



Ventura County Transportation Commission

Public Transportation Agency Safety Plan

July 10, 2020

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Background

The Public Transportation Agency Safety Plan (PTASP) final rule (49 C.F.R. Part 673) requires operators of public transportation systems that are recipients or sub-recipients of FTA grant funds to develop safety plans that include the processes and procedures necessary for implementing a Safety Management System (SMS).

A Safety Management System (SMS) is defined as the formal, top-down, organization-wide, data driven approach to managing safety risk and assuring the effectiveness of safety mitigation. It includes systematic policies, procedures, and practices for the management of safety risk. The goal is to deliver positive, measurable results and ensure the best use of available resources to identify safety hazards, analyze safety risks, and mitigate potential risks.

The following Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.

Section 1. Transit Agency Information

The Ventura County Transportation Commission (VCTC) is a state-designated Regional Transportation Planning Agency (RTPA) that operates the Intercity commuter bus service and the Valley Express fixed route and Dial-A-Ride service. VCTC contracts operation of its transit services to RATP Dev and MV Transportation, Inc.

Transit Agency Name	Ventura County Transportation Commission (VCTC)
Transit Agency Address	950 County Square Drive, Ventura, CA 93003
Name and Title of Accountable Executive	Darren Kettle, Executive Director, VCTC
Name of Chief Safety Officer or SMS Executive	Martin Erickson, Public Transit Director, VCTC
Modes of Service Covered by this Plan	Commuter Bus (CB), Bus (MB), Demand Response (DR)
Modes of Service Provided by VCTC	Commuter Bus (CB), Bus (MB), Demand Response (DR)
List of All FTA Funding Types	Federal Urban Area Formula Program (5307), Federal Buses and Bus Facilities and Low or No Emission Program (5339), Federal Congestion Mitigation and Air Quality (CMAQ).
Entities for which Service is Provided	The VCTC operates Intercity Commuter Bus Service (CB). Additionally, the Valley Express Service (MB and DR) is managed and administered by the VCTC and provided by a cooperative agreement between VCTC, the cities of Santa Paula and Fillmore, and the County of Ventura.

Section 2. Plan Development, Approval, and Updates

Name of Entity that drafted this Plan	Ventura County Transportation Commission	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors	Name of Entity that Approved this Plan	Date of Approval
	Ventura County Transportation Commission	7/10/2020
	Relevant Documentation (Title and Location)	
	VCTC Agenda Item 8h dated 7/10/2020 - PTASP File	
Certification of Compliance	Name of Entity that Certified this Plan	Date of Certification
	Ventura County Transportation Commission	7/10/2020
	Relevant Documentation (Title and Location)	
	Self-certified	

Pursuant to 49 CFR Parts 673.13(a) and 673.13(b), VCTC certifies 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.

Version Number and Updates			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		Original Document	7/20/2020

Annual Review and Update of the Agency Safety Plan

VCTC shall update this Safety Plan when information, processes or activities change within the Agency and/or when applicable regulations change, whichever comes sooner. The Plan will be reviewed and updated by the Chief Safety Officer with the assistance of subject matter experts annually in July. The Accountable Executive will approve any changes, signing the revised Plan, then bringing it to the Ventura County Transportation Commission (VCTC) Board for review and approval. Additionally, FTA will oversee compliance with the requirements of Part 673 through the existing Triennial Review processes.

Section 3. Safety Performance Targets (SPTs)

Safety Performance Target Development

Safety performance measurement is a key aspect of a safety management process, and provides the basis for continuous safety improvement. Measurement and evaluation of safety performance requires a carefully structured program of planning, identifying valid measures, setting targets, conducting proper data analysis, and implementing appropriate follow-up activities.

Successful performance targets are specific, measurable, attainable, relevant and time-bound. The specific safety performance targets that VCTC adopted are based on the Safety Performance Measures established by FTA in the National Public Transportation Safety Plan. In the most recent version (2017 NSP3), FTA adopted four initial Safety Performance Measures: (1) Fatalities, (2) Injuries, (3) Safety Events, and (4) System Reliability.

Targets in the following table are based on review of the previous three (3) years of VCTC’s safety performance data specific to each mode of transit service that VCTC operates. As VCTC collects data through its Safety Risk Management and Safety Assurance processes, the safety performance targets are regularly evaluated and revised if appropriate.

