

FTA

FEDERAL TRANSIT ADMINISTRATION

The Role of the Chief Safety Officer

Preparing for SMS Implementation



U.S. Department of Transportation
Federal Transit Administration

Introduction

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 - The Role of the Chief Safety Officer
 - Collaborating with Other Transit Agency Personnel
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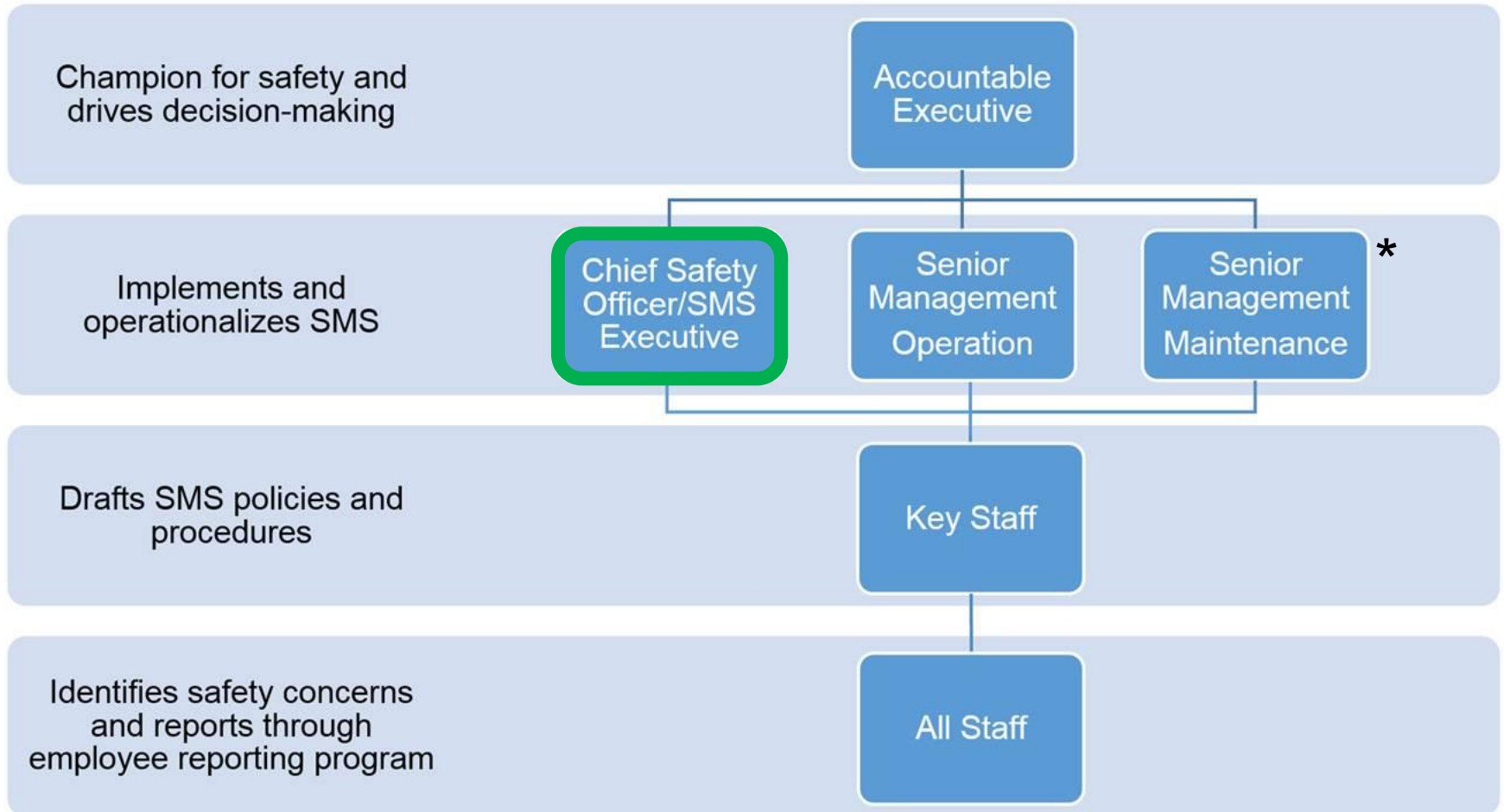
THE ROLE OF THE CHIEF SAFETY OFFICER/SMS EXECUTIVE

