



## 1. Transit Agency Information

<b>Transit Agency Name</b>	SouthWest Transit		
<b>Transit Agency Address</b>	14405 W 62 <sup>nd</sup> St. Eden Prairie, MN 55346		
<b>Name and Title of Accountable Executive</b>	Len Simich, CEO		
<b>Name of Chief Safety Officer or SMS Executive</b>	Matt Fyten, Director of Operations		
<b>Mode(s) of Service Covered by This Plan</b>	Fixed Route Bus; Demand Response	<b>List All FTA Funding Types (e.g., 5307, 5310, 5311)</b>	5307
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	Fixed Route Bus Demand Response  Driver Services contracted with First Transit		
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	Yes	<input checked="" type="checkbox"/> No	<b>Description of Arrangement(s)</b>  not applicable
<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	not applicable		

## 2. Plan Development, Approval, and Updates

<b>Name of Person Who Drafted This Plan</b>	Matt Fyten, Director of Operations	
<b>Signature by the Accountable Executive</b>	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
		10/29/2020
<b>Approval by the Board of Directors or an Equivalent Authority</b>	<b>Signature of SWT Commission Chair</b>	<b>Date of Approval</b>
	See SWT Commission Resolution # 20-04	10/29/2020
	<b>Relevant Documentation (title and location)</b>	
	SWT Commission Public Transportation Agency Safety Plan Memo and Resolution 20-04	
<b>Certification of Compliance</b>	<b>Name of Individual/Entity That Certified This Plan</b>	<b>Date of Certification</b>
	Metropolitan Council	
	<b>Relevant Documentation (title and location)</b>	

<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan.</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
1		New Document	10/29/2020

## Annual Review and Update of the Public Transportation Agency Safety Plan

*Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.*

SouthWest Transit's (SWT) Agency Safety Plan (ASP) will be reviewed by the Chief Safety Office as well as Executive management by June 1 of each year. The plan will be revised if need be based on data collected and analyzed the year prior. If changes are required, the Safety Plan will be updated and brought to the SouthWest Transit Commission for approval. However, review of safety practices is an ongoing process. As policies and training techniques change throughout the year, they are updated and communicated throughout the organization.

### 3. Safety Performance Targets

#### Safety Performance Targets<sup>1</sup>

*Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.*

Targets below are based on review of the previous 5 years of SouthWest Transit'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 Bus	0	0	1	1	2	1	25,000
Demand Response	0	0	1	1	2	1	53,000

#### Safety Performance Target Coordination

*Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.*

SouthWest Transit's Chief Safety Officer shares SouthWest Transit's ASP, including safety performance targets, with the Twin Cities MPO, the Metropolitan Council. The plan will be shared each year after SouthWest Transit Commission approval. If needed, the Chief Safety Officer will also share the plan with MnDOT.

Targets	State Entity Name	Date Targets Transmitted
---------	-------------------	--------------------------

<b>Transmitted to the State</b>	MN Department of Transportation	10/30/2020
<b>Targets Transmitted to the Metropolitan Planning Organization(s)<sup>2</sup></b>	<b>Metropolitan Planning Organization Name</b>	<b>Date Targets Transmitted</b>
	Metropolitan Council	10/30/2020

## 4. Safety Management Policy

### Safety Management Policy Statement

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

Safety is a core value at SouthWest Transit, and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. SouthWest Transit is committed to the following safety objectives:

- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, and employees.
- Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through SouthWest Transit’s Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Providing appropriate management involvement and the necessary resources to establish an effective ESRP that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing data from the ESRP. (After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.)
- Conduct monthly Driver Safety Meetings where multiple rotating safety topics from SWT’s Emergency Preparedness Plan (EPP) are presented and discussed.
- During the on-boarding process, new SWT employees go through a safety orientation and are provided training on initial OSHA safety topics. New employees are also provided with the required personal protective equipment that is required to conduct their respective position responsibilities in a safe manner.
- Annually establish safety performance targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

*Len Simich*

Len Simich, SouthWest Transit CEO and Accountable Executive

**Safety Management Policy Communication**

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

The Chief Safety Officer, who leads SouthWest Transit's SMS activities, introduced our staff to SMS principles in October 2020 via electronic and printed communication. SouthWest Transit's Safety Management Policy Statement was also distributed to each employee in the form of an electronic communication and/or handout. SouthWest Transit also posts copies of the Safety Management Policy Statement at SouthWest Transit facilities. SouthWest Transit has incorporated review and distribution of the Safety Management Policy Statement into new-hire training and all-staff annual refresher training.

