

Using ASP Reviews and Updates to Advance Your SMS

September 27, 2023

**Public Transportation Agency Safety Plan
Technical Assistance Center
(PTASP TAC)**



Objective

At the conclusion of the webinar, participants will be able to:

- Identify PTASP requirements for Agency Safety Plan (ASP) reviews and updates
- Describe methods agencies may use to reflect and push forward maturation of their Safety Management System (SMS) in their ASP



Agenda

1. PTASP requirements for ASP updates
2. Industry Speakers
3. Q&A

NOTE: This webinar will discuss the current PTASP regulation requirements. It will not discuss the recent Notice of Proposed Rulemaking (NPRM) published in the Federal Register on April 26, 2023.



Industry Speakers



Alexander Houck
Deputy Chief Safety Officer
Maryland Transit Administration



Mike Smith
Chief Safety Officer
New Orleans Regional Transit Authority

Related Resources

Log onto FTA's PTASP TAC Resource Library for more webinars, tools, and fact sheets related to safety communication

www.transit.dot.gov/PTASP-TAC



Feedback

Your feedback helps us deliver the resources and tools that are most relevant to your needs. Based on feedback from the previous webinar surveys, this webinar features:

- Multiple speakers
- Speakers on video
- Expanded industry participation

Please stay tuned for another survey at the conclusion of this webinar!



PTASP REQUIREMENTS FOR ASP UPDATES



Requirements for ASP Updates

49 CFR Part 673.11(a)(5) requires applicable transit agencies to establish a process and timeline for conducting an annual review and update of their ASP

- Applicable transit agencies that operate a rail fixed guideway public transportation system must follow additional requirements for ASP updates established by their State Safety Oversight agency (SSOA), if any

Requirements for ASP Update

Applicable Transit Agencies **Not** Required to Have a Safety Committee

Once updated, the Accountable Executive must sign the ASP, and the Board of Directors or Equivalent Authority must approve the ASP (49 CFR Part 673.11(a)(1))

- For rail fixed guideway public transportation systems, the SSOA must review and approve the ASP (49 CFR Part 673.13(a))

Applicable Transit Agencies **Required** to Have a Safety Committee

Once updated, the Accountable Executive must sign the ASP, ***the Safety Committee must approve the ASP***, and the Board of Directors or Equivalent Authority must approve the ASP (49 CFR Part 673.11(a)(1) and 49 U.S.C. 5320(d)(1)(A))

- For rail fixed guideway public transportation systems, the SSOA must review and approve the ASP (49 CFR Part 673.13(a))



CONSIDERATIONS FOR ASP UPDATES



Example Reasons Your Agency May Update Your ASP

Changes to your organization structure and/or system characteristics

Changes to processes, etc. that affect your SMS or safety in general

Compliance with new or revised FTA regulations

Compliance with SSO Program Standard or other SSO action

Updated transit agency safety objectives and safety performance targets

Updated Employee Safety Reporting Program

New or updated training or safety promotion initiatives

Other updates or changes to safety programs described in the ASP



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Industry Speaker



Mike Smith
Chief Safety Officer
New Orleans Regional Transit Authority



ASP Reviews: More Than “Checking a Box”



Mike Smith

Chief Safety, Security, & Emergency Management Officer

New Orleans Regional Transit Authority



System Overview

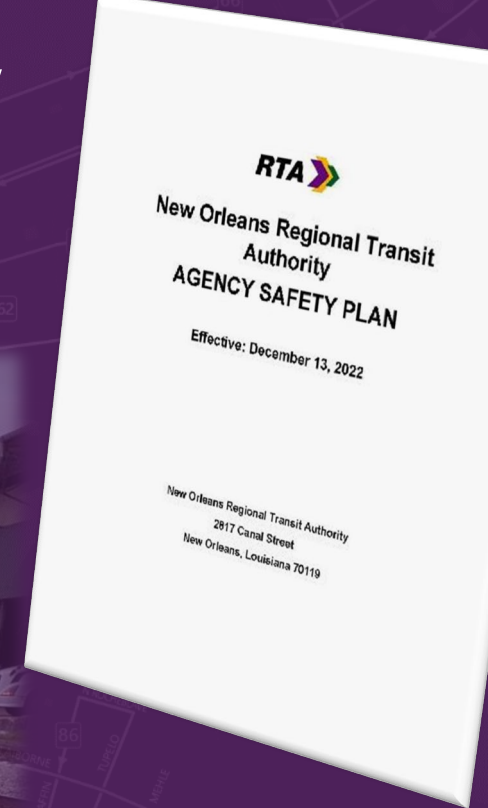
- The RTA system currently includes:
 - Five streetcar lines
 - 34 bus routes
 - Two ferry routes
 - Paratransit services
- Ridership: 19 million annually, pre-COVID
- Staff: 894 FTEs
 - Plus approx. 70 contractor staff primarily supporting ferry operation and physical security
- The St. Charles line was listed in the National Register of Historic Places in 1973 and is the oldest continuously operating street railway in the world (1835).



