North Dakota Department of Transportation
Transit Section

State Agency Safety Plan
Small Public Transportation Operators
September 2020
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# 1. Transit Information

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<table>
<thead>
<tr>
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<tbody>
<tr>
<td><strong>Name</strong></td>
<td>North Dakota Department of Transportation</td>
</tr>
<tr>
<td><strong>Address</strong></td>
<td>608 E Boulevard Ave, Bismarck, ND 58505-0700</td>
</tr>
<tr>
<td><strong>Name and Title of Accountable Executive</strong></td>
<td>Becky Hanson, Transit Program Manager</td>
</tr>
<tr>
<td><strong>Name of Chief Safety Officer (CSO) or Safety Management System (SMS) Executive</strong></td>
<td>NA</td>
</tr>
<tr>
<td><strong>Mode(s) of Service Covered by This Plan</strong></td>
<td>Fixed Route Bus; Paratransit</td>
</tr>
<tr>
<td><strong>List All FTA Funding Types (e.g., 5307, 5310, 5311)</strong></td>
<td>5307, 5310, 5339, 5311</td>
</tr>
<tr>
<td><strong>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</strong></td>
<td>Fixed Route Bus; Paratransit</td>
</tr>
<tr>
<td><strong>Does the agency provide transit services on behalf of another transit agency or entity?</strong></td>
<td>No, No [Description of Arrangement(s)] not applicable</td>
</tr>
<tr>
<td><strong>Name and Address of Transit Agency or Entity for Which Service Is Provided</strong></td>
<td>not applicable</td>
</tr>
</tbody>
</table>
# 2. Plan Development, Approval, and Updates

<table>
<thead>
<tr>
<th>Name of Person Who Drafted This Plan</th>
<th>Darcy Karel, Transportation Management Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Signature by the Accountable Executive</strong></td>
<td><strong>Date of Signature</strong></td>
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<tr>
<td>Signature by the Accountable Executive</td>
<td>Becky Hanson</td>
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<tr>
<td></td>
<td>Transit Program Manager</td>
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<tr>
<td>Approval by the Director of the Office of Transportation Programs</td>
<td>Director of the Office of Transportation Programs</td>
</tr>
<tr>
<td></td>
<td><strong>Date of Approval</strong></td>
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<td></td>
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<tr>
<td>Director of the Office of Transportation Programs</td>
<td>9/29/2020</td>
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<td></td>
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</tr>
<tr>
<td><strong>Version Number and Updates</strong></td>
<td><strong>Record the complete history of successive versions of this plan.</strong></td>
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</table>

<table>
<thead>
<tr>
<th>Version Number</th>
<th>Section/Pages Affected</th>
<th>Reason for Change</th>
<th>Date Issued</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td>New Document</td>
<td>September 2020</td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
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<tr>
<td><strong>Annual Review and Update of the Public Transportation Agency Safety Plan (PTFASP)</strong></td>
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</table>
This plan will be reviewed and updated by the NDDOT transit staff by July 1 of each year. The Transit Program Manager will review and approve any changes and forward to the Director of Office of Transportation Programs for final review and approval.

### 3. Transit Safety Performance Targets

#### Safety Performance Measures

1. Fatalities – total number and rate per total VRM
2. Injuries – Total number and rate per total Vehicle Revenue Miles (VRM)
3. Safety Events – Total number and rate per total VRM
4. System Reliability – Mean distance between major mechanical failures

*Targets for transit agencies should be based on a review of the previous 5 years safety performance data.*

