

# FTA

FEDERAL TRANSIT ADMINISTRATION

## Moving Forward with Safety Management Systems

October 14, 2014  
Safety Roundtable  
APTA Annual Conference



U.S. Department of Transportation  
Federal Transit Administration



## Topics for Discussion

- Why we need SMS
- FTA's Office of System Safety: Who We Are
- Upcoming SMS Training and Pilot Initiatives
- Importance of Leadership

## What we want – from a safety perspective

- Make a safe industry even safer
- Foster sound safety policy
- Develop and share efficient practices for risk management and safety assurance
- Help grow a strong safety culture within every transit system

# What Nobody Wants



***AFTER*** an accident occurs, we can only react. Being proactive prevents accidents from occurring.

## Important Questions to Ask

- At the transit agency, state, and federal level:
  - What are our most serious safety concerns?
  - How do we know this?
  - What are we doing about it?
  - Is it working?

*...and importantly...How do we **know** what we are doing is working?*

# What is SMS?

- Safety management systems is about strategically applying resources to risk
- It is based on ensuring that a transit agency has the necessary organizational infrastructure in place to support decision-making at all levels for allocating resources
- This is essential to effectively manage safety risks while delivering transit service

# What SMS Does

- Ensures *timely* information about safety risks, so executives can make informed decisions about allocation of resources to prioritized risks
- Actively seeks to identify and mitigate hazards, so we can *prevent* accidents and manage change
- Fosters system-wide communication about safety issues up, down, and across the agency
- Enhances safety culture by empowering employees and involving them in decision-making
- SMS does NOT equate to ISO certification which relates to quality management systems

# The Benefits of a New Framework

- Grow safety in our industry
- Support executive level decision-making on risk prioritization and resource allocation
- Align industry safety oversight with agency safety mission achievement
- Increase understanding of risks and how to effectively manage these risks



# TSO's Office of System Safety

- System Management System (SMS)
- Accident Investigations
- Data Analysis & Management
- Risk Management
- Training & Technical Assistance
- Safety Promotion

# FTA's SMS Framework

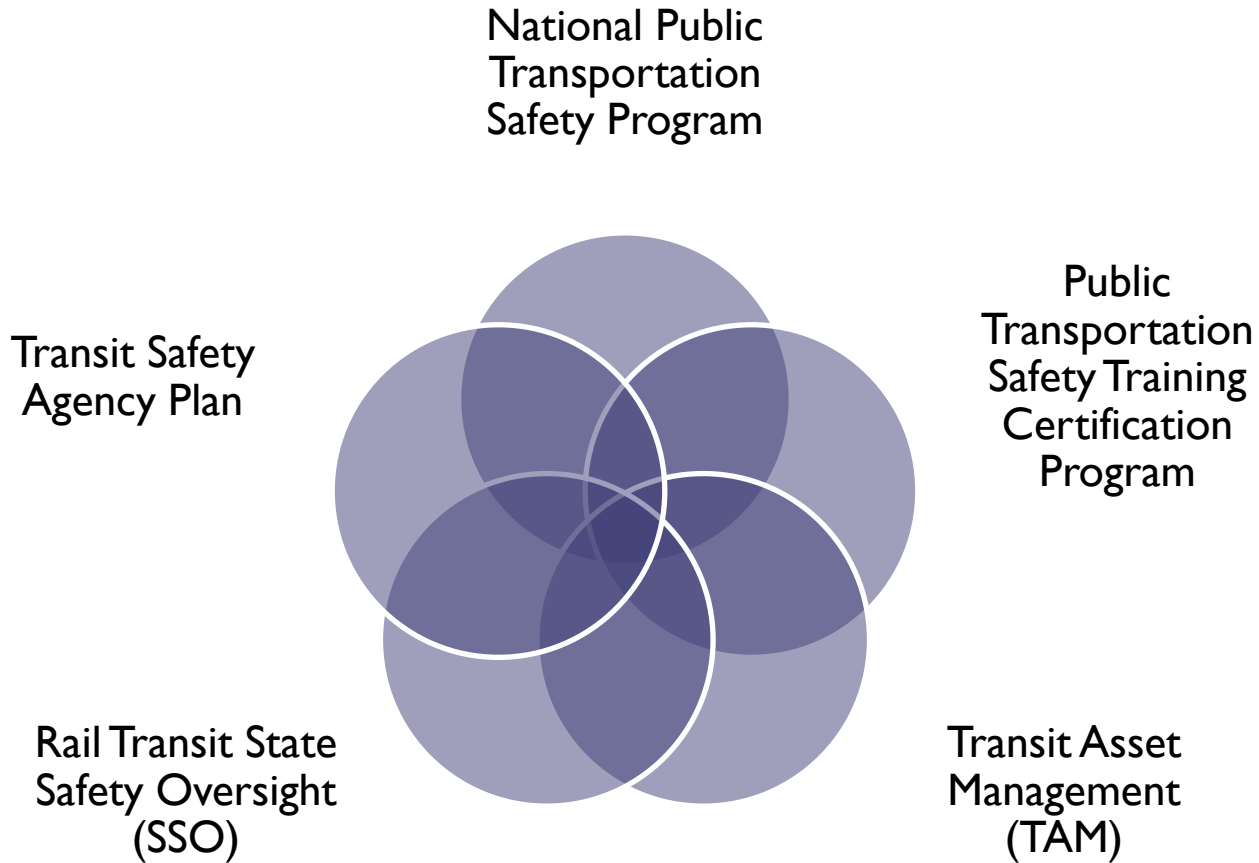
- Provides a foundation to support effective safety oversight activities
- Improves data collection and information exchange
- Helps us to understand where our agency-specific and industry wide risks exist
- Assists us in actively evaluating data to guide safety activities
- Allows us to prioritize resource allocation based on levels of safety risk

