# SonomaCountyTransit

## Agency Safety Plan

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## 1. Transit Agency Information

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| **Transit Agency Name** | Sonoma County Transit |
| **Transit Agency Address** | 355 W. Robles Avenue, Santa Rosa, CA 95407 |
| **Name and Title of Accountable Executive** | Bryan Albee, Transit Systems Manager |
| **Name of Chief Safety Officer or SMS Executive** | Jodi Curtis, Transit Specialist II |

| **Mode(s) of Service Covered by This Plan** | Bus | **List All FTA Funding Types (e.g., 5307, 5337, 5339)** | 5307, 5311 |
|---|---|---|---|

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|---|---|
| **Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)** | Sonoma County Transit (SCT) operates bus service throughout Sonoma County. SCT operates 28 fixed-route intercity/local routes on Weekdays, 11 intercity/local routes on Saturdays, 5 intercity routes on Sundays, and ADA complementary paratransit service. |

| **Does the agency provide transit services on behalf of another transit agency or entity?** | Yes ☐ | No ☒ | **Description of Arrangement(s)** | NA |
|---|---|---|---|---|

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| **Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided** | NA |

## 2. Plan Development, Approval, and Updates

| **Name of Entity That Drafted This Plan** | Sonoma County Transit | |
|---|---|---|
| **Signature by the Accountable Executive** | **Signature of Accountable Executive** | **Date of Signature** |
| | | |
| **Approval by the Board of Directors or** | **Name of Individual/Entity That Approved This Plan** | **Date of Approval** |

| an Equivalent Authority | Sonoma County Board of Supervisors | 06-09-2020 |
|---|---|---|
| | **Relevant Documentation (Title and Location)** | |
| | | |
| **Certification of Compliance** | **Name of Individual/Entity That Certified This Plan** | **Date of Certification** |
| | Bryan Albee, Transit Systems Manager | 04-22-2020 |
| | **Relevant Documentation (Title and Location)** | |
| | Certifications and Assurances for SCT submitted in TrAMS – category 08 – Public Transportation Agency Safety Plan | |

| **Version Number and Updates** | | | |
|---|---|---|---|
| *Record the complete history of successive versions of this plan.* | | | |
| **Version Number** | **Section/Pages Affected** | **Reason for Change** | **Date Issued** |
| 1.0 | NA | Initial Release of Plan | 04-22-2020 |
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| **Annual Review and Update of the Agency Safety Plan** |
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| *Describe the process and timeline for conducting an annual review and update of the ASP.* |
| The Agency Safety Plan will be updated on an as-needed basis to remain relevant to current operations and conditions and the purpose of the Plan.  In addition, an annual review of the Agency Safety Plan will be conducted by the Accountable Executive, SMS Executive, SMS leadership and executive management at the end of each fiscal year.  The annual review will be completed by July 31.  During the annual review, if changes are necessary, SCT will revise the Agency Safety Plan and training to reflect the changes.  SCT's Accountable Executive will annually certify  the SMS in compliance with 49 C.F.R. Part 673. |

# 3. Safety Performance Targets

| Safety Performance Target | | | | |
|---|---|---|---|---|
| *Specify performance Targets based on the safety performance measures established under the National Public Transportation Safety Plan.* | | | | |
| **Mode of Transit Service: Bus** | **Safety Performance Measure** | **Agency Definition** | **Total Number Per Fiscal Year\*** | **Rate Per Total Vehicle Revenue Miles Per Fiscal Year\*** |
| | Fatalities | | **0** | **0** |
| | Injuries | Any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene. | Fixed Route 1<br><br>Paratransit 0 | Fixed Route 0.06<br><br>Paratransit 0 |
| | Safety Events | A collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or OSONOC occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds. | Fixed Route 2<br><br>Paratransit 0 | Fixed Route 0.13<br><br>Paratransit 0 |
| | System Reliability | Miles Between Mechanical System Failures | Fixed Route 25,000<br><br>Paratransit 60,000 | N/A |

**\*Safety Performance targets are based on 5-year averages reported by SCT in the National Transit Database**

| Safety Performance Target Coordination | | |
|---|---|---|
| *Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.* | | |
| SCT will communicate safety performance targets to Caltrans Division of Rail and Mass Transit (Caltrans) and the Metropolitan Transportation Commission (MTC). Safety performance targets will be sent to Caltrans and MTC following the agency's annual review of the Agency Safety Plan. This will occur annually prior to September 30. . | | |
| **Targets Transmitted to the State** | **State Entity Name** | **Date Targets Transmitted** |
| | Caltrans | Upon annual approval of plan and by September 30. |

| Targets Transmitted to the Metropolitan Planning Organization(s) | Metropolitan Planning Organization Name | Date Targets Transmitted |
|---|---|---|
| | MTC | Upon annual approval of plan and by September 30. |
| | | |

## 4. Safety Management Policy

**Safety Management Policy Statement**

*Use the written statement of safety management policy, including safety objectives.*

Sonoma County Transit (SCT) is committed to plan and deliver bus transit service in ways that promote health and safety of its customers, its employees, and the general public. This policy outlines SCT's safety commitment, consistent with current federal regulations (49 U.C. Code § 5329), and develops a Public Transportation Safety Plan (PTASP) based on the Safety Management Systems approach. This policy complies with the July 19, 2018, Federal Transit Administration (FTA), Public Transportation Agency Safety Plan Final Ruling.

All levels of management and all employees (agency and contract) are accountable for the delivery of the highest level of safety performance, starting with the Transit Systems Manager.

