



Safety Management System (SMS)

HARBOR TRANSIT





HARBOR TRANSIT

Safety Management System (SMS)

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Transit Agency Information

Transit Agency Name	Harbor Transit Multi-Modal Transportation System (HTMMTS or Harbor Transit)			
Transit Agency Address	440 North Ferry Street Grand Haven, Michigan 49417			
Name and Title of Accountable Executive	Scott Borg Transportation Director			
Name of Chief Safety Officer or SMS Executive	John Phillips			
Modes of Service Covered by This Plan	Demand Response Route Deviation Service	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307 5311	
Modes of Service Provided by the Transit Agency	Demand Response Route Deviation Service			
Does the Agency Provide Transit Services on Behalf of Another Transit Agency or Entity?	YES	NO X	Description of Arrangement(s)	Not applicable
Name and Address of Transit Agency or Entity for Which Service Is Provided	None			



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Plan Development, Approval, and Updates

Name of Person(s) Who Drafted This Plan	John Phillips, Steven Patrick, Anthony Dionise, Dana Appel, Shelly Converse	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors or an Equivalent Authority	Name Individual/Entity That Approved Plan	Date of Approval
	HTMMTS Board	10/28/2019
	Relevant Documentation (title and location)	
	Harbor Transit: 440 N Ferry St. Grand Haven, MI 49417 Office of Finance and Compliance	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Robert Sullivan, Attorney at Scholten Fant, Grand Haven, Michigan 49417	3/2/2021
	Relevant Documentation (Title and Location)	
	SMS (Agency Safety Plan) Harbor Transit 440 N Ferry St., Grand Haven, MI 49417, Office of Finance and Compliance	



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Plan Development, Approval, and Updates

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-29	New Document	July 20, 2020
2	2 & 3	New Transportation Director	Sept. 21, 2020
3	8 & 26	New Transportation Director	Nov. 5, 2020
4	3 & 5 & 6	Updates for 2020 Results, Targets 2021	Mar 31, 2021

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>
<p>Harbor Transit's ASP and SMS will be reviewed annually and updated as needed, to conform to the FTA Fiscal year by October 20 of each year. The review will be conducted if;</p> <ol style="list-style-type: none">1. The approach to mitigate safety deficiencies is ineffective,2. Significant changes in transit services,3. Adoption of new processes that impact safety,4. Resources to support SMS are re-prioritized and/or significant organizational changes. <p>Note: (Rate) per 100K VRM)</p>



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Safety Performance Targets

Safety Performance Targets (1) <i>Specify performance targets based on the safety performance established under the National Public Transportation Safety Plan (NPTSP).</i>							
Targets below are based on review of the previous 5 years of Harbor Transit's safety performance data. Note: (Rate) per 100K VRM)							
Mode of Transit Service	Fatalities (total)	Fatalities (100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 Thousand VRM)	System Reliability (Mean distance Bwt failures)
Demand Response	0	0	4	.46	12	1.4	27,615
Route Deviation Service	0	0	1	.11	2	.23	1,000
Targets ----- 2020 for DR/RDS	0/0	0/0	3/1	.40/.10	11/2	1.2/.20	35,000/2,000
Results -----	0/0	0/0	0/0	0/0	0/0	0/0	0/0
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>							
HT's Accountable Executive shares our ASP, including safety performance targets, with the Metropolitan Planning Organization (MPO) in our service area each year after its formal adoption by the County Commission. HT's Accountable Executive also provides a copy of our formally adopted plan to the Michigan Department of Transportation. HT personnel are available to coordinate with the State of Michigan and the MPO in the selection of State of Michigan and MPO safety performance targets upon request.							
Targets transmitted to the MDOT	State Entity Name			Date Targets Transmitted			
	Michigan Department of Transportation			September 3, 2020			
Targets Transmitted to MPO (2)	Metropolitan Planning Organization Name			Date Targets Transmitted			
	WMSRDCC – West Michigan Shoreline Regional Department			September 3, 2020			

1 Total numbers and rates per vehicle revenue miles (VRM).

2 Where applicable. Some smaller systems may not be within an MPO'S jurisdiction.



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Safety Performance Targets & (Results)

