

# Hill Country Transit District (dba The Hop) Public Transportation Agency Safety Plan

Version 1

Adopted June 25, 2020

In compliance with 49 CFR Part 673

Developed in conjunction with the  
Texas Department of Transportation

## TABLE OF CONTENTS

<b>1. Executive Summary</b> .....	<b>4</b>
A. Plan Adoption – 673.11(a)(1).....	5
B. Certification of Compliance – 673.13(a)(b).....	5
<b>2. Transit Agency Information – 673.23(d)</b> .....	<b>6</b>
A. Authorities & Responsibilities – 673.23(d) .....	9
<b>3. Safety Policies and Procedures</b> .....	<b>10</b>
A. Policy Statement – 673.23(a).....	10
I. Employee Safety Reporting Program – 673.23(b) .....	10
II. Communicating the Policy Throughout the Agency – 673.23(c) .....	11
B. PTASP Development and Coordination with TxDOT – 673.11(d) .....	12
C. PTASP Annual Review – 673.11(a)(5).....	12
D. PTASP Maintenance – 673.11(a)(2)(c) .....	13
E. PTASP Documentation and Recordkeeping – 673.31 .....	14
F. Safety Performance Measures – 673.11(a)(3) .....	14
G. Safety Performance Target Coordination – 673.15(a)(b) .....	16
<b>4. Safety Management Systems – 673 subpart C</b> .....	<b>17</b>
A. Safety Risk Management – 673.25 .....	18
I. Safety Hazard Identification – 673.25(b).....	19
II. Safety Risk Assessment – 673.25(c).....	21
III. Safety Risk Mitigation – 673.25(d).....	23
B. Safety Assurance – 673.27 (a).....	24
I. Safety Performance Monitoring and Measuring – 673.27 (b).....	24
II. Safety Event Investigation – 673.27(B)(3) .....	25
C. Safety Promotion – 673.29 .....	27
I. Safety Competencies and Training – 673.29(a).....	27
II. Safety Communication – 673.29(b) .....	28
<b>5. Appendix A</b> .....	<b>29</b>
A. Glossary of Terms.....	31
B. Additional Acronyms Used.....	35
<b>6. Appendix B</b> .....	<b>36</b>
A. Board Minutes or Resolution .....	36

## LIST OF FIGURES

Figure 1: HCTD Organizational Chart .....	8
Figure 2: Safety Management Systems.....	17
Figure 3: Safety Risk Management Process .....	18
Figure 4: Draft Risk Register.....	19
Figure 5: Safety Risk Assessment Steps in Populating the Risk Register .....	22
Figure 6: Safety Risk Assessment Matrix .....	22
Figure 7: Risk Register Mitigation Component .....	23

## LIST OF TABLES

Table 1: Agency Information.....	7
Table 2: ASP Annual Update Timeline .....	13
Table 3: ASP Record of Changes .....	13
Table 4: NSP Safety Performance Measures.....	14
Table 5: Baseline 2019 Safety Performance Measures.....	15
Table 6: Fixed Route (Bus) Safety Performance Targets.....	15
Table 7: Demand Response Safety Performance Targets.....	15
Table 8: PTASP Supporting Documents .....	29

## 1. EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21st Century (MAP-21) granted the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. MAP-21 expanded the regulatory authority of FTA to oversee safety, providing an opportunity to assist transit agencies in moving towards a more holistic, performance-based approach to Safety Management Systems (SMS). This authority was continued through the Fixing America's Surface Transportation Act (FAST Act).

In compliance with MAP-21 and the FAST Act, FTA promulgated a Public Transportation Safety Program on August 11, 2016 that adopted SMS as the foundation for developing and implementing a Safety Program. FTA is committed to developing, implementing, and consistently improving strategies and processes to ensure that transit achieves the highest practicable level of safety. SMS helps organizations improve upon their safety performance by supporting the institutionalization of beliefs, practices, and procedures for identifying, mitigating, and monitoring safety risks.

There are several components of the national safety program, including the National Public Transportation Safety Plan (NSP), that FTA published to provide guidance on managing safety risks and safety hazards. One element of the NSP is the Transit Asset Management (TAM) Plan. Public transportation agencies implemented TAM plans across the industry in 2018. The subject of this document is the Public Transportation Agency Safety Plan (PTASP) rule, 49 CFR Part 673, and guidance provided by FTA.

Safety is a core business function of all public transportation providers and should be systematically applied to every aspect of service delivery. At HCTD, all levels of management, administration and operations are responsible for the safety of their clientele and themselves. To improve public transportation safety to the highest practicable level in the State of Texas and comply with FTA requirements, the Texas Department of Transportation (TxDOT) has developed this Agency Safety Plan (ASP) in collaboration with the Hill Country Transit District (HCTD).

To ensure that the necessary processes are in place to accomplish both enhanced safety at the local level and the goals of the NSP, HCTD adopts this ASP and the tenets of SMS including a Safety Management Policy (SMP) and the processes for Safety Risk Management (SRM), Safety Assurance (SA), and Safety Promotion (SP), per 49 U.S.C. 5329(d)(1)(A).<sup>1</sup> While safety has always been a primary function at HCTD, this document lays out a process to fully implement an SMS over the next several years that complies with the PTASP final rule.

---

<sup>1</sup> Federal Register, Vol. 81, No. 24

**A. Plan Adoption – 673.11(a)(1)**

This Public Transit Agency Safety Plan is hereby adopted, certified as compliant, and signed by:

Carole Warlick, General Manager



6-25-2020

ACCOUNTABLE EXECUTIVE SIGNATURE

DATE

The main governing body of HCTD (dba The HOP) is the Board of Directors. Approval of this plan by the HCTD Board of Directors occurred on June 25, 2020 and is documented in a Board Resolution (Appendix B of this document) from the Board Meeting.

**B. Certification of Compliance – 673.13(a)(b)**

TxDOT certifies on July 15, 2020, that this Agency Safety Plan is in full compliance with 49 CFR Part 673 and has been adopted and will be implemented by HCTD as evidenced by the plan adoption signature and necessary Board of Directors approvals under Section 1.A of this plan.

## 2. TRANSIT AGENCY INFORMATION – 673.23(D)

HCTD is the public transportation provider for the 9-county area in central Texas, including:

- Bell County
- Coryell County
- Hamilton County
- Lampasas County
- Llano County
- Mason County
- Milam County
- Mills County
- San Saba County

The HCTD administration office is located at 906 So. High (PO Box 217), San Saba, TX 76877. HCTD coordinates many kinds of trips, including both fixed route and demand response. Service is provided to passengers with disabilities via the Special Transit Service (STS) which often connects with the Fixed Route Service (FRS). HCTD partners with several area social service agencies to provide transportation to their clients. HCTD is governed by a Board of Directors that includes representation of each county served, and of each major city in the Urban service area. HCTD encourages social service agencies and the general public to use the public transit system. To the maximum extent possible, HCTD, serving as the region's existing transportation provider, works to meet transportation requirements through the use of the public transit system in several ways:

- HCTD encourages users and agencies to use fixed route service whenever possible.
- HCTD provides an easy means for agencies to purchase tokens, multi-ride tickets, and month passes for their clients for use on fixed route service.
- HCTD provides travel training for agencies and groups.
- Agencies and members of the general public can rely on HCTD as the existing transportation provider to continue to serve the area, merging rural and urban service.