<b>Authorities, Accountabilities, and Responsibilities</b>	
<i>Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's SMS.</i>	
<b>Accountable Executive</b>	<p>The CEO serves as SouthWest Transit's Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> <li>• Controls and directs human and capital resources needed to develop and maintain the ASP and SMS.</li> <li>• Designates an adequately trained Chief Safety Officer who is a direct report.</li> <li>• Ensures that SouthWest Transit's SMS is effectively implemented.</li> <li>• Ensures action is taken to address substandard performance in SouthWest Transit's SMS.</li> <li>• Assumes ultimate responsibility for carrying out SouthWest Transit's ASP and SMS.</li> <li>• Maintains responsibility for carrying out the agency's Transit Asset Management Plan.</li> <li>• Maintains responsibility for carrying out the agency's Emergency Preparedness Plan (EPP).</li> </ul>
<b>Chief Safety Officer or SMS Executive</b>	<p>The Accountable Executive designates the Director of Operations as SouthWest Transit's Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> <li>• Develops SouthWest Transit's ASP and SMS policies and procedures.</li> <li>• Ensures and oversees day-to-day implementation and operation of SouthWest Transit's SMS.</li> <li>• Manages SouthWest Transit's ESRP.</li> <li>• Chairs the SouthWest Transit Safety Committee and               <ul style="list-style-type: none"> <li>○ Coordinates the activities of the committee.</li> <li>○ Establishes and maintains SouthWest Transit's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and</li> <li>○ Maintains and distributes minutes of committee meetings.</li> </ul> </li> <li>• Advises the Accountable Executive on SMS progress and status.</li> <li>• Identifies substandard performance in SouthWest Transit's SMS and develops action plans for approval by the Accountable Executive.</li> <li>• Ensures SouthWest Transit policies are consistent with SouthWest Transit's safety objectives.</li> <li>• Provides Safety Risk Management (SRM) expertise and support for other SouthWest Transit personnel who conduct and oversee Safety Assurance activities.</li> </ul>

<p><b>Agency Leadership and Executive Management</b></p>	<p>Agency Leadership and Executive Management also have authorities and responsibilities for day-to-day SMS implementation and operation of SouthWest Transit’s SMS under this plan. SouthWest Transit Agency Leadership and Executive Management include:</p> <ul style="list-style-type: none"> <li>• Director of Operations,</li> <li>• Director of Finance,</li> <li>• Director of Vehicle and Facilities Maintenance,</li> <li>• Dispatchers,</li> <li>• Human Resources Manager,</li> <li>• Facilities Maintenance Managers,</li> <li>• IT Manager,</li> <li>• Operations Managers and Supervisors.</li> </ul> <p>SouthWest Transit Leadership and Executive Management personnel have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> <li>• Participate as members of SouthWest Transit’s Safety Committee.</li> <li>• Complete training on SMS and SouthWest Transit’s ASP elements.</li> <li>• Oversee day-to-day operations of the SMS in their departments.</li> <li>• Modify policies in their departments consistent with implementation of the SMS, as necessary.</li> <li>• Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.</li> </ul>
<p><b>Key Staff and Activities</b></p>	<p>SouthWest Transit uses the Safety Committee, as well as monthly Drivers’ Safety Meetings, and monthly Vehicles and Facilities safety meetings to support its SMS and safety programs:</p> <ul style="list-style-type: none"> <li>• <b>Safety Committee:</b> Any safety hazards reported will be jointly evaluated by the Safety Committee and the Chief Safety Officer during its bi-monthly meeting. The Safety Committee members include the Accountable Executive, Chief Safety Officer, Director of Vehicle Maintenance, IT Manager, Human Resources Manager, an operations manager, a representative from Facilities Maintenance, who meet bi-monthly to review issues and make recommendations to improve safety.</li> <li>• <b>Drivers’ Meetings:</b> A permanent agenda item in all monthly Drivers’ Meetings is dedicated to safety. Safety issues are discussed and documented.</li> <li>• <b>Vehicles and Facilities Safety Meetings:</b> Led by the Director of Vehicle and Facilities Maintenance, these monthly meetings focus on identifying and addressing and new or ongoing safety hazards related to vehicles and facilities. The issues addressed in these meetings are provided to the Safety Committee where further</li> </ul>

