

FTA

FEDERAL TRANSIT ADMINISTRATION

Safety Management System (SMS) Overview

Michael Coplen
Division Chief, Safety Policy and Promotion
Office of Transit Safety and Oversight
Federal Transit Administration

February 14, 2017



U.S. Department of Transportation
Federal Transit Administration

Overview

- What is SMS?
- SMS Framework

SMS Framework

- Institutionalizes SMS components and sub-components
- Establishes a common language for transit community
- Provides platform for advancing SMS



What FTA wants...from a safety perspective

- Improved safety performance - make a safe industry even safer
- Increased accountability for safety decisions at highest levels of transit agency
- Greater consistency in identifying hazards and evaluating safety risk
- Increased use of data to monitor effectiveness of safety risk mitigations
- Strong safety culture within every transit system

Formal SMS Definition

“SMS is the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk mitigations. It includes systematic policies, procedures, and practices for the management of safety risk.”

SMS Answers These Critical Questions

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

SMS Framework Components



Safety Management Policy Sub-Components



Safety Management Policy

Safety Management Policy component provides organizational foundation for Safety Risk Management and Safety Assurance processes to thrive

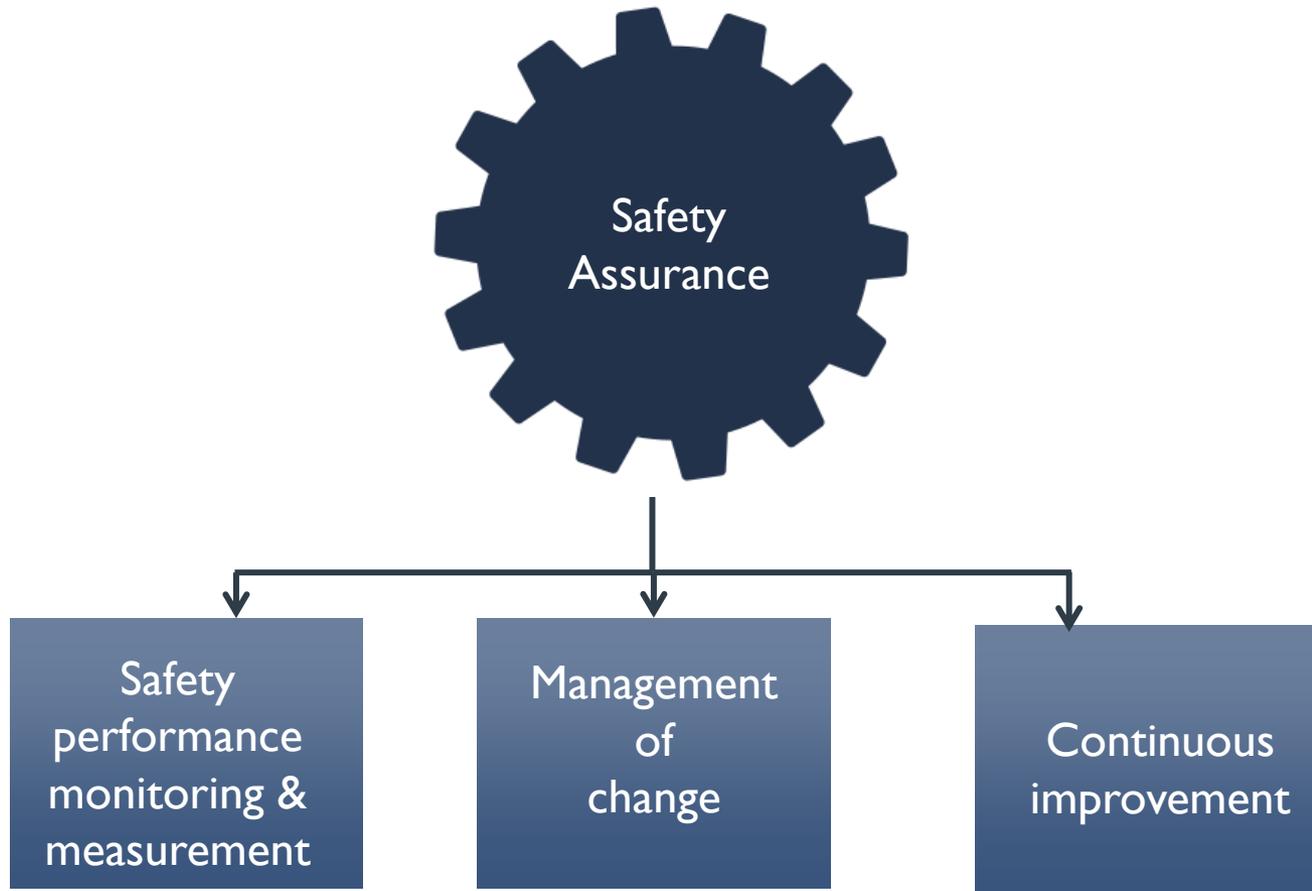
Safety Risk Management Sub-components



Safety Risk Management

Safety Risk Management activities are
forward looking

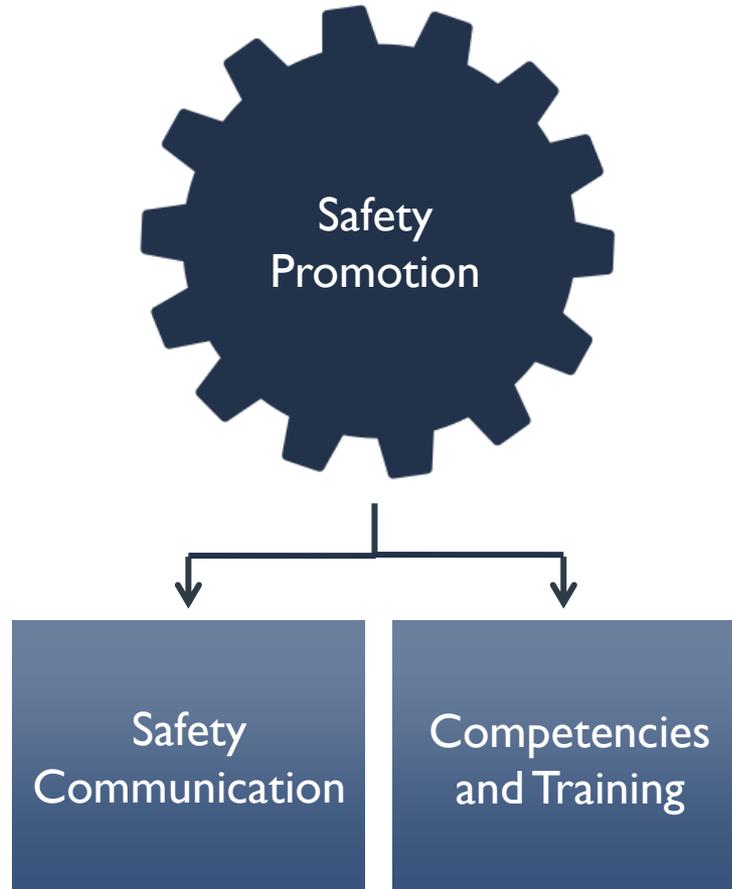
Safety Assurance Sub-Components



Safety Assurance

Safety Assurance activities monitor the *present*

Safety Promotion Sub-Components



Safety Promotion

Safety Promotion component supports organizational interactions required to build an effective SMS

Questions?