Agency Safety Plan (ASP) Review Cycle



Administered in accordance with internal ASP Revision Standard Operating Procedure



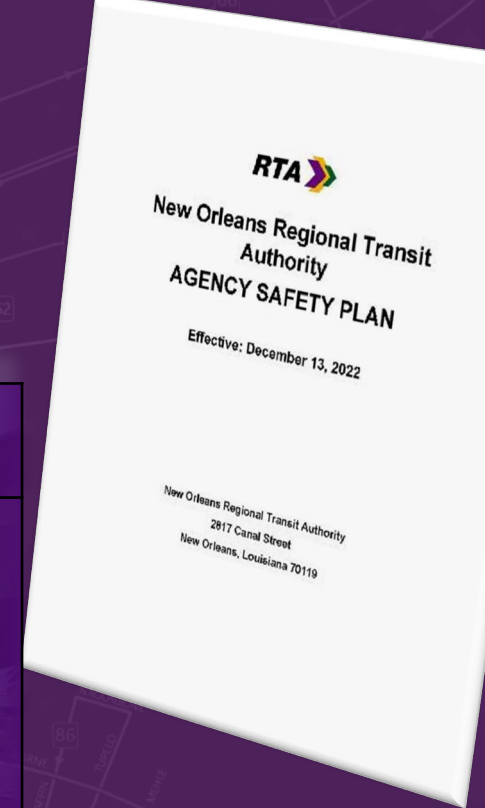
Agency Safety Plan (ASP) Review Cycle

Scheduled

- Annual

Unscheduled

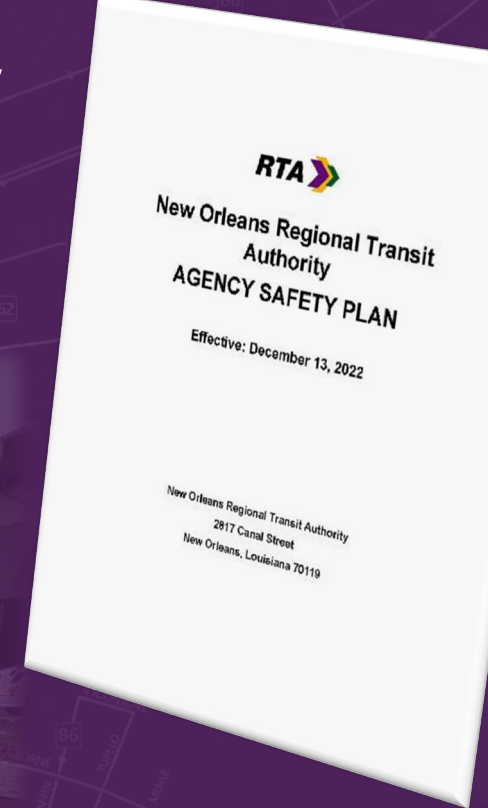
- SSO-directed
- Management of Change
 - Major system modification
 - Organizational structure change



Agency Safety Plan (ASP) Review Cycle

Basis of Initial Draft/Review:

- New federal/state requirements
- National Public Transportation Safety Plan
- Policies, procedures, and structure
- Management of Change
- Prior year's SA activities
- Continuous improvement/SMS implementation
- External audits and reviews
- Relevant CAPs
- Industry standards and best practices



Agency Safety Plan (ASP) Review Cycle

Safety Assurance- Informed

M of C
Internal Audits
Rule/SOP Review
Cont. Improvement

Annual Review/
Update

Draft (Safety)

