2017 APTA Annual Meeting

FTA’s Safety Management System (SMS) Programs and Initiatives

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Federal Transit Administration

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Agenda

• Transit Safety Rulemaking and Guidance
• FTA Approach to SMS
• Safety Culture and SMS
• SMS Structure
• Principles of a Strong Safety Culture
• SMS Implementation Pilot Program
• Resources to Help You Prepare Now
• Questions
<table>
<thead>
<tr>
<th>Regulation</th>
<th>Rulemaking Timeline</th>
<th>Status</th>
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<tbody>
<tr>
<td>Public Transportation Agency Safety Plan</td>
<td>NPRM Published: 2/5/2016 Comment By: 4/5/2016</td>
<td>Final Rule in Development</td>
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<td>49 CFR Part 673</td>
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<td>Public Transportation Safety Certification</td>
<td>NPRM Published: 12/3/2015 Comment By: 2/1/2016</td>
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<td>Training Program</td>
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<td>Preventing Transit Worker Assault NPRM</td>
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<td>49 CFR Part 670</td>
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<td>Transit Asset Management</td>
<td>NPRM Published: 9/30/2015 Comment By: 11/30/2015</td>
<td>Final Rule Published: 7/26/2016 Effective: 10/1/2016</td>
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# Safety in Context

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<tr>
<th>From a Traditional Compliance Approach</th>
<th>to a Principled Safety Management Systems Approach</th>
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<tbody>
<tr>
<td>Compliance-based</td>
<td>SMS Principles-based</td>
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<tr>
<td>Following Rules and Procedures</td>
<td>Identifying Risk and Exposures</td>
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<td>Punitive, Blame-oriented</td>
<td>Collaborative, trust-oriented</td>
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<td>Reactive – <em>after</em> accidents, identify causal factors and non-compliant individuals</td>
<td>Proactive – prior to accidents, identify and mitigate system risks; continuous learning</td>
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Safety Culture and SMS

• **Safety Culture**: The shared values, actions, and behaviors that demonstrate a commitment to safety over competing goals and demands.

• **SMS**: Formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations.
SMS Structure

• Safety Management Policy
• Safety Management Processes
  – Safety Risk Management Process
  – Safety Assurance Processes
• Safety Promotion
Principles of a Strong Safety Culture

1. Leadership displays clear commitment to safety
2. Open and effective communication
3. Employees feel personally responsible for safety
4. Organization practices continuous learning
5. Safety-conscious work environment
Principles of a Strong Safety Culture

6. Non-punitive, clearly defined reporting systems
7. Safety is demonstrably prioritized
8. Mutual trust
9. Fair and consistent response to safety concerns
10. Safety training and resources made available
SMS Implementation Pilot Program

FTA is developing and testing SMS implementation guidance for:

• Large multi-modal agencies
• Bus agencies of all sizes
• Rural transit operators
• Contractor-operated services
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](https://tsi-dot.csod.com)

### Sign up to receive updates

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

Questions? Comments? Email us at FTASafetyStakeholder@dot.gov
Questions?

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