



**Safety and Operations Committee**

**Board Action Item III-A**

**September 8, 2022**

**Approval of Agency Safety Plan**

Washington Metropolitan Area Transit Authority

## Board Action/Information Summary

☒ Action ☐ Information

MEAD Number:  
203383

Resolution:  
☒ Yes ☐ No

### TITLE:

Public Transportation Agency Safety Plan Approval

### PRESENTATION SUMMARY:

Metro's Board is required to review and approve the Public Transportation Agency Safety Plan (ASP) annually. This presentation explains the key changes made to the plan as part of this year's annual revision.

### PURPOSE:

To obtain Board approval of the annual revision of Metro's ASP.

### DESCRIPTION:

**MITRE** is a federally funded non-profit that specializes in applying data sciences to advance safety in the transportation industry. MITRE has been retained to assist Metro with development and implementation of its Voluntary Safety Reporting Program.

### Key Highlights:

The following key changes were made as part of this year's annual revision to the ASP:

- Incorporates additional safety requirements applied to the transit industry as part of the Infrastructure Investment and Jobs Act, specifically: establishing a Joint Labor and Management Safety Committee, infectious disease mitigation, and employee assault reduction targets, and expanding de-escalation training
- Describes the MITRE partnership (formed in March of 2022), which includes performing a safety culture assessment, improving voluntary safety reporting capabilities, and enhancing safety data analytics
- Incorporates feedback solicited from Metro employees, the Joint Labor and Management Safety Committee, Federal Transit Administration, Washington Metrorail Safety Commission, and Senior Executive Team

### Background and History:

In 2016, the Federal Transit Administration (FTA) published 49 CFR Part 670 Public Transportation Safety Program, which states *“The FTA has adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing the safety of public transportation in the United States”* (49 C.F.R. § 670.3). SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry’s existing safety foundation to continuously improve how safety risks are identified and assessed with mitigating actions taken before an accident or incident occurs.

In July 2018, the FTA published 49 CFR Part 673 Public Transportation Agency Safety Plan. Transit operators that receive federal funds (under the FTA’s Urbanized Area Formula Grants) are required to develop ASPs that specify how SMS will be implemented over the course of a multi-year period. Metro’s ASP has been approved by the Senior Executive Team (SET), Board of Directors, Washington Metrorail Safety Commission (WMSC), and self-certified with the FTA.

### **Discussion:**

The Safety Department’s (SAFE) vision is for Metro to become the transit industry leader in safety. SAFE’s mission is to realize this vision by developing and implementing a world-class Safety Management System (SMS). SAFE’s strategic roadmap establishes the priorities for accomplishing the mission.

Metro’s ASP describes how the mission will be implemented. There are four components to SMS: Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion. The ASP is refreshed annually to reflect the progress made, incorporate lessons learned, and outline the path forward. Key changes to the ASP include: incorporating requirements of the Infrastructure Investment and Jobs Act (IIJA); defining the Metro/MITRE partnership going forward; and incorporating feedback from a variety of sources including Metro employees, senior executive team, Joint Labor and Management Safety Committee (JLMSC), Washington Metrorail Safety Committee (WMSC), and Federal Transit Administration (FTA).

### **IIJA Requirements**

Passage of IIJA resulted in new safety requirements for the transit industry to include in ASPs. Specifically, this new law required transit agencies to establish JLMSCs. Metro is proud to be among the first agencies to form its JLMSC with the first meeting occurring in June, over a month ahead of the required deadline of July 31, 2022. The JLMSC is required to review and approve Metro’s ASP and oversee its implementation to establish an SMS that proactively manages safety risk. The JLMSC reviewed and provided feedback to the ASP over the month of July. JLMSC feedback was incorporated into the ASP. The JLMSC voted unanimously to approve the ASP on August 4, 2022. The IIJA also requires ASPs to include strategies for infectious disease mitigation. SAFE’s Office of Emergency Preparedness (OEP) maintains a dedicated Pandemic Flu Plan that outlines Metro’s strategy for mitigating infectious diseases. The ASP has been updated to align and refer to that plan,

