



North Central Regional Transit District

Agency Safety Plan

1327 North Riverside Drive
Española, NM

Version 1 xx/xx/2020

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



Table of Contents

1. TRANSIT AGENCY INFORMATION	2
SYSTEM DESCRIPTION	4
2. PLAN DEVELOPMENT, APPROVAL, AND UPDATES.....	7
3. SAFETY PERFORMANCE TARGETS.....	8
4. SAFETY MANAGEMENT POLICY	9
NCRTD SAFETY MANAGEMENT POLICY STATEMENT (SMPS)	9
SAFETY MANAGEMENT POLICY COMMUNICATION	11
AUTHORITIES, ACCOUNTABILITIES, AND RESPONSIBILITIES	11
EMPLOYEE SAFETY REPORTING PROGRAM.....	13
5. SAFETY RISK MANAGEMENT	15
SAFETY HAZARD IDENTIFICATION	15
SAFETY RISK ASSESSMENT.....	17
SAFETY RISK MITIGATION	18
6. SAFETY ASSURANCE	20
SAFETY PERFORMANCE MONITORING AND MEASUREMENT.....	20
7. SAFETY PROMOTION.....	25
COMPETENCIES AND TRAINING	25
SAFETY COMMUNICATION.....	29
ADDITIONAL INFORMATION	32
APPENDIX A: DEFINITIONS.....	33
APPENDIX B: ACRONYMS AND ABBREVIATIONS	36
APPENDIX C: NCRTD BOARD OF DIRECTORS ASP APPROVAL DOCUMENTATION	37
APPENDIX D: CERTIFICATION DOCUMENTATION	38
APPENDIX E: NCRTD SAFETY RISK ASSESSMENT MATRIX	39
APPENDIX F: NCRTD ORGANIZATIONAL CHART	41



1. Transit Agency Information

Transit Agency Name	North Central Regional Transit District (NCRTD)		
Transit Agency Address	1327 North Riverside Drive, Espanola, NM 87532		
Name and Title of Accountable Executive	Anthony J. Mortillaro, Executive Director The Accountable Executive meets the requirements in 49 CFR § 673.5 and §673.23(d)(1). Please see the Roles and Responsibilities of the Accountable Executive in Section 4-Safety Management Policy.		
Name of Chief Safety Officer or SMS Executive	Joe Palmeri, Human Resources Director The Chief Safety Officer meets the requirements of § 673.5 and §673.23(d)(2). Please see the Roles and Responsibilities of the Chief Safety Officer in Section 4-Safety Management Policy.		
Mode(s) of Service Covered by This Plan	Fixed-route Bus, Commuter Bus, Demand Response/Paratransit	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5311, 5311 (c), 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed-route Bus – directly operated Demand Response/Paratransit – directly operated Commuter Bus – directly operated		
Does the agency provide transit services on behalf of another transit agency or entity?	No	Description of Arrangement(s)	N/A
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	N/A		



This NCRTD Agency Safety Plan applies to the following locations within our transit agency:

North Central Regional Transit District – Espanola Headquarters	1327 North Riverside Drive	Anthony Mortillaro, Executive Director	Administrative Staff/Main Office
	Espanola, NM 87532	anthonym@ncrtd.org	Fixed Route, Commuter, Demand, Dial A Ride, and Paratransit
	Office: 505-629-4725	Emergency cell: 505-690-7782	
	Fax: 505-747-6647		
Taos Facility	1032 Dea Lane	Anthony Mortillaro, Executive Director	Dispatch, Maintenance, Fixed Route, Commuter, Demand, and Paratransit
	Taos, NM 87571	anthonym@ncrtd.org	
	Office: 505-629-4725	Emergency cell: 505-690-7782	
		Delilah Garcia, Transit Operations Director	



System Description

History

North Central Regional Transit District

In 2004, the North Central Regional Transit District (NCRTD) became the first Regional Transit District created in the State of New Mexico following the passing of the New Mexico Regional Transit District Act, which enabled the formation of multi-jurisdictional transit agencies. The legislation was put forth and enacted to provide safe and efficient regional transit services to transit-dependent groups such as seniors, youth, low income and mobility-impaired residents, veterans, and further to provide residents with access to education, higher paying jobs, medical and quality-of-life services.

District comprises four counties of North Central New Mexico – Rio Arriba, Santa Fe, Taos and Los Alamos. The membership of the NCRTD Board is composed of elected officials of each of those counties, as well as the City of Santa Fe, Town of Edgewood and City of Española, and the Pueblos of Pojoaque, Nambé, San Ildefonso, Tesuque, Santa Clara and Ohkay Owingeh.

The North Central Regional Transit District is associated with local units of government as well as organizations created to encourage and allow regional cooperation on a multitude of transportation issues.

In January 2003, The Regional Transit District (RTD) Act, enabling legislation was submitted to the New Mexico House of Representatives and Senate. Senate Bill 34, sponsored by State Senator Ben Altimirano (D-Silver City), was passed by the New Mexico Legislature. In March 2003, the Governor signed into law the Regional Transit District Act [NMSA 1978 Chapter 73, Article 25 (2003)].

After the legislation was signed, the governmental entities in the North Central region of New Mexico acted quickly to begin the process of creating an RTD. The various counties, municipalities and Pueblos encompassed by the boundaries of Rio Arriba, Los Alamos, and Santa Fe Counties began meeting informally in the spring of 2003. They requested assistance from the New Mexico Department of Transportation (NMDOT) for the staffing of a Working Group (later renamed the “Organizing Committee”) made up of representatives including governmental unit staff members and elected and tribal officials from all interested governments in the region. NMDOT agreed to help support staffing of the Organizing Committee through an action plan along with the Alliance for Transportation Research Institute (ATRI).

The NCRTD service area encompasses more than 10,000 square miles, including some of the nation’s most remote and economically challenged areas.

The District is larger than the States of Massachusetts and Delaware combined. Some of the longer routes it services are the Chama to Española route in Rio Arriba County, at 89.7 miles, and the Edgewood to Santa Fe route in Santa Fe County, at 74 miles.

The New Mexico Department of Transportation provided a start-up grant of \$250,000 in 2005. By 2007

North Central Regional Transit District
Agency Safety Plan
Version 1 xx/xx/2020



the NCRTD began service with three buses operating on five routes. Today, more than 50 communities are served by a total of 43 buses on 20 fixed and commuter routes and two Demand Response routes.

Known widely and affectionately as the “Blue Bus,” in fiscal year 2014 RTD buses logged a total of 922,835 miles (an average of 46,142 miles per route).

The NCRTD provides free service Monday through Friday. In addition to Federal grants and 5311 funding, a Regional Transit Gross Receipts Tax was passed in 2008 by general election in each of the counties and goes to support the free service.

