The Benefits of Safety Management Systems

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APTA Transit Board Members and Board Administrators Seminar
July 22, 2019
Agenda

• PTASP Overview
• TAM and SMS
• Benefits of SMS
• Questions
PTASP Overview

• The rule implements an innovative approach to improving transit safety
  – Founded on SMS principles
  – Risk-based and performance-based
  – Not a one-size-fits all rule

• The rule became effective on **July 19, 2019**

• Transit agencies must develop, certify, and implement an Agency Safety Plan by **July 20, 2020**
# PTASP Applicability

| PTASP Rule | 
| --- | --- |
| **Applies to:** | **Does NOT Apply to:** |
| • Operators of transit systems that receive Urbanized Area Formula Program funds and all rail transit operators, regardless of FTA funding source - §673.1(a) | • FTA recipients that do not operate transit systems  
• Commuter rail service regulated by Federal Railroad Administration - §673.11(f)  
• Passenger ferry service regulated by United States Coast Guard - §673.11(f) |

## Impacted Agencies

- 65 Rail Transit Agencies
- 128 Large 5307 Bus Agencies
- 737 Small 5307 Bus Agencies
- Multi-modal Transit Agencies
Safety Management System (SMS) Components

- Safety Promotion
- Safety Risk Management (Identify, Assess, Mitigate)
- Safety Management Policy (Leadership, Commitment, Accountability)
- Safety Assurance (Measure, Monitor, Evaluate)
- (Communication & Training)
PTASP Implementation & SMS Requirements

Safety Management Policy
• Safety management policy statement
• Safety objectives
• Employee safety reporting program
• Authorities, accountabilities, and responsibilities of staff responsible for safety

Safety Risk Management
• Identify safety hazards
• Assess safety risk associated with safety hazards
• Prioritize safety hazards
• Implement safety risk mitigations

Safety Assurance
• Safety performance monitoring and measurement
• Management of change
• Continuous improvement

Safety Promotion
• Comprehensive safety training program
• Communicate agency’s safety and safety performance information
TRANSIT ASSET MANAGEMENT (TAM) AND SMS
Nexus Between TAM and SMS

Transit Asset Management (TAM)
- TAM rule, 49 CFR Part 625
- Inventory of Capital Assets
- Condition Assessment
- Decision Support Tools
- Investment Prioritization
- TAM & State of Good Repair Policy
- Implementation Strategy
- List of Key Annual Activities
- Identification of Resources
- Evaluation Plan

Safety Management Systems (SMS)
- PTASP rule, 49 CFR Part 673
- 5307 Recipients
- Safety Management Policy (SMP)
- Safety Risk Management (SRM)
  - Safety Hazard Identification
  - Safety Risk Assessment
  - Safety Risk Mitigation
- Safety Assurance (SA)
  - Safety Performance Monitoring & Measurement
    - Management of Change
    - Continuous Improvement
- Safety Promotion (SP)

FTA
Federal Transit Administration
BENEFITS OF SMS
# Principles and Goals of SMS

## Safety Culture
- Proactive
- Integrative
- Cooperative

## Continuous Safety Improvement
- Ongoing hazard identification
- Manage safety risk
- Monitor and evaluate solutions
Key Benefits of SMS Activities

• Provide answers to help prioritize safety investments
• Include routine monitoring of service delivery operations to support:
  - A clear picture of operations—from a safety perspective
  - Proactive safety decision making
  - Transparency to support decisions to address safety concerns
  - Identifying organizational contributions to safety events
The Role of Transit Agency Boards

The organization owns the SMS

- The system is implemented, used, and supported by top management
- Messaging comes from the highest levels

SMS sits at the same level as all other critical business systems/functions

- SMS may be managed by the safety department but spans the organization
- SMS is not a safety program, it’s a management approach

Safety is cross-organizational, and managed at all levels of the organization
Key Takeaways for Top Executives

1. Commitment to SMS is vital for its success
2. Communicate often with your employees
3. Integrate SMS into management of all service delivery operations
Board Expectations and Next Steps

- Help define safety objectives and SMS expectations
- Create an organizational vision of what SMS success looks like
- Align SMS with primary purpose—service delivery
- Build on practices already in place
- Endorse the Safety Management Policy Statement
- Support resourcing of the SMS
- Support the Accountable Executive
- Review and approve the Agency Safety Plan
### PTASP Resources

#### Read, watch, and participate
- Review the [PTASP FAQs](#)
- Visit the [PTASP Resources](#) page to view previous webinars and documents
- Participate in webinars explaining PTASP regulations and guidance
- Read our newsletter, [TSO Spotlight](#) for PTASP-related articles

#### Attend a workshop
- FTA will hold PTASP workshops in July, August, and September 2019 for bus and rail transit agencies. The workshops will allow participants to learn more about the rule’s requirements, how to implement SMS, and to share best practices.
- Information on the workshops can be found on the FTA website under [Calendar of Events](#) and on FTA’s [PTASP page](#) for registration updates

#### Sign up to receive updates
- **Sign up for GovDelivery:**
  - FTA announcements and new PTASP documents
  - [https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new](https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new)

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Questions? Comments? Email us at [PTASP_QA@dot.gov](mailto:PTASP_QA@dot.gov)
QUESTIONS?