



# South Central Regional Transit District AGENCY SAFETY PLAN

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## 49 CFR Part 673

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# 1. Transit Agency Information

<b>Name of Document</b>	Agency Safety Plan (ASP)		
<b>Transit Agency Name</b>	South Central Regional Transit District (SCRTD)		
<b>Transit Agency Address</b>	2001 Futurity Dr, Anthony, NM 88063		
<b>Name and Title of Accountable Executive</b>	<p>David Armijo, Executive Director</p> <p>The Accountable Executive meets the requirements in 49 CFR §673.5 and §673.23(d)(1). Please see the Roles and Responsibilities of the Accountable Executive in <i>Section 4: Safety Management Policy</i>.</p>		
<b>Name of Chief Safety Officer or SMS Executive</b>	<p>Manager of Safety and Training</p> <p>The Chief Safety Officer meets the requirements of § 673.5 and §673.23(d)(2). Please see the Roles and Responsibilities of the Chief Safety Officer in <i>Section 4: Safety Management Policy</i>.</p>		
<b>Mode(s) of Service Covered by This Plan</b>	Motor Bus, and Demand Response-taxi	<b>List All FTA Funding Types (e.g., 5307, 5310, 5311)</b>	5307, 5310, 5311, and 5339
<b>Mode(s) of Service provided by Transit Agency (directly or contracted service)</b>	<p>Motor Bus: directly operated</p> <p>Demand Response: No service provided</p>		
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	<b>No</b>	<b>Description of Arrangement(s)</b>	N/A
<b>Name and address of Transit agency or entity for which service is provided.</b>	N/A		

This ASP applies to the following locations within SCRTD:

<b>SCRTD Las Cruces NM</b>	300 W. Lohman Avenue, Las Cruces, NM 88005	<b>Loretta Gallegos, Transit Operations Manager</b>	Fixed Route Only
		<a href="mailto:lgallegos@scrtd.org">lgallegos@scrtd.org</a>	Copper, Green, and Blue
	Office: 575-323-1620	Emergency cell: (575) 571-0677	
<b>Anthony, NM SCRTD</b>	830 Anthony Drive	<b>Albert Minjares, Facilities Manager</b>	Fixed Route Only
	Anthony, NM 88021	<a href="mailto:aminjares@scrtd.org">aminjares@scrtd.org</a>	Red and Turquoise
		Emergency cell: 915-545-3867	
	Office: 575-323-1620		
<b>Sunland Park SCRTD</b>	2001 Futurity Dr.	<b>David Armijo, Executive Director</b>	Fixed Routes: Yellow, Purple and Silver.
	Sunland Park, NM 88063	<a href="mailto:darmijo@scrtd.org">darmijo@scrtd.org</a>	
		Emergency cell: (947) 322-9881	
	Office: 575-323-1620		
		<b>Martin Perez, Safety Coordinator/Dispatcher</b>	
		<a href="mailto:mperez@scrtd.org">mperez@scrtd.org</a>	
		Emergency cell: (575) 323-1620	

# System Description

## History

In 2003, the New Mexico Regional Transit District Act (Chapter 73, Article 25, NMSA 1978) was passed, enabling the formation of multi-jurisdictional transit agencies. The purpose of this legislation was to:

- Provide safe and efficient regional transit services;
- Reduce congestion, crashes, and pollution caused by single-occupant vehicles;
- Extend the life of the state's roads by reducing traffic;
- Provide transportation alternatives to residents, particularly transit-dependent groups such as seniors, youth, low-income, and mobility-impaired residents;
- Provide residents with better access to education and higher-paying jobs; and
- Reduce oil dependency.

In 2004, legislation was adopted allowing such transit districts to levy up to a half-cent local gross receipts tax to fund their operations.

## South Central Regional Transit District

On November 30, 2006, the New Mexico Transportation Commission approved the formation of the South Central Regional Transit District, encompassing Doña Ana, Otero, and Sierra counties, including most of the cities, towns, and villages that lie therein.

In 2015, the District developed a five-year finance and service plan in anticipation of applying for federal and state grant funding. Further, the New Mexico legislature provided funding to pay for five buses to be used as the start-up of new transit services. In late February 2016, the District launched four bus routes using the five buses operating across the Doña Ana County service area. The District has expanded service, further adding more buses and facilities to service the vehicles.

## SCRTD Board of Directors

SCRTD's Board of Directors consists of six full members representing Doña Ana County: the City of Las Cruces, the Village of Hatch, the Town of Williamsburg, the City of Anthony, Sunland Park, and Sierra County. Board members are officials appointed by their government to serve a term of at least one year.

The primary responsibilities of the Board of Directors are to develop broad-based goals and strategies that will support SCRTD's long-term success, adopt an annual budget that ensures financial sustainability, and oversee major improvements to the transit network. Board members are also strongly encouraged to advocate for the needs of their constituents and promote SCRTD's services in their communities. The SCRTD Board of Directors is responsible for carrying out the functions assigned by the provisions of the Regional Transit District Act, including establishing financial, management, service operation, fares, and other policies that support the operations of the transit system.

## Agency Safety Plan and Safety Management System

SCRTD developed this Agency Safety Plan (ASP) in accordance with the guidelines and requirements set forth in FTA's public transportation Safety program and the National Public Transportation Safety Plan. Compliance with the minimum safety performance standards authorized under Title 49 Code of Federal Regulations Part 673, the Public Transportation Agency Safety Plan (PTASP) rule. The SMS is appropriately scaled to the size, scope, and complexity of SCRTD.

The FTA defines SMS as:

“The formal, 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 hazards and safety risk. Furthermore, SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry’s existing safety foundation to better control risks, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully.”

SCRTD’s SMS has four distinct components, which are discussed in subsequent sections of this ASP:

- Safety Management Policy
- Hazard Identification
- Safety Assurance
- Safety Promotion

## 2. Agency Safety Plan Development, Approval, and Updates

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

This SCRTD ASP and its safety performance targets will be jointly reviewed and updated by the SCRTD Safety Officer, the Transit Supervisor, and the Safety Committee by July 1 of each year.

<b>Name of Entity that Drafted this Plan</b>	South Central Regional Transit District
<b>Signature by the Accountable Executive</b>	<hr/> <i>Date:</i>
<b>Approval by Safety Committee</b>	<b>Safety Committee Approval Documentation</b> <hr/> <i>Date of approval</i>
<b>Approval by the Board of Directors or an equivalent entity</b>	<b>Name of Individual/Entity That Approved This Plan</b> <hr/> <i>Date of approval</i> <b>Board of Directors Approval Documentation</b> <hr/>

### **Version Number and Updates**

Version Number	Date	Section/Pages Affected	Reason for Change	Description of Change
1	Sep 28, 2022	All	New document	Initial implementation

1	Sep 28, 2022	Agency Safety Plan Development/p. 7	Annual update	Updated dates of Signature and Approval
1	Sep 28 ,2022	Safety Performance Targets/p. 8	Annual update	Updated data
2	Aug 28, 2024	Agency Safety Plan Update/ All	Annual update	Updated data
3	August 2025	Agency Safety Plan Update/ All	Annual update	Updated Data

### 3. Safety Performance Targets

#### Safety Performance Targets (for all agencies subject to PTASP regulation)

The following table outlines the 14 required General Safety Performance Measures for all agencies subject to the PTASP regulation, as defined by the FTA's 2024 update to the National Public Transportation Safety Plan.

The annual targets listed below are based on reviews of the previous three years of SCRTD safety performance data. Rates are calculated per 100,000 VRM.

