



Transit Joint Powers Authority for Merced County
369 W. 18th St
Merced Ca 95340

TJPAMC Safety Plan
Adopted [12/16/21]

Signature of Accountable Executive

Date

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Definitions

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; an evacuation for life safety reasons.

Accountable Executive: means the single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of the 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.

Agency or Transit Agency: means Transit Joint Powers Authority for Merced County.

[Board or equivalent entity] means governing body of Transit Joint Powers Authority for Merced County.

Caltrans: means the California Department of Transportation

Chief Safety Officer: means the adequately trained individual who has responsibility for safety and reports directly to the Transit Agency's chief executive officer.

CFR: means Code of Federal Regulations.

Event: means any Accident, Incident, or Occurrence.

FTA: means the Federal Transit Administration, an operating administration within the United States Department of Transportation.

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 the system, or damage to the environment.

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 the Transit Agency.

Investigation: means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

National Public Transportation Safety Plan: means the plan to improve the safety of all public transportation systems that receive federal financial assistance under 49 U.S.C. Chapter 53.

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 the Transit Agency.

Part 673: means 49 CFR (Code of Federal Regulations) Part 673.

Performance Measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

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).

Risk: means the composite of predicted severity and likelihood of the potential effect of a hazard.

Risk: mitigation means a method or methods to eliminate or reduce the effects of hazards.

Safety Assurance: means processes within the Transit Agency's Safety Management Systems 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 Management Policy: means the 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 Systems (SMS): means the formal, top-down, 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 (SPT): means a Performance Target related to safety management activities.

Safety Promotion: means a combination of training and communication of safety information to support SMS as applied to the Transit Agency's public transportation system.

Safety Risk Assessment (SRA): means the formal activity whereby the Transit Agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

Safety Risk Management (SRM): means a process within the Transit Agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

Serious injury: means any injury which: (1) requires hospitalization for more than 48 hours, commencing within seven 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 five percent of the body surface.

State of Good Repair (SGR): means the condition in which a capital asset is able to operate at a full level of performance.

Transit Asset Management Plan: means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

U.S.C.: means United States Code.

1 Public Transportation Agency Safety Plan (PTASP) Rule Overview

On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Rule that requires certain transit operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop a PTASP (Plan) that include the processes and procedures to implement Safety Management System (SMS)

- The Rule 49 CFR Part 673 became effective on July 19, 2019
- FTA published a Dear Colleague letter on July 19, 2019, to alert the transit industry of the July 20, 2020 safety compliance deadline.

The PTASP must include all applicable requirements of Part 673. The PTASP must be signed by the CEO/General Manager of the transit agency and approved by the transit agency's Board of Directors. The Transit agency also must certify they have a PTASP in place meeting the requirements of the rule by July 20, 2020. The PTASP must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307).

The rule does not apply to agencies that are subject to the safety jurisdiction of another federal agency, including passenger ferry operators regulated by the U.S. Coast Guard and rail operators regulated by the Federal Railroad Administration.

FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States.

2 Transit Agency Information

Transit Joint Powers Authority Merced County (TJPAMC) is a California Joint Powers Authority formed in 1996 from the consolidation of four former local public transit service providers. Today, TJPAMC, also known as "The Bus", is the single public transportation provider for Merced County. TJPAMC is comprised of seven member agencies: City of Atwater, City of Dos Palos, City of Gustine, City of Livingston, City of Los Banos, City of Merced, and the County of Merced.

TJPAMC is governed by the Transit Joint Powers Authority for Merced County Governing Board an 11-member Board which includes a supervisor from each of the five county districts and an elected official from each of the six incorporated cities in Merced County.

Stacie Guzman is the Executive Director of TJPAMC who reports to the Board of Directors and has been assigned as the Accountable Executive for the PTASP/SMS. The Executive Director is the single, identifiable person who has ultimate responsibility for carrying out TJPAMC's Safety Plan and Transit Asset Management (TAM) Plan, and control or direction over the human and capital resources needed to develop and maintain both this Plan and the TAM Plan. The Executive Director may delegate specific responsibilities, but the ultimate accountability for TJPAMC's safety performance cannot be delegated and always rests with the Executive Director.

The Executive Director designates TJPAMC Transit Manager as the Chief Safety Officer. The Chief Safety Officer has the authority and responsibilities for day-to-day implementation and operation of TJPAMC's Transit's SMS. The Chief Safety Officer holds a direct line of reporting to the Accountable Executive.

