
Technical Advisory Committee

Monday, December 14, 2020

Regular Session

Item H2

CRANE Transit Safety Plan Targets

Staff Contact: Andres Gomez, MPO Program Manager



Grand Island, Nebraska CRANE PUBLIC TRANSIT

Public Transportation Agency Safety Plan

December 2020



Agency Safety Plan

Grand Island CRANE Public Transit, §673.11(b)

Nebraska Department of Transportation

Adopted Date:

Revised Date:

Accountable Executive: Charley Falmlen, Transit Program Manager

Prepared by:



Date: December 2020

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Introduction

Document Organization

CRANE Public Transit is committed to providing a safe work environment for employees and visitors and a safe operating environment for customers and travelers throughout Grand Island and Hall County who interact with CRANE Public Transit. To ensure the plan complies with 40 U.S.C 5329 and 40 Code of Federal Regulations (CFR) 673, sections following this introduction adhere to the sample structure provided by the Federal Transit Administration (FTA) in *Public Transportation Agency Safety Plan Template for Bus Transit* (December 31, 2019). The Appendix contains definitions, background, process, and supplementary documents.

This plan complements the Local Emergency Operations Plan (LEOP) created and maintained by Hall County Emergency Management. The current LEOP overlaps in many of the topic areas identified through the federal guidance to be addressed in the Public Transportation Agency Safety Plan (PTASP). Thus, to reduce duplication of effort in future updates and use application of actions from the plans, each of the planning and operations documents addressing safety were reviewed and the logical primary source for information and direction was documented. The PTASP addresses hazards that arise during day-to-day operations, while the LEOP addresses the agency's response to external threats, such as extreme weather and intentional attacks. A third plan, the Regional Transit Needs Assessment and Feasibility Study, contains up-to-date information about the size, service schedule, and other characteristics of the CRANE transit system. Table 1 provides a quick guide to the contents of each document.

Plan Development

The City of Grand Island (as the designated public transit provider for the city) and the Nebraska Department of Transportation (NDOT) drafted the CRANE Public Transit Agency Safety Plan (PTASP), with the assistance of SRF Consulting Group, Inc. During this process, a series of three workshops and a pre-workshop/conference call provided opportunities for input and collaboration with the City of Grand Island staff and its current transit service contractor Senior Citizens Industries, Inc. (SCI). Workshop participants included Charley Falmlen, Transit Program Manager (City of Grand Island); Cecelia Grotz, Director of Compliance and Transit Relations (SCI), Bob McFarland, Interim Executive Director (SCI), Kari Ruse, Transit Director (NDOT) and Andres Gomez, Program Manager (Grand Island Area MPO).

Topics covered in each workshop are provided below:

- **Pre-Workshop Meeting.** Discussed the Public Transportation Agency Safety Plan (PTASP) and Safety Management Systems (SMS) process, identified the roles and responsibilities of the Accountable Executive and the Chief Safety Officer, discussed revisions to a previous draft PTASP plan for CRANE Public Transit and included a discussion on the desired deliverables.

- **Workshop 1.** Covered the current safety practices at CRANE Public Transit and the revisions necessary to move towards a SMS approach, established the safety culture, set seven safety performance targets, and introduced the hazard risk matrix as a framework for discussion of hazards in Workshop 2.
- **Workshop 2.** Focused on risk management through assigning hazards to the hazard risk matrix. This workshop assessed the likelihood and severity of identified hazards and discussed concepts for mitigation for the hazards. By running through examples encountered over the past five years, personnel gained practice at identifying and mitigating hazards in the future.
- **Workshop 3.** Synthesized the input received during the first two workshops by presenting the draft safety plan for comments and revisions.

The planning process ran from September 2020 through the approval of the plan by the City of Grand Island and certification by the NDOT in November 2020.

Table 1. Table 1. Plan Comparison Matrix

Element Descriptions	Resident Document		
	PTASP	Hall County LEOP	Regional Transit Needs Assessment
Goals/Objectives/Targets			
Safety	■	■	
Security		■	
Transit System Description			■
Roles and Responsibilities			
Safety	■		
Security		■	
Safety Management Policy	■		
Safety Risk Management	■		
Threat and Vulnerability Identification/ Resolution		■	
Safety Assurance	■		
Safety Promotion	■		

Outcomes from the workshops are reflected throughout the plan in call-out boxes, with full meeting records included in the Appendix. This plan is a “living document,” tested and reaffirmed through

daily executed processes and with annual reporting and updates to the plan to be recorded as revisions.

About CRANE Public Transit

Information outlining CRANE Public Transit operations and its organization is provided in the Regional Transit Needs Assessment and Feasibility Study (December 2017). A summary of their service is generally described as demand response, urban-rural bus service, currently operated under contract with Senior Citizens Industries, Inc. Future contracts/contractors will be determined based upon a competitive procurement process; however, the safety policies, practices and procedures are reflective of the requirements that are placed on a contractor that “stands in the shoes” of the City of Grand Island (urban service) and its local government co-funder Hall County (rural service).

CRANE Public Transit service is open for both the general public and elderly/disabled individuals. SCI employs approximately 22 staff members in its provision of CRANE Public Transit service, with a majority in safety-sensitive positions(drivers/dispatchers). In addition, two City of Grand Island’s employees have responsibility for the CRANE Public Transit service as an FTA designated recipient. As this service provides demand response service within the community, this is the single transportation mode included in the CRANE PTASP.

Division of responsibilities between the City of Grand Island and SCI, its current contractor, are generally described as follows:

- **City of Grand Island:** Plans, administers and monitors efficiency and effectiveness of CRANE Public Transit services for the residents of Grand Island and Hall County, Nebraska.
- **SCI (Contractor):** Delivers and monitors daily CRANE Public Transit service; is responsible for the upkeep of facilities housing its operations; maintains the CRANE Public Transit fleet either through the City of Grand Island’s Fleet Maintenance or contracted to independent businesses.

The CRANE ASP and Safety Management Systems

Moving Ahead for Progress in the 21st Century (MAP-21) granted the FTA the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. It provided an opportunity for FTA to assist transit agencies in moving towards a more holistic, performance-based approach known as the Safety Management System (SMS) as illustrated in Figure 1.

Figure 1. SMS Elements



SMS is a formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. It includes systematic procedures, practices, and policies for managing risks and hazards, and consists of four primary elements:

- **Safety Management Policy:** A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees regarding safe practices.
- **Safety Risk Management:** A process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Safety Assurance:** A process within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Promotion:** A combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

Existing CRANE Public Transit Policy and Protocol

CRANE Public Transit has other plans and policies that complement the PTASP by elaborating on detailed aspects of day-to-day operations and other policies applicable to their operation. They include but are not limited to the following plans/safety documents are available in the office of the Transit Program Manager. Once the new website is completed, the document will be included on its website.

- Nebraska Vehicle Program Management Manual (August 2016) - State to Designated Recipient requirements
- Vehicle Equipment Maintenance Plan (2019) - Designated Recipient to Contractor requirements
- 2019 Facility Maintenance Plan (2019) – Designated Recipient to Contractor requirements
- CRANE Public Transit Vehicle Maintenance Manual (July 2019) – Contractor document
- Drug and Alcohol Testing Program and Policy (July 2014)
- Passenger Handbook (August 2019)
- Personnel Policies – Employee Handbook (October 2019)

1. Transit Agency Information

Table 2 provides an overview of CRANE Public Transit's contact persons and other information of immediate relevance to the FTA.

Table 2. Transit Agency Information

Transit Agency Name	CRANE Public Transit
Transit Agency Address	1016 Diers Avenue, Suite 119, Grand Island, Nebraska, 68803
Name and Title of Accountable Executive	Charley Falmlen, Transit Program Manager
Name of Chief Safety Officer or SMS Executive	Cecelia Grotz, Director of Compliance and Transit Relations
Modes of Service Covered by This Plan	Demand Response (Paratransit)
All FTA Funding Types	5307 and 5311
Modes of Service Directly Provided by the Transit Agency	Demand Response (Paratransit)
Does the agency provide transit services on behalf of another transit agency or entity?	No
Description of Arrangement(s)	N/A
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service is Provided	N/A

2. Plan Development, Approval, and Updates

The Agency Safety Plan for CRANE Public Transit is a “living document.” As major revisions occur, the entire plan will be reproduced and distributed. For minor revisions, only the affected pages will be issued. As new sections/documents are received, previous revisions of the document shall be retained in an archive for future reference. Table 3 documents the most recent approvals of this plan, and Table 4 records the complete history of successive versions.

Table 3. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Nebraska Department of Transportation	
Signature by the Accountable Executive		December 15, 2020
	Charley Falmlen, Transit Program Manager	Date of Signature
Approval by the Board of Directors or an Equivalent Authority		December 15, 2020
	John Collins, Public Works Director	Date of Approval
Review by the Chief Safety Officer/SMS Executive		December 15, 2020
	Cecelia Grotz, Director of Compliance and Transit Relations, Senior Citizen's Industries, Inc.	Date of Approval
Certification of Compliance		December 15, 2020
	Kari Ruse, Transit Manager Nebraska Department of Transportation	Date of Certification

Table 4. Version Number and Updates

Version Number	Section/Pages Affected	Reason for Change	Date Issued
Rev. 0	Full Document	Initial PTASP developed November 2020 by NDOT and SRF Consulting Group, Inc., in consultation with CRANE Public Transit/SCI management.	Dec. 30, 2020

Annual Review and Update of the Agency Safety Plan

The Crane Public Transit PTASP, including the Safety Management Policy Statement, is reviewed annually (October/November of each year) to ensure it remains relevant and appropriate to the agency's safety objectives and safety performance targets, per § 673.11(a)(5). Following review and updating as warranted, the plan is certified by the Transit Program Manager and approved by the Public Works Director, as well as the Nebraska Department of Transportation (NDOT) Transit Manager and the current contractor's SMS Executive/Chief Safety Officer.

As a component of the annual PTASP review process completed in October/November of each calendar year, CRANE Public Transit will communicate updated safety performance indicators to the NDOT and the Grand Island Area Metropolitan Planning Organization (GIAMPO), to aid in their planning processes. In coordination with the state and GIAMPO, CRANE Public Transit may adjust its safety performance targets or develop new safety performance measurement areas for tracking and monitoring by the agency.

Updates to the PTASP are recorded in the Version Number and Updates, including a version history. All documentation shall be retained for a minimum of three years after completion of the service contract.

3. Safety Performance Targets

Clearly defined safety goals, objectives, and targets are key elements of CRANE Public Transit's safety program and strategic planning process; however, until recently the agency was subject to rural transit safety reporting for its Section 5311 program only, which requires fewer safety metrics than is required by the PTASP. Additionally, the City of Grand Island was designated a 5307 FTA recipient in 2019. Transit system staff have been working diligently with FTA's Region 7 office to align its policies, programs and plans with its new designation and funding. As a result, CRANE Public Transit is in the process of revising its safety program, starting with overarching goals and objectives and specifically identifying a new monitoring/tracking system for safety data. This section of the PTASP will describe the changes made to-date and its plan for further modifications.