	<b>Measure</b>	<b>Description</b>	<b>Fixed Route</b>	<b>Demand Response</b>
1	Major Events (total)	All safety/security major events reported to the NTD	0	0
2	Major Event Rate	Major events ÷ Vehicle Revenue Miles (VRM)	0	0
3	Collision Rate (NEW)	All collisions ÷ VRM	1.0	0
4	Pedestrian Collision Rate (NEW)	Collisions “with a person” ÷ VRM	0.5	0
5	Vehicular Collision Rate (NEW)	Collisions “with a motor vehicle” ÷ VRM	1.0	0
6	Fatalities (total)	All fatalities reported to the NTD	0	0
7	Fatality Rate	Fatalities ÷ VRM	0	0
8	Transit Worker Fatality Rate (NEW)	Transit worker fatalities ÷ VRM	0	0
9	Injuries (total)	All injuries reported to the NTD	2	0
10	Injury Rate	Injuries ÷ VRM	2.0	0
11	Transit Worker Injury Rate (NEW)	Transit worker injuries ÷ VRM	1.0	0
12	Assaults on Transit Workers (NEW)	All assaults on transit workers reported to the NTD	0	0
13	Rate of Assaults on Transit Workers (NEW)	Assaults on transit workers ÷ VRM	0	0
14	System Reliability	VRM ÷ Major Mechanical System Failures	6,666.67	0

### **Safety Performance Targets for the Safety Risk Reduction Program**

Per 49 CFR § 673.11(a)(7)(iii), the following Safety Performance Targets for the Safety Risk Reduction Program have been set by the SCRTD Safety Committee. These Targets are based on the three-year rolling average of SCRTD data reported to the NTD and reflect an annual reduction in the associated safety performance measures as required by the National Public Transportation Safety Plan.

	<b>Measure</b>	<b>3-Year Rolling Average</b>	<b>Fixed Route</b>	<b>Demand Response*</b>
1	Major Events	2	1	0
2	Major Event Rate	1.5	1.2	0
3	Collisions	3	2	0
4	Collision Rate	0	1.5	0
5	Injuries	0	1	0
6	Injury Rate	1.7	1.3	0
7	Assaults on Transit Workers	Not yet required**	N/A**	N/A**
8	Rate of Assaults on Transit Workers	Not yet required**	N/A**	N/A**

\* Demand response service has been in

\*\*Assault data will be reported once three full years of NTD data are available, per § 673.11(a)(7)(iii)(C).

### **Coordination with Metropolitan, Statewide, and Non-metropolitan Planning Processes**

SCRTD coordinates, to the maximum extent practicable, with the State and MPO to support the selection of State and MPO transit safety performance targets.

<b>Targets made available to the State to aid in the planning process.</b>	<b>State Entity Name</b>
	New Mexico Department of Transportation

<b>Targets made available to the MPO(s) to aid in the planning process.</b>	<b>Metropolitan Planning Organization Name(s)</b>
	Mesilla Valley MPO

## 4. Safety Risk Reduction Program

SCRTD's approach to improving safety performance by reducing the number and rates of safety events, injuries, and assaults on transit workers addresses the following:

- The reduction and mitigation of vehicular and pedestrian safety events involving transit vehicles, including mitigations consistent with SCRTD's safety risk mitigation process described in the Safety Risk Management section of this ASP.
- The reduction and mitigation of assaults on transit workers, including mitigation processes described in the Safety Risk Management section of this ASP.
- SCRTD will include in Appendix F of this ASP a list of safety risk mitigations identified and recommended by the Safety Committee (based on a safety risk assessment) for the safety risk reduction program.

## 5. Safety Committee Establishment, Membership, and Procedures

Per 49 CFR § 673.19, SCRTD has established a Safety Committee that is appropriately scaled to the size, scope, and complexity of the agency. The following outlines the establishment, membership, structure, and operating procedures of the committee:

- A. The Safety Committee has been formally established and operates through a joint labor-management process. It meets regularly to ensure continuous improvement of safety at SCRTD.
- B. The Safety Committee consists of an equal number of frontline transit worker representatives and management representatives. Where practicable, frontline members represent primary service functions such as operations and maintenance.
- C. Frontline worker representatives were selected by the labor organization representing the majority of SCRTD's frontline workforce.
- D. The Safety Committee includes a chairperson appointed from within the committee by consensus. The committee is composed of 6 members: 3 from frontline operations and 3 from management.
- E. Board members will be notified of upcoming Safety Committee meetings via email at least one week in advance. Meeting agendas are prepared by the Safety Officer and distributed during the meeting. A designated board member is responsible for recording the meeting minutes. After each meeting, the minutes are filed and securely maintained by the Safety Department for future reference and compliance purposes.
- F. Safety Committee members are provided a copy of the Agency Safety Plan to ensure they have access to all relevant safety information.
- G. SCRTD compensates committee members for the time spent in meetings and trainings related to committee responsibilities.
- H. The committee may invite technical experts, including transit workers, in an advisory capacity as needed to support discussion and decision-making.
- I. The Committee has access to relevant internal reports, performance data, and transit worker safety reporting submissions as needed to carry out its duties.

- J. Decisions are made by consensus or majority vote and are documented in the meeting minutes.
- K. To resolve such issues, the Committee will first attempt to reach consensus through facilitated discussion. If consensus cannot be achieved, the Committee will utilize the dispute resolution or arbitration process outlined in the transit agency's Collective Bargaining Agreement (CBA). Alternatively, the Committee may establish a separate dispute resolution protocol, provided it is agreed upon by all members. Disputes within the committee are resolved internally by majority vote or facilitated peer mediation. The Accountable Executive does not intervene in dispute resolution.

# 6. Safety Management Policy

## SCRTD Safety Management Policy Statement (SMPS)

To All Staff and Contractors:

The South Central Regional Transit District (SCRTD) is developed a Public Transportation Agency Safety Plan (PTASP), in accordance with the Federal Transit Administration (FTA) final rule 49 CFR Part 673. This rule requires the development of a uniform system of public transit safety management, called the Safety Management System (SMS). As the Executive Director of SCRTD and the Accountable Executive, I am responsible for ensuring the successful implementation of the new safety standards, which are upheld throughout our organization.

To facilitate this implementation, I will support the efforts to integrate this Policy Statement into SCRTD processes. This statement will serve as a guiding beacon as we adopt and follow the federal safety rules.

Safety has always been a core commitment of SCRTD, including the development, implementation, maintenance, and continuous improvement of our daily practices to ensure the safety of our customers, employees, contractors, and the public. SCRTD will use the safety management processes to guide the prioritization of safety and allocate our organizational resources (such as people, funding, and technology) to integrate into our everyday operations. We aim to develop and support a robust safety culture and to achieve the highest levels of safety performance set forth by the FTA.

SCRTD has committed to the following capacities:

**Executive Commitment to Safety**—Executive Management will lead the development of an organizational culture that promotes safe operations. We will provide appropriate resources to support the PTASP development by fostering and ensuring safe practices, improving procedures when needed, and encouraging effective employee safety reporting and communication. SCRTD will keep every executive, manager, employee, and contractor accountable for our priority of safe operations.

**Communication & Training**—Employee engagement is crucial to a functioning SMS. Communication systems are developed and fine-tuned to enable greater awareness of SCRTD safety objectives, performance targets, and ongoing safety communication throughout every level of our organization. All levels of management must proactively engage employees and continuously work to keep the lines of safety communication simple, honest, and open. All employees are made aware of the importance of SCRTD's SMS and are trained in any new or improved safety reporting procedures.

**Responsibility & Accountability**—All employees and contractors are responsible for delivering safe and quality transit services that represent SCRTD. Each manager will take an active role in the SMS process and will ensure that the Safety Assurance functions are supported and advocated. Managers are also responsible for ensuring that Hazard Identification is being performed in their operational areas of control, to ensure that the safety risk associated with identified safety hazards is assessed and mitigated. Safety performance is an important part of annual performance evaluations for all SCRTD employees.

