



Humboldt Transit Authority

Public Transit Agency

Safety Plan

(PTASP)

July 2020

Revised ~~2021~~2022

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Transit Agency Information

Transit Agency: Humboldt Transit Authority (Hereafter referred to as "Agency")

Transit Agency Address: 133 V Street, Eureka, CA 95501

Accountable Executive: Greg Pratt, General Manager

Chief Safety Officer: Sherry Dunlap, Safety & ADA Coordinator

Modes of Service Cover by this PTASP: Dial-A-Ride, Fixed Route, Commuter, and Intercity

List of FTA Funding Received: 5310 and 5311

The Agency does not provide transit services to another transit agency or service who is a recipient or sub-recipient of 5307 funds.

Plan Development, Approval, and Updates

Development

The Humboldt Transit Authority chose to develop its PTASP rather than adopt a PTASP developed by the California Department of Transportation. By signature below, the Accountable Executive confirms the development this plan.

Accountable Executive

Date Signed

Approval

The Agency Board of Directors approved this plan as so indicated by the signature of the Board of Directors' Chair on the date noted below, and as specified in Resolution #20-05, which can be found in Appendix A.

Agency Board of Directors, Natalie Arroyo

Date Signed

Certification

The Agency Plan was certified by the Humboldt Transit Authority Governing Board of Directors, on July 1, 2022 as is attested to by Resolution # 20-05 which can be viewed in Appendix A. The 2021 revision to the Agency Plan was certified by the Humboldt Transit Authority Governing Board of Directors on July ~~7, 2021~~ 6, 2022, as attested to by Resolution [SD1] which can be viewed in Appendix A.

Record of Revisions

A table that records the history of revisions made to the Agency's PTASP is contained in Appendix E [SD2] of this document. The history of the changes was placed in the appendix to help preserve the page numbering to the extent possible.

Annual Review and Update of the Public Transportation Agency Safety Plan (PTASP)

The Agency's PTASP will be reviewed by the PTASP Committee:

- Annually, each year in April.
- And when the Agency:
 - Determines its approach to mitigating safety deficiencies is ineffective;
 - Makes significant changes to service delivery;
 - Introduces new processes or procedures that may impact safety;
 - Changes or re-prioritizes resources available to support Safety Management Systems; and/or,
 - Significantly changes its organizational structure.

Revisions will be submitted to the Board at their June 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.

The Agency's PTASP Committee will consist of the Accountable Executive, Chief Safety Officer, Director of Maintenance, Operations Manager, Finance Manager, [Transit Planner](#), and Human Resources Manager.

Safety Performance Targets

The Agency will develop safety performance targets that will be reviewed and updated during the annual review. The specific performance targets are based on the safety performance measures established under the *National Public Transportation Safety Plan* and any additional performance goals set by the Agency.

Safety Performance Targets

The Agency has set the following safety performance targets to meet those specified by the National Public Transportation Safety Plan. The performance goals for reportable¹ fatalities, injuries and safety events are measured against total vehicle revenue miles per mode of transit service. Per the National Public Transportation Safety Plan, “Measuring the number of fatalities over vehicle revenue miles, by mode, provides a fatality rate from which to assess future performance.”

The System Reliability performance measure is a measure of the mean (the average) distance between major mechanical failures by mode.

Calculations will be based on May 1st to April 30th data.

Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability [SD3]
Commuter	0.0	0.0	0.0	9,700/10,500
Dial-A-Ride	0.0	0.0	0.0	25,50,000
Fixed Route	0.0	0.0	0.0	4,800
Intercity	0.0	0.0	0.0	31,000

Safety Performance Target Coordination

The California Department of Transportation, Division of Rail and Mass Transportation (DRMT), in its *2019 State Management Plan for Federal Transit Programs* encourages all direct recipients of 5307 funds to develop and certify their own PTASP. The California DRMT also states in its *2019 State Management Plan for Federal Transit Programs*, “After July 20, 2020, each agency that is required to develop a PTASP will have to certify with the FTA in their Annual Certifications and Assurances that they have met requirements of the Rule. The PTASP’s and the process employed to develop/deploy them will be audited by the FTA during each agencies [agency’s] Triennial Performance Review.”

