

FTA

FEDERAL TRANSIT ADMINISTRATION

2019 APTA Mobility Conference Enterprise Risk, SMS and Safety Culture Session

Testing Safety Risk Management Procedures in Bus Operations – Lessons Learned

May 21, 2019



U.S. Department of Transportation
Federal Transit Administration

Safety Management System (SMS) Implementation Pilot Program

- Transit agencies that receive 49 U.S.C. § 5307 funds must develop and certify an Agency Safety Plan under the Public Transportation Agency Safety Plan (PTASP) rule at 49 C.F.R. Part 673 by July 20, 2020.
 - Agencies must develop an SMS, including Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.
- Through the Pilot Program, FTA partners with transit agencies to develop and test SMS implementation guidance for the transit industry in real-world circumstances.
- Current SMS Implementation Pilots:
 - **CTA Pilot:** Chicago Transit Authority (CTA), with the Illinois Department of Transportation (IDOT).
 - **Bus Pilot:** Montgomery County, MD Ride On; Transit Services of Frederick County, MD; Charles County, MD VanGO, with the Maryland Transit Administration (MTA).

Safety Risk Management (SRM) Procedures Pilot at CTA Bus Garage

- In 2018, CTA tested draft SRM procedures at the Kedzie bus garage with Bus Operations management personnel.
- CTA developed a series of SharePoint forms for bus operations supervisors to input safety concerns and for Safety Department safety specialists to perform safety risk analysis on submitted concerns.



Safety Risk Management (SRM) Procedures Pilot – Process

Safety Concern Identification

Safety Concern Characterization

Safety Concern Analysis

Safety Risk Evaluation

Safety Risk Mitigation

Using a term like “safety concern” instead of “hazard” can encourage broader reporting.

- SharePoint forms created to guide and document each step in the process.
- Tested nine SharePoint forms; consolidated down to six.

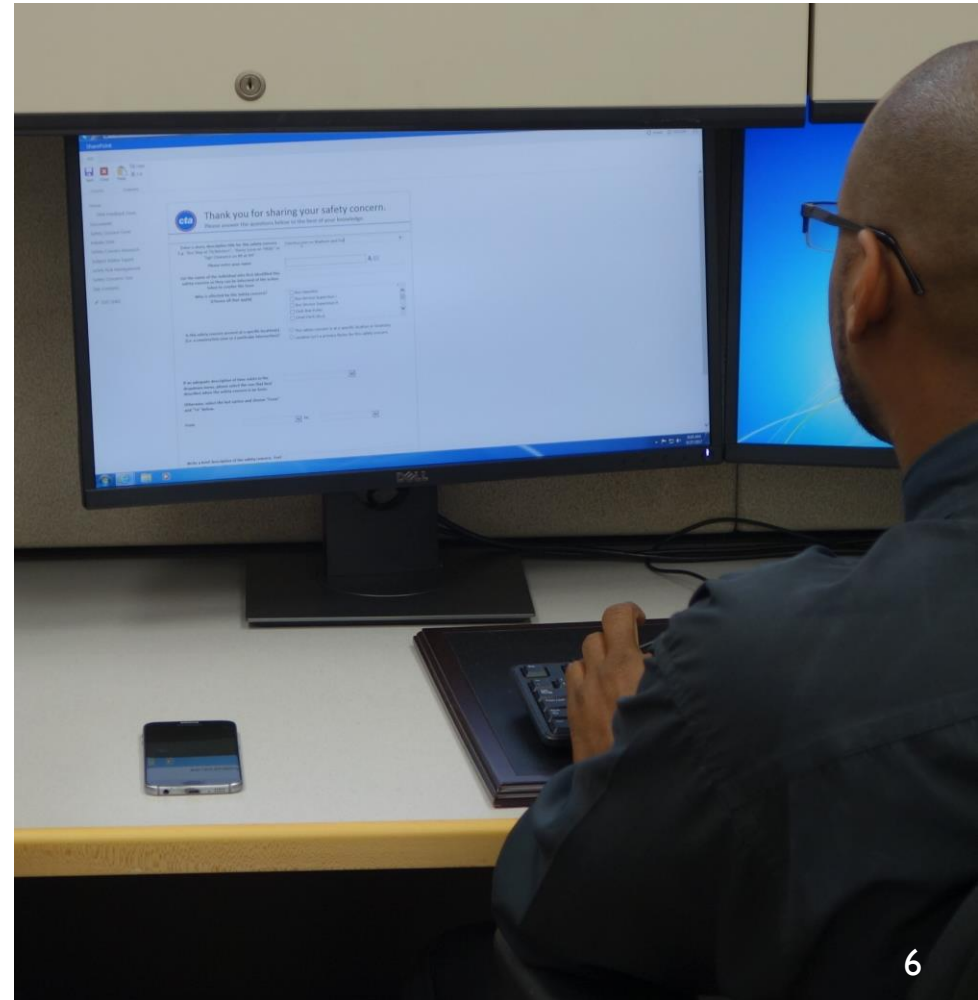


Safety Risk Management (SRM) Procedures Pilot – Lessons Learned

- Start small and build out from collaboration between the Safety Department and subject-matter experts.
 - Operations personnel’s safety concern information and operational expertise are critical for SRM to be effective.
 - Safety Department leadership on information management and analysis can support:
 - Safety risk assessment consistency
 - Workload management
 - Building capabilities through experience
- Focus on the process, not the results.
 - Documentation formalizes SRM activities and stores information in a way that can be reviewed and analyzed later.
 - SRM outputs as the system of record, not just another form of communication.
 - Does the process generate information needed to make decisions?

Safety Risk Management (SRM) Procedures Pilot – Lessons Learned

- Have safety specialists lead a collaborative discussion on the safety concern, with relevant subject-matter experts.
 - Complete documentation later.
 - Pull relevant likelihood and severity data to support discussion.
- Focus training on what is critical for each role.
 - For example, one-hour on-the-job training on completing the safety concern form.
 - More extensive training for safety specialists leading discussions and conducting analysis.



Key Take-Aways

- Test SRM procedures on a small scale before implementing agency-wide.
- SharePoint, or other existing work tools, are useful to facilitate the SRM process and maintain required documentation.
- Consider the lessons learned from CTA's SRM pilot experience when developing, testing, and/or implementing your own SRM procedures.

PTASP Resources

Read, watch, and participate

- Review the [PTASP FAQs](#)
- Visit the [PTASP Resources](#) page to view previous webinars and documents
- Participate in webinars explaining PTASP-regulations and guidance
- Read our newsletter, [TSO Spotlight](#) for PTASP-related articles



Attend a workshop

- FTA will hold PTASP workshops in July, August, and September 2019 for bus and rail transit agencies. The workshops will allow participants to learn more about the rule's requirements, how to implement SMS, and to share best practices.
- Information on the workshops can be found on the FTA website under [Calendar of Events](#) and on FTA's [PTASP page](#) for registration updates

Sign up to receive updates

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A screenshot of the GovDelivery sign-up form. At the top, it says "U.S. Department of Transportation Federal Transit Administration" with a logo. Below that, it says "Email Updates" and "To sign up for updates or to access your subscriber preferences, please enter your contact information below." There is a text input field for "Email Address" with a red asterisk indicating it is required. At the bottom of the form are two buttons: "SUBMIT" and "CANCEL".

- FTA announcements and new PTASP documents
- <https://public.govdelivery.com/accounts/USDOTFTA/subscriber/new>