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PUBLIC TRANSIT AGENCY SAFETY PLAN (PTASP)

**City of Commerce Municipal Bus Lines
Transportation Department
5555 Jillson Street
Commerce, CA 90040**

Update: February 4, 2020

PUBLIC TRANSIT AGENCY SAFETY PLAN (PTASP)

City of Commerce Municipal Bus Lines

Adopted by City Council:	February 4, 2020
Last Revised:	

This Public Transit Agency Safety Plan is hereby adopted and signed by:

Claude McFerguson, Director of Transportation

Executive Name and Title



February 4, 2020

Executive Signature

Date

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ACTIVITY LOG

Public Transit Agency Safety Plan

Date	Activity (Review/Update/Addendum/Ad option/Distribution)	Person (Signature)	Remarks

EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21st Century (MAP-21) grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, MAP-21 requires recipients of FTA Chapter 53 funding to develop and implement a Public Transit Agency Safety Plan (PTASP) that addresses performance measures, strategies, and staff training opportunities. MAP-21 expands the regulatory authority of FTA to oversee safety, providing an opportunity for FTA to assist transit agencies in moving towards a more holistic, performance-based approach in ***Safety Management Systems (SMS)***. MAP-21 puts FTA and the California Department of Transportation (Caltrans) in a position to provide guidance that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety that promotes awareness and responsiveness to safety risks.

The PTASP for **City of Commerce Municipal Bus Lines** is consistent with; and supports an SMS approach to safety risk management. SMS is an integrated collection of policies, processes and behaviors that ensures a formalized, proactive and data-driven approach to safety risk management. The aim of SMS is to increase the safety of transit systems by proactively identifying, assessing and controlling safety risks. The approach is flexible and scalable, so that transit agencies of all types and sizes can efficiently meet the basic requirements of MAP-21. The PTASP for City of Commerce Municipal Bus Lines addresses the following elements outlined in **Table 1**.

☒ Policy Statement:	A policy statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the agency and the board of directors.
☒ Document Revision and Control:	A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.
☒ Description of Core Safety Responsibilities:	A description of the responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.
☒ Safety Training Program:	A description of the comprehensive safety training program for agency staff that ensures that staff are trained and competent to perform their safety duties.
☒ Safety Risk Management Approach:	A description of the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls.
☒ Prioritized Safety Risks:	A description the most serious safety risks to the public, personnel and property.
☒ Risk Control Strategies and Actions for Prioritized Safety Risks:	A description of the risk control strategies and actions that the agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.
☒ 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.
☒ Desired Safety Outcomes or Goals:	A description of desired safety outcomes for each risk using the measurable safety performance indicators established.

Table 1: Elements of a Public Transit Agency Safety Plan (PTASP)

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1 SAFETY POLICIES AND PROCEDURES

1.1 COMMITMENT TO SAFETY

City of Commerce Municipal Bus Lines (CMBL) is committed to Safety Management as a systematic and comprehensive approach to identifying safety hazards and risks associated with transit system operations and related maintenance activities. CMBL has adopted a Safety Management Systems (SMS) framework as an explicit element of the agency's responsibility by establishing safety policy; identifying hazards and controlling risks; goal setting, planning and measuring performance. Furthermore, CMBL has adopted SMS as means by which to foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

To ensure transit safety and in order to comply with Federal Transit Administration (FTA) requirements, CMBL has developed and adopted this Public Transit Agency Safety Plan (PTASP) to comply with FTA regulations established by Section 5329(d) of the Moving Ahead for Progress in the 21st Century (MAP-21) Act signed into law by President Barack Obama on July 6, 2012.

The Management Executive and Board of Directors/City Council for CMBL, in cooperation with the California Department of Transportation (Caltrans), has reviewed the Public Transit Agency Safety Plan and assures that the its content has met the requirements of Section 5329(d) of MAP-21 through the establishment of a comprehensive Safety Management Systems (SMS) framework. Fundamental safety beliefs guiding our approach include:

1. Safety is a core business value;
2. Safety excellence is a key component of our mission;
3. Safety is a source of our competitive advantage; our business will be strengthened by making safety excellence an integral part of all our public transportation activities; and
4. Accidents and serious incidents are preventable and do not occur out of the blue; they are preceded by precursors (events, behaviors, and conditions) that can be identified, assessed and mitigated through physical, administrative and behavioral defense strategies.

Basic elements of our safety approach include:

- Top Management Commitment to Safe Operations
- Responsibility and Accountability of all Employees
- Clearly Communicated Safety Goals
- Safety Assurance and Performance Measurement for Improvement

1.2 ANNUAL PTASP REVIEW AND UPDATE

CMBL management will review the PTASP annually, update the document as necessary, and implement the changes within a timeframe that will allow the agency to timely submit the annual self-certification of compliance to Caltrans. Annual self-certification will consist of the Director of Transportation signing and dating page 1 of this document and submitting to Caltrans for review. The annual review of the PTASP will be conducted by CMBL as part of the PTASP review on July 1 of each calendar year. Necessary updates outside the annual update window will be handled as PTASP addendums which will be incorporated in the body of the PTASP.