On September 12, 2014, the North Central Regional Transit District celebrated not only the 10th Anniversary of its creation, but also its ongoing commitment to change the face of public transportation in the State of New Mexico.

In 2016, the District completed a Long-Range Strategic Service Plan – 20-year horizon.

In 2018, the voters approved the Reauthorization of the RTGRT and removal of the sunset from the original RTGRT authorization in 2008.

Started with an 11-member Board and as of 2019 we have a 17 Member Board of Directors made up of elected officials of the cities, counties and tribal governments in service area.

Today, the NCRTD provides transit services on 26 Fixed Routes, 1 Demand, 1 Dial A Ride and 1 Paratransit Route to over 70 communities in North Central NM, including service to Eight Northern Pueblos and the Jicarilla Apache Nation.

NCRTD’S Board of Directors

The NCRTD’s Board of Directors consists of 17 full members and one ex officio (non-voting) member. The 17 full members are; the Village of Chama, the Town of Edgewood, the City of Española, the County of Los Alamos, Nambé Pueblo, Ohkay Owingeh Pueblo, the Pueblo of Pojoaque, the Village of Questa, the County of Rio Arriba, the Pueblo de San Ildefonso, Santa Clara Pueblo, the City of Santa Fe, the County of Santa Fe, the County of Taos, the Town of Taos, the Village of Taos Ski Valley, and the Pueblo of Tesuque. The North Central Regional Transit District Board members are elected officials appointed by their government to serve a term of at least one year, with one non-elected alternate per member. Voting units for purposes of tabulating a majority are allocated to each member government based on population.

The primary responsibilities of the Board of Directors are to make policy decisions for the District. Policy decisions are adopted by resolution and include such things as the annual budget, fiscal policies, federal compliance policies, and policies regulating the workplace.

The overall operational safety goals for the NCRTD are:

- provide a level of service that meets, if not exceeds, industry standards;
- identify, eliminate, minimize, and control safety hazards and their associated risks, and;



comply with the applicable requirements of regulatory agencies.

Agency Safety Plan and Safety Management System (SMS)

NCRTD developed this safety plan to comply with 49 CFR Part 673, the PTASP regulation. This plan also serves as an “SMS user’s manual” that guides NCRTD in the successful implementation and operation of its SMS.

The FTA defines SMS as:

“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.”

Furthermore, 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.

NCRTD’s SMS has four distinct components, which are discussed in subsequent sections of this safety plan:

- Safety management policy
- Safety risk management
- Safety assurance
- Safety promotion



2. Plan Development, Approval, and Updates

Name of Entity that Drafted this Plan	North Central Regional Transit District (NCRTD)	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors or an Equivalent Authority	Name of Entity that Approved	Date of Approval
	NCRTD Board of Directors	
	Relevant Documentation (title and location)	
	A copy of Board Resolution 2020-?? approving the Agency Safety Plan is maintained on file by the NCRTD Executive Director and NCRTD Chief Safety Officer.	
Certification of Compliance with PTASP regulation	Name of Individual/Entity that completed Certification	Date of Certification
	Relevant Documentation (Title and Location)	

Annual Review and Update of the Public Transportation Agency Safety Plan
<p>The Chief Safety Officer and the Transit Operations Director will jointly review and update, if necessary, the NCRTD Agency Safety Plan and its safety performance targets by July 1st of each year. If the Plan is updated, the Accountable Executive will review and approve changes, sign the new ASP, and forward it to the NCRTD Board of Directors for final review and approval. The Chief Safety Officer and the Transit Operations Director will review any changes in the ASP with staff at the regularly scheduled Quarterly All-Staff meeting in August.</p> <p>Specifically, NCRTD will review its safety plan when it:</p> <ol style="list-style-type: none"> Determines its approach to mitigation safety deficiencies is ineffective; Makes signification changes to service delivery; Introduces new processes or procedures that may impact safety; Changes of re-prioritizing resources available to support SMS; Significantly changes its organizational structure, and/or; By July 20, annually, pursuant to 49 CFR Part 673.11(a)(5).



3. Safety Performance Targets

Safety Performance Targets							
The targets listed below are based on reviews of the previous five years of NCRTD's safety performance data.							
Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM / failures)
Fixed Route	1	1	3	.03	7	.078	45
Demand Response	0	0	0	0	0	0	22
Commuter Bus	0	0	0	0	0	0	382

Safety Performance Target Coordination		
NCRTD's Accountable Executive shares NCRTD's safety performance targets with the Santa Fe Metropolitan Planning Organization each year after its formal adoption by the NCRTD Board of Directors. NCRTD's Accountable Executive also provides a copy of our formally adopted Safety Plan to the New Mexico Department of Transportation (NMDOT). NCRTD personnel are available to coordinate with NMDOT and the MPO in the selection of NMDOT and MPO safety performance targets upon request.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	New Mexico Department of Transportation	
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	Santa Fe Metropolitan Planning Organization	



4. Safety Management Policy

NCRTD Safety Management Policy Statement (SMPS)

October 4, 2019

To All District Staff and Contractors:

The North Central Regional Transit District is involved in the development of a Public Transportation Agency Safety Plan (PTASP) in order to comply with new federal requirements for a uniform system of public transit safety management called the "Safety Management System (or SMS) approach. I, as the Executive Director, am tasked with the role of the "Accountable Executive" under the regulations. This means that I am responsible for ensuring that we adopt and follow the federal safety guidelines. I, in turn, am relying upon you to adhere to the new safety standards. In order to facilitate this process, I have chosen to adopt the following policy statement. You may find this useful as we proceed toward adoption of the new plan and implementation.

Safety is a core value of the North Central Regional Transit District (NCRTD), and managing safety is a core business function of the agency. NCRTD is committed to developing, implementing, maintaining, and continuously improving processes to ensure the safety of its customers, employees, and the public. NCRTD will use safety management processes to direct the prioritization of safety and allocate its organizational resources—people, processes, and technology—in balance with its other core business functions. NCRTD aims to support a robust safety culture, and achieve the highest level of safety performance, meeting all established safety standards.

All levels of management and all frontline employees are accountable for the delivery of the highest level of safety performance, starting with the Executive Director of NCRTD.

North Central Regional Transit District is committed to:

Executive Commitment to Safety: Executive Management will lead the development of an organizational culture that promotes safe operations and provides appropriate resources to supporting this core management function through fostering and ensuring safe practices, improving safety when needed, and encouraging effective employee safety reporting and communication. NCRTD will hold executives, managers, and employees accountable for safety performance.

Communication & Training: Employee engagement is crucial to a functioning Safety Management System. Communication systems will be put in place to enable greater awareness of NCRTD safety objectives and safety performance targets as well as to provide on-going safety communication up, down, and across the organization. All levels of management must proactively engage employees and work to keep the lines of safety communication honest and open. All employees will be made aware of the importance of NCRTD's Safety Management System and trained in safety reporting procedures.

