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Safety Management Policy and Safety Promotion

May 30, 2019

U.S. Department of Transportation
Federal Transit Administration

Webinar Objectives and Topics

Objectives

- To help transit agencies understand requirements for Safety Management Policy and Safety Promotion in the Public Transportation Agency Safety Plan (PTASP) regulation at 49 C.F.R. Part 673.

- To support the development of an Agency Safety Plan (ASP).

Topics

- Safety Management Policy and Safety Promotion requirements

- Considerations for developing the Safety Management Policy and Safety Promotion sections of an ASP

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Safety Management System (SMS) Components

What's unique about Safety Management Policy and Safety Promotion?

Safety Risk Management (SRM) and Safety Assurance (SA) are the key processes and activities for managing safety.	Safety Management Policy (SMP) and Safety Promotion (SP) provide the structure and supporting activities to make SRM and SA possible and sustainable.
Actions vs	**Enablers**

Documentation requirements to keep in mind throughout this webinar

Transit agencies must maintain documentation and recordkeeping of: (§ 673.31)

- Establishing the ASP, including documents included in whole or by reference
- Programs, policies, and procedures to carry out the ASP
- SMS implementation activities
- Results from SMS processes and activities

Transit agencies must maintain these documents for a **minimum of three years** after they are created, and **make them available upon request** by the FTA, other Federal entity, or State Safety Oversight Agency (SSOA).

SAFETY MANAGEMENT POLICY

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Safety Management Policy Requirements

- Safety **management** policy, not all safety policy.

- Includes information relevant to developing and carrying out the other SMS components.

- Consider how you will **develop**, **maintain** and **make available** required documents.

§ 673.23

a) Written statement, with safety objectives

b) Employee safety reporting program

c) Safety management policy communication

d) Authorities, accountabilities, and responsibilities

The Written Statement § 673.23(a)

- Clear, simple language can be helpful for communicating organizational accountabilities and responsibilities.

- Engaging a transit agency's senior management (such as the Accountable Executive) in developing the statement may help to reinforce leadership commitment to SMS.

- To develop the statement, transit agencies could consider:

  - Relevant audiences

  - Key take-aways

  - Communication approaches

- May be part of, or referenced in, the ASP.

Safety Objectives § 673.23(a)

- Must be part of the written statement of safety management policy.

- **Part 673 does not specify what the safety objectives must include, be based on, or used for.**

  - No requirement to achieve safety objectives, but they should be a useful tool for transit agencies to drive safety improvements and priorities.

- To develop safety objectives, transit agencies may find it useful to consider:

  - Leadership goals and priorities

  - Local, regional, or state priorities

  - Concerns or targeted areas for improvement

  - Strategic and long-term planning documents

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Employee Safety Reporting Program
§ 673.23(b)

- Must establish and implement a process that allows **all employees**—including relevant contract employees—to **report safety conditions to senior management**.

  - Don't forget employee reporting communication requirements in § 673.29(b).

- Intended to help the Accountable Executive and other senior managers get important safety information from across the transit agency. **It can be an agency's most important source.**

- Part 673 does not specify what methods should be used. Transit agencies may consider:

  - Hotline
  - Paper form
  - Email address
  - SharePoint site or form

  - Phone or tablet app
  - Third party information collection service

Employee Safety Reporting Program
§ 673.23(b)

- Reported **safety conditions** could include hazards, potential consequences of hazards, or any other information relevant to safety.

  - Transit agencies may choose to specify how employees should report different types of information.

- Must **specify protections** for employees who report safety conditions to senior management. Part 673 does not specify what those protections must be. Options include, but are not limited to:

  - OSHA whistleblower protections

  - Confidentiality

  - Non-punitive reporting program (for example, employees are not disciplined for a mistake if self-reported)

- Must describe **employee behaviors** that may result in disciplinary action—and therefore would not be covered by protections. Examples of these types of behaviors include records falsification and drug/alcohol violations.

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Employee Safety Reporting Program
§ 673.23(b)

- Transit agencies may find it helpful to **consider what safety information they need from employees** when developing the process, methods, and protections for employee reporting.

