

HALL AREA TRANSIT

SAFETY PLAN

JULY 2020



5/29/2020 FINAL

AUTHORIZATIONS

Moving Ahead for Progress in the 21st Century (MAP-21) and the Fixing America's Surface Transportation Act (FAST) granted the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of transit bus systems throughout the United States. On July 19, 2018, the FTA promulgated its final rule 49 C.F.R. Part 673 - Public Transportation Agency Safety Plan (PTASP) which requires recipients of FTA Chapter 5307 funds to develop and implement a safety plan based on Safety Management Systems (SMS) principles and methods.

Hall Area Transit (HAT) establishes this Safety Plan as our agency's commitment to system safety and the principles of SMS. The objectives of our plan are to:

- Increase the safety of our transit system by proactively identifying, assessing and controlling risks;
- Continually improve safety performance;
- Improve the commitment of transit leadership to safety; and
- Foster a culture of safety awareness and responsiveness.

HAT is committed to implementing a systematic and comprehensive safety program. Leadership will visibly demonstrate its commitment to safety by monitoring hazards, enforcing and supporting safety programs, and promoting an open and transparent environment to discuss and address safety issues.

This Safety Plan was developed by the Georgia Department of Transportation (GDOT), and HAT has adopted it to comply with FTA Part 673 requirements. The Gainesville City Council and City Manager, and our Community Services Director and Transit Operations Director have reviewed and approved this Safety Plan and assure that its contents meet the requirements of Regulation 49 C.F.R. Part 673 through the establishment of a comprehensive SMS framework.

This Safety Plan will be distributed to all transit employees and will be reviewed and updated annually.

| APPROVED BY | DATE |
|--|------|
| [ACCOUNTABLE EXECUTIVE, PHILLIPPA LEWIS MOSS, COMMUNITY SERVICES DIRECTOR] | |

REVISION RECORD

| REVISION # | REVIEW DATE | REVIEWER | REVISION DATE | APPROVED BY |
|------------|-------------|----------|---------------|-------------|
| 1 | _/_/21 | | | |
| 2 | _/_/22 | | | |
| 3 | _/_/23 | | | |
| 4 | _/_/24 | | | |

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DEFINITIONS

Accident: An event that involves any of the following – loss of life; a report of a serious injury to a person; a collision of a public transit vehicle; an evacuation for life safety reasons at any location, at any time, whatever the cause.

Accountable Executive: 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.

Chief Safety Officer: Means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

Event: Means any accident, incident, or occurrence.

Hazard: A condition that has the potential to cause injury, illness, death, or property damage.

Fatality: A death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes; a death due to, Collision (including suicides), Fire, Hazardous material spill, Acts of God, System or personal security event (including suicides), and Other safety events.

Hazard Likelihood: Probability of a hazard consequence to occur.

Hazard Severity: The effect/damaging result of a hazards consequence.

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.

Injury: Any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event. Agencies must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

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 transit agency.

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.

Reportable: An event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle, excluding occupational safety events occurring in administrative buildings.

Risk: An assessed probability and severity calculation to classify the overall potential consequences of a hazard.

Safety Assurance: A list of defined safety performance indicators for reach priority risk and associated targets the Agency will use to determine if it is achieving the specified safety goals.

Safety Events: Include but are not limited to collisions, fires, hazardous material spills, slips, trips, falls, smoke, power failure, maintenance-related issues, or electric shock. To be reported as a major event, these events must **either** meet the fatality, evacuation, or property damage threshold **or** result in two or more injured persons. Other Safety Events that cause only one person to be immediately transported from the scene for medical attention, and that do not trigger any other reporting threshold, are reported on the Non-Major Monthly Summary Report form. The FTA includes Other Safety Events that occur in a transit maintenance facility and meet a reporting threshold but continues to exclude occupational safety events occurring in administrative buildings.

Safety Performance Target: A performance target related to safety management activities.

Serious injury: Any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second or third degree burns, or any burns affecting more than 5 percent of the body surface.

Acronyms:

| | |
|--------|--|
| ADA | Americans with Disabilities Act |
| CAP | Corrective Action Plan |
| CSO | Chief Safety Officer |
| FAST | Fixing America's Surface Transportation Act |
| FTA | Federal Transit Administration |
| FY | Fiscal Year |
| GDOT | Georgia Department of Transportation |
| GHCMPO | Gainesville Hall County Metropolitan Planning Organization |
| HAT | Hall Area Transit |
| KPI | Key Performance Indicator |
| MAP-21 | Moving Ahead for Progress in the 21 st Century |
| MILSTD | Military Standard |
| MPO | Metropolitan Planning Organization |
| NPTSP | National Public Transportation Safety Plan |
| NTD | National Transit Database |
| NTSB | National Transportation Safety Board |
| PHA | Preliminary Hazard Assessment |
| PPE | Personal Protective Equipment |
| PTASP | Public Transportation Agency Safety Plan |
| SMS | Safety Management System |
| TAM | Transit Asset Management |
| UPT | Unlinked Passenger Trip |
| VRM | Vehicle Revenue Mile |

1. Transit Agency Information

Hall Area Transit (HAT) is the public transportation system serving the city of Gainesville and Hall County. HAT operates the Gainesville Connection, a fixed-route bus system offering weekday service along six routes. Buses run hourly from 6:00 AM to 6:00 PM. In addition to our Mobility Plus Americans with Disabilities (ADA) complementary service, HAT uses Section 5311 funds to operate a Dial-a-Ride service, offering the general public curb-to-curb service within Hall County.

