



FEDERAL TRANSIT ADMINISTRATION

2016 SSO Program Workshop

SMS Implementation

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July 18, 2016



U.S. Department of Transportation

Federal Transit Administration

Today's Presentation

- SSOA roles in SMS implementation
- Indicators of successful SMS implementation

SSOA roles in SMS implementation

49 CFR Part 674 Requirements

- Establish minimum standards for the safety of transit systems within the SSOA's oversight.
- Review and approve each transit system's Public Transportation Agency Safety Plan (PTASP).
- Oversee execution of each PTASP, enforcing execution through corrective action plans or other means.
- Investigate allegations of noncompliance with PTASPs.

Related Roles

- Help set up transit systems for success.
- Help transit systems stay on track.
- Lead by example.

The Public Transportation Agency Safety Plan rule and SMSs

- Through the proposed PTASP rule, each transit agency would be required to implement an SMS.
- In the PTASP Notice of Proposed Rulemaking, the FTA proposed to adopt an SMS approach to developing and implementing PTASPs.
- The PTASP rule is based on statutory requirements in 49 U.S.C. 5329(d)(1). Each of these requirements is critical to an effective SMS.

The Public Transportation Agency Safety Plan rule and SMSs

- Each requirement in 49 U.S.C. 5329(d)(1) is *critical* to an effective SMS, but the statutory and regulatory requirements may not be *sufficient* for an effective SMS.
- In addition to meeting statutory and regulatory requirements, an effective SMS should be:
 - Appropriate for the specific transit system;
 - Actually put into practice; and
 - Having an impact on safety performance, so that the transit system meets minimum standards for safety.

Why should an SSOA care about how an SMS is implemented?

Building upon the traditional oversight function, attention to SMS implementation helps SSOAs:

- Ensure an **approved** PTASP is feasible and that it sets up the transit agency for success;
- Improve **execution** and minimize **noncompliance** with a PTASP; and
- Increase the likelihood that **minimum safety standards** will be met.

The SMS Implementation Process*

Phase 1 Prepare

- Engage key individuals and build a team.
- Get familiar with SMS implementation.
- Identify gaps—the SMS policies, procedures, and processes the agency still needs to develop.
- Make a plan for how to fill the gaps.

Key Outputs

- SMS gap analysis
- SMS development project plan
- Safety management policy statement

Phase 2 Develop

- Design the safety risk management process.
- Build the safety assurance function.
- Determine SMS-related training and communication.
- Draft safety management policies and procedures to formally establish SMS processes and activities throughout the agency.

Key Outputs

- Public Transportation Agency Safety Plan (awaiting final rule)
- SMS policy documents

Phase 3 Operationalize

- Put SMS policies, procedures, and processes into practice.

Key Outputs

- A functioning SMS

*SMS implementation guidance and tools are still undergoing development and testing.

Indicator of successful SMS implementation

Leadership is committed and the right people are engaged.

- The Accountable Executive and SMS Lead are identified and leading the effort.
- An SMS Implementation Team is established.
- Key partners are engaged, as appropriate.

How can SSOAs help?

- Talk to transit agency leaders and key partners about their involvement.
- Encourage the Accountable Executive to lead and stay engaged.

Indicator of successful SMS implementation

Individuals participating in SMS implementation are knowledgeable and confident.

Everyone involved in SMS implementation:

- Received briefings or completed SMS training;
- Understands how an SMS is different;
- Buys into SMS; and
- Considered how to customize an SMS and the SMS implementation process to their agency.

How can SSOAs help?

- Connect the agency to guidance materials and role models.
- Alert the agency to relevant training opportunities.

Indicator of successful SMS implementation

The SMS Implementation Team is evaluating existing processes before building new ones.

- The team conducted a gap analysis, identifying:
 - What elements of SMS the transit agency has in place, and
 - What still needs to be developed.
- The team examined the transit agency's current safety culture and understands what it means for SMS implementation and operation.

How can SSOAs help?

- Help the transit agency look at existing processes through an SMS lens.
- Help build awareness and buy-in regarding a strong safety culture.

Indicator of successful SMS implementation

The SMS Implementation Team is looking ahead and has a realistic plan.

The team considered and documented, as appropriate:

- Key steps, a realistic timeline, and resources;
- Roles and responsibilities;
- How to communicate and engage personnel and partners; and
- Creating change by building on short-term wins.

How can SSOAs help?

- Help the transit agency develop a plan that is both realistic and likely to lead to results that meet the FTA's and SSOA's requirements.

Indicator of successful SMS implementation

SMS policies, procedures, and processes are well-documented and communicated.

- SMS activities and processes are adequately documented.
- SMS policies and procedures are:
 - Appropriately written, communicated, and incorporated into training;
 - Well understood by the intended audience; and
 - Maintained as records.

How can SSOAs help?

- Ask for and review documentation.
- Examine whether documentation, communication, and training meets the audience's needs.

Indicator of successful SMS implementation

Once developed, SMS policies, procedures, and processes are actually put into practice.

SMS processes and activities are:

- observable;
- used as expected, based on written guidance; and
- having a positive impact on safety performance.

How can SSOAs help?

- Observe and review actual SMS practice. Does practice match policy and procedure?

Questions?

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