TJPAMC establishes the operating policies and defines the services provided including service hours and days, fares, and routes of the Public Transit System. The day-to-day management and actual operations of the system are carried out under contract with private firm, First Transit Inc. All operating personnel (managers, dispatchers, mechanics, and operators) are employees of First Transit Inc.

TJPAMC operates a fixed route service seven (7) days a week. Service is provided with approximately 17 different fixed routes except for The Bus's University of California, Merced route which operates Monday through Friday. On average, The Bus's fixed routes travel approximately 1,747,852 revenue miles per year in 118,293 revenue hours, with approximately 834,591 passenger trips. In addition, TJPAMC operates a complementary paratransit service which is available similar to the fixed route service. The paratransit service is designed to meet the transportation needs of eligible persons who qualify based on Americans with Disabilities Act, who cannot functionally use or access the fixed route service independently. Demand response service is traveling approximately 367,850 revenue miles per year in 27,473 revenue hours, with 49,912 passenger trips.

PTASP Rule applies to all large and small transit systems that receives Urbanized Area Formula Program funds and all rail transit operators, regardless of FTA funding sources. TJPAMC is a recipient of state and federal grants. These state and federal formula dollars are typically used for operations or are sometimes flexible for use in both operations and capital, and some are restricted to capital only. Below is a table with information about the Grant Name; Source; and Project Type at TJPAMC.

Grant Name	Source	Project Type
FTA 5307 Urbanized Area Formula Grant	Federal Transit Administration, US Dept. of Transportation	Operation
FTA 5311 Rural Operating Assistance	Federal Transit Administration, US Dept of Transportation Administered by California Division of Rail and Mass Transit	Operation
FTA Section 5339(a) Rural Bus and Bus Facilities	Federal Transit Administration, US Dept. of Transportation	Capital
FTA Section 5339 Bus and Bus Facilities	Federal Transit Administration, US Dept. of Transportation	Capital
Transit and Intercity Rail Capital Program	Greenhouse Gas Reduction Fund (GGRF) Administered by CalSTA & California Division of Rail and Mass Transit	Capital
State Transit Assistant, State of Good Repair	California Division of Rail and Mass Transit	Capital
Low Carbon Transit Operation Program	Greenhouse Gas Reduction Fund Administered by California Division of Rail and Mass Transit	Operation / Capital
Transportation Development Act - LTF	State Sales Tax	Operation / Capital
Transportation Development Act - STA	State Sales Tax on Motor Fuel	Operation

Measure V	Local Sales Tax Measure	Operation / Capital
STA-SB1	State Sales Tax on Motor Fuel & Vehicle Registration Fee	Operation / Capital

3 Plan Development, Approval, and Updates

Caltrans developed the contents of this TJPAMC’s plan to meet requirements specified in 49 CFR Part 673 and comply with Part 673.11(d) regarding Caltrans’ responsibility to develop an ASP for on behalf of any small public transportation provider that is located in California. This Plan is based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for the management of safety risk. The four principles or pillars of SMS are: (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.

3.1 Drafting the Plan

Caltrans drafted this Plan, thus meeting the requirements of 49 CFR Part 673.11(d). FTA will oversee compliance with the requirements of Part 673 through the existing Triennial Review processes.

Should TJPAMC no longer meet the definition of a small public transportation provider or choose to opt-out, within one year from the date of notifying the State of this development it will draft and certify its own plan compliant with requirements of systems operating greater than 100 vehicles.

3.2 Signature by the Accountable Executive and Approval by the Board

Pursuant to 49 CFR Part 673.11 (a)(1), this Agency Safety Plan and subsequent updates must be signed by the Accountable Executive and approved by TJPAMC’s Board. Documentation of Board approval is found in Section 3.5 **Attachment [A]**.

3.3 Certification of Compliance

Pursuant to 49 CFR Parts 673.13(a) and 673.13(b), Caltrans shall certify that it has established this Agency Safety Plan, meeting the requirements of 49 CFR Part 673 by July 20, 2020 and will certify its compliance with 49 CFR Part 673 on an annual basis. FTA does not require this plan to be submitted to FTA. Instead, Caltrans will certify that it has established this Safety Plan, which fulfills the requirements under Part 673. FTA annually amends and issues the list of Certifications and Assurances. Caltrans will review such guidance for incorporation into the safety program, as necessary.