SCT's commitment is to:

- Clearly define for all staff and contractors, their responsibilities in carrying out SCT's safety management system;
- Communicate the priority of safety management among the responsibilities of all staff and contractors and their respective staff;
- Establish and conduct safety risk evaluation activities that include an employee safety reporting program in an effort to eliminate or mitigate safety risks;
- Ensure that no action will be taken against any employee (agency or contract) who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, an illegal act, gross negligence, or a deliberate or willful disregard of regulations and procedures;
- Ensure that all staff is sufficiently skilled and trained to implement safety management processes;
- Ensure that all staff are provided with adequate safety-related information and training;
- Establish and measure SCT's safety performance against realistic safety performance targets.

_____        4.22.2020
Bryan Albee, Transit Systems Manager                    Date

**Safety Management Policy Communication**

*Describe how the safety management policy is communicated throughout the agency. Include dates where applicable.*

Sonoma County Transit's Safety Management Policy Statement is communicated to all employees, contractors and the Board of Supervisors. The statement was given to the Sonoma County Board of Supervisors at the scheduled meeting on June 9, 2020. The statement was posted on communication boards in the driver rooms, maintenance and in Sonoma County Transit's administrative office. The statement will be reviewed annually at safety meetings for all operations contractors and SCT staff.

| Authorities, Accountabilities, and Responsibilities | |
|---|---|
| *Describe the role of the following individuals for the development and management of the transit agency's Safety Management System (SMS).* | |
| **Accountable Executive** | The Transit Systems Manager (TSM) is the Accountable Executive and is accountable for ensuring the ASP is implemented effectively. Responsibilities include:<br><br>• Approving ASP plan and SMS supporting documents<br>• Approval for resources to support SMS activities, capital investments and asset management<br>• Annually certifying the ASP and SMS compliance with 49 C.F.R. Part 673<br>• Providing guidance, as necessary, to the Fixed-Route and Paratransit Safety Teams on recommended actions<br>• Communicating Safety Management Policy to the Board of Supervisors and throughout agency<br>• Providing support for SMS implementation and processes |
| **SMS Executive** | The SMS Executive has the authority and responsibility for the implementation and performance of the SMS ASP. Responsibilities include:<br><br>• Providing and maintaining SMS Documentation<br>• Managing safety risk management activities<br>• Reporting to the Accountable Executive on SMS<br>• Reviewing the ASP with the Accountable Executive and executive management on an annual basis<br>• Assisting with safety training<br>• Sending safety performance targets to Caltrans and MTC as required annually<br>• Ensuring communication of the Safety Management Policy throughout SCT<br>• Ensuring follow-up information on identified safety concerns is communicated through the appropriate channels |
| **Agency Leadership and Executive Management – Fixed-Route Contractor – Currently Transdev** | **General Manager**<br>• Oversight and participation in identifying safety concerns and hazards<br>• Assessing and mitigating risk through safety risk management<br>• Oversight of employee safety reporting program; communication of program administrative employees<br>• Ensuring appropriate safety training is provided for all employees<br>• Reporting safety target performance data to the SMS Executive<br><br>**Safety Manager**<br>• Identifying safety concerns and hazards<br>• Assessing and mitigating risk through safety risk management<br>• Providing appropriate safety training for all employees<br>• Maintaining Safety Communications throughout facility with current SMS information<br>• Communicating employee safety reporting program to all operations and maintenance employees<br>• Reporting safety target performance data to General Manager<br><br>**Maintenance Manager**<br>• Identifying safety concerns and hazards<br>• Assessing and mitigating risk through safety risk management<br>• Ensuring safety devices are properly maintained and that all maintenance personnel are trained in their use |

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|---|---|
| **Agency Leadership and Executive Management – Paratransit Contractor (Operations Only, Paratransit Maintenance Services are performed by Transdev) – Currently the Center for Volunteer and Non-Profit Leadership (CVNL).** | **Director**<br>• Oversight and participation in identifying safety concerns and hazards<br>• Assessing and mitigating risk through safety risk management<br>• Oversight of employee safety reporting program; communication of program to all employees<br>• Providing appropriate safety training for all employees<br>• Maintaining Safety Communication Message Board with current SMS information<br>• Reporting safety performance target data to the SMS Executive<br>• Ensuring every accident/incident is investigated and documented<br>• Reporting safety target performance data to the SMS Executive |
| **Key Staff – Fixed-Route Contractor** | The **Operations Manager** and **Administrative Manager** are key staff in identifying safety concern and hazards as well as assessing and mitigating risk through the safety risk management process.<br>**Fixed Route Safety Team (FRST)** – The FRST members include the SMS Executive, Operations Manager, Safety Manager, Maintenance Manager, and Dispatcher(s). The FRST is a key component in ensuring the safety of the employees and the public.  The FRST addresses safety concerns and hazards reported through the contractor safety committee and the employee reporting program, generate/review contractor responses and action plans for those concerns and communicates that information through the appropriate channels.  FRST members also identify safety concerns and hazards and address those through the safety risk management process.  The SMS Executive will review minutes of FRST meetings with the Accountable Executive on a monthly basis to discuss recommendations and actions determined necessary by FRST. |
| **Key Staff – Paratransit Contractor** | The **Office Manager** and **Human Resources Manager** are key staff in identifying safety concern and hazards as well as assessing and mitigating risk through the safety risk management process.<br>**Paratransit Safety Team (PST)** – The PST members include the SMS Executive, Director, Office Manager, Maintenance Manager. The PST is a key component in ensuring the safety of the employees and the public. The PST addresses safety concerns and hazards reported through the contractor safety committee and the employee reporting program, generates responses and action plans for those concerns and communicates that information through appropriate channels.  PST members also identify safety concerns and hazards and address those through the safety risk management process. The SMS Executive will review minutes of PST meetings with the Accountable Executive on a monthly basis to discuss recommendations and actions determined necessary by PST.<br>**All Employees will**:<br>• Participate in the Safety Program<br>• Follow all agency policies, procedures and safe work practices when performing tasks<br>• Inspect all tools and equipment prior to use to ensure safe working condition<br>• Report any unsafe conditions or practices and follow remedy when given<br>• Report any incidents, accidents, injury or illness to the appropriate manager |

**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).*

Any employee (agency or contract) who identifies an unsafe condition or hazard is expected to remedy the situation if it is safe to do so and within their authority. Immediate hazards that may be life threating or may cause serious injury must be immediately reported to a supervisor/manager. For safety concerns and hazard identification, SCT has developed various employee safety reporting programs.