Safety Goals and Objectives

Safety program goals and objectives are the first step toward a comprehensive safety program. Table 5 details CRANE Public Transit's high-level goals and objectives, with goals being the general description of desirable long-term impacts and objectives being specific statements that define measurable results of working towards goal attainment.

Table 5. CRANE Safety Goals and Objectives

Goal 1: CRANE Public Transit promotes a culture that supports employee safety and security and safe system operation (during normal and emergency conditions). The culture is established through motivated compliance, rules and procedures, the appropriate use and operation of equipment, and an active safety promoting role for everyone in the organization
Objectives
Establish, as part of the duties of the Transit Program Manager, oversight of the agency's transit safety program
Develop a Safety Committee
Establish regular safety committee meetings to address training needs, review events/incidents and develop safety awareness activities and programs
In the first year of the CRANE PTASP, develop a safety performance target monitoring/tracking system
Enhance safety input and feedback processes
Expand employee safety training opportunities
Goal 2: CRANE Public Transit encourages safe system operation through identifying hazards, mitigating risk, and promoting methods/practices to reduce occurrences
Objectives
Implement and maintain a hazard identification and risk assessment program, and based on the results of this program, establish a course of action for improving safety and reducing hazards
Achieve a level of safety performance that meets or exceeds the agency's established performance targets

These goals and objectives will be the cornerstone of its new safety program as a combined 5307 and 5311 funding designee.

Safety Performance Targets

Setting safety performance targets, based upon the above goals and objectives, is a key element of the agency's safety program. These targets will align with the [National Public Transportation Safety Plan](#) and include the following data reporting:

- Crashes by severity
- Safety events (use the NTD's S and S-40/50 Forms) or record:
 - Fatalities
 - Injuries requiring transport
 - Incidents resulting in >\$25,00 in damage
 - Incidents that require towing a CRANE vehicle
 - Incidents/conditions requiring evacuation of a CRANE Public Transit facility/vehicle for life safety reasons
- Vehicle service failures that result in that vehicle not starting or completing the assigned trip

As stated as a safety objective, CRANE Public Transit will develop a safety monitoring/tracking program for each of the target areas. With the exception of fatalities, the targets will reflect CRANE improving each year from the three-year baseline condition for the target area. For the injury, safety event and system reliability categories, CRANE Public Transit will use the following safety performance target policy:

- Using data reported for the previous three-year period, establish an annual average number of and rate of occurrence for incidents observed in each category.
- Going forward from the established baseline, CRANE Public Transit strives to improve on conditions observed in the current baseline period.
- Every three-years, CRANE Public Transit will recalculate the baseline levels for the target categories.

No fatalities have occurred in the transit system's history; therefore, the CRANE Public Transit believes it has sufficient data to establish fatality targets of zero for the absolute number per year and zero for the rate per revenue mile.

Table 6 illustrates the agency's timeline and milestones for establishing a baseline and safety performance targets for the remaining five targets required in the PTASP using the following definitions:

- **Fatalities:** Total number of reportable fatalities and rate per 100,000 vehicle revenue miles
- **Injuries:** Total number of reportable injuries and rate per 100,000 vehicle revenue miles

- **Safety Events:** Total number of reportable events and rate per 100,000 vehicle revenue miles (event, as defined in § 673.5)
- **System Reliability:** Mean (or average) revenue miles of service between major mechanical failures

Table 6. Performance Target Timeline and Milestones

Date	Milestone
June 30, 2021	Develop a monitoring/tracking system for safety data, with assistance from the newly-created Safety Committee
June 30, 2022	Year 1 data completed
June 30, 2023	Year 2 data completed
June 30, 2024	Year 3 data completed
October 31, 2024	Establish a three-year baseline and first safety performance targets; Review/Modify the baseline and safety performance targets annually from this date forward

Table 7 illustrates the current status and target of the seven performance measures. In a plan such as the PTASP, it is critical to demonstrate a connection between the performance measures and system goals. Therefore, the table also details which safety goals is/will be supported by the performance target.

Table 7. Demand Response (Paratransit) 2020-2024 Safety Performance Targets

Safety Performance Category		2021 Baseline	Target	Goal Supported
Fatalities	Total	0	0	1 2
	Rate per 100,000 VRM	0	0	1 2
Injuries (Minor/Major)	Total	TBD	Reduction from 2024 baseline	1 2
	Rate per 100,000 VRM	TBD	Reduction from 2024 baseline	1 2
Safety Events (Minor/Major)	Total	TBD	Reduction from 2024 baseline	1 2
	Rate per 100,000 VRM	TBD	Reduction from 2024 baseline	1 2
System Reliability (Minor/Major)	VRM Between Failures (Total)	TBD	Increase from 2024 baseline	1 2

TBD – To be determined in 2024

Major and Minor Events

In describing these categories, the definitions for “major” and “minor” from the National Transit Database (NTD) are as follows:

- **Reportable Event (Major):**

A safety event occurring on transit right-of-way or infrastructure, at a transit revenue facility, or at a transit maintenance facility during a transit-related maintenance activity or involving a transit revenue vehicle that results in one or more of the following conditions:

- A fatality confirmed within 30 days of the event.
- An injury requiring immediate medical attention away from the scene for one or more person.
- Property damage equal to or exceeding \$25,000.
- Collisions involving transit revenue vehicles that require towing away from the scene for a transit roadway vehicle or other non-transit roadway vehicle.
- An evacuation for life safety reasons.

- **Non-Major Summary Incident/Event (Minor)** are less severe incidents or events that do not meet the requirements of Reportable Events:

- Other safety occurrences not otherwise classified (injuries).
- Fire.

- **Major mechanical system failures**, as defined by the NTD, are those that limit actual vehicle movement or create safety issues. This includes but is not limited to failures involving:

- Brakes
- Doors
- Engine cooling systems
- Steering, axles, and suspension

- **Minor mechanical system failures** are failures of some other mechanical element of the revenue vehicle not caused by a collision, natural disaster, or vandalism, but that, because of local agency policy, prevent the revenue vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip even though the vehicle is physically able to continue in revenue service. They include but are not limited to issues involving:

- Fareboxes
- Wheelchair lifts
- Heating, ventilation, and air conditioning systems

ESTABLISHING TARGET METRICS

Introduced in Workshop 1, the process to establish the seven safety targets involved a discussion on how to determine a baseline without prior collection of PTASP data based on FTA definitions. While a future process was developed, all participants also agreed to strive for an improvement over current performance and a three-year baseline for initial data collection to establish the targets.

Safety Performance Target Coordination

CRANE Public Transit provides up-to-date editions of this plan, including safety performance targets, to the Grand Island Area MPO and the NDOT, in accordance with § 673.15(a) and § 673.15(b). The most recent dates of transmission are shown in Table 8.

Table 8. Safety Performance Target Coordination

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	Nebraska Department of Transportation	November 15, 2020
Targets Transmitted to the MPO	MPO Name	Date Targets Transmitted
	Grand Island Area Metropolitan Planning Organization	December 14, 2020

4. Safety Management Policy

Safety Management Policy Statement

CRANE Public Transit prioritizes safety as the positive effects influence every aspect of service. Identifying and addressing potential threats and hazards can save lives, reduce injuries, improve service and help manage costs.

CRANE Public Transit uses the Safety Management Systems (SMS) framework to make informed decisions appropriate for operations, passengers, employees and how we interact with the community. As an agency we are committed to the following objectives:

- Support safety management through the provision of appropriate resources to meet our established safety goals, objectives and performance targets.
- Establish and communicate safety management responsibilities among CRANE Public Transit managers and employees, as well as City of Grand Island's employees responsible for managing the service.
- Establish and actively participate in Safety Committee meetings/discussions.
- Establish regular transit safety meetings to address training needs, review events, and develop safety awareness activities and programs.
- Enhance safety input and feedback processes.
- Expand employee safety training opportunities.
- Implement and maintain a hazard identification and risk assessment program, and based on the results of this program, establish a course of action for improving safety and reducing hazards.
- Achieve a level of safety performance that meets or exceeds the agency's established performance targets.

Promoting a non-punitive safety culture is a critical element of the SMS framework. CRANE Public Transit management is fully committed to ensuring that the employee safety reporting processes established within this plan allow employees/customers/visitors opportunities to report safety hazards without concern of retribution. Except in the instance of willful safety rule violations, CRANE Public Transit employees reporting safety hazards shall not be subject to disciplinary action.

Transit Program Manager/Accountable Executive

Date

Director, Public Works

Date

Safety Management Policy Communication

The Transportation Program Manager and Director of Compliance and Transit Relations will initially introduce CRANE Public Transit staff to SMS principals and the Safety Management Policy contained in this PTASP at division meetings (drivers/dispatch, small group meeting for CRANE Maintenance Technician, etc.) held in the first quarter of 2021. At these meetings, senior CRANE staff will discuss the importance of safety within the agency, the PTASP safety goals and objectives, share the PTASP safety policy statement, discuss ways each employee can contribute to a safety culture within CRANE Public Transit and new initiatives that have resulted from its initial safety review (new Safety Committee, development of safety monitoring/tracking methodologies, etc.)

CRANE Public Transit will continue to communicate this PTASP and the SMS principles within the organization to new and current employees in the following three ways:

1. Safety posters from the Nebraska Safety Center placed within the CRANE Public Transit office.
2. Weekly “Bus Stop Talks” provided by the Safety Center and placed throughout the agency.
3. Monthly vehicle operator/dispatcher meetings to discuss recent, relevant topics. These meetings are in addition to the quarterly driver safety meetings.

Authorities, Accountabilities, and Responsibilities

The City of Grand Island’s Transit Program Manager serves as the agency’s **Accountable Executive** and has the authority to develop and execute the CRANE Public Transit PTASP. The Transit Program Manager is accountable for the agency's overall safety and the maintenance of the SMS program and operations.

SCI’s Director of Compliance and Transit Relations currently serves as CRANE Public Transit’s **SMS Executive/Chief Safety Officer** responsible for day-to-day implementation and management of the PTASP and the SMS process. The Director of Compliance and Transit Relations reports directly to the Transit Program Manager for safety-related issues, and they will meet regularly to discuss the agency’s safety performance and advancement of the SMS within CRANE Public Transit, in accordance with § 673.23(d)(2). The Director of Compliance and Transit Relations will also discuss safety issues with the remaining CRANE employees (Dispatchers, drivers, and Maintenance Technician) on an ongoing and as needed basis to ensure a successful SMS process and safety culture.



Other staff/groups within the City of Grand Island and SCI hold important roles in PTASP's development, implementation, and management. Table 9 gives an overview of these roles and responsibilities based upon three categories of responsibility: primary, secondary and input as defined below:

- **Primary Responsibility:** Role is to author and approve content or actions associated with a particular plan element, either Plan Development or Implementation.
- **Secondary Responsibility:** Role is to provide advise as to content incorporated into the PTASP Plan; review activities associated with Implementation of the Plan; conduct day-to-day CRANE Public Transit service utilizing SMS policies and procedures as a tool to meet the transit systems goals, objectives and safety performance targets.
- **Input Responsibility:** Provide critical base data to PTASP Plan development, on-going activity data for updates and/or disseminate information from the Plan to staff throughout the life of the Plan.

