Moving Forward with Safety Management Systems

January 13, 2015
Transportation Research Board Annual Meeting
Topics for Discussion

• Why we need SMS
• FTA’s Office of System Safety: Who We Are
• Transitioning to Risk-Based Oversight
• Safety Rulemakings
• Upcoming SMS Training and Pilot Initiatives
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?

• A safety management system 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 risk based decision-making at all levels for allocating resources
FTA’s Safety Management System (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 Management Systems (SMS)

SMS is built on four pillars:

**Safety Management Policy**
- Delineates management and employee responsibilities for safety
- Ensures highest level of management is actively engaged in safety oversight

**Safety Risk Management**
- Identifies and evaluates safety risks
- Develops safety risk mitigations to minimize the exposure of the public, personnel, and property

**Safety Assurance**
- Monitors effectiveness of safety risk mitigations
- Assures potential impacts to safety are considered when changes take place
- Monitors safety performance

**Safety Promotion**
- Includes safety awareness training & communication
- Ensures agency-wide communication of safety information.
- Creates a positive safety culture

For more information on SMS: [http://www.fta.dot.gov/tso_15176.html](http://www.fta.dot.gov/tso_15176.html)
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, teaching them how and what to report, and involving them in decision-making
- SMS does NOT equate to ISO certification which relates to quality management systems
FTA’s Office of Transit Safety and Oversight
Office of System Safety

- System Management System (SMS)
- Accident Investigations
- Data Analysis & Management
- Risk Management
- Safety Promotion
  - Training & Technical Assistance
  - Development of a strong safety culture
- Rulemaking/Policy
Change in the approach to safety oversight

- Transitioning to risk-based oversight
  - Establish clear expectations for safety performance and monitor
  - Ensure high quality and standardized data/information so we can identify and understand our safety risk
  - Prioritize decisions and activities based on safety risk evaluations
  - Align safety risk decisions ("are we all on the same page?")
  - Improve transparency and sharing with the industry
We need the right tools

- Rulemakings and guidance
- Training and technical assistance
- Ability to monitor and intervene as necessary
- Ongoing and consistent communication and collaboration with all of our stakeholders
Rulemakings Required by Congress

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

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

<table>
<thead>
<tr>
<th>Curriculum</th>
<th>No. of Days</th>
<th>Number of hours</th>
<th>*Federal and State Employees</th>
<th>**RTA’s Employees</th>
<th>Bus Transit 5307/5311 and State DOT’s</th>
</tr>
</thead>
<tbody>
<tr>
<td>Register on the FTA Public Transportation Safety Certification Training Website</td>
<td>n/a</td>
<td>.5</td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
<tr>
<td>SMS Awareness – ELearning</td>
<td>1 hour</td>
<td></td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
<tr>
<td>Safety Assurance – ELearning</td>
<td>2 hours</td>
<td></td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
<tr>
<td>Rail - TSSP Certificate “Gap” Course</td>
<td>2 hours</td>
<td></td>
<td>R</td>
<td>R</td>
<td>n/a</td>
</tr>
<tr>
<td>SMS for Rail Operations</td>
<td>2</td>
<td></td>
<td>R</td>
<td>R</td>
<td>n/a</td>
</tr>
<tr>
<td>SMS for State Safety Oversight</td>
<td>2</td>
<td></td>
<td>R</td>
<td>R</td>
<td>n/a</td>
</tr>
<tr>
<td>Transit Safety and Security Certificate (TSSP)</td>
<td>4.5</td>
<td></td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
<tr>
<td>Rail System Safety with SMS</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Effectively Managing Transit Emergencies (w/SMS)</td>
<td>4</td>
<td></td>
<td>R</td>
<td>R</td>
<td></td>
</tr>
<tr>
<td>Transit System Security (w/SMS)</td>
<td>4.5</td>
<td></td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
<tr>
<td>Rail Incident Investigation (w/SMS)</td>
<td>4.5</td>
<td></td>
<td>R</td>
<td>R</td>
<td>V</td>
</tr>
</tbody>
</table>
FTA SMS Implementation Pilot Program

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

*Goal: Initiate Pilot Program in 2015*
Moving Forward with Our Safety Vision

• Make a safe industry even safer

• Every transit agency is key to fulfilling this safety mission

• SMS will be how we manage safety in 10 years.
Moving Forward with SMS

SMS Cannot Be Successful Without Your Full Support

For further information:
Lynn Spencer
Director, Office of System Safety
Lynn.Spencer@dot.gov
(202) 366-5112
Federal Transit Administration
www.fta.dot.gov