Chief Safety Officer/SMS Executive

*“Part 673.5 - **Chief Safety Officer** means an adequately trained individual who has responsibility for safety and reports directly to a transit agency’s chief executive officer, general manager, president, or equivalent officer. 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.”*

Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.

Roles and Responsibilities Overview



*This is not a comprehensive list of executive leadership involved in SMS implementation. There may be others involved from departments such as Training or Human Resources

Comparison: CSO & SMS Executive Functions

Under 49 CFR Part 673, the CSO/SMS Executive duties are two fold.

Manages the Safety Function

- Oversees the safety function within the transit agency
- Duties may include
 - Hazard identification
 - Accident investigation
 - Coordination with SSOA
 - Communicates with Executive leadership and Board of Directors
 - Safety Certification

Manages the SMS Function during SMS Implementation

- Serve as the agency's SMS Subject Matter Expert
- Coordinate Key Staff to support SMS implementation
- Facilitate the development of SMS processes and activities
- Procure technical resources for SMS implementation
- Communicate SMS implementation progress and challenges
- Socialize SMS activities agency executives and staff as necessary

CSO/SMS Executive: Large Agencies/Rail Transit Agencies

The CSO/SMS Executive in large bus and rail transit agencies:

- One individual who is designated by and reports to the Accountable Executive.
- Must not have additional operational or maintenance responsibilities.
- Must be a full-time individual wholly dedicated to ensuring safety.
- May choose to enroll in the Public Transportation Safety Certification Training Program (49 C.F.R. Part 672). Each Transit Agency may determine the type of training the CSO will complete.

CSO/SMS Executive: Small Transit Agencies

The CSO/SMS Executive in small Section 5307 recipients and sub-recipients:

- May serve other functions such as operations, maintenance, and grant administration.
- May be a full-time employee of the transit system who has responsibility for duties other than safety, a part-time employee of the transit system, or a contracted employee. For example, in a small bus agency, the general manager or operations manager may be the same individual as the CSO/SMS Executive
- May choose to enroll in the Public Transportation Safety Certification Training Program (49 C.F.R. Part 672). Each Transit Agency may determine the types of safety training the CSO will complete.

Lesson's Learned from CTA Pilot

- The CTA Accountable Executive appointed an SMS Project Manager to support SMS implementation
- The SMS Project Manager reports directly to the Accountable Executive.
- The SMS Project Manager sits within the President's office as a means to gain access to resources necessary for SMS implementation.
- The SMS Project Manager is temporary role that is not defined in the PTASP rule.

Situation – Managing the SMS

- The CSO/SMS Executive of a large multi-modal agency (535 railcars and 1020 buses) is completely involved with overseeing rail and bus technical system safety concerns.
- While the Accountable Executive and CSO/SMS Executive understand SMS implementation is a priority for the agency, the CSO does not have the time to focus on SMS on a day-to-day basis.
- The Accountable Executive and CSO/SMS Executive have determined that an SMS Project Manager should be identified to handle the day-to-day activities to implement SMS activities at the agency.

Situation – Question

What *skills* should the Accountable Executive consider when identifying the SMS Project Manager?

What *resources* should the Accountable Executive consider when identifying the SMS Project Manager?

Situation – Considerations

What *skills* and *resources* should the Accountable Executive consider when identifying the SMS Project Manager?

