

City of Porterville



Public Transit Agency  
Safety Plan (PTASP)

December 1, 2020



## Public Transportation Safety Plan

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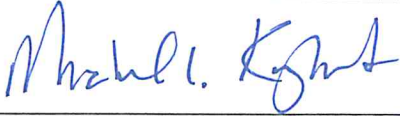
## Public Transportation Safety Plan

### 1. Transit Agency Information

<b>Transit Agency Name</b>	City of Porterville, dba "Porterville Transit"		
<b>Transit Agency Address</b>	291 N. Main St., Porterville, CA 93257		
<b>Name and Title of Accountable Executive</b>	Michael Knight, Public Works Director		
<b>Name of Chief Safety Officer</b>	Richard I. Tree, Field Services Manager (CITY) Robert J. Tree, Operations Director (SM Transit)		
<b>Mode(s) of Service Covered by this Plan</b>	Fixed Route Bus; ADA Paratransit; Demand Response	<b>List All FTA Funding Types</b>	5307, 5311, 5339
<b>Mode(s) of Service Provided by the Transit Agency</b>	Contracted Fixed Route Bus; ADA Paratransit; Demand Response		
<b>Does the agency provide transit services on behalf of another transit agency?</b>	Yes. SM Transit operates all transit services on behalf of and in cooperation with the City of Porterville	<b>Description of Arrangement(s)</b>	Contracted Services
<b>Name and address of Transit Agency for which service is provided</b>	City of Porterville		

## Public Transportation Safety Plan

### 2. Plan Development, Approval, and Updates

<b>Name of Person Who Drafted This Plan</b>	Richard Tree, Field Services Manager, Chief Safety Officer Robert Tree, Operations Director, Chief Safety Officer (Contractor) Russell Isom, Shop Superintendent	
<b>Signature by the Accountable Executive</b>	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
		12/1/2020
<b>Approval by the City Council of the City of Porterville</b>	<b>City Council of the City of Porterville</b>	<b>Date of Approval</b>
	Resolution # 93-2020	December 1, 2020
	<b>Relevant Documentation (title and location)</b> See next page for copy of the resolution. Also on file at the City Clerk's Office at City Hall.	

<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
1		New Document	12/01/2020

<b>Annual Review and Update of the Public Transportation Agency Safety Plan</b>
<i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan</i>
<p>The Accountable Executive will review and approve any changes, signing the new ASP, then present to the City Council for review and approval on the following timeline:</p> <ul style="list-style-type: none"> <li>Annually, each year in June.</li> <li>And when the Agency: <ul style="list-style-type: none"> <li>Determines its approach to mitigating safety deficiencies is ineffective;</li> <li>Makes significant changes to service delivery;</li> <li>Introduces new processes or procedures that may impact safety;</li> <li>Changes or re-prioritizes resources available to support Safety Management Systems; and/or</li> <li>Significantly changes its organizational structure.</li> </ul> </li> </ul> <p>Revisions will be submitted to the City Council at their July meeting for approval. Amendments to the PTASP will be published to the employees and the public at large in accordance with the Agency's standard communication process.</p>



## Public Transportation Safety Plan

RESOLUTION NO. 93 - 2020

**A RESOLUTION OF THE CITY COUNCIL OF THE  
CITY OF PORTERVILLE APPROVING THE  
PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)**

**WHEREAS**, the City of Porterville is the public transportation service provider in Porterville operated by Tree's Sierra Management, Inc. (SM Transit); and

**WHEREAS**, the Federal Transit Administration, which provides significant annual funding to public transportation in Porterville, requires public transportation operators to have a City Council approved Public Transportation Agency Safety Plan by December 31, 2020 in order to continue to be eligible for federal transit funding; and

**WHEREAS**, the Public Transportation Agency Safety Plan formalizes safety programs and procedures already in place at the City of Porterville and improves the safety risk management, safety assurance, and safety oversight processes; and

**WHEREAS**, the safe operation and provision of public transportation in Porterville is the top priority of the City Council of the City of Porterville.

**NOW THEREFORE, BE IT RESOLVED AND ORDERED** that the City Council of the City of Porterville does hereby approve and accept the Public Transportation Agency Safety Plan as presented.

**PASSED AND ADOPTED** by the City Council of the City of Porterville, State of California, at a regular meeting of said Council held on December 1, 2020.