Safety Performance Targets							
Mode of Transit	Fatalities (Total)	Fatalities Rate (per 100k VRM)	Injuries (Total)	Injuries Rate (per 100k VRM)	Safety Events (Total)	Safety Events Rate (per 100 k VRM)	System Reliability (Mean Distance between Major Mechanical Failures)
Commuter Bus (CB)	0	0%	0	0.03	1	0.06	30,000
Bus (MB)	0	0%	0	0.01	<1	0.03	25,000
Demand Response (DR)	0	0%	0	0.01	<1	0.03	40,000

Safety Performance Target Coordination

FTA requires Caltrans to coordinate with transit agencies and Metropolitan Planning Organizations (MPOs). Pursuant to 49 CFR Part 673.15(a) and upon certification of this plan, VCTC will make safety performance targets available to Caltrans and Southern California Association of Governments (SCAG) to aid in the planning process and to set regional goals. Additionally, VCTC will transmit performance data against the safety performance targets to Caltrans and SCAG on an annual basis.

Targets Transmitted to the State (Caltrans)	State Entity Name	Date Targets Transmitted
	Caltrans	July 20, 2020
Targets Transmitted to the Metropolitan Planning Organization (MPO)	Metropolitan Planning Organization Name	Date Targets Transmitted
	Southern California Association of Governments	July 20, 2020

Overview of VCTC’s Safety Management System

SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry’s existing safety foundation to better control risk, detect and correct safety

problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully. SMS is designed to reduce safety risks to an acceptable level through a continuous process of hazard identification and safety risk management practices. VCTC's SMS focuses on applying resources to risk and is based on ensuring that the VCTC has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources. Some key parts of VCTC'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, VCTC's SMS is based on the four (4) principles of SMS which are discussed in more detail in subsequent sections to this Safety Plan:

- 1. Safety Management Policy**
- 2. Safety Risk Management**
- 3. Safety Assurance**
- 4. Safety Promotion**

Section 4. Safety Management Policy

The first component of VCTC's SMS is the Safety Management Policy (SMP), which is the foundation of the Safety Management System (SMS). The SMP states safety objectives and sets forth policies, procedures, and organizational structures necessary to accomplish safety objectives. The SMP 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.

Safety Management Policy Statement

Safety is a core value at VCTC, and managing safety is a core business function. VCTC will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. VCTC'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. VCTC will:

- Clearly, and continuously explain to all staff that everyone working within VCTC must take part and be responsible and accountable for the development and operation of the Safety Management System (SMS);
- Work continuously to minimize safety risks. Work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards for passengers and employees;

- Work to ensure that all employees are provided appropriate safety information and training, are competent in safety matters, and assigned tasks commensurate with duties and skills;
- Reaffirm that responsibility for making our operations safer for everyone lies with all employees – from executive management to frontline employees. Each manager is responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure that all reasonable steps are taken to perform activities established through the SMS.

VCTC will also establish safety performance targets to help measure the overall effectiveness of our processes and ensure we meet our safety objectives. VCTC will keep employees informed about safety performance goals and objectives to ensure continuous safety improvement.

Safety Management Policy Communication

The Safety Management Policy is communicated throughout the Agency, which includes all employees, contractors, and the VCTC Board. The Chief Safety Officer introduces principles of SMS and the Safety Management Policy Statement to the Agency for dissemination to employees and posting on notice boards at all facilities. Distribution and review of the Safety Policy Statement is also included in new hire training, safety bulletins, toolbox/tailgate safety meetings and/or safety committee meetings.

Authorities, Accountabilities, and Responsibilities

This Plan has assigned specific SMS authorities, accountabilities, and responsibilities to the designated Accountable Executive, Chief Safety Officer, Agency Leadership/Management and Key Staff responsible for safety as described in the following section. Organizational charts for VCTC and the service contractors are also included in Appendix B.

Accountable Executive

The Accountable Executive has the ultimate responsibility for ensuring the Agency's SMS is effectively implemented throughout the Agency's public transportation system. The Accountable Executive provides strategic direction for safety policy, risk mitigation, safety assurance and safety promotion. The Accountable Executive is responsible for ensuring action is taken, as necessary, to address substandard performance in the Agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for VCTC's safety always rests with the Accountable Executive. The Executive Director of VCTC serves as the Accountable Executive and assumes the following authorities, accountabilities and responsibilities under this plan:

- Decision making about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments;
- Signing SMS implementation planning documents;
- Endorsing SMS implementation team membership and designating an adequately trained Chief Safety Officer who is a direct report;
- 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, for employees, and for the public;
- Establishing guidance on the level of safety risk acceptable in the agency;
- Assuring safety policy is appropriately communicated throughout the agency; and
- Assuming ultimate responsibility for carrying out the Agency's Safety Plan (ASP), SMS and Transit Asset Management (TAM) Plan.

