

FTA

FEDERAL TRANSIT ADMINISTRATION

Safety Management Systems (SMS) for Executives

Preparing for SMS Implementation

Candace Key
Acting Director of System Safety
Office of Transit Safety and
Oversight



U.S. Department of Transportation
Federal Transit Administration

September 26, 2018

Introduction

- Welcome
- Presentation
 - Part 1: Safety Management System (SMS) for Executives: Preparing for SMS Implementation
 - Public Transportation Agency Safety Plan (PTASP) Final Rule
 - Overview of SMS
 - Roles and Responsibilities
 - Next Steps to Consider for Executives
 - Part 2: Interview with CTA President Dorval R. Carter, Jr.

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) FINAL RULE



PTASP Final Rule: Table of Contents

Title 49—Transportation

PART 673—PUBLIC TRANSPORTATION AGENCY SAFETY PLANS

Subpart A—General

Sec.

673.1 Applicability

673.3 Policy

673.5 Definitions

Subpart B—Safety Plans

673.11 General requirements

673.13 Certification of compliance

673.15 Coordination with metropolitan, statewide, and non-metropolitan planning processes

Subpart C—Safety Management Systems

673.21 General requirements

673.23 Safety management policy

673.25 Safety risk management

673.27 Safety assurance

673.29 Safety promotion

Subpart D—Safety Plan Documentation and Recordkeeping

673.31 Safety plan documentation

673.33 Safety plan records

PTASP Applicability and Requirements

Applicability	Requirements
<p>Would Apply to:</p> <ul style="list-style-type: none"> Operators of transit systems that receive FTA funds (Section 5307) and all rail transit operators (regardless of funding source). 	<pre> graph LR A[Public Transportation Agency Safety Plan] --- B[Safety Management System (SMS)] A --- C[Safety Performance Targets] A --- D[Rail Agencies Only: Emergency Preparedness Plan] A --- E[Employee Reporting Program] </pre>
<p>Would Not Apply to:</p> <ul style="list-style-type: none"> FTA recipients that do not operate transit systems. Commuter rail service regulated by FRA. Passenger ferry service regulated by USCG. Deferring applicability for operators that only receive Section 5310 and Section 5311 funds (both recipients and sub-recipients). 	<p>Public Transportation Agency Safety Plan</p> <ul style="list-style-type: none"> Approved by Accountable Executive and Board of Directors (and SSOA for rail transit agencies) Annual Review/Update Compliance with Public Transportation Safety Program/National Safety Plan Assignment of Chief Safety Officer

How is the Agency Safety Plan Different from the System Safety Program Plan (SSPP)?

SSPP	Agency Safety Plan
Based on system safety principles and the 21 fixed program elements	Based on Safety Management System principles and the four SMS components; a flexible and scalable system
Safety is generally confined to the safety department and distinct safety processes	Safety is broadened to a core organizational function that focuses on management of safety risk through all aspects of a transit agency's operations
Focuses on compliance and documentation of safety programs	Describes the interactions between safety programs and adds safety processes that support SSPP elements
Assumes technical compliance with engineered solutions will result in safe operations	Safety priorities and investments are a key part of decision-making and always considered when balancing safety and productivity

Transition Roadmap: Guidance on Using an SSPP to Develop an Agency Safety Plan

Recommended Considerations to Transition the SSPP to the Agency Safety Plan

§673 Public Transportation Agency Safety Plan (PTASP)
Rule Section

§659 System Safety Program Plan (SSPP)
Elements

Differences between the Agency Safety Plan and SSPP Requirements and Considerations for Transitioning Text Requirements and Transition Considerations

Applicability

673.1(a)

This part applies to any State, local governmental authority, and any other operator of a public transportation system that receives Federal financial assistance under 49 U.S.C. Chapter 53.

659.17(a)

The oversight agency shall require the rail transit agency to develop and implement a written system safety program plan that complies with requirements in this part and the oversight agency's program standard.

Part 673 references applicability, whereas Part 659 references the responsibility of an SSOA to require an RTA to develop and implement and SSPP.

673.1(b)

This part does not apply to an operator of a public transportation system that only receives Federal financial assistance under 49 U.S.C. 5310, 49 U.S.C. 5311, or both 49 U.S.C. 5310 and 49 U.S.C. 5311.

NA

Public Transportation Agency Safety Plan Template for Bus Transit

Public Transportation Agency Safety Plan Template for Bus Transit

Version 1, issued 07/19/18

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Template for Bus Transit* and accompanying *Reference Guide* to assist with the development of a Public Transportation Agency Safety Plan (Safety Plan) for bus transit modes. Use of this template is voluntary. The template and reference guide are intended for use by States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>.