Responsibility & Accountability: All levels of management will be responsible for delivering safe and quality transit services that represent NCRTD's performance of its Safety Management System.



Managers will take an active role in the Safety Risk Management process and ensure that Safety Assurance functions are supported. Managers are responsible for ensuring that Safety Risk Management is being performed in their operational areas of control to assure that the safety risk associated with safety hazards is assessed and mitigated. Safety performance will be an important part of performance evaluations for NCRTD managers and employees.

Responsibility of Employees & Contractors: All employees and contractors will support safety management by ensuring that hazards are identified and reported.

Employee Reporting: Executive management will establish a safety reporting program as a viable tool for employees to voice their safety concerns. All frontline employees will be responsible for utilizing this program as part of the Safety Management System. No action will be taken against any employee who communicates a safety condition through the NCRTD safety reporting program unless such disclosure indicates the following: an illegal act, gross misconduct or negligence, or a deliberate or willful disregard of NCRTD rules, policies, and procedures.

Performance Monitoring & Measuring: NCRTD will establish realistic measures of safety performance and establish safety performance targets to ensure continual improvement in safety performance. Managers will verify that the safety risk mitigations put in place are appropriate and effective.

Review & Evaluation: NCRTD will measure Safety Management System performance by analyzing key safety performance indicators, reviewing inspections, investigations and corrective action reports, and auditing the processes that support the Safety Management System.

These activities will become the basis for revising or developing safety objectives, safety performance targets and plans with the goal of continuous safety improvement.

My thanks in advance for your cooperation in making the District a safer workplace for all our employees, customers, and contractors.

Very truly yours.

Anthony Mortillaro Executive Director
North Central Regional Transit District



Safety Management Policy Communication

The Chief Safety Officer, who leads NCRDT's SMS activities, reviews SMS principles with staff during regular staff meetings. A paper copy of the Safety Management Policy Statement (SMPS) is distributed to each employee, as well as an acknowledgment of receipt form to have employees formally acknowledge their receipt of a copy of the SMPS. NCRDT also posts the SMPS in a conspicuous place at each of the two main offices in Espanola and Taos. Finally, it is available as a link on the NCRDT Safety Website and distributed to contractors as appropriate.

Authorities, Accountabilities, and Responsibilities

Roles and Responsibilities of the Accountable Executive

The NCRDT Accountable Executive has ultimate responsibility for carrying out the Agency Safety Plan. The Accountable Executive has control or direction over the human and capital resources needed to develop and maintain this Agency Safety Plan.

The Accountable Executive is accountable for ensuring that NCRDT effectively implements its SMS throughout the agency and addresses SMS substandard safety performance. The Accountable Executive is responsible for signing SMS implementation planning documents and endorsing SMS implementation team membership.

The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for NCRDT's safety performance cannot be delegated and always rests with the Accountable Executive.

The NCRDT Accountable Executive's roles include, but are not necessarily limited to:

- Decisions-making about human and capital resources needed to support asset management, SMS activities, and capital investments;
- Maintaining the Transit Asset Management (TAM) Plan;
- Signing SMS implementation planning documents, and ensuring that SMS is effectively implemented throughout NCRDT's public transportation system;
- Ensuring action is taken to address substandard performance in NCRDT's SMS;
- Endorsing SMS implementation team membership, and;
- Other duties as assigned/necessary.

Roles and Responsibilities of the Chief Safety Officer

The CSO has the authority and responsibility for developing, implementing, and operating NCRDT's SMS. The CSO reports directly to the Accountable Executive for matters involving SMS.

The CSO's roles include, but are not necessarily limited to:

- developing and maintaining SMS documentation;
- directing hazard identification and safety risk assessment;
- monitoring safety risk mitigation activities;
- providing periodic reports on safety performance;



- briefing the Accountable Executive on SMS implementation progress;
- planning safety management training, and;
- Other duties as assigned/necessary

NCRTD identifies and documents all the SMS-related organizational accountabilities and responsibilities of the CSO job function. This documentation is captured and stored at the NCRTD Headquarters in the CSO's office.

Agency Leadership and Executive Management Roles

Under the guidance of the Accountable Executive and the CSO, members of NCRTD's leadership have authorities and responsibilities for the day-to-day implementation and operation of the agency's SMS.

NCRTD Agency Leadership and Executive Management include:

- Transit Operations Director;
- Public Information Officer;
- Finance Director;
- Legal Counsel;
- Fleet and Facilities Manager;
- Planning Manager;
- Transit Manager.

The Agency Leadership and Executive Management are responsible for the following accountabilities and responsibilities of this plan. Its roles include, but are not necessarily limited to:

- Implementation and operation of NCRTD's SMS, within the functions in which they have responsibility;
- Provide input into the allocation of resources within the functions in which they have the responsibility to accomplish the goals and objectives of the agency safety plan;
- Accountable for oversight, day-to-day operations, and maintaining compliance with the agency safety plan, within the functions in which they have responsibility; and
- Modify policies consistent with the implementation of NCRTD's Agency Safety Plan.

Key Staff Roles

NCRTD Key Staff has the following SMS accountabilities and responsibilities of this plan. Its roles include, but are not necessarily limited to:

- Assisting the CSO in developing, implementing, and operating the SMS. Based on responsibilities and expertise, the Key Staff assist in hazard identification, safety risk assessment, safety risk mitigation, safety performance monitoring, safety performance measurement, safety training, and safety communication activities.
- Key staff plays a significant role as subject matter experts in hazard identification, safety risk assessment, safety risk mitigation, and safety performance monitoring activities.
- Key staff functions that bring experience and expertise to bear on SMS activities include:
 - Transit Shift Supervisors;



- Customer Service Representatives (CSR);
 - Bus Operators;
 - Vehicle Mechanics
 - Facilities Staff, and;
 - Other skilled professionals as needed.
- **Safety Committee:** Any safety hazards reported are jointly evaluated by the Safety Committee and the CSO during the monthly meeting. The Safety Committee members include the CSO, Fleet Manager, a Transit Supervisor, a Lead Operator, a CSR, a Fleet/Facilities Technician, and an admin employee, who meet monthly to review issues and make recommendations to improve safety.
 - **Drivers' Meetings:** A permanent agenda item in all monthly drivers' meetings is dedicated to safety. Safety issues are discussed and documented.
 - **Quarterly All-Staff Meetings:** Hazard reports and mitigations are shared, safety topics brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. The information discussed in these meetings is documented.

Employee Safety Reporting Program

NCRTD has established and implemented a formal safety reporting program that allows its employees to voluntarily report any safety issues, conditions, or concerns they may see during their day-to-day delivery of transit services. This voluntary safety reporting program is separate from NCRTD's mandatory reporting requirements for accidents and incidents.

