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
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?
Safety Management Policy
Sub-Components

Safety Management Policy

- Safety Management Policy Statement
- Safety Accountabilities & Responsibilities
- Integration with Public Safety & Emergency Management
- SMS Documentation & Records
Safety Management Policy

Safety Risk Management Sub-components

Safety Risk Management

- Hazard Identification & Analysis
- Safety Risk Evaluation & Mitigation
Safety Risk Management activities are *forward looking*
Safety Assurance Sub-Components

Safety Assurance

- Safety performance monitoring & measurement
- Management of change
- Continuous improvement
Safety Assurance

Safety Assurance activities monitor the present
Safety Promotion Sub-Components

Safety Promotion

- Safety Communication
- Competencies and Training
Safety Promotion

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

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Safety Management System (SMS) Overview and Implementation

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February 14, 2017
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• What is SMS?
• SMS Framework
• SMS Implementation Pilot Program
• Bus Safety Program Overview
• National Public Transportation Safety Plan
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SMS Framework Components

Safety Management Policy

Safety Risk Management

Safety Assurance

Safety Promotion
Safety Management Policy Sub-Components

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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
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

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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
Questions?

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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
The FTA safety training website [https://safety.fta.dot.gov](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](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](mailto: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](mailto:Dakisha.Spratling@dot.gov) or Ruth Lyons at [Ruth.Lyons@dot.gov](mailto:Ruth.Lyons@dot.gov).

For State Safety Oversight, please contact Joe Powell at [Joseph.Powell@dot.gov](mailto:Joseph.Powell@dot.gov) or Maria Wright at [Maria1.Wright@dot.gov](mailto:Maria1.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

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