**Operations**

- **NearMiss and Hazard Reporting**

SCT currently contracts with Transdev for its maintenance and fixed-route operation of services, and CVNL for its ADA paratransit operation. All agency and contractor employees are encouraged to report anything they believe is a hazard. All employees are also encouraged to report any near-miss incidents. Employees may choose to identify themselves by name or submit the report anonymously. The program consists of:

1. If the safety or security hazard is imminent and requires immediate attention, dispatch is immediately notified. If immediate attention is not required, the employee is encouraged to report the information to management by the end of their workday. The employee completes the incident form and either places it in the suggestion box or submits it to the dispatcher/supervisor.

2. Contractor's General Manager/Director reviews the report with appropriate management, meets with employee(s) if necessary and takes immediate actions to correct the hazardous condition or unsafe work condition/practice, if warranted, including generating new/revised/updated safety rules.

3. Hazards that cannot be immediately remedied due to availability of necessary equipment, materials and/or personnel; training periods, delivery, installation, modification time; etc, protection will be provided to employees who need it during the correction of the hazard process.

4. Contractor's Safety Manager or Operations Manager must note any corrective action taken, or why no action was taken, and submit a copy to the General Manager and employee. The employee has the right to appeal the outcome by submitting the required form to the General Manager. The Paratransit contract Director or Office Manager must note any corrective action taken, or why no action was taken, and submit a copy to the Human Resources Manager and employee. The employee has the right to appeal the outcome by submitting the required form to the Director for review.

5. The Safety Manager for SCT's fixed-route contractor and the Director for SCT's paratransit contractor maintain a written log of hazards reported and are responsible for entering the information into SCT's Systems Safety Software. The information captured in SCT's Systems Safety Software is then reviewed, addressed and documented at the FRST or PST meetings respectively.

6. To encourage and promote Near-Miss and Hazard Reporting, recognition is given to employees who correctly follow the procedures for reporting at monthly safety meetings.

- **Threatening or Suspicious Behavior**

Sonoma County Transit and its contractors encourage anyone who sees, hears, or learns of any conduct or statement that appears threatening or suspicious, and/or weapons on company premises or in company vehicles, to immediately report such conduct or statement to his/her supervisor or manager, to the Human Resources Manager or Transdev's confidential ethics hotline at 866-850-3033.

If there is an immediate risk or threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911 or local law enforcement.

**Protections provided to reporting employee from discipline or enforcement action**

Neither Transdev nor CVNL will retaliate against nor impose any other form of punishment on any employee because of his/her good faith reporting of a safety issue/concern, another person's suspected violation of company policies or any alleged violations of federal, state, or local law.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after investigation it is determined that the incident happened due to an apparent decision, disciplinary action is required. If not, the appropriate retraining/counseling is required.

**Facilities**

1. If the employee encounters and unsafe work condition, the employee is encouraged to report the information to management by the end of their workday.  The employee completes the incident form and either places it in the safety inbox or submits it to the Administrative/Human Resources Manager.

2. Contract General Manager/Director reviews the report with appropriate management, meet with the employees if necessary and can take immediate action to correct the unsafe work condition or unsafe work condition/practice, including generating safety rules.

3. Hazards that cannot be immediately remedied due to availability of necessary equipment, materials and/or personnel; training periods, delivery, installation, modification time; etc, protection will be provided to employees during correction of the hazard process.

4. Fixed-route contractor's  Safety Manager or Operations Manager note any corrective action taken, or why no action was taken, and submits a copy to the General Manager and employee.  The employee has the right to appeal the outcome by submitting the required form to the General Manager.
Paratransit contractor's Director or Office Manager note any corrective action taken, or why no action was taken, and submits a copy to the Human Resources Manager and employee.  The employee has the right to appeal the outcome by submitting the required form to the Director for review

5. The Safety Manager for SCT's fixed-route contractor and the Director for SCT's paratransit contractor are responsible for entering the information into SCT's Systems Safety Database and uploading a copy of the employee report.  The information captured in SCT's Systems Safety Database is then reviewed, addressed and documented at the FRST or PST meetings respectively.

If there is an immediate risk or threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911 or local law enforcement.

# 5. Safety Risk Management

> **Safety Risk Management Process**
>
> *Describe the Safety Risk Management process, including:*
>
> - *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*
>
> - *Safety Risk Assessment: The methods or processes to assess the safety risks 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.*

**Safety Hazard Identification**

The goal of SCT's safety program is to identify and mitigate hazards before they result in a safety issue. A hazard is defined as 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. For training purposes, employees are trained that a hazard is a real or potential condition; can cause a consequence; not an event (an accident, incident or occurrence). A hazard that is identified through SCT's programs, procedures or forms, is evaluated for potential consequences through the risk assessment process and the information is entered into SCT's Systems Safety Database. The programs and procedures used for safety hazard identification include the following:

**1. Employee Safety Reporting Program**

Using the employee safety reporting program, employees are encouraged to report anything deemed to be a hazardous condition or unsafe practice that may cause injury to people, property or the environment. All injuries, accidents and near misses are to be reported. Employees are also encouraged to submit suggestions to improve safety in the workplace. All hazards identified through the employee safety reporting program, and their potential consequences, are entered into SCT's Systems Safety Database.