Table 9. ASP SMS Staff Tasks and Responsibilities

Legend P – Primary or Lead Responsibility S - Secondary Responsibility I – Input Responsibility		Transit Program Manager (City)	Director of Compliance and Transit Relations (SCI)	Transit Maintenance Technician (SCI)	CRANE Safety Committee
Task					
Plan Development	Establish PTASP policy	P	S	I	I
	Establish PTASP goals, objectives	P	S	I	I
	Establish PTASP organizational levels	P	S	I	I
	Establish PTASP roles and responsibilities	P	S	I	I
	Establish a PTASP review and renewal schedule	P	P	I	I
	Develop and track PTASP targets	P	P	I	S
	Conduct preliminary Hazard and Threat and Vulnerability Assessment	S	P	I	P
	Assess and resolve identified risks	P	P	I	S
Plan Implementation and Management	Document serious and/or repeated safety violation	I	P	I	S
	Conduct or monitor incident/mishap response and investigation (assess trends)	I	P	I	S
	Provide safety and security related training	S	P	I	I
	Develop annual safety and security report	P	I	I	S
	Develop standard operating procedures related to employee safety duties	S	P	I	S
	Develop an effective incident notification and reporting system	S	P	I	S
	Support and communicate safety as the top priority to all employees	P	P	I	S
	Develop relations with outside organizations that may participate in and contribute to the PTASP, including local public safety and emergency planning agencies	P	P	I	I

Safety Reporting-Response Opportunities

CRANE Public Transit is committed to providing a safe work environment for employees and visitors and for responsible operations throughout Grand Island and Hall County. Thus, it is imperative that CRANE Public Transit employees and stakeholders have convenient and available means to report incidents and occurrences which may compromise the safe conduct of CRANE Public Transit's operations. CRANE Public Transit encourages employees, customers and community stakeholders to report activities/conditions that may affect the integrity of transit safety. Such communication is completely free of any form of reprisal, per § 673.23(b) and § 673.23(c).

SCI's Personnel Policies-Employee Handbook (applicable to CRANE Public Transit employees), as well as the CRANE Public Transit Vehicle Operator's Manual, outline the reporting methods available to employees. CRANE Public Transit will not take disciplinary action against any employee who discloses a safety incident or action involving transit personnel/assets. This policy shall not apply to information received by CRANE Public Transit from a source other than the employee, or which involves an illegal act or a deliberate or willful disregard of CRANE Public Transit regulations or procedures.

The Director of Compliance and Transit Relations will be responsible for reviewing reported events and addressing events consistent with the Safety Risk Management process. The reporting and response process encompasses a three-pronged detection approach and a reporting component in addressing events, ensuring a safety culture is achieved. Each multi-level approach is outlined below:

- **Detection and reporting.** CRANE Public Transit provides a range of methods for employees, customers and/or others to report incidents/events covered in the safety program, including:
 - **Employees:** As described in the Employee Handbook and Operator's Manual, CRANE Public Transit has developed a Safety Suggestion/Near Miss incident reporting form through which employees can, and are required to report an event that has occurred or a condition of concern that could result in a safety event. Specifically, employees are required to report accidents and/or injuries that involve operations, maintenance, or vehicles to the Director of Compliance and Transit Relations. At present, the Director reports rural situations to the Nebraska DOT via the manager's portal to their website, as well as the Transit Program Manager, and urban incidents to the Transit Program Manager. SCI's Executive Director is also notified. However, the rural and urban reporting structure will be reviewed in the next year to ensure that appropriate personnel are notified.
 - **Customers:** Operators are instructed to contact the CRANE Public Transit Director of Compliance and Transit Relations in the event of a customer reported incident/event. Reporting to the CRANE Public Transit Director of Compliance and Transit Relations initiates the incident/event review process. Additionally, the CRANE Public Transit webpage will be modified in the first quarter of 2021 to provide a convenient format to relay important operational/safety concerns. Input directly received from customers relative to safety incidents/concerns is forwarded to the Director of Compliance and Transit Relations.

- **Stakeholders:** Persons coming in contact with CRANE Public Transit through operations, meetings or a visit to its facility can report incidents directly to the Director of Compliance and Transit Relations or (in the future) through the CRANE Public Transit website.
- **Response.** CRANE Public Transit is committed to open communication regarding employee, customer and stakeholder safety. Presently, there is not a formal program for wide dissemination of the outcome and/or actions associated with addressing safety hazards or events reported through the range of means available. The Director of Compliance and Transit Relations responsibilities will include developing a new safety monitoring/tracking system over the course of 2021 and establishing a range of digital, print and verbal methods through which actions taken to address hazards or events reported to CRANE Public Transit are communicated internally and externally.

If the reporting employee provide their name during the reporting process, the CRANE Public Transit Director of Compliance and Transit Relations ensures feedback regarding any actions taken in response to their report. The identity of the reporting employee is protected to the extent permissible by law when CRANE Public Transit collects, records, or disseminates information obtained from transit safety reports.

CRANE Public Transit Safety Committee (Action Item for 2021)

Through CRANE Public Transit's PTASP's original development and review of current practices, it was determined that, to comply with 40 U.S.C 5329 and 40 Code of Federal Regulations (CFR) 673, a new safety committee will be established in 2021 for the purposes of:

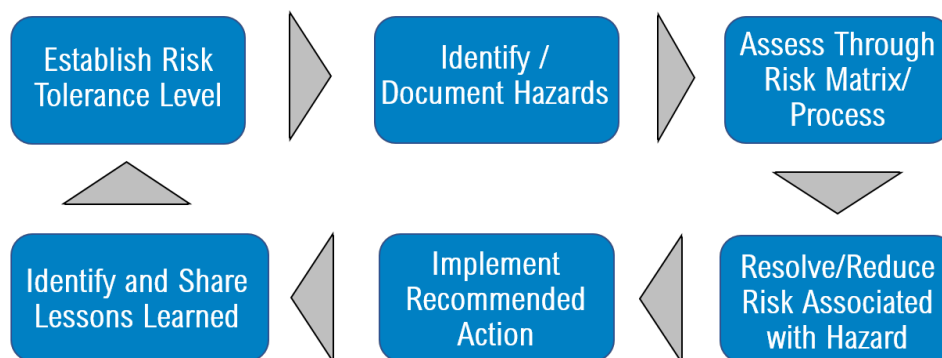
- Incident/Event Review - Reviewing incidents/events involving work-related fatalities, injuries, or near misses related to hazards management and recommending policy or procedural modifications to improve CRANE's safety culture.
- Policy/Procedure Review - Reviewing established safety policies and procedures established by the agency pertaining to hazards management and recommending policy or procedural modifications.
- Annual Hazard Identification - Assisting the Director of Compliance and Transit Relations in the annual PTASP hazard identification and risk assessment.
- Safety Monitoring/Tracking System - Assisting the Director of Compliance and Transit Relations in developing a monitoring/tracking system to assess hazards and the transit systems progress toward its safety performance goals, objective and safety performance targets.
- Safety Communications/Training Opportunities - Assisting the Director of Compliance and Transit Relations with safety communications/identifying training opportunities for all CRANE employees.

This safety committee will be comprised of individuals from from various departments and employee categories and will include administration, operations and maintenance personnel. CRANE Public Transit Agency's Safety Committee will meet **quarterly** to discuss the previous time period's safety data, review policies, procedures, communications and discuss training opportunities.

5.Safety Risk Management

The Safety Risk Management process applies to all elements of the system, including operations, maintenance (facilities and vehicles) and administration. CRANE Public Transit's risk management process begins with hazard identification, both internal and external to the CRANE facility. CRANE Public Transit's approach focuses on prevention and/or control of hazards in a systematic manner to reduce the risk of identified hazards to the lowest practical level through effective use of resources. The hazard analysis process includes a feedback loop that re-incorporates lessons learned (Figure 2) through earlier assessments.

Figure 2. Hazard Assessment Feedback Loop



In carrying out the Safety Risk Management process, CRANE Public Transit uses the following terms:

- **Event** – Any accident, incident, or occurrence
- **Hazard** – Means any actual 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
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards
- **Consequence** – Means the potential outcome(s) of a hazard

Hazard Identification

CRANE Public Transit has established formal requirements for proactive identification of hazards, per § 673.25(b). The primary methods used to identify hazards and threats to the transit system are input submitted to drivers or to customer service by riders or interested stakeholder and incident reports by employees. (See CRANE Public Transit's Passenger and Public Incident Report form included in the Appendix).

Employees are encouraged to report near-miss incidents, known as precursors (see Incident/Near Miss/Safety Suggestion form in the Appendix). These incidents are more numerous than accidents and including them in the process can help identify effective mitigation and avoid more serious events.

Potential sources regularly reviewed for hazard information include, but are not limited to, the list in Table 10.

Table 10. Hazard Identification Sources

Hazard Information Source	Responsibility	Review Frequency
Markout list	Maintenance Technician	Daily
Dispatcher Daily Log	Director of Compliance and Transit Relations	Daily
Internal employee comment box	Director of Compliance and Transit Relations	Weekly
Public emails	Director of Compliance and Transit Relations	Daily
Incident/Near Miss/Safety Suggestion Form	Director of Compliance and Transit Relations	Daily
Facility inspection or walkaround reports	Director of Compliance and Transit Relations, Transit Maintenance Technician	Annually
Statistical reports/historical data	Director of Compliance and Transit Relations	Monthly
Safety Assessment and System Review	Director of Compliance and Transit Relations, Safety Committee	Annually
Facility Safety and Security Assessment	Director of Compliance and Transit Relations	Annually
Internal and external audits and inspections (including FTA and NDOT audits and inspections)	Transit Program Manager	As needed
Vehicle Camera Footage	Director of Compliance and Transit Relations	As needed
Incident/Accident reports	Director of Compliance and Transit Relations	As needed
Information from public safety officials, local governments, and other major CRANE Public Transit stakeholders	Transit Program Manager, Director of Compliance and Transit Relations	As needed

CRANE Public Transit's Director of Compliance and Transit Relations and its Safety Committee are directly involved in hazard review, identifying mitigation techniques and documentation.

Risk Assessment

With implementation of the initial PTASP in 2020, CRANE Public Transit is committed to conducting a formal analysis and evaluation process of reported hazards to ensure they are addressed. The steps CRANE Public Transit employs to assess risk are outlined in the bullet points below and are recorded in Table 11:

- **Step 1: Document/Report the Risk or Event.** Sources of risks or events addressed through the assessment process include complaints received from customers/visitors/stakeholders, incident reports submitted by employees, and observations recorded by employees and submitted to the Director of Compliance and Transit Relations. These risks/events are then

reported to the City of Grand Island/Nebraska DOT as detailed in the “Safety Reporting-Response Opportunities” section of this document.