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FEDERAL TRANSIT ADMINISTRATION

Safety Management System (SMS) Overview and Implementation

Michael Coplen
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Federal Transit Administration



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Overview

- What is SMS?
- SMS Framework
- SMS Implementation Pilot Program
- Bus Safety Program Overview
- National Public Transportation Safety Plan

SMS Framework

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Safety Management Policy Sub-Components



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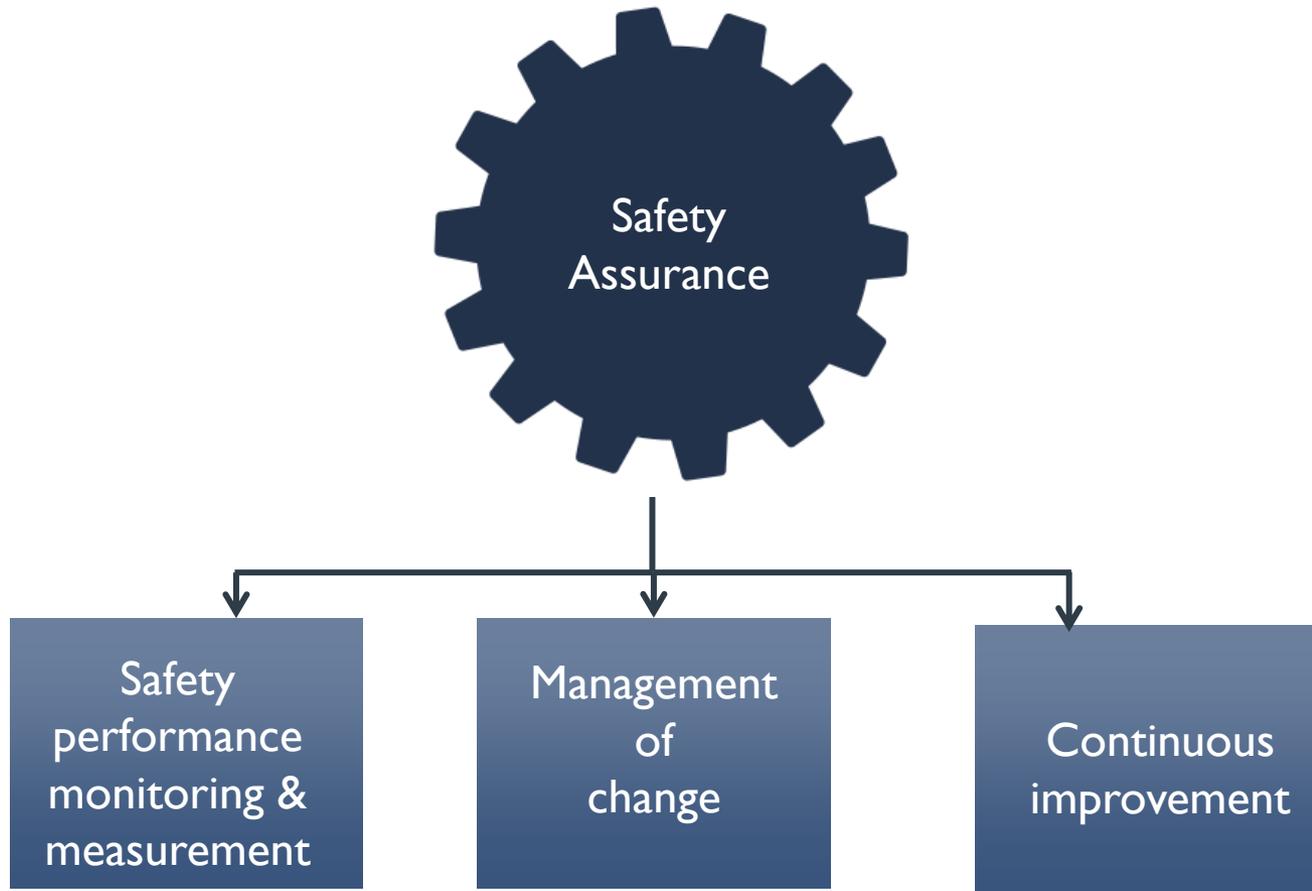
Safety Risk Management Sub-components



