

Washington Metropolitan Area Transit Authority
Board Action/Information Summary

☒ Action ☐ Information

MEAD Number:
201875

Resolution:
☒ Yes ☐ No

TITLE:

Safety Management System Policy Statement

PRESENTATION SUMMARY:

This presentation describes and requests the Board of Directors to affirm the Safety Management System Policy Statement.

PURPOSE:

Metro has developed its Safety Management System (SMS) Policy Statement to reflect the upcoming changes required by the Federal Transit Administration (FTA).

The Policy requires the Board of Directors to affirm the new policy as the first step in implementing an SMS.

DESCRIPTION:

Key Highlights:

The Policy reflects the recommendations made by the FTA as part of implementing an SMS.

At the January 25, 2017 Safety Committee Board Meeting, Lynn Spencer (FTA) briefed the Board on SMS. She emphasized that the first step in implementing an SMS is a policy statement from senior leadership demonstrating its commitment. This Policy is that first step.

Background and History:

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. Some key parts of SMS include:

- Defined roles and responsibilities;
- Strong executive safety leadership;

- Formal safety accountabilities and communication;
- Effective policies and procedures; and
- Active employee involvement.

A Policy Statement is one of the first steps in implementing an SMS. This SMS component clearly frames the fundamentals upon which Metro will build and operate its SMS. It documents executive management's commitment to the SMS, and places the management of safety at the same level as a transit agency's top most business processes.

To be effective, Metro's SMS Policy Statement addresses the following six crucial aspects:

- Must be signed by the highest executives in the agency to convey that SMS is important to the highest level of the organization;
- Includes a clear statement about providing resources for managing safety during service delivery because no activities, safety-oriented or otherwise, can operate without resources;
- Commits Metro to an employee safety reporting program to convey that receiving safety information from employees is critical to the operation and success of the SMS;
- Defines conditions under which exemptions from disciplinary actions would be applicable, thus encouraging the reporting of safety concerns by employees;
- Spells out unacceptable operational behaviors; and
- Is communicated, with visible and explicit support from executive management, throughout Metro.

Finally, the SMS Policy Statement documents management's commitment to continuous safety improvement, as well as to the continuous improvement of the Safety Management System itself.

An SMS Policy Statement is similar to the System Safety Program Policy Statement that Metro currently uses as a framework for the System Safety Program Plan (SSPP). The SMS policy statement is re-ordered and streamlined to reflect a performance-based and continuous improvement methodology. One fully implemented, a Public Agency Safety Plan, informed by the SMS policy statement, will replace the SSPP.

Discussion:

The Policy reflects the recommendations made by the FTA as part of implementing an SMS. Ms. Lynn Spencer, FTA, briefed the Board on SMS in January 2017.

FUNDING IMPACT:

| | |
|---|---------------|
| Necessary funding is within approved annual budget. | |
| Project Manager: | Patrick Lavin |
| Project Department/Office: | SAFE |

TIMELINE:

| | |
|---|---|
| Previous Actions | The FTA provided an SMS presentation on January 25 that reviewed the management system's framework. |
| Anticipated actions after presentation | To have the board affirm the proposed SMS Policy Statement. |

RECOMMENDATION:

To affirm the SMS Policy Statement.

PRESENTED AND ADOPTED: June 22, 2017

SUBJECT: AFFIRMATION OF THE WMATA SAFETY MANAGEMENT SYSTEM POLICY STATEMENT

2017-28

**RESOLUTION
OF THE
BOARD OF DIRECTORS
OF THE
WASHINGTON METROPOLITAN AREA TRANSIT AUTHORITY (WMATA)**


WHEREAS, Pursuant to 49 U.S.C. 5329(d), the Federal Transit Administration (FTA) must promulgate a rule to implement the statutory requirements for Agency Safety Plans, and under the proposed rule each operator of public transportation that receives Federal financial assistance under 49 U.S.C. Chapter 53 would be required to develop and implement an Agency Safety Plan based on the principles of Safety Management Systems (SMS); and

WHEREAS, FTA has adopted the SMS framework as the method for ensuring safety in public transit, and recommended WMATA leadership adopt an SMS Policy Statement; now, therefore be it

RESOLVED, That the Board of Directors unequivocally affirms the attached Safety Management System Policy Statement as reflective of WMATA's commitment to safety and continuous improvement; and be it further

RESOLVED, That in order to demonstrate WMATA's prioritization of safety and safety management, this Resolution shall be effective immediately.

Reviewed as to form and legal sufficiency,



Patricia Y. Lee
General Counsel

WMATA File Structure No.:
22.8 Safety Policies and Procedures

**Motioned by Ms. Carmody, seconded by Mr. Goldman
Ayes: 7 – Mr. Evans, Ms. Harley, Mr. Dorsey, Mr. Dormsjo, Mr. Goldman, Mrs. Hudgins and Ms. Carmody**

Safety Management Policy Statement

The management of safety is one of our core business functions. The Washington Metropolitan Area Transit Authority (WMATA) is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees (and contractors) are accountable for the delivery of this highest level of safety performance, starting with the Board of Directors, Executives, Managers, Supervisors, employees, and contractors.

As part of its commitment to safety, WMATA will:

- **Support** the management of safety with appropriate resources, that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention as those applied to the other management systems of the organization;
- **Integrate** the management of safety as a prime responsibility of all managers and employees;
- **Clearly define** for all staff, managers, employees and contractors alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system;
- **Establish and operate** hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
- **Ensure** that no retaliatory action is taken against any employee who discloses a safety concern through the employee safety reporting program;
- **Comply** with, and whenever possible exceed, legislative and regulatory requirements and standards;

- **Ensure** that sufficient skilled and trained staff are available to implement safety management processes;
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- **Establish and measure** safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- **Continually improve** safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and
- **Ensure** externally supplied systems and services to support operations are provided to meet internal safety performance standards, regulatory requirements and industry best practices.


Paul J. Wiedefeld
General Manager and
Chief Executive Officer


Date