Table 11. Hazard Identification and Risk Assessment Log (Part 1)

Identification							Initial Safety Risk Rating		
Hazard	Hazard Type	ID Date	ID Source	Analysis Date	Consequences	Existing Mitigation	Severity of Consequences	Likelihood of Consequences	Safety Risk Index

Continue to
Part 2

Table 12. Hazard Identification and Risk Assessment Log (Part 2)

Mitigation Identification and Implementation						Monitoring/Reporting
Further Mitigation Action	Revised Safety Risk Index	Revised Safety Risk Index Date	Department Responsible for Mitigation	Estimated Implementation Date	Contact Person	Mitigation Effectiveness

- **Step 2: Characterize the risk.** Consistent with the FTA Safety Risk Assessment Matrices for Bus Transit Agencies (September 2019), CRANE Public Transit identifies the likelihood and potential severity of consequences associated with each identified risk or event. CRANE Public Transit employs a “worst credible consequences” definition to characterization of risks, meaning the outcome is realistic and imaginable in day-to-day operations, but is not the worst possible consequence. Definitions applied in the process are provided in the next section.
- **Step 3: Describe the current actions to reduce risk.** CRANE Public Transit employs a range of practices promoted to employees through pre-employment training in their profession, on-going safe operating and/or practices training, distributing operating manuals, etc. Applicable actions currently being deployed are documented in the risk assessment process.

- **Step 4: Assess current practices.** Understanding new or modified methods for safe operations and maintenance practice are continuously being developed, CRANE Public Transit acknowledges the need to periodically assess current practices and safety events to determine the need to revise promoted practices when identified as a safety risk or when new practices/policies are introduced to the agency. Through regular application and documentation of the Risk Assessment process, CRANE Public Transit staff included in risk evaluation discussions consider and discuss other actions to better address observed or anticipated events.
- **Step 5: Added Mitigation Assessment and Implementation.** CRANE Public Transit has developed programs and procedures that actively address many of the events that could occur through operations and maintenance, continued education and event review to identify added reasonable actions may be needed. The purpose of step 5 is to review current procedures and discuss whether added action is needed to enhance safety. If actions are identified, staff responsibilities and timelines for implementing are documented.

To assess the risk level of a given hazard, experienced personnel responsible for CRANE Public Transit service use a standardized Risk Assessment Matrix. Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risk is acceptable, the hazard will simply need monitoring. If the risk is unacceptable, CRANE Public Transit will take steps aimed at lowering risk to an acceptable level, or to remove or avoid the hazard.

The Transit Program Manager will be responsible for coordinating the risk assessment process, consulting with external subject matter experts, and federal and state bodies as necessary to ensure the procedures are current and applicable. The goal is to consider all human factors, environmental factors, supervision elements, and organizational elements in assessing risk potential and actions to mitigate risk.

CRANE Public Transit's Director of Compliance and Transit Relations along with its Safety Committee reviews all hazards, with the exception of those that have been immediately mitigated by frontline employees or minor disciplinary actions in response to rule violations not constituting systematic, widespread issues.

Rating System

To organize and prioritize identified hazards, CRANE Public Transit defines severity according to the following scale:

- **Catastrophic – A:** Conditions are such that human error, environment, design deficiencies, element, subsystem or component failure, or procedural deficiencies may commonly cause death or major system loss and require immediate termination of the unsafe activity or operation.
- **Critical – B:** Conditions are such that human error, environment, design deficiencies, element, subsystem or component failure or procedural deficiencies may commonly cause severe injury or illness or major system damage and require immediate corrective action.

- **Marginal – C:** Conditions may commonly cause minor injury or illness or minor systems damage such that human error, environment, design deficiencies, subsystem or component failure or procedural deficiencies can be counteracted or controlled without severe injury, illness or major system damage.
- **Negligible – D:** Conditions are such that personnel error, environment, design deficiencies, subsystem or component failure or procedural deficiencies will result in no, or less than minor, illness, injury or system damage.

CRANE Public Transit has reviewed the generalized definitions of probability of an event occurring and have refined the operating hours between occurrences to reflect local conditions. Listed below are the CRANE Public Transit’s probability of occurrence definitions:

- **Frequent – 1:** Continuously experienced; mean time between events (MTBE) is less than 3,000 operating hours.
- **Probable – 2:** Will occur frequently; MTBE is between 3,000 and 15,000 operating hours.
- **Occasional – 3:** Will occur several times; MTBE is between 15,000 and 60,000 operating hours.
- **Remote – 4:** Unlikely but can reasonably be expected to occur; MTBE between 60,000 and 1 million operating hours.
- **Improbable – 5:** So unlikely, it can be assumed occurrence may not be experienced; more than 1 million operating hours between events.

CRANE Public Transit determines the overall risk presented by each hazard using a composite measurement of the hazard severity and probability according to the risk assessment matrix shown in Table 13. The matrix is broken down into the categories of High, Moderate, and Low. This standardized hazard analysis matrix helps staff to focus first on the most serious safety hazards requiring resolution. Hazards identified as “High” will require CRANE Public Transit to further evaluate the potential consequence/condition and identify a mitigation strategy. A “Moderate” rating in the matrix indicates that countermeasures should be implemented, within fiscal constraints of the agency. A “Low” rating means that CRANE Public Transit may accept the risk without providing any countermeasures.

Once a hazard analysis is performed to define its potential severity and probability of occurrence, the project team must work to address, or resolve, such hazards. Hazard resolution is defined as the analysis and subsequent actions taken to reduce to the lowest level practical the risk associated with an identified hazard.

Table 13. Risk Assessment Matrix

Frequency of Occurrence	Hazard Categories			
	A Catastrophic	B Critical	C Marginal	D Negligible
(1) Frequent	1A	1B	1C	1D
(2) Probable	2A	2B	2C	2D
(3) Occasional	3A	3B	3C	3D
(4) Remote	4A	4B	4C	4D
(5) Improbable	5A	5B	5C	5D

Hazard Risk Index	Risk Decision Criteria	
■ 1A, 1B, 1C, 2A, 2B, 3A	High (H)	Must be mitigated.
■ 1D, 2C, 2D, 3B, 3C, 4A, 4B, 5A	Medium (M)	Should be mitigated.
■ 3D, 4C, 4D, 5B, 5C, 5D	Low (L)	Acceptable (Supported by Management).

Risk Mitigation

If the assessment process indicates a need for mitigation, then the Director of Compliance and Transit Relations develops corrective actions, in consultation with the Safety Committee, and subject matter experts as necessary.

Hazard Tracking and Recordkeeping

The Director of Compliance and Transit Relations will be tasked with maintaining a record of current and past risk assessment reviews using the Hazard Identification and Risk Assessment Log. This document serves as a unified repository for data and information related to the proactive and reactive identification of hazards, as well as the results of the CRANE Public Transit's hazard analysis process and any corrective actions developed under the safety risk mitigation process.

Mitigation Actions

Mitigation can take a wide variety of forms, some of them standard and some creative. Actions fall into the following categories:

- **Physical Defenses:** These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events (e.g. traffic control devices, fences, safety restraining systems, transit monitoring systems, etc.).
- **Administrative Defenses:** These include procedures and practices that mitigate the likelihood of accidents/incidents (e.g. safety regulations, standard operating procedures, personnel proficiency, supervision inspection, training, etc.).

- **Behavioral Defenses:** These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians – factors outside the control of the agency.

Documentation and Reporting

CRANE Public Transit will incorporate the risk assessments completed within the period between PTASP re-certifications. An updated risk matrix will be incorporated into the appendix of the re-certified document.

CRANE Public Transit will provide updated re-certified versions of the PTASP to the Safety Committee for their information.

TRAINING QUALITY CONTROL

During Workshop 2, participants discussed the safety event in which a customer is unsteady on a bus lift. They rated it as 2B – critical and probable – because injuries can be serious and it occurs multiple times a year. Drivers are currently trained on lift safety during their initial training and then receive annual refresher training, as well as hold discussions during driver meetings on this issue. The group suggested investigating several possible additional defenses: new signage, customer waiver and optional vehicle safety equipment to reduce occurrences. These actions would fall to the Operations, legal and newly-formed Safety Committee to investigate.

6. Safety Assurance

Safety assurance processes clarify how safety performance is evaluated and how lessons learned will inform and improve the organizational culture. They provide the necessary feedback to ensure that the SMS is functioning effectively, and that CRANE Public Transit is meeting or exceeding its safety goals and objectives.

Compliance Monitoring

The Director Compliance and Transit Relations and Dispatchers, as well as the Maintenance Technician, directly monitor compliance with safety procedures. For example, facility walkarounds include an inspection of interior and exterior building components (see the SMS Inspection Checklist located in the Appendix). This inspection checklist includes heating, air conditioning, plumbing systems etc. in all shop areas, parts storage, and vehicle storage to evaluate compliance with safety rules and shop safety practices. Operators complete pre-service checks daily, reporting concerns to the CRANE Public Transit Maintenance Technician for action via the Pre-Trip Inspection Form. Bus drivers are observed on periodic ride-alongs (as needed by the Director of Compliance and Transit Relations and annually by the Transit Program Manager) and camera video is viewed as needed. A full list of safety performance monitoring activities, responsibilities and frequencies are included in Table 14.

If a supervisor or other employee observes questionable actions that reasonably could lead to a potential hazard, they are encouraged to report the condition and it will be tracked and addressed through the mechanisms described in Chapter 5, Safety Risk Management.

Table 14. Safety Performance Monitoring Sources

Performance Monitoring Information Source	Source Description	Responsibility	Frequency
Employee safety reporting program	Verbal and Written Communication (Incident/Safety/Near Miss form, Pre-Trip Inspection)	Director of Compliance and Transit Relations	Ongoing
Service delivery monitoring	Ride-A-Longs, Discipline, Driver Retraining	Director of Compliance and Transit Relations	Monthly
Operational data	Operational Statistics (i.e. ridership, rides/hour, etc.)	Director of Compliance and Transit Relations	Monthly
Maintenance data	Roadcalls, Repair Trends	Transit Maintenance Technician, Director of Compliance and Transit Relations	Monthly
Safety audits, studies, reviews and inspections	TSI Audit, Federal Reviews, OSHA, Internal reviews	Transit Program Manager	Annually
Safety investigations	Accidents, Investigations from Employees/Customers	Director of Compliance and Transit Relations	Ongoing
External Agency	TAC, First Responders, GIAMPO, etc.	Transit Program Manager	Bi - Monthly

Mitigation Monitoring

During the annual PTASP review and update, the Transit Program Manager and Director of Compliance and Transit Relations, with assistance from the Safety Committee, will review records produced during Safety Risk Management activities and discuss the results of the program over the year to evaluate the effectiveness of the agency's Safety Risk Management process and discuss possible mitigation solutions. This review process will extend to available safety risk evaluation records, hazard identification and analysis practices, the corrective action plan process, and reviews of the Hazard Identification and Risk Assessment Log.

