



DATE June 3, 2020 Item 8

TO GCTD Board of Directors

FROM Alex Zaretsky, Human Resources and Risk Manager *AZ*

SUBJECT **Consider Approval Gold Coast Transit District's Public Transportation Agency Safety Plan (PTASP) and Approval of Resolution 2020-04**

SUMMARY

This item provides the Gold Coast Transit District (GCTD) Board of Directors information on the Federal Transit Administration (FTA) required Public Transportation Agency Safety Plan (PTASP). This new rule effective on July 19, 2019 initially required PTASP plans be completed and submitted to the FTA by July 20, 2020. Under this rule, state DOT's are required to prepare plans on behalf of bus operators with fewer than 100 peak-hour buses, unless a bus operator volunteers to prepare their own plan. GCTD qualifies for the State DOT plan. However, after careful consideration GCTD elected to prepare its own plan to avoid any unintended consequences. The state DOT plan is likely not to provide options for customization specific to GCTD operations and could possibly impact future funding and oversight at Triennial Performance Reviews requiring state DOT involvement.

BACKGROUND

The FTA published the PTASP Final Rule on July 19, 2018. This rule requires certain operators of public transportation systems who receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

Under this rule, state DOT's are required to prepare plans on behalf of bus operators with fewer than 100 peak-hour buses, unless a bus operator volunteers to prepare their own plan. GCTD qualifies for the State DOT plan. However, after careful consideration GCTD elected to prepare its own plan to avoid any unintended consequences. The state DOT plan is likely not to be provide options for customization specific to GCTD operations and could possibly impact future funding and oversight at Triennial Performance Reviews requiring with state DOT involvement. GCTD staff intends to "opt-out" from the Caltrans Division of Rail and Mass Transportation (DRMT), i.e., the "State Plan" for the PTASP.

The rule required every public transportation agency to adopt a PTAS Plan by July 20, 2020. With the onset of the public health concern relating to COVID-19, FTA published a Notice of Enforcement Discretion on April 22, 2020 effectively extending the PTASP compliance deadline from July 20, 2020 to December 31, 2020. Since staff was already well on its way to completing the required document, the decision was made to proceed with the original deadline.

GOLD COAST TRANSIT DISTRICT

The PTAS Plan (PTASP) incorporates a previously developed Transit Asset Management Plan (TAM) that was approved by the GCTD Board of Directors in 2018. An element of the PTASP will be to achieve and maintain a capital asset State of Good Repair (SGR). Like the TAM, the development of a PTASP was the first step in what will be an ongoing process that requires constant monitoring to achieve and maintain GCTD's safety performance targets identified in the PTASP. Because GCTD uses FTA Section 5307 funding to pay our paratransit provider for provision of ADA paratransit service, this requirement extends to MV Transit's GO ACCESS operations as well.

The FTA allows each transit operator to determine whether contracted services impacted by the PTASP rule will be included in the agency's plan or to require the Contractor to submit a separate complaint plan. Staff elected to have MV Transit submit their plan to GCTD for monitoring and oversight, in compliance with FTA guidance.

The final rule outlining PTASP requirements states that the PTASP must follow a "Safety Management Systems" (SMS) approach. Each safety plan must be signed by the highest executive in the agency, an operator's Accountable Executive, like the accountability to the OSHA's Injury and Illness Prevention Plan and be approved by the Board of Directors. The rule requires each operator to certify compliance with these requirements through its annual FTA will use its existing Certifications and Assurances process for this effort. FTA intends to use its triennial oversight review programs to assess compliance with the requirements of the rule. Failure to comply with a requirement of the rule subjects a grantee to a range of FTA enforcement options depending upon the circumstances, including a transit operator being ineligible to receive FTA grant funds until the operator satisfies the requirements of the rule.

The required components of the SMS approach incorporated into GCTD's Agency Safety Plan are listed below:

- 1) Safety Management Policy (Plan)
Establishes agency's objective while identifying the roles and responsibilities of agency personnel.
 - a) A written policy statement establishing:
 - a. Organizational accountabilities
 - b. Safety responsibilities
 - c. Confidential employee reporting program
 - d. Designation of the Accountable Executive and SMS Executive
 - b) Agency's Safety Objectives
- 2) Safety Risk Management (Process)
Delineates the protocols used to adhere to the PTASP.
 - a) Safety Risk Management
 - b) Safety Hazard Identification
 - c) Safety Risk Assessment
 - d) Safety Risk Mitigation
 - e) Minimize Exposure to Hazards/Unsafe Conditions
 - f) Annual Review/Update of PTASP

3) Safety Assurance (Culture)

Based on the safety performance criteria and state of good repair standards set out in the National Public Transportation Safety Plan.

- a) Safety Performance Monitoring/Measurement
- b) Performance Targets

4) Safety Promotion (Foundation)

- a) Assignment of Chief Safety Officer or SMS Executive
- b) Safety communications
- c) Safety Training Program Implementation
- d) Supporting Documentation

Large vs. Small Operator

In the PTASP final rule, bus operators with fewer than 100 peak-hour buses are considered small providers. GCTD 's peak fleet including the GO ACCESS paratransit fleet operated by MV Transit is less than 100 vehicles. GCTD is therefore considered a small provider for the purposes of this rule. The rule allows small providers to identify a Chief Safety Officer or (SMS) Executive who may serve other functions within the agency. There are additional minor reductions for a small provider compared to a larger provider.

Safety Training & Communication

The PTAS Plan rule requires Safety Promotion, specifically a staff training program. A comprehensive safety program for all agency employees and contractors who are directly responsible for safety must be implemented by the transit agency. The agency must also communicate safety information throughout the agency's organization that:

1. Conveys information on hazards and safety risks and
2. Informs employees of safety actions taken in response to reports submitted through an employee safety program.

Each agency is expected to develop its own program to accomplish these requirements. GCTD currently provides two safety training programs monthly. One is for bus operators and others holding a commercial driver's license to provide safety training. The second is provided to maintenance staff for OSHA based industrial safety training. Both programs include refresher training and contain information on hazards and safety risks relevant to employees' roles and responsibilities. The training is designed to inform employees of actions needed for mitigation of hazards and prevention of accidents.

Database Collection (PTASP Documentation)

GCTD uses Track-it Manager a transit specific software database to assist in PTASP documentation. All PTASP records are in a single, easy to search cloud platform. Reports on Accident Management, Hazard and Incident Tracking are easy to complete. All pertinent information related to a report whether it is an accident, or a safety hazard is readily available.

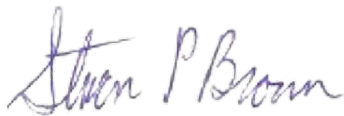
The database would be populated by Transit Supervisors and the Safety and Training Supervisors and reviewed by the safety committee and the Human Resources & Risk Manager, and then reported to the NTD (National Transit Database).