| | | | | |
|--|---|---|--------------------------------------|----------------|
| Transit Agency Name | Hall Area Transit | | | |
| Transit Agency Address | 687 Main Street, Gainesville, GA 30501 | | | |
| Accountable Executive (Name and Title) | Phillippa Lewis Moss, Community Services Director | | | |
| Chief Safety Officer (Name and Title) | Transit Operations Director, Shane Thompson | | | |
| Mode(s) of Service Provided (e.g., Fixed Route, Demand Response, ADA Paratransit, etc.) | Fixed Route, Demand Response, ADA Paratransit, | List All FTA Funding Types | 5307, 5311, 5339 | |
| Vehicles Operated in Maximum Service, by Mode | Fixed Route 6 | ADA Paratransit 7 | Demand Response | |
| Mode(s) of Service Contracted Out to Third Party Operators (TPOs) | Not Applicable | | | |
| Name of Third Party Operator (if applicable) and contact person | Not Applicable | | | |
| Does the agency provide transit services on behalf of another transit agency or entity? | Yes <input type="checkbox"/> | No <input checked="" type="checkbox"/> | Description of Arrangement(s) | Not Applicable |

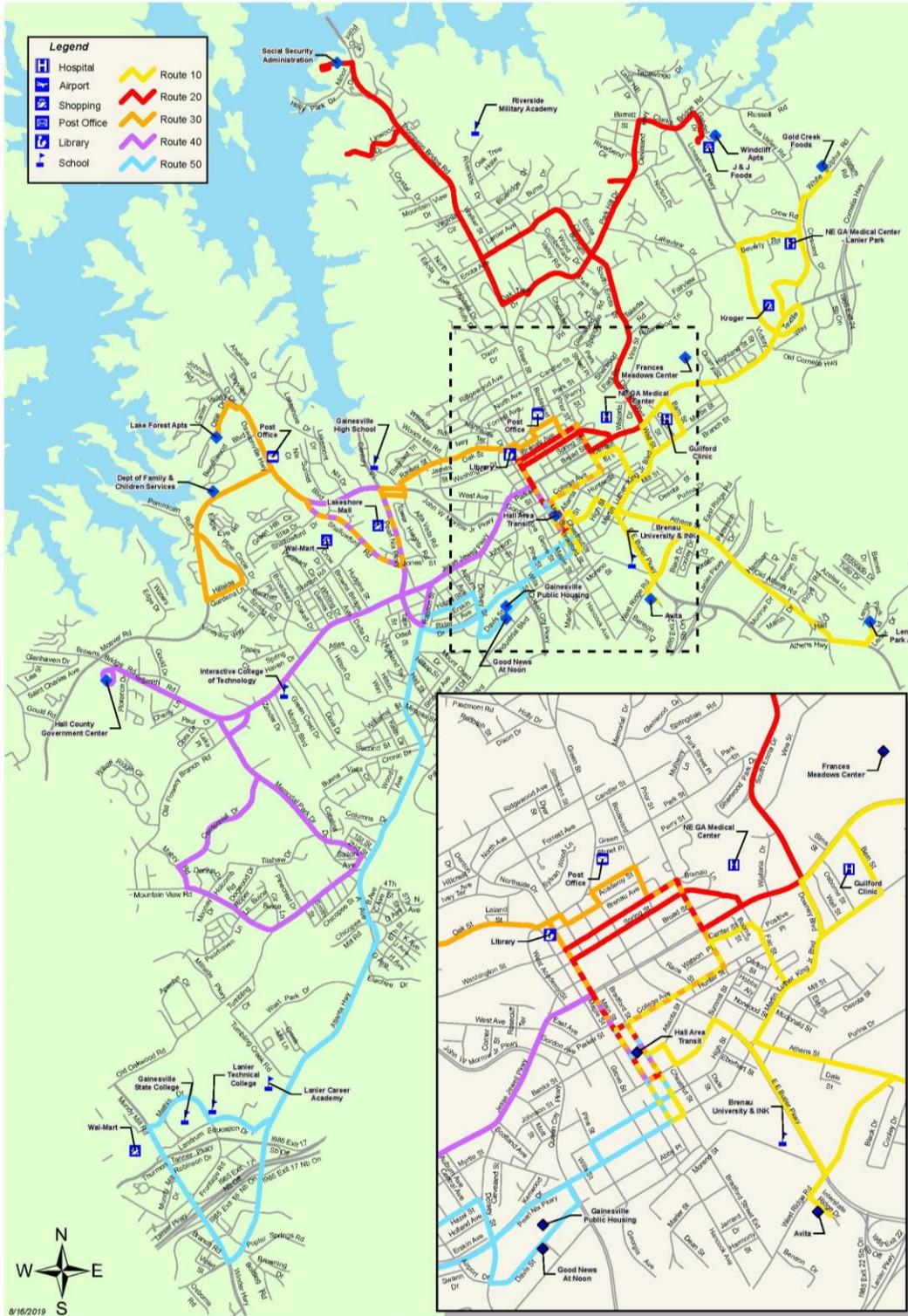
| | | |
|---|---------------------|--------------------------------|
| Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided | Not Applicable | |
| Are any transit employees represented by a Labor Union? If so please describe. | No | |
| No. of Fixed Bus Routes: | 5 | |
| Annual Vehicle Revenue Miles (VRM) | Fixed Route Bus VRM | Demand Response/Paratansit VRM |
| | 259,649 | 110,146 |
| Annual Unlinked Passenger Trips (UPT) | Fixed Route Bus UPT | Demand Response/Paratansit UPT |
| | 145,948 | 10,294 |

Maintenance of transit vehicles is performed by the City of Gainesville Department of Public Works.