Based on the direction provided by the DRMT, the Agency’s Board of Directors will certify its PTASP, and rely on the FTA to certify the PTASP during the Agency’s Annual Certifications and Assurances that requirements of the Rule have been met. The Agency understands that its

¹ The thresholds for “reportable” fatalities, injuries, and safety events are defined in the NTD Safety and Security Reporting Manual.

PTASP and the process employed to develop/deploy it will be audited by the FTA during the Agency's Triennial Performance Review.

Targets Transmitted to the State

Transit providers must make their SPTs available to their State and Metropolitan Planning Organizations (MPOs) (§ 673.15(a)). Transit providers also must coordinate with States and MPOs in the selection of State and MPO safety performance targets, to the maximum extent practicable (§ 673.15(b)). During this coordination process, to ensure consistency across the transportation modes represented in the state/regional planning process, States and MPOs may request that transit agencies use specific time periods for "total number" SPTs and specific VRM values for "rate" SPTs. The Chief Safety Officer will be responsible for coordinating the Agency's Safety Performance Targets with the State and appropriate Metropolitan Planning Organization (MPO).

However, since Humboldt Transit Authority does not receive 5307 funds, and they are exempt from the requirement to have a PTASP. The Agency had developed this PTASP on a voluntary basis and has chosen not to share its performance targets or the Agency's fund resources change.

Safety Management Policy

Safety Management Policy Statement [SD4]

Humboldt Transit Authority (Agency) will maintain an active Safety management System (SMS) that encourages the open sharing of information on all safety issues. We expect our 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 target 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 the labor/management PTASP Committee throughout the year.
- 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 Chief Safety Officer will report out monthly to our PTASP Committee of:
 - ~~Hazard identification workshops carried out in the quarter.~~
 - Number and type of hazard reports received per employee in the quarter-half-year, versus the same quarter-time last year; and
 - Number and type of safety risk mitigations implementation in the quarter-semi-half-yearannually
- 2021-2022/2022-2023 Goals
 - Determine reasons for reliability performance for the Commuter system and develop plans to improve performance.
 - Determine reasons for reliability performance for the Fixed Route system and develop plans to improve performance.

Ultimate responsibility for safety at this Agency 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 on their area of responsibility and will be held accountable to ensure that all reasonable steps are taken to perform activities established as part of the SMS.

Safety Management Policy Communication

The Safety Management Policy is posted on the Agency website and on the Break Room Safety Communication Board. The Safety Management Policy was first shared with employees on July 1, 2020. Additionally, the Agency rolled out the new/revised Safety Management Policy to the public on the Agency website on August 31, 2020.

Authorities, Accountabilities, and Responsibilities

Accountable Executive

The Accountable Executive reviews the draft policy once developed by the Agency. Comments and recommended changes are taken into account when the final document is developed. The Accountable Executive then submits the policy to the Agency Board of Directors for approval.

Once their approval is given, the Accountable Executive signs the policy. Additional responsibilities include, but are not limited to:

- Make decisions about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments
- Sign SMS implementation planning documents
- Endorse SMS implementation team membership
- Complete and submit the NTD reports
- Advise the Board as needed

Chief Safety Officer

The Agency's first Chief Safety Officer was originally assisted by contracted risk control consultant, Terrie Norris of Sedgwick, in developing the Safety Management Policy. The Agency Chief Safety Officer worked with the PTASP Committee and the Agency's Risk Control Consultant from Sedgwick to develop the [2022](#) plan. ~~The Agency changed its Chief Safety Officer to the Risk Control Consultant who works with the Agency PTASP committee and the Accountable Executive.~~

The ~~2024~~[2022/2022-2023](#) Chief Safety Officer's duties include, but are not limited to:

- Develop and maintain the SMS documentation
- Direct hazard identification and safety risk assessments
- Monitor safety risk mitigation activities
- Provide periodic reports on safety performance
- Brief the Accountable Executive on SMS implementation progress
- Plan training regarding the Agency's safety management program
- Conduct routine loss analyses to identify trends
- Initiate root cause occurrence investigations
- Track reliability codes and costs per mode of transit service

Agency Leadership and Executive Management

Listed below are the Directors and Managers that play an important leadership or support roles in providing important data or resources to accomplish the Agency's safety goals and/or the day to day safe operation of the Agency's modes of transportation.

