PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

Capital Metropolitan Transportation Authority

Revision: 02

Effective: January 1, 2024

Contents

DOCUMENT REVISION RECORD				
Changes				**Effective Date**
Original Issue				May 22, 2020
Revision Number	**Summary of Changes**	**Affected Pages**	**Safety Committee Approval**	**Effective Date**
01	Updates include: • Bipartisan Infrastructure Law language • Administrative changes • Performance targets to include total numbers • Appendices A-C	Pg. 3-5, 22-27	November 9, 2022	November 21, 2022
02	• Amendments to clarify that Dottie Watkins is the President & CEO (removing "Interim"); • Alignment of reporting and performance targets to industry standards; • Table 4: CapMetro Monthly Reporting Responsibilities • Minor clarifications, such as clarifying between fiscal and calendar years, and correction of errata.	Pg. 3-5, 17-18	December 14, 2023	January 1, 2024

Introduction

Through the Moving Ahead for Progress in the 21 Century Act (MAP-21) and the Fixing America's Surface Transportation Act (FAST Act), Congress requires operators of public transportation systems that receive Federal Transit Administration (FTA) funds to develop and implement a Public Transportation Agency Safety Plan (PTASP). The rule takes effect on July 19, 2019 after which affected public transportation agencies will have one year to certify the initial establishment of their safety plans. The plan then must be reviewed, updated, approved, and certified by the transit agency annually.

As the transit agency that serves the Central Texas Region; Capital Metropolitan Transportation Authority (CapMetro) is pleased to establish this PTASP in accordance with 49 C.F.R. Part 673 ("Part 673").

I. Transit Agency Information

Transit Agency Name	Capital Metropolitan Transportation Authority (CapMetro)		
Transit Agency Address	2910 East 5th Street Austin, Texas 78702		
Name and Title of Accountable Executive	Dottie Watkins, President and Chief Executive Officer CapMetro		
Name of Chief Safety Officer or SMS Executive	Gardner Tabon, Executive Vice President Office of Safety, Occupational Health & Accessible Services		
Modes of Service Covered by this Plan	Fixed Route Bus, Demand Response, Vanpool		
List all FTA Funding Types	Fixed Route Bus: 5307, 5309, 5310, 5339(a), 5339(b), 5339(c) Demand Response: 5307		
Modes of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Bus, Demand Response, Vanpool, Commuter Rail		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	**Description of Arrangement(s)**	Negotiated contracts. The Buyer (city of Round Rock, Texas) pays the Seller (CapMetro) a negotiated fixed rate per unit of service. The Buyer (city of Georgetown, TX) pays the Seller (CapMetro) a negotiated fixed rate per unit of service.
Name and Address of Transit Agencies or Entities for which service is provided	City of Round Rock Administration Department 221 East Main Street Round Rock, TX 78664 City of Georgetown 808 Martin Luther King Jr. St. Georgetown, Texas 78626		

II. Plan Development, Approval, and Updates

Name of Entity that Drafted this Plan	Capital Metropolitan Transportation Authority (CapMetro)	
Approval by the Joint Labor/Management Safety Committee (Co-Chairs)	**Signatures of Joint Labor/Management Safety Committee Co-Chairs**	**Date of Signature(s)**
	Brent Payne	
	Gardner Tabon	
Signature by the Accountable Executive	**Signature of Accountable Executive**	**Date of Signature**
	Dottie Watkins	
Approval by the Board of Directors (Board Chairman)	**Name of Individual/Entity That Approved This Plan**	**Date of Signature**
	Jeffery Travillion	
	Relevant Documentation (title and location)	
Certification of Compliance	**Name of Individual/Entity That Certified This Plan**	**Date of Certification**
	Gardner Tabon	
	Relevant Documentation (title and location)	

Annual Review and Update of the Public Transportation Agency Safety Plan
Describe the process and timeline for conducting an annual review and update of the PTASP.

CapMetro will conduct continuous and ongoing review of the PTASP components prior to the recertification due date. The following activities will take place during each annual PTASP review:

- **Performance Targets:** CapMetro's Joint Health and Safety Committee (JHSC) Bus-Demand Response will review performance targets and goals monthly; including but not limited to leading and lagging indicators. The Safety Management Systems Committee (SMSC), which will meet to review agency progress toward meeting safety performance targets and review JHSC recommendations, will work with the JHSC if necessary, to adjust or revise recommendations before presenting them to the Joint Labor and Management Safety Committee (JLMSC) for review and approval.
- **Hazard Assessment, Risk, and Mitigation:** CapMetro will review its identified safety hazards, risks, and mitigations to ensure they reflect the current safety concerns faced by the agency on a recurring basis.
- **Trainings:** CapMetro will periodically update required trainings for agency staff and personnel. These trainings will reflect relevant safety concerns identified through evaluation of agency performance targets by the JHSC, the SMSC, and the JLMSC.
- **Executives, Management, and Staff:** CapMetro will provide a list of executives, management, and staff that comprise the JHSC, SMSC, and the JLMSC, as these committees are responsible for overseeing the safety plan's development and implementation. Any changes to staff, management, and executives who sit on the JHSC, the SMSC, or the JLMSC will also be annually updated.

Finally, CapMetro will review the PTASP annually in conjunction with the JLMSC, and update the PTASP as necessary to incorporate any significant changes that are made to the activities, information, or processes required by Part 673. All updates to the PTASP will be first reviewed and approved by the JLMSC, signed by the Accountable Executive, and then approved by the CapMetro Board of Directors. The Chief Safety Officer will sign certifying compliance with 49 CFR 673. CapMetro will certify that the updates to the PTASP comply with Part 673 on an annual basis.

III. Safety Performance Targets

Safety Performance Targets
Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan. (Based on last 3 fiscal years average.)

To capture the broad and varied nature of public transportation, the FTA relies on measures that can be applied to all modes of public transportation and are based on data that is now generally collected in the National Transit Database **(NTD)**. The FTA's safety performance measures improve transit safety performance by reducing safety events, fatalities, and injuries. The safety performance measures selected by the FTA are intended to provide "state of the industry" high-level measures and help focus individual agencies on developing specific performance indicators and \measurable targets relevant to their operations.

CapMetro's PTASP must establish seven mode-specific safety performance targets based on the S&S-40 (Major) form excluding security events:

1. **Fatalities:** Total number of reportable fatalities and rate per total Vehicle Revenue Miles **(VRM)**.
2. **Injuries:** Total number of reportable injuries to NTD and rate per total VRM.
3. **Safety Events:** Total number of reportable events and rate per total VRM, and
4. **System Reliability:** Mean distance between mechanical failures by mode.

