

FTA

FEDERAL TRANSIT ADMINISTRATION

FTA Safety Program: Rulemaking Update and Transit Agency SMS Implementation

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Federal Transit Administration

Overview

- Safety Rules
- Implementing a Safety Management System
- FTA Safety Resources

Safety Rules

Transit Safety Rulemaking and Guidance

Statutory References	Regulation/Guidance	Status
49 U.S.C. §5329(d)	Public Transportation Agency Safety Plan 49 CFR Part 673	Final Rule Publication TBD
49 U.S.C. §5329(c)	National Public Transportation Safety Certification Training Program 49 CFR Part 692	Final Rule Publication TBD
FAST Act §3020	Preventing Transit Worker Assault NPRM	NPRM Publication TBD
49 U.S.C. §5329(b)	National Public Transportation Safety Plan 49 CFR Part 673	Final Plan Published: 1/17/17
49 U.S.C. §5329	Public Transportation Safety Program 49 CFR Part 670	Final Rule Published: 8/11/2016 Effective: 9/12/2016
49 U.S.C. §5318	Bus Testing 49 CFR Part 665	Final Rule Published: 8/1/2016 Effective: 10/31/2016
49 U.S.C. §5326	Transit Asset Management 49 CFR Part 625	Final Rule Published: 7/26/2016 Effective: 10/1/2016
49 U.S.C. §5329(e)	State Safety Oversight 49 CFR Part 674	Final Rule Published: 3/16/16 Effective: 4/15/16

State Safety Oversight (SSO) Final Rule



- Oversight of rail fixed guideway public transportation systems
- SSO Final Rule (49 CFR Part 674) replaces the current SSO rule at 49 CFR Part 659
- SSO Programs must be certified by April 15, 2019

Effective Date: 4/15/16

Public Transportation Safety Program Final Rule



- Formally establishes FTA's safety policy - Safety Management Systems (SMS)
- Commits FTA to creating and implementing a National Public Transportation Safety Plan
- Establishes the procedural rules for enforcement of FTA's safety programs

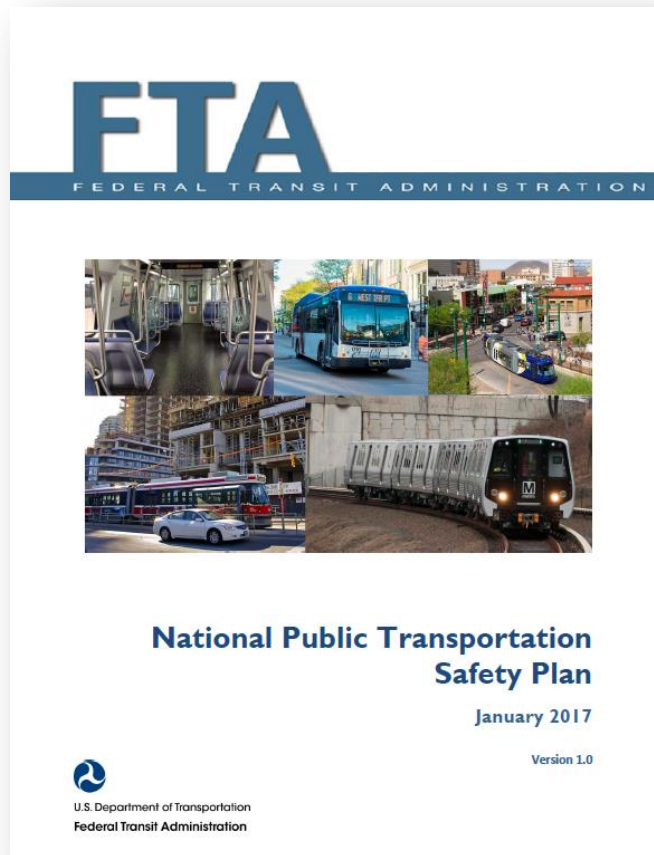
Bus Testing Final Rule



- Requires newly procured buses to meet minimum thresholds
- Scoring system that makes it easier to compare similar bus models from different manufacturers
- Better inform local transit agencies as they evaluate and purchase buses for use in their communities

Effective Date: 10/31/2016

National Public Transportation Safety Plan



The Plan is:

- NOT a rule
- FTA's strategic plan
- Sets safety performance criteria for Agency Safety Plan performance targets

Published: 1/17/17

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FEDERAL TRANSIT ADMINISTRATION

Implementing a Safety Management System

The Business Case for SMS

- The SMS provides answers to your questions on how to prioritize safety investments before a safety event happens
- Saves money and resources that would be expended following a safety event
- SMS activities include routine monitoring of service delivery operations which:
 - Provides a clear picture of operations – from a safety perspective
 - Supports proactive safety decision making
 - Provides transparency to support decisions the agency makes to address safety concerns
 - Identifies organizational contributions to safety events

An iceberg floating in dark blue water. The top part of the iceberg is above the water surface, and the much larger bottom part is submerged. A horizontal line separates the water surface from the submerged part. Two white rounded rectangular boxes with black text are overlaid on the image. One box is in the upper left, above the water surface, and the other is in the lower left, below the water surface.

**ACCIDENTS
INCIDENTS**

**NEAR-MISSES
UNSAFE ACTS**

Safety risk cannot be eliminated, but it can be managed.

- Learn from past events
- Adopt a proactive approach; identify and mitigate safety risk
- Allocate resources effectively and efficiently

Imperfect Systems – The Practical Drift

“Work as imagined”

System and Tasks as designed and engineered

Procedure



Start of Operations

Over Time

Practical Drift

Local Reality

“Work as actually done”

“Uncoupling of practice from procedure”

Why? What happened?

