



**Valley Transit**

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CONNECTING THE **FOX CITIES**

## Public Transportation Agency Safety Plan

LAST UPDATED October 16, 2024

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# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN for Valley Transit

## Transit Agency Information

<b>Transit Agency</b>	<b>Name</b>		<b>Address</b>	
	Valley Transit		801 S Whitman Avenue	
<b>Accountable Executive</b>	<b>Name</b>		<b>Title</b>	
	Ron McDonald		General Manager	
<b>Chief Safety Officer</b>	<b>Name</b>		<b>Title</b>	
	Amy Erickson		Assistant General Manager	
<b>Mode(s) of Service Covered by This Plan:</b>			<b>List All FTA Funding Types (e.g., 5307, 5337, 5339):</b>	
Fixed Route-Directly Operated			5307	
Paratransit-Contracted			5307	
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>				
Fixed Route-Directly Operated				
Paratransit- Contracted				
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	<b>Yes</b>	<b>No</b>	<b>Description of Arrangement(s)</b>	
		X		
<b>Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	<b>Name</b>		<b>Address</b>	

## Plan Development, Approval, and Updates

<b>Signature by the Accountable Executive</b>	<b>Name</b>		<b>Date of Signature</b>
	Ron McDonald		
	<b>Signature</b> 		
<b>Approval by Board of Directors (or Equivalent)</b>	<b>Approving Entity</b>		<b>Date of Approval</b>
	Fox Cities Transit Commission		
	<b>Signatures</b>		
	George Dearborn-Chairperson		
	Aldersperson Patti Heffernan		
	Mike Patza		
	Larry Wurdinger		
	Aldersperson Brad Firkus		
	Richard Detienne		
Carol Kasimor			

	Claire Holzschuh	
	Greg VandeHey	
	Dianne Dexter	
	Michael Brown	

## Activity Log

<b>Version Number and Updates</b>			
Complete history of successive versions of this plan			
Version No.	Section/Pages Affected	Reason for Change	Date Issued
1	All	Document Creation	October 2020
2	Pages 3-5, 10	Annual Update	December 2021
3	Pages 3-4, 9, 14	Annual Update	October 2022
4	All	Annual Update	October 2023
5	All	Annual Update	October 2024

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## Background

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The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Act grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive regulatory framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, MAP-21 requires certain recipients of FTA Chapter 53 funding to develop and implement a Public Transit Agency Safety Plan (PTASP).

In addition to greater safety oversight responsibilities, MAP-21's grant of expanded regulatory authority puts FTA in a position to provide guidance to transit agencies that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety that promotes awareness and responsiveness to safety risks. The framework to this approach is called a safety management system (SMS), which moves the transit industry towards a more holistic, performance-based approach to safety. The SMS framework has been adopted by FTA in its National Public Transportation Safety Plan ("national safety plan").

The PTASP for Valley Transit (VT) supports and is consistent with an SMS approach to safety risk management. SMS is an integrated collection of policies, processes, and behaviors meant to ensure a formalized, proactive, and data-driven approach to safety risk management. The aim of an SMS is to increase the safety performance of transit systems by proactively identifying, assessing, and controlling safety risks. The approach is meant to be flexible and scalable, so that transit agencies of all types and sizes can efficiently meet the basic requirements of MAP-21. The PTASP for Valley Transit (VT) addresses the following elements, outlined in Table 1 (below):

<input type="checkbox"/> <b>Safety Management Policy Statement:</b>	A policy statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the agency and the board of directors.
<input type="checkbox"/> <b>Document Control:</b>	A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.
<input type="checkbox"/> <b>Core Safety Responsibilities:</b>	A description of the responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.
<input type="checkbox"/> <b>Safety Training Program:</b>	A description of the comprehensive safety training program for agency staff that ensures that staff are trained and competent to perform their safety duties.
<input type="checkbox"/> <b>Safety Risk Management:</b>	A description of the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls.
<input type="checkbox"/> <b>Safety Risks:</b>	A description the most serious safety risks to the public, personnel and property.
<input type="checkbox"/> <b>Risk Control:</b>	A description of the risk control strategies and actions that the agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.
<input type="checkbox"/> <b>Safety Assurance:</b>	A list of defined safety performance indicators for reach priority risk and associated targets the agency will use to determine if it is achieving the specified safety goals.
<input type="checkbox"/> <b>Desired Safety Outcomes:</b>	A description of desired safety outcomes for each risk using the measurable safety performance indicators established.

Table 1: Elements of a Public Transportation Agency Safety Plan (PTASP)

# 1 SAFETY POLICIES AND PROCEDURES

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## 1.1 COMMITMENT TO SAFETY

### Policy Statement

The management of safety is one of our core business functions. **Valley Transit** is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Accountable Executive.

**Valley Transit** commits to:

- Support the management of safety through the provision of appropriate resources, that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the attention to the results of the other management systems of the organization.
- Integrate the management of safety among the primary responsibilities of all managers and employees.
- Clearly define for all staff, managers, and employees, their accountabilities, and responsibilities for the delivery of the organization's safety performance and the performance of our Safety Management System (SMS).
- Establish and operate hazard identification and analysis, and safety risk assessment activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risk of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance.
- Ensure that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards.
- Ensure that sufficient skilled and trained human resources are available to implement safety management processes.
- Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills.
- Establish and measure our safety performance against realistic and data-driven safety performance indicators and safety performance targets.



- Continually improve our safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and
- Ensure externally supplied systems and services to support our operations are delivered meeting our safety performance standards.