Safety Performance Targets & Result (FTA Fiscal Year) <i>Specify performance targets based on the safety performance established under the National Public Transportation Safety Plan (NPTSP). DR = Demand Response, RDS = Route Deviation Service</i>							
Mode of Transit Service <u>2021</u>	Fatalities (total)	Fatalities (100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 Thousand VRM)	System Reliability (Mean distance Between failures)
Targets DR/RDS	0/0	0/0	0/0	.5/0	1	.5/0	50,000 10,000
Results DR/RDS							
Mode of Transit Service <u>2022</u>	Fatalities (total)	Fatalities (100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 Thousand VRM)	System Reliability (Mean distance Between failures)
Targets DR/RDS							
Results DR/RDS							
Mode of Transit Service <u>2023</u>	Fatalities (total)	Fatalities (100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 Thousand VRM)	System Reliability (Mean distance Between failures)
Targets DR/RDS							
Results DR/RDS							
Mode of Transit Service <u>2024</u>	Fatalities (total)	Fatalities (100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 Thousand VRM)	System Reliability (Mean distance Between failures)
Targets DR/RDS							
Results DR/RDS							



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Safety Performance Targets (Tracking Major Mechanical Failures)

Tracking SPT of Major Mechanical Failures

A small transit provider must review its vehicle maintenance log to establish its system reliability in terms of total VRM's between failures. Harbor Transit (a small transit provider) will track its miles between failures using the attached excel spreadsheet for its Demand Response Service and Route Deviation Service.

HARBOR TRANSIT (SMS)							
Revenue Vehicles System Reliability FTA - 2020							
RV	Annual Revenue Mileage (FTAFY) 2020	System Reliability Major Mechanical Failures			System Reliability (Mean Distance Between Failures)		
Buses - 26							
Vans - 2							
TOTAL Mileage							
Trolleys - 2							
TOTAL Mileage							

HARBOR TRANSIT (SMS) BUS FAILURES FTA - 2020 MONTH: _____.					
BUS No.	DATE	Major Failure	Other Failure	In-Service Date	Days Out Of Service



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Safety Management System (SMS)

Safety Management Policy

Safety Management Policy Statement

Include the written statement of safety management policy, incorporating safety objectives.

Safety is a core value at Harbor Transit Multi-Modal Transportation System (HTMMTS) or Harbor Transit, 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. Harbor Transit will continue to support its System Safety Program Plan (SSPP) as an ongoing resource to the SMS. Harbor Transit 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 Harbor Transit's 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, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.)
- **Establishing safety performance** targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Scott Borg

Transportation Director/Accountable Executive

November 5, 2020

Date



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Safety Management System (SMS)

Safety Management Policy

Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

The CSO, who leads Harbor Transit's SMS activities will introduce our staff to SMS principles in August 2020 with one on one training, video, posters and handouts. Harbor Transit will distribute to each employee in a form of a handout the Safety Management Policy. Harbor Transit will communicate its "Safety Management Policy" during employees' orientation, a bulletin board posting, quarterly safety meetings and written notification of such policy to employees through their mailbox and payroll, a bus garage safety poster, and our website.

Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's SMS.

Accountable Executive

The HTMMTS Transportation Director will ensure the agency's SMS is effectively implemented, properly communicated and has the necessary resources and performance to achieve its ASP's objectives and targets. The Transportation Director will appoint the Chief Safety Officer.

- Controls and directs human and capital resources needed to develop and maintain the ASP and SMS.
- Ensures that the SMS is effectively implemented.
- Maintains responsibility for carrying out the agency's Transit Asset Management plan.



