Safety Management System

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Safety Manager
Salt Lake City, UT
Key Presentation Take-Aways

• Who is UTA
• Implementing a Safety Management System
• SMS components with UTA examples
UTA System

Bus

Bus Rapid Transit (BRT)

Paratransit

TRAX (Light Rail)

S-Line (Streetcar)

FrontRunner (Commuter Rail)

Vanpool
6 Counties
85 Municipalities
2.25 mil population
4,158 sq mi
500 buses
6,500 bus stops
110 Paratransit
5 bus / para facilities
2,500 employees
48 million riders annually
140 rail miles
170 at-grade crossings
3 rail yards
UTA Rail System

**TRAX (Light Rail) 48 mi**
- Red (Daybreak-UofU)
- Blue (North – South)
- Green (West Valley- AP)

**S Line (Streetcar) 2 mi**

**FrontRunner (Commuter)**
- Ogden - Provo 90 mi

140 miles in 14 years
1999-2013
UTA’s SMS Progression

- ISO 9001 QMS, 14001 EMS (Apr 2006)
- OHSAS 18001 SMS (June 2013/2015)
- Recertification $61K, Surveillance $28K
- ISO 45001 in 2018
- SSPP 21 elements to TASP in 2015
- UTAH 3rd State 49 CFR Part 674 Certified
Questions we need to ask that SMS helps answer

- What are our most serious safety concerns?
- How do we know this?
- What are we doing about it?
- Is what we are doing working?
- How do we know what we are doing is working?
- (Find, Fix, Follow-up)
Determine the Root Cause
The vehicle will not start

• **Why?** - The battery is dead. (First why)
• **Why?** - The alternator is not functioning. (Second why)
• **Why?** - The alternator belt has broken. (Third why)
• **Why?** - The alternator belt was well beyond its useful service life and not replaced. (Fourth why)
• **Why?** - The vehicle was not maintained according to the recommended service schedule.

(Fifth why, a root cause)
Public Transportation Agency Safety Plan (NPRM)

- Methods for identifying and evaluating safety risks throughout the system;
- Performance targets based on the safety performance criteria established in a National Public Transportation Safety Plan;
- An adequately trained Safety Officer who reports directly to the general manager, president, or equivalent officer; and
- A comprehensive training program for personnel directly responsible for safety.
## SMS Components of an Agency Safety Plan

<table>
<thead>
<tr>
<th>Safety Management Policy</th>
<th>Safety Assurance</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Safety Objective and Performance Targets</td>
<td></td>
</tr>
<tr>
<td>- Confidential Employee Reporting Program</td>
<td></td>
</tr>
<tr>
<td>- Organizational Accountabilities and Safety Responsibilities</td>
<td></td>
</tr>
<tr>
<td>- Safety Performance Monitoring and Measurement</td>
<td></td>
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<tr>
<td>- Management of Change</td>
<td></td>
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<tr>
<td>- Continuous Improvement</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Safety Risk Management</th>
<th>Safety Promotion</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Hazard Identification and Analysis</td>
<td></td>
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<tr>
<td>- Safety Risk Evaluation and Mitigation</td>
<td></td>
</tr>
<tr>
<td>- Safety Communication</td>
<td></td>
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<tr>
<td>- Competencies and Training</td>
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</tbody>
</table>
Six Critical Elements of a Safety Policy Statement

• Signed by highest executive CEO / GM / Board of Directors- Accountable Executive
• Clear statement about the provision of resources (budgetary authority).
• Safety reporting procedures.
• Conditions for exemptions from discipline.
• Unacceptable operational behaviors.
• Communicate throughout the agency, visible endorsement.
Safety Policy Statement

UTA utilizes a Safety Management System (SMS) to prevent accidents, to reduce risk of injury and minimize damage to property and equipment. We will work proactively towards identifying and reducing the existence of hazards and risks in the workplace and in our system. As the Accountable Executive for all operations and activities I will ensure that resources are available to ensure our SMS is robust and successful. The SMS Program is managed under my authority by the Chief Safety and Security Officer who reports directly to me.

