



**City of Racine Transit System**

# Public Transportation Agency Safety Plan

WISCONSIN DEPARTMENT OF TRANSPORTATION (WisDOT)  
Division of Transportation Investment Management (DTIM)  
Bureau of Transit, Local Roads, Railroads and Harbors (BTLRRH)



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The WisDOT Public and Specialized Transit section, in collaboration with several local partners and stakeholders, created the WisDOT Public Transportation Agency Safety Plan template to fulfill its regulatory requirements under 49 CFR Part 673.

Once a provider completes its own plan (based on WisDOT's template), the provider is responsible to carry out the plan.

**49 CFR 673.11(d)**

A State must draft and certify a Public Transportation Agency Safety Plan on behalf of any small public transportation provider that is located in that State. A State is not required to draft a Public Transportation Agency Safety Plan for a small public transportation provider if that agency notifies the State that it will draft its own plan. **In each instance, the transit agency must carry out the plan.** If a State drafts and certifies a Public Transportation Agency Safety Plan on behalf of a transit agency, and the transit agency later opts to draft and certify its own Public Transportation Agency Safety Plan, then the transit agency must notify the State. The transit agency has one year from the date of the notification to draft and certify a Public Transportation Agency Safety Plan that is compliant with this part. The Public Transportation Agency Safety Plan drafted by the State will remain in effect until the transit agency drafts its own Public Transportation Agency Safety Plan.

# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN for City of Racine – RYDE Racine

## TRANSIT AGENCY INFORMATION

<b>Transit Agency</b>	<b>Name</b>		<b>Address</b>	
	City of Racine Transit –RYDE Racine		1900 Kentucky St. Racine, WI. 53405	
<b>Accountable Executive</b>	<b>Name</b>		<b>Title</b>	
	Trevor Jung		Transit & Mobility Director	
<b>Chief Safety Officer</b>	<b>Name</b>		<b>Title</b>	
	Tony Nesbitt		Operations and Safety Supervisor	
<b>Mode(s) of Service Covered by This Plan:</b>			<b>List All FTA Funding Types (e.g., 5307, 5337, 5339):</b>	
Fixed Routes			5307, 5339	
Paratransit Service			5307, 5339	
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>				
Fixed Route				
Paratransit				
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	<b>Yes</b>	<b>No</b>	<b>Description of Arrangement(s)</b>	
		X	N/A	
<b>Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	<b>Name</b>		<b>Address</b>	

## PLAN DEVELOPMENT, APPROVAL, AND UPDATES

<b>Signature by the Accountable Executive</b>	<b>Name</b>		<b>Date of Signature</b>	
	Trevor Jung			
	<b>Signature</b>			
			00/00/0000	
<b>Approval by Board of Directors (or Equivalent)</b>	<b>Approving Entity</b>		<b>Date of Approval</b>	
	Transit Commission			
	<b>Signatures</b>			
	See Transit Commission minutes for approval in Appendix J.			00/00/0000



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## DEFINITIONS AND ACRONYMS

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

**Accident** means an “event”, as defined below, that involves any of the following:

1. A loss of life,
2. A report of a serious injury to a person,
3. A collision of public transportation vehicles,
4. An evacuation for life safety reasons, or
5. Any collision with a fixed object

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

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

**Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors, for a recipient or 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** or “Safety Event” means an “accident”, as defined above, or “incident” or “occurrence” (each as defined below).

**FTA** means the Federal Transit Administration, an agency within the United States Department of Transportation.

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

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

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

**Investigation** means the process of determining the causal and contributing factors of an “accident”, “incident”, or “hazard” (each as defined here), for the purpose of preventing recurrence and mitigating risk.

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

**Occurrence** means an “event” (as defined above), without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

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

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

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

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

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

**Safety performance target** means a Performance Target related to safety management activities.

**Safety Promotion** means a combination of training and communication of safety information to support an SMS.

**Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

**Safety Risk Management** 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 a document describing 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.