Chief Safety Officer

The Chief Safety Officer has the authority and responsibility for day-to-day implementation and operation of the SMS. The Chief Safety Officer provides leadership direction to ensure that the SMS requirements are established, implemented and maintained in accordance with applicable regulations. The Accountable Executive designates VCTC's Public Transit Director as the Chief Safety Officer with the following authorities, accountabilities and responsibilities under this plan:

- Decision-making about resources (e.g., people and funds) to support asset management, SMS activities, and capital investments;
- 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 Board on SMS implementation progress;
- Participating in and planning safety management training;
- Developing and organizing annual audits/reviews of SMS processes and the Agency Safety Plan to ensure compliance with 49 CFR Part 673 requirements;
- Maintaining safety documentation.

Agency Leadership/Executive Management

Agency Leadership/Executive Management also have authorities and responsibilities related to day-to-day SMS implementation and operation of the SMS under this plan. Agency Leadership and Executive Management include VCTC's Program Manager of Transit Services, the service contract providers' General Managers, Maintenance Managers, Operations Managers and Safety Managers. Authorities, accountabilities, and responsibilities include:

- Day-to-day implementation of the Agency's SMS throughout their firm, and/or department;
- Communicating safety accountability and responsibility throughout their department and the organization;
- Ensuring employees are following their working rules and procedures, safety rules and regulations in performing their jobs, and their specific roles and responsibilities in the implementation of this Agency Safety Plan and the Agency's SMS;

- Ensuring that employees comply with the safety reporting program and are reporting unsafe conditions and hazards to their department management; and making sure reported unsafe conditions and hazards are addressed in a timely manner;
- Ensuring that resources are sufficient to carry out employee training/certification and re-training as required by their job classifications;
- Providing subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including Safety Risk Management activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

Key Staff/Employees

Key staff/Employees may include managers, supervisors, planners, specialists, analysts, technicians, dispatch/road supervisors, trainers and other key employees who are performing highly technical work, or overseeing employees performing critical tasks, and providing support in the implementation of the Agency Safety Plan and SMS principles in various departments throughout the agency. Key staff/employees responsibilities include:

- Ensuring safety of passengers, employees, and the public;
- Evaluating safety implications of all proposed system modifications prior to implementation, including but not limited to implementing new routes and modifying current routes;
- Promoting safety in employee's respective area of responsibilities, ensuring absence of any safety concerns and compliance with agency rules and procedures and regulatory requirements;
- Managing and ensuring state of good repair of all revenue vehicles;
- Replacing and maintaining aging facilities, equipment, and infrastructure;
- Developing and maintaining programs to gather pertinent data elements to develop safety performance reports and conduct useful statistical analyses to identify trends and system performance targets;
- Assisting as subject matter experts in safety risk assessment and safety risk mitigation processes.

Employee Safety Reporting Program

Employees who identify safety concerns in their day-to-day duties are encouraged to report these safety concerns in good faith and without fear of retribution directly to senior management or anonymously through reporting software or other alternatives. Currently, MV employees can report safety concerns anonymously through a 24-Hour Hotline. All employees at RATP Dev have access to a software called Coruson, which allows any employee to report any incident/hazard. The reporting employee can wish to identify themselves or remain anonymous.

The purpose, description and protections for employees to report unsafe conditions and hazards are described in more detail in the following section.

Purpose:

- 1) To establish a system for employees to identify unsafe conditions or hazards at work and report them to their department management without fear of reprisal. Disciplinary action could result if the condition reported reveals the employee willfully participated in or conducted an illegal act, gross negligence or deliberate or willful disregard of regulations or procedures, including reporting to work under the influence of controlled substances, physical assault of a coworker or passenger, theft of agency property, unreported safety events, unreported collisions, and unreported passenger injuries or fatalities and;
- 2) To provide guidelines for facilitating the timely correction of unsafe conditions or hazards by management.

