

**City of Lompoc Transit (COLT)**  
**Public Transportation Agency Safety Plan**  
**Adopted December 15, 2020**

**100 Civic Center Plaza**  
**Lompoc, CA 93436**

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Signature of Accountable Executive

Richard Fernbaugh

Aviation/Transportation Administrator

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Date

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## *Definitions*

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

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

Agency or Transit Agency means City of Lompoc or City of Lompoc Transit.

ASP or Plan means Agency Safety Plan.

Caltrans means the California Department of Transportation

CFR means Code of Federal Regulations.

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

City Council means governing body of City of Lompoc.

COLT means City of Lompoc Transit.

Event means any Accident, Incident, or Occurrence.

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

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

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

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

Metropolitan Planning Organization (MPO) means Santa Barbara County Association of Governments.

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

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

Part 673 means 49 CFR Part 673.

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

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

PTASP means Public Transportation Agency Safety Plan.

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

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

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

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

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

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

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

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

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

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

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

Transit Asset Management Plan (TAM) 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.

Transit Service Contractor means a company contracted to provide transit services.

U.S.C. means United States Code.

### *Section 1 Transit Agency Information*

The City of Lompoc is a municipal corporation that operates public transit services including fixed route and demand response in the Lompoc Valley area, Santa Barbara County, California. City of Lompoc currently purchases transportation services from RoadRunner Management Services. City of Lompoc is a recipient of Section 5307 funds. City of Lompoc provides transportation

services on behalf of another entity (Santa Barbara County), to serve unincorporated areas near the City.

#### *Subsection 1.1 Accountable Executive*

City of Lompoc's Accountable Executive is the Aviation/Transportation Administrator. The Aviation/Transportation Administrator is the single, identifiable person who has ultimate responsibility for carrying out this Agency Safety Plan and the City of Lompoc's Transit Asset Management Plan, and control or direction over the human and capital resources needed to develop and maintain both this Plan and the TAM.

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

#### *Subsection 1.2 Chief Safety Officer*

The Aviation/Transportation Administrator designates the City of Lompoc's Safety Officer as City of Lompoc's Chief Safety Officer who has the authority and responsibility for day-to-day implementation and operation of the Agency's SMS. The Safety Officer holds a direct line of reporting to the Accountable Executive, [as shown in the organization chart in the Attachment X], and has a strong working relationship with the operations and asset management functions at the City of Lompoc.

### *Section 2 Plan Development, Approval, and Updates*

Caltrans developed the contents of the City of Lompoc's plan to meet requirements specified in 49 CFR Part 673 and comply with Part 673.11(d) regarding Caltrans' responsibility to develop an ASP for any small public transportation provider that is located in California. This Plan is based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for the management of safety risk. The four principles or pillars of SMS are: (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion.

#### *Subsection 2.1 Drafting the Plan*

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

Should the City of Lompoc no longer meet the definition of a small public transportation provider or choose to opt-out of the Caltrans Agency Safety Plan, within one year from the date of notifying the State of either development, then the City of Lompoc will draft and certify its own Agency Safety Plan. If the City of Lompoc operates more than 100 vehicles, then the City of Lompoc must fulfil requirements of systems operating more than 100 vehicles.

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

Pursuant to 49 CFR Part 673.11 (a) (1), this Agency Safety Plan and subsequent updates must be signed by the Accountable Executive and approved by the City of Lompoc's City Council. Documentation of Board approval is found in Resolution 6372(20).

### *Subsection 2.3 Certification of Compliance*

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

After Caltrans' initial certification, and on an annual basis, the City of Lompoc must update this Agency Safety Plan by July 20 in perpetuity. All Agency Safety Plan updates shall be signed by the Accountable Executive and approved by the City of Lompoc's City Council.

FTA does not require this Plan to be submitted to FTA. Instead, Caltrans will certify that it has established this Safety Plan, which fulfills the requirements under Part 673. FTA annually amends and issues the list of Certifications and Assurances. Caltrans will review such guidance for incorporation into the safety program as necessary.

### *Subsection 2.4 Plan Review and Updates*

The City of Lompoc shall update this Safety Plan when information, processes or activities change within the Agency and/or when Part 673 undergoes significant changes, or annually, whichever comes sooner. As the City of Lompoc collects data through its Safety Risk Management and Safety Assurance processes, shared with Caltrans and the local Metropolitan Planning Organization (MPO) as described in subsection 3.1 below, the MPO and Caltrans will evaluate the City of Lompoc's Safety Performance Targets to determine whether they need to be changed, as well.