The employee safety reporting program (ESRP) provides protections for employees who report safety issues, concerns, or conditions and ensures that discipline will not be applied, and employees have protection against reprisal or any other adverse action for reporting a safety issue, concern, or condition. Employees who report safety issues, concerns, and conditions are also generally protected under Occupational Safety and Health Administration whistleblower protections.

The ESRP also describes employee behaviors that are not protected under the program and may result in disciplinary action, such as an employee engaged in an illegal act, committed gross negligence, or deliberately or willfully disregarded regulations or NCRTD procedures.

The ESRP clarifies:

- What to report, what not to report, and how to report;
- What managers should do when employees report safety concerns;
- How reports are documented; and
- How employees will receive feedback about the results of their reports.

The reporting system is simple to use and available to all NCRTD personnel. NCRTD's ESRP addresses the following:

- Who is responsible for developing and managing the employee safety reporting program;



- Timely response to employee safety reports.
- How the agency provides feedback to employees on the action(s) taken to address the reported safety issue, condition, or concern;
- Investigation of reported safety issues, conditions, or concerns for causal or contributing factors.
- How the transit system documents and reviews safety issues, conditions, or concerns to determine if a hazard exists; and
- If the issue is determined to be a hazard, how the hazard is then entered into the safety risk management process.

NCRTD is committed to providing feedback to employees who report a safety issue, condition, or concern. This feedback is provided either directly in a one-on-one conversation or through the safety meeting platform. The feedback addresses what, if any action, will be taken to address the reported safety issue, condition, or concern.

NCRTD's ESRP includes the availability of a short, one-page safety reporting document for employees to fill out or supervisors to fill out if an employee reports a safety issue, condition, or concern verbally. Dispatchers keep a hazard log to record issues, conditions, or concerns reported via radio by bus operators.

Employees also have the option to submit anonymous safety concerns online through the employee HRIS system, a safety reporting component. Employees can submit contact information if they wish to, but it is not required.

More detailed documentation of the ESRP is on file in the CSO's office at NCRTD Headquarters. A description of the ESRP is distributed to all current employees during the training provided on employee safety reporting and new employees during new-hire orientation.



5. Safety Risk Management

NCRTD uses the SRM process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process wherein hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to NCRTD's leadership. The NCRTD SRM process allows us to carefully examine what could cause harm, determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary.

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

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

Overall, the NCRTD SRM process includes the following steps that are carried out under the guidance of the CSO and with input from appropriate subject matter experts:

- Identify hazards
- Identify the potential consequences of each hazard
- Evaluate consequences in terms of probability and severity
- Prioritize risk using our formal risk matrix
- Communicate prioritized risk to the Accountable Executive
- Based on the Accountable Executive's approval, create safety risk mitigations to eliminate or reduce the effects of hazards.
- Implement the mitigation
- Create a strategy for monitoring mitigation effectiveness

In carrying out the SRM process, NCRTD uses the following terms:

- **Safety event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, death, damage to/loss of facilities, equipment, rolling stock, or infrastructure belonging to NCRTD, 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 NCRTD property or the environment.

Safety Hazard Identification

All subsequent safety risk management activities are contingent on effectively identifying sources for hazard identification, and the processes to obtain information on hazards.

NCRTD developed methods and processes to identify hazards and consequences of the hazards. NCRTD considers, as a source for hazard identification, data, and information provided by its Board of Directors, the FTA, and NMDOT. NCRTD also considers the results of its asset condition assessments when performing safety hazard identification activities through its SMS. The results of the condition assessments and safety risk management activities help inform NCRTD's determination as to whether an



asset meets the state of good repair standards under 49 CFR Part 625.

The CSO is responsible for overseeing and facilitating NCRTD's hazard identification process. The CSO is also responsible for documenting identified hazards and ensuring that subject matter experts identify the potential consequences of those hazards. Information related to hazard identification and consequence determination is recorded in the NCRTD risk log, which is an Excel spreadsheet that allows for the documentation of all identified safety hazards and the subsequent activities related to addressing those hazards. The CSO maintains the risk log.

The safety hazard identification process helps NCRTD identify hazards and potential consequences in the operation and maintenance of the system. Hazards are identified through a variety of sources, including:

- NCRTD employee safety reporting;
- Operator Assaults;
- 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 assessments;
- Results of internal safety audits;
- Investigations into safety events, incidents, and occurrences, and;
- FTA, the New Mexico Department of Transportation, and other oversight authority agencies.

The CSO reviews these sources for hazards and documents them in NCRTD's risk log. The CSO also enters hazards into the risk log from reviews of the NCRTD operations and maintenance, results of audits and observations, and information received from FTA and other oversight authorities, including the National Transportation Safety Board.

The CSO may conduct further analysis of hazards and consequences entered into the risk log to collect information, identify additional consequences, and to inform management which hazards should be prioritized for safety risk assessment. In 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, assess the possible hazardous condition/s, generate visual documentation (photographs and/or video), and take any measurements that are 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 (such as records, reports, procedures, inspections, technical documents, etc.);
- Contact other departments that may have an association with or technical knowledge relevant to the reported hazard;
- Review any previously-reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.



Any identified hazard that poses a real and immediate threat to life, property, or the environment is immediately brought to the attention of the Accountable Executive and addressed through the SRM process (with or without the full Safety Committee) for safety risk assessment and mitigation. This signifies the CSO's belief that immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of the Environmental Protection Agency or NMDOT environmental protection standards. Otherwise, the Safety Committee prioritizes hazards for further SRM activity.

NCRTD involves subject matter experts in safety hazard identification processes by matching the experience and expertise of the individual(s) with the type of hazard to be analyzed. For example, if the hazard is operations related, then the primary subject matter experts will be from operations; if the hazard is vehicle maintenance related, that type of hazard requires vehicle maintenance expertise and skills.

Determination of the potential consequences of hazards drives our safety risk assessment activities. Hazards in and of themselves do not cause damage. It is the consequences of hazards that cause injuries and death, destroy property, harm the environment, or impair the ability of a transit provider to deliver transit services. NCRTD subject matter experts identify the potential consequences of hazards, keeping in mind that a single hazard could have many potential consequences. Each potential consequence is identified and recorded.

The CSO is responsible for ensuring that hazards and their consequences are documented.

Safety Risk Assessment

NCRTD established processes to assess the safety risk associated with identified safety hazards. These safety risk assessment processes include an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations and prioritization of the hazards, based on the safety risk.

Assessing the likelihood and severity of hazard consequences is the first step in prioritizing safety risk. NCRTD established procedures for assessing the safety risk of the consequences of identified safety hazards and prioritizing the hazards based on this safety risk. The agency assesses safety risk in terms of likelihood (the probability of a consequence occurring) and severity (the seriousness of a consequence, if it does occur). A color-coded safety risk index provides a rating system to use with a safety risk assessment matrix to prioritize safety risk. The safety risk assessment matrix helps us determine the probability and severity of consequences and allows for prioritization of safety risk. The safety risk assessment risk matrix used by NCRTD is presented in Appendix E.