## 1.2 ANNUAL PTASP REVIEW AND UPDATE

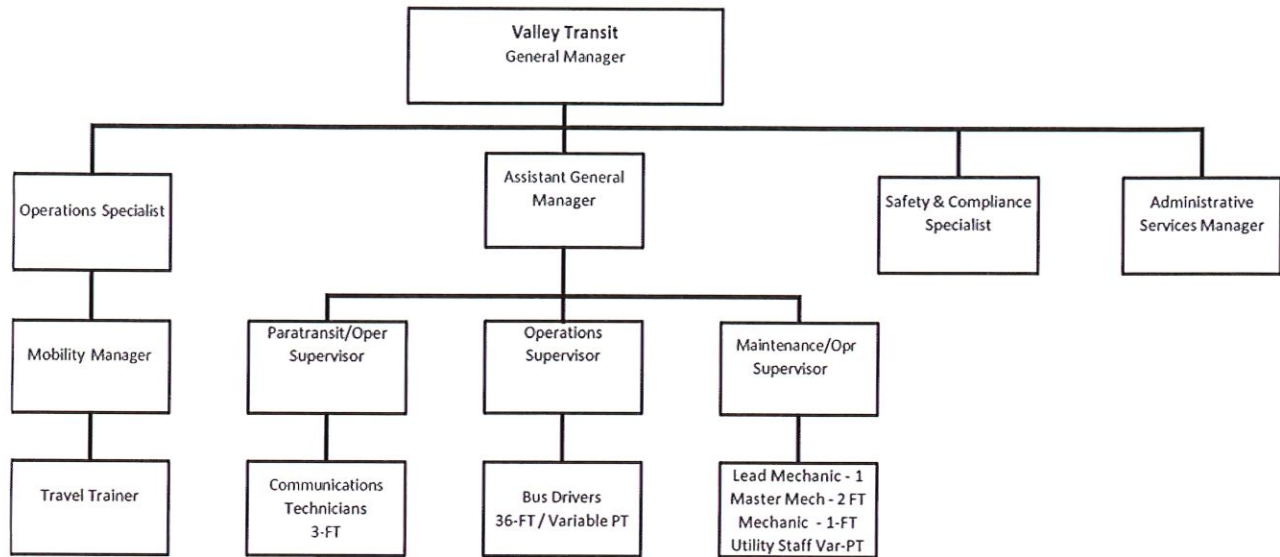
**Valley Transit (VT)** management will review the PTASP annually, update the document as necessary, and implement the changes within a timeframe that will allow the agency to timely submit to any annual or other periodic reviews, including its annual self-certification of compliance. At minimum, annual self-certification will consist of the Accountable Executive signing and dating this document.

Annual review and approval of the PTASP will be conducted by **Valley Transit (VT)** and the Safety Committee by **December 1** of each calendar year. Necessary updates outside the annual update window may be handled as PTASP addenda. Reviews of the PTASP and any subsequent updates, addenda, adoption, and distribution activities will be documented in the PTASP Activity Log at the beginning of this document.

## 1.3 ORGANIZATION STRUCTURE AND SYSTEM SAFETY RESPONSIBILITIES

While the Accountable Executive has the ultimate responsibility for **Valley Transit's** implementation of its PTASP, **Valley Transit's** executive management has the overall responsibility of safe and secure operations of **Valley Transit** and contract service operators. Each employee is required to carry out specific system safety responsibilities, depending on the employee's position, in compliance with the PTASP.

The information provided in the Staff Safety Roles and Responsibilities table (Appendix A) describes each position and general system safety responsibilities, and the agency's reporting structure.



## 2 SAFETY RISK MANAGEMENT (SRM)

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### 2.1 HAZARD IDENTIFICATION

Establishing an effective hazard identification program is fundamental to safety management at **Valley Transit**. Hazard identification can be reactive or proactive in nature: safety event reporting, incident investigation, and trend monitoring are essentially reactive; other hazard identification methods proactively seek feedback through data collection, observation, and day-to-day operations analysis. Common hazard identification activities may include:

- Safety assessments
- Trend monitoring
- Hazard and safety event reporting
- Safety surveys
- Safety audits
- Evaluating customer suggestions and complaints

The number of near misses, known as accident precursor data, is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursor data is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. **Valley Transit** employs systematic safety improvements by discovering and learning of potential weaknesses in the system's safety.

#### 2.1.1 Non-Punitive Reporting Policy

**Valley Transit** is committed to the safest transit operating standards practicable. To achieve this, it is imperative that **Valley Transit** have uninhibited reporting of all safety events that may compromise safe operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

**Valley Transit** will not take disciplinary action against any employee who discloses a safety event. This policy shall not apply to information received by **Valley Transit** from a source other than the employee, or that involves an illegal act, or a deliberate or willful disregard of rules, regulations, or agency policies or procedures.

**Valley Transit's** method of collection, recording, and disseminating information obtained from transit safety reports has been developed to protect, to the extent permissible by law, the identity of any employee who provides transit safety information.

## 2.2 RISK ASSESSMENT

Once a hazard has been identified, **Valley Transit** will conduct an assessment to determine the potential consequences. Factors to be considered are the likelihood of occurrence, the severity of the consequences (should there be an occurrence), and the level of exposure to the hazard. **Valley Transit** will assess risks subjectively by experienced personnel using a risk assessment matrix. Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will continue to be monitored. If the risks are unacceptable, steps will be taken by **Valley Transit** to lower the risk to an acceptable or tolerable level, or to remove, avoid, or otherwise eliminate the hazard.

## 2.3 RISK MITIGATION

The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. **Valley Transit** will further manage risk by completing a **Hazard Assessment Log (Appendix E)** that can help prioritize safety risks. The level of risk can be lowered by reducing the severity of the potential consequences, likelihood of occurrence, exposure to that risk, or by some combination.