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Mode of Transit Service	Fatalities (per 100k VRM)	Fatalities (Total)	Injuries (per 100k VRM)	Injuries (Total)	Safety Events (per 100k VRM)	Safety Events (Total)	System Reliability (miles between major failures)
Fixed Route Bus	0.00	1	0.36	53	0.54	79	5,500 miles between road calls
Demand Response	0.00	0	0.20	10	0.32	16	20,000 miles between road calls
Vanpool	0.00	0	0.03	1	0.11	3	233,000

IV. Safety Management Policy

Safety Management Policy
Include the written statement of safety management policy, incorporating safety objectives.

Safety is a core value at CapMetro. CapMetro is committed to developing, implementing, and improving strategies, management systems and processes to ensure that all CapMetro systems uphold the highest level of safety performance and meet regulatory standards. *CapMetro dedicates resources such as people and funding to support the commitment to safety. All levels of management, employees and service providers are accountable for meeting this commitment.* CapMetro's commitment is to:

- Develop and create a safety culture in all CapMetro transportation systems that recognizes the importance and value of effective safety management and acknowledges at all times that safety is important;
- Clearly define for all staff their accountabilities and responsibilities for the development and delivery of safety strategy and performance;
- Minimize the risks associated with all modes of transportation to a point that is as low as reasonably practicable/achievable;
- Actively develop and improve CapMetro safety processes to conform to or above regulatory standards;
- Ensure that all staff are provided with adequate and appropriate safety information and training;
- Establish and measure CapMetro safety performance against realistic goals and objectives;
- Continually improve safety performance;
- Conduct safety audits to ensure relevant action is taken to minimize risks and hazards; and
- Ensure that the application of effective safety management systems is integral to all applicable modes of transportation, with the objective of achieving the highest levels of safety standards and performance.

Safety Management Policy Communication
Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

Safety Management Policy is the foundation of CapMetro's Safety Management Systems (SMS). When the policy has been approved and promulgated at CapMetro, the legal team will distribute it via e-mail to ensure all are aware of CapMetro's commitment to SMS. The CapMetro Safety Management Policy Statement will then be added to the policy matrix on SharePoint where it can be viewed by all CapMetro employees.

CapMetro has developed a Safety Management Policy that complies with SMS requirements. The Safety Management Policy Statement is communicated throughout the organization with visible endorsement by CapMetro's President & CEO. The SMS communication channels have been established through the various safety committees: JLMSC, SMSC, and JHSC. These safety committees work collaboratively with management to establish a risk aware culture throughout the agency. CapMetro will also include managers and leaders in efforts to communicate the policy to avoid mixed messages or misunderstanding.

CapMetro will adopt a combination of the following methods among others to communicate the Safety Management Policy across the agency:

- *Posters*: design posters for the Safety Management Policy in a readable and easy to understand format. They will be placed at employee work areas and shared with CapMetro service providers.
- *Videos*: develop videos to introduce and explain the Safety Management Policy. The videos can be played at safety meetings, new employee orientations, and on designated TV monitors throughout our facilities (Timepoint TV).
- *Email Messages*: distribute information about Safety Management Policy through all-staff emails and inform service providers to share the messages with their staff as well.
- *Training Materials*: create Safety Management Policy training material, to be shared at new employee orientation, distributed to existing employees via email, and reviewed with employees during employee safety meetings.
- *Job or Position Descriptions*: either add reference or tweak the existing job or position description to include Safety Management Policy to reinforce the importance of compliance.
- *Special Sessions*: conduct special sessions with Board of Directors to review the Safety Management Policy and discuss SMS implementation.

Safety Meetings: Fixed Route and Demand Response transportation services mandate monthly safety meetings for all drivers, technicians, and supervisors. These gatherings serve as a consistent platform for communicating the importance and details of the Safety Management System (SMS), emphasizing each individual's role and responsibilities within this framework.

CapMetro will ensure that communications about Safety Management Policy includes realistic expectations. For instance, before distributing any information about the Safety Management Policy, CapMetro would consider if the language in the document portrays what the agency thinks it means to all intended audiences, as well as if the agency is able to consistently deliver the outcomes as promised. CapMetro will ensure the ability to demonstrate the communication effort through documentation and recordkeeping.

Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

Accountable Executive	CapMetro identified its President & CEO as the SMS Accountable Executive and the President & CEO has approved the Safety Management Policy. The President & CEO is accountable for ensuring that the agency's SMS is effectively implemented, and that action is taken, as necessary, to address substandard performance in the agency's SMS. The President & CEO's responsibilities as the Accountable Executive include but are not limited to: • Championing safety for the agency and drive decision-making. • Authorizing policy and resource decisions and determining the organization's priorities; and • Promoting open lines of communication about risks across organizational business units. The President & CEO may delegate specific responsibilities, but the ultimate accountability for CapMetro's safety performance always rests with the President & CEO.
Chief Safety Officer	The President & CEO of CapMetro (Accountable Executive) has designated the EVP, Systemwide Accessibility & Chief Safety Officer as the Chief

	Safety Officer (CSO) and. The CSO has the authority and responsibility for day-to-day implementation and operation of CapMetro's SMS. The CSO will hold a direct line of reporting to the CEO and is responsible for oversight of CapMetro's safety function and management of the SMS function during SMS implementation. Responsibilities of the CSO/SMS Executive will include but are not limited to: • Collection and analysis of safety information, • Hazard identification and safety risk evaluation activities, • Monitoring safety risk mitigations, • Providing periodic reports on safety performance, • Advising senior management on safety matters, • Briefing the President & CEO and Board of Directors on SMS implementation progress, • Maintaining safety management documentation, and • Planning and organizing safety training.
Agency Leadership and Executive Management	Other than the Accountable Executive and CSO/ SMS Executive, other executives have safety requirements in the performance management plans and responsibilities under the Strategic Plan.
Safety Committees	CapMetro designates safety committees with subject matter responsibilities for specific areas. The committees include appropriate representatives from various departments who work collaboratively on all safety-related items and system changes. They are also used to elevate issues to the executive level. See Appendix A for CapMetro Safety Committees flowchart. Safety committees within CapMetro consist of: • Joint Labor-Management Safety Committee (JLMSC) • Safety Management Systems Committee (SMSC) • Joint Health and Safety Committee: Bus/Demand Response (JHSC) • Security Committee ○ Bus Operator Assault Working Group

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

Employee Safety Reporting System (ESRS)

CapMetro's Employee Safety Reporting System is a confidential, non-retaliatory, and non-punitive reporting system that allows all employees and contract support to report workplace safety concerns and unsafe employee behaviors. There are multiple options available to all direct and service provider employees who seek to report safety concerns at CapMetro. Employees may call a safety reporting hotline, which provides an opportunity to leave an anonymous report. Employees can also provide a written report of the concern. Employees can provide their contact information if they wish to be kept updated on how the issue was addressed. These messages are reviewed by CapMetro Safety Department staff within 48 business hours.

