be in crisis and contemplating ending their life. In Q1, 15 suicide prevention courses were provided by department staff with a total of 254 employees trained.

Conductor Assaults

In an effort to deter unruly passengers and prevent assaults on train conductors, SCRRRA staff collaborated with LASD, Allied Universal, and Amtrak to increase law enforcement and security presence in areas where data analysis suggested unruly passengers were more likely to be present. As a result of this collaboration, only one assault on conductors occurred during Q1 of this year. The Authority averaged 1.2 assaults per month systemwide in 2022 compared to 0.3 assaults a month so far this year. This is a reduction of 75%.

Rule Violations and Reportable Injuries

Q1 of CY2023 saw an increase in rule violations compared to the same time period in CY2022. Two violations were for track and signal employees shunting outside the limits of their authority and one was for a train crew running through a switch. Root Cause Analysis investigations found the following violation contributing factors:

- Loss/lack of situational awareness
- Communications breakdowns
- Failure to verify switch points
- Performing tasks out of sequence
- Failure to request track and time for an area
- Training deficiencies

During the first quarter, there were 5 FRA reportable employee injuries, which is consistent with the same number of injuries reported in Q1 of CY2022. Of the reported injuries, two were attributed to Amtrak, one to Alstom, one to Dispatch, and one to the Los Angeles Sheriff's Department – Metrolink Bureau. While none of the reportable injuries have been catastrophic, management remains committed to working closely with our contractors and contract managers to mitigate future occurrences. A graphical representation of CY2021 and CY2022

The investigation of suspected rule violations and reportable employee injuries is a critical part of our operations in our proactive efforts to preventing future incidents. As such, a comprehensive Root Cause Analysis is conducted with the departments responsible for contractor oversight and the contractor/employee involved. Throughout this process, the SSSC Department collaborates with management to identify any contributing factors that may have led to such incidents and work together to recommend measures aimed at preventing

and mitigating future occurrences. Once the investigation is complete, corrective actions are promptly implemented with a requirement of written confirmation from the contractor of adherence to the Authority within 30 days. This practice not only promotes a safe work environment but also helps to ensure that our agency is in compliance with established regulatory and rulebook guidelines.

Compliance staff contribute to the effort to reduce injuries and rule violations by conducting safety inspections and audits for regulatory compliance on SCRRA departments and Operations contractors. Between January 1 and March 31, 2023, the Compliance staff conducted 340 Safety Inspections and seven Code of Federal Regulations (CFR) 270 audits for regulatory compliance.

The SSSC Department proactively addresses workplace injuries and rule violations by conducting a quarterly Workplace Safety Campaign week aimed at enhancing employees' safety awareness and reinforcing the importance of maintaining a secure work environment. The Q1 campaign took place from February 27 to March 31 and featured the following key safety messages:

- Identifying, analyzing, and mitigating safety hazards
- Effective communication
- Fatigue management

Throughout the week, 1566 contacts were made through 209 face-to-face and virtual meetings with employees and contractors.

Regulatory Inspections

Q1 of CY2023 saw an increase in regulatory inspections of the Authority by the FRA and CPUC. Compared to the Q1 of CY2022, there was a 63% increase with a total of 13 inspections. Relatively, the number of defects assigned by the inspectors increased by only 43% when compared to the same time period in 2022, totaling 10 defects. Defects (as opposed to violations) are items noted by the inspector that require corrective action but do not result in fines. The Q1 regulatory inspections of the Authority resulted in zero reported violations. There were no violations in Q1.

Training

The System Safety Department continued its commitment to promoting a culture of safety awareness throughout our organization and beyond by providing training for employees, contractors, and external stakeholders, including law enforcement and fire agencies. In Q1 of CY2023, department staff conducted multiple training courses aimed to raise awareness of potential workplace and emergency response hazards and provide participants with the necessary tools to avoid them.

Overall, the department conducted 63 classes in Q1, during which 657 participants were trained. This number represents the combined attendance of employees, contractors, and external stakeholders who took part in the department's training courses.

The complete list of Q1 CY2023 training courses is provided below:

- Active Shooter Preparedness
- General Code of Operating Rules (GCOR), Beginning and Intermediate
- Suicide Awareness, Prevention and Crisis Intervention

- Hazardous Materials Emergency Response
- Railroad Introduction
- TSA Passenger Railroad Security Video
- Train Dispatcher Manual
- Workplace Safety Campaign Overview
- Metrolink System Safety Program Plan (SSPP)
- Incident Response Plan (IRP)
- Incident Response Training
- IndustrySafe-Vector Training
- Passenger Train Emergency Preparedness (PTEPP)
- PTEPP Train Ride

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Attachment(s)

[Presentation - System Safety and Compliance - CY23 Quarterly Update](#)