Board Document

OVERVIEW			
PRESENTATION NAME	Agency Safety Plan Update for 2027	**DOCUMENT NO.**	300163
ACTION OR INFORMATION	Action		
STRATEGIC TRANSFORMATION PLAN GOAL	Service excellence;		
RESOLUTION	Yes		
EXECUTIVE OWNER			
EXECUTIVE TEAM OWNER	Johnson, Jayme;		
ORGANIZATION	Safety & Readiness		
DOCUMENT INITIATOR	Joseph P. Sierputowski		
OTHER INFORMATION			
COMMITTEE	Safety and Operations Committee	**COMMITTEE DATE**	10/22/2026
PURPOSE/KEY HIGHLIGHTS	Present yearly update of Agency Safety Plan as required by federal regulation. Improvements to the plan include: • Modernizing and streamlining the ASP by improving its organization, updating terminology, and aligning the document more closely with the four pillars of Safety Management System (SMS). • Updating the plan to reflect Metro's current environment, including organizational changes and key safety initiatives such as Rail Modernization, safety culture improvement efforts, and enhanced data-driven decision-making. • Strengthening safety governance and regulatory alignment by clarifying roles and responsibilities, enhancing the labor-management safety committee role in risk management, and		

	refocusing the plan on core requirements. • Maturing Metro's SMS by improving continuous improvement procedures, including new methods for reviewing safety performance each year and monitoring the effectiveness of current mitigations.
DISCUSSION	There will be a discussion of updates to the Agency Safety Plan and its supporting documents for the 2027 calendar year.
INTERESTED PARTIES	N/A
RECOMMENDATION/NEXT STEPS	Board to vote on resolution of approval for the 2027 ASP update, so WMATA can submit the approved document for review and final approval by the Washington Metrorail Safety Commission before self-certifying completion of the ASP review process with FTA.
FUNDING IMPACT	Annually updating the ASP is a requirement of federal law and a prerequisite for receiving any formula funds from FTA.

SUBJECT: APPROVAL OF THE 2027 PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

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

WHEREAS, The U.S. Department of Transportation ("DOT") (49 U.S.C. Section 5329(d)) and the Federal Transit Administration ("FTA") (49 C.F.R. Section 673.11(a)(1)) require the Board of Directors to approve WMATA's Public Transportation Agency Safety Plan ("PTASP") and any updates to the PTASP; and

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

WHEREAS, In accordance with the Washington Metrorail Safety Commission ("WMSC") Program Standard (October 1, 2026), WMSC staff has reviewed and approved the updated PTASP; and

WHEREAS, In accordance with applicable DOT laws (49 U.S.C. Section 5329(d)) and FTA regulation (49 C.F.R. Section 673.11(a)(1)), the Joint Labor and Management Safety Committee 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 2027 Public Transportation Agency Safety Plan, as shown in Attachment A; and be it finally

PROPOSED

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, Chief Legal Officer, and General Counsel

WMATA File Structure No.:
22.6.1 Federal Transit Administration (FTA) Safety Oversight

PROPOSED







Public Transportation Agency Safety Plan

Document Number:
4100-1-01/08

Version:
8.0

Release Date
December 31, 2026

Washington Metropolitan Area Transit Authority

metro

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Concurrences and Approvals
WMATA Public Transportation Agency Safety Plan
4100-1-01/07

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Jayme M Johnson (Sep 22, 2026 17:14:05 EDT)

Jayme M. Johnson

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Terrence C. Goines

Executive Vice President &
Chief Digital Officer (Acting)

Thomas Webster
Thomas Webster (Sep 25, 2026 16:20:02 EDT)

Thomas J. Webster

Chief Strategy, Planning, and
Performance Officer

Randy S. Clarke

General Manager &
Chief Executive Officer

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Safety Management Policy Statement

Metro's mission is to move the region through safe, equitable, reliable, and cost-effective public transportation. At Metro, safety management is a core value and to accomplish our mission we are committed to fostering a world-class safety culture and Safety Management System (SMS) to proactively manage and mitigate our safety risks.

The GM & CEO is responsible for implementing these safety management initiatives in accordance with the FTA's National Public Transportation Safety Plan, and this ASP establishes Metro's SMS to do so. This Policy Statement further certifies that the ASP is compliant with 49 CFR Part 673, *Public Transportation Agency Safety Plan*, and 49 CFR Part 674, *State Safety Oversight,* and the WMSC's Program Standard

By embracing the SMS and participating in its implementation, we can collectively work towards our goal of achieving and maintaining world-class safety performance. We do so by following these four key principles of our Safety Management Policy.

- We **understand our top safety risks**, what is being done about them, and how well it's working.
- We take **proactive** action to reduce safety risks and **prevent** incidents from occurring.
- We **apply lessons learned** from our performance and make continuous safety improvements.
- We are **encouraged and empowered to voice safety concerns** across all levels of the organization using Metro's safety reporting programs, without fear of reprisal.

These principles are operationalized through Metro's safety objectives:

- Identify and meet global benchmarks for achieving world-class safety performance, with a specific focus on enhancing enterprise data integration, strengthening Just Culture, and modernizing safety reporting capabilities
- Support the management of safety through the provision of appropriate and sufficient resources to reduce risks to as low as reasonably practicable and to achieve an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively prioritizes the management of risk
- Define for all staff, including executive management, middle management, and front-line employees alike, their responsibilities for the delivery of the organization's safety performance
- Establish and operate effective safety risk identification, assessment, and mitigation activities based on SMS safety risk management principles, including an employee safety reporting program that provides a fundamental source for safety concerns and hazard identification, in order to proactively mitigate safety risks and manage safety-critical items
- Work to ensure that no action will be taken against any employee who discloses a safety concern unless disclosure indicates an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures
- Work collaboratively with the Joint Labor-Management Safety Committee to implement Metro's SMS and proactively manage risk
- Comply with, and wherever possible exceed, applicable legislative and regulatory requirements and standards
- Aim to ensure that skilled and trained human resources are available to implement SMS processes

- Promote communications and training that result in employees knowing their role within SMS and how to implement the associated processes and tools that are commensurate with their skillset to drive its effectiveness
- Establish safety performance targets and measure against data-driven safety performance indicators
- Implement a safety risk reduction program addressing identified risks with mitigations
- Continually improve Metro's safety performance through management processes that take appropriate and effective mitigating action
- Implement services and products provided in support of Metro's operations in compliance with SMS as specified in this ASP

This policy will be visibly communicated through my own direct efforts, the efforts of the senior executive team, senior management team, and through training programs and procedures.

I affirm this commitment:

Randy S. Clarke,
General Manager and Chief Executive Officer
Accountable Executive

1.0 General Requirements

The Federal Transit Administration's (FTA) 49 CFR Part 673 *Public Transportation Agency Safety Plan*, Subpart D *Safety Management Systems* provides the minimum requirements for development of a Safety Management System (SMS) for large, urbanized areas. In addition, 49 CFR Part 674 *State Safety Oversight* and the Washington Metrorail Safety Commission (WMSC) Program Standard provide specific requirements to which the Washington Metropolitan Area Transit Authority (hereafter Metro) Metrorail is required to comply.

Metro's Agency Safety Plan (ASP) addresses all applicable requirements and standards as set forth in 49 CFR 673.11(a). The general requirements reflected in this section include providing specific Transit Agency Information; the timeline associated with ASP development, updates and approvals; emergency preparedness planning and response; specific safety performance targets; and an overview of the SMS Strategic Roadmap.

Metro's ASP outlines the organization's planned programmatic initiatives as well as future milestones to continuously improve the safety of personnel and the riding public in the Washington Metropolitan Region. Our near and mid-term milestones include continuing to advance SMS processes; increasing frontline transit worker involvement; and addressing safety risks through increased awareness and engagement.

This document is a plan, which, by definition, is aspirational in parts as Metro moves towards full implementation of its SMS.

1.1 Transit Agency Information

Transit Agency Name	Washington Metropolitan Area Transit Authority (WMATA)		
Transit Agency Address	300 7th Street, SW Washington, DC 20024		
Name and Title of Accountable Executive	Randy S. Clarke, General Manager & Chief Executive Officer		
Name and Title of Chief Safety & Readiness Officer	Jayme M. Johnson, Executive Vice President and Chief Safety & Readiness Officer		
State Safety Oversight Program	Washington Metrorail Safety Commission		
Authority for State Safety Oversight Program	Washington Metrorail Safety Commission Interstate Compact		
Mode(s) of Service Covered by This Plan	Rail, Bus, and Paratransit	**List All FTA Funding Types (e.g., 5307, 5337, 5339)**	5307, 5340, 5337, 5339, 5310
Service Area	Washington-Arlington, DC-VA-MD Urbanized Area		
Modes of Service Provided by the Transit Agency	Directly operated: Rail and Bus Contracted service: Paratransit (automobile)		

The General Manager and Chief Executive Officer GM & CEO (hereafter GM & CEO) is ultimately accountable for ensuring that Metro's SMS is implemented throughout the agency in accordance

with this ASP. Additionally, the GM & CEO is accountable for ensuring action is taken to address substandard performance in Metro's SMS when required.

The Executive Vice President and Chief Safety & Readiness Officer (EVP/CSRO) has been designated by the GM & CEO as Metro's SMS executive and reports directly to the GM/CEO on safety matters, but serving administratively under the Deputy General Manager. The EVP/CSRO is a safety professional that has been adequately trained, holding both the U.S. Department of Transportation (DOT) Transit Safety and Security Program (TSSP) and Public Transportation Safety Certification Training Program (PTSCTP) certificates (among other credentials). The EVP/CSRO has been empowered with the responsibility for day-to-day implementation and operation of Metro's SMS. The EVP/CSRO does not serve in any other operational or maintenance capacities, and interfaces regularly with the GM/CEO on safety issues.

1.2 Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Washington Metropolitan Area Transit Authority	Date of Action
Approval by Joint Labor and Management Safety Committee (JLMSC)	Appendix F – JLMSC ASP Approval Record	09/21/2026
Signature by the Accountable Executive	Appendix G –PTASP General Manager Certification	MM/DD/YYYY
Approval by the Board of Directors	Board of Directors Resolution	MM/DD/YYYY
	Appendix H – WMATA Board Resolution Record	
Approval by the SSOA	Washington Metrorail Safety Commission	MM/DD/YYYY
	Appendix I – [Placeholder] PTASP SSOA Approval	

The annual review and revision cycle for the Agency Safety Plan is presented below.

Timeline	Activity	Description
January 1 to December 31	ASP available on Metro's intranet for comment.	The Director of Safety Policy and Promotion ensures the document is posted, the comment form is available, and ensures the opportunity to review and provide feedback. All comments are logged on the Department of Safety's SharePoint site.
January 1 to February 28	Internal Review	Director of Safety Policy and Promotion conducts an internal review of priorities identified by the Department of Safety and Readiness, the Senior Executive Team (SET), and the Legal team.

Timeline	Activity	Description
March 1 to April 15	Conduct ASP General Review	The Director of Safety Policy and Promotion performs an inventory of inputs (comments received, investigations, policy changes, Corrective Action Plans (CAPs), risk mitigations, Safety Committees, Safety Risk Coordinators (SRCs), etc. to ensure interconnected policies and procedures, etc., that may be affected are addressed. This includes review by the office of Quality Management System & Policy.
April 15 to May 15	WMATA Wide Comment Period; JLMSC Review	The draft ASP revision is posted on the Metro intranet for all employees to review and comment. The draft ASP revision is reviewed with the JLMSC.
May 1 to May 30	WMATA prepares ASP Draft; Initiate WMSC Review Cycles	The Director of Safety Policy and Promotion drafts the revision of the ASP and initiates review cycles with WMSC Staff to obtain “Conditional Approval”.
June 1 to June 30	WMSC Review Cycles	Continued review cycles with WMSC Staff to obtain “Conditional Approval” of ASP.
July 1 to July 31	Finalize ASP Revision	The Director of Safety Policy and Promotion conducts a final review to ensure all feedback has been addressed. Conditional approval from the WMSC is secured at the end of this review period and no further material changes are made.
August 1 to August 31	JLMSC Conditional Approval, Accountable Executive and Executive Safety Committee (ESC) Review	Plan is submitted to JLMSC for review and conditional approval. Once conditional approval is secured, the plan is advanced to Executive Safety Committee review The ESC reviews and signs the ASP, Metro’s General Manager & Chief Executive Officer reviews and approves the ASP.
September 1 to 30	JLMSC Approval	The JLMSC reviews and approves the ASP.
October 1 to October 31	Metro Board Approval	Finalized plan is submitted to the Metro Board for review and approval.
November 1 to 30	WMSC Board Approval	After securing approval from Metro’s Board, the ASP is submitted to the WMSC for approval.
December 1 to 31	ASP Revision Published; Self Certification with FTA	The Program Manager for Safety Promotions distributes and promotes the latest ASP and ensures SMS training, New Employee Orientation, etc. are updated. Metro certifies ASP compliance with FTA.

The Director of Safety Policy and Promotion ensures that the Funds and Grants office has a copy of the approved ASP to support the FTA's triennial reviews and the annual certification and assurances process.

If changes occur that affect the roles and responsibilities described in this ASP, then any changes will be communicated to the agency through administrative notice, which will also be shared with the WMSC and other stakeholders. Assigned roles and responsibilities in the ASP will remain as stated, until the ASP annual review cycle runs its course. All applicable changes will be incorporated in the next annual review process and approved by the JLMSC, ESC, GM & CEO, and the Metro Board.

The full history of changes for each version of this ASP is available in Appendix K – ASP Revision History.

1.3 Safety Performance Targets

In coordination with the Department of Safety and the Office of Performance, Benchmarking, and Customer Research, departments establish internal safety performance targets, which feed into the overall targets established for Metro. The targets are developed in alignment with the safety performance measures established by the FTA's *National Public Transportation Agency Safety Plan*, as required by 49 CFR 673.11(a)(3), (a)(4), and (7)(iii), specifically:

- **Fatalities:** Total number of fatalities (deaths confirmed within 30 days) reported to the National Transit Database (NTD), excluding fatalities related to drug overdoses, illnesses, or other natural causes. The rate is calculated per total Vehicle Revenue Miles (VRM) by mode and broken out by type of non-motorized victim.
- **Injuries:** Number of customer and transit worker injuries reported to the NTD broken out by person type, excluding injuries resulting from personal security events, such as assaults. This includes both major (an NTD reportable criteria has been met, such as damage above $25,000) and minor (all others involving transport away from the scene due to injury, such as a slip/trip/fall on an escalator) events. The rate is calculated per total VRM by mode and broken out by person type.
- **Major Events:** Includes all safety and security major events as defined by the NTD. The rate is calculated per total VRM by mode.
    - **Collision Rate**:
        - Pedestrian Collision Rate: Include collisions "with a person" as defined by the NTD. The rate will be calculated per total Vehicle Revenue Miles by mode
        - Vehicular Collision Rate: This includes all collisions "with a motor vehicle" as defined by the NTD. The rate will be calculated per total Vehicle Revenue Miles (VRM) by mode
- **Assaults:** In accordance with the requirements introduced by 49 CFR 673.11(a)(7)(ii), assaults upon transit workers that meet the NTD major and minor reporting threshold have been incorporated. Rate is calculated per total VRM by mode.
- **System Reliability:** Mean distance between major mechanical failures by mode. The NTD defines a major mechanical system failure as a failure of some mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or

starting the next scheduled revenue trip because vehicle movement is limited or due to safety concerns. For Rail, all mechanical failures are included in the measure.

1.3.1 Safety Performance Target Setting Methodology and Timeline

Safety performance targets are set in alignment with FTA's guidance as specified in the 49 CFR 673, *Public Transportation Agency Safety Plan.* Performance baselines have been established for each target, which is informed by Metro's performance over the past 36 months.

The Department of Safety and Office of Performance, Benchmarking, and Customer Research (within the Department of Performance, Data, and Research) subsequently worked with Metro leadership to develop target recommendations, factoring in previous performance, the strategic priorities for FY2027, external trends, and available resources. For measures where data was available, comparable performance information is collected from peer transit agencies to provide additional context. All safety targets aim to continue to improve performance relative to historical levels.

Safety Performance Target Setting Timeline	
Action	**Date**
Performance coordinates with Department of Safety to draft the safety performance targets for the following fiscal year	April
Metrorail, Metrobus, and MetroAccess review, finalize, and approve target proposals. JLMSC and ESC reviews and approves the safety performance targets	May
WMSC reviews as part of annual ASP submission	July
The Transportation Planning Board at the Metropolitan Washington Council of Governments (MWCOG) reviews and provides concurrence.	July

Following submission by Metro, MWCOG coordinates the safety performance targets with its jurisdictional partners (Virginia, Maryland, and Washington, D.C.). Metro will coordinate, to the maximum extent practicable, with the State and Metropolitan Planning Organization (MPO) to support the selection of safety performance targets.

1.3.2 Safety Performance Targets

Metro's safety performance targets are established based on incident rates and, where applicable, converted to counts based on anticipated vehicle revenue miles. The ongoing implementation of the strategy outlined in this ASP reflects Metro's commitment to meet these targets and continuously improve safety outcomes. To help achieve this, Metro aims to create an environment that consistently yields positive outcomes, reducing safety events and injuries.

Metro analyzes available, verifiable safety information, including incident and injury data, inspections, work orders, employee hazard reports, and National Transit Database data, to establish performance baselines, identify trends, and assess the factors affecting safety outcomes. Metro uses this analysis, together with applicable regulatory requirements, identified safety risks, prior performance, and planned operational changes, to recommend measurable and achievable safety performance targets. Target recommendations are reviewed through Metro's safety governance structure, and performance is monitored throughout the year to evaluate progress, identify emerging risks or performance gaps, and inform adjustments to strategies, mitigations, and future targets.

Category	Metric	Bus Target	Rail Target	MetroAccess Target
Fatalities	Fatalities (Count and Rate*)	0	0	0
	Transit Worker Fatality Rate*	0	0	0
Injuries	Customer Injury Rate*	62.0	18.1	9.4
	Transit Worker Injury Rate*	17.3	7.4	5.0
	Overall Injury Rate*	79.3	25.4	14.4
	Overall Injury Count	331	313	30
NTD Major Events	**Major Event Rate***	72.0	8.3	17.9
	Major Event Count	300	102	37
	Collision Rate*	54.5	1.75	17.7
	Collision Count	228	22	37
	Pedestrian Collision Rate*	5.6	1.4	0.9
	Vehicular Collision Rate*	47.2	0	16.2
Assaults	**Assault on Transit Workers Rate***	57.6	43.2	0
	Assault on Transit Workers Count	241	532	0

**Per 10 million vehicle revenue miles*

Bolded items are also Safety Risk Reduction Program Targets (discussed in Section 1.4)

1.3.3 System Reliability Targets

Maintaining the system in a State of Good Repair is the foundation for Metro to produce consistent, repeatable outcomes that create an environment conducive to a safe experience. Target setting has continuously improved in this area with the calculations based on mean distance between failure standardized across all three modes.

Metric	Bus Target	Rail Target	MetroAccess Target
System Reliability (Mean Distance Between Failure)	6,300	29,000	25,150

1.4 Risk Reduction Program

Metro has developed a Risk Reduction Program intended to improve safety by reducing the number and rates of safety events, injuries, and assaults on transit workers. Many of these efforts are detailed in *Safety Risk Reduction Plan*, 4800-2-12, including the investment in Safety Risk Coordinators (SRCs), the establishment of Safety Committees, and improvements in safety data and performance monitoring. This program requires that Metro set risk reduction program targets in eight areas based on a rolling three-year average of performance data, with the targets below that average. Metro has merged these measures with its Safety Performance Targets, eight of which thus serve concurrently as risk reduction program targets.

Failure to meet a safety risk reduction performance target would require Metro to allocate its safety set-aside in the following fiscal year to safety-related projects eligible under 49 U.S.C. § 5307 that are reasonably likely to assist the transit agency in meeting the safety performance target in the future. Sections 10 and 11 of the *Safety Risk Reduction Plan* discusses the process Metro has

established for reviewing safety risk reduction program targets, identifying missed targets, collaborating with stakeholders including JLMSC on developing mitigation proposals, finalizing mitigations, and coordinating with the Department of Finance on allocating set-aside funds to support those mitigations. Each missed Safety Risk Reduction Program target will trigger a safety risk assessment of any associated hazards, which will inform mitigation development.

1.4.1 Joint Labor-Management Safety Committee Role in Program Implementation

JLMSC's role in the Risk Reduction Program focuses on three areas of responsibility:

- **Identifying safety deficiencies for the purposes of continuous improvement,** including instances where Metro fails to meet performance targets set for the Risk Reduction Program. This responsibility is discussed in more depth in Section 4.3.2 Annual Safety Performance Assessment, as well as in the Safety Risk Reduction Plan.
- **Identifying and recommending safety risk mitigations—and evaluating whether existing mitigations are ineffective, inappropriate, or not implemented as intended—including in response to instances where Metro misses a Risk Reduction Program performance target.** The JLMSC process for recommending mitigations and evaluating existing mitigations for effectiveness is discussed in more depth in the Safety Risk Reduction Plan.
- **Incorporation by reference in the ASP of safety risk mitigations identified and recommended by JLMSC for the Risk Reduction Program based on a safety risk assessment.** These recommended mitigations are not subject to approval by the ESC or the GM & CEO. The full list of recommended mitigations is incorporated by reference in this ASP as 4800-4-16 *Safety Risk Reduction Program Mitigation Log*, updated each time that a mitigation is recommended by a vote of the JLMSC.

1.4.2 Risk Reduction Program Focus Areas

Metro's Risk Reduction Program also addresses two high-priority risk areas identified in federal guidance: assaults on transit workers and vehicular or pedestrian safety events involving transit vehicles.

1.4.2.1 Vehicular and Pedestrian Safety Events

Metro is actively working to reduce the number of vehicular and pedestrian safety events involving buses and trains, specifically focusing on measures to reduce visibility obstructions for bus operators.

- **Collision Avoidance System:** Metro is reviewing the feasibility of a collision avoidance system that may be retrofitted into parts of the bus fleet. This system aims to reduce safety events by providing advanced warning and assistance to bus operators in situations where collisions with pedestrians or objects are likely to occur.
- **Relocation of Transit Control Head:** The device that provides real-time performance information to bus drivers was relocated from a position behind the operator to one in front of them, and the screen displaying that information is now only visible when the bus is traveling less than three miles per hour. These changes were intended to enhance visibility, limit distraction, and reduce the chances of safety events by eliminating the need for operators to look over their shoulders.

1.4.2.2 Assaults on Transit Workers

Metro believes that any physical or verbal assault is one too many. The Department of Safety uses the number of NTD reportable assaults per 10 million vehicle revenue miles to track the rate of assaults on transit workers. The Department has developed a suite of mitigation plans

intended to reduce these incidents. The Office of Safety Assurance evaluates the effectiveness of these mitigations through performance metrics and detailed analysis. These trends and the associated mitigation plans are shared in forums such as TransportationSTAT, FleetStat, InfrastructureSTAT, the ESC, and the JLMSC. The list of mitigations being deployed to prevent assaults on transit workers is listed in Appendix C.