#### Safety Performance Targets:

<table>
<thead>
<tr>
<th>Mode of Transit Service</th>
<th>Fatalities (total)</th>
<th>Fatalities (per 100 thousand VRM)</th>
<th>Injuries (total)</th>
<th>Injuries (per 100 thousand VRM)</th>
<th>Safety Events (total)</th>
<th>Safety Events (per 100 thousand VRM)</th>
<th>System Reliability (VRM / failures)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fixed Route Bus</td>
<td>0</td>
<td>0</td>
<td>5 or less</td>
<td>0.2</td>
<td>7 or less</td>
<td>0.28</td>
<td>10,000</td>
</tr>
<tr>
<td>ADA / Paratransit</td>
<td>0</td>
<td>0</td>
<td>1 or less</td>
<td>0.1</td>
<td>1 or less</td>
<td>0.1</td>
<td>70,000</td>
</tr>
</tbody>
</table>

#### Safety Performance Target Coordination

5307 recipients should coordinate with their MPOs on transit agency safety performance targets. If resulting targets differ from state recommended targets, they will need state approval.

The state’s Safety Plan, including safety performance targets, should be shared with the Metropolitan Planning Organization (MPO) annually. State transit staff are available to coordinate with 5307 recipients and the MPOs, in the selection of safety performance targets upon request.

<table>
<thead>
<tr>
<th>Date NDDOT Targets Transmitted to</th>
<th>5307 recipients</th>
<th>Metropolitan Planning Organizations</th>
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4. Safety Management Policy

Safety Management Policy Statement

Safety is a core value at NDDOT, and managing safety is a core business function for public transportation in the state. We will develop, implement, maintain, and continuously improve processes to ensure the safety of transit customers, employees and the public. NDDOT is committed to the following safety objectives:

- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, and employees.
- Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through the Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Providing appropriate management involvement and the necessary resources to establish an effective ESRP that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing data from the ESRP. (After thoroughly analyzing provided data, processes and procedures will be developed to mitigate safety risk to an acceptable level.)
- Establishing safety performance targets that are realistic, measurable, and data driven. Continually improving safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Safety Management Policy Communication

NDDOT employees receive on-going safety training through e-learning, online posts on MyDOT, and emails from the Safety and Maintenance divisions. Copies of potential safety hazard awareness are posted on bulletin boards throughout the NDDOT building. NDDOT has incorporated review and distribution of Safety Policies into new-hire training and at the annual, all-staff, spring refresher training.

In addition, the NDDOT Safety Division develops, implements, and evaluates programs designed to reduce crashes and related fatalities and injuries. The Safety Division includes the Traffic Safety Program which addresses identified traffic safety issues including: lack of seat belt use, drug and alcohol impaired driving, distracted driving, young driver speed, motorcycle safety, pedestrian and bicycle safety, and other concerns that are disseminated to the public through various social media avenues.
## Authorities, Accountabilities, and Responsibilities for Transit Agencies

Transit agencies adopting the state plan must describe their local authorities, accountabilities, and responsibilities and identify the following individuals for the development and management of their transit agency’s SMS.

<table>
<thead>
<tr>
<th>Role</th>
<th>Accountabilities and Responsibilities</th>
</tr>
</thead>
</table>
| **Accountable Executive**                 | Controls and directs human and capital resources needed to develop and maintain the Agency Safety Plan (ASP) and SMS.  
                                          | Designates an adequately trained CSO who is a direct report.  
                                          | Ensures that the SMS is effectively implemented.  
                                          | Ensures action is taken to address substandard performance in the SMS.  
                                          | Assumes ultimate responsibility for carrying out the ASP and SMS.  
                                          | Maintains responsibility for carrying out the agency’s Transit Asset Management Plan. |
| **Chief Safety Officer (CSO) or SMS Executive** | Develops SMS policies and procedures.  
                                          | Ensures and oversees day-to-day implementation and operation of SMS.  
                                          | Manages ESRP.  
                                          | Chairs the Safety Committee and  
                                          | o Coordinates the activities of the committee;  
                                          | o Establishes and maintains a Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and  
                                          | o Maintains and distributes minutes of committee meetings.  
                                          | Advises the Accountable Executive on SMS progress and status.  
                                          | Identifies substandard performance in SMS and develops action plans for approval by the Accountable Executive.  
                                          | Ensures policies are consistent with safety objectives.  
                                          | Provides Safety Risk Management (SRM) expertise and support for other personnel who conduct and oversee Safety Assurance activities. |
| **Agency Leadership and Executive Management** | Agency Leadership and Executive Management also have authorities and responsibilities for day-to-day SMS implementation and operation of SMS under this plan Agency Leadership and Executive Management could include:  
                                          | Director of Operations,  
                                          | Chief Dispatcher,  
                                          | Director of Vehicle Maintenance,  
                                          | Director of Human Resources and Training,  
                                          | Director of Procurement, and Operations managers/supervisors. |
Agency Leadership and Executive Management personnel have the following authorities, accountabilities, and responsibilities:

- Participate as members of Safety Committee (operations managers and supervisors should be rotated through the Safety Committee on temporary-set terms and other positions are permanent members).
- Complete training on SMS and ASP elements.
- Oversee day-to-day operations of the SMS in their departments.
- Modify policies in their departments consistent with implementation of the SMS, as necessary.
- Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the CSO, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

**Key Staff and Activities**

Agency should utilize a Safety Committee, as well as a monthly Drivers’ Meeting, regularly held staff meetings, etc. to support its SMS and safety programs:

- **Safety Committee**: Any safety hazards reported will be jointly evaluated by the Safety Committee and the CSO. The Safety Committee members may include the CSO, Assistant Director of Operations, an operations manager, a representative from dispatch, a representative from fixed route, a representative from paratransit, and a representative from County Risk Management, etc. They may meet regularly to review issues and make recommendations to improve safety.

- **Drivers’ Meetings**: A permanent agenda item in all Drivers’ Meetings should be dedicated to safety. Safety issues should be discussed and documented.

- **Staff Meetings**: Hazard reports and mitigations will be shared, safety topics will be brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. Information discussed in these meetings will be documented.

**Employee Safety Reporting Program**
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:

- Report conditions directly to the dispatcher, who will add them to the daily Operations Log.
- Report conditions anonymously via a locked comment box in the driver area.
- Report conditions using their name or anonymously to a dedicated safety email address.
- Report conditions directly to any supervisor, manager, or director.

Examples of information typically reported include:

- Safety concerns in the operating environment (for example, county or city road conditions, or the condition of facilities or vehicles);
- 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);
- Information about why a safety event occurred (for example, radio communication challenges).

Daily, the CSO reviews the dispatch daily Operations Log, checks the comment box and dedicated email address, and documents identified safety conditions in the Safety Risk Register. The CSO, supported by the Safety Committee, as necessary, will review and address each employee report, ensuring that hazards and their consequences are appropriately identified and resolved through the SRM process and that reported deficiencies and non-compliance with rules or procedures are managed through the Safety Assurance process.

The CSO discusses actions taken to address reported safety conditions during the Staff Meetings. Additionally, if the reporting employee provided his or her name during the reporting process, the CSO or designee, follows up directly with the employee when it is determined whether to act, and after any mitigations are implemented.

Participation is encouraged in the ESRP by protecting employees that report safety conditions in good faith. However, disciplinary action may be taken if the report involves any of the following:

- Willful participation in illegal activity, such as assault or theft;
- Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk; or
- Deliberate or willful disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.
## 5. Safety Risk Management

### Safety Risk Management Process

Describe the Safety Risk Management process, including:

- **Safety Hazard Identification**: The methods or processes to identify hazards and consequences of the hazards.
- **Safety Risk Assessment**: The methods or processes to assess the safety risks associated with identified safety hazards.
- **Safety Risk Mitigation**: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.

### Safety Risk Management Process

The SRM process is primarily a method to ensure the safety of 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 leadership. The SRM process allows careful examination of what could cause harm and determine whether sufficient precautions have been taken to minimize the harm, or if further mitigations are necessary.