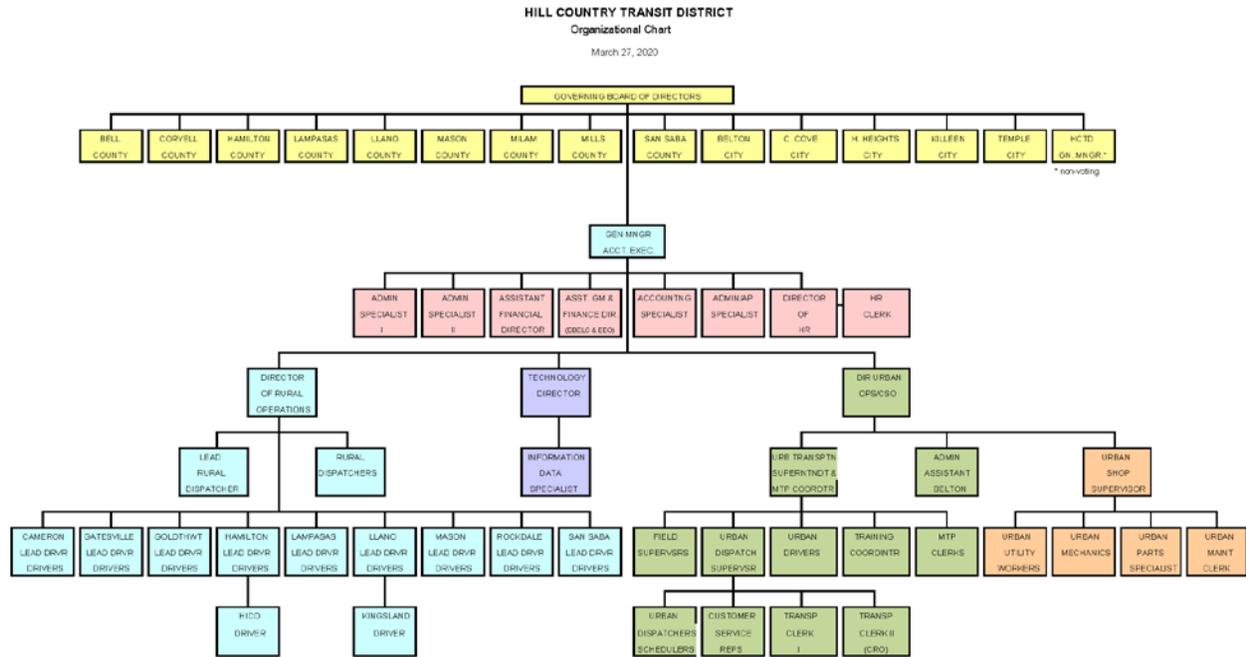
Through cooperation and financial support of cities, businesses, TxDOT, and the FTA, HCTD has more than 170 passenger shelters throughout the cities of Copperas Cove, Killeen, Harker Heights, Belton, and Temple. This means well over 30% of all fixed route bus stops have passenger shelters installed for attractiveness, ease of identifying bus stops, protection from the weather, and passenger comfort. No additional transit service is provided by HCTD on behalf of another transit agency or entity at the time of the development of this plan.

Table 1 contains agency information, while an organizational chart for HCTD is provided in Figure 1.

TABLE 1: AGENCY INFORMATION

Information Type	Information
Full Transit Agency Name	Hill Country Transit District
Transit Agency Address	PO Box 217 (906 S High), San Saba, TX 76877
Name and Title of Accountable Executive 673.23(d)(1)	Carole Warlick, General Manager
Name of Chief Safety Officer or SMS Executive 673.23(d)(2)	Darrell Burtner, Director of Urban Operations/CSO
Temporary Project Manager	Darrell Burtner
Key Staff	Derek Czapnik, Transportation Superintendent; Tony Austin, Director of Rural Operations
Mode(s) of Service Covered by This Plan 673.11(b)	Fixed Route Service (FRS) & Special Transit Service (STS)
List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5310, 5311, 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Service (FRS) & Special Transit Service (STS)
Number of Vehicles Operated	130

FIGURE 1: HCTD ORGANIZATIONAL CHART



## A. Authorities & Responsibilities – 673.23(d)

As stated in 49 CFR Part 673.23(d), HCTD is establishing the necessary authority, accountabilities, and responsibilities for the management of safety amongst the key individuals within the organization, as those individuals relate to the development and management of our SMS. In general, the following defines the authority and responsibilities associated with our organization.

The **Accountable Executive** has ultimate responsibility for carrying out the SMS of our public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the ASP (in accordance with 49 U.S.C. 5329(d)), and the agency's TAM Plan, in accordance with 49 U.S.C. 5326. The Accountable Executive has authority and responsibility to address substandard performance in the HCTD SMS, per 673.23(d)(1).

**Agency leadership and executive management** include members of our agency leadership or executive management, other than the Accountable Executive, Chief Safety Officer (CSO)/SMS Executive, who have authority or responsibility for day-to-day implementation and operation of our agency's SMS.

The **CSO** is an adequately trained individual who has the authority and responsibility as designated by the Accountable Executive for the day-to-day implementation and operation of the HCTD SMS. As such, the CSO is able to report directly to our transit agency's Accountable Executive.

**Key staff** are staff, groups of staff, or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating our agency's SMS.

**Front line employees** perform the daily tasks and activities where hazards can be readily identified so the identified hazards can be addressed before the hazards become adverse events. These employees are critical to SMS success through each employee's respective role in reporting safety hazards, which is where an effective SMS and a positive safety culture begins.

Further detail on this authority and these responsibilities are described at length in the *Safety Management System* document (Appendix A, Table 8 shows the document name, file name, and date of adoption). In addition, over the next year, HCTD will be reviewing and modifying, if necessary, our current job descriptions to ensure the job descriptions comply with 49 CFR Part 673.

### 3. SAFETY POLICIES AND PROCEDURES

#### A. Policy Statement – 673.23(a)

Safety is Hill Country Transit District’s first priority. HCTD is committed to implementing, developing, and improving strategies, management systems, and processes to ensure that all actives uphold the highest level of safety performance and meet required safety standards.

HCTD will develop and embed a safety culture in all activities that recognizes the importance and value of effective safety management and acknowledges at all times that safety is paramount.

We will clearly explain to all staff their accountabilities and responsibilities for the development and operation of the Safety Management System.

For passengers and employees, HCTD will minimize the safety risk associated with transit service to as low as reasonably practicable and will work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards. We also will work to ensure that all employees are provided with adequate and appropriate safety information and training, are competent in safety matters, and are only allocated tasks commensurate with their skills.

HCTD has established safety performance targets (SPT) to help measure the overall effectiveness of our processes and to ensure that safety objectives are met. Quarterly reports will be provided to the entire organization documenting how well we met out safety performance targets and describing the safety risk mitigations that were implemented to reduce safety risk.