1.5 Necessary Authorities, Accountabilities, and Responsibilities

The scope and magnitude of an SMS encompasses the entire agency. Consequently, the success of an SMS depends on support from across Metro. At a minimum, every employee and contractor at Metro has the responsibility to report safety concerns when they are identified. This responsibility includes actively engaging in the processes described in Section 3, *Safety Risk Management,* of this ASP.

This section expands on the Necessary Authorities, Accountabilities, and Responsibilities identified in P/I 10.8 *Safety Management Policy*. The following Responsible (R), Accountable (A), Consulted (C), and Informed (I) matrix summarizes the support required from Metro leadership and key staff to ensure the successful establishment and implementation of SMS. The ensuing sub-sections expand on the matrix to outline the specific needs identified for each position.

	General Requirements	Safety Policy	Safety Risk Management	Safety Assurance	Safety Promotion
Accountable Executive: General Manager and Chief Executive Officer	A	A	A	A	A
SMS Executive: Executive Vice President and Chief Safety and Readiness Officer	R	R	R	R	R
Agency Leadership and Executive Management					
Deputy General Manager	R	R	R	R	R
Executive Vice President and Chief Operations Officer	R	R	R	R	R
Executive Vice President and Chief Infrastructure Officer	R	R	R	R	R
Executive Vice President and Chief Digital Officer	C	C	R	R	R
Executive Vice President and Chief Strategy, Planning, and Performance Officer	C	C	C	C	C
Executive Vice President and Chief Financial Officer	C	C	C	C	C
Executive Vice President and Chief Communications Officer	C	C	C	C	C

	General Requirements	Safety Policy	Safety Risk Management	Safety Assurance	Safety Promotion
Executive Vice President and Chief Customer Officer	C	C	C	C	C
Executive Vice President and Chief People Officer	C	C	C	C	R
Key Staff					
Senior Vice President of Safety	R	R	R	R	R
Department Accountable Leader	R	C	R	R	C
Director of Safety Policy and Promotion	R	R	C	C	R
Safety Risk Coordinators	C	R	R	R	R

1.5.1 Accountable Executive

The GM & CEO is Metro's Accountable Executive. The GM & CEO is ultimately accountable for ensuring that the SMS is implemented throughout Metro in accordance with this ASP. Additionally, the GM & CEO is accountable for ensuring action is taken to address sub-standard performance in Metro's SMS when required.

Metro's GM & CEO meets the FTA criteria for the Accountable Executive designation:

- Has the final authority over Metrorail, Metrobus and MetroAccess operations and maintenance
- Controls the financial resources required for the operations and maintenance of Metro's public transportation system
- Controls the human resources required for the operations and maintenance of Metro's public transportation systems

As the Accountable Executive, the GM & CEO has the following responsibilities:

- Confirming the SMS is properly implemented and performed throughout Metro, including employee-reporting programs
- Actively, continuously, and visibly communicating the SMS and the importance of safety throughout Metro
- Implementing the SMS in a manner that ensures that all executive level personnel are held responsible for their spheres of control; and each actively and continuously communicates the Metro SMS Policy and the area-specific SMS requirements to all employees in their areas
- Is the signatory to this ASP and the *Transit Asset Management Plan*, is responsible for knowing and understanding the contents of both documents, and has the ultimate responsibility for carrying them out
- Confirming the SMS s appropriately addressed system-wide
- Participating actively with the Executive Safety Committee to guide Metro in safety and risk management, understanding all risks at the agency, actively directing resource allocation activities and monitoring safety performance of all areas
- Receiving and considering, through participation in the Executive Safety Committee, all safety risk mitigations unrelated to the Safety Risk Reduction Program which the Joint Labor-

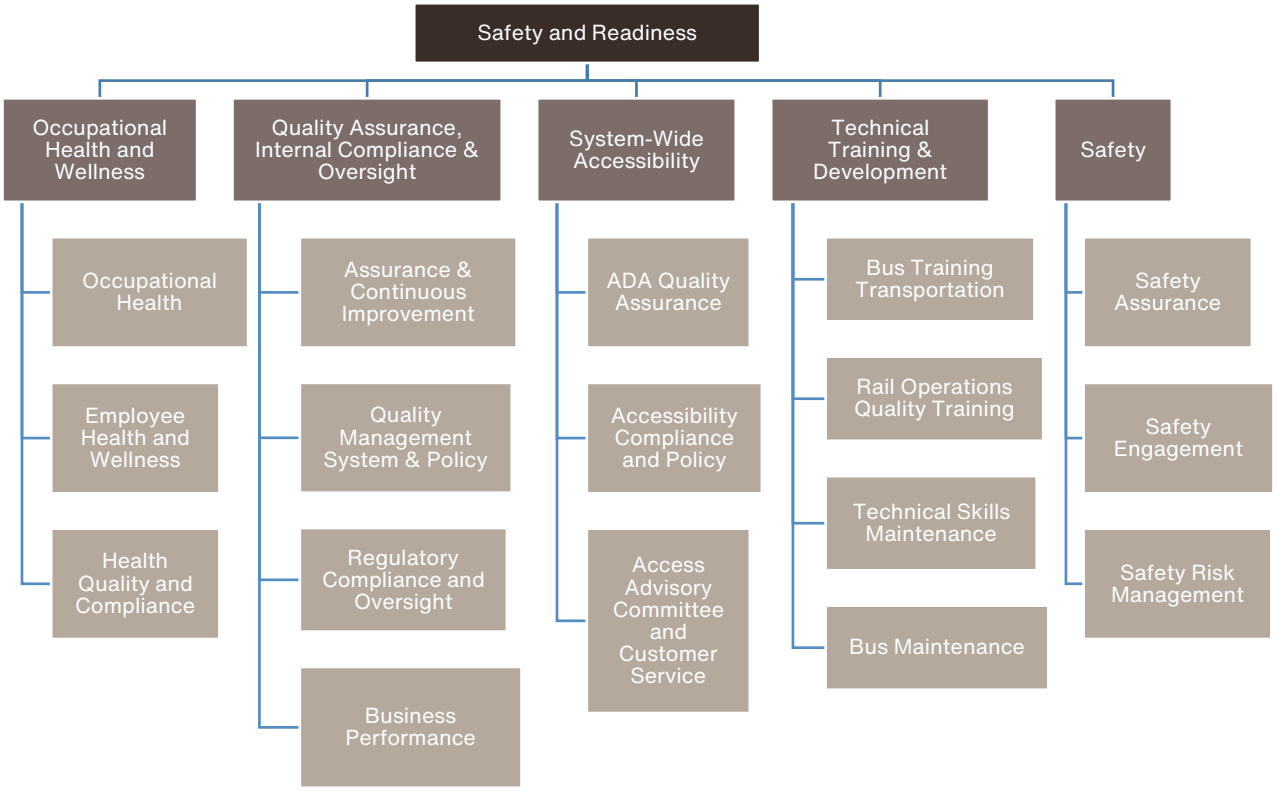
Management Safety Committee recommends to address risks identified in a safety risk assessment
- Directing all required actions to mitigate SMS non-compliances, unacceptable and undesirable risks and implementing continuous improvement activities

1.5.2 SMS Executive

Metro's EVP/CSRO of Safety and Readiness has been designated by the GM & CEO and reports to the Deputy General Manager. The EVP/CSRO is a safety professional who has been adequately trained, holding both the U.S. Department of Transportation (DOT) Transit Safety and Security Program (TSSP) and Public Transportation Safety Certification Program (PTSCTP) certificates (among other credentials). The EVP/CSRO has responsibility for day-to-day operation and maturing of Metro's SMS. The EVP/CSRO leads the Department of Safety Readiness and does not serve in any other operational or maintenance capacities.

1.5.3 Metro's Safety Organization

The Department of Safety and Readiness, responsible for leading implementation of SMS under the direction of the EVP/CSRO, contains five offices as described below.



Department of Safety and Readiness Organizational Structure

Occupational Health and Wellness

The Office of Occupational Health and Wellness (OHAW) advances Metro's commitment to a healthy and resilient workforce through coordinated programs that support employee wellness and fitness for duty. OHAW helps Metro employees meet physical and psychological standards for safety-sensitive duties; maintains compliance with FTA regulations on the prevention of prohibited alcohol and drug use; improves and monitors employees' overall physical and mental health through support programs; and protects patient data security and privacy in accordance with applicable federal law. OHAW is implementing an integrated Operationalizing Wellness initiative, leveraging Physical Therapy, Wellness and Health Strategy, Fitness for Duty, and Employee Assistance Programs, to embed employee wellbeing and safety into everyday operations and culture across the workforce. As this phased plan matures, Metro should reap the benefits of improved employee wellbeing, stronger compliance, and world-class operational performance.

Quality Assurance, Internal Compliance and Oversight

The Quality Assurance, Internal Compliance & Oversight Department monitors Metro's compliance with applicable safety, quality, and regulatory requirements. The department conducts internal reviews, supports corrective action oversight, and manages the agency's Policy/Instruction framework to promote transparency and accountability.

Quality supports implementation of the Quality Management System Plan (QMSP), which establishes Metro's quality management framework and aligns with the Public Transportation Agency Safety Plan (PTASP) and Metro's Strategic Transformation Plan.

Through internal safety reviews, compliance audits, and quality assessments, Quality evaluates whether operations and maintenance activities meet established safety and quality standards. When deficiencies are identified, responsible departments develop and implement corrective actions. Quality supports coordination, tracking, and reporting through closure.

Quality also supports agency-wide continuous improvement efforts that strengthen operational performance, safety outcomes, and system reliability.

System-Wide Accessibility

This department partners with departments across the system to integrate customer-centric practices that support Metro's ability to continually improve system accessibility and deliver clear, effective public messaging about safe and accessible travel options.

Technical Training & Development

This department provides skill development and refresher training to address operational readiness through centralized operational infrastructure, and safety training and certifications across the organization.

Department of Safety

This department is responsible for the management of system safety, occupational safety and health, safety event investigation, emergency preparedness, and fire life safety. It performs oversight of the following: continuous hazard management process, construction safety, safety certification, safety data collection and analysis, industrial hygiene, safety training, safety program implementation, regulatory compliance, environmental protection, and ASP implementation. The department is organized into four parts designed to operationalize the components of SMS:

Safety Assurance

The Safety Assurance function includes teams for Safety Informatics & Solutions, Safety Investigations, Operations Safety Oversight, and Safety Certification and Engineering.

Safety Risk Management

The Safety Risk Management (SRM) function includes the following offices: Operating Practices, Occupational Safety and Health, Safety Risk Management Program Administration, and Environmental Management and Compliance.

Safety Engagement

Safety Engagement consists of two teams working together to enhance performance and minimize risk through effective emergency preparedness and incident management.

- The *Office of Emergency Preparedness (OEP)* staffs the Safety Information Official (EVP/CSRO's liaison with the MICC) and Safety Primary Responder (facilitator of IMF implementation on-scene for safety events) roles on a 24/7 basis. The team also coordinates and delivers internal and external preparedness training, liaises between jurisdictional responders, provides subject matter experts for incidents, and provides on-scene safety oversight.
- The *Office of Fire Marshal, Prevention and Mitigation*, proactively identifies and mitigates fire and life safety hazards in accordance with SOP 4121-3-02. The team also leads the incident after-action process, identifies lessons learned, and manages corrective actions across departments to continuously improve incident management.
- The *Office of Safety Policy and Promotion* provides oversight on SMS implementation overall as well as maintaining the Safety Management Policy, SMS Strategic Roadmap, and this ASP. Additionally, the Safety Promotion team is responsible for developing and implementing the employee and contractor engagement strategy such as targeted campaigns to encourage employee safety reporting, safety announcements, alerts, bulletins, newsletter articles, recognition events, and more.

Division of Organizational Responsibility for SMS

Metro's SMS follows the four pillars established by the Federal Transit Administration. The responsibility for implementing the various activities under each pillar is designated amongst several offices across the Department of Safety and Readiness. A full depiction of organizational responsibility for the components of this ASP is included as Appendix J.

1.5.4 Agency Leadership and Executive Management

In addition to the GM & CEO and EVP/CSRO, the senior executive team includes the Deputy General Manager and EVPs listed in the above section 1.5 *Necessary Authorities, Accountabilities, and Responsibilities.* These leaders were consulted on the development of this ASP, and they are responsible for reviewing and implementing their respective sections of this ASP, facilitating safety performance in their respective departments, and understanding the responsibilities required of them and their organizations. The following descriptions provide an overview of those departments including additional responsibilities, accountabilities, and authorities related to SMS. Up-to-date information about Metro's organizational structure, including names, titles, and organizational charts can be found on Metro's intranet site.

Operations

The focus of this organization is operations and rolling stock maintenance (e.g., Transportation, Fleet, and MetroAccess services) along with the Metro Integrated Command & Communications Center, Supply Chain Management, and Reliability Engineering & Asset Management. As a result of a 2025 restructuring, all personnel related to transportation report to Assistant Chief Transportation Officer for Bus and Rail and all personnel related to vehicle maintenance report to the Chief Fleet Officer. This realignment is meant to bring Metro in closer alignment with industry best practices.

Metro Transit Policy

The Metro Transit Police Department (MTPD) reports directly to the Deputy General Manager. MTPD manages security operations at Metro and supports safety risk management activities across the organization.

Infrastructure

The focus of this organization is the effective construction, inspection, testing, and maintenance of infrastructure system assets including track and structures, rail stations and facilities, electric traction and power, signal and communications systems, bus stops and facilities, and all vertical transportation assets. Within this department are divisions for each major asset type that combine the engineering and maintenance functions for improved asset management – enabling continuity throughout the infrastructure life cycle (e.g., design, build, maintenance, etc.). The infrastructure department delivers and manages capital infrastructure projects to ensure safe, on-time project completion.

Customer Experience, Community Engagement & Transformation

This department includes the functions of Customer Service, Communications & Marketing, Strategic Transformation – *Your Metro, the Way Forward* –, and Government Relations. In addition, it is responsible for community relations and outreach as well as the general customer experience, including advocacy for the customer in internal decision making.

Communications & Customer Service

This department is responsible for general customer service and external communications on behalf of the agency. Their main functions include customer relations, customer information, social media, and lost & found.

Strategy, Planning & Performance

This organization leads Metro's long-term strategic direction and assists in operationalizing that direction with measurable performance targets that drive progress toward outcomes. It is responsible for developing and implementing agency-wide strategies; planning new and on-going capital programs and projects; designing bus and rail service schedules; managing real estate and parking assets; leading long-range efforts to prepare Metro for the future; and measuring and reporting performance. SPPM includes six Departments: Planning & Program Development; Strategy & Policy; Capital Planning & Programming; Service Planning & Scheduling; Performance, Data, & Research; and Real Estate.

Finance

This department includes all financial functions as well as Procurement and Capital Budget, Grants, Funding Management, Capital Review, and Capital Financial Reporting. Also includes the Finance department in Real Estate and Development, which oversees a number of operational assets such as parking garages for Metro.

Digital Modernization

This organization includes all Information Technology functions, including a digital modernization function to facilitate Metro's transformation to a more digital organization, as well as all cybersecurity for the agency.

Human Capital

This department combines human capital functions, such as talent acquisition, talent management, employee development, labor and employee relations, compensation, and benefits.

Legal and Compliance

This department manages all legal, ethics, regulatory compliance, and enterprise risk management matters for the Authority. The Legal department and Audit & Compliance department are

combined into one organization to optimize the effectiveness of the related roles and frequent collaboration between those departments.

1.5.5 Key Staff

Safety Risk Coordinator (SRC) positions perform a key function within Metro's SMS. SRCs have the responsibility of coordinating the Safety Risk Management process and supporting the implementation of the other components of SMS. In Operations and Infrastructure Departments, SRCs are formal, permanent positions with dedicated roles and responsibilities. SRCs in Infrastructure departments report directly to the leadership of their associated department; whereas those in Operations departments report to those departments' head of Reliability Engineering and Asset Management. Departments outside of Operations and Infrastructure have designated Safety Risk Advisors (who play the same role as SRCs) in their department.

The EVP/CSRO reserves the right to determine when new formal SRC positions are needed. SRM collaborates with the established network of SRCs to work together to resolve cross-departmental safety hazards efficiently.

The primary responsibilities of the SRCs include, but are not limited to:

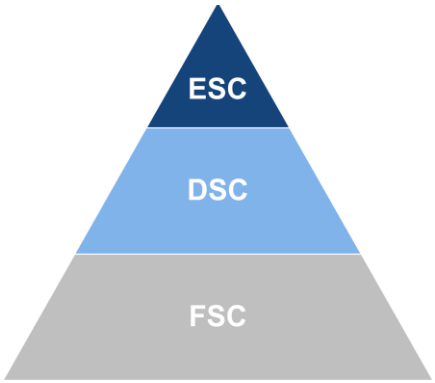
- Implement Safety Risk Management as described in this document resulting in proactive identification, assessment, and mitigation of safety risks.
- Perform safety assurance through oversight and monitoring.
- Work with accountable leaders to manage departmental risk registers. Ensure that all safety-related corrective action plans are being managed and addressed in coordination with senior leadership.
- Work with accountable leaders to ensure that new items are evaluated for safety criticality and that the safety critical item list and relevant data sources are regularly reviewed.
- Lead FSCs and DSCs, ensuring they are held, and hazards brought forth are tracked and mitigated; Ensure risks associated safety critical items are properly escalated in accordance with department policies and procedures.
- Monitor safety incident investigations to ensure they are completed and thorough, per P/I 10.4 *Incident and Accident Investigation.*
- Monitor the Safety Risk submissions for leading indicators of potential hazards, if applicable.
- Attend assigned safety and reliability meetings, and report on SMS-related activities and safety critical items. Assist Accountable Executive or SMS Executive in developing, implementing, and operating the agency's SMS as directed.

In addition to the hands-on coaching and mentorship from the Department of Safety's Safety Risk Management Team, required training for SRCs includes, within three months of hire:

- Various internal trainings on Metro's Safety Risk Management Process and Safety Committee Facilitation (led by the Office of Safety Risk Management) One (1) hour course on SMS Awareness (FTA/Transportation Safety Institute [TSI] e-Learning)
- Two (2) hour course on Safety Assurance (FTA/TSI instructor-led Virtual Live Training)
- One (1) 20-hour course on SMS Principles for Transit (FTA/TSI, instructor-led)

1.5.6 Safety Committees

As part of SMS, Metro has established a network of safety committees that provide support for operating the SMS as detailed in P/I 10.8 *Safety Management Policy*. These committees are organized in a hierarchical nature to allow for safety risks to be elevated if they require further review or resources to address them. The network of safety committees is organized thus:



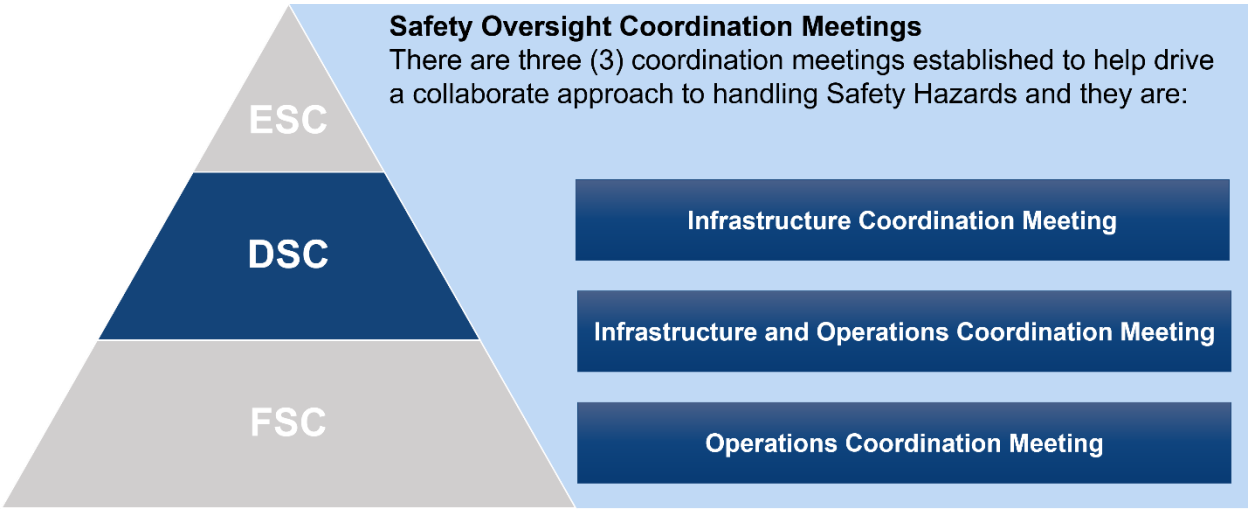
Hierarchy of Safety Committees

- Executive Safety Committee (ESC) – the governing body responsible for overseeing the development and implementation of SMS as outlined in this ASP. The ESC also manages and allocates the necessary resources to mitigate safety risks throughout Metro and addresses risks associated with safety critical items that have been escalated from DSCs. Monthly, the ESC reviews both high-level risks that have been identified or items that have been elevated from other committees, via the Metro Hazard Report, to identify areas where additional resources are needed. This allows the ESC to support continuous improvement by identifying safety deficiencies, including potential instances where the agency fails to meet risk reduction program safety performance targets. To facilitate specific tasks, the ESC has established the following subcommittees:
  - Rail Safety Standards Committee (RSSC) – the governing body that reviews, discusses, verifies, and approves any new rules and procedures proposed, modifications or deviations to rules and procedures, and the rescinding of obsolete rule and procedures concerning rail transit in accordance with 2000-1-01 *Rail Safety Standard Program Plan*.
  - Safety Certification Review Committee (SCRC) – the governing body that oversees safety and security certification at Metro in accordance with the *Safety and Security Certification Program Plan*.
  - Joint Labor-Management Safety Committee (JLMSC) – established in accordance with 49 CFR Part 673 Subpart C, composed of equal numbers of represented and non-represented employees. It supports the ESC in overseeing the development and implementation of SMS and proactively managing risk in accordance with this ASP.



Subcommittees of the Executive Safety Committee

- Department Safety Committee (DSC) – The governing body established to manage safety risk at the department-level, and the owner of departmental risk registers, DSCs are essential for the sustainment of the Safety Risk Management process. DSCs are facilitated and managed by the departmental SRC. Departmental Accountable Leaders are responsible for ensuring that risks on the department's risk register are mitigated to an acceptable level.
    - Safety Oversight Coordination Meetings - In addition to the DSCs, there are three (3) coordination meetings that are established and held monthly: Infrastructure Coordination Meeting, Infrastructure and Operations Coordination Meeting, and Operations Coordination Meeting. The meetings bring together departmental SRCs and departmental Accountable Leaders to develop mitigations for safety risks that affect multiple departments. The meetings are intended to help drive collaborative approach to Safety Risk Management at Metro.



Safety Oversight Coordination Meetings

- Facility Safety Committees (FSCs) are responsible for managing safety hazards at a particular facility, encompassing all departments located at that physical location. FSCs actively address and rectify local hazards while also escalating systemic and department-wide hazards and risks to their respective DSCs and SRCs. The facilitation and management of FSCs are carried out by the relevant departmental SRCs or their designated representatives.