Director of Maintenance

- Provides:
 - total maintenance (labor and parts) cost per system
 - a monthly report regarding road calls [and accidents that includes:](#)
 - monthly report of reliability codes by mode of transit services based on the [Samsara-RTA report Report](#)

- o a monthly report regarding the cost of in-house and external repairs (both labor and parts) per mode of transit service

- Participates in root cause occurrence investigations
- Participates monthly PTASP Committee meetings
- Ensures the completion of quarterly documented shop and yard safety inspections

Operations Manager

- Ensures the trainers for both ~~each operator~~ transit drivers and maintenance personnel conduct and document evaluations for ~~each operator~~ transit drivers and maintenance personnel
- Reviews quarterly data provided by the Chief Safety Officer and trainers, and use that information to design the VTT training
- Report to the Safety Team the “near miss reports” and safety concerns submitted during the previous month.
- Conduct bus stop inspections
- Participates in monthly PTASP Committee meetings
- Participates in root cause occurrence investigations

IT Contractor

- Ensures that the Agency’s data is protected from cyber crime
- Maintains the Agency’s cyber infrastructure
- Maintains the Agency’s data back-up services

Finance Manager

- Provides Board reports, monthly ~~and annually~~, regarding:
 - o Cost of claims
 - o Annual insurance cost [SD5]
 - o Self-insured retention and risk sharing pool cost
 - o Revenue miles
 - o Total Passengers per mode of transit service
 - o Total Miles per mode of transit service
 - o Total Hours per mode of transit service
 - o Fares Revenues per mode of transit service
 - o Operating Costs Total per mode of transit service
 - o Operating Cost per Vehicle Mile per mode of transit service
 - o Operating Cost per Vehicle Hour per mode of transit service
- Participates monthly PTASP Committee meetings

Human Resources Manager

- Provides:
 - o employee turn-over reports

- employee injury and illness data
- Collects employee near miss reports and safety concerns from the “Suggestion” box located in the break room and or the email system for reporting concerns and provides them to the Operations Manager and the Safety Team.
- Contacts the appropriate manager to assist in the investigation of the near miss or safety concern.
- Reports to the Safety Team the “near miss reports” and safety concerns submitted during the previous month.
- Ensures the reporting employee, when known, receives a report regarding the results of the investigation.
- Posts on the Bulletin Board in the break room the responses to any anonymously reported near misses or other safety concerns.
- Participates in monthly PTASP Committee meetings
- Participates in root cause occurrence investigations.

Transit Planner

- Establishes safe routes of service
- Receives County report regarding ADA & Safety compliance of all bus stops in the county and brings forth issues to the PTASP and Safety Committees
- Participates in monthly PTASP Committee meetings
- Participate in root cause occurrence investigations
- Applies for grants to finance improvements in infrastructure

Union Leadership

Provides clear and open communication for the improvement of the Agency’s safe transit operations.

Key Staff

Driver-Transit Trainer

- Delivers Coach-Operator-Transit -Training in accordance with the programs designed in conjunction with the Operations Manager and Chief Safety Officer.
- Conducts research to contribute to training programs.
- Conducts coach-Transit operator-Driver and maintenance personnel driving evaluations.
- Participate in root cause occurrence investigations.

Trainers

- Conduct daily radio test to check communication reliability.
- Participates in root cause occurrence investigations.
- Delivers ~~Coach Operator~~Transit Driver Training in accordance with the programs designed by the Operations Manager, Chief Safety Officer, and Head Trainer.