This Plan will be jointly reviewed and updated by the Safety Officer and the Aviation/Transportation Administrator, with the assistance of subject matter experts, each July. The Accountable Executive will approve any changes, then forward on to the City Council for approval.

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

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

## *Section 3 Safety Performance Targets (SPTs)*

### *Subsection 3.1 Target Development*

The City of Lompoc includes SPTs in this Safety Plan. These targets are specific numerical targets set by the City of Lompoc and based on the safety Performance Measures established by FTA in the National Public Transportation Safety Plan. In the most recent version, the 2017 NSP3, FTA adopted four initial safety Performance Measures: (1) Fatalities, (2) Injuries, (3) Safety Events, and (4) System Reliability.

Developed safety performance targets that will be reviewed and updated annually include: the specific safety performance targets based on the safety performance measures established under the National Public Transportation Safety Plan and the safety performance goals set by Caltrans based on the past three (3) calendar years of data. The Safety Performance Targets for the City of Lompoc for the year 2020 is expected to stay within 1% +/- of previous three years data pertaining to fatalities, injuries, safety events, and system reliability.

*Note: Baseline data for each target will need to be provided by each agency for Caltrans to develop goals.*

FTA requires Caltrans to coordinate with the City of Lompoc and the Santa Barbara County Association of Governments to the maximum extent practicable. Pursuant to 49 CFR Part 673.15(a), the City of Lompoc will make safety performance targets available to the Santa Barbara County Association of Governments to aid in the planning process upon certification of this Plan. Additionally, the City of Lompoc will transmit performance data against the Safety Performance Targets to Caltrans and the Santa Barbara County Association of Governments on an annual basis.

Caltrans will conduct coordination meetings with the Santa Barbara County Association of Governments for the selection of State and MPO Safety Performance Targets and goals.

<b>Mode of Transit Service</b>	<b>Fatalities</b>	<b>Injuries</b>	<b>Safety Events</b>	<b>System Reliability</b>
Fixed Route Integer Target	0	0	0	100%
Fixed Route Target per Vehicle Revenue Mile	0	0	0	100%
Demand Response Integer Target	0	0	0	100%
Demand Response Target per Vehicle Revenue Mile	0	0	0	100%

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

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

- Safety Policy;
- Safety Risk Management;

- Safety Assurance; and
- Safety Promotion.

### *Section 5 Safety Management Policy*

The first component of the City of Lompoc’s SMS is the Safety Management Policy, which is the foundation of the City of Lompoc’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, employee and contractor responsibilities for safety throughout the organization. It also ensures that management is actively engaged in the oversight of the system’s safety performance by requiring regular review of the Safety Management Policy, budget and program by the designated Accountable Executive.

#### *Subsection 5.1 Safety Management Policy Statement*

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

City of Lompoc and its transit services contractor will:

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

Caltrans established safety performance targets to help measure the overall effectiveness of the City of Lompoc’s processes and ensure safety objectives are met. The City of Lompoc will keep employees informed about safety performance goals and objectives to ensure continuous safety improvement.

#### *Subsection 5.2 Safety Management Policy Communication*

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

This is accomplished through various processes such as:



- Workshops/training sessions – Conducted for Senior Management, Directors, Managers, and Supervisors. Once this Plan or any update to this Plan has been signed by the Aviation/Transportation Administrator, approved by the City Council and certified by Caltrans it will become standard practice in perpetuity so that SMS becomes standard business practice. All Union representatives will be kept informed.
- New Hire Safety Orientation – All new employees, regardless of their classifications, will be trained about their roles and responsibilities pertaining to PTASP and the principles of SMS.
- Safety bulletins, email safety newsletter blasts to staff, toolbox/tailgate safety meetings and/or safety committee meetings.

*Subsection 5.3 Employee Safety Reporting Program*

The City of Lompoc implemented a process that allows its own employees, and employees of its transit service contractor to 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 City of Lompoc employees and employees of the City’s transit service contractor 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 City of Lompoc management.

**Description:**

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

Examples of voluntary safety reports include:

- Safety hazards in the operating environment (for example, county or city road conditions),
- Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection),
- Events that senior managers might not otherwise know about (for example, near misses), and
- Information about why a safety event occurred (for example, radio communication challenges).

b) The program also involves recommending corrective actions and resolutions of identified unsafe conditions or hazards and/or near miss.

c) All employees have the obligation to report immediately any unsafe conditions or hazards and near miss to their immediate supervisor or department manager and may do so without fear of reprisal.

d) Unsafe conditions or hazards may also be identified as a result of occupational injury or illness investigations and/or by accident investigation.