**Operations**

Each employee, upon hiring, is given a copy of the Safety Management Policy Statement and employee safety reporting program, as well as receives training on New Miss and Hazard Identification and Reporting. Additional training is also given at each safety meeting when recognition is given to employees who have demonstrated correct procedures in Near Miss and Hazard Reporting.

**Facilities**

Each employee, upon hiring, is given a copy of the Safety Management Policy Statement and employee safety reporting program, as well as receives training in reporting of unsafe working conditions.

**2. Facility Inspection**

SCT's Contractor Management Teams are responsible for overseeing periodic inspections of facilities and equipment in order to identify hazards on a proactive basis. Hazards identified through these inspections, as well as their potential consequences, are entered into SCT's Systems Safety Database.

- **Daily Safety Walkthrough and Checklist**

A routine safety walkthrough, performed daily, to identify hazardous conditions at the facility and to notify employees of any hazards identified and mitigations in place to prevent employees from injury. All identified hazards, potential consequences and corrective actions noted on this walkthrough is entered into SCT's Safety Database. The Daily Safety Walkthrough covers the operations and maintenance buildings, any outbuildings as well as the bus yard and employee parking lot. SCT's Daily Safety Walkthrough Checklist must be completed by manager performing task.

- **Facility Plan**

The schedule for daily, weekly, monthly, quarterly and annual facility inspections is included in SCT's Facility Plan. All hazards identified, their potential consequences, and corrective actions taken, are noted in the facility inspections are entered into SCT's Systems Safety Database.

- **Maintenance Plan**

Transdev's Maintenance Plan defines the schedule for preventative equipment and vehicle inspections. All hazards identified, their potential consequences, and corrective actions taken, are noted in the facility inspections are entered into SCT's Systems Safety Database.

### 3. On-Board Video Technology

On-board video technology has been in place on SCT's fleet since 1996. It has proven itself to be a valuable asset throughout the years to assist with identifying potential sources of hazards in SCT's operations, including unsafe driver behaviors, operating environments, road conditions, changing configurations, vehicle handling and use of defensive driving techniques. The purpose of this technology is to provide proactive information regarding unsafe behaviors and identification of hazards. Unsafe behaviors identified through this technology will be handled according to the CBA or contractor policy which can include coaching, retraining and possible disciplinary measures. Through monitoring this technology, if hazards and their potential consequences are identified, these will be entered into SCT's Systems Safety Database.

### 4. Incident Reports

Employees document incidents that occur on the road, on the bus, or at the facility using Incident Reports. Incident Reports are for reporting any of the following: passenger slips and falls on or near vehicle, the need to call local authorities for assistance, removal of passenger, injury to employee, any combination of disputes between employee, passenger, motorists, operator/passenger victim of assault/theft, intoxicated passenger, vandalism to bus, missed passenger, object struck bus, off-route, full bus, environmental issue, other. All incidents must be reported to dispatch immediately. If in doubt, operators are required to immediately contact dispatch.

Maintenance and administration employees document blood borne pathogen incidents that occur on the road, on the bus or at the facility.

If a hazard or safety concern is reported, this information is entered into SCT's Systems Safety Database. SCT's Transit Systems Manager received a monthly report on all operational incident reports.

### 5. Security Incident Report

A Security Incident Report is for incidents that occur on SCT property. Security Incident Reports are for reporting the any of the following: burglary, arson, aggravated assault, forcible rape, homicide, breaking or entering, larceny/theft, robbery, alcohol/drunkenness, bomb threats, drunk driving, fighting, kidnapping, narcotics, sexual offenses, suspicious activity, trespassing, vagrancy/loitering, vandalism, weapons, medical assistance, sleepers/campers, other. All hazards, their potential consequences and corrective action is entered into SCT's Systems Safety Database.

### 6. Accident Reports

**Operations**

Accidents are defined as any collision that occurs while an operator is on duty. Operators are to immediately report all accidents and collisions to dispatch. Accident Report Forms must be completed by the operator involved and the responsible Contractor management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not late than 24 hours after incident occurred. Any vehicle defects that may have contributed to an accident must be included in the report. Contractor management responds to the accident scene to ensure appropriate action is taken for safety and security of employees and SCT's passengers; and that the necessary information is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident recurring.

**Facilities**

Occupational Incident/Injury/Illness Report

All employees are required to immediately report and document accidents, incidents and occurrences. The Occupational Incident/Injury/Illness Report is used to investigate these events and a root cause analysis will be documented during the investigation.

All hazards, their potential consequences and corrective action taken from the accident investigation is entered into SCT's Systems Safety Database.

### 7. Data and Information Provided by Oversight Authority and Federal Transit Administration (FTA)

SCT will monitor data and information provided by an oversight authority and FTA for any identified hazards and safety concerns. If application to SCT, SCT will enter the information into SCT's Systems Safety Database.

## Safety Risk Assessment

### SCT Safety Software

SCT's Systems Safety Database is used to assist with safety risk assessment. Once a hazard is identified, a report is created to measure and analyze the safety risk. The report is saved in the Systems Safety Database. All related details are reported as well. The risk probability and risk severity are determined, taking into account existing mitigations. A risk assessment is generated based on the Risk Assessment Matrix. Risk impact, response and response strategy are all documented. The information is then shared with the FRST or PST, respectively. After approval of the proposed

mitigation, steps are taken to implement. A follow-up of the safety risk and its corrective actions is conducted to ensure reduction of severity or elimination of the safety risk.