3.4 Plan Review and Updates

TJPAMC updates this Safety Plan when information, processes or activities change within the Agency and/or when Part 673 undergoes significant changes, or annually, whichever comes sooner. As TJPAMC collects data through its Safety Risk Management and Safety Assurance processes, shared with Caltrans as described in subsection 4.1 below, Caltrans will evaluate its safety performance targets (SPTs) to determine whether they need to be changed, as well.

This Plan will be jointly reviewed and updated by the Chief Safety Officer and Assistant Transit Manager, with the assistance of subject matter experts, each December The Accountable Executive will approve any changes, then forward on to the TJPAMC Governing Board for approval.

This Plan may need to be reviewed and updated more frequently based on the following:

- We determine our approach to mitigating safety deficiencies is ineffective;
- We make significant changes to service delivery;
- We introduce new processes or procedures that may impact safety;
- We change or re-prioritize resources available to support SMS;
- We significantly change our organizational structure.

3.5 Version Number and Update

Plan History			
Version Number	Section / Pages Affected	Reason for Change	Date Issued
1.0	All	New Plan	09/30/2020
2.0	2020 data update	Include 2020 Statistics	12/16/21

 Stacie Guzman – Account Executive
 Executive Director

 Date

Approved by Governing Board

 Lloyd Pareira – Chair
 Transit Joint Powers Authority for Merced County

 Date

4 Safety Performance Targets (SPTs)

TJPAMC includes Safety Performance Targets in this Plan. These targets are specific numerical targets set by TJPAMC and based on the safety Performance Measures established by FTA in the National Public Transportation Safety Plan. In the most recent version, the 2017, NSP3, FTA adopted four initial safety Performance Measures” (1) Fatalities, (2) Injuries, (3) Safety Events, and (4) System Reliability.

TJPAMC developed safety performance targets will be reviewed and update annually. The specific safety performance targets are based on the safety performance measures established under the National Public Transportation Safety Plan and the safety performance goals set by the Agency based on the past five (5) Calendar years of data.

Fatalities is the total number and rate per 100K vehicle revenue miles; Injuries is the total number and rate per 100k vehicle revenue miles; Safety events are the total number and rate per 100k vehicle revenue mile; and System reliability is the mean distance between major mechanical failures.

Safety Performance Targets							
Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.							
Targets below are based on review of the previous 5 years of TJPAMC safety performance data							
Mode	Fatalities (Total)	Fatalities (per 100k VRM)	Injuries (Total)	Injuries (per 100k VRM)	Safety Events (Total)	Safety Events (per 100k VRM)	System Reliability
Fixed Route	0	0	2.0	0.04	8.0	1.5	27.6
Paratransit	0	0	1.0	0.1	2.0	0.4	4.4

Below is the past five (5) years (2015, 2016, 2017, 2018, & 2019) data for TJPAMC fatalities, injuries, and safety events:

TJPAMC 5-Year Data for Fixed Route Service

Category	2016	2017	2018	2019	2020	Average
Total Number of Fatalities	0	0	0	0	0	0.00
Fatality Rate per 100,000 VRM	0.00	0.00	0.00	0.00	0.00	0.00
Total Number of Injuries	1	1	0	2	2	1.20
Injury Rate per 100,000 VRM	0.05	0.05	0.00	0.12	0.12	0.07
Total number of Safety Events	9	5	21	5	4	8.80
Safety Event Rate per 100,000	1.26	2.16	1.32	1.96	2.96	1.91
Total Number of Major Mechanical System Failures	25	40	23	34	51	34.60
Annual VRM	1,976,672	1,850,662	1,747,852	1,738,932	1,724,556	1,807,735

TJPAMC 5-Year Data for Demand Response Service

Category	2016	2017	2018	2019	2020	Average
Total Number of Fatalities	0	0	0	0	0	0.00
Fatality Rate per 100,000 VRM	0.00	0.00	0.00	0.00	0.00	0.00
Total Number of Injuries	0	1	0	0	0	0.20
Injury Rate per 100,000 VRM	0.00	0.32	0.00	0.00	0.00	0.06
Total number of Safety Events	1	3	3	0	0	1.40
Safety Event Rate per 100,000	0.35	0.96	0.82	0.00	0.00	0.41
Total Number of Major Mechanical System Failures	3	4	4	8	8	5.40
Annual VRM	282,403	313,476	367,850	393,036	335,945	338,542

4.1 Safety Performance Target Coordination

This PTASP has been developed with guidance from the Caltrans Division of Rail and Mass Transportation (DRMT). The Plan including safety performance targets is provided to DRMT and with the Metropolitan Planning Organization (MPO), Merced County Association of Governments (MCAG). TJPAMC personnel are available to coordinate with Caltrans and the MCAG in the selection of California and MPO safety performance targets upon request.