CFR	-	Code of Federal Regulations
CSO	-	Chief Safety Officer
FTA	-	Federal Transit Administration
MAP-21	-	Moving Ahead for Progress in the 21st Century
NTD	-	National Transit Database
PTASP	-	Public Transportation Agency Safety Plan
SGR	-	State of good repair
SMS	-	Safety management system
SOP	-	Standard operating procedure
TAM	-	Transit asset management
U.S.C.	-	United States Code

# BACKGROUND

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The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Act grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive regulatory framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, MAP-21 requires certain recipients of FTA Chapter 53 funding to develop and implement a Public Transportation Agency Safety Plan (PTASP).

In addition to greater safety oversight responsibilities, MAP-21’s grant of expanded regulatory authority puts FTA in a position to provide guidance to transit agencies that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety that promotes awareness and responsiveness to safety risks. The framework to this approach is called a safety management system (SMS), which moves the transit industry towards a more holistic, performance-based approach to safety. The SMS framework has been adopted by FTA in its National Public Transportation Safety Plan (“national safety plan”).

The PTASP for RYDE Racine supports and is consistent with an SMS approach to safety risk management. SMS is an integrated collection of policies, processes, and behaviors meant to ensure a formalized, proactive, and data-driven approach to safety risk management. The aim of an SMS is to increase the safety performance of transit systems by proactively identifying, assessing, and controlling safety risks. The approach is meant to be flexible and scalable, so that transit agencies of all types and sizes can efficiently meet the basic requirements of MAP-21. The PTASP for City of Racine - RYDE Racine addresses the following elements, outlined in **Table 1** (below):

<input type="checkbox"/> <b>Safety Management Policy Statement:</b>	A policy statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the agency and the board of directors.
<input type="checkbox"/> <b>Document Control:</b>	A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.
<input type="checkbox"/> <b>Core Safety Responsibilities:</b>	A description of the responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.
<input type="checkbox"/> <b>Safety Training Program:</b>	A description of the comprehensive safety training program for agency staff that ensures that staff are trained and competent to perform their safety duties.
<input type="checkbox"/> <b>Safety Risk Management:</b>	A description of the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls.
<input type="checkbox"/> <b>Safety Risks:</b>	A description the most serious safety risks to the public, personnel and property.
<input type="checkbox"/> <b>Risk Control:</b>	A description of the risk control strategies and actions that the agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.
<input type="checkbox"/> <b>Safety Assurance:</b>	A list of defined safety performance indicators for reach priority risk and associated targets the agency will use to determine if it is achieving the specified safety goals.
<input type="checkbox"/> <b>Desired Safety Outcomes:</b>	A description of desired safety outcomes for each risk using the measurable safety performance indicators established.

**Table 1: Elements of a Public Transportation Agency Safety Plan (PTASP)**

# 1 SAFETY POLICIES AND PROCEDURES

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## 1.1 Commitment to Safety

### Policy Statement

RYDE Racine will maintain an active safety management system (SMS) that encourages the open sharing of information on all safety issues. We expect our employees to report their safety concerns to agency management. No employee will be asked to compromise safety to “get the job done.”

Our overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations.

To that end, we will continuously examine our operations for hazards. We will establish a non-punitive employee safety reporting program, train staff on safety management, document our findings and safety risk mitigations, and strive for continuous improvement of our safety performance.

As required by the Federal Transit Administration (FTA), we have established annual safety performance targets to help us measure the safety of our transit service. In addition, to address our overall safety objective, we will conduct hazard identification workshops with all frontline, supervisory, and management personnel during this calendar year. We also will work to increase the annual number of voluntary reports (near misses) received from employees by 10 percent and actively track our safety risk mitigations. To ensure we meet this objective, our safety department will report out each quarter to our entire agency on the number of:

- Hazard identification workshops carried out in the quarter (safety meetings/safety committee meetings);
- Number and type of hazard reports received per employee in the quarter, versus the same quarter last year; and number of reported near misses versus same quarter last year.
- Number and type of safety risk mitigations implemented (actions taken) in the quarter.

Ultimate responsibility for safety at RYDE Racine rests with the Accountable Executive.

Responsibility for making our operations safer for everyone lies with each employee – 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 as part of the PTASP.