DSCs are mandatory for Operations and Infrastructure departments, as well as other administrative functions within Metro that could potentially have personnel exposed to safety risks. The DSC is established to manage departments' risk registers during SRM Implementation. Administrative and support departments, such as Reliability Engineering and Asset Management, will not have a DSC, but rather support the network of safety committees with their data analysis function. The table below establishes where DSCs are established or are being established through SRM Implementation. This network of DSCs will continue to evolve as SRM matures at Metro.

Department Safety Committees at Metro	
Department Name	**Organization**
Rail Transportation	Operations

Department Safety Committees at Metro	
Rail Fleet	Operations
Bus Transportation	Operations
Bus Fleet	Operations
Metro Integrated Command and Communication Center	Operations
MetroAccess	Operations
Supply Chain Management	Operations
Metro Transit Police Department	Deputy General Manager
Power	Infrastructure
Communications and Signaling	Infrastructure
Track and Structures	Infrastructure
Facilities Maintenance	Infrastructure
Elevators and Escalators	Infrastructure
Project Delivery	Infrastructure
Information Technology	Digital Modernization
Safety and Readiness	Safety and Readiness

The network of Safety Committees allows for seamless escalation of safety risks from FSCs to DSCs, and ultimately to the ESC. Systemic and department-wide hazards identified at the FSCs are escalated to a relevant DSC. Safety risks and their associated mitigations managed at the DSC level, but requiring additional resources or addressing system-wide concerns, are escalated immediately to the ESC. The Departmental SRC works with the Safety Risk Management Team to facilitate escalations, ensure the appropriate routing of concerns for mitigation and to provide necessary data for justifying the need for additional resources and funding. If issues are not escalated, the ESC maintains oversight by reviewing Metro's risk profile via the Metro Hazard Report. The committee receives the report monthly and considers it in detail at their quarterly meeting, unless an urgent issue warrants a meeting. This allows the ESC to identify areas that need additional support and resources if progress is not made to implement approved risk mitigations.

All Safety Committees shall be chartered, documenting the committee members, their roles and responsibilities, meeting frequency, and how they capture hazards and risks from lower-level Safety Committees. The charters are reviewed and approved by the Department of Safety's Safety Risk Management Team and are stored on the Department of Safety's SharePoint site for Safety Committees. The ESC is able to form new safety committees as it determines while Metro continues to mature SMS.

Safety Risk Management produced a Network of Safety Committees map which it promoted agency-wide, to help SRCs facilitate engagement with facility and departmental safety committees. This tool will make it easier for personnel to be involved in the meetings by providing them a single spot to find all information related to the various FSCs and DSCs at Metro. Safety Risk Management has also developed an SRC Hazard Performance Snapshot which allows departments to improve their tracking analysis of SRC performance. The Safety Risk Management team hopes that identified safety hazards will be promptly assessed and more accurately rated as an outcome of encouraging more participation in safety committees.

1.6 Emergency Preparedness and Response Plan

Emergency management functions within Metro are performed in partnership between Safety Engagement and the Metro Integrated Command and Communications Center (MICC), Video, and Consequence Management Section. The groups work together in planning, executing, and documenting Metro's emergency response as required by 49 CFR 673.11(a)(6). Additionally, Metro looks to the Federal Emergency Management Agencies' National Incident Management System (NIMS) for guidance for safety event response activities.

- Safety Engagement is part of the Department of Safety, reporting to the SVP/ACSO and is responsible for overall agency emergency preparedness by developing, documenting, and coordinating with other departments, as well as state and local jurisdictional partners, on plans for all emergency responses. Safety Engagement is also responsible for most emergency preparedness training development.
- The Video and Consequence Management Section reports to the Senior Vice President of the MICC and is responsible for operational coordination in response to emergencies, partnering with jurisdictional stakeholders (local, regional, state, and federal) in the development and conduct of exercises, the development of emergency plans (including the Emergency Operations Plan, Severe Weather Plan, and Continuity of Operations Plan), and supporting major planned events such as National Security Special Events.

Emergency Operations Plan

Consequence Management maintains Metro's Emergency Operations Plan (EOP), which serves as Metro's Emergency Preparedness and Response Plan. The EOP provides an overall framework for managing emergency operations and fulfilling Metro's role in supporting incident or event operations throughout its service area. The EOP assigns roles and responsibilities to departments and individuals across Metro for their preparedness prior to, and response during an emergency. The EOP provides details on the coordination with federal, state, regional, and local officials involved in emergency preparedness and response in Metro's service area. Metro Transit Police Department (MTPD) General Orders provide guidance for MTPD operations in an emergency.

Supporting Emergency Response Plans

Listed below are supporting agency-wide plans, programs, and processes to implement emergency management functions following the principles of the EOP. A select group of these plans and programs are then discussed in more detail.

- Continuity of Operations Plan
- Severe Weather Plan
- Family Assistance Plan
- Pandemic Response Plan
- Emergency Exercise Program
- Standard Operating Procedures, and other departmental safety-critical documentation of daily tasks and activities
- After Action Reports

Pandemic Response Plan

OEP maintains a dedicated Pandemic Response Plan that outlines strategies to minimize the risk of infectious disease exposure to the public, personnel, and property. Metro's Pandemic Response Plan adopts methods to minimize exposure consistent with the guidelines of the Centers for Disease Control and Prevention while allowing tailored responses based on the guidelines of the public health agency for the jurisdiction(s) where an event takes place.

Emergency Exercises

Metro strives to conduct at least three full-scale exercises annually in close coordination with National Capital Region (District of Columbia, Maryland, and Virginia) jurisdictional partners to enhance Metro's preparedness and regional partnerships. Consequence Management takes the lead role in coordinating these exercises for Metro, looking to the Homeland Security Exercise and Evaluation Program for guidance. These full-scale exercises allow Metro staff and regional first responders to practice and enhance emergency response and recovery skills based on a Metro incident or a scenario.

Occasionally, one or more external agencies will approach Metro about hosting an exercise on Metro infrastructure or at Metro facilities. Consequence Management works to accommodate such requests, as best as possible, acknowledging the benefit for all involved.

Incident Management Framework

Metro has implemented an Incident Management Framework that aligns with the principles of the National Incident Management System and integrates with the agency's Emergency Operations Plan. This framework establishes a standardized, scalable approach to incident management, ensuring coordinated preparedness, response, and recovery operations across the organization. It supports consistent processes, defined roles and responsibilities, and effective coordination with internal and external partners intended to enhance operational effectiveness.

After Action Reports Program

The Office of Fire Marshal, Prevention and Mitigation reviews incidents authority-wide through an After Action program which draws on industry best practices and applicable federal guidelines to proactively monitor and analyze issues, determine lessons learned, and develop corrective actions in a collaborative manner. Video and Consequence Management is responsible for the After Action Reports resulting from exercises.

1.7 Development and Implementation of a Safety Management System

Establishing and maturing a robust SMS that is appropriately scaled to the size, scope, and complexity of Metro requires a strategic and deliberate effort. The Department of Safety's SMS Strategic Roadmap (Appendix A) reflects the key priorities and milestones for ongoing development of Metro's SMS. The roadmap is organized in accordance with the four components of SMS: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion, against a multi-year timeline.

2.0 Safety Management Policy

The Safety Management Policy component of Metro's SMS has been designed to meet the requirements established by the FTA and the WMSC, as applicable. In accordance with 49 CFR Section 673.23 and WMSC's Program Standard, this section includes:

2.1 Safety Management Policy
2.2 Employee Safety Reporting Program
2.3 Communication of the Safety Management Policy
2.4 Seatbelt Use Policy

2.1 Safety Management Policy

This ASP lays out Metro's Safety Management Policy, endorsed by leadership from the GM & CEO down through the organization. It is summarized in the Safety Management Policy Statement at the beginning of this plan, outlining the framework for Metro's Safety Management System. It includes the establishment of a safety reporting program for Metro personnel to support the identification of hazards across the organization, as well as methods and practices for communicating the Safety Management Policy with all personnel.

2.2 Employee Safety Reporting Program

Metro's SMS requires all employees and contractors to identify hazards, mitigate them immediately if possible, and report them. Metro has multiple avenues by which employees and contractors can report safety concerns, risks, and hazards.

Metro strives for a culture where employees and contractors feel comfortable verbally reporting their safety concerns to their direct supervisor, senior management, SRC, or Department of Safety personnel as soon as they are discovered; however, there may be circumstances where personnel prefer reporting outside their chain of command for various reasons, including, for example, to maintain confidentiality or anonymity. Although Metro's Safety Management Policy specifically prohibits retaliation, the concern may still exist. Given these considerations, the following reporting methods are available:

Safety Hotline Reporting

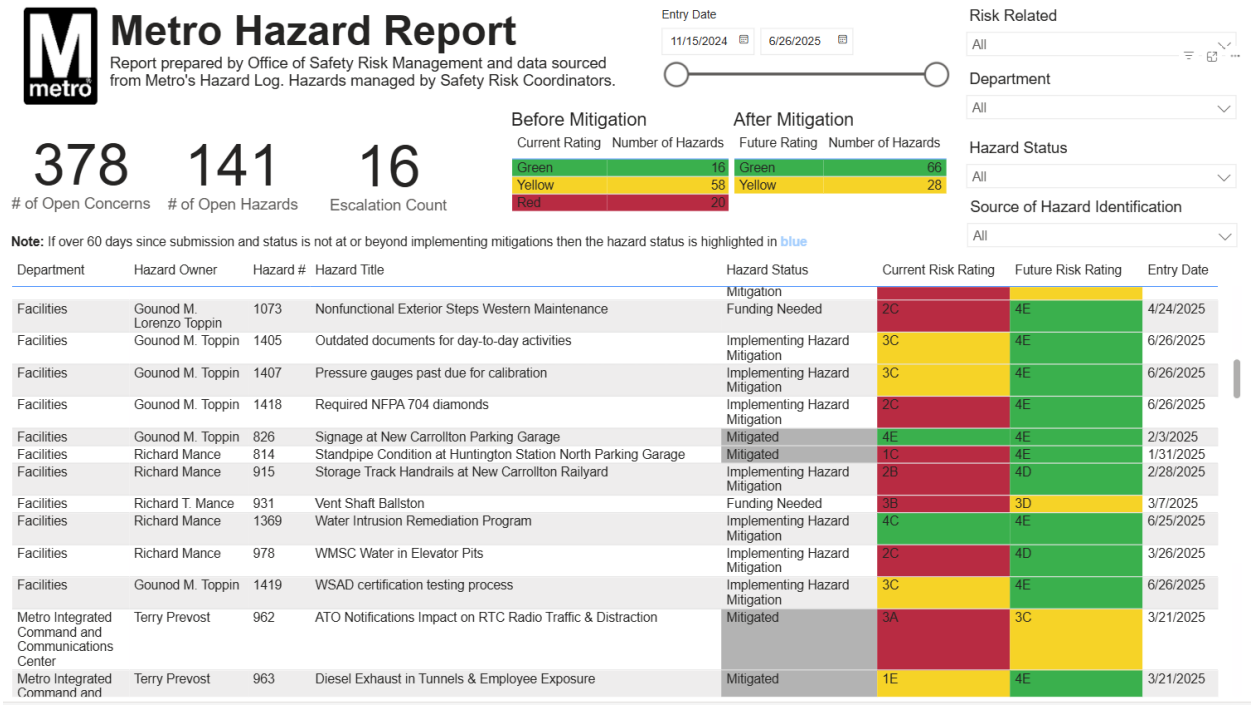
- *Online Reporting:* Personnel may submit a safety concern through the online form on the Department of Safety's page on Metro's intranet. The reported concern is then reviewed by the Office of Safety Risk Management and assigned to the most appropriate SRC for response and action. Upon receipt, the SRC follows their departmental Safety Risk Management Process to identify the Safety Risk and develop mitigations. This process is documented in Metro's customized SRM database.
- *Phone Reporting:* The Safety Hotline is available for reporting safety concerns 24 hours a day, 7 days a week. Reports can be made by calling 202-249-SAFE (7233). Once reported to the Safety Hotline, the Safety Information Officer documents the information in Metro's safety database. The reported concern is then reviewed by the Office of Safety Risk Management and assigned to the most appropriate SRC. Upon receipt, the SRC follows their departmental Safety Risk Management Process to identify the Safety Risk and develop mitigations. This process is documented to track, monitor, and report out on the response.
    - Refer to SOP 4132-3-01 *Safety Reporting Process: Voluntary Safety Reporting Program* for more information
- *Verbal Reporting to Supervisors:* Personnel may report any perceived safety issue or hazard to their direct supervisor, who will relay the concern to the Department's SRC to follow the departmental Safety Risk Management process.

- *Verbal Reporting to Committees:* Personnel may report any perceived safety issue or hazard to a Facility Safety Committee (FSC) or Department Safety Committee (DSC) member. It is then routed to the Department's SRC to follow the departmental Safety Risk Management Process. FSCs document Facility-based hazards on a Hazard Log, where they are managed, and tracked to completion. Department-wide issues or hazards are escalated to the DSC, which are documented and tracked to completion.
- *Customer Concerns:* The Office of Customer Service, Communications & Marketing (CSCM) can either enter safety concerns into the Safety Hotline using the online form, by making a call, or by forwarding the concern to the Office of Safety Risk Management. These concerns are either received directly from CSCM or through social media. Actions taken are reported to CSCM for response to customers.
- *Internal Concerns:* The Office of Inspector General (OIG) may forward safety concerns to the Department of Safety. If anonymity has been requested, this will be maintained by OIG and the Department of Safety. Personnel from the Office of Safety Risk Management will review the concern and coordinate with the departmental SRC responsible to implement mitigations. If an investigation is required (either as requested by the Department of Safety or the OIG), any resulting iCAPAs will be coordinated with the responsible SRC for action. These iCAPAs are then documented by the Department of Safety along with all other RCAs in Metro's Safety Universal Data System with the results reported back to the OIG.
- *Confidential Close Call Reporting Program (C3RP)*: Personnel may report a close call (either over the phone at 1-888-568-2377 or online) when they are involved directly or witness a near-miss incident, or if a reported safety concern persists. Under the program the employee reports their safety concern to a third-party data broker. The reporting personnel's information is kept confidential pursuant to the Confidential Information Protection and Statistical Efficiency Act (CIPSEA), and Metro management does not receive any identifying information from the third-party. Personnel behaviors that do not qualify for protection from discipline under the Close Call Program are detailed in the program Memorandum of Understanding for the Confidential Close Call Transit Safety Reporting System for the Washington Metropolitan Area Transit Authority. If an employee feels that retaliation has taken place as a result of reporting a safety concern, they are encouraged to work with their labor representatives (if represented) or the Department of People, Culture, and Inclusion (if non-represented). Policies related to employee conduct have been established to facilitate a fair and consistent review that reflects Metro's commitment to protect personnel from retaliation.

2.2.1 Employee Safety Reporting Program Engagement

SRCs respond to the safety-related reports received. Outcomes are shared directly with personnel, at committee meetings, through personnel communications (such as articles in MetroVoices Wire Newsletter, Safety Bulletins, and Safety Alerts), on the Department of Safety site on Metroweb, and through other safety promotional campaigns.

Personnel may also view Metro's hazard report to examine the risks being actively managed at Metro and in their department, and progress towards addressing and mitigating the concerns.



Metro Hazard Report

Report prepared by Office of Safety Risk Management and data sourced from Metro's Hazard Log. Hazards managed by Safety Risk Coordinators.

Entry Date: 11/15/2024 – 6/26/2025

Risk Related: All

Department: All

Hazard Status: All

Source of Hazard Identification: All

378	141	16
# of Open Concerns	# of Open Hazards	Escalation Count

Before Mitigation

Current Rating	Number of Hazards
Green	16
Yellow	58
Red	20

After Mitigation

Future Rating	Number of Hazards
Green	66
Yellow	28

Note: If over 60 days since submission and status is not at or beyond implementing mitigations then the hazard status is highlighted in blue

Department	Hazard Owner	Hazard #	Hazard Title	Hazard Status	Current Risk Rating	Future Risk Rating	Entry Date
				Mitigation			
Facilities	Gounod M. Lorenzo Toppin	1073	Nonfunctional Exterior Steps Western Maintenance	Funding Needed	2C	4E	4/24/2025
Facilities	Gounod M. Toppin	1405	Outdated documents for day-to-day activities	Implementing Hazard Mitigation	3C	4E	6/26/2025
Facilities	Gounod M. Toppin	1407	Pressure gauges past due for calibration	Implementing Hazard Mitigation	3C	4E	6/26/2025
Facilities	Gounod M. Toppin	1418	Required NFPA 704 diamonds	Implementing Hazard Mitigation	2C	4E	6/26/2025
Facilities	Gounod M. Toppin	826	Signage at New Carrollton Parking Garage	Mitigated	4E	4E	2/3/2025
Facilities	Richard Mance	814	Standpipe Condition at Huntington Station North Parking Garage	Mitigated	1C	4E	1/31/2025
Facilities	Richard Mance	915	Storage Track Handrails at New Carrollton Railyard	Implementing Hazard Mitigation	2B	4D	2/28/2025
Facilities	Richard T. Mance	931	Vent Shaft Ballston	Funding Needed	3B	3D	3/7/2025
Facilities	Richard Mance	1369	Water Intrusion Remediation Program	Implementing Hazard Mitigation	4C	4E	6/25/2025
Facilities	Richard Mance	978	WMSC Water in Elevator Pits	Implementing Hazard Mitigation	2C	4D	3/26/2025
Facilities	Gounod M. Toppin	1419	WSAD certification testing process	Implementing Hazard Mitigation	3C	4E	6/26/2025
Metro Integrated Command and Communications Center	Terry Prevost	962	ATO Notifications Impact on RTC Radio Traffic & Distraction	Mitigated	3A	3C	3/21/2025
Metro Integrated Command and	Terry Prevost	963	Diesel Exhaust in Tunnels & Employee Exposure	Mitigated	1E	4E	3/21/2025

Figure 1: Hazard Report

2.3 Communication of Safety Management Policy

Metro is committed to actively communicating its Safety Management Policy Statement throughout the organization. This communication involves two parts:

1) Metro provides direct access to the Safety Management Policy Statement by posting the Agency Safety Plan on Metroweb
2) Metro also shares the Safety Management Policy Statement through New Employee Orientation and safety trainings. Elements of SMS fundamentals, such as encouraging staff to use employee safety reporting mechanisms, are also shared through other types of employee engagement such as toolbox talks bulletins, signage, newsletters, postings, the Metroweb, and job safety briefings.

Executive management at Metro is responsible for actively communicating the Safety Management Policy to personnel. Any changes to the policy must be approved and distributed by the senior executive team. The senior executive team is crucial to long-term success, through its approval of the ASP, cascading safety communications, designation of Safety Committees, and involvement in driving continued SMS implementation.

2.4 Seatbelt Use Policy

This Safety Management Policy also establishes requirements for the proper use of safety belts in vehicles operated on WMATA property or used in official Metro business, consistent with Executive Order No. 13043, *Increasing Seat Belt Use in the United States*. All Metro personnel must wear seatbelts when operating or riding in a vehicle on official Metro business, defined as any vehicle operation while on duty, including use of a personal vehicle for work purposes, and excluding commuting, personal errands, or unapproved activities. Seatbelts must be properly worn, adjusted, and securely fastened by all occupants in both front and rear seating positions. Personnel must immediately report any inoperable seatbelt and remove the vehicle from service. Individuals may be exempt only if a licensed physician determines that seatbelt use is not medically appropriate.

3.0 Safety Risk Management

The Safety Risk Management component of Metro's SMS has been designed to meet the requirements established by the FTA and the WMSC. In accordance with 49 CFR 673.25 *Safety Risk Management*, this section of the ASP includes:

3.1 Safety Hazard Identification

3.2 Safety Risk Assessment

3.3 Safety Risk Mitigation

3.4 Health, Safety, and Environmental Programs Health and Safety Programs

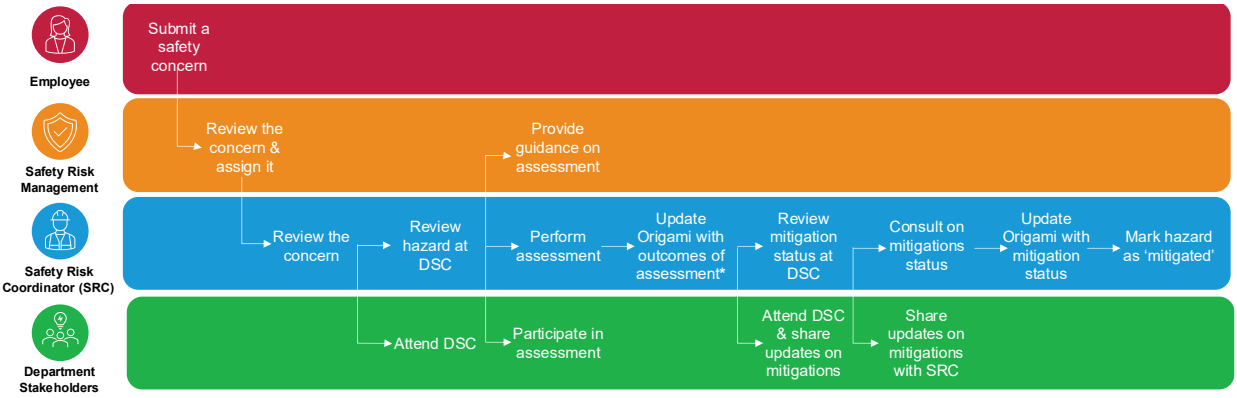
3.5 Corrective Action Plans

Safety Risk Management Process

Metro's Safety Risk Management process emphasizes the proactive identification, assessment, and mitigation of safety risks and aligns with the FTA's National Public Transportation Safety Plan recommendation. Metro's Office of Safety Risk Management within the Department of Safety supports the SRCs designated across Metro to facilitate and oversee the effectiveness of the Safety Risk Management process. Departments across Metro manage safety risk with the assistances of SRCs. These departments have:

1. **Established a departmental Safety Risk Management Process**, using 4200-4-01, *Department Safety Risk Management SOP Template*.
2. **Documented hazards in SRM database and featured in Metro's hazard report**. The report formalizes the safety risks identified, corresponding mitigations, status of mitigation implementation, and overall Metro safety risk profile.
3. **Established an organizational Safety Risk Reporting Process**, detailed in 4132-3-01, *Safety Reporting Process: Voluntary Safety Reporting Program*.
4. **Dedicated personnel to support safety risk reporting capabilities**. Reported safety concerns flow directly to the SRC for inclusion in the Safety Risk Management process.

Departmental SRCs execute the process laid out in this ASP, following the process flow below.



Risk Assessment Process Flow

3.1 Safety Hazard Identification

The first step in the Safety Risk Management process is to identify hazards. Metro encourages the proactive identification of hazards by all personnel as an essential step in the Safety Risk Management process.

