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This issue of the *PTASP TAC Update* focuses on implementation of the Agency Safety Plan (ASP) authorities, accountabilities, and responsibilities, as required by the [Public Transportation Agency Safety Plan](#) (PTASP) regulation ([49 CFR § 673.23\(d\)](#)).

Featured Resources

New! Carrying Out the Annual ASP Review (April 29):
[Webinar Presentation](#) | [Webinar Recording](#)

Pages 11-12 of [ASP Lessons Learned](#) review the authorities, accountabilities, and responsibilities section of the ASP and how to define those positions.

The [Chief Safety Officer \(CSO\)/Safety Management System \(SMS\) Executive Fact Sheet](#) describes the role of an agency's CSO or SMS Executive.

[The Role of the Chief Safety Officer in Public Transportation Agency Safety Plan Implementation](#) also describes the role of an agency's CSO or SMS Executive.

Implementing an ASP during the COVID-19 Public Health Emergency Webinar (January 27, 2021):

[Webinar Presentation](#) | [Webinar Recording](#)

Transitioning to Agency Safety Plan Implementation Webinar (December 17, 2020):

[Webinar Presentation](#) | [Webinar Recording](#)

Access the entire resource library by visiting FTA's [PTASP Technical Assistance Center website](#).

Need Assistance?

Contact the PTASP Technical Assistance Center (TAC) to speak with a specialist today!



PTASP-TAC@dot.gov



1-87 PTASP-AID
1 (877) 827-7243

9 a.m. to 8 p.m. EST, M-F



Contact the TAC for **one-on-one technical sessions** for ASP support.



Submit your ASP to the TAC by **May 28, 2021** to guarantee review.

Coronavirus Disease 2019 (COVID-19)

FTA encourages transit agencies to stay informed and prepared to protect personnel and passengers against COVID-19. For more information, visit [FTA's COVID-19 web page](#).

Upcoming Webinar

SMS Authorities, Accountabilities, & Responsibilities Implementation

When: Thursday, May 27,
2:30 p.m. EST

[Register Here](#)



Q & A Highlights

Question 1:

How can our agency put authorities, accountabilities, and responsibilities into action?

FTA Response:

While it is ultimately up to your agency to determine the best way to implement the authorities, accountabilities, and responsibilities described in your ASP, here are a few activities that your agency might consider:

- Establish work processes that reflect SMS authorities and responsibilities. For example, your ASP may assign the CSO the authority to request subject matter expertise while conducting safety risk assessments. Your agency may set up a work process for the CSO to use when requesting subject matter expertise from other departments during the safety risk assessment process.
- Document leadership's accountability for SMS decision-making. For example, your ASP may give the Accountable Executive the authority to accept safety risk during safety risk mitigation development. Your agency may establish a process that requires the Accountable Executive to physically or digitally sign a statement accepting the safety risk.
- Provide training on and ensure workers are qualified for the SMS authorities, accountabilities, and responsibilities relevant to their role in the agency. For example, your CSO or training coordinator may maintain a record of the training relevant to SMS that workers with safety duties have completed, including the dates, in order to determine when refresher training may be necessary.

Question 2:

Does the PTASP regulation require that the job descriptions posted by transit agencies include SMS responsibilities?

FTA Response:

No, there is no requirement to include SMS responsibilities within posted job descriptions. However, it may be a good practice to include SMS responsibilities within job descriptions so duties for implementing and operating the SMS are clear to employees and applicants. The PTASP regulation requires that transit agencies describe in their ASP the SMS roles and

Upcoming Events

Virtual ASP Implementation Workshops

Registration is open for:

Small Bus Agencies: Wednesday, May 26, 2021

Large Bus Agencies: Thursday, June 10, 2021,
and Wednesday, June 23, 2021

The May and first June workshops are full. To be added to the waitlists, please email PTASP-TAC@dot.gov.

[More Info Here](#)



responsibilities of the Accountable Executive, CSO, Leadership/Executive Management, and Key Staff.

Question 3:

Can a CSO for a multi-modal agency be an operations trainer that not only oversees safety training but also conducts new-hire training for rail or bus operators? Can a CSO for a rail transit agency that houses the training function within its Safety Department also be a trainer?

FTA Response:

Yes, a CSO of a multi-modal or rail transit agency can also be a trainer.

Per [49 CFR § 673.5](#), “A Chief Safety Officer may not serve in other operational or maintenance capacities unless the Chief Safety Officer is employed by a transit agency that is a [small public transportation provider](#) as defined in this part or a public transportation provider that does not operate a rail fixed guideway public transportation system.” However, a CSO of a rail transit agency may hold other responsibilities that have a nexus to safety, such as security, asset management, and training.

Question 4:

Can the Accountable Executive delegate safety responsibilities to other employees, and are there any responsibilities that cannot be delegated?

FTA Response:

Yes, Accountable Executive **responsibilities** may be delegated, including resource management, day-to-day oversight, monitoring, and corrective action responsibilities. Designated individual(s) must have sufficient authority to carry out the delegated responsibilities, including control or direction over the human and capital resources needed to carry out the ASP. If your agency makes such a designation, it should clearly identify the responsibilities of the designated individual in the ASP.

However, please note that Accountable Executive **authorities** (e.g., signing the ASP and Transit Asset Management Plan) and **accountabilities** (e.g., ensuring the agency’s Safety Management System is effectively implemented, etc.) cannot be delegated. Per [49 CFR § 673.23\(d\)\(1\)](#), the Accountable Executive cannot delegate ultimate **authority** and **accountability** for the transit agency’s safety performance.

The contents of this document do not have the force and effect of law and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies. Grantees and subgrantees should refer to FTA’s statutes and regulations for applicable requirements.