#### I. Employee Safety Reporting Program – 673.23(b)

Frontline employees are a significant source of safety data. These employees are typically the first to spot unsafe conditions that arise from unplanned conditions either on the vehicles, in the maintenance shop, or in the field during operations. For this reason, the Employee Safety Reporting Program (ESRP) is a major tenet of the PTASP Rule. Under this rule, agencies must establish and implement a process that allows employees to report safety conditions directly to senior management; provides protections for employees who report safety conditions to senior management; and includes a description of employee behaviors that may result in disciplinary action.

HCTD has a policy in place found in *Section VIII Safety and Security* of the *Employee Handbook* (Appendix A, Table 8 shows the document name, file name, and date of adoption), which is applicable to the reporting of accidents and injuries. The procedure requires accidents and injuries to be submitted to the supervisor immediately after the occurrence and employees to report any unsafe acts and conditions. Employees are also required to comply with HCTD’s accident and injury documentation procedures. Over the next year, HCTD will review and modify, if necessary, our *Employee Handbook* procedures to develop them into a full ESRP to ensure that the procedures comply with 49 CFR Part 673.

As contained in HCTD's *Employee Handbook*, HCTD has a Suggestion Program that allows for both anonymous and identified communication of suggestions for improvement. This process requires the employee to first approach their immediate supervisor. If the matter cannot be resolved with the immediate supervisor, the General Manager has final authority. HCTD employees are protected from retaliation for using the Suggestion Program in good faith and HCTD maintains the confidentiality of the employee making the complaint.

For specific safety reports, *Section 2 Defect Identification* of HCTD's *Maintenance Plan and Transit Asset Management Plan (TAMP)* (Appendix A), includes a form called, "Defect Card". This form allows drivers to report any safety related defects and hazards identified following Pre- and Post-Trip Inspections.

HCTD has two procedures for customer complaints and comments. The First is relevant to complaints that are made on-site to drivers. As per the *Urban Site Operating Procedures* (Appendix A), drivers are to direct customers who wish to make a complaint while on-site to administrative staff. All other comments and complaints are covered under the *Customer Comments and Complaints* section of HCTD's *Urban Process/Procedure* document (Appendix A). Customers can submit comments and complaints in writing by mail, email or by phone. This process can allow for customers to remain anonymous. These complaints are also logged and compiled for monthly and quarterly reports.

In general, the HCTD's ESRP will ensure that all employees are encouraged to report safety conditions directly to senior management or their direct supervisor for elevation to senior management. The policy will include any contract employees. The policy will also spell out what protections are afforded employees who report safety related conditions and will describe employee behaviors that are not covered by those protections. The policy will also elaborate on how safety conditions that are reported will be reported back to the initiator(s) – either to the individual or groups of individuals or organization, dependent on the nature of the safety condition.

To bolster the information received from frontline employees, HCTD will also review our current policy for how our agency receives information and safety related data from employees and customers and. If necessary, HCTD will develop additional means for receiving, investigating and reporting the results from investigations back to the initiator (s) – either to the person, groups of persons, or distributed agency-wide to ensure that future reporting is encouraged.

## II. Communicating the Policy Throughout the Agency – 673.23(c)

HCTD is committed to ensuring the safety of our clientele, personnel and operations. Part of that commitment is developing an SMS and agencywide safety culture that reduces agency risk to the lowest level possible. The first step in developing a full SMS and agencywide safety culture is communicating our SMP throughout our agency.

The SMP and safety objectives are at the forefront of all communications. This communication strategy will include posting the policy on the Bulletin Board, located in a prominent work location for existing employees and adding the policy statement to the on-boarding material for all new employees. In

addition, the policy statement will become part of our agency's regular safety meetings and other safety communications efforts. The policy will be signed by the Accountable Executive so that all employees know that the policy is supported by management.

### *B. PTASP Development and Coordination with TxDOT – 673.11(d)*

This PTASP has been developed by TxDOT on behalf of the Killeen-Temple Metropolitan Planning Organization (MPO), also known as KTMPO, and HCTD in accordance with all requirements stated in 49 CFR Part 673 applicable to a small public transportation provider. TxDOT mailed a formal call for participation in a State sponsored PTASP development process to all Texas Section 5307 small bus transit agencies on January 15, 2019 and followed that call with a series of phone calls and additional correspondence. HCTD provided a letter to TxDOT opting into participation on March 15, 2019 and has been an active participant in the development of this plan through sharing existing documentation and participating in communication and coordination throughout the development of this plan. The HCTD documentation used in the development of this plan is presented in Table 8, in Appendix A.

In support of tracking performance on our SA and SP processes, HCTD conducts a yearly safety culture survey. The survey is intended to help HCTD assess how well we communicate safety and safety performance information throughout our organization by gauging how safety is perceived and embraced by HCTD's administrators, supervisors, staff and contractors. The survey is designed to help us assess how well we are conveying information on hazards and safety risks relevant to employees' roles and responsibilities and informing employees of safety actions taken in response to reports submitted through our ESRP. Results from our most recent survey were analyzed and incorporated into the implementation strategies contained in this ASP.

Once the documents were reviewed, an on-site interview was conducted with HCTD to gain a better understanding of the agency. This understanding was necessary to ensure that the ASP was developed to fit HCTD's size, operational characteristics, and capabilities.

The draft ASP was delivered to HCTD in March 2020 for review and comment. Once review was completed and any adjustments were made, the final was delivered to HCTD for review and adoption.

### *C. PTASP Annual Review – 673.11(a)(5)*

In accordance with 49 U.S.C. 5329(d)(1)(D), this plan includes provisions for annual updates of the SMS. As part of HCTD's ongoing commitment to fully implementing SMS and engaging our agency employees in developing a robust safety culture, HCTD will review the ASP and all supporting documentation annually. The review will be conducted as a precursor to certifying to FTA that the ASP is fully compliant with 49 CFR Part 673 and accurately reflects the agency's current implementation status. Certification will be accomplished through HCTD's annual Certifications and Assurances reporting to FTA.

The annual review will include the ASP and supporting documents (Standard Operating Procedures [SOP], Policies, Manuals, etc.) that are used to fully implement all the processes used to manage safety

at HCTD. All changes will be noted (as discussed below) and the Accountable Executive will sign and date the title page of this document and provide documentation of approval by the HCTD Board of Directors whether by signature or by reference to resolution.

The annual ASP review will follow the update activities and schedule provided below in Table 2. As processes are changed to fully implement SMS or new processes are developed, HCTD will track those changes for use in the annual review.

**TABLE 2: ASP ANNUAL UPDATE TIMELINE**

Task	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept
Review Agency Operations	→							
Review SMS Documentation <ul style="list-style-type: none"> <li>• Safety Policy;</li> <li>• Risk Management;</li> <li>• Safety Assurance; and</li> <li>• Safety Promotion.</li> </ul>		→						
Review Previous Targets and Set or Continue Targets			→					
Report Targets to National Transit Database (NTD), TxDOT, KTMO					→			
Make Any Necessary Adjustments to PTASP						→		
Update Version No., Adopt & Certify Plan Compliance								★

The following table, Table 3, will be used to record final changes made to the ASP during the annual update. This table will be a permanent record of the changes to the ASP over time.

