



Florida Department of
TRANSPORTATION

Ready, Set, Due!
Old and New: Marrying the Two
PTASPs and SSPPs

FPTA/CTD Annual Conference

September 2019



Ready...

- Where are we all?
 - Challenges?
 - Chief Safety Officer Role?
 - Buy-in?
 - Opportunities?
 - Better hazard management?
 - Improved communication?
 - Successes?
 - Non-punitive reporting systems?
- 49 CFR Part 673 New Requirements
- Chapter 14-90
- Bringing It All Together
- Resources

Set...

- 1. Cost** - in-house or hire a consultant? For smaller agencies that will adopt and develop SMS/PTASP on their own we can provide guidance on a process to use limiting the cost by using in-house staff. If a consultant is used to develop the entire program then it could get quite costly and may be tougher for agencies to maintain since the consultant will more than likely not be around long term to assist in on going SMS process.
- 2. Confusion of transition** – 14-90 provides foundation to build a working SMS on. SMS can then be the safety management culture for the agency and critical parts of the FL rule can be merged into a PTASP that supports both SMS and the FL rule.
- 3. Dates** - July 2020 is the official date, but milestones are important. Agencies should begin a SMS/PTASP process and develop working drafts that can be compared against the FTA framework.
- 4. Who has to do it** - agencies with 100 plus buses used in a peak pull out environment, but smaller agencies should consider developing a smaller scale SMS culture. For example , the military and smaller airline providers still use SMS concepts even though there is no minimum threshold for equipment. The risk and potential outcome of a safety event dictate the need for SMS within those environments.

Set...

- 5. Does FDOT make my plan?** The understanding initially was that the states would take the lead on SMS development for the agencies. At this point we believe it is prudent for the agencies to develop SMS that fits their organization's needs.
- 6. Does FDOT or FTA review my plans?** For fixed guideway (SSO) yes the State will have oversight through the triennial process. FTA for sure will be inquiring about SMS development for applicable properties after the deadline.
- 7. Agency needs assistance** - This should be discussed and minutes taken to determine what the level of effort could be for technical assistance. This way FDOT can determine how to approach this need based on input from the agencies.

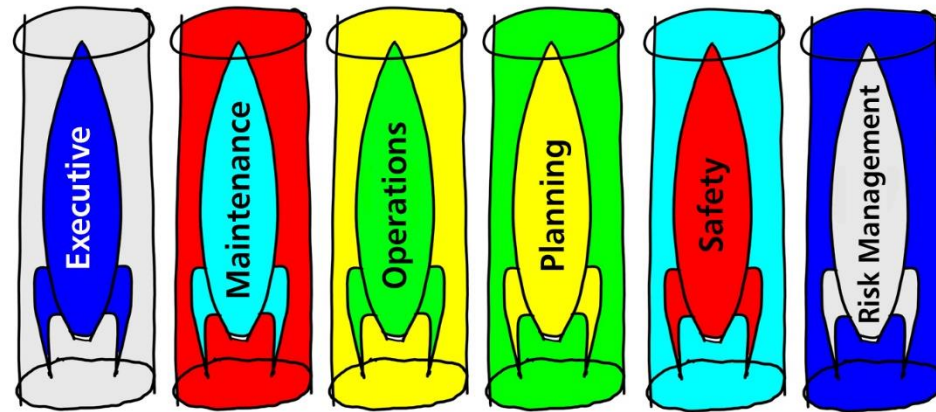
Now Due...

PTASP and SMS



NEW “MUST HAVES”

- AGENCY-WIDE SMS processes – risk management, safety assurance, and safety promotion
- Continuous process for risk assessment, management, mitigation, re-assessment
- Change management process
- Non-punitive employee reporting program
- Safety Performance Measures coordinated with MPO



death by silo.

SMS – The Basis/Foundation for the PTASP



- Safety Management Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

SMS Processes Must Include

- Management
- Operations
- Maintenance
- Safety
- Human Resources
- Risk Management
- Procurement
- Marketing
- Union





Example: Staff Responsibility Matrix

SSPP Task	Frequency	Management Responsibility by Position		Staff Responsibility by Position	
		Director	Managers	All Staff	
Oversee SSPP and Safety Plan ; assure compliance	Daily	Director	Managers	All Staff	
Inspection of Departments for safety compliance (pre-trip inspections, driver files, maintenance records)	Quarterly/as needed		All Managers	Supervisors	Operators
SSPP and Safety Plan Review, maintenance and distribution	Annual/as needed	Executive Director	Managers Supervisors		
Intra-agency coordination and safety meetings	Monthly	Deputy Director		All Staff	
Inter-agency coordination (FDOT, law enforcement, emergency response organizations)	As needed	Deputy Director			
Facility Inspection	Monthly		Facility Manager		
Employee safety training, testing and record keeping	Initial Hire/ annual		Training		
Drug Free Work Place (policy maintenance, employee training and testing, etc.)	Initial Hire/Quarterly		HR Manager		
Driver license validity check and record maintenance	Initial Hire/Quarterly?		HR Manager		
Administrative – Human Resources Safety Actions	As needed		Managers	All Staff	
Safety and security data acquisition and analysis	Ongoing	Safety Director	Managers/ Supervisors		
Medical examination of drivers and record keeping	Initial Hire/Annual		HR Manager		
Vehicle and equipment procurement	As needed		Maintenance Director		
Pre-trip inspections and record keeping	Daily		Maintenance Director	Supervisors	Operators
Vehicle maintenance and record keeping	Daily		Maintenance Director	Supervisors	Technicians
Annual safety inspections and record keeping	Annual		Maintenance Director	Maintenance Manager	Parts Manager
Event investigations and record keeping	As needed			Supervisors	
Investigate safety complaints	As needed	Safety Director	All Managers	Supervisors	Safety