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Safety Management System (SMS)

Safety Management Policy

Chief Safety Officer or SMS Executive	<p>The CSO has the day-to-day responsibility to implement and direct the agency's SMS. This includes documentation, hazard identification, risk assessment, risk mitigation, safety performance, training and briefing the agency's executives.</p> <ul style="list-style-type: none">• Develops HTMMTS's ASP and SMS policies and procedures.• Chairs the Harbor Transit Safety Committee.• Identifies substandard performance in SMS and develops action plan for management approval.
Agency Leadership and Executive Management	<p>The agency's Operations Director, Finance & Compliance Director and Customer Care Supervisor will have key roles in the day-to-day implementation of the SMS and direct responsibilities as described in the ASP.</p> <ul style="list-style-type: none">• Participate as members of Harbor Transit Safety Committee.• Oversee day-to-day operations of the SMS in their departments• Provide expertise to support implementation of the SMS and investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.
Key Staff and Activates	<p>The agency's Safety Committee will play a vital role in hazard identification and monitoring the SMS.</p> <ul style="list-style-type: none">• Quarterly all-staff meetings: Hazard reports and migrations will be shared, safety topics will be brought up for discussion, feedback, and hazard self-reporting encouraged. Information discussed in these meetings will be documented.



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Safety Management Policy

Employee Safety Reporting Program or Plan (ESRP)

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).

Harbor Transit will establish and operate a hazard identification, analysis and risk evaluation to include an employee safety reporting program (ESRP) as a source for safety concerns and hazard identification. This is used to eliminate or mitigate the safety risks of the consequences of hazards, resulting from our operations or service. Further the agency will ensure that no action will be taken against any employee who discloses a safety concern through this program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.

- Report conditions directly to the dispatch office using a Recommendation form.
- Examples of safety concerns in the operating environment, policies and procedures that are not working as intended, events that senior management may not be aware of, and information about a safety event.
- On a daily basis, the CSO will review these recommendation forms and all other safety concerns reported to Harbor Transit.
- The CSO, supported by the safety committee, as necessary, will review and address, each reported, ensuring that hazards and their consequences are appropriately identified and resolved, ensuring that hazards and their consequences are appropriately identified and resolved through Harbor Transit SRM process.
- Harbor Transit encourages participation in the Employee Safety Reporting Plan (ESRP) by protecting employees that report safety conditions in good faith.



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Safety Management System (SMS)

Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including

- *Safety Hazard Identification: The methods or process to identify hazards and consequences of 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

Harbor Transit will utilize a **3 step plan** to first identify a hazard, second to assess that hazard (Likelihood and Severity) and thirdly how to mitigate the hazard. An excel spreadsheet will be used to track this process and performance (impact) to mitigate hazard. If initial mitigation of hazard demonstrates insufficient impact the hazard will be reassessed with a new mitigation strategy.

Harbor Transit uses the SRM proces as primary method to ensure the safety of our operations, passengers, employees, vehciles, and facilities. It is a process whereby hazards and their consequences are idenified, assessed for potential safety risks, and resolved in a manner acceptable to Harbor Transit managaement.

The CSO leads Harbor Transit SRM process, working with the Safety Committee to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk.

Harbor Transit SRM process applies to all elements of our system. In carrying out the SRM process, Harbor Transit uses the following 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 stack, or infrastructure; or damage to the environment.
- **Risk** – Composite of predicted severity and likelihood of potential effect of hazard.



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Safety Management System (SMS)

Safety Risk Management

- **Risk Mitigation** – Methods to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to Harbor Transit property or the environment.

Safety Hazard Identification

Safety Hazard Identification (**Step 1**): Harbor Transit has conducted employee training with its staff (line and management personnel and the safety committee) on its SMS/ASP. This also includes recording any hazard notifications from the public that may have had contact or a passenger on the transit agency's system. Harbor Transit will utilize its Recommendation form to report potential hazards or capture such information. The Recommendation report will be turned into Dispatch or the CSO for assessment. Hazards can be identified through a variety of sources, including:

- ESRP
- Review of vehicle and facility camera footage
- Review of annual performance data and safety performance targets
- Observations from management
- Maintenance reports
- Comments from customers, passengers, stakeholders, vendors, Safety Committee and all staff meetings
- Audits
- Training assessments
- Investigations into safety events
- Federal Transit Administration (FTA), Michigan Department of Transportation (MDOT) and Harbor Transit Board, mandatory information.

