



**Moving Public Transportation
Into the Future**

Public Transportation Agency Safety Plan (PTASP) and Safety Management Systems (SMS)

September 27, 2019



Overview of the Safety Management System (SMS)

Strategically apply resources to risk

- ◆ Defined roles and responsibilities
- ◆ Strong executive safety leadership
- ◆ Formal safety accountabilities and communication
- ◆ Effective policies and procedures
- ◆ Active employee involvement

SMS (cont'd)

Key SMS activities

- ◆ Collect & analyze safety data
- ◆ Mitigate consequences of risk
- ◆ Ongoing monitoring of risk
- ◆ Use data to allocate resources



SMS: Role of Senior Management

- ◆ Understands & accepts accountability
- ◆ Ensures employee partnership & participation
- ◆ Safety Officer provides ongoing communication to all



SMS: Current Safety Structure

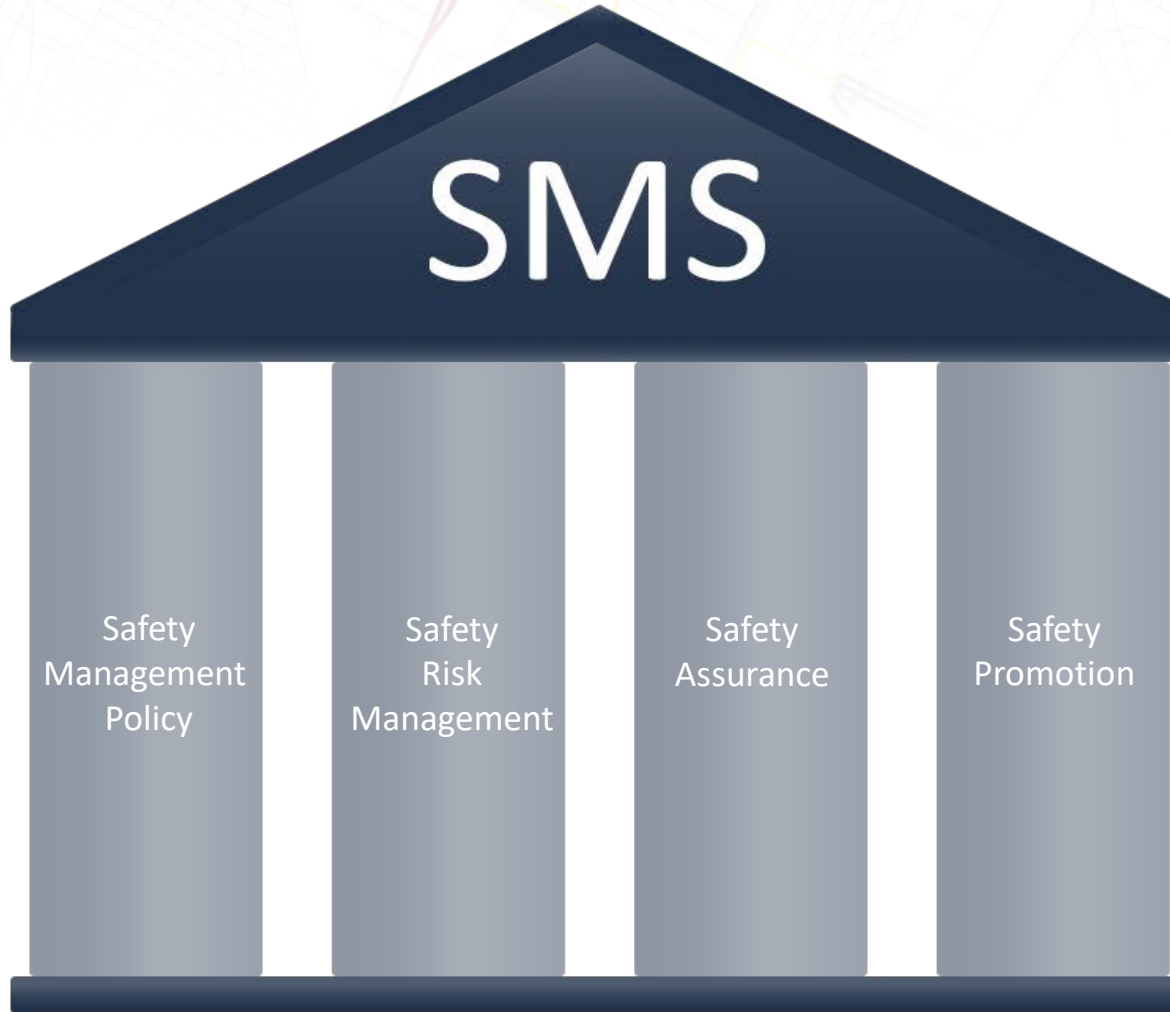
- ◆ Builds on agency resources
- ◆ Ensures safety decisions are integrated into management processes