Staff Responsibility (cont'd)

SSPP Task	Frequency	Management Responsibility by Position		Staff Responsibility by Position	
Pre-employment screening	Initial Hire		HR Manager		
Employee time recording and maintenance	Daily	Directors	Supervisors	Payroll	
Internal safety audits	Annual/as needed		Directors	Chief Safety Officer	Safety Manager
Facilitate external safety audits	As needed	Safety Director	All Managers	Supervisors	All Staff
Records maintenance, retention and distribution	Daily/as needed	Director s	Managers	Supervisors	All Staff
Contractor safety and security compliance oversight	As Needed	Safety Director	Facility Manager		
Hazard identification and resolution	Daily		Managers	Supervisors	Operators
Compliance with SSPP	Daily	ALL STAFF			
Self-certification of safety compliance	Annual	Director	Managers		

Minimum Safety Performance Measures & Targets

Injuries

- Total amount and rate per total revenue miles

Fatalities

- Total amount and rate per total vehicle revenue miles

Safety Events

- Total amount and rate per total vehicle revenue miles

System Reliability

- Mean distance between major mechanical failures



Safety Performance Examples

Required, Based on FTA's National Safety Plan (Medium Agency)

- **Injuries** per 100,00 miles: <.1
- **Fatalities** per 100,00 miles: 0
- **Safety Events** per 100,00 miles: <.1
- **System Reliability**: mean distance between mechanical failure: <12,500

Optional, Agency Specific (Very Large Agency)

- **Annual Employee Accident Rate:**
Less than 426 injuries
- **Annual Employee Lost Work Day Rate:**
Less than 7,142 lost work days

Risk Probability

PROBABILITY LEVELS			
Description	Level	Specific Individual Item	Fleet or Inventory
Frequent	A	Likely to occur often in the life of an item.	Continuously experienced.
Probable	B	Will occur several times in the life of an item.	Will occur frequently.
Occasional	C	Likely to occur sometime in the life of an item.	Will occur several times.
Remote	D	Unlikely, but possible to occur in the life of an item.	Unlikely, but can reasonably be expected to occur.
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item.	Unlikely to occur, but possible.
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

Risk Assessment

RISK ASSESSMENT MATRIX				
SEVERITY \ PROBABILITY	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	Serious	Medium
Probable (B)	High	High	Serious	Medium
Occasional (C)	High	Serious	Medium	Low
Remote (D)	Serious	Medium	Medium	Low
Improbable (E)	Medium	Medium	Medium	Low
Eliminated (F)	Eliminated			



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Chapter 14-90, FAC

CUTR

Current 14-90 Elements

- **Bus Transit System Operational Standards**
 - System Safety Program Plan
 - Security Program Plan
 - Emergency Management
 - Criteria and procedures for the selection, qualification and training of all drivers
 - Wireless Communications
 - Standards for private contractors
 - Maintenance plan and procedures for preventive and routine maintenance
 - Event investigation and CAPs
 - Record retention

Current 14-90 Elements (cont'd)

- **Medical Examinations for Bus Transit System Drivers**
- **Operational and Driving Requirements**
 - Driver hours
 - Fitness for duty
 - Pre-trip/daily inspections of specific components
 - Lighting
 - Refueling

Current 14-90 Elements (cont'd)

- **Vehicle Equipment Standards and Procurement Criteria**
 - Wheelchair lifts
 - Interlocks
 - Mirrors
 - Electrical
 - Flooring
 - Handrails
 - Emergency Exits
 - Doors
 - Tires and Wheels
 - Fire Extinguishers
- **Bus Safety Inspections**
 - Inspector qualifications
- **Annual Certification**
- **Safety and Security Inspections and Reviews**

PTASP Development with Rule 14-90, FAC

- Include all new elements
- Practice what you develop
- Merge PTASP with the 14-90 with current 14-90 requirements (preferred) or develop separate plans but make certain they are consistent and reference each other
- Review documents annually for applicability
- Expand or contract your SMS and PTASP when necessary

Where to Start

- SMS Gap Analysis
- Template
- Be/Find the Champion
- Internal Meetings/Trainings
- Implementation Plan