  
Martha A. Flores, Mayor

ATTEST:  
John D. Lollis, City Clerk

By:   
Patrice Hildreth, Chief Deputy City Clerk



## Public Transportation Safety Plan

STATE OF CALIFORNIA   )  
CITY OF PORTERVILLE   )   SS  
COUNTY OF TULARE    )

I, JOHN D. LOLLIS, the duly appointed City Clerk of the City of Porterville do hereby certify and declare that the foregoing is a full, true and correct copy of the resolution passed and adopted by the Council of the City of Porterville at a meeting of the Porterville City Council duly called and held on the 1<sup>st</sup> day of December, 2020.

Said resolution was duly passed, approved, and adopted by the following vote:

Council:	PEÑALOZA	REYES	FLORES	STOWE	GURROLA
AYES:	X	X	X	X	X
NOES:					
ABSTAIN:					
ABSENT:					

JOHN D. LOLLIS, City Clerk

By: Fernando Gabriel-Moraga, Deputy City Clerk

## Public Transportation Safety Plan

### 3. Safety Performance Targets

#### Safety Performance Targets

*Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.*

Targets below are based on review of the previous 5 years of Porterville Transit's safety performance data.

Mode of Transit Service	Fatalities (total)	Fatalities (per 100k VRM)	Injuries (total)	Injuries (per 100k VRM)	Safety Events (total)	Safety Events (per 100k VRM)	System Reliability (VRM/Failures)
Fixed Route Bus	0	0	1	.00001	2	.00002	65,000
ADA / Paratransit	0	0	0	0	0	0	20,000
Demand Response	0	0	0	0	0	0	20,000

#### Safety Performance Target Coordination

*Describe the coordination with the State and Metropolitan Planning Organization (MPO) in the selection of State and MPO safety performance targets.*

The City of Porterville's Accountable Executive shares our ASP, including safety performance targets, with the MPO (TCAG) in our service area each year after its formal adoption by the City Council. The Accountable Executive also provides a copy of our formally adopted plan to the California Department of Transportation (Caltrans). City of Porterville personnel are available to coordinate with Caltrans and TCAG in the selection of Caltrans and TCAG safety performance targets upon request.

	State Entity Name	Date Targets Transmitted
<b>Targets Transmitted to the State</b>	Caltrans Division of Rail and Mass Transportation Attn: Brian C. Travis Senior Planner brian.travis@dot.ca.gov	December 10, 2020
	MPO Name	Date Targets Transmitted
<b>Targets Transmitted to the MPO</b>	Tulare County Association of Governments Attn: Elizabeth Forte Senior Planner ewright@tularecog.org	December 10, 2020



### 4. Safety Management Policy

#### Safety Management Policy Statement

The City of Porterville, "Porterville Transit", will maintain an active Safety Management System (SMS) that encourages the open sharing of information on all safety issues. We expect our employees and contractor employees to report their safety concerns to agency management. No employee will be asked to compromise safety to "get the job done."

Our overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations. To that end, we will continuously examine our operations for hazards. We will establish a non-punitive employee safety reporting program, train staff on safety management, document our findings and safety risk mitigations, and strive for continuous improvement of our safety performance.

As required by the Federal Transit Administration, we have established annual safety performance targets to help us measure the safety of our transit service. In addition, to address our overall safety objective, we will conduct hazard identification workshops with all frontline, supervisory, and management personnel during this calendar year. We will also work to increase the annual number of voluntary reports received from employees by 10 percent and actively track our safety risk mitigations. To ensure we meet this objective, our safety department will report out each quarter to our entire agency on the number of:

- Hazard identification workshops carried out in the quarter;
- Number and type of hazard reports received per employee in the quarter versus the same quarter last year; and
- Number and type of safety risk mitigations implementation in the quarter.

Ultimate responsibility for safety at the City of Porterville rests with the Accountable Executive.

Responsibility for making our operations safer for everyone lies with each one of us – from executive management to frontline employees. Each manager is responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure all reasonable steps are taken to perform activities established as part of the SMS.

A handwritten signature in blue ink that reads "Richard I. Tree".