1. **Risk Probability**

Risk Probability is defined as the likelihood that the consequence of the hazard might occur, considering the worst, foreseeable but credible, condition. Determination of risk probability must take into account existing mitigations. The subjective measure is ranked as follows:

A. **Frequent** – Will occur frequently in the life of an item; continuously experience in fleet/inventory

B. **Probable** – Will occur several times in the life of an item; will likely occur in fleet/inventory

C. **Occasional** – Likely to occur sometimes in the life of an item; will occur several times in fleet/inventory

D. **Remote** – Unlikely but possible to occur in life of an item; unlikely, but can be expected to occur in fleet/inventory

E. **Improbable** – so unlikely, occurrence may not be experienced; unlikely, but possible to occur in fleet/inventory

F. **Eliminated** – Risk removed/eliminated; will not occur in fleet/inventory

| | Probability Level | Likelihood of event | Occurrence Description |
|---|---|---|---|
| a | Frequent | Will occur frequently | Continuously experience |
| b | Probable | Will occur several times | Will likely occur |
| c | Occasional | Likely to occur sometimes | Will occur several times |
| d | Remote | Unlikely but possible to occur | Unlikely, but can be expected to occur |
| e | Improbably | So unlikely, occurrence may not be experienced | Unlikely to occur, but possible |
| f | Eliminated | Risk removed/eliminated | Will not occur |

2. **Risk Severity**

Risk Severity is defined as the anticipated effects of a consequence of the hazard, should it materialize. Risk Severity is a subjective assessment of the potential damage of the consequence of the hazard under the worst, foreseeable but credible, condition. Assessment of risk severity must take into account existing mitigations. Risk severity is categorized as follows:

1. **Catastrophic –** Death or system loss

2. **Critical –** Severe injury, sever occupational illness, or major system damage

3. **Marginal –** Minor injury, minor occupational illness, or minor system damage

4. **Negligible –** Less than minor injury, less than minor occupational illness, or less than minor system damage

| Severity | 1.Catastrophic | 2.Critical | 3.Marginal | 4.Negligible |
|---|---|---|---|---|
| Injury | Death | Severe Injury | Minor Injury | Less than Minor Injury |
| Occupational Illness | Death | Severe Occupational Illness | Minor Occupational Illness | Less than Minor Occupational Illness |
| Service/Operation | System Loss | Major System Damage | Minor System Damage | Less than Minor System Damage |

3. **Risk Assessment Matrix**

The Risk Assessment Matrix calculates the risk level based on the risk probability and severity analysis. The risk assessment enables SCT to evaluate the acceptability of the safety risk and prioritize safety risk mitigation efforts.

**1. High**

**2. Serious**

**3. Medium**

**4. Low**

**5. Eliminated**

| SCT Risk Assessment Matrix | | SEVERITY | | | |
|---|---|---|---|---|---|
| | | 1.Catastrophic | 2.Critical | 3.Marginal | 4.Negligible |
| PROBABILITY | a. Frequent | High (1a) | High (2a) | Serious (3a) | Medium (4a) |
| | b. Probable | High (1b) | High (2b) | Serious (3b) | Medium (4b) |
| | c. Occasional | High (1c) | Serious (2c) | Medium (3c) | Low (4c) |
| | d. Remote | Serious (1d) | Medium (2d) | Medium (3d) | Low (4d) |
| | e. Improbable | Medium (1e) | Medium (2e) | Medium (4e) | Low (4e) |
| | f. Eliminated | Eliminated | | | |

**Resolution Requirements**

| High | Unacceptable | Correction required |
|---|---|---|
| Serious | Undesirable | Correction may be required, decision by management |
| Medium | Acceptable w/review | With review and documentation by management |
| Low | Acceptable | Without review |
| Eliminated | Acceptable | No action needed |

**4. Risk Assessment**

Risk impact describes the effects or consequences of the risk associated with the hazard.

**5. Risk Response**

Risk response strategies are the approaches SCT can take to manage the risk associated with the hazard. Risk response is categorized as follows:

**1. Acceptance –** Accept the consequences of the hazard

**2. Avoidance –** Avoid the consequences of the hazard

**3. Contingency –** Backup solution to reduce the likelihood and/or severity of consequences of the hazard.

**4. Mitigation –** Solution to reduce the likelihood and/or severity of consequences of the hazard.

**5. Transfer –** Shift the consequences of the hazard from one party to another.

**Safety Risk Mitigation**

It is SCT's goal to reduce the safety risk associated with an identified hazard to the lowest level possible. SCT's working environment contains some hazards that are impossible to eliminate as well as some that are extremely impractical to eliminate. Achieving a reduction in risk can be accomplished in many different ways. However, there are some hazards that present an unacceptable risk requiring elimination. The risk severity is determined using the Risk Assessment Matrix above. The matrix illustrates the safety risk levels of acceptable, down to unacceptable.

Elimination or reduction of hazards with safety risk in the highest or serious risk category in the Risk Assessment Matrix, occurs until the hazards are in a lower risk category and acceptable.

**Approach to Hazard Elimination and Mitigation**

If the safety risk associated with an identified hazard requires correction, mitigation efforts will occur. Risk mitigation is a solution that reduces the likelihood and/or severity of consequences of the hazard. If mitigation is needs, SCT will meet with the FRST or PST, respectively to determine the response to the risk. If the identified hazard is identified in the high, serious or medium risk category, the proposed risk mitigation is presented to the TSM who may accept, modify or reject the recommendation. If determined by the TSM that changes are necessary, the FRST or PST will further analyze and

present other actions until final approval by the TSM. Referral of the approved risk response strategy is then implemented by the proper department. After implementation, the safety risk is re-evaluated by the FRST or PST for acceptability or need for further mitigation.

# 6. Safety Assurance

**Safety Performance Monitoring and Measurement**

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

SCT monitors the system for compliance with procedures for operations and maintenance per the procedures listed below.