Certain requirements in Part 673 do not apply to small public transportation providers¹. The relevant sections in this template are noted in red to indicate where requirements differ. Transit operators that are subject to Part 673 may choose to include additional sections beyond what is required in Part 673.

Under Part 673, a transit agency is required to maintain documents that describe its Safety Plan, including those related to implementation and results from processes and activities. Also, a transit operator may have existing documentation that describes processes, procedures, and other information required in Part 673. You may reference these documents in your Safety Plan by specifying the document names and locations within the appropriate sections of the plan.

1. Transit Agency Information

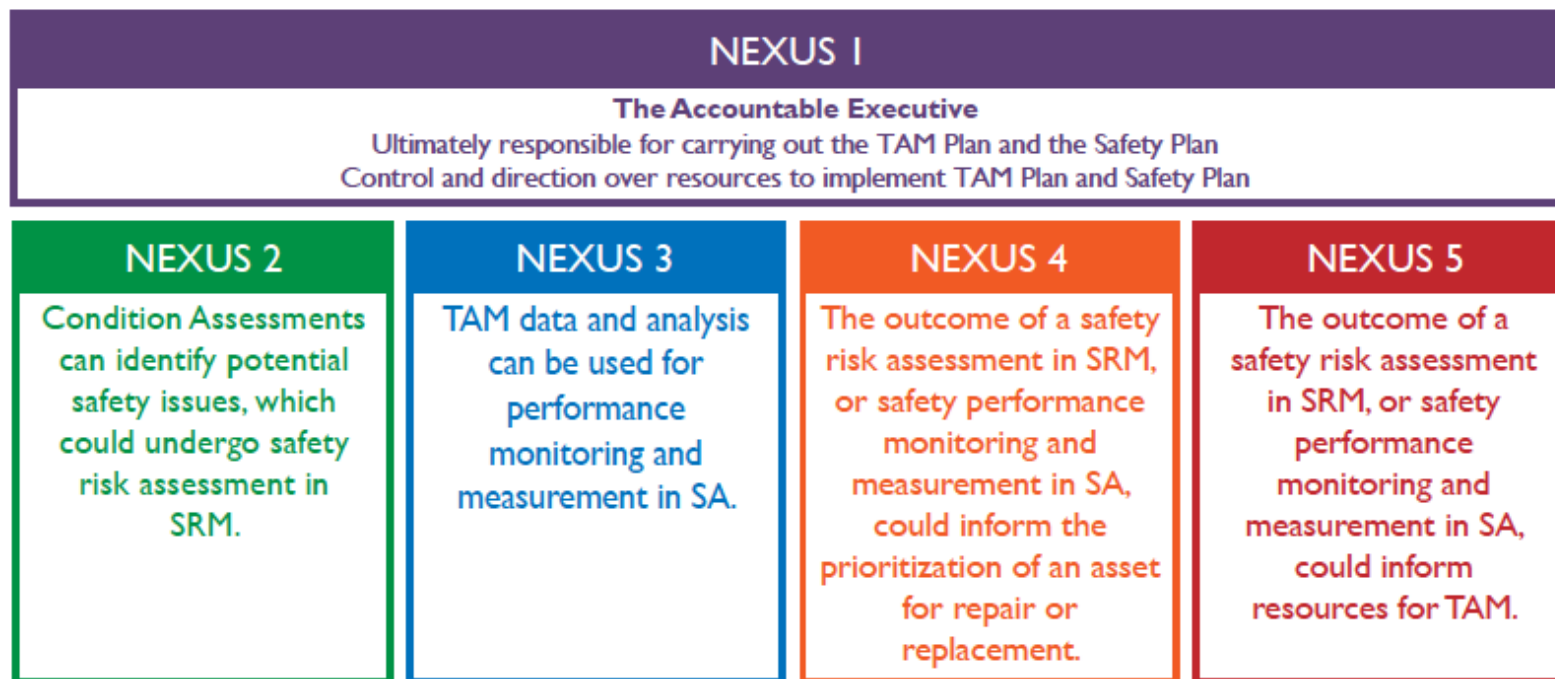


Transit Agency Name	<input type="text"/>		
Transit Agency Address	<input type="text"/>		
Name and Title of Accountable Executive	<input type="text"/>		
Name of Chief Safety Officer or SMS Executive	<input type="text"/>		
Mode(s) of Service Covered by This Plan	<input type="text"/>	List All FTA Funding Types (e.g., 5307, 5310, 5311)	<input type="text"/>
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	<input type="text"/>		

¹ A small public transportation provider is a recipient or ~~subrecipient~~ of Federal financial assistance under 49 U.S.C. § 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system. 49 C.F.R. § 673.5.

vers.bn 1, published 07/19/18

Relationship Between the Agency Safety Plan and Transit Asset Management (TAM) Plan



While there are no formal requirements linking TAM and SMS, there are many opportunities to share information and analysis between the two processes, thus improving actions and decision making agency wide.

