

Annapolis Transit Agency Safety Plan

City of Annapolis, Maryland

Department of Transportation
(ADOT)



December 2019

Annapolis Transit Agency Safety Plan

City of Annapolis, Maryland

1. Transit Agency Information

Transit Agency Name	City of Annapolis (Annapolis Transit)			
Transit Agency Address	308 Chinquapin Round Road, Annapolis, MD 21401			
Name and Title of Accountable Executive	J. Rick Gordon, Director			
Name of Chief Safety Officer or SMS Executive	J. Rick Gordon			
Mode(s) of Service Covered by This Plan	Bus Transit	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Directly Operated Bus Transit			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	Description of Arrangement(s)	Not Applicable
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	Not Applicable			

2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	City of Annapolis Department of Transportation	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	J. Rick Gordon	
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Annapolis City Council	
	Relevant Documentation (title and location)	
	Annapolis Transit Agency Safety Plan / City of Annapolis Department of Transportation	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	J. Rick Gordon	
	Relevant Documentation (title and location)	
	Annapolis Transit Agency Safety Plan / City of Annapolis Department of Transportation	

Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1	Draft	New Safety Management System (SMS) Plan	July 1, 2019

Annual Review and Update of the Public Transportation Agency SMS Plan

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

In general, annual review and update of the Safety Plan will be concurrent with Annual Transportation Plan (ATP) application process, usually between January and March of every year. The Safety Plan will be submitted as part of the ATP.

Outside the January – March time window, management will review the SMS Plan when the following conditions exist:

Approach to mitigate safety deficiencies is deemed ineffective

Significant changes to service delivery

Introduction of new processes or procedures that have safety implications

Changes including re-prioritization of resources for SMS

Significant changes of the organizational structure.

All proposed changes will be documented by the management as addendums and distributed to all affected parties including employees. All parties must comment within two weeks of the issuance of the proposed changes unless otherwise specified.

3. Safety Performance Targets

Safety Performance Targets							
<i>Specify performance targets based on the safety performance measures established under the National Public Transportation SMS Plan.</i>							
Mode of Transit Service	Fatalities (total)	Fatalities per 100K VRM	Injuries (total)	Injuries per 100K VRM	Safety Events (total)	Safety Events per 100K VRM	System Reliability (VRM/Failures)
DR (ADA Paratransit)	0	0	0	0	0	0	Not available*
MB (Fixed Routes)	0	0	0	0	0.6	0.1	Not available*

**Major mechanical breakdowns have not been tracked in the past, but will be tracked beginning July 2020. Once enough data has been collected, a system reliability target will be established.*

Safety Performance Target Coordination		
<i>Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.</i>		
The safety plan will be submitted to both agencies for consideration when these agencies are developing their safety performance targets. For the state agency, this will be concurrent with the submission of the Annual Transportation Plan (ATP) to aid in the planning process. In the case of the MPO, it will be part of the annual Uniform Planning Work Program submittal.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	Maryland Transit Administration	No target transmitted yet
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	Baltimore Regional Transportation Board	No target transmitted yet

4. Safety Management Policy

Safety Management Policy Statement

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

City of Annapolis Department of Transportation (ADOT), which operates Annapolis Transit, is committed to providing a safe and secure public transportation services to the patrons; and the implementation and continuous improvement of an effective safety management system (SMS).

The primary objectives of the ADOT Safety Management System (SMS) Plan are to:

- Promote early identification of safety hazards and risks
- Take proactive steps to reduce identified safety hazards and risks
- Promote and enhance our safety culture to support the SMS
- Establish and continuously maintain an acceptable level of safety within the department
- Encourage employees to report safety concerns to management without fear of disciplinary actions

ADOT will provide the necessary resources to implement, control, and oversee the SMS Plan, including financial and human resources. Through execution of our SMS Plan, ADOT will implement leading safety risk reduction practices into our business management decisions model including: operations, maintenance, facilities, personnel and support services in order to further promote our transit safety objectives.