- The agency could consider appointing a person with the following **skills**:
 - Strong communication and people skills
 - The ability to work with individuals from different agency job functions
 - The ability to coordinate activities that cross multiple organizational functions
 - Excellent project management and planning skills
- The agency could consider the following **resources** to ensure the SMS Project Manager is provided with:
 - Time to concentrate on SMS implementation
 - Support from the Accountable Executive, Chief Safety Officer, and Executive Leadership
 - A team of knowledgeable, dedicated, and cross-functional subject matter experts to assist in SMS planning and implementation

CSO/SMS Executive Recap

The CSO/SMS Executive is responsible for SMS implementation because:

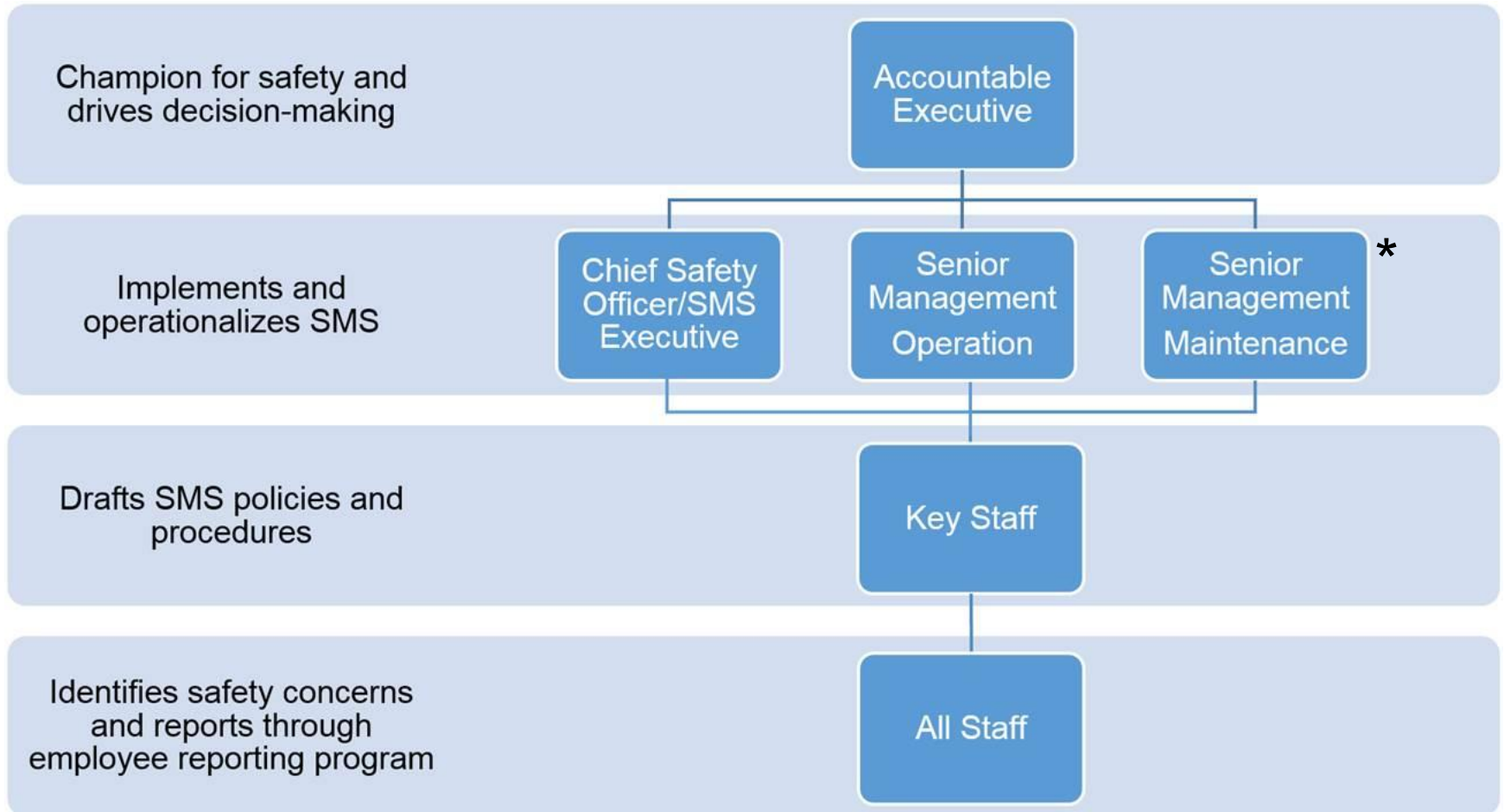
- The CSO will manage the SMS and support SMS activities throughout the agency.
- This CSO must communicate directly with the Accountable Executive and Senior Managers on SMS implementation needs and activities.
- The CSO will need to collaborate with other areas of the organization to ensure the SMS is feasible.