The CSO leads the SRM process, working with the Safety Committee to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The results of an SRM process should be documented in the Safety Risk Register and referenced materials.

The SRM process applies to all elements of the system including operations and maintenance; facilities and vehicles; and personnel recruitment, training, and supervision.

Here are descriptions of the following FTA terms:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure; or damage to the environment.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to property or the environment.

### Safety Hazard Identification

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

- ESRP;
- 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, including insurance pool and vendors;
• Safety Committee, Drivers, and Staff Meetings;
• Results of audits and inspections of vehicles and facilities;
• Results of training assessments;
• Investigations into safety events, incidents, and occurrences; and
• Federal Transit Administration (FTA), NDDOT, and other oversight authorities

When a safety concern is observed by management or supervisory personnel, whatever the source, it is reported to the CSO. Procedures for reporting hazards to the CSO are reviewed during Staff Meetings and in the Safety Committee. The CSO also receives employee reports from the ESRP, customer comments related to safety, and the dispatch daily Operations Log. The CSO reviews these sources for hazards and documents them in the Safety Risk Register.

The CSO also may enter hazards into the Safety Risk Register based on the review of operations and maintenance, the results of audits and observations, and information received from FTA, NDDOT and other oversight authorities, as well as the National Transportation Safety Board.

The CSO may conduct further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. When following up on identified hazards, the CSO 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 conditions, generating visual documentation (photographs and/or video), and take 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.

The CSO will then prepare an agenda to discuss identified hazards and consequences with the Safety Committee during their meetings. This agenda may include additional background on the hazards and consequences, such as the results of trend analyses, vehicle camera footage, vendor documentation, reports and observations, or information supplied by FTA, NDDOT or other oversight authorities.

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed though the SRM process for safety risk assessment and mitigation. This means the CSO believes
Prioritization of safety risk mitigations is based on the results of safety risk assessments. The CSO tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Safety Committee during meetings and to the staff upon request.

In the Safety Risk Register, the Chief Safety Officer will also document any specific measures or activities, such as reviews, observations, or audits, that will be conducted to monitor the effectiveness of mitigations once implemented.

6. Safety Assurance

The Safety Assurance process:

- Evaluates compliance with operations and maintenance procedures to determine whether existing rules and procedures are sufficient to control 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.

Safety Performance Monitoring and Measurement

Following are processes put in place to monitor the transit system for compliance with operations and maintenance procedures, including:

- Safety audits,
- Informal inspections,
- Regular review of onboard camera footage to assess drivers and specific incidents,
- Safety surveys,
- 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 related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends by the CSO to determine where action needs to be taken. The CSO enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee.
Activities to monitor operations which identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

Monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The CSO maintains a list of safety risk mitigations in the Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

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

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

The CSO and Safety Committee also monitors operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- 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.

The CSO works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.
### Activities to conduct investigations of safety events to identify causal factors.

Documented procedures are maintained 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 North Dakota’s Department of Motor Vehicles.

The CSO maintains all documentation of investigation policies, processes, forms, checklists, activities, and results. As detailed in the procedures, an investigation report is prepared and sent to the Accident/Incident Review Board for integration into their analysis of the event.

The Accident/Incident Review Board may consist of members that represent management, the union, operations, and maintenance. The CSO chairs the board. The Accident/Incident Review Board determines whether:

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

### Activities to monitor information reported through internal safety reporting programs.

The CSO 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 CSO and Safety Committee ensure that the concerns are investigated or analyzed through the SRM process.

The CSO and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.
### 7. Safety Promotion

#### Competencies and Training

<table>
<thead>
<tr>
<th>Comprehensive safety training program applies to all employees directly responsible for safety, including:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Bus vehicle operators,</td>
</tr>
<tr>
<td>• Dispatchers,</td>
</tr>
<tr>
<td>• Maintenance technicians,</td>
</tr>
<tr>
<td>• Managers and supervisors,</td>
</tr>
<tr>
<td>• Agency Leadership and Executive Management,</td>
</tr>
<tr>
<td>• CSO, and</td>
</tr>
<tr>
<td>• Accountable Executive.</td>
</tr>
</tbody>
</table>

Resources are dedicated to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee’s individual safety-related job responsibilities and their role in the SMS.