RECOMMENDATION

This report has the following action items for the Board of Directors,

1. Approval of GCTD to “opt-out” from Caltrans Division of Rail and Mass Transportation (DRMT), i.e., the “State Plan” for the PTASP.
2. Approval of GCTD’s Public Transit Agency Safety Plan, including the Agency Safety Plan, the Safety Management Systems Plan and the Track-It software database for documentation.

GENERAL MANAGER’S CONCURRENCE

A handwritten signature in blue ink that reads "Steven P. Brown". The signature is written in a cursive style and is positioned above a horizontal line.

Steven P. Brown
General Manager

RESOLUTION No. 2020-04

**Gold Coast Transit District
Public Transportation Agency Safety Plan
Agency Safety Plan Certification**

WHEREAS, on July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

WHEREAS, the rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307). the plan must include safety performance targets. Transit operators also must certify they have a safety plan in place meeting the requirements of the rule by December 31, 2020. The plan must be updated and certified by the transit agency annually.

NOW, THEREFORE, BE IT RESOLVED, on June 3, 2020, at the Board of Directors meeting, Gold Coast Transit District's Accountable Executive Steven P Brown along with the Board of Directors and Chair for GCTD approve for certification the Districts Public Transportation Agency Safety Plan (PTASP), i.e., Agency Safety Plan.

APPROVED AND CERTIFIED this 3RD Day of June 2020.
Version: 1.0

CHAIR OF THE BOARD OF DIRECTORS FOR GOLD COAST TRANSIT DISTRICT

Will Berg
Chair of the Board of Directors

ATTEST: I hereby certify that the foregoing Resolution No. 2020-04 was duly approved by the Board of Directors of Gold Coast Transit District at a regular meeting thereof held on the 3rd day of June 2020.

GENERAL MANAGER'S CONCURRENCE

Steven P. Brown
General Manager



June 3, 2020

Brian C. Travis
Senior Transportation Planner
RTAP and Legislative Management
Caltrans Division of Rail and Mass Transportation
By Email: brian.travis@dot.ca.gov

Re: Gold Coast Transit District "Opting Out" of Agency Safety Plan
Developed by Caltrans, California's Department of Transportation

Dear Mr. Travis:

The Federal Transit Administration (FTA) and the Public Transportation Agency Safety Plan regulation, at 49 CFR Part 673, requires State Departments of Transportation (DOTs) to draft and certify Agency Safety Plans (ASPs) on behalf of small public transportation providers. However, a State DOT is not required to draft an ASP for a small public transportation provider if the small transit provider notifies the State that it will draft its own plan.

This letter serves to notify the [Caltrans] California's Department of Transportation that Gold Coast Transit District is a small public transportation provider and will draft (and certify) its own ASP to address Part 673 requirements. The ASP will be approved by the Board of Directors on June 3, 2020 and signed by the Accountable Executive, Steven P. Brown, the General Manager.

As always if you have any questions or concerns regarding this letter, please feel free to call me or write back by email.

Sincerely,

Steven P. Brown
General Manager
sbrown@gctd.org
Extension 116

Cc: Alex Zaretsky (PTASP File)

GOLD COAST TRANSIT DISTRICT

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AGENCY SAFETY PLAN

Adopted and Certified by the Board of Directors on June 3, 2020

Signature of Accountable Executive

Steven P. Brown
General Manager

Date

**Gold Coast Transit District
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Oxnard, California 93036
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Gold Coast Transit District

Public Transportation Agency Safety Plan Safety Management System (SMS) Policy Statement

The management of safety is one of our core business functions. Gold Coast Transit District (GCTD) is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the General Manager.

Gold Coast Transit District commitment is to:

- **Support** the management of safety through the provision of appropriate resources, that will result in 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 the attention to the results of the other management systems of the organization;
- **Integrate** the management of safety among the primary responsibilities of all managers and employees;
- **Clearly define** for all staff, managers and employees alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system;
- **Establish and operate** hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
- **Ensure** that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- **Comply** with, and wherever possible exceed, legislative and regulatory requirements and standards;
- **Ensure** that sufficient skilled and trained human resources are available to implement safety management processes;
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;

- **Establish and measure** our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- **Continually improve** our safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and
- **Ensure** externally supplied systems and services to support our operations are delivered meeting our safety performance standards.

Definitions

Accident means an Event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; an evacuation for life safety reasons.

Accountable Executive means the single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of the Agency; responsibility for carrying out the Agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the Agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the Agency's Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.

Agency or Transit Agency means Gold Coast Transit District.

Board or equivalent entity means governing body of Gold Coast Transit District.

Caltrans means the California Department of Transportation.

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

CFR means Code of Federal Regulations.

Event means any Accident, Incident, or Occurrence.

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

Hazard means any real or potential condition that can cause injury, illness, or death, damage to or loss of the facilities, equipment, rolling stock, or infrastructure of the system, or damage to the environment.

Incident means an Event that involves any of the following: a personal injury that is not a serious injury, one or more injuries requiring medical transport, or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the Transit Agency.

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

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

Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of the Transit Agency.

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

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

Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

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

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

Safety Assurance means processes within the Transit Agency's Safety Management Systems that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the Transit Agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Management Policy means the Transit Agency's documented commitment to safety, which defines the Transit Agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.

Safety Management Systems (SMS) means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a Transit Agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

Safety Performance Target (SPT) means a Performance Target related to safety management activities.

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

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

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

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

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

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

U.S.C. means United States Code.

Section 1 Transit Agency Information

Gold Coast Transit District is a California Governmental Transit District formed by the California legislation, which operates fixed route transit bus service in Ventura County, California. Gold Coast Transit District is a recipient of Section 5307 funds. Gold Coast Transit District utilizes a contractor (external provider) to provide paratransit transportation services and ensures compliance under Part 673. GCTD will monitor the paratransit subcontractor's Agency Safety Plan.

Subsection 1.1 Accountable Executive

Gold Coast Transit District's Accountable Executive is Steven P. Brown as the General Manager. The General Manager is the single, identifiable person who has ultimate responsibility for carrying out this Agency Safety Plan and Gold Coast Transit District's Transit Asset Management (TAM) Plan, and control or direction over the human and capital resources needed to develop and maintain both this Plan and the TAM Plan.

The General Manager is accountable for ensuring that the Agency's Safety Management Systems (SMS) is effectively implemented throughout the Agency's public transportation system. The General Manager is accountable for ensuring action is taken, as necessary, to address substandard performance in the Agency's SMS. The General Manager may delegate specific responsibilities, but the ultimate accountability for the Transit Agency's safety performance cannot be delegated and always rests with the General Manager.

Subsection 1.2 Chief Safety Officer

The General Manager designates the Human Resources and Risk Manager as Gold Coast Transit District's Chief Safety Officer who has the authority and responsibility for day-to-day implementation and operation of the Agency's SMS. The Chief Safety Officer holds a direct line of reporting to the Accountable Executive,

As shown in the organization chart in the Attachment A. Management and has a strong working relationship with the operations and maintenance departments along with the asset management functions at Gold Coast Transit District.