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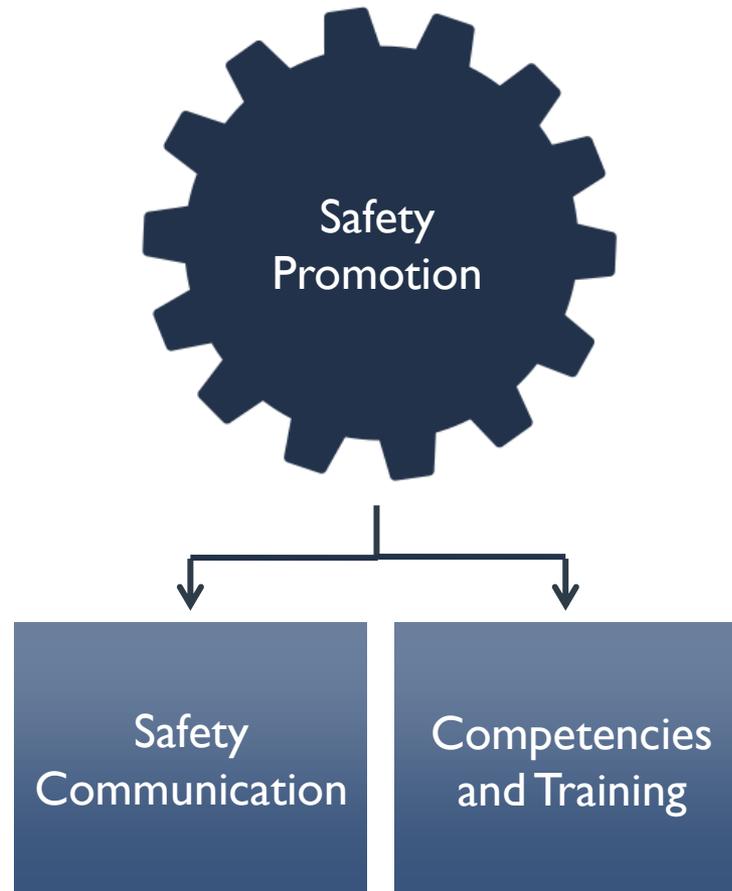
Safety Assurance Sub-Components



Safety Assurance

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Safety Promotion Sub-Components



Safety Promotion

Safety Promotion component supports organizational interactions required to build an effective SMS

SMS Implementation Pilot Program

SMS Implementation Pilot Program Overview

In partnership with select transit agencies, FTA is developing and testing practical guidance materials and tools to help the transit industry transition to safety management systems (SMSs).

Through this program, FTA

- Provides onsite training, guidance, technical assistance, and expertise on SMS implementation
- Identifies best practices and lessons learned
- Develops insights on how best to support the industry-wide transition to SMSs

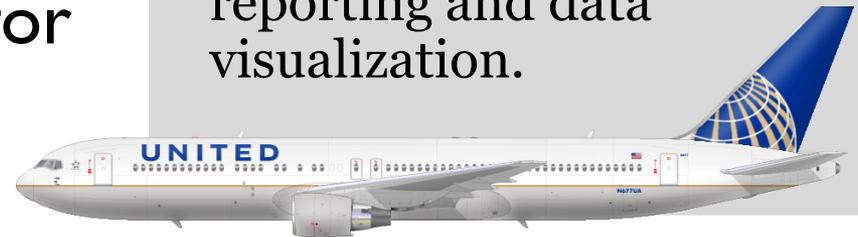
SMS Implementation Pilot Program Status Update

Chicago Transit Authority (CTA) Pilot

FTA continues to support CTA's transition to an SMS, applying lessons learned to the development of SMS guidance documents and technical assistance tools for the industry.

Leveraging aviation's SMS expertise

Safety experts from United Airlines have shared their real-world experience implementing and operating an SMS, including employee safety reporting and data visualization.