As part of the Transit Program Manager's responsibilities for oversight of the CRANE Public Transit Program, the manager completes an annual comprehensive review of all FTA and City requirements as documented in the "Transit Provider Monitoring Guide" (see list of "Links to Other CRANE plans/documents" in the Appendix). This guide will be revised to include a review of the CRANE Public Transit's SMS process, PTASP, and safety program.

Additionally, CRANE Public Transit will be developing and implementing a new measurement, monitoring and tracking system to gather data to measure the seven safety performance targets within the first year of the PTASP. The Director of Compliance and Transit Relations, with assistance from the newly-formed Safety Committee, will develop this monitoring program and begin reviewing data as a result of its implementation. This will be a cornerstone of CRANE Public Transit's SMS program.

Investigations

Safety events are investigated either formally or informally to identify causal factors. The Director of Compliance and Transit Relations has responsibility for this investigation. The Director uses the accident or Incident/Near Miss/Safety Suggestion reports, as well as observations and any employee statements to determine whether an accident/incident was preventable and what safety recommendations it may yield. The Director also reviews incident trends and near miss information to determine systemic solutions and consults with the new Safety Committee on opportunities for improvement based upon their experience and perspectives.

Internal Reporting

Many of the hazards reported to the Director of Compliance and Transit Relations arrive via internal safety reporting programs. CRANE Public Transit does not differentiate between internal and external reports for most purposes. Information shared through internal safety reporting programs is reviewed, investigated, and addressed.

CRANE Public Transit informs employees of safety actions taken in response to the information they report (see Figure 3). Actions can take the form of a direct conversation with the Director of Compliance and Transit Relations; a memo to CRANE employees; an update to the training program, policy or procedure; or another method, as appropriate to the nature of the report.

Figure 3. Employee Reporting Feedback Loop



7. Safety Promotion

Culture

CRANE Public Transit believes safety promotion is critical to the success of SMS by ensuring that the entire organization fully understands and trusts the SMS policies, procedures, and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

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

A positive safety culture at CRANE Public Transit is defined as one which is:

An Informed Culture

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

A Just/Reporting Culture

- Employees know and agree on what is acceptable and unacceptable behavior
- Human errors must be understood but negligence and willful violations are not tolerated
- Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action
- When safety concerns are reported, appropriate action is taken

A Learning Culture

- Learning is valued as a lifetime process
- Employees are encouraged to develop and apply their own skills and knowledge to enhance safety
- Employees are updated on safety issues and informed of actions through feedback

Competencies and Training

CRANE Public Transit maintains and implements a safety management training program to ensure employees are trained and competent to perform their SMS duties, per § 673.29(a).

All frontline employees will focus on safety reporting competencies, such as formal training on safety reporting expectations and reporting procedures. For the management level, safety focus will be on development and evaluation of safety data, such as how to analyze the data into meaningful results that lead to analysis and action, as well as developing safety policies, procedures and programs that will provide a strong safety culture within the agency.

Additionally, training at all levels of the organization will be incorporated into the following activities: pre-employment screening of job-related skills for certain positions, new employee orientation, on-the-job training (OJT), and an annual, ongoing process of refresher and refamiliarization training for current employees.

All staff training is designed to be consistent with SMS principles. The Director of Compliance and Transit Relations, with oversight from the Transit Program Manager, will provide a corporate perspective on SMS and the agency's safety culture.

Hiring and New Employee Orientation

CRANE Public Transit uses pre-employment screening of job-related skills for certain positions in order to ensure new employees begin their employment with a minimum awareness and competency in core job duties and responsibilities. The City of Grand Island and Senior Citizen's Inc. (SCI) include minimum skills for new employees in job descriptions and postings.

New employee orientation represents CRANE Public Transit's primary opportunity for delivery of one-on-one or small group training. Training on key safety-related topics, including the drug and alcohol program, is delivered through new employee orientation programs. A checklist of the topics addressed in the agency's orientation programs is included in the Appendix.

CRANE Public Transit's Personnel Policies – Employee Handbook and Vehicle Operator's Manual available to all employees contain information on the employee safety reporting program, which encourages employees to report safety hazards, near misses, concerns, and issues. CRANE Public Transit also includes discussion of the employee safety reporting program as a formalized component of new employee orientation/training, specifically as part of the Vehicle Operator Manual, and in its driver meetings.

Operator/Driver Training

Drivers demonstrate skill and performance competency in the type of vehicle to which they are assigned as a part of training requirements. CRANE Public Transit provides ongoing/recurring training necessary to reinforce policies and procedures, as well as to provide a mechanism to brief drivers on new policies, procedures and/or regulations. Annual refresher training is a part of this

safety program. Additionally, retraining is a part of the discipline program for drivers involved in incidents and is used before other types of discipline are taken, such as suspension or termination.

Specifically, CRANE Public Transit's drivers training program is provided through the State of Nebraska consisting of the following:

- **Initial Training** – Two, 8-hour sessions consisting of PASS Training, Defensive Driving, Bloodborne Pathogen Training and Busing on the Lookout Certification Training
- **Additional/Refresher Training** – Four hours per year consisting of instructional training on: First Aid/CPR, Distracted Driving, Advanced Wheelchair Securement, Child Passenger Safety, Busing on the Lookout Certification Training, Exceptional Customer Service Across Generations/Putting Riders First, Dealing with Difficult Passengers, Refresher PASS and Refresher Defensive Driving.

Each employee's progress through these courses is monitored and recorded on a training template (see form in Appendix).

Some training on new policies and procedures is delivered directly to drivers by the Director of Compliance and Transit Relations or Dispatchers on an individual basis or through memos, driver's meetings and handouts.

Maintenance Training

Maintenance is provided by either the City of Grand Island's Fleet Maintenance Department or contracted to a private business. In either case, each entity provides a basic level of maintenance and safety training for its employees, such as a requirement for knowledge in the tools, equipment and procedures used in the overhaul, repair and adjustment of gas/diesel vehicles and equipment.

In addition, the Transit Program Manager is responsible for identifying transit specific safety requirements and including these required in its contracts for service. Under its current contract, the Director of Compliance and Transit Relations is responsible for ensuring that all requirements, including safety, are adhered to and documenting that these requirements have been accomplished. For example, an additional maintenance requirement to annually inspect bus lifts was required to be completed. The Director of Compliance and Transit Relations ensures it is scheduled for each vehicle and any repairs made in a timely manner.

SCI's Maintenance Technician is responsible for the day-to-day needs of ensuring a safely operating fleet. In addition to the above initial training and annual refresher/additional training, this position receives specialized training through the State of Nebraska such as, "Maintaining and Troubleshooting Your Braun Lift."

Management Training

Two CRANE Public Transit managers oversee the administrative and operational functions of the organization and receive appropriate safety training to ensure a compliant and safe transit service. Specifically, the Accountable Executive has received safety training in FTA's Grantee Oversight

Workshops, which address safety requirements and best practices. Additionally, the Accountable Executive attends two regional conferences/workshops each year (Nebraska Association of Transit Providers and the Midwest/SW Regional Transit Conference) both of which consist of large group and smaller breakout sessions on relevant topics, such as transit safety.

The Director of Compliance and Transit Relations has received operational safety training in: Human Trafficking, Drug and Alcohol Reasonable Suspicion, Bloodborne Pathogen, and TSA Suspicious package training. Both managers are interested in, and will explore the opportunity for, additional safety training options, such as TSI courses available to transit managers. The Director also attends the two regional conferences/workshops and has indicated an interest in exploring additional opportunities to strengthen her safety knowledge, such as TSI safety training courses.

WHAT IS TRAINING?

During Workshop 2, participants explored the effectiveness of various types of training in reducing safety risks, such as a driver's accident while backing up their vehicle. Possible additional methods to strengthen existing training were identified and participants committed to exploring these options further to determine solutions that could be more effective in the future.

Training Documentation

The Director of Compliance and Transit Relations maintains complete records of all personnel training and certification activities through the State of Nebraska's website and internally through an Excel spreadsheet that not only records when training it is completed, but can identify when training is needed for an individual (see attached Training Template form).

Training Program Evaluation

In order to address safety-related job functions of operations and maintenance positions and ensure that training gaps are addressed as necessary, the Director of Compliance and Transit Relations, with assistance from the Safety Committee, will periodically conduct informal analyses to determine whether there are gaps, safety opportunities or threats in its daily operations. Once an opportunity or threat is identified, the Director of Compliance and Transit Relations will then complete research on the issue and/or attend training on the topic, ultimately culminating in a modification(s) to the training curriculum, typically through driver meetings, to address the issue.

The goal of these periodic analyses and assessments is to ensure that the agency has identified and provided all necessary skill training related to safe job performance for all job functions, to the level that all employees are competent to perform their safety-related duties.

Safety Communication

CRANE Public Transit uses a variety of means to formally communicate safety policies, processes, activities, and tools to all employees. Regular communication from management to agency employees includes hazard and safety risk information of direct relevance to employees' responsibilities. The agency's Safety Management Policy and other SMS-related processes, activities, and tools relevant to employee job responsibilities are provided to all CRANE Public Transit

employees through two documents - Vehicle Operator Manual and Personnel Policies – Employee Handbook. Key agency safety-related plans, including the PTASP and Hall County LEOP, are retained digitally (bookmarked on the computer desktop shared by all employees) and in hard copy, accessible to all CRANE Public Transit employees in the Director of Compliance and Transit Relation's office.

The Director of Compliance and Transit Relations posts safety-related memos/posters and other messages in areas visible to frontline operations and its maintenance employee, including breakrooms and adjacent to time clocks, and occasionally distributes memos and memoranda directly to individual employees via their personal mailboxes.

The Director of Compliance and Transit Relations will be responsible to ensure numerical objectives, targets, and indicators are posted along with memos or other internal media to report on progress toward achievement of targets and indicators. Individual achievement is also recognized formally or informally.

Sustaining a Safety Management System

To sustain a safety management system, CRANE Public Transit will ensure that processes are employed to build an organizational foundation. Actions taken to sustain SMS include:

- **Create a measurement-friendly culture:** All CRANE Public Transit staff should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. The Transit Program Manager and Director of Compliance and Transit Relations will also lead by example and utilize performance metrics in decision making processes.
- **Build organizational capacity:** Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis and setting goals. Managing staff and developing an annual budget containing sufficient safety funding will commit the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.
- **Reliability and transparency of performance results:** The SMS will be able to produce and report its results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.
- **Demonstrate continuous commitment to measurement:** Visible commitment to using metrics is a long-term initiative. CRANE Public Transit will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including transit safety and performance measurement as a standing agenda item at its Safety Committee meetings, as well as providing relevant information to the GIAMPO.

CRANE Public Transit Agency Safety Plan: Appendix

CRANE PTASP Workshop Records

SMS Safety Roles and Responsibilities

Safety Forms

Training Record Template

New Employee Orientation Checklist

Safety Assessment and System Review

Facility Assessment Review

Hazard Identification and Risk Assessment Log

Definitions

Acronyms

CRANE PTASP Workshop Records



Record of Meeting

SRF No.12996.00

Location: ZOOM Conference Call
Client: Nebraska DOT and CRANE Public Transit
Date: Thursday, October 15, 2020
Subject: Public Transit Agency Safety Plan (PTASP) Workshop #1
Attendees: City of Grand Island; Senior Citizens, Inc; SRF; GIAMPO
From: Sheri Kyras
Copy:

Purpose of Meeting

This was the first of three workshops for the CRANE Public Transit Agency Safety Plan (PTASP). The meeting covered the purpose of the plan; SMS process; safety policies, procedures, responsibilities; and safety targets/approach.