PTASP Rule Critical Dates

Date	Activity
July 19, 2018	Final rule published
July 19, 2019	Effective Date
July 20, 2020	Compliance Deadline - The final deadline for Agency Safety Plan certification

Oversight of Agency Safety Plans

- Bus – FTA will oversee compliance with the PTASP rule requirements for bus transit through the triennial oversight review programs.
- Rail – State Safety Oversight Agencies (SSOAs) will review, approve, and oversee rail transit agency Agency Safety Plans.

OVERVIEW OF SMS

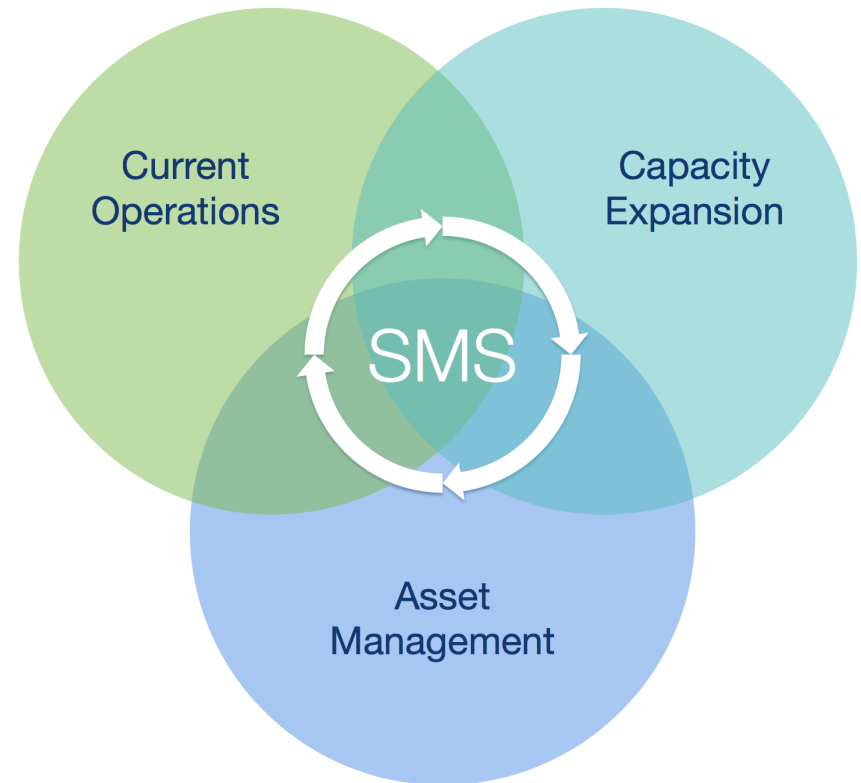
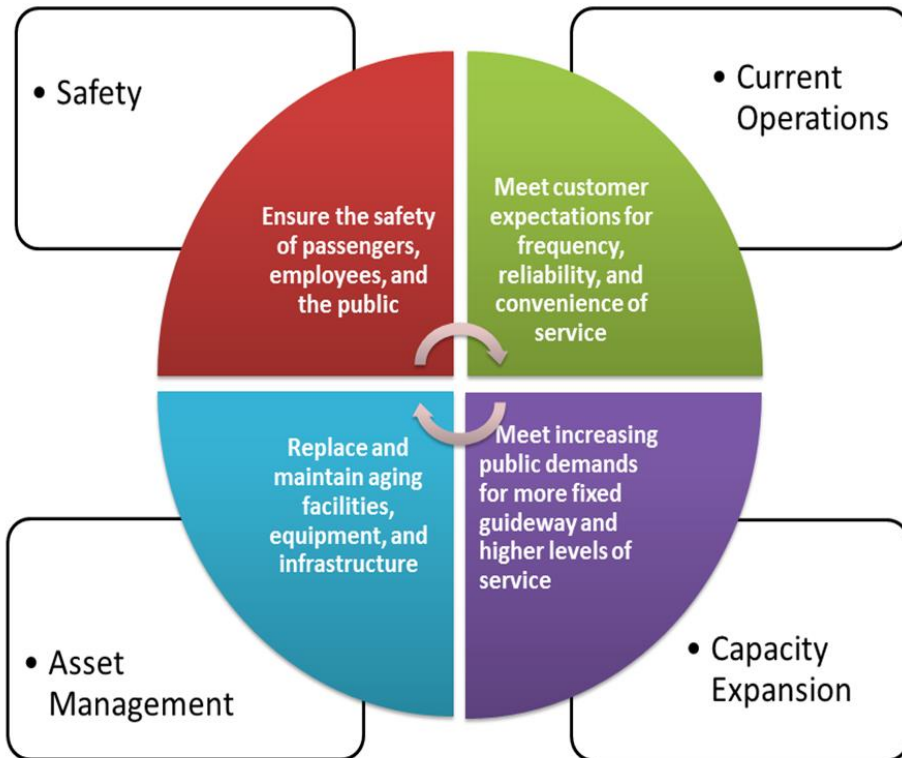
Benefits of SMS Implementation