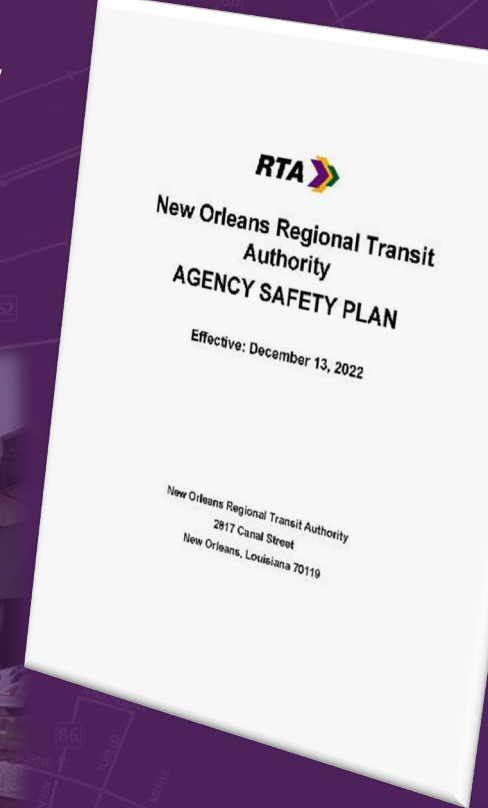
ELT Review

SMS

Implementation

Safety Committee
Approval

Board of
Commissioners



Internal Safety Management Audit (ISMA)

Shift from 2022 to 2023 ASP

2022 ASP
(by Department)

Departments on 3-Year Rotation

- Public Information/Ext. Affairs
- Capital Projects
- Marine Operations
- Drug & Alcohol

2023 ASP (by SMS
Component)

SMS Component: Safety Management Policy

- Safety Management Policy Statement
- Safety Accountabilities and Responsibilities
- Integration with Public Safety and Emergency Management
- SMS Documentation and Records



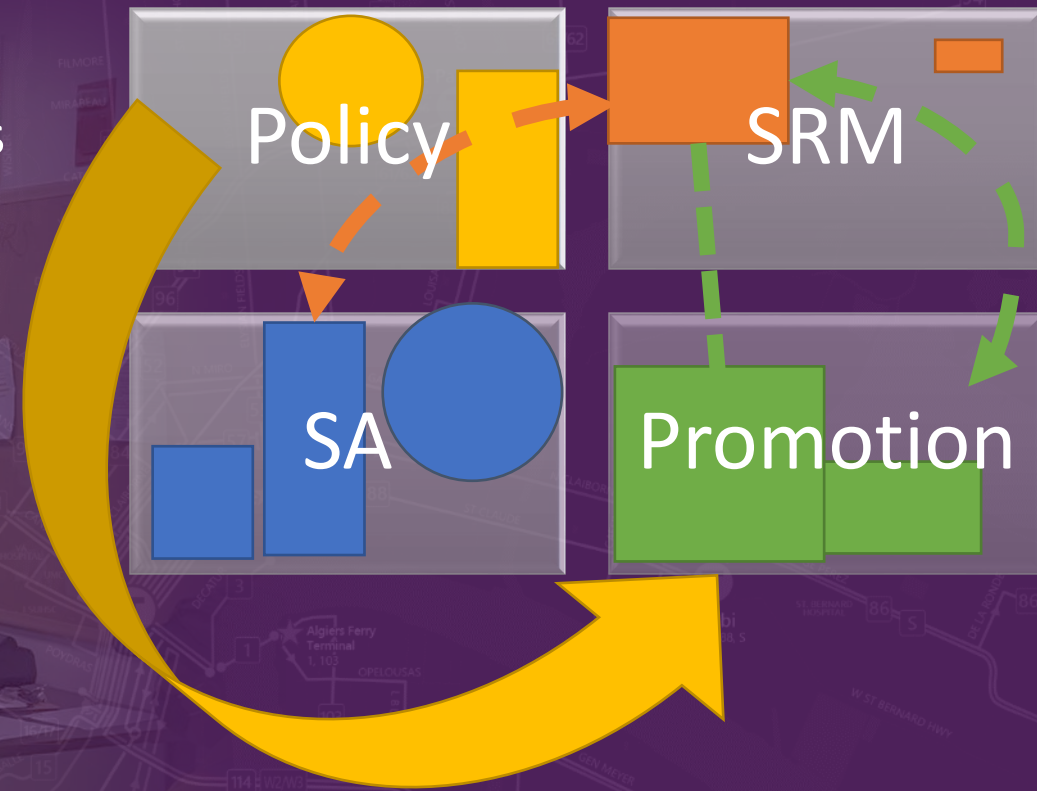
Why Shift to an SMS-Component Based ISMA?

