
Operations, Safety, & Security Committee
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Public Transportation Agency Safety Plan (PTASP)
49 CFR Part 673
Safety Management System (SMS)
FTA General Requirements

• PTASP - Approval
  – Agency’s Accountable Executive
  – Board of Directors
  – Chief Safety Officer
  – State Safety Oversight Agency (SSOA) - TxDOT

• Documented Processes of the Agency’s Safety Management System (SMS)
  – To include:
    o Safety Management Policy
    o Safety Risk Management
    o Safety Assurance
    o Safety Promotion
What is SMS?

- SMS is a comprehensive, collaborative approach that brings management and employees together to build on the transit industry’s existing safety foundation to:
  - Better control safety risk
  - Detect and correct safety problems earlier
  - Share and analyze safety data more effectively
  - Measure safety performance more carefully
Benefits of SMS

- Leadership commitment and accountability
- Employee engagement and empowerment
- Safety decision-making and resource allocation
- Collaboration between management and front-line staff
- Confidence in safety mitigations
- Partnership and knowledge sharing (agencies, states, and FTA)
- Continuous learning
49 CFR Part 673-PTASP Rule

- The rule is made of four subparts, including: General; Safety Plans; Safety Management Systems; and Safety Plan Documentation and Recordkeeping
Road Map to Agency Safety Plan (ASP)

- First Presentation (June 11, 2019)
  - Overview of SMS and Agency Safety Plan Requirements
  - Requirements set by FTA for Board Approval
- Next Steps Understanding the Components of SMS, the guide to developing the Agency Safety Plan
- The PTASP is different from SMS. It is a document, the regulatory vehicle for administering SMS.
- Review of Components 1 and 2
  - Safety Management Policy
  - Safety Risk Management
Safety Management System (SMS)

- Safety Promotion
- Safety Risk Management (Identify, Assess, Prioritize)
- Safety Management Policy (Commitment)
- Safety Assurance (Mitigate, Measure, Monitor)
- Communication
§ 673.21 SMS General Requirements

• Each transit agency must establish and implement a Safety Management System (SMS) under this part. A transit agency SMS must be appropriately scaled to the size, scope and complexity of the transit agency and include the following elements:
  – a) Safety Management Policy (§673.23)
  – b) Safety Risk Management (§673.25)
  – c) Safety Assurance (§673.27)
  – d) Safety Promotion (§673.29)
Components 1 & 2

• **Safety Management Policy**
  – Safety Management Policy Statement
  – Safety Accountabilities and Responsibilities
  – SMS Documentation and Records

• **Safety Risk Management**
  – Safety Hazard Identification
  – Safety Risk Assessment and Mitigation
Safety Management Policy

• Must establish the necessary authorities, accountabilities, and responsibilities for the management of safety among the following individuals within its organization, as they relate to the development and management of the transit agency’s Safety Management System (SMS):
  – 1) Accountable Executive
  – 2) Chief Safety Officer or SMS Executive
  – 3) Agency leadership and executive management
  – 4) Key staff
Accountable Executive

- A single, identifiable person who has ultimate responsibility for:
  - Carrying out the agency safety plan of a public transportation agency (PTASP)
  - Carrying out the agency’s Transit Asset Management (TAM) Plan
  - Control or direction over the human and capital resources needed to develop and maintain both the agency’s PTASP and TAM Plan. § 673.5

1) Accountable Executive
Chief Safety Officer
SMS Executive

- An adequately trained individual who has responsibility for safety and reports directly to a transit agency’s chief executive officer, general manager, president, or equivalent officer. § 673.5

2) Chief Safety Officer-SMS Executive
Why is the CSO/SMS Executive accountable for SMS implementation?

- SMS implementation is an interdisciplinary management system
- Communicates directly with the Accountable Executive and agency leadership on SMS implementation needs
- As an executive level position, the CSO/SMS Executive has the power to procure technical and staffing resources
Agency Leadership Team

- Must identify those members of its leadership or executive management, other than an Accountable Executive, Chief Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency’s SMS. § 673.23 (d)(3)

3) Agency leadership team

- Leadership Committee
- Executive Management (Accountable Executive)
- CSA/SMS Executive
- Safety Department
- Key staff/Supervisor Level
- Operations/Maintenance Front Line
- Technical Management Operations Maintenance Other areas
Key Staff

- Must designate key staff to support the Accountable Executive, Chief Safety Officer, or SMS Executive in developing, implementing, and operating the agency’s SMS. § 673.23 (d)(4)
SMS-Component #2
Safety Risk Management (SRM)
Safety Risk Management

• Safety Risk Management process. A transit agency must develop and implement a Safety Risk Management process for all elements of its public transportation system. The Safety Risk Management process must be comprised of the following activities:
  – a) safety hazard identification,
  – b) safety risk assessment,
  – c) safety risk mitigation.

§ 673.25(a) - § 673.25(d)
Safety Risk Management (SRM)

- Safety hazard identification.
  - 1) A transit agency must establish methods or processes to identify hazards and consequences of the hazards.
  - 2) A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA. § 673.25(b)
Safety Risk Management

• Safety risk assessment.
  – 1) A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards.
  – 2) A safety risk assessment includes an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.

§ 673.25(c)

Safety Risk Assessment

The key for any agency is to establish exactly what is meant by acceptable or tolerable risk.

The expression “acceptable risk” usually, but not always, refers to the level at which further risk reduction measures or additional expenditure of resources will not result in significant reduction of risk” — ANSI B1.0 - 2010

Risk acceptance is a policy decision that must be owned & embraced by the Accountable Executive, staff, and employees, as an agency, not individuals

Risk acceptance is defined by the agency’s Safety Risk Management Process

KEY POINT
“Accepting” a level of risk does not mean the risk is eliminated
- “Residual risk” still remains
- Remaining risk is sufficiently low to be outweighed by the benefits of the existing operation
Safety Risk Management

• Safety risk mitigation.
  – A transit agency must establish methods or processes to identify mitigations or strategies necessary as a result of the agency’s safety risk assessment to reduce the likelihood and severity of the consequences.

§ 673.25(d)
Role and Responsibilities-Overview

*Includes Executive leaders, from all agency functions or departments, that support revenue service operations.
Summary

• Transit agencies document their commitment to safety in the form of written safety policies (signed by CEO and the Board).

• First Two Components are key factors to developing the ASP and Implementing SMS

• Next Components
  – Safety Assurance
  – Safety Promotion
QUESTIONS