SMS: Public Safety & Emergency Preparedness

- ◆ Integrates emergency preparedness info into assessment of risk
- ◆ Helps agency understand total risk exposure

SMS Framework Components





FTA Template Sect. 1

Transit Agency Name			
Transit Agency Address			
Name and Title of Accountable Executive			
Name of Chief Safety Officer or SMS Executive			
Mode(s) of Service Covered by This Plan		List All FTA Funding Types (e.g., 5307, 5310, 5311)	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Description of Arrangement(s)
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided			



Safety Management Policy

- ◆ The Safety Management Policy is the agency's documented commitment to safety.
- ◆ Defines safety objectives, accountabilities and responsibilities of all employees to safety.
- ◆ Signed by Accountable Executive



Accountable Executive

- ◆ Ultimately responsible for safety management
- ◆ Implements and manages SMS
- ◆ Supports safety throughout organization
- ◆ Creates a culture of safety
- ◆ Ensures budget reflects support of safety



Accountable Executive (cont'd)

- ◆ Analysis of safety data, performance measures, reviews
- ◆ Manages policies and procedures and adjusts accordingly
- ◆ Makes long term decisions that may effect safety (procurement, service design, policy etc.)
- ◆ Works with Board to ensure safety culture
- ◆ Works closely with Safety Officer/Manager (in some systems could be same person)



Safety Officer

Role:

- ◆ A Safety Officer should be someone with authority to make decisions about safety. It should be someone with supervisory or management credentials.
- ◆ Safety Officer has attended training relative to the position
- ◆ Safety Officer is responsible for ensuring safety plan is followed
- ◆ Safety Officer attributes time to safety related duties if SO's primary position is different than operations
- ◆ Employees must understand role of Safety Officer



FTA Template Sect. 2

Name of Entity That Drafted This Plan		
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Relevant Documentation (title and location)	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Relevant Documentation (title and location)	



FTA Template Sect. 3

Safety Performance Targets

Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.

Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability	Other	Other	Other



- ◆ SAFETY PERFORMANCE MEASURE: FATALITIES (total number of reportable fatalities and rate per total vehicle revenue miles by mode)
 - Customers, employees and the public
 - DATA – Fatalities by mode
 - DATA – Revenue miles by mode
- ◆ SAFETY PERFORMANCE MEASURE: INJURIES (total number of reportable injuries and rate per total vehicle revenue miles by mode)
 - Customers, employees and the public
 - DATA – Accidents with injuries by mode
 - DATA – Revenue miles by mode
- ◆ SAFETY PERFORMANCE MEASURE: SAFETY EVENTS (total number of reportable events and rate per total vehicle revenue miles by mode)
 - Combined above with reportable incidents for customers, employees and the public
 - DATA – Safety incidents by mode
 - DATA – Revenue miles by mode
 - DEFINE – Safety incident vs. other incidents
- ◆ SAFETY PERFORMANCE MEASURE: SYSTEM RELIABILITY (mean distance between major mechanical failures by mode)
 - Relationship with TAM Plan – State of Good Repair (SGR) by mode
 - DATA – Definition of system SGR in TAM
 - DATA – Annual target data by mode
 - DATA – Reference to TAM plan policies impacting system reliability
 - DATA – Include annual System Reliability
 - DATA – Revenue miles by mode
 - DATA – Major mechanical failure by mode with dates
 - DEFINE – Major mechanical failure
 - Towed from service
 - Greater than \$X of repairs
 - Greater than X days out of service



FTA Template Sect. 3

Safety Performance Target Coordination

Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted



FTA Template Sect. 4

<p>Safety Management Policy Statement</p> <p><i>Include the written statement of safety management policy, incorporating safety objectives.</i></p>	
<p> </p>	
<p>Safety Management Policy Communication</p> <p><i>Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.</i></p>	
<p> </p>	
<p>Authorities, Accountabilities, and Responsibilities</p> <p><i>Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).</i></p>	
<p>Accountable Executive</p>	<p> </p>
<p>Chief Safety Officer or SMS Executive</p>	<p> </p>
<p>Agency Leadership and Executive Management</p>	<p> </p>
<p>Key Staff</p>	<p> </p>
<p>Employee Safety Reporting Program</p> <p><i>Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).</i></p>	
<p> </p>	