**OPERATIONS:**

**On-Board Video Technology**

On-board video technology has been in place on SCT's fleet since 1996. It has proven itself to be a valuable asset throughout the years to assist with identifying potential sources of hazards in SCT's operations, including unsafe driver behaviors, operating environments, road conditions, changing configurations, vehicle handling and use of defensive driving techniques. This technology is used in retraining, coaching and, if necessary, disciplinary actions. If monitoring this technology identifies hazards and/or insufficient procedures, these will be evaluated through the Safety Risk Management Process

**Ride Alongs / Trailings**

Operation's monitor operator performance through ride-alongs as well as trailing. If monitoring documents that employees are not following procedures, operations will address the non-compliance. If monitoring identifies hazards or insufficient procedures, these will be evaluated through the Safety Risk Management Process.

**MAINTENANCE:**

**Road Calls and Vehicle Break Downs**

Through the process of monitoring road calls and vehicle break downs, maintenance and operations monitor employee's compliance with procedures. If monitoring documents that employees are not following procedures, operations will address the non-compliance. If monitoring identifies hazards or insufficient procedures, these will be evaluated through the Safety Risk Management Process.

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

SCT monitors operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended per the information below:

**Employee Reporting Program and Fixed-Route and Paratransit Safety Teams (FRST & PST)**

Information collected through the Employee Reporting Program is reviewed and monitored by the FRST or PST, respectively. The safety teams address safety concerns and hazards reported through the contractor safety committee and the employee reporting program, generate responses and action plans for those concerns and communicates that information through the appropriate channels. If it is noted that a risk mitigation is ineffective, then the hazards will be evaluated through the Safety Risk Management Process again. If it is noted that the risk mitigation is inappropriate, a new mitigation will be developed under the Safety Risk Management Process. It if is noted that the risk mitigation was not implemented, then non-compliance will be addressed.

*Describe activities to conduct investigations of safety events, including the identification of causal factors.*

SCT conducts investigations of safety events, including the identification of causal factors. A safety event is defined as any accident, incident or occurrence. Investigations follow the procedures outlined below:

**Operations**

An injury, collision or incident that occurs is investigated to determine whether it was preventable or non-preventable. Investigation include all instances where:

- A person was injured (employee, passenger, etc)
- A vehicle was damaged
- Property was damaged

Management reviews the event data and determines if the accident/incident was preventable or non-preventable, identifying causal factors, if any. Once causal factors are identified, the hazards will be evaluated through the Safety Risk Management process. Information collected through this process will be used to in other Safety Assurance procedures.

**Facilities**

Occupational Incident/Illness Report

All employees are required to immediately report and document all accidents, incidents and events. The report is used to investigate these occurrences and determine causal factors. Once causal factors are identified, the hazards will be evaluated through the Safety Risk Management process. Information collected through this process will be used to in other Safety Assurance procedures.

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

SCT monitors information reported through internal safety reporting programs as outlined below:

**Employee Reporting Program and Fixed-Route and Paratransit Safety Teams (FRST & PST)**

Information collected through the Employee Reporting Program is reviewed and monitored by the FRST or PST, respectively. The safety teams address safety concerns and hazards reported through the contractor safety committee and the employee reporting program, generate / reviews contractor responses and action plans for those concerns and communicates that information through the appropriate channels. Safety team members also monitors risk mitigations to ensure effectiveness. Safety concerns and hazards are addressed through the safety risk management process.

# 7. Safety Promotion

**Competencies and Training**

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

Safety information and training is provided to all agency employees as well as contractors directly responsible for safety.
**Safety Training Program for Fixed-Route Contractor**

### Overview

Safety training is conducted on facilities, equipment, and vehicles. Operating rules and standard operating procedures (SOPs) will be prepared by Transdev's Sonoma County Transit Operations and provided to all personnel. The Safety and Training Manager oversees the formulation of training programs and records. The General Manager Safety and Training Manager and Manager of Operations maintain SOPs and Rules and maintains all records, which are kept at the facility.

Transdev's Sonoma County Transit Operations periodically completes reviews and oversight activities associated with the training program. Activities or functions judged to be safety-critical may require special training and/or certification. This ongoing training is included in regular safety meetings and all documentation is also kept at the facility. Refresher training is accomplished at least annually for operations and maintenance employees and when situations related to employee performance warrant it. Emergency responders are also trained during the pre-revenue period and during drills that occur at least annually. These are also documented, and records retained at the facility.

### Employee

Safety Operations Personnel Training

All bus operators will be required to successfully have completed the Transdev's Sonoma County Transit Operations bus operation training program (Operator Development Program). This course covers Standard Operating Procedures and Operator Rules that govern the operation. New Operators are also provided Behind the Wheel training by a certified Instructor.

New Bus Operators are also evaluated by established Operators and Supervisors using an Observation Report Form. New Operators must meet all criteria satisfactorily or they receive additional training. The Safety and Training Manager, on a separate occasion prior to certification, will determine whether each Operator demonstrates safe control of the revenue vehicle or needs additional training. Each Operator is certified with both written and practical testing to validate operational readiness.

Annually, each operator is given a refresher course on the rules and procedures and will recertify with written and practical testing. The re-certification may consist of one or more of the following: a quiz, a checklist, a test, and a demonstration of troubleshooting techniques. Any person who fails the annual examination is given special retraining.

Updated training materials will be developed under coordination by the Safety and Training Manager and Supervisors prior to the opening of any new bus extension or major modification to the existing routes or introduction of new vehicles. Operations personnel will be certified by either written or practical testing.