- Important safety information from employees may include:
  - Safety hazards in the operating environment (for example, county road conditions)
  - Policies and procedures that aren't working as intended (for example, insufficient time to conduct pre-trip inspections)
  - Events that senior managers might not otherwise know about (for example, near misses)
  - Information about *why* a safety event occurred (for example, radio communication challenges contributed to an incident)

- Note: Other industries may have helpful experience with effective safety reporting programs. Transit agencies should consider reaching out to local or partner organizations in rail, aviation, utilities, healthcare, etc., for relevant insights.

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Question 1 – choose one

Does your agency currently have an employee safety reporting program of any kind?

- ❑ Yes
- ❑ No
- ❑ Not Sure
- ❑ N/A

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Communicating the Policy
§ 673.23(c)

- Must demonstrate that the **safety management policy is communicated** throughout the agency's organization through documentation and recordkeeping.

- Transit agencies may choose to use the following communication methods, among others:

  - Posters in employee work areas

  - Videos

  - Email messages

  - Training materials

  - Job or position descriptions

- There is no requirement to communicate all policy information in the same way, so transit agencies may choose to **consider the best method(s) for what they expect to achieve** from communicating a certain aspect of their safety management policy.

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Communicating the Policy
§ 673.23(c)

- Transit agencies may find it helpful to **ensure that communications** about safety management policy **set realistic expectations**.

    - For example, before posting a written statement of safety management policy on bulletin boards in all maintenance shops, a transit agency may consider:

        - Does the language in the document mean what we think it means to all intended audiences?

        - Do we currently perform the activities as described?

        - Are we able to consistently deliver the outcomes as promised?

Authorities, Accountabilities, and Responsibilities § 673.23(d)

- Must establish necessary authorities, accountabilities, and responsibilities for the **development and management of the transit agency's SMS**.

  - **Authorities**: What is the individual authorized to do?

  - **Accountabilities**: What is the individual accountable for, which cannot be delegated?

  - **Responsibilities**: What must the individual do or oversee the accomplishment of?

- Required positions or categories of positions include:

  - Accountable Executive
  - Chief Safety Officer or SMS Executive
  - Agency leadership and executive management
  - Key staff

Authorities, Accountabilities, and Responsibilities § 673.23(d)

- Transit agencies may choose to document safety management authorities, accountabilities, and responsibilities in job or position descriptions, among other options.

- Transit agencies are **responsible for ensuring that requirements specified for a role** in Part 673—both in § 673.23(d) and in § 673.5 Definitions—**are met**.

- Transit agencies may find it helpful to **consider all the requirements** in Part 673 to identify what authorities, accountabilities, and responsibilities are necessary for their SMS.

- Using clear and concise language can help reduce confusion and misunderstanding, especially when implementing new processes and activities.

SAFETY PROMOTION

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Safety Promotion Requirements

- Includes **all safety topics**, not just safety management.

- **Separate requirement** from the Public Transportation Safety Certification Training Program rule at 49 C.F.R. Part 672.

> **§ 673.29**
>
> a) Competencies and training
>
> b) Safety communication

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Competencies and Training
§ 673.29(a)

- Must **establish and implement a comprehensive safety training program** for all agency employees directly responsible for safety.

  - Part 673 does not define what "directly responsible for safety" means.

  - Includes relevant contractors.

  - Must include refresher training.

  - Transit agencies may consider training for Board Members or others involved in approving or overseeing the ASP.

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Competencies and Training
§ 673.29(a)

- In addition to specifying training requirements, transit agencies may choose to define necessary **competencies**, including the knowledge, skills, and abilities necessary to perform different positions.

- A **training needs assessment** can help transit agencies ensure training is focused on what employees need to succeed.

- Transit agencies may find that **SMS training is most effective when focused** on the specific activities an individual must perform to manage safety.

    – For example, a transit agency may focus frontline employee SMS training on how to report safety conditions, rather than just general SMS concepts.