Safety Management Policy Statement

Issue a Safety Management Policy Statement

- ◆ Executive management documents commitment to safety
- ◆ Agency commits to providing resources to mitigate prioritized safety risk
- ◆ Agency develops formal and effective reporting method
- ◆ Agency establishes safety performance standards
- ◆ Agency enlists & communicates SMS roles to all employees
- ◆ Oversight Authority (CEO or other) signs statement



FTA Template Sect. 5

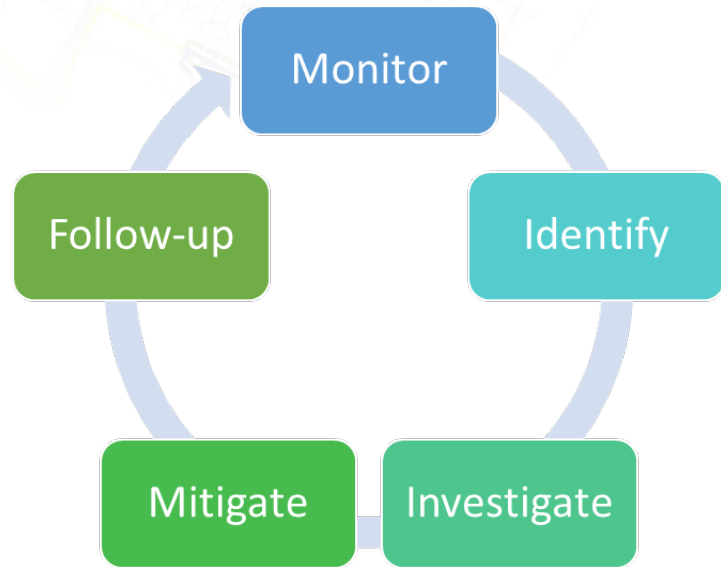
Safety Risk Management Process

Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*
 - *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.*
 - *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.*
-

Safety Risk Management

- ◆ Safety Hazard Identification
- ◆ Safety Risk Assessment
- ◆ Safety Risk Mitigation



Risk Assessment Scale	General Definition
Level 3 Immediate Response Needed	Poses an imminent threat to employees, passengers or the public
Level 2 Medium Response Needed	If not mitigated within 7 days could become Level 3
Level 1 Low Response Needed	Continue to monitor to determine if further action is needed



FTA Template Sect. 6

Safety Performance Monitoring and Measurement

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

Describe activities to conduct investigations of safety events to identify causal factors.

Describe activities to monitor information reported through internal safety reporting programs.

Management of Change (Not Required for Small Public Transportation Providers)

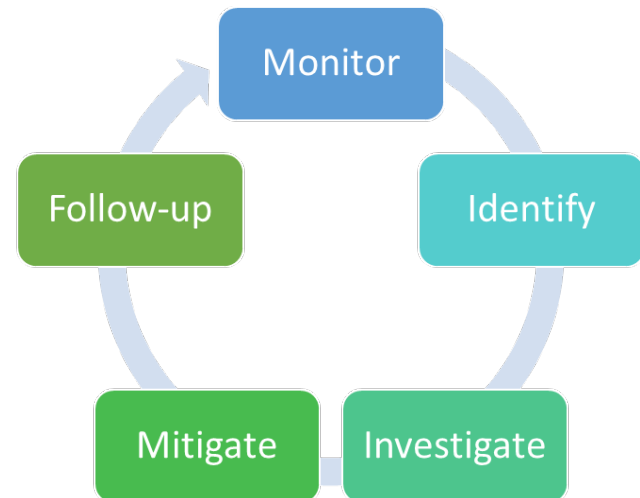
Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

Continuous Improvement (Not Required for Small Public Transportation Providers)

Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

Safety Assurance

- ◆ Monitor safety
- ◆ Performance measures
- ◆ Determine if action taken was effective
- ◆ Data collection and analysis





FTA Template Sect. 7

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

Safety Promotion

- ◆ Training program
 - Core, refresher and remedial
 - Relevant and effective
- ◆ Communicating safety
- ◆ Culture of safety





Questions?

Kelly Shawn

RLS & Associates, Inc.

(703) 919-9237

KShawn@rlsandassoc.com