Metro's safety hazard information is regularly monitored and collected from a variety of sources:

- **External Agencies**, e.g., WMSC, FTA, National Transportation Safety Board (NTSB) – A hazard analysis on these findings is performed and, where required, provided to the WMSC in accordance with the WMSC Program Standard. Also includes any data and information regarding exposure to infectious diseases provided by the CDC or a State health authority, pursuant to 49 CFR 673.25 (b)(2)(ii).
- **Employee Safety Reporting Program** - These reports are investigated in accordance with this ASP, SOP 4132-3-01 *Safety Reporting Process: Voluntary Safety Reporting Program*, and established MOUs.
- **Inspections or Audits** - Corrective Actions resulting from inspections and audits are analyzed in accordance with WMSC Program Standard, Section 8.D, *Corrective Actions*, where applicable to Metrorail safety, and SOP SARE-QUALITY-1.11 *Corrective Action and Preventive Action* procedure.
- **Investigations** – Investigations are conducted on safety events in accordance with the WMSC Program Standard, where applicable to Metrorail safety, and SOP 4131-3-01 *Department of Safety Investigation Procedure.*
- **Safety Committees** – Safety Committees oversee Safety Risk Management in accordance with this ASP, departmental Safety Risk Management SOPs, and Safety Committee Charters.
- **Safety Performance Indicators** - Trends and patterns detected from safety performance indicators are analyzed in accordance with this ASP, Safety Universal Data System (SUDS) and the Quality Management System Plan (QMSP).
- **Data Analysis** - Data driven risk analysis is performed in accordance with 3.1.2 Safety Risk Assessment.
- **Industry Data** - Metro reports to and collects industry data from the National Transit Database (NTD) to compare safety performance.
- **Reliability Meetings** – Metro tracks the performance of safety-critical items in monthly reliability meetings and responds to trends in accordance with department policies and procedures.

The Safety Risk Management process is implemented in part using a customized SRM database to record risks. Specifically, the Department of Safety, SRCs, departmental Accountable Leaders, and Safety Committees use this software to track and manage identified safety hazards, priorities based on risk analysis, and corresponding safety risk mitigations. This information is entered into the SRM database by SRCs and Safety personnel, which then feeds the Metro Hazard Report.

The Metro Hazard Submission Form is also introduced, and links are established on the department's Metroweb page. The Metro Hazard Submission Form is a simple reporting mechanism that allows employees to submit safety reports into the SRM database for review and management.

As new reports are received by the SRC, they determine whether an existing risk has already been identified or if a new safety risk needs to be recorded. New information associated with existing risks will be reviewed to determine if the risk definition needs to be updated or assessment needs to change (as outlined in 3.1.2). New information that drives the identification of a new risk will be drafted by the SRC and brought to the DSC for review when required.

3.2 Safety Risk Assessment

Metro performs a safety risk assessment to determine the likelihood and severity of the consequences of identified hazards. This process includes the prioritization of hazards based on safety risk, evaluation of existing mitigations, and development of new mitigations in partnership with relevant stakeholders. Determinations of likelihood and severity are made with input from subject matter experts and are informed by relevant data. Typically, these assessments occur during the Department Safety Committee meetings led by the SRC, but additional forums such as the Joint Labor-Management Safety Committee, Executive Safety Committee, or special assessments led by the Department of Safety are also appropriate. They are governed by Metro's *Safety Risk Assessment SOP*, 4200-3-02.

Risk Assessment Process

Metro conducts safety risk assessments as they relate to hazards, which are defined as follows:

- Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment (49 CFR § 673.5).

Once a hazard has been identified, the individual conducting a risk assessment identifies potential consequences. A potential consequence is the effect of a hazard and represents what could happen if a hazard or condition persists. Hazards may have multiple potential consequences and should be specific enough to be measured on a qualitative and quantitative basis.

The next step is to determine the corresponding likelihood and severity of each consequence by factoring both qualitative and quantitative data into this determination. The safety risk rating is the composite of the predicted severity and likelihood of all the potential consequences associated with a hazard, with Metro using the highest risk rating of all the potential consequences of a hazard to determine that hazard's overall safety risk rating.

The risk assessment process considers the following to inform the final determination of the safety risk rating:

- **Inherent Risk Rating**: Inherent risk rating refers to the level of risk associated with an activity or process before any controls or mitigation strategies are implemented. It represents the natural, unavoidable risk that exists due to the inherent characteristics of the activity or process itself.
- **Current Risk Rating**: The current risk rating refers to the level of risk that accounts for the existence of mitigations that have already been implemented.
- **Future or Residual Risk Rating**: Residual risk rating refers to the level of risk that remains after implementing additional controls or other mitigation strategies to reduce inherent and current risk.

Likelihood

Likelihood is measured based on the frequency with which the potential consequence is expected to occur. WMATA uses the scale below to establish criteria for the likelihood. A combination of quantitative and qualitative data should be used to assess likelihood. The quantitative aspect of the assessment should utilize historical data to review the number of occurrences of the potential consequence being realized. The qualitative aspect of the assessment should utilize subject matter expertise to understand historical context that will provide additional insight, especially in cases where no quantitative data exists, and a hazard has been unrealized. When determining the inherent likelihood of a potential consequence, personnel look at the natural/unmitigated state only; but when determining the current or future/residual likelihood, personnel should factor in existing or future mitigations.

Probability	Value	Qualitative Meaning	Quantitative Meaning
Frequent	A	Opportunity for risk to be realized expected to occur often	Probability of occurrence greater than or equal to 10^{-1} (10%)
Probable	B	Opportunity for risk to be realized expected on a recurring basis	Probability of occurrence less than 10^{-1} (10%) but greater than or equal to 10^{-2} (1%)
Occasional	C	Opportunity for risk to be realized expected to occur	Probability of occurrence less than 10^{-2} (1%) but greater than or equal to 10^{-3} (0.1%)
Remote	D	Opportunity for risk to be realized not expected to occur but possible	Probability of occurrence less than 10^{-3} (0.1%) but greater than or equal to 10^{-6} (0.0001%)
Improbable	E	Opportunity for risk to be realized not expected to occur and almost inconceivable	Probability of occurrence less than 10^{-6} (0.0001%)

Severity

Severity is measured based on the seriousness of the potential consequences. WMATA uses the scale below to establish criteria for severity. A combination of quantitative and qualitative data should be used to assess severity. The quantitative aspect of the assessment should review historical safety performance indicators such as the nature of the injury experienced, extent of property damage, environmental impact, and length of service disruption. The qualitative aspect of the assessment should utilize subject matter expertise to understand historical context that will provide additional insight, especially in cases where no such data exists, and a hazard has been unrealized. When determining the inherent severity of a potential consequence, personnel look at the natural/unmitigated state only; but when determining the current or future/residual severity, personnel should factor in existing or future mitigations.

Severity	Value	Meaning
Catastrophic	1	Risk realization expected to result in one or more of the following: death, permanent total disability, loss of passenger/crew occupied volume with equipment damage causing separations in structure, infrastructure damage that suspends service through the affected area for greater than 24 hours.
Critical	2	Risk realization expected to result in one or more of the following: permanent partial disability, injuries/illness that results in hospitalization, loss of passenger/crew occupied volume with equipment damage that causes openings but no separations in structure, infrastructure damage that suspends service through the affected area for greater than 2 and up to 24 hours.

Severity	Value	Meaning
Marginal	3	Risk realization expected to result in one or more of the following: injury or illness resulting in one or more lost workday(s), loss of passenger/crew occupied volume with equipment damage that causes no openings in structure, infrastructure damage that suspends service through the affected area for more than 30 minutes and up to 2 hours.
Negligible	4	Risk realization expected to result in one or more of the following: injury or occupational illness that does not result in a lost workday, no loss of passenger/crew occupied volume, equipment or infrastructure damage that does not suspend service nor cause a delay through the affected area for more than a maximum of 30 minutes.

The assessment of likelihood and severity (and therefore, safety risk) of a given hazard is based on the totality of the circumstances associated with each specific hazard.

Risk Matrix

The risk matrix below is used to prioritize the mitigation of hazards and is determined based on the composite of the likelihood and severity of the potential consequences of each hazard. Specific steps are required based on the level of risk each hazard presents. The mandated actions in response to certain risk ratings are intended to increase awareness of hazards and facilitate an appropriate response.

Risk Probability	Risk Severity			
	Catastrophic 1	Critical 2	Marginal 3	Negligible 4
Frequent – A	**1A**	**2A**	**3A**	**4A**
Probable – B	**1B**	**2B**	**3B**	**4B**
Occasional – C	**1C**	**2C**	**3C**	**4C**
Remote – D	**1D**	**2D**	**3D**	**4D**
Improbable – E	**1E**	**2E**	**3E**	**4E**

Risk Index		
Red	1A, 2A, 3A, 1B, 2B, 3B, 1C, 2C, 1D	CEO, DGM, COO, CIO and CSRO approval required to continue activity without level-changing mitigations in place.
Yellow	4A, 4B, 3C, 2D, 3D, 1E, 2E, 3E	VP level approval required to continue activity without level-changing mitigations in place.
Green	4C, 4D, 4E	Assessed risk is low where the implementation of mitigations may be subject to discussion at the DSC. Risk is effectively mitigated or considered so unlikely its acceptable as-is.

3.3 Safety Risk Mitigation

The risk mitigation step involves determining what actions need to be taken to reduce risk to as low as reasonably practicable (ALARP). The risks assessed “high” are prioritized first, followed by medium risks, and then low risks (as required). The SRC researches whether there are risk mitigations already in place or other mitigations in progress (e.g., as part of a CAP in response to

an audit finding). The SRC compiles this information for each risk and then holds a risk mitigation session with their DSC, conducted according to SOP 4200-4-01 *Department Safety Risk Management SOP Template*. The following criteria (based on the Hierarchy of Controls) are applied when developing risk mitigations:

- **Elimination**: Mitigations designed into the operation that eliminate the potential for exposure to the risk (e.g., the station is shut down when an escalator malfunctions, eliminating the possibility of customers getting hurt while using them as stairs)
- **Substitution**: Mitigations designed into the operation that result in avoiding the potential for risk exposure (e.g., the station remains open when an escalator malfunctions, but customers are re-directed to actual stairs or elevators to avoid use of the malfunctioning escalator)
- **Engineering Controls**: Mitigations designed into the operation that trigger controls when the potential for risk exposure increases (e.g., an automatic gate is activated when an escalator shuts down, creating a barrier that deters customers from using them as stairs)
- **Administrative Controls**: Mitigations designed to change human performance or behaviors in response to the risk (e.g., every three minutes, the station will announce the escalator is out of service and advise customers to use the actual stairs or elevators)
- **Personal Protective Equipment**: Mitigations designed to protect from exposure to the risk while an activity is performed (e.g., an attendant will hand out helmets to customers so in case they fall while climbing a shutdown escalator, their head is protected).

The SRC takes responsibility for assigning owners and monitoring the implementation of each mitigating action. Once the mitigating actions are established, they are entered into the SRM database. Approval of all mitigating actions is required from Departmental Accountable Leaders and is conducted as either part of the risk assessment process or the DSC. The risk assessment, prepared by the SRC in coordination with department stakeholders, captures the change in the risk profile of an identified hazard following the implementation of mitigations. As the risk mitigations are implemented, the SRC receives updates from the identified stakeholders to evaluate progress and adjust risk levels and priorities accordingly. This ensures ongoing assessment and adaptation of risk profiles within the department.

Any risk mitigations that require additional resources (personnel, funding, etc.) and cannot be sufficiently addressed at the departmental level, including those that are system-wide or requiring support beyond the mitigating capacity of the DSC, will be escalated to the ESC. When necessary, the ESC will task its subcommittees to address safety risks.

3.4 Health, Safety, and Environmental Programs

3.4.1 Occupational Safety and Health Risk Management

The Office of Occupational Safety and Health oversees Metro's worker safety and health programs and provides subject matter expertise in the fields of occupational safety and industrial hygiene. The Office's subject matter experts determine the applicable regulatory requirements and industry best practices to develop and administer these programs. The programs cover, as applicable, federal OSHA regulations and OSHA-approved plans in Virginia and Maryland. The team establishes partnerships with Infrastructure, Operations and other stakeholders to oversee Worker Safety and Health program implementation and applicable regulatory compliance with the goal of minimizing injuries and illnesses from exposure to occupational hazards. It works toward this goal through programs that set requirements and create procedures to help prevent specific occupational hazards. These programs fall into two categories: Occupational Safety and Industrial Hygiene. Current programs are listed below; they are subject to change or discontinuation as needs arise.

Occupational Safety Programs

- Confined Space Entry
- Electrical Safety
- Fall Protection
- Heavy Equipment
- Job Hazard Analysis
- Lockout/Tagout
- Machine Guarding
- Material Handling and Storage
- Personal Protective Equipment
- Working-Walking Surfaces

Industrial Hygiene Programs

- Asbestos
- Bloodborne Pathogens
- Hazard Communication: (Includes Safety Data Sheets system and procurement controls)
- Hearing Conservation
- Lead Compliance
- Respirable Crystalline Silica (RCS)
- Respiratory Protection

3.4.2 Safety Certification

Under the Department of Safety, the Office of Safety and Security Certification, per the *Safety and Security Certification Program* Plan (SSCPP), conducts a series of processes that review the safety and security readiness of Metro equipment and facilities for public use. The Office of Safety Certification and Engineering team proactively works with departments to identify projects that may require safety certification per the SSCPP at the earliest stages of the project to support the most effective certification process possible.

3.4.3 Environmental Risk Management

Metro seeks to establish environmentally-sound policies to guide its decisions, and to comply with applicable federal, state, and local environmental laws, standards, and regulations. These requirements apply to operational, industrial, maintenance, support, and construction activities. The *Environmental Management Policy and Manual Program* forms the foundation of the organization's environmental program, establishes environmental roles and responsibilities within Metro, and delineates responsibility for applicable environmental compliance requirements.

Environmental SOPs serve as a reference for daily operations concerning environmental compliance. These and other environmental management policies are available on Metro's intranet, including *Development of Design Criteria* (4730-3-01) and Metro's *Construction Safety Manual* (4600-2-01).

The subject matter experts in the Office of Environmental Management and Compliance draw on applicable regulation and industry best practices to administer Metro's Environmental Compliance Programs.

To support this effort, senior managers at each facility are assigned collateral duties as Environmental Compliance Officers and Deputy Environmental Compliance Officers by the department's senior management. These individuals undergo two-day Environmental Compliance Officer Training and are accountable for upholding applicable environmental regulations at the facility. The Department of Safety provides them with technical guidance and actively monitors regulatory compliance throughout the organization.

3.5 Corrective Action Plans

Metro uses corrective actions to address safety deficiencies, non-conformances, and findings identified through a variety of processes. Corrective actions are intended to address root causes, reduce safety risk, and improve safety performance.

Metro's Corrective and Preventive Actions Procedure (WMATA-SARE-1.11.03) establishes requirements for identifying, developing, implementing, and verifying corrective and preventive actions. Findings may arise from internal safety reviews, compliance audits, quality assessments, safety event investigations, regulatory oversight, or other safety performance monitoring activities described in Section 4.1.

The issuing organization (e.g., Quality, Safety, or an external oversight body) provides oversight of corrective actions, including review, approval, and verification. Responsible departments identify root causes and develop and implement corrective actions. Quality supports coordination, tracking, and reporting of corrective actions across the agency and facilitates communication with oversight bodies, as applicable.

Corrective actions are not complete until the issuing organization independently verifies that the action effectively addresses the root cause and likely prevents recurrence. For externally issued corrective actions, the oversight agency determines final closure.

Not all findings require a formal corrective action plan. Issues addressed through routine maintenance or immediate action are documented through existing controls but may not require formal tracking.

If a non-conformance presents an immediate safety risk, Metro may suspend affected work or operations until the condition is evaluated, and appropriate controls are implemented.

There are four (4) types of corrective action plans and/or mitigations at Metro:

1. **Corrective Action Plans (CAPs)** – External oversight entities, including the Washington Metrorail Safety Commission (WMSC), Federal Transit Administration (FTA), and National Transportation Safety Board (NTSB), may require Metro to develop corrective action plans (CAPs). Quality coordinates Metro's response to external findings and works with responsible departments to develop corrective actions and supporting documentation. Each oversight entity may establish specific processes, timelines, and documentation requirements.

   For WMSC findings applicable to Metrorail:

   - Metro submits a proposed CAP within thirty (30) days of the issuance of a WMSC finding or recommendation
   - The CAP proposal identifies the responsible department, required actions, and implementation schedule
   - WMSC reviews the CAP proposal within fourteen (14) days and either approves it or requests revisions
   - Metro submits revisions within fourteen (14) days, and the cycle continues until approval

   While CAPs are under development or review, Metro may implement interim mitigations to reduce safety risk and communicates those actions to WMSC, as required.

   After CAP approval, responsible departments implement corrective actions and provide evidence of completion. The issuing department verifies completion, and WMSC determines final closure.

   Quality supports coordination with CAP owners, tracks status, and maintains public reporting through Metro's Transparency site to promote accountability and continuous

improvement. As part of the CAP management process, Quality and WMSC meet at least quarterly to ensure a shared understanding of CAP status and progress.

2. **Internal Corrective and Preventive Action Plans (iCAPAs)** – Internal Corrective and Preventive Actions address findings identified in internal oversight activities such as safety reviews, compliance audits, and quality assessments. Responsible departments develop iCAPAs that identify root causes, define corrective or preventive actions, and establish implementation schedules. The issuing organization verifies completion based on evidence that the actions resolved the issue. iCAPAs support continuous improvement by identifying and addressing issues through internal monitoring.
3. **Recommended Corrective Actions (RCAs) –** Recommended Corrective Actions (RCAs) result from safety event investigations conducted by the Department of Safety. RCAs address root causes of safety events and reduce the likelihood of recurrence. They are documented in investigation reports and tracked through Metro's safety management systems. When applicable, Metro submits investigation reports and associated RCAs to oversight agencies in accordance with established requirements. When immediate action is required, Metro implements interim corrective actions and provides required notifications and documentation.
4. **Risk Mitigations** – Proactive risk mitigations are developed during the Safety Risk Management process described in Section 3.0 and are tracked and managed in the SRM database and monitored through the Metro Hazard Report. They address identified hazards and reduce risk to an acceptable level.

Every CAP requires coordination across relevant Metro departments to ensure all parties agree, to ensure successful implementation, and to avoid the introduction of unintended hazards.

4.0 Safety Assurance

The Safety Assurance component of Metro's SMS has been designed to meet the requirements established by the FTA and WMSC. In accordance with 49 Part 673.27 *Safety Assurance*, this section of the ASP includes:

4.1 Safety Performance Monitoring and Measurement
4.2 Management of Change
4.3 Continuous Improvement

To accurately track all safety reports from all sources, the Office of Safety Informatics & Solutions is coordinating with Operations, Infrastructure, and Digital Modernization to improve its Consolidated Data Warehouse. These improvements include integrating new data for centralized storing and updating the dashboard to accommodate several new data sources and KPIs. This effort will enable more comprehensive analysis, effective decision-making, and data transparency. The data is accessible based on Metro's internal access protocols and is refreshed from source data systems once per day.

Metro provides WMSC with the data collected by Metrorail when identifying hazards and assessing and mitigating safety risks. To date, Metro has developed access protocols and provided relevant data to WMSC through the consolidated dashboard for the following:

- Employee injuries
- NTD Reportable incidents (and injuries)
- Corrective actions from the Safety Investigation Process and AAR process
- Safety Hotline reports (deidentified)
- Inspection Program (OSO Inspection Process)
- Hazards identified through the SRM process and their associated mitigation plans

Additional data and/or reporting authority needs that may arise are processed as requested and, if applicable to Metrorail, will be provided as required in a timely manner to promote continued collaboration and compliance with our applicable regulatory obligations.

4.1 Safety Performance Monitoring and Measurement

4.1.1 Monitoring Operations and Maintenance Procedures

The Quality Management System Plan (QMSP) defines the structure, responsibilities, and documentation required to ensure Metro delivers safe and reliable service and meets enterprise performance objectives. It establishes the framework for monitoring compliance with and effectiveness of operational and maintenance procedures across departments, vendors, and projects.

The QMSP includes fifteen (15) core standards aligned with FTA Quality Management System guidance. Each organization develops a Quality Management Plan (QMP) that describes how it complies with these standards.

Each QMP:

- Defines operational processes and workflows
- Assigns roles and responsibilities
- Establishes inspection, testing requirements, and acceptance criteria
- Incorporates applicable regulations, industry standards, and internal policies

Quality monitors QMSP implementation and reports performance through executive dashboards and supporting metrics, including:

- Percentage of core standards implemented and verified

Additional metrics available to leadership include:

- Status of controlled documents
- Status of QMS standard implementation
- Completion rates for QMSP Computer-Based Training (CBT)

Departments that perform maintenance activities must develop and maintain maintenance control plans that define inspections, procedures, standards, testing, reporting, tools, and training requirements.

4.1.2 Monitoring of Operational Safety Risk Mitigations

Metro has multiple internal safety reviews to monitor compliance with its SMS as described in this ASP. These reviews are conducted pursuant to 49 CFR Sections 673.27(b)(1) & (2) and include the triennial internal safety review program, performance data tracking, and the Employee Voluntary Safety Reporting programs.

The agency's assessment of safety performance includes developing and carrying out a plan (or plans), under the direction of the Accountable Executive, to address safety deficiencies identified during a safety performance assessment (673.27(d)(4)). The Office of Safety Assurance in the Department of Safety confirms that these activities take place.

The Triennial Internal Safety Review Program

The Quality Department administers Metro's Triennial Internal Safety Review (ISR) Program in accordance with 49 CFR Part 673, the PTASP, and applicable State Safety Oversight requirements, including the WMSC Program Standard. This program evaluates the effectiveness of safety policies, procedures, and risk management practices and monitors compliance with applicable safety requirements and regulations.

ISRs are conducted at least once every three years for each element of the ASP. These reviews:

- Assess compliance with the ASP
- Evaluate safety-critical elements
- Identify deficiencies and gaps
- Identify opportunities for continuous improvement

When deficiencies are identified, responsible departments develop and implement corrective and preventive actions in accordance with established procedures.

Quality conducts ISRs in accordance with its Internal Safety Review Procedure (QICO-PRO-P01) and provides advance notification, scope, and review criteria for applicable Metrorail internal safety reviews to WMSC at least thirty (30) days before each review. By February 1 each year, Quality submits an Annual Safety Review Report to WMSC, covering the applicable Metrorail internal safety reviews, endorsed by the Accountable Executive. The report:

- Summarizes applicable ISRs completed during the prior calendar year
- Documents compliance determinations for each reviewed safety element
- Identifies corrective and preventive actions and their status
- Includes a certification of compliance letter with the PTASP signed by the General Manager
- For any areas of non-compliance, identifies actions underway to achieve compliance.

Quality reports ISR results and corrective action progress to the Executive Safety Committee (ESC) at least quarterly and escalates significant issues as needed.

Performance Data Tracking

The Department of Safety's Safety Informatics & Solutions team works with the SRCs to determine how the effectiveness of risk mitigations will be measured. Each risk has KPIs that inform whether

mitigations are working as intended or if additional action needs to be taken. At a minimum, Department of Safety holds a monthly meeting with SRCs where lessons learned from Safety Risk Management implementation are discussed which include but are not limited to determining KPIs, safety target setting, and interpreting changes in KPI performance.

Employee Voluntary Safety Reporting Programs

Each department and functional area within Metro is obligated to monitor employee reporting, act on reports, and update employees on progress. This is accomplished through the activities of the SRCs and DSCs. To support this process, Safety Assurance developed a dashboard of safety report data to enhance information sharing, communication, and data analysis. Safety Assurance will continue to improve use of dashboard tools to deepen agency-wide collaboration.

