Safety and Operations Committee

Board Information Item 3B

November 21, 2019

Safety Management System Implementation Schedule

Board Action/Information Summary

○ Action ● Information	MEAD Number: 202137	Resolution: ○ Yes ● No

TITLE:

Safety Management System (SMS)

PRESENTATION SUMMARY:

The Department of Safety (SAFE) will provide a briefing of the SMS, including overview, elements, roles and benefits.

PURPOSE:

The Department of Safety (SAFE) will provide the Board with a briefing of the SMS framework including a brief overview of key SMS concepts, benefits and roles, and timeline. Further, the public forum provides transparency to our stakeholders, employees and public in the Washington metropolitan area community

DESCRIPTION:

The Federal Transit Administration's (FTA) safety authority, under the 2009 Moving Ahead for Progress in the 21st Century Act or MAP-21, marks a significant change in how FTA approaches transit safety. The law provides the FTA with the authority to establish common-sense safety performance criteria for all modes of public transportation. The FTA is working to put initial policies and procedures in place and has adopted SMS as the basis for improving the safety of public transportation.

Key Highlights:

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. It is a formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies and procedures for the management of safety risk. Some key highlights are:

- It's a management system
- It's a core agency function (e.g., Human Resources, Finance, Information Technology)
- Provides decision making tools for management
- Does not eliminate all risk, but helps determine the level of risk
- Establishes a proactive, continuous cycle of identifying and managing risks

Background and History:

The safety of passengers and employees is a top priority for all public transportation industry stakeholders. When compared to other modes of surface transportation, public transit has demonstrated a strong safety record. However, accidents still occur. In recent years the understanding of how accidents happen in the public transportation industry has expanded. Looking beyond the assignment of blame to an individual employee or supervisor, SMS allows public transportation agencies to examine how organizational factors contribute to incidents, accidents, and near misses.

Organizational factors include how an agency:

- Allocates its resources
- Defines and establishes operational procedures
- Supervises frontline personnel
- Selects and trains staff
- Monitors service delivery operations
- Resolves human performance issues

Recent investigations of accidents and incidents have revealed the importance of these organizational factors after the fact. SMS proactively identifies and analyzes contributing organizational factors before the fact—before accidents or incidents bring them to light. Successful management of these organizational factors

requires that transit agencies make wise decisions about how they identify, prioritize, and address safety concerns.

Discussion:

Metro's SMS will be owned by the whole organization, with messaging originating at the highest level. Once fully implemented, it will be used and supported by top management. Prior to implementation, the Board is required to be trained on the principles of SMS, and the Board's responsibility, including supporting resourcing of SMS, and reviewing and approving the Agency Safety Plan. Training will be provided in April 2020, followed by approving the Plan in May 2020.

FUNDING IMPACT:

This item is for information only; there is no impact on funding.	
Project Manager:	Theresa Impastato
Project Department/Office:	Executive Vice President/Chief Safety Officer

TIMELINE:

Previous Actions	None
Anticipated actions after presentation	April 2020 – Chief Safety Officer to conduct SMS training for the Board May 14, 2020 – Presentation of the Agency Safety Plan to the Board

Safety Management Systems

Safety & Operations Committee
November 21, 2019

Purpose

- Provide a review of Metro's move toward a Safety Management System
  - Elements of an SMS
  - Key benefits
  - SMS Ownership
  - Role of the Board
  - Timeline

What is SMS?

- Formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring effectiveness of safety risk mitigations

- Systematic policies, procedures, and practices for managing safety risk

Simply: SMS is a decision support system for management

SMS Components / Agency Safety Plan

- Safety Policy
  - Statement from leadership
- Safety Risk Management
  - Hazard identification / analysis
  - Safety risk evaluation and mitigation
- Safety Assurance
  - Performance monitoring / measurement
  - Continuous improvement
- Safety Promotion
  - Safety communication
  - Competencies and training

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Key Benefits

- Answers questions on how to prioritize safety investments

- Includes routine monitoring of service delivery operations which:

  - Provide a clear picture of operations – from a safety perspective

  - Support proactive safety decision making

  - Provide transparency to support decisions the agency makes to address safety concerns

  - Identify organizational contributions to safety events

Whole Organization Owns SMS

- Messaging from the highest levels

- Implemented, used and supported by top management

- On par with all other critical business systems/functions
  - May be managed by the safety department but spans the organization
  - Not a safety program

- Safety is cross-organizational, and managed at all levels of the organization

What will SMS look like?

- A cross-organizational team builds and refines the SMS processes, and facilitates implementation across departments

- Proactive efforts to detect and mitigate areas of risk in all functional areas of the organization will be evident

- Communication of safety information across the organization increases

- Prioritized risk information supplies to senior leadership

- Safety Department facilitates safety risk management efforts across the organization, and tracking mitigations
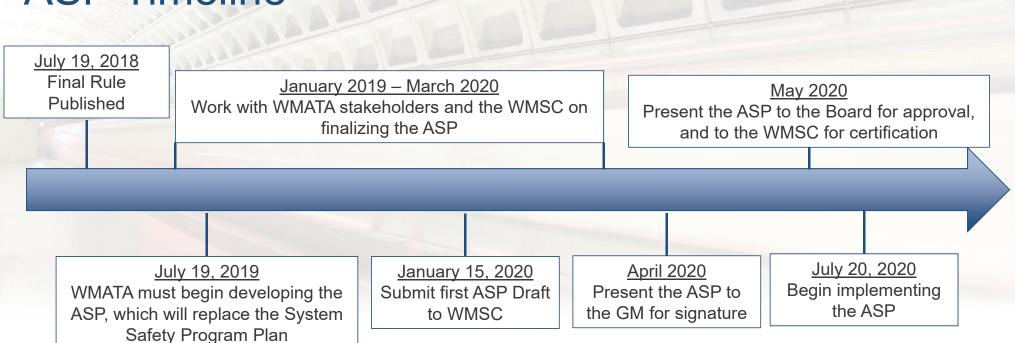
Board Expectations

- Endorse the Safety Management Policy Statement

- Ensure resources for SMS

- Support the Accountable Executive

- Review and approve the Public Transportation Agency Safety Plan (this document is where the "policy" portion of SMS resides)

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ASP Timeline

July 19, 2018
Final Rule
Published

January 2019 – March 2020
Work with WMATA stakeholders and the WMSC on
finalizing the ASP

May 2020
Present the ASP to the Board for approval,
and to the WMSC for certification

July 19, 2019
WMATA must begin developing the
ASP, which will replace the System
Safety Program Plan

January 15, 2020
Submit first ASP Draft
to WMSC

April 2020
Present the ASP to
the GM for signature

July 20, 2020
Begin implementing
the ASP

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Questions

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