**TABLE 3: ASP RECORD OF CHANGES**

Document Version	Section/Pages Changed	Reason for Change	Reviewer Name	Date of Change
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text

The implementation of SMS is an ongoing and iterative process, and as such this PTASP is a working document. Therefore, a clear record of changes and adjustments is kept in the PTASP for the benefit of safety plan performance management and to comply with Federal statutes.

#### D. PTASP Maintenance – 673.11(a)(2)(c)

HCTD will follow the annual review process outlined above and adjust this ASP as necessary to accurately reflect current implementation status. This plan will document the processes and activities related to SMS implementation as required under 49 CFR Part 673 Subpart C and will make necessary updates to this ASP as HCTD continues to develop and refine our SMS implementation.

### E. PTASP Documentation and Recordkeeping – 673.31

At all times, HCTD will maintain documents that set forth our ASP, including those documents related to the implementation of HCTD’s SMS and those documents related to the results from SMS processes and activities. HCTD will also maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that our agency uses to carry out our ASP and all iterations of those documents. These documents will be made available upon request to the FTA, other Federal entity, or TxDOT. HCTD will maintain these documents for a minimum of three years after the documents are created. These additional supporting documents are cataloged in Appendix A and the list will be kept current as part of the annual ASP review and update.

### F. Safety Performance Measures – 673.11(a)(3)

The PTASP Final Rule, 49 CFR Part 673.11(a)(3), requires that all public transportation providers must develop an ASP to include SPTs based on the safety performance measures established under the NSP. The safety performance measures outlined in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the NTD. The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (State of Good Repair as developed and tracked in the TAM Plan).

There are seven (7) SPTs that must be included in each ASP that are based on the four (4) performance measures in the NSP. These SPTs are presented in terms of total numbers reported and rate per Vehicle Revenue Mile (VRM). Each of the seven (7) is required to be reported by mode as presented in Table 4.

TABLE 4: NSP SAFETY PERFORMANCE MEASURES

Safety Performance Measure	SPT	
Fatalities	Total Number Reported	Rate Per Total VRM
Injuries	Total Number Reported	Rate Per Total VRM
Safety Events	Total Number Reported	Rate Per Total VRM
System Reliability	Mean distance between major mechanical failure	

Table 5 presents baseline numbers for each of the performance measures. HCTD collected the past five (5) years of reported data to develop the rolling averages listed in the table.

TABLE 5: BASELINE 2019 SAFETY PERFORMANCE MEASURES

Mode	Fatalities	Rate of Fatalities*	Injuries	Rate of Injuries*	Safety Events	Rate of Safety Events*	Mean Distance Between Major Mechanical Failure
Fixed Route (Bus)	0	0	1	.00016%	2	.00038%	9,383 VRM
Demand Response	0	0	3	.00018%	5	.00029%	17,584 VRM

\*rate = total number for the year/total revenue vehicle miles traveled

While safety has always been a major component of the HCTD operation, the adoption of this ASP will result in changes across all aspects of the organization. The SPTs set in Table 6 and Table 7 reflect an acknowledgment that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. We will set our targets at the current NTD reported five-year average as we begin the process of fully implementing our SMS and developing our targeted safety improvements. This will ensure that we do no worse than our baseline performance over the last five years.

TABLE 6: FIXED ROUTE (BUS) SAFETY PERFORMANCE TARGETS

Mode	Baseline	Target
Fatalities	0	0
Rate of Fatalities*	0	0
Injuries	1	0
Rate of Injuries*	.00016%	.00000%
Safety Events	2	1
Rate of Safety Events*	.00038%	.00017%
Mean Distance Between Major Mechanical Failure	9,383 VRM	10,321 VRM

\*rate = total number for the year/total revenue vehicle miles traveled

TABLE 7: DEMAND RESPONSE SAFETY PERFORMANCE TARGETS

Mode	Baseline	Target
Fatalities	0	0
Rate of Fatalities*	0	0
Injuries	3	2
Rate of Injuries*	.00018%	.00012%
Safety Events	5	3
Rate of Safety Events*	.00029%	.00018%
System Reliability	17,584 VRM	19,342 VRM
Other	0	0

\*rate = total number for the year/total revenue vehicle miles traveled

As part of the annual review of the ASP, HCTD will reevaluate our SPTs and determine whether the SPTs need to be refined. As more data is collected as part of the SRM process discussed later in this plan,

HCTD may begin developing safety performance indicators to help inform management on safety related investments.

### *G. Safety Performance Target Coordination – 673.15(a)(b)*

HCTD will make our SPTs available to TxDOT and the KTMPO to aid in those agencies' respective regional and long-range planning processes. To the maximum extent practicable, HCTD will coordinate with TxDOT and KTMPO in the selection of State and MPO SPTs as documented in the Interagency Memorandum of Understanding (MOU).

Each year during the FTA Certifications and Assurances reporting process, HCTD will transmit any updates to our SPTs to both the KTMPO and TxDOT (unless those agencies specify another time in writing).

## 4. SAFETY MANAGEMENT SYSTEMS – 673 SUBPART C

As noted previously, FTA has adopted SMS as the basis for improving safety across the public transportation industry. In compliance with the National Safety Program, National Public Transportation Safety Plan, and 49 CFR Part 673, HCTD has adopted an SMS as the basis for directing and managing safety and risk at our agency. HCTD has always viewed safety as a core business function. All levels of management and employees are accountable for appropriately identifying and effectively managing risk in all activities and operations in order to deliver improvements in safety and reduce risk to the lowest practical level during service delivery. Over the next year, HCTD will be reviewing and modifying, if necessary, our current Safety Management Systems to ensure that the procedures comply with 49 CFR Part 673.

SMS is comprised of four basic components - SMP, SRM, SA, and SP. The SMP and SP are the enablers that provide structure and supporting activities that make SRM and SA possible and sustainable. The SRM and SA are the processes and activities for effectively managing safety as presented in Figure 2.

FIGURE 2: SAFETY MANAGEMENT SYSTEMS



Implementing SMS at HCTD will be a major undertaking over the next several years. This ASP is the first step to putting in place a systematic approach to managing the agency's risk. HCTD has already taken several steps to implement SMS, such as developing this initial ASP and designating a CSO. During the first year of implementation, HCTD will identify SMS roles and responsibilities, key stakeholder groups and key staff to support this process. HCTD will also ensure that these key staff receive SMS training, develop a plan for implementing SMS, inform stakeholders about the ASP, and discuss our progress with the HCTD Board of Directors and planning partners.

### A. Safety Risk Management – 673.25

By adopting this ASP, HCTD is establishing the SRM process presented in Figure 3 for identifying hazards and analyzing, assessing and mitigating safety risk in compliance with the requirements of 49 CFR Part 673.25. The SRM processes described in this section are designed to implement the HCTD SMS.

FIGURE 3: SAFETY RISK MANAGEMENT PROCESS



The implementation of the SRM component of the SMS will be carried out over the course of the next year. The SRM components will be implemented through a program of improvement during which the SRM processes will be implemented, reviewed, evaluated and revised, as necessary, to ensure the processes are achieving the intended safety objectives as the processes are fully incorporated into HCTD's SOPs.

