CITY OF RIPON
PUBLIC TRANSPORTATION AGENCY
SAFETY PLAN (PTASP)

Submitted in accordance with
Federal Transit Administration
49 C.F.R. Part 673

Table of Contents

A. Transit Agency Information

Transit Agency	Name		Address	
	City of Ripon		259 N. Wilma Ave., Ripon, CA 95366	
Accountable Executive	Name		Title	
	Kevin Werner		City Administrator	
Chief Safety Officer	Name		Title	
	Lisa Roos		City Clerk	
Mode(s) of Service Covered by This Plan:			List All FTA Funding Types (e.g., 5307, 5337, 5339):	
Fixed Route Bus			5307	
Mode(s) of Service Provided by The City of Ripon (Directly operated or contracted service)				
Fixed Route Bus				

Does the agency provide transit services on behalf of another transit agency or entity?	Yes	No	Description of Arrangement(s)	
		X	N/A	
Transit Agency(ies) or Entity(ies) for Which Service Is Provided	Name		Address	
	N/A			

Accountable Executive

The City of Ripon's Accountable Executive is the City Administrator. The City Administrator is the single, identifiable person who has ultimate responsibility for carrying out this Agency Safety Plan and The City of Ripon'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 City Administrator is accountable for ensuring that the Agency's Safety Management Systems (SMS) is effectively implemented throughout the Agency's public transportation system. The City Administrator is accountable for ensuring action is taken as necessary, to address substandard performance in the Agency's SMS. The City Administrator may delegate specific responsibilities, but the ultimate accountability for the Transit Agency's safety performance cannot be delegated and always rests with the City Administrator.

Chief Safety Officer

The City Administrator designates the City Clerk as the City of Ripon'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 and has a strong working relationship with the operations and asset management functions at the City of Ripon.

B. Plan Development, Approval, and Updates

Signature by the Accountable Executive

The City of Ripon developed this plan in accordance with the requirements specified in 49 CFR Part 673. By signature below, the Accountable Executive confirms the development of this plan.

_____   _____

Kevin Werner, Accountable Executive   Date Signed

Approval by Ripon City Council

The City Council of the City of Ripon approved this Plan during its November 10, 2020 City Council meeting, as documented in Resolution #____. **See Appendix A.** A copy of this Resolution approving the Agency Safety Plan (ASP) is also on file with the City Clerk of the City of Ripon.

Certification of Compliance

The City of Ripon certifies that it has developed the contents of this Public Transportation Agency Safety Plan (PTASP) in accordance with the requirements specified in 49 CFR Part 673.

The Federal Transit Administration (FTA) does not require this plan to be submitted to FTA. Instead, the City of Ripon will annually certify via FTA's Certifications and Assurances process that its safety plan meets the requirements of the final rule.

Plan Review & Updates

Pursuant to 49 CFR Part 673.11(a)(5), this Plan will be reviewed and updated by the Chief Safety Officer, with the assistance of subject matter experts, by July 30th of each year. The Accountable Executive will review and approve any changes, then forward to the Ripon City Council for review and 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.

A Record of Revisions that records the history of revisions made to The City of Ripon's PTASP is contained in **Appendix B** of this document. This document is located in the appendix to help preserve page numbering.

C. Definitions and Acronyms

The following definitions may be used throughout this document, and correspond to the definitions provided in 49 CFR 673.5.

Accident means an "event", as defined below, that involves any of the following:
1. A loss of life,
2. A report of a serious injury to a person,
3. A collision of public transportation vehicles,
4. A runaway train,
5. An evacuation for life safety reasons, or
6. Any derailment of a rail transit vehicle (any location, any time, any cause).

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

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

Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors, for a recipient or sub-recipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or sub-recipient's Public Transportation Agency Safety Plan.

Event means an "accident", as defined above, or "incident" or "occurrence" (each as defined below).

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 a public transportation system; or damage to the environment (as defined below).

Incident means an "event" (as defined above), that involves any of the following:

1. A personal injury that is not a serious injury,
2. One or more injuries requiring medical transport, or
3. Damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

Investigation means the process of determining the causal and contributing factors of an "accident", "incident", or "hazard" (each as defined here), 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" (as defined above), without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

Operator of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302(14).

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).

Public Transportation Agency Safety Plan (PTASP) means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.

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

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

Safety Assurance means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

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

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

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

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

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

Safety Risk Management (SRM) means a process within a transit agency's 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 7 days from the date of the injury was received;
2. Results in a fracture of any bone (except simple fractures of fingers, toes, or noses);
3. Causes severe hemorrhages, nerve, muscle, or tendon damage;
4. Involves any internal organ; or
5. Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

Small public transportation provider means a recipient or sub-recipient 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.

State means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

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

Transit Agency means an operator of a public transportation system.

Transit Asset Management Plan 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.