1. Fosters proactive safety culture
2. Demonstrates to all levels the importance of measuring progress and demystifies corrective action process
3. Promotes collaboration and, specifically, shows that safety is everyone's responsibility
4. Fosters incremental continuous improvement
5. More data-driven insights
6. Better alignment with FTA regulations, training, and guidance
7. Alignment with SSO's oversight of ASP implementation



The ASP ↔ SMS Connection in Practice

- The ASP is a “living, breathing” document. It belongs to the entire organization.
- The ASP, along with agency policies, provides the necessary structure for growing and formalizing the SMS.
- Detailed activities to build and sustain the SMS are in a separate SMS Implementation Plan, which is also updated annually.
- Because SMS is still developing, the focus of SA activities such as ISMAs should be fostering collaboration and learning (i.e., performance-based). Safety Promotion focuses on establishing two-way safety communication and cultivating partnerships.



SMS Implementation Plan

APPENDIX E: SMS IMPLEMENTATION PLAN



New Orleans Regional Transit Authority

Multi-Year Strategic Plan
for
Safety Management System Implementation

2020 – 2025

Updated: October 20, 2021

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SIP ACTION ITEMS	Not Started	In Progress	Almost Complete	Complete	Dept. Responsible	Subtasks	Milestones/Achievements to Date	90 Day Goals
SIP Topic: Safety Committee Structure: See Appendix A, Items 4-6								
ESSC is re-established under a revised SOP/Charter to focus on SMS objectives.				✓	Safety	Monthly meetings are held and thorough report of agencywide accidents, incidents and occurrences is presented and discussed.	New ESSC format has been maintained and meetings continuous since June 2020. A new yearly calendar of ESSC meeting topics includes a review of Safety Objectives and the SMP, as well as the annual review cycle for the ASP.	
Establish a new hierarchy and reporting structure between the ESSC and Departmental Safety Committees (DSCs).			✓		Safety Operations Maintenance	Establish DSCs for: Bus & Rail Maintenance, Operations, and ENO.	Recurring meetings are held and accidents, incidents and occurrences are presented and discussed. Hazards reported within department level safety meetings are brought to the executive level for review. There are currently three DSCs, for Maintenance – Canal Bus Maintenance, Carrollton Rail Maintenance and SIS Rail Maintenance (this one should start this month September). Ex.	Next step is to establish DSCs for ENO and Operations. Operations will have one DSC that combines both bus and rail because they located at the same facility and to prevent any miscommunication.
				✓	Safety	Establish and finalize DSC Guidelines	Received concurrence from ESSC, distributed final to ESSC. Provided to the chairs of the three DSCs setup thus far.	
			✓		Safety	Establish Safety Department SOP for supporting/facilitating DSCs.		
Educate the ESSC on the current Safety Management Policy Statement and their roles and responsibilities related to key safety objectives.				✓	Safety	Educate current ESSC members.	Educated current ESSC members on SMP, and provided SMP in SharePoint/Teams folder for easy access. Incorporated SMP and ESSC roles and responsibilities into recurring annual meeting calendar.	
				✓	Safety	Provide technical assistance as necessary especially if ESSC roster changes		
Incorporate safety objectives into meeting agenda.				✓	Safety	Incorporate safety objectives into ESSC meeting agenda.	Incorporated SMP and ESSC roles and responsibilities into recurring calendar. Also added a standing, annual meeting topic to review safety objectives, in support of reviewing and updating the ASP each year.	Review safety objectives as part of the ASP review and approval process for the 2022 ASP.

Thank You!

Mike Smith



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[LinkedIn](#)



Industry Speaker



Alexander Houck
Deputy Chief Safety Officer, Safety Management System
Department of Transportation Maryland Transit Administration



FTA Webinar

ASP Reviews Advancing SMS

Continuously Improving



- Keyword is “**Plan**” – what we do *and* will do
- Identify **non-modal** departments as key stakeholders
- “Gift to Get”

Top Down is Not Trickle Down

- Your AE is *busy*
- **The Water Tower** - consistent pressure, energy, and reliability are essential to keep (internal) customers satisfied
- **Safety Culture Survey** to focus areas of improvement



Question and Answer



Questions welcome via the Q&A pod at the bottom of your screen

NOTE: This Q&A session will discuss the current PTASP regulation requirements. It will not discuss the recent Notice of Proposed Rulemaking (NPRM) published in the Federal Register on April 26, 2023.

For more information or individual assistance:

- TAC Website transit.dot.gov/PTASP-TAC
- FAQs transit.dot.gov/PTASP-FAQs
- Email PTASP-TAC@dot.gov





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