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

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

#### *Subsection 5.4 SMS Authorities, Accountabilities, and Responsibilities*

This Plan has assigned specific SMS authorities, accountabilities, and responsibilities to the designated Accountable Executive; Chief Safety Officer; Transit Service Contractor Manager; Agency's leadership/executive management; and key staff/employees as described below:

##### *Subsection 5.4.1 Accountable Executive*

The City of Lompoc's Accountable Executive is the Aviation/Transportation Administrator. The Aviation/Transportation Administrator is accountable for ensuring that the Agency's SMS is effectively implemented throughout the Agency's public transportation system. The Aviation/Transportation Administrator is accountable for ensuring action is taken, as necessary, to address substandard performance in the Agency's SMS. The Aviation/Transportation Administrator may delegate specific responsibilities, but the ultimate accountability for the City of Lompoc's safety performance cannot be delegated and always rests with the Aviation/Transportation Administrator. The Aviation/Transportation Administrator is accountable for ensuring that the Agency's SMS is effectively implemented, and that action is taken, as necessary, to address substandard performance in the Agency's SMS. The Accountable Executive may delegate specific responsibilities, but not accountability, for City of Lompoc's safety performance.

The Aviation/Transportation Administrator roles include, but are not limited to:

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

- Other duties as assigned/necessary.

#### *Subsection 5.4.2 Chief Safety Officer*

The Safety Officer has the authority and responsibility for day-to-day implementation and operation of the City of Lompoc's SMS.

Chief Safety Officer's Roles include:

- Decision-making about resources (e.g., people and funds) to support asset management, SMS activities, and capital investments;
- Overseeing the safety risk management program by facilitating hazard identification, safety risk assessment, and the development and implementation of safety risk mitigations.
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive and City Council on SMS implementation progress;
- Planning safety management training;
- Developing and organizing annual audits/reviews of SMS processes and the Agency Safety Plan to ensure compliance with 49 CFR Part 673 requirement;
- Maintaining safety documentation; and
- Other duties as assigned/necessary.

#### *Subsection 5.4.2A Transit Service Contractor/Manager*

The Transit Service Contractor/Manager has the authority and responsibility for day-to-day implementation and operation of the City of Lompoc's PTASP as it relates to those employees of the transit service contractor.

Transit Service Contractor/Manager Roles include:

- Decision-making about resources (e.g., people and funds) to support asset management, SMS activities;
- Assisting the safety risk management program by facilitating hazard identification, safety risk assessment, and the development and implementation of safety risk mitigations;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive on SMS implementation progress;
- Planning safety management training for the contractors employees;
- Participating in annual audits/reviews of SMS processes and the Agency Safety Plan to ensure compliance with 49 CFR Part 673 requirements;
- Maintaining safety documentation; and
- Other duties as assigned/necessary.

#### *Subsection 5.4.3 Agency Leadership and Executive Management*

The City Manager and the department directors or managers of each department comprise Agency Leadership/Executive Management. Some of their responsibilities include:

- Day-to-day implementation of the Agency's SMS throughout their department and the organization;

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

#### *Subsection 5.4.4 Key Staff*

The Agency and Transit Service Contractors' key staff/employees may include managers, supervisors, specialists, analysts, database administrators, services contractors and other key employees who are performing highly technical work and overseeing employees performing critical tasks and providing support in the implementation of this Agency Safety Plan and SMS principles in various departments throughout the Agency.

City of Lompoc's and Transit Service Contractors key staff/employees responsibilities include:

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

#### *Section 6 Safety Risk Management (SRM)*

The second component of the City of Lompoc'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 Lompoc has implemented a Safety Risk Management process for all elements of its transportation system. The Safety Risk Management process includes the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

### *Subsection 6.1 Safety Hazard Identification*

Hazard identification is the first step in the Safety Risk Management process and a key component. It involves the following 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 are the City of Lompoc's methods and processes to identify hazards. The Agency considers, as a source for hazard identification, data and information provided by an oversight authority and the FTA. Hazards are identified through a variety of sources, including:

- Employee safety reporting;
- Review of vehicle camera footage;
- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from customers, passengers, and third parties;
- Safety committee, driver and all-staff meetings;
- Results of audits and inspections of vehicles and facilities;
- Results of training assessment;
- 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 Safety Officer, who enters it into the Hazard Log. The Safety Officer also may enter hazards into the log based on reviews of operations and maintenance activities and procedures.