EVPs receive monthly reports on the safety reports for their area through the Metro Hazard Report, safety committees, and discussions at the Executive Safety Committee (ESC), or other means of their preference. Additionally, summaries of employee reporting will be made accessible to all departments and areas for their reference and analysis.

The Department of Safety conducts monthly assessments of the Safety Hotline and any reports received directly by the Office of Inspector General (OIG). However, if the OIG's information pertains to an ongoing Department of Safety investigation or if anonymity is specifically requested, it will be handled separately. The OIG will provide reports on any such investigations at the Board's direction.

Safety Oversight Inspections

The Department of Safety conducts regular oversight inspections of the operations and maintenance activities of Metrorail, Metrobus, MetroAccess, and their supporting maintenance groups. These inspections support Metro's compliance with 49 Section CFR 673.27(b), including:

- Monitoring operations and maintenance activities for compliance with, and sufficiency of, the agency's procedures for operations and maintenance. (673.27(b)(1))
- Monitoring safety risk mitigations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended; (673.27(b)(2))
- Inspecting and validating information reported through any internal safety reporting programs. (673.27(b)(4))

Internal Safety Reviews and data from other quality review activities in Section 4.1.1 may be used to inform and prioritize Safety Oversight activities.

WMSC Risk Based Inspection Program

In accordance with the WMSC Program Standard Section 6: *Inspections*, WMSC may conduct announced and unannounced inspections of Metrorail areas over which the WMSC has applicable jurisdiction, which may include Metrorail system locations, equipment, records, documents, or other area, regardless of storage format or security classification.

For access to applicable Metrorail locations and systems, the WMSC shall provide the Metro WMSC Contracting Officer Technical Representative (COTR) with a list of personnel that require a Metro OneBadge and Metro-issued laptop. The COTR shall work with the Metro Office of Security and Infrastructure Protection and the Department of Digital Modernization to provide badges and laptops.

4.1.3 Monitoring the Sufficiency of Safety Procedures for Operations and Maintenance

The Office of Operating Practices maintains the Metrorail Operating Rulebook (MOR) and facilitates updates to its contents as needed through the Rail Safety Standards Committee (RSSC). The RSSC is a collaborative effort between senior leadership for the departments responsible for

Metrorail operations and supporting functions. The process for requesting and implementing rule changes through the RSSC is established through *Rail Safety Standards Program Plan*.
In 2025, the Office of Operating Practices established a Bus Safety Standards Committee which will apply these practices to rule changes concerning bus operations.

4.1.4 Monitoring Mitigation Effectiveness

4112-3-01 *Mitigation Monitoring* defines Metro's process for monitoring existing safety risk mitigations and evaluating them for their effectiveness. This process tracks mitigations implemented in response to FTA's General Directive 24-1 related to assaults on transit workers, as well as any new mitigations established to address the safety risk associated with assaults on transit workers. Metro has developed training which will be provided to all personnel responsible for implementing this monitoring. The Safety Assurance team will conduct this review and produce periodic summary reports of the results of monitoring, including an assessment of the estimated effectiveness of prescribed mitigations.

4.1.5 Safety Investigations

Metro must report all safety events, as required by the FTA, and applicable Metrorail safety events to the WMSC. If a Metrorail event qualifies as FTA-reportable, Metro must notify the WMSC and FTA within two hours. The WMSC Program Standard outlines the reporting process, while the FTA is notified through the USDOT Transportation Operations Center via email at TOC-01@dot.gov (primary) or by phone at (202) 366-1863 (secondary).

The document, *Department of Safety Investigation Procedures*, 4131-3-01, provides detailed instructions on notification and reporting for Rail, Bus, and MetroAccess safety events. It sets the investigation process, including the notification and investigation steps, timelines, milestones, expected reporting outcomes, and how Metro works with the WMSC concerning applicable Metrorail safety event investigations. The Investigation Report evaluates the contributing factors and root causes and applies the Just Culture Flowchart to analyze the choices of the individuals involved. Corrective actions are developed by the Department of Safety investigating entity along with the operational department in accordance with SOP SARE-QUALITY-1.11 *Corrective Action and Preventive Action Procedure*. These actions are electronically tracked using the Safety Universal Data System and monitored to completion.

If WMSC leads their own investigation over applicable Metrorail safety events, Metro provides the WMSC with the resources and information necessary to conduct the investigation in an effective manner on a timeline set by them. WMSC investigators determine whether CAPs are required to address the root and contributing causes of the safety event. At the conclusion of the investigation, the WMSC provides a draft report to Metro. The Department of Safety convenes a working group of applicable departments to review and comment on the report. Metro submits comments to the WMSC within 15 days of receipt of the report.

The Office of Safety Investigations collaborates with the Safety Risk Coordinators, or another accountable personnel in the respective department, to track the completion of Recommended Corrective Actions as they relate to hazards identified in an investigation. The Office of Safety Investigations attends the monthly SRC meetings to support continual follow-up on the implementation of RCAs and distributes a quarterly report to the accountable personnel that details open RCAs for their department.

4.1.6 Information Monitoring

Metro departments and functional areas are each responsible for working with the Department of Safety to identify, collect and analyze the data required to measure the effectiveness of the actions they take to mitigate safety risks. This information will be used for three purposes:

1. All departments and functional areas establish and achieve performance targets related to their daily operations.
2. System-wide performance measures are being met.
3. All departments and functional areas are aware of trends, hazards, and safety performance in all other departments.

Sources of data include, but are not limited to:

- Employee voluntary reporting systems and Safety Committee activities
- Supervisory reports, such as field reports and observations
- Inspections and audits, such as preventive maintenance, procedural compliance activities, and quality control activities
- WMSC inspections, audits, or data resulting from other WMSC oversight activities
- Qualitative Performance results from drills, exercises and actual emergency events
- Quantitative performance results, data collected and reported to NTD, key performance indicators
- Customer and public comments, complaints, recommendations, injury reports, survey results, etc.
- Safety Event Investigations (hazards, collisions, derailments, security, etc.)
- Planning and scheduling data collection
- Feedback on Safety Promotion activities (job briefings, awareness campaigns, departmental meetings)
- Safety and security certification, system modification and procurement activities
- Drug and alcohol compliance programs
- Training and training QA activities
- Transit asset management activities

All departments are expected to actively monitor their operations, both directly through field observations and indirectly through data collection. Additionally, they are responsible for gathering voluntary data and information through the employee safety reporting program. These help to promptly identify potential hazards and facilitate data collection from various activities, facilitating trend analysis and enabling the prevention of future or recurring adverse consequences.

Safety's SOP 4132-4-02, *Data Collection for National Transit Database Reportable Events*, outlines how safety data is managed. To effectively address deficiencies and lapses in terms of risk and resource allocation across the entire system, EVPs are expected to be well-versed in safety-related data and performance information. They draw on this knowledge to address issues during ESC meetings and take necessary actions to mitigate risks and allocate resources effectively.

WMSC Data Access

In accordance with WMSC Program Standard Section 1, Parts B & E, Metro provides access to applicable Metrorail System electronic systems. WMSC will consult Metro in determining the most effective form of access to the Metrorail System's electronic systems. Metro will ensure that WMSC has immediate and unimpeded access to all Metrorail systems, as required by applicable law and policy.

4.1.7 Maturation of Data-Driven Safety Decision Making

The Offices of Safety Risk Management and Safety Assurance are partnering on a project to systematically integrate a data-driven approach to safety by improving data availability and establishing standard procedures for determining when data suggests a hazard is present. The project intends to identify relevant safety data sources, centralize data into one dashboard allowing comprehensive analysis, and establish thresholds for when trends in the resultant data require a response. Ultimately, this initiative will result in a unified data dashboard, standardized

analysis, written procedure establishing methods for identifying data gaps and defining thresholds for action, and a procedure for digital communication conveying the results of this analysis.

4.2 Management of Change

Guided by Metro's QMSP and Safety Risk Management and Safety Assurance processes, each department establishes controls for design, documentation, purchasing, and process and for capturing and approving changes and modifications. Each department and functional area must, both proactively and through its safety assurance activities, ensure it identifies all change, evaluates it appropriately, and implements mitigations so that risk is managed to acceptable levels during and after the change. No operations may take place in the changed environment until the change is evaluated to determine the impact on safety and if there is increased safety risk, the risk must be mitigated to an acceptable level.

Several departments and functional areas have recognized the importance of Change Control Boards to effectively document and review technological and service changes. As the associated documentation undergoes regular reviews as required by the department's QMP, the appropriate Safety Risk Management methodology is incorporated into the Boards' processes and decision-making criteria. Some of these documents are listed in the table below:

Department	Document
Digital Modernization	• Quality Management Standards – Process Support SOP, DM.DMEA.SOP.CCB 9001:2015
Infrastructure	• Infrastructure Configuration Control Management, P/I 4.10 • Engineering Modification Instruction (EMI), SOP 114-02
Bus Maintenance and Engineering	• Bus Change Control Board (BCCB), BUSV-BMNT-SOP-3.08-10
Rail Vehicle Program Services	• Preparing, Processing and Approvals of Engineering Modification Instructions, SOP 202.01 • Preparing, Processing and Approvals of Engineering Change Notice, SOP 202.08
Communications & Signaling	• Systems Configuration Management Plan, SOP ATC-4000

4.3 Continuous Improvement

Continuous Improvement is the process by which Metro examines its safety performance to identify safety deficiencies and carries out a plan to address them. It consists of formal activities designed to evaluate the effectiveness of the SMS in accordance with Section 4.1.2 *Monitoring of Operational Safety Risk Mitigations* and QICO-PRO-P01 *Quality Internal Safety Review Procedure.* The key objectives of Continuous Improvement are as follows:

- Proactively identify sub-standard safety performance
- Reveal the causes of sub-standard performance within the SMS
- Determine the implications of sub-standard performance of the SMS in operations and maintenance
- Eliminate or mitigate such causes

This process encompasses various critical elements, including the management of activities through the Safety Risk Management process, effective change management, compliance with

relevant procedures, and conducting audits. Internal controls play a significant role in this process, with annual performance evaluations conducted before the revision process of the ASP begins. This enables performance measures, departmental targets, and safety objectives to be aligned with areas requiring improvement. Once deficiencies within the SMS are identified, corrective actions plans are developed and implemented.

4.3.1 Rail Modernization Program

Metro is advancing continuous improvement through its Rail Modernization Program, which plans to modernize Metro's signaling systems to Communications Based Train Control and introduce platform screen doors to enable further automation of the Red Line. These efforts are supported by risk-based decision-making which has identified benefits in reducing the risks faced by passengers on the platform, reducing trespassing, reducing the risk to transit workers from entering the roadway to handle maintenance of signaling equipment on the wayside, and allowing more targeted roadway worker protection procedures. Metro plans to procure the services of an Independent Safety Assessor to support safety certification efforts under the program.

4.3.2 Annual Safety Performance Assessment

The Office of Safety Risk Management coordinates with the Office of Performance, Benchmarking & Customer Research and the Office of Safety Informatics and Solutions to conduct an Annual Safety Performance Assessment, which includes a process for identifying, documenting, and addressing any deficiencies in Metro's SMS. The Office of Safety Informatics and Solutions will draft a quantitative analysis of performance against established metrics over the fiscal year, following the process in 4171-3-02 *Annual Safety Performance Assessment*. The Office of Safety Risk Management will build on that analysis to develop the Annual Safety Performance Assessment which includes a summary of all the SMS deficiencies identified in Internal Safety Reviews conducted in the past 12 months (described in more detail in Section 4.1.2).

The draft Assessment will be presented to JLMSC so they can identify any further SMS deficiencies, including any instance where Metro has failed to meet a Risk Reduction Program performance target. The Office of Safety Risk Management will incorporate JLMSC feedback to finalize its Annual Safety Performance Assessment report and address any deficiencies identified in the assessment.

5.0 Safety Promotion

The goal of Safety Promotion is to shape and reinforce the safety culture required to ensure the long-term, sustained effectiveness of SMS. The Safety Promotion component of Metro's SMS has been designed to meet the requirements established by the FTA and WMSC, where applicable. In accordance with 49 CFR Section 673.29, Safety Promotion incudes:

5.1 Competencies and Training

5.2 Just Culture Pilot Program

5.3 Safety Culture Assessment

5.4 Communication of Safety Risks

5.5 Safety Communication Methods

Additionally, the Safety Promotion segment of the SMS roadmap includes key programmatic milestones that have been prioritized to advance SMS development and implementation:

- Deliver and reinforce SMS training to the workforce
- Design and execute enhanced recognition program
- Implement Safety Culture Re-Assessment
- Develop Employee Stress Management Plan for Critical Incidents
- Launch modernization of RWP training

5.1 Competencies and Training

Instruction in safe methods of operation and safety procedures is included in manuals, handbooks, and other documentation developed for the training and certification of operations and maintenance personnel. Each department has developed training systems that include in-house classroom training, on-the-job training, equipment safety training, and testing. Each department is responsible for establishing safety-training requirements in conjunction with the Department of Safety. The Department of Safety provides occupational safety, industrial hygiene, emergency preparedness, event response, and environmental safety training at a variety of Metro facilities.

Managers are required to review training records periodically to ensure personnel comply with training and certification requirements. Personnel have the responsibility to maintain a general awareness of the training associated with their position and overall understanding of their completion status. The Department of Safety evaluates departmental safety training programs and provides technical expertise and oversight as necessary. Identification of protective devices and emergency equipment is included in the training documentation and instruction.

Additionally, safety bulletins, notices, posters, and signage are used as appropriate to enhance safety awareness during all phases of system operations. Proficiency demonstrations and certifications are required of all operations and maintenance personnel. A comprehensive listing of safety-related classes may be found in Appendix E – Safety-Related Training by Group.

5.1.1 Employee Safety Training

Metro continuously improves its comprehensive staff training program for operations and maintenance personnel. Operations adheres to this training program in accordance with OPMS-001-11 OPMS *Standard Operating Procedures* and BTRA-BTRN-MAN01-00 *BUS Training Standard Operating Procedures*.

Safety training is overseen by the Department of Safety and Readiness and implemented by the Departments of Safety and Technical Training and Development, as well as front-line departments. Each department is responsible for establishing training requirements and assuring that the necessary training is accomplished. The following key courses are provided:

- **De-escalation training** – designed to reduce verbal confrontations and physical altercations, is administered by MTPD. All operations and maintenance personnel, as well as any other personnel directly responsible for safety, are required to complete de-escalation training as part of the comprehensive training program. Metro is developing an implementation plan defining required audience, completion timelines, training development and delivery, tracking and reporting, and performance targets.
- **New Employee Onboarding** – Safety conducts onboarding for all new Metro employees to inform them of the agency's current safety programs and procedures (e.g., safety reporting and emergency response awareness). This program includes the *Introduction to Metro's Safety Management System and How to Report Hazards* training and meets the requirements of 49 C.F.R 673 and is mandatory for all Metro employees.
- **First Aid and Cardiopulmonary Resuscitation (CPR) Training** – First Aid, CPR and Automatic External Defibrillator (AED) training is provided to Rail Supervisors, Station Managers, Power employees, and other employees, as required by class specification. CPR training is planned to begin for Bus Operators and Rail Operators in Quarter 4, FY 2026, and continue into FY 2027 and 2028. MTPD personnel receive this training at the Police Training Academy and refresher training during mandatory in-service retraining. There are classes open to all Metro personnel as well. The American Safety & Health Institute or other nationally accredited courses and instruction methodologies are used for First Aid, CPR, and AED training.
- **Special Safety Presentations** – Special safety training presentations are provided at work locations by front-line departments to instruct employees on methods to help prevent traffic, passenger, and employee accidents.
- **Safety Related Operations and Maintenance Training** – Safety training is embedded in the technical and operations training courses delivered by Technical Training and Development to categories of personnel including, but not limited to, train operators, bus operators, non-revenue (service) vehicle and equipment operators, maintenance of way personnel, rail car maintenance personnel, MICC personnel, engineering personnel, bus maintenance personnel, and MTPD officers.
- **SMS Training** – SMS training for managers and supervisors has been replaced with a single updated training for all staff and contractors. It covers the elements of Safety Management Systems including: the four components of SMS; safety event reporting and investigations; safety reporting; a Metro Hazard Report overview; and an overview of the Safety Risk Coordinators' role. Employees will learn to distinguish between hazards and risks, identify safety-critical items, and understand the actions needed to prevent incidents before they occur. Launched in February 2026, this training is required every two years.

5.1.2 Safety Rules and Procedures Training

Metro personnel are trained to perform their work in accordance with the safety rules and procedures applicable to their office. The Department of Technical Training and Development provides job familiarization training to technical skills personnel, which includes an overview of basic job safety and applicable rules.

Roadway Worker Protection Training

As of April 2026, Metro has launched its new Roadway Worker Protection (RWP) training program to promote worker safety, enhance worker skills, and align with applicable regulatory requirements. The redesign emphasizes an interactive training program, including experience in scenario-based training and in a representative field setting. Personnel are trained to identify the hazards inherent with roadway work, as well as the mitigations applied to prevent associated risks. This approach

emphasizes hands-on training and immersive scenarios to allow workers to actively engage in practical learning, make informed decisions, and assess risks in a controlled environment. The program includes three levels of training (A, B, and C) with differing degrees of detail; each roadway worker must complete one of these levels of training depending on their job duties. In addition, a computer-based training on roadway safety is available to all transit workers.

Incident Response / Emergency Preparedness Training

Front-line employees are provided training on the National Incident Management System through FEMA's National Incident Management System (NIMS) Independent Study (IS) 100 and IS 700 online courses. Employees who routinely interact with the public and could be a part of or discover an emergency situation are trained as Metro Incident Initial Responders (MIR) under the Incident Management Framework (IMF) program. Other personnel who could assume an incident command role within the Authority during an emergency are provided Metro WMATA Incident Commander (MWIC) training as part of the Incident Management Framework (IMF). This training includes both a didactic and live practical incident command simulation training in both single and unified commands. MTPD officers who are Lieutenants or above, as well as Office of Emergency Preparedness Response & Recovery Coordination staff, receive advanced incident command training for larger incidents.

Personnel from local jurisdictional law enforcement, fire departments and transportation federal agencies and departments are provided training in their role of managing traffic and pedestrian flow, roadway safety, access, and various rescue situations, as well as in working with Metro in a Unified Command during a safety event.

Metro's Employee Assistance Program (EAP) has developed a Human Emergency Support Protocol to organize support for personnel involved in an on-site significant traumatic event (any accident or incident that results in a fatality, loss of limb, or similarly serious bodily injury at work). The protocol defines the response protocol for a traumatic incident, the timing of service delivery, and discusses the services that may be made available. Services that EAP counselors may provide include departmental briefing about the traumatic event and normal psychological responses to such an event, small group debriefings on the incident, one-on-one counseling, defusing immediate concerns the day of the incident, and grief debriefing.

Additional Safety Training

Additional Safety training is provided as required by applicable environmental, health, and safety regulations and department training matrixes or SOPs. The full list of safety-related trainings is available in Appendix E.

5.1.3 Contractor Safety

Contractors are responsible for ensuring compliance with the U.S. Department of Labor Occupational Safety and Health Administration standards, Metro current policy requirements, and applicable Occupational Safety and Health statutes and regulations of the District of Columbia, State of Maryland, Commonwealth of Virginia, or political subdivision thereof in which the work is being performed.

Contractors must submit to Metro Project Management all required safety training certifications and relevant safety documentation pertinent to the work to be performed under the contract, to be reviewed and approved by the Department of Safety before the commencement of work. Operations Safety Oversight Safety Specialists perform regular safety inspections and audits of contractor work sites to assess contractor compliance. Following their inspection, Safety Specialists prepare an inspection report documenting deficiencies identified during the inspection. This report is transmitted but limited to the contractor and metro project management personnel associated with the project. Deficiencies noted are tracked in the Safety Inspection Application and

Safety Specialists work with contractor personnel to resolve them. Data from these inspections may be monitored for trends by the Office of Operations Safety Oversight and hazards are recorded, mitigated, and monitored when appropriate.

Contractors who perform track work including maintenance, repairs, and inspections are required by contract to verify that supervisors and assigned employees attend RWP training when applicable. The contractor must, within five (5) days after receipt of Notice to Proceed, submit through Metro's COTR or their delegate to the Department of Safety, a request to schedule and conduct Roadway Worker Protection (RWP) training for all contract personnel who will be engaged in the performance of contract work on or above the roadway.

Contractors are subject to the same RWP training and qualification requirements as Metro employees. The contractor must not perform work at the contract site(s) on or above the Roadway, until all personnel of the contract workforce are RWP trained and qualified. The contractor must also follow all applicable rules and procedures while working in the operating rail system. Additional contractor requirements may be found in the Construction Safety Manual located on the Department of Safety MetroDocs site.

5.1.4 Training Recordkeeping

Training records are maintained in an Enterprise Learning Management (ELM) system that is available to all supervisors and personnel. The course owners (i.e., those giving the course) are responsible for updating and maintaining their training rosters in this database.

5.1.5 Compliance with Training Requirements

Training requirements for each position and personnel are included in ELM. Audits can be performed using the database to review training records of individual personnel to determine compliance with training requirements. Per the QMSP, each department head or their designee's responsibility is to develop and maintain a required training matrix for each position and personnel within their department and to verify that the matrix is updated and maintained. Periodic notifications are sent to supervisors if required courses are not completed within the required period.

5.1.6 SMS-Specific Training Requirements

Metro has identified the following SMS training for personnel:

- Individuals directly responsible for safety must meet the requirements of 49 CFR Part 672, the *Public Transportation Safety Certification Training Program* (PTSCTP), including a 2-year refresher training interval. These individuals are those whose primary job function includes the development, implementation, and review of the ASP, 49 CFR Part 672 requirements, or WMSC requirements. This group includes the EVP/CSRO, SVP/ACSO, Senior Director of Safety Assurance, Senior Director of Safety Risk Management, Director of Safety Certification and Engineering, Director of Regulatory Compliance, Director of Safety Policy and Promotion, Director of Performance Improvement, Director of Safety Investigations, and the VP of Quality Assurance, Internal Compliance and Oversight.
- SRCs are present at the facility and departmental level and are designated to support the Accountable Executive and CSRO in implementing this ASP. These individuals are identified in Appendix E by job title. Recommended training for SRCs includes a one-hour course on SMS Awareness (FTA/TSI e-Learning); two-hour course on SMS Safety Assurance (FTA/TSI instructor-led Virtual Live Training) and a 20-hour course on SMS Principles for Transit (FTA/TSI, instructor-led). The one-hour course on SMS Awareness (FTA/TSI e-Learning) must

be completed within 12 months of designation or hire. Instructor-led training is contingent upon class availability by TSI. The Safety Risk Management team offers initial trainings for newly hired SRCs on principles of SMS, Metro's safety risk management processes, and Safety Committee facilitation. These trainings are archived and available as guidance on the SRC Hub, an SRC resource page on the Department of Safety's Metroweb site. SRCs receive hands-on coaching and mentorship from the Department of Safety's Safety Risk Management Team.

