TRB 97th Annual Meeting

FTA’s Safety Management System (SMS)

Aloha Ley
Office of Transit Safety and Oversight
Federal Transit Administration

January 8, 2018
Agenda

- SMS in Rules
- SMS Approach
- Our Role in SMS
SMS in Rulemaking

Umbrella: Approach & Plan
- Program
- NSP

State Safety Oversight Agencies
- SSO

Transit Agencies
- PTASP

Infrastructure: People & Equipment
- Training
- TAM
Approach to SMS

1. Safety Culture and Continuous Improvement
2. Foundational Support Structure for Implementing SMS Activities
3. Activities Associated with SMS Components
4. Four components of SMS
5. SMS Principles
6. Safety
# Safety in Context

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

- **Safety Promotion**
- **Safety Risk Management** (Identify, Assess, and Prioritize)
- **Safety Policy** (Leadership Commitment)
- **Safety Assurance** (Mitigate, Measure, and Monitor)
- (Communicate the Commitment)
Safety Policy: Leadership Commitment

- Prioritize Safety
- Take Responsibility
- Encourage Collaboration
- Document Processes

Safety Promotion: Communicate Commitment

- Raise Awareness
- Train Employees
- SMS Implementation
- Communication Plan
Safety Risk Management: Identify, Assess and Prioritize

- Identify Hazards
- Assess Risks
- Prioritize
- Decision Makers

Safety Assurance: Mitigate, Measure and Monitor

- Mitigate
- Measure
- Monitor
- Feedback Loop
Foundational Infrastructure Support

Leadership Direction
- Objectives; policies; resources and strategic plan

Information Management
- Reporting; documentation; data systems; analysis

Personnel Management
- Roles; responsibilities; accountability; training; competencies
Where is your safety culture?

- **Safety Culture**
  - Bad
  - Good

- **Communication**
  - Closed
  - Open

- **Trust**
  - Low
  - High
Where is your safety culture?

**Safety Training**
- Not Available
- Available

**Safety Commitment**
- Not Prioritized
- Prioritized

**Reporting System**
- Punitive
- Non-Punitive
An Exercise in the Principles of Safety Culture
SMS, Safety Culture and Continuous Improvement

SMS

Safety Culture

Continuous Improvement
Our Role in SMS

FTA + SSOA + RAIL & BUS = ALL
Questions?

Aloha Ley
Acting Director, Office of System Safety
Office of Transit Safety and Oversight
Federal Transit Administration
202.366.4979
Aloha.Ley2@dot.gov