



Georgia Department of Transportation

Challenges and Success Enhancing Safety Culture and Compliance

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Agenda

- GDOT SSO Program Overview
 - Systems Thinking
- Enhanced Oversight
 - Approach and Path
- GDOT/MARTA Approach to SMS Implementation
 - Safety Management Policy
 - Safety Risk Management
 - Safety Assurance
 - Safety Promotion
- Summary & Closing Thoughts
- Questions

Culture of Change toward Compliance

- A systems approach toward safety compliance
 - Structured and systematic
- Key underpinnings to build a safety culture and compliance environment
 - Continuous improvement a prerequisite
 - Acknowledge safety is the central goal
 - Create an environment of trust and transparency
 - Engage key personnel early and be upfront
 - Assess staff capacity and capability
 - Address difficult issues with objectivity
 - “Journey” not a “destination”

Systems Thinking

Part of the overall management system that includes:

- Organizational structure
- Planning activities
- Responsibilities
- Practices
- Procedures
- Processes
- Resources

For developing, implementing, achieving, reviewing and maintaining the **Safety Policy (Goals and Objectives)**

Reality Check

Apr. 2020

GDOT concluded the 2019 Triennial Audit resulted in 116 Findings

May 2021

GDOT 2020 674 Noncompliance Investigation based on complaints resulted in 18 CAPs

July 2021

76 of 113 CAPs from the 2019 Triennial Audit remained open

Sep. 2022

GDOT 2021 674 Noncompliance Investigation based on complaints resulted in 3 Findings

GDOT SSO Program Enhanced Oversight

- In July 2021, GDOT initiated enhanced oversight of MARTA's CAP management
 - 2019 Triennial Onsite Rail Safety Audit
 - 2020 674 Noncompliance Complaint Investigation
- Enhanced oversight goals include:
 - Prioritize and close CAPs
 - Provide technical guidance through a series of workshops
 - Leverage strategic resources to enhance safety performance

Enhanced Oversight Path

- Develop action plan for mitigating deficiencies actions, responsible parties, and schedule
- Initiated progress meetings
 - Weekly progress meetings
 - Senior leadership weekly meetings
 - Monthly progress briefing to MARTA Board
 - FTA/GDOT bi-weekly progress meetings and reporting
- Routine CAP review and verification
 - Increased frequency of MARTA submittals
 - GDOT review checklist turn-around
- Evaluated resources and created a collaborative environment for continuous improvement

SMS Implementation Requirement



- 49 CFR 673 defines SMS as:
 - Formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation

- SMS Elements:
 - Safety Management Policy
 - Safety Risk Management
 - Safety Assurance
 - Safety Promotion

Safety Management Policy

- Clearly defined authorities, objectives, and responsibilities
- Set forth the policy, procedures, and organizational structure to accomplish the objectives and targets
- Ensured senior leadership engagement
- Developed a framework and schedule for action that is realistic
- Engaged additional external technical consultant to support programmatic activities

Safety Risk Management

- Open channels of communication on hazards and potential consequences
 - Quarterly hazard identification & risk assessment workshops
 - Monitored maintenance of the Systemwide Safety Risk Registry and weekly tracking/verification of CAPs
- Inspection of the station emergency lighting systems in 38 rail stations
 - Completed and documented activities including specifications, inspection procedure, schedule, pass/fail criteria, and completed inspection reports as per the PTASP and Hazard Management Plan

Safety Risk Management (Cont.)

- Developed a collaborative approach to mitigate hazards
 - Fire/smoke related risk-based programs:
 - In an open trackway environment
 - In tunnels, stations, and or confined spaces
 - Safety Operational Officers (SOO) conducting inspections to identify hot spots
 - Implemented Zonar Sensor Technology pilot program for the removal of debris and trash from open trackway system

Safety Assurance

- Worked in partnership with FTA & MARTA
 - Conduct meetings routinely to discuss progress
 - Focus on monitoring the safety performance indicators
 - CAPs tracking on a weekly/monthly basis
- Undertook joint efforts to demonstrate results
 - Developed assurance policies and SOPs to include scheduling, deployment, and management oversight of the SOO
 - Increase both scheduled and unscheduled safety inspections

Safety Assurance (Cont.)