Figure 1 – Hall Area Transit System Map



AUGUST 2019



2. Safety Management

2.1 Safety Management Policy

HAT strives to provide the safest and most secure experience for the riding public and our employees. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the Community Services Director, who manages transit services for Gainesville-Hall. Every employee must practice workplace safety, use equipment, tools and materials properly, and be trained in the agency's work rules and procedures for his or her respective areas of responsibility, including contingency plans for abnormal and emergency conditions.

HAT is committed to:

- Supporting an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as paid to other management systems of the organization;
- Integrating the management of safety as a primary responsibility of all managers and employees, including contractors;
- Defining for all staff, managers and employees alike, their accountability and responsibility for the delivery of the organization's safety performance and the overall implementation of our Safety Plan;
- Establishing and implementing a proactive safety program to manage risks to a level that is acceptable and consistent with safety performance;
- Ensuring protections for any employee who discloses a safety concern through the employee safety reporting program;
- Complying with, and wherever possible, exceeding the expectations of legislative and regulatory requirements and standards;
- Ensuring all staff are provided with adequate and appropriate safety-related information, personal protective equipment (PPE) and training, are competent in safety management matters, and are allocated only to tasks commensurate with their skills;
- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, and employees;
- Establishing and measuring our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- Continually improving our safety performance through management processes that ensure appropriate safety management actions are taken and are effective; and
- Ensuring externally supplied systems and services to support our operations are delivered to meet our safety performance standards.

This agency Safety Plan describes our safety efforts and programs, and through our thorough implementation of such efforts and programs we explicitly show our commitment to system safety based on SMS principles, as per 49 CFR Part 673.

2.2 Employee Safety Reporting

Employees are required to embrace HAT's safety goals and objectives and are encouraged to report safety concerns, issues or hazards. Executive management has established a safety reporting process for employees to voice their safety concerns without fear of retribution or blame. All frontline personnel will be responsible for utilizing this program as necessary. Our employees (including contractors) have a duty to report any unsafe condition to their supervisor, manager, or the Chief Safety Officer. Unsafe conditions may include issues with policies, procedures, physical conditions, events, information about an issue, among others. All violations of agency safety rules or procedures (including regulatory requirements of the agency) may result in disciplinary action. No action will be taken against any employee who communicates a safety condition through our reporting program unless such disclosure indicates an illegal act, gross misconduct or negligence, or a deliberate or willful disregard of our rules, policies and procedures. Once actions to remediate a safety violation have been determined, they shall be communicated throughout the organization and carried out.

2.3 Safety Management Policy Communication

HAT staff are informed of their responsibilities related to safety and the requirements of our Safety Plan during onboarding. Communicating the purpose and benefits of this Safety Plan and SMS principles among executive and senior management, supervisors and frontline staff are the most important jobs of all of our employees. All employees understand their respective safety roles and obligations and in identifying and assessing safety risks in the workplace and in agency operations. Fostering and reinforcing these obligations through regular agency-wide communications and programs are critical functions of senior management and the Chief Safety Officer including but not limited to:

- Safety meetings;
- Operator meetings with supervisors and managers;
- Newsletters;
- Safety bulletins;
- Safety emails and text message alerts;
- Radio supervisor communication with operators;
- One-on-one communication between supervisors and frontline employees;
- Meetings with contractors;
- Committee meetings; and
- Safety campaigns.

2.4 Safety Responsibilities

The purpose of our Safety Plan is to maintain a formal safety program and establish a coordinated safety effort responsive to the needs of the operating, maintenance and support departments. We emphasize the goal of all personnel and contractors to work toward the common goal of

minimizing the occurrence of customer and employee accidents and incidents by providing safe revenue service to our customers and a safe work environment for our employees.

The following personnel lead the organization in the implementation of our Safety Plan:

Accountable Executive – Community Services Director (Phillippa Lewis Moss, current incumbent)

- Establishes and sets an organizational example for safety objectives and goals;
- Directs human resources;
- Manages agency finances;
- Oversees operations and maintenance programs;
- Promotes and communicates safety policy and programs;
- Participates in regular meetings with key staff to understand the status of safety programs and data; and
- Ultimately holds responsibility for all agency safety outcomes.

Chief Safety Officer (CSO) – Transit Operations Director (Shane Thompson, current incumbent)

- Designated by the Community Services Director to manage and implement the Safety Plan throughout the agency;
- Regularly reports to the Community Services Director to provide status reports on HAT's safety program implementation;
- Manages the employee safety reporting program;
- Chairs safety meetings with key departmental managers including operations and maintenance;
- Participates in formal meetings with the FTA and GDOT on safety regulatory and program topics;
- Reports Safety Performance Measures/Targets to the Gainesville-Hall Metropolitan Planning Organization (GHMPO);
- Develops and implements safety policies, procedures, and programs;
- Supervises and oversees work of assigned safety staff, conducts performance reviews with staff, and initiates appropriate actions related to such;
- Directs the hazard management process and provides notification of reportable accidents, incidents and hazardous conditions;
- Investigates employee and vehicle accidents/incidents and injuries and works to develop programs to reduce accidents and injuries;
- Conducts inspections and researches safety codes, standards, and regulations;
- Compiles and analyzes health and safety statistics; produces reports, records, documents, and manifests; accesses and updates database files;
- Coordinates staff safety meetings and attends meetings, conferences and group functions related to safety;
- Develops and conducts training sessions relating to safety issues;
- Identifies health and safety concerns, analyzes reports and information, develops programs for accident/injury prevention, and submits recommendations to reduce frequency of accidents;
- Develops departmental and organizational Key Performance Indicators (KPI); and

- Conducts risk identification, evaluation, control, funding, and administration.