The link to the ESRS is: https://app.capmetro.org/safety

The number for the Safety Reporting Hotline is: 512-852-SAFE (7233)

The primary gateway, however, to the ESRS is through an online web form that is available to employees and contractors through the CapMetro intranet site. This online web form is designed to be anonymous but provides employees with the opportunity to be contacted via email or phone.

WHAT TO REPORT AND WHAT NOT TO REPORT

ESRS

ESRS reports can include any safety concern that is reported by any direct or service provider employee. While it is primarily designed to capture non-close-call safety events/concerns, it can also be used for this type of reporting.

Close-Call Reporting

All employees can report "close-call events" (also called "near miss") through the ESRS, which are defined as events that could have resulted in personal injury, property damage, or environmental damage, but did not.

Fixed Route Bus

All fixed route buses are equipped with an OrbStar mobile data terminal. This system allows for the reporting of the following five (5) pre-set categories of close call: pedestrian/bicycle, fixed object, vehicle, scooter, and other. When a close-call event occurs, the vehicle operator presses the appropriate button, and a record is created in the OrbCAD database. This record contains the type of close call, the location and time of the incident, route number and transit vehicle number. The radio controller follows up with the vehicle operator who experienced the close-call and documents the close-call event, gathering further details. This information is then added to the record.

Demand Response

No automated onboard reporting system currently exists for reporting close-call events experienced by demand response vehicle operators. Close-calls/near misses and all other safety issues are reported via radio or text transmission by demand response vehicle operators in real time. These items are communicated to operations by the Demand Response Control Center into Everbridge. From there each event is logged for further evaluation. These evaluations encompass a series of procedures like a site evaluation with photographs and site diagrams, customer re-evaluation, mobility aid assessment, etc. The outcome of the evaluation is logged into the event log, customer account, location file and Trapeze.

Front-line Feedback is to provide a resource path for operators to report service and safety concerns they see while on the road and to enable efficient and effective responses. The *Front-line Feedback* does not replace the comprehensive event processes and procedures of the Emergency Notifications and/or the Employee Safety Reporting Process. All staff should be trained and tested in these comprehensive procedures established.

PROTOCOL FOR DEALING WITH REPORTED ISSUES

ESRS

Safety issues that are submitted via the ESRS hotline are entered into the online form by CapMetro safety staff, where all issues are compiled into a web database. CapMetro safety staff reviews all safety issues, and places each into one of the following categories: Equipment Hazard, Facility Hazard, Personnel Hazard, Route Hazard, Yard Hazard, or Other.

CapMetro safety staff then assigns an individual or organization that is responsible for addressing the reported issue. This responsible party can either be a direct or service provider employee(s) or could be a partner agency like the City of Austin. Some issues may be added to CapMetro's Risk Register and tracked until mitigations are in place.

Close-Call Reporting

Fixed Route Bus

The fixed route service provider should sends all safety issues to CapMetro safety staff, who manually enter these issues into a master database containing all close-call events from OrbCAD and any other source.

Demand Response

Once demand response operators report close-call events, they are sent to CapMetro safety staff where they were combined with Fixed Route bus close-call events in the master database.

Reported safety issues are analyzed, acted upon and resolved using a multidisciplinary and/or cross functional approach.

EMPLOYEE FEEDBACK

ESRS

Individuals reporting issues through the ESRS have the option to receive updates on the status of their concerns by providing their contact information. Individuals can provide either a phone number or email address and the user will be contacted as requested or upon resolution of the report.

The goal is to have the issue resolved as soon as practicable of the initial report date. The issue remains open until it is resolved, at which time it is closed. The CapMetro safety committees also periodically review the ESRS data for trends and communicates these to all employees through various communication channels.

Close-Call Reporting

CapMetro does not have a formal process for providing employee or service providers' feedback regarding close-call events. Close-call reports are reviewed on a case-by-case basis, to determine if follow up discussions with CapMetro or service provider representatives need to occur.

BEHAVIORS NOT EXEMPT FROM DISCIPLINARY ACTION

The ESRS (including the close-call reporting system) is designed to be non-punitive. However, there are instances where reported behaviors are not exempt from disciplinary actions. These actions are evaluated by CapMetro safety staff, who may determine that the behavior violates existing CapMetro policies or law. If this determination is made, disciplinary action may be taken against the

policy violators. To ensure compliance, the Safety Management Systems Committee will conduct safety assurance activities as it relates to adherence to the CapMetro Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion and its subcomponents.

If and when it is determined that disciplinary action is necessary, the process outlined in CapMetro Disciplinary Policy HCR-516, which defines a company-wide process for consistent actions for discipline, corrective action and development of employees, is followed. If disciplinary action is necessary for a service provider employee, the service provider's disciplinary policy applies.

COLLABORATION WITH LABOR UNIONS

Union members are invited to all CapMetro Safety Meetings in which safety concerns and/or issues are reviewed and/or discussed.

V. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

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

SAFETY HAZARD IDENTIFICATION

CapMetro Safety Hazard Identification Process

CapMetro has an established program for hazard identification and analysis to identify and address hazards before they escalate into incidents or accidents. The existing hazard identification sources include:

- Employee Safety Reporting System
- Quality Assurance/Quality Control Inspections
- Internal Audits
- Accident Reporting and Review
- Safety Committee Reviews
- Safety Risk Register
- Customer and Community Feedback
- Inertia-Based Camera Systems (On-Board Monitoring System)
- National Transit Database

The reporting methods include hotlines, web-based reporting systems, form-based reporting systems, and direct reporting to management. The CapMetro ESRS is applicable to both direct and service provider employees. To increase participation from all employees and service providers, CapMetro has developed a communication plan for ESRS.

The service providers also conduct routine inspections of vehicles, facilities, and equipment to identify safety issues that can be addressed. Much of this process is outlined in the scope of services in their contracts. Additionally, service providers conduct monthly safety meetings and CapMetro may send a representative to attend.