- Accountability for the management of safety
- Leadership commitment
- Employee engagement and empowerment
- Safety decision-making and resource allocation
- Collaboration between management and front line staff
- Confidence in mitigations
- Partnership in knowledge sharing

Safety Management System (SMS)

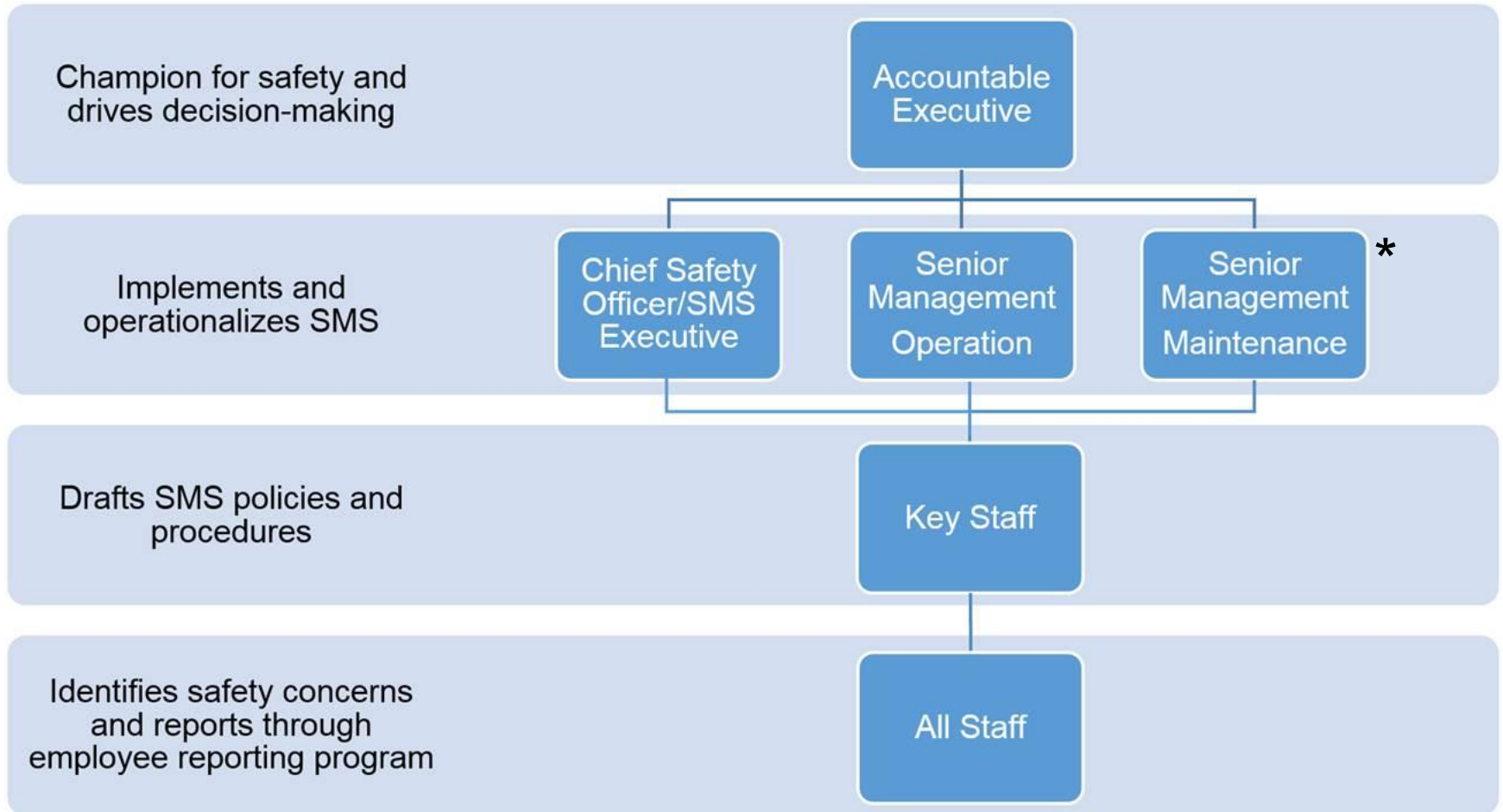


Decision-Making Priorities



ROLES AND RESPONSIBILITIES

Roles and Responsibilities Overview



*Includes Executive Leaders from all agency functions or departments that support revenue service operations

Accountable Executive

*“Part 673.5 - Accountable Executive means a single, identifiable person who has **ultimate responsibility and accountability for the implementation and maintenance of the Safety Management System** of a public transportation agency; responsibility for carrying out the agency’s Transit Asset Management Plan; and **control or direction over the human and capital resources needed to develop and maintain both the agency’s Public Transportation Agency Safety Plan**, in accordance with 49 U.S.C. 5329(d), and the agency’s Transit Asset Management Plan in accordance with 49 U.S.C. 5326.”*

Accountable Executive

- Role – Serves as the champion for safety with ultimate accountability for SMS implementation and resource allocation
- Responsibilities:
 - Designate a Chief Safety Officer/SMS Executive
 - Allocate resources to develop and maintain the Agency Safety Plan and TAM plan
 - Allocate resources to support SMS implementation
 - Approve the SMS implementation strategy (SMS Implementation Plan)
 - Support communication of SMS information throughout the agency
 - Review, approve, and carry out the Agency Safety Plan and TAM plan
 - Present the Agency Safety Plan for Board approval

Accountable Executive

Why is the Accountable Executive the champion for safety?

- SMS implementation will require resources (personnel, time, infrastructure, budget, etc.) consistent with the size and complexity of the agency's operations that must be allocated by the Accountable Executive
- The Accountable Executive has the authority to make policy decisions, establish priorities, and direct and allocate resources
- SMS roles and responsibilities must be established and clearly communicated throughout the organization