## 1.2 Policy Communication

RYDE Racine’s Chief Safety Officer (CSO) will lead our SMS activities, including how the safety management policy is communicated throughout our organization. The CSO will assure distribution of the policy to each employee, and also ensure that copies are posted on bulletin boards in operations, maintenance, and break areas of every facility. RYDE Racine has incorporated review and distribution of the policy statement into new-hire training and all-staff annual refresher training.

RYDE Racine’s safety communication board consist of the following information:

Communication Item	Description	Update/Review
Critical Safety Behaviors	Specific observed hazards that are established by management staff	Updated and posted every Annually
Transit Mutual Insurance Semi Annual Report	Observed critical driving behaviors, accident and incident trends	Updated and posted every six months
Quarterly Safety Committee Meeting Notes and Findings	The safety committee is management lead and is represented by all departments; Operators/operations, Maintenance and Dispatch.	Safety findings/notes are reviewed and reported to employees at each quarterly safety meeting
Annual Accident Performance	Annual report on RYDE Racine’s accidents and incidents trends	Updated and reviewed monthly. Trends are reported quarterly
Quarterly Safety Meeting	Highpoints pertaining to safety findings or hazards, miscellaneous information regarding trends, quarterly or annual training	Reviewed quarterly prior to safety meeting
Transit Mutual Safety Message	Valuable Safety messages/posting	Updated Weekly
Safety Awards/Operator’s safety patch/pin incentive program	Annual list of operators with preventable collision or incidents for the current year	Updated and posted annually
Safety Star Program	Monetary safety incentive program through Transit Mutual Insurance	Submitted Monthly. Winners are posted Annually
Near Miss Forms	Notice of possible safety hazard or incidents that are reported by employees	Updated and posted monthly

### 1.3 Annual PTASP Review and Update

RYDE Racine management will review the PTASP annually, update the document as necessary, and implement the changes within a timeframe that will allow the agency to timely submit to any annual or other periodic reviews, including its annual self-certification of compliance. At minimum, annual self-certification will consist of both the Accountable Executive and Board of Directors (or equivalent) signing and dating this document.

Annual review of the PTASP will be conducted by RYDE Racine’s staff the first quarter of each calendar year. Necessary updates outside the annual update window may be handled as PTASP addenda. Reviews of the PTASP and any subsequent updates, addenda, adoption, and distribution activities will be documented in the Activity Log at the beginning of this document.

### 1.4 Organization Structure and System Safety Responsibilities

While the Accountable Executive has the ultimate responsibility for RYDE Racine’s implementation of its PTASP, RYDE Racine’s executive management has the overall responsibility of safe and secure operations of RYDE Racine and contract service operators. Each employee is required to

carry out specific system safety responsibilities, depending on the employee’s position, in compliance with the PTASP.

The information provided in the staff Safety Roles and Responsibilities table (Appendix A) describes each position and general system safety responsibilities, and the agency’s reporting structure.

System Safety Responsibilities (See Appendix A)



# Transit Department Organizational Structure



## 2 SAFETY RISK MANAGEMENT

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### 2.1 Hazard Identification

Establishing an effective hazard identification program is fundamental to safety management at RYDE Racine. Hazard identification can be reactive or proactive in nature: safety event reporting, incident investigation, and trend monitoring are essentially reactive; other hazard identification methods proactively seek feedback through data collection, observation, and day-to-day operations analysis. Common hazard identification activities include:

- Safety assessments
- Trend monitoring
- Hazard and safety event reporting (with causal factor analysis)
- Safety surveys
- Safety audits
- Evaluating customer suggestions and complaints

The number of near-misses, known as “accident precursor data,” is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursor data is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. RYDE Racine employs systematic safety improvements by discovering and learning of potential weaknesses in the system’s safety. Hazard identification focuses on out-of-the-norm conditions that need special attention or immediate action, new procedures, or training to resolve a condition that is unacceptable and return conditions to an acceptable level. RYDE Racine uses a variety of mechanisms for identifying and documenting hazards, namely:

- Through training and reporting procedures, RYDE Racine ensures personnel can identify hazards and that each employee clearly understands that the employee has a responsibility to immediately report any safety hazards identified to the employee’s supervisors. Continued training helps employees to develop and improve the skills needed to identify hazards.
- Upon receiving the hazard report, supervisors communicate the identified hazard to the Chief Safety Officer (CSO) for entry into the risk register for risk assessment, classification and possible mitigation.
- RYDE Racine uses incident reports and records to determine specific areas of training that need to be covered with employees to ensure safety hazard identification is continually improved, and thus ensure that hazards are identified before an event recurrence.
- To increase the safety knowledge of our agency, the CSO, risk management personnel and subject matter experts (Safety Committee) are also encouraged to participate in available professional development activities and peer-to-peer exchanges as a source of expertise and information on lessons learned and best practices in hazard identification.
- Other sources for hazard identification include:
  - Safety Assessment and System Review (Appendix B).
  - Facility Safety and Security Assessment (Appendix C)

### 2.1.1 *Non-Punitive Reporting Policy*

RYDE Racine is committed to the safest transit operating standards practicable. To achieve this, it is imperative that RYDE Racine have uninhibited reporting of all safety events that may compromise safe operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

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

RYDE Racine’s method of collection, recording, and disseminating information obtained from transit safety reports has been developed to protect, to the extent permissible by law, the identity of any employee who provides transit safety information. Safety reports “near miss” forms are submitted to RYDE Racine’s management team when an employee or staff member encounters a near miss or safety hazard. Forms are submitted through an undisclosed lockbox. Forms are placed in all transit vehicles, mechanic’s work areas and dispatch. Employees are encouraged to complete the form and place in it the lockbox. Employee will not be reprimanded for submitting or reporting safety violation regarding “close call” Incidents. Safety hazard reports are reviewed on a weekly basis.

## 2.2 Safety Risk Assessment

Once a hazard has been identified, RYDE Racine will conduct an assessment to determine the potential consequences. Factors to be considered are the likelihood of occurrence, the severity of the consequences (should there be an occurrence), and the level of exposure to the hazard. RYDE Racine will assess risks subjectively by experienced personnel using a risk assessment matrix. Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will continue to be monitored. If the risks are unacceptable, steps will be taken by RYDE Racine to lower the risk to an acceptable or tolerable level, or to remove, avoid, or otherwise eliminate the hazard. The risk assessment is conducted by the CSO and risk management team through the safety committee. The process employs a safety risk matrix, similar to the one presented in figure 1, that allows the safety team to visualize the assessed likelihood and severity, and to help decision-makers understand when actions are necessary to reduce or mitigate safety risk.

Figure 1: Risk Assessment Matrix

Risk Assessment Matrix				
Severity	Catastrophic	Critical	Marginal	Negligible
Likelihood	1	2	3	4
Frequent - A	HIGH - 1A	HIGH - 2A	HIGH - 3A	MEDIUM - 4A
Probable - B	HIGH - 1B	HIGH - 2B	MEDIUM - 3B	MEDIUM - 4B
Occasional - C	HIGH - 1C	MEDIUM - 2C	MEDIUM - 3C	LOW - 4C
Remote - D	MEDIUM - 1D	MEDIUM - 2D	LOW - 3D	LOW - 4D
Improbable - E	LOW - 1E	LOW - 2E	LOW - 3E	LOW - 4E

## 2.3 Safety Risk Mitigation

The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. RYDE Racine will further manage risk by completing a Hazard Assessment Log (Appendix E) that can help prioritize safety risks. The level of risk can be lowered by reducing the severity of the potential consequences, likelihood of occurrence, exposure to that risk, or by some combination.

In general, RYDE Racine will take the following safety actions to mitigate risk – these actions can be categorized into four broad categories, including:

### 1. Physical Defenses:

These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit controls/signals, transit monitoring systems, etc.)

### 2. Administrative Defenses:

These include procedures and practices that mitigate the likelihood of accident/incident (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.)

### 3. Behavioral Defenses:

These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of the agency

### 4. Bloodborne Pathogen Exposure

Racine Transit System, RYDE policy is to comply with all statutory obligations and to apply all known and reasonable procedures to prevent the exposure of its employees to potentially infectious materials. Sources for hazard identification including but not limited to data and information regarding exposure to infectious disease provided by the CDC or a State health authority.