The CSO has a direct line of reporting to the Community Services Director.

In addition, SMS implementation is supported by other positions within the HAT management structure, as well as key staff including:

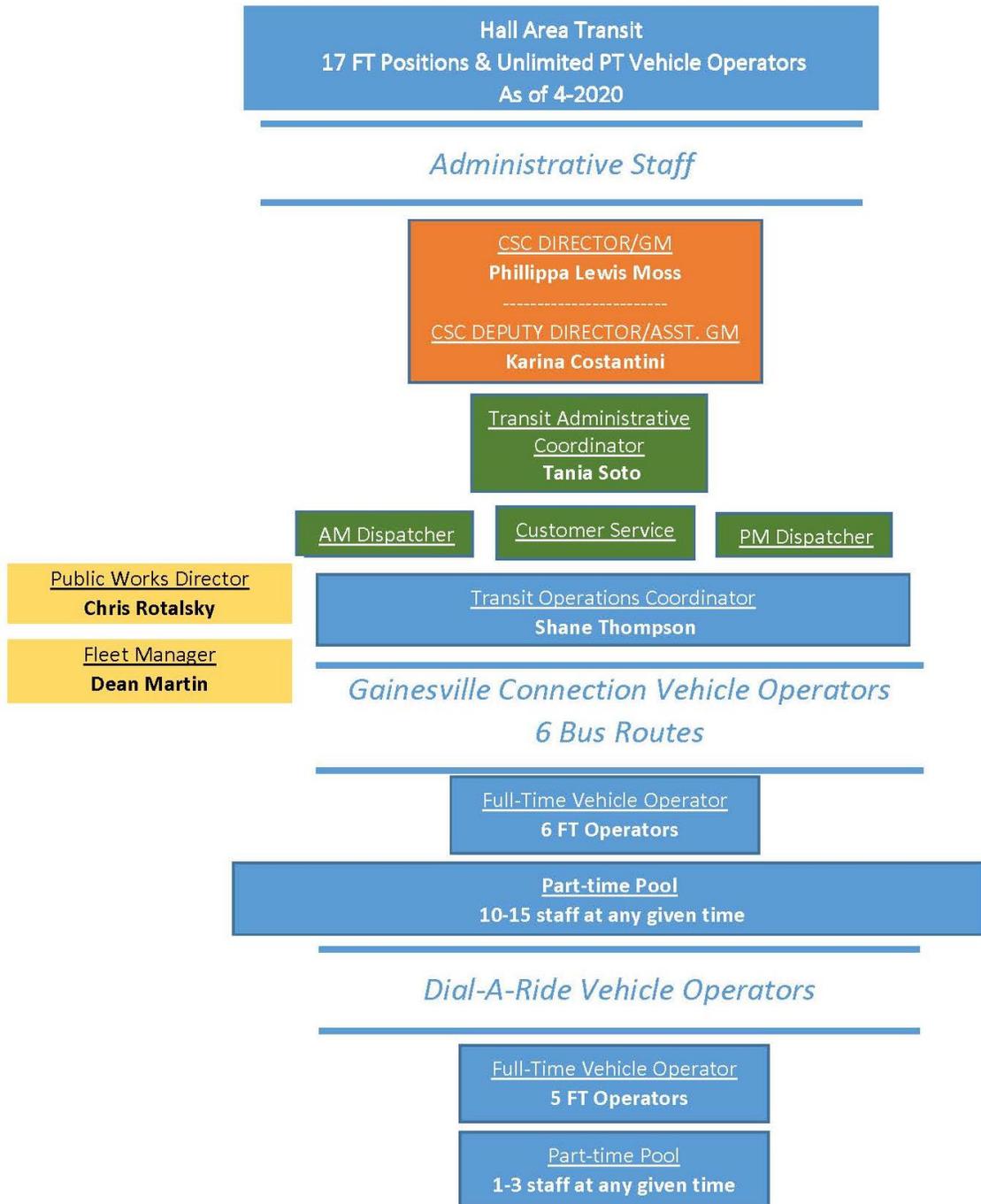
- Public Works Director – This position falls under the Department of Public Works of the City of Gainesville;
- Fleet Manager – This position reports to the Public Works Director and is responsible for maintenance of the HAT buses and paratransit vehicles;
- Community Services Deputy Director; and
- Transit Administrative Coordinator.

These personnel have the following authorities, accountabilities, and responsibilities:

- Participate as members of HAT Safety Committee;
- Complete training on Safety Plan elements;
- Oversee day-to-day operations of the Safety Plan in their departments;
- Modify policies in their departments consistent with implementation of the Safety Plan, as necessary; and
- Provide subject matter expertise to support implementation of the Safety Plan as requested by the Community Services Director or the CSO, including Safety Risk Management activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

The overall HAT Organization Chart, which includes the applicable executive management positions/departments can be found in **Figure 2** on the following page.