SMS Implementation Pilot Program Status Update

Small and Mid-size Bus Agencies Pilot

FTA initiated an SMS pilot with three small and mid-size bus agencies in Maryland. This pilot is focused on developing and testing SMS guidance documents and technical assistance tools for:

- Bus agencies of all sizes
- Rural transit operators
- Contractor-operated services



Montgomery County, MD



Frederick County, MD



Charles County, MD

Bus Safety Program Overview

Bus Safety Program Background

- Objective: To improve safety for passengers, employees, and all who share roadways with transit buses
- Voluntary program, but moving to an oversight role
- Developed in collaboration with industry partners (APTA, CTAA, AASHTO)
- Initial focus on small urban/rural bus transit systems
 - Now includes large urban bus transit systems

Certification Training Program

- Established by the Interim Provisions for the Public Transportation Safety Certification Training Program
- Courses are open to public transportation industry
- **REQUIRED** for rail oversight personnel
- **RECOMMENDED** for bus oversight personnel

Upcoming Training Opportunities

eLearning Self-Paced Online Courses

Curbing Transit Employee Distracted Driving	Go to https://www.rita.dot.gov/tsi/
Fatigue and Sleep Apnea Awareness for Transit Employees	Go to https://www.rita.dot.gov/tsi/
SMS Awareness	Go to https://www.rita.dot.gov/tsi/

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Upcoming Training Opportunities

General Transit Safety Courses

SMS Principles for Transit	Los Angeles, CA	February 22-24
SMS Principles for Transit	Atlanta, GA	February 28-March 2
Substance Abuse Management and Program Compliance	Jacksonville, FL	February 28-March 2
Reasonable Suspicion and Post-Accident Testing Determination Seminar	Jacksonville, FL	March 3
SMS Principles for Transit	Honolulu, HI	March 6-8
SMS Safety Assurance	Virtual-Live Training	March 8
Transit Supervisor Certification Training Course	Everett, WA	March 13-17
SMS Principles for Transit	Philadelphia, PA	March 15-17
SMS Principles for Transit	Fredericksburg, VA	March 22-24
SMS Safety Assurance	Virtual-Live Training	April 4
SMS Principles for Transit	Brooklyn, NY	April 3-5
SMS Principles for Transit	Brooklyn, NY	April 5-7
SMS Principles for Transit	Everett, WA	April 19-21
Transit Safety and Security Audit Course	Kansas City, MO	April 26-28
SMS Safety Assurance	Virtual-Live Training	April 27