Richard I. Tree, Chief Safety Officer



## Public Transportation Safety Plan

### Safety Management Policy Communication

Location Posted:	Downtown Transit Center Lobby, Employee Breakroom, and Employee Communication Bulletin Board, Maintenance Facility Bulletin Board, City of Porterville City Hall Bulletin Board
Date shared with the employees:	December 10, 2020
Date shared with the public:	December 10, 2020 <a href="http://www.ridept.com">www.ridept.com</a>

### Authorities, Accountabilities, and Responsibilities

*Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's SMS.*

<b>Accountable Executive</b>	<p>The Director of Public Works serves as Porterville Transit's Accountable Executive. The Accountable Executive reviewed the draft policy once it had been developed by our agency. Comments and recommended changes were taken into account when the final document was developed. The Accountable Executive then submitted the policy to the City Council for approval. Once their approval was given, the Accountable Executive signed the policy. Additional responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Decision-making about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments;</li> <li>• Designates an adequately trained Chief Safety Officer who reports directly;</li> <li>• Ensures that the SMS is implemented and monitored;</li> <li>• Signing SMS implementation planning documents; and</li> <li>• Endorsing SMS implementation team membership.</li> </ul>
<b>Chief Safety Officer (CITY)</b>	<p>The Accountable Executive designates the Field Services Manager as Porterville Transit's Chief Safety Officer. The City's Chief Safety Officer/SMS Executive coordinates with the Contractor's Chief Safety Officer in developing the Safety Management Policy. The City's Chief Safety Officer/SMS Executive duties include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Develop ASP and SMS policies and procedures;</li> <li>• Developing and maintaining SMS documentation;</li> <li>• Oversees the day-to-day implementation and operation of the SMS;</li> <li>• Manages City's employee safety reporting systems such as incident and observation reports;</li> </ul>

## Public Transportation Safety Plan

	<ul style="list-style-type: none"> <li>• Establishes City's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents;</li> <li>• Ensures safety topics are addressed in departmental meetings;</li> <li>• Advises the Accountable Executive on SMS progress and status;</li> <li>• Identifies substandard performance in Porterville Transit's SMS and develops action plans for approval by the Accountable Executive;</li> <li>• Ensures policies are consistent with safety objectives;</li> <li>• Provides SRM expertise and support for personnel in conducting and overseeing Safety Assurance activities.</li> </ul>
<p><b>Chief Safety Officer (CONTRACTOR)</b></p>	<p>The Contractor's Chief Safety Officer/SMS Executive coordinates with the City's Chief Safety Officer in developing the Safety Management Policy. The Contractor's Chief Safety Officer/SMS Executive duties include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Develop ASP and SMS policies and procedures;</li> <li>• Developing and maintaining SMS documentation;</li> <li>• Oversees the day-to-day implementation and operation of the SMS;</li> <li>• Manages Contractor's employee safety reporting systems such as incident and observation reports;</li> <li>• Establishes Contractor's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents;</li> <li>• Ensures safety topics are addressed in departmental meetings;</li> <li>• Advises the Accountable Executive on SMS progress and status;</li> <li>• Identifies substandard performance in Porterville Transit's SMS and develops action plans for approval by the Accountable Executive;</li> <li>• Ensures policies are consistent with safety objectives;</li> <li>• Provides SRM expertise and support for personnel in conducting and overseeing Safety Assurance activities.</li> </ul>



## Public Transportation Safety Plan

<p><b>Leadership Team</b></p>	<p>Porterville Transit's Leadership Team also have authorities and responsibilities for day-to-day SMS implementation and operation of Porterville Transit's SMS under this plan. Porterville Transit Leadership Team include:</p> <ul style="list-style-type: none"> <li>• Director of Operations (Contractor Chief Safety Officer)</li> <li>• Route Supervisors and Dispatchers (Contractor)</li> <li>• Director of Public Works (Accountable Executive)</li> <li>• Field Services Manager (City Chief Safety Officer)</li> <li>• Shop Superintendent (City Fleet Maintenance)</li> </ul> <p>Porterville Transit's Leadership Team have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> <li>• Participate in monthly maintenance and/or operator safety meetings;</li> <li>• Complete training on SMS and ASP elements;</li> <li>• Oversee day-to-day operations of the SMS in their departments;</li> <li>• Modify policies in their departments consistent with implementation of the SMS;</li> <li>• Provide expertise and support to implantation of the SMS as requested by the Accountable Executive or the Chief Safety Officer.</li> </ul>
<p><b>Key Staff and Activities</b></p>	<p>Porterville Transit utilizes the following key staff to support its SMS and safety programs:</p> <ul style="list-style-type: none"> <li>• <u>Road Supervisors</u>: Evaluate, monitor, and train drivers on all aspects of safety and defensive driving procedures.</li> <li>• <u>Dispatchers</u>: Evaluate and monitor day-to-day operations and communicate with road supervisors and drivers.</li> <li>• <u>Transit Maintenance Technician</u>: Monitors Preventative Maintenance Reports, coordinates maintenance activities with operations. Provides recommendation for revenue vehicles.</li> </ul> <p>Porterville Transit uses monthly Driver's Meetings and annual Safety Awards Meeting to support its SMS and safety programs:</p> <ul style="list-style-type: none"> <li>• <u>Tailgate Meetings</u>: Weekly Driver's Tailgate Meetings are dedicated to safety</li> <li>• <u>Driver's Meetings</u>: Monthly Driver's Meetings are dedicated to safety, where safety issues are discussed and documented.</li> </ul>