The SRM is focused on implementing and improving actionable strategies that HCTD has undertaken to identify, assess and mitigate risk. The creation of a Risk Register provides an accessible resource for documenting the SRM process, tracking the identified risks, and documenting the effectiveness of mitigation strategies in meeting defined safety objectives and performance measures. The draft Risk Register is presented in Figure 4.

FIGURE 4: DRAFT RISK REGISTER

Hazard	Type	Likelihood	Consequence	Resolution



What is wrong?



What could happen



What could mitigate this?

As the SRM process progresses through the steps of identifying what may be wrong, what could happen as a result, and what steps HCTD is taking to resolve the risk and mitigate the hazard, the CSO completes and publishes the various components of the Risk Register. These components include the use of safety hazard identification, safety risk assessment, and safety risk mitigation, as described in the following sections.

### I. Safety Hazard Identification – 673.25(b)

HCTD’s *Urban Site Operating Procedures* (Appendix A) document includes two sections regarding hazard identification. Lists of these hazards are provided in the *Special Transit Service (STS) Hazardous Locations* and *Fixed Route Service (FRS) Hazardous Locations* sections.

Safety Data Sheets (SDS) are on display for all employees to view and access. These sheets are maintained by the Urban Fleet Manager. The SDS policy is provided in *Section 8 Safety Data Sheet* of the *TAMP* (Appendix A). Also provided in HCTD’s *TAMP* is *Section 11 Facility Inspection and Maintenance*. As part of these procedures, a Preventive Maintenance Inspection (PMI) is conducted and a PMI Report produced which includes safety concerns identified during the PMI process.

Although the current procedures have been effective in achieving our safety objectives, to ensure compliance with 49 CFR Part 673, HCTD is working to implement the following expanded SRM process.

The HCTD SRM process is a forward-looking effort to identify safety hazards that could potentially result in negative safety outcomes. In the SRM process, a hazard is 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.

Hazard identification focuses on out-of-the-norm conditions that need special attention or immediate action, new procedures, or training to resolve a condition that is unacceptable and return conditions to an acceptable level. HCTD uses a variety of mechanisms for identifying and documenting hazards, namely:

- Through training and reporting procedures, HCTD ensures personnel can identify hazards and that each employee clearly understands that the employee has a responsibility to immediately report any safety hazards identified to the employee's supervisors. Continued training helps employees to develop and improve the skills needed to identify hazards.
- Employee hazard training coupled with the ESRP ensures that HCTD has full use of information from frontline employees for hazard identification.
- Upon receiving the hazard report, supervisors communicate the identified hazard to the CSO for entry into the risk register for risk assessment, classification and possible mitigation.
- In carrying out the risk assessment, the CSO uses standard reporting forms (e.g. *Pre- and Post-Trip Inspection Forms, Defect Card, Road Call Report and Accident Report*) and other reports completed on a routine basis by administrative, operations and maintenance. The HCTD *Employee Handbook* contains procedures for flagging and reporting hazards as a part of day-to-day operations.
- Supervisors in particular are responsible for performing and documenting regular safety assessments, which include reporting and recommending methods to reduce identified hazards.
- HCTD uses incident reports and records to determine specific areas of training that need to be covered with employees to ensure safety hazard identification is continually improved, and thus ensure that hazards are identified before an event recurrence.
- Incident reports are also analyzed by the risk management team to identify any recurring patterns or themes that would help to identify underlying hazards and root causes of the event that can be mitigated to prevent recurrence.
- If a hazard is such that an employee would be reluctant to report the information due to perceived negative consequences (e.g. disciplinary action), alternative, anonymous reporting mechanisms are available through an anonymous suggestion box or anonymous online reporting form, or other secure mechanism.
- To increase the safety knowledge of our agency, the CSO, risk management personnel and subject matter experts are also encouraged to participate in available professional development activities and peer-to-peer exchanges as a source of expertise and information on lessons learned and best practices in hazard identification.
- Other sources for hazard identification include:

- ESRP
- Inspections of personnel job performance, vehicles, facilities and other data
- Investigations of safety events
- Safety trend analysis on data currently collected
- Training and evaluation records
- Internal safety audits
- External sources of hazard information could include:
  - FTA and other federal or state authorities
  - Reports from the public
  - Safety bulletins from manufacturers or industry associations

In addition to identifying the hazard, the hazard identification process also classifies the hazard by type (organizational, technical or environmental) to assist the CSO in identifying the optimal combination of departmental leadership and subject matter expertise to select in assembling the safety risk assessment team.

The various hazard types can also be categorized by subcategory for each type. For example, organizational hazards can be subcategorized into resourcing, procedural, training or supervisory hazards. Each of the subcategories implies different types of mitigation strategies and potentially affect overall agency resources through varying costs for implementation. Technical hazards can be subcategorized into operational, maintenance, design and equipment. Additionally, environmental hazards can be subcategorized into weather and natural, which is always a factor for every operation.

## II. Safety Risk Assessment – 673.25(c)

As part of the new SRM process, HCTD has developed methods to assess the likelihood and severity of the consequences of identified hazards, and prioritizes the hazards based on the safety risk. The process continues the use of the Risk Register described in the previous section to address the next two components.

To accurately assess a risk, HCTD may need to perform an investigation. HCTD currently investigates accidents or crashes, but will need to develop a full investigation procedure to inform the SRM process. The investigation procedure will start with the STS and FRS Hazardous Locations list and framework found in the *Urban Site Operating Procedures* and will be developed to cover all risk assessment. Once fully developed, the document will become the Investigation SOP. The SOP will include accident investigation procedures as well as risk investigation procedures. These procedures will be used to investigate risks identified from multiple sources including the ESRP.

Safety risk is based on an assessment of the likelihood of a potential consequence and the potential severity of the consequences in terms of resulting harm or damage. The risk assessment also considers

any previous mitigation efforts and the effectiveness of those efforts. The results of the assessment are used to populate the third and fourth components of the Risk Register as presented in Figure 5.

FIGURE 5: SAFETY RISK ASSESSMENT STEPS IN POPULATING THE RISK REGISTER

Hazard	Type	Likelihood	Consequence	Resolution

The risk assessment is conducted by the CSO and their risk management team supplemented by subject matter experts from the respective department or section to which the risk applies. The process employs a safety risk matrix, similar to the one presented in Figure 6, that allows the safety team to visualize the assessed likelihood and severity, and to help decision-makers understand when actions are necessary to reduce or mitigate safety risk.

FIGURE 6: SAFETY RISK ASSESSMENT MATRIX

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

Although the current version of the matrix relies heavily on the examples and samples that are listed on the PTASP Technical Assistance Center website, lessons learned from the implementation process during

the coming years will be used to customize the matrix that HCTD will use to address our unique operating realities and leadership guidance.

The Risk Assessment Matrix is an important tool. If a risk is assessed and falls within one of the red zones, the risk is determined to be unacceptable under existing circumstances. This determination means that management must take action to mitigate the situation. This is the point in the process when SRMs are developed. If the risk is assessed and falls within one of the yellow zones, the risk is determined to be acceptable, but monitoring is necessary. If the risk falls within one of the green zones, the risk is acceptable under the existing circumstances.