Employee Safety Reporting Program

The Agency's communication system encourages all employees to inform their managers and supervisors about workplace near miss occurrences and hazards without fear of reprisal. Employees can report workplace near miss occurrences and hazards verbally or preferably in writing. ~~If submitted~~To submit near miss occurrence, safety concern, a safety hazard, or a safety suggestion in writing, employees may in writing:

- ~~Give the~~Give the notification ~~may be given~~ directly to the General Manager, Human Resources Manager, other management personnel, or placed in the locked "Suggestion" box located in the Break Room. Employees are encouraged to use one of the following methods:
 - ~~Complete an~~ **Employee Report Form** (see Appendix B) or
 - ~~to submit their near miss occurrence, safety concern, a safety hazard, or a safety suggestion in writing.~~
 - ~~Employees wishing to report their concern anonymously need not sign the form~~
 - Send an email using the anonymous open email reporting set up on the open computer located in the Break Room.
 - Submit an Incident Report
- Employees wishing to report their concern anonymously need not sign the form.

No employee shall be retaliated against for reporting near miss occurrences, hazards, or potential hazards, or for making suggestions related to safety. The Human Resources Manager will collect the written submissions and along with the appropriate management personnel (appropriateness will be dependent on the issue) will investigate them. The matter will be investigated to determine what can feasibly be done to address/correct the area of concern. The concerns will also be shared with the Safety Team during their routine meetings, and they may participate in the development of a response.

If submitted verbally, or the employee signs the submission, management will respond directly to the submitting employee within 30 days. Responses and/or the status of corrective actions in response to anonymous submissions will be posted on the bulletin board in the Break Room within 30 days of receipt.

Safety Risk Management

Safety Risk Management Process

The Safety Risk Management process will utilize hazard identification, hazard assessment, and hazard mitigation methods and processes to ensure an awareness of hazards and the implementation of steps to eliminate and/or control the hazards.

Safety Hazard Identification: The following are the methods and processes the Agency will use to identify hazards and consequences of the hazards.

Inspections are conducted and are an important source of information about hazards. Results from these inspections also help us identify areas where mitigations designed and adopted to manage safety risks are not being carried out as required. Inspections include personnel, vehicles, facilities, and data that identify potential safety concerns or issues. Inspections focus on:

- Rules compliance checks, which may identify:
 - Non-compliance with safety rules
 - Challenges in complying with safety rules, and
 - Emerging practices
- Operations personnel fitness-for-duty checks, which may identify:
 - Impairment
 - Fatigue
 - Absence of corrective lenses
 - Apparent injuries, and
 - Uniform or equipment issues
- Radio or digital communication checks, which may identify radio failures, dead spots, and areas of high interference.
- CDL and driver citations checks, which may identify driver non-compliance with driving regulations and requirements.
- Pre-trip and Post-trip inspections, which may identify non-compliant and hazardous conditions prior to instances of a bus beginning revenue service, and post-trip inspections to identify non-compliant or hazardous conditions that may have developed during the course of service after failing a pre-trip inspection.
- Vehicle inspection, which may identify a series of defects in components and part with the potential to impact the safety performance of the vehicle.
- Facilities inspections, which may identify conditions with the potential to impact safety.

Inspections conducted include:

- Facilities Inspections – Routine facilities inspections will be conducted by the Director of Maintenance with the assistance of the Chief Safety Officer to identify hazardous conditions of the facilities and hazardous behaviors of the employees.

The inspections will be documented in writing and reported to the Agency's Safety Team.

- Bus Stop Inspections – Bus stops will be inspected at least annually to identify when issues, unsafe conditions and ADA compliance issues are reported. The inspection will be documented in writing. The Operation Manager will ensure the inspections are completed, and the reports transmitted to the General Manager.
- Pre-Trip and Post-Trip Vehicle Inspections – Pre-Operation vehicle inspections are conducted for every Agency revenue vehicle prior to its operation. The pre-trip and post-trip inspections are collected by the Director of Maintenance and items needing correction tracked in the RTA program.
- Routine Preventative Maintenance Vehicle Inspections – Routine preventative maintenance vehicle inspections are conducted in accordance with the vehicle manufacturer's instructions. The inspections are documented and tracked in the RTA program.

