

# FTA

FEDERAL TRANSIT ADMINISTRATION

## APTA Rail 2018

### SMS and Enterprise Risk Management

**Paulina Orchard**  
**SMS Lead**

**Office of System Safety**  
**Office of Transit Safety and Oversight**  
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# Overview

- FTA initiatives
- SMS & Enterprise Risk Management

# FTA Initiatives

The FTA has adopted the principles and methods of Safety Management Systems (SMSs) as the basis of its Safety Program.

- Safety rulemaking
- Research & pilot programs
  - SMS Implementation Pilot Program
  - Employee Safety Reporting Demonstration Project
- Safety promotion, education and training, and technical assistance

# Components of SMS in Enterprise Risk Management

<b>Safety Management Policy</b>	<ul style="list-style-type: none"><li>• Clear accountability for decision-making</li><li>• Incorporate risk-based thinking into everyday decisions</li></ul>
<b>Safety Risk Management</b>	<ul style="list-style-type: none"><li>• Prioritize safety hazards based on safety risk</li><li>• Choose safety risk mitigations based on safety risk</li></ul>
<b>Safety Assurance</b>	<ul style="list-style-type: none"><li>• Ensure mitigations are working as intended</li><li>• Identify new sources of safety risk by managing changes and investigating safety events</li></ul>
<b>Safety Promotion</b>	<ul style="list-style-type: none"><li>• Train personnel on risk-based approach</li><li>• Support a dialogue around safety risk and resource allocation</li></ul>

# How Effective Enterprise Risk Management Prepares Agencies to Implement SMS

SMS implementation is easier for transit agencies with:

- Performance and management analytics experience
- Widespread, effective recordkeeping practices
- Resources for data collection and analysis
- Organization-wide planning and strategy development experience
- Formal decision-making processes

Paulina Orchard  
SMS Lead  
Office of System Safety  
Office of Transit Safety and Oversight  
[Paulina.Orchard@dot.gov](mailto:Paulina.Orchard@dot.gov)