Once a hazard’s likelihood and severity have been assessed, the CSO enters the hazard assessment into the Risk Register that is used to document the individual hazard and the type of risk it represents. This information is used to move to the next step, which is hazard mitigation.

### III. Safety Risk Mitigation – 673.25(d)

Upon completion of the risk assessment, the CSO and the safety team continue populating the Risk Register by identifying mitigations or strategies necessary to reduce the likelihood and/or severity of the consequences. The goal of this step is to avoid or eliminate the hazard or, when elimination is not likely or feasible, to reduce the assessed risk rating to an acceptable level (Figure 7). However, mitigations do not typically eliminate the risk entirely.

FIGURE 7: RISK REGISTER MITIGATION COMPONENT

Hazard	Type	Likelihood	Consequence	Resolution

To accomplish this objective, the CSO, through the risk management team, works with subject matter experts from the respective department or section to which the risk applies. The risk management team then conducts a brainstorming exercise to elicit feedback from staff and supervisors with the highest level of expertise in the components of the hazard.

Documented risk resolution and hazard mitigation activities from previous Risk Register entries and the resolution’s documented level of success at achieving the desired safety objectives may also be reviewed and considered in the process. If the hazard is external (e.g., roadway construction by an

outside agency) information and input from external actors or experts may also be sought to take advantage of all reasonably available resources and avoid any unintended consequences.

Once a mitigation strategy is selected and adopted, the strategy is assigned to an appropriate staff member or team for implementation. The assigned personnel and the personnel's specific responsibilities are entered into the Risk Register. Among the responsibilities of the mitigation team leader is the documentation of the mitigation effort, including whether the mitigation was carried out as designed and whether the intended safety objectives were achieved. This information is recorded in the appendix to the Risk Register for use in subsequent SA activities and to monitor the effectiveness of the SRM program.

## B. Safety Assurance – 673.27 (a)

Safety Assurance means processes within the HCTD SMS that function to ensure a) the implementation and effectiveness of safety risk mitigation, and b) HCTD meets or exceeds our safety objectives through the collection, measurement, analysis and assessment of information.

SA helps to ensure early identification of potential safety issues. SA also ensures that safeguards are in place and are effective in meeting HCTD's critical safety objectives and contribute towards SPTs.

### I. Safety Performance Monitoring and Measuring – 673.27 (b)

As the first step in the HCTD's SA program, HCTD collects and monitors data on safety performance indicators through a variety of mechanisms described in the following sections. Safety performance indicators can provide early warning signs about safety risks. HCTD currently relies primarily on lagging indicators representing negative safety outcomes that should be avoided or mitigated in the future. However, initiatives are underway to adopt a more robust set of leading indicators that monitor conditions that are likely to contribute to negative outcomes in the future. In addition to the day-to-day monitoring and investigation procedures detailed below, HCTD will review and document the safety performance monitoring and measuring processes as part of the annual update of this ASP.

#### MONITORING COMPLIANCE AND SUFFICIENCY OF PROCEDURES – 673.27 (B)(1)

HCTD monitors our system for personnel compliance with operations and maintenance procedures and also monitors these procedures for sufficiency in meeting safety objectives. A list of documents describing the safety related operations and maintenance procedures cited in this ASP is provided in Appendix A of this document.

Supervisors monitor employee compliance with HCTD SOPs through direct observation and review of information from internal reporting systems such as the procedures in HCTD's *Employee Handbook* from both employees and customers.

HCTD addresses non-compliance with standard procedures for operations and maintenance activities through a variety of actions, including revision to training materials and delivery of employee and

supervisor training if the non-compliance is systemic. If the non-compliance is situational, then activities may include supplemental individualized training, coaching, and heightened management oversight, among other remedies.

Sometimes personnel are fully complying with the procedures, but the operations and maintenance procedures are inadequate and pose the risk of negative safety outcomes. In this case, the cognizant person submits the deficiency or description of the inadequate procedures to the SRM process. Through the SRM process, the SRM team will then evaluate and analyze the potential organizational hazard and assign the identified hazard for mitigation and resolution, as appropriate. The SRM team will also conduct periodic self-evaluation and mitigation of any identified deficiencies in the SRM process itself.

#### MONITORING OPERATIONS – 673.27(B)(2)

Supervisors are required to monitor investigation reports of safety events and SRM resolution reports to monitor the department’s operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. If it is determined that the safety risk mitigation did not bring the risk to an acceptable level or otherwise failed to meet safety objectives, then the supervisor resubmits the safety risk/hazard to the SRM process. The CSO will work with the supervisor and subject matter experts to reanalyze the hazard and consequences and identify additional mitigation or alternative approaches to implementing the mitigation.

#### II. Safety Event Investigation – 673.27(B)(3)

HCTD currently conducts investigations of safety events through the Accident Review Committee (ARC). From an SA perspective, the objective of the investigation is to identify causal factors of the event and to identify actionable strategies that HCTD can employ to address any identifiable organizational, technical or environmental hazard at the root cause of the safety event.

Safety Event Investigations that seek beyond superficial circumstances to identify and document the root cause of an accident or other safety event are a critical component of the SA process because they are a primary resource for the collection, measurement, analysis and assessment of information. HCTD uses a variety of mechanisms for identifying and documenting root causes of accidents and incidents, including but not limited to:

1. Obtain from the Operator the following information:
  - a. The location of the incident and what direction they were traveling (inbound or outbound); if in station, indicate the situation.
  - b. The bus number and the route that they are on.
  - c. If there are injuries, describe how serious they appear (don’t be too graphic, just generalize).
  - d. Provide information about any other vehicles or pedestrians involved and their descriptions.
2. Remind the operator of the safety procedures:

- a. Turn on 4-way flashers. Place traffic warning devices (orange triangles).
  - b. Recheck anyone with injuries, do not move the seriously injured.
  - c. Render comfort and aid to anyone injured, as may be appropriate.
  - d. Evacuate the bus, if necessary.
  - e. Keep the two-way radio on and monitored.
  - f. Hand out courtesy cards to the passengers and to any witnesses.
  - g. Move the vehicle to the side of the road unless it is inoperable.
3. Notify the following:
    - a. Call the Police. Call Emergency Medical Personnel (EMP) 911
    - b. Notify/call the CSO and immediate supervisor on duty at the time.
  4. The supervisor will:
    - a. Determine whether the General Manager or Assistant General Manager needs to be contacted but will give them a report when the supervisor finishes the initial assessment.
    - b. Let the Operator know that Police and supervision have been contacted and help is on the way.
    - c. Assign a Standby Operator to pre-trip a bus in case a standby must drive the next round for the operator on that route. When needed, the Standby Operator may take a bus out to continue a route.
    - d. Let the Operator know that a Standby Operator and bus have been assigned to continue the route or that support personnel are bringing another bus out to them.
    - e. Refer the operator for required drug and alcohol testing in compliance with 49 CFR § 655.44 Post-accident testing, if the safety event meets the definition of accident in 49 CFR § 655.4.
    - f. Return to the station.
    - g. Record all accident information on the Daily Dispatch log, any missed trips, downtime, or bus change outs.
  5. Dispatcher on duty will give the Operator an incident report to complete before the Operator leaves that day. Dispatcher will put the Operator's report in the CSO's box.
  6. The CSO, working with content specialists, evaluates the incident report and other available information to determine the root cause of the accident/event. Follow up with driver or other cognizant parties may be necessary to elicit additional information.
  7. The CSO identifies any hazards noted in the incident report and refers those hazards to the SRM process.