Reviews of the PTASP by the local agency, any subsequent updates and addendums, adoption, and distribution activities will be documented in the PTASP Document Activity Log included at the beginning of this document.

1.3 ORGANIZATION STRUCTURE AND SYSTEM SAFETY RESPONSIBILITIES

Management has the overall responsibility of safe and secure operations of CMBL. Each employee is required to carry out specific system safety responsibilities, depending on his/her position, in compliance with the PTASP. The information provided below (Appendix A) describes each position and the reporting structure; the organizational table in (Appendix B) shows system safety responsibilities of each position specifically.

1.4 SAFETY PROMOTION, CULTURE AND TRAINING

CMBL believes safety promotion is critical to the success of SMS by ensuring that the entire organization fully understands and trusts the SMS policies, procedures, and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

1.4.1 Safety Culture

Positive safety culture must be generated from the top-down. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the City Manager and City Council of the City of Commerce. Employees must trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated. The primary goal of safety promotion at CMBL is to develop a positive safety culture that allows SMS to succeed. A positive safety culture at CMBL is defined as one which is:

A. An Informed Culture

- Employees understand the hazards and risks involved in their areas of operation;
- Employees are provided with the necessary knowledge, training and resources; and
- Employees work continuously to identify and overcome threats to safety.

B. A Just Culture

- Employees know and agree on what is acceptable and unacceptable behavior; and
- Human errors must be understood but negligence and willful violations cannot be tolerated.

C. A Reporting Culture

- Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action; and
- When safety concerns are reported they are analyzed, and appropriate action is taken.

D. A Learning Culture

- Learning is valued as a lifetime process beyond basic-skills training;
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety; and
- Employees are updated on safety issues by management and safety reports are fed back to staff so that everyone learns the pertinent lessons.

1.4.2 Training

During the initial implementation of a SMS, specific training will be required for all employees, including staff, to explain the agency's safety culture and describe how SMS works. The Director of Transportation is the resource person for providing a corporate perspective on CMBL approach to safety management. Once the SMS is implemented, safety training needs will depend on the safety responsibilities of the individual staff members and the nature of tasks performed.

Safety Management Training Topics Might Include:

A. Initial Safety Training for All Staff

1. Basic principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.;
2. Corporate safety philosophy, safety goals and objectives, safety policy, and safety standards
3. Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues;
4. Organizational structure, roles and responsibilities of staff in relation to safety;
5. Transit agency's safety record, including areas of systemic weakness;
6. Requirement for ongoing internal assessment of organization safety performance (e.g. employee surveys, safety audits, and assessments);
7. Reporting accidents, incidents, and perceived hazards;;
8. Lines of communication for safety managers;
9. Feedback and communication methods for the dissemination of safety information; and
10. Safety promotion and information dissemination.

B. Safety Training for Operations Personnel

1. Unique hazards facing operational personnel;
2. Seasonal safety hazards and procedures (e.g. winter operations);
3. Procedures for hazard reporting;
4. Procedures for reporting accidents and incidents; and
5. Emergency procedures.

C. Safety Training for Management

1. Principles of the SMS;
2. Management responsibilities and accountabilities for safety; and
3. Legal issues (e.g. liability).

D. Training for the Director of Transportation

1. Familiarization with different transit modes, types of operation, routes, and so forth;
2. Understanding the role of human performance in accident causation and prevention;
3. Operation of SMS;
4. Investigating safety occurrences;
5. Crisis management and emergency response planning;
6. Safety promotion;
7. Communication skills;
8. Performing safety audits and assessments;
9. Monitoring safety performance; and
10. NTD incident reporting requirements.

2 SAFETY RISK MANAGEMENT (SRM)

2.1 HAZARD IDENTIFICATION

Establishing effective hazard identification programs (Appendix C) is fundamental to safety management at CMBL. Hazard identification can be reactive or proactive in nature. Occurrence reporting, incident investigation and trend monitoring are essentially reactive. Other hazard identification methods actively seek feedback by observing and analyzing day-to-day operations. Common hazard identification activities include:

- Safety assessments;
- Trend monitoring;
- Hazard and incident reporting;
- Safety surveys;
- Safety audits; and
- Evaluating customer suggestions and complaints.

The number of near-miss incidents, known as precursors, is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursors is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. CMBL employs systematic safety improvements by discovering and learning of potential weaknesses in the system's safety.

2.1.1 *Non-Punitive Reporting Policy*

CMBL is committed to the safest transit operating standards possible. To achieve this, it is imperative that CMBL have uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of our operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal. CMBL will not take disciplinary action against any employee who discloses an incident or occurrence involving transit safety. This policy shall not apply to information received by CMBL from a source other than the employee, or which involves an illegal act, or a deliberate or willful disregard of promulgated regulations or procedures. The primary responsibility for transit safety rests with the Transit Operators and Supervisory Personnel, however transit safety is everyone's concern. CMBL method of collection, recording and disseminating information obtained from transit safety reports has been developed to protect, to the extent permissible by law, the identity of any employee who provides transit safety information. CMBL urges all staff to practice the SMS transit safety procedures outlined in the PTASP to help CMBL become a leader in providing transit riders and employees with the highest level of transit safety.