- Service delivery pressures
- Procedure no longer practical
- Short cuts are more efficient
- Supervisor allows it
- Informal processes
- Training inadequately conveyed risk

Practice

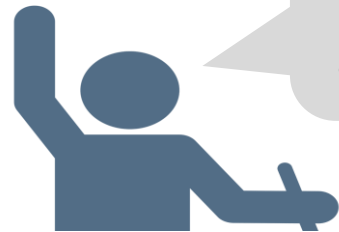
What is SMS?

Formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring effectiveness of safety risk mitigations. includes systematic policies, procedures, and practices for managing safety risk.

Simply: SMS is a decision support system for management

Five Questions SMS Answers

1. What are our most serious safety concerns?
2. How do we know this?
3. What are we doing about them?
4. Is what we are doing working?
5. How do we know what we are doing is working?



I almost hit a vehicle turning right in front of me at the corner of 8th and Maple this morning!

ELEMENTS OF AN SMS

Safety Management Policy



Identify Safety Concerns

Reactive

- Investigations

Proactive

- Audits & evaluations
- Data recorders
- Management of change
- Employee reporting

Learn from past experience.

Identify potential safety concerns before an event occurs.

Listen to the experts!

Identify Safety Concerns

Reactive

- Investigations

Proactive

- Audits & evaluations
- Management of change
- Data recorders
- Employee reporting

Define Hazards & Consequences

- **What's really the problem?**
- **What could happen?**
- **Document it!**

Assess Safety Risk & Prioritize Hazards

- **How bad could it be?**
- **How often could it happen?**
- **Prioritize risk.**
- **Document it!**

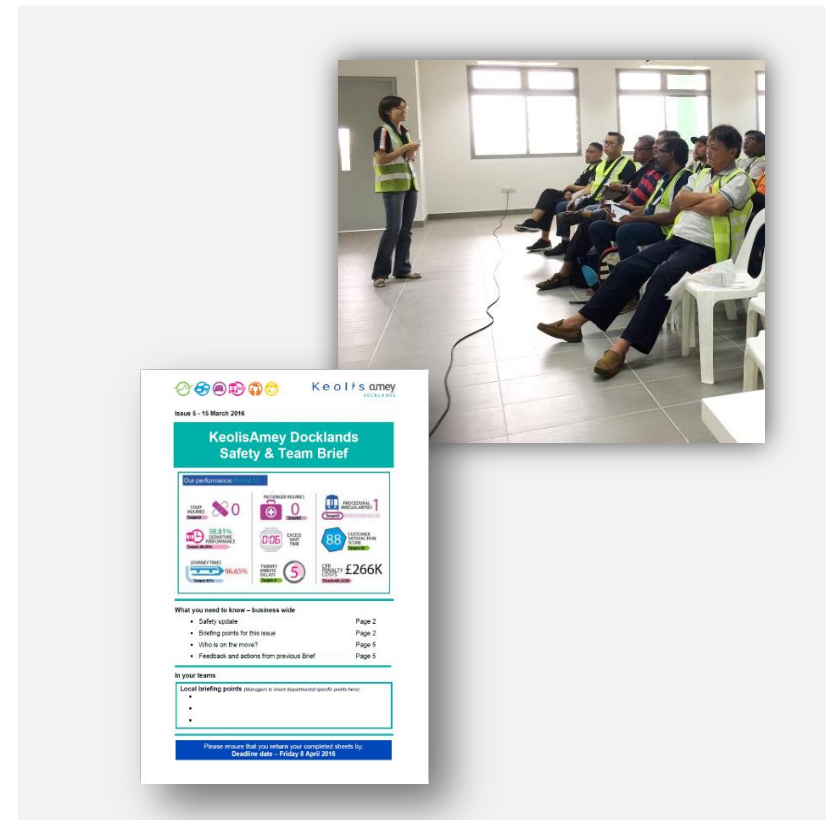
How can a transit agency answer these questions routinely, effectively, and efficiently?

- **Document** safety management processes, responsibilities



How can a transit agency answer these questions routinely, effectively, and efficiently?

Communicate and train personnel to perform their roles



WHAT SETS UP AN SMS FOR SUCCESS?

The Organization Owns the SMS

- Messaging from the highest levels
- The system is implemented, used and supported by top management
- SMS sits at the same level as all other critical business systems/functions
 - SMS may be managed by the safety department but spans the organization
 - SMS is not a safety program
- Safety is cross-organizational, and managed at all levels of the organization

Role of the Board

- Endorse the Safety Management Policy Statement
- Support resourcing of the SMS
- Select and support the Accountable Executive
- Review and approve the safety plan

Role of the Accountable Executive

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the safety management system of a public transportation agency; responsibility for carrying out transit asset management practices; 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.

49 CFR § 625.5

Role of the Employees

- Employees are the eyes and ears of the organization
- No one has a better sense of what really happens on the front line
- Employees are a rich source of safety management information for organizations

Use and Improve the SMS

- SMS implementation will not happen all at once
- SMS needs time for implementation and to mature
- Components of SMS will move from development to operations as they are put into place
- SMS will always be a work in progress

FTA Safety Resources

- TSO Website
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/transit-safety-oversight-tso>
- TSO Spotlight Newsletter
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/tso-spotlight-newsletter>
- Sign up for email updates
 - <https://public.govdelivery.com/accounts/USDOTFTA/subscribe/new>

Questions?

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