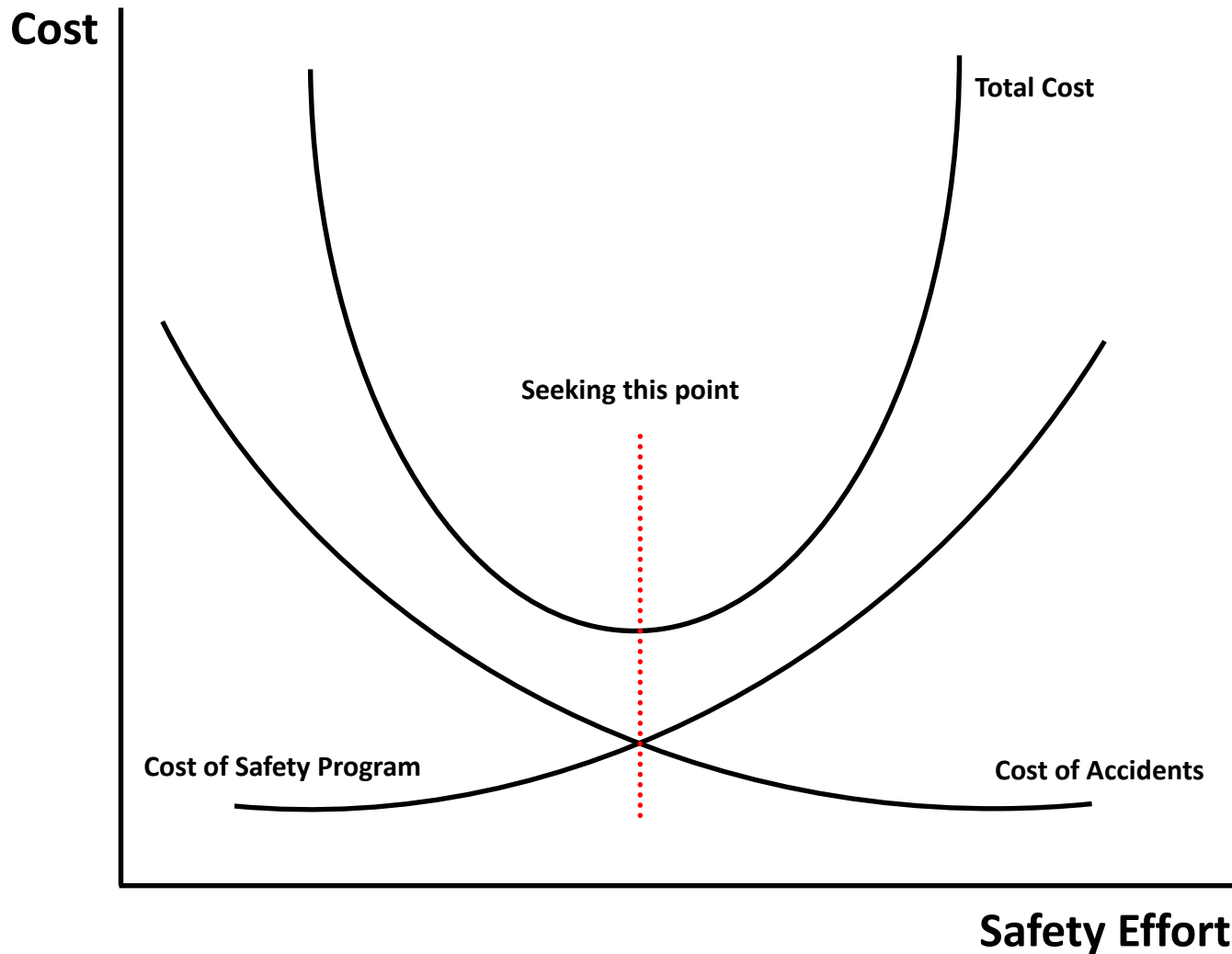# SRM in an SMS Environment

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APTA Risk Management Conference
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U.S. Department of Transportation
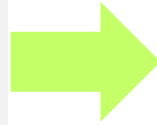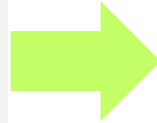**Federal Transit Administration**

Cost vs. Safety

Cost

Total Cost

Seeking this point

Cost of Safety Program

Cost of Accidents

Safety Effort

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From a Compliance Approach	to a Safety Management Systems Approach
Document current procedures and practices	Document strategies to address priority safety risks
Safety regulators are primary users of safety data	Safety regulators, and agency leadership, employees and stakeholders are *all* primary users of safety data
Focus on compliance with prescriptive regulations	Focus on measuring the effectiveness of risk control strategies and achieving safety outcomes
Reactive – address safety concerns after accidents occur	Proactive – learn from close calls and address accident precursors to prevent events
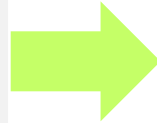
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What is a safety management system?

Transit agencies already perform many activities to stay safe.