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

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Contact other departments that may have association with, or technical knowledge relevant to, the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

Any identified hazard that poses an immediate risk to transit operations, the health and safety of employees or the public, or equipment, must immediately be brought to the attention of the Accountable Executive and placed through the Safety Risk Management process for Safety Risk

Assessment and mitigation. Otherwise, hazards will be prioritized for further Safety Risk Management activity.

*Subsection 6.2 Safety Risk Assessment*

Safety Risk Assessment defines the level or degree of the safety risk by assessing the likelihood and severity of the consequences of hazards and prioritizes hazards based on the safety risk. The 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 Safety Officer documents recommendations regarding hazard rating and mitigation options and reports this information to the Accountable Executive.

### *Subsection 6.3 Safety Risk Mitigation*

The Safety Officer, assisted by key staff subject matter experts, and the City’s Transit Service Contractor, reviews current safety risk mitigations and establishes procedures to 1) eliminate; 2) mitigate; and 3) accept specific risks. Prioritization of safety remediation measures is based on risk analysis and a course of action acceptable to the City of Lompoc 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 Safety Officer.

### *Section 7 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 Lompoc 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 Lompoc's Safety Performance Monitoring and Measurement are shown below in subsection 7.1.

### *Subsection 7.1 Safety Performance Monitoring and Measurement*

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

- Monitors the system for compliance with, and sufficiency of, the Agency's procedures for operations and maintenance through:
  - Safety audits,
  - Informal inspections,
  - Regular review of on-board camera footage to assess drivers and specific incidents,
  - Safety surveys,
  - Employee safety reporting program,
  - Investigation of safety occurrences,
  - Safety review prior to the launch or modification of any facet of service,
  - Daily data gathering and monitoring of data relating to the delivery of service,
  - Regular vehicle inspections and preventative maintenance, and
  - Continuous feedback loop between leadership and all levels of the agency.
- Monitors its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended through:
  - Reviewing results from accident, incident, and occurrence investigations,
  - Monitoring employee safety reporting,
  - Reviewing results of internal safety audits and inspections, and
  - Analyzing operational and safety data to identify emerging safety concerns.
- Conducts investigations of safety events to identify causal factors; and
- Monitors information reported through any internal safety reporting programs.
  - The Safety Officer routinely reviews safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Safety Officer ensures that the



issues and concerns are investigated or analyzed through the safety risk assessment process.

- The 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 Safety Officer discusses relevant safety issues and concerns with the Accountable Executive and executive management and documents the results of these reviews in the Hazard Log.

In the event of a fatality, the City of Lompoc complies with all FTA drug and alcohol requirements.

In California, every driver involved in an accident that results in death, injury, or property damage over \$1,000, effective January 1, 2017, must report the accident on a [Report of Traffic Accident Occurring in California](#) (SR 1) form to DMV. The report forms are available at [www.dmv.ca.gov](http://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 Lompoc requires driver notification to the Safety Officer immediately and maintains records of any report filed pursuant to this paragraph.

#### *Section 8 Safety Promotion*

The fourth component of the Agency's SMS is Safety Promotion, 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 Lompoc to establish and maintain a robust safety culture. Safety Promotion has two components: (1) Safety Communication; and (2) Competencies and Training.

#### *Subsection 8.1 Safety Communication*

The City of Lompoc communicates safety and safety performance information throughout the organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' and service contractors' 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 Lompoc 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 Lompoc's tools to support safety communication include:

- Safety bulletins,
- Safety notices,
- Posters,

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

**Competencies and Training:** Executive Management ensures that all employees attend the training provided to understand their specific roles and responsibilities for the implementation of SMS. The City of Lompoc and its Transit Service Contractor provides SMS training in the following areas:

**All City and Transit Service Contractor Employees:**

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

**Managers and Supervisors:**

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

**Executive Management:**

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

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

- Conducting training needs analyses to ensure that the right information is being taught to the right employees using the most efficient training methods;
- Communicating purpose, objectives, and outcome;
- Ensuring relevant content by directly linking training to the trainee's job experiences so trainees are more motivated to learn;
- Using active hands-on demonstrations and practice to demonstrate skills that are being taught and provide opportunities for trainees to practice skills;
- Providing regular feedback during hands-on practice and exercises; and
- Reinforcing training concepts in the post-training work environment by giving employees opportunities to perform what they have learned.

The City of Lompoc conducts refresher training monthly during employee safety meetings.

*Section 9 Documentation*

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