2.2 RISK ASSESSMENT

Once hazards have been identified, CMBL will conduct an assessment to determine their potential consequences. Factors to be considered are the likelihood of occurrence, the severity of the consequences should there be an occurrence, and the level of exposure to the hazard. CMBL will assess risks subjectively by experienced personnel using a **Risk Assessment Matrix (RAM)** (Appendix E). Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will simply need monitoring. If the risks are unacceptable, steps will be taken by CMBL to lower the risk to an acceptable or tolerable level, or to remove or avoid the hazard.

2.3 RISK MITIGATION

The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. CMBL will further manage risk by completing a **Hazard Identification and Risk Assessment Log** (Appendix F) that can help prioritize safety risks. The level of risk can be lowered by reducing the severity of the potential consequences, by reducing the likelihood of occurrence and/or by reducing the exposure to that risk.

In general, CMBL will take the following safety actions to mitigate risk. These actions can be categorized into three broad categories, including:

1. **Physical Defenses:**

These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)

2. **Administrative Defenses:**

These include procedures and practices that mitigate the likelihood of accident/incident (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.) and

3. **Behavioral Defenses:**

These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of the agency. The Zero in Wisconsin Campaign is an example.

2.4 PRIORITIZE SAFETY RISKS

Once hazards have been identified and risk levels assessed, CMBL will prioritize safety risks. A **Prioritized Safety Risk Log (Appendix G)** can be used to organize systems safety risks. The Prioritized Safety Risk Log identifies the priority level for safety risks, a description of the risk, planned mitigation strategies to address the risk, the outcome of the planned mitigation strategies, responsible staff, a timeline of the planned mitigation strategies, and the status of the prioritized safety risk. The Prioritized Safety Risk Log shall be updated frequently to ensure continual progress towards risk reduction.

3 SAFETY ASSURANCE

Safety assurance provides the necessary feedback to ensure that the SMS is functioning effectively and that CMBL is meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated, or in other words, what metrics will be used to assess system safety and determine if the safety management system is working properly. Having decided on the metrics by which success will be measured; safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.

3.1 DEFINING SAFETY GOALS AND OBJECTIVES/OUTCOMES

Setting safety goals and objectives is part of strategic planning and establishing safety policy for CMBL. Clearly defining safety goals is the first part in creating a safety performance measurement system.

Safety goals are general descriptions of desirable long-term impacts. For example, a general safety goal might be, *“Foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.”*

Safety objectives or outcomes are more specific statements that define measurable results. For example, a specific safety objective for the goal stated above might be, *“Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel.”*

The safety objective/outcome will then be measured by defining specific performance metrics, including a baseline and target, that CMBL will determine is reasonable.

3.2 DEFINING SAFETY PERFORMANCE MEASURES

Performance measurement is the regular systematic collection, analysis and reporting of data that track resources used, work produced and whether specific outcomes were achieved. In other words, it is a tool to quantify and improve performance, and engage and communicate with CMBL staff and external stakeholders. The two core functions of performance measurement include monitoring and evaluating progress. Performance can be measured in terms of inputs, outputs, outcomes, and efficiency among many other criteria.

CMBL will utilize these basic principles of performance measurement, including:

- Stakeholder involvement and acceptance
- Focus on agency goals and activities
- Clarity and precision
- Creditability and robustness
- Variety of measures
- Number of measures
- Hierarchy of measures
- Forward-looking measures
- Integration into agency decision-making
- Timely reporting
- Understand agency specifics, including context and scale of operations
- Realism of goals and targets

3.2.1 Metrics

Defining safety performance measures includes the use of safety related metrics. Many safety related metrics may not be applicable depending on the size and scale of the Transit Agency. However, there are several general safety related metrics that can be used to measure transit safety performance. Metrics can be grouped into similar target areas. **Table 2** provides examples of some performance target areas and metrics.

PERFORMANCE AREAS	TARGET MEASURES
<i>Casualties/Incidents:</i>	• Number of fatalities and fatality crashes per specified time period • Number of injuries and injury crashes per specified time period • Fatal accidents per million passenger-miles/vehicle-miles traveled • Injury accidents per million passenger-miles/vehicle-miles traveled • Employee work days lost to injuries per specified time period • Work-related fatalities per specified time period • Workers compensation payments per specified time period
<i>Operations:</i>	• Employee work days lost to injuries per specified time period • Work-related fatalities per specified time period • Percent of positive drug/alcohol tests per specified time period • Number of traffic tickets issued to bus operators per specified time period • Percent of buses exceeding the speed limit per specified time period
<i>Systems and Equipment:</i>	• Number of vehicle defects reported by operators per specified time period • Number of infrastructure defects reported by operators per specified period of time • Number of vehicle defects reported during maintenance inspections • Percent of preventative maintenance inspections completed within 10% of scheduled mileage
<i>Safety Culture:</i>	• Number of training hours for all staff per specified period of time • Results of employee surveys • Number of safety audits, assessments or inspections completed per specified period of time • Number of staffs participating in hazard reporting systems

Table 2: Examples of Performance Area Targets and Safety Measures/Metrics

3.3 MONITORING PERFORMANCE AND EVALUATING RESULTS

Once safety goals, objectives/outcomes and measures have been defined, they can be organized into a **Safety Performance Matrix (Appendix G)** or **Safety Performance Outline (Appendix F)**. Organizing information, particularly in a matrix, will allow CMBL to continuously monitor safety performance and evaluate results. CMBL will evaluate safety performance and update documentation at least semi-annually.