COMMONLY USED ACRONYMS

ADA	-	Americans with Disabilities Act of 1990
ASP	-	Agency Safety Plan (also referred to as a PTASP in Part 673)
CFR	-	Code of Federal Regulations
ESRP	-	Employee Safety Reporting Program
CSO	-	Chief Safety Officer
FTA	-	Federal Transit Administration
MAP-21	-	Moving Ahead for Progress in the 21st Century
MPO	-	Metropolitan Planning Organization
NTD	-	National Transit Database
Part 673	-	49 CFR Part 673 (Public Transportation Agency Safety Plan)
PTASP	-	Public Transportation Agency Safety Plan
SGR	-	State of Good Repair
SMS	-	Safety Management System
SOP	-	Standard Operating Procedure
SRM	-	Safety Risk Management
TAM	-	Transit Asset Management
U.S.C.	-	United States Code
VRM	-	Vehicle Revenue Miles

D. Safety Performance Targets

As part of this Safety Plan, the City of Ripon has developed Safety Performance Targets (SPTs) that it will review and update annually. The specific safety performance targets are based on the safety performance measures established under the National Public Transportation Safety Plan. FTA has adopted four initial safety performance measures: (1) Fatalities, (2) Injuries, (3) Safety Events and (4) System Reliability. The safety performance targets set by the City of Ripon are based on the past five (5) calendar years of data. These targets for the year 2020 are expected to stay within +/- 1% of the previous five years' data pertaining to fatalities, injuries, safety events, and system reliability.

Mode of Transit Service	Fatalities (Total # of Reportable Fatalities)	Fatalities (Rate per 100K VRM)	Injuries (Total # of Reportable Injuries)	Injuries (Rate per 100K VRM)	Safety Events (Total # of Reportable Events)	Safety Events (Rate per 100K VRM)	System Reliability: Average Distance between Major Mechanical Failures (Failures / VRM)
Fixed Route Bus Mode (MB)	0	0	0	0	0	0	0

System Performance Measures are defined below. These definitions were obtained from the FTA "Safety Performance Targets" Webinar held February 4, 2020, and the *National Transit Database (NTD) Safety and Security Policy Manual.*

Reportable Fatalities
Death confirmed within 30 days of a safety event, excluding suicide, trespassers, illness, or natural causes.
 The City of Ripon has had zero reportable fatalities in the past five years.

Reportable Injuries
Harm to person that requires immediate medical attention away from the scene.
 The City of Ripon has had one injury meeting this definition in the past five years.

Reportable Safety Events
Collision, derailment, fire, hazardous material spill, or evacuation.

Reportable collisions are defined as those that meet an injury, fatality, evacuation or property damage threshold. Injury and fatality thresholds are indicated above. Evacuation threshold is evacuation of a transit facility or vehicle for life-safety reasons, and property damage threshold is damage equal to or exceeding $25,000.

Collisions may also:
- **Involve transit revenue roadway vehicles and the towing away of any vehicles (transit or non-transit) from the scene.**
- **Include suicides or attempted suicides that involve contact with a transit vehicle; or**
- **Not involve a transit revenue vehicle but meet a threshold.**

The City of Ripon has had <u>zero</u> transit system-related fires, hazardous material spills, or evacuations in the past five years.

The City of Ripon has had <u>zero</u> collisions meeting this definition in the past five years.

System Reliability
Major mechanical failure preventing a vehicle from completing or starting scheduled trip.

In FY 19/20, the City of Ripon has had an average of <u>2,840</u> vehicle revenue miles between major mechanical failures in a fixed route. This figure is based on 2 major mechanical failures during this period.

To calculate SPTs, The City of Ripon referred to system safety data, including:

- Near miss information
- Accident investigation reports (with causal factor analysis)
- Internal safety audits (or reviews)
- Injury reports
- Safety event reports (including accidents, incidents, and occurrences)
- System monitoring (including monthly reports, and testing and inspection records)

Safety Performance Target Coordination

FTA requires the City of Ripon to coordinate with the State of California Department of Transportation (Caltrans) and the regional MPO, San Joaquin Council of Governments (SJCOG), in the selection of state and MPO safety performance targets, to the maximum extent practicable. Pursuant to 49 CFR Part 673.15(a), the City of Ripon will make safety performance targets available to Caltrans and SJCOG to aid in the planning process upon certification of this plan.

E. Safety Management System

SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry's existing safety foundation to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively and measure safety performance more carefully. The City of Ripon's SMS focuses on applying resources to risk and is based on ensuring that the City of Ripon has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources. Some key parts of the City of Ripon'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, the City of Ripon's SMS has four distinct components, which are discussed in subsequent sections to this Safety Plan:

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

1. Safety Management Policy

The first component of the City of Ripon's SMS is the Safety Management Policy, which is the foundation of the City of Ripon'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.

<u>Safety Management Policy Statement</u>

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

The City of Ripon will:

- Clearly, and continuously explain to all staff that everyone working within the City of Ripon 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.

- Establish safety performance targets to help measure the overall effectiveness of our processes and ensure we meet our safety objectives. The City of Ripon will keep employees informed about safety performance goals and objectives to ensure continuous safety improvement.

Safety Management Policy Communication

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

This is accomplished through various processes such as:

- Workshops/training sessions
- Safety bulletins, email safety newsletters to staff, safety meetings and/or safety committee meetings

Employee Safety Reporting Program

The City of Ripon implemented a process that allows employees [and contracted employees] to report safety conditions to senior management and 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 the City of Ripon 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 the City of Ripon management.