	action is taken, if needed.
<p><b>Employee Safety Reporting Program</b></p> <p><i>Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and, therefore, are excluded from protection).</i></p>	
<p>SouthWest Transit’s ESRP encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. There are many ways employees can report safety conditions:</p> <ul style="list-style-type: none"> <li>• Report conditions directly to a dispatcher.</li> <li>• Report conditions using their name or anonymously by filling out a non-public form at <a href="http://www.swtransit.org/esrp">www.swtransit.org/esrp</a></li> <li>• Report conditions directly to a supervisor, manager, or director.</li> <li>• Report conditions anonymously by filling out a safety comment form and dropping it in a secured lockbox at SWT’s Vehicle and Maintenance facility, which is checked monthly.</li> </ul> <p>Examples of information typically reported include:</p> <ul style="list-style-type: none"> <li>• Safety concerns in the operating environment (for example, a hazardous work environment, or the condition of facilities or vehicles);</li> <li>• Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection);</li> <li>• Events that senior managers might not otherwise know about (for example, near misses); and</li> <li>• Information about why a safety event occurred (for example, radio communication challenges).</li> </ul> <p>On a daily basis, the Dispatcher reviews the dispatch daily Operations Log, checks the dedicated email address, and documents identified safety conditions in the Safety Risk Register. SouthWest Transit’s Chief Safety Officer, supported by the Safety Committee, as necessary, will review and address each employee report, ensuring that hazards and their consequences are appropriately identified and resolved through SouthWest Transit’s SRM process and that reported deficiencies and non-compliance with rules or procedures are managed through SouthWest Transit’s Safety Assurance process.</p> <p>SouthWest Transit’s Chief Safety Officer discusses actions taken to address reported safety conditions during the Safety Committee meetings. Additionally, if the reporting employee provided his or her name during the reporting process, the Chief Safety Officer or designee follows up directly with the employee when SouthWest Transit determines whether or not to take action and after any mitigations are implemented.</p> <p>SouthWest Transit encourages participation in the ESRP by protecting employees that report safety conditions in good faith. However, SouthWest Transit may take disciplinary action if the report involves any of the following:</p> <ul style="list-style-type: none"> <li>• Willful participation in illegal activity, such as assault or theft.</li> <li>• Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk; or</li> <li>• Deliberate or willful disregard of regulations or procedures, such as reporting to work</li> </ul>	





under the influence of controlled substances.

SouthWest Transit's ESRP follows established document retention schedules as outlined in SouthWest Transit's Retention Policy.

## 5. Safety Risk Management

### Safety Risk Management Process

*Describe the Safety Risk Management process, including:*

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

### Safety Risk Management Process

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

SouthWest Transit's Chief Safety Officer leads SouthWest Transit's SRM process, working with SouthWest Transit's Safety Committee to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The results of SouthWest Transit's SRM process are documented in our Safety Risk Register and referenced materials.

SouthWest Transit's SRM process applies to all elements of our system including our operations and maintenance; facilities and vehicles; and personnel recruitment, training, and supervision.

In carrying out the SRM process, SouthWest Transit uses the following terms:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to SouthWest Transit; or damage to the environment. This includes hazardous chemicals.
- **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 SouthWest Transit property or the environment.

### Safety Hazard Identification

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

- ESRP;
- Review of vehicle camera footage;

- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from customers, passengers, and third parties, including SouthWest Transit's transit insurance pool and vendors;
- Safety Committee and Drivers' Meetings;
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities (mandatory information source).

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

SouthWest Transit's Chief Safety Officer also may enter hazards into the Safety Risk Register based on their review of SouthWest Transit's operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

SouthWest Transit's Chief Safety Officer may conduct further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, SouthWest Transit's Chief Safety Officer may:

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

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

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the SRM process (with or without the full Safety Committee) for safety risk assessment and mitigation. This means that the Chief Safety Officer believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of Environmental Protection Agency or any State environmental protection standards. Otherwise, the Safety Committee will prioritize hazards for further SRM activity.

### **Safety Risk Assessment**

SouthWest Transit assesses safety risk associated with identified safety hazards using its safety risk assessment process. This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

The Chief Safety Officer and Safety Committee assess prioritized hazards using SouthWest Transit's Safety Risk Matrix. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a *hazard rating*. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium, or Low, based on the likelihood of occurrence and severity of the outcome. For purposes of accepting risk:

- "High" hazard ratings will be considered unacceptable and require action from SouthWest Transit to mitigate the safety risk,
- "Medium" hazard ratings will be considered undesirable and require SouthWest Transit's Safety Committee to make a decision regarding their acceptability, and
- "Low" hazard ratings may be accepted by the Chief Safety Officer without additional review.

Using a categorization of High, Medium, or Low allows for hazards to be prioritized for mitigation based on their associated safety risk.