3.4 INTEGRATING RESULTS INTO AGENCY DECISION-MAKING PROCESSES

CMBL is committed to using the data collected and information learned to inform decision making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, CMBL will work to identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Uses of Performance Results include:

- Focus attention on performance gaps and trigger in-depth investigations of what performance problems exists;
- Help make informed resource allocation decisions;
- Identify needs for staff training or technical assistance;
- Help motivate employees to continue making program improvements;
- Support strategic planning efforts by providing baseline information for tracking progress;
- Identify best practices through benchmarking
- Respond to elected officials and the public's demand for accountability.

3.5 SUSTAINING A SAFETY MANAGEMENT SYSTEM

In order to sustain a safety management system, CMBL will ensure that particular processes are employed to instill an organizational foundation. Examples of actions taken to sustain SMS include:

- ***Create measurement-friendly culture:***
All staff, including senior managers, should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. Senior managers will also lead by example and utilize performance metrics in decision making processes.
- ***Build organization capacity:***
Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis and setting goals. Managing staff and the governing board will commit the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.
- ***Reliability and transparency of performance results:***
The SMS will be able to produce and report its results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.
- ***Demonstrate continuous commitment to measurement:***
Visible commitment to using metrics is a long-term initiative. CMBL will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including Transit Safety and performance measurement as a standing agenda item at the regular scheduled safety meetings.

APPENDICES

Appendix A	Staff Safety Roles and Responsibilities
Appendix B	Organizational Chart
Appendix C	Safety Assessment and System Review
Appendix D	Facility Safety and Security Assessment
Appendix E	Risk Assessment Matrix
Appendix F	Hazard Identification and Risk Assessment Log
Appendix G	Prioritized Safety Risk Log
Appendix H	Safety Performance Matrix
Appendix I	Safety Performance Outline