Safety Management Policy Communication

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

It is the policy of ADOT to maintain open communication between management and employees on matters pertaining to safety. All input regarding safety is considered important, and employees are encouraged to actively participate in the company safety program. Employees should feel free to express any safety concerns during safety meetings, individually to supervisors or in writing.

Management supports, encourages and accepts both positive and negative feedback. Management assures employees that there is no fear of retaliation when it comes to safety.

Safety communications methods vary, but will comprise both internal and external communication/awareness.

Internal Communication:

Internal communication/awareness may be accomplished using:

- Notice boards
- Intranet postings
- Regular safety meetings and/or training sessions
- Safety advisories (local, state or national)
- Telephone or email communications

The Accountable Executive, with assistance from the deputy director and/or transportation superintendent, is responsible for internal safety communication.

Internal communication will consist of ad hoc and regularly established activities designed to communicate and reinforce SMS policy and related elements to all affected employees, to include:

- The importance of conformance and the potential consequences of non-conformance with SMS policy, processes or procedure
- Individual roles and responsibilities in achieving conformance with SMS process

- The risks associated with work activities revealed from safety data
- Relevant output from management safety reviews
- Reported hazards/near-misses and incidents
- Changing safety requirements
- Safety performance data
- Key results of internal/external assessments and audits
- Other information needed to support the SMS Plan

External Communication:

ADOT has determined that significant risks identified through the operation of the SMS Plan will not be communicated to the general public unless required by federal, state or local regulations. Information regarding general SMS operation and specific risks identified will be communicated to the appropriate governing body as required only.

The Accountable Executive or designee is responsible for media communications regarding safety issues and in consultation with the city's Risk Management Administrator, Office of Law and Public Information Officer where appropriate.

Authorities, Accountabilities, and Responsibilities

Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

<p>Accountable Executive</p>	<ul style="list-style-type: none"> ▪ Provides strategic direction for safety policy, risk mitigation, safety assurance and safety promotion. ▪ Provides sufficient resources and attention devoted to the SMS Plan. ▪ Develops an effective notification and reporting system for safety/security incidents and emergencies. ▪ Provides proactive leadership in the operation and performance of SMS; develops and implements innovative strategies that foster continuous SMS improvement. ▪ Ensures security and emergency preparedness are top priorities to all employees. ▪ Develops relations with outside organizations that may participate in and contribute to the SMS Plan, including local public safety and emergency planning agencies.
<p>Chief Safety Officer or SMS Executive</p>	<p>Same as Accountable Executive</p>
<p>Agency Leadership and Executive Management</p>	<p>Same as Accountable Executive</p>
<p>Key Staff</p>	<p>Transportation Superintendent</p> <ul style="list-style-type: none"> ▪ Communicates operational safety policy related to SMS ▪ Promotes operational safety and operators' safety <p>Maintenance Supervisor</p> <ul style="list-style-type: none"> ▪ Manages function related to vehicle and equipment maintenance activities

All Personnel

- Conduct work in the safest manner possible in accordance with approved job-specific procedure, policies and in a manner that enhances their own and other employees' safety.
- Promote risk reduction, participates openly in safety related events investigations.
- Immediately report workplace hazards and make suggestions for control of reported hazards.

Employee Safety Reporting Program

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

ADOT requires proactive reporting of safety hazards or safety concerns on the part of all employees in order to maintain a proactive position on risk.

Under no circumstance will employees be disciplined for the act of reporting safety related information unless such disclosure indicates, beyond reasonable doubt an illegal act, gross negligence or a deliberate or willful disregard to safety regulations or procedures.

When an employee becomes aware of a hazard, he/she shall submit a report within eight (8) business hours or at the end of shift using one of the following methods:

Completion of an incident report form

Notifying supervision/management. Supervision/management is then required to file a report using the incident report form or other means as deemed appropriate.

5. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

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

SAFETY HAZARD IDENTIFICATION

The primary method used by Annapolis Transit to identify the hazards, threats to the transit system and the vulnerabilities of the system is the collection of historical data and incident reports submitted by drivers and supervisors and information provided by federal and state agencies and local law enforcement.