Section 2 Plan Development, Approval, and Updates

This Plan is based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for the management of safety risk. The four principles or pillars of SMS are: (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.

Subsection 2.1 Drafting the Plan

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

Subsection 2.2 Signature by the Accountable Executive and Approval by the Board

Pursuant to 49 CFR Part 673.11 (a)(1), this Agency Safety Plan and subsequent updates must be signed by the Accountable Executive and approved by Gold Coast Transit District's Board. Documentation of Board approval is found in the Board report of June 3, 2020.

Subsection 2.3 Certification of Compliance

Pursuant to 49 CFR Parts 673.13(a) and 673.13(b), Gold Coast Transit District certifies that it has established this Agency Safety Plan, meeting the requirements of 49 CFR Part 673 by July 20, 2020 and will certify its compliance with 49 CFR Part 673.

On an annual basis Gold Coast Transit District must update this Agency Safety Plan by July 20 in perpetuity. All Agency Safety Plan updates shall be signed by the Accountable Executive and approved by Gold Coast Transit District's Board.

Subsection 2.4 Plan Review and Updates

Gold Coast Transit District updates this Safety Plan when information, processes or activities change within the Agency and/or when Part 673 undergoes significant changes, or annually, whichever comes sooner. As Gold Coast Transit District collects data through its Safety Risk Management and Safety Assurance processes, and Track-it a database, and will evaluate the safety performance targets (SPTs) to determine whether they need to be changed, as well.

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

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

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

Section 3 Safety Performance Targets (SPTs)

Subsection 3.1 Target Development

GCTD will create self-Safety Plan Targets SPTs in this Safety Plan. These targets are specific numerical targets set by GCTD and based on the safety Performance Measures established by yearly performance measures. GCTD will also review through FTA in the National Public Transportation Safety Plan. In the most recent version, the 2017 NSP3, FTA adopted four initial safety Performance Measures: (1) Fatalities, (2) Injuries, (3) Safety Events, and (4) System Reliability.

GCTD will develop safety performance targets that it will review and update annually. The specific safety performance targets are based on the safety performance measures established under the GCTD performance measures, and will utilize the National Public Transportation Safety Plan and the safety performance goals set through FTA based on the past three (3) Calendar years of data. The Safety Performance Targets for Gold Coast Transit District for the first year 2020 is expected to stay within 1% +/- of previous three years data pertaining to fatalities, injuries, safety events, and system reliability.

Note: Baseline data for each target will be analyzed by GCTD.

Gold Coast Transit District will make safety performance targets available to aid in the planning process upon certification of this plan.

Attachment A

Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability
Fixed Route Integer Target				
Fixed Route Target per Vehicle Revenue Mile				
Demand Response Integer Target				
Demand Response Target per Vehicle Revenue Mile				

Section 4 Overview of the Agency’s Safety Management Systems (SMS)

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

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

Furthermore, Gold Coast Transit District’s SMS have four distinct components, which are discussed in subsequent sections to this Safety Plan:

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

Section 5 Safety Management Policy

The first component of Gold Coast Transit District’s SMS is the Safety Management Policy, which is the foundation of Gold Coast Transit District’s safety management system. It clearly

states the organization's safety objectives and sets forth the policies, procedures, and organizational structures necessary to accomplish the safety objectives. The Safety Management Policy clearly defines management and employee responsibilities for safety throughout the organization. It also ensures that management is actively engaged in the oversight of the system's safety performance by requiring regular review of the Safety Management Policy, budget and program by the designated Accountable Executive.

Subsection 5.1 Safety Management Policy Statement

Safety is a core value at Gold Coast Transit District, and managing safety is a core business function. Gold Coast Transit District will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. Gold Coast Transit District's overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations.

Gold Coast Transit District will:

- Clearly, and continuously explain to all staff that everyone working within Gold Coast Transit District must take part and be responsible and accountable for the development and operation of the Safety Management System (SMS).
- Work continuously to minimize safety risks. Work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards for passengers and employees.
- Work to ensure that all employees are provided appropriate safety information and training, are competent in safety matters, and assigned tasks commensurate with duties and skills.
- Reaffirm that responsibility for making our operations safer for everyone lies with all employees – from executive management to frontline employees. Each manager is responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure that all reasonable steps are taken to perform activities established through the SMS.

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

Subsection 5.2 Safety Management Policy Communication

The Safety Management Policy is communicated throughout the Agency, to all employees, managers, and executives, as well as contractors, and to the Board.

This is accomplished through various processes such as:

- Workshops/training sessions - Conducted for Senior Management, Directors, Managers, Supervisors. Once this Plan or any update to this Plan has been signed by the CEO/General Manager approved by the Board of Directors. All Union representatives will be kept informed.
- New Hire Safety Orientation – All new employees regardless of their classifications will be trained about their roles and responsibilities pertaining to PTASP and the principles of SMS.

- Safety bulletins, email safety newsletter blasts to staff, toolbox/tailgate safety meetings and/or safety committee meetings

Subsection 5.3 Employee Safety Reporting Program

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

Purpose:

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

Description:

- a) This program provides a method for Gold Coast Transit District management to identify, evaluate, and correct or avoid unsafe conditions or hazards, procedural deficiencies, design inadequacies, equipment failures, or near misses that adversely affect the safety of employees.

Examples of voluntary safety reports include:

- Safety hazards in the operating environment (for example, county or city road conditions),
 - Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection),
 - Events that senior managers might not otherwise know about (for example, near misses), and
 - Information about why a safety event occurred (for example, radio communication challenges).
- b) The program also involves recommending corrective actions and resolutions of identified unsafe conditions or hazards and/or near miss.
 - c) All employees have the obligation to report immediately any unsafe conditions or hazards and near miss to their immediate supervisor /department manager and may do so without fear of reprisal.
 - d) Unsafe conditions or hazards may also be identified as a result of occupational injury or illness investigations and/or by accident investigation.

e) Other means by which hazards may be identified are inspections/audits or observations made by the supervisors/management staff as referenced in agency's Safety Inspection Program.

f) Findings will be published immediately following mitigation actions. If employee identification is available, direct feedback regarding mitigation will be provided.

Subsection 5.4 SMS Authorities, Accountabilities, and Responsibilities

This Plan has assigned specific SMS authorities, accountabilities, and responsibilities to the designated Accountable Executive; Chief Safety Officer; Agency's Leadership/Executive Management; and Key Staff/Employees as described below:

Subsection 5.4.1 Accountable Executive

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

The General Manager roles include, but are not limited to:

- Decision-making about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments;
- Signing SMS implementation planning documents;
- Endorsing SMS implementation team membership; and
- Ensuring safety concerns are considered and addressed in the agency's ongoing budget planning process.
- Ensuring transparency in safety priorities: for the Board of Directors and for the employees.
- Establishing guidance on the level of safety risk acceptable to the agency.
- Assuring safety policy is appropriately communicated throughout the agency.
- Other duties as assigned/necessary.