Description:

The Safety reporting program provides a method for employees to report and management to identify, evaluate, and correct or avoid unsafe conditions or hazards, procedural deficiencies, design inadequacies, equipment failures, or near misses that adversely affect the safety of employees. The following illustrate established methods of the reporting program:

- a. The program encourages voluntary reporting. Examples of voluntary safety reports include:
 - Safety hazards in the operating environment (for example, county or city road conditions);
 - Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection);
 - Events that senior managers might not otherwise know about (for example, near misses); and
 - Information about why a safety event occurred (for example, radio communication challenges).
- b. The program also involves recommending corrective actions and resolutions of identified unsafe conditions or hazards and/or near miss.
- c. All employees have the obligation to immediately report any unsafe conditions or hazards and near miss to their immediate supervisor /department manager and may do so without fear of reprisal.
- d. Unsafe conditions or hazards may also be identified as a result of occupational injury or illness investigations and/or by accident investigation.
- e. Other means by which hazards may be identified are inspections/audits or observations made by the supervisors/management staff.
- f. Findings will be published immediately following mitigation actions. If employee identification is available, direct feedback regarding mitigation will be provided.

Section 5. Safety Risk Management

The second component of VCTC'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 these activities.

Safety Risk Management Process

VCTC uses the Safety Risk Management (SRM) process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to VCTC's leadership. The SRM process allows VCTC staff and/or service contractors, to carefully examine what could cause harm and determine whether sufficient precautions have been taken to minimize the harm, or if further mitigations are necessary.

In carrying out the SRM process, the following terms are used:

- **Event:** Any accident, incident or occurrence;
- **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 belonging to VCTC or service contractors; or damage to the environment;
- **Risk:** Composite predicted severity and likelihood of the potential effect of a hazard;
- **Risk Mitigation:** Method(s) to eliminate or reduce the effects of a hazard;
- **Consequence:** An effect of a hazard involving injury, illness, death, or damage to VCTC or Operations property or the environment.

The Safety Risk Management includes the following activities that are described in more detail in the subsequent sections:

- 1. Safety Hazard Identification**
- 2. Safety Risk Assessment**
- 3. Safety Risk Mitigation**

1. Safety Hazard Identification

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

- Employee safety reporting;
- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from customers, passengers, the public and third parties;
- Drivers' and All-Staff meetings;
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences;
- Review of vehicle camera footage; and
- FTA and other oversight authorities.

When a safety concern is observed by management or supervisory personnel, whatever the source, it is reported to the Chief Safety Officer. The Chief Safety Officer may conduct further analysis of hazards to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, 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.

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 of key personnel, will assess 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. 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.

Probability Levels			
Description	Level	Specific Individual Item	Fleet Inventory
Frequent	A	Likely to occur often in the life of an item.	Continuously experienced.
Probable	B	Will occur several times in the life of an item.	Will occur frequently.
Occasional	C	Likely to occur 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 Safety Risk Severity Table presents a typical safety risk. It includes four (4) 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.

Severity Levels		
Description	Level	Mishap Result Criteria
Catastrophic	1	Could Result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M
Critical	2	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding \$1M but less than \$10M
Marginal	3	Could result in one or more of the following: injuries or occupational illness resulting in one or more lost 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.

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.

3. Safety Risk Mitigation

The Chief Safety Officer, with assistance of key personnel, 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 VCTC 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.

Section 6. 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.

VCTC 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 from the management of contracted services.

Some of the key elements of VCTC's Safety Performance Monitoring and Measurement are described in the following section.

Safety Performance Monitoring and Measurement

As part of the Safety Assurance Process, VCTC, staff and/or service contractors:

1. 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;
- 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.

Results from the above processes are compared against recent performance trends to determine where corrective action needs to be taken.

2. 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.

If the mitigation is not implemented or performing as intended, a different course of action is proposed to modify the mitigation or other action is taken to manage the safety risk.

3. Conducts investigations of safety events to identify causal factors and determines whether:

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- The causal factor(s) indicate that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

VCTC and/or service contractors maintain documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences as defined by FTA) to find causal and contributing factors and review the mitigations in place at the time of the event. These procedures also reflect all traffic safety reporting and investigation requirements established by the California Highway Patrol (CHP).

4. Monitors information reported through any internal safety reporting programs or other means:

- The Manager of Transit Services in coordination with the Operations' General Managers routinely reviews safety data captured in contract service 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;

- Chief Safety Officer, in coordination with the Manager of Transit Services, 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.

5. Compares system performance against established Safety Performance Targets as described in Section 3 (Fatalities, Injuries, Safety Events and System Reliability).

In the event of a fatality, VCTC 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. VCTC requires driver notification to VCTC immediately and maintains records of any report filed pursuant to this paragraph.

Section 7. Safety Promotion

The fourth component of the VCTC'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 VCTC to establish and maintain a robust safety culture. Safety Promotion has two-components: (1) Safety Communication; and (2) Competencies and Training.