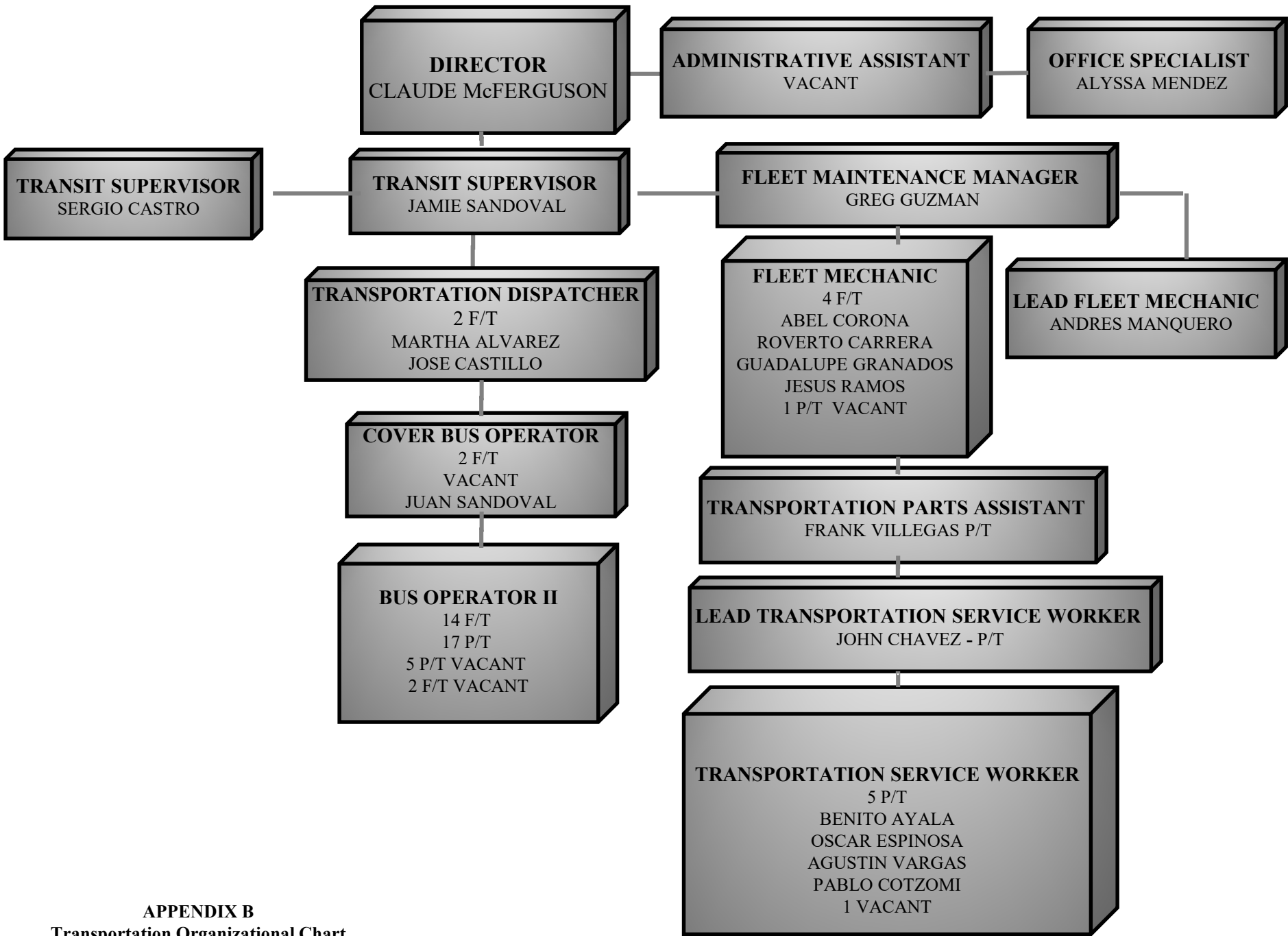
APPENDIX A

CITY OF COMMERCE MUNICIPAL BUS LINES STAFF SAFETY ROLES AND RESPONSIBILITIES

Safety Management Systems (SMS) stresses the importance of a holistic safety approach. Below are staff members that have a primary role in a safe transit agency; however, safety is everyone's responsibility.

Completed by: _____ Date: _____

Position Title	Name of Staff Member	Position Description	Safety Responsibilities
Director of Transportation	Claude McFerguson	Ensure coordinated development and implementation of the PTASP	• Promoting safety awareness throughout the organization; • Ensuring that safety documentation is current and accessible to all employees; • Communicating changes in safety documents to all personnel; • Monitoring the effectiveness of corrective actions; • Providing periodic reports on safety performance; • Rendering independent advice to the CEO, senior managers, and other personnel on safety-related matters; and • Ensuring that safety management has a high priority throughout the organization
Transit Supervisor Fleet Maintenance Manager Transportation Dispatcher	Sergio Castro Jaime Sandoval Greg Guzman Martha Alvarez Jose Castillo	Supervisors, Managers and Dispatchers are responsible for communicating the transit agency's safety policies to all employees.	• Having full knowledge of all standard and safety operating procedures • Ensuring that drivers make safety a primary concern when on the job • Listening and acting upon any safety concerns raised by the drivers • Immediately reporting safety concerns to the SM • Provide leadership and direction to employees during security incidents • Handle minor non-threatening rule violations • Defuse minor arguments • Determine when to call for assistance • Respond to fare disputes and service complaints • Respond to security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance • Complete necessary security related reports • Take photographs of damage and injuries • Coordinate with all outside agencies at incident scenes • Director of Transit Operations
Bus Operators Fleet Mechanics Fleet Service Workers Parts Clerk Assistant	Available Upon Request	Drivers are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing security incidents, and in responding to emergencies.	• Take charge of a hazard incident scene until the arrival of supervisory or emergency personnel • Be familiar with CMBL Employee Manual and Procedures • Attempt to handle minor non-threatening rule violations • Respond verbally to complaints • Attempt to defuse minor arguments • Determine when to call for assistance • Maintain control of the vehicle • Report all safety incidents to Supervisor on duty • Complete all necessary safety related reports



APPENDIX B
Transportation Organizational Chart
As of 02/04/2020

APPENDIX C

CITY OF COMMERCE MUNICIPAL BUS LINES SAFETY ASSESSMENT AND SYSTEM REVIEW

Complete the Safety Assessment and System Review (annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately.

Completed by:	Date:
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
Safety Policies:	• Are all safety policies up to date and reviewed?	☐	☐	☐
	• Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system?	☐	☐	☐
	• Is the Drug and Alcohol Policy current and up to date?	☐	☐	☐
New Hire Employee Files:	• Was there a structured interview conducted and documented?	☐	☐	☐
	• Is the applicant asked the questions relating to previous experience with drug and alcohol testing?	☐	☐	☐
	• Is the offer of employment documented in writing?	☐	☐	☐
	• Is there a pre-employment drug screen?	☐	☐	☐
	• Is there a pre-employment physical exam?	☐	☐	☐
	• Are safety sensitive responsibilities outlined in the job description?	☐	☐	☐
	• Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form?	☐	☐	☐
	• Is there a Current Policies and Procedures Acknowledgement Form?	☐	☐	☐
Post Hire Employee Files:	• Is a current employee roster available?	☐	☐	☐
	• Are the employee files maintained by the transit system?	☐	☐	☐
	• Do existing employee files contain:	☐	☐	☐
	➢ Background check?	☐	☐	☐
	➢ Previous employer request form?	☐	☐	☐
	➢ Verification of current driver's license and CDL?	☐	☐	☐
	➢ Current MVR?	☐	☐	☐
	➢ PARS Reports?	☐	☐	☐
	➢ Current copy of physical exam certificate?	☐	☐	☐
	➢ Signed Substance Abuse Policy Acknowledgement?	☐	☐	☐
	➢ Drug and Alcohol Testing Record with COC and authorization forms?	☐	☐	☐
	➢ Record of annual supervisor ride checks and evaluations?	☐	☐	☐
Education and Training:	• Are operator certifications current and up to date?	☐	☐	☐
	• Have managers completed Safety Management Systems (SMS) training?	☐	☐	☐
	• Are employees familiar with OSHA topics, including:	☐	☐	☐
	➢ Hazard Communication?	☐	☐	☐
	➢ Emergency Action Planning?	☐	☐	☐
	➢ Bloodborne Pathogens?	☐	☐	☐
	➢ Lockout/Tagout?	☐	☐	☐