In general, **Valley Transit** will take the following safety actions to mitigate risk – these actions can be categorized into three broad categories, including:

### 1. **Physical Defenses:**

These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)

### 2. **Administrative Defenses:**

These include procedures and practices that mitigate the likelihood of accident/incident (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.)

### 3. **Behavioral Defenses:**

These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of the agency (e.g. the Zero in Wisconsin campaign)

## 2.4 PRIORITIZE SAFETY RISKS

Once a hazard has been identified and the risk level assessed, **Valley Transit** will prioritize safety risks.

# 3 SAFETY ASSURANCE

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Safety assurance provides the necessary feedback to ensure that the SMS is functioning effectively and that **Valley Transit** is meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated, or in other words, what metrics will be used to assess system safety and determine whether the SMS is working properly. Having decided on the metrics by which success will be measured, safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.

## 3.1 DEFINING SAFETY GOALS AND OBJECTIVES/OUTCOMES

Setting safety goals and objectives is part of strategic planning and establishing safety policy for **Valley Transit**. Clearly defining safety goals is the first part in creating a safety performance measurement system.

**Safety goals** are general descriptions of desirable long-term impacts. For example, a general safety goal might be:

"Foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety."

**Safety objectives or outcomes** are more specific statements that define measurable results. For example, a specific safety objective for the goal stated above might be:

"Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel."

The safety objective/outcome will then be measured by defining specific performance metrics, including a baseline and target, that **Valley Transit** will determine is reasonable.

## 3.2 DEFINING SAFETY PERFORMANCE MEASURES

Performance measurement is the regular systematic collection, analysis, and reporting of data that track resources used, work produced, and whether specific outcomes were achieved. In other words, it is a tool to quantify and improve performance, and engage and communicate with **Valley Transit** staff and external stakeholders.

The two core functions of performance measurement include monitoring and evaluating progress. Performance can be measured in terms of inputs, outputs, outcomes, and efficiency, among many other criteria.

**Valley Transit** will utilize these basic principles of performance measurement, including:

- Stakeholder involvement and acceptance
- Focus on agency goals and activities
- Clarity and precision
- Creditability and robustness
- Variety of measures
- Number of measures
- Hierarchy of measures
- Forward-looking measures
- Integration into agency decision-making
- Timely reporting
- Understand agency specifics, including context and scale of operations
- Realism of goals and targets

### 3.2.1 Metrics

System safety data is collected through a variety of sources and includes:

- Near miss information
- Accident investigation reports
- Internal safety audits (or reviews)
- Safety committee meetings
- Injury reports (including occupational injury)
- Event reports (including accidents, incidents, and occurrences)
- System monitoring (including testing and inspection records)
- Hazard management program

This safety data will be analyzed and used for development of key safety performance indicators and targets.

**Valley Transit** will initially focus on areas based on data delivered to the National Transit Database (NTD), as the following:

- **Fatalities**
  - Total number of reportable fatalities, and rate per total vehicle revenue miles

- **Injuries**
  - Total number of reportable injuries, and rate per total vehicle revenue miles
- **Safety Events**
  - Total number of reportable events, and rate per total vehicle revenue miles
- **System Reliability**
  - Mean distance between major mechanical failures

These safety performance measures are used to select improvement targets for these four measures and for each mode of transit, in order to encourage improvements and monitor the safety performance of delivering transit services. In addition, **Valley Transit** will select additional performance measures and targets, both leading and lagging, to insure continual improvement of our SMS.

**Valley Transit** will make its safety performance measures improvement targets available to applicable state agencies and metropolitan planning organizations (MPOs), and, to the maximum extent practicable, will coordinate with both in the selection of safety performance targets.

The safety data collected from the above sources will be analyzed for potential safety impacts. Identified areas of concern are reported to appropriate personnel in the form of specific project reports, memos, and recommendations from the safety committee.

Records of system safety data are maintained for a minimum of three years. Certain information, such as safety certification backup documentation is maintained by **Valley Transit's** document control process. In addition to safety data, **Valley Transit** maintains other data and documentation of activities required by the PTASP. Distribution of safety-related reports and data is accomplished through the **Valley Transit** Forward Focus/Safety committee.

### 3.3 MONITORING PERFORMANCE AND EVALUATING RESULTS

Once safety goals, objectives/outcomes, and measures have been defined, they can be organized into a **Safety Performance Matrix (Appendix G)** or **Safety Performance Outline (Appendix F)**. Organizing information, particularly in a matrix, will allow **Valley Transit** to continuously monitor safety performance and evaluate results. **Valley Transit** will evaluate safety performance and update documentation at least semi-annually.

### 3.4 INTEGRATING RESULTS INTO AGENCY DECISION-MAKING PROCESSES

**Valley Transit** is committed to using the data collected and information learned to inform decision making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, **Valley Transit** will work to identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Uses of Performance Results include:

- Focus attention on performance gaps and trigger in-depth investigations of what performance problems exist

- Help make informed resource allocation decisions
- Identify needs for staff training or technical assistance
- Help motivate employees to continue making program improvements
- Support strategic planning efforts by providing baseline information for tracking progress
- Identify best practices through benchmarking
- Respond to elected officials and the public's demand for accountability

### 3.5 SUSTAINING A SAFETY MANAGEMENT SYSTEM

In order to sustain the SMS, **Valley Transit** will ensure that particular processes are employed to instill an organizational foundation. Examples of actions taken to sustain the SMS include:

- **Create measurement-friendly culture:**  
All staff, including senior managers, should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. Senior managers will also lead by example and utilize performance metrics in decision making processes.
- **Build organization capacity:**  
Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis and setting goals. Managing staff and the governing board will commit the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.
- **Reliability and transparency of performance results:**  
The SMS will be able to produce and report its results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.
- **Demonstrate continuous commitment to measurement:**  
Visible commitment to using metrics is a long-term initiative. **Valley Transit** will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including transit safety and performance measurement as a standing agenda item at city council and county board meetings.