Information resources include but are not limited to the following:

- Operator incident reports
- Risk management reports
- Bus maintenance reports
- Passengers' letters and telephone calls
- Management's written concerns
- Staff meeting notes
- Special requests
- Historical data
- Information from public safety officials
- Operator observed hazards
- Real-time, GPS-based bus video surveillance system on all Annapolis transit buses

ADOT reviews safety/security information resources and determines if additional methods should be used to identify system threats and vulnerabilities. This includes a formal evaluation program to ensure that safety/security procedures are maintained and that safety/security systems are operable. Safety/security testing and inspections may be conducted to assess the vulnerability of the transit system. Testing and inspection includes the following three-phase approach: (a) Equipment preparedness, (b) Employee proficiency, and (c) System effectiveness.

Potential sources of hazard to Annapolis Transit include the following:

Accidents:

Transit vehicle accidents - defined as collisions with other vehicles, objects or persons with the potential for damage to people and/or property and the possibility of lawsuits and/or criminal charges.

Transit passenger incidents - involving passenger falls, injuries relating to lift and securement operation, injuries before boarding or after alighting and passenger illnesses.

Employee accidents and incidents - include injuries within the office, on official travel, while maintaining the equipment, and on-premises, but not while operating a vehicle for public transport. Such accidents/incidents create the possibility for loss of workforce, worker's compensation claims, etc.

Acts of Nature

Floods - heavy rain, storm surge, and rapid snowmelt may cause flooding that can result in loss of life, damage to facilities, danger to vehicles on roadways and loss of power and communications.

Winter weather - snow and ice storms can cause power failures, make roads dangerous or impassable, cause sidewalk hazards, and affect the ability to deliver transit service.

Critical Infrastructure

Power outages - whether short or long in duration, can impact overall ability to operate transit services and limit functional nature of transit equipment and facilities.

Vehicle fires - could cause transit employee and passenger injuries and death, and damage or loss of transit equipment and have the potential for lawsuits.

Facility loss - loss of administrative, maintenance, or operations facilities - whether caused by structural collapse, presence of toxic materials, violation of municipal codes, fire, or significant events on neighboring properties - can hamper the ability to sustain service

Hazardous Materials

Blood-borne pathogens - exposure can put drivers, passengers, maintenance employees and bus cleaners at risk of contracting disease.

Toxic material spills - toxic materials fall into four basic categories: blister agents such as solvents; cardio-pulmonary agents such as chlorine gas; biological agents such as anthrax; and nerve agents such as Sarin. While some of these materials may be agents of terrorist acts, accidental release is also possible. Additionally, low-level exposure to maintenance related chemicals and vehicle fluids can pose a risk to employee and environmental health.

Criminal Activity

Trespassing - penetration of organizational security system can increase vulnerability to criminal mischief, theft, workplace violence, and terrorist attack.

Vandalism/Criminal mischief - Includes graffiti, slashing, loitering, or other such events that damage buses, bus stops, shelters, transit facilities and/or organizational image.

Theft and burglary - includes loss of assets due to break-in to facilities and into vehicles as well as employee theft, and can threaten information assets, property assets, and organizational image.

Workplace violence - includes assaults by employees on employees, passengers on passengers, and passengers on employees including menacing, battery, sexual assault, and murder.

Commandeered vehicle - taking of a transit vehicle to perpetrate a crime and the taking of hostages as a negotiating tool. Puts the lives of transit employees and passengers at risk.

Terrorism

Dangerous mail - chemical, biological, radiological and explosive devices delivered through the mail put the lives of transit employees and occupants of transit facilities at risk, and have the potential for damage of facilities and equipment.

Suicide bombers - internationally, transit systems have been common terrorist targets. Annapolis transit systems are not immune. The major inherent vulnerabilities of transit are that transit systems by design are open and accessible, have predictable routines/schedules, and may have access to secure facilities and a wide variety of sites, all of which make transit an attractive target.