	➤ Personal Protective Equipment (PPE)?	☐	☐	☐
	➤ Injury Prevention Planning?	☐	☐	☐
	• Have all safety sensitive employees received Drug and Alcohol Training?	☐	☐	☐
	• Do new mechanics receive classroom training?	☐	☐	☐
	• Do existing mechanics receive ongoing training?	☐	☐	☐
Safety Meetings:	• Is there an active Safety Committee in the City of Commerce?	☐	☐	☐
	• Are safety meetings held on a regular basis?	☐	☐	☐
	• Are safety meetings and sign in sheets documented?	☐	☐	☐
	• Do managers, supervisors and dispatchers, attend safety meetings?	☐	☐	☐
	• Do vehicle operators attend safety meetings?	☐	☐	☐
	• Do mechanics attend safety meetings?	☐	☐	☐
Incident and Accident Investigation Procedures:	• Are policies in place dictating which incidents are reported and which are not?	☐	☐	☐
	• Are incident report forms kept on board the vehicle?	☐	☐	☐
	• Are accident reports completed for all situations?	☐	☐	☐
	• Are incident/accident reports used as pre-accident training material?	☐	☐	☐
	• Are incident/accident reports used as post-accident training material?	☐	☐	☐
	• Are incident/accident reports used to identify potential hazards and analyzed in a Risk Assessment Matrix (RAM)?	☐	☐	☐
	• Are complaint forms kept on all vehicles?	☐	☐	☐
	• Are all operators provided with safety vests on their vehicles?	☐	☐	☐
	• Are incident/accident photos taken?	☐	☐	☐
Substance Abuse:	• Is there a current and updated Drug and Alcohol Policy?	☐	☐	☐
	• Do all staff members understand the Drug and Alcohol Policy?	☐	☐	☐
	• Is random testing being completed?	☐	☐	☐
	• Is reasonable suspicion testing being completed?	☐	☐	☐
Facility and Shop Inspections:	• Are monthly facility inspections conducted as scheduled?	☐	☐	☐
	• Are facility inspection forms completed properly?	☐	☐	☐
	• Are unsafe conditions or acts, regarding the facility corrected and documented?	☐	☐	☐
	• Are fire extinguishers up to date with annual servicing requirements?	☐	☐	☐
	• Are fire extinguishers inspected on a monthly basis?	☐	☐	☐
	• Are routing inspections of the fire extinguishers documented?	☐	☐	☐
	• Are eye wash stations available with unobstructed access?	☐	☐	☐
	• Are eye wash stations inspected on a scheduled basis?	☐	☐	☐
	• Is machine guarding in place?	☐	☐	☐
	• Are batteries stored safely?	☐	☐	☐
	• Are all containers marked with the contents clearly identified?	☐	☐	☐
	• Are floors clear of tripping hazards?	☐	☐	☐
	• Are hazardous materials stored safely?	☐	☐	☐
	• Are emergency exits clearly marked?	☐	☐	☐
	• Are lights out?	☐	☐	☐
	• Are jack stands available for use?	☐	☐	☐
	• Are jack stands used whenever a vehicle is elevated on a lift?	☐	☐	☐
	• Is a lock out tag out program in place?	☐	☐	☐

APPENDIX D

CITY OF COMMERCE MUNICIPAL BUS LINES FACILITY SAFETY and SECURITY ASSESSMENT

Complete the Facility Safety and Security Assessment (semi-annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately.

Completed by:	Date:
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
<i>Buildings and Facility Grounds:</i>	Are facility grounds randomly and frequently patrolled?	☐	☐	☐
	Are daily security sweeps conducted?	☐	☐	☐
	Are smoke/fire detectors provided and working?	☐	☐	☐
	Are distribution and number of keys known and controlled?	☐	☐	☐
	Are all Master keys labeled as "DO NOT DUPLICATE"?	☐	☐	☐
	Are all unoccupied areas locked and secured?	☐	☐	☐
<i>Lighting:</i>	Is entire perimeter of facility properly illuminated?	☐	☐	☐
	Is lighting mounted at approximately second story level?	☐	☐	☐
	Are lights provided over all entrance doors?	☐	☐	☐
	Is lighting provided in staff parking areas?	☐	☐	☐
<i>Entrance Doors and Windows:</i>	- Are all doors: ➤ Built of commercial grade with metal framing?	☐	☐	☐
	➤ Outside hinges hidden and protected from vandalism?	☐	☐	☐
	➤ Provided with a commercial grade, one-sided lock?	☐	☐	☐
	➤ Provided with push "panic" bar releases on administrative office doors?	☐	☐	☐
	➤ In case of breakage or opening are all doors connected to a central station alarm?	☐	☐	☐
<i>Electronic Surveillance:</i>	Is the entire perimeter of facility protected by a CCTV system?	☐	☐	☐
	Is this system monitored by management and/or a security company?	☐	☐	☐
	Is this system always on or activated by motion sensors?	☐	☐	☐
<i>Non-Employee Access:</i>	Is access restricted to persons without proper credentials and clearance?	☐	☐	☐
	Are supply deliverers required to show proper I.D. and sign-in a log book?	☐	☐	☐
	Are all non-employees accompanied and/or observable at all times?	☐	☐	☐
<i>Surrounding Environment:</i>	Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property?	☐	☐	☐
	Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack?	☐	☐	☐
	Are all outdoor storage areas adequately lighted and secured?	☐	☐	☐

