

NHDOT **Bureau of Rail & Transit**

Public Transportation Agency Safety Plan Update

July 26, 2019

Presented by Fred Butler, Public Transportation
Administrator and Mike Pouliot, Transportation Specialist

NH 5307 Agencies

- Seven bus agencies – no rail
- All small systems
- Two provide commuter service between Southern NH and Boston
- Five are local transit systems
- All local transit systems are direct recipients of FTA 5307 funds
- NHDOT is drafting the ASP for six agencies, one local agency has opted out and will draft its own.

Resources

- PTASP Website
- PTASP Webinar Series
- Transportation Safety Institute training courses
- MIL-STD-882E (DOD)
- Safety Management Systems for Airports (Volume 1 & 2) (ACRP)
- FAA SMS Implementation Guide

Resources (cont.)

- Lessons Learned from Airport Safety Management Systems Pilot Studies (ACRP Synthesis 37)
- Airport SMS Manuals

Where We're At

- Transit Agencies have designated a Chief Safety Officer and Accountable Executive (NHDOT Form)
- Chief Safety Officers have taken the SMS Awareness Course offered by the National Transportation Institute
- About 30% complete with our draft ASP with the intent of introducing it to the agencies in the August/September timeframe (using FTA template as a guide)

Safety Performance Targets

Reference documents:

- 49 CFR Part 673
- National Public Transportation Safety Plan
- Bus Transit Safety Data 2008-2016
- NTD Safety & Security Reporting Manual

Definitions in each do not always correspond to the same thing.

Safety Performance Targets

NTD

Fatality

Injury (Bus)

Property Damage

PTASP

Accident

Incident

Occurrence

- Need to ensure we clearly define goals and objectives to all levels of agency staff.
- Injuries may need to split into two or more performance targets.

Safety Management Policy

- Policy Statement – the policy statement in the National Public Transportation Safety Plan is a good starting point
- Authorities, Accountabilities, and Responsibilities for the AE and CSO are well articulated by the FTA
- Agencies will need to identify other agency leadership and key staff and delineate their responsibilities under their ASP.

Employee Safety Reporting Program

- FTA allows a wide latitude of options for a reporting program
- Reporting Program must include a description of behaviors that are unacceptable and what is reportable.
- Airport SMS Manuals have provided some good examples

Employee Reporting Policy

(Transit agency's) has a policy that ensures employees who report safety hazards, occurrences, incidents or accidents will not be subject to disciplinary action with a few exceptions such as the following (which could create or worsen risk exposures):

- Premeditated or intentional acts of violence against people or damage to equipment/property;
- Actions or decisions involving material negligence which, in the (Transit Agency's) judgment, no reasonably prudent employee of relevant training and experience would take; or
- Failure to report safety incident or risk exposures as required by this Safety Plan's procedures and policies.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. An employee's compliance with reporting requirements will be a factor to be weighed in (Transit Agency's) decision-making in such circumstances. Outside these specific and rarely invoked exceptions, employees who make honest mistakes or misjudgments will not be subject to blame-provided that they report such incidents in a proper fashion.

Source: Concord (NC) Regional Airport SMS Manual

Safety Risk Management

- MIL-STD-882E (DOD) is a good resource for Safety Risk Assessment & Safety Risk Management
- Airport SMS Manuals also have good examples of SRM processes
- Our approach will be for the transit agency to establish a SMS Committee

SMS Committee Responsibilities

- Ensuring SMS processes are followed and appropriately documented
- Risk assessment, accident/incident investigation, and determining the root cause of all safety events
- Assigning implementation of mitigations, corrective actions, and safety risk controls and providing follow-up

Safety Assurance

- Safety Assurance's primary task is control
- Control is conducted by monitoring and measuring the outcomes of activities that personnel must engage in for the delivery of services
- Safety Assurance establishes a process of permanent examination, analysis and assessment of these controls throughout the daily operation of the agency
- Achieved through safety performance monitoring and measurement
- Agencies are all performing some degree of Safety Assurance

SMS Implementation

- Need to provide our transit agencies with a SMS Implementation Plan at the same time as the draft ASP
- FTA has addressed the need for SMS Implementation Plan in general terms and expect more specific details to follow as a result of the PTASP pilot programs
- Other resources we have used:
 - FAA SMS Implementation Guide – very detailed step by step process with checklists, activities, expectations and a phased approach to a fully functioning SMS
 - Lessons Learned from Airport Safety Management Systems Pilot Studies – good summary of what worked and did not with some interesting comments

SMS Implementation

- Gap Analysis
 - Identify the processes already existing at the transit agency and compare what the agency has against the elements of SMS and identify what needs to be done to make the two match or to fill in the gaps
- Existing agency personnel and functions that should fit within the SMS framework include:
 - Safety Officer
 - Safety Committee
 - Hazard Identification
 - Risk Mitigation
 - Accident/Incident Investigation
 - Safety Performance Monitoring
 - Safety Training

SMS Implementation

- Phase 1
 - Establish the agency's Safety Policy
 - Convey safety performance targets, goals, and objectives to all employees
 - Identify key personnel and their responsibilities
 - Complete a gap analysis
 - Complete SMS training for all employees

SMS Implementation

- Phase 2
 - Develop safety information management and analysis processes
 - Identify, analyze and assess known hazards
 - Design and implement risk mitigations/controls
 - Develop safety assurance processes for safety performance monitoring and measurement
 - Develop employee safety reporting system
 - Additional SMS training for all or specific employees as appropriate

Contact Information

Mike Pouliot

(603) 271-4043

Michael.Pouliot@dot.nh.gov

Fred Butler

(603) 271-2565

Frederick.Butler@dot.nh.gov