Figure 2 – Hall Area Transit Organization Chart



2.5 Safety Committee

The CSO will convene monthly meetings of the Safety Committee to discuss safety program issues, safety data/performance indicators, Safety and Transit Asset Management (TAM) Plan updates, among various other issues that pertain to overall agency safety matters. The Safety Committee is an executive-level function that will at minimum include the Community Services Director, key representatives from Operations and Maintenance, and will be chaired by the CSO. The objectives of regular meetings of the Safety Committee are to ensure that the Community Services Director is well-versed in the implementation of the Safety Plan, KPI, and other important data, and that executive-level staff have a regular multi-disciplinary forum to discuss pertinent safety issues and policy.

3. Safety Risk Management

3.1 Hazard Management Program

HAT promotes the proactive identification and evaluation of hazards before they escalate into accidents or incidents. This Safety Plan and its programs must be effective in identifying and minimizing hazards in the operational environment. All operations must be viewed from a systems perspective in that the safety-critical functions of one group may impact those of one or more others. This focus on system safety is meant to foster the understanding of the interdependence of actions on overall safety. As such, our hazard management program involves a multi-disciplinary review process that is ultimately managed by the Safety Committee, led by the CSO. There are three basic objectives:

- Hazard identification;
- Hazard assessment; and
- Safety risk mitigation.

3.2 Hazard Identification

Hazard identification and resolution is a core element of the Safety Plan emphasizing timely correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. Our risk management program includes the following practices:

- Employee safety reporting;
- Driver, dispatcher, supervisory and maintenance performance information;
- Rules compliance checks;
- ADA compliance reviews;
- Asset conditions assessments;
- Camera and event recorder reviews;
- Environmental information;
- Safety observations;
- Pre- and post-trip inspections;
- Vehicle, facility and equipment inspections;
- Internal safety investigations;
- Fitness for duty checks;
- Accident reports;
- Compliance programs;
- Safety Committee reviews; and
- Public feedback/complaints.

HAT emphasizes the timely identification and correction of unsafe conditions, anticipated and reconciled before serious accident, injury, or damage occurs. To ensure we provide as safe and reliable transportation services as possible, we have established a process by which hazards are identified, analyzed for potential impact on the operating system, and resolved in a manner acceptable to management and applicable regulatory agencies. All management, staff, contractors, and suppliers are required to implement high standards of safety and system

assurance throughout the design, construction, testing, and operational phases of our projects. Hazards which cannot be eliminated with design mitigations which include the implementation of safety warning devices are usually addressed by training, and/or written procedures to prevent mishaps. Most hazards are identified in the field, reported, entered in reports, and are addressed by the responsible departments through routine corrective measures that do not require special attention.

Hazards can be identified through a host of sources ranging from daily experience (accidents, incidents or safety concerns), gathered data, information submitted by patrons, to detailed analyses and assessments of existing conditions, among others. Once hazard causes, consequences, and likelihood of occurrence have been assessed, priorities for resolution can be established. The risks associated with hazards are accepted, minimized, controlled or identified for future remedy. Safety efforts must, however, continue to ensure that the implementation of hazard remedies do not create new safety concerns.

3.3 Hazard Assessment

Hazard assessments shall include specific inputs, reviews, and comments from any department and personnel, as necessary. To categorize the severity of a hazard, the likely effects on passengers, employees, general public and equipment must be established. Hazard severity ratings are based on categories from Military Standard 882E (MILSTD-882E) and require system key agency stakeholders to make subjective determinations of the worst case that could be anticipated to result from design inadequacies, human error, component failure or malfunction. Hazard severity categories are defined to provide a qualitative measure of the worst credible mishap from resulting from personnel error, environmental conditions, design inadequacies, and procedural deficiencies for a system, subsystem or component failure or malfunction. **Table 1** below summarizes the hazard severity categories. It reflects the principle that not all hazards pose an equal amount of risk to personnel safety.

Table 1 – Hazard Severity

| Characteristics | | | | |
|----------------------------|--|---|---|--|
| Severity Level | People | Equipment/Services | Financial | Reputational |
| Catastrophic 1 | Several deaths and/or numerous severe injuries (per event) | Total loss of equipment or system interruption, requiring months to repair | Estimated loss in excess of \$5 million | Ongoing media coverage, irreparable reputational damage, government intervention (weeks-months) |
| Critical 2 | Low number of deaths and/or severe injuries (per event) | Significant loss of equipment or system interruption, requiring weeks to repair | Estimated loss in the range of \$500,000 to \$5 million | Prolonged media campaign, serious reputational damage, sustained government involvement (days-weeks) |
| Major 3 | Minor injury and possible serious injury (per event) | Some loss of equipment or system interruption, requiring 7 days or less to repair | Estimated loss in the range of \$50,000 to \$500,000 | Adverse media coverage, reputational damage, government involvement |
| Marginal 4 | Possible minor injury (per event) | Some loss of equipment, no system interruption, less than 24 hours to repair | Estimated loss in the range of \$1000 to \$49,999 | Local media coverage and some reputational damage |
| Insignificant 5 | No injury | Minor damage to equipment, no system interruption, no immediate repair necessary | Estimated loss is likely less than \$1000 | No adverse media or reputational damage |

The likelihood that a hazard will occur during the planned life expectancy of a system element, subsystem, component or daily operational function can be described subjectively in potential occurrences per unit time, event, population, items or activity. A qualitative hazard likelihood may be derived from research, analysis, and evaluation of historical safety data or a similar system. The CSO, departmental managers or the Safety Committee can assign a likelihood rating to a particular event or a specific hazard. Supporting rationale for assigning a hazard likelihood is documented in hazard analysis reports, memos, or minutes from meetings. The assessment of the likelihood of hazard occurrence will consider specific system operations based on the current system configuration. Hazard likelihood levels to be considered are shown in **Table 2** below.