The CSO will be responsible to enter the hazard into Safety Risk Register, HTMMTS excel spreadsheet (Harbor Transit Hazard Identification & Classification, Risk Assessment/Level). The CSO may conduct further analysis of hazards or identify additional consequences when necessary, including prioritizing safety risk assessments. The CSO will prepare an agenda for the bimonthly safety committee to discuss identified hazards and consequences.



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Safety Risk Management

Any identified hazard that poses a real and immediate threat will be brought to the attention of the AE and address through the SRM.

Safety Risk Assessment

Safety Risk Assessment (**Step 2**): Safety Risks will be assessed using the Matrix; Hazard – Likelihood Levels & Severity Categories & Risk a (Excel spreadsheet with definitions and category levels) by the CSO with either the AE or EM approval. This matrix also categorizes risks into levels, High, Medium, or low, based on the likelihood of occurrence and severity of the outcome.

- **High** – hazard ratings will be considered unacceptable and require action from Harbor Transit to mitigate or eliminate the safety risk.
- **Medium** – hazard ratings will be considered undesirable and require Harbor Transit Safety Committtee to make a decision regarding their acceptability, EM approval, to accept the risk with monitoring or require additional action.
- **Low** – hazard ratings may be accepted by the CSO pending EM approval.

Once sufficient information has been obtained, the CSO will facilitate completion of relevent section Safety Risk Register, using the Safety Risk Assessment step 2.

Safety Risk Mitigation

Safety Risk Mitigation (**Step 3**): AE, EM, CSO, SC or Harbor Transit staff may offer a mitigation plan which will need the final approval of the AE or EM. The assessment will have indicate the safety risk index and criteria index and level of action required. The CSO will be responsibility for implementation of the action plan and evaluating the progress or impact of the plan on the hazard. Harbor Transit AE and CSO eliminate or mitigate safety risk associated with specific hazards based on recommendations from the Safety Committee.

The CSO will document any specific measures or activities, such as reviews, obsrvations, or audits, that will be conducted, to monitor the effectiveness of mitigations once implemneted.



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Safety Assurance

Harbor Transit Safety Assurance Process

- 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, are appropriate and implemented as intended.
- Investigates safety events to identify casual factors.
- Analyzes all information from safety reporting.

Safety Performance Monitoring and Measurement

Describe activates to monitor the system for compliance with procedures for operations and maintenance.

Harbor Transit has processes in place to monitor its sytem for compliance with operations and maintence procedures. The EM and CSO on a monthly basis will track the number of unscheduled repairs (service) on revenue vehicles breakdowns which require taking the vehicle out of service. The SPI will be to track the number unscheduled vehicle repairs with the SPT to reduce the number by percent (vehicle fleet revenue miles) of unscheduled service requests or repairs each quarter. The CSO will identify non-compliant or ineffective activities, mitigations, back into the SRM and Safety Committee.

Describe activates to monitor operations to identify any safety risk mitigations that may be infective, inappropriate, or were not implemented as intended.

The EM and CSO will fully investigate any safety event and record findings on the excel accident log (Harbor Transit S drive – titled: accidents, injuries, incidents) and in RouteMatch (accident’s module). The safety objective is to minimize passenger slip and fall events. The SPI is to track the number of slip and falls per vehicle revenue miles and reduce that number each quarter per equivalent revenue miles. This review will include a review of any safety risk mitigations that may be ineffective or not implemented as intended. The CSO, AE and Safety Committee will Monitor and Review:

- Results from an accident, incident and other safety investigations
- Employee safety reporting
- Safety audits and inspections
- Analyze safety data to identify emerging safety issues



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Safety Management System (SMS)

Safety Assurance

Describe activities to conduct investigations of safety events, including the identification of causal factors.

The EM and CSO will fully investigate any safety event and record findings on the excel accident log (Harbor Transit S drive – titled: accidents, injuries, incidents) and in RouteMatch (accident's module). The safety objective is to minimize passenger slip and fall events. The SPI is to track the number of slip and falls per vehicle revenue miles and reduce that number each quarter per equivalent revenue miles. This review will include a review of any safety risk mitigations that may be ineffective or not implemented as intended.