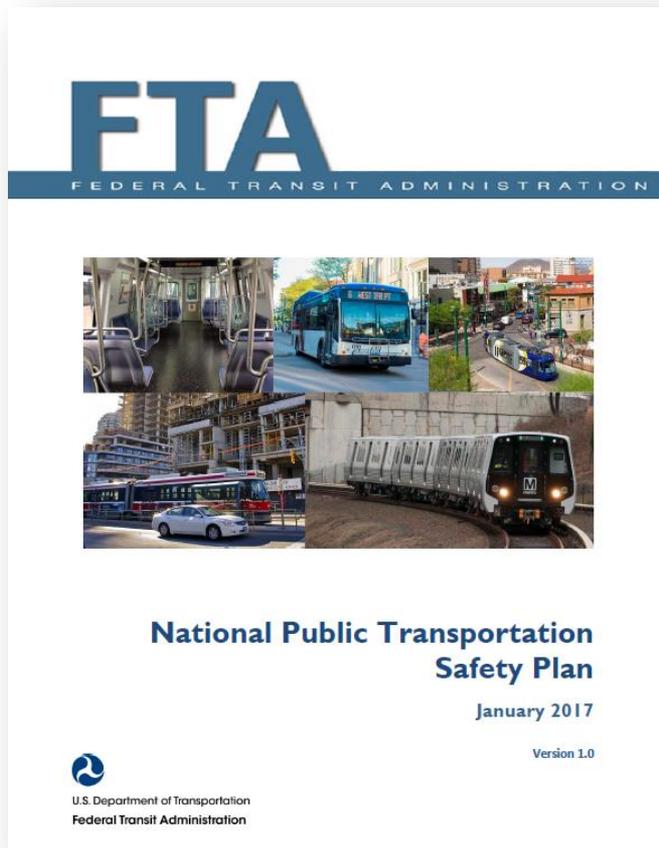
Upcoming Training Opportunities

Bus Transit Courses

Fundamentals of Bus Collision Investigation	Dallas, TX	February 27-March 3
Transit Bus System Safety	Oceanside, CA	March 6-10
Transit Bus System Safety	Honolulu, HI	March 13-17
Instructors Course for Transit Trainers	Charlotte, NC	March 20-24
Fundamentals of Bus Collision Investigation	Landover, MD	March 20-24
Instructors Course for Transit Trainers	Baltimore, MD	April 3-7
Fundamentals of Bus Collision Investigation	Atlanta, GA	April 10-14
Instructors Course for Transit Trainers	Casper, WY	April 17-21
Fundamentals of Bus Collision Investigation	West Palm Beach, FL	April 24-28

National Public Transportation Safety Plan

National Public Transportation Safety Plan (National 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

National Safety Plan Resources

National Public Transportation Safety Plan

- National Public Transportation Safety Plan
 - Federal Register Notice: National Public Transportation Safety Plan
 - National Public Transportation Safety Plan Fact Sheet
 - National Public Transportation Safety Plan FAQs
- Resources for the National Safety Plan can be found on FTA's Rulemaking page
 - <https://www.transit.dot.gov/regulations-and-guidance/safety/map-2-fast-act-safety-related-rulemaking>

Questions?

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FEDERAL TRANSIT ADMINISTRATION

FTA Safety Certification Training

Michael Coplen
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Overview

- Interim Safety Certification Training Program Provisions
- FTA Safety Training Website
- SMS Awareness Course
- Upcoming Training Opportunities

Interim Safety Certification Training Program Provisions



- Three components
 - Required training program
 - Required Technical Training Plan
 - Voluntary
- Fills in the gap requirements until the National Public Transportation Safety Certification Training Program Final Rule is published

Effective Date: 5/28/15

FTA Safety Training Website

- The FTA safety training website <https://safety.fta.dot.gov> is currently inactive and not available. We will inform you once it is back online. Please go to <https://cms.fta.dot.gov/regulations-and-guidance/safety/safety-training> for the status of the safety training website and current safety training information.
- In the interim, please contact the FTA-sponsored Transportation Safety Institute (TSI), at transit@dot.gov or (405) 954-3682, for safety training registration and course information.
- The SMS Awareness eLearning course is available on the Transportation Safety Institute's (TSI) Learning Management System (LMS).
- For any other safety training questions, please contact either Dakisha Spratling at Dakisha.Spratling@dot.gov or Ruth Lyons at Ruth.Lyons@dot.gov.
- For State Safety Oversight, please contact Joe Powell at Joseph.Powell@dot.gov or Maria Wright at Maria.I.Wright@dot.gov

Accessing the SMS Awareness Course

SMS Awareness is available on the Transportation Safety Institute's (TSI) LMS. Locate and launch the course by following these steps:

- Go to <https://www.rita.dot.gov/tsi/>
- Click on “Course Catalog”
- Log into the TSI learning management system, or register if you do not have an existing account
- Click “Search Catalog”
- Type “SMS Awareness” into the search box
- Select “SMS Awareness” when it appears on the screen
- Click the “Request” button
- Click “Launch”

Please contact Dakisha.Spratling@dot.gov or Ruth.Lyons@dot.gov with any safety training questions.

eLearning Training Opportunities

eLearning Self-Paced Online Courses

Curbing Transit Employee Distracted Driving

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Registering for Transit Safety Courses

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