



Safety and Operations Committee

Board Information Item III-A

February 11, 2021

Metro Safety Management System Path Forward

Washington Metropolitan Area Transit Authority

Board Action/Information Summary

☐ Action ☒ Information

MEAD Number:
202247

Resolution:
☐ Yes ☒ No

TITLE:

Metro Safety Management System (SMS) Path Forward

PRESENTATION SUMMARY:

This presentation describes the strategy for implementing Metro's SMS in accordance with the Agency Safety Plan (ASP) that was approved by the Board of Directors and certified with the Federal Transit Administration (FTA).

PURPOSE:

To keep Metro leadership informed and engaged on the strategy and progress associated with implementing SMS.

DESCRIPTION:

There are no interested parties in this matter.

Key Highlights:

- Metro's Agency Safety Plan (ASP) defines how Safety Management System (SMS) will be implemented. The ASP was certified with the FTA in December of 2020 in compliance with regulatory requirements.
- A Safety Management System (SMS) is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry's existing safety foundation to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully.
- SMS is about applying resources to risk and is based on ensuring that a transit agency has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources.
- A three-year SMS Strategic Roadmap has been established to guide implementation.
- The focus CY2021 is to set the standard with the Rail Ops Control Center, then expand.

Background and History:

In 2016, the 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.” 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 of 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 Agency Safety Plans (ASPs) that specify how SMS will be implemented over the course of a three-year period. The compliance deadline for ASP submissions was December 31, 2020. Metro’s ASP was approved by the Executive Management Team (EMT), Board of Directors, Washington Metrorail Safety Commission (WMSC), and certified with the FTA in compliance with this deadline. The focus has now shifted toward implementing SMS in accordance with the ASP.

Discussion:

Strategy Summary:

Safety has partnered with the Rail Operations Control Center (ROCC) Transformation Team to prioritize implementation of SMS, which will set the standard for Metro in CY2021. SMS implementation will continue to expand, leveraging the momentum and precedent established in the ROCC to advance implementation across the entire operation over the course of CY2022 and CY2023. To illustrate this strategy, Metro has developed a three-year Strategic Roadmap, which is organized based on the four components of SMS (Safety Policy, Safety Risk Management, Safety Assurance, and Safety Promotion). The following summarizes the key milestones targeted for completion in CY2021:

Safety Policy

Metro’s ASP was certified with the FTA in December of 2020 in compliance with deadline required by 49 CFR Part 673 Public Transportation Agency Safety Plan. The SMS Strategic Roadmap was subsequently established. A Project Manager is being hired to lead development of the tactical action plans required to ensure a formalized, deliberate approach is taken toward implementing SMS. Additionally, a third-party consultant was hired to study Metro’s safety organization and recommend adjustments that will ensure the team is positioned to effectively support implementation.

Safety Risk Management

Proactive safety risk management requires an integrated approach composed of people, processes, tools, and resources. The ASP designated Safety Risk Coordinators from each Metro Department. The ROCC Safety Risk Coordinator is partnering with leadership from Safety to launch the implementation of the SMS safety risk management process, starting with a series of risk identification sessions that are being held with frontline personnel. Additionally, Safety and ROCC leadership have established five panels (Traction Power, Emergency Management, Roadway Worker Protection, Rail System Operations, and Facility Management) composed of employees from every level of the company to start the process of reviewing and refreshing the

content of the Metro Safety Rules and Procedures Handbook (MSRPH). Safety has also asked Quality Assurance to evaluate the current employee voluntary safety reporting program to determine where opportunities for improvement exist.

Safety Assurance

Robust safety investigations are essential to driving continuous improvement. Safety has hired a Deputy Chief of Rail Operations and Investigations who has been tasked with improving how investigations are conducted and reported. Additionally, there are a variety of inspections programs that exist within the Safety Department that focus on Roadway Worker Protection, Fire and Life Safety, Stations, and other aspects of the system. Each of these inspection programs are currently implemented differently, which results in an opportunity to coordinate and standardize inspection processes and schedules for the purpose of improving their overall effectiveness. Safety Committees will be utilized to serve as the operating rhythm that sustains SMS implementation. Therefore, Safety is also conducting an assessment to determine the readiness of these committees as part of preparing them for the change represented by SMS.

Safety Promotion

Metro's culture will ultimately determine the success of SMS. Safety is working with ROCC leadership to apply the principles of a Just Culture, which is intended to create an environment where employees feel comfortable speaking up and sharing their concerns without fear of retribution. ROCC leadership is currently evaluating their policies, guidelines, and decision-making processes associated with how employee conduct is managed. In addition, Safety is partnering with Communications to ensure employees are aware of Metro's SMS journey, stay informed on the progress made, and understand where their roles fit in (such as proactively using reporting mechanisms to share safety concerns or working to improve their processes).