Management is accountable for preventing workplace incidents, injuries and illnesses. Management will provide top-level support of safety program initiatives. Management will consider all employee suggestions for achieving a safer, healthier workplace. Management also will keep informed a workplace safety and health hazards, and it will regularly review the company safety and health program.

Supervisors are responsible for supervising and training workers in safe work practices. Supervisors enforce company safety rules and work to eliminate hazardous conditions. Supervisors shall lead by example.

All employees are expected and encouraged to participate in safety and health program activities, including the following: reporting hazards, unsafe work practices and accidents immediately to supervisors, or a safety committee representative; wearing required personal protective equipment; participating in and supporting safety committee activities.

Disciplinary action shall not be taken against an employee who acts to prevent an injury or who reports any accident, incident or hazard. All employees are required to abide by the standards and processes set forth in the SMS policy and the Transit Agency Safety Plan (TASP).

Elements such as illegal activity, negligence, acts of willful misconduct, or undue care and attention may be considered outside the scope of this policy.

Signature:

Jerry R. Benson
President/CEO
Safety Risk Management

• Hazard identification and analysis
• Safety reports, Inspections, Accident reports / investigations, Audits, Compliance programs, Public, Government sources, Near miss
• Safety risk evaluation
Risk Management

Close Call Reporting Form

Subject *

Name (Optional)

Details

Best

Elimination
Design it out

Substitution
Use something else

Engineering Controls
Isolation and guarding

Administrative Controls
Training and work scheduling

Personal Protective Equipment
Last resort

Best

UTA Safety Suggestion/Hazard Report

Use this form for safety questions, suggestions and reporting hazards. Your supervisor will respond to your suggestion or forward it to your UTA Safety Committee. The Safety Committee will meet monthly to address these issues and provide feedback as soon as possible. Please be as specific as possible when describing the safety concern and making recommendations.

Name: _____________________________ Enter: _____________________________
(phone number if you wish to remain anonymous)

Bldg/Bus route or Facility: _____________________________ Direction: _____________________________

Time: _____________________________

Safety Question, Suggestion, or Hazard: (Be as specific as possible)

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Proposed Solution: (Be as specific as possible)

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Response:

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Would you like a response? Yes ________ No ________

Supervisor Initials: _____________________________ Date Received: _____________________________

Suggestion forwarded to: _____________________________ Forward Date: _____________________________

Person or Committee responding: _____________________________ Response Date: _____________________________

Requested by: _____________________________ Date Received: _____________________________

Business value

Control effectiveness
Safety Assurance

- Safety performance monitoring and measurement
- Management of change
- Continuous improvement

Near Misses for YTD

Report generated on: Fri, Dec 15, 2017 08:00:02

<table>
<thead>
<tr>
<th>Mode</th>
<th>Description</th>
<th>Location</th>
<th>Date/Time</th>
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<tbody>
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<td>2017/05/16 04:42:23.407</td>
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<tr>
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<td>200 South Salt Lake City Grade Crossing</td>
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The FRA identified three overarching safety concerns that affect all facets of Metro-North, most importantly the safety of its rail operations:

- An overemphasis of on-time performance;
- An ineffective Safety Department and poor safety culture; and
- An ineffective training program.
Safety Promotion

• Safety communication
• Policy's, safety meetings, videos, social media, informal discussions, posters, bulletins
• Competencies and training
What is an emergency notification system (ENS) sign?

It is used to notify the railroad of an emergency or warning device malfunction.

April 2017

Safety & Security Division
Monthly Quiltboard
Everyone Home Safe Every Day
As of: Mar-18

Safety

<table>
<thead>
<tr>
<th>Safety</th>
<th>FrontRunner</th>
<th>TRAX East</th>
<th>TRAX West</th>
<th>Bus North</th>
<th>Bus South</th>
<th>Facilities</th>
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<tbody>
<tr>
<td>Safety Inspections / Comm Mtgs</td>
<td>SA</td>
<td>1 Per Facility</td>
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<td>Rules Checks / Verifications</td>
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</tbody>
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Thank You

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