Other hazard identification methods include:

- Results of the TAM Assets Condition Assessments – The results of the Transit Asset Management program's asset condition assessments will be monitored by the General Manager and will be reported to the PTASP Committee.
- Employee Observations – The Agency's Employee Safety Reporting Program is utilized to engage employees in hazard identification and reporting.
- Federal Transit Authority (FTA) Notices and Announcements – FTA notices and announcements are monitored by the Chief Safety Officer and Human Resources Manager to ensure the Agency is kept apprised of changes to FTA rulings, alerts, and resources.
- Transit Industry Publications – A variety of transit industry publications organizations are monitored by all members of the Agency's PTASP Committee to ensure the Committee is kept apprised of changes, resources and identified hazards within the transit industry.
- Driver Evaluations – Driver evaluations are conducted semi-annually by the Driver-Transit Trainer and other trainers as assigned by the Operations Manager to identify behaviors and corrective action plans.
- State-Wide Incident Tracking Reports from California Highway Patrol (CHP) – The Agency will periodically utilize the CHP State- Wide Incident Tracking Reports to identify hazardous areas of routes and to use data to influence corrective actions on the part of the authorized authority.
- Customer Complaints – Customer complaints will be logged and tracked to identify hazardous occurrences and trends. The Chief Safety Officer will conduct an annual analysis of the data to identify customer complaint trends.
- Near Miss Reports – Employees will be encouraged to report near miss incidents utilizing the Employee Safety Reporting Program described earlier in this document. These incidents will be investigated to identify the root causes.

- Cost Trends of In-House Repairs – In-house repair costs will be tracked in the fleet management software and will be monitored by the PTASP Committee to identify trends that, if corrected, could reduce the probability of loss.
- Workers' Compensation Third Party Administrator's Reports – The Human Resources Manager will monitor the monthly reports from the Agency's Workers' Compensation third party administrator to identify loss trends.
- ~~Liability~~Liability Claims Third Party Administrator's Reports – The Chief Safety Officer and the Finance Manager will monitor the monthly reports from the Agency's ~~Liability~~Liability third party administrator to identify loss trends.
- Cal-OSHA lost and restricted days reported on the Cal-OSHA 300 – The Human Resources Manager will maintain and monitor the required Cal-OSHA 300 logs, and report injury/illness trends to the PTASP Committee.
- *Safety Risk Assessment:* As safety concerns, hazards, and losses become known via the Agency's hazard identification and claims information systems, as previously noted, the Agency will track them using ~~the FTA Hazard Assessment Tool~~meeting notes and Excel spreadsheets. The ~~Chief Safety Officer will enter the initial information on the hazard identification worksheet, and then the~~ PTASP Committee will work together to identify current mitigation measure, ~~assign a risk rating using the FTA Hazard Assessment Tool,~~ and then investigate to identify any feasible actions that could further mitigate the risk of loss. The new mitigation measures will be recorded in ~~the FTA Hazard Assessment Tool,~~the PTASP meeting notes, the appropriate management personnel will be assigned to implement the corrective and mitigation measures, and the PTASP committee will continue to monitor the effectiveness of the mitigation and corrective measures using the assurance measures described in this policy.
- *Safety Risk Mitigation (SRM):* The Chief Safety Officer is responsible for initiating root cause investigations for all losses that result in a lost day injury or an NTD reportable event. The PTASP Committee is responsible for ~~initiating~~conducting a root cause investigation for those ~~items listed on the Agency's Safety Risk Hazard Assessment spreadsheets~~items identified using the Risk Matrix in Appendix E et (Appendix E) that have received a rating of:
 - 1A, 1B, 1C, or 3A (Catastrophic events)
 - 2A, 2B, 2C, or 2D (Critical events)
 - 3A (Marginal events)

Safety Assurance

Safety Performance Monitoring and Measurement

The Agency monitors maintenance performance utilizing:

- Fleet management software reports regarding the frequency of repairs and road calls, and the completion of annual inspections of critical equipment

The Agency will use a variety of lagging indicators to determine the completion, effectiveness and appropriateness of mitigation action, including, but not limited to: worker and liability loss trends, customer complaint trends, and establishing a formal system that requires an assessment of the effectiveness of corrective actions previously implemented; these will vary based on how the hazard corrected was identified and/or how the solution was determined.