TJPAMC will officially transmit our targets in writing the DRMT and MCAG by **December** of each year.

Targets Transmitted to the State	State Entity	Date Targets Transmitted
	<u>Caltrans</u>	
Targets Transmitted to the Metropolitan Planning Organization (MPO)	MPO	Date Targets Transmitted
	<u>MCAG</u>	

5. Overview of Safety Management System (SMS)

SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry’s existing safety foundation to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully. TJPAMC’s SMS focuses on applying resources to risk and is based on ensuring that TJPAMC has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources. Some key parts of TJPAMC’s SMS include:

- Defined roles and responsibilities.
- Strong executive safety leadership.
- Formal safety accountabilities and communication.
- Effective policies and procedures; and
- Active employee involvement

Furthermore, TJPAMC’s SMS has four distinct components, which are discussed in subsequent sections of this Plan:

- Safety Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

6. Safety Management Policy

The Safety Management Policy is the first of the four principles or pillars of TJPAMC’s SMS. The management of safety is a top priority and core value of TJPAMC. This Plan has been developed as a means of integrating safety into all TJPAMC operations. It clearly states the organization’s safety objectives and sets forth the policies, procedures, and organizational structures necessary to accomplish the safety objectives. The Safety Management Policy clearly defines management and employee responsibilities for safety throughout the organization. It also ensures that management is actively engaged in the oversight of the system’s safety performance by requiring regular review of the Safety Management Policy, budget, and program by the designated Accountable Executive.

6.1 Safety Management Policy Statement

Safety is a top priority and core value of TJPAMC, and managing safety is a core business function. TJPAMC and First Transit Inc will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. TJPAMC's 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.

TJPAMC is committed to:

- Support the management of safety by providing appropriate resources to support an organizational culture that fosters safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the agency.
- Integrate the management of safety as an explicitly responsibility of all managers, supervisors, contract employees, and employees.
- Clearly define for all managers and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of this Plan.
- Establish and Operate a safety reporting program/process as a fundamental tool in support of agency's hazard identification and safety risk evaluation activities to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonable practicable.
- Ensure (i) that no action will be taken against any employee who discloses a safety concern through the safety reporting program/procedures, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures; (ii) that sufficiently trained and skilled personnel are available & assigned to implement this Plan its processes & activities; (iii) that all agency's staff are formally provided with adequate and appropriate safety management information, are competent in Plan's activities, and are assigned only safety related tasks commensurate with their skills; and (iv) that contracted services that support our agency's mission are meeting our safety performance standards.
- Comply with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- Establish and Measure our agency's safety performance against realistic safety performance indicators and safety performance targets.
- Continually Improve our agency's safety performance through management processes that ensure relevant safety action is taken in a timely fashion and is effective when carried out.

This safety policy supports TJPAMC's mission, vision, and values of safety within the organization. By following the processes described in the Plan, TJPAMC will have continuing opportunities to improve overall safety performance of this agency.

6.2 Safety Management Policy Communication

The safety management policy will be communicated throughout the Agency, to all employees, managers, and executives, as well as contractors, and to the Board of Directors through various processes such as:

- Workshops/training sessions – These will be conducted for Senior Management and Supervisors. Once this Plan has been signed by the Executive Director and approved by the Board of Directors., it will become standard practice in perpetuity so that SMS becomes standard business practice. All Union representatives will be kept informed.
- New Hire Safety Orientation – Through this program all new employees regardless of their classifications will be trained about their roles and responsibilities pertaining to PTASP and the principles of SMS.
- The safety communication will continue using safety bulletins and safety meetings.
- In addition, annual safety audits/reviews of PTASP will be conducted to bring focus on the safety management communication aspect and the implementation status of PTASP and SMS principles.

This Plan has assigned specific authorities, accountabilities, and responsibilities to the designated Chief Safety Officer TJPAMC's Transit Manager; SMS Executive; and Key Staff. Some of these assigned tasks pertaining to PTASP/SMS are described below:

Accountable Executive

TJPAMC's Accountable Executive is the Executive Director. The Executive Director is accountable for ensuring that TJPAMC's SMS is effectively implemented throughout TJPAMC's public transportation system. The Executive Director is accountable for ensuring action is taken, as necessary, to address substandard performance in TJPAMC's SMS. The Executive Director may delegate specific responsibilities, but the ultimate accountability for TJPAMC's safety performance cannot be delegated and always rests with the Executive Director. The Executive Director is accountable for ensuring that TJPAMC's SMS is effectively implemented, and that action is taken, as necessary, to address substandard performance in TJPAMC's SMS. The Accountable Executive may delegate specific responsibilities, but not accountability for TJPAMC's safety performance.

