

# Framework for MAP-21 Implementation

# September 20, 2012



**Robert Johns, Director, Volpe Center**

**Steve Popkin, Director, Safety Management Systems Technical Center**

# Philosophy and Implementation Principles

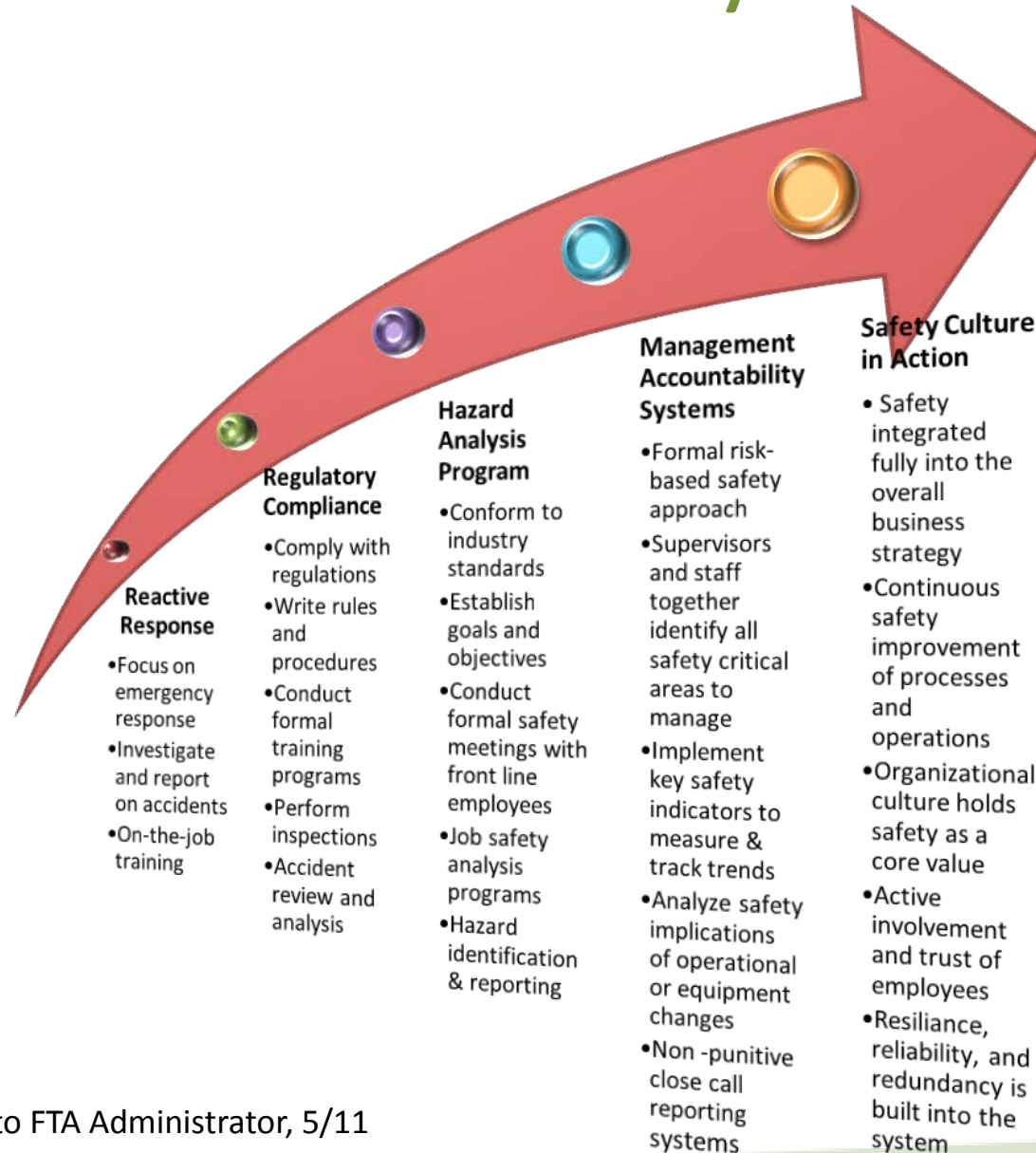
- Guiding philosophy: development of world-class transit safety program through a tailored Safety Management Systems (SMS) approach
- Guiding principles:
  - Respond to all of MAP-21 requirements in a timely manner
  - Design near-term deliverables to ensure long-term success
  - Develop a program that will continuously evaluate itself and improve over time
  - Collaborate with multiple stakeholders to support, inform and review planning products
  - Follow strategic vision, mission, and performance goals
  - Assist, certify and fund State Safety Oversight (SSO) programs

