



FEDERAL TRANSIT ADMINISTRATION

Moving Forward with Safety Management Systems

January 13, 2015
Transportation Research Board
Annual Meeting



U.S. Department of Transportation
Federal Transit Administration



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

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

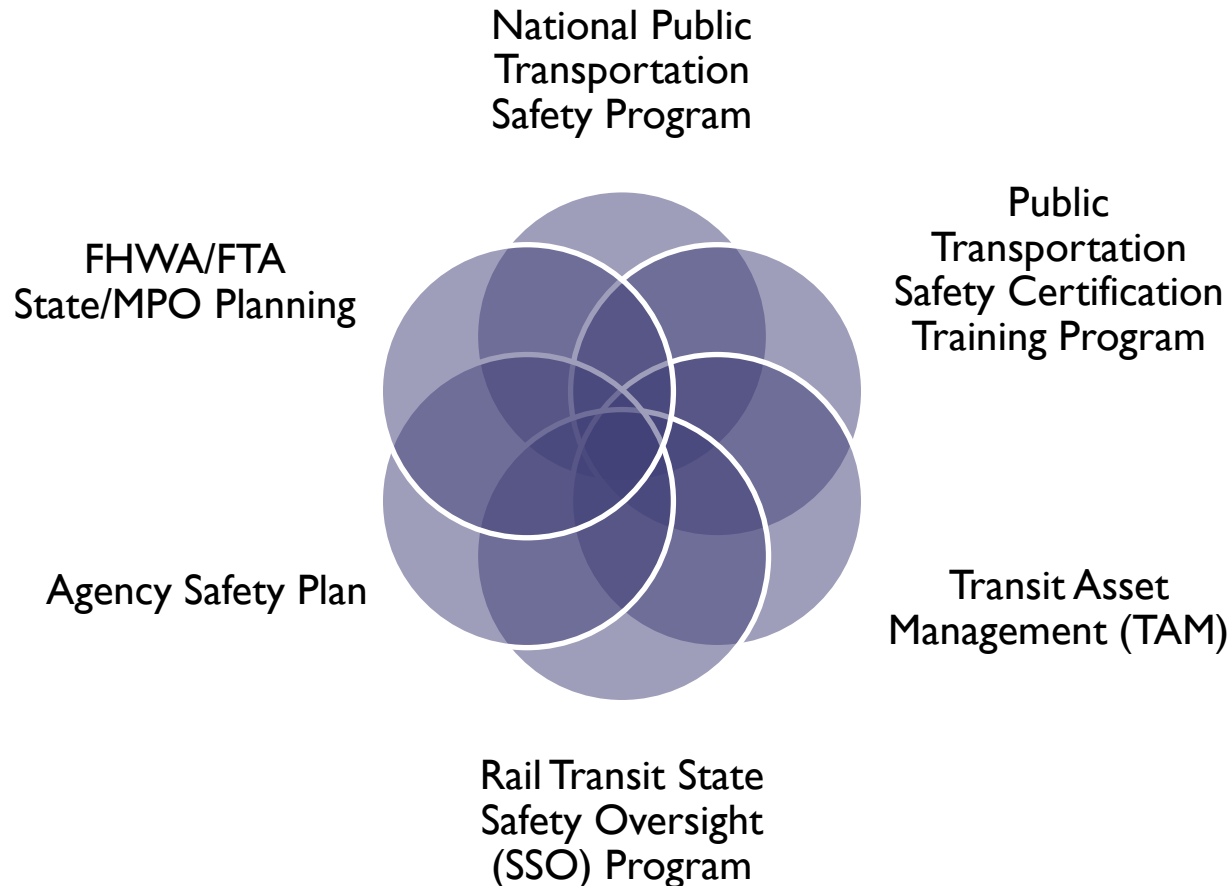
Change in the approach to safety oversight

- 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



Status of Safety Rulemakings

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

Interim Training Courses

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

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

FTA

FEDERAL TRANSIT ADMINISTRATION