### 5. Transit Worker Assault

National Transit Database (NTD) defines assault as “an unlawful attack by one person on another.” City of Racine Transit conducts annual Transit Worker Assault Training/Conflict Management and De-escalation training in efforts to mitigate violent acts towards its

operators as well as other transit workers. Topics of discussions are Assault Types, Contributing Factors, Conflict Sources, Situational Awareness and de-escalation Tactics.

## 2.4 Safety Risk Prioritization

Once a hazard has been identified and the risk level assessed, RYDE Racine will prioritize safety risks.

A **Prioritized Safety Risk Log (Appendix F)** will be used to organize RYDE Racine’s system’s safety risks. RYDE Racine’s Prioritized Safety Risk Log will identify:

- The priority level for safety risks
- A description of the risk
- Planned mitigation strategies to address the risk
- The outcome of the planned mitigation strategies
- Responsible staff
- A timeline of the planned mitigation strategies
- The status of the prioritized safety risk

The Prioritized Safety Risk Log will be updated frequently to ensure continual progress towards risk reduction.

## 3. SAFETY ASSURANCE

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### Safety Event Investigation – 673.27(b)(3)

RYDE Racine currently conducts investigations of safety events. From a safety assurance perspective, the objective of the investigation is to identify causal factors of the event and to identify actionable strategies that RYDE Racine can employ to address any identifiable organizational, technical or environmental hazard at the root cause of the safety event.

Safety assurance provides the necessary feedback to ensure that the SMS is functioning effectively and that RYDE Racine is meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated, or in other words, what metrics will be used to assess system safety and determine whether the SMS is working properly. Having decided on the metrics by which success will be measured, safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.

### 3.1 Defining Safety Goals and Objectives/Outcomes

Setting safety goals and objectives is part of strategic planning and establishing safety policy for RYDE Racine. Clearly defining safety goals is the first part in creating a safety performance measurement system.

**Safety goals:**

RYDE Racine fosters a safety culture that encourages common safety goals for both management staff and employee. RYDE Racine's goal is to provide:

- a safe work environment;
- free from accidental hazards; and
- free from environmental hazards.

Safety goals are accomplished with Safety Management Systems (SMS) principles in mind. These principles will establish the risks and hazards that we face, how we minimize or eliminate them, assure safety principles are adhered to, and promoting safety through training, and education.

**Safety objectives or outcomes:**

RYDE Racine’s safety objectives are accomplished and gained through a database driven process. We will use the following procedure and tools to establish a systematic database through: safety meetings, internal/external audits, voluntary reports, training and education, as well as planned reviews of data listed in our safety agency plan.

The safety objective/outcome will then be measured by defining specific performance metrics, including a baseline and target, that RYDE Racine will determine is reasonable.

## 3.2 Defining Safety Performance Measures

Performance measurement is the regular systematic collection, analysis, and reporting of data that track resources used, work produced, and whether specific outcomes were achieved. In other words, it is a tool to quantify and improve performance, and engage and communicate with RYDE Racine staff and external stakeholders.

The two core functions of performance measurement include monitoring and evaluating progress. Performance can be measured in terms of inputs, outputs, outcomes, and efficiency, among many other criteria.

RYDE Racine will utilize these basic principles of performance measurement, including:

- Stakeholder involvement and acceptance
- Focus on agency goals and activities
- Clarity and precision
- Creditability and robustness
- Variety of measures
- Number of measures
- Hierarchy of measures
- Forward-looking measures
- Integration into agency decision-making
- Timely reporting
- Understand agency specifics, including context and scale of operations
- Realism of goals and targets

### 3.2.1 Metrics

System safety data will be collected through a variety of sources, including:

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

This safety data will be analyzed and used for development of key safety performance indicators and targets.