The Executive Director's roles include, but are not limited to:

- Establishing and maintaining agency PTASP based on SMS principles.
- Ensuring safety concerns are considered and addressed in the agency's ongoing budget planning process.
- Ensuring transparency in safety priorities; for the Board of Directors and for the employees.
- Establishing guidance on the level of safety risk acceptable to the agency
- Assuring safety policy is appropriately communicated throughout the agency.
- Decision making about resources (people & funds) to support TAM, PTASP/SMS, and capital investments.

Chief Safety Officer

The Executive Director designates TJPAMC's Transit Manager as the Chief Safety Officer. The Chief Safety Officer holds a direct line of reporting to the Accountable Executive and has the authority and responsibility for day-to-day implementation and operation of TJPAMC's SMS.

The Chief Safety Officer responsibilities include:

- Working with TJPAMC's Executive Director to maintain the agency PTASP based on SMS principles
- Ensure safety concerns are considered and addressed in the TJPAMC Divisions ongoing budget planning process
- Ensure transparency in safety priorities; for all First Transit Inc's Merced Division employees
- Assist TJPAMC's Executive Director in establishing guidance on the level of safety risk acceptable
- Assure the safety policy is appropriately communicated throughout the Merced Division.

SMS Executive

The Executive Director has designated First Transit Inc. Safety Manager as the SMS Executive and some of the responsibilities include.

- Overseeing the safety risk management program by facilitating hazard identification, safety risk assessment, and the development and implementation of safety risk mitigations.
- Monitoring safety risk mitigation activities.
- Providing periodic reports on safety performance.
- Briefing the Accountable Executive and TJPAMC's Board of Directors on SMS implementation progress.
- Planning safety management training.
- Developing and organizing annual audits of PTASP/SMS principles to ensure compliance with 49 CFR Part 673 requirements.
- Maintaining safety documentation

Agency Leadership and Executive Management

TJPAMC's Leadership/Management is comprised of the Executive Director, Transit Manager, Assistant Transit Manager, Facility & Fleet Specialist, First Transit Inc General Manager, Operation Manager, Safety Manager, Maintenance Manager, Road Supervisors, and Dispatch. Some of the responsibilities include:

- Day-to-day implementing of the PTASP/SMS principles throughout their department/organization.
- Communicating safety accountability and responsibility from the front-line employees to the top of their organization.
- Ensuring employees are following their working rules and procedures and following safety rules & regulations in performing their jobs. In addition, they are following their specific roles & responsibilities in the implementation of the PTASP and SMS principles.
- Ensuring that employees complying with the safety reporting program and are reporting unsafe conditions and hazards to their department management and those unsafe conditions and hazards are corrected in a timely manner.
- Ensuring that resources are sufficient to carry out employee training/certification and re-training as required by their job classifications.

Key Staff

TJPAMC key staff/employees and contract employees may include managers, supervisors, specialist, and other key employees who are performing highly technical work and overseeing employees performing critical tasks and providing support in the implementation of PTASP & SMS principles in various departments throughout the agency. The key staff/employees and contract employees' responsibilities include:

- Ensuring that employees are complying with the safety-reporting program.
- Ensuring supervisors are conducting safety meetings.
- Promoting safety in employee's respective area of responsibilities – That means zero accidents; absence of any safety concerns; perfect employee performance; and compliance with agency rules & procedures and regulatory requirements.
- Ensuring safety of passengers, employees, and the public.
- Responding to customer complaints and the expectations of frequency, reliability, and convenience of service.
- Replacing and maintaining aging facilities, equipment, and infrastructure.
- Meeting increasing demands for fixed route, micro transit, and paratransit service.
- Establishing clear lines of safety communication and holding accountability for safety performance.

6.3 Employee Safety Reporting Program

TJPAMC and First Transit Inc., implemented a process that allows employees and contracted employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management. The purpose, description, and protections for employees to report unsafe conditions & hazards are described in the Employee Safety Reporting Program as below:

First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations. Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing. However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at ethicsfirst.ethicspoint.com; or emailing Compliance@firstgroup.com

Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or co-worker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.