- Metro has developed a unified SMS training for all personnel, and contractors, which rolled out in February 2026. Refresher training is required every two years. The content of this training includes:
  - Overview of the four components of SMS
  - Safety Event Reporting and Investigations
  - Close Call and Employee Safety Reporting
  - Metro Hazard Report Access and Usage
  - SRCs and Submitting Risks
  - Distinction between hazards and risks
  - Identification of safety-critical items
  - Overview of the actions needed to prevent incidents before they occur
- Personnel conducting triennial Internal Safety Review are required to complete the following trainings:
    - One hour course on SMS Awareness (FTA/TSI e-Learning), which must be completed within 12 months of designation or hire
    - Two hour course on Safety Assurance (FTA/TSI instructor-led Virtual Live Training)
    - 20-hour course on SMS Principles for Transit (FTA/TSI, instructor-led)

5.2 Just Culture Pilot Program

Metro deployed a Department of Safety Just Culture Pilot Program to embed safety values into the performance management and review cycle. The pilot involves collaborating with stakeholders across the Department of Safety to aligning Department and Agency-wide policies with Just Culture principles in order to create a fair and balanced approach to accountability and foster a proactive safety culture. Ultimately, this program is designed to reinforce that safety is designed to be non-punitive, and to foster open and honest safety conversations.

Other activities include working closely with the Department of Safety and Readiness to identify opportunities to incorporate safety-related training, discussions, and simulations into the existing leadership development programs to reinforce a proactive safety culture. This initiative includes incorporating reporting culture principles in the nomination process, as well as training modules that emphasize the importance of effective safety communication and decision-making in leadership roles.

5.3 Safety Culture Assessment

Metro is dedicated to creating a robust and proactive safety culture, using data collection and trend analysis to identify areas for improvement. Those results inform improvements to SMS implementation across the organization.

Metro has conducted two agency-wide surveys on employees' opinion of the organization's safety culture, one in 2022 and one in 2025. The reassessment survey found broad improvement across its measurement areas, and identified the following strengths:

- Employees have the information and training to do their jobs safely
- Immediate supervisors build trust and listen to safety concerns

- Metro strengthened its Just Culture, improving people's comfort reporting concerns
- Safety is recognized as a shared priority

The Department of Safety is currently implementing several mitigations to address two areas for improvement identified in the study:

- Increase recognition for safety behaviors
    - Enhanced Safety Recognition Program to recognize a broader range of safety behaviors, offer varied forms of recognition, and incorporate peer recognition
    - Reinstate past recognition practices valued by employees
    - Widely publicize the Safety Recognition Program
    - Establish metrics to assess program effectiveness and program usage
- Provide timely feedback on safety reports
    - Enhance Voluntary Safety Reporting program with:
        - Procedure for the SRC/department to confirm mitigation implementation and close a ticket
        - Monthly procedure to verify submitter satisfaction with the resolution of safety concerns
        - Procedure for SRC/department to inform employees of open safety issues affecting their job responsibilities
    - Enhance the Metro Hazard Report to show all report concerns and incidents
    - Set standard timelines for updates at each step of the review process
    - Apply clear criteria to prioritize safety concerns
    - Share success stories for safety improvements resulting from reports

Metro will consider other mitigations proposed in the survey as it addresses further areas for improvement and continues the maturation of its safety culture.

5.4 Communication of Safety Risks

The Safety Risk Management activities to identify, mitigate, and track risks would serve little purpose if they were not effectively communicated to Metro personnel. Promotional activities are embedded into the Voluntary Safety Reporting Program, SRC's role, and Safety Committees.

The Metro Hazard Report is the main vehicle for consolidating and communicating safety hazard and risk information across Metro. Once a risk has been entered into the SRM database by departmental SRCs, it reflects on the Metro Hazard Report, where front-line personnel can see identified hazards and the number of mitigations being implemented to address them. FSCs and DSCs utilize the Metro Hazard Report to track mitigations and identify those that need additional attention and effort. The ESC utilizes the Metro Hazard Report to monitor the overall Metro Risk Profile. In addition, the ESC monitors past due mitigations and changes in risk ratings to identify where additional resources and funding need to be allocated.

5.5 Safety Communication

Effective safety communication is foundational to SMS. Its purposes are to:

- Ensure that personnel are aware of the SMS
- Promote awareness on how to identify hazards and how to report safety concerns
- Convey safety-critical information
- Explain why particular safety actions are taken
- Explain why safety procedures are introduced or changed
- Provide feedback and updates on employee-reported hazards and safety concerns

The primary safety communication responsibility of the senior executive team at Metro is to actively communicate the Safety Management Policy to employees and contractors. Any changes

to the Safety Management Policy must be approved and distributed by the senior executive team to employees. This is primarily implemented through the committee process, but every executive is also required to visibly endorse the Safety Management Policy to employees in the area they control.

5.5.1 Communication Media and Methods

Safety communication is organized into a hierarchy of media, ranging from primary to tertiary, each of which corresponds to different audiences and specific communication methods. The department's primary medium is email, its secondary medium is virtual and in-person meetings, and its tertiary medium is printed and digital materials.

Email

Email is the distribution channel for Safety Alerts, Safety Bulletins, ad hoc agency-wide correspondence on performance trends and targets, and other safety initiatives. As the primary medium for communication, it is the most common and widely used of the communication hierarchy.

Virtual and In-Person Meetings

This medium includes committee meetings, Toolbox Talks, Safety Briefings, and other safety interactions. Safety communication via committee meetings includes regular presentations and recorded minutes of Department Safety Committees, Facility Safety Committees, the Joint Labor-Management Safety Committee, and the Executive Safety Committee, in addition to Board of Directors public meeting presentations. The Department of Safety partners with Operations and Infrastructure to share information (such as Safety Bulletins, Safety Alerts, Operating Practices Advisories, etc.) to use as part of Toolbox Talks, Safety Briefings, Safety stand-downs, manager/supervisor interactions, and daily meetings. In addition, performance is presented in the annual "State of Safety" webinar held each year by Safety leadership and reinforced by department-specific Safety Risk Coordinators.

Printed and Digital Materials

This medium includes digital signage and posters, physical signage and posters displayed in public, and postcards distributed to staff. The Department of Safety partners with the Department of Customer Engagement and Experience to integrate safety messaging into corporate communications and initiatives. The Department also has a dedicated section for promoting active safety campaigns in Metro's biweekly staff newsletter, MetroVoices Wire, and participates in corporate and department-level promotional awareness campaigns. Finally, the department produces agency-wide data dashboards accessible to all employees.

5.5.2 Enhanced Recognition Program

Metro continues to emphasize leadership commitment to improving safety performance and safety culture through the comprehensive Enhanced Recognition Program, which acknowledges and appreciates employees who consistently demonstrate exemplary safety practices. Metro aims to motivate employees to prioritize safety in their daily work activities and contribute to a safer work environment for everyone through the reinforcement of a positive safety culture. This proactive and regular reinforcement of how to identify and mitigate hazards through reporting supports a Just Culture and increases awareness of safe organizational practices.

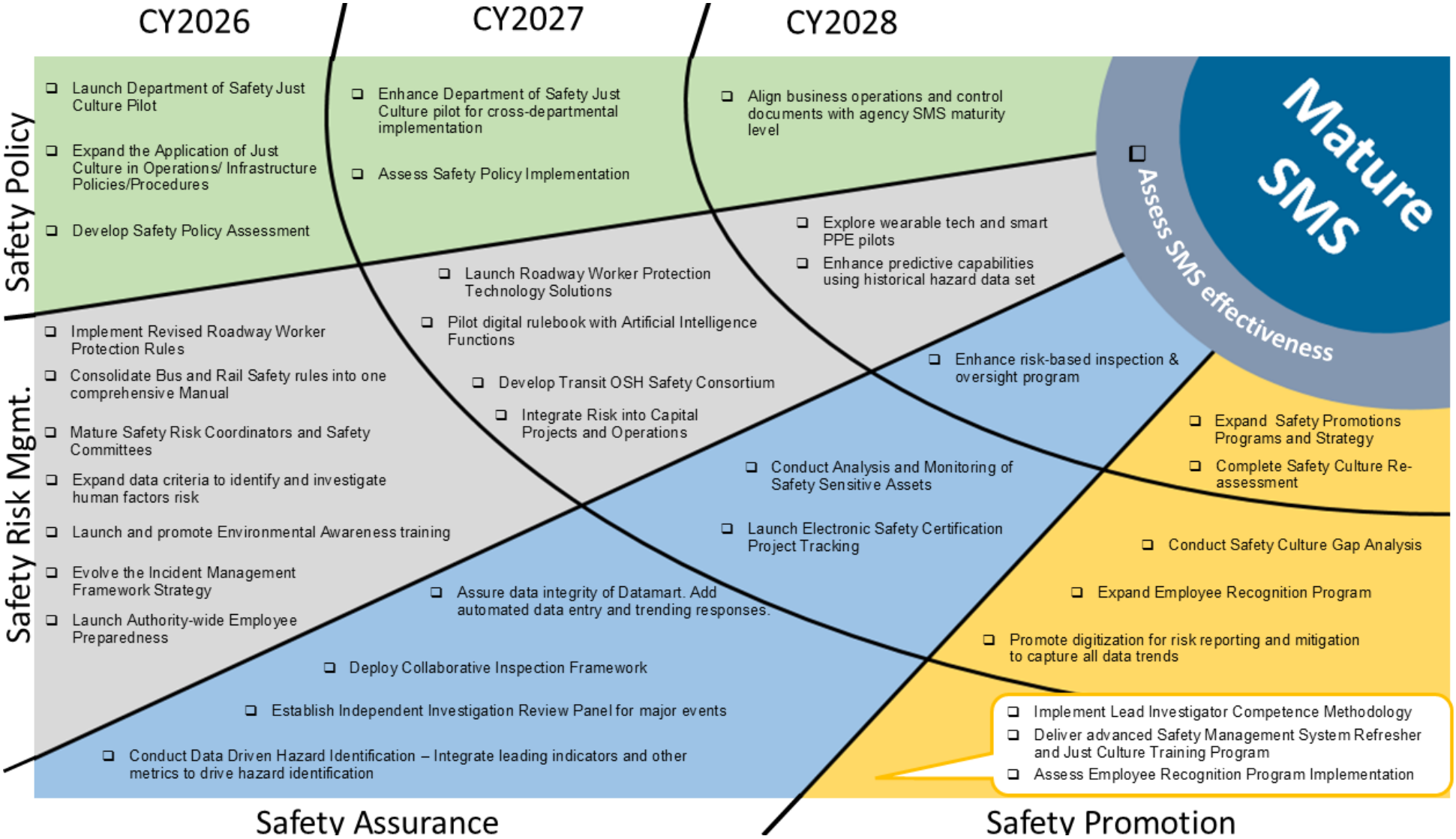
6.0 Documentation

In accordance with 49 CFR Section 673.31, Metro retains all documentation associated with the development and implementation of its SMS for a minimum of three years. The governance standard of Metro's controlled documents is established by P/I 1.1 *Document Governance and Hierarchy* and the QMSP; the Department of Safety has identified the procedures and location of SMS documentation in its Document Control Procedure – 0010-3-01 and its Record Retention Process – 0020-3-01. This ASP and key SMS documentation are made available to all Metro personnel on its intranet through the *MetroDocs* site on *Metroweb.*

All the documentation referenced in the ASP is considered SMS documentation and has been provided to the WMSC as part of the ASP annual review and as requested. In accordance with WMSC's Program Standard:

- Not less frequently than every three months, Metro issues a notification to all Metro officials, employees, consultants, and contractors directing all such personnel to cooperate and respond immediately to requests made by WMSC personnel and to promptly provide any requested information pertaining to WMSC's Metrorail safety oversight directly to the WMSC.
- Metro includes this notification as part of every new employee on-boarding. For contractors, Metro includes this notification to the contractor in each authorization to begin work.
- In addition, Metro must not retaliate against any official, employee, consultant, or contractor who interacts with the WMSC. Metro may not proscribe or otherwise discourage communication, cooperation, or the sharing of information with the WMSC. This is also conveyed in the notification.
- Metro will also cooperate and respond immediately to provide information to Federal entities (DOT, FTA, NTSB, etc.) upon request, as required by applicable law and policy.

Appendix A – SMS Strategic Roadmap



Appendix B – Definitions

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a transit agency; responsibility for carrying out the transit agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the transit agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

As Low as Reasonably Practicable (referred to as ALARP) means a safety management principle requiring that risks be mitigated until the cost, time, or effort of further reduction is disproportionate to the benefit gained. It focuses on balancing risk severity against the practicality of control measures, rather than just eliminating all hazards.

Assault on a transit worker means, as defined under 49 U.S.C. 5302, a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.

Administrator means the Federal Transit Administrator or the Administrator's designee.

CDC means the Centers for Disease Control and Prevention of the United States Department of Health and Human Services

Chief Safety Officer means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

Corrective action plan means a plan developed across the agency that describes the actions the Rail Transit Agency will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require a Rail Transit Agency to develop and carry out a corrective action plan.

Direct recipient means an entity that receives Federal financial assistance directly from the Federal Transit Administration

Corrective action plan means a plan developed across the agency that describes the actions the Rail Transit Agency will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require a Rail Transit Agency to develop and carry out a corrective action plan.

Emergency means, as defined under 49 U.S.C. 5324, a natural disaster affecting a wide area (such as a flood, hurricane, tidal wave, earthquake, severe storm, or landslide) or a catastrophic failure from any external cause, as a result of which the Governor of a State has declared an emergency and the Secretary has concurred; or the President has declared a major disaster under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170)

Equivalent entity means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

FTA means the Federal Transit Administration, an operating administration within the United States Department of Transportation.

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Injury means any harm to persons as a result of an event that requires immediate medical attention away from the scene.

Investigation means the process of determining the causal and contributing factors of a safety event-or hazard, for the purpose of preventing recurrence and mitigating safety risk.

Joint labor-management process means a formal approach to discuss topics affecting transit workers and the public transportation system.

Just Culture means a shared culture of accountability and awareness for systems to ensure all respond and behave in a manner that is fair and just to all personnel.

Large urbanized area provider means a recipient or subrecipient of financial assistance under 49 U.S.C. 5307 that serves an urban area with a population of 200,000 or more as determined by the most recent decennial Census.

National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53

Near-miss means a narrowly avoided safety event such as an incident where no property was damaged and no personal injury was sustained but, where given a slight shift in time or position, damage and / or injury easily could have occurred.

Operator of a public transportation system means a provider of public transportation.

Performance Measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Person means a passenger, employee, contractor, consultant, pedestrian, trespasser, or any individual on the property of a rail fixed guideway public transportation system.

Potential consequence means the effect of a hazard.

Public transportation means, as defined under 49 U.S.C. 5302, regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and does not include:

(1) Intercity passenger rail transportation provided by the entity described in 49 U.S.C chapter 243 (or successor to such entity);

(2) Intercity bus service;

(3) Charter bus service;

(4) School bus service;

(5) Sightseeing service;

(6) Courtesy shuttle service for patrons of one or more specific establishments; or

(7) Intra-terminal or intra-facility shuttle services.

Public Transportation Agency Safety Plan means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

Public Transportation Safety Certification Training Program means either the certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established through interim provisions in accordance with 49 U.S.C. 5329(c)(2), or the program authorized by 49 U.S.C. 5329(c)(1).

Rail Fixed Guideway Public Transportation System (RFGPTS) means any fixed guideway system, or any such system in engineering or construction, that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration These include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

Rail Transit Agency means any entity that provides services on a rail fixed guideway public transportation system.

Recipient means a State or local governmental authority, or any other operator of a public transportation system, that receives financial assistance under 49 U.S.C. chapter 53.

Roadway means land on which rail transit tracks and support infrastructure have been constructed to support the movement of rail transit vehicles, excluding station platforms.

Safety Assurance means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety and Security Major Event means an event which meets any NTD reporting threshold (generally meaning that it involves fatalities, serious injuries, property damage above $25,000, evacuation of infrastructure, a major collision, or train derailment or loss of control) and:

(1) Occurs at a transit revenue facility, maintenance facility, or rail yard;

(2) Occurs on transit right-of-way or infrastructure;

(3) Occurs during a transit-related maintenance activity; or

(4) Involves a transit revenue vehicle.

Safety Committee means the formal joint labor-management committee on issues related to safety that is required by 49 U.S.C. 5329.

Safety Critical Item means any component of an asset containing a characteristic where the failure, malfunction, or absence of which could cause:

i. A catastrophic or critical failure resulting in loss of, or serious damage to, a major asset or infrastructure; or

ii. An unacceptable risk of personal injury or loss of life.

Safety event means an unexpected outcome resulting in injury or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities for the management of safety.

Safety Management System (SMS) means the formal organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing hazards and safety risk.

Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.

Safety Performance Target means a quantifiable level of performance or condition, expressed as a value for the measure, related to safety management activities, to be achieved within a specified time period.

Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

Safety risk means the composite of predicted severity and likelihood of a potential consequence of a hazard.

Safety Risk Assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

Safety Risk Management (SRM) means a process within a transit agency's Safety Management System for identifying hazards and analyzing, assessing, and mitigating the safety risk of their potential consequences.

Safety risk mitigation means a method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.

Safety set-aside means the allocation of not less than 0.75 percent of assistance received by a large urbanized area provider under 49 U.S.C. 5307 to safety-related projects eligible under 49 U.S.C. 5307.

Safety Universal Data System is the new name for the former Safety Measurement System, which is a suite of applications that enable the Department of Safety to measure the overall system safety.

Small public transportation provider means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service across all non-rail fixed route modes or in any one non-fixed route mode and does not operate a rail fixed guideway public transportation system.

State means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

State of Good Repair means the condition in which a capital asset is able to operate at a full level of performance.

State Safety Oversight Agency (SSOA) means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and (k) and the regulations set forth in 49 CFR part 674.

Subrecipient means an entity that receives Federal transit grant funds indirectly through a State or a direct recipient.

Transit Agency means an operator of a public transportation system that is a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 or a rail transit agency.

Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

Transit worker means any employee, contractor, or volunteer working on behalf of the transit agency.

Urbanized area means, as defined under 49 U.S.C. 5302, an area encompassing a population of 50,000 or more that has been defined and designated in the most recent decennial census as an urban area by the Secretary of Commerce.

Vehicle means any rolling stock used on a rail fixed guideway public transportation system, including but not limited to passenger and maintenance vehicles as well as buses, and automobiles used for paratransit services.

Appendix C – Mitigations against Assaults on Transit Workers

Mitigation	Description
Bus shields	Bus shields, a physical barrier between the Bus Operator and potential assailants, have been installed on all Metro buses. While bus shields' impact is difficult to measure quantitatively, their efficacy has been demonstrated through operator testimony. They have improved safety for bus operators by reducing the number and severity of assaults.
De-escalation training	Metro provides *De-Escalation and Stress Management Training* to transit workers. This program is designed to equip participants with essential skills to effectively manage their mindset, enhance awareness, improve communication abilities, de-escalate challenging situations, and foster personal resilience. By focusing on these critical areas, the training empowers employees to navigate tense interactions with customers, promoting a safer and more secure environment for all parties involved.
Closed-Circuit Television (CCTV)	Metro has a robust CCTV system across its network, aiming to deter incidents and facilitate the resolution of assaults. All buses are equipped with audio and video recording capabilities, and to further deter unwanted behaviors, most are equipped with monitors that make patrons aware of being under surveillance. The 7000-series cars, and all future trains, will have video surveillance in each car. Furthermore, stations and facilities are monitored by over 8,000 cameras, with recorded footage serving as valuable evidence for investigators.
Community outreach	Metro is committed to engaging with the community and providing outreach and education regarding fare policy and policing. Since 2022, MTPD has engaged in a comprehensive re-education program that involved the distribution of informative pamphlets on fare enforcement, an extensive media campaign and an increased presence of MTPD personnel near fare gates, among other activities. The adherence to fare policies creates an environment of shared responsibility and improved overall compliance within the transit system.
Partnership with Crime Solvers	Metro has established a valuable partnership with DC and Prince George's Crime Solvers, permitting MTPD to work with Crime Solvers to offer rewards up to $1,000 for information that leads to the arrest of individuals responsible for assaulting Metro employees. To raise awareness and encourage community involvement, Crime Solvers flyers have been distributed throughout the transit system.
Targeted inspections, Increased presence, Helping Hands	Metro has enhanced police visibility and presence in high crime stations and bus routes through targeted deployment of officers in a program called "Helping Hands." Officers contact employees in the field to check on their welfare and observe buses, train cars and stations. In addition, the MTPD has strategically stationed the Special Response Team for a faster response to emergencies that may involve an active threat.
Metro Integrated Command and	MICC supports prompt response to transit worker assaults by using technology and streamlined communications protocols to monitor, evaluate and direct first responders and/or staff support to a situation. MICC's Bus Section uses

Mitigation	Description
Communications Center (MICC)	DriveCam to provide additional information to first responders. MICC's Rail Section relies on CCTV and voice control systems to deploy Supervisors and Police in response to Emergency personnel rounding out a total connection to buses, trains, stations, and personnel.
Policing Differently: Your Metro	MTPD operates under the philosophy of Problem-Oriented Policing, utilizing the SARA Model (Scanning, Analysis, Response, Assessment) to address areas and activities within the transit system. Through this problem-solving approach, MTPD has identified specific issues and developed targeted projects to address them. Some of these projects have achieved their goals and have been successfully closed, while others are ongoing parts of the continuous improvement process. All MTPD members and officials have undergone comprehensive SARA training, underscoring this approach's status as a core principle driving MTPD's operations.
Crisis Intervention Specialists	MTPD Crisis Intervention Specialists are Crisis Intervention Team-trained civilians who work to provide support and guidance to individuals in crisis in Metro's system. They often work alongside MTPD in a co-responder role and are under the supervision of a Lieutenant and Sergeant while on duty. Their responsibilities include assessment of the nature and extent of the crisis to decide the best course of action, immediate intervention to provide short-term assistance, referral to other services for long-term support, and short-term follow up to ensure the individual is making use of the resources and to assess if additional help is needed.
Partnerships with other Police Departments	Metro has strong partnerships with our jurisdictional law enforcement partners. The MTPD attends regular jurisdictional law enforcement meetings pertaining to intelligence, events, and strategies, and participates in a variety of committees hosted by the Council of Governments. The MTPD has entered into Memoranda of Agreement with several jurisdictional police agencies to provide their officers to patrol metro stations during morning and evening rush hours, as their staffing allows.
Environmental design	Metro utilizes design best practices in the built and natural environment to prevent crime. Notably, through SARA projects, significant improvements have been made to enhance safety. This includes the augmentation of lighting at L'Enfant Plaza, the installation of light towers at various stations such as Fort Totten and College Park, and the utilization of visual message boards. Additionally, Metro has been actively engaged in the redesign of fare gates, strategically placing live monitors, and incorporating innovative measures to promote security and deter criminal activity.