Improvised Explosive Devices (IED) - activities could involve the use of conventional weapons and improvised explosive devices or bombs on transit vehicles, within transit facilities or within the environment of the transit service area, putting the lives of transit employees, passengers and community members at risk. Such events could require the use of transit vehicles in evacuation activities.

Weapons of mass destruction - use of chemical, biological or radiological weapons could cause massive loss of life involving everyone in the community and lead to the destruction of transit vehicles and facilities, as well as require the use of transit vehicles for evacuation purposes.

SAFETY RISK ASSESSMENT

All identified and system accepted hazards, near-miss situations and safety events that occur shall be risked assessed. Risk assessment will be conducted for the "as reported" condition and again conducted for the "mitigated" condition.

Additionally, and separate to individual proactive reports, system-wide annual risk assessments will be conducted. The risk assessment and risk control process shall be reviewed and revised:

As a part of the monthly safety meetings

As applicable due to new or revised activities or procedure

Annually by management

A safety risk assessment has two elements: hazard severity and hazard probability.

Hazard severity is a qualitative determination of the worst likely case that could be anticipated because of human error, poor design, failure or malfunction of component(s). Hazard severity ratings are as follows:

- Catastrophic – Operating conditions are such that human error, poor design, failure or malfunction of components may commonly cause multiple deaths, numerous casualties or major system loss. Catastrophic hazards require immediate cessation of the unsafe activity or operation
- Critical – Operating conditions are such that human error, poor design, failure or malfunction of components may commonly cause death, limited casualties or significant system loss that will require immediate termination of the unsafe activity or operation.
- Serious – Operating conditions are such that human error, environment, poor design, failure or malfunction of components or procedural deficiencies may commonly cause severe injury, severe occupational illness, or major subsystem damage requiring immediate corrective action.
- Marginal – Operating conditions are such that they commonly cause minor injury, minor occupational illness, or minor system damage. Human error or component failures can be controlled or counteracted.
- Negligible – Operating conditions are such that human error, poor design, failure or malfunction of components may commonly cause no, or less than minor injury, occupational illness, or system damage

Hazard probability is a subjective measure of likelihood that a specific hazard will occur during the useful life of the asset. Hazard probability is categorized as follows:

- Frequent – Likely to occur frequently
- Probable – Likely to occur several times
- Occasional – Likely to occur sometime
- Remote – Unlikely but possible to occur
- Improbable – So unlikely that it can be rejected from consideration

Hazard severity and probability are used to determine the magnitude of the hazard and the priority in the form of a Risk Assessment Matrix (Figure1). This will help to assess the level of risk (risk rating) for each identified hazard and subsequent control measures to apply through hazard resolution or mitigation.

Figure 1. Risk Assessment Matrix

LIKELIHOOD	POTENTIAL CONSEQUENCES OR SEVERITY				
	Catastrophic	Critical	Serious	Marginal	Negligible
Frequent	Very High	Very High	High	Moderate	Low
Probable	Very High	High	High	Moderate	Low
Occasional	High	High	Moderate	Moderate	Low
Remote	High	Moderate	Moderate	Low	Very Low
Improbable	Moderate	Moderate	Low	Very low	Very Low

Risk Rating	Action Required
Very High	Risk must be immediately mitigated and constantly monitored
High	Risk must be treated and constantly monitored
Moderate	Risk may be managed and reduction strategies implemented
Low	Risk may be accepted after a risk review
Very Low	Risk would normally not be treated

SAFETY RISK MITIGATION

Each hazard category in the Risk Assessment Matrix (Figure 1) requires a specific level of resolution and control as shown in the Hazard Decision Matrix (Figure 2).

Hazard resolution and/or control involves the analysis and corrective action taken to eliminate or reduce the risk associated with an identified hazard to the lowest practical level. In most cases, acceptable hazard resolution will require a combination of actions or methods of control. The preferred order to satisfy system safety requirements and to resolve the identified hazards is as follows:

Design to eliminate/minimize risk: Where possible, hazards will be eliminated through design. If the hazard cannot be eliminated because it is inherent or it is not financially feasible, it will be reduced to an acceptable level. Specific actions to be taken include building in redundancy or backups, use of highly reliable components, and use of fail-safe devices or transfer the risk to a third party.