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	<ul style="list-style-type: none"> <li>• <u>Annual Safety Meeting</u>: Annual Safety Award Meeting is dedicated to safety, where safety issues are discussed and documented. Drivers are recognized for exceptional safety records during the year.</li> <li>• <u>Semi-monthly Maintenance Safety Training</u>: Dedicated to safety, where safety issues are discussed and documented.</li> </ul>
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### Employee Safety Reporting Program

*Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and, therefore, are excluded from protection).*

Porterville Transit's Employee Safety Reporting Program encourages employees who identify safety concerns in their day-to-day duties to report them to management in good faith effort without fear of retribution. There are many ways employees can report safety concerns:

- Report conditions directly to the dispatcher, who will document and forward to the Supervisor on duty.
- Report conditions anonymously via a locked comment box in the break area.
- Report conditions on the MyPorterville app
- Report conditions directly to any supervisor, manager, or director.
- Report conditions during tailgate meetings, monthly driver's meetings, or at the annual safety meeting.

Examples of information typically reported include:

- Safety concerns in the operating environment, examples include: road conditions, vehicle condition, facility conditions, and bus stop conditions.
- Policies and procedures that are not working as intended, examples include: insufficient time to complete pre-trip inspection.
- Near misses, passenger incidents, radio communication issues.

Porterville Transit encourages participation in the Employee Safety Reporting Program by protecting employees that report safety conditions in good faith. However, Porterville Transit may take disciplinary action if the report involves any of the following:

- Participation in illegal activity, such as assault, theft, drug dealing, etc.;
- Gross negligence, such as knowingly operating equipment for purposes other than intended that put people or property at risk;
- Deliberate or disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.



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On a daily basis, the Chief Safety Officers review the observation reports, accident and incident reports, any emails or miscellaneous reports filed about safety, and document identified safety conditions in the Porterville Transit Risk Register.

Chief Safety Officers will review and address each employee report, ensuring that hazards and their consequences are appropriately identified and resolved, and flag issues with the SRM process. Reported deficiencies and non-compliance with rules or procedures are addressed through the Safety Assurance process.

Chief Safety Officers discuss actions taken to address reported safety conditions during weekly manager meetings and monthly maintenance and operator meetings.

Additionally, if the reporting employee provided his/her name during the reporting process, the Chief Safety Officer follows up directly with the employee when Porterville Transit determines whether or not to take action and after any mitigations are implemented.

Porterville Transit encourages participation in the safety reporting program by protecting employees that report safety conditions in good faith. However, Porterville Transit staff (City or Contractor) may take disciplinary action if the report involves:

- Wilful participation in illegal activity;
- Gross negligence;
- Deliberate or willful disregard of regulations.

### 5. Safety Risk Management

#### Safety Risk Management Process

Describe the Safety Risk Management Process, including:

- **Safety Hazard Identification:** The methods or process to identify hazards and consequences of the hazards.
- **Safety Risk Assessment:** The methods or processes to assess the safety risk associated with identified safety hazards.
- **Safety Risk Mitigation:** The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.

Porterville Transit uses the Safety Risk Management (SRM) process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to Porterville Transit leadership.

Porterville Transit SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary.

Chief Safety Officers leads Porterville Transit's SRM process, working with Operations, Maintenance, and Administrative staff to identify hazards and consequences, assess safety risk or potential consequences, and mitigate safety risk. The results of the SRM process are documented in the Risk Register.