Safety Assessments

Safety Programs

Raise Safety Concerns

Safety Audits
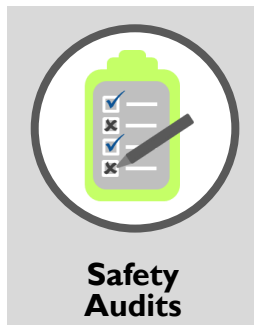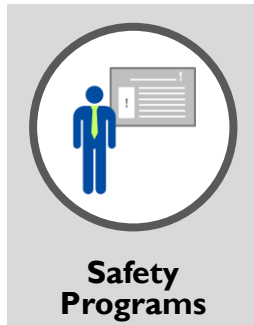
A safety management system (SMS) makes sure the *right* safety activities are performed *correctly* and *routinely*, and that they are having the *impact* transit agencies expect.
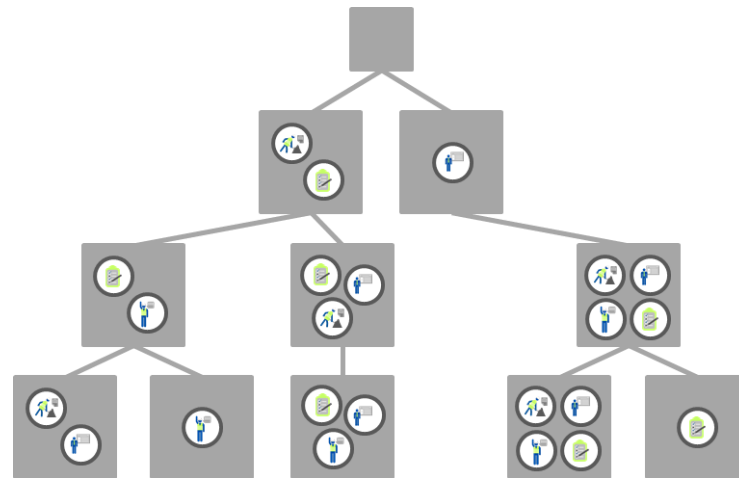
SMS Structure

SAFETY MANAGEMENT POLICY

Formalize effective safety management throughout the transit agency.

Establish and document:

- **Accountabilities & responsibilities**
- **Partnerships with relevant external entities**
- **Safety processes and procedures**

SAFETY MANAGEMENT PROCESSES

SAFETY RISK MANAGEMENT PROCESS

Actively manage safety risk throughout the transit agency.

SAFETY ASSURANCE PROCESSES

Monitor and verify that safety risk is adequately managed, and continuously improve the SMS.

SAFETY PROMOTION

Build awareness and understanding of safety management policies.

Train individuals to successfully fulfill their roles & responsibilities.
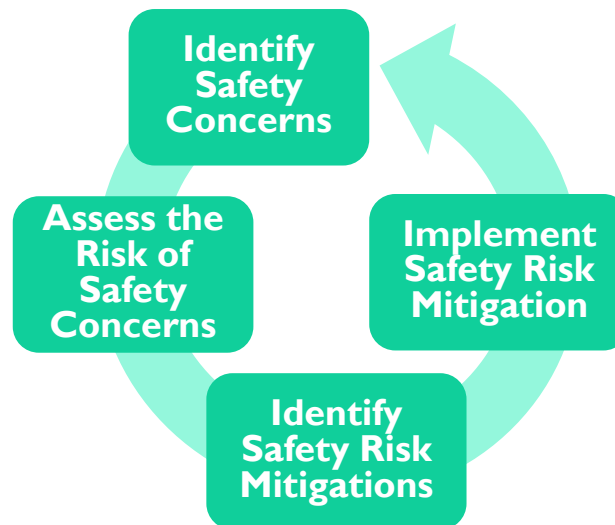
Encourage a strong safety culture.

An SMS helps a transit agency answer key questions by linking different safety activities through formal processes.

Key Questions

1. What are our **most serious** safety concerns?

2. How do we **know** this?

3. What are we **doing** about it?
   – Specifically, what **should** we do about it?

The Safety Risk Management Process

- Identify Safety Concerns
- Implement Safety Risk Mitigation
- Identify Safety Risk Mitigations
- Assess the Risk of Safety Concerns

Why focus on managing risk?

- Understand how bad consequences of a safety concern could be.

- Understand how likely these consequences are.

- Apply limited resources wisely.

Key Points on SMS Implementation

- Can take months to years, depending on agency

- Certain activities are more appropriate for some agencies than others

- Not a "check the box" exercise; the SMS must be realistic and practical for the agency.

- Not just a safety department effort; those responsible for managing and operating the SMS should be involved in developing it.

- Critical success factor – CEO/executive leadership commitment.

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SMS Challenges

- Compliance may be on paper only
- Small transit agencies do not have large safety staffs to perform SMS safety processes without greatly simplifying the processes
- If safety data is not readily available, hazard likelihood may be inaccurately assigned

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How can SMS fail?

- Risk Assessments are not performed when appropriate
- Hazards are not properly identified
- Risk is underestimated
- Risk mitigations are not implemented
- Inadequate tracking of safety deficiencies
- Inadequate supervision
- Insufficient training for the tasks to be performed

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Evidence of a weak SMS

- Mitigation measures are absent or inadequate
- Hazards are not being identified and properly analyzed
- Organization has failed to detect non-compliance with safety processes
- The organization is not improving its SMS based on its experiences
- The safety culture has created conditions that are allowing for accidents to occur

Resources to Help You Prepare Now

Read, watch, and participate

- Review FTA's *SMS Framework*

- Participate in webinars explaining new regulations and guidance

- Visit FTA's YouTube page to view previous webinars

- Read our newsletter *TSO Spotlight*

Get trained

Register for Transit Safety Courses:

- Contact the Transportation Safety Institute (TSI), at transit@dot.gov or (405) 954-3682

- The SMS Awareness eLearning course is available on TSI's Learning Management System (LMS) https://tsi-dot.csod.com/LMS/catalog/Welcome.aspx?tab_page_id=-67&tab_id=20000325

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