



FEDERAL TRANSIT ADMINISTRATION

Practical Strategies and Methods to Address SMS and Risk Reduction

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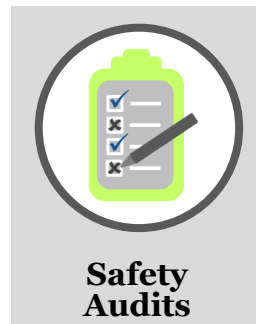
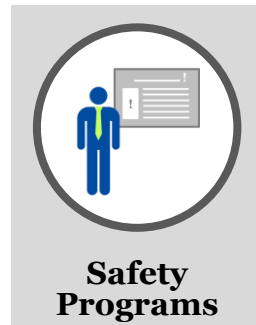
Today's Presentation

- Safety Management System (SMS) Review
- SMS Implementation
- Rulemaking Update
- SMS Bus Pilot

Review of SMS (Safety Management Systems)

What is a safety management system?

Transit agencies already perform many activities to stay safe.



A safety management system (SMS) makes sure the *right* safety activities are performed *correctly* and *routinely*, and that they are having the *impact* transit agencies expect.

An SMS engages all components and levels of a transit agency in answering these key questions:

1. What are our **most serious** safety concerns?
2. How do we **know** this?
3. What are we **doing** about it?
4. Is what we are doing **working**?
5. How do we **know** what we are doing is working?

The SMS implementation process

Key Points on SMS Implementation

- Can take months to years, depending on agency
- Certain activities are more appropriate for some agencies than others
- Not a “check the box” exercise; the SMS must be realistic and practical for the agency
- Not just a safety department effort; those responsible for managing and operating the SMS should be involved in developing it
- Critical success factor – CEO/executive leadership commitment

The SMS Implementation Process

Phase 1 Prepare

- Engage key individuals and build a team.
- Get familiar with SMS implementation.
- Identify gaps—the SMS policies, processes, and activities the agency still needs to develop.
- Make a plan for how to fill the gaps.

Key Outputs

- SMS gap analysis
- SMS development plan
- Safety Management Policy Statement (recommended for large, complex agencies)

Phase 2 Develop

- Design the safety risk management process.
- Build the safety assurance function.
- Determine SMS-related training and communication.
- Draft safety management policies to formally establish SMS processes and activities throughout the agency.

Key Outputs

- *Public Transportation Agency Safety Plan* (awaiting final rule)
- SMS policy documents

Phase 3 Operationalize

- Put SMS policies, processes, and activities into practice as they're approved by the agency.

Key Outputs

- A functioning SMS
- Safety Management Policy Statement (recommended at this point for smaller, less complex agencies)

Rulemaking Update

Public Transportation Safety Program

- Establishes FTA's Safety Oversight Authority and program of requirements for most recipients of FTA funding
- Establishes FTA's commitment to a Safety Management System (SMS) approach
- Requires FTA to create National Public Transportation Safety Plan to communicate with public transit industry
- Formalizes a comprehensive framework for safe public transportation through 4 program components:

National Public Transportation Safety Plan

- Safety vision, mission, goals
- Performance management criteria and guidance
- Safety Risk Management practices and procedures
- SMS implementation guidance
- Best practices and safety plan templates
- Top Safety Priorities
- Safety Standards

GUIDANCE

National Public Transportation Safety Certification Training Program

- Federal/State employees (or their designees) who conduct audits and examinations of public transportation systems
- Personnel of public transportation systems who have direct responsibility for safety oversight at their system

Public Transportation Agency Safety Plans

Identifies:

- Methods for identifying and evaluating safety risk
- Framework for agencies to identify strategies for minimizing public exposure to unsafe conditions
- Performance targets and criteria based on criteria established in the National Safety Plan
- Requires training for personnel responsible for safety

TRANSIT AGENCIES

State Safety Oversight (SSO) Program

- Oversees the agency safety plan for the rail transit systems
- Investigates and enforces plan
- Audits rail transit systems
- Reports on safety status of each transit rail agency