Appendix D – Acronyms

ACSO	Assistant Chief Safety Officer
AED	Automatic External Defibrillator
ASP	Agency Safety Plan
C3RP	Confidential Close Call Reporting Program
CAP	Corrective Action Plans
CBT	Computer-Based Training
CCTV	Closed-Circuit Television
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CIPSEA	Confidential Information Protection and Statistical Efficiency Act
COO	Chief Operations Officer
COTR	Contracting Officer Technical Representative
CPR	Cardiopulmonary Resuscitation
CSCM	Office of Customer Service, Communications & Marketing
CSRO	Chief Safety and Readiness Officer
DC	District of Columbia
DGM	Deputy General Manager
DOT	U.S. Department of Transportation
DSC	Departmental Safety Committee
ELM	Enterprise Learning Management
EOP	Emergency Operations Plan
ESC	Executive Safety Committee
EVP	Executive Vice President
FSC	Facility Safety Committee
FTA	Federal Transit Administration
GIS	Geographic Information System
GM	General Manager
iCAPA	Internal Corrective and Preventive Action Plans
IIJA	Infrastructure Investment and Jobs Act
IMF	Incident Management Framework
JHA	Job Hazard Analysis
JLMSC	Joint Labor and Management Safety Committee
KPI	Key Performance Indicator
MAC	Mission Assurance Coordinator
MICC	Metro Integrated Command & Communications Center
MIR	Metro Incident Responders
MOA	Memoranda of Agreement
MOR	Metrorail Operating Rules
MOU	Memoranda of Understanding
MTPD	Metro Transit Police Department
MWCOG	Metropolitan Washington Council of Governments
NIMS	National Incident Management System
NTD	National Transit Database
NTSB	National Transportation Safety Board
OEP	Office of Emergency Preparedness
OHAW	Office of Occupational Health and Wellness
OIG	Office of Inspector General
OSHA	Occupational Safety and Health Administration
P/I	Policy/Instruction
PTASP	Public Transportation Agency Safety Plan
PTSCTP	Public Transportation Safety Certification Training Program
QMP	Departmental Quality Management Plan
QMSP	Quality Management System Plan
RCA	Recommended Corrective Action
RRC	Response and Recovery Coordination
RSSC	Rail Safety Standards Committee
RWP	Roadway Worker Protection
SARA	Scanning, Analysis, Response, Assessment
SDS	Safety Data Sheets

SME	Subject Matter Expert
SOP	Standard Operating Procedure
SRC	Safety Risk Coordinator
SRM	Safety Risk Management
SSOA	State Safety Oversight Agency
SUDS	Safety Universal Data System
SVP	Senior Vice President
TAM	Transit Asset Management Plan
TSI	Transportation Safety Institute
TSSP	Transit Safety and Security Program
U.S.C.	United States Code
VRM	Vehicle Revenue Miles
WMATA	Washington Metropolitan Area Transit Authority
WMSC	Washington Metrorail Safety Commission

Appendix E – Safety-Related Training by Group

The Department of Safety (provided or outsourced)

- Asbestos Awareness
- Asbestos Awareness – Cleaning and Maintenance
- Bloodborne Pathogens
- Body Mechanics
- Compressed Gas Safety (in development)
- Confined Space Entry
- CPR/AED/First Aid
- Defensive Driving
- Emergency Action Plan
- Environmental Compliance Officer, Deputy Compliance Officer
- FEMA ICS300
- FEMA ICS400
- Fire Extinguisher
- Fire Prevention Plan (Fire Watch)
- Fixed and Portable Ladders
- Forest Glen Station Evacuation
- Hazard Communication
- Hazardous Waste Management
- Hearing Conservation
- Heat Stress
- Hot Work Program
- Incident Investigations (TSI course)
- Incident Management Framework Tier 1
- Incident Management Framework Tier 2
- Incident Management Framework Tier 2 Refresher
- Incident Management Framework EOC/Executive Tier
- Initial Emergency Response for Bus Operators
- Lockout/Tagout
- Machine Guarding
- New Employee Orientation – Safety
- OHSA 30 Hour for General Industry
- OSHA 10 Hour Construction
- OSHA 10 Hour General Industry
- OSHA 30 Hour for Construction
- Personal Protective Equipment
- Respiratory Protection
- Respirable Crystalline Silica Awareness
- Respirable Crystalline Silica Competent Person
- Safety Management Systems – Agency Safety Plan
- Safety Universal Data System – Data Management
- Safety Observations
- Spill Prevention, Control, and Countermeasure
- Spill Response Training
- Storage and Handling of Flammable and Combustible Liquids
- Stormwater Pollution Prevention
- Trauma Kit Training

Technical Training and Development - Rail Operations Quality Training

- Interlocking Operations Training / Refresher
- Line Platform Instructor Training / Refresher
- Rail Operations Supervisor / Refresher
- Rail Traffic Controller Training / Refresher
- Station Manager Training / Refresher
- Train Operations Training / Refresher
- Rail Stations Supervisor Training / Refresher

Technical Training and Development - Bus Transportation Training

- Bus and Rail Assault Response
- Bus Maintenance SOP NPB Training
- Bus Operator Back-To-Bus Training
- Bus Operation Essential Supervisor Refresher Training
- Bus Operator Quality Assessment Refresher Training
- Bus Operator Refresher Training
- Bus Training & Safety Instructor Training
- Commercial Driver's License (CDL) Training
- Defensive Driving for Bus Maintenance Mechanics
- Defensive Driving for Non-Revenue
- DriveCam Coaching Training
- Line Platform Instructor Training / Refresher
- Mechanical Commercial Driver's License Training
- New Bus Operator Candidate Training Course (NPB)
- Remedial/Post-Accident Bus Operator Training

Technical Training and Development - Maintenance Training, Bus Fleet

- Bloodborne Pathogens
- Brakes 302 MAN Drum
- Brakes 303 Meritor Disc
- Brakes 304 Meritor Drum
- Compressed Natural Gas
- Driver Safety
- Fall Protection
- Fire Suppression
- Forklift
- Hybrid CBT
- Lockout Tagout
- MAN Disc
- Pneumatics
- Power Presses (Mechanical and Hydraulic)
- Service Lane
- Steering Suspension
- BEB Familiarization
- BEB High Voltage Shutdown (LOTO)

Technical Training and Development - Roadway Worker Protection

- General Roadway Safety
- Initial & Recurrent RWP - Advanced
- Initial & Recurrent RWP - Basic (Includes Watchperson and Electrical Safety)

Technical Training and Development - Technical Training, Elevators and Escalators

- Advance Level Controllers
- Advance Level Electrical/Electronic Systems)
- Basic Mechanical Theory & Applications / 111a
- Basic Radio Communications
- Customer Service/101C
- Electrical I – AC Fundamentals / 109
- Electrical I – DC Fundamentals / 108
- Elevator Doors
- Elevator-Inspection & Basic Maintenance/219
- Elevator-Other Systems/220 (Includes NAESA Exam)
- Elevator-Principles of Operations / 213
- Escalator-Principles of Operation/208
- Hydraulic Theory & Applications / 110
- Kone Escalators Model Trans-180
- Mathematics Review/104
- Maxton Control Valve and Adjustments
- Overview of Vertical Transportation/200
- Safety, First Aid, CRP AED 102A&B
- Study Skills /101B
- Tools and Material Handing / 103
- TSMT Orientation/101A

Technical Training and Development - Technical Training, Communications

- CCTV/DVR Fundamentals
- Honeywell Vista - 128BPT
- Passenger Information Display System
- Public Address Systems
- RAMEX PERS/INTERCOM
- Swing Gate Training
- Networking Principles
- Comprehensive Radio Communications 490 MHz

Technical Training and Development - Technical Training, Facilities

- AC Fundamentals
- Basic Mechanical
- Basic Motor Controls
- Cleaning for Health / Green Cleaning
- Crane, Derrick, and Hoist Safety
- DC Fundamentals
- Floor Cleaner Operations
- High Voltage Self Awareness
- HVAC Certification
- Introduction to Custodial Training
- Ladder & Scaffolding Initial Training
- Overview Drainage Pumping Stations
- Pesticide Safety
- Powered Industrial Truck
- Scaffolding
- Small Engine Repair
- Tunnel Fan PMI
- Drainage Pumping Station

Technical Training and Development - Technical Training, AFC/PLE

- Introduction to Automatic Fare Collection
- Introduction to Parking Lot Equipment
- Introduction to SOC
- Dulles Faregates
- STraffic Faregates I
- STraffic Faregates II
- AC / DC Fundamentals
- Vender Machine Refresher

Technical Training and Development - Technical Training, Signaling

- 10-day phase 3 Track circuit logics
- 15-day phase 2 Track circuits
- ATC Informational and Training Session
- ATC Journeyman 10-Day Phase 1 Intro to ATC Automatic Train Control On-the-Job Training
- Baselining Track Circuit and Wayside
- CAB Signal Level ATC Platform and Spillover Measurement
- GM 4000 intro and Switch Adjustments
- M3 switch - Adjust, Maintain, Troubleshoot
- OJT Mentor Training
- Phase 4 Switches - 15 day
- Phase 5 Data Transmission
- Phase 6 System Operation, Software and Maintenance

Technical Training and Development - Technical Training, Track and Structures

- Aspen Aerial
- Ballast Regulator Knox Kershaw Operator
- Basic Laborer Training
- Basic Rigging
- Basic Training for Vehicle Flag Person
- Bridge Inspection Refresher Training
- Building Condition Assessment Training
- Crane, Derrick, and Hoist Safety
- Crawler, Locomotive, and Truck Cranes
- De-icer Flatcars-RCC and Plasser DI-40
- Emergency Response Team (ERT) Training
- Equipment Operator Recertification Training
- Equipment Operator Refresher
- Fixed and Portable Ladders
- Flag Person Recertification
- Frog Welding
- Geismar Operator Training
- Hi-Rail Bridge Lift (Scissor) Truck (22501)
- Hi-Rail Bridge Lift (Scissor) Truck 248/260
- Hi-Rail Gear Utility Truck (21587)
- Initial Equipment Operator Training
- Initial Track Inspection Training
- Introduction to Structural Evaluation Technician
- Manlifts/Aerial Lifts
- Maryland DOT Traffic Control
- NORDCO Bundle
- Plasser PMC-50
- Plasser Tamper 4x4 Operator
- PM SV01&02
- Safety Inspection of in-Service Bridges 130055
- Scissor Lift Truck
- Silica Power Air Purified Respirator Training
- Slings
- Snowplow
- String Lining and Combination Gauge & Level
- TGV Operation and Maintenance
- Thermite Welding – Vendor
- Third Rail Measurement Training
- Track Charts
- Track Inspection Recertification Training
- Track Repairer 1
- Tunnel Safety Inspection FHWA-NHI-130110
- Vacuum Truck 21588-589
- Forklift Training
- Manlift Training
- Skid steer Training

Technical Training and Development - Maintenance Training, Rail Fleet

- 7K Back to Back Measurements
- 7K Sub-System Electrical
- 7K Sub-System Mechanical
  7K System Introduction and Troubleshooting
  7K Trucks/Couplers
- HVAC EPA 608-609
- HVAC Fundamentals Refresher
- MRO Refresher Training
- Power Presses (Mechanical and Hydraulic)
- Preventive Maintenance Electrical 2/3/6/7/K
- Preventive Maintenance Mechanical 2/3/6/7/K QA/OJT
- Rail Car Daily Inspection 2/3/6/7 K
- Blue Signaling (SOP 301.20)
- Safety/CPR/AED
- ATO/ADO
- S&I Refresher Training
- Train Movement In to/Out of CMNT Shops
- Wheel Lathe

Technical Training and Development - Technical Training, Power

- Power Basics 101
- Power Basics 102
- AC Fundamentals
- DC Fundamentals

- AC/DC Refresher
- TRPM Nomenclature/Overview
- Tools and Material Handling
- Mechanical I
- High, Voltage Safety Awareness
- Electrical Safety for Traction Power
- Electrical Safety Work Practices – Awareness
- Electrical Safety Work Practices – Qualified Person
- Semi-Conductor
- Prints, Symbols & Schematic Reading
- PLC (Programmable Logic Controller)
- Traction Power Substation
- Introduction to Substation Maintenance
- Liquid Filled Transformer Maintenance
- Rectifier and Transformer Maintenance
- Uninterruptible Power Systems (UPS)
- Battery Preventive Maintenance (PMI)
- AC Room and AC Switchgear
- Emergency Trip Station (ETS)
- Relay Protective Devices
- High Voltage AC & DC Circuit Breakers
- Low Voltage Circuit Breaker & Overcurrent Protection

Appendix F – JLMSC ASP Approval Record

Voting Results of Metro's 2027 ASP

JLMSC Member	Voting Result
Amalgamated Transit Union Local 689 (ATU L-689)	Do Not Approve *
Amalgamated Transit Union Local 689 (ATU L-689)	Do Not Approve *
Amalgamated Transit Union Local 689 (ATU L-689)	Do Not Approve *
International Brotherhood of Teamsters Local 922 (IBT L-922)	Do Not Approve
Office of Professional Employees International Union (OPEIU) Local 2	Approve
Fraternal Order of Police (FOP)	Approve
Operations – Rail	Approve
Operations – Bus	Approve
Infrastructure – Track & Structures	Approve
Infrastructure – Project Delivery	Approve
Safety & Readiness	Approve
Metro Transit Police Department	Approve

* On September 25, 2026, Amalgamated Transit Union Local 689 formally rescinded its letter of objection and requested that the JLMSC conduct a new vote on Agency Safety Plan approval. Consistent with established committee procedures, the request could not be considered at that stage of the approval process.

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Appendix G –PTASP General Manager Certification

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN CERTIFICATION

I, Randy S. Clarke, General Manager and Chief Executive Officer, have reviewed the Public Transportation Agency Safety Plan (PTASP) and certify that the safety plan is satisfactory and complies with each of the requirements of the PTASP rule (49 CFR Part 673) and that the safety plan effectively will guide WMATA with the management of safety risks of the rail and bus operations of the Authority.

_____ Date: September 2026

Randy S. Clarke

General Manager and

Chief Executive Officer

Appendix H – [Placeholder] WMATA Board Resolution Record

Appendix I – [Placeholder] PTASP SSOA Approval

Appendix J – Organizational Responsibility for ASP Components

Section	SMS Pillar	SMS Activity	Office or Team Responsible
1.3	N/A	Safety Performance Targets	Office of Performance, Benchmarking, and Customer Research, Office of Safety Assurance – Division of Safety Informatics and Solutions
1.6	N/A	Emergency Preparedness and Response Plan	Office of Safety Engagement, Metro Integrated Command and Communications Center
2.1	Safety Management Policy	Safety Management Policy	Office of Safety Policy and Promotion
2.2	Safety Management Policy	Employee Safety Reporting Program	Office of Safety Risk Management
2.3	Safety Management Policy	Communication of Safety Management Policy	Office of Safety Policy and Promotion
3.1-3.3	Safety Risk Management	Safety Risk Management Process	Office of Safety Risk Management – Division of Performance Improvement; Safety Risk Coordinators
3.4	Safety Risk Management	Health, Safety, and Environmental Programs	Office of Safety Risk Management – Division of Occupational Safety and Health, Division of Environmental Management and Compliance
3.4.1	Safety Risk Management	Occupational Safety and Health Risk Management	Office of Safety Risk Management – Division of Occupational Safety and Health
3.4.2	Safety Risk Management	Safety Certification	Office of Safety Assurance – Division of Safety Certification and Engineering
3.4.3	Safety Risk Management	Environmental Risk Management	Office of Safety Risk Management – Division of Environmental Management and Compliance
3.5	Safety Risk Management	Corrective Action Plans	Office of Safety Risk Management
4.1	Safety Assurance	Safety Performance Monitoring and Measurement	Office of Safety Assurance – Division of Safety Informatics and Solutions
4.1.1	Safety Assurance	Monitoring Operations and Maintenance Procedures	Department of Quality
4.1.2	Safety Assurance	Monitoring of Operational Safety Risk Mitigations: The Triennial Internal Safety Review Program	Department of Quality
4.1.2	Safety Assurance	Monitoring of Operational Safety Risk Mitigations: Performance Data Tracking	Office of Safety Assurance – Division of Safety Informatics and Solutions

Section	SMS Pillar	SMS Activity	Office or Team Responsible
4.1.2	Safety Assurance	Monitoring of Operational Safety Risk Mitigations: Employee Voluntary Safety Reporting Programs	Office of Safety Risk Management
4.1.2	Safety Assurance	Monitoring of Operational Safety Risk Mitigations: Safety Oversight Inspections	Office of Safety Assurance – Division of Operations Safety Oversight
4.1.3	Safety Risk Management	Monitoring the Sufficiency of Safety Procedures for Operations and Maintenance	Office of Safety Risk Management – Division of Operating Practices
4.1.4	Safety Assurance	Safety Investigations	Office of Safety Assurance – Division of Safety Investigations
4.1.5	Safety Assurance	Information Monitoring	Office of Safety Assurance – Division of Safety Informatics and Solutions (tracking), All Metro operational and support departments (data collection)
4.1.6	Safety Assurance	Maturation of Data-Driven Safety Decision-Making	Safety Assurance – Division of Safety Informatics and Solutions, Office of Safety Risk Management – Division of Performance Improvement
4.2	Safety Assurance	Management of Change	All Metro operational and support departments
4.3	Safety Assurance	Continuous Improvement	Department of Quality, Office of Safety Risk Management, Office of Safety Assurance
4.3.1	Safety Assurance	Rail Modernization	Department of Quality, Office of Safety Risk Management, Office of Safety Assurance, Infrastructure Organization – Department of Communications and Signaling
5.1	Safety Promotion	Competencies and Training	Department of Technical Training and Development, Office of Safety Policy and Promotion, Office of Safety Risk Management – Division of Occupational Safety
5.1.1	Safety Promotion	Employee Safety Training	Department of Technical Training and Development; Office of Safety Risk Management – Division of Occupational Safety
5.1.2	Safety Promotion	Safety Rules and Procedures Training	Department of Technical Training and Development; Office of Safety Risk Management – Division of Occupational Safety
5.1.3	Safety Promotion	Contractor Safety	Office of Safety Assurance – Division of Operations Safety Oversight
5.1.4	Safety Promotion	Training Recordkeeping	Department of Technical Training and Development; Office of Safety Risk Management – Division of Occupational Safety

Section	SMS Pillar	SMS Activity	Office or Team Responsible
5.1.5	Safety Promotion	Compliance with Training Requirements	Department of Technical Training and Development; Office of Safety Risk Management – Division of Occupational Safety
5.1.6	Safety Promotion	SMS-Specific Training Requirements	Office of Safety Policy and Promotion, Department of Technical Training and Development
5.2	Safety Promotion	Just Culture Pilot Program	Office of Safety Policy and Promotion
5.3	Safety Promotion	Safety Culture Assessment	Office of Safety Policy and Promotion; Office of Safety Assurance; Office of Safety Risk Management
5.4	Safety Promotion	Communication of Safety Risks	Office of Safety Risk Management – Division of Performance Improvement, Division of Environmental Management and Compliance
5.5	Safety Promotion	Safety Communication	Office of Safety Policy and Promotion

Appendix K – ASP Revision History

Section	Description of Change
Version 1.0, Oct 8, 2021	
Entire Document	Initial release
Version 2.0, Dec 31, 2021	
Executive Summary	New section
Entire Document	Improved organization, Incorporated the SMS Strategic Roadmap
Version 3.0, Dec 31, 2022	
Safety Management Policy Letter	Replaced executive summary
1.1 Transit Agency Information	Updated to reflect new headquarters address and new GM
1.3.1 Infectious Disease Mitigation	New sub-section, added to meet the new requirements introduced by the Infrastructure Investment and Jobs Act
1.4 Safety Performance Targets	Updated to reflect refreshed targets and meet the new requirements introduced by the Infrastructure Investment and Jobs Act
1.5 Development and Implementation of a Safety Management System	Refreshed to introduce the latest SMS Strategic Roadmap
2.0 Safety Management Policy	Updated to reflect the priorities outlined in the SMS Strategic Roadmap.
2.1 Safety Management Policy Overview	Added language to explain the establishment o the Metro's safety policy as a standalone document.
2.1.1 Safety Management Policy Statement	Updated to reflect new GM & CEO.
2.2 Employee Safety Reporting Program	Updated to reflect Metro's partnership with MITRE to advance Employee Safety Reporting.
2.3 Communication of the Safety Management Policy	Update to reflect the strategy for communicating the safety management policy statement.
2.4.2 SMS Executive	Updated to reflect the latest version of SAFE's planned organizational future state
2.4.3.1.1 Rail Services	Updated to include the recently established Power Operations Center
2.4.2.1.2 Bus Services	Updated to refresh content on bus services.
3.0 Safety Risk Management	Updated to reflect the priorities outlined in the SMS Strategic Roadmap.
3.1 Safety Risk Management Process	Updated to reflect the latest priorities for Safety Risk Management rollout and the role of the JLMSC, which has been established to meet the requirements introduced by the Infrastructure Investment and Jobs Act.

Section	Description of Change
3.2.1 Occupational Safety and Health Risk Management	New sub-section added.
3.2.2 Operational Safety Risk Management	New sub-section added.
3.2.3 Rodway Worker Protection	New sub-section added.
3.2.4 Safety Certification	New sub-section added.
3.2.5 Security Risk / Threat Analysis	New sub-section added.
4.0 Safety Assurance	Updated to reflect the priorities outlined in the SMS Strategic Roadmap.
4.1 Safety Performance Monitoring and Measurement	Update to reflect the progress made to develop the Operations Safety Oversight team.
4.1.3 Safety Investigations	Updated to reflect the progress made to establish an incident management framework, mature mission assurance coordinator and primary responder functions, and expand the investigations team capacity.
4.4.1 Employee Safety Reporting Corrective Action Plan	New sub-section added.
5.0 Safety Promotion	Updated to reflect the priorities outlined in the SMS Strategic Roadmap.
5.1.1 Employee Safety Training	Updated to reflect progress toward developing an SMS Communications, Training, and Engagement strategy.
5.2 Safety Communication	Updated to reflect strategy with MITRE.
Appendices A and C	New appendices.
Version 4.0, Dec 31, 2023	
Safety Management Policy Letter	Updated to reflect new leadership commitment.
1.0 General Requirements	Updated to reflect ASP meets all requirements of FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.
1.1 Transit Agency Information	
1.2 Plan Development, Approval, and Updates	Updated to include process for management of changes affecting roles and responsibilities described in ASP.
1.3 Emergency Preparedness and Response Plan	Updated to reflect Pandemic Response Plan is consistent with applicable guidelines and regulations.
1.3.1 Infectious Disease Mitigation	
1.4 Safety Performance Targets	
1.4.1 Safety Performance Target Setting Methodology and Timeline	
1.4.2 Safety Performance Targets	Sub-headings removed, streamlined for readability, targets updated.