#### MONITORING INTERNAL SAFETY REPORTING PROGRAMS – 673.27(B)(4)

As a primary part of the internal safety reporting program, HCTD monitors information reported using Defect Cards, Road Call Reports, Accident Reports, Incident Reports and Personal Injury Reports. When a report originating through the ESRP process documents a safety hazard, the supervisor submits the hazards identified through the internal reporting process, including previous mitigation in place at the time of the safety event. The supervisor submits the hazard report to the SRM process to be analyzed, evaluated and, if appropriate, assigned for mitigation/resolution.

## OTHER SAFETY ASSURANCE INITIATIVES

Because leading indicators can be more useful for safety performance monitoring and measurement than lagging indicators, HCTD is undertaking efforts to implement processes to identify and monitor more leading indicators or conditions that have the potential to become or contribute to negative safety outcomes. This may include trend analysis of environmental conditions through monitoring National Weather Service data; monitoring trends toward or away from meeting the identified SPTs; or other indicators as appropriate.

### C. Safety Promotion – 673.29

Management support is essential to developing and implementing SMS. SP includes all aspects of how, why, when and to whom management communicates safety related topics. SP also includes when and how training is provided. The following sections outline both the safety competencies and training that HCTD will implement and how safety related information will be communicated.

#### I. Safety Competencies and Training – 673.29(a)

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

As part of SMS implementation, HCTD will be conducting the following activities:

- Conduct a thorough review of all current general staff categories (administrative, driver, supervisor, mechanic, maintenance, etc.) and the respective staff safety related responsibilities.
- Assess the training requirements spelled out in 49 CFR Part 672 and the various courses required for different positions. (HCTD is not subject to the requirements under 49 CFR Part 672 but will review the training requirements to understand what training is being required of other larger agencies in the event these trainings might be useful).
- Assess the training material available on the FTA PTASP Technical Assistance Center website.
- Review other training material available from industry sources such as the Community Transportation Association of America and the American Public Transportation Association websites.
- Develop a set of competencies and trainings required to meet the safety related activities for each general staff category.
- Develop expectations for ongoing safety training and safety meeting attendance.
- Develop a training matrix to track progress on individuals and groups within the organization.

- Adjust job notices associated with general staff categories to ensure that new personnel understand the safety related competencies and training needs and the safety related responsibilities of the job.
- Include refresher training in all trainings and apply it to the agency personnel and contractors.

## II. Safety Communication – 673.29(b)

HCTD regularly communicates safety and safety performance information throughout our agency's organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through the ESRP (noted in 3.A.I) or other means.

HCTD staff report any safety related information to the HCTD Board of Directors at their regular meetings and include safety performance information. In addition, HCTD holds regularly scheduled meetings with drivers to ensure that any safety related information is passed along that would affect the execution of the drivers' duties. HCTD also posts safety related and other pertinent information in a common room for all employees.

HCTD will begin systematically collecting, cataloging, and, where appropriate, analyzing and reporting safety and performance information to all staff. To determine what information should be reported, how the information should be reported and to whom, HCTD will answer the following questions:

- What information does this individual need to do their job?
- How can we ensure the individual understands what is communicated?
- How can we ensure the individual understands what action must be taken as a result of the information?
- How can we ensure the information is accurate and kept up-to-date?
- Are there any privacy or security concerns to consider when sharing information? If so, what should we do to address these concerns?

In addition, HCTD will review our current communications strategies and determine whether others are needed. As part of this effort, HCTD has conducted, and will continue to conduct, a Safety Culture Survey to understand how safety is perceived in the workplace and what areas HCTD should be addressing to fully implement a safety culture at our agency.

## 5. APPENDIX A

TABLE 8: PTASP SUPPORTING DOCUMENTS

File Name	Revision Date	Document Name	Document Owner
19-04 Urban Performance Report - Final.pdf	N/A	The HOT- Performance Reports	Hill Country Transit District
2018 EE Handbook December 2018.pdf	Dec-18	Employee Handbook	Hill Country Transit District
Accident Record Trends and Analysis.xls	Jul-05	Accident Record Trends and Analysis Excel	Hill Country Transit District
Accident Review Committee Procedures - Update as of April 2, 2019 - Final.pdf	N/A	Accident Review Committee Procedures	Hill Country Transit District
Board By-Laws Revised 2-11-19.doc	N/A	Hill Country Transit District By-Laws	Hill Country Transit District
Complaint Process 19-05-14.docx	May-19	Urban Process/Procedure Customer Comments & Complaints	Hill Country Transit District
CTAA Accreditation Checklist.pdf	N/A	The Community Transportation Safety and Security Accreditation (CTSSA) Program. Reviewer Accreditation Checklist	Community Transportation Association
DRAFT Drug Alcohol Policy 11-2018.doc	Nov-18	Policy for Drug and Alcohol Abuse Testing	Hill Country Transit District
Driver Training Manual.pdf	N/A	Urban Site Operating Procedures	Hill Country Transit District
Emergency Alarm 15-07-01.docx	3/15/2017	Emergency Alarm Process	Hill Country Transit District
Emergency Evacuation Drills 14-08-21.docx	3/15/2017	Urban Divisions Emergency Evacuation Process	Hill Country Transit District
Emergency Management Plan.docx	N/A	Emergency Management Plan and Business Continuity and Disaster Recovery Plan	Hill Country Transit District
Employee Manual 2018 New Hire Orientation.pdf	N/A	Employee Manual 2018 New Hire Orientation	Hill Country Transit District
Employee Training Policy 04-2014.pdf	Apr-14	Employee Training Policy	Hill Country Transit District
Hazard Locations Log.pdf	10/1/2018	STS Hazardous Locations	Hill Country Transit District

File Name	Revision Date	Document Name	Document Owner
HCTD Fact Sheet.doc	N/A	HCTD Fact Sheet	Hill Country Transit District
HCTD Org Chart 07-01-17.xls	N/A	Org Chart	Hill Country Transit District
HCTD Profile.docx	N/A	Grantee Profile	Hill Country Transit District
Internal Control Manual Rev. 2019.pdf	2/28/2019	Internal Control Manual	Hill Country Transit District
IT Infrastructure.doc	N/A	IT Infrastructure and Cyber Security Summary	Hill Country Transit District
KTMPO-TxDOT-HCTD MOU 1-18.pdf	1/23/2019	Memo of understanding KTMPO and TxDOT and HCTD	N/A
MAINTENANCE PLAN FOR 2018 final 171211 rsa.pdf	Jan-18	Maintenance Plan and Transit Asset Management Plan (TAMP)	Hill Country Transit District
Procurement Policy Rev. 2018.pdf	Dec-18	Procurement Policies and Procedures Manual	Hill Country Transit District
Rural Maintenance Plan Feb. 2018.pdf	Feb-18	Fleet Maintenance Plan Rural Division	Hill Country Transit District
Safety & Security Plan 2018.pdf	1/30/2018	Safety Management System	Hill Country Transit District
Safety & Security Summary.pdf	12/31/2018	Safety CY 2018 Reporting- 60091	Hill Country Transit District
SAFETY INITIATIVES.docx	N/A	Safety Initiatives	N/A
Shop Safety Presentation.pptx	12/18/2017	Shop Safety Power Point	Hill Country Transit District
System Safety Program Plan.pdf	5/22/2014	System Safety Program Plan	Hill Country Transit District
TAMP 2019.pdf	2019	Transit Asset Management Plan (TAMP) Annual Report 2019	N/A
TAP Manuel 12-11.pdf	Nov-11	Techniques in Assisting Passengers Training Program	Hill Country Transit District/MGM Training Center
Triennial Review Report 2017.pdf	2017	Triennial Review Report 2017	USDOT FTA
UPWP-2018-2019-approved-2017.05.17-Rev-2017.07.26.pdf	2018-2019	UPWP 2018-2019	Killeen-Temple MPO