NCRTD chooses subject matter experts to involve in safety risk assessment by matching the experience and expertise of subject matter experts with the type of hazard under assessment. This assessment is carried out under the guidance of the CSO using NCRTD's safety risk assessment matrix.

Safety risk prioritization is linked to safety risk mitigation creation. Prioritizing our safety risk provides the Accountable Executive with the information needed to make decisions about resource application. It helps NCRTD apply its limited time, financial, and human resources to the highest priority transit safety risk.



The Accountable Executive is the ultimate decision-maker on applying resources to mitigate high priority transit safety risk. Therefore, high priority transit safety risks are communicated to the Accountable Executive. NCRTD defined and documented this process that includes criteria for when high priority transit safety risks need to be elevated to the Accountable Executive. The CSO is responsible for communicating high priority safety risk to the Accountable Executive.

Safety Risk Mitigation

Developing safety risk mitigations to proactively reduce the agency's safety risk is the culmination of the safety risk management process. NCRTD has established processes to identify mitigations or strategies necessary, as a result of its safety risk assessment activities, to reduce the likelihood and severity of its consequences. The CSO is responsible for guiding and overseeing the subject experts during the risk mitigation process at NCRTD. The Accountable Executive approves safety risk mitigations requiring additional resources or changes in agency policy.

NCRTD established procedural steps for creating safety risk mitigations to address the potential consequences of its prioritized risk. The steps include how NCRTD determines when safety risk mitigation is necessary, and the job function(s) or position(s) that is responsible for creating mitigations. Within these procedural steps, NCRTD references any forms, to create mitigations and describes how it records the results of this activity and where these recorded results are stored or maintained. NCRTD understands that the goal of a mitigation is to reduce assessed safety risk to an acceptable level. It is unrealistic that a transit agency can assume that it will be able to completely eliminate all safety risk.

NCRTD's safety risk mitigation steps include:

- Examining the consequences of hazards and their probability and severity
- Developing strategies to reduce the probability and/or severity of those consequences
- Ensuring the strategy can be implemented with available resources
- Turning the strategy into a mitigation plan
- Implementing the mitigation
- Creating a plan for monitoring the effectiveness of the mitigation

After creating a safety risk mitigation, NCRTD, under the guidance of the CSO, and with the involvement of subject matter experts, develops and documents a strategy for implementing the mitigation. These implementation strategies include:

- who is responsible for implementing the mitigation;
- where the mitigation will reside within agency activities;
- how the mitigation will be implemented, and;
- how long implementation should take.

NCRTD takes steps to ensure that mitigations put in place are working. Under the direction of the CSO, the SMEs involved in creating a safety risk mitigation also decide on the best ways to monitor the effectiveness of the implemented mitigation. The way the mitigation will positively impact safety performance is defined, documented, and used as the measure to determine the effectiveness of the mitigation. These strategies provide consistency in monitoring activities regardless of whether the mitigation is implemented in operations, maintenance, or administration.

NCRTD understands that successful mitigation implementation and monitoring activities depend on



having a process for how it formally communicates mitigation and monitoring strategies to operations, maintenance, or administration staff who implement and monitor the mitigations. NCRTD has documented this process under the guidance and facilitation of the CSO. This communication feeds cross-functional ownership in SMS processes since employees who create the mitigations may not be the same employees that implement and monitor the mitigations.

Strong documentation of safety risk mitigations feeds safety performance monitoring. NCRTD has established and documented how it records all of its various safety risk mitigation activities and their outcomes. Within this process, NCRTD references any forms that it uses during safety risk mitigation activities and where the completed records of safety risk mitigation activities are stored.



6. Safety Assurance

NCRTD has established processes to:

- Monitor its operations for compliance with and sufficiency of its policies and procedures;
- NCRTD performs minor in house vehicle maintenance and works with external vehicle maintenance providers to ensure that they are performing maintenance which is consistent with NCRTD's ability to safely meet its operational requirements;
- Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or that were not implemented as intended;
- Conduct investigations of safety events to identify causal factors, and;
- Monitor the effectiveness of its employee safety reporting program.

Safety Performance Monitoring and Measurement

NCRTD has many processes in place to monitor its entire transit system for compliance with operations and maintenance procedures, including:

- Safety audits;
- Informal inspections;
- Regular review of random on-board camera footage to assess operator performance and unreported incidents or accidents, including District policy or safety violations, traffic violations;
- Investigation of passenger or customer complaints, including video footage reviews, GPS data review, interviews with drivers or other staff;
- Investigation of minor and major vehicle accidents, including video footage review, accident site assessment;
- Random vehicle pre-trip inspections, to ensure compliance with safety expectations;
- Field observations of route performance, operators driving and facilities inspections;
- Safety surveys;
- 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, and;
- Regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends both quarterly and annually by the CSO to determine where NCRTD needs to take corrective actions. The CSO enters any identified non-compliant or ineffective activities, including any resulting mitigations, back into the SRM process for reevaluation by the Safety Committee.

Operations Monitoring

The CSO and operations management supervision are jointly responsible for ensuring and documenting the system's compliance with, and sufficiency of its operations policies and procedures. NCRTD has developed checklists and forms that it uses to drive and document its operations monitoring activities. This documentation is stored within NCRTD's safety performance monitoring files located at its NCRTD Headquarters in the CSO's office.

Monitoring of compliance with policies and procedures is carried out at each of NCRTD's operating locations, located at 1327 North Riverside Drive in Espanola, 1032 Dea Lane in Taos, in Chama, Penasco, Edgewood, and in Santa Fe. Monitoring activities at these locations is primarily carried out by the



supervisors and lead operators. However, additional monitoring is carried out by the Transit Operations Director, the Transit Manager, and the NCRTD Chief Safety Officer. The operational areas that are monitored for compliance with policies and procedures include but are not limited to:

- Bus operator pre-trip inspections;
- Bus operator behind the wheel performance;
- Bus operator passenger assistance;
- Transit Shift Supervisor and Dispatch shift reports.
- Bus operator emergency response, and;

When NCRTD's monitoring activities determine a lack of compliance with operations policies and procedures or inadequacies of those policies and procedures, it then uses this information to feed NCRTD's hazard identification and safety risk assessment process.

Within these documented processes, NCRTD describes:

- the job functions responsible for the different areas of field observations;
- how it records the results of field observations;
- where these records are stored, and;
- how it addresses hazards or safety issues identified during field observations.