## 4 SAFETY PROMOTION

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### 4.1 SAFETY PROMOTION, CULTURE AND TRAINING

**Valley Transit** believes safety promotion is critical to the success of an SMS by ensuring that the entire organization fully understands and trusts its safety policies, procedures, and structure. Further, safety promotion involves establishing an organizational and workplace culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

#### 4.1.1 Safety Culture

Positive safety culture must be generated from the top. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee, with the ultimate responsibility for safety resting with the Accountable Executive. Employees must trust that they will have management support for decisions made in the interest of safety, while also recognizing that intentional breaches of safety will not be tolerated.

The primary goal of safety promotion at **Valley Transit** is to develop a positive safety culture that allows the SMS to succeed. A positive safety culture is defined as one which is:

**A. An Informed Culture**

- Employees understand the hazards and risks involved in their areas of operation
- Employees are provided with the necessary knowledge, training and resources
- Employees work continuously to identify and overcome threats to safety

**B. A Just Culture**

- Employees know and agree on what is acceptable and unacceptable behavior
- Human errors must be understood, but negligence and willful violations cannot be tolerated

**C. A Reporting Culture**

- Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action
- When safety concerns are reported, they are analyzed, and appropriate action is taken

**D. A Learning Culture**

- Learning is valued as a lifetime process beyond basic-skills training
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety
- Employees are updated on safety issues by management, and safety reports are fed back to staff so that everyone learns the pertinent lessons

#### 4.1.2 Training

During the initial implementation of an SMS, specific training will be required for all employees and contract staff, to explain the agency's safety culture and describe how **Valley Transit's** SMS works. The Chief Safety Officer is the resource person for providing a corporate perspective on **Valley Transit's** approach to safety management.

Safety Management training topics may include:

**A. Initial Safety Training for All Staff**

1. Basic principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.
2. Corporate safety philosophy, safety goals and objectives, safety policy, and safety standards
3. Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues



4. Organizational structure, roles and responsibilities of staff in relation to safety
5. Transit agency's safety record, including areas of systemic weakness
6. Requirement for ongoing internal assessment of organization safety performance (e.g. employee surveys, safety audits, and assessments)
7. Reporting accidents, incidents, and perceived hazards
8. Lines of communication for safety managers
9. Feedback and communication methods for the dissemination of safety information
10. Safety promotion and information dissemination

**B. Safety Training for Operations Personnel**

1. Unique hazards facing operational personnel
2. Seasonal safety hazards and procedures (e.g. winter operations)
3. Procedures for hazard reporting
4. Procedures for reporting safety events (accidents and incidents)
5. Emergency procedures

**C. Safety Training for Management**

1. Principles of the SMS
2. Management responsibilities and accountabilities for safety
3. Legal issues (e.g. liability)

**D. Training for the Safety Officer**

1. Familiarization with different transit modes, types of operation, routes, etc.
2. Understanding the role of human performance in safety event causation and prevention
3. Operation of the SMS
4. Investigating safety events
5. Crisis management and emergency response planning
6. Safety promotion
7. Communication skills
8. Performing safety audits and assessments
9. Monitoring safety performance
10. National Transit Database (NTD) safety event reporting requirements

## APPENDICES

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Appendix A – Staff Safety Roles and Responsibilities

Appendix B – Safety Assessment and System Review

Appendix C – Facility Safety and Security Assessment

Appendix D – Risk Assessment Matrix

Appendix E – Hazard Identification and Risk Assessment Log

Appendix F – Prioritized Safety Risk Log

Appendix G – Safety Performance Matrix

Appendix H – Safety Performance Outline

## APPENDIX A

### Valley Transit

# STAFF SAFETY ROLES AND RESPONSIBILITIES

**Completed by: Traci Robinson**

**Date: 11/16/24**

Position Title	Name of Staff Member	Position Description	Safety Responsibilities
Accountable Executive	<b>Ron McDonald</b>	<p>49 CFR § 673.5 --</p> <p>Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the PTASP; responsibility for carrying out the agency's TAM Plan, and control or direction over the human and capital resources needed to develop and maintain both the agency's PTASP, in accordance with 49 U.S.C. § 5329(d), and the agency's TAM Plan in accordance with 49 U.S.C. § 5326.</p>	<ul style="list-style-type: none"> <li>• Ultimate responsibility for carrying out the PTASP</li> <li>• Responsibility for carrying out the TAM Plan</li> <li>• Control or direction over the human and capital resources needed to develop and maintain both plans</li> <li>• Ensuring the agency's SMS is effectively implemented throughout the system</li> <li>• Ensuring action is taken, as necessary, to address substandard performance in the agency's SMS</li> <li>• May delegate specific responsibilities, except ultimate accountability for the agency's safety performance, which always rests with the Accountable Executive</li> </ul>
Chief Safety Officer	Traci Robinson	<p>49 CFR § 673.5 --</p> <p>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.</p> <p>A Chief Safety Officer (CSO) for a small public transportation provider (as defined in Part 673) may serve in capacities (operational or maintenance) unless the agency ceases to be a small public transportation provider or operates a rail transit system.</p>	<ul style="list-style-type: none"> <li>• Is adequately trained</li> <li>• Responsibility for safety</li> <li>• Reports directly to agency's Accountable Executive</li> <li>• Authority and responsibility for day-to-day implementation and operation of agency's SMS</li> </ul>
Safety Manager	Traci Robinson	<p>Ensure coordinated development and implementation of the PTASP</p>	<ul style="list-style-type: none"> <li>• Maintains a safe working environment</li> <li>• Adheres to all safety policies and procedures</li> <li>• Promotes safety awareness throughout the organization</li> <li>• Ensures safety documentation is current and accessible to all employees</li> <li>• Communicates changes in safety documents to all personnel</li> <li>• Monitors effectiveness of corrective actions</li> <li>• Provides periodic reports on safety performance</li> <li>• Renders independent advice to the CEO, senior managers, and other personnel on safety-related matters</li> <li>• Ensures that safety management has a high priority throughout the organization</li> </ul>
Transit Supervisor(s)	<b>Justin Dreger, Laura Van Hooreweghe</b>	<p>Supervisors are responsible for communicating the transit agency's safety policies to all employees.</p>	<ul style="list-style-type: none"> <li>• Maintains a safe working environment</li> <li>• Adheres to all safety policies and procedures</li> </ul>