- Resistance to change within the agency should be expected and the Accountable Executive must establish and enforce priorities that overcome this resistance

Chief Safety Officer/SMS Executive

*“Part 673.5 - **Chief Safety Officer** means an adequately trained individual who has responsibility for safety and reports directly to a transit agency’s chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.”*

Chief Safety Officer/SMS Executive

- Role:
 - Manages the safety function for the organization
 - Oversees SMS implementation and operations
- CSO/SMS Executive is designated by and reports to the Accountable Executive and must not serve in an operational or maintenance capacity in rail agencies
- Responsibilities:
 - Coordinate Key Staff to support SMS implementation
 - Develop the SMS Implementation Plan
 - Facilitate the development of SMS processes and activities
 - Procure technical resources for SMS implementation
 - Communicate SMS implementation progress and challenges

Chief Safety Officer/SMS Executive

Why is the CSO/SMS Executive accountable for SMS implementation?

- SMS implementation is an interdisciplinary management system that requires involvement in all areas of the organization
- This position has the ability to communicate directly with the Accountable Executive and Executive Leadership on SMS benefits and implementation needs
- As an executive level position, the CSO/SMS Executive has the power to procure technical and staffing resources
- Consideration: SMS implementation activities may be delegated to an “SMS Project Manager”

Situation #1 – Managing the SMS

- The CSO/SMS Executive of a large multi-modal agency (535 railcars and 1020 buses) is completely involved with overseeing rail and bus technical system safety concerns.
- While the Accountable Executive and CSO/SMS Executive understand SMS implementation is a priority for the agency, the CSO does not have the time to focus on SMS on a day-to-day basis.
- The Accountable Executive and CSO/SMS Executive have determined that an SMS Project Manager should be identified to handle the day-to-day activities to implement SMS activities at the agency.

Situation #1 – Question

- What would you take into consideration as you identify an SMS Project Manager?