NCRTD has established and documented emergency procedure checklists that supervisors and dispatchers can readily access to help direct their response to bus operators who may experience an emergency during revenue service. These procedures include, but are not limited to:

- responding to accidents and incidents;
- responding to passenger injury or illness;
- responding to bomb threats and suspicious packages;
- evacuating a vehicle under smoke and fire conditions, and;
- responding to a potentially dangerous passenger.

Vehicle Maintenance Monitoring

NCRTD uses external maintenance providers, under a formal relationship, for maintenance activities related to vehicles operated out of its Espanola, Santa Fe, and Chama sites. Limited vehicle maintenance is conducted inhouse for Taos, Penasco, and Cerro. NCRTD has established relationships with maintenance providers and regularly works to ensure that maintenance on all NCRTD vehicles meets industry safety standards in terms of both preventive and corrective maintenance.

NCRTD monitors the following areas within both internal and external vehicle maintenance. It documents all monitoring activities and their results:

- Adherence to preventive maintenance schedules;
- Individual files are kept for all vehicles;
- Files include maintenance work orders, work completed, vehicle recalls, invoices, and PM checklists;
- Maintenance-related vehicle road calls;
- Effectiveness of corrective maintenance activities.

Facility Safety Inspections

The NCRTD conducts periodic and documented facility safety inspections of both of its facilities. NCRTD responds to safety issues identified during facility safety inspections. Facilities staff complete monthly



facility checklists for buildings and daily bus shelter checklists for shelter maintenance performed.

Fire Hazard and Fire Extinguisher Inspections

Local fire departments conduct periodic fire hazard inspections at both the Espanola and Taos facilities. The Town, City, or the County address fire hazards identified at either of these facilities. NCRTD Staff periodically inspect fire extinguishers mounted in facilities. If an issue is identified with the fire extinguisher, it is immediately recharged or replaced.

NCRTD uses a contractor to periodically inspect the functionality of on-board fire extinguishers and replace extinguishers as needed. These inspections are documented and take place annually, when the vehicles are available for the inspections, as they are not in revenue service.

Hands-on Fire Extinguisher training was completed in January 2019 for all Operations staff on the safe usage of fire extinguishers. Classroom training was also included as part of this training, detailing the difference between fire extinguishers types.

Field Observations of Service Delivery

NCRTD has documented processes that it uses to conduct field observations of safety-related aspects of the following elements of service delivery:

- bus stops;
- bus transfer locations;
- fixed-route schedules and service delivery;
- paratransit/demand response scheduling and service delivery;
- commuter bus schedules and service delivery; and
- Transit Route Supervisors out into the field to assess Operator performance, policy compliance, and overall route performance.

The Transit Manager has overall responsibility to ensure that this monitoring is carried out and documented. Further, if deficiencies are noted during the monitoring process, these deficiencies are documented and addressed as a source of proactive hazard identification through NCRTD's safety risk management processes. All these service delivery monitoring activities are documented and on file in the CSO's office at the NCRTD Headquarters.

Risk Mitigation Monitoring

The CSO is ultimately responsible for monitoring operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. The actual field monitoring of the mitigations is often carried out by subject matter experts, including those that assisted in the creation of the mitigation of the SRM process.

NCRTD documents how it carries out these monitoring strategies to periodically assess the effectiveness of safety risk mitigations.

Activities to monitor the effectiveness of safety risk mitigations ultimately assist NCRTD in determining whether:

- the existing mitigation is working as desired;
- the existing mitigation needs some modification to work as desired;
- the existing mitigation is not working and needs replacing, or;



- the existing mitigation is no longer needed.

The results of mitigation monitoring activities are made available for further safety risk management activity if needed. Mitigation monitoring documentation is on file at NCRTD Headquarters in the CSO's office.

Safety Event Investigation

The Transit Manager and the CSO share responsibility for NCRTD's safety event investigation process. Actual performance of safety event investigation, including identifying causal factors, involves not only the CSO and Transit Operations Director but also Transit Supervisors and the Fleet Manager. Local law enforcement responds to accident scenes, as well.

Safety event records provide critical baseline information to support SMS implementation, operation, and safety performance target achievement.

NCRTD has documented procedures for safety event investigation. NCRTD has forms, consistent with industry standards, for documenting the results of safety events as well as the subsequent investigation. Safety event documentation is on file at the NCRTD Headquarters in the CSO's office.

After a safety event investigation is complete, the Safety Committee, with input from Transit Supervisors, Fleet Manager, and the Transit Manager, determines whether the safety event was preventable or non-preventable and based on that decision, whether discipline of employees involved is required. The committee also looks at insufficient or inadequate training, supervision, equipment, or poor bus stop placement.

NCRTD takes the process a step further and performs causal analysis of safety events to help determine if latent organizational factors, beyond individual employee behavior, may have contributed to the event. The results of causal analysis are documented on a causal analysis form. Records of the results of the causal analysis are on file at the NCRTD Headquarters in the CSO's office.

Results of this analysis for causal factors provide potential hazard identification information that may need to be put through NCRTD's safety risk management process to reduce the potential risk of recurrence of a similar accident or incident.

Monitoring the Employee Safety Reporting Program

An effective ESRP supports hazard identification. The NCRTD CSO has ultimate responsibility for monitoring the transit agency's internal ESRP.

NCRTD has established and documented the activities it uses on an ongoing basis to monitor whether its ESRP is effective and achieving desired outcomes. Within this process, NCRTD has established criteria that determine if the program is performing as desired. Some of the criteria include:

- the volume of reports received,
- value of reports received,
- response to reports received in terms of hazard identification risk assessment and risk mitigation,
- how information gathered from the ESRP is shared and communicated, and
- the timeliness and accuracy of feedback provided to employees who have reported a safety



issue, concern, or condition.

Documentation on all aspects of monitoring NCRTD's safety reporting program is on file at NCRTD Headquarters in the CSO's office.

Safety Performance Measurement

NCRTD is committed to periodically measuring its safety performance. This measurement includes using not only using safety performance indicators to measure the achievement of our safety performance targets but also how well we do in addressing safety risk within every aspect of our service delivery. Documentation of periodic performance measurement results is on file at NCRTD Headquarters in the CSO's office.



7. Safety Promotion

Competencies and Training

Under the guidance of the Accountable Executive and the CSO, the Transit Operations Director and the Transit Manager have the day-to-day responsibility for the development, delivery, and documentation of all SMS-related safety skill competencies and SMS training.

NCRTD has established competencies and training for all personnel directly responsible for safety. This includes the development and delivery of training for both NCRTD employees. Training is provided to employees at-hire and on an ongoing refresher basis.

Training Needs Analyses

NCRTD periodically conducts training needs analyses to ensure that its training is up-to-date and addresses critical, safety-related concerns. It carries out these training needs analyses by doing the following:

- Reviewing existing job descriptions;
- Identifying which positions, have direct responsibility for determining when safety training is needed;
- Determining what SMS roles, responsibilities, and processes are missing from job descriptions, and;
- Updating job descriptions to reflect SMS practices.