Next Steps

The immediate next steps are as follows:

1. Hire an SMS Project Manager
2. Develop Tactical Action Plans for each Roadmap Milestone
3. Establish an Integrated Master Plan
4. Launch the SMS Operating Rhythm
5. Manage and report on progress

FUNDING IMPACT:

There is no funding impact for presenting this SMS plan.	
Project Manager:	Theresa Impastato
Project Department/Office:	Safety and Environmental Management

TIMELINE:

N/A

Metro SMS

Path Forward

Safety & Operations Committee
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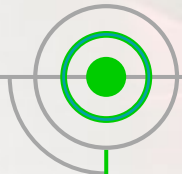


Background

FTA publishes 49 CFR Part 673 requiring the submission of an Agency Safety Plan by December of 2020

Commence SMS implementation in accordance with the ASP, ROCC prioritized to set the standard

2016



FTA publishes 49 CFR Part 670
“Adopting the principles and methods
of Safety Management Systems”

2018

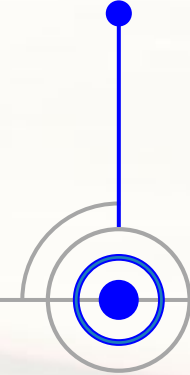


2020



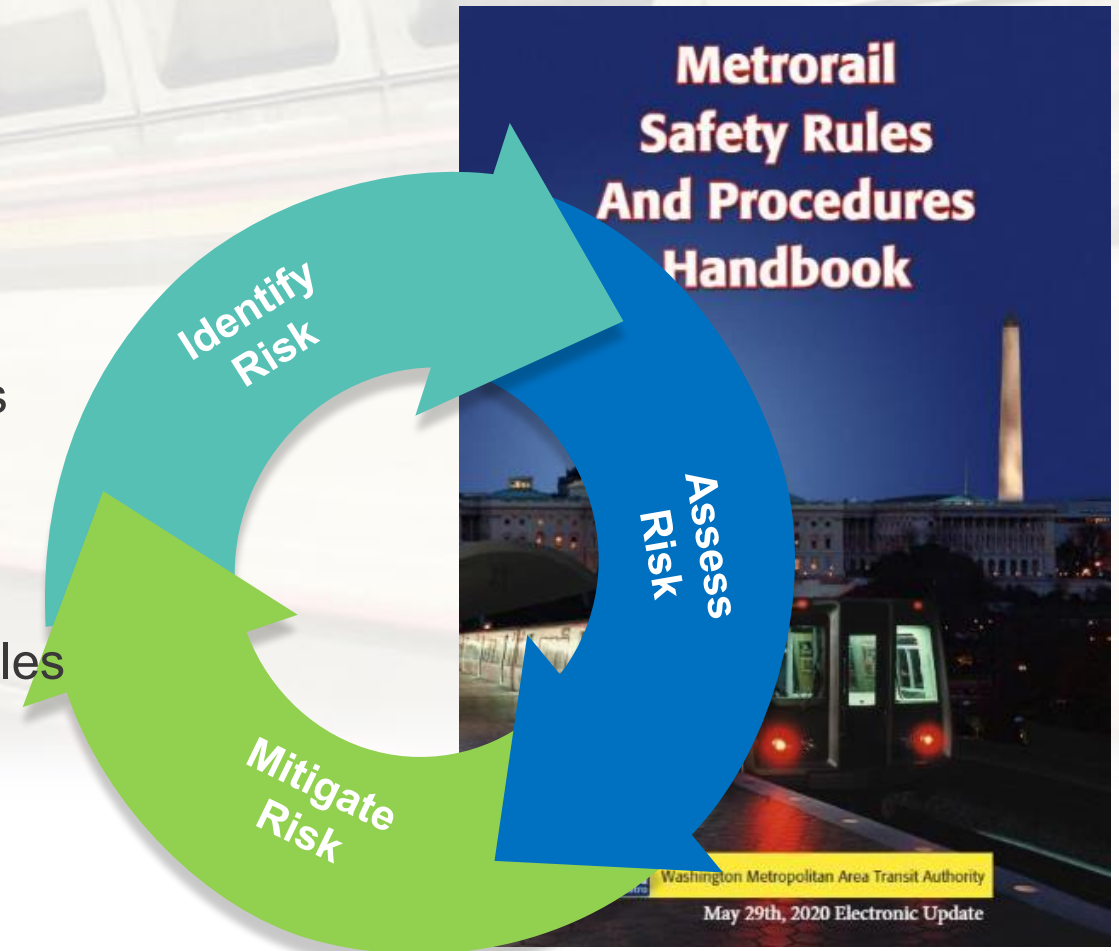
WMATA’s Agency Safety Plan
approved by EMT, Board,
WMSC, and certified with FTA