CapMetro has implemented a Safety Risk Register that is reviewed and discussed with the safety committees to track identified hazards to resolution. The Safety Risk Register provides system safety progress visibility, and derived system safety requirement traceability for use in progress reports and system safety working group meetings. It is used to track each hazard to closure. Each Safety Risk Register contains at a minimum:

- Hazard Number
- Date Identified
- Description of Hazard (including failure effect)
- Initial Hazard Assessment (Severity + Probability = Risk)
- Recommendation(s) for Corrective Action

- Responsible Person/Department
- Proposed Closure Date
- Final Hazard Assessment (Severity + Probability = Risk)
- Status

The Safety Risk Register is first analyzed by the CapMetro safety department and then at the JHSC. Safety Risk Register items are further reviewed and discussed at the SMSC and JLMSC. This process is documented in the safety committee charters.

As appropriate, subject matter experts from relevant departments are involved in CapMetro's hazard analysis. The SMSC includes representatives from across the organization that are involved in the hazard analysis. Subject matter experts from CapMetro and the CapMetro service providers participate and collaborate in the analysis of identified hazards.

When analyzing hazards, CapMetro considers human factors, environment, equipment, supervision, and organizational elements. All safety hazards are categorized to identify the causal factors. These factors may include route hazards, personnel hazards, and so on. CapMetro also implemented equipment/facility inspection process to track, identify and address the environmental concerns and organizational hazards that may exist.

SAFETY RISK ASSESSMENT

CapMetro Safety Risk Assessment Process

CapMetro has developed and adopted safety risk matrices for probability and severity, as well as evaluated safety risks associated with service delivery operations**.** Safety hazards are prioritized according to the severity categories in Table 1. CapMetro has also established criteria for the elevation of evaluated safety risks to the JLMSC. This committee routinely reviews the Safety Risk Register and other safety data reports.

To determine the appropriate severity category for a given hazard, CapMetro will identify the potential for death or injury, environmental impact, or monetary loss. A given hazard may have the potential to affect one or all areas.

Items with a risk assessment category of a low or medium can be addressed in local safety committees of each mode. Items that have been assigned a risk assessment category of serious or high must be submitted for review to the JHSC and SMSC. If an item is still determined to meet the risk assessment category of High, senior leadership must be immediately notified.

Table 1. Severity Categories

SEVERITY CATEGORIES		
Description	**Severity Category**	**Mishap Result Criteria**
Catastrophic	**1**	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding $10M.
Critical	**2**	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least

		three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding $1M but less than $10M.
Marginal	**3**	Could result in one or more of the following: injury or occupational illness resulting in one or more lost workday(s), reversible moderate environmental impact, or monetary loss equal to or exceeding $100K but less than $1M.
Negligible	**4**	Could result in one or more of the following: injury or occupational illness not resulting in a lost workday, minimal environmental impact, or monetary loss less than $100K.

CapMetro also assesses the probability of an occurrence of a mishap using the guidance shown in Table 2. Probability Level F is used to document cases where the hazard is no longer present. No amount of doctrine, training, warning, caution, or Personal Protective Equipment (PPE) can move a mishap probability to Level F.

Table 2. Probability Levels

PROBABILITY LEVELS			
Description	**Level**	**Specific Individual Item**	**Fleet or Inventory**
Frequent	**A**	Likely to occur often in the life of an item.	Continuously experienced.
Probable	**B**	Will occur several times in the life of an item.	Will occur frequently.
Occasional	**C**	Likely to occur 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.

Assessed risks are expressed as a Risk Assessment Code (RAC) which is a combination of one severity category and one probability level. For example, a RAC of 1A is the combination of a Catastrophic severity category and a Frequent probability level. Table 3 assigns a risk level of High, Serious, Medium, or Low for each RAC.

Table 3. Risk Assessment Matrix

SEVERITY / PROBABILITY	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	Serious	Medium
Probable (B)	High	High	Serious	Medium
Occasional (C)	High	Serious	Medium	Low
Remote (D)	Serious	Medium	Medium	Low
Improbable (E)	Medium	Medium	Medium	Low
Eliminated (F)	Eliminated			

High = Hazard must be mitigated
Serious = Hazard should be mitigated, to extent practicable
Medium = Hazard is acceptable, with management review
Low = Hazard is acceptable

SAFETY RISK MITIGATION

CapMetro Safety Risk Mitigation Process

The CapMetro safety committees review the Safety Risk Register and determine mitigation strategies based on the result of the safety risk assessment process. Mitigations can reduce risk by reducing likelihood and/or severity. Risks that cannot be mitigated by the corresponding JHSC are taken to the SMSC and JLMSC for review and either acceptance or further mitigation. The SMSC also utilizes the Safety Risk Register to monitor corrective actions, track the effectiveness of mitigation measures implemented, and to ensure hazards and findings (e.g., audit findings) are suitably addressed.

VI. Safety Assurance

Safety Performance Monitoring and Measurement
Describe activities to monitor the system for compliance with procedures for operations and maintenance.
CapMetro requires their service providers to provide various plans, which CapMetro uses to monitor for compliance with operations and maintenance procedures. The **Performance Monitoring Plan** includes details on daily operations management, training program assessment, quality assurance inspections, and service audits. The plan includes the methods the service provider will use to identify metrics and goals, the process to measure performance success, the frequencies of quality assurance inspections, the process to establish steps to correct deficiencies in performance, and the plan to communicate findings to CapMetro. The Performance Monitoring Plan must be approved by CapMetro prior to the start of service and is reviewed annually. The **Vehicle Maintenance Plan** describes how the service provider will meet the requirements of the CapMetro Maintenance Program. This plan includes detailed descriptions of work that the service provider will undertake to ensure that they meet the requirements of the program. The Vehicle Maintenance Plan must also be approved by CapMetro prior to the start of service and is reviewed annually. Additionally, service providers could be required to submit their own **Agency Safety Plan** and a **Training Plan**, which CapMetro may review and approve prior to implementation. CapMetro staff periodically ride in service provider-operated vehicles to ensure compliance with contract requirements. CapMetro staff also periodically conduct audits of the service provider's vehicle files, archived data, and service yards. Service providers are required to establish a program for analysis of operations, customer service, safety, maintenance, and other data required by CapMetro. The service provider must perform data analytics to draw conclusions about the information contained in the data for the purposes of continuous improvement of processes and procedures. The service provider submits reports that summarize the data analysis and analytics, which CapMetro staff review. CapMetro monitors systems for compliance and ensures sufficiency of operations and maintenance procedures. Other activities undertaken for monitoring safety include: • Record and track safety concerns in the Safety Risk Register • Monitor and evaluate safety data including accidents, incidents, and occurrences • Monitor and evaluate concerns in the Employee Safety Reporting Program which includes the ERS and Close-Call data Non-compliance is addressed through training, coaching, and management oversight. Any insufficient procedures are addressed through Safety Risk Management (SRM)activities. CapMetro's JHSC – Bus and Demand Response is responsible for ongoing safety assurance by monitoring and making recommendations to the SMSC. The SMSC will work with the JHSC, if necessary, to adjust or revise recommendations before presenting them to the JLMSC for review and/or approval.