Summary of Meeting

The intention of this plan is to approach safety from a holistic perspective moving along the safety continuum, further from a reactive focus to a proactive, preventative hazard mitigation/accident prevention approach. Further, to establish a safety culture through establishment of goals and objectives, as well as safety targets to measure the transit systems progress in safely operating its transit services.

Safety Target Incorporation Into MPO Documents

Participants discussed the CRANE Public Transit Agency Safety Plan (PTASP) timeframe and opportunities for the GIAMPO to review and incorporate its safety targets, established in the plan, into the MPO documents. The following schedule was generally discussed on the next page:

- November – CRANE PTASP Completed
- December – Background and targets presented to MPO TAC Committee
- February – Incorporation of safety targets into LRTP

Participants discussed the need for the annual PTASP review to be in October/November of each year for inclusion in MPO documents.

Safety Plan Responsibilities and Procedures

Participants decided that John Collins, Public Works Director would be the approval body responsible for overall safety within the CRANE transit system; Charley Falmlen, Transit Program Manager would be the Accountable Executive and Cecelia Grotz, Director of Compliance and Transit Relations would be the Chief Safety Officer.

Participants then discussed the current safety policies and protocols that are in place at CRANE Public Transit and where its transit service fell along the safety continuum between traditional and an SMS safety culture. Participants directed SRF staff to the Vehicle Operator Manual for a description of current safety procedures and generally discussed who, when and how safety issues were addressed within the organization. The Director of Compliance and Transit Relations is the focal point within the CRANE Public Transit system for these issues.

It was decided that CRANE Public Transit, as part of this plan, would establish a new Safety Committee to move it closer to the SMS safety culture. SRF will provide general guidelines for a Safety Committee.

Safety Communication and Training

Participants discussed ways it communicated safety issues, policies and procedures to CRANE employees. The primary method is through monthly driver meetings where one, timely topic is chosen, such as winter driving. Additionally, monthly safety posters, provided by the Safety Center, are displayed throughout the building, as well as weekly issues of its “Bus Stop Talks” are displayed for educational purposes.

Participants described the safety training requirement for drivers:

- **Initial Training** – 2 – 8 hr. sessions on passenger safety and defensive driving
- **Continuing Education** – 4 hrs. per year, ½ in person and online

Participation in this training is monitored on a State website and CRANE Public Transit also tracks this training internally, so that drivers do not miss their training and to ensure it is completed.

Safety Roles and Responsibilities

Participants decided that four individuals/group would be responsible for safety within CRANE Public Transit - Transit Program Manager, Director of Compliance and Transit Relations,

Maintenance Technician and the new Safety Committee. SRF will develop a draft list of specific responsibilities for each of the four individuals/group.

Safety Targets

SRF described the methodology that had worked well for other Nebraska transit systems in establishing baseline safety target data, and safety targets within the FTA-required seven performance targets; however, indicated that NTD data (used for the baseline) was not available for the CRANE system. Participants discussed the availability of current data and safety reporting procedures. SRF will contact the NDOT to determine if three years of data is available to establish a baseline for the seven performance targets required and then provide a recommendation on the PTASP's new targets.

Participants agreed that targets would be set to show an incremental improvement and would be established every five years, based upon the results achieved in the previous five-year period. Further, participants decided that over the next year, a new safety objective would be established to create/develop a safety reporting system to track data for these performance targets.

Risk Matrix

This meeting introduced the risk assessment methodology and participants were asked to identify five common safety risks to discuss at the next meeting.

Next Meeting

The next workshop will run through the risk assessment and analysis process using internal and external examples provided by the agency. Examining five examples together will prepare CRANE Public Transit to carry the process forward for all hazards.

It will be held on Thursday, October 29, 2020 from 10:30 AM to Noon.

Actions Needed

Actions Needed	Responsibility
Draft Safety Roles and Responsibilities	Sheri Kyras
Draft PTASP Plan Goals and Objectives	Sheri Kyras
Draft Safety Performance Targets	Bill Troe
Identify Five Common Safety Issues	Cecelia Grotz
Safety Committee Guidelines	Bill Troe

Meeting Sign-In (Verbal)

Name	Agency/Title
Bill Troe	SRF Principal
Sheri Kyras	SRF Planner
Charley Falmlen	City of Grand Island Transit Program Manager
Cecelia Grotz	SCI Director of Compliance and Transit Relations
Andres Gomez	GIAMPO Manager

CRANE PTASP Workshop Records



Record of Meeting

SRF No.12996.00

Location: ZOOM Conference Call
Client: Nebraska DOT and CRANE Public Transit
Date: Thursday, October 29, 2020
Subject: Public Transit Agency Safety Plan (PTASP) Workshop #2
Attendees: City of Grand Island; Senior Citizens, Inc; SRF; GIAMPO, Nebraska DOT
From: Sheri Kyras
Copy:

Purpose of Meeting

This was the second of three workshops for the CRANE Public Transit Agency Safety Plan (PTASP). The purpose of the meeting was to educate/train CRANE managers in the safety risk assessment process; introduce/refine the FTA methodology recommended; and identify, rate and assess two common safety hazards experienced in daily operation of CRANE Public Transit service.

Summary of Meeting

The meeting was designed to assist CRANE Public Transit managers in developing a stronger safety culture by utilizing “real-life” situations to discuss: hazard information sources, assignment of a risk index, existing and future mitigation efforts and who/how to implement any recommended modifications to move from a reactive safety approach to a preventative hazard mitigation/accident prevention approach.

Risk Assessment Process

Participants discussed the proposed risk assessment methodology for identifying hazards, indicating that steps of defining hazards, assigning severity and probability factors, identifying the harm that could be experienced, actions (current or new) that could be taken to address the hazard and then

developing an implementation plan, if the assessment deemed it appropriate. Participants were provided information on the Risk Analysis Worksheet with an explanation of each element of the assessment process, as well as the Risk Assessment Matrix (Table 1), which assigns a rating to the impact (severity and frequency) of a hazard. Participants modified the FTA definition of frequency based on an average of 15,000 operating hours provided annually within the CRANE Public Transit system and agreed upon the following system for use in their risk assessments:

- **Frequent:** 3,000 operating hours (experienced quarterly)
- **Probable:** $\geq 3,000$ to 15,000 operating hours (experienced 1-4 times per year)
- **Occasional:** $\geq 15,000$ to 60,000 operating hours (experienced every 1-4 years)
- **Remote:** $\geq 60,000$ to 1,000,000 operating hours (experienced every 4-67 years)
- **Improbable:** $> 1,000,000$ operating hours (experienced once in more than 67 years)

Participants agreed that the use of the Risk Assessment and Matrix system was new to the transit system; however, they had currently begun incorporating elements of these into their safety process. Participants indicated that this methodology would be able to allow their safety program to achieve a higher level.

Participants reviewed the FTA's definition of "Severity" and agreed to use the federal definitions in their assessments.

Table 1: Risk Assessment Matrix

Risk Probability	Risk Severity			
	A Catastrophic	B Critical	C Marginal	D Negligible
(1) Frequent	1A	1B	1C	1D
(2) Probable	2A	2B	2C	2D
(3) Occasional	3A	3B	3C	3D
(4) Remote	4A	4B	4C	4D
(5) Improbable	5A	5B	5C	5D

Hazard Risk Index		Risk Decision Criteria	
<div></div> 1A, 2A, 3A, 1B, 2B, 1C	High (H)	Must be mitigated.	
<div></div> 4A, 5A, 3B, 4B, 2C, 3C, 1D, 2D	Medium (M)	Should be mitigated.	
<div></div> 5B, 4C, 5C, 3D, 4D, 5D	Low (L)	Acceptable (Supported by Management).	

Risk Assessment

Participants previously identified five "Incidents" and five "Near Misses" to evaluate as part of CRANE Public Transit's Safety Risk Assessment; however, time permitted only two assessments to be completed during this meeting. The remaining Incidents/Near Misses will be evaluated by the Transit Program Manager and Director of Compliance and Transit Relations, or through the new Safety Committee once it is formed.

Hazard 1: Unsteady Customers on Lift

Participants explained that drivers were reporting (through Incident Reports) that customers were unsteady on the bus lifts. The consequences of this hazard could include injury or death to a passenger, service interruption, negative media coverage and potential lawsuits. This is becoming a more common occurrence – occurring approximately four times per year. As such, it was rated as “Probable” risk (2) with a “Critical” severity (B) due to its possibility of passenger injury, making its “Safety Risk Index” a 2B. This places the hazard in the “High” category where mitigations efforts are required. Currently, CRANE Public Transit provides initial and refresher wheelchair/securement/lift training and has held discussions with drivers on trends experienced in this area. Participants decided that additional study was needed to determine future mitigation actions such as signage, waivers or additional optional safety equipment. The Director of Compliance and Transit Relations, along with assistance from the new Safety Committee, will be responsible for this evaluation. The implementation date will depend upon when the new Committee can be formed and begin working on safety issues; possible 3 – 6 months in the future. It was also stated that the City Attorney would need to review any possible waivers.

Hazard 2: Crash While Backing

Participants indicated that identification of this hazard begins with the drivers through verbal communication of the accident and/or through an “Incident Report” form. The consequences of this hazard include: a vehicle out-of-service, repair costs, damage to property, injury to a person or possibly even death. Therefore, the severity was assigned a “Marginal” (C) rating, with a “Probable” (2) frequency rating, as it occurs several times per year. The overall “Safety Risk Index” was a 2C, which is a “Moderate” risk level, which should include mitigation efforts. Current efforts/policies are documented in the Vehicle Operator’s Manual, which includes: prohibiting backing up unless a spotter is called; exiting the bus to view the area prior to backing up, etc. Additionally, copies of safety information regarding this topic have been placed in driver’s internal mailboxes and new buses have been equipped with backup cameras. Participants indicated that further mitigations efforts to reduce these occurrences should include equipping all new buses with back up cameras and revamping the training program to strengthen safety in this area, with the assistance of the new Safety Committee. The implementation date will depend upon when the new Committee can be formed and begin working on safety issues; possible 3 – 6 months in the future.

Next Steps

SRF staff indicated that there were two sections of the PTASP document where additional discussion/questions remained – Safety Assurance (Monitoring/Measurement) and Safety Promotion (Education/Communication). It was decided that SRF staff would send questions to the Transit Program Manager and Director of Compliance and Transit Relations for responses in order to keep the process moving forward due to the short timeframe. A draft of the full document will be presented at the next meeting in two weeks. The following deadlines were discussed.