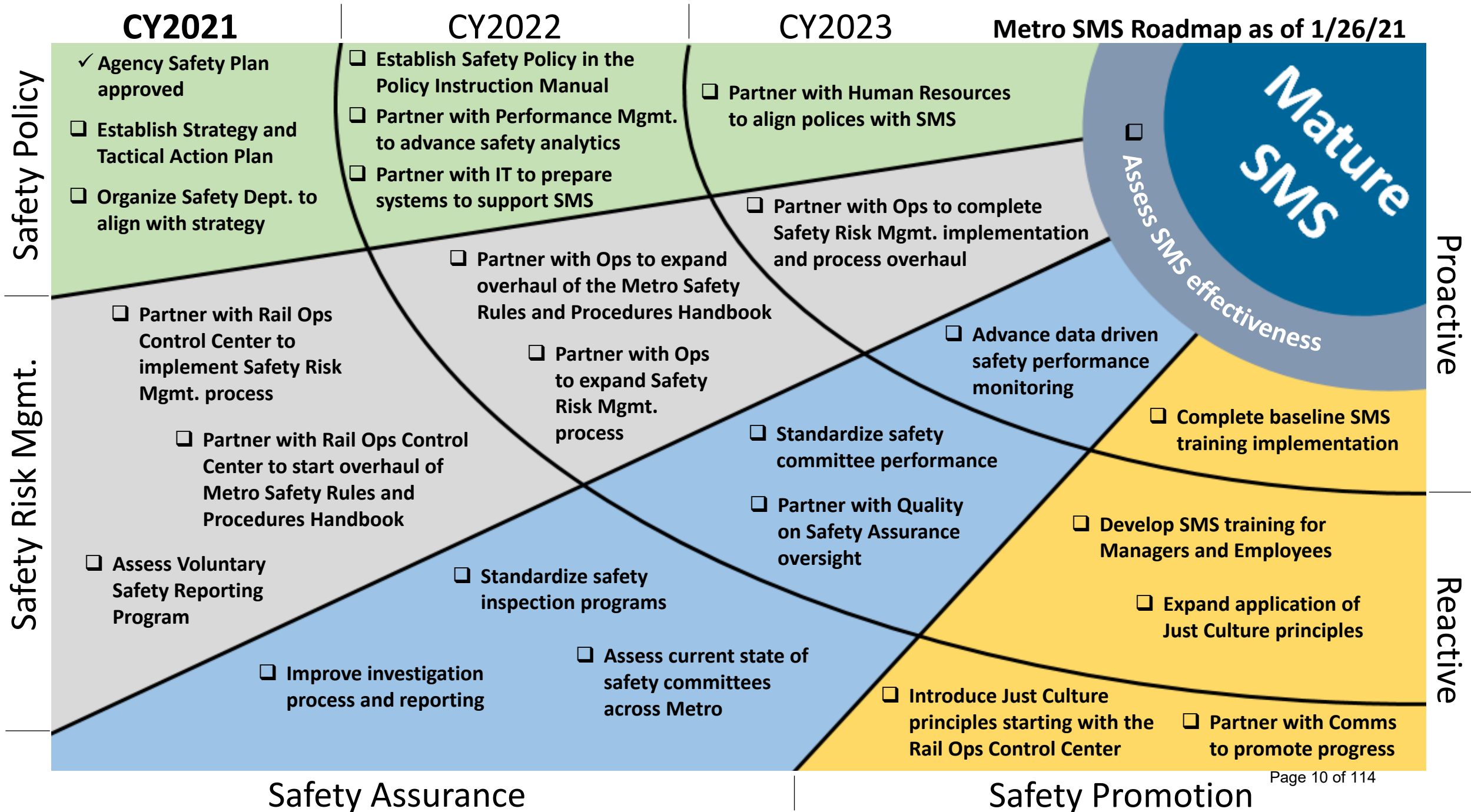
2021



SMS Strategy Summary

- Metro's SMS applies throughout the agency
- Set the Standard with the ROCC – then expand tools and methods throughout Metro
 - Implement proactive Safety Risk Mgmt. processes
 - Overhaul Metro Safety Rules and Procedure Handbooks
 - Update policies to incorporate Just Culture principles
- Risk reduction efforts outside of the ROCC will continue to progress in parallel
- Metro has developed a 3-Year Roadmap for enterprise-wide Implementation of the SMS





Next Steps

- Successful SMS implementation requires an integrated effort:
 - Establish Project Management Approach for SMS
 - Conduct tactical planning for each roadmap milestone with stakeholders throughout the agency
 - Prepare the detailed SMS Strategic Plan
 - Establish SMS operating rhythm to manage progress and provide regular updates to the Board, WMSC and other stakeholders



Questions

