

FTA

FEDERAL TRANSIT ADMINISTRATION

APTA Rail 2018

SMS and Enterprise Risk Management

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Overview

- FTA initiatives
- SMS & Enterprise Risk Management

FTA Initiatives

The FTA has adopted the principles and methods of Safety Management Systems (SMSs) as the basis of its Safety Program.

- Safety rulemaking
- Research & pilot programs
 - SMS Implementation Pilot Program
 - Employee Safety Reporting Demonstration Project
- Safety promotion, education and training, and technical assistance

Components of SMS in Enterprise Risk Management

Safety Management Policy	<ul style="list-style-type: none">• Clear accountability for decision-making• Incorporate risk-based thinking into everyday decisions
Safety Risk Management	<ul style="list-style-type: none">• Prioritize safety hazards based on safety risk• Choose safety risk mitigations based on safety risk
Safety Assurance	<ul style="list-style-type: none">• Ensure mitigations are working as intended• Identify new sources of safety risk by managing changes and investigating safety events
Safety Promotion	<ul style="list-style-type: none">• Train personnel on risk-based approach• Support a dialogue around safety risk and resource allocation

How Effective Enterprise Risk Management Prepares Agencies to Implement SMS

SMS implementation is easier for transit agencies with:

- Performance and management analytics experience
- Widespread, effective recordkeeping practices
- Resources for data collection and analysis
- Organization-wide planning and strategy development experience
- Formal decision-making processes

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