**SMS provides a framework for a more proactive and effective approach to assuring safety and meeting industry challenges**

# Safety Tools

- Regulatory and policy actions
- Guidance circulars
- Safety Advisories
- Technical assistance
- Research
- Training and outreach

# Current and Future Rulemakings



# Status of Safety Rulemakings

<b>NPRM</b>	<b>Projected Publication in Federal Register</b>
State Safety Oversight	Early 2015
Safety Certification Training Interim Provisions	Early to Mid 2015
Safety Certification Training Program	Mid 2015
Transit Asset Management	Mid to Late 2015
National Safety Program	Mid to Late 2015
Agency Safety Plan	Mid to Late 2015

# Next Steps

- Draft Notice of Proposed Rulemakings
- Issue Interim Provisions for the Safety Certification Training Program
- Conduct Outreach at Industry Conferences
- Initiate SMS Pilot for Transit Agency Implementation
- Continue Piloting SMS Training Courses
- Develop an Effective State Safety Oversight (SSO) Certification and Grant Program

## Initial SMS training courses and audiences

Audience	SMS Awareness*	SMS for Executives*	SMS 100 Rail	SMS101 SSO	SMS102 Bus
Length of course	1 HOUR	30-45 minutes	2.5 days	2 days	2 days
Transit Agency Executives		✓			
Transit Agency Safety Director and Staff (Rail)	✓		✓		
Transit Agency Safety Director and Staff (Bus)	✓				✓
State Oversight Agency Personnel	✓		✓	✓	
All Transit Employees	✓				

# FTA SMS Implementation Pilot Program

- Partner with transit agencies to support transition to SMS
- Conduct SMS Gap Analysis
- Support development of SMS implementation plan
- Monitor agency implementation of pilot program and provide assistance

*Goal: Initiate Pilot Program in 2015*



# Moving Forward with SMS

SMS Cannot Be Successful Without Your Full Support

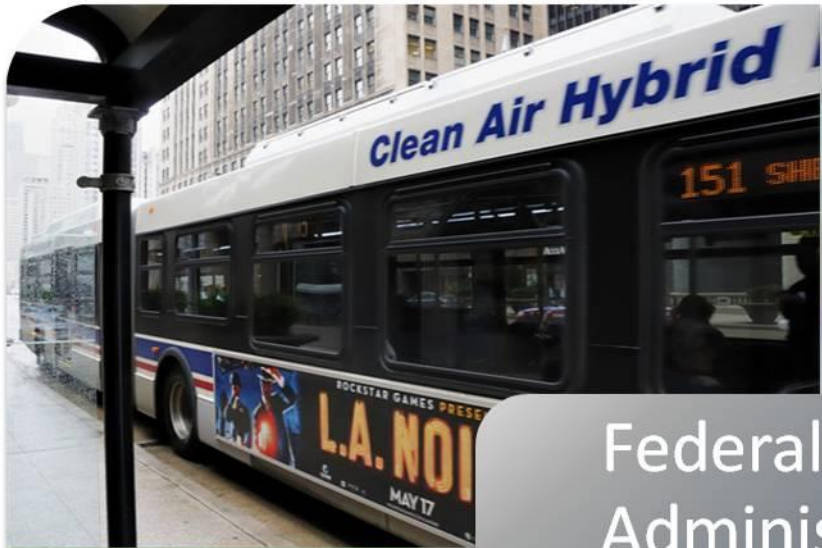
For further information:

Lynn Spencer

Director, Office of Safety Systems

[Lynn.Spencer@dot.gov](mailto:Lynn.Spencer@dot.gov)

(202) 366-5112



Federal Transit  
Administration  
[www.fta.dot.gov](http://www.fta.dot.gov)



**FTA**

FEDERAL TRANSIT ADMINISTRATION