**Employee Reporting**—We established a safety reporting program as a viable tool for employees to voice

their safety concerns. All frontline employees are responsible for utilizing this program as part of the SMS. No action is taken against any employee who communicates a safety condition through the SCRTD safety reporting program, unless such disclosure indicates the following: an illegal act, gross misconduct, or negligence, or a deliberate or willful disregard of SCRTD rules, policies, and procedures.

**Performance Monitoring & Measurement**—SCRTD will establish realistic measures of safety performance and establish safety performance targets to ensure our continuous improvement. A team of our employees, representing different skillsets within the organization, will work together with management to verify that the resulting safety risk mitigations are appropriate, helpful, and effective.

**Review & Evaluation**—SCRTD will measure our SMS performance by analyzing our key safety performance measures, reviewing inspections, and evaluating our corrective action reports. These activities become the basis for revising or developing safety objectives, safety performance targets, and overall PTASP with the goal of continuous, effective safety improvements. The ASP is a living document and is frequently monitored for applicability and functionality.

The Safety Committee was established through a joint labor-management process and is composed of an equal number of frontline transit worker representatives and management representatives. Frontline worker representatives were selected by the labor organization representing the majority of SCRTD's frontline workforce, and management representatives were appointed by agency leadership. The committee is appropriately scaled to the size, scope, and complexity of SCRTD. It plays an active role in safety-related decision-making and is directly involved in the Safety Risk Management and Safety Assurance functions of the Agency Safety Plan.

Thank you for your full cooperation in building a safer workplace for all of our customers, employees, contractors, and the public.

Sincerely,



David Armijo, Executive Director

# Safety Management Policy Communication

The Chief Safety Officer, who leads SCRTD's SMS activities, held an all-hands meeting to introduce staff to SMS principles. A paper copy of the Policy Statement was distributed to each employee, along with a Signature of Receipt to document their acknowledgement of receipt of a copy of the Safety Management Policy Statement. SCRTD also posted the statement in a conspicuous place (such as on a bulletin board) at each of the main offices in Las Cruces, Anthony, and Sunland Park. Finally, it is available as a link that is posted on the SCRTD website's Bus Safety Reporting page.

When SCRTD makes changes to the Safety Management Policy Statement, it redistributes the statement to all employees and offices and ensures the website is also updated.

Contractors have also been instructed to distribute the Safety Management Policy Statement to their employees.

## Authorities, Accountabilities, and Responsibilities

### **Roles and Responsibilities of the Accountable Executive**

The SCRTD Accountable Executive has ultimate responsibility for carrying out the ASP and the Transit Asset Management (TAM) Plan. The Accountable Executive ensures SCRTD's SMS is effectively implemented throughout the agency and addresses SMS substandard safety performance. The Accountable Executive may delegate specific safety responsibilities to the appropriate employees, as needed, but the ultimate accountability for the agency's safety performance cannot be delegated and always rests with the Accountable Executive.

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

- Implements safety risk mitigations for the safety risk reduction program that are included in the ASP. ([§ 673.23\(d\)\(1\)\(i\)](#))
- Receives and considers all other safety risk mitigations not related to the safety risk reduction program that the Safety Committee recommends.
- Decision-making about human and capital resources needed to support asset management, SMS activities, and capital investments;
- Maintaining the Transit Asset Management (TAM) Plan;
- Signing SMS implementation planning documents, and ensuring that SMS is effectively implemented throughout SCRTD's public transportation system;
- Ensuring action is taken to address substandard performance in SCRTD's SMS;
- Endorsing SMS implementation team membership; and
- Other duties as assigned/necessary to implement the ASP.

### **Roles and Responsibilities of the Safety Committee**

The Responsibilities of the Safety Committee to oversee the agency's safety performance must include:

- Review and approve the ASP and any updates (before the Board of Directors/equivalent entity).
- Set annual safety performance targets for the safety risk reduction program.
- Identify and recommend safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the agency's safety risk assessment process, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.

- Identify safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.
- Identify safety deficiencies for purposes of continuous improvement, including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.

### **Roles and Responsibilities of the Chief Safety Officer**

The SCRTD Chief Safety Officer (CSO) is an adequately trained individual who has responsibility for safety. The CSO was designated by the Accountable Executive and has the authority and responsibility for the day-to-day implementation and operation of SCRTD's SMS. The CSO reports directly to the Accountable Executive on matters involving safety.

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

- Developing and maintaining SMS documentation;
- Directing hazard identification and safety risk assessments;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive on SMS implementation progress;
- Maintaining an adequate level of training, including attendance at relevant federal, local, and SCRTD training classes to remain current on acceptable standards
- Planning safety management training; and
- Other duties as assigned/necessary to implement the ASP.

### **Agency Leadership and Executive Management Roles**

Members of SCRTD's leadership have authority and responsibilities for the day-to-day implementation and operation of the agency's SMS.

Other than the Accountable Executive and the CSO, agency leadership and executive management include:

- Board of Directors
- Finance Officer
- Safety Coordinator
- Administrative Service Director
- Transit and Maintenance Supervisors

These roles are responsible for the following, within their areas of oversight:

- Implementation and operation of SCRTD's SMS, within the functions in which they have responsibility;
- Provide input regarding the allocation of resources, within the functions in which they have responsibility, to accomplish the goals and objectives of the ASP;
- Accountable for oversight, day-to-day operations, and maintaining compliance with the ASP, within the functions in which they have responsibility; and
- Modify policies consistent with the implementation of the ASP.

Contractor staff have identified and documented all the SMS-related organizational accountabilities and responsibilities of each of their agency leadership job functions and recorded where this documentation

is captured and stored. This information was provided to SCRTD, and this documentation is captured and stored at the SCRTD Headquarters in the CSO's office.

### **Key Staff Roles**

SCRTD key staff support the Accountable Executive, CSO, and Safety Committee in developing, implementing, and operating the SMS. Key staff functions that bring experience and expertise to bear on SMS activities include:

- Transit Operations Supervisors
- Dispatchers
- Transit Operators
- Vehicle Mechanics
- Other skilled professionals as needed

Their roles include, but are not necessarily limited to:

- Assisting the CSO in developing, implementing, and operating the SMS. Based on responsibilities and expertise, Key Staff assists in hazard identification, safety risk assessment, safety risk mitigation, safety performance monitoring, safety performance measurement, safety training, and safety communication activities.
- Key staff plays a significant role as subject matter experts in hazard identification, safety risk assessment, safety risk mitigation, and safety performance monitoring activities.

## **Employee Safety Reporting Program**

SCRTD established and implemented a formal safety reporting program that allows its employees and contractor employees to voluntarily report any safety issues or concerns they may see during their day-to-day delivery of transit services. Employees are encouraged to report assaults on transit workers, near-misses, and unsafe acts or conditions. This voluntary safety reporting program is separate from SCRTD's mandatory reporting requirements for accidents and incidents.

The Employee Safety Reporting Program (ESRP) provides protections for employees against reprisal or other adverse actions; the reports are also generally protected under Occupational Safety and Health Administration (OSHA) whistleblower protections. The ESRP gives employees the option of either reporting anonymously or providing their name.

The ESRP also describes employee behaviors that are not protected under the program, which may result in disciplinary action. Examples include an employee who has engaged in an illegal act, gross misconduct, or negligence, or a deliberate or willful disregard of SCRTD rules, policies, or procedures.