Subsection 5.4.2 Chief Safety Officer

The Chief Safety Officer has the authority and responsibility for day-to-day implementation and operation of Gold Coast Transit District's SMS.

Chief Safety Officer's Roles include:

- Decision-making about resources (e.g., people and funds) to support asset management, SMS activities, and capital investments;
- Overseeing the safety risk management program by facilitating hazard identification, safety risk assessment, and the development and implementation of safety risk mitigations.

- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive and the **Board** on SMS implementation progress.
- Planning safety management training; and
- Developing and organizing annual audits/reviews of SMS processes and the Agency Safety Plan to ensure compliance with 49 CFR Part 673 requirements.
- Maintaining safety documentation.
- Other duties as assigned/necessary.

Subsection 5.4.3 Agency Leadership and Executive Management

The department directors and or managers of each department comprise the District's Leadership/Executive Management. Some of their responsibilities include:

- Day-to-day implementation of the Agency's SMS throughout their department and the organization.
- Communicating safety accountability and responsibility from the frontline employees to the top of the organization.
- Ensuring employees are following their working rules and procedures, safety rules and regulations in performing their jobs, and their specific roles and responsibilities in the implementation of this Agency Safety Plan and the Agency's SMS.
- Ensuring that employees comply with the safety reporting program and are reporting unsafe conditions and hazards to their department management; and making sure reported unsafe conditions and hazards are addressed in a timely manner.
- Ensuring that resources are sufficient to carry out employee training/certification and re-training as required by their job classifications.

Subsection 5.4.4 Key Staff

The agency Key Staff/Employees may include managers, supervisors, specialists, analysts, database administrators, and other key employees who are performing highly technical work and overseeing employees performing critical tasks and providing support in the implementation of this Agency Safety Plan and SMS principles in various departments throughout the agency.

Gold Coast Transit District's Key Staff/Employees responsibilities include:

- Ensuring that employees are complying with the safety reporting program.
- Ensuring supervisors are conducting their toolbox safety meetings
- Promoting safety in employee's respective area of responsibilities – That means: zero accidents; absence of any safety concerns; perfect employee performance; and compliance with agency rules and procedures and regulatory requirements.
- Ensuring safety of passengers, employees, and the public.
- Responding to customer complaints and expectations for frequency, reliability, and convenience of service.
- Replacing and maintaining aging facilities, equipment, and infrastructure.
- Meeting increasing demands for fixed route, commuter service and paratransit service.
- Developing and maintaining programs to gather pertinent data elements to develop safety performance reports and conduct useful statistical analyses to identify trends and system performance targets.
- Establishing clear lines of safety communication and holding accountability for safety performance.
- Assisting as subject matter experts in safety risk assessment and safety risk mitigation processes.

Section 6 Safety Risk Management (SRM)

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

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

Subsection 6.1 Safety Hazard Identification

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

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

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

When a hazard has been identified, whatever the source, it is reported to Gold Coast Transit District's Chief Safety Officer, who enters it into the Track-It data base. The Chief Safety Officer also may enter hazards into this data base on reviews of operations and maintenance activities and procedures.

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

- Reach out to the reporting party, if available, to gather all known information about the reported hazard,
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary,
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard,
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.),

- Contact other departments that may have association with or technical knowledge relevant to the reported hazard,
- Review any past reported hazards of a similar nature, and
- Evaluate tasks and/or processes associated with the reported hazard.

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

Subsection 6.2 Safety Risk Assessment

Safety risk assessment defines the level or degree of the safety risk by assessing the likelihood and severity of the consequences of hazards and prioritizes hazards based on the safety risk. The Chief Safety Officer, with assistance from key staff subject matter experts, is responsible for assessing identified hazards and ratings using the safety risk matrix below. Prioritizing safety risk provides the Accountable Executive with the information needed to make decisions about resource application.

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

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

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

Severity Levels		
Description	Level	Mishap Result Criteria
Catastrophic	1	Could Result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M

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

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

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

Safety Risk Assessment Matrix				
Severity → Probability ↓	Catastrophic 1	Critical 2	Marginal 3	Negligible 4
A-Frequent	1A	2A	3A	4A
B- Probable	1B	2B	3B	4B
C-Occasional	1C	2C	3C	4C
D- Remote	1D	2D	3D	4D
E- Improbable	1E	2E	3E	4E
F- Eliminated				
Safety Risk Index Ranking				
1A, 1B, 1C, 2A, 2B	High	Unacceptable		
1D, 2C, 3A, 3B	Serious	Undesirable - With management decision required		
1E, 2D, 2E, 3C, 3D, 3E, 4A, 4B,	Medium	Acceptable - with review by management		
4C, 4D, 4E	Low	Acceptable - without review		

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

Subsection 6.3 Safety Risk Mitigation

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

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

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

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

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

Section 7 Safety Assurance

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

Gold Coast Transit District monitors its operations and maintenance protocols and procedures, and any safety risk mitigations to ensure that it is implementing them as planned. Furthermore, the District investigates safety events (as defined in this plan) and any reports of non-compliance with applicable regulations, standards, and legal authority. Finally, the Districts continually monitors information reported to it through any internal safety reporting programs, including the employee safety reporting program.

Some of the key elements of Gold Coast Transit District's Safety Performance Monitoring and Measurement are shown below in subsection 7.1:

Subsection 7.1 Safety Performance Monitoring and Measurement

As part of the Safety Assurance Process, Gold Coast Transit District:

- Monitors the system for compliance with, and sufficiency of, the Agency's procedures for operations and maintenance through:
 - Safety audits,
 - Informal inspections,
 - Regular review of on-board camera footage to assess drivers and specific incidents,
 - Safety surveys,
 - Employee safety reporting program,
 - Investigation of safety occurrences,
 - Safety review prior to the launch or modification of any facet of service,
 - Daily data gathering and monitoring of data relating to the delivery of service,
 - Regular vehicle inspections and preventative maintenance, and
 - Continuous feedback loop between leadership and all levels of the agency.
- Monitors its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended through:

- Reviewing results from accident, incident, and occurrence investigations,
- Monitoring employee safety reporting,
- Reviewing results of internal safety audits and inspections, and
- Analyzing operational and safety data to identify emerging safety concerns.
- Conducts investigations of safety events to identify causal factors; and
- Monitors information reported through any internal safety reporting programs.
 - The Chief Safety Officer routinely reviews safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer ensures that the issues and concerns are investigated or analyzed through the safety risk assessment process.
 - The Chief Safety Officer also reviews the results of internal and external reviews, including audits and assessments, with findings affecting safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations. The Chief Safety Officer discusses relevant safety issues and concerns with the Accountable Executive and executive management and documents the results of these reviews in the Hazard Log.