Reporting Options

At First Transit reporting unsafe practices, policy violations, violations of the law, etc. is encouraged, and in some instances required, of all employees. The primary goal is to be able to identify areas where risk of injury to personnel or customers, or destruction of property may exist; and develop measures to mitigate those risks.

Unless the employee's action or in-action is egregious, disciplinary action is not warranted.

Employees that fail to report mandatory items, such as:

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or
- Submitting an inaccurate or incomplete report that could lead to serious harm, are subjected to the disciplinary process describe later in this section.

Employees are encouraged to report:

Near Miss and Hazard Reporting

In the interest of employee and passenger safety, each First Transit employee is issued a "Near Miss and Hazard Reporting" pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards. If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

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

Hazard: Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

Near Miss & Hazard Reporting describes the reporting process

Threatening or Suspicious Activity

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

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

Duty to Report Wrongdoing

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing Compliance@firstgroup.com. You may also contact the Healthcare Compliance Officer directly.

Self-Reporting

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

Open-Door Policy

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

- If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at ethicsfirst.ethicspoint.com, or emailing Compliance@firstgroup.com

Near Miss & Hazard Reporting describes the reporting process

Threatening or Suspicious Activity

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

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This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

In situations requiring immediate attention, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

- This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing Compliance@firstgroup.com

Employees are REQUIRED to report the following. Failure to do so WILL lead to disciplinary action.

Accidents/Incidents

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. SOP #700 – Accident & Safety Data Acquisition and Reporting, and the supporting SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

Accidents

Accidents are considered to be any collision that occurs while an Operator is on duty. Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, SOP #700c – Operator Incident Report and SOP #700a – Auto & General Liability Claim Form, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form. Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

Incidents

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a SOP #700a – Auto & General Liability Claim Form to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

Required Courtesy Cards

In the event of an accident or an incident, Operators must distribute SOP #700b – Courtesy Cards then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

Duty to Report Law Enforcement Actions

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

7 Safety Risk Management

The second component of the TJPAMC's SMS is Safety Risk Management, which includes processes and procedures to provide an understanding of the Agency's operations and vehicle maintenance to allow individuals to identify hazards associated with those activities.

TJPAMC's has implemented a Safety Risk Management process for all elements of its transportation system. The Safety Risk Management process includes the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

7.1 Safety Hazard Identification

Hazard identification is the first step in the Safety Risk Management process and a key component. It involves these fundamental safety-related activities: Identifying safety hazards and their consequences; assessing the risks associated with the consequences of the hazards; and developing mitigations to reduce the potential consequences of the identified hazards.

The following is TJPAMC's methods and processes to identify hazards. The Agency considers, as a source for hazard identification, data and information provided by an oversight authority and the FTA. Hazards are identified through a variety of sources, including:

- Employee safety reporting,
- Review of vehicle camera footage,
- Review of monthly performance data and safety performance targets,
- Observations from supervisors,
- Maintenance reports,
- Comments from customers, passengers, and third parties,
- Safety committee, driver and all-staff meetings,
- Results of audits and inspections of vehicles and facilities,
- Results of training assessments
- Investigations into safety events, incidents and occurrences, and
- Information from FTA and oversight authorities.

When a hazard has been identified, whatever the source, it is reported to the TJPAMC's Chief Safety Officer, who ensures it is entered into the Hazard Log. The Chief Safety Officer also may enter hazards into this log based on reviews of operations and maintenance activities and procedures.

The Chief Safety Officer will investigate hazards to collect information and determine if hazards need to be entered into the safety risk assessment process. In following up on identified hazards, the Chief Safety Officer may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard,
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary,
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard,
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.),
- Contact other departments that may have association with or technical knowledge relevant to the reported hazard,
- Review any past reported hazards of a similar nature, and
- Evaluate tasks and/or processes associated with the reported hazard.

Any identified hazard that poses an immediate risk to transit operations, the health and safety of employees or the public, or equipment must immediately be brought to the attention of the Accountable Executive and placed through the Safety Risk Management process for safety risk assessment and mitigation. Otherwise, hazards will be prioritized for further Safety Risk Management activity.

7.2 Safety Risk Assessment

Safety risk assessment defines the level or degree of the safety risk by assessing the likelihood and severity of the consequences of hazards and prioritizes hazards based on the safety risk. The Chief Safety Officer, with assistance from key staff subject matter experts, is responsible for assessing identified

hazards and ratings using the safety risk matrix below. Prioritizing safety risk provides the Accountable Executive with the information needed to make decisions about resource application.