Section	Description of Change
1.4.3 System Reliability Targets	Targets updated.
1.5 Risk Reduction Program	New section.
1.5.1 Visibility for Bus Operators	New section.
1.5.2 Transit Worker Assaults	New section.
1.6 Development and Implementation of a Safety Management System	
2.0 Safety Management Policy	
2.1 Safety Management Policy Statement	
2.2 Employee Safety Reporting Program	
2.3 Communication of the Safety Management Policy	
2.4 Necessary Authorities, Accountabilities, and Responsibilities	Updated to reflect organizational realignment announced December 2022.
2.4.1 Accountable Executive	
2.4.2 SMS Executive	Updated to reflect organizational realignment announced December 2022.
2.4.3 Agency Leadership and Executive Management	Updated to reflect organizational realignment announced December 2022.
2.4.4 Key Staff	Updated to reflect organizational realignment announced December 2022.
2.4.5 Safety Committees	Updated to reflect the establishment of Department and Facility Safety Committees.
3.0 Safety Risk Management	Updated to reflect safety risk management core priority.
3.1 Safety Risk Management Process	Updated to reflect new Safety Risk Management Process Flow.
3.1.1 Safety Hazard Identification	
3.1.2 Safety Risk Assessment	
3.1.3 Safety Risk Mitigation	
3.2 Ongoing Management of Safety Risk	
3.2.1 Occupational Safety and Health Risk Management	Updated to clarify office of Occupational Safety and Health role and organizational realignment announced December 2022.
3.2.2 Operational Safety Risk Management	
3.2.3 Safety Certification	
3.2.4 Environmental Risk Management	Previously section 5.2.5, re-organized to group with other Safety Risk Management activities
4.0 Safety Assurance	Updated to reflect Safety Informatics & Solutions activities.
4.1 Safety Performance Monitoring and Measurement	

Section	Description of Change
4.1.1 Monitoring Operations and Maintenance Procedures	
4.1.2 Monitoring of Operational Safety Risk Mitigations	
4.1.3 Safety Investigations	Updated to reflect new procedural documents, shared investigative process, and SRC role in Just Culture analysis
4.1.4 Information Monitoring	Updated to reflect new procedural documents
4.1.5 Emergency Risk Management	New section.
4.2 Management of Change	
4.3 Continuous Improvement	
4.4 Corrective Action Plans	Updated to reflect root cause analysis and corrective action process.
5.0 Safety Promotion	
5.1 Competencies and Training	Updated to reflect Safety's role in departmental safety training programs.
5.1.1 Employee Safety Training	Updated to reflect current training requirements
5.1.2 Safety Rules and Procedures Training	Updated to reflect organizational realignment announced December 2022; updates to RWP training program
5.1.3 Contractor Safety	Updated to reflect new safety inspections process.
5.1.4 Training Recordkeeping	
5.1.5 Compliance with Training Requirements	
5.1.6 SMS-specific Training Requirements	Updated to reflect training requirements for personnel conducting triennial Internal Safety Reviews.
5.2 Safety Communication	
5.2.1 Direct Staff Communication	New section.
5.2.2 Hazard and Safety Risk Information	Renumbered; updated to note Origami as risk database.
5.2.3 Employee Safety Reporting Program Engagement	Renumbered; updated with new Metro Hazard Report view.
6.0 Documentation	Previously section 4.5, moved to match structure of 673 as section 29 follows assurance.
Appendix A – SMS Strategic Roadmap	New, replaces duplication of P/I 10.8/0 Safety Management Policy.
Appendix B – Definitions	Updated with new terminology.
Appendix C – Acronyms	Updated with new terminology.
Appendix D – Safety-related Training by Group	Updated to reflect new training offerings.
Appendix E – JLMSC ASP Approval Record	Renumbered.

Section	Description of Change
Appendix F – PTASP General Manager Certification	Renumbered.
Appendix G – WMATA Board Resolution Record	Renumbered.
Appendix H – PTASP SSOA Certification	Renumbered.
Appendix I – ASP Revision History	New Appendix, previously a table within section 1.2, Plan Development Approval and Updates.
Version 5.0, Dec 31, 2024	
Safety Management Policy Letter	
1.0 General Requirements	Updated to reflect ASP meets all requirements of FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.
1.1 Transit Agency Information	Removed incorrect funding code.
1.2 Plan Development, Approval, and Updates	Updated to include process for management of changes affecting roles and responsibilities described in ASP.
1.3 Emergency Preparedness and Response Plan	Updated to include Emergency Exercises
1.3.1 Infectious Disease Mitigation	
1.4 Safety Performance Targets	Updated to reflect new PTASP requirements
1.4.1 Safety Performance Target Setting Methodology and Timeline	Updated timeline for Safety Performance Target setting
1.4.2 Safety Performance Targets	Updated to reflect new PTASP requirements on performance target and target setting
1.4.3 System Reliability Targets	Targets updated.
1.5 Risk Reduction Program	Updated to reflect new PTASP requirements
1.5.1 Visibility for Bus Operators	Updated to reflect new PTASP requirements
1.5.2 Transit Worker Assaults	Updated to reflect new PTASP requirements
1.6 Development and Implementation of a Safety Management System	
2.0 Safety Management Policy	Updated to reflect new staff in Department of Safety
2.1 Safety Management Policy Statement	Updated to reflect adding of safety-critical items
2.2 Employee Safety Reporting Program	
2.3 Communication of the Safety Management Policy	

Section	Description of Change
2.4 Necessary Authorities, Accountabilities, and Responsibilities	
2.4.1 Accountable Executive	
2.4.2 SMS Executive	Updated department descriptions and Mission Assurance Coordinator (MAC) is now Safety Information Officer (SIO) and
2.4.3 Agency Leadership and Executive Management	Updated department descriptions
2.4.4 Key Staff	Updated to reflect adding of safety-critical items
2.4.5 Safety Committees	Updated to reflect new requirements for Safety Committees from the FTA updated PTASP requirements.
3.0 Safety Risk Management	Updated to reflect revised safety risk assessment process.
3.1 Safety Risk Management Process	Updated to reflect revised safety risk assessment process.
3.1.1 Safety Hazard Identification	Updated to reflect revised safety risk assessment process.
3.1.2 Safety Risk Assessment	Updated to reflect revised safety risk assessment process.
3.1.3 Safety Risk Mitigation	Updated to reflect revised safety risk assessment process.
3.2 Ongoing Management of Safety Risk	Updated to reflect adding safety-critical items
3.2.1 Occupational Safety and Health Risk Management	Updated to reflect new priorities and changes within the office
3.2.2 Operational Safety Risk Management	Updated to reflect new priorities
3.2.3 Safety Certification	
3.2.4 Environmental Risk Management	
4.0 Safety Assurance	Updated to reflect SSOA requested language on inspections
4.1 Safety Performance Monitoring and Measurement	
4.1.1 Monitoring Operations and Maintenance Procedures	
4.1.2 Monitoring of Operational Safety Risk Mitigations	Updated to reflect inclusion of safety-critical items and to reflect SSOA requested language on inspections
4.1.3 Safety Investigations	Update to reflect processes with the Safety Risk Coordinators (SRC)
4.1.4 Information Monitoring	
4.1.5 Emergency Risk Management	
4.2 Management of Change	
4.3 Continuous Improvement	Updated to reflect new PTASP requirements

Section	Description of Change
4.4 Corrective Action Plans	
5.0 Safety Promotion	
5.1 Competencies and Training	
5.1.1 Employee Safety Training	Updated to reflect new PTASP requirements and updated text to reflect use of “Transit Worker”
5.1.2 Safety Rules and Procedures Training	Updated to reflect changes to Roadway Worker Protection Training and Incident Response Training. Removal of “Power Work Platforms” from training list, due to it being the redundant with “Aerial Lifts” training.
5.1.3 Contractor Safety	Updated to removed redundant text.
5.1.4 Training Recordkeeping	
5.1.5 Compliance with Training Requirements	
5.1.6 SMS-specific Training Requirements	
5.2 Safety Communication	Updated to reflect new PTASP requirements and milestones
5.2.1 Direct Staff Communication	
5.2.2 Hazard and Safety Risk Information	
5.2.3 Employee Safety Reporting Program Engagement	
6.0 Documentation	
Appendix A – SMS Strategic Roadmap	Updated to reflect 2025-2026-2027 time periods
Appendix B – Definitions	Updated with new terminology.
Appendix C – Acronyms	Updated with new terminology.
Appendix D – Safety-related Training by Group	Updated to reflect new training offerings.
Appendix E – JLMSC ASP Approval Record	
Appendix F – PTASP General Manager Certification	
Appendix G – WMATA Board Resolution Record	
Appendix H – PTASP SSOA Certification	
Appendix I – ASP Revision History	Updated to reflect latest version
Version 6.0, Dec 31, 2025	
Safety Management Policy Letter	Updated to include new Senior Executives

Section	Description of Change
1.0 General Requirements	Updated to include FTA PTASP best practices
1.1 Transit Agency Information	Updated to include FTA PTASP best practices and new Senior Executive
1.2 Plan Development, Approval, and Updates	
1.3 Safety Performance Targets	Section was re-arranged from Section 1.4 to 1.3 for flow
1.3.1 Safety Performance Target Setting Methodology and Timeline	Section was re-arranged from Section 1.4.1 to 1.3.1 for flow
1.3.2 Safety Performance Targets	Section was re-arranged from Section 1.4.2 to 1.3.2 for flow
1.3.3 System Reliability Targets	Section was re-arranged from Section 1.4.3 to 1.3.3 for flow
1.4 Risk Reduction Program	Section was re-arranged from Section 1.5 to 1.4 for flow
1.4.1 Visibility for Bus Operators	Section was re-arranged from Section 1.5.1 to 1.4.1 for flow
1.4.2 Transit Worker Assaults	Section was re-arranged from Section 1.5.2 to 1.4.2 for flow and updated MICC description
1.5 Employee Safety Reporting Program	Section was re-arranged from Section 2.2 to 1.5 for flow and updated program descriptions
1.5.1 Employee Safety Reporting Program Engagement	Section was re-arranged from Section 5.2.3 to 1.5.1 for flow
1.6 Necessary Authorities, Accountabilities, and Responsibilities	Section was re-arranged from Section 2.4 to 1.6 for flow, updated to reflect new Senior Executives
1.6.1 Accountable Executive	Section was re-arranged from Section 2.4.1 to 1.6.1 for flow
1.6.2 SMS Executive	Section was re-arranged from Section 2.4.2 to 1.6.2 for flow
1.6.3 Agency Leadership and Executive Management	Section was re-arranged from Section 2.4.3 to 1.6.3 for flow, updated to reflect organizational changes
1.6.4 Key Staff	Section was re-arranged from Section 2.4.4 to 1.6.4 for flow
1.6.5 Safety Committees	Section was re-arranged from Section 2.4.5 to 1.6.5 for flow
1.7 Development and Implementation of a Safety Management System	Section was re-arranged from Section 1.6 to 1.7 for flow
2.0 Safety Management Policy	
2.1 Safety Management Policy Statement	
2.2 Communication of the Safety Management Policy	Section was re-arranged from Section 2.3 to 2.2 for flow
3.0 Safety Risk Management	Updated to reflect revised safety risk assessment process.
3.1 Safety Risk Management Process	Updated to reflect revised safety risk assessment process.
3.1.1 Safety Hazard Identification	Updated to reflect revised safety risk assessment process.

Section	Description of Change
3.1.2 Safety Risk Assessment	Updated to reflect revised safety risk assessment process.
3.1.3 Safety Risk Mitigation	Updated to reflect revised safety risk assessment process.
3.2 Ongoing Management of Safety Risk	
3.2.1 Operational Safety Risk Management	Section was re-arranged from Section 3.2.2 to 3.2.1 for flow
3.2.2 Occupational Safety and Health Risk Management	Section was re-arranged from Section 3.2.1 to 3.2.2 for flow
3.2.3 Safety Certification	
3.2.4 Environmental Risk Management	
3.2.5 Hazard and Safety Risk Information	Section was re-arranged from Section 5.2.2 to 3.2.5 for flow
3.3 Emergency Preparedness and Response Plan	Section was re-arranged from Section 1.3 to 3.3 for flow
3.3.1 Infectious Disease Mitigation	Section was re-arranged from Section 1.3.1 to 3.3.1 for flow
3.4 Emergency Risk Management	Section was re-arranged from Section 4.1.5 to 3.4 for flow
3.5 Management of Change	Section was re-arranged from Section 4.2 to 3.5 for flow
3.6 Continuous Improvement	Section was re-arranged from Section 4.3 to 3.6 for flow
3.7 Corrective Action Plans	Section was re-arranged from Section 4.4 to 3.7 for flow
4.0 Safety Assurance	
4.1 Safety Performance Monitoring and Measurement	
4.1.1 Monitoring Operations and Maintenance Procedures	
4.1.2 Monitoring of Operational Safety Risk Mitigations	
4.1.3 Safety Investigations	Updated to reflect changed milestone timeline
4.1.4 Information Monitoring	
5.0 Safety Promotion	
5.1 Competencies and Training	
5.1.1 Employee Safety Training	Updated to reflect current trainings offered at agency
5.1.2 Safety Rules and Procedures Training	Updated the sub header “Industrial Hygiene and Occupational Safety and Health Trainings” to “Additional Safety Training”
5.1.3 Contractor Safety	
5.1.4 Training Recordkeeping	

Section	Description of Change
5.1.5 Compliance with Training Requirements	
5.1.6 SMS-specific Training Requirements	
5.2 Safety Communication	
5.2.1 Direct Staff Communication	Updated to reflect new milestone timelines for cultural re-assessment
6.0 Documentation	
Appendix A – SMS Strategic Roadmap	Updated to reflect 2026-2028 timeframe
Appendix B – Definitions	Updated to reflect latest definitions from PTASP and agency terminology
Appendix C – Acronyms	Updated to reflect latest definitions from PTASP and agency terminology
Appendix D – Safety-related Training by Group	Updated to reflect current trainings offered at agency
Appendix E – JLMSC ASP Approval Record	
Appendix F – PTASP General Manager Certification	
Appendix G – WMATA Board Resolution Record	
Appendix H – PTASP SSOA Certification	
Appendix I – ASP Revision History	Updated to reflect changes from 2025 Agency Safety Plan
Version 7.0, Dec 31, 2026	
Safety Management Policy Statement	Moved SMP statement to front and merged with safety policy letter to align with best practice. Added language discussing our aspiration toward World-Class Safety Performance. Added reference to JLMSC.
Document-Wide	References to SMS Dashboard replaced with Metro Hazard Report Replaced references to Origami with “SRM database” to show use of database to record risks without tying us to one specific technical solution. Office of Emergency Preparedness name updated to Safety Engagement, updated division names. Updated name of the Office of Performance and Global Benchmarking to the Office of Performance, Benchmarking, and Customer Research. Updated Department of Planning and Performance to the Department of Performance, Data, and Research. Updated Chief’s title. Reformatted to reflect new Metro brand guidelines.
1.0 General Requirements	
1.1 Agency Information	Added required transit agency info listed on the newest ASP checklist to the table

Section	Description of Change
1.2 Plan Development, Approval, and Updates	Cleaned up Plan Development and Approval table. Added line for Internal Review period to the update timeline.
1.3 Safety Performance Targets	Removed sub-bullet on Major Safety Events under Major Events.
1.3.1 Safety Performance Target Setting Methodology and Timeline	Clarified focus on improving SPT performance over past results.
1.3.2 Safety Performance Targets	Elaborated on target analysis process in alignment with existing procedure.
1.3.3 System Reliability Targets	Removed blurb discussing plan to introduce new MetroAccess fleet vehicles.
1.4 Risk Reduction Program	Clarified that Metro Safety Risk Reduction Program Targets overlap with general SPTs. Expanded discussion of safety performance targets and set aside process in the safety risk reduction program; associated risk assessment process.
1.4.1 Joint Labor-Management Safety Committee Role in Program Implementation	New subsection to address FTA Audit Corrective Action Plan
1.4.2.1 Assaults on Transit Workers	Edited to reflect the current set of STAT forums. Removed reference to "monthly" review. List of mitigations moved to Appendix E.
1.5.1 Accountable Executive	Clarified Accountable Executive's role in responding to certain recommendations of mitigations from JLMSC
1.5.3 Metro's Safety Organization	Descriptions of offices updated, trimmed down to reduce redundant information. Description of Office of Safety Engagement (formerly Emergency Preparedness) divisions clarified. Org chart edited to reflect structure of the Department of Quality. Replaced 700 WI001 with SOP 4121-3-02 Clarified that Safety Information Officer liaises with the MICC but is not stationed there Updated to reflect re-organization, Safety Policy & Promotion is now a division of Safety Engagement
1.5.4 Agency Leadership and Executive Management	Updated to reflect that MTPD reports directly to the Deputy General Manager
1.5.5 Key Staff	Slimmed down and focused more on SRCs. Revised to indicate that high-level functional areas are called Organizations. Updated description of the Strategy, Planning, and Performance Organization
1.5.6 Safety Committees	Updated to reflect frequency that ESC reviews (monthly) and acts on (quarterly) Metro Hazard Reports. Rail Safety Standards Program Plan 2000-2-01 has replaced SOP 4800-03-01 Rail Safety Standards Committee SOP as well as the Rail Safety Standards Committee Charter (4800-2-09).

Section	Description of Change
1.6 Emergency Preparedness and Response Plan	Moved Emergency Risk Management and Emergency Preparedness and Response Plan (formerly Section 3.3) to Section 1 Reorganized to focus on the Emergency Preparedness and Response Plan as organizing document and other elements as supporting programs. Pandemic Response Plan is now listed as a supporting plan, language unchanged. Removed reference to CFR parts in Supporting Emergency Response Plans subsection. Clarified that Video and Consequence Management maintains the Emergency Operations Plan. Edited Pandemic Response Plan subsection to clarify that it is structured to follow CDC guidelines and provide flexibility to respond to local health authorities Removed redundant reference to USC 5329 in Pandemic Plan description. Updated description of Incident Management Framework. Fleshed out our discussion of After Action Reports.
2.0 Safety Management Policy	Just culture blurb shortened and moved to be subsection 5.2 in the Promotion section
2.1 Safety Management Policy	Statement of Safety Policy was merged with the Safety Policy Letter at the top of the document. A shorter discussion of this ASP's role as the framework for Metro's safety management policy was introduced here instead
2.2 Employee Safety Reporting Program	Employee Safety Reporting Program moved from Section 1 to 2, to correspond with SMS pillars. Added verbal reporting to supervisor as an option for employee safety reporting
2.3 Communication of Safety Management Policy	Clarified senior executive role in promoting the ASP and the Safety Management Policy
2.4 Seatbelt Use Policy	Added reference to Metro's policy requiring seatbelt use
3.0 Safety Risk Management	Section reorganized: previous 3.1 (SRM process) was moved to be the intro, its former subsections were promoted to 3.1-3.3. What was once 3.2 (Environmental and Occupational Safety) is now 3.4. Removed blurb discussing activities in the SMS Roadmap, which is attached and doesn't need rehashing.
3.2 Ongoing Management of Safety Risk	Clarified description of the safety risk assessment process.
3.2.5 Hazard and Safety Risk Information	The paragraph atop this section was moved to be 5.3 Communication of Safety Risks. Eliminated subsection on Hazard Communication, included key info in 3.4.1. Provided an overview of OSH activities.
3.4 Health, Safety, and Environmental Programs	Changed header of section to Health, Safety, and Environmental programs and removed blurb before the subsection on Occupational Safety and Health Risk Management. This was redundant language concerning SRCs and DSCs that is discussed elsewhere (e.g., in 1.5.5 Key Staff).
3.4.1 Occupational Safety and Health Risk Management	Added clarifying language regarding OSH Added list of current OSH programs
3.4.2 Safety Certification	Removed reference to WMSC-21-C0118 because it was closed in May of 2024

Section	Description of Change
3.4.3 Environmental Risk Management	Clarified reference to federal environmental regulations
3.5 Corrective Action Plans	Expanded description of the CAP process and the types of corrective actions. Clarified information-sharing with WMSC on CAPs.
4.0 Safety Assurance	Removed blurb at the top of 4.0 discussing a program outlined elsewhere (voluntary reporting) and one future project that is not integrated into/directly relevant to our SMS
4.1.1 Monitoring Operations and Maintenance Procedures	Description of QMSP streamlined and clarified
4.1.2 Monitoring of Operational Safety Risk Mitigations	Streamlined and clarified description of ISR process at top of this section. Removed reference to internal SMS Self-Assessment process at the departmental level Clarified scope of ISR reporting.
4.1.3 Monitoring the Sufficiency of Safety Procedures for Operations and Maintenance	Moved 3.2.1 (Operational Safety Risk Management) to be 4.1.3 Updated RSSC section to reference to the correct document (Rail Safety Standards Program Plan 2000-2-01 has replaced SOP 4800-03-01 Rail Safety Standards Committee SOP), and reflect that BSSC has been launched and that it has a separate policy framework.
4.1.4 Monitoring Mitigation Effectiveness	New section to address FTA Audit Corrective Action Plan
4.1.5 Safety Investigations	Updated to reflect that OSI-SRM partnership to enable SRC contribution to Recommended Corrective Action implementation has been put into place. Removed reference to drug and alcohol program in description of investigation process. Previous P/I 7.7.3 was rescinded and replaced by P/I 10.10, which is attached for continuity.
4.1.7 Maturation of Data-Driven Decision-Making	Added section on project to deepen Metro's use of data in decision-making by creating a central data dashboard, standard analytical methods, and thresholds for when trends demand action.
4.2 Management of Change	Moved from section 3 to Section 4 to harmonize our document's organization with the pillars of SMS. Language is unchanged
4.3 Continuous Improvement	
4.3.1 Rail Modernization	Added subsection of 4.3 Continuous Improvement to discuss Rail Modernization project
4.3.2 Annual Safety Performance Assessment	New section to address FTA Audit Corrective Action Plan
5.1.1 Employee Safety Training	Removed statement about Hazard Communication training Updated to reflect that there is a new, unified SMS training for all employee Updated description of de-escalation training program
5.1.2 Safety Rules and Procedures Training	Description of RWP training updated to reflect the status/contents of new RWP program Removed largely redundant list of safety trainings, added three unique trainings to Appendix E. Updated description of critical incident response to reflect that a protocol has been developed.
5.1.3 Contractor Safety	Updated to reflect that there's no longer Contractor RWP training, contractors participate in the same RWP as employees, and are subject to the same RWP requirements as employees.

Section	Description of Change
5.1.6 SMS-Specific Training Requirements	Added new required PTSCTP certificants.
5.2 Just Culture Pilot Program	Just Culture blurb from 2.0 into shortened and moved to be its own subsection, 5.2.
5.3 Safety Culture Assessment	Added section 5.3 discussing results of Safety Culture reevaluation
5.4 Communication of Safety Risks	Edited to more accurately reflect the information contained in the Metro Hazard Report
5.5 Safety Communication	Reorganized discussion of Safety Communication into methods and media. Removed reference to Safety Culture reassessment, now discussed in 5.3.
5.5.1 Communication Media and Methods	Previous section on Direct Staff Communication reorganized to better reflect the methods and media used for different campaigns.
5.5.2 Enhanced Recognition Program	Promoted from a paragraph under the “Milestones” heading in the section of Direct Staff Communication.
6.0 Documentation	
Appendix B	Clarified definition of Near Miss, added definition of As Low as Reasonably Practicable (ALARP)
Appendix C	Moved the list of mitigations for worker assaults previously in 1.4.2 to be Appendix C.
Appendix D-J	All existing Appendices after the new C bumped down a letter.
Appendix E – Safety Related Trainings by Group	List of trainings in 5.1 was consolidated with the list in Appendix E, which was reorganized and updated with new trainings. Redundant trainings removed.
Appendix K	Created new table showing organizational responsibility within Metro for different parts of the plan.