In the event of a fatality, Gold Coast Transit District complies with all FTA drug and alcohol requirements.

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

Section 8 Safety Promotion

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

Subsection 8.1 Safety Communication

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

Ongoing safety communication is critical and Gold Coast Transit District ensures communication occurs up, down, and across all levels of the organization. Any lessons learned

are communicated to all concerned. Management commitment to address safety concerns and hazards is communicated on a regular basis. Management encourages and motivates employees to communicate openly, authentically, and without concern for reprisal; ensures employees are aware of SMS principles and understand their safety-related roles and responsibilities; conveys safety critical information such as accident data, injuries, and reported safety concerns and hazards and their resolutions to employees. Gold Coast Transit District's tools to support safety communication include:

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

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

All Employees:

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

Managers and Supervisors

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

Executive Management:

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

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

- Conducting training needs analyses to ensure that the right information is being taught to the right employees using the most efficient training methods.
- Communicating purpose, objectives, and outcome.
- Ensuring relevant content by directly linking training to the trainee's job experiences so trainees are more motivated to learn.

- Using active hands-on demonstrations and practice to demonstrate skills that are being taught and provide opportunities for trainees to practice skills.
- Providing regular feedback during hands-on practice and exercises.
- Reinforcing training concepts in the post-training work environment by giving employees opportunities to perform what they have learned.

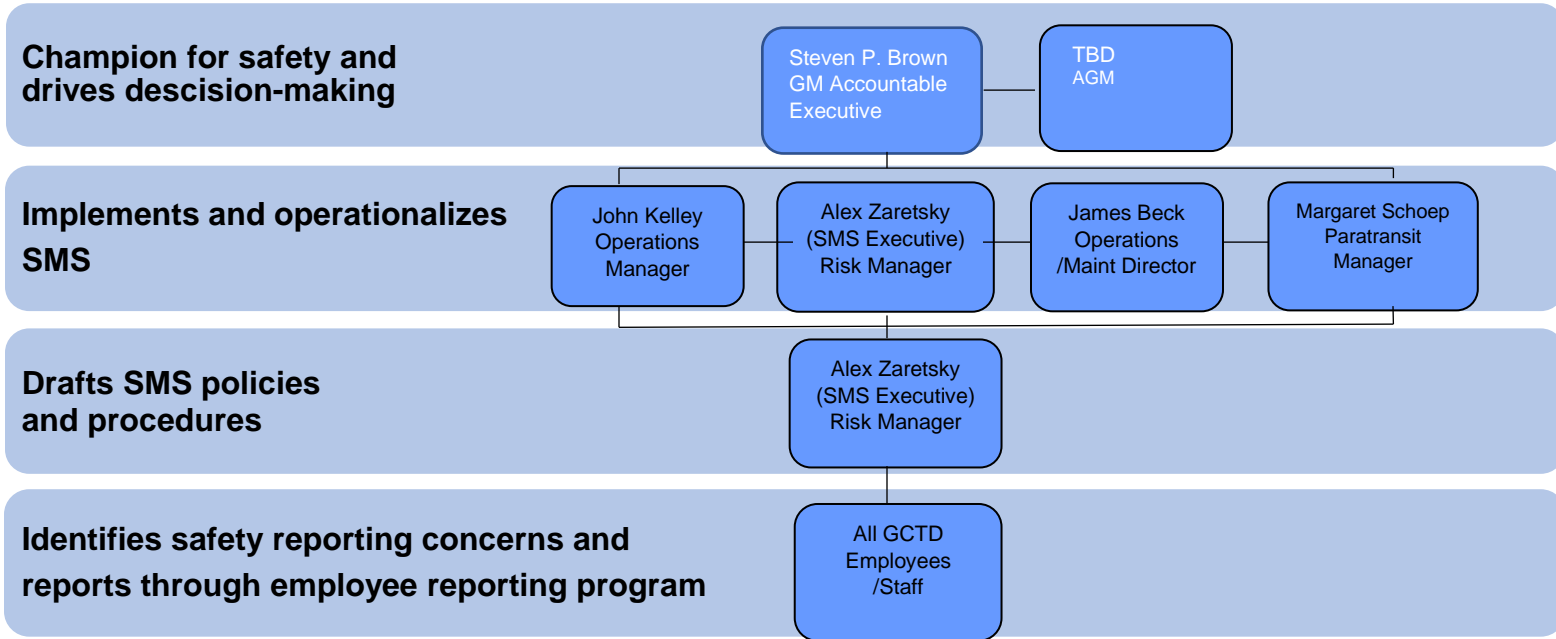
Gold Coast Transit District conducts refresher safety training e.g., monthly, during employee safety meetings.

Section 9 Documentation

Pursuant to 49 CFR Part 673.31, Gold Coast Transit District maintains records related to this Safety Plan and SMS implementation for a minimum of three years. These documents include but are not limited to the results from SMS processes and activities. Gold Coast Transit District will make these documents available to FTA Region 9, and other Federal and state agencies upon request.

ATTACHMENT A

Roles and Responsibilities: Organizational Chart



Public Transportation Agency Safety Plan for Bus Transit

Version 1, issued 07/19/18

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Template for Bus Transit* and accompanying *Reference Guide* to assist with the development of a Public Transportation Agency Safety Plan (Safety Plan) for bus transit modes. Use of this template is voluntary. The template and reference guide are intended for use by States and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>.

Certain requirements in Part 673 do not apply to small public transportation providers¹. The relevant sections in this template are noted in red to indicate where requirements differ. Transit operators that are subject to Part 673 may choose to include additional sections beyond what is required in Part 673.

Under Part 673, a transit agency is required to maintain documents that describe its Safety Plan, including those related to implementation and results from processes and activities. Also, a transit operator may have existing documentation that describes processes, procedures, and other information required in Part 673. You may reference these documents in your Safety Plan by specifying the document names and locations within the appropriate sections of the plan.

1. Transit Agency Information

Transit Agency Name	Gold Coast Transit District		
Transit Agency Address	1901 Auto Center Drive, Oxnard, California 93036		
Name and Title of Accountable Executive	Steven P. Brown		
Name of Chief Safety Officer or SMS Executive	Alex Zaretsky		
Mode(s) of Service Covered by This Plan	Fixed Route Bus Service	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Directly Fixed Route Bus Service / and Paratransit Services Subcontracted		
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		

¹ A small public transportation provider is a recipient or subrecipient of Federal financial assistance under 49 U.S.C. § 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system. 49 C.F.R. § 673.5.

2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Gold Coast Transit District	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	Steven P. Brown (Board Report)	June 3, 2020
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Board of Directors	June 3, 2020
	Relevant Documentation (title and location)	
	Board Report / Resoultion # 2020-04	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Gold Coast Transit District Board of Directors	June 3, 2020
	Relevant Documentation (title and location)	
	Board Report / Resoultion # 2020-04	

Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1	all	New	June 3, 2020

Annual Review and Update of the Public Transportation Agency Safety Plan
<i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i>
Every July 2 (or if holiday exists) the following business day.