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

Probability Levels			
Description	Level	Specific Individual Item	Fleet Inventory
Frequent	A	Likely to occur in the life of the item.	Continuously experienced.
Probable	B	Will occur several times in the life of an item.	Will occur frequently.
Occasional	C	Likely to occur sometime in the life of an item.	Will occur several times.
Remote	D	Unlikely, but possible to occur in the life of an item.	Unlikely but can reasonably be expected to occur.
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item.	Unlikely to occur, but possible
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

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

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

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

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

Safety Risk Assessment Matrix						
		Severity >	Catastrophic	Critical	Marginal	Negligible
Probability ∨			1	2	3	4
A-Frequent			1A	2A	3A	4A
B-Probable			1B	2B	3B	4B
C-Occasional			1C	2C	3C	4C
D-Remote			1D	2D	3D	4D
E-Improbable			1E	2E	3E	4E
F-Eliminated						

Safety Risk Index Ranking		
1A, 1B, 1C, 2A, 2B	High	Unacceptable
1D, 2C, 3A, 3B	Serious	Undesirable – With management decision required
1E, 2D, 2E, 3C, 3D, 3E, 4A, 4B	Medium	Acceptable – with review by management
4C, 4D, 4E	Low	Acceptable – without review

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

7.3 Safety Risk Mitigation

The Chief Safety Officer, assisted by Key Staff subject matter experts, reviews current safety risk mitigations and establish procedures to 1) eliminate; 2) mitigate; 3) accept specific risks. Prioritization of safety remediation measures is based on risk analysis and a course of action acceptable to TJPAMC’s management.

The safety risk must be mitigated if ranked as Unacceptable (High- Red). Those safety risks that have been mitigated, even those mitigated risks shown as Acceptable status (Low -Green) undergo regular and consistent monitoring to ensure the mitigation strategy is effective.

Key strategies to minimize the types of risks that potentially exist include:

- Development and deployment of policies and procedures that address known hazards and risks,
- Discussion of other actions, strategies and procedures that might help safeguard against unknown/unforeseen risks,
- Training of drivers and other agency staff on all safety policies and procedures,
- Training of drivers and other agency staff on methodologies for handling emergencies, and
- Training of drivers and staff on proper and effective use of emergency equipment and communication technologies and protocol.

Safety risk mitigations are tracked and updated in the Hazard Log by the Chief Safety Officer.

8 Safety Assurance

The third component of the Agency's SMS is Safety Assurance, which ensures the performance and effectiveness of safety risk controls established under safety risk management. Safety assurance also helps ensure that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of data regarding the organization's performance. Safety assurance includes inspection activities to support oversight and performance monitoring.

TJPAMC monitors its operations and maintenance protocols and procedures, and any safety risk mitigations to ensure that it is implementing them as planned. Furthermore, the Agency investigates safety events and any reports of non-compliance with applicable regulations, standards, and legal authority. Finally, the Agency continually monitors information reported to it through any internal safety reporting programs, including the employee safety reporting program.

Some of the key elements of TJPAMC's Safety Performance Monitoring and Measurement are shown below in subsection

8.1 Safety Performance Monitoring and Measurement

As part of the Safety Assurance Process, TJPAMC:

- Monitors the system for compliance with, and sufficiency of, the Agency's procedures for operations and maintenance through:
 - Safety audits,
 - Informal inspections,
 - Regular review of on-board camera footage to assess drivers and specific incidents,
 - Safety surveys,
 - Employee safety reporting program,
 - Investigation of safety occurrences,
 - Safety review prior to the launch or modification of any facet of service,
 - Daily data gathering and monitoring of data relating to the delivery of service,
 - Regular vehicle inspections and preventative maintenance, and
 - Continuous feedback loop between leadership and all levels of the agency.
- Monitors its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended through:
 - Reviewing results from accident, incident, and occurrence investigations,
 - Monitoring employee safety reporting,
 - Reviewing results of internal safety audits and inspections, and
 - Analyzing operational and safety data to identify emerging safety concerns.
- Conducts investigations of safety events to identify causal factors; and
- Monitors information reported through any internal safety reporting programs.
 - The Chief Safety Officer routinely reviews safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer ensures that the issues and concerns are investigated or analyzed through the safety risk assessment process.
 - The Chief Safety Officer also reviews the results of internal and external reviews, including audits and assessments, with findings affecting safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations. The Chief Safety Officer discusses relevant safety issues and concerns with the Accountable Executive and executive management and documents the results of these reviews in the Hazard Log.
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In the event of a fatality, the TJPAMC complies with all FTA drug and alcohol requirements.