			<ul style="list-style-type: none"> <li>• Full knowledge of all standard and safety operating procedures</li> <li>• Ensures that drivers make safety a primary concern when on the job</li> <li>• Listens and acts upon any safety concerns raised</li> <li>• Immediately reports safety concerns to the CSO/SM</li> <li>• Provides leadership and direction to employees during security incidents</li> <li>• Handles minor non-threatening rule violations</li> <li>• Defuses minor arguments</li> <li>• Determines when to call for assistance</li> <li>• Responds to fare disputes and service complaints</li> <li>• Responds to security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance</li> <li>• Completes necessary security related reports</li> <li>• Takes photographs of damage and injuries</li> <li>• Coordinates with all outside agencies at incident scenes</li> </ul>
Bus Operator(s)	<b>Multiple</b>	Drivers are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing security incidents, and in responding to emergencies.	<ul style="list-style-type: none"> <li>• Maintains a safe working environment</li> <li>• Adheres to all safety policies and procedures</li> <li>• Takes charge of a hazard incident scene until the arrival of supervisory or emergency personnel</li> <li>• Collects fares in accordance with agency policy</li> <li>• Familiar with Valley Transit Employee Manual and Procedures</li> <li>• Attempts to handle minor non-threatening rule violations</li> <li>• Responds verbally to complaints</li> <li>• Attempts to defuse minor arguments</li> <li>• Determines when to call for assistance</li> <li>• Maintains control of the vehicle</li> <li>• Reports all safety incidents to Supervisor on duty</li> <li>• Completes all necessary safety related reports</li> </ul>
Maintenance	<b>Multiple</b>	Mechanic performs major running repairs of buses. Fully qualified and completely capable of repairing, maintaining, and rebuilding all parts of all equipment.	<ul style="list-style-type: none"> <li>• Maintains a safe working environment</li> <li>• Adheres to all safety policies and procedures</li> <li>• Responsible for repair of vehicle components, including engine and transmission rebuilds</li> <li>• Conducts all levels of inspections</li> <li>• Assists in all aspects of repair and maintenance work</li> <li>• Makes bus assignments (if needed)</li> <li>• Maintains a safe working environment and adheres to all safety policies and procedures</li> <li>• Makes road calls</li> <li>• Tire changes and repairs</li> <li>• Brake relines</li> <li>• Driver reported defects</li> <li>• Supervises bus-washing activities</li> <li>• Fuels/cleans buses</li> </ul>
Communication Technicians	<b>Multiple</b>	Dispatcher for operators, answers telephone calls from the public providing customer service, responds to radio calls from operators for repair calls, normal calls, and emergency transmissions	<ul style="list-style-type: none"> <li>• Maintains a safe working environment</li> <li>• Adheres to all safety policies and procedures</li> <li>• Familiar with Valley Transit Employee Manual and Procedures</li> </ul>

**APPENDIX B**

**Valley Transit**

**SAFETY ASSESSMENT AND SYSTEM REVIEW**

Complete this form semi-annually to identify potential safety hazards. It is imperative that completion of this review includes only accurate and correct information – data collected from this assessment will guide agency resource allocation and focus priority needs appropriately. Not all questions will apply.

**Completed by: Traci Robinson** **Date: 10/16/24**

SECTION	REVIEW QUESTIONS	YES	NO	N/A
<b>Safety Policies:</b>	• Are all safety policies up to date and reviewed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the Drug and Alcohol Policy current and up to date?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>New Hire Employee Files:</b>	• Was there a structured interview conducted and documented?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the applicant asked the questions relating to previous experience with drug and alcohol testing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the offer of employment documented in writing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a pre-employment drug screen?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a pre-employment physical exam?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are safety sensitive responsibilities outlined in the job description?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a Current Policies and Procedures Acknowledgement Form?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Post Hire Employee Files:</b>	• Is a current employee roster available?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are the employee files maintained by the transit system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do existing employee files contain:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Background check?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Previous employer request form?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Verification of current driver's license and CDL?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Current MVR?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ PARS Reports?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Current copy of physical exam certificate?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Signed Substance Abuse Policy Acknowledgement?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Drug and Alcohol Testing Record with COC and authorization forms?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Record of annual supervisor ride checks and evaluations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Education and Training:</b>	• Are operator certifications current and up to date?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have managers completed Safety Management Systems (SMS) training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are employees familiar with OSHA topics, including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	➢ Hazard Communication?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Emergency Action Planning?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Bloodborne Pathogens?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Lockout/Tagout?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Personal Protective Equipment (PPE)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Injury Prevention Planning?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Have all safety sensitive employees received Drug and Alcohol Training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Do new mechanics receive classroom training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Do existing mechanics receive ongoing training?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Safety Meetings:</b>	• Is there an active Safety Committee at the transit agency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Are safety meetings held on a regular basis?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are safety meetings and sign in sheets documented, with publicly posted agendas and minutes?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Do senior managers attend safety meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Do vehicle operators attend safety meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Do mechanics attend safety meetings?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Incident and Accident Investigation Procedures:</b>	• Are policies in place dictating which incidents are reported and which are not?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Are incident report forms kept on board the vehicle?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are accident reports completed for all situations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are incident/accident reports used as pre-accident training material?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are incident/accident reports used as post-accident training material?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are incident/accident reports used to identify potential hazards and analyzed in a Risk Assessment Matrix (RAM)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are complaint forms kept on all vehicles?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are all operators provided with safety vests on their vehicles?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are incident/accident photos taken?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Substance Abuse:</b>	• Is there a current and updated Drug and Alcohol Policy?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Do all staff members understand the Drug and Alcohol Policy?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Is random testing being completed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Is reasonable suspicion testing being completed?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Facility and Shop Inspections:</b>	• Are monthly facility inspections conducted as scheduled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Are facility inspection forms completed properly?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are unsafe conditions or acts, regarding the facility corrected and documented?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
• Are fire extinguishers up to date with annual servicing requirements?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



