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 | • Clear accountability for decision-making  
| | • Incorporate risk-based thinking into everyday decisions |
| Safety Risk Management | • Prioritize safety hazards based on safety risk  
| | • Choose safety risk mitigations based on safety risk |
| Safety Assurance | • Ensure mitigations are working as intended  
| | • Identify new sources of safety risk by managing changes and investigating safety events |
| Safety Promotion | • 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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