3. Safety Performance Targets

Safety Performance Targets							
<i>Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.</i>							
Mode of Transit Service	Fatalities	Injuries	Safety Events	System Reliability VRM /Failures	Fatalities Rate VRM per 100,000	Injuries Rate VRM per 100,000	Safety Events Rate VRM per 100,000
Fixed Route	0	6	5	27,160	0	.27	.22
Paratransit	0	1	2	51,439	0	.32	.22

Safety Performance Target Coordination		
<i>Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.</i>		
Self-made targets based on data and VRM		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	Any State or Federal Department of Transportation / FTA (TAMS System)	June 3, 2020
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	VCTC, Cal Transit	June 3, 2020
	SCAG	June 3, 2020

4. Safety Management Policy

Safety Management Policy Statement
<i>Include the written statement of safety management policy, incorporating safety objectives.</i>
Safety is a core value at GCTD, and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. See attached SMS policy statement, pages 3-5 & 8.
Safety Management Policy Communication
<i>Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.</i>
The Chief Safety Officer, who leads GCTD's SMS activities, introduced our staff to SMS principles in June 2020, at an All-Staff Meeting. GCTD's Safety Management Policy Statement will be distributed to each employee in the form of a handout during All-Staff Meetings. See attached SMS policy statement, page 9.

Authorities, Accountabilities, and Responsibilities	
<i>Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).</i>	
Accountable Executive	The General Manager of Gold Coast Transit District serves as the Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan. See attached SMS and Agency Safety Plan ASP policy statement, page 6 & Exhibit A.
Chief Safety Officer or SMS Executive	The Accountable Executive designates the Human Resources & Risk Manager as the Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan. See attached SMS and Agency Safety Plan ASP policy statement page 6 & Exhibit A.
Agency Leadership and Executive Management	Agency Leadership and Executive Management also have authorities and responsibilities for day-to-day SMS implementation and operation of GCTD's SMS under this plan. GCTD Agency Leadership and Executive Management include, see attached SMS and Agency Safety Plan ASP policy statement and Organizational chart, page 6 & Exhibit A
Key Staff	GCTD uses the Safety Committee, as well as the monthly Drivers' Meeting and quarterly All-Staff Meetings, to support its SMS and safety programs See attached SMS and Agency Safety Plan ASP policy statement, page 6 & Exhibit A
Employee Safety Reporting Program	
<i>Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).</i>	
GCTD's ESRP encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. There are many ways employees can report safety conditions, See attached SMS and Agency Safety Plan ASP policy statement /page 9 & Exhibit B Employee Reporting System.	

5. Safety Risk Management

Safety Risk Management Process
<i>Describe the Safety Risk Management process, including:</i>
<ul style="list-style-type: none"> • <i>Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.</i> • <i>Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.</i> • <i>Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.</i>
GCTD uses the SRM process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to GCTD's leadership, see attached SMS and Agency Safety Plan ASP policy statement, page 13.

6. Safety Assurance

Safety Performance Monitoring and Measurement
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<i>Describe activities to monitor the system for compliance with procedures for operations and maintenance.</i>
Through our Safety Assurance process, GCTD evaluates our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk; Assesses the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended; Investigates safety events to identify causal factors; and Analyzes information from safety reporting, including data about safety failures, defects, or conditions. See attached SMS and Agency Safety Plan ASP policy, page 16-17.
<i>Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.</i>
GCTD monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The mechanism for monitoring safety risk mitigations varies depending on the mitigation. See attached SMS and Agency Safety Plan ASP policy statement, page 16-17.
<i>Describe activities to conduct investigations of safety events to identify causal factors.</i>
GCTD maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event. These procedures also reflect all traffic safety reporting and investigation requirements established by Any State's Department of Motor Vehicles. See attached SMS and Agency Safety Plan ASP policy statement, page 16-17.
<i>Describe activities to monitor information reported through internal safety reporting programs.</i>
The Chief Safety Officer and Safety Committee routinely review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through SRM process. See attached SMS and Agency Safety Plan ASP policy statement, page 16-17.
Management of Change (Not Required for Small Public Transportation Providers)
<i>Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.</i>
Continuous Improvement (Not Required for Small Public Transportation Providers)
<i>Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.</i>

7. Safety Promotion

Competencies and Training
<i>Describe the safety training program for all agency employees and contractors directly responsible for safety.</i>

GCTD's comprehensive safety training program applies to all employees directly responsible for safety, including: Bus vehicle operators, Dispatchers, Maintenance personnel, Managers and supervisors, Agency Leadership and Executive Management, Chief Safety Officer, and Accountable Executive. GCTD dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. See attached SMS and Agency Safety Plan ASP policy statement, monthly training, page 18 and Exhibit B.

Safety Communication

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

GCTD's Chief Safety Officer and staff, and training staff coordinate GCTD's safety communication activities for the SMS, the activities focus on the three categories of communication activity established in 49 CFR Part 673 (Part 673): Communicating: Safety performance, Hazards and Reports. See attached SMS and Agency Safety Plan ASP policy statement, page 18 and Exhibit B.

Additional Information

Supporting Documentation

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

GCTD will maintain documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this ASP; and the results from its SMS processes and activities for three years after creation. They will be available to the FTA or other Federal or oversight entity upon request. See attached SMS and Agency Safety Plan ASP policy statement and Attachments. Exhibit B.

Definitions of Special Terms Used in the Safety Plan

Term	Definition
Pages 4-5	See attached SMS and Agency Safety Plan ASP policy statement and Attachments.
Pages 4-5	See attached SMS and Agency Safety Plan ASP policy statement and Attachments.

List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
Pages 4-5	See attached SMS and Agency Safety Plan ASP policy statement and Attachments.
Pages 4-5	See attached SMS and Agency Safety Plan ASP policy statement and Attachments.

ATTACHMENT B

Employee Reporting System

It is our policy that everything possible will be done to protect employees, contractors, and visitors from accidents. Safety is a cooperative undertaking requiring participation by every employee.