Describe activities to monitor operations to identify any safety mitigations that may be ineffective, inappropriate, or where not implemented as intended.

The CSO will daily monitor the safety reporting programs or safety/hazard information reported through the recommendation form, website and/or any report so submitted to Harbor Transit. The goal will be to determine appropriate level and a timely response to mitigate the safety event or hazard.

**NOTE: Sections “Management of Change” and “Continuous Improvement”
(Not Required for Small Public Transportation Providers)**



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Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Harbor Transit employee training is tracked on excel spreadsheet (Employee Training Records & Forms in S drive). The Employee Orientation and RTAP class room training programs have been updated to include the SMS/ASP and Safety Management Policy (SMP). Existing employees have or will receive training at Harbor Transit quarterly employee meetings. Previously all employees received safety training on the Harbor Transit SSPP – System Safety Program Plan and Operations Policy and Procedure Manual. Safety training also is emphasized during the annual driver recertification and ride check. A revised form (Recommendation) will be used by either employees or non-employees to report safety hazards.

- HTMMTS dedicates resources to conduct a comprehensive safety training program.
- Basic training requirements for employees include refresher training on the ASP.
- At this time HTMMTS has no contractors.
- Ongoing hazardous material training.
- Harbor Transit's AE, EM and CSO team must complete FTA's SMS Awareness online training.

Safety Communication

Describe process and activates to communicate safety and safety performance information throughout the organization.

Harbor Transit training materials have been updated to include the SMS, SMP and ASP. Safety Posters have been designed and placed in the garage to communicate this safety message. A bulletin board poster outlines our requirements and the new Safety Management Policy. The Harbor Transit website has been updated to include how a nonemployee can report a safety or hazardous condition or event.



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Safety Promotion

- Harbor Transit is committed to communicate safety performance information throughout the agency through quarterly all staff meetings, a newsletter, and the safety committee and safety bulletins.
- Harbor Transit is committed to communicating information on hazards and safety risks to employees' roles and responsibilities throughout the agency. This will be accomplished through new-hire training and distribution of the safety policy and procedures.
- Harbor transit will inform employees of safety actions taken in response to reports submitted through the ESRP.



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Additional Information

Supporting Documentation

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

Review of the Harbor Transit SSPP and Operations Policy and Procedure Manual, Employee Training Recods & Forms. Harbor Transit 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 SMS process and activities for three years after creation. Those documents will be available to the FTA or other Federal or oversight entity upon request.

Definitions of Terms Used in the ASP

Term	Definition
Accident	Accident means an event that involves any of the following: A loss of life; a report of a report of a serious injury to a person; a collision of public transportation vehicles; an evacuation for life safety reasons.
Event	Event means any accident, incident, or occurrence.
Hazard	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	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	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.
Major Mechanical System Failures	MMSF prevent a vehicle from completing or starting a scheduled revenue trip because actual movement is limited or because of safety concerns. Examples of major bus failures include breakdowns of brakes, doors, engine cooling system, steering, axles, and suspension.
Occurrence	Occurrence means an event without any personal injury in which any damage to facilities, rolling stock, or infrastructure does not disrupt the operations of the transit agency.



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Definitions of Terms Used in the ASP

Operator	Operator of a public transportation system means a provider as defined under 49 U.S.C. 5320.
Performance Measure	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 establish targets.
PTASP	Public Transportation Agency Safety Plan (or Agency Safety Plan) means the document comprehensive Agency Plan that is required by 49 U.S.C. 5329 and Part 673.
Risk	Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.
Risk Mitigation	Risk mitigation means a method(s) to eliminate or reduce the effects of hazards.
Safety Assurance	Safety assurance means the process 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 agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Management Policy	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	Safety Management System 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	Safety performance means a performance target related to safety management activities.
Safety Promotion	Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public system.
Safety Risk Assessment	Safety risk assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its risks.



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Definitions of Terms Used in the ASP

Safety Risk Management	Safety risk management means a process within a transit agency's ASP for identifying hazards and analyzing, assessing, and mitigating safety risk.
Serious injury	Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when 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-hand burns, or any burns affecting more than 5 percent of the body surface.
Transit Asset Management Plan	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.