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

CapMetro monitors operations to identify safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. CapMetro tracks both lagging and leading indicators of safety performance for safety risk mitigation monitoring. If ineffective, CapMetro re-analyzes the hazards and consequences the mitigation was intended to address through SRM. If inappropriate, CapMetro identifies new mitigation options. If not implemented as intended, CapMetro considers alternative mitigations or alternative approaches to implementation. Safety data is used to inform the safety committees if strategies implemented achieved the desired results. The Safety Risk Register is used as a way to track safety concerns. Concerns remain on the Safety Risk Register until the committee(s) decides that the issue has been reduced to the lowest practicable level of safety risk.

Performance measures and metrics are included in service providers' contracts to help ensure provision of the highest level of service possible. CapMetro monitors the service providers, reviewing its performance to ensure adherence to all performance measures and metrics. Should the service provider fall short of acceptable standards, punitive action may be taken. In these cases, the service provider is required to submit detailed Action Plans to address any performance indicators that don't meet the standard. CapMetro meets with the service providers to consider its input on performance goal adjustments.

Biennially, CapMetro conducts surveys of service provider employees to gain insight into overall management of CapMetro operations and to help identify and mitigate issues that may prove detrimental to operations.

The results of all CapMetro audits are rated and recorded with deficiencies necessitating a written response from the service provider.

Bus service is monitored and measured using a CAD/AVL system, OrbCAD, Trapeze and other system reports, which are reviewed by CapMetro regularly. Demand Response service is monitored using the Trapeze PASS operating software. Demand Response Pickup service is monitored using the VIA software.

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

CapMetro and its service providers conduct investigations of accidents, incidents, and occurrences to identify causal factors. The factors include but are not limited to rule violations and technical failures. Identification of causal factors helps to reveal hazards that could be addressed through SRM.

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

CapMetro and its service providers monitor information reported through all internal safety reporting programs which includes the Employee Safety Reporting System, close call/near miss system, accident and incident reporting, hazard logs, etc.

CapMetro developed the Accident Definitions and Criteria for a Monthly Reporting Policy which was updated in June 2016. It defines the responsibilities for the monthly reporting (see Table 4). The monthly collision/accident reports with specific goals for the year act as the major safety performance monitoring and measurement activity. The Monthly Safety Report compares 13 months of data for

vehicle collisions, preventable vehicle collisions, passenger injuries, etc. for all services offered by CapMetro. Organization-wide as well as individual service provider specific targets are established and updated every year.

Table 4. CapMetro Monthly Reporting Responsibilities

Office of Safety, Occupational Health & Accessible Services	• Capture accident/incident data in a comprehensive database. • Prepare monthly safety report that documents the frequency, trends of accidents, along with leading and lagging indicators for CapMetro services. • Classify accidents/incidents according to the definitions in the policy and make initial accident severity classification. • Conduct periodic analysis of vehicle collisions, passenger injuries, employee injuries and occurrences to identify trends. • Review monthly accident statistics and trends to identify and implement measures to improve safety and prevent reoccurrences.
Bus Operations and Demand Response Services Departments	• Ensure that contracts for bus and demand response services include accident reduction goals with incentives or penalties linked to achievement of the goals. • Ensure that contracts for bus and demand response services include a requirement to rule on the preventability of vehicle accidents and passenger accidents as defined in this policy in accordance with National Safety Council standards. • Review accident rulings on a monthly basis.
Safety Committee Process (JHSC, SMSC, and LMSC)	• Review accident trend reports to develop hazard reduction measures and lessons learned.

Management of Change
Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

Changes in Bus Operations and Demand Response occur with equipment, environment, policies, procedures, schedules, and routes. An essential process is to identify where changes may come from, list them, and ensure that the proper communication takes place. Changes are then evaluated to determine the impact on CapMetro's safety performance and evaluated through CapMetro's SRM process whenever appropriate.

As these changes occur, impacted departments and resident experts assess how these changes will impact safety by asking: What could go wrong? What would be the consequences? How often is it likely to occur?

Other departments are asked to collaborate in the assessment where appropriate. External changes may require collaboration with city or other agencies to assess impact on safety.

CapMetro will also manage change to our services, facilities, vehicles, and employees via the safety committee process. Any change that has the potential to impact safety will first be addressed by the JHSC for initial review. Recommendations for managing the change in question will then be forwarded to the SMSC for consideration and then to the LMSC for final input and review.

Depending on scale, changes may also go through the Safety and Security Certification Process which CapMetro has implemented. The goal of this process is to identify and manage any conditions that may potentially result in harm. Key features of this process include: 1) development of a policy formalizing management risk acceptance practices for activities that affect the safety and security of the operational system, 2) implementation of a dedicated program of hazard and vulnerability analysis and tracking, 3) implementation of a dedicated program of review to verify that safety and security requirements are included in project specifications, and 4) implementation of a dedicated program of testing and evaluation, to verify that safety and security-critical elements comply with contract specifications. The application of this process helps inform decision-making at all levels. This certification process is overseen by the Safety and Security Certification Committee, which is comprised of senior management personnel and their designees. Periodically, the SMSC audits the SSCP to ensure that it is working in the intended manner.

CapMetro Facility Management has also adopted a dedicated process for managing change that might affect operation. This process is under the responsibility of the Vice President of Property and Asset Management and is outlined in the CapMetro Facility Programming Study and Master Plan.