Description:
a) This program provides a method for the City of Ripon 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, 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.

Non-Punitive Reporting Policy

The City of Ripon is committed to the safest transit operating standards practicable. To achieve this, it is imperative that the City of Ripon have uninhibited reporting of all safety events that may compromise safe 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.

The City of Ripon will not take disciplinary action against any employee who discloses a safety event. This policy shall not apply to information received by the City of Ripon from a source other than the employee, or that involves an illegal act, or a deliberate or willful disregard of rules, regulations, or agency policies or procedures.

The City of Ripon's 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.

2. Safety Risk Management

The second component of the City of Ripon'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.

The City of Ripon 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.

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 the City of Ripon'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,
- Maintenance reports,
- Comments from customers, passengers, and third parties,
- Results of audits and inspections of vehicles and facilities,
- 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 The City of Ripon Chief Safety Officer, who enters it into the Hazard Log. The Chief Safety Officer also may enter hazards into this log based on reviews of operations and maintenance activities and procedures.

The Chief Safety Officer will investigate hazards to collect information and determine if they 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.

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
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.

Safety Risk Mitigation

The Chief Safety Officer, assisted by key staff subject matter experts, reviews current safety risk mitigations and establishes procedures to eliminate, mitigate and accept specific risks. Prioritization of safety remediation measures is based on risk analysis and a course of action acceptable to The City of Ripon 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.

3. Safety Assurance

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

The City of Ripon monitors its operations and maintenance protocols and procedures, and any safety risk mitigations to ensure that it is implementing them as planned. Furthermore, the Agency investigates safety events and any reports of non-compliance with applicable regulations, standards, and legal authority. Finally, the Agency continually monitors information reported to it through any internal safety reporting programs, including the employee safety reporting program.

Some of the key elements of the City of Ripon's Safety Performance Monitoring and Measurement are shown below:

Safety Performance Monitoring and Measurement

As part of the Safety Assurance Process, the City of Ripon:

- **Monitors the system for compliance with, and sufficiency of, the Agency's procedures for operations and maintenance through**:
    - Safety audits,
    - Informal inspections,
    - Employee Safety Reporting Program (ESRP),
    - 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**:
    The City of Ripon 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 California Department of Motor Vehicles.

The Chief Safety Officer maintains all documentation of the City of Ripon's investigation policies, processes, forms, checklists, activities, and results. After an incident, an investigation report is prepared and reviewed by the Chief Safety Officer to determine:
- o If the accident was preventable or non-preventable
- o If Personnel require discipline or retraining
- o The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event; and
- o If the accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

- **Monitors information reported through any internal safety reporting programs:**
  - o The Chief Safety Officer routinely reviews safety data captured in employee safety reports, 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.
  - o 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 documents the results of these reviews in the Hazard Log.

In the event of a fatality, the City of Ripon complies with all FTA drug and alcohol requirements. In California, effective January 1, 2017, every driver involved in an accident that results in death, injury or property damage over $1000 must report the accident on a Report of Traffic Accident Occurring in California (SR 1) form to the 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. The City of Ripon requires driver notification to the City of Ripon immediately and maintains records of any report filed pursuant to this paragraph.

4. 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 Agency's safety performance. Safety Promotion sets the tone for the SMS and helps the City of Ripon to establish and maintain a robust safety culture. Safety Promotion has two-components: (1) Safety Communication and (2) Competencies and Training.

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

Safety Communication & Safety Culture

Positive safety culture must be generated from the top. 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 Executive Management. Employees must trust that they will have management support for decisions made in the interest of safety, while also recognizing that intentional breaches of safety will not be tolerated.

The primary goal of safety promotion at the City of Ripon is to develop a positive safety culture that allows the SMS to succeed. A positive safety culture is defined as one that is:

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
- Employees work continuously to identify and overcome threats to safety

A Just Culture
- Employees know and agree on what is acceptable and unacceptable behavior
- Human errors must be understood, but negligence and willful violations cannot be tolerated

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

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
- Employees are updated on safety issues by management

The City of Ripon 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 the City of Ripon 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. The City of Ripon's tools to support safety communication include:

- Safety bulletins
- Safety notices
- CDs or Thumb drives or online safety video access
- Seminars and workshops
- New employee training and refresher training
- Intranet or social media

F. Documentation

Pursuant to 49 CFR Part 673.31, the City of Ripon maintains records related to this Safety Plan and Safety Management System (SMS) implementation for a minimum of three years. These documents include but are not limited to:

- The implementation of the SMS
- The programs, policies and procedures used to carry out this Agency Safety Plan
- The results from SMS processes and activities

The City of Ripon will make these documents available to FTA Region 10, Caltrans, and other Federal and state agencies upon request.

G. Appendices

The following appendices, listed below, are incorporated into this plan.

Appendix A   Authorizing Resolution

Appendix B   Record of Revisions

Appendix A - Authorizing Resolution

Appendix B - Record of Revisions

Version Number and Updates			
Version Number	**Section/Pages Affected**	**Reason for Change**	**Date Issued**
1		New Document	11/10/2020