- Continuous performance monitoring and improvement
 - Identified weaknesses in SMS processes to improve overall safety performance
 - Continuous monitoring of accurately reporting of 2-hour FTA notification, conducting refresher training, maintaining rosters, dedicated trained personnel for event reporting

Safety Promotion

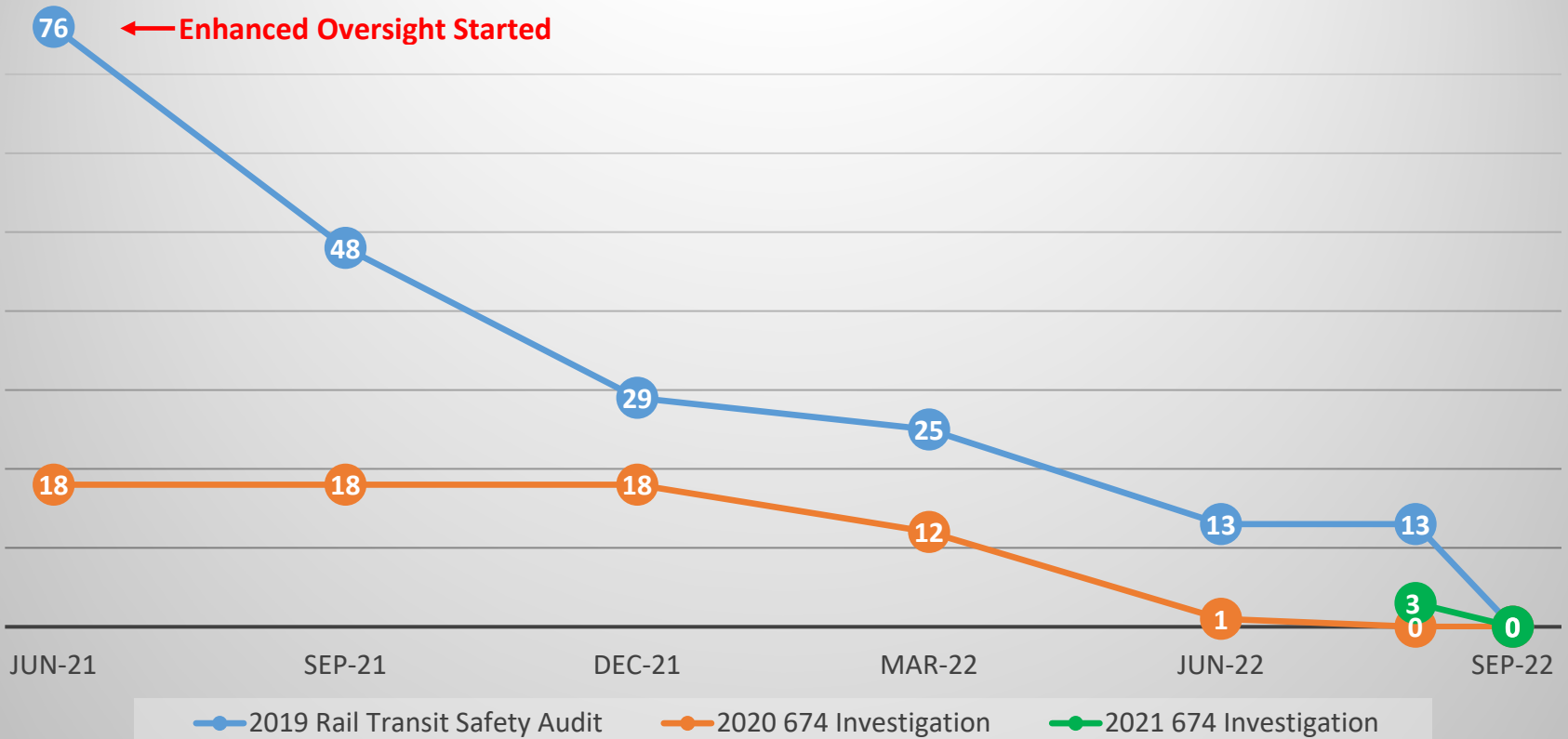
- Established frequent and effective communication
 - Opened two-way communication of lessons learned
 - Employees made aware of safety priorities and safety concerns both at the organizational level and individual duties and responsibilities
- Safety-related information actively and routinely communicated
 - Increased safety awareness for reporting purposes by creating a dedicated phone and email account, document sharing between agencies via SharePoint

Safety Promotion (Cont.)

- Foster effective training for employees
 - Supported the hire of qualified and trained personnel for effective SMS implementation
 - Attend available training sessions offered by TSI
 - Actively track and maintain ITP, TTP, PTSCTP, and refresher training courses on a minimum monthly basis
 - Recommend other professional development activities and opportunities, as appropriate

SMS Implementation Leads to Success

Open CAPs



Summary of Outcomes

- Successful closure of all GDOT-Initiated CAPs
- Completion of 2021 674 Noncompliance Investigation
- Continue to observe improvements in safety culture and compliance
- Engage with both senior leadership and operational staff
- Encourage frequent and collaborative communication
- Monitor & foster continuous improvement through tracking

Closing Thoughts

- Work together to solve problems. Strengthen safety culture to deepen commitment to safety of passengers and employees
- Strengthen core competencies in accident investigation, risk management, data gathering and analysis to continually improve safety policies
- Partnering and knowledge sharing (MARTA, GDOT, and FTA) by frequently communicating & reinforcing safety values
- Monitoring effectiveness of mitigations to reinforce continual improvement
- ***Celebrate success***

Questions?