Continuous Improvement
Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

Bus Operations and Demand Response continuously review data and performance reports at a minimum of once a month that include a focus on goals and targets that are not being met. Corrective Action Plans are implemented based on trends and data identified as negatively affecting the goals. The Corrective Action Plan tracks progress using established measures that are reviewed at set frequencies (weekly, biweekly, or monthly). Data sources include, but not limited to, accidents, collisions, injuries, and ESRS. The information is reviewed monthly or more frequently with internal stakeholders and with our service providers. Assessments are completed with the focus on identifying root causes and opportunities to improve safety and reducing risk.

The Office of Safety, Occupational Health & Accessible Services staff at CapMetro have an ongoing and periodic evaluation of the SMS to effectively and efficiently meet safety objectives (CapMetro Safety Management Policy Statement) and performance targets. Refer to CapMetro's Strategic Plan, Strategic Vision Alignment, and the public facing dashboard to see how continuous improvement is ~~stressed~~ prioritized in the organization.

CapMetro will endeavor to continuously improve the safety of our services, vehicles, facilities and employees. In part, this is done via our safety committee process where opportunities for improvement will be identified through a variety of channels and addressed by the JHSC's, followed by review by the SMSC and finally by the LMSC. The channels for identification of these improvements

include the Employee Safety Reporting Program (ESRP), Safety Data, field observations, employee and customer input, industry studies, and best practices.

Besides the safety objectives and safety performance targets, CapMetro may also monitor safety performance based on:

- Key sources of safety information. CapMetro has abundant data sources of safety information, specifically the Employee Safety Reporting System and Close Call Reporting.
- Key areas of safety risk. CapMetro identifies and emphasizes the areas with higher/more severe safety risk.
- Performance of key safety processes or activities. CapMetro monitors key safety processes and activities such as the ESRP, service delivery activities, and staff safety trainings.

Related lessons learned are incorporated into organizational policies and procedures.

The Risk Appetite Statement was developed internally at CapMetro. It is based on the Enterprise Risk Management process. When a change is made, an entry is made in the Risk Register. The project manager has to rate the risk, treat the risk, and come to a complete and final resolution.

The Joint Labor and Management Safety Committee(JLMSC) and other safety committees review the overall safety performance quarterly. They review and analyze safety performance statistics and make recommendations for needed changes. The Accountable Executive (CapMetro CEO) acts to address inadequate safety performance based on the information generated from the safety performance assessments. Under the direction of the Accountable Executive, CapMetro will address any identified safety deficiencies found in the SMS or other agency processes and activities in a timely manner. The plan to address identified safety deficiencies will include but not be limited to:

- Addressing underlying hazards and potential consequences through the safety committee process
- Data collection or analysis techniques to better understand the root causes of identified issues
- Testing and evaluating new approaches to SMS processes

As part of the existing effort for improvement, CapMetro has participated in the American Public Transportation Association (APTA) Safety Audit Peer Review Program for the past several years and has adopted the recommendations from the program. CapMetro has and will continue to reach out to peer agencies to gather information on effective safety practices that could be incorporated into the SMS.

All safety performance documents along with the management of change and continuous performance documents will be stored on CapMetro's web based collaborative platform known as SharePoint. In addition, audits will be performed by the Operations Management Oversight department. The Joint Health and Safety Committee (JHSC) for bus and Demand Response and the Safety Management Systems Committee (SMSC) will oversee and review this process.

VII. Safety Promotion

Competencies and Training
Describe the safety training program for all agency employees and contracted service provider directly responsible for safety.

This section describes the safety training activities conducted by both CapMetro and CapMetro service providers.

CapMetro

CapMetro has developed and implemented an expansive safety training program for employees across the organization, including customized training for safety committee members, the operations and maintenance personnel and personnel directly responsible for safety key safety personnel. The following are a few examples of training courses provided.

De-escalation Training. The focus of this training is to provide transit bus operators the knowledge and skills needed to reduce the likelihood of assault incidents during revenue service. Prevention methods covered include: defining assault, discussing the types of incidents that could be considered assault, and recognizing key vulnerability factors. Prevention strategies focus on communication and response skills, and the value of reporting incidents.

SMS Awareness. The focus of this Transportation Safety Institute web course is to introduce the participant to Safety Management Systems (SMS), describe the four components of FTA's SMS Framework, and identify the importance of Employee Safety Reporting Systems to the success of SMS.

OSHA Training. This 10-hour session focuses on several items including: Recognizing, avoiding, abating and preventing safety and health hazards in workplaces; Recognizing types of hazards that require PPE; Identifying, describing and protecting oneself and others from the Four Focus Hazards: Fall, Electrocution, Caught-In or Between and Struck-By; and, Protecting oneself from Safety and Health Hazards.

SMS Principles. The focus of this training is to familiarize staff with Safety Management System (SMS) principles. Includes executive leadership and accountability for safety, creating a positive safety culture, preventive risk analysis and building an employee non-punitive safety reporting program.

Transit Safety and Security Program (TSSP) Certification. This training program provides a broad-based understanding of safety and security principles applicable to transit operations and management. The training also provides knowledge to develop and implement safety and security program plans.

SMS Assurance Training. The focus of this training is to provide individuals with the knowledge to help validate that the implemented safety risk mitigations are performing as intended. The primary methods taught in this class focus on effective monitoring techniques to assess individual performance to develop an aggregate view of organizational safety performance. The results serve as the source for safety performance data and predictive actions (s). The results also help identify any changes that may create new operational service delivery safety risks.

ESRS Training. The focus of this training is to provide guidance on how to report safety concerns via the Employee Safety Reporting System (ESRS).

CapMetro will continually assess the need to develop specific training protocols and require refresher training, as necessary, for any and all employees with safety related functions. These needs are reviewed periodically and addressed on a continuous basis.

CapMetro has developed a program to provide appropriate training to all employees that have a direct role in safety as determined by their respective job descriptions. This includes safety staff, safety committee members, and those that play a critical role in service delivery. We have also developed training protocols for rank and file employees to enhance their understanding of SMS as well as their role in safety.

All employees have safety related competencies in their job description and performance management plan. Refer to the Safety Management Policy for more details.

CapMetro Service Provider (Contractor) – Bus

Job-specific training programs enhance safety skills necessary for safe, secure, reliable service. The primary areas of focus for bus safety training are:

General Safety. The focus of this training is basic safety, as it relates to the provision of public transportation services. It is part of the employee onboarding process, with refresher courses required periodically. This training program also includes OSHA required courses, SMS Safety and Security course, hazard identification, and drug and alcohol training as well as fatigue management and the use of the inertia-based camera system for capturing near misses to identify and address unsafe driving behaviors.