Commonly Used Acronyms

Acronym	Word or Phase
ADA	American's with Disabilities Act of 1990
AE	Accountable Executive
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
EM	Executive Management
ESRP	Employee Safety Reporting Program or Plan
FTA	Federal Transit Administration
HT or HTMMTS	Harbor Transit Multi-Modal Transportation System
MPO	Metropolitan Planning Organization
Part 673	49CFR Part 673 (Public Transportation Agency Safety Plan)



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Commonly Used Acronyms


PTASP	Public Transportation Agency Safety Plan
RTAP	Rural Transit Assistance Program
SC	Safety Committee
SMS	Safety Management System
SSPP	System Safety Program Plan
SMP	Safety Management Policy
SRM	Safety Risk Management
U.S.C.	United States Code
VRM	Vehicle Revenue Miles



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Risk Assessment Matrix Hazard Identification & Classification (Step 1)-Excel Spreadsheet


 HARBOR TRANSIT HAZARD IDENTIFICATION & CLASSIFICATION, RISK ASSESSMENT/LEVEL - 2020 (STEP 1)										
No.	DATE	HAZARD IDENTIFICATION & CLASSIFICATION			RISK ASSESSMENT		SAFETY RISK LEVEL			ACTION OR MONITORING OR REVIEW
		HAZARD	TYPE	SUB-TYPE	LIKELIHOOD (A-C)	SEVERITY (1-3)	HIGH	MEDIUM	LOW	
1	11/8/2019	Bus 1, 10, 26, 27, 28 (Goshen's) have expanded blind spots to the left and right side of the windshield because of the support frame (pillar) for the side windows and cab	O	T	B	3			3B	REVIEW
2										
3										
4										
5										
6										



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Risk Assessment Matrix Likelihood & Severity (Step 2)-Excel Spreadsheet



HAZARD - Likelihood Levels & Severity Categories & Risk

(Step 2)

HAZARD:

Bus 1, 10, 26, 27, 28 (Goshen's) have expanded blind spots to the left and right side of the windshield because of the support frame (pillar) for the side windows and cab roof.

TYPE:
O, T, E

O

SUB-TYPE: R,
P, T, S, O, M,
D, E, W, N

T

Likelihood

Severity

Risk Assessment Matrix

Frequent (A)

Catastrophic (1)

High: 1A, 1B, 1C, 2A

Occasional (B)

B

Serious (2)

Medium: 2B, 2C, 3A

Remote (C)

Marginal (3)

3

Low: 3B, 3C

3B

Safety Risk Index

Criteria by Index

HIGH

Unacceptable – Action Required:
Safety risk must be mitigated or eliminated.

MEDIUM

Undesirable – Management Decision:
Executive management must decide whether to accept safety risk with monitoring or require additional action.

LOW

Acceptable with Review:
Safety risk is acceptable pending management review.

Likelihood Levels

Severity Categories

Description

Level

Individual item

System or Vehicle Fleet

Description

Severity Category

Criteria

Frequent

A

Likely to occur often in the life of an item.

Continuously experienced. Potential consequence may occur more than once in 500 operating hours.

Occasional

B

Will occur several times in the life of an item.

Will occur several times. Potential consequence may be experienced once in 500 to 60,000 operating hours.

Remote

C

Unlikely to occur in the life of an item.

Unlikely but possible. Potential consequence may be experienced once in 60,000 to 1,800,000 operating hours.

Catastrophic

1

Could result in death, permanent total disability, loss exceeding \$250,000, system shutdown lasting 4 or more hours, or irreversible severe environmental damage that violates law or regulation.

Serious

2

Could result in permanent partial disability, injury or occupational illness that may result in hospitalization of at least one person, property damage exceeding \$25K but less than \$250,000, system shutdown lasting between 10 minutes and 4 hours, or reversible environmental damage causing a violation of law or regulation.

Marginal

3

Could result in injury or occupational illness resulting in one or more lost workday(s), property damage up to \$25,000, system shutdown of less than 10 minutes, or mitigatable environmental damage without violation of law or regulation.