File Name	Revision Date	Document Name	Document Owner
Urban Fixed Route Driver 1-18.pdf	1/2/2018	Job Description: Urban Fixed Route Bus Driver	Hill Country Transit District

## A. Glossary of Terms

**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 transit vehicles; an evacuation for life safety reasons; at any location, at any time, whatever the cause.

**Accountable Executive (typically the highest executive in the agency):** means a single, identifiable person who has ultimate responsibility for carrying out the SMS of a public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the agency’s PTASP, in accordance with 49 U.S.C. 5329(d), and the agency’s TAM Plan in accordance with 49 U.S.C. 5326.

**Agency Leadership and Executive Management:** means those members of agency leadership or executive management (other than an Accountable Executive, CSO, or SMS Executive) who have authorities or responsibilities for day-to-day implementation and operation of an agency’s SMS.

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

**Corrective Maintenance:** Specific, unscheduled maintenance typically performed to identify, isolate, and rectify a condition or fault so that the failed asset or asset component can be restored to a safe operational condition within the tolerances or limits established for in-service operations.

**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 PTASP.

**Event:** means an accident, incident, or occurrence.

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

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

**Key staff:** means a group of staff or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating the agency's SMS.

**Major Mechanical Failures:** means failures caused by vehicle malfunctions or subpar vehicle condition which requires that the vehicle be pulled from service.

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

**Occurrence:** means an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

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

**Passenger:** means a person, other than an operator, who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.

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

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

**Preventative Maintenance:** means regular, scheduled, and/or recurring maintenance of assets (equipment and facilities) as required by manufacturer or vendor requirements, typically for the purpose of maintaining assets in satisfactory operating condition. Preventative maintenance is conducted by providing for systematic inspection, detection, and correction of anticipated failures either before they occur or before they develop into major defects. Preventative maintenance is maintenance, including tests, measurements, adjustments, and parts replacement, performed specifically to prevent faults from occurring. The primary goal of preventative maintenance is to avoid or mitigate the consequences of failure of equipment.

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

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

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

**Road Calls:** means specific, unscheduled maintenance requiring either the emergency repair or service of a piece of equipment in the field or the towing of the unit to the garage or shop.

**Safety Assurance (SA):** means the process within a transit agency's SMS that functions to ensure the implementation and effectiveness of safety risk mitigation and ensures that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

**Safety Management Policy (SMP):** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of the agency's employees regarding safety.

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

**Safety Management System (SMS) Executive:** means a CSO or an equivalent.

**Safety Objective:** means a general goal or desired outcome related to safety.

**Safety Performance:** means an organization's safety effectiveness and efficiency, as defined by safety performance indicators and targets, measured against the organization's safety objectives.

**Safety Performance Indicator:** means a data-driven, quantifiable parameter used for monitoring and assessing safety performance.

**Safety 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.

**Safety Performance Monitoring:** means activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets.

**Safety Performance Target (SPT):** means a quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

**Safety Promotion (SP):** 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 assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.

**Safety Risk Assessment:** means the formal activity whereby a transit agency determines SRM priorities by establishing the significance or value of its safety risks.

**Safety Risk Management (SRM):** means a process within a transit agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.

**Safety Risk Mitigation:** means the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.

**Safety Risk Probability:** means the likelihood that a consequence might occur, taking as reference the worst foreseeable, but credible, condition.

**Safety Risk Severity:** means the anticipated effects of a consequence, should the consequence materialize, taking as reference the worst foreseeable, but credible, condition.

**Serious Injury:** means any injury which:

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

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

**State:** means a State of the United States, the District of Columbia, or the Territories of 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.

**State Safety Oversight Agency:** means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR part 674.

**Transit Agency:** means an operator of a public transportation system.

**Transit Asset Management (TAM) 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.

**Vehicle Revenue Miles (VRM):** means the miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include layover/recovery time and exclude deadhead; operator training; vehicle maintenance testing; and school bus and charter services.

## *B. Additional Acronyms Used*

**ARC:** Accident Review Committee

**ASP:** Agency Safety Plan

**dba:** doing business as

**EMP:** Emergency Medical Personnel

**ESRP:** Employee Safety Reporting Program

**FAST Act:** Fixing America's Surface Transportation Act

**FRS:** Fixed Route Service

**HCTD:** Hill Country Transit District

**KTMPO:** Killeen-Temple Metropolitan Planning Organization

**MAP-21:** Moving Ahead for Progress in the 21<sup>st</sup> Century Act

**MOU:** Memorandum of Understanding

**MPO:** Metropolitan Planning Organization

**NTD:** National Transit Database

**SDS:** Safety Data Sheet

**SOP:** Standard Operating Procedure

**STS:** Special Transit Service

**TAMP:** Maintenance Plan and Transit Asset Management Plan

**TxDOT:** Texas Department of Transportation

## **6. APPENDIX B**

### *A. Board Minutes or Resolution*

Board of Directors Resolution, adopting the HCTD PTASP, is shown on the following page.

HILL COUNTRY TRANSIT DISTRICT  
BOARD OF DIRECTORS RESOLUTION

STATE OF TEXAS

COUNTY OF SAN SABA

On the 25<sup>th</sup> day of June, 2020, at a meeting of the Board of Directors of Hill Country Transit District, held in the city of San Saba, San Saba County, with a quorum of the Directors present, the following business was conducted:

It was duly moved and seconded that the following Resolution be adopted:

BE IT RESOLVED that the Board of Directors of the above District, as the governing entity responsible for policy decisions, have reviewed and do hereby approve the Hill Country Transit District Public Transportation Agency Safety Plan (PTASP), which will provide guidance to HCTD staff in achieving the highest practicable level of safety. The Plan includes processes for Safety Risk Management, Safety Assurance, and Safety Promotion, and supports the National Safety Program.

The above resolution was passed by a majority of those present and voting in accordance with the By-Laws.

I certify that the above and foregoing constitutes a true and correct copy of a part of the minutes of a meeting of the Board of Directors of Hill Country Transit District held on the 25<sup>th</sup> day of June, 2020.



Board Chair

Subscribed and sworn to before me, Louise Moreno, a Notary Public for the State of Texas, on the 29<sup>th</sup> day of June, 2020.



Notary Public

State of Texas

Signature: Louise Moreno