To carry out this policy ALL employees shall:

1. Report immediately all unsafe conditions and equipment to their Supervisor, Manager, Department Director and/or GCTD's Human Resources Risk Manager, or the General Manager. **THE EMPLOYEE IS NOT TO USE UNSAFE EQUIPMENT AND MUST REPORT IT.**
2. Report immediately all accidents, injuries and illnesses to their Supervisor, Manager, Department Director, and/or GCTD's Human Resources Risk Manager, or the General Manager.
3. Anyone behaving in a manner consistent with intoxicating liquor or drugs shall not be allowed on the job while in that condition and will be subject to disciplinary actions, up to and including immediate termination.
4. Horseplay, scuffling, and other acts which tend to have an adverse influence on the safety or well-being of Gold Coast Transit District employees are prohibited.
5. Means of egress (exits) shall be kept unblocked, well lighted and unlocked during work hours.
6. In the event of fire, sound alarm and evacuate.
7. Upon hearing fire alarm, stop work and proceed to the nearest clear exit. Gather at the designated evacuation assembly areas.
8. Only trained workers may attempt to respond to a fire or other emergency.
9. Exit doors must comply with fire safety regulations during business hours.
10. Stairways should be kept clear of items that can be tripped over, and all areas under stairways that are exit routes should not be used to store combustibles.
11. Materials and equipment will not be stored against doors or exits, fire ladders, or fire extinguisher stations.
12. Aisles must be kept clear at all times.

13. Work areas should be maintained in a neat, orderly manner. Trash and refuse are to be thrown in proper waste containers.
14. All spills shall be promptly wiped up. If there is concern about the contents of the spill, the material safety data sheet (MSDS) must be reviewed.
15. Always use the proper lifting techniques. Never attempt to lift or push an object which is too heavy. Contact your supervisor or manager when help is needed to move a heavy object.
16. Never stack materials precariously on top of lockers, file cabinets or other relatively high places.
17. When carrying an object, caution should be exercised in watching for and avoiding obstructions, loose material, etc.
18. Do not stack materials in an unstable manner.
19. Report exposed wiring and cords that are frayed or have deteriorated insulation so that they can be repaired or replaced promptly.
20. Never use a metal ladder where it could come in contact with energized parts of equipment, fixtures or circuit conductors.
21. Maintain sufficient access 36 inches minimum clearance and working space around all electrical equipment to permit ready and safe operations and maintenance.
22. Do not use any portable electrical tools and equipment that are not grounded or double insulated.
23. All electrical equipment should be plugged into appropriate wall receptacles or into an extension of only one cord of similar size and capacity. Three-pronged plugs should be used to ensure continuity of ground.
24. All cords running into walk areas must be taped down or inserted through rubber protectors to preclude them from becoming tripping hazards.
25. Inspect motorized vehicles and other mechanized equipment daily or prior to use.
26. Shut off engine, set brakes and block wheels prior to loading or unloading vehicles.
27. Inspect pallets and their loads for integrity and stability before loading or moving.
28. Do not store compressed gas cylinders in areas which are exposed to heat sources, electric arcs or high temperature lines.

29. Do not use compressed air for cleaning off clothing unless the pressure is less than 10 psi.
30. Identify contents of pipelines prior to initiating any work that affects the integrity of the pipe.
31. Wear hearing protection in all areas identified as having high noise exposure.
32. Goggles or face shields must be worn when there is a risk from plastic dust or when there is a risk of splashing hazardous liquids.
33. Do not use any faulty or worn hand tools.
34. Guard floor openings by a cover, guardrail, or equivalent.
35. Do not enter into a confined space unless the space is cleared and authorized for entry and you have provided for a stand-by person.
36. Always keep flammable or toxic chemicals in closed containers when not in use.
37. Do not eat, drink or smoke in areas where hazardous chemicals are present. Smoking is not permitted in the workplace at any time, only at designated smoking areas.
38. Be aware of the potential hazards involving various chemicals stored or used in the workplace.
39. Cleaning supplies should be stored away from edible items on kitchen shelves.
40. Cleaning solvents and flammable liquids must be stored in appropriate containers.
41. Solutions that may be poisonous or not intended for consumption should be kept in well labeled containers.
42. When working with a video display terminal (VDT), have all pieces of furniture adjusted, positioned and arranged to minimize strain on all parts of the body.
43. Never leave lower desk or cabinet drawers open that present a tripping hazard. Use care when opening and closing drawers to avoid pinching fingers.
44. Do not open more than one upper drawer at a time; particularly the top two drawers on tall file cabinets.
45. Individual heaters in work areas should be kept clear of combustible materials such as drapes or waste from waste baskets. Newer heaters which are equipped with tip-over switches should be used.

46. Appliances such as coffee pots and microwaves should be kept in working order and inspected for signs of wear, heat or fraying of cords.
47. Fans used in work areas should be guarded. Guards must not allow fingers to be inserted through the mesh. Newer fans are equipped with proper guards.

HAZARD ABATEMENT RECORD

Safety items identified during safety inspections/investigations will be submitted to the Department Director for review, and an action plan will be developed to resolve each specific safety item. Any needed policies or corrective action will be completed by those assigned responsibility. This form will be used to document identified problems, steps to be taken, and completion deadline.

OVERALL ACTION PLAN

MAJOR STEPS TO BE TAKEN	PRIORITY	COMPLETION DATE
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ACCIDENT INVESTIGATION AND REPORTING

BASIC RULES FOR ACCIDENT INVESTIGATION

The purpose of an investigation is to find the cause of an accident and prevent further occurrences, not to fix blame. An unbiased approach is necessary to obtain objective findings.

Visit the accident scene as soon as possible while facts are fresh and before witnesses forget important details.

If possible, interview the injured worker at the scene of the accident and "walk" him or her through a re-enactment.

All interviews should be conducted as privately as possible. Interview witnesses one at a time. Talk with anyone who has knowledge of the accident, even if they did not actually witness it.

Consider taking signed statements in cases where facts are unclear or there is an element of controversy.

Document details graphically. Use if needed sketches, diagrams, and photos as needed, and take measurements when appropriate.

Focus on causes and hazards. Develop an analysis of what happened, how it happened and how it could have been prevented. Determine what caused the accident itself, not just the injury.

Every investigation should include an action plan. How will you prevent such accidents in the future?

Attached are copies of the reporting forms used by GCTD: (1). Safety Hazard Report (2). Unsafe condition report (3). Incident report (4). Accident investigation report (5). Employees report of an on the job injury (6). Supervisor's report on a reported employee injury (7). Supervisors follow-up report on an accident.



Safety Hazard Report

Report

Date _____ Location _____

Reported By _____ Received By _____

Date and Time Condition Reported _____

Hazard

Type of Concern:

Unsafe Condition of area Unsafe condition of equipment Other

Equipment _____ Malfunction _____

Description of Hazard _____

Employee Recommendation

What Changes would you recommend to correct the condition or hazard? _____

Signature _____

Date _____

Report of Unsafe Condition or Hazard

Optional: Employees may submit this form anonymously.