Material Storage:	• Are all hazardous and flammable materials properly identified?	☐	☐	☐
	• Are all materials properly labeled, stored, and secured?	☐	☐	☐
Forms and Written Plans:	• Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone?	☐	☐	☐
	• Is a Chain of Command and emergency call list prominently displayed?	☐	☐	☐
	• Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone?	☐	☐	☐
Evacuation Plan/Procedures	• Are there evacuation plans for this facility?	☐	☐	☐
	• Are staff members trained on this plan?	☐	☐	☐
	• Are assembly areas and alternate assembly areas identified?	☐	☐	☐
	• Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate departments?	☐	☐	☐
	• Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate?	☐	☐	☐
Training:	• Is an orientation program in place for each new staff member?	☐	☐	☐
	• Do all staff members receive safety and security training appropriate to their position and level of responsibility?	☐	☐	☐
	• Are periodic safety and security training and briefings completed with staff?	☐	☐	☐
	• Do all new staff members receive briefings on the City/County Evacuation Plan, the Disaster Preparedness Plan, and other security policies and procedures?	☐	☐	☐
Administrative Procedures:	• Is a record of emergency data on file for each staff?	☐	☐	☐
	• Have incident reporting format and procedures been established and staff briefed on them?	☐	☐	☐
	• Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/County department?	☐	☐	☐
	• Are background checks conducted and verified on all prospective new hires?	☐	☐	☐
	• Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?	☐	☐	☐
Fire and Electrical Safety:	• Are fire extinguishers installed in all appropriate locations?	☐	☐	☐
	• Are smoke and heat detectors installed, at least one on each floor?	☐	☐	☐
	• Is a first aid kit present and maintained?	☐	☐	☐
	• Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?	☐	☐	☐
	• Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?	☐	☐	☐
	• Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?	☐	☐	☐
	• Are all outdoor trash containers and storage bins located away from the building in the event of a fire?	☐	☐	☐

Appendix E

Risk Assessment Matrix (RAM)

Identified Hazard:

Consequences					Likelihood				
Severity	People	Assets	Environment	Reputation	1	2	3	4	5
					Practically impossible (never heard of in the industry)	Remote, not likely to occur	Could occur, or heard of it happening	Likely, known to occur or has happened before	Common, or occurs frequently
1	First aid or no injury	No/Slight damage	No/Slight effect	No/Slight impact	Low	Low	Low	Low	Medium
2	Slight injury, medical treatment	Minor damage	Minor effect	Limited impact	Low	Low	Medium	Medium	High
3	Serious injury, hospitalization more than 7 days	Moderate damage	Moderate effect	Local area impact	Low	Low	Medium	High	High
4	Permanent total disability, or one fatality	Major damage, unit level	Major effect	Major statewide impact	Low	Medium	High	High	High
5	Multiple fatalities	Major damage, multiple units	Massive effect	Major national impact	Medium	Medium	High	High	High
Risk Value:									

	Low Risk, continuous improvement
	Medium Risk, monitor and control
	High Risk, unacceptable/intolerable, immediately introduce further control measures

Assessed Risk Level:

0

Instructions

1. Estimate potential consequences and severity (thought of as what could happen if hazard actually occurred)
2. Estimate likelihood of such consequences occurring (using historical evidence, data and experience)
3. Multiply the severity for each consequence by the likelihood of that consequence occurring. This is the risk value.
4. Sum the risk values for a total assessed risk level (out of 100)

CITY OF COMMERCE MUNICIPAL BUS LINES HAZARD IDENTIFICATION AND RISK ASSESSMENT LOG

Completed by:	Last Updated:
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[illegible]

APPENDIX G

CITY OF COMMERCE MUNICIPAL BUS LINES PRIORITIZED SAFETY RISK LOG

This Prioritized Safety Risk Log is used to organize identified safety risks facing CMBL. The Log should be updated frequently to demonstrate continual progress towards risk reduction through mitigation strategies. A timeline is used to highlight projected completion dates.

Completed by:	Last Updated:
---------------	---------------

Priority	Risk Description	Planned Mitigation Strategies	Outcomes of Planned Mitigation Strategies	Responsible Staff	Timeline	Status
1	Non-compliance with agency maintenance protocol	• Introduce compliance monitoring • Effective supervision including work compliance assessment • Competency assessments • Maintenance policy to reinforce need for compliance	•	• Safety Assurance • Line Manger • Maintenance Manager	• Begin January 2020 • Complete August 2020	Open
2		•	•	•	•	
3		•	•	•	•	
4		•	•	•	•	
5		•	•	•	•	
6		•	•	•	•	
7		•	•	•	•	
8		•	•	•	•	
9		•	•	•	•	
10		•	•	•	•	

APPENDIX H

CITY OF COMMERCE MUNICIPAL BUS LINES SAFETY PERFORMANCE MATRIX

The Safety Performance Matrix allows CMBL to organize, monitor and evaluate identified safety goals and objectives/outcomes. Note: Metrics should be adjusted depending on preference and/or scale of operations.