Competencies and Training
§ 673.29(a)

A competency:

- Groups together the knowledge, skills, and abilities required to effectively fulfill job roles

- May cross various job roles and functions

- May be useful as an employee training topic

- Can be developed from a variety of sources

Knowledge → **Competency**

Skills → **Competency**

Abilities → **Competency**
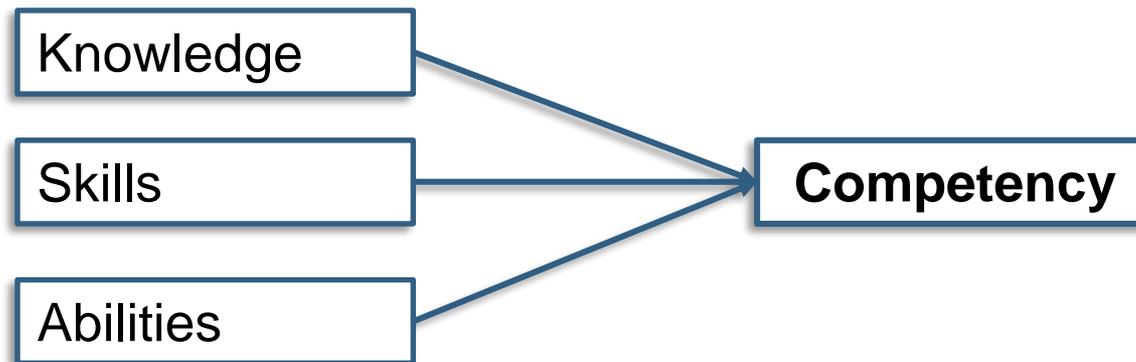
Competencies and Training
§ 673.29(a)

Example Competency: Safety Engineering

Knowledge of the concepts, principles, theories, and methods to identify, control, mitigate, and eliminate safety hazards in the design and use of facilities, equipment, operations, and work processes.

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Question 2 – choose one

Does your transit agency currently have a training department that is responsible for the development, delivery, and management of employee training?

- ❏ Yes
- ❏ No
- ❏ Not sure
- ❏ N/A

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Safety Communication § 673.29(b)

- Must demonstrate that **safety and safety performance information is communicated** throughout the agency's organization through documentation and recordkeeping.

  - Includes relevant contractors.

  - Must include **information on hazards and safety risk** relevant to employees' roles and responsibilities.

  - Must **inform employees of safety actions taken in response to reports** submitted through an employee safety reporting program.

    - A safety action doesn't have to mean implementing a new safety solution. Many safety actions taken in response to reports could primarily involve recordkeeping for later trend analysis.

    - Responding to employee reports can help to encourage more employee reporting.

Safety Communication § 673.29(b)

More doesn't always mean better.

- Transit agencies may choose to carefully **consider what and how to communicate** safety information. Relevant questions include, but are not limited to:

    – What information does this individual need to do their job?

    – How can we ensure they understand what is communicated?

    – How can we ensure they understand what action they must take as a result of the information?

    – How can we ensure the information is accurate and kept up-to-date?

    – Are there any privacy or security concerns to consider when sharing information? If so, what should we do to address these concerns?

Safety Communication Example
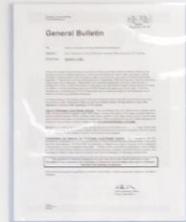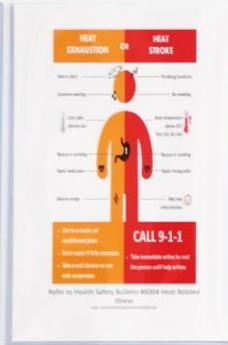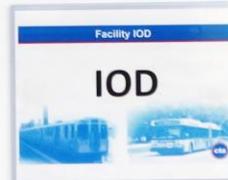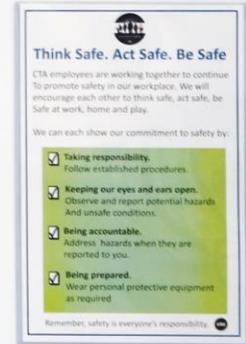
Resources to Help You Prepare Now

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

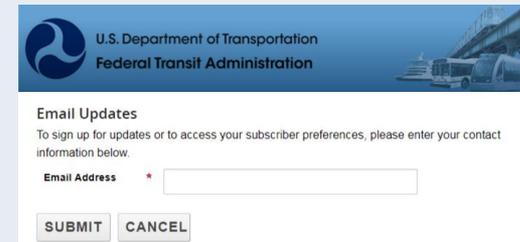- Read our newsletter, *TSO Spotlight* for PTASP-related articles

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

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Questions? Comments? Email us at **PTASP_QA@dot.gov**

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PARTICIPANT QUESTIONS