Table 2 – Hazard Likelihood

| Likelihood | Specific Item | Fleet / Inventory | Frequency |
|------------------------|---|--|---|
| A Frequent | Likely to occur frequently in the life of an item | Continuously experienced | 26 or more events in a year |
| B Probable | Will occur often in the life of an item | Will occur frequently in the system | 13 to 25 events in a year |
| C Occasional | Likely to occur sometime in the life of an item | Will occur several times | 6 to 12 events in one year, or less than 24 events in 5 years |
| D Remote | Unlikely but possible to occur in the life of an item | Unlikely, but can be expected to occur | 1 to 5 events in one year or less than 10 events in 10 years |
| E Improbable | Unlikely to occur but possible | Unlikely to occur, but possible | 1 event in 25 years |
| F Eliminated | Incapable of occurrence. This level is used when potential hazards are identified and later eliminated. | | |

The Hazard Risk Index (**Table 3**) combines hazard categories, severity and probability to constitute a chart to assist in the evaluation of specific hazards and their associated levels of risk.

Table 3 – Hazard Risk Index

| Hazard Categories | | | | | |
|------------------------|-------------------|---------------|------------|---------------|--------------------|
| Frequency | 1 Catastrophic | 2 Critical | 3 Major | 4 Marginal | 5 Insignificant |
| A Frequent | 1A | 2A | 3A | 4A | 5A |
| B Probable | 1B | 2B | 3B | 4B | 5B |
| C Occasional | 1C | 2C | 3C | 4C | 5C |
| D Remote | 1D | 2D | 3D | 4D | 5D |
| E Improbable | 1E | 2E | 3E | 4E | 5E |
| F Eliminated | | | | | |

| Hazard Risk Index | Risk Decision Criteria |
|------------------------|---|
| Unacceptable | Hazard must be mitigated |
| Undesirable | Requires acceptance from management |
| Acceptable with Review | Hazard may be accepted with management review |
| Acceptable | Risk level is acceptable |
| Eliminated | No hazard remains |

3.4 Safety Risk Mitigation

Once a risk has been evaluated, the agency will determine a course of action to address a given risk. As per the process above, a risk may be eliminated by eliminating the source of the hazard. For example, if a special service route has experienced incidents, such hazards will be eliminated when such special service is also eliminated. In other instances, for example, the CSO and Safety Committee may utilize accident/incident data over time to discuss the hazards of vehicle rear-endings and evaluate the type, severity and probability of these accidents, and mitigation measures to prevent these mishaps in the future. Such mitigations may include new standard operating procedures, policies, additional training requirements, public awareness campaigns, or even vehicle design changes.

This methodology may be applied for the analysis of risks of day-to-day operations as well as for preliminary hazard assessments (PHA) when designing new system infrastructure. During the safety certification process to develop system expansions, identified hazards can be addressed by designing system elements for minimum risk, and/or incorporating safety and warning devices.

3.5 Hazard Tracking

Some more complex hazards may require the use of a Safety Risk Register which may consist of the following information:

- Assigned hazard number;
- Date hazard identified;
- Hazard title;
- Hazard description;
- Sources from which the hazard was identified;
- The element of operation affected by the hazard;
- Initial hazard classification;
- Current hazard classification; and
- Corrective Action Plan (CAP).

The Register, when used, is updated regularly until the hazard CAP has been closed out. All captured data is analyzed for the identification of developing trends to ensure future safety risks/hazards can be mitigated and/or eliminated.

4. Safety Assurance

The purpose of Safety Assurance is to evaluate the overall effectiveness of safety risk controls established under the Safety Risk Management program. The Community Services Director and CSO are responsible for monitoring and evaluating day-to-day operations to ensure that: 1) emerging risks are identified, 2) HAT is in compliance with regulatory requirements applicable to the Safety Plan, and 3) that our safety programs are meeting our safety goals and objectives. Safety Assurance programs provide important feedback and data into the Safety Risk Management process and vice versa to promote safer operations. Through our Safety Risk Management and Safety Assurance activities, we will evaluate the adequacy of procedures, processes, personnel performance, our data collected, and compliance with procedures and programs.

4.1 Safety Performance Monitoring and Measurement of Risk Mitigations

The Community Services Director has the ultimate responsibility of affording the riding public and employees safe and secure operations. Each employee is required to carry out specific system safety responsibilities in compliance with their job specifications, agency rules and regulations and this Safety Plan. Each department generates its own performance data used for the detection of trends or problems in operations and maintenance prior to the development of a major safety concern. Among the various safety assurance activities overseen by the Community Services Director and CSO include:

- Fleet operations;
- Road supervision;
- Fleet maintenance;
- Drug and Alcohol Program;
- TAM;
- Resource planning;
- Internal operations reviews;
- Accident/incident investigations and other means to determine causal factors;
- Contractor safety efforts;
- Data collection and analysis; and
- Security activities.

The City of Gainesville's Risk Management Guidelines and Accident Review Panel Policy specifically detail procedures for investigating accidents and issuing recommendations to prevent recurrence. As outlined in the Policy, key objectives of the Accident Review Panel are:

1. To assist the City in the effective implementation of its safety programs;
2. To gather data to identify trends and to create statistical reports to assist in future loss control efforts;
3. To determine whether accidents were preventable or non-preventable; and
4. To make recommendations to Department Directors to prevent recurrence of similar accidents in the future.

