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AASHTO Winter Meeting

Safety Rulemaking Update

Office of Transit Safety and Oversight

Angela Dluger
December 3, 2015
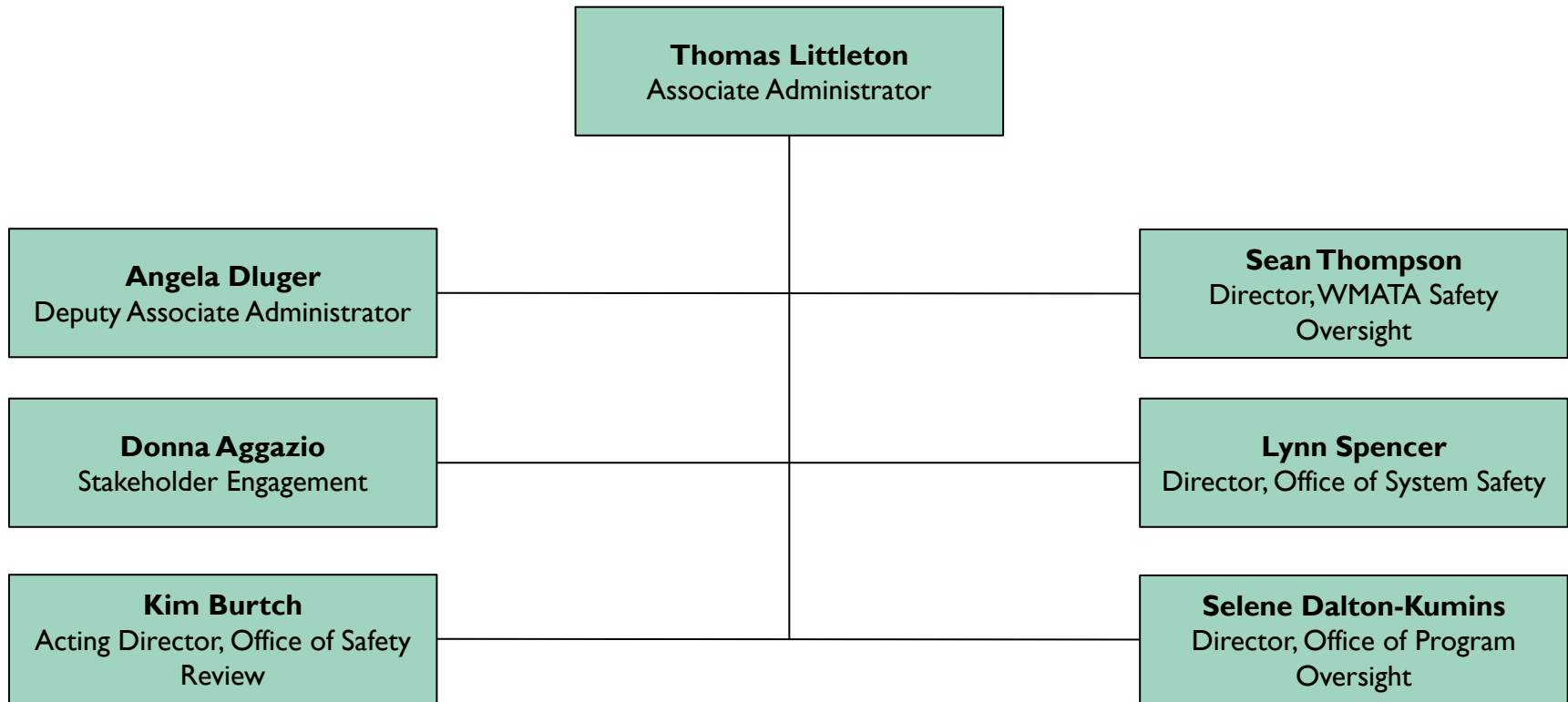
FTA's Safety Program Update

- Overview of the Office of Transit Safety and Oversight (TSO)

- Recent FTA Safety Activities

- FTA Rulemaking

- Safety Management Systems (SMS)

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Office of Transit Safety and Oversight (TSO)
December 2015

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Director, Office of Program Oversight

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Recent FTA Safety Activities

- Conducted First Safety Management Inspection at WMATA and Released Findings and Required Actions (June 2015)

- Issued Dear Colleague Letter on Investigative Authority (July 31, 2015)

- Secretary Foxx directed the FTA to exercise our authority under law and assume temporary and direct safety oversight of Metrorail from the Tri-State Oversight Committee (TOC) (October 9, 2015)

- Readying the release of upcoming guidance and rulemaking documents (Ongoing)

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Public Transportation Safety Program