Hazard Type Category

Hazard Type / Subcategory

Organizational

Resourcing

Procedural

Training

Supervisory

Technical

Operational

Maintenance

Design

Equipment

Environmental

Weather

Natural


Note: Fill only gray cells



HARBOR TRANSIT

Safety Management System (SMS)

Risk Assessment Matrix Safety Risk & Mitigation (Step 3)-Excel Spreadsheet

 HARBOR TRANSIT SAFETY RISK & MITIGATION (STEP 3)					
Line Item on Tab 1	Safety Risk Index (High, Medium, Low)	Action, Monitoring, Review	Action Plans to Mitigate or Eliminate; Action Plan, Monitoring or Management Review	Date Action Plan Implemented	Results: Meets Plan or Revamp Plan
1	3B	Review	Determine angles (body & head positions) from driver seat that driver's vision is impacted or hampered (blind spots) and conduct training on head movement for new employees, in service training for existing staff and post training bulletin on topic.	11/9/2019	Meets Plan

Safety Risk Index	Criteria by Index
HIGH	Unacceptable - Action Required: Safety risk must be mitigated or eliminated.
MEDIUM	Undesirable - Management Decision: Executive management must decide whether to accept safety risk with monitoring or require additional action.
LOW	Acceptable with Review: Safety risk is acceptable pending management review.






HARBOR TRANSIT

Safety Management System (SMS)

Communication of Program (Posters)

Bulletin Poster (17"x 11")



Safety matters


ALL HARBOR TRANSIT EMPLOYEES SHOULD REPORT

SAFETY CONCERNS

IDENTIFIABLE HAZARDS

BEST SAFETY PRACTICES

THE SAFETY MANAGEMENT POLICY PROTECTS OUR EMPLOYEES FROM ANY RETALIATORY ACTION BY MANAGEMENT ON LIGAMENT CLAIMS OR FILINGS. WE WELCOME YOUR INPUT. COMPLETE A RECOMMENDATION FORM AND TURN IT INTO MANAGEMENT OR THE SAFETY & TRAINING COORDINATOR.



SAFETY MANAGEMENT POLICY STATEMENT

Safety is a core value at Harbor Transit Multi-Modal Transportation System (HTMMTS) or Harbor Transit, 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. Harbor Transit will continue to support its System Safety Program Plan (SSPP) as an ongoing resource to the SMS. Harbor Transit 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 Harbor Transit's 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, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.)
- Establishing safety performance targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Scott Borg
Transportation Director/Accountable Executive

NOV. 5, 2020
Date



HARBOR TRANSIT

Safety Management System (SMS)

Communication of Program (Posters)

Garage Poster (4' x 8')



Website Posting

WE SERVE OUR COMMUNITIES AND YOU CAN HELP US WITH YOUR OBSERVATIONS OF ANY SAFETY HAZARDS. HELP MAKE US THE SAFEST TRANSIT PROVIDER.

We at Harbor Transit encourage our valued passengers, customers and community stakeholders, if you have information on a safety issue or a potential hazard that may affect our service, you may share that with Harbor Transit management. Please communicate your concerns to our Customer Service Manager by telephone, letter or by requesting a Recommendation Form from one of our Driver's.

FTA Definition: 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.

Examples: 1. Vegetation blocking signs and limiting visibility at stops, 2. Lack of employee performance monitoring, 3. Wildlife (deer on roadway)



HARBOR TRANSIT

Safety Management System (SMS)

Form: Recommendation (Reporting a Hazard)

**RECOMMENDATION/SAFETY HAZARD**

DRIVER: _____ DATE: _____

TYPE of ISSUE (✓): CUSTOMER BUS NO.: _____

☐ Code Green ☐ Code Red ☐ Referred to Office

Green Codes for Service: 1=Ecstatic, 2=Blissful, 3=Excited,
4=Pretty Happy, 5=Pleased
Red Codes for Complaints: 1=Furious, 2=Very Upset,
3=Moderately Upset, 4=Annoyed, 5=Calm
☐ Above And Beyond (AAB) see below information
☐ Passenger or Witness Courtesy Card and Information