It is the task of the CSO to monitor and measure the safety performance of operations through data provided from the various departments and report to the Community Services Director and

Safety Committee periodically. Using collected data and assessing trends, we develop minimum performance standards to meet agency safety targets and goals. From there, we may utilize KPI that show us whether or not we are achieving our safety targets and goals. Selected data is accumulated and analyzed for ongoing trending and performance measurement, including fatalities, injuries to passengers and/or personnel, system reliability, and other safety related events. This data comes from various sources including, but not limited to:

- Event reports;
- Observations of operations reports;
- Internal and external inspection, survey, and audit reports;
- Safety suggestions from employees and customers;
- Historical knowledge;
- Seasonal events and effects;
- Environmental considerations;
- New equipment or facility deployments;
- Fleet issues;
- Process reviews and audits;
- Training efforts; and
- Peer reviews.

For HAT, all data is overseen by the Transit Administrative Coordinator.

Monitoring and measurement of our safety assurance program establishes a baseline which we can use to compare criteria and conditions at other specific points in time. Once a baseline is established through monitoring and measurement, data can be used as criteria in evaluating operations to reduce risk and overall safety objective/goal achievement. Ongoing monitoring is built into our operations, performed continually, and responsive to change. Ongoing monitoring includes regular management and supervisory activities, comparisons, reconciliations, and other routine actions.

The CSO maintains a list of safety risk mitigations in a Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

The CSO establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate director, manager, or supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities. The CSO will endeavor to make use of existing processes and activities before assigning new information collection activities.

The CSO and Safety Committee review the performance of individual safety risk mitigations during Safety Committee meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Safety Committee will propose a course of action to modify the mitigation or take other action to manage the safety risk. The CSO will approve or modify this proposed course of action and oversee its execution.

4.2 Safety Performance Measures and Targets

Among the various KPI that we use are the four safety performance measures that are required by the National Public Transportation Safety Plan (NPTSP): Fatalities, Injuries, Safety Events and System Reliability, as defined below:

- Fatalities – Total number of reportable¹ fatalities and rate per total vehicle revenue miles (VRM) by mode;
- Injuries – Total number of reportable injuries and rate per total VRM by mode;
- Safety Events – Total number of reportable events and rate per total VRM by mode; and
- System Reliability – Mean distance between major mechanical failures by mode.

These safety performance measures are based on data submitted to the National Transit Database (NTD). Our annual performance targets for these measures for FY 2021 are as below in **Table 4**. These safety performance targets will be shared with GHMPO to aid in the planning process. HAT will coordinate with GDOT and GHMPO in the selection of state and regional performance targets as requested.

Table 4 – FY 2021 Safety Performance Measures and Targets

| Mode of Transit Service | Fatalities (total) | Fatalities (per 100,000 VRM) | Injuries (total) | Injuries (per 100,000 VRM) | Safety Events (total) | Safety Events (per 100,000 VRM) | System Reliability (VRM/Failures) |
|---------------------------------|---------------------------|-------------------------------------|-------------------------|-----------------------------------|------------------------------|--|--|
| Fixed Route Bus | 0 | 0 | 4 | 1.5 | 5 | 1.9 | 26,000 |
| Demand Response ADA Paratransit | 0 | 0 | 5 | 4.5 | 6 | 5.4 | 22,000 |

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

5. Safety Promotion

Safety Promotion fosters a positive safety culture and improves safety performance by increasing safety awareness through training and communication. Appropriate training for all employees regardless of their position within the agency provides knowledge for a successful safety program. Through communication of lessons learned and safety performance data, employees are made aware of safety priorities and concerns as they relate to their individual job tasks and the entire organization.

5.1 Safety Training

All new and existing employees undergo Safety Plan familiarization training. Employees at all levels of the agency need to understand 1) what the Safety Plan is, 2) how it supports the agency's mission, and 3) what their specific individual Safety Plan responsibilities are. This core element of our comprehensive safety training program applies to all HAT employees directly responsible for safety, including:

- Community Services Director and CSO;
- Bus operators;
- Dispatchers;
- Maintenance technicians; and
- Managers and supervisors.

Our safety training programs include, but are not limited to, the following:

- Employee Training;
 - Professional Driving;
 - Safety Best Practices;
 - ADA and Sensitivity, Lifts, Ramps, & Securement;
 - Accident and Emergency Procedures;
 - Drug and Alcohol Policy;
 - Defensive Driving;
 - Pedestrian Awareness;
 - Active Shooter, Fire Safety, Inclement Weather;
- Standards of Conduct;
- Compliments and Complaints Recording;
 - Reporting Safety and Personal Complaints;
 - Anti-Retaliation Policy;
- Dispatch and Reservationist Procedures;
 - Daily Operations Report;
 - Opening Building Procedures;
- Vehicle Preventative Maintenance Policy and Program;
 - Preventative Maintenance;
 - Warranty;
 - Road Calls/Incidents;
 - Safety Inspections;
 - FTA Regulatory Requirements;
 - Maintenance Checklist;

- Operator Rule Book;
 - General Rules and Regulations;
 - Safety:
 - Operator Safety;
 - Safe Driving Habits;
 - Reporting Procedures for Accidents and Incidents;
 - Determination of Accident Preventability;
 - Substance Abuse Policy;
 - General Code of Conduct;
 - Customer Relations; and
 - General Operational Duties.