New-Hire Bus Operator Training Program

NCRTD has recently updated and expanded its Driver Academy training program. NCRTD created comprehensive lesson plans for new-hire, classroom, and hands-on bus operator training. Continuation of skills training helps NCRTD identify hazards, such as training gaps or outdated lesson plans.

NCRTD compiled its Driver Academy lesson plans and training schedules into one master instructor guide. Lesson plans and schedules not only assist the instructor in delivering the training but also provide a record of the content of the training should it be needed for any other purpose. All NCRTD Driver Academy lesson plans and schedules on file at the NCRTD Headquarters in the Transit Manager's office.

Training is conducted by the Transit Manager with assistance from the Lead Operators as needed. The program is eight weeks in length, including the CDL training.

Content of the new-hire bus operator training program includes but is not limited to:

- Equipment familiarization
- Defensive driving
- Pre- and post-trip inspection procedures
- Reporting vehicle defect procedures
- Radio communication
- Fare management
- Customer service and sensitivity



- Passenger assistance and securement
- Managing aggressive/dangerous passenger behavior
- Safety equipment requirements
- Safety event management and reporting
- Emergency evacuation procedures
- Route knowledge

Bus Operator Refresher Training

NCRTD presently provides periodic bus operator refresher training on a variety of topics, including defensive driving, bloodborne pathogens, wheelchair securement, passenger relations, customer support and sensitivity, service animals, and emergency procedures.

NMDOT mandates certain refresher training initiatives for all transit agencies that it has responsibility for in the State. NCRTD has lesson plans, agendas, and sign-in sheets to document the content of refresher training and individual attendance at that training. These documents are on file at the NCRTD Headquarters in the Transit Managers office.

Transit Operations Director, Transit Manager, Fleet Manager, Supervisors, Dispatchers, and Fleet and Facilities staff receive the same refresher training as Bus Operators.

NCRTD also provides retraining for Bus Operators for performance deficits. If an Operator has accountability relating to a safety event or customer complaint the Operator is retrained. All retraining documentation is signed by the employee and Transit Manager and filed in the Operator personnel file.

Operations Supervisors and Dispatch Training

Supervisors and dispatchers play a critical role in identifying and responding to hazards and helping proactively and reactively mitigate risk. Training for supervisors and dispatchers primarily consists of mentoring, coaching, and on-the-job training.

Mentoring, coaching, and on-the-job training are very appropriate training approaches, but ones that need to be guided by a structured agenda of topics. NCRTD has developed checklists with topics for experienced supervisors and dispatchers to use during on-the-job training, coaching, and mentoring of trainees.

These checklists are also used to document an employee's satisfactory completion of the training and include instructor and trainee signatures and the dates the training took place. These documents are on file at the NCRTD Headquarters in the Transit Manager's office.

SMS Orientation

A cross-functional and multi-level understanding of SMS supports all SMS-related activities. Successful SMS implementation and operation require employee involvement and ownership at every level of the agency and within every service-delivery related function. Employees need to understand SMS; what their role is within SMS; and how they, the organization, and customers benefit from SMS success. This knowledge nurtures employee "buy-in."

NCRTD presented SMS orientation sessions for all employee functions and addressed the implications of



SMS for all agency functions. This initiative addressed SMS with experienced employees. NCRTD has also plugged information on SMS into all new-hire employee orientations. Documentation of these orientations, including agenda of topics covered, signatures of trainer/trainee, are on file at NCRTD Headquarters in the Transit Manager's office.

Safety Risk Management Orientation for Subject Matter Experts

Successful proactive safety risk mitigation begins with subject matter experts who have a clear understanding of their responsibilities and the skills required to carry them out.

Employees who participate in safety risk management activities as subject matter experts need to understand how to carry out their responsibilities. The Chief Safety Officer makes sure that employees identified in this plan are orientated on their safety risk management responsibilities, the desired outcomes of safety risk management activities, and the importance of the effort to NCRTD's safety performance.

Documentation of the orientation process, as well as the orientations themselves, includes how the agency:

- assesses hazards for consequences;
- conducts safety risk assessments, and;
- creates safety risk mitigations.

Documentation of this ongoing activity is on file at the NCRTD Headquarters in the Transit Manager's office.

Safety Performance Monitoring Orientation

An agency's overall positive safety performance reflects the quality of safety performance monitoring. Employees who participate in safety performance monitoring activities need to know how to carry out their responsibilities. The CSO makes sure that these employees receive orientations on what their responsibilities are, the desired outcomes of safety performance monitoring, and the importance of the effort to overall agency safety performance.

Orientations include how to perform monitoring activities of internal operations as well as external maintenance activities. Performance monitoring includes such activities as:

- field observations to ensure policies and procedures are being followed correctly;
- assessing and documenting employee safety performance;
- monitoring the effectiveness of safety risk mitigations, and;
- evaluating the effectiveness of the employee safety program.

Documentation of these activities is on file at NCRTD Headquarters in the Transit Manager's office.

Orientation on Employee Safety Reporting Program

An effective ESRP is one of the most important tools for hazard identification.

NCRTD's ESRP, at a minimum, provides the following information:

- the purpose and benefits of the program;
- guidelines on the types of safety concerns and issues employees should report;



- the reporting methods available to employees (how to report);
- an explanation of how the information is managed and shared;
- the protections for employees who report safety concerns;
- a description of the operational behaviors that are not protected and may result in discipline, and;
- the agency's commitment to providing feedback on reported safety concerns.

Agendas of the ESRP orientation and attendance records are on file at the NCRTD Headquarters in the CSO's office.

Orientations occur as part of the new-hire employee training program. Initial orientations and subsequent orientations for updates to the program are held during the August regular Quarterly All-Staff meetings.



Training Documentation

Training documentation is a source of hazard identification.

Training documentation provides formal proof that employees were trained and shows that employees received timely certification and recertification in critical skill areas. Up-to-date training documentation also assists NCRTD in forecasting future training schedules.

NCRTD Training documentation includes:

- records of training needs analysis for lesson plan development;
- curricula for initial and refresher training;
- training schedules and records of all completed training;
- procedures for revising training materials;
- course assessment materials, and;
- copies of individual employee training records.

NCRTD Records of course completion include:

- date the training was held;
- content covered during the training session;
- length of the session;
- training format, and;
- signatures of instructor and trainee.

Records of training documentation and course completion are on file at the NCRTD Headquarters in the Transit Managers office.

Training Monitoring

Monitoring skill training helps identify hazards, such as training gaps or outdated lesson plans.

NCRTD monitors its training to ensure effectiveness. Specifically, the training monitoring process addresses the following:

- ensuring training delivers the necessary SMS skills and information;
- establishes a process for reviewing and revising training courses and considers review frequency, reviewers, and decision-making process for revisions.