RYDE Racine will initially focus on areas based on data delivered to the National Transit Database (NTD), as the following:

- **Fatalities**
  1. Total number of reportable fatalities
  2. Rate of reportable fatalities per total vehicle revenue miles
- **Injuries**
  3. Total number of reportable injuries
  4. Rate of reportable injuries per total vehicle revenue miles
- **Safety Events**
  5. Total number of reportable safety events
  6. Rate of reportable safety events per total vehicle revenue miles
- **System Reliability**
  7. Mean distance between major mechanical failures

These safety performance measures are used to select improvement targets for these four measures and for each mode of transit, in order to encourage improvements and monitor the safety performance of delivering transit services. In addition, RYDE Racine will select additional performance measures and targets, both leading and lagging, to insure continual improvement of our SMS.

### *3.2.2 Safety Performance Targets*

Safety performance targets for RYDE Racine based on the safety performance measures in the previous section, established under the National Public Transportation Safety Plan.

The targets (below) are based on review of the previous 5 years of RYDE Racine’s safety performance data:

Mode of Transit Service	Total Revenue Miles	Fatalities (total)	Fatalities (per 100K VRM)	Injuries (total)	Injuries (per 100K VRM)	Safety Events (total)	Safety Events (per 100K VRM)	System Reliability (VRM / failures)
<b>Fixed Route</b>	999,340.00	0	0	3	0.03	2	0.02	16,118.38
<b>Paratransit</b>	96,621.00	0	0	0	0	0	0	96,621.00

RYDE Racine will make its safety performance measures improvement targets available to applicable state agencies and metropolitan planning organizations (MPOs), and, to the maximum extent practicable, will coordinate with both in the selection of safety performance targets. Targets will be adopted into local Transportation Improvement Plans (TIP) or TIP amendment.

At the first quarter of the year during certifications and reporting process, RYDE Racine will submit any updates to our SPTs to both the MPO and WisDOT (unless those agencies specify another time in writing).

The safety data collected from the above sources will be analyzed for potential safety impacts. Identified areas of concern are reported to appropriate personnel in the form of specific project reports, memos, and recommendations from the safety committee.

Records of system safety data are maintained for a minimum of three years. Certain information, such as safety certification backup documentation is maintained by RYDE Racine’s document control process. In addition to safety data, RYDE Racine maintains other data and documentation of activities required by the PTASP. Distribution of safety-related reports and data is accomplished through the RYDE Racine safety committee.

### 3.3 Monitoring Performance and Evaluating Results

Once safety goals, objectives/outcomes, and measures have been defined, they can be organized into a **Safety Performance Matrix (Appendix G)** or **Safety Performance Outline (Appendix F)**. Organizing information, particularly in a matrix, will allow RYDE Racine to continuously monitor safety performance and evaluate results. RYDE Racine will evaluate safety performance and update documentation at least semi-annually.

RYDE Racine monitors our system for personnel compliance with operations and maintenance procedures and also monitors these procedures for sufficiency in meeting safety objectives. A list of documents describing the safety related operations and maintenance procedures is provided in figure 2.

Management staff monitor employee compliance with RYDE Racine Standard Operating Procedures through direct observation and review of information from internal and external reporting systems. Safety Supervisor will be responsible for tracking, and monitoring safety risk mitigation.

Figure 2: Supporting Documents

File Name	Updated	Name	Responsible Entity
Announce Reviews		Safety Audit	Transit Mutual Insurance
Compliance Review	Biannually	Safety Walk Through	RYDE Racine
Drug/Alcohol Oversight	Quarterly	D&A Process Audit	City of Racine
Unannounced Ride Checks	Random	Driver Ride Check/Evals	Transit Mutual Insurance
Scheduled Ride Checks	Annually	Driver Evaluation	RYDE Racine
New Hire Evaluations	30, 60 & 90 Day	Ride Check/HR New Hire Review	RYDE Racine
Peer Review	Random		RYDE Racine's Safety Committee
Environmental Inspections	Monthly	Safety Walk through	RYDE Racine
Maintenance Procedure Manual	July 2020		RYDE Racine's Lead Mechanic
TAM Plan	Annually	Transit Asset Management Plan	RYDE Racine
MSDS	Quarterly	Hazcom Information	RYDE Racine Safety Supervisor
Operators Guidebook	August 2016	Operators Guidebook	RYDE Racine's Trainer
Policy Book	As Needed		RYDE Racine's HR