The ESRP clarifies:

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

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

- Who is responsible for developing and managing the employee safety reporting program;
- Timely responses to employee safety reports;

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

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

SCRTD's ESRP includes several options for employees to submit a report:

1. Via phone messages left on a Safety Hotline. These reports give the options of remaining anonymous or leaving a name/phone number to receive direct contact from the CSO; all content on the recorded line is heard and transcribed by a third-party contractor, then sent as text only so that any Administrative Staff cannot identify the employee by his/her voice.
2. Via text message through the Safety Hotline. The texted information is compiled by a third-party and sent as a text-only email (without any identifying names/information from the person that submitted it) to Administrative Staff.
3. Via online report on the SCRTD website, in a section called Bus Safety Reporting. Employees can fill out a prompt set of information on a form, with the option of anonymity or with their name/contact information. This may be submitted electronically through the website, or:
4. Via printing the online form, handwriting their concerns, then submitting the form by:
  - o Mailing the completed form via postal service to the CSO;
  - o Placing the completed form in a designated, locked box inside the Las Cruces office, Anthony office, or Sunland Park office.
  - o Sharing the form directly with their Transit Operations Supervisor.
5. Via two-way radio to Transit Dispatchers, who keep a hazard log to record all issues, conditions, or concerns reported by the Transit Operators.

All of these means are monitored daily, and the reports are documented for analysis. All employees are able and encouraged to submit their safety concerns through the same means listed above. More detailed documentation of the ESRP is kept in the CSO's office at SCRTD Headquarters. A description of the ESRP is distributed to all current employees during periodic training classes and to new employees during their new-hire orientation.

# 7. Safety Risk Management

SCRTD uses the Safety Risk Management (SRM) process as a primary method to ensure the safety of operations, passengers, employees, vehicles, and facilities. It is a process wherein hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to SCRTD's leadership. The SCRTD SRM process enables members to carefully examine potential causes of harm, determine whether there have been sufficient precautions made to minimize the harm, or if further mitigations are necessary.

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

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

- Oversee and facilitate the hazard identification process;
- Identify hazards;
- Document the hazards;
- Identify the potential consequences of each hazard;
- Evaluate consequences in terms of probability and severity using the formal risk matrix (see *Appendix D: SCRTD Safety Risk Assessment Matrix*);
- Communicate any high-priority risk to the Accountable Executive, as well as the other items identified;
- Create safety risk mitigations based on safety risk assessments to eliminate or reduce the effects of hazards;
- Implement the mitigation; and
- Create a strategy for monitoring mitigation effectiveness.

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

- **Safety event** – An unexpected outcome resulting in injury or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of SCRTD; or damage to the environment.
- **Hazard** – Any real or potential condition that can cause injury, illness, death, damage to or loss of the facilities, equipment, rolling stock, or infrastructure of SCRTD, or damage to the environment.
- **Safety Risk** – The composite of predicted severity and likelihood of potential consequences of a hazard.
- **Safety Risk Mitigation** – A method(s) to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.
- **Consequence** – An effect of a hazard.

## Hazard Identification

SCRTD has developed methods and processes to identify hazards and their consequences in the operation and maintenance of the transit system. Hazards are identified through a variety of sources, including:

- Data and information provided by the Board of Directors, the FTA, and NMDOT.
- Safety concerns identified through Safety Assurance activities.
- Data and information regarding exposure to infectious disease provided by the Centers for

Disease Control and Prevention (CDC) or the New Mexico Health Care Authority.

- Results of our asset condition assessments.
- SCRTD employee safety reporting.
- Review of vehicle camera footage.
- Observations from Transit Operations Supervisors.
- Maintenance reports.
- Comments from customers, passengers, and third parties.
- Safety Committee, Transit Operator, and all-staff meetings.
- Results of audits and inspections of vehicles and facilities.
- Results of training assessments.
- Results of internal safety audits.
- Investigations into safety events, incidents, and occurrences.

Information related to hazard identification and consequence determinations is stored in the SCRTD Safety Risk Register (*see example in Appendix C*), which is an Excel spreadsheet that allows for the documentation of all identified safety hazards and the subsequent activities related to addressing those hazards. This risk register is maintained by the CSO. The CSO reviews the reports of hazards and documents them in SCRTD's Safety Risk Register.

The CSO may conduct further analysis of hazards and consequences entered into the Safety Risk Register to collect information, identify additional consequences, and to inform management which hazards should be prioritized for safety risk assessment. While following up on identified hazards, the CSO may:

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

Any identified hazard that poses a real and immediate threat to life, property, or the environment (such as items marked in the Red/High categories in *Appendix D: SCRTD Safety Risk Assessment Matrix*) 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 signifies the CSO's belief that immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of the Environmental Protection Agency or NMDOT environmental protection standards. Otherwise, the Safety Committee prioritizes hazards for further SRM activity.

SCRTD involves subject matter experts in safety hazard identification processes by matching the experience and expertise of the individual(s) with the type of hazard to be analyzed. For example, if the

hazard is operations-related, then the primary subject matter experts are from operations; if the hazard is vehicle-maintenance related, that type of hazard requires vehicle maintenance expertise and skills.

SCRTD has ensured that staff at all facility locations have provided a list of the sources they use for identifying hazards, provided descriptions of the processes they use for determining and recording the potential consequences of identified hazards, and reactions to an identified safety concern or issue that requires immediate attention.

## Safety Risk Assessment

A safety risk assessment includes an assessment of the likelihood and severity of the potential consequences of identified hazards, taking into account existing safety risk mitigations, to determine if safety risk mitigation is necessary and to inform prioritization of safety risk mitigations.

Assessing the likelihood and severity of hazard consequences is the first step in prioritizing safety risk. SCRTD has established procedures for assessing the safety risk of the consequences of identified safety hazards, and prioritizing safety risk mitigations based on this safety risk. SCRTD assesses the safety risk in terms of likelihood (the probability of a consequence occurring) and severity (the seriousness of a consequence if it does occur). A color-coded safety risk index provides a rating system to use with a safety risk assessment matrix to prioritize safety risk. The safety risk assessment matrix helps us determine the probability and severity of consequences and allows for prioritization of safety risk. The safety risk assessment risk matrix used by SCRTD is presented in *Appendix D: Safety Risk Assessment Matrix*. Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the CT 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.

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

Safety risk assessment informs prioritization of safety risk mitigations by providing the Accountable Executive with the information needed to make decisions about resource application. It helps SCRTD to apply its limited time, financial, and human resources towards the highest priority of transit safety risk.

The Accountable Executive is the ultimate decision-maker on applying resources to mitigate any high priority transit safety risks. Therefore, high priority transit safety risks are communicated to the Accountable Executive. SCRTD has defined and documented this process, which includes criteria for when high priority transit safety risks need to be elevated to the Accountable Executive. Responsibility for communicating with the Accountable Executive resides with the CSO. Hazards in and of themselves do not cause damage. It is the consequences of hazards that cause injuries and death, destroy property, harm the environment, or impair the ability of a transit provider to deliver transit services. SCRTD subject matter experts identify the potential consequences of hazards, keeping in mind that a single hazard could have many potential consequences. Each potential consequence is identified and recorded.

SCRTD has ensured that staff at all facilities have provided descriptions of how they elevate safety risk assessment information to the executive level, and how they gain approval for moving forward with creating safety risk mitigations. Staff have provided descriptions of their methodologies for documenting safety risk assessment activities and the results of those activities.

## **Safety Risk Mitigation**

Developing safety risk mitigations to proactively reduce the agency's safety risk is the culmination of the safety risk management process. SCRTD has established processes to identify mitigations or strategies necessary, as a result of its safety risk assessment activities, to reduce the likelihood and severity of potential consequences. As sources of safety risk mitigation, SCRTD considers guidance provided by NMDOT and the FTA and guidelines to prevent or control exposure to infectious diseases provided by the CDC or the New Mexico Health Care Authority.