Safety Communication

The CSO is ultimately responsible for ensuring the distribution and communication of safety and safety performance information throughout NCRTD. The CSO is assisted in this responsibility by appropriate managers and supervisors.

Safety communication provides a foundation to build SMS processes and activities. NCRTD has ensured that all of its employees are aware of information relevant to their safety-related roles and responsibilities. This information includes explanations of changes to policies, activities, or procedures.



NCRTD has documented its overall approach to safety communication and supporting safety communication activities. This documentation is on file at the NCRTD Headquarters in the CSO's office.

In general, NCRTD's documentation of safety communication includes details about:

- objectives of the communication;
- content;
- target audience;
- format;
- frequency of the communication, and;
- ways to ensure communication was understood.

Safety Meetings

An effective employee safety meeting process provides a strong platform for safety-related communication and dialogue, identification of safety hazards, concerns, and issues, and the delivery of refresher training.

NCRTD holds regular employee safety meetings, which can include safety-related refresher training. Agendas for these meetings are comprehensively documented.

NCRTD's documentation of its safety meeting process includes:

- how often it schedules employee safety meetings;
- the job functions that are required to attend meetings;
- how it chooses topics to discuss during the meetings, and;
- how it addresses those topics within the employee safety meeting.

Organization-Wide Communication of Safety Hazard and Safety Risk Information

A goal of safety risk management processes is to reduce safety risk for employees and customers. Safety-sensitive employees are always vulnerable to the consequences of safety hazards within the transit environment. Timely reporting to employees of newly identified safety hazards and the safety risks those hazards present can help reduce that vulnerability.

NCRTD communicates safety issues, reminders, and topics through the monthly employee newsletter.

NCRTD has procedures for communicating hazards. The documentation of these procedures is on file at the NCRTD Headquarters in the CSO's office. The CSO is responsible for making sure this communication takes place.

Communication about Safety Risk Mitigations

NCRTD is committed to informing employees at every level of operations about the safety risk mitigations it is putting into effect. The reasons we provide this information are:

- to tell employees that the transit agency is doing all it can to reduce risk;
- to bring attention to employee roles and responsibilities that may be affected by new mitigations, and;



- informed employees are better situated to be a source of information on determining how well mitigations are working.

NCRTD documented its procedures for communicating safety risk mitigations to employees, along with who is responsible for making sure this communication takes place. This documentation is on file at NCRTD Headquarters in the CSO's office. The CSO and the Transit Operations Director share responsibility for making sure that this communication takes place.

Organization-Wide Communication of Agency Safety Performance

Transit agencies implement SMS to help them continuously improve their safety performance. Communicating agency safety performance information promotes employee "buy-in" to SMS processes, thus further improving the agency's overall safety performance.

NCRTD employees should have ownership of safety. To reinforce this ownership, NCRTD periodically communicates statistics on the agency's overall safety performance to all employees, regardless of job function. This includes providing information on NCRTD's status related to achieving its safety performance targets.

Safety data is communicated to staff every six months. NCRTD has documented how it communicates safety performance information throughout its organization. This documentation is on file at NCRTD Headquarters in the CSO's office. The Accountable Executive is responsible for taking the lead on this communication and making sure that it takes place.



Additional Information

NCRTD maintains documents that describe the programs, policies, and procedures it uses to carry out its Agency Safety Plan. It also maintains documents not included or referenced elsewhere in this safety plan related to the implementation of the transit agency's SMS, as well as results from SMS processes and activities.

These documents are maintained for at least three years after their creation and made available upon request by the FTA, other federal entities, or the NMDOT. The CSO is the primary point of contact for providing Agency Safety Plan-related information to external agencies to ensure access to these documents.



Appendix A: 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; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

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 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.

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 (see also Safety Event).

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(14).

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

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



Public Transportation Agency Safety Plan means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

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

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

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

Safety Event means any Accident, Incident, or Occurrence (see also Event).

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

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

Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.

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

Safety Risk Management means a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

Small public transportation provider means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

State means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana



Islands, Guam, American Samoa, and the Virgin Islands.

State of good repair means the condition in which a capital asset is able to operate at a full level of performance.

Transit agency means an operator of a public transportation system.

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



Appendix B: Acronyms and Abbreviations

Acronym or Abbreviation	Meaning
ASP	Agency Safety Plan
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
NCRTD	North Central Regional Transit District
NMDOT	New Mexico Department of Transportation
MPO	Metropolitan Planning Organization
PTASP	Public Transportation Agency Safety Plan
SMPS	Safety Management Policy Statement
SMS	Safety Management System
SRM	Safety Risk Management



Appendix C: NCRTD Board of Directors ASP Approval Documentation



Appendix D: Certification Documentation



Appendix E: NCRTD Safety Risk Assessment Matrix

Risk Assessment Matrix				
SEVERITY LIKELIHOOD	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	High	Medium
Probable (B)	High	High	Medium	Medium
Occasional (C)	High	Medium	Medium	Low
Remote (D)	Medium	Medium	Low	Low
Improbable (E)	Medium	Low	Low	Low


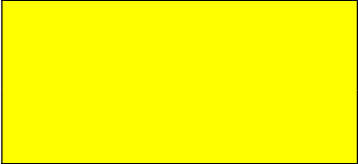

Severity of the Consequence		
Definition Category	Meaning	Value
Catastrophic	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact that violates law or regulation, or monetary loss equal to or exceeding \$250,000.	1
Critical	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least one person, property damage exceeding \$25,000 but less than \$250,000, system shut down lasting between 10 minutes and 4 hours, or reversible significant environmental impact causing a violation of law or regulation.	2
Marginal	Could result in one or more of the following: injury or occupational illness resulting in one or more lost work day(s), reversible moderate environmental impact without violation of law or regulation, or monetary loss up to \$25,000, or system shutdown of less than 10 minutes	3
Negligible	Could result in one or more of the following: injury or occupational illness not resulting in a lost work day, minimal environmental impact, or monetary loss less than \$25,000.	4



<i>Qualitative Definition</i>	<i>Meaning</i>	<i>Value</i>
Frequent	Likely to Occur Frequently - more than once per month	A
Probable	Likely to Occur less than once per month but more than once per year	B
Occasional	Likely to Occur less than once per year but more than once per decade	C
Remote	Very Unlikely to Occur - once in the life of the system	D
Improbable	Almost inconceivable that the event will occur in the life of the system	E

Safety Risk Levels

Risk Assessment Matrix Color Code

<i>"Tolerability" based on identified severity and likelihood.</i>	
	Unacceptable under the existing circumstances.
	Acceptable based upon mitigations; monitoring is necessary.
	Acceptable under existing circumstances; with senior management approval.



Appendix F: NCRTD Organizational Chart