SMS implementation activities may be delegated to an SMS Project Manager

COLLABORATING WITH OTHER TRANSIT AGENCY PERSONNEL



Roles and Responsibilities Overview



*This is not a comprehensive list of executive leadership involved in SMS implementation. There may be others involved from departments such as Training or Human Resources

Accountable Executive

SMS implementation will require resources (personnel, time, infrastructure, budget, etc.) that must be allocated by the Accountable Executive. The Accountable Executive is the individual who is ultimately accountable for SMS implementation.

The CSO/SMS Executive must report directly to the Accountable Executive because various departments across the agency may have competing priorities that conflict with the needs of SMS implementation.

For example, the Senior Manager of Operations may request resources for a priority that competes with the needs for implementing SMS. The CSO/SMS Executive must be able to directly communicate the resource needs to the Accountable Executive without an intermediary.

Senior Management

It is important for Senior Management to collaborate with the CSO/SMS Executive because they are responsible for the effectiveness and feasibility of the processes within the agency.

SMS planning and implementation requires the input of various subject matter experts from across agency departments. Senior Managers will identify Key Staff who will support the drafting of policies and procedures on behalf of their respective departments.

Senior Managers must take ownership of the feasibility and effectiveness of the policies and procedures the key staff within their departments will draft.

Key Staff

It is important for Key Staff to be involved during SMS Planning and implementation because the Key Staff will be the individuals who will perform the work within the departments. Key Staff will provide input on behalf of the Senior Managers within their departments.

For example, the SMS Project Manager is a member of Key Staff who performs the project management tasks on behalf of the CSO/SMS Manager.

Transit Agency Personnel Recap

- SMS implementation will require the support various agency personnel
- The Accountable Executive is ultimately accountable for implementing the agency's SMS and has the authority to make resource decisions.
- Senior Management is responsible for the effectiveness and feasibility of the SMS policies and procedures related to their departments.
- Key Staff are responsible for drafting the policies and procedures on behalf of the Senior Managers within their department.
- The CSO/SMS Executive should socialize the goals and plan for SMS to build and strengthen relationships with Senior Managers and Key Staff.