SRM process applies to all elements of our system including our operations and maintenance, facilities and vehicles, and personnel recruitment, training and supervision.

The following terms are used for the Safety Risk Management process:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, death, damage to or loss of the facilities, equipment, vehicles, or infrastructure.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage.

#### Safety Hazard Identification

The safety hazard identification process offers the ability to identify hazards and potential consequences in the operation and maintenance of our transit system. Hazards can be identified through a variety of sources, including:

- Review of vehicle camera footage
- Observations from road supervisors
- Comments from customers, passengers, and third parties

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- Comments from CalTip Insurance Pool
- Tailgate, Driver's, and Annual Safety Meetings
- Investigations into safety events, incidents, and occurrences
- Results of the TAM Assess Condition Assessments
- Facilities Inspections
- Bus Stop Inspections
- Pre-Ops Vehicle Inspections
- Routine Maintenance Inspections
- Employee Observations
- Federal Transit Authority Notices and Announcements
- Industry Publications
- Driver Evaluations
- Customer Complaints
- Trends in the Cost of In-house Repairs
- Third Party Administrators for Workers' Compensation and for Liability Claims
- Cal-OSHA Lost and Restricted Days Reported on the Cal-OSHA 300

When a safety concern is observed by management or supervisory personnel, whatever the source, it is reported to a Chief Safety Officer. Procedures for reporting hazards to a Chief Safety Officer are reviewed during monthly operator and maintenance safety meetings. The Chief Safety Officers also receive employee reports from the ESRP process and reviews these sources for hazards, and documents them in the Risk Register.

Chief Safety Officers may also enter hazards into the Risk Register based on their review of operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

Chief Safety Officers may conduct further analysis of hazards and consequences entered into the Risk Register, to collect information and identify additional consequences, and to inform which hazards should be prioritized for safety risk assessment.

In following up on identified hazards, Chief Safety Officers may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation, and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard;
- Contact other departments that may have association with or technical knowledge relevant to the reported hazard;



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- Review any past reported hazards of a similar nature;
- Evaluate tasks and/or processes associated with the reported hazard.

Chief Safety Officers will convene, as needed, with a group of relevant internal stakeholders to discuss identified hazards and consequences. This may be completed in conjunction with monthly safety meetings, weekly leadership meetings, or ad hoc safety meetings.

Any identified hazard that poses real and immediate threat of life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the SRM process for safety risk assessment and mitigation. This means that the Chief Safety Officers believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment which would constitute a violation of EPA or Caltrans environmental protection standards. Otherwise, the Chief Safety Officers will prioritize hazards for further SRM activity.

### Safety Risk Assessment

Safety Risk Assessment defines the level or degree of the safety risk by assessing the likelihood and severity of the consequences of hazards and prioritizes hazards based on the safety risk. The Chief Safety Officers, with assistance from key staff subject matter experts such as Safety Managers, are responsible for assessing identified hazards and ratings using the safety risk matrix below. Prioritizing safety risk provides the Accountable Executive with the information needed to make decisions about resource application.

The following matrix, adopted from the TSI Participation Guide – SMS Principles for Transit, facilitates the ranking of hazards based on their probability of occurrence and severity of their outcome.

Probability Levels			
Description	Level	Specific Individual Item	Fleet 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 sometimes 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



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The measuring goes from A to F with A being frequent or likely to occur frequently and E being improbable or expected that this event will most likely never occur. The designation F is used when potential hazards are identified and later eliminated.

Severity Levels		
Description	Level	Mishap Result Criteria
Catastrophic	1	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M
Critical	2	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding \$1M but less than \$10M
Marginal	3	Could result in one or more of the following: injuries or occupational illness resulting in one or more lost workday(s), reversible moderate environmental impact, or monetary loss equal to or exceeding \$100k but less than \$1M
Negligible	4	Could result in one or more of the following: injuries or occupational illness not resulting in lost workday, minimum environment impact. Or monetary loss less than \$100k

The Safety Risk Severity Table presents a typical safety risk. It includes four categories to denote the level of severity of the occurrence of a consequence, the meaning of each category, and the assignment of a value to each category using numbers. In this table, 1 is considered catastrophic meaning possible deaths and equipment destroyed and 4 is considered negligible or of little consequence with two levels in between.

Safety Risk Probability and Safety Risk Severity are combined into the Safety Risk Index Ranking to help prioritize safety risks according to the table below.