The Agency has developed an investigation process that identifies when root causes investigations will be initiated and assigned the responsibility for initiating the root cause investigation to the Chief Safety Officer.

The IIPP has the Anonymous Employee reports, the Transit Asset Management program has reporting requirements, Cal-OSHA requires the maintenance of a 300 Log, there are monitoring, and reporting requirements specified in the SSPP. All these activities can be drawn from those documents and listed here.

The Agency will monitor information collected and reported through its:

- Anonymous employee reporting system as described in its IIPP and this plan
- Transit Asset Management program reports
- Cal-OSHA 300 log
- Third Party Claims management reports
- ~~SSPP inspection and reporting requirements~~

Safety Promotion

Competencies and Training

The agency requires employees and contractors, including the Chief Safety Officer and the transit agency's Board of Directors, to complete training to be able to fulfill their safety-related roles and responsibilities. Initial training will be completed at hire/assignment, and refresher training will be provided when behaviors indicate a need, and/or there are changes to the PTASP, operations, procedures, organizational structure, and when new hazards are identified, and mitigation measures are developed.

Safety Communication

The Agency will use the following methods of communication include:

- Safety Meetings
- Safety Training

- Safety Bulletin Boards
- ~~Safety and/or Company Newsletters~~
- Posters
- Pre-Shift Notifications
- Bulletins and information flyers posted in the: buses, Bus Shelters, and Transit Centers
- Weekly Managers Meetings with the General Manager
- Annual reports to the Board of Directors-

General Communications

All managers and supervisors are responsible for communicating with all employees about occupational safety and health in a form readily understandable by all employees. Our communication system includes:

- New employee orientation including a discussion of the IIPP and other safety and health policies and procedures
- Safety training programs
- Regularly scheduled safety meetings
- Posted or distributed safety information
- A Safety Team that includes employee participation from each department

Safety Team (Committee)

The transit system's Safety Team consists of the General Manager, [Safety & ADA Coordinator](#), Human Resources Manager, Director of Maintenance, Operations Manager, ~~Driver-Transit~~ Trainer, Transit Planner, one or more Maintenance Workers, one or more ~~Bus-Transit Drivers~~~~Operators~~, ~~an Administration Assistant~~ and a Union representative.

The Safety Team will meet routinely, but no less than quarterly to address safety and health issues, including but not limited to:

- Employee Injuries and Illnesses Review – Human Resources Manager
- Liability Loss Accidents and Incidents Review – Operations Manager
- Safety Inspection Reports Review – Director of Maintenance
- Employee Safety and Health Concerns (Comment Cards) – Human Resources Manager
- Safety Training Needs
 - Safety and Health – ~~Safety and ADA Coordinator~~ and Operations Manager
 - VTT Compliance – Operations Manager
- Safety and Health Policies and Procedures Review - All

Minutes of the meetings will be maintained, distributed to the Safety Team members, and posted in the ~~Break Room~~[Safety Bulletin Board in the hallway](#).

Appendices

Appendix A – Resolution to Re-Certify and Approve the HTA PTASP

RESOLUTION NO. 21-06,

**APPROVING THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)
FOR THE HUMBOLDT TRANSIT AUTHORITY**

WHEREAS, the Humboldt Transit Authority directly operates, oversees safe, friendly, and reliable public transportation in the County of Humboldt; and

WHEREAS, the Redwood and Eureka Transit and are local fixed-route and Willow Creek and Southern Humboldt are intercity systems operated by the Humboldt Transit Authority. The local paratransit public transportation service is operated through a sub-contractor by CAE Transport Inc.; and

WHEREAS, the Public Transportation Agency Safety Plan formalizes safety programs and procedures in place at the Humboldt Transit Authority and improves the safety risk management, safety assurance, and safety oversight processes; and

WHEREAS, the safe operation of public transportation for Humboldt Transit Authority is the top priority of the Authority and the Governing Board.