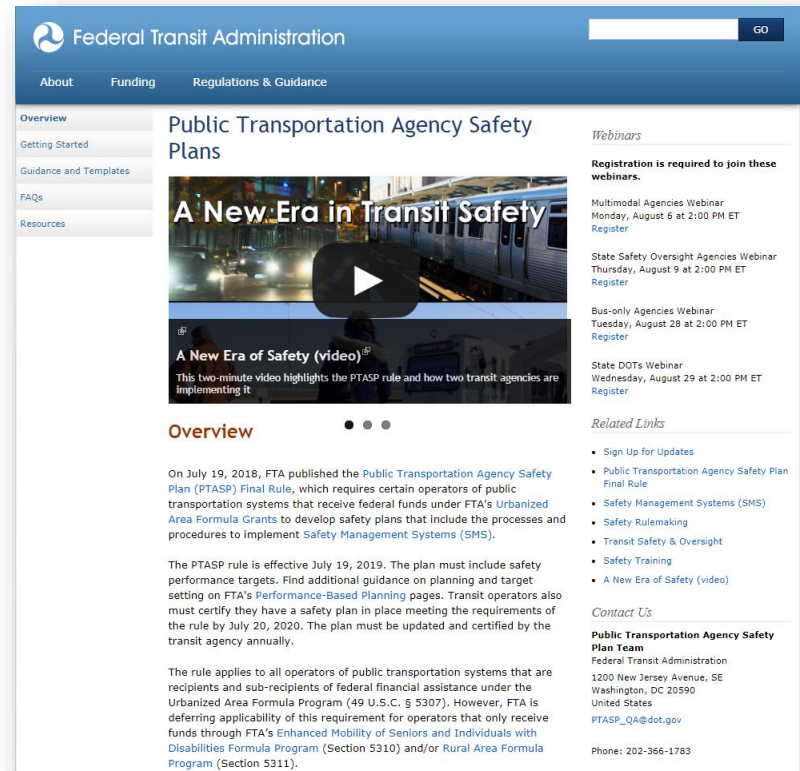
Next Steps

- Accountable Executive must designate a Chief Safety Officer/SMS Executive
- Identify SMS implementation roles and responsibilities for appropriate staff
- Identify Key Staff to support SMS implementation and ensure they receive SMS training
- Develop and communicate a plan for SMS implementation
- Brief the Board of Directors, oversight entities, and planning partners on SMS and the Agency Safety Plan
- Discuss the plan for SMS implementation with the SSOA, if applicable
- Compliance Deadline - The final deadline for Agency Safety Plan certification July 20, 2020

FTA Resources

To assist with the implementation of these final rules and to reduce administrative and financial burdens, FTA is publishing templates, guidance and technical assistance, including:

- Guidance Documents and Templates
 - PTASP Bus Template and Bus Guidance
 - SSPP to Agency Safety Plan Roadmap and Rail Guidance
 - Relationship between TAM Plan and Agency Safety Plan
 - PTASP Webpage
 - Safety Training Webpage



Federal Transit Administration

About Funding Regulations & Guidance

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Public Transportation Agency Safety Plans

A New Era in Transit Safety

A New Era of Safety (video)
This two-minute video highlights the PTASP rule and how two transit agencies are implementing it.

Overview

On July 19, 2018, FTA published the **Public Transportation Agency Safety Plan (PTASP) Final Rule**, which requires certain operators of public transportation systems that receive federal funds under FTA's **Urbanized Area Formula Grants** to develop safety plans that include the processes and procedures to implement **Safety Management Systems (SMS)**.

The PTASP rule is effective July 19, 2019. The plan must include safety performance targets. Find additional guidance on planning and target setting on FTA's **Performance-Based Planning** pages. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by July 20, 2020. The plan must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the **Urbanized Area Formula Program (49 U.S.C. § 5307)**. However, FTA is deferring applicability of this requirement for operators that only receive funds through FTA's **Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program (Section 5310)** and/or **Rural Area Formula Program (Section 5311)**.

Webinars

Registration is required to join these webinars.

- Multimodal Agencies Webinar
Monday, August 6 at 2:00 PM ET
[Register](#)
- State Safety Oversight Agencies Webinar
Thursday, August 9 at 2:00 PM ET
[Register](#)
- Bus-only Agencies Webinar
Tuesday, August 28 at 2:00 PM ET
[Register](#)
- State DOTs Webinar
Wednesday, August 29 at 2:00 PM ET
[Register](#)

Related Links

- [Sign Up for Updates](#)
- [Public Transportation Agency Safety Plan Final Rule](#)
- [Safety Management Systems \(SMS\)](#)
- [Safety Rulemaking](#)
- [Transit Safety & Oversight](#)
- [Safety Training](#)
- [A New Era of Safety \(video\)](#)

Contact Us

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Thank You