- Establishes FTA's Safety Oversight Authority and program of requirements for most recipients of FTA funding
- Establishes FTA's commitment to a Safety Management System (SMS) approach
- Requires FTA to create National Public Transportation Safety Plan to communicate with public transit industry
- Formalizes a comprehensive framework for safe public transportation through 4 program components:

RULE

SMS

National Public Transportation Safety Plan

- Safety vision, mission, goals
- Performance management criteria and guidance
- Safety Risk Management practices and procedures
- SMS implementation guidance
- Best practices and safety plan templates
- Top Safety Priorities
- Safety Standards

GUIDANCE

National Public Transportation Safety Certification Training Program

RULE

- Federal/State employees (or their designees) who conduct audits and examinations of public transportation systems
- Personnel of public transportation systems who have direct responsibility for safety oversight at their system

Public Transportation Agency Safety Plans

RULE

Identifies:
- Methods for identifying and evaluating safety risk
- Framework for agencies to identify strategies for minimizing public exposure to unsafe conditions
- Performance targets and criteria based on criteria established in the National Safety Plan
- Requires training for personnel responsible for safety

State Safety Oversight (SSO) Program

RULE

- Oversees the agency safety plan for the rail transit systems
- Investigates and enforces plan
- Audits rail transit systems
- Reports on safety status of each transit rail agency

TRANSIT AGENCIES

SAFER PUBLIC TRANSPORTATION

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Current Safety Regulatory Activities

The rules provide the regulatory construct and the National Safety Plan provides the narrative for the Public Transportation Safety Program.

| Public Transportation Safety Program | National Public Transportation Safety Plan | Safety Certification Training Program | Public Transportation Agency Safety Plan | State Safety Oversight Program | Transit Asset Management | Bus Testing |

| Safety |
| Guidance |
| Related |

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Safety Rulemaking Timeline

MAP-21 Requirements	Federal Register Publication
Transit Asset Management NPRM	Published 9/30/15
Public Transportation Safety Program NPRM	Published 8/14/15 Reviewing Comments
National Public Transportation Safety Plan	Early 2016
Public Transportation Agency Safety Plan NPRM	Early 2016

Safety Certification Training Program NPRM
    Interim Provisions
	Published 12/3/15
	        Effective 5/28/15

Bus Testing NPRM	Published 6/23/15

State Safety Oversight Final Rule
    Proposed Rule
	Early 2016
	        Published 2/27/15

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SMS: Safety Rulemaking

FTA has or will issue four separate NPRMs and a guidance document to implement the requirements of MAP-21:

Public Transportation Safety Program	• Sets the stage for safety rulemakings
Public Transportation Agency Safety Plan	• Introduces SMS into practice
Public Transportation Safety Certification Training Program	• Introduces SMS concepts and establishes training requirements
State Safety Oversight (SSO) Program	• Introduces SMS concepts and establishes training requirements

Safety Management Systems (SMS)

- Provides context for FTA's safety rulemaking activities
- Creates clear accountability and "from the top" policy for approaching safety performance in a prescribed and documented manner
- Establishes a standardized process for identifying hazards, assessing and mitigating safety risk, and monitoring mitigation effectiveness
- Builds a safety communication structure that includes training, outreach, and reporting.

SMS is a systematic approach to improving safety outcomes

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SMS Answers These Critical Questions

SMS provides the <u>process</u> to assist a transit agency to answer the following five fundamental questions:

1. What will likely be the cause of the transit agency's next accident?
2. How does the transit agency know the likely cause of the next accident?
3. What is the transit agency doing to mitigate the risk?
4. Is the strategy or action working?
5. How do you know it is working?

What is SMS?

- Requires Senior Leadership commitment and leadership

- Establishes accountabilities throughout the organization

- Requires building trust at all levels

- Is scalable to work for agencies of all sizes

What SMS is NOT

- A quick fix to ongoing issues

- A completely new concept (It has been in place for a number of years in multiple industries, and expands on system safety)