### 3.4 Integrating Results into Agency Decision-Making Processes

RYDE Racine is committed to using the data collected and information learned to inform decision-making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, RYDE Racine will work to identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Uses of performance results include:

- Focus attention on performance gaps and trigger in-depth investigations of what performance problems exist
- Help make informed resource allocation decisions
- Identify needs for staff training or technical assistance
- Help motivate employees to continue making program improvements
- Support strategic planning efforts by providing baseline information for tracking progress
- Identify best practices through benchmarking
- Respond to elected officials and the public's demand for accountability

## 3.5 Sustaining a Safety Management System

In order to sustain the SMS, RYDE Racine will ensure that particular processes are employed to instill an organizational foundation. Examples of actions taken to sustain the SMS include:

- **Create measurement-friendly culture:**

All staff, including senior managers, should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. Senior managers will also lead by example and utilize performance metrics in decision making processes.

- **Build organization capacity:**

Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis, and setting goals. Managing staff and the governing board will commit the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.

- **Reliability and transparency of performance results:**

The SMS will be able to produce and report its results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.

- **Demonstrate continuous commitment to measurement:**

Visible commitment to using metrics is a long-term initiative. RYDE Racine will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including transit safety and performance measurement as a standing agenda item at transit commission meetings.

## 4 SAFETY PROMOTION

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### 4.1 Safety Promotion, Culture, and Training

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

#### 4.1.1 *Safety Culture*

Positive safety culture must be generated from the top. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee, with the ultimate responsibility for safety resting with the Accountable Executive. Employees must trust that they will have management support for decisions made in the interest of safety, while also recognizing that intentional breaches of safety will not be tolerated.

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

**A. An Informed Culture**

- Employees understand the hazards and risks involved in their areas of operation
- Employees are provided with the necessary knowledge, training and resources
- Employees work continuously to identify and overcome threats to safety

**B. A Just Culture**

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

**C. A Reporting Culture**

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

**D. A Learning Culture**

- Learning is valued as a lifetime process beyond basic-skills training
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety
- Employees are updated on safety issues by management, and safety reports are fed back to staff so that everyone learns the pertinent lessons

#### *4.1.2 Training*

During the initial implementation of an SMS, specific training will be required for all employees and contract staff, to explain the agency's safety culture and describe how RYDE Racine's SMS works. The Chief Safety Officer is the resource person for providing a corporate perspective on RYDE Racine's approach to safety management.

#### *4.1.3 Safety Promotion*

Management support is essential to developing and implementing SMS. Safety Promotion (SP) includes all aspects of how, why, when and to whom management communicates safety related topics. Safety Promotion also includes when and how training is provided. Listed below are bullet

points that RYDE Racine implements to ensure that safety promotions are executed and communicated to all employees. Safety communication boards are located in the employee areas. In addition, RYDE holds regularly scheduled meetings with operators to ensure that any safety related information is passed along that would affect the execution of the operators' duties. RYDE Racine posts safety related and other pertinent information in a common area for all employees.