HAT has developed job specifications for all job classifications which require certain skills training in order for personnel to perform job functions safely. For certain positions this will include initial as well as refresher training. HAT maintains records of all employees upon hire and manages their progress through training, annual recertification and retraining if required.

5.2 Safety Communication

All employees, from the Community Services Director to frontline personnel, shall communicate the virtues and requirements of our Safety Plan and program elements. Safety communication activities ensure that all employees and contractors are aware of the following goals and responsibilities:

- The observance of all agency standard operating procedures, policies, and plans;
- The need to systematically identify safety hazards, mitigate risk and reduce fatalities and injuries resulting from transit operations;
- The need to reduce the injury incidence rate by minimizing exposure to unsafe conditions and reducing hazardous employee behavior;
- Providing safe and efficient transit services by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed; and
- Achieving 100 percent of scheduled routine inspections, preventative and regular maintenance work is completed on time, and essential repairs addressed in a designated time.

Further, we encourage employees and contractors to be mindful of their safety responsibilities, and review various safety issues, recommendations, policies, etc. by various means which include but are not limited to:

- Employee Safety Reporting;
- Monthly Safety meetings;
- Operator meetings with supervisors and managers;
- Newsletters;
- Safety bulletins and memos to all staff;
- Safety emails;
- Text message alerts;
- Radio supervisor communication with operators;
- One-on-one communication between supervisors and frontline employees;
- Meetings with contractors;

- Committee meetings; and
- Safety campaigns.

A positive safety culture focuses on finding and correcting systemic issues rather than finding someone or something to blame. A positive safety culture flourishes in an environment of trust, encouraging error-reporting and discouraging covering up mistakes. The need to address behavior that is malicious or recklessly negligent must be balanced with the need for a just culture that is not excessively punitive. A positive safety culture goes beyond simply adhering to procedures. It is demonstrated when employees carry out their duties correctly, with alertness, full knowledge, sound judgment, and a sense of accountability.

6. Annual Update Process

The CSO will review and update this Safety Plan annually. The updated version of the Plan will be signed by the Community Services Director and approved by the Gainesville City Council. The newly authorized version will be reissued to all transit personnel for their perusal and comprehension. HAT will maintain all documents that are related to the implementation of this Safety Plan and results from SMS processes and activities. These documents will be made available upon request by the FTA or other related federal entity. All such documents will be maintained for a minimum of three years after they are created.

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Appendix A: PTASP Relationship to Other Federal Laws & Regulations

1. Public Transportation Safety Program Rule - 49 U.S.C. § 5329

The Public Transportation Safety Program Rule establishes substantive and procedural rules for FTA's administration of the Public Transportation Safety Program authorized by 49 U.S.C. § 5329. The rule establishes FTA's SMS approach to the development and implementation of the Safety Program. Further, it sets rules of practice for the FTA's enforcement authority and describes the contents of a National Public Transportation Safety Plan.

National Public Transportation Safety Plan (NPTSP)- section 5329(b)

Through the NPTSP, the FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States. The NPTSP is a policy document, communications tool, and a repository of standards, guidance, best practices, tolls, technical assistance, and other resources.

This Safety Plan was written in accordance to the Public Transportation Safety Program Rule and the NPTSP.

2. Public Transportation Agency Safety Plan (PTASP) Rule - 49 CFR Part 673

The Federal Transit Administration (FTA) published a final rule for PTASP as authorized by the Moving Ahead for Progress in the 21st Century Act (MAP-21). This final rule requires States and certain operators of public transportation systems that receive Federal financial assistance under Urbanized Area Formula Program (49 U.S.C. § 5307) to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). Transit operators must certify they have a safety plan, meeting the requirements of the rule, in place by July 20, 2020.

3. Transit Asset Management (TAM) Rule - 49 CFR Part 625

The PTASP final rule applies to only Section 5307 recipients and sub-recipients, and the TAM rule applies to all operators of public transit. However, the two plans can support one another by providing useful data for agency use and NTD reporting. Pursuant to 49 C.F.R. Part 625, condition assessments were performed as part of safety risk management and safety assurance activities. The results of TAM condition assessments, and subsequent SMS analysis can help prioritize a transit agency's TAM Plan elements. Condition assessments help identify potential safety issues, which could undergo a safety risk assessment as part of safety risk management. Further, TAM data and analysis can also be used for performance monitoring and measurement as part of safety assurance. Results of safety risk assessments and safety performance monitoring and measurement can guide the prioritization of an asset for repair or replacement.

4. National Transit Database (NTD) Rule 49 U.S.C 5335(a)

Transit agency's receiving funding from the Urbanized Area Formula Program (5307) or Rural Formula Program (5311) are required to submit data to the NTD in uniform categories. Agencies submit reports to NTD each fiscal year. The PTASP rule and NTD reporting rule are related, as both rules require agencies to track data based on the same data points; fatalities, injuries and safety events per total revenue vehicle mile by mode, with the additional requirement of mean distance between major mechanical failures.

Appendix B: Board Certification

I hereby certify on behalf of Hall Area Transit (HAT) that on _____, 2020, the Gainesville City Council approved the enclosed Agency Safety Plan in accordance with 49 CFR 673.11(a)(1).

Signature of Authorized Official: _____

Printed Name and Title: _____

Date: _____

Appendix C: GDOT Plan Certification

[ATTACH CERTIFICATION LETTER]