Situation #1 – Considerations

- What would you take into consideration as you identify an SMS Project Manager?
 - You could consider appointing a person with the following skills:
 - Strong communication and people skills
 - The ability to work with individuals from different agency job functions
 - The ability to coordinate activities that cross multiple organizational functions
 - Excellent project management and planning skills
 - You could consider the following to ensure this manager is provided with:
 - Time to concentrate on SMS implementation
 - Support from the Accountable Executive, CSO, and Executive Leadership
 - A team of knowledgeable, dedicated, and cross-functional subject matter experts to assist in SMS planning and implementation

Agency Leadership and Executive Management

Chief Executive Officers, Senior Operational Leaders, etc.

“Part 673.23(d)(3) *Agency leadership and executive management.* A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Safety Officer, or SMS Executive, who **have authorities or responsibilities for day-to-day implementation and operation of an agency’s SMS.**”

Agency Leadership and Executive Management

Chief Executive Officers, Senior Operational Leaders, etc.

- Role – Ensure incorporation of safety management practices in the agency's operational areas on a day to day basis
- Responsibilities:
 - Designate representatives from operations, maintenance, and other revenue service support functions to serve as Key Staff
 - Encourage SMS training for staff
 - Communicate and support SMS implementation activities within their operational areas
 - Remain aware of SMS implementation progress and challenges, and assist where needed
 - Take ownership of safety management processes and activities as they are implemented

Agency Leadership and Executive Management

Chief Executive Officers, Senior Operational Leaders, etc.

Why is Agency Leadership and Executive Management involved with SMS implementation?

- Operational departments are the direct beneficiaries of SMS
- SMS processes are designed with operational realities in mind
- Staff have the opportunity to report safety concerns
- Concerns are examined and risk evaluated
- High risk issues are mitigated
- Staff work in a safer environment
 - Less injury claims
 - Less accidents
 - Stronger safety culture

Key Staff – Subject Matter Experts

“Part 673.23(d)(4) *Key staff*. A transit agency **may designate key staff, groups of staff, or committees** to support the Accountable Executive, Chief Safety Officer, or SMS Executive in **developing, implementing, and operating the agency’s SMS.**”

Key Staff – Subject Matter Experts

- Role – Serve as subject matter experts representing their operational area or department during SMS implementation
- Assignments made by Agency Leadership to support SMS implementation
- Managed by the CSO/SMS Executive or SMS Project Manager to support SMS implementation
- Responsibilities:
 - Provide expertise on how to adapt existing departmental practices to work in concert with SMS
 - Identify departmental data and information resources to support SMS decision making
 - Communicate SMS implementation initiatives
 - Meet with the CSO/SMS Executive or SMS Project Manager

Key Staff – Subject Matter Experts

Why are Key Staff important for SMS implementation?

- SMS is a multi-disciplinary endeavor
- Representatives from the various agency operational or functional areas will be needed to serve as subject matter experts for SMS implementation
- Key Staff may be organized into an SMS Implementation Team with regular meetings and work sessions
- These individuals are familiar with their department's processes and practices and can voice ideas, concerns, and solutions for SMS implementation that work in concert with their practices and duties

Situation #2 – Decision-Making Challenges

- The Accountable Executive of a large bus agency is developing the budget with the Agency Leaders for the next fiscal year. There is funding available to either purchase a large number of CNG buses or purchase a vacant lot to expand space adjacent to the Central Division, the busiest bus division, but not to do both.
- The oldest buses in the agency fleet are 10 years old and running well, but road calls have increased. Additionally, there is a strong political initiative focused on improving the agency's impact on the environment.
- Investigations have uncovered that bus collisions have increased (8 in the past year) and one operator was struck and severely injured in the yard due to space restrictions at Central Division.