The Chief Safety Officer schedules safety risk assessment activities on the Safety Committee agenda and prepares a Safety Risk Assessment Package. This package is distributed at least one week in advance of the Safety Committee meeting. During the meeting, the Chief Safety Officer reviews the hazard and its consequence(s) and reviews available information distributed in the Safety Risk Assessment Package on severity and likelihood. The Chief Safety Officer may request support from members of the Safety Committee in obtaining additional information to support the safety risk assessment.

Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the SouthWest Transit Safety Risk Assessment Matrix, with the Safety Committee. The Chief Safety Officer will document the Safety Committee's safety risk assessment, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. The Chief Safety Officer will maintain on file Safety Committee agendas, Safety Risk Assessment Packages, additional information collection, and completed Safety Risk Register sections for a period of three years from the date of generation.

### **Safety Risk Mitigation**

SouthWest Transit's Accountable Executive and Chief Safety Officer review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Safety Committee. SouthWest Transit can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

Prioritization of safety risk mitigations is based on the results of safety risk assessments. SouthWest Transit's Chief Safety Officer tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Safety Committee during bimonthly meetings and to SouthWest Transit staff upon request.

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

## 6. Safety Assurance

Through our Safety Assurance process, SouthWest Transit:

- Evaluates our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk;
- Assesses the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended;
- Investigates safety events to identify causal factors; and
- Analyzes information from safety reporting, including data about safety failures, defects, or conditions.

### **Safety Performance Monitoring and Measurement**

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

SouthWest Transit 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 onboard camera footage to assess drivers and specific incidents,
- ESRP,
- Monthly Driver Safety Meetings,
- Annual OSHA Audits,
- Monthly Facility Safety and Maintenance Walk-throughs,
- Investigation of safety occurrences,
- Safety review prior to the launch or modification of any facet of service,
- Daily data gathering and monitoring of data related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends quarterly and annually by the Chief Safety Officer to determine where action needs to be taken. The Chief Safety Officer enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee.

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

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

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

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

SouthWest Transit's Chief Safety Officer and Safety Committee also monitor SouthWest Transit's operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

*Describe activities to conduct investigations of safety events to identify causal factors.*

SouthWest Transit maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event. These procedures also reflect all traffic safety reporting and investigation requirements established by the Minnesota Department of Transportation.

The Chief Safety Officer maintains all documentation of SouthWest Transit’s investigation policies, processes, forms, checklists, activities, and results. As detailed in SouthWest Transit’s procedures, an incident report is prepared and sent to the Safety Committee for integration into their analysis of the event.

SouthWest Transit’s Safety Committee consists of members representing executive management, operations management, and vehicle and facilities maintenance management. The Chief Safety Officer chairs the Committee. SouthWest Transit’s Safety Committee determines whether:

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

*Describe activities to monitor information reported through internal safety reporting programs.*

The Chief Safety Officer and Safety Committee routinely review safety data captured in employee safety reports, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through SouthWest Transit’s SRM process.

The Chief Safety Officer and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning SouthWest Transit’s safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.



## 7. Safety Promotion

### Competencies and Training

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

SouthWest Transit's comprehensive safety training program applies to all SouthWest Transit employees directly responsible for safety, including:

- Dispatchers,
- Vehicle and Facilities Maintenance technicians,
- Managers and supervisors,
- Agency Leadership and Executive Management,
- Chief Safety Officer, and
- Accountable Executive.

SouthWest Transit dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

Basic training requirements for SouthWest Transit employees, including frequencies and refresher training, are documented in SouthWest Transit's EPP and the SouthWest Transit Employee Handbook.

Operations safety-related skill training includes the following:

- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers.

Vehicle maintenance safety-related skill training includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Ongoing skill training for facilities maintenance employees,
- OSHA compliance training,
- Ongoing hazardous material training for facilities maintenance employees, vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

SouthWest Transit's Accountable Executive and Agency Leadership and Executive Management team must complete FTA's SMS Awareness online training and an executive session on safety management.

Finally, below is the safety training matrix for SouthWest Transit staff that is included as part of SouthWest Transit's EPP.