Operations safety-related skill training includes the following:

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus vehicle operator refresher training,
- Bus vehicle operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers. Vehicle maintenance safety-related skill training includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Accident investigation training for vehicle maintenance supervisors,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

The Accountable Executive and Agency Leadership and Executive Management team must complete FTA’s SMS Awareness online training.
### Safety Communication

The CSO and Director of Human Resources and Training, coordinate safety communication activities for the SMS. Activities focus on the three categories of communication activity established in 49 CFR Part 673 (Part 673):

- **Communicating safety and safety performance information throughout the agency:**
  Information is communicated on safety and safety performance through newsletters and during Staff Meetings along with a permanent agenda item in all monthly Drivers’ Meetings dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact service or safety performance, and updates regarding SMS implementation. Also, requests for information from drivers during these meetings, which is recorded in meeting minutes. Finally, the Director of Human Resources and Training posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms, advertising safety messages and promoting awareness of safety issues.

- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:**
  As part of new-hire training, safety policies and procedures are distributed, included in the Employee Handbook, to all employees. Training is provided on these policies and procedures and discussed during safety talks between supervisors and bus operators and vehicle technicians. For newly emerging issues or safety events at the agency, the CSO issues bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees.

- **Informing employees of safety actions taken in response to reports submitted through the ESRP:**
  Targeted communication to inform employees of safety actions taken in response to reports submitted through the ESRP is provided, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

### 8. Additional Information

Any documentation will be maintained which is related to the implementation of the SMS; the programs, policies, and procedures used to carry out this ASP; and the results from the SMS processes and activities for three years after creation. They will be available to the FTA, NDDOT, or other Federal or oversight entity upon request.
9. Definitions of Terms Used in the Safety Plan

Following are all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

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

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

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

- **Event** means any Accident, Incident, or Occurrence.

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

- **Incident** means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

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

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

- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.

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

- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.


- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
• **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
• **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
• **Safety Management Policy** means a transit documented commitment to safety, which defines the safety objectives and the accountabilities and responsibilities of employees regarding 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** 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** 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 an Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
• **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
• **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 49CFR Part 625.
# 10. Commonly Used Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Word or Phase</th>
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<tbody>
<tr>
<td>ADA</td>
<td>American’s with Disabilities Act of 1990</td>
</tr>
<tr>
<td>ASP</td>
<td>Agency Safety Plan (also referred to as a PTASP in Part 673)</td>
</tr>
<tr>
<td>CFR</td>
<td>Code of Federal Regulations</td>
</tr>
<tr>
<td>CSO</td>
<td>Chief Safety Officer</td>
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<tr>
<td>ESRP</td>
<td>Employee Safety Reporting Program</td>
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<tr>
<td>FTA</td>
<td>Federal Transit Administration</td>
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<tr>
<td>MPO</td>
<td>Metropolitan Planning Organization</td>
</tr>
<tr>
<td>Part 673</td>
<td>49 CFR Part 673 (Public Transportation Agency Safety Plan)</td>
</tr>
<tr>
<td>SMS</td>
<td>Safety Management System</td>
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<tr>
<td>SRM</td>
<td>Safety Risk Management</td>
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<tr>
<td>VRM</td>
<td>Vehicle Revenue Miles</td>
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</table>
Appendix A

Safety Management Policy Statement

The management of safety is one of our core business functions. [Transit agency] 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 [Chief Executive Officer (CEO)/Managing Director/or as appropriate to the organization].

[Transit agency] 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.

[Accountable Executive]

Date