APPENDIX C

**Valley Transit**

**FACILITY SAFETY and SECURITY ASSESSMENT**

Complete this form semi-annually to identify potential safety hazards. It is imperative that the completion of this review includes only accurate and correct information – data collected from this assessment will guide agency resource allocation and focus priority needs appropriately. Not all questions will apply.

<b>Completed by: Traci Robinson</b>	<b>Date: 9/25/24</b>
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
<b>Buildings and Facility Grounds:</b>	• Are facility grounds randomly and frequently patrolled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are daily security sweeps conducted?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are smoke/fire/carbon monoxide detectors provided and working?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are distribution and number of keys known and controlled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all keys labeled as "DO NOT DUPLICATE"?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all unoccupied areas locked and secured?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Lighting:</b>	• Is entire perimeter of facility properly illuminated?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is lighting mounted at approximately second story level?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are lights provided over all entrance doors?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is lighting provided in staff parking areas?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Entrance Doors and Windows:</b>	• Are all doors:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Built of commercial grade with metal framing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Outside hinges hidden and protected from vandalism?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Provided with a commercial grade, one-sided lock?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Provided with push "panic" bar releases?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ In case of breakage or opening are all windows and doors connected to a central station alarm?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>Electronic Surveillance:</b>	• Is the entire perimeter of facility protected by a CCTV system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is this system monitored by management and/or a security company?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is this system always on or activated by motion sensors?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Non-Employee Access:</b>	• Is access restricted to persons without proper credentials and clearance?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



	<ul style="list-style-type: none"> <li>Are supply deliverers required to show proper I.D. and sign-in a log book?</li> <li>Are all non-employees accompanied and/or observable at all times?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Surrounding Environment:</b>	<ul style="list-style-type: none"> <li>Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property?</li> <li>Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack?</li> <li>Are all outdoor storage areas adequately lighted and secured?</li> </ul>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Material Storage:</b>	<ul style="list-style-type: none"> <li>Are all hazardous and flammable materials properly identified?</li> <li>Are all materials properly labeled, stored, and secured?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Forms and Written Plans:</b>	<ul style="list-style-type: none"> <li>Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone?</li> <li>Is a Chain of Command and emergency call list prominently displayed?</li> <li>Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Evacuation Plan/Procedures</b>	<ul style="list-style-type: none"> <li>Are there evacuation plans for this facility?</li> <li>Are staff members trained on this plan?</li> <li>Are assembly areas and alternate assembly areas identified, validated and coordinated with the County Emergency Management Office?</li> <li>Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate agencies?</li> <li>Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Training:</b>	<ul style="list-style-type: none"> <li>Is an orientation program in place for each new staff member?</li> <li>Do all staff members receive safety and security training appropriate to their position and level of responsibility?</li> <li>Are periodic safety and security training and briefings completed with staff?</li> <li>Do all new staff members receive briefings on the City/County Evacuation Plan, the Disaster Preparedness Plan, and other security policies and procedures?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Administrative Procedures:</b>	<ul style="list-style-type: none"> <li>Is a record of emergency data on file for each staff?</li> <li>Have incident reporting format and procedures been established and staff briefed on them?</li> <li>Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department?</li> <li>Are background checks conducted and verified on all prospective new hires?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cash Handling and Transfer:</b>	<ul style="list-style-type: none"> <li>Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them?</li> <li>Is cash transported by at least two individuals with cash divided between them?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

	<ul style="list-style-type: none"> <li>Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fire and Electrical Safety:</b>				
	<ul style="list-style-type: none"> <li>Are fire extinguishers installed in all appropriate locations?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are smoke and heat detectors installed, at least one on each floor?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Is a first aid kit present and maintained?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?</li> </ul>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> <li>Are all outdoor trash containers and storage bins located away from the building in the event of a fire?</li> </ul>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# Safety Risk Assessment Matrix

Risk Assessment Matrix				
Severity	Catastrophic	Critical	Marginal	Negligible
Likelihood	1	2	3	4
Frequent - A	HIGH - 1A	HIGH - 2A	HIGH - 3A	MEDIUM - 4A
Probable - B	HIGH - 1B	HIGH - 2B	MEDIUM - 3B	MEDIUM - 4B
Occasional - C	HIGH - 1C	MEDIUM - 2C	MEDIUM - 3C	LOW - 4C
Remote - D	MEDIUM - 1D	MEDIUM - 2D	LOW - 3D	LOW - 4D
Improbable - E	LOW - 1E	LOW - 2E	LOW - 3E	LOW - 4E