Organizational Accidents

Organization

Workplace

People

Defenses

Safety Breakdown

Hazards

Some holes due to latent conditions

Some holes due to active failures
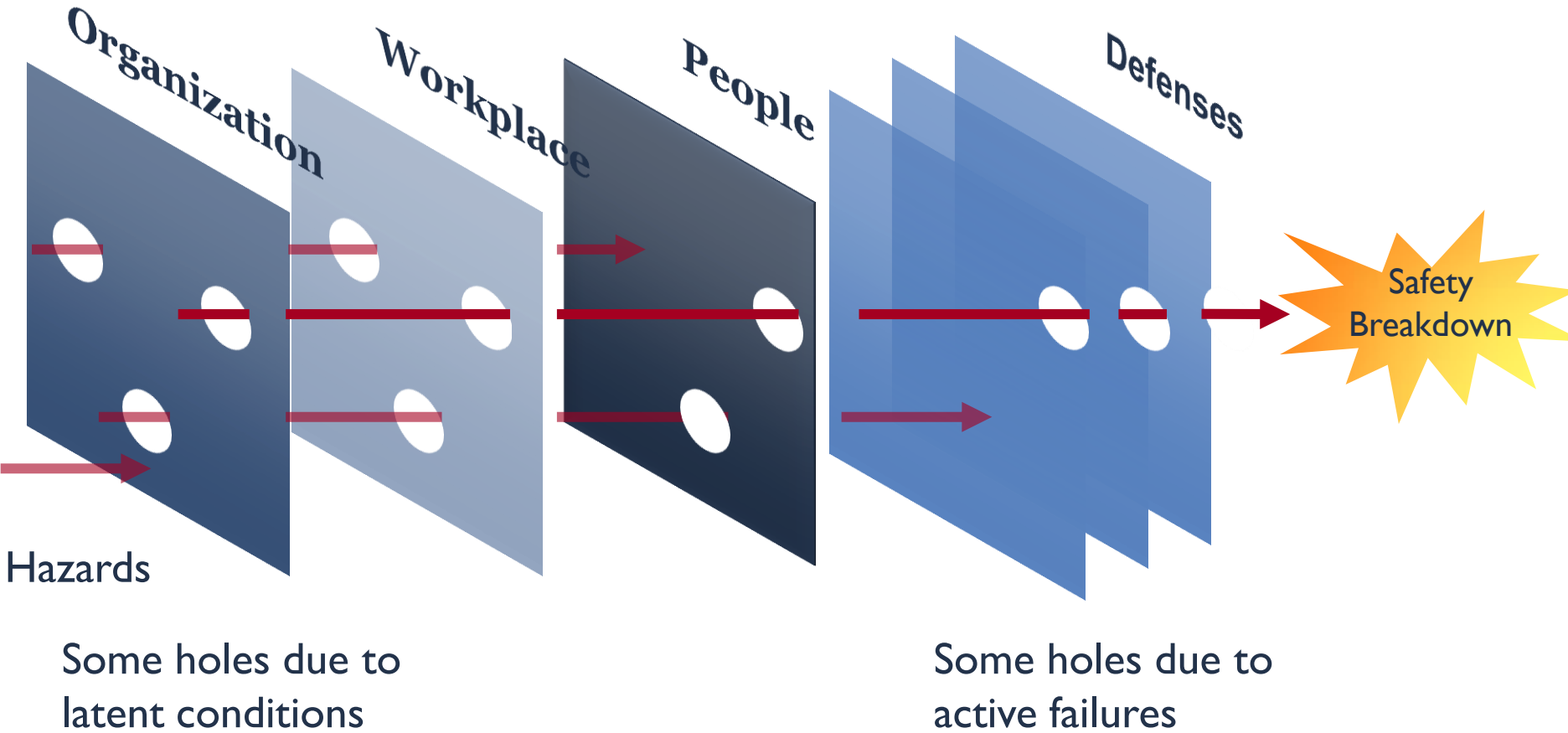
How Will We Know?

- Measuring performance is the cornerstone upon which improvements can be determined

- Data analysis is the key to determining if safety mitigations are working, if investments in safety outcomes are effective.

- Leads to asking the question "Why?"

- What can we do to effectively change the outcome?

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How Does SMS Work?

- Through <u>Safety Policy</u>, processes and accountabilities are clearly documented.

- Through <u>Safety Risk Management</u>:
    - Hazards are analyzed
    - Risk posed by those hazards is assessed (severity and likelihood)
    - Appropriate mitigations are implemented

- Through <u>Safety Assurance</u>:
    - Mitigation effectiveness is ensured
    - New hazards are identified (auditing/data collection/reporting)
    - The SMS is continually honed and improved

- Through <u>Safety Promotion</u>, safety information is solicited, instructed, and shared.

SMS and Safety Reporting

- SMS does not work without data

- Nobody knows actual system performance better than the employees delivering the service

- Power of safety reporting

- Safety data capture on previously unanticipated safety deficiencies

- Safety data to confirm the effectiveness of existing safety risk mitigations

What does SMS mean to States?

- States have a significant role in facilitating and coordinating transit safety planning and investment

- States have enhanced responsibility in overseeing transit agency safety performance

- Transit agencies will identify safety performance targets that States can monitor

- An opportunity to partner with FTA, State DOTs and other stakeholders to move SMS forward

Where to find more information on SMS?

FTA's SMS Framework – SMS - Getting Ready – is posted on our website at:

http://www.fta.dot.gov/tso_15176.html

Questions?

For further information:

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