RYDE Racines' specific safety promotion activities and processes

Safety Promotion	Description	Responsibility
New Hire Training and Mentoring Program	<ul style="list-style-type: none"> <li>- Eighty hours total training, classroom and behind the wheel</li> <li>- Receives thirty, sixty and ninety-day evaluations</li> <li>- Forty Hours New Hire Paratransit training</li> </ul>	Safety Trainer. As needed
Annual Operators Evaluations /Ride Checks	<ul style="list-style-type: none"> <li>- Announced and Unannounced</li> </ul>	Safety Trainer, Operations Manager and Human Resource. As needed.
Employee Retraining	<ul style="list-style-type: none"> <li>- Employee/operators are scheduled for retraining after all safety incidents. Reviewed and decided by 3-person panel.</li> </ul>	GM, Operation Manager, and Safety Supervisor.
TMI Ride Checks	<ul style="list-style-type: none"> <li>- Unannounced operator ride checks are conducted by Transit Mutual Insurance safety staff</li> </ul>	General Manager, Safety/Trainer.
Annual OSHA Training	<ul style="list-style-type: none"> <li>- Shop safety hand book training</li> <li>- Principles of Risk Management</li> <li>- Hazardous Material Management</li> <li>- Hazardous Communication Review</li> <li>- Safety Data Sheet Training</li> </ul>	Safety/Trainer. Completed Annually
Employee Touchpoints	<ul style="list-style-type: none"> <li>- Two to Three-minute planned coaching interactions or conversations with employees tailored around critical safety behaviors that leads to positive reinforcement</li> </ul>	Management staff Completed Daily
Transit Mutual Insurance Provider	<ul style="list-style-type: none"> <li>- TMI Operator Ride Checks (unannounced)</li> <li>- Safety Star Program</li> <li>- Safety Awards Program</li> <li>- Safety poster and weekly safety messages</li> </ul>	Management staff
Post-Accident/Incident Retraining	<ul style="list-style-type: none"> <li>- Employees are scheduled retraining after all preventable and non-preventable safety events</li> </ul>	Management staff
Employee Scheduled Safety Meetings	<ul style="list-style-type: none"> <li>- Discuss Relevant Updates and Policies</li> <li>- Safety Related Topic and Promotions</li> <li>- Employee Acknowledgements</li> </ul>	Scheduled Each Quarterly

RYDE Racine provides comprehensive training to all employees regarding the employee's job duties and general responsibilities. This training includes safety responsibilities related to the employee's position. In addition, regular employee safety meetings are held to ensure that safety related information is relayed to the key members of our agency's safety processes. Other training processes includes:

- a. Maintenance personnel On-the-job training and external classes
- b. Informal training through
  - i. Staff meetings
  - ii. Webinars
  - iii. Dispatch Training Meeting
- c. Annual FTA Drug/Alcohol Training
  - i. Reasonable Suspicion
  - ii. Testing Requirements
  - iii. Record Management
  - iv. Effects of Drug Abuse
- d. Formal certification from accredited institutions
  - i. On-line Training Classes
- e. Other forms of training include
  - i. Miscellanies training classes provided by Transit Mutual Insurance provider
  - ii. Safety and operational training classes provided by Wisconsin Public Transportation Association (WIPTA)
  - iii. FirstGroup America University

Safety Management training topics may include:

**A. Initial Safety Training for All Staff**

- 1. Basic principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.
- 2. Corporate safety philosophy, safety goals and objectives, safety policy, and safety standards
- 3. Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues
- 4. Organizational structure, roles and responsibilities of staff in relation to safety
- 5. Transit agency's safety record, including areas of systemic weakness
- 6. Requirement for ongoing internal assessment of organization safety performance (e.g. employee surveys, safety audits, and assessments)
- 7. Reporting accidents, incidents, and perceived hazards
- 8. Lines of communication for safety managers
- 9. Feedback and communication methods for the dissemination of safety information
- 10. Safety promotion and information dissemination

**B. Safety Training for Operations Personnel**

- 1. Unique hazards facing operational personnel

2. Seasonal safety hazards and procedures (e.g. winter operations)
3. Procedures for hazard reporting
4. Procedures for reporting safety events (accidents and incidents)
5. Emergency procedures

**C. Safety Training for Management**

1. Principles of the SMS
2. Management responsibilities and accountabilities for safety
3. Legal issues (e.g. liability)

**D. Training for the Safety Officer**

1. Familiarization with different transit modes, types of operation, routes, etc.
2. Understanding the role of human performance in safety event causation and prevention
3. Operation of the SMS
4. Investigating safety events
5. Crisis management and emergency response planning
6. Safety promotion
7. Communication skills
8. Performing safety audits and assessments
9. Monitoring safety performance
10. National Transit Database (NTD) safety event reporting requirements

APPENDICES

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Appendix A – Staff Safety Roles and Responsibilities

Appendix B – Safety Assessment and System Review

Appendix C – Facility Safety and Security Assessment

Appendix D – Risk Assessment Matrix

Appendix E – Hazard Identification and Risk Assessment Log

Appendix F – Prioritized Safety Risk Log

Appendix G – Safety Performance Matrix

Appendix H – Safety Performance Outline

Appendix I – Accident Investigation

Appendix J – Transit Commission Minutes