Implementation Plan Example: Policy

Number	Project/Activity	Completion Date
SMS Component 1 - Safety Management Policy		
1.1	SMS and Implementation Plan. With the adoption of the PTASP, the Safety Management Policy Statement has been completed, along with the designation of the Accountable Executive and the Chief Safety Officer/SMS Executive.	
1.2	SMS Record-keeping. SMS documentation of the implementation and record-keeping requirement is a new activity/process that will need to be designed, set up, and used as part of the SMS. Records include implementation activities and documentation for executives and management to monitor safety performance and the SMS Implementation and Operations.	
1.3	All-Hazards Management Plan. Continue and complete development of the All-Hazards Management Plan which is a comprehensive preparedness and response plan. The Continuity of Operations Plan (COOP) is a subset of this activity.	
1.4	Minimum Standards for Safety. Continue and complete application and customization of safety-related industry standards for Transit Operations, Maintenance, and other related departments. These are industry safety-related standards and industry practices that are followed as part of projects, operations, and maintenance.	

Implementation Plan Example: Risk Management

SMS Component 2 - Safety Risk Management

- | | | |
|-----|---|--|
| 2.1 | Safety Risk Management Plan. Develop a Safety Risk Management Plan to define the Projects and Activities to be accomplished in implementation of Safety Risk Management | |
| 2.2 | Safety Risk Management Manual. Develop the all hazard/safety risk analysis and assessment techniques, including risk matrix definitions by mode or activity. | |
| 2.3 | Develop and Implement Enhanced Hazard Identification. Continue and complete extensive hazard identification, analysis and resolution through data collection and analysis. Many of the identified hazards expected to come from Safety Assurance related to investigations, audits, and risk monitoring. Revisit/increase Hazard Identification and Analysis for bus modes, specifically an analysis of the routes and bus stops. Further develop the Hazard log/Risk register for all hazards identified, analyzed, and mitigated as an ongoing record of those risk decisions. | |
| 2.4 | Operational and Job Hazard Analysis. Continue and complete development of the Operational and Job Hazard Analysis (JHA) activity to identify significant safety risks and implement mitigation measures for operations and specific job assignment. | |

Implementation Plan Example: Safety Assurance

Number	Project/Activity	Completion Date
SMS Component 3 - Safety Assurance		
3.1	Safety Culture Assessment. Develop Safety Culture assessment and tools to encourage improvements.	
3.2	Safety Assurance Management Plan. Continue and complete development of the Safety Assurance Management Plan, including a description of the strategic approach to all aspects of Safety Assurance to be developed and implemented.	
3.3	Confidential Close Call Reporting System. Continue to develop and implement Confidential Close Call Reporting System for all employees and contractors.	
Data and Analysis		
3.4	Safety Performance Measures and Targets Implementation. Determine and implement safety risk control measures to achieve safety performance measure targets related to collisions and injuries.	
3.5	Strategic Data and Analysis Plan. Study and develop a strategic data collection, analysis, and assessment plan for all types of safety performance and risk monitoring data and information.	
Enhanced Internal Auditing		
3.6	Strategic Internal Safety Audit Implementation Plan. Continue development and implementation of a more risk-based, data-driven internal safety audit process. Commitment and support agency-wide is required for these activities.	

Implementation Plan Example: Safety Promotion

SMS Component 4 - Safety Promotion

Communication and Promotion

4.1	Safety Promotion Communication Plan. Develop and implement the Safety Promotion Communication Plan to assure ongoing communications across agency. Planning for and implementation of ongoing communication activities, includes: <ul style="list-style-type: none">• Internal Safety Communication Activities for all levels of management and employees• Safety Performance Dashboards• Safety Outreach• Employee Training	
4.2	Internal Safety Communication Activities. Provide opportunities to share safety information throughout agency to encourage safety performance improvements.	
4.3	Safety Performance Dashboards. Continue development and support of safety performance dashboards and related analyses.	
4.4	Community Safety Outreach. Continue development and implementation of safety outreach with the community.	

SMS-Related Training

4.6	Training for SMS. SMS awareness training for all employees, including Safety Accountabilities and Responsibilities, so that all employees understand their safety-related responsibilities and have access to additional information and resources. This training topic will be integrated into existing and ongoing training efforts.	
4.7	Training Matrix and Implementation. Safety training for all employees/ assuring that all aspects of safety and competencies are addressed.	

You Aren't Alone

- www.transit.dot.gov/PTASP (FTA Info- archived webinars available)
- SMS Guidance: www.transit.dot.gov/regulations-and-guidance/safety/safety-management-systems-sms
- National Public Transportation Safety Plan: www.transit.dot.gov/regulations-and-guidance/safety/national-public-transportation-safety-plan
- Transportation Safety Institute: <https://www.transportation.gov/transportation-safety-institute>
- Florida Transit Safety and Operations Network (FTSON): <https://ftson.org/>