TYPE of ISSUE (✓): TABLET/MANIFEST

☐ Address ☐ Name ☐ Pickup Time ☐ Drop-off Time ☐ PU Location
☐ Drop-off Location ☐ Street Name ☐ City ☐ Pay/Dollar Amount
☐ Cancel Service ☐ Disabled ☐ Tablet GPS

TYPE of ISSUE (✓): EQUIPMENT/ACCESS/REPORTING A HAZARD

☐ Road Access Limited ☐ Safety Hazard ☐ Lift or Ramp PU
☐ Accident ☐ Incident ☐ Road Construction ☐ Tablet Dead Spot

INFORMATION: NAME, ADDRESS, TELEPHONE

TYPE OF SAFETY HAZARD, CHANGE, AAB OR WITNESS STATEMENT

*Note: If an accident or incident occurs complete an Incident Form and a Transportation Loss Report with a vehicle accident.

ADDITIONAL INFORMATION AND ACTION PLAN

Review Date: _____ HT MGR: _____

- Drivers & Dispatchers Initiate:
 1. Report an Accident or Incident
 2. Report a Passenger, Customer or Witness
 3. Report a recommended change in RouteMatch
 4. Report a Drop-off or Pick-up location or access
 5. Report on our customer service (Green Code)
 6. Report a person or passenger complaint (Red Code)
 7. Report on employee's individual service (AAB)
 8. Report on long term road conditions
 9. Report a Safety Hazard by Driver or
 10. Person having contact with Harbor Transit
- How to use:
 1. Record a witness address, telephone number & statement
 2. Correct information in RouteMatch that is incorrect
 3. To recognize customer service by another employee
 4. To recognize our service reported by a non-employee
 5. Replaces our courtesy card
 6. Record hazard and recommendation to correct
- What will happen:
 1. Tablet will show correct information on the next manifest
 2. Three employees a quarter recognized for customer service
 3. Harbor Transit will contact passenger, person or business
 4. Harbor Transit will take positive or corrective action
 5. All safety hazards will be address through SMS/ASP



HARBOR TRANSIT

Safety Management System (SMS)

Employee Notification and Acknowledgment: (ASP/SMS)



DATE: July 20, 2020

TO: All Employees

FROM: John Phillips

SUBJECT: FTA REQUIRED - Safety Management System (SMS) and Policy

The FTA has required Transit Agencies to adopt a new format to address safety through (SMS) Safety Management System. This system first has a policy of commitment by both management and staff to first; willingly participate in safety promotion and communication, secondly; Safety Risk Management to identify, assess and prioritize safety hazards and thirdly; Safety Assurance by mitigating, measuring and monitoring the hazard.

In the handouts you received are the cover page and diagram of the new system (SMS/APS), Harbor Transit Safety Management Policy Statement, the new form to report safety hazards (by anyone), FTA Definition of a Safety Hazard, and an Acknowledgement form which you will need to sign and return to the Safety & Training Coordinator.

This information will also be communicated on our website, garage posters and a poster on our bulletin board.

All of us look forward to making our work environment as safe as possible. Thank all of you for participating!



ACKNOWLEDGEMENT OF RECEIPT AND REVIEW OF:

SMS/ASP – SAFETY MANAGEMENT POLICY

HAZARD COMMUNICATION PROGRAM

Harbor Transit has provided the employee a copy and training on the above policies, practices, standards, reporting requirements. Handouts include Safety Management Policy, Reporting Safety Hazards (Recommendation/Safety Hazard) form and FTA Definition of hazards. It is the employee's responsibility to read and comply with these policies.

I have read and fully understand these policies and my responsibility to comply with its requirements, standards and practices. I further understand during my employment I may be required to submit to a controlled substances (drug) and/or alcohol tests based on FTA regulations and Company's Drug-Free Workplace Policy.

DATE

PRINT EMPLOYEE NAME

EMPLOYEE SIGNATURE

Public Transportation **Agency Safety Plan (PTASP)**

FTA (49 CFR Part 673)