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Safety Risk Assessment Matrix				
Severity ⇒ Probability ↓	Catastrophic 1	Critical 2	Marginal 3	Negligible 4
A-Frequent	1A	2A	3A	4A
B-Probable	1B	2B	3B	4B
C-Occasional	1C	2C	3C	4C
D-Remote	1D	2D	3D	4D
E-Improbable	1E	2E	3E	4E
F-Eliminated				
Safety Risk Index Ranking				
1A,1B,1C,2A,2B	High	Unacceptable		
1D,2C,3A,3B	Serious	Undesirable – With management decision required		
1E,2D,2E,3C,3D,3E,4A,4B	Medium	Acceptable – with review by management		
4C,4D,4E	Low	Acceptable – without review		

The Chief Safety Officers document recommendations regarding hazard rating and mitigation options and reports this information to the Accountable Executive.

### Safety Risk Mitigation

The Accountable Executive and Chief Safety Officers review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Leadership Team and from safety focused meetings and discussions. Porterville Transit can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

Prioritization of safety mitigations is based on the results of safety risk assessments. The Chief Safety Officers track and updates safety risk mitigation information in the Risk Register and reports issues. The Chief Safety Officers will also document any specific measures or activities, such as reviews, observations, or audits, that will be conducted to monitor the effectiveness of mitigations once implemented.

In the Risk Register, the Chief Safety Officers will also document any specific measures or activities, such as reviews, observations or audits that will be conducted to monitor the effectiveness of mitigations once implemented.



### 6. Safety Assurance

#### Safety Performance Monitoring and Measurement

Through our Safety Assurance process, Porterville Transit:

- Evaluates our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk,
- Assess the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended,
- Investigates safety events to identify casual factors, and
- Analyzes information from safety reporting, including data about safety failures, defects, or conditions.

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

Porterville Transit has many processes in place to monitor its entire transit system for compliance with operations and maintenance procedures, including:

- Safety audits
- Informal inspections and observations
- Check in/check out sheets
- Observation Reports
- Incident and Accident Reports
- Regular review of on-board camera footage to assess drivers and specific incidents
- Evaluations and training refreshers
- Secret Rider Evaluations
- Investigations of safety occurrences
- Daily data gathering and monitoring of data relating to the delivery of service
- Regular vehicle and facility inspections
- Regular preventative maintenance

Results from the above processes are compared against recent performance trends quarterly and annually by the Chief Safety Officers, in conjunction with the Leadership Team, to determine where corrective action needs to be taken. The Chief Safety Officers and Leadership Team enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation.

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

Porterville Transit monitors safety risk mitigations to determine if they have been implemented, and are effective, appropriate and working as intended. The Chief Safety Officers with the Leadership Team maintains a list of safety risk mitigations in the Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

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The Chief Safety Officers, with the Leadership Team, establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate Manager or Supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports, conducting job performance observations, or other activities. The Chief Safety Officers will endeavor to make use of existing processes and activities before assigning new information collection activities.

Chief Safety Officers and the Leadership Team review the performance of individual safety risk mitigations during quarterly leadership meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Chief Safety Officers will propose a course of action to modify the mitigation or take other action to manage the safety risk.

Chief Safety Officers and the Leadership Team also monitor operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations
- Monitoring employee safety and injury reporting and observation reports
- Reviewing results of internal safety audits and inspections
- Analyzing operational and safety data to identify emerging safety concerns

The Accountable Executive, Chief Safety Officers, and Leadership Team carry out and document all monitoring activities.

Describe activities to conduct investigations of safety events to identify causal factors

Porterville Transit's Operations Manual documents procedures to be followed by drivers in the event of a collision or safety issue. The Accident Reporting Procedure Training maintains documented procedures for supervisors conducting safety investigations of collisions. These procedures also reflect all traffic safety reporting and investigation requirements established by the California Vehicle Code.

The Chief Safety Officers reviews the driver and supervisor reports, in addition to photographs and video to find causal and contributing factors and review the existing mitigations in place at the time of the event.

The Chief Safety Officers may follow up with individual parties for further information. Causal factors will be documented and shared with the Accountable Executive and with leadership or ad hoc meeting members, as necessary.



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Chief Safety Officers and the Leadership Team maintain all documentation of investigation policies, processes, forms, checklists, activities, and results.

