FTA

Safety Management Systems (SMS): Information, Approaches and Best Practices

FTA Update

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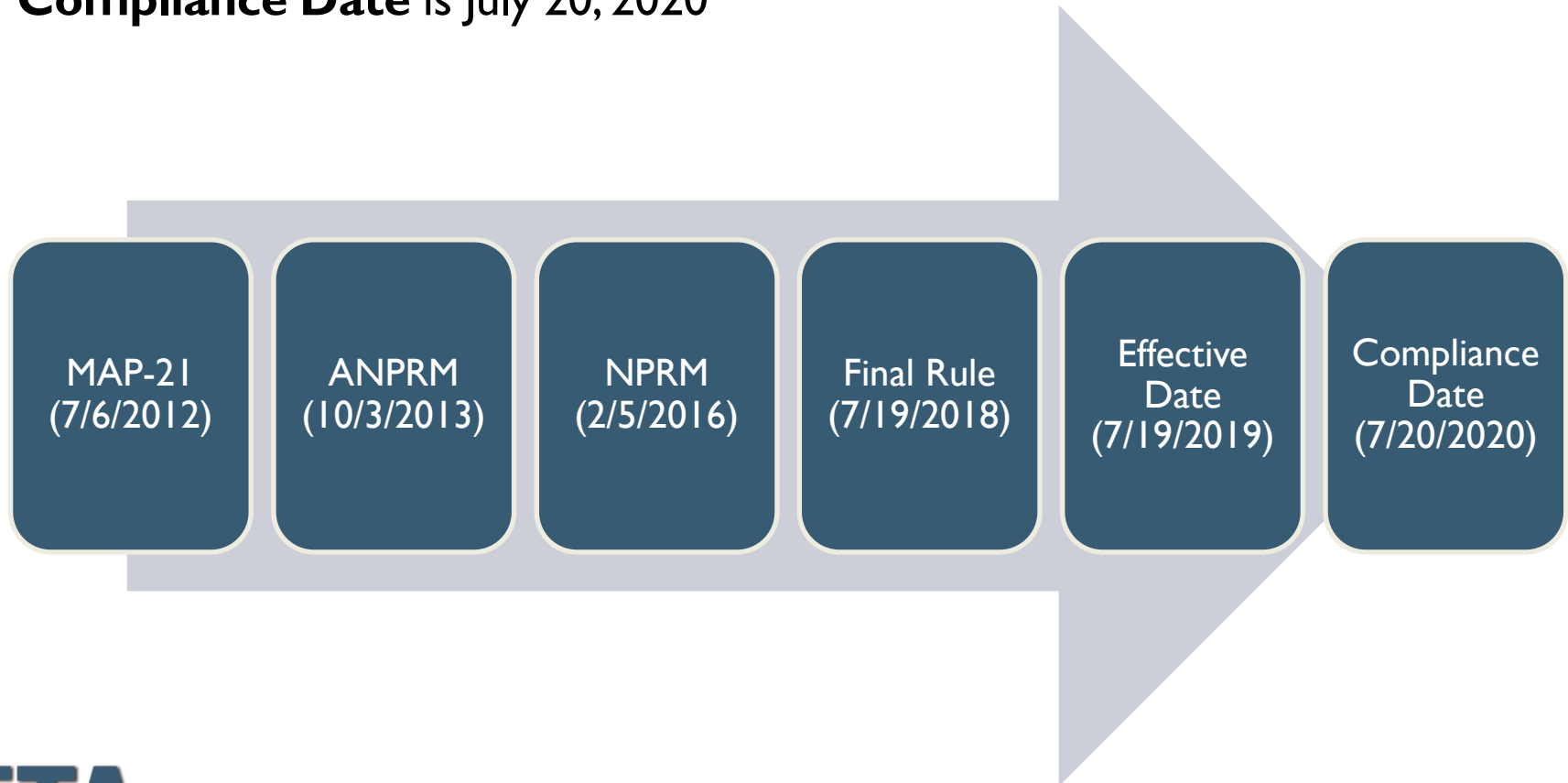**September 26, 2018**

Today's Presentation

- Overview of the Public Transportation Agency Safety Plan (PTASP) Final Rule

- SMS Overview

- SMS Implementation Pilot Program Update

- Outreach and Technical Assistance

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The PTASP Process

Final Rule Published on July 19, 2018
Effective Date is July 19, 2019
Compliance Date is July 20, 2020

| MAP-21 (7/6/2012) | ANPRM (10/3/2013) | NPRM (2/5/2016) | Final Rule (7/19/2018) | Effective Date (7/19/2019) | Compliance Date (7/20/2020) |

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PTASP Rule Oversight Framework

FTA Role

- Guidance
- Technical assistance
- Triennial reviews

Transit Agency Role

- Develop and implement PTASP
- Annual self-certification

SSO Agency Role

- Review and approve PTASP
- Oversees RTA compliance

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Safety Management System (SMS)

Safety Management Policy

Establish A Written Statement of Safety Policy, Communicated Throughout the Agency, that Includes:

Safety objectives for the agency

A employee reporting program

Organizational accountabilities and safety responsibilities for:

1. Accountable Executive

2. Chief Safety Officer

3. Agency Leadership

4. Key Staff Responsible for Safety

Safety Risk Management

Establish A Process For:

Identify safety hazards.