Transdev's Sonoma County Transit Operations operators are subject to periodic in-service evaluation or Operators by Route Supervisors who monitor their compliance to rules and procedures outlined in the Rule Book and SOPs. Route Supervisors shall complete a Driver Evaluation Form after completion of the in-service evaluation and will review the information in the report with the Operator. Positive reinforcement is given as warranted. Operators observed violating rules or procedures may be subject to progressive discipline.

Transdev's Sonoma County Transit Operations will maintain a Rule Violation Log that chronicles violations each month and administers all disciplinary actions, retraining, re-instructions, and determines the consequence of any rule violations.

Supervisors are provided training periodically and receive Operational Safety Leadership courses on-line through a Transdev's Sonoma County Transit Operations E-Learning portal.

### Maintenance Personnel Training

Maintenance requirements, methods, and procedures for the facility equipment and systems will be described in manuals, handbooks, and other documentation developed for the training and certification of maintenance personnel. Use of personal protective equipment, emergency equipment, and safety instructions are included within the training program.

Maintenance personnel are required to operate buses, heavy equipment, or other specialized vehicles/equipment/apparatus and will be certified by both written and practical testing to document the employee's knowledge of safety and operating procedures and skill in the proper and safe operation and procedures. Annually, each employee will re-certify in the proper and safe use of the equipment/vehicles with written and practical testing. Any person who fails the annual examination will be given special retraining.

### Safety Training

Safety information on approved methods and procedures are used in manuals, handbooks, and other documentation developed for the training and certification of operators and maintenance personnel. Identification of protective devices and emergency equipment are included in the training documentation and instruction. In addition, safety posters and notices are used, as appropriate, to enhance awareness during all phases of system operations. Proficiency demonstrations and certifications are required of all operators and maintenance personnel. Safety concerns are incorporated in briefings given to personnel prior to their working with hardware or facilities. The Safety and Training Manager will make reviews of the safety training program every six months to ensure training materials and programs remain consistent with employee needs.

### Emergency Response Personnel Training

Training to familiarize fire, police, and emergency service personnel with facility requirements is coordinated through and conducted by Transdev's Sonoma County Transit Operations. Emergency preparedness and response drills are developed by Transdev's Sonoma County Transit Operations. Training classes, drills, and after-action reviews are then conducted with emergency service personnel and AGENCY personnel to:

- Ensure the adequacy of emergency plans and procedures
- Ensure readiness of the Transdev's Sonoma County Transit Operations' personnel to perform under emergency conditions
- Ensure effective coordination between the Transdev's Sonoma County Transit Operations and emergency response personnel and outside agencies.

### Contractor Safety

Contractors, not part of operations activities associated with the facility must seek approval, in writing, from Transdev's Sonoma County Transit Operations to perform work on property and infrastructure.

Transdev's Sonoma County Transit Operations must ensure the requesting party abides by location safety requirements. Requirements include but are not limited to: reflective safety vests, safety signaling to operators, and an understanding of all unsafe conditions. Transdev's Sonoma County Transit Operations may require contractors to attend safety classes prior to approval and issuance of an Access Permit; this requirement depends on the work request. Transdev's Sonoma County Transit Operations will determine which contractors shall attend such classes and receive certification prior to the approval and issuance of an Access Permit when necessary.

### Record Keeping

Personnel records of all training activity by employees are maintained by Transdev's Sonoma County Transit Operations.

### Compliance with Training Requirements

The internal audit process includes the means of determining that all necessary training is conducted and documented including the proper qualification of operating and maintenance personnel. Training materials, testing, and grading processes are reviewed and evaluated for completeness and accuracy.

The audit process is guided by the following criteria related to training compliance:

- Identify training requirements for all personnel related to safety. This encompasses initial and refresher training of procedures, equipment uses, and manufacturers' training. Also reviewed is retraining requirements identified due to accident or incident investigations.
- Review all training programs identified for safety adequacy.
- Assess the effectiveness of the training programs and on-the-job experience by the conducting emergency scenarios, drills, audits, and evaluations. These job evaluations are based on job performance, statistical trends, and public feedback.
- Review employee performance, including employee records and conduct in-person interviews to confirm technical knowledge and issues.
- Evaluate training provided to operations personnel and emergency response personnel when substantive operational changes are made, or with the introduction of new equipment, facilities, or specialty vehicles

## Safety Training Program for Paratransit Contractor

### Overview

Safety training is conducted on facilities, equipment, and vehicles. Operating rules and standard operating procedures (SOPs) will be prepared by CVNL's Sonoma County Paratransit Operations and provided to all personnel. The Director oversees the formulation of training programs and records. The Director and Human Resources Manager, and Office Manager maintain SOPs and Rules and maintains all records, which are kept at the paratransit facility.

CVNL's Sonoma County Paratransit Operations periodically completes reviews and oversight activities associated with the training program. Activities or functions judged to be safety-critical may require special training and/or certification. This ongoing training is included in regular safety meetings and all documentation is also kept at the paratransit facility. Refresher training is accomplished at least annually for operations employees and when situations related to employee performance warrant it. These are also documented, and records retained at the paratransit facility.

### Employee

Safety Operations Personnel Training

All bus operators will be required to successfully have completed the CVNL's Sonoma County Paratransit Operations bus operation training program.  This course covers Standard Operating Procedures and Operator Rules that govern the operation. New Operators are also provided Behind the Wheel training by a qualified Instructor.

New Bus Operators are also evaluated by established Lead Drivers and the Director using an Observation Report Form. New Operators must meet all criteria satisfactorily or they receive additional training. The Director, on a separate occasion prior to certification, will determine whether each Operator demonstrates safe control of the revenue vehicle or needs additional training. Each Operator is certified with both written and practical testing to validate operational readiness.

Updated training materials will be developed under coordination by the Director prior to the opening of any extension or major modification to the existing service area or introduction of new vehicles. Operations personnel will be certified by either written or practical testing.