NOW, THEREFORE, BE IT RESOLVED that the Governing Board of the Humboldt Transit Authority does hereby approve and accept the agency’s Public Transportation Agency Safety Plan.

PASSED AND ADOPTED by the Governing Board of the Humboldt Transit Authority on this ~~7th day of July, 2021~~, by the following vote:

AYES:

NOES:

ABSENT:

Name: _____

Title: _____

Signature: _____

Date: _____

Appendix B – Humboldt Transit Agency – Employee Hazardous/Unsafe Condition Report

Person conducting inspection/making the observation: _____

Date: _____

Area(s) inspected/ of concern:

Were any unsafe conditions or work practices identified? Yes No

If yes, please describe:

Employee’s Recommendations:

What action(s) have been taken to correct the unsafe conditions or work practices identified?

Appendix C – Glossary of Terms

Term	Definition
Accident	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)
Accountable Executive	<p>§ 673.5 Definitions – 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>§ 673.23(d)(1) – 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>
Chief Safety Officer/SMS Executive	<p>§ 673.31 Definitions – 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> <p>§ 673.23(d)(2) – 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.</p>
Consequence	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 § 673.5)

Term	Definition
Event	Event means any Accident, Incident, or Occurrence. (per § 673.5)
Hazard	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 § 673.5)
Incident	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 § 673.5)
Occurrence	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 § 673.5)
Performance Target	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 § 673.5)
Safety Event	Reportable derailments, collisions, fires, and evacuations.
Safety Performance Target	Safety performance target means a Performance Target related to safety management activities. (per § 673.5)
Serious Injury	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 § 673.5)

Appendix D – 2020 NTD Safety & Security Quick Reference Guide – Non-Rail Mode Reporting

Reportable Event: A safety or security event occurring: on transit right-of-way or infrastructure, at a transit revenue facility, at a maintenance facility or rail yard, during a transit-related maintenance activity, or involving a transit revenue vehicle. Excluded from this event reporting requirement are events that occur off transit property where affected persons, vehicles, or objects come to rest on transit property after the event, OSHA events in administrative buildings, deaths that are a result of illness or other natural causes, other events (assault, robbery, non-transit vehicle collisions, etc.) occurring at bus stops or shelters that are not on transit-controlled property, collisions that occur while travelling to or from a transit-related maintenance activity, collisions involving a supervisor car, or other transit service vehicle operating on public roads.

Alaska (AR) and Commuter rail (CR) modes report only SECURITY events that meet a Major event threshold.

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
MAJOR THRESHOLDS	NON-MAJOR THRESHOLDS
<p>An event meeting the reportable event definition AND meeting <u>one or more</u> of the following reporting thresholds:</p> <ul style="list-style-type: none"> • A fatality confirmed within 30 days (including suicide) • An injury requiring transport away from the scene for medical attention for one or more persons (partial exception in the case of Other Safety Events) • Estimated property damage equal to or exceeding \$25,000 • An evacuation for life safety reasons • Collisions involving transit roadway revenue vehicles that require towing away of a transit roadway vehicle or other non-transit roadway vehicle <p>Reports are due within 30 days of the date of the event.</p>	<p>Less severe Other Safety Occurrence Not Otherwise Classified (OSONOC) injuries meeting the reportable event definition that are NOT a result of a collision, evacuation, security event, hazmat spill, or Act of God, and non-major fires. Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <ul style="list-style-type: none"> • Single injury event requiring transport away from the scene for medical attention (<i>do not report "minor" collisions on S&S-50</i>) <p>Fires:</p> <ul style="list-style-type: none"> • Requiring suppression that do not meet a major incident reporting threshold <i>injury, fatality, evacuation, or property damage of \$25,000 or more</i>). <p>Reports due by the end of the following month (e.g., January data due by end of February)</p>