Assess the safety risks associated with the identified safety hazards.

Prioritize safety hazards based on the level of risk.

Implement safety risk mitigations.

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Safety Assurance (All Transit Agencies)

Establish Activities For:

Safety Performance Monitoring and Measurement

Monitor compliance with/sufficiency of operations and maintenance procedures.

Identify mitigation(s) that may be ineffective, inappropriate, or not implemented as intended.

Conduct investigations of safety events to identify causal factors.

Monitor safety-related information.

Safety Assurance (Rail/Large Bus Systems Only)

Establish Activities For:

Management of Change	Identify and assess changes that may introduce new hazards or impact safety performance.
Continuous Improvement	Assess safety performance and correct safety deficiencies.

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Safety Promotion

Elements:

Comprehensive safety training program for agency employees/contractors directly responsible for safety.

Communicate an agency's safety performance throughout the organization.

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SMS Implementation Pilot Program Background and Purpose

FTA develops and tests SMS implementation guidance for the transit industry in real-world circumstances, including:

- Large, multi-modal

- Small and midsize transit bus

- Contractor-operated

- Rural

Current SMS Implementation Pilots:

- **CTA Pilot**: Chicago Transit Authority (CTA), with the Illinois Department of Transportation (IDOT)

- **Bus Pilot**: Montgomery County, MD Ride On; Transit Services of Frederick County, MD; Charles County, MD VanGO, with the Maryland Transit Administration (MTA)

Current Status: CTA Pilot

- CTA has completed and signed an SMS Implementation Project Plan and Sub-Plans

- CTA is testing Safety Risk Management procedures with Bus Operations at two bus garages

- CTA is working to develop Safety Assurance procedures
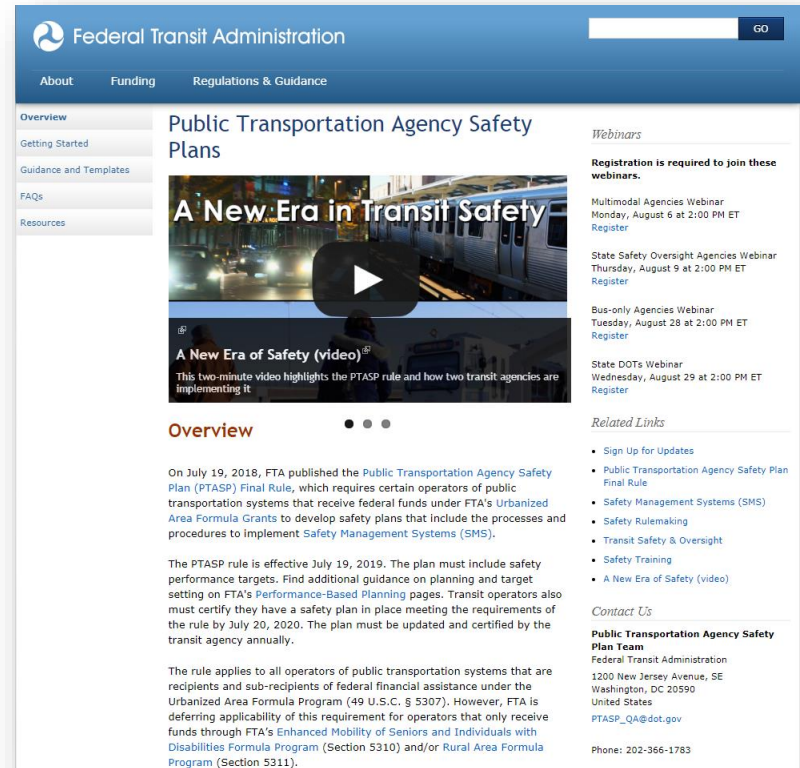
Current Status: Bus Pilot

- All three transit agencies have completed SMS training

- Montgomery County and Frederick County have developed Safety Management Policy Statements

- All three transit agencies are preparing to begin a capabilities assessment to initiate SMS implementation planning

FTA Technical Assistance

To assist with the implementation of these final rules and to reduce administrative and financial burdens, FTA is publishing templates, guidance and technical assistance, including:

- Rail (forthcoming)
    - SSPP to PTASP Roadmap
    - Rail Guidance
- Bus
    - PTASP Template
    - Bus Guidance

https://www.transit.dot.gov/PTASP
Questions: PTASP_QA@dot.gov
Other questions? Call the TSO Main Number at 202-366-1783

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