# Critical Components of High Safety Management Performance<sup>1</sup>



<sup>1</sup>TRACS SMS Memo to FTA Administrator, 5/11

# Safety Culture Maturity Model<sup>1</sup>



<sup>1</sup>TRACS SMS Memo to FTA Administrator, 5/11

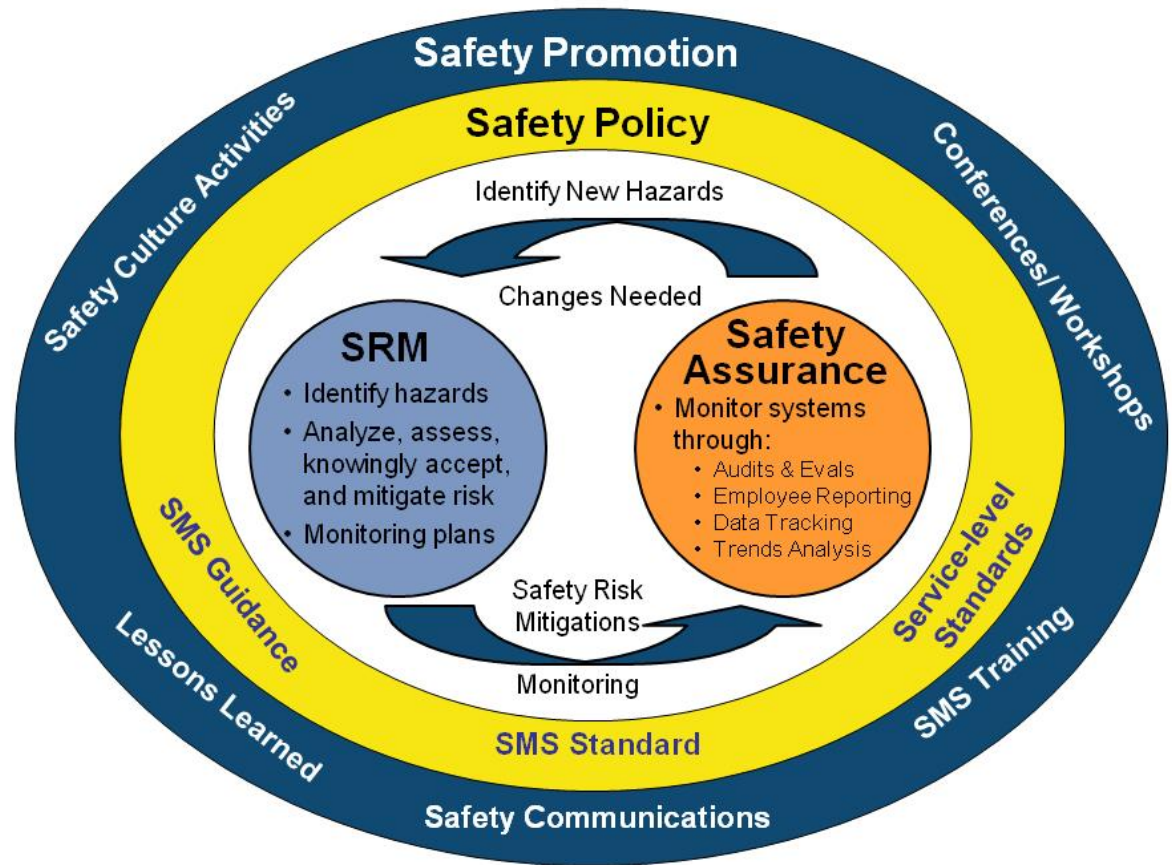
# TRACS Recommendations<sup>1</sup>

1. Identify and disseminate guidance on leading indicators of safety.
2. Conduct a confidential assessment to establish a national baseline of transit agencies' safety climate.
3. Develop safety culture maturity model.
4. Create a guidance manual on safety practices and principles.
5. Support external executive leadership training and coaching on safety.
6. Recognize good safety performance and the establishment of innovative practices by transit agencies.
7. Pilot an anonymous close-call/near-miss non-punitive reporting system.
8. Promote hazard identification and resolution for operations and maintenance.
9. Evaluate implementation of these recommendations after 5 years and consider appropriate adjustments to 49CFR Part 659.

<sup>1</sup>TRACS SMS Memo to FTA Administrator, 5/11

# Safety Management Systems (SMS) Framework Supporting Transit Safety

- A formal, top-down business-like approach to managing safety risk
- Features:
  - Strong safety culture
  - Proactive hazard analysis
  - Performance measures and leading indicators
  - Formal data collection
  - Voluntary reporting
  - Continuous learning and communications



# Work Breakdown Structure: Program Areas

## *Strategic Direction and Program Management*

Safety Program Strategic Vision

Organizational Design and Staffing

Strategic Communications

Program Management and Evaluation

## *Regulatory Needs Analysis and Implementation*

Conduct a review of FTA's current legal authority

Identify gaps between FTA's pre- and post-MAP-21 legal authority

Review current rulemaking process within FTA and determine needed changes

Identify gaps between existing and needed policies and regulations to support oversight

Develop a prioritized list of needed rulemakings

Propose new rules

## *Core Safety Management Systems Components*

Safety Policy

Risk Management Processes

Safety Assurance Framework

Safety Culture Improvement and Communications

## *Certification, Standards Development and Technical Assistance*

Certification and Training Programs

Standards Development and Safety Research

Technical Assistance Program



# Strategic Direction and Program Management

- > Safety Program Strategic Vision
- > Organizational Design and Staffing
- > Strategic Communications
- > Program Management and Evaluation



# Regulatory Needs Analysis and Implementation

- > Conduct a review of FTA's current legal authority
- > Identify gaps between FTA's pre- and post-MAP-21 legal authority
- > Review current rulemaking process within FTA and determine needed changes
- > Identify gaps between existing and needed policies and regulations to support oversight
- > Develop a prioritized list of needed rulemakings
- > Propose new rules

# Core Safety Management Systems Components

- > Safety Policy
- > Risk Management Processes
- > Safety Assurance Framework
- > Safety Culture Improvement and Communications

# Certification, Standards Development and Technical Assistance

- > Certification and Training Programs
- > Standards Development and Safety Research
- > Technical Assistance Program