Vehicle Operations and Maintenance. This training program includes training for vehicle operators and maintenance/facilities technicians and is focused on safe transit vehicle operations, including defensive driving. Operations staff is required to take refresher and post-accident retraining for vehicle operators and transportation management. All bus operators and supervisors involved with the public must receive training in emergency operations and participate in emergency readiness training and drills. A train-the-trainer course is also provided to all company Behind the Wheel driving instructors. Other training activities include the use of safety videos played continuously in the ready rooms, camera video recording counseling sessions, and individual counseling.

Health and Wellness. The focus of this training is on health and wellness, including ergonomics, back safety, exercise, nutrition, and sleep.

CapMetro Service Provider (Contractor) – Demand Response

The primary areas of focus for demand response safety training are:

Workplace Safety. The primary goal of workplace safety training is to give employees the information and skills necessary to perform their assigned tasks without endangering themselves or others. The training complies with current state and federal standards and covers potential safety and health hazards as well as safe work practices and procedures to eliminate or minimize hazards. Specific components of this training may include, but are not limited to, the following: Hazard Communications

Training, Personal Protective Equipment Training, Injury and illness prevention training; Blood Borne Pathogens Training, First Aid and CPR Training, Drug and Alcohol Abuse Policy Training, ADA Laws and Regulations Compliance Training, Hazard Identification and Resolution Training, Safety Management System Training, Accident/Incident/Near Miss Reporting Training, Security and Emergency Preparedness Training, Safety Rules and Compliance Program Training, and, lastly, Facility, Systems, and Equipment Maintenance.

Workplace safety training is part of the employee onboarding process, with refresher courses required periodically. The CapMetro MetroAccess Rider's Guide is taught to all demand response service provider employees and the procedures and guidelines listed in the Rider's Guide are followed as required by CapMetro. The workplace violence program is included in the service provider's Employee Dignity Policy and is distributed to all employees. Specific awareness training is included in orientation classes for new employees.

Vehicle Operations and Maintenance. The service provider develops, implements and maintains a formal training and retraining program for all vehicle operators, supervisors, dispatchers, and maintenance/facilities technicians on safe transit vehicle operations, including defensive driving, hazard reporting, and proper response to events. Operations staff is required to take Transit and Paratransit Company (TAPTCO) operator training, which includes Bus Operator Rules and Procedures and Supervisor Training. Vehicle maintenance staff is required to take Bus Maintenance Training. Operations staff is also required to take refresher and post-accident retraining for vehicle operators and transportation management.

Health and Wellness. The focus of this training is on health and wellness, including ergonomics, back safety, exercise, nutrition, and sleep.

All employees that work in safety sensitive positions will receive, at a minimum, instruction in the following areas: requirements of the Safety Plan and the four FTA MAP-21 SMS elements as it relates to transit employees; requirements of all Federal, State and Local law, codes, ordinances, and regulations as it relates to their positions; The safe operation of in-service vehicles and associated equipment, and On-Road Training and Wheelchair Lift Operation Training.

Safety Communication

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

This section of the PTASP describes the methods used to communicate safety and safety performance information by both CapMetro and CapMetro service providers.

CapMetro

Safety Information. CapMetro communicates safety information, including information on hazards and safety risks relevant to employees' roles and responsibilities, internally via a variety of communication channels such as email, face to face meetings, newsletters, posters, videos, training materials, and message boards. CapMetro informs employees of safety actions taken in response to reports submitted through the ESRS where the employee has provided contact information for follow up.

Safety Performance Information. CapMetro communicates safety performance information internally through monthly accident statistic updates to the Board of Directors and Safety Committee

updates regarding accident and Safety Risk Register reviews. CapMetro conducts external safety reporting via our web-enabled dashboard, which provides accident statistics to external customers.

CapMetro Service Provider (Contractor) – Bus

Safety Information. The bus operations service provider communicates safety information internally through company-wide or departmental meetings, Safety Team briefings, bulletin board postings, memos, and other written communications.

Safety Performance Information. The bus operators service provider communicates safety performance information internally through company-wide or departmental meetings, Safety Team briefings, bulletin board postings, memos, and other written communications. The bus operations service provider communicates safety performance information externally through monthly team meetings with CapMetro.

CapMetro Service Provider (Contractor) & CapMetro Staff – Demand Response

Safety Information. The Demand Response Control Center is staffed by CapMetro staff and service provider employees. The Demand Response Control Center is the central point of communication for demand response operations including MetroAccess, Pickup and MetroBike. The Demand Response Control Center communicates safety information through memorandums distributed directly to employees, messages on the employee and/or passenger signboards, handouts, brochures, and other media.

Safety Performance Information. The CapMetro Demand Response staff communicates with operations service provider regarding safety performance information through safety calls with management staff, monthly and ad-hoc safety meetings. Service providers provide feedback and coaching sessions to vehicle operators, daily safety messages to vehicle operators, bulletin board postings, memos, and other written communications. The service provider communicates safety performance information externally through safety meetings with CapMetro.

VIII. Infectious Diseases

Infectious Diseases
Include strategies to minimize the exposure of the public, personnel, and property to infectious diseases consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority.

There are several aspects of an infectious disease emergency that differentiate it from other emergencies and that require variation in widespread planning, response, and recovery. The intent of this section is to provide safety risk management strategies to minimize the exposure of the public, personnel, and property to infectious diseases consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority; however, nothing in this document precludes the primary parties (CapMetro departments, management, employees, or key stakeholders) from modifying their actions to meet the unique conditions presented.

These unique actions and responses may be based on one or more of the following:

a) The current threat of disease in the world, region, state, and local area
b) The unique nature of the disease including the incidence, morbidity, and mortality of the disease
c) The novel nature of the disease pathogen, particularly whether it mutates rapidly, has high virulence, and spreads easily from person-to-person
d) Mandates and/or orders by federal, state, or local public health or public safety authorities

Key preparedness and safety risk management strategies include:

1. Coordinating with local and regional public health agencies to plan for surveillance, reporting, mass vaccination, antiviral/antibiotic distribution, isolation and quarantine, and implementation of disaster triage standards that direct resources to care for those with a potential for survival.