TYPE OF TRAINING	WHO RECEIVES	HOW OFTEN
1. EMERGENCY TRAINING FED. OSHA 1910.38 (e) 1926.35 (e)	All employees	Initial, as needed
2. RIGHT-TO-KNOW /GHS 1910.1200 (h) (1) & Minn. Rules Chapter 5206	All employees exposed to chemical, physical, or biological hazards	Annual
3. OCCUPATIONAL NOISE EXPOSURE Fed. OSHA 191.95 (K) & (L)	Employees working in high noise areas	Annual
4. RESPIRATORY PROTECTION 1910.134	All employees who are required to wear respirators of any type	Annual
5. FLAMMABLE AND COMBUSTIBLE LIQUIDS (not a separate requirement)	All employees who handle, store or dispense these products	Annual (Included in RTK/GHS)
6. FIRE EXTINGUISHERS Fed. OSHA 1910.157 (g)	All employees	Annual
7. LOCKOUT/TAGOUT Fed. OSHA 1910.147 (c)	All employees who are issued lockout-tagout equipment	Initial, as needed
8. POWERED INDUSTRIAL TRUCKS Fed. OSHA 1910.178 (L)	All designated operators of forklifts	Reevaluate every 3 years
9. BLOODBORNE PATHOGENS Fed. OSHA 1910.1030 (g)	First Responders and designated first aid providers	Annual
10. HAZARDOUS WASTE OPERATIONS AND EMERGENCY REPOSE (HAZWOPER) 1910.120	Emergency Response Plan (spills) or Safety and Health Program (clean-up or treatment, storage and disposal (TSD) operations) Members of emergency response/spill teams or individuals involved with hazardous waste site clean- up	Annual
11. FALL PROTECTION 1926.503	Designated employees who work at heights	Initial, as needed
12. MINNESOTA AWAIR (MN Statute 182.653, subd.8)	All employees	Initial or when changes are made to document



13. PERSONAL PROTECTIVE EQUIPMENT 1910.132	All employees required to wear PPE	Initial, as needed
14. PROCESS SAFETY MANAGEMENT 1910.119 (g) AND 1926.64(g)	Employees who work with covered processes, including maintenance personnel and contractors	Initial and at least every three year thereafter
15. CHROMIUM (VI) 1910.1026(l) and 1926.1126(j)	All employees	Initial (include in HAZCOM/ERTK )
16. STAIRWAYS AND LADDERS 1926.1060	All employees who use stairways and ladders	Initial and as needed
17. [ELECTRICAL] SAFETY-RELATED WORK PRACTICES TRAINING 1910.332	Employees who face a risk of electric shock, both qualified and unqualified	Initial

## Safety Communication

*Describe processes and activities to communicate safety and safety performance information throughout the organization.*

SouthWest Transit's Chief Safety Officer and Director of Human Resources and Training coordinate SouthWest Transit's safety communication activities for the SMS. SouthWest Transit's activities focus on the three categories of communication activity established in 49 CFR Part 673 (Part 673):

- **Communicating safety and safety performance information throughout the agency:** SouthWest Transit communicates information on safety and safety performance during monthly Drivers' meetings and monthly Leadership meetings. SouthWest Transit also has a permanent agenda item in all monthly Drivers' Meetings dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact SouthWest Transit's service or safety performance, and updates regarding SMS implementation. SouthWest Transit also requests information from drivers during these meetings. Finally, SouthWest Transit's Director of Human Resources and Training posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms, advertising safety messages and promoting awareness of safety issues.
- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:** As part of new-hire training, SouthWest Transit distributes safety policies and procedures, included in the SouthWest Transit Employee Handbook, to all employees. SouthWest Transit provides training on these policies and procedures and discusses them during safety talks between supervisors and bus operators and vehicle technicians. For newly emerging issues or safety events at the agency, SouthWest Transit's Chief Safety Officer issues bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees.
- **Informing employees of safety actions taken in response to reports submitted through the ESRP:** SouthWest Transit provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

## 8. Additional Information

### Supporting Documentation

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

SouthWest Transit will maintain documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this ASP; and the results from its SMS processes and activities for three years after creation. They will be available to the FTA or other Federal or oversight entity upon request.

### Reference Documentation:

- SouthWest Transit Emergency Preparedness Program (EPP)
- SouthWest Transit Employee Handbook
- SouthWest Transit Employee Safety Reporting Program (ESRP)

### 9. Definitions of Terms Used in the Safety Plan

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

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; 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.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
- **Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- **Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
- **Public Transportation Agency Safety Plan (or Agency Safety Plan)** means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.

- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Management Policy** means a transit 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** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- **Safety performance target** means a performance target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- **Safety Risk Management** means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.
- **Emergency Preparedness Plan** means the SWT internal document that identifies how SWT will ensure the safety of its riders, employees, vehicles, and facilities before, during, and after a multitude of potential emergencies.

## 10. Commonly Used Acronyms

Acronym	Word or Phrase
ADA	American's with Disabilities Act of 1990
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
CFR	Code of Federal Regulations
EPP	Emergency Preparedness Plan
SWT	SouthWest Transit
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MPO	Metropolitan Planning Organization
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management
U.S.C.	United States Code
VRM	Vehicle Revenue Miles