Completed by:	Last Updated:
---------------	---------------

GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES			
CMBL will utilize a safety management systems framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Reduce the number of transit related fatalities	Number of fatalities per specified passenger miles traveled	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Reduce the number of transit related injuries	Number of injuries per specified passenger miles traveled	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Increase assessment and analysis of existing personnel, equipment and procedures to identify and mitigate any potential safety hazards	Number of safety audits, inspections, or assessments completed per specified period of time	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Develop a corrective action plan and mitigation strategies to address identified hazards	Percent of corrective action strategies completed per specified period of time	Identify a baseline	Establish reasonable measure using past and present performance data and trends
GOAL 2: CULTURE			
CMBL will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Establish a dedicated staff person as the Transit Agency Safety Officer to manage the agency's transit safety program	<i>Number of years of transit safety experience</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel	<i>Number of meetings per specified period of time or number of meetings per incidents/occurrences</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Develop and promote a Non-Punitive Reporting Policy	<i>Percent of staff receiving Non-Punitive Reporting Policy</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Increase the reporting of near miss occurrences and incidents that would otherwise go unreported	<i>Number of near miss occurrences/incidents reported per specified passenger-miles traveled or per specified period of time</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Increase employee safety training opportunities and attendance	<i>Number of employee safety training hours completed per specified period of time</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Increase safety material distributed amongst employees and the general public	<i>Number of manuals, brochures, posters or campaigns distributed per specified period of time</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
GOAL 3: SYSTEMS/EQUIPMENT:			
CMBL will provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Reduce the number of vehicle/equipment/facility maintenance issues reported	<i>Number of vehicle/equipment/facility maintenance issues reported per specified period of time</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Increase scheduled preventative maintenance	<i>Number of preventative maintenance inspections completed per specified period of time or specified vehicle mileage</i>	Identify a baseline	Establish reasonable measure using past and present performance data and trends

APPENDIX I

CITY OF COMMERCE MUNICIPAL BUS LINES SAFETY PERFORMANCE OUTLINE

This Safety Performance Outline allows CMBL to organize, monitor and evaluate identified safety goals and objectives/outcomes. Note: Metrics should be adjusted depending on preference and/or scale of operations.

Completed by: _____

Last Updated: _____

GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES

CMBL will utilize a safety management systems framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.

1. Objective/Outcome:
Reduce the number of transit related fatalities
 - a. Metric: Number of fatalities per specified passenger miles traveled
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends
2. Objective/Outcome:
Reduce the number of transit related injuries
 - a. Metric: Number of injuries per specified passenger miles traveled
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends
3. Objective/Outcome:
Increase assessment and analysis of existing personnel, equipment and procedures to identify and mitigate any potential safety hazards
 - a. Metric: Number of safety audits, inspections, or assessments completed per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and needs
4. Objective/Outcome
Develop a corrective action plan and mitigation strategies to address identified hazards
 - a. Metric: Percent of corrective action strategies complete per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish reasonable measure using past and present performance data and needs

GOAL 2: CULTURE

CMBL will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

1. Objective/Outcome:
Establish a dedicated staff person as the Transit Agency Safety Officer to manage the agency's transit safety program
 - a. Metric: Number of years of transit safety experience
 - b. Baseline: Identify a baseline
 - c. Target: Establish reasonable measure using past and present performance data and trends

2. Objective/Outcome:
Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel
 - a. Metric: Number of meetings per specified period of time or number of meetings per incidents/occurrences
 - b. Baseline: Identify a baseline
 - c. Target: Establish reasonable measure using past and present performance data and trends
3. Objective/Outcome:
Develop and promote a Non-Punitive Reporting Policy
 - a. Metric: Percent of staff receiving Non-Punitive Reporting Policy
 - b. Baseline: Identify a baseline
 - c. Target: Establish reasonable measure using past and present performance data and trends
4. Objective/Outcome:
Increase the reporting of near miss occurrences and incidents that would otherwise go unreported
 - a. Metric: Number of near miss occurrences/incidents reported per specified passenger-miles traveled or per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends
5. Objective/Outcome:
Increase employee safety training opportunities and attendance
 - a. Metric: Number of employee safety training hours completed per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends
6. Objective/Outcome:
Increase safety material distributed amongst employees and the general public
 - a. Metric: Number of manuals, newsletters, brochures, posters or campaigns distributed per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends

GOAL 3: SYSTEMS/EQUIPMENT:

CMBL will provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed.

1. Objective/Outcome:
Reduce the number of vehicle/equipment/facility maintenance issues reported
 - a. Metric: number of vehicle/equipment/facility maintenance issues reported per specified period of time
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends
2. Objective/Outcome:
Increase scheduled preventative maintenance
 - a. Metric: Number of preventative maintenance inspections completed per specified period of time or specified vehicle mileage
 - b. Baseline: Identify a baseline
 - c. Target: Establish a reasonable measure using past and present performance data and trends