The CSO is responsible for guiding and overseeing the Safety Committee and subject experts during the risk mitigation process. Safety risk mitigations requiring additional resources or changes in agency policy are approved by the Accountable Executive. SCRTD will share its findings with other staff that may have the ability to use the suggested safety-related changes towards annual capital plans, etc.

SCRTD has established procedural steps for creating safety risk mitigations to address potential consequences. The steps include how SCRTD determine when safety risk mitigation is necessary, and the job function(s) or position(s), including the Safety Committee, that may be responsible for creating mitigations. Within these procedural steps, SCRTD references any forms used to create mitigations, describes how it will record the results of this activity, and where these recorded results are stored or maintained. SCRTD understands that the goal of mitigation is to reduce assessed safety risk to an acceptable level. It is unrealistic that a transit operation can assume that it is able to completely eliminate all safety risks. SCRTD can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

Safety risk mitigation steps followed by SCRTD and the Safety Committee include:

- Examine the consequences of hazards and their probability and severity;
- Develop strategies to reduce the probability and/or severity of those consequences;
- Ensure the strategy can be realistically implemented with available resources;
- Turn the strategy into a mitigation plan;
- Put the mitigation plan into place; and
- Create a plan for monitoring the effectiveness of the mitigation.

When identifying safety risk mitigations for the safety risk reduction program related to vehicular and pedestrian safety events involving transit vehicles, including addressing a missed safety risk reduction performance target set by the Safety Committee, SCRTD and the Safety Committee consider mitigations to reduce operator visibility impairments that contribute to accidents, including retrofits to vehicles in revenue service and specifications for future procurements that reduce visibility impairments.

When identifying safety risk mitigations for the safety risk reduction program related to assaults on transit workers, including addressing a missed safety risk reduction performance target set by the Safety Committee, SCRTD and the Safety Committee consider deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities. These mitigations could include barriers to restrict the unwanted entry of individuals and objects into the workstations of operators.

When the Safety Committee identifies and recommends a safety risk mitigation as described in the previous two paragraphs above (related to the safety risk reduction program), SCRTD records these mitigations in Appendix F of this ASP.

If the Safety Committee recommends a safety risk mitigation **unrelated** to the safety risk reduction program, and the Accountable Executive decides not to implement the mitigation, the Accountable Executive prepares a written statement explaining their decision and submits and presents this explanation to the Safety Committee and the Board of Directors.

SCRTD has ensured that staff at each facility location and the Safety Committee have been provided with descriptions of the processes for creating safety risk mitigations. The descriptions include the location where each contractor captures and stores this information.

After creating a safety risk mitigation, SCRTD develops and documents a strategy for implementing the mitigation. These implementation strategies include:

- Identifying who is responsible for implementing the mitigation;
- Identifying where the mitigation will reside within agency activities;
- Describe how the mitigation is implemented; and
- Describe how long it should take to implement the mitigation.

SCRTD needs to know that its mitigations are working. When it develops a mitigation, they also define and document the way the mitigation will positively impact safety performance so that they can then monitor whether that positive impact is taking place, and if the mitigation is effective. Under the guidance of the CSO, the subject matter experts involved in creating safety risk mitigation also decide on the best ways to monitor the effectiveness of the mitigation being implemented. This includes developing and documenting monitoring strategies. These strategies provide consistency in monitoring activities, regardless of whether the mitigation is implemented in operations, maintenance, or administration.

SCRTD recognizes that successful mitigation implementation and monitoring activities rely on a formal process for communicating mitigation and monitoring strategies to operations, maintenance, or administration staff who are responsible for implementing and monitoring the mitigations. SCRTD has documented this process under the guidance and facilitation of the CSO. This communication feeds cross-functional ownership in SMS processes since employees who create the mitigations may not be the same employees who implement and monitor the mitigations.

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

# 8. Safety Assurance

SCRTD has established processes to:

- Monitor its operations for compliance with and sufficiency of its policies and procedures;
- Work with external vehicle maintenance providers to ensure that they are performing maintenance that is consistent with SCRTD's ability to safely meet its operational requirements, monitor its contractors, and ensure that they are monitoring their own operations to ensure their internal compliance with all safety policies and procedures;
- Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or that were not implemented as intended;
- Conduct investigations of safety events to identify causal factors; and
- Monitor the effectiveness of its employee safety reporting program.

## Safety Performance Monitoring and Measurement

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

- Safety audits;
- Informal inspections;
- Review of on-board camera footage to access specific incidents;
- Safety surveys;
- Investigation of safety events;
- Safety reviews prior to the launch or modification of any facet of service;
- Daily data gathering and monitoring of data relating to the delivery of service; and
- Regular vehicle inspections and preventative maintenance.

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

### Operations Monitoring

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

Monitoring of compliance with policies and procedures is carried out at SCRTD's two operating locations, at 830 Anthony Drive, Anthony, and 295 Quinella, Sunland Park. Monitoring activities at these two locations is primarily carried out by the Transit Operations Dispatchers that manage each location. However, additional monitoring is carried out by the Transit Supervisor, the Maintenance Supervisor, and the CSO. The operational areas that are monitored for compliance with policies and procedures include, but are not limited to:

- Transit Operator pre-trip inspections
- Transit Operator behind-the-wheel performance

- Transit Operator passenger assistance
- Transit Operator emergency response
- Transit Operations Transit Operations Supervisors and Dispatch activities

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

Within these documented processes, SCRTD describes:

- The job functions responsible for the different areas of field observations;
- How it will record the results of field observations;
- Where these records are stored; and
- How it will address hazards or safety issues identified during field observations.

SCRTD has established and documented emergency procedure checklists that Transit Operations Supervisors and dispatchers can readily access to help direct their response to Transit Operators who may experience an emergency during revenue service. These procedures include, but are not limited to:

- Response to accidents and incidents
- Evacuation of a vehicle under smoke and fire conditions
- Response to a potentially dangerous passenger and other security threats

SCRTD has ensured that operating facility staff have provided descriptions of their processes for monitoring compliance with their operations policies and procedures. The descriptions include the location of where each facility staff captures and stores this information.

SCRTD has a process for auditing its facility staff that monitor operating policies and procedures. This process is documented and stored at SCRTD Headquarters in the CSO's office.

### **Vehicle Maintenance Monitoring**

SCRTD performs all maintenance in-house to ensure that maintenance on all SCRTD vehicles meets industry safety standards in terms of both preventive and corrective maintenance.

SCRTD monitors the following areas within external vehicle maintenance. It documents all monitoring activities and their results, such as:

- Adherence to preventive maintenance schedules.
- Effectiveness of corrective maintenance activities.
- Maintenance-related vehicle road calls.

### **Facility Safety Inspections**

The SCRTD base location in Anthony is owned by the District. The District's maintenance and transportation divisions conduct periodic and documented facility safety inspections of this facility. If a safety issue is identified during the safety inspection at that facility, the District staff respond to the safety issue and mitigates it.

The SCRTD base location in Sunland Park is leased from a private owner. However, the District staff periodic and documented facility safety inspections of this facility. If a safety issue is identified during the safety inspection at that facility, the District staff respond to the safety issue and mitigates it.

### **Fire Hazard and Fire Extinguisher Inspections**

Fire extinguishers are inspected as part of the pre-trip vehicle inspection conducted by operators and documented in the “Operators Vehicle Condition Report” prior to them leaving the transit facility. Vehicle fire extinguishers are inspected and serviced by SCRTD as part of our vehicle preventative maintenance program. Local/county fire departments or County Building Maintenance conduct regular fire hazard inspections at both the Anthony and Sunland Park facilities. If a fire hazard is identified at either of these facilities, it is addressed by either the appropriate member city or the county, respectively. SCRTD Staff at both the Anthony and Sunland Park facilities periodically inspect fire extinguishers that are mounted at the facility. If an issue is identified with the fire extinguisher, the fire extinguisher is immediately recharged or replaced.