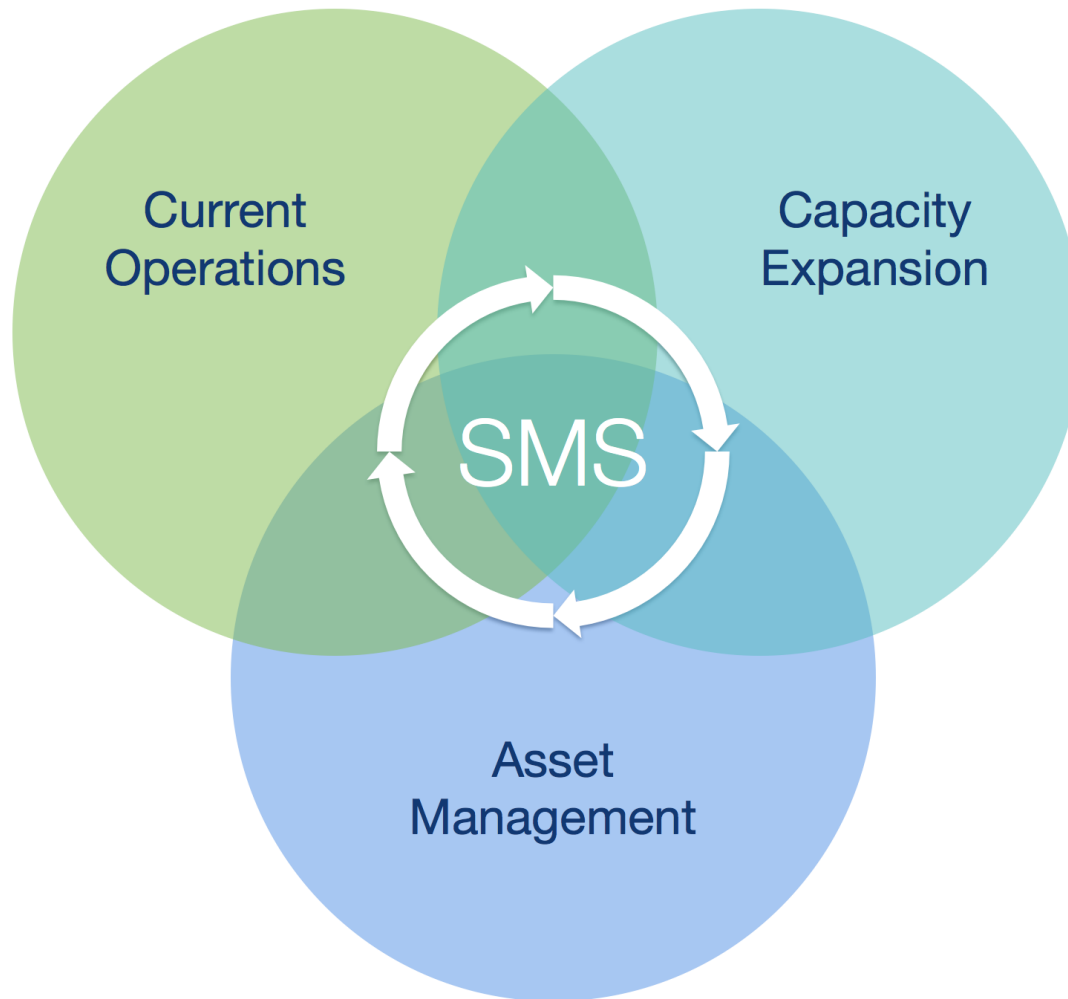
Situation #2 – Question

- What personnel would provide Agency Leadership with the information necessary for making this decision?

Situation #2 – Considerations

- Given the competing priorities and existing safety risk of this situation, what personnel resources are available to support this decision-making process?
 - Subject matter experts
 - Facility management staff
 - Safety department staff
 - Accident investigators
 - Operations supervisors
 - Bus Operators
 - Maintenance foreman and mechanics
 - Bus procurement specialists
 - Financial and budgetary analysts

Ownership: Cooperation, Coordination & Communication



The SMS Implementation Process

Phase 1 Prepare

- Designate CSO/SMS Executive
- Designate SMS Project Manager (if desired)
- Clarify SMS roles
- Dedicate resources to SMS
- Build an SMS implementation team

Phase 2 Develop

- Ongoing communications
- Educate employees as SMS is designed and developed
- Brief the Board and oversight entities on SMS
- Meet milestones in the SMS Implementation Plan

Phase 3 Operationalize

Put SMS policies, procedures, and processes into practice

Key Outputs

- Develop the SMS Implementation Plan
- Draft the Agency Safety Plan

Key Outputs

- Certify the Agency Safety Plan by July 20, 2020
- Complete SMS policy documents