Chief Safety Officers determine whether:

- The accident was preventable, or
  - Using video footage, photos, driver statements, witness and emergency personnel statements
- The accident was non-preventable
  - Using video footage, photos, driver statements, witness and emergency personnel statements
- Personnel require discipline (including termination) or retraining,
- The causal factor(s) indicate that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

Describe activities to monitor information reported through internal safety reporting programs.

Chief Safety Officers and the Leadership Team routinely review safety data captured in employee safety reports, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officers and the Leadership Team ensure that the concerns are investigated or analyzed through the Safety Risk Management process.

The Chief Safety Officers and the Leadership Team also review internal and external reviews, including audits and assessments, with findings concerning safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

## 7. Safety Promotion

### Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Porterville Transit's safety training program applies to all City and contract employees directly responsible for safety, including:

- Vehicle operators
- Dispatchers
- Road Supervisors and Managers
- Maintenance Technicians
- Leadership and Executive Management
- Chief Safety Officer
- Accountable Executive

## Public Transportation Safety Plan

Porterville Transit dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each individual safety-related job responsibilities and their role in the SMS.

Basic training requirements for Porterville Transit employees, including frequencies and refresher training, are documented in the Employee Handbook, which include the following:

### Operations (Operators and Dispatchers)

- New-hire classroom and hands-on skill training
- Refresher and Retraining
- Classroom and on-the-job training
- Accident investigations training
- Reasonable suspicion training

### Vehicle Maintenance

- New-hire classroom and hands-on skill training
- Refresher and Retraining
- Classroom and on-the-job training
- Accident investigations training
- Reasonable suspicion training
- Hazardous material training
- Training provided by vendors

The Accountable Executive, Chief Safety Officers, and the Leadership Team must complete the FTA's SMS Awareness online training.

## Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization

Porterville Transit communicates safety and safety performance information throughout the organization by the following:

- Weekly Tailgate Driver Meetings
- Monthly Driver Meetings
- Annual Safety Awards Meeting
- Safety Training
- Safety Bulletin Boards
- Posters
- Pre-Shift Briefing Sessions
- Bulletins and Information Flyers Posted in the Buses and Transit Centers

**8. Additional Information**



## Public Transportation Safety Plan

### 9. Glossary of Terms

Term	Definition
<b>Accident</b>	Accident means an Event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause. (per § 673.5)
<b>Accountable Executive</b>	<p><b>§ 673.5 Definitions</b> – Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency’s Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency’s Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the agency’s Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.</p> <p><b>§ 673.23(d)(1)</b> – The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the agency’s SMS is effectively implemented throughout the agency’s public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency’s SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency’s safety performance cannot be delegated and always rests with the Accountable Executive.</p> <p>Each transit agency must identify an Accountable Executive within its organization who ultimately is responsible for carrying out and implementing its Safety Plan. A State that drafts a plan on behalf of another recipient or sub-recipient is not the Accountable Executive.</p>
<b>Chief Safety Officer/SMS Executive</b>	<p><b>§ 673.31 Definitions</b> – 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.</p> <p>Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.</p>

## Public Transportation Safety Plan

Term	Definition
	<b>§ 673.23(d)(2)</b> – The Accountable Executive must designate a Chief Safety Officer or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of an agency’s SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive.
<b>Consequence</b>	Consequences are outcomes or what those conditions can cause. Transit agencies should assess the likelihood and severity of the <i>consequences</i> of a hazard, not of the hazard itself (per <b>§ 673.5</b> )
<b>Event</b>	Event means any Accident, Incident, or Occurrence. (per <b>§ 673.5</b> )
<b>Fatalities</b>	Deaths, excluding suicides or trespassers
<b>Hazard</b>	Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment. Hazards are conditions. (per <b>§ 673.5</b> )
<b>Incident</b>	Incident means an Event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency. (per <b>§ 673.5</b> )
<b>Injuries</b>	Not including assaults or injuries due to crimes
<b>Occurrence</b>	Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency. (per <b>§ 673.5</b> )
<b>Performance Target</b>	Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA). (per <b>§ 673.5</b> )
<b>Safety Event</b>	Reportable derailments, collisions, fires, and evacuations.
<b>Safety Performance Target</b>	Safety performance target means a Performance Target related to safety management activities. (per <b>§ 673.5</b> )
<b>Serious Injury</b>	Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface. (per <b>§ 673.5</b> )