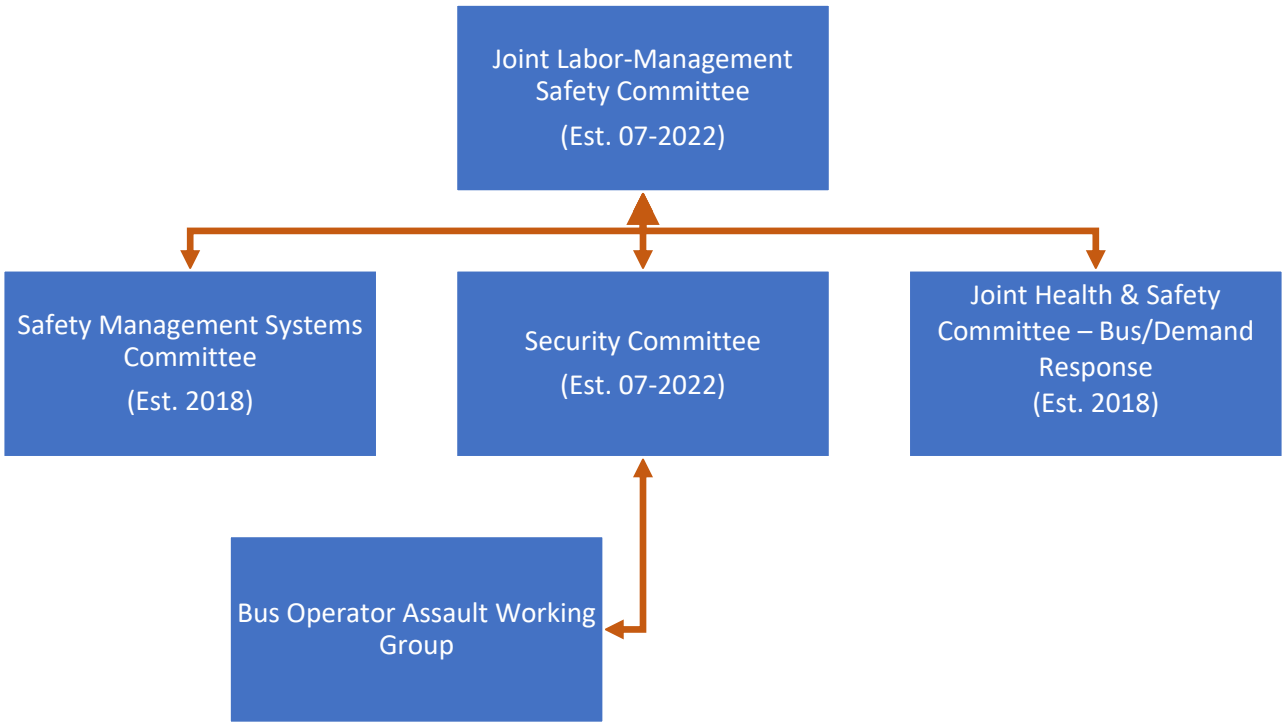
2. Monitoring disease burden among the local population to collect novel pathogen-related morbidity and mortality data that will be used to inform decision-making. This includes gathering real-time information from local, federal, and international public health partners, and monitoring the disease burden in the region when feasible.

3. Communicating to CapMetro stakeholders about the disease spread, what prevention actions individuals can take, and the operational status of the agency during various levels of the pandemic is essential. The agency will collaborate with local public health entities, as appropriate, to influence public behavior regarding basic infection-control measures such as handwashing or using sanitizing hand gel, maintaining respiratory etiquette, staying home when sick, and avoiding unnecessary contact with people who are ill.

4. Planning for business continuity by:
   - Determining essential staff and services in the event non-essential operations are suspended
   - Considering the provision of business continuance through technology when feasible
   - Determining operational function at low staffing levels
   - Implementing social distancing measures, when deemed necessary
   - Deciding when non-essential business travel to affected global areas is needed

5. Planning for recovery of operations so normal operations can be resumed when feasible.

Appendix A: CapMetro Safety Committees (Information Flow)



Appendix B: List of Acronyms and Abbreviations

Abbreviation	Definition
CapMetro	Capital Metropolitan Transportation Authority
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
ESRS	Employee Safety Reporting System
EVP	Executive Vice President
FTA	Federal Transportation Administration
JHSC	Joint Health and Safety Committee
JLMSC	Joint Labor-Management Safety Committee
MAP-21	Moving Ahead for Progress in the 21st Century Act
NTD	National Transit Database
PPE	Personal Protective Equipment
PTASP	Public Transportation Agency Safety Plan
SMP	Safety Management Policy
SMS	Safety Management Systems
SMSC	Safety Management Systems Committee
SRM	Safety Risk Management
SSC	Safety and Security Certification
VRM	Vehicle Revenue Miles

Appendix C: Definitions

Accident	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.
Accountable Executive	A single, identifiable individual 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.
Assault on a Transit Worker	A circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.
Chief Safety Officer (CSO)	An adequately trained individual who has responsibility for safety and reports directly to the CEO, General Manager, President, or equivalent officer. A CSO may not serve in any other operational or maintenance capacity.
Event	An Accident, Incident, or Occurrence.
Fatality	A death that results from an event and that occurs within 30 days after the date of the event.
Federal Transit Administration (FTA)	An agency within the United States Department of Transportation.
Hazard	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.
Incident	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.
Investigation	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	The plan to improve the safety of all public transportation systems that receive federal financial assistance under 49 USC Chapter 53.
Occurrence	An Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency.
Performance Measure	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	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).
Public Transportation Agency Safety Plan (PTASP)	The documented comprehensive agency-wide safety plan for a transit agency that is required by 49 USC 5329(d) and based on a SMS.
Risk	The composite of predicted severity and likelihood of the potential effect of a hazard.
Risk Registry	Records the hazards identified by the transit agency, the potential consequences associated with these hazards, initial safety risk ratings, new mitigations implemented to eliminate or minimize the risk associated with the hazard.
Safety	Freedom from harm resulting from unintentional acts or circumstances.
Safety Assurance	The process within a transit agency's SMS that functions 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 (SMP)	A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees regarding safety.
Safety Management System (SMS)	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	A quantifiable level of performance or condition expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.
Safety Promotion	A combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
Safety Risk Management (SRM)	A process within a Transit Agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.
Safety Risk Mitigation	The activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.
Safety Risk Probability	The likelihood that a consequence might occur, taking as reference the worst foreseeable–but credible–condition.
Safety Risk Severity	The anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable–but credible–a condition.
Serious Injury	Any injury which: 1) Requires hospitalization for more than 48 hours, commencing within seven (7) days from the date of the injury was received; 2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); 3) Causes severe hemorrhages, nerve, muscle, or tendon damage; 4) Involves any internal organ; 5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.