SAFER PUBLIC TRANSPORTATION

Rulemaking Timeline

MAP-21 Requirements	Federal Register Publication
Transit Asset Management NPRM	Published 9/30/15 Final Rule under development
Public Transportation Safety Program NPRM	Published 8/14/15 Final Rule under development
National Public Transportation Safety Plan	Published 2/5/16 Comment period closed 4/5/16
Public Transportation Agency Safety Plan NPRM	Published 2/5/16 Comment period closed 4/5/16
Interim Provisions Safety Certification Training Program NPRM	Effective 5/28/15 Published 12/3/15, Closed 2/1/16 Final Rule under development
Bus Testing NPRM	Published 6/23/15 Final Rule under development
State Safety Oversight Final Rule	Published 3/16/16
Operator Assault NPRM	Under Development Statutory due date March 2017

Public Transportation Safety Program

- Overall framework for all of the other Safety rulemakings and guidance
- Formally establishes FTA's use of Safety Management Systems (SMS)
- Sets rules of practice under FTA's enforcement authority (49 U.S.C. 5329(f) and (g))
- Commits FTA to creating and implementing a National Public Transportation Safety Plan
- Status
 - Notice of Proposed Rulemaking (NPRM) published 8/14/2015
 - Final rule under development

State Safety Oversight (SSO) Program

The SSO Final Rule strengthens the existing SSO program and includes the following guidelines:

- States assume greater responsibility for overseeing the safety of their rail fixed guideway systems
- FTA reviews and approves each State's SSO program standard, certifying whether States are meeting the statutory criteria
- FTA can impose penalties on States with non-existent or non-compliant safety oversight programs
- SSO Final Rule (49 CFR Part 674) replaces the current SSO rule at 49 CFR Part 659
- Strengthens an SSOA's authority to investigate accidents and oversee a rail transit agency's implementation of its System Safety Program Plan (SSPP) and Public Transportation Agency Safety Plan (PTASP)
- Status
 - Final rule published 3/16/16
 - SSOAs must be compliant by 4/15/19

Public Transportation Agency Safety Plan

The proposed rule would require an operator to develop and implement an Agency Safety Plan based on SMS principles. Each operator's plan would require, at minimum:

- Approval of the plan by the board of directors or equivalent entity
- Methods for identifying and evaluating safety risks throughout the system
- Strategies to minimize the exposure of the public, personnel and property to hazards
- An annual review and update of the plan
- Performance targets based on the safety performance criteria established in a National Public Transportation Safety Plan
- An adequately trained Safety Officer who reports directly to the general manager, president, or equivalent officer
- A comprehensive training program for personnel directly responsible for safety
- Status
 - NPRM published 2/5/16
 - Comment period closed 4/5/16

National Public Transportation Safety Plan

It is not a rule

- It is...
 - FTA's strategic plan for improving transit safety performance
 - A policy document
 - A communication tool
 - A repository of standards, guidance, best practices, tools, technical assistance, and other resources
- Status
 - NPRM published 2/5/16
 - Comment period closed 4/5/16

National Public Transportation Safety Certification Training Program

- Statutory requirements
 - The Secretary shall establish a public transportation safety 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, 49 U.S.C. 5329(c)(1)
 - Interim Provisions, 49 U.S.C. 5329(c)(2)
- The Safety Certification Training Program Interim Provisions and NPRM only apply to rail fixed guideway systems and bus is voluntary (but highly encouraged)
- Status
 - NPRM published 9/30/2015
 - Final rule under development

SMS Pilot Program

SMS Bus Pilot Program

- FTA is working hand-in-hand with select transit agencies across the country to develop and test guidance materials and technical assistance tools to support the industry's transition to SMSs
- FTA is currently working with a large multi-modal agency, but will be kicking off a pilot with a few mid-size and small bus agencies in the near future

SMS Bus Pilot Program

- Through this program, FTA:
 - Provides onsite training, guidance, technical assistance, and expertise to help the agency implement an SMS
 - Establishes the agency as a role model for SMS implementation
 - Applies lessons learned to the development of guidance materials and technical assistance tools for the entire transit industry
 - Develops insights on how best to support the industry-wide transition to SMS

Contact Information

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