Employee's Name: _____

Job Title: _____

Location of Condition Believed to Be Unsafe or Hazardous: _____

Date and Time Condition or Hazard Observed: _____

Description of Unsafe Condition or Hazard: _____

What Changes Would You Recommend to Correct the Condition or Hazard? _____

Optional:

Signature of Employee: _____ Date: _____

Company Response:

Name of Person Investigating Report: _____

Results of Investigation (what was found? was condition unsafe or a hazard?) (attach additional sheets if necessary):

Action Taken to Correct Hazard or Unsafe Condition, if Appropriate (or, Alternatively, Information provided to Employees as to Why Condition Was Not Unsafe or Hazardous) (attach additional sheets if necessary): _____

Signature of Person Investigating Report: _____



Gold Coast Transit

Traffic Accident Report

Accident Information

Accident Date (MM/DD/YY)	Time of the accident (am / pm)	Accident Report/File #
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Employee Information

Employee Name	Employee #	Driver License #
Employee Classification:	Date of Hire	Time Employee began work:

Accident Location Information

Street Name:	Cross Street:	City	Direction of Travel N W S E
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Vehicle was (check all that apply):
 Regular Route On Detour Deadheading Training Road Test At a bus stop Other: _____

Vehicle Information - GCT Vehicle

Vehicle #	License Plate #	Year	Make:	Vehicle Damage
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Police Department Information

Police Department on scene? Yes No	Responding Department:	Report Number:
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Traffic & Road Conditions

Weather Conditions (Check all that apply):
 Daylight Dusk Dark Dry Roadway Wet Roadway Fog Ice Snow Other _____

Traffic Level: Light Medium Heavy	Road Type Street State Highway Freeway	Estimated Speed: mph
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Citation issued? Yes No	Any Vehicle towed? Yes No	Claimed Injury? Yes No	Tag the Video? Yes No	Pictures? Yes No
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Number of passengers on bus	Number injured	Transported	Yes No
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Other Party Information - Vehicle #1

Driver	Registered Owner (If not driver)		
Address:	Address:		
Phone Number (Driver)	Vehicle Bicycle Pedestrian	Vehicle Information (Make/Model/Year)	Phone Number (Owner)
Insurance Company	Policy Number	Expiration Date (MM/DD/YY)	
Number of passengers in other vehicle	Number injured	Transported	Yes No
Direction of Travel N W S E	Estimated Speed: mph	Vehicle Damage	

Other Party Information - Vehicle #2

Driver	Registered Owner (If not driver)		
Address:	Address:		
Phone Number (Driver)	Vehicle Bicycle Pedestrian	Vehicle Information (Make/Model/Year)	Phone Number (Owner)
Insurance Company	Policy Number	Expiration Date (MM/DD/YY)	
Number of passengers in other vehicle	Number injured	Transported	Yes No
Direction of Travel N W S E	Estimated Speed: mph	Vehicle Damage	

Property Damage (Other than vehicle)

Type of Property	Owner's Name	Phone Number
Location	Describe Damage	

Other Party Additional Information

To be complete if the accident involved a motorcycle, bicycle, or Pedestrian - check all apply

Pedestrian - On Sidewalk In Crosswalk In street Walking Running Boarding/Alighting Bus In Wheelchair

Bicycle - On Sidewalk In Street Wearing Helmet Lights Other _____

Motorcycle - Wearing Helmet Wearing Protective Clothing



GOLD COAST TRANSIT EMPLOYEE'S REPORT OF INJURY

ATTENTION: This form contains information relating to employee health and must be used in a manner that protects the confidentiality of employee to the extent possible while the information is being used for occupational safety and health purpose. See CCR Title 8 14300.29(b)(2)(E)2. NOTE: Shaded boxes indicate confidential employee information as listed in CCR Title 8 14300.35 (b)(2)(E)2*

EMPLOYEE NAME	EMPLOYEE ID NUMBER	DATE OF BIRTH (mm/dd/yy)
HOME ADDRESS (Number, Street, City and Zip)		PHONE NUMBER
SEX <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	OCCUPATION (Regular job title - NO initials or abbreviation)	DATE OF HIRE (mm/dd/yy)

INJURY OR ILLNESS

DATE OF INJURY OR ONSET OF ILLNESS (mm/dd/yy)	TIME INJURY/ILLNESS OCCURRED:	TIME EMPLOYEE BEGAN WORK:
Reasons for delay in reporting, if any:		
SPECIFIC INJURY/ILLNESS AND PART OF BODY AFFECTED, MEDICAL DIAGNOSIS, if available, e.g... second degree burn on right arm.		
LOCATION WHERE EVENT OR EXPOSURE OCCURRED (Bus Number, Route/Block Number, Street, City)		
SPECIFIC ACTIVITY THE EMPLOYEE WAS PERFORMING WHEN EVENT OR EXPOSURE OCCURRED:		
HOW INJURY/ILLNESS OCCURRED. DESCRIBE SEQUENCE OF EVENTS. SPECIFY OBJECT OR EXPOSURE WHICH DIRECTLY PRODUCED THE INJURY/ILLNESS, eg., worker stepped back to inspect work and slipped on scrap material. As he fell he brushed against fresh weld, and burned right hand. USE SEPARATE SHEET IF NECESSARY.		

**GOLD COAST TRANSIT
SUPERVISOR'S REPORT OF EMPLOYEE INJURY**



Name of Injured Employee: _____

Job Title: _____

Date of Accident/Incident: _____ Time: _____

Date Reported: _____

Reason for delay in reporting, if any: _____

Accident/Incident Location: _____

Nature of injury and part of body affected: _____

Name of medical facility: _____

Address: _____

Did injured leave work? _____ Date & Time: _____

Did injured return to work? _____ Date & Time: _____

Did injured get transported? _____ Which hospital? _____

Was Non-DOT Drug test conducted? Yes/No

Describe how accident occurred: _____

If another person was responsible for injury, list name: _____

Name of witnesses: _____

What step have been taken to prevent similar accident? _____

Do you feel this is an industrial injury as reported by the employee? _____

If not, please explain: _____

Filled out by: _____ Date: _____



Gold Coast Transit

Supervisory Accident Investigation Report
CONFIDENTIAL - For Litigation Purposes Only

Responding Supervisor		Accident Date	Day of Week	Time	Accident Report #
Operators Name		Employee #	Vehicle #		License Plate #
Location		Weather Conditions		Road Conditions	
Responding Police Department	Officer's Name		Badge #	Police Report Yes No	Report Number

Description of Accident (Diagram on reverse side)

Factor(s) contributing to Accident (Weather, Road Conditions, Visibility, etc.)

Description of property damage

GCT VEHICLE	Other Vehicle/Property

List Name(s) of Person(s) who witnessed the accident

Name	Address	Phone

Equipment Defects Noted (Circle one) YES NO

- - - IF YES, Describe

Number of passengers on bus	Number injured	Transported	Yes	No
Number of persons in other vehicle	Number injured	Transported	Yes	No

List name(s) of injured parties:

Name	Address	Phone	Age

Remind operators to obtain courtesy cards Yes/No
 4 Sides/360 Degree Photos Taken? Yes/No
 Bus #, Near/Far Photos Taken? Yes/No

Remind operators to tag the video Yes/No
 Street Sign Photos Taken? Yes/No

Signature of investigating supervisor: _____ Date: _____