Safety Communication

Ongoing safety communication is critical and VCTC 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. VCTC and contract services provide tools to support safety communication that include:

- Safety bulletins

- Safety notices
- Posters
- CDs, 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

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. VCTC ensures SMS training in the following areas:

All Employees:

- 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. VCTC and its service contractors dedicate 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 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.

Additionally, VCTC's Chief Safety Officer and Agency Leadership and Executive Management team must complete FTA's SMS Awareness and Safety Assurance online training. The Chief Safety Officer will also complete FTA's SMS Principles for Transit online course in order to satisfy the Public Transportation Safety Certification Training Program Requirements. FTA training resources are accessed at <https://www.transit.dot.gov/regulations-and-guidance/safety/safety-training>.

Section 8. Additional Information

Pursuant to 49 CFR Part 673.31, VCTC 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. VCTC will make these documents available to FTA Region 9, Caltrans, and other Federal and state agencies upon request.

Additionally, VCTC's contract service providers, RATP Dev and MV Transportation, Inc., have developed robust safety assurance programs to ensure safe transit operations. RATP Dev developed a "Safety Management System (SMS) Manual" that further details the operator's commitment to SMS practices and procedures. Likewise, MV Transportation Inc. developed a "System Safety Program Plan" that also provides more detailed methods and principles. These two documents provide additional reference material to supplement this Plan and are available upon request.

Appendix A

Definitions of Terms Used in the Safety Plan

VCTC incorporates all of FTA's definitions that are in 49 CFR 673.5 of the Public Transportation Agency Safety Plan Regulation.

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
- **Agency Safety Plan (ASP)**, also referred to as the Public Transportation Agency Safety Plan (PTASP), means the comprehensive agency safety plan for a transit agency, including a Rail Transit Agency, that is required by 49 U.S.C. 5329(d) and based on a Safety Management System.
- **Chief Safety Officer** means the adequately trained individual who has the 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 Transportation 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 a public transportation 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 a 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.

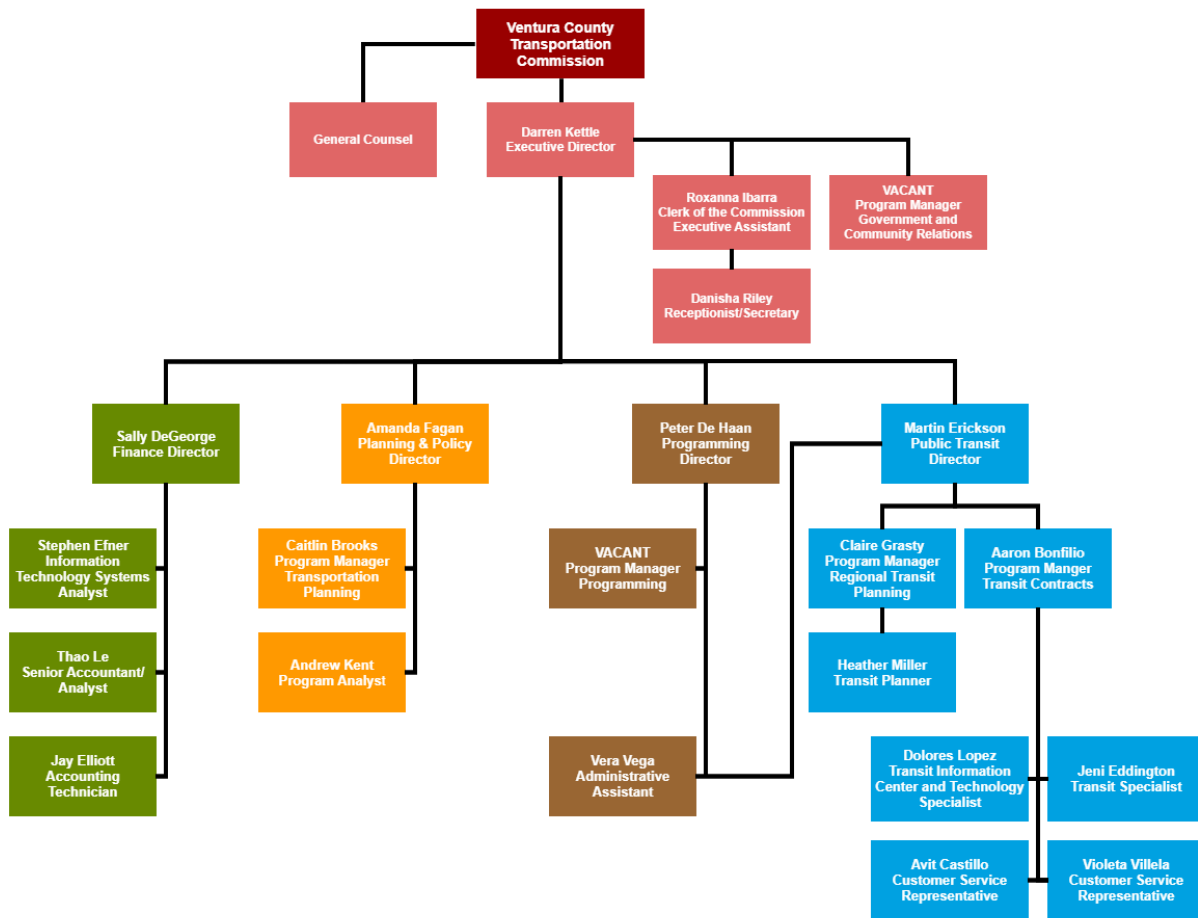
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- **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 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 a transit agency's Safety Management System 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 (SMP)** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
- **Safety Management System (SMS)** 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 a 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 a transit agency's 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 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **State of Good Repair (SGR)** means the condition in which a capital asset is able to operate at a full level of performance.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan (TAM)** 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.