- **November 12, 2020** – Draft document

- **November 30, 2020** – Comments Received
- **December 15, 2020** – Final Document

Participants also discussed timing for the GIAMPO TAC committee to review the performance targets. It was decided that SRF staff will provide draft targets to the Transit Program Manager and Director of Compliance and Transit Relations within the next week and then provide the reviewed target to the GIAMPO no later than November 9, 2020.

Next Meeting

The draft plan will be discussed at the final workshop, which will be scheduled at the next meeting. It will be held on Thursday, November 12, 2020 from 10:30 AM to Noon.

Actions Needed

Actions Needed	Responsibility
Risk Assessment of Remaining Incidents/Near Misses Identified	Charley Falmlen and Cecelia Grotz
Safety Assurance and Promotion Questions	Sheri Kyras
Respond to Questions	Charley Falmlen and Cecelia Grotz
Draft Safety Performance Targets to CRANE and GIAMPO	Bill Troe

Meeting Sign-In (Verbal)

Name	Agency/Title
Bill Troe	SRF Principal
Sheri Kyras	SRF Planner
Charley Falmlen	City of Grand Island Transit Program Manager
Cecelia Grotz	SCI Director of Compliance and Transit Relations
Andres Gomez	GIAMPO Manager
Kari Ruse	NDOT Transit Manager
Bob McFarland	SCI Interim Executive Director

CRANE PTASP Workshop Records



Record of Meeting

SRF No.12996.00

Location: ZOOM Conference Call
Client: Nebraska DOT and CRANE Public Transit
Date: Thursday, November 12, 2020
Subject: Public Transit Agency Safety Plan (PTASP) Workshop #3
Attendees: City of Grand Island; Senior Citizens, Inc; SRF; GIAMPO, Nebraska DOT
From: Sheri Kyras
Copy:

Purpose of Meeting

This was the last of three workshops for the CRANE Public Transit Agency Safety Plan (PTASP). The purpose of the meeting was to review the draft PTASP for CRANE Public Transit with the participants, focusing specifically on the last two sections of the document – Safety Assurance and Promotion.

Summary of Meeting

The workshop objective was to ensure that the document was accurate and reflective of CRANE Public Transit agency's safety program, as well as, to ensure that the plan was compliant with the Federal Transit Administration's 40 U.S.C. 5329 and 40 Code of Federal Regulations (CFR) 673. Therefore, the workshop was designed to briefly summarize the overall document, with more detailed discussion of the last two sections of the document, as participants had not had the opportunity to discuss information contained in these sections as a group. The intent of these discussions was to gain participant comments regarding additions, modifications and/or eliminations to the draft document text.

PTASP Plan Overview

SRF staff briefly explained the overall format of the document and asked if participants had, had time to review the document prior to the workshop meeting. Some participants had reviewed the entire document, while others had reviewed sections of the document. As a result, it was agreed that the participants would provide a “marked-up” copy to SRF for editing into the final PTASP. The remainder of the meeting was focused on the last two sections – Safety Assurance and Promotion.

Safety Assurance

Participant discussion on this section of the plan centered on Table 14 – Safety Performance Monitoring Sources. Three suggestions were offered by participants as follows:

- **Description:** Add a new column to provide a description of each performance monitoring information source
- **Frequency** – Two changes were made to the “Frequency” column, based on further discussion of the information source (service delivery monitoring and external agency)
- **Performance Monitoring Information Source:** “Peer reviews” was eliminated from the table

Participants then reviewed the remaining topics in this section of the document, with no substantial changes made beyond what participants will provide in writing regarding the entire draft document.

Safety Promotion

SRF staff briefly explained the components of a safety culture and then discussed each of the topics in this section of the document, with the purpose of ensuring that the information was accurate and reflective of CRANE Public Transit’s agency and its safety procedure/policies as it relates to safety promotion.

Participants requested an addition to the “Maintenance and Training” topic to reflect that its Transit Maintenance Technician receives the same initial and refresher training as its drivers.

Participants also indicated that there were modifications to the driver training courses and would reflect these changes in their written edits to be provided to SRF staff.

Participants discussed the Callout Box entitled, “What is Training” regarding whether this reflected CRANE Public Transit’s training philosophy and process. It was agreed that it did and would be kept in the document.

The last discussion regarding Safety Promotion was on safety communication. Participants indicated that the draft reflected their safety communication program.

Appendix

SRF staff briefly discussed the elements that will be included in the Appendix. A discussion was held regarding the SMS and Facility Assessment checklists. A discussion pursued regarding the Lincoln, Nebraska version of these two checklists and it was agreed that SRF staff would send a Word-document version of Lincoln's two checklists for participant modification to reflect CRANE agency procedures.

Clarification of participants at Workshop #2, to reflect Bob McFarland was present, was provided for correction to this workshop's meeting record.

Next Steps

Participants discussed the next steps to completing the PTASP document. SRF will:

- Incorporate comments from Workshop #3
- Incorporate written PTASP edits submitted by participants

Participants will:

- Provide written PTASP comments
- Modify sample SMS and Facility Assessment checklists (to reflect CRANE agency procedures) and provide new checklists to SRF staff

Deadlines were established for the remaining items to complete the plan as follows:

- **November 25, 2020** – Participants written PTASP comments to SRF
- **December 1-4, 2020** – SRF completion of final document and submission to Nebraska DOT, CRANE Public Transit and GIAMPO (for safety performance target review – Section 3)
- **December 15, 2020** – Approvals completed and document signed

Next Meeting

No meeting is planned.

Actions Needed

Actions Needed	Responsibility
Workshop Comments Incorporated into Document	Sheri Kyras
Written Comments Incorporated into Document	Sheri Kyras
Complete Appendix	Bill Troe and Sheri Kyras
SMS and Facility Assessment Checklists	Charley Falmlen
Final CRANE Public Transit PTASP Submitted to NDOT, CRANE, GIAMPO	Bill Troe

Meeting Sign-In (Verbal)

Name	Agency/Title
Bill Troe	SRF Principal
Sheri Kyras	SRF Planner
Charley Falmlen	City of Grand Island Transit Program Manager
Cecelia Grotz	SCI Director of Compliance and Transit Relations
Andres Gomez	GIAMPO Manager
Kari Ruse	NDOT Transit Manager

SMS Safety Roles and Responsibilities

Completed By: _____ Date: _____

Position Title	Position Description	Primary Safety Responsibilities
Transit Program Manager (Accountable Executive)	Oversee and take ultimate responsibility for development and implementation of the PTASP	<ul style="list-style-type: none"> Establish PTASP policy Establish PTASP policies, goals, objectives Establish PTASP organizational level Establish PTASP roles and responsibilities Assess and resolve unidentified risks Establish a PTASP review and renewal schedule Develop and track PTASP targets Develop annual safety and security report Support and communicate safety as the top priority to all employees Develop relations with outside organizations that may participate in and contribute to the PTASP, including local public safety and emergency planning agencies
Director of Compliance and Transit Relations (Chief Safety Officer)	Ensure coordinated development and implementation of the PTASP	<ul style="list-style-type: none"> Establish a PTASP review and renewal schedule Develop and track PTASP targets Conduct preliminary Hazard and Threat and Vulnerability Assessment Assess and resolve identified risks Document serious and/or repeated safety violation Conduct or monitor incident/mishap response and investigation (assess trends) Provide safety and security related training Develop standard operating procedures related to employee safety duties Develop an effective incident notification and reporting system Support and communicate safety as the top priority to all employees Develop relations with outside organizations that may participate in and contribute to the PTASP, including local public safety and emergency planning agencies
Maintenance Technician	Ensure safe daily operation of the fleet	<ul style="list-style-type: none"> Support the Transit Program Manager and Director of Compliance and Transit Relations with their safety roles and responsibilities
Safety Committee	Assist Director of Compliance and Transit Relations in safety assessments, training and communication	<ul style="list-style-type: none"> Conduct preliminary Hazard and Threat and Vulnerability Assessment

Safety Forms

Incident/Near Miss/Safety Suggestion Form

☐ **Near Miss**

☐ **Incident**

☐ **Safety Suggestion**



Near miss: OSHA and the National Safety Council defines a near-miss as an “unplanned event that did not result in injury, illness, or damage – but had the potential to do so.”

Incident: Any event, usually involving a passenger or other driver, that did occur and harm was caused.

Safety Suggestion: If you see a potential for danger, either for the passenger, driver, or bus, please complete this form. Being proactive to potential risks is preferred over being reactive when an avoidable situation occurs.

Instructions:

1. Form is required to be completed when you identify any of the above situations in the workplace.
2. To be completed and submitted to the Director of Compliance & Transit Relations within 24 hours of the incident.

Date: _____ Time: _____

Description (please include location): _____

Reporting Person's Signature: _____

Reviewed by: _____ Date: _____

.....

Action items taken: _____

Supervisor Signature: _____ Date: _____

10/26/2020

Passenger/Public Incident Report



Passenger/Public Incident Report

Incident Date: _____ Incident Time: _____

Incident Location: _____

Bus # Involved _____ Driver _____

Person(s) Involved:

Name: _____

Address: _____

Phone Number: _____

Best Time to Contact: _____

Person(s) Involved:

Name: _____

Address: _____

Phone Number: _____

Best Time to Contact: _____

Description of Incident *(please provide detailed information)*: _____

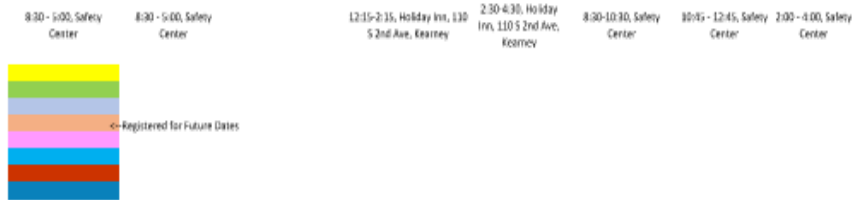
Employee signature: _____

Manager signature: _____ Date: _____

4/18/2019

Training Record Template

Driver Training Through Nebraska Transit <i>with dates completed</i>													
Name	PASS (Bootcamp Day 1)	Defensive Driving (Bootcamp Day 2)	Heartsaver First Aid CPR AED	Dealing With Difficult Passengers	Distracted Driving	Refresher PASS	Advance Wheelchair Securement	Refresher Defensive Driving	Maintaining & Troubleshooting Your Brown Lift	Child Passenger Safety	Busing on the Lookout Certification Training	Exceptional Customer Service Across Generations & Putting Riders' Needs First	Other Training
Last Name, First Name	01/00/2020	01/00/2020									01/00/2020		
Last Name, First Name	01/00/2020	01/00/2020				01/00/2020	01/00/2020	01/00/2020			01/00/2020	01/00/2020	
Last Name, First Name	01/00/2020	01/00/2020									01/00/2020		
Last Name, First Name											01/00/2020		
Name	PASS (Bootcamp Day 1)	Defensive Driving (Bootcamp Day 2)	Heartsaver First Aid CPR AED	Dealing With Difficult Passengers	Distracted Driving	Refresher PASS	Advance Wheelchair Securement	Refresher Defensive Driving	Maintaining & Troubleshooting Your Brown Lift	Child Passenger Safety	Busing on the Lookout Certification Training	Exceptional Customer Service Across Generations & Putting Riders' Needs First	Other Training



New Employee Orientation Checklist

Name _____ Date of Hire _____

New Driver Training

Check when Completed/Received

- _____ New Transit Driver Training (Online) (1.5 hrs.)
- _____ Bloodborne Pathogen Training (20 minutes)
- _____ FTA Drug Abuse and Awareness Video (1.25 hrs.)
- _____ Integrated Seats and 86Y Child Harness
- _____ Vehicle Operator's Manual
- _____ Drug and Alcohol Policy
- _____ Employee Handbook
- _____ Passenger Manual
- _____ Daily Vehicle Condition Report
- _____ Interior bus cleaning
- _____ Customer Service PPT (15 minutes)
- _____ Tablet 101 Training
- _____ Daily Tablet Operations (incl. start route, arrivals, departures, end route, and logging off)
- _____ Location of safety items on bus (First aid kit, fire extinguisher, seat belt cutter, etc.)
- _____ Pre-trip inspection – including cycling the lift
- _____ Locations to drop off/pick up passengers
- _____ Awnings
- _____ Backing up – including back up exceptions list (provided)
- _____ AMR sheet
- _____ Emergency windows
- _____ Switches on dash
- _____ Gas card
- _____ Securing wheelchairs
- _____ Will calls

Safety Assessment and System Review

Complete the Safety Assessment and System Review (annually) to identify potential safety hazards. It is imperative that the individual/group completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately. Not all questions will apply.