SCRTD has ensured that facility staff have provided descriptions of their procedures for periodic on-board vehicle fire extinguisher inspections. The descriptions include the location of where each facility captures and stores this information.

### **Field Observations of Service Delivery**

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

- Bus stops
- Bus transfer locations
- Monitoring the efficiency of fixed-route schedules and service delivery
- Monitoring the efficiency of commuter bus schedules and service delivery
- Monitoring the efficiency of paratransit/demand response schedule and service delivery

The Executive Director or his appointed representative has an overall responsibility to ensure that this monitoring is carried out and documented. Further, if deficiencies are noted during the monitoring process, these deficiencies are documented and addressed as a source of proactive hazard identification through SCRTD’s safety risk management processes. All these service delivery monitoring activities are documented and are stored at the SCRTD Headquarters of the CSO’s office.

### **Safety Risk Mitigation Monitoring**

The CSO has ultimate responsibility for monitoring operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. The CSO is assisted in this activity by the Safety Committee. The actual field monitoring of the mitigations is often carried out by subject matter experts, including those who assisted in the creation of the mitigation through the SRM process. SCRTD documents how it carries out these monitoring strategies to periodically assess the effectiveness of safety risk mitigations. The results of these monitoring activities are reviewed by the Safety Committee and other appropriate staff.

Activities to monitor the effectiveness of safety risk mitigations ultimately assist SCRTD in determining whether the existing mitigation:

- Is working as desired,
- Needs some modification to work as desired,
- Is not working and needs to be replaced, or
- Is no longer needed.

The results of mitigation monitoring activities, safety event documentation, and the results of the analysis of the forms, are made available for further safety risk management activity if needed.

Mitigation monitoring documentation is stored at SCRTD Headquarters in the CSO's office.

### **Safety Event Investigation**

Responsibility for SCRTD's safety event investigation process is shared by the Transit Supervisor and the CSO. Actual performance of safety event investigation, including identifying causal factors, involves not only the CSO and Transit Supervisor, but also SCRTD Transit Operations and Maintenance Supervisors and the Training Coordinator. Local law enforcement responds to accident scenes, as well.

Safety event records provide critical baseline information to support SMS implementation, operation, and safety performance target achievement. SCRTD has documented procedures for safety event investigation. SCRTD has forms, consistent with industry standards, for documenting the results of safety events as well as the subsequent investigation.

After a safety event investigation is complete, SCRTD management, with input from subject matter experts, determines whether the safety event was preventable or non-preventable, and based on that decision, whether discipline of employees involved is required. SCRTD takes the process a step further and performs causal analysis of safety events to help determine if latent organizational factors, beyond individual employee behavior, may have contributed to the event. The results of causal analysis are documented on a causal analysis form.

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

### **Monitoring Internal Safety Reporting Programs**

An effective employee safety reporting program supports hazard identification. The SCRTD CSO has ultimate responsibility for monitoring SCRTD's employee safety reporting program.

SCRTD has established and documented the activities it will use on an ongoing basis to monitor whether its ESRP is effective and achieving desired outcomes. Within this process, SCRTD has established criteria that will determine if the program is performing as desired. Some of the criteria include volume of reports received, value of reports received, response to reports received in terms of hazard identification risk assessment and risk mitigation, how information gathered from the ESRP is shared and communicated, and the timeliness and accuracy of feedback provided to employees who have reported a safety issue, concern, or condition.

The Chief Safety Officer and Safety Committee also routinely review safety data captured in internal and external safety reviews, the drug and alcohol program, safety meeting minutes, 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 SCRTD's SRM process.

## **Continuous Improvement**

SCRTD annually assesses its SMS and safety performance to identify deficiencies in the SMS and in its performance against its general safety performance targets and its safety risk reduction program targets. This enables SCRTD to prioritize resources to address safety risk and assess the effectiveness of its investments.

Processes to ensure continuous improvement include:

- At least annually, the Safety Committee and other applicable personnel meet to review, analyze, and discuss the general targets and the targets set by the Committee for the safety risk reduction program to determine gaps in safety performance.
- When safety performance gaps and unmet targets are identified, conduct in-depth investigations to determine why deficiencies exist.
- Involving safety personnel to make informed resource allocation decisions that balance efficiency with safe operations.
- Utilizing data to identify the need for additional staff training or technical assistance.
- Motivating employees to continue making program improvements by communicating the implemented changes resulting from their input and the benefits those changes have had on system safety.

If, during safety performance monitoring processes, SCRTD finds that it is not meeting an established safety risk reduction program target, it will use its safety risk assessment processes to assess the associated safety risk. The Safety Committee will then recommend mitigations should the risk assessment indicate this is necessary. The agency will document all mitigations recommended by the Safety Committee related to the safety risk reduction program in Appendix F of this ASP.

If SCRTD does not meet an annual safety risk reduction program target, it will allocate its safety set-aside (0.75%) in the following fiscal year to safety-related projects eligible under Section 5307 that are reasonably likely to assist it in meeting the target in the future.

If SCRTD identifies any deficiencies as part of its safety performance assessment, it will develop and carry out, under the direction of the Accountable Executive, a plan to address identified safety deficiencies and make necessary corrective actions. When the agency fails to meet a safety risk reduction program target and the Safety Committee identifies mitigations to address the safety risk associated with the missed target, it will also develop and carry out a plan, under the direction of the Accountable Executive, that includes these mitigations. These plans may include efforts to address underlying hazards and potential consequences through Safety Risk Management, changing data collection or analysis techniques to better understand what is really going on, or testing and evaluating new approaches to SMS processes.

# 9. Safety Promotion

## Competencies and Training

Under the guidance of the Accountable Executive and the CSO, the SCRTD Training Coordinator has the day-to-day responsibility for the development, delivery, and documentation of all SMS-related safety skill competencies and SMS training. Training is provided to operator and maintenance personnel, as well as all employees directly responsible for safety at SCRTD. The program includes de-escalation training provided through a video supplied by the NMDOT on conflict de-escalation and management.

SCRTD has established competencies and training for all personnel directly responsible for safety. This includes the development and delivery of training for SCRTD employees and ensuring that SCRTD contractors provide appropriate SMS-related safety skill competencies and SMS training to their staff. Training is provided to employees at hire and on an ongoing refresher basis.

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 SCRTD employees, including appropriate and compliant frequencies and refresher training, are documented in SCRTD's Safety Training Matrix and the SCRTD Employee Handbook.

### **Training Needs Analysis**

SCRTD, along with the Human Resources department, will periodically conduct training needs analyses to ensure that its training is up to date and that it addresses critical, safety-related concerns. It carries out these training needs analyses by doing the following:

- Reviewing existing job descriptions;
- Identifying which positions, including contractors, have direct responsibility for determining when safety training is needed;
- Determining what SMS roles, responsibilities, and processes may be missing from job descriptions; and
- Working with Human Resources to update job descriptions to reflect SMS practices.

### **New-Hire Transit Operator Training Program**

SCRTD has recently updated and expanded its new-hire Transit Operator training program. SCRTD created comprehensive lesson plans for new-hire, classroom, and hands-on Transit Operator training. Continuation of skill training helps SCRTD to identify hazards, such as training gaps or outdated lesson plans.

SCRTD compiled its new-hire Transit Operator lesson plans and training schedules into one expert instructor guide. Lesson plans and schedules not only assist the instructor in delivering the training, but they also provide a record of the content of the training, should it be needed for any other purpose. All SCRTD new-hire Transit Operator lesson plans and schedules are kept on file at the SCRTD Headquarters in the Training Coordinator's office.