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
EVENT TYPES	EVENT TYPES
<ul style="list-style-type: none"> • Collision (including suicide/attempted suicide) • Fire • Hazardous material spill (requires <i>specialized</i> clean-up) • Acts of God (nature) • System security: <ul style="list-style-type: none"> ○ Arson ○ Bomb threat/bombing ○ Burglary / Vandalism ○ Chemical/biological/radiological/nuclear release ○ Cyber security event ○ Hijacking ○ Sabotage ○ Suspicious package ○ Other security event (shots fired, projectiles, etc.) • Personal Security: <ul style="list-style-type: none"> ○ Assault ○ Homicide ○ Suicide or Attempted Suicide (no transit vehicle involved) ○ Robbery ○ Larceny/theft ○ Motor vehicle theft ○ Rape ○ Other personal security events (perpetrator tazing) • Other Safety Occurrences Not Otherwise Classified (OSONOC) (two injuries and/or another threshold) <ul style="list-style-type: none"> Miscellaneous events that meet a threshold 	<p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <p>Injury due to:</p> <ul style="list-style-type: none"> • Slip/Trip • Fall <ul style="list-style-type: none"> ○ Including person making contact with a non-moving transit vehicle • Injury to maintenance workers • Boarding/alighting • Abrupt or evasive transit vehicle maneuvers • Mobility device (e.g. wheelchair) securement issues • Injury sustained on a mobility device lift • Stairs/elevator/escalator injury <p>Fire:</p> <ul style="list-style-type: none"> • Requires suppression but no major threshold is met • Small fire on in transit station • Small engine fire on transit vehicle

Appendix E – Safety Risk Assessment Matrix

RISK ASSESSMENT MATRIX				
SEVERITY LIKELIHOOD	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	High	Medium
Probable (B)	High	High	Medium	Medium
Occasional (C)	High	Medium	Medium	Low
Remote (D)	Medium	Medium	Low	Low
Improbable (E)	Medium	Low	Low	Low

Appendix ~~E~~F - Record of Revisions

The following Table illustrates the history of the revisions made to the Agency's PTASP. The history of the PTASP changes was placed in this appendix rather than at the front of the document to help preserve the page numbering to the extent possible during each revision.

Plan Version Number and Updates			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
2	Cover Page and all footers	Updated	July 2021
2	Page 3	3 - Chief Safety Officer identify changed here and throughout the document	
2	Page 4	Certification information updated	
2	Page 6	Performance goals updated	
2	Page 7 and 8	Safety Management Policy amended to format goals, and add new goals regarding system reliability	
2	Page 8 and 9	Changed verb tense in description of Chief Executive duties description	
2	Page 9	Changes in Chief Safety Officer duties to reflect change in staffing that position	
2	Page 10	Added bus inspection duties to Operations Manager's duties	
2	Page 10	Removed Safety & ADA Coordinator from employee concerns process. Added that Human Resources Manager will provide employee concerns to Operations Manager.	
2	Page 11	Added Road Check duties to Driver Trainer duties.	
2	Page 13	Removed Director of Maintenance and Safety & ADA Coordinator from bus stop inspection duties. Added Operations Manager as responsible for ensuring bus stop inspections are completed.	
2	Page 14	Changed RTA to Fleet Management Software regarding monitoring in-house repair costs.	
2	Page 15	Change RTA to Fleet Management Software regarding Safety Performance monitoring.	
2	Page 16	Safety Communications – Pre-shift Briefing Sessions changed to Notifications.	
2	Page 16	Safety Communications – Changed Monthly Staff Reports to Weekly Managers meeting with General Manager.	
2	Page 16	Removed Safety & ADA Coordinator from the Safety Team, and added Transit Planner.	
2	Page 10	Deleted reference to CSO in regard to collecting employee safety hazard notices	
2	Appendix A	Changed "Certify and Approve" to "Re-Certify and Approve."	