Completed By: _____

Date: _____

Section	Review Questions	Yes	No	In Process
Safety Policies	Are all safety policies up to date and reviewed?			
	Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system?			
	Is the Drug and Alcohol Policy current and up to date?			
New Hire Employee Files	Was there a structured interview conducted and documented?			
	Is the applicant asked the questions relating to previous experience with drug and alcohol testing?			
	Is the offer of employment documented in writing?			
	Is there a pre-employment drug screen?			
	Is there a pre-employment physical exam?			
	Are safety sensitive responsibilities outlined in the job description?			
	Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form?			
	Is there a Current Policies and Procedures Acknowledgement Form?			
Post Hire Employee Files	Is a current employee roster available?			
	Are the employee files maintained by the transit system?			
	Do existing employee files contain:			
	- Background check?			
	- Previous employer request form?			
	- Verification of current driver's license and CDL, if applicable?			
	- Current Motor Vehicle Record report?			
	- Current copy of physical exam certificate?			
	- Signed Substance Abuse Policy Acknowledgement?			
	- Drug and Alcohol Testing Record?			
	- Record of initial trainings complete?			

Section	Review Questions	Yes	No	In Process
Education and Training	Are operator certifications current and up to date?			
	Have managers completed Safety Management Systems (SMS) training?			
	Are employees familiar with OSHA topics, including:			
	- Hazard Communication?			
	- Emergency Procedures?			
	- Bloodborne Pathogens?			
	- Personal Protective Equipment (PPE)?			
	- Injury Prevention Planning?			
	Have all safety sensitive employees received Drug and Alcohol Training?			
	Does the maintenance provider require new mechanics receive classroom training?			
	Does the maintenance provider require existing mechanics receive ongoing training?			
Safety Meetings	Is there an active Safety Committee at the transit agency?			
	Are safety meetings held on a regular basis?			
	Are safety meetings and sign in sheets documented, with publicly posted agendas and minutes?			
	Do Safety Committee members regularly attend meetings?			
Incident and Accident Investigation Procedures	Are policies in place dictating which incidents are reported and which are not?			
	Are incident report forms kept on board the vehicle?			
	Are accident reports completed for all situations?			
	Are incident/accident reports used as pre-accident training material?			
	Are incident/accident reports used as post-accident training material?			
	Are incident/accident reports used to identify potential hazards and analyzed in a Risk Assessment Matrix (RAM)?			
	Are complaint forms kept on all vehicles?			
	Is all required Safety Equipment (flashlights, vests, cones, etc.) on the vehicles?			
	Are incident/accident photos taken?			
Substance Abuse	Is there a current and updated Drug and Alcohol Policy?			
	Do all staff members understand the Drug and Alcohol Policy?			
	Is random testing being completed?			
	Is reasonable suspicion testing being completed?			
Facility and Shop Inspections	Are annual facility inspections conducted as scheduled?			
	Are facility inspection forms completed properly?			
	Are unsafe conditions or acts, regarding the facility corrected and documented?			
	Are fire extinguishers up to date with annual servicing requirements?			
	Are fire extinguishers inspected on a monthly basis?			
	Are routing inspections of the fire extinguishers documented?			
	Are eye wash stations available with unobstructed access?			

Comments:

[illegible]

Facility Safety and Security Assessment

Complete the Facility Safety and Security Assessment (annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately. Not all questions will apply.

Completed By: _____

Date: _____

Section	Review Questions	Yes	No	N/A
Buildings and Facility Grounds	Are facility grounds randomly and frequently patrolled?			
	Are daily security sweeps conducted?			
	Are smoke/fire/carbon monoxide detectors provided and working?			
	Are distribution and number of keys known and controlled?			
	Are all keys labeled as "DO NOT DUPLICATE"?			
	Are all unoccupied areas locked and secured?			
Lighting	Is entire perimeter of facility properly illuminated?			
	Is lighting mounted at approximately second story level?			
	Are lights provided over all entrance doors?			
	Is lighting provided in staff parking areas?			
Entrance Doors and Windows	Are all doors:			
	- Built of commercial grade with metal framing?			
	- Outside hinges hidden and protected from vandalism?			
	- Provided with a commercial grade, one-sided lock?			
	- Provided with push "panic" bar releases?			
Electronic Surveillance	Is the entire perimeter of facility protected by a CCTV system?			
	Is this system monitored by management and/or a security company?			
	Is this system always on or activated by motion sensors?			
Non-Employee Access	Is access restricted to persons without proper credentials and clearance?			
	Are supply deliverers required to show proper I.D. and sign-in a logbook?			
	Are all non-employees accompanied and/or observable at all times?			
Surrounding Environment	Are there other non-City/County buildings connected to the facility that may be vulnerable to unauthorized entry to City/County property?			
	Are all utility components (power transformers, back-up generators) protected and secured from vandalism or attack?			
	Are all outdoor storage areas adequately lighted and secured?			
Material Storage	Are all hazardous and flammable materials properly identified?			
	Are all materials properly labeled, stored, and secured?			

Section	Review Questions	Yes	No	N/A
Forms and Written Plans	Are emergency numbers (police, fire, ambulance, FBI) current and prominently displayed at each phone?			
	Is a Chain of Command and emergency call list prominently displayed?			
	Are employees trained and checklists provided on how to handle a physical threat or incident called in on the phone?			
Evacuation Plan/Procedures	Are there evacuation plans for this facility?			
	Are staff members trained on this plan?			
	Are assembly areas and alternate assembly areas identified, validated and coordinated with Hall County Emergency Management?			
	Have the primary and alternate assembly areas, evacuation sites, and evacuation routes been verified and coordinated with all appropriate agencies?			
	Has the Emergency Evacuation Plan been reviewed, coordinated, and briefed to staff as appropriate?			
Training	Is an orientation program in place for each new staff member?			
	Do all staff members receive safety and security training appropriate to their position and level of responsibility?			
	Are periodic safety and security training and briefings completed with staff?			
	Do all new staff members receive briefings on the Local Emergency Operations Plan, and other security policies and procedures?			
Administrative Procedures	Is a record of emergency data on file for each staff?			
	Have incident reporting format and procedures been established and staff briefed on them?			
	Are all incident reports treated with confidentiality and transmitted by secure means to the appropriate City/State department?			
	Are background checks conducted and verified on all prospective new hires?			
Cash Handling and Transfer	Has a secure method for receipt, transfer and storage of cash been established and have appropriate staff members been trained on them?			
	Is cash transported by at least two individuals with cash divided between them?			
	Do all staff members understand that in the event of a robbery they should never risk their lives to protect cash or other valuables?			
Fire and Electrical Safety	Are fire extinguishers installed in all appropriate locations?			
	Are smoke and heat detectors installed, at least one on each floor?			
	Is a first aid kit present and maintained?			
	Are all electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard?			
	Are all electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering?			
	Do any non-employees have access from outside the building to any fire escapes, stairways, and/or the roof?			
	Are all outdoor trash containers and storage bins located away from the building in the event of a fire?			

Hazard Identification and Risk Assessment Log

The Hazard Identification and Risk Assessment Log shown can be used to provide a record of the identified hazards and the actions that should be taken. The recommended action must be addressed by a specified individual, typically the appropriate person responsible for addressing that particular risk, and a target date for completion must be given. Entries in the log should not be cleared until the required action is completed. The hazard log and action completion records should be retained permanently by the Chief Safety Officer.

Risk Type	Risk Description	Current Measures to Reduce Risk	Risk Likelihood	Risk Rating Severity	Hazard Risk Index Value	Further Action Required to Reduce Risk	Staff Responsibility
Human Error	Non-compliance with agency maintenance protocol	Minimum competency requirements Effective safety culture in agency (maintenance department) Effective task planning Availability of procedures Procedure reviews and simplification into tasks Recurrent training	Frequent	Critical	II-A: Hazard must be mitigated	Introduce compliance monitoring Effective supervision including work compliance assessment Competency assessments Maintenance policy to reinforce need for compliance	Safety Officer Maintenance Supervisor

Definitions

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the Agency 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. The Transit Program Manager is the CRANE Public Transit Accountable Executive.

Chief Safety Officer means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. The Contactor's Director of Compliance and Transit Relations is the Chief Safety Officer.

Consequence means the potential outcome(s) of a hazard.

Employee Safety Reporting Program means the implementation of a process that allows all employees to report safety conditions to senior management.

Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.

Event means any Accident, Incident, or Occurrence.

Frontline Employee means an employee who is a transit vehicle driver or operator, dispatcher, maintenance and maintenance support employee, station attendant, customer service employee, security employee, or transit police, or any other employee who has direct contact with riders on a regular basis.

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.

Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.

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

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

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

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

Probability means the likelihood that hazard consequences might occur, considering the worst foreseeable condition.

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.

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

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

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

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

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

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

Safety Performance Target means a Performance Target related to safety management activities.

Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

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

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

Severity means the anticipated effects of a consequence, should it materialize, considering the worst credible condition.

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

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

Transit Agency means an operator of a public transportation system.

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

Acronyms

ASP	Agency Safety Plan
CFR	Code of Federal Regulations
FTA	Federal Transit Administration
ICS	Incident Command System
MPO	Metropolitan Planning Organization
NIMS	National Incident Management System
NDOT	Nebraska Department of Transportation
NTD	National Transit Database
OJT	On-The-Job Training
PTASP	Public Transportation Agency Safety Plan
SMS	Safety Management System
SSEPP	System Safety/Security and Emergency Preparedness Plan