which is being refreshed to account for the lessons learned from the COVID-19 pandemic. The IIJA also requires ASP to include risk reduction programs for transit worker assaults. SAFE has partnered with the Metro Transit Police Department (MTPD) to incorporate this requirement. Employee assault rates and mitigation progress are tracked and reported monthly. Additionally, IIJA expanded the population required to complete de-escalation training to include safety, operations, and maintenance personnel. MTPD has been providing de-escalation training and will partner with SAFE and COO to expand its implementation.

### **Metro/MITRE Partnership**

In March 2022, Metro became the first transit agency to partner with MITRE, a federally-funded non-profit that has worked to improve safety in aviation and other industries for over 50 years. The ASP has been updated to reflect how this partnership will focus on performing a safety culture assessment, improving voluntary safety reporting, and enhancing safety data analytics. The assessment will formalize Metro's understanding on the current state of its safety culture and inform the path toward realizing a positive safety culture where employees feel empowered and encouraged to speak up and act in response to safety concerns. The assessment will be conducted approximately every two years to measure progress.

While Metro has a proud history of leading the transit industry in voluntary reporting, the variety of internal and external reporting mechanisms have been historically siloed. Metro and MITRE will work together to develop a tool to integrate and pool voluntary reporting from the various sources that exist as well as provide additional capabilities and functionality. Additionally, Metro and MITRE will collaborate to apply MITRE's industry leading analytical techniques to Metro's safety data resulting in a new level of visibility and insights that will continuously improve how safety risk is proactively managed.

### **ASP Feedback**

To instill an Authority-wide sense of ownership of the ASP, a dedicated website was created for employees to access ASP information and actually make changes directly to an editable version of the document (with track changes on) or submit feedback forms if preferred. SAFE partners with Customer Service, Communications, and Marketing (CSCM) to actively promote the website and ASP through promotional campaigns, podcasts, email, and other forms of communication. Additionally, the JLMSC is required to review and approve the ASP. The committee was provided a month to review and provide feedback. A deep dive review into the ASP was held with the JLMSC at the end of July, and on August 4, 2022, they voted unanimously to approve the latest version of the ASP. Each year, Metro has also taken advantage of the courtesy reviews of the ASP offered by FTA's Technical Assistance Center (TAC) and incorporated feedback. Feedback from Metro's senior executive team was also incorporated.

The Washington Metrorail Safety Commission (WMSC) is required to approve the ASP. The Chief Executive Officer of WMSC provides Metro's General

Manager/Chief Executive Officer with conditional approval through email, which means Metro's direct oversight concurs with the ASP but final approval does not come until the WMSC's commissioners have voted, which is scheduled to occur in October following approval by Metro's senior executive team and Board of Directors.

#### **Next Steps**

Provided the Board approves, the ASP will be submitted for approval to the WMSC's commissioners, who are tentatively scheduled to vote in October. The WMSC provides approval with an effective date of December 31 since the revision cycle is on a calendar year basis. After the WMSC approves, Metro is required to self-certify that it complies with federal safety requirements in the FTA's transit award management system. Concurrently, Metro will continue to develop and implement SMS and report progress to the Executive Safety Committee (ESC) and Board's Safety and Operations Committee on a regular basis.

#### **FUNDING IMPACT:**

Development and implementation of SMS is accounted for in the budget. This presentation is a report on the progress being made in accordance with the ASP.	
Project Manager:	Theresa Impastato
Project Department/Office:	Department of Safety (SAFE)

#### **TIMELINE:**

<b>Previous Actions</b>	As documented in the ASP.
<b>Anticipated actions after presentation</b>	Implementation of the SMS throughout Metro is planned as a multi-year process. No change to the timeline is proposed. The Operations Department has been prioritized for baseline implementation.

#### **RECOMMENDATION:**

Recommend the Board approve the annual update to the ASP.