Safety Risk Assessment Matrix		
Severity Categories		
Description	Severity Category	Criteria
Catastrophic	1	Could result in one or more of the following: Death Multiple serious injuries requiring hospitalization Irreversible environmental impact Monetary loss equal to or >\$1 Million
Critical	2	Could result in one or more of the following: Serious injury requiring hospitalization Reversible significant environmental impact Monetary loss equal to or >\$250,000 but <\$1 Million
Marginal	3	Could result in one or more of the following: Injury requiring medical treatment beyond first aid that may result in one (1) or more lost workday(s) Reversible moderate environmental impact Monetary loss equal to or >\$10,000 but <\$250,000
Negligible	4	Could result in one or more of the following: Injury requiring first aid Minimal environmental impact Monetary loss <\$10,000

Safety Risk Assessment Matrix			
Likelihood Levels			
Description	Level	Individual Item	System or Vehicle Fleet
Frequent	A (1)	Likely to occur often in the life of an item	Continuously experienced. Potential consequence may be experienced more than once in 40,000
Probable	B (2)	Will occur several times in the life of an item	Will occur frequently. Potential consequences may be experienced once per 40,000 to 4,800,000 VRM
Occasional	C (3)	Likely to occur sometime in the life of an item	Will occur several times. Potential consequences may be experienced once per 480,000 to 4,800,000 VRM
Remote	D (4)	Unlikely, but possible to occur in the life of an item	Unlikely, but can reasonably be expected to occur. Potential consequences may be experienced once per 4,800,000 to 14,400,000 VRM.
Improbable	E (5)	So unlikely, it can be assumed occurrences may not be experienced in the life of an item	Unlikely to occur, but possible. Potential consequences may be experienced less than once per 14,400,000 VRM.

**APPENDIX E**

**Valley Transit  
HAZARD ASSESSMENT LOG**

This form can be used to provide a record of identified hazards and actions taken to eliminate or mitigate the risks associated with it. The recommended action should be associated with a specified individual (i.e. a supervisor, manager, or front-line personnel), and must include a target date for completion. As a rolling log, entries for identified hazards and their associated mitigations should never be removed, even after required action(s) is completed. Any related forms, logs, or records should be retained permanently.

**Completed by: Traci Robinson** **Last Updated: 10/17/24**

<b>Risk Type</b>	<b>Risk Description</b>	<b>Current Measures to Reduce Risk</b>	<b>Risk Rating Likelihood</b>	<b>Risk Rating Severity</b>	<b>Risk Rating Value (Likelihood x Severity)</b>	<b>Further Action Required to Reduce Risk</b>	<b>Staff Responsibility</b>
Human Error	Non-compliance with agency maintenance protocol	<ul style="list-style-type: none"> <li>• Minimum competency requirements</li> <li>• Effective safety culture in agency (maintenance department)</li> <li>• Effective task planning</li> <li>• Availability of procedures</li> <li>• Procedure reviews and simplification into tasks</li> <li>• Recurrent training</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Competency assessments</li> <li>• Maintenance policy to reinforce need for compliance</li> </ul>	<ul style="list-style-type: none"> <li>• Safety Assurance</li> <li>• Line Manager</li> <li>• Maintenance Manager</li> </ul>
Biological/Health	COVID-19	<ul style="list-style-type: none"> <li>• Driver Barriers, Deep Cleaning/Sanitizing, Air Purification</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• General Manager, Chief Safety Officer, Maintenance Supervisor</li> </ul>
Safety	Assaults on transit workers	<ul style="list-style-type: none"> <li>• Driver barriers, video and video and audio surveillance, facilities, hired security at transfer center, emergency/silent emergency head sign, automatic vehicle location, and penalty signage</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>• De-escalation training</li> <li>• Safety/awareness meetings</li> </ul>	<ul style="list-style-type: none"> <li>• General Manager</li> <li>• Assistant General Manger</li> <li>• Chief Safety Officer</li> <li>• Maintenance Manager</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>
		<ul style="list-style-type: none"> <li>•</li> </ul>				<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>

**APPENDIX F**

**Valley Transit**

**PRIORITIZED SAFETY RISK LOG**

This form is used to organize identified safety risks facing Valley Transit. The log should be updated frequently to demonstrate continual progress towards risk reduction through mitigation strategies. A timeline is used to highlight projected completion dates.

Completed by: **Traci Robinson** Last Updated: **9/3/24**

Priority	Risk Description	Planned Mitigation Strategies	Outcomes of Planned Mitigation Strategies	Responsible Staff	Timeline	Status
1	Non-compliance with agency maintenance protocol	<ul style="list-style-type: none"> <li>• Introduce compliance monitoring</li> <li>• Effective supervision including work compliance assessment</li> <li>• Competency assessments</li> <li>• Maintenance policy to reinforce need for compliance</li> </ul>	•	<ul style="list-style-type: none"> <li>• Safety Assurance</li> <li>• Line Manger</li> <li>• Maintenance Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Begin January 2020</li> <li>• Complete August 2020</li> </ul>	Open
2		•	•	•	•	
3		•	•	•	•	
4		•	•	•	•	
5		•	•	•	•	
6		•	•	•	•	
7		•	•	•	•	
8		•	•	•	•	
9		•	•	•	•	
10		•	•	•	•	

**APPENDIX G**

**Valley Transit  
SAFETY PERFORMANCE MATRIX**

This form allows Valley Transit to organize, monitor, and evaluate identified safety goals and objectives/outcomes.