In California, every driver involved in an accident that results in death, injury, or property damage over \$1000, effective January 1, 2017, must report the accident on a Report of Traffic Accident Occurring in California (SR 1) form to DMV. The report forms are available at www.dmv.ca.gov, by calling 1-800-777-0133, and at CHP and DMV offices. Also, under California Vehicle Code §16002(b) the driver of a vehicle that is owned or operated by a publicly owned or operated transit system, or that is operated under contract with a publicly owned or operated transit system, and that is used to provide regularly scheduled transportation to the general public or for other official business of the system shall, within 10 days of the occurrence of the accident, report to the transit system any accident of a type otherwise required to be reported pursuant to subdivision (a) of Section 16000 . TJPAMC requires driver notification to TJPAMC immediately and maintains records of any report filed pursuant to this paragraph.

9 Safety Promotion

The fourth component of the Agency's SMS is Safety Promotion, which includes a combination of training and communication of safety information to employees to enhance the Agency's safety performance. Safety Promotion sets the tone for the SMS and helps TJPAMC to establish and maintain a robust safety culture. Safety Promotion has two-components: (1) Safety Communication; and (2) Competencies and Training.

9.1 Safety Communication

TJPAMC communicates safety and safety performance information throughout the organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through an employee safety reporting program.

Ongoing safety communication is critical and TJPAMC ensures communication occurs up, down, and across all levels of the organization. Any lessons learned are communicated to all concerned. Management commitment to address safety concerns and hazards is communicated on a regular basis. Management encourages and motivates employees to communicate openly, authentically, and without concern for reprisal; ensures employees are aware of SMS principles and understand their safety-related roles and responsibilities; conveys safety critical information such as accident data, injuries, and reported safety concerns and hazards and their resolutions to employees. TJPAMC's tools to support safety communication include:

- Safety bulletins
- Safety notices
- Posters
- CDs or Thumb drives or online safety video access
- Newsletters
- Briefings or Toolbox talks
- Seminars and workshops
- New employee training and refresher training
- Intranet or social media
- Safety Committee Meetings

9.2 Competencies and Training

Competencies and Training: Executive Management ensures that all employees attend the training provided to understand their specific roles and responsibilities for the implementation of SMS. TJPAMC provides SMS training in the following areas:

All Employees:

- Understanding of Safety Performance Targets
- Understanding of fundamental principles of SMS
- Understanding of Safety Reporting Program – Reporting unsafe conditions and hazards/near misses
- Understanding of their individual roles and responsibilities under SMS

Managers and Supervisors:

- Understanding of Safety Risk Management
- Understanding of Safety Assurance
- Understanding of Safety Promotion
- Understanding of their individual roles and responsibilities for SMS

Executive Management:

- Understanding of management commitment to and support of all SMS activities.

All employees are required to acquire the competencies and knowledge for the consistent application of their skills as they relate to safety performance objectives. TJPAMC's dedicates resources to conduct effective safety-related skill training. The scope of the safety training is appropriate to each employee's individual safety-related job responsibilities and their role in SMS. Components of TJPAMC's skill-related training include:

- Conducting training needs analyses to ensure that the right information is being taught to the right employees using the most efficient training methods.
- Communicating purpose, objectives, and outcome.
- Ensuring relevant content by directly linking training to the trainee's job experiences so trainees are more motivated to learn.
- Using active hands-on demonstrations and practice to demonstrate skills that are being taught and provide opportunities for trainees to practice skills.
- Providing regular feedback during hands-on practice and exercises.
- Reinforcing training concepts in the post-training work environment by giving employees opportunities to perform what they've learned.

TJPAMC and First Transit Inc dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The Scope of the safety training, including biannual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

Basic training requirements for First Transit Inc. employees, including frequencies and refresher training are documented in the First Transit Inc Safety Policy Manual.

10 Documentation

Attachment A First Transit Inc Safety Plan Update (Dated: **10/25/21**)

Attachment B First Transit Inc Safety & Security Planning Manual

Pursuant to 49 CFR Part 673.31 TJPAMC and First Transit Inc maintains records related to this Safety Plan and SMS implementation for a minimum of three years. These documents include but are not limited to the results from SMS processes and activities. TJPAMC and First Transit will make these documents available to FTA Region 10, Caltrans, and other Federal and state agencies upon request.