Key Outputs

- Implement the Agency Safety Plan
- Management and oversight of SMS

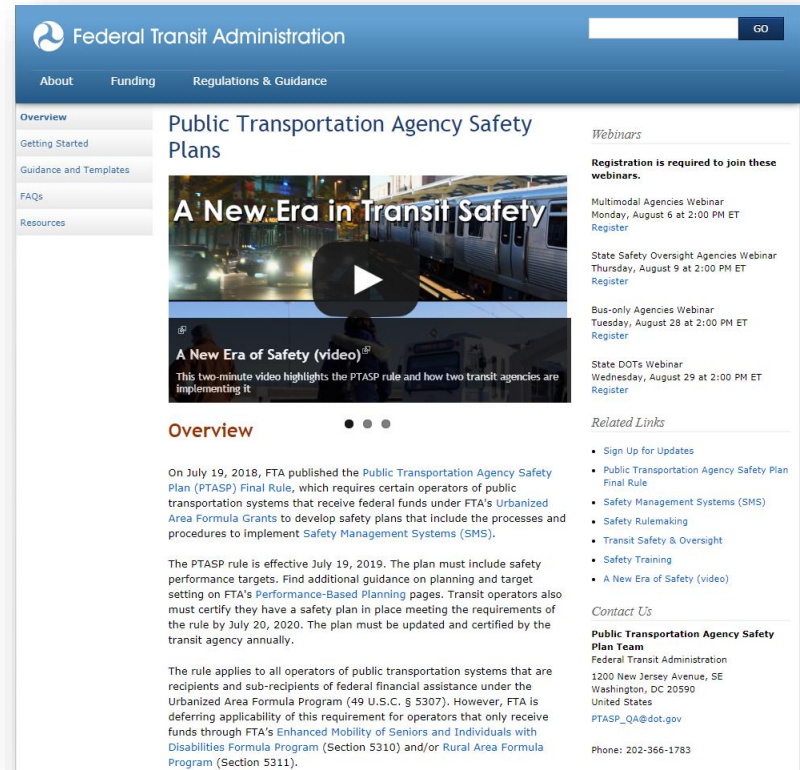
Next Steps to Consider for Executives

- Identify the Accountable Executive
- Designate the Chief Safety Officer/SMS Executive
- Identify SMS implementation roles and responsibilities for appropriate staff
- Build an SMS Implementation Team with Key Staff and ensure members receive SMS training
- Develop and communicate the SMS Implementation Plan
- Develop or update the Safety Management Policy Statement
- Brief the Board of Directors, oversight entities, and planning partners on SMS and the Agency Safety Plan

FTA Resources

To assist with the implementation of these final rules and to reduce administrative and financial burdens, FTA is publishing templates, guidance and technical assistance, including:

- Guidance Documents and Templates
 - PTASP Bus Template and Bus Guidance
 - SSPP to Agency Safety Plan Roadmap and Rail Guidance
 - Relationship between TAM Plan and Agency Safety Plan
 - PTASP Webpage
 - Safety Training Webpage



Federal Transit Administration

About Funding Regulations & Guidance

Overview
Getting Started
Guidance and Templates
FAQs
Resources

Public Transportation Agency Safety Plans

A New Era in Transit Safety

A New Era of Safety (video)
This two-minute video highlights the PTASP rule and how two transit agencies are implementing it.

Overview

On July 19, 2018, FTA published the **Public Transportation Agency Safety Plan (PTASP) Final Rule**, which requires certain operators of public transportation systems that receive federal funds under FTA's **Urbanized Area Formula Grants** to develop safety plans that include the processes and procedures to implement **Safety Management Systems (SMS)**.

The PTASP rule is effective July 19, 2019. The plan must include safety performance targets. Find additional guidance on planning and target setting on FTA's **Performance-Based Planning** pages. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by July 20, 2020. The plan must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the **Urbanized Area Formula Program (49 U.S.C. § 5307)**. However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's **Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (Section 5310)** and/or **Rural Area Formula Program (Section 5311)**.

Webinars

Registration is required to join these webinars.

- Multimodal Agencies Webinar
Monday, August 6 at 2:00 PM ET
[Register](#)
- State Safety Oversight Agencies Webinar
Thursday, August 9 at 2:00 PM ET
[Register](#)
- Bus-only Agencies Webinar
Tuesday, August 28 at 2:00 PM ET
[Register](#)
- State DOTs Webinar
Wednesday, August 29 at 2:00 PM ET
[Register](#)

Related Links

- [Sign Up for Updates](#)
- [Public Transportation Agency Safety Plan Final Rule](#)
- [Safety Management Systems \(SMS\)](#)
- [Safety Rulemaking](#)
- [Transit Safety & Oversight](#)
- [Safety Training](#)
- [A New Era of Safety \(video\)](#)

Contact Us

Public Transportation Agency Safety Plan Team
Federal Transit Administration
1200 New Jersey Avenue, SE
Washington, DC 20590
United States
PTASP_QA@dot.gov
Phone: 202-366-1783

<https://www.transit.dot.gov/PTASP>

Thank You

Questions:

PTASP_QA@dot.gov

TSO Main Number at 202-366-1783