**Examples in this table should be adjusted depending on agency size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.**

**Completed by: Traci Robinson** **Last Updated: 9/3/2024**

<b>GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES</b>			
Valley Transit will utilize a safety management systems framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.			
<b>OBJECTIVE/OUTCOME</b>	<b>METRICS</b>	<b>BASELINES</b>	<b>TARGETS</b>
Reduce the number of reportable fatalities	Total number of reportable fatalities	Identify	Establish reasonable measure using past and present performance data and trends
	Rate of reportable fatalities per total vehicle revenue miles	Identify	Establish reasonable measure using past and present performance data and trends
Reduce the number of reportable injuries	Total number of reportable injuries	Identify	Establish reasonable measure using past and present performance data and trends
	Rate of reportable injuries per total vehicle revenue miles	Identify	Establish reasonable measure using past and present performance data and trends
Reduce the number of reportable safety events	Total number of reportable safety events	Identify	Establish reasonable measure using past and present performance data and trends
	Rate of reportable safety events per total vehicle revenue miles	Identify	Establish reasonable measure using past and present performance data and trends
Reduce mean distance between major mechanical failures	Average distance between major mechanical failures	Identify	Establish reasonable measure using past and present performance data and trends
Increase assessment and analysis of existing personnel, equipment and procedures to identify and mitigate any potential safety hazards	Number of safety audits, inspections, or assessments completed per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
Develop a corrective action plan and mitigation strategies to address identified hazards	Percent of corrective action strategies completed per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
<b>GOAL 2: CULTURE</b>			
Valley Transit will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.			
<b>OBJECTIVE/OUTCOME</b>	<b>METRICS</b>	<b>BASELINES</b>	<b>TARGETS</b>
Establish a dedicated staff person as the Transit Agency Safety Officer to manage the agency's transit safety program	Number of years of transit safety experience	Identify	Establish reasonable measure using past and present performance data and trends

Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel	Number of meetings per specified period of time or number of meetings per incidents/occurrences	Identify	Establish reasonable measure using past and present performance data and trends
Develop and promote a Non-Punitive Reporting Policy	Percent of staff receiving Non-Punitive Reporting Policy	Identify	Establish reasonable measure using past and present performance data and trends
Increase the reporting of near miss occurrences and incidents that would otherwise go unreported	Number of near miss occurrences/incidents reported per specified passenger-miles traveled or per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
Increase employee safety training opportunities and attendance	Number of employee safety training hours completed per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
Increase safety material distributed amongst employees and the general public	Number of manuals, brochures, posters or campaigns distributed per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
<b>GOAL 3: SYSTEMS/EQUIPMENT:</b>			
Valley Transit will provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed.			
<b>OBJECTIVE/OUTCOME</b>	<b>METRICS</b>	<b>BASELINES</b>	<b>TARGETS</b>
Reduce the number of vehicle/equipment/facility maintenance issues reported	Number of vehicle/equipment/facility maintenance issues reported per specified period of time	Identify	Establish reasonable measure using past and present performance data and trends
Increase scheduled preventative maintenance	Number of preventative maintenance inspections completed per specified period of time or specified vehicle mileage	Identify	Establish reasonable measure using past and present performance data and trends



## APPENDIX H

# Valley Transit SAFETY PERFORMANCE OUTLINE

This form allows Valley Transit to organize, monitor, and evaluate identified safety goals and objectives/outcomes.

**Examples in this outline should be adjusted depending on the Transit Agency size and scale of operations. Not all examples will apply. Similarly, metrics should be adjusted depending on preference and/or scale of operations.**

Completed by: Traci Robinson

Last Updated: 9/3/2024

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### **GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES**

Valley Transit will utilize a safety management systems framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.

1. Objective/Outcome:

Reduce the number of transit related fatalities

- a. *Metric: Number of fatalities per specified passenger miles traveled*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. Objective/Outcome:

Reduce the number of transit related injuries

- a. *Metric: Number of injuries per specified passenger miles traveled*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

3. Objective/Outcome:

Increase assessment and analysis of existing personnel, equipment and procedures to identify and mitigate any potential safety hazards

- a. *Metric: Number of safety audits, inspections, or assessments completed per specified period of time*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and needs*

4. Objective/Outcome:

Develop a corrective action plan and mitigation strategies to address identified hazards

- a. *Metric: Percent of corrective action strategies complete per specified period of time*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and needs*

### **GOAL 2: CULTURE**

Valley Transit will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

1. Objective/Outcome:  
Establish a dedicated staff person as the Transit Agency Safety Officer to manage the agency's transit safety program
  - a. *Metric: Number of years of transit safety experience*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
2. Objective/Outcome:  
Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel
  - a. *Metric: Number of meetings per specified period of time or number of meetings per incidents/occurrences*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
3. Objective/Outcome:  
Develop and promote a Non-Punitive Reporting Policy
  - a. *Metric: Percent of staff receiving Non-Punitive Reporting Policy*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish reasonable measure using past and present performance data and trends*
  
4. Objective/Outcome:  
Increase the reporting of near miss occurrences and incidents that would otherwise go unreported
  - a. *Metric: Number of near miss occurrences/incidents reported per specified passenger-miles traveled or per specified period of time*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*
  
5. Objective/Outcome:  
Increase employee safety training opportunities and attendance
  - a. *Metric: Number of employee safety training hours completed per specified period of time*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*
  
6. Objective/Outcome:  
Increase safety material distributed amongst employees and the general public
  - a. *Metric: Number of manuals, newsletters, brochures, posters or campaigns distributed per specified period of time*
  - b. *Baseline: Identify a baseline*
  - c. *Target: Establish a reasonable measure using past and present performance data and trends*

### **GOAL 3: SYSTEMS/EQUIPMENT:**

**Valley Transit will provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed.**

1. Objective/Outcome:  
Reduce the number of vehicle/equipment/facility maintenance issues reported

- a. *Metric: number of vehicle/equipment/facility maintenance issues reported per specified period of time*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*

2. Objective/Outcome:

Increase scheduled preventative maintenance

- a. *Metric: Number of preventative maintenance inspections completed per specified period of time or specified vehicle mileage*
- b. *Baseline: Identify a baseline*
- c. *Target: Establish a reasonable measure using past and present performance data and trends*