### **Transit Operator Refresher Training**

Transit Operations Supervisors, Dispatchers, and Service Workers receive the same refresher training as Transit Operators. SCRTD presently provides periodic Transit Operator refresher training on a variety of topics, including defensive driving, bloodborne pathogens, wheelchair securement, and emergency

procedures.

NMDOT has mandated certain refresher training initiatives for all transit agencies that fall under its responsibility, throughout the State of New Mexico. SCRTD has lesson plans, agendas, and sign-in sheets to document both the content of the refresher training and individual attendance at that training. These documents are on file at the SCRTD Headquarters in the Training Coordinator's office.

SCRTD also provides re-training for Transit Operators for performance deficits.

#### **Transit Operations Supervisors and Dispatch Training**

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

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

These checklists are also used to document an employee's satisfactory completion of the training and include trainer/trainee signatures and the dates when the training took place. These documents are kept on file at the SCRTD Headquarters in the Training Coordinator's office.

#### **SMS Orientation**

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

SCRTD presented SMS orientation sessions for all employee functions, which addressed the implications of SMS throughout all agency functions. This initiative addressed SMS with experienced employees. SCRTD has also added information about SMS to all new-hire employee orientations. Documentation of these orientations, including agendas of topics covered and trainer/trainee signatures, is kept on file at SCRTD Headquarters in the Training Coordinator's office.

#### **Hazard Identification Orientation for Subject Matter Experts**

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

Employees who participate in safety risk management activities as subject matter experts need to understand how to carry out their responsibilities. The CSO makes sure that subject matter experts are oriented on their safety risk management responsibilities, the desired outcomes of safety risk management activities, and the importance of the effort to SCRTD's safety performance.

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

- Assesses hazards for consequences;

- Conducts safety risk assessments; and
- Creates safety risk mitigations.

Documentation of this ongoing activity is on file at the SCRTD Headquarters in the Training Coordinator's office.

#### **Safety Performance Monitoring Orientation**

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

Orientations include how to perform monitoring activities, as well as external maintenance activities.

Performance monitoring includes such activities as:

- Conducting field observations to ensure operations and maintenance policies and procedures are being followed correctly;
- Assessing and documenting employee safety performance;
- Monitoring the effectiveness of safety risk mitigations; and
- Evaluating the effectiveness of the employee safety program.

Documentation of these activities is kept on file at SCRTD Headquarters in the Training Coordinator's office.

#### **Orientation on Employee Safety Reporting Program (ESRP)**

An effective ESRP is one of the most important tools for hazard identification. SCRTD's ESRP orientation, at a minimum, provides the following information:

- The purpose and benefits of the program;
- Guidelines on the types of safety concerns and issues employees should report;
- Reporting methods available to employees (how to report);
- An explanation of how the information is managed and shared;
- Protections for employees who report safety concerns;
- A description of the operational behaviors that are not protected, which may result in discipline; and
- The agency's commitment to providing feedback on reported safety concerns.

Agendas of the ESRP orientation and attendance records are kept on file at the SCRTD Headquarters in the Training Coordinator's office.

#### **Training Documentation**

Training documentation is a source of hazard identification. Training documentation provides formal proof that employees received training and shows that employees have received timely certification and recertification in critical skill areas. Up-to-date training documentation also assists SCRTD in forecasting future training schedules.

SCRTD training documentation includes:

- Records of training needs analyses for lesson plan development;
- Curricula for initial and refresher training;

- Training schedules and records of all completed training;
- Procedures for revising training materials;
- Course assessment materials; and
- Copies of individual employee training records.

SCRTD records of course completion include:

- Date the training was held;
- Content covered during the training session;
- Length of the session;
- Training format; and
- Signatures of both the instructor and the trainee.

Records of training documentation and course completion are kept on file at the SCRTD Headquarters in the Training Coordinator's office.

### **Training Monitoring**

SCRTD regularly monitors its training and the training of contractors to ensure effectiveness. Specifically, the training monitoring process addresses the following:

- Monitoring training to make sure it delivers the necessary SMS skills and information.
- Establish a process for reviewing and revising training courses and consider review frequency, reviewers, and decision-making process for revisions.

# Safety Communication

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

Safety communication provides a foundation to build SMS processes and activities. SCRTD has ensured that all of its employees are aware of information relevant to their safety-related roles and responsibilities. This information includes explanations of changes to policies, activities, or procedures, and the results of Safety Committee activities. SCRTD has documented its overall approach to both safety communication and any supporting safety communication activities. This overall approach to safety communication is on file at the SCRTD Headquarters in the CSO's office.

SCRTD provides feedback on the safety actions taken in response to reports submitted through the employee safety reporting program. This feedback is provided either directly in a one-on-one conversation or through the safety meeting platform.

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

- Objectives of the communication;
- Content;
- Target audience;
- Format;
- Frequency of communication; and
- Ways to ensure communication was understood.

## Safety Meetings

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

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

SCRTD's documentation of its safety meeting process includes:

- The frequency of employee safety meetings;
- The job functions that are strongly encouraged to attend meetings;
- How it chooses topics to discuss during the meetings; and
- How it addresses those topics within the employee safety meeting.

## Organization-Wide Communication of Hazard and Safety Risk Information

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

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

### **Communication about Safety Risk Mitigations**

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

- It tells employees that the transit agency is doing all it can to reduce risk;
- It brings attention to employee roles and responsibilities that may be affected by new mitigations; and
- Informed employees are better situated to be a source of information on determining how well mitigations are working.

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

### **Organization-Wide Communication of Agency Safety Performance**

Transit agencies implement SMS to help them continuously improve their safety performance.

Communicating agency safety performance information promotes employee "buy-in" to SMS processes, thus further improving the agency's overall safety performance.

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

SCRTD has documented how it communicates safety performance information throughout its organization and to contractors. This documentation is on file at SCRTD Headquarters in the CSO's office. The Accountable Executive is responsible for taking the lead on this communication and ensuring its successful implementation.

## 10. Additional Information

Unless otherwise noted in this ASP, all documents related to the implementation of SCRTD's SMS and the results from SMS processes and activities are stored in the CSO's office at SCRTD Headquarters. These documents are maintained for a minimum of three years after their creation and will be made available upon request by the NMDOT, FTA, or other federal entities. The CSO is a primary point of contact for providing ASP-related information to external agencies to ensure access to these documents.

# 11. Appendix A: Definitions and Acronyms

**Accident** means an Event that involves any of the following: a loss of life; a serious injury to a person; and a collision of public transportation vehicles.

**Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a transit agency; responsibility for carrying out the transit 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.

**Assault on a transit worker** means, as defined under 49 U.S.C. 5302, a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.

**Direct recipient** means an entity that receives Federal financial assistance directly from the Federal Transit Administration.

**Equivalent entity** 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.

**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.

**Injury** means any harm to persons, as a result of an event, that requires immediate medical attention away from the scene.

**Investigation** means the process of determining the causal and contributing factors of a safety event or hazard, for the purpose of preventing recurrence and mitigating safety risk.

**Large urbanized area provider** means a recipient or subrecipient of financial assistance under 49 U.S.C. 5307 that serves an urban area with a population of 200,000 or more as determined by the most recent decennial Census.

**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.

**Near-miss** means a narrowly avoided safety event.

**Operator of a public transportation system** means a provider of public transportation.

**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.

**Potential consequence** means the effect of a hazard.

**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 49 CFR part 673.

**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 Committee** means the formal joint labor-management committee on issues related to safety that is required by 49 U.S.C. 6329 and 49 CFR part 673.

**Safety event** means an unexpected outcome resulting in injury or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

**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 for the management of safety.

**Safety Management System (SMS)** means the formal, 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 hazards and safety risk.

