STATE ASSET MANAGEMENT & SAFETY PLANS FOR SMALL SYSTEMS

SMS FOR SMALL TRANSIT SYSTEMS

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INTRODUCTIONS

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WELCOME & INTRODUCTIONS

SWTA Facts - Eight-state professional transit association

1. Arizona
2. Arkansas
3. Colorado
4. Kansas
5. Louisiana
6. New Mexico
7. Oklahoma
8. Texas
SESSION’S AGENDA

• FTA’s Safety Management System (SMS)
  • Origin of new FTA safety direction
• The SMS Framework & Adaptability to Small Transit Systems
  • The Structure & Four Pillars
• Pillar I: Safety Policy Management Requirements
  • Safety Management Policy (Commitment) Statement
  • The Agency Safety Plan & Transit Asset Management Plan
• ASP & TAM
  • Purposes
  • Plan Elements, Content
FTA’S NEW SYSTEMATIC APPROACH

Google: FTA SMS Framework:
MAJOR PUBLIC TRANSPORTATION SAFETY PROGRAM REQUIREMENTS

- National Public Transportation Safety Plan
- FTA Standards for Safety & Enforcement
- Public Transportation Agency Safety Plans (ASP) + TAM
- Self-Certification of a Compliant ASP
- CSO Reporting Directly to the Top Executive Officer (GM/CEO) ➔ The Accountable Executive
- Public Transportation Safety Certification Training Program
- State Safety Oversight (SSO) Program
- Adoption of a FTA Safety Management System (SMS)
FTA’S CHANGE BASED ON 3 REASONS

1. **Consistent Accident Themes**
2. **Changing Nature of Public Transportation**
3. **Identified Organizational Gaps & Challenges**

- Fatigue, Not Fit-For-Duty, Rushing, Distractions, Poor Training
- Technology, ↑ Demand, Increasing Complexity, Seamlessness, Connectivity
- Poor Safety Cultures, Lack Enforce., P&P Lacking, No Oversight or Reporting & Data Management
1. CONSISTENT ACCIDENT THEMES

- Rushing
- PTP vs. Safety
- Distractions
- Poor preparation
- Fatigue, FFD
- Practical drift
- Complacency
- Violence against operators
- Other internal & external unsafe behaviors
2. CHANGING NATURE OF PUBLIC TRANSPORTATION

- Increasing complexity
- Increasing modes
- Intermodal
- Required certifications
- Accessibility
- Technology
- Changing labor force
3. ORGANIZATIONAL GAPS & CHALLENGES

- Poor safety culture
- Operator shortages
- Out-of-date polices
- Not following SOPs
- Lack of competency
- Inadequate reporting
- Lacking data mgmt. analysis
- Lack of consistent enforcement
SMS FRAMEWORK
SAFETY MANAGEMENT SYSTEMS (SMS)

FTA’s selected approach to strengthening transit safety in the Nation.

A way to weave safety into the very fabric of a transit organization – its culture & the way people do their jobs.
THE FOUR PILLARS (STRATEGIES) OF SMS

➢ Safety Policy
➢ Safety Risk Management
➢ Safety Assurance
➢ Safety Promotion
SAFETY MANAGEMENT SYSTEMS DEFINITION


- Formal?
- Top-down?
- Organization-wide?
- Collaborative?
- Data-driven safety management?
- Assuring effectiveness?
- Risk mitigations?
4 SMS Pillars/Strategies

- SMS Principles
  - Safety Information Management
  - Safety Promotion, Training, and Education
- SMS Sub-Components
  - Safety Oversight and Program Evaluation
  - Senior Management Commitment
  - Policies and Objectives
  - Organization for Safety, Accident Prevention Advisor Structure, Safety Committee
  - Risk Management
  - Hazard Identification Systems
  - Investigation Capabilities
  - Safety Analysis Capabilities
SMS SAFETY MANAGEMENT POLICY
STATEMENT ➔ COMMITMENT

- See Handout
- Elements
  - Support & Resources
  - Accountability
  - Performance Targets
  - Continuous Improvement
  - Safety reporting
SMS ADAPTABILITY TO SMALL TRANSIT SYSTEMS

• NPTSP & SMS Legislation & Framework Statement
  • No one-size-fits-all approach to SMS
  • Adaptable to system size, operating environment, mode
  • Small primarily means bus transit in tribal, rural & small urban areas (Tier II Transit Systems)
  • Provision for State DOT/SSO support (plan templates)

• Requirements of NPTSP apply to all FTA grant recipients
• Adoption of SMS voluntary for bus transit
PILLAR 1: SAFETY POLICY MANAGEMENT

(Requirement for ASP & TAM)
PILLAR 1: SAFETY POLICY MANAGEMENT

• **Execution of Safety Management Policy Statement**
  - Declaring management’s commitment to safety
  - Adopting SMS approach
  - Supporting strengthening of safety culture
  - Establishing:
    - Staff safety responsibilities & accountabilities
    - Safety information, communications & reporting
    - Safety performance standards & targets
    - Safety management competency & training
    - Contract service safety oversight & safety compliance
  - Complying with all legislation, regulations & rules
  - Addressing change & making continuous improvement

See Handout
SAFETY POLICY MANAGEMENT

- **Organizational Structure Supporting SMS**
  - Apply SMS organization-wide
  - CSO direct report to GM
  - SMS, Safety & Accident Review Committees

- **Balancing Safety Priorities With Service Priorities**
  - Safety First vs. OTP, productivity, service miles, etc.
  - Training to competency
  - Developing an annual updated Agency Safety Plan, TAM Plan with SGR

- **Safety-Related Planning: ASP & TAM**