# Agency Safety Plan – Annual Review and Approval

Safety & Operations Committee  
September 8, 2022





## Purpose: To obtain Board approval of Metro's Public Transportation Agency Safety Plan (ASP)

- Defines how Metro is developing a Safety Management System
- Annual revision 3.0



# Four Components

*Formalizes SMS adoption by Metro.*

*Data, processes, and tools drive proactive action before incidents occur*



*Oversight to verify proactive actions are being taken and working as intended*

*Shape the culture required to sustain long-term effectiveness*



## Plan Enhancements:

- **Infrastructure Investment and Jobs Act**
  - ✓ Establishment of Joint Labor and Management Safety Committee
  - ✓ Infectious disease mitigation
  - ✓ Employee assault targets
  - ✓ Expanding De-escalation training



## Plan Enhancements:

- **Partnership with MITRE**
  - ✓ Safety culture assessment
  - ✓ Voluntary safety reporting
  - ✓ Enhancing Safety data analytics



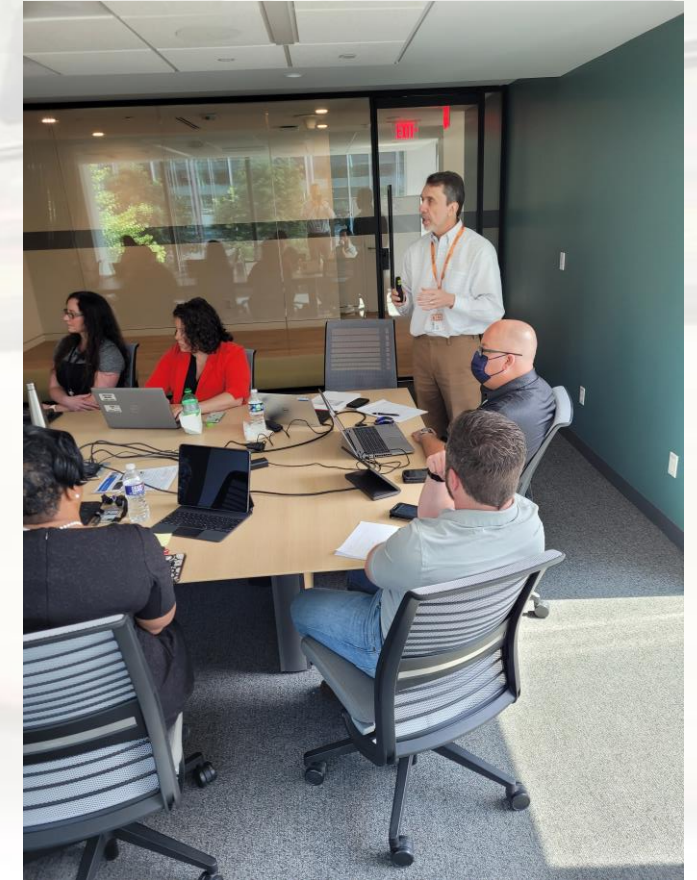
**Bedford, Mass., and McLean, Va., April 13, 2022** – MITRE and the Washington Metropolitan Area Transit Authority (Metro) are pleased to announce a collaboration that is designed to strengthen Metro's Safety Management System (SMS).



## Plan Enhancements:

### ▪ Feedback Solicitation

- ✓ Metro employees
- ✓ Joint Labor and Management Safety Committee
- ✓ Federal Transit Administration
- ✓ Washington Metrorail Safety Commission
- ✓ Senior Executive team



