Moving Forward with Safety Management Systems

October 14, 2014
Safety Roundtable
APTA Annual Conference
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

- National Public Transportation Safety Program
- Transit Safety Agency Plan
- Rail Transit State Safety Oversight (SSO)
- Transit Asset Management (TAM)
- Public Transportation Safety Training Certification Program
# Status of Safety Rulemakings

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

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<thead>
<tr>
<th>Audience</th>
<th>SMS Awareness*</th>
<th>SMS for Executives*</th>
<th>SMS 100 Rail</th>
<th>SMS101 SSO</th>
<th>SMS102 Bus</th>
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<td>All Transit Employees</td>
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*These courses are designed to provide a comprehensive understanding of Safety Management Systems (SMS) in the context of transit agencies.

**FTA**

**Federal Transit Administration**
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

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