CVNL's Sonoma County Paratransit Operations operators are subject to periodic in-service evaluation by Lead Drivers or the Director who monitor their compliance to rules and procedures outlined in the Rule Book and SOPs. Lead Drivers or the Director shall complete a Driver Evaluation Form after completion of the in-service evaluation and will review the information in the report with the Operator. Positive reinforcement is given as warranted. Operators observed violating rules or procedures may be subject to progressive discipline.

**Safety Training**

Safety information on approved methods and procedures are used in manuals, handbooks, and other documentation developed for the training and certification of operators and maintenance personnel. Identification of protective devices and emergency equipment are included in the training documentation and instruction. In addition, safety posters and notices are used, as appropriate, to enhance awareness during all phases of system operations. Proficiency demonstrations and certifications are required of all operators. Safety concerns are incorporated in briefings given to personnel prior to their working with hardware or facilities. The Director will make reviews of the safety training program every six months to ensure training materials and programs remain consistent with employee needs.

**Record Keeping**

Personnel records of all training activity by employees are maintained by CVNL's Sonoma County Transit Operations.

## Safety Communication

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

**Safety Communication Program for Fixed-Route and Paratransit Contractor**

Sonoma County Transit's Operations has a robust Safety Communications program consisting of:

- Monthly Safety Meetings Initiative
- Topic-specific videos, posters, bulletins addressing risk-prioritized defensive driving and injury prevention topics
- Safety Campaigns
- Local management communications
- Intranet Communications
- Safety Posters and Bulletins

# Additional Information

## Supporting Documentation

*Include or reference documentation used to implement and carry out the ASP that are not included elsewhere in this Plan.*

- Sonoma County Transit Facility Maintenance Plan. This document is located at Sonoma County Transit's Administrative Office.
- Transdev Vehicle Maintenance Plan. This document is available through Transdev's Corporate Website.

- Sonoma County Transit Injury and Illness Prevention Program. This document assists with Safety Hazard Identification and is located at Sonoma County Transit's Administrative Office.
- Transdev's Operator Development Program. This document outlines the training for all operations and maintenance personnel and is located on Transdev's intranet.
- Transdev's Safety Committee SOP. This document describes the operation of the safety committee. This is located at Sonoma County Transit's Administrative Office.
- CVNL's Operator Training Program. This document outlines the training for all operations personnel and is located at CVNL's Sonoma County office.

## Definitions of Special Terms Used in the ASP

| Term | Definition |
|------|------------|
| **Accident** | An event that involved any of the following:  a loss of life; a report of an injury to a person; a collision of public transportation vehicles valued at $5,000 or more, a disabled vehicle that is towed, an evacuation for life safety reasons. |
| **Consequence** | An effect of a hazard involving 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 |
| **Event** | Any accident, incident or occurrence. |
| **Hazard** | Any real or potential condition that can cause injury, illness, or death;  damage to or lo of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment. |
| **Hazard Analysis** | Formal activities to analyze the potential consequences of hazards during operations related to provision of services. |
| **Incident** | An event involving 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. |
| **Mechanical System Failure** | A failure of some mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns. Also includes failures of some other mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism, but, because of local agency policy, prevents the revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service. |
| **Near Miss** | An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence. |
| **Occurrence** | An event without any personal injury in which damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency. |
| **Other Safety Occurrence not Otherwise Classified** | **OSONOC**:  Other safety events not specifically listed as a Reportable Event but which meet a reportable threshold. Includes (but not limited to): slips, trips, falls, electric shock, smoke or the odor of smoke/chemicals noticed in a transit vehicle or facility. |
| **Performance Target** | 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. |
| **Risk Probability** | The likelihood that the consequence may occur, considering the worst foreseeable, credible condition. |
| **Risk** | Composite of predicted severity and likelihood of the potential effect of a hazard. |
| **Risk Impact** | The effect of consequences of the risk. |
| **Risk Mitigation** | The activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards. |
| **Safety Assurance** | The processes within a transit Agency's SMS that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information. |
| **Safety Deficiency** | A condition that is the source of hazards and/or allows the perpetuation of hazards in time. |
| **Safety Event** | A collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or OSONOC occurring on transit right-of-way, in a transit revenue |

| | facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds. |
|---|---|
| **Safety Risk Management** | A process within a transit agency's safety plan for identifying hazards, assessing the hazards, and mitigating safety risk. |
| **Safety Risk Severity** | The anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable, credible condition. |
| **Safety Management Policy** | A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety. |
| **Safety Management System (SMS)** | The formal, top down, data driven, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices and policies for managing risks and hazards. |
| **Safety Performance Target** | A performance target related to safety management activities. |
| **Safety Promotion** | A combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system. |
| **Safety Risk** | The assessed probability and severity of the potential consequence(s) of a hazard, using as a reference the worst foreseeable, but credible, outcome. |
| **Serious Injury** | 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. |
| **System Reliability** | Miles between road calls |
| **Vehicle Revenue Miles** | The miles that vehicles are schedule to or actually travel while in revenue service |

## List of Acronyms Used in the ASP

| Acronym | Word or Phrase |
|---|---|
| **ASP** | Agency Safety Plan |
| **Caltrans** | Caltrans Division of Rail and Mass Transit |
| **FRST** | Fixed-Route Safety Team |
| **FTA** | Federal Transit Administration |
| **MTC** | Metropolitan Transportation Commission |
| **OSONOC** | Other Safety Occurrence not Otherwise Classified |
| **PPE** | Personal Protective Equipment |
| **PST** | Paratransit Safety Team |
| **SCT** | Sonoma County Transit |
| **SMS** | Safety Management System |
| **TAM** | Transit Asset Management |
| **TSM** | Transit Systems Manager |

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