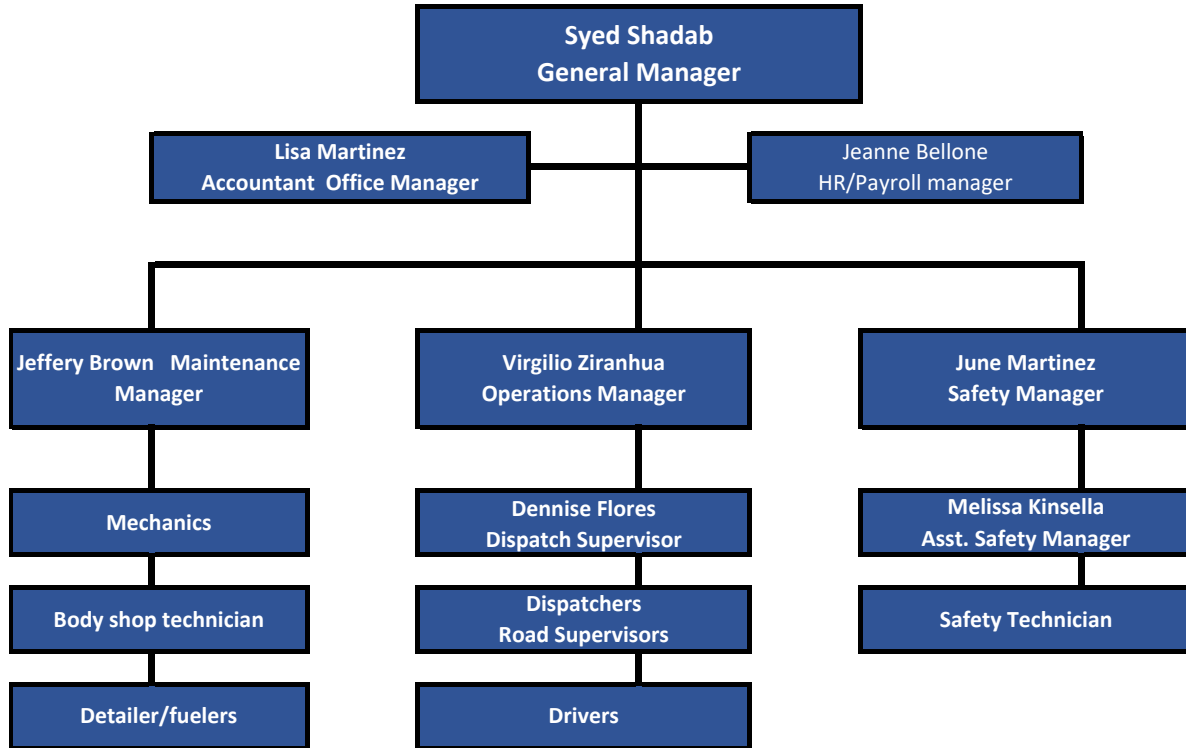
Appendix B

Organization Charts

The Ventura County Transportation Commission (VCTC) Organization Chart



RATP Intercity Operations Organization Chart



MV Valley Express Operations Organization Chart