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

**Safety performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, related to safety management activities, to be achieved within a specified time period.

**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** means the composite of predicted severity and likelihood of a potential consequence of a hazard.

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

**Safety Risk Management** means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating the safety risk of the hazard's potential consequences.

**Safety risk mitigation** means a method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.

**Safety set-aside** means the allocation of not less than 0.75 percent of assistance received by a large urbanized area provider under 49 U.S.C. 5307 to safety-related projects eligible under 49 U.S.C. 5307.

**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 across all non-rail fixed route modes or in any one non-fixed route mode 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 that is a recipient or subrecipient of Federal financial assistance under 59 U.S.C. 5307 or a rail transit agency.

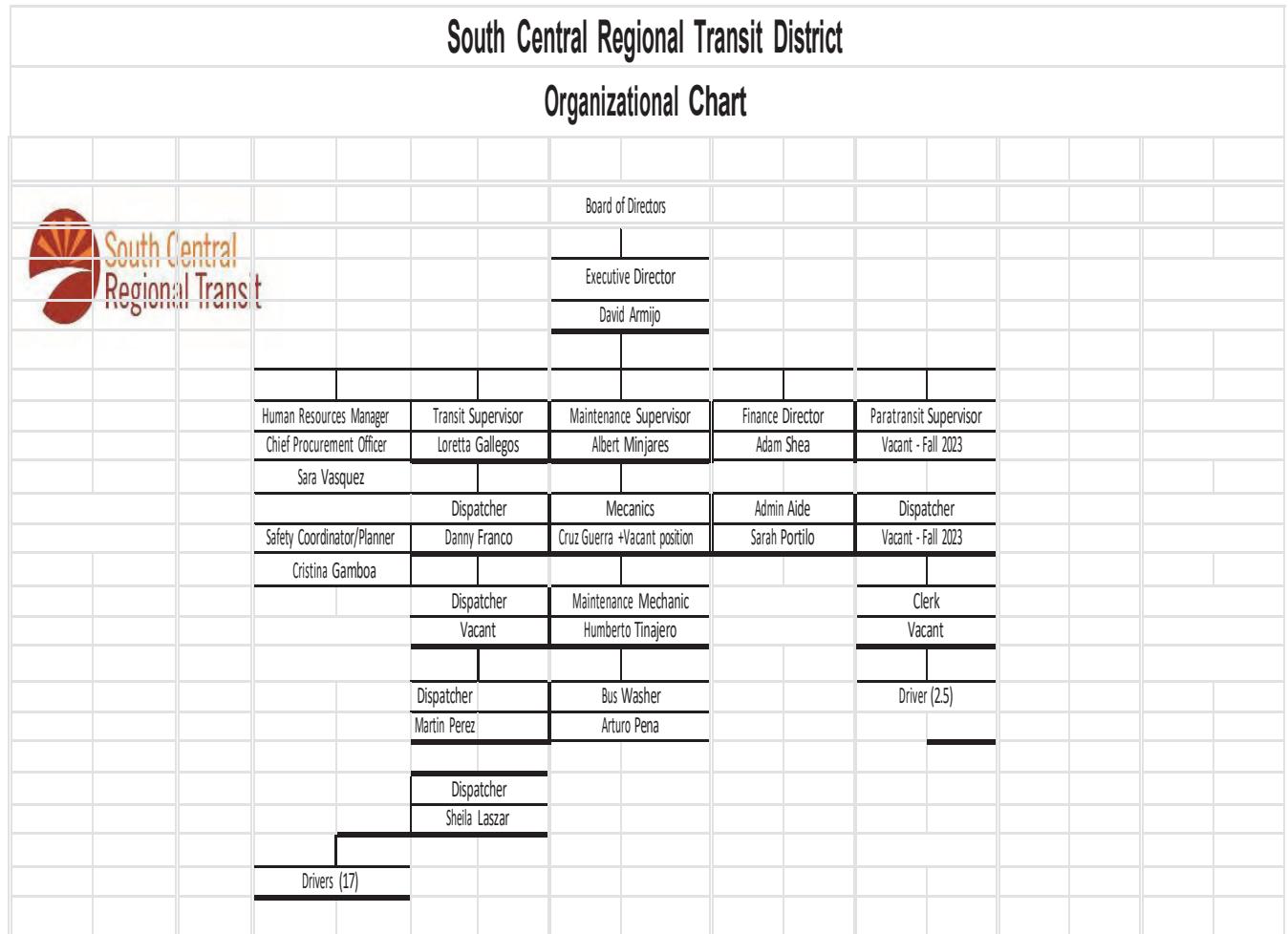
**Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost- effective,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

**Transit worker** means any employee, contractor or volunteer working on behalf of the transit agency.

**Urbanized area** means, as defined under 49 U.S.C. 5302, an area encompassing a population of 50,000 or more that has been defined and designated in the most recent decennial census as an urban area by the Secretary of Commerce.

Acronym or Abbreviation	Meaning
ASP	Agency Safety Plan
CDC	Centers for Disease Control and Prevention of the US Dept. of Health and Human Services
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
NMDOT	New Mexico Department of Transportation
MVMPO	Mesilla Valley MPO
SCRG	South Central Regional Government
RPO	Regional Planning Organization
PTASP	Public Transportation Agency Safety Plans
SCRTD	South Central Regional Transit District
SMPS	Safety Management Policy Statement
SMS	Safety Management System
SRM	Safety Risk Management

## 12. Appendix B: SCRTD Organizational Chart



The organization chart has been updated to reflect the new safety officer position and additional dispatcher, mechanic, and administrative aide plus the 2023 addition of the paratransit program.

# 13. Appendix C: Safety Risk Register Example

Initial Safety Risk Rating			Further Mitigation Action	
Severity of Consequences	Likelihood of Consequences	Safety Risk Index	Further Mitigation Action	
Revised Safety Risk Index		Mitigation Owner and Implementation Date		
Revised Safety Risk Index	Revised Safety Risk Index Date	Department Responsible for Mitigation	Estimated Implementation Date	Contact Person

## 14. Appendix D: Safety Risk Matrix

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

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

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

### Risk Assessment Matrix Color Code

	Unacceptable under the existing circumstances.
	Acceptable based upon mitigations; monitoring is necessary.
	Acceptable under existing circumstances; with senior management approval.

# 15. Appendix E: SCRTD Training Acknowledgement

Topic	Date Completed	Min. Time Hrs.	Act. Time Hrs.	Operator Initials	Trainer Initials
Introductions/Facility Tour		1			
CDL Training Schedule		½			
Transit Operators Manual					
1. General Procedures		½			
2. Driver's Procedures		1			
3. Vehicle Operation		½			
4. Drivers Code of Conduct		½			
5. Appearance		½			
6. Uniforms		½			
7. Driver/Customer Relations		1			
8. Fares		½			
9. Communications		½			
10. Security Procedures		½			
11. Emergency Procedures		½			
12. Busing on the lookout (Video Certification)		1			
Test Drive (Behind the Wheel) & Bus Familiarization					
1. Eldorado		2			
2. Startrans		2			
3. Gillig (Low Floor)		2			
4. International		2			
Total Training Hours		15			

I have received adequate training and/or understand the above.

Employee's Name (Please Print) Employee's Signature Date

# 16. Appendix F: Mitigations Recommended by Safety Committee

Per PTASP regulation sections [673.11\(a\)\(7\)\(iv\)](#), [673.25\(d\)\(5\)](#) and [673.27\(d\)\(3\)\(ii\)](#), as part of SCRTD's **safety risk reduction program**, SCRTD includes the safety risk mitigations identified and recommended by the Safety Committee, based on a safety risk assessment, that are related to vehicular and pedestrian safety events involving transit vehicles and assaults on transit workers.