MITRE presents to JLMSC

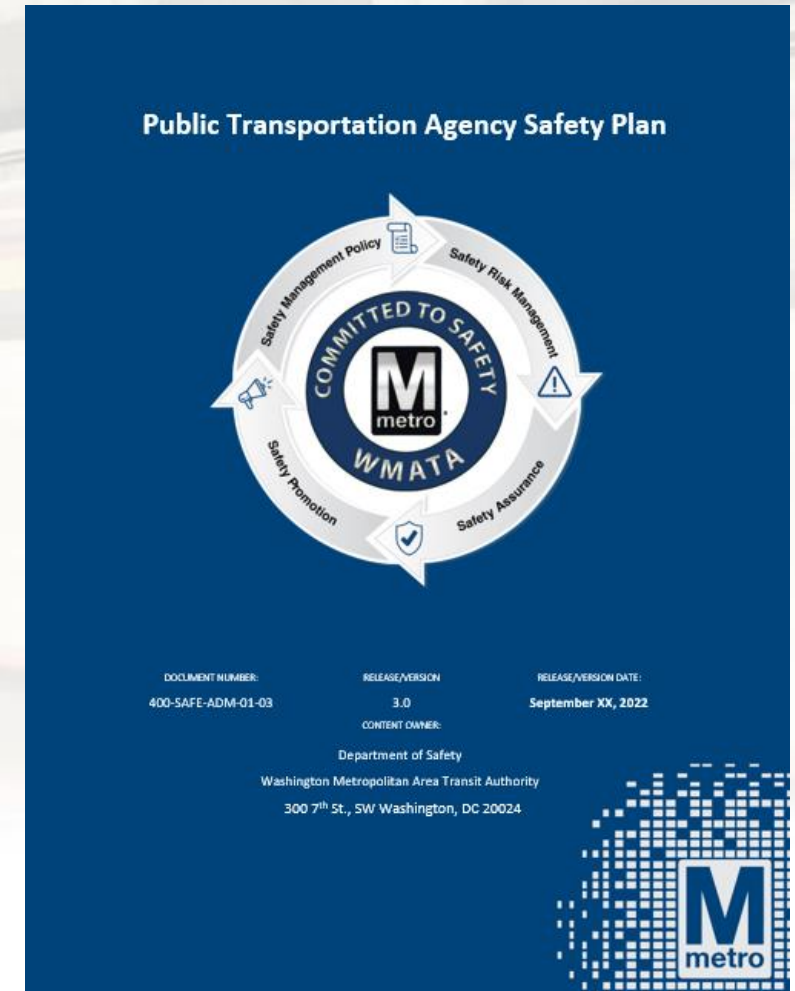
## ASP Timeline:



- Completed Activity
- Current Activity

## Next Steps:

- Submit Board-approved ASP to WMSC
- Self-certify compliance in the FTA's transit award management system
- Continue to develop and implement Metro's SMS in accordance with the plan





SUBJECT: APPROVAL OF THE 2022 PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

RESOLUTION  
OF THE  
BOARD OF DIRECTORS  
OF THE  
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY

WHEREAS, Federal Transit Administration (FTA) regulation 49 C.F.R. § 673.11(a)(1) requires the Board of Directors to approve WMATA's Public Transportation Agency Safety Plan (PTASP); and

WHEREAS, In accordance with FTA regulation 49 C.F.R. § 673.11(a)(5), staff has conducted an annual review of and updated the PTASP (Attachment A); and

WHEREAS, In accordance with the laws of the U.S. Department of Transportation codified at 49 U.S.C. § 5329(d), the Joint Labor and Management Safety Committee (JLMSC) has reviewed and approved the updated PTASP; and

WHEREAS, The General Manager and Chief Executive Officer has signed the PTASP and certified to the Board of Directors that the PTASP is satisfactory and complies with each of the requirements of the PTASP rule (49 C.F.R. Part 673), and that the PTASP will effectively guide WMATA with the management of safety risks;

NOW, THEREFORE, be it

*RESOLVED*, That the Board of Directors approves the 2022 Public Transportation Agency Safety Plan, set forth in Attachment A; and be it finally

*RESOLVED*, That this Resolution shall be effective 30 days after adoption in accordance with Compact Section 8(b).

Reviewed as to form and legal sufficiency,

/s/ \_\_\_\_\_  
Patricia Y. Lee  
Executive Vice President and General Counsel