Use appropriate safety devices for hazards that cannot be eliminated or minimized through design. This involves the installation of permanent system design features to improve safety by automatically controlling the risk of hazard with no human intervention.

Use warning devices to reduce the risk associated with the hazard to acceptable level. This is applicable when neither design nor safety devices can effectively eliminate identified hazards or adequately reduce the risk associated with the hazard to acceptable level.

Approved procedures and training programs are the lowest level of control, and they will be used when it is not possible or practical to eliminate hazards or reduce risks through system design, and safety or warning devices. The purpose of training programs is to recognize the hazard and personnel actions to avoid the hazard. Procedures will include precautionary notations, warning signs and use of personal protective equipment.

Figure 2. Hazard Decision Matrix

FREQUENCY OF OCCURRENCE	HAZARD CATEGORY				
	Catastrophic	Critical	Serious	Marginal	Negligible
Frequent	Unacceptable	Unacceptable	Unacceptable	Undesirable	Undesirable
Probable	Unacceptable	Unacceptable	Undesirable	Undesirable	Acceptable with Review
Occasional	Unacceptable	Undesirable	Undesirable	Acceptable with Review	Acceptable with Review
Remote	Undesirable	Undesirable	Acceptable with Review	Acceptable with Review	Acceptable
Improbable	Acceptable with Review	Acceptable with Review	Acceptable with Review	Acceptable	Acceptable

Note: Hazard decisions of "Unacceptable" or "Undesirable" requires hazard resolution and controls; "Acceptable with Review" requires additional monitoring and/or more information.

6. Safety Assurance

Safety Performance Monitoring and Measurement

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

Safety assurance is the means to demonstrate that organizational arrangements and processes for safety achievement are properly applied and continue to achieve their intended objectives. This is achieved through safety performance monitoring and measurement processes by which the performance is verified against the safety policy, stated safety objectives and targets. The safety assurance process within ADOT is achieved by monitoring and measuring the outcomes of activities that operational personnel must engage in for the delivery of services by ADOT.

Specific activities to monitor the transit system for compliance with procedures for operations and maintenance include the following:

Transit Bus Service Safety and Security

The comprehensive, onboard GPS-based video surveillance system on all revenue vehicles provides coverage of all activities in and around the transit vehicles in real time. These videos are transmitted back to the operations control room and are displayed on video monitors. The bus video surveillance system helps make passengers and drivers feel safe and secure, prevent/deter crime, etc. The video footage is also used in accident and other investigative works by the department and/or law enforcement agencies.

Transit Facility Safety and Security Review

The transit facility is monitored by video surveillance system. On an ongoing basis, Annapolis Transit assesses the system's physical and procedural security systems and exposures. Findings from past and current threats and vulnerability assessments are of particular significance. Annapolis Transit reviews security measures periodically, as well as whenever facilities or other conditions change significantly.

Operator Selection

Operator selection is critical to Annapolis Transit safe transit operations. The driver selection criterion addresses specific, safety-related items.

- **Licensing** – The driver is properly licensed and the license is appropriate for the type of vehicle the driver is assigned. Licensing also considers local jurisdiction requirements.
- **Driving record** – The driver has an acceptable past driving record over a reasonable period of time. The driving record demonstrates an ability to follow traffic rules and regulations and thus avoid accidents.
- **Physical requirements** - The driver is physically able to perform the functions associated with the assignment. These factors include good eyesight with true color perception, good hearing, physical strength and dexterity to assist disabled passengers (especially in demand responsive/para-transit assignments), or other factors that may be unique to the service area and/or specific driving assignments.
- **Background checks** - Annapolis Transit does background checks on all employees to protect against hiring personnel with a history of aberrant behavior.

Drug and Alcohol Policies

A critical element of Annapolis Transit's commitment to safe operations is ensuring that employees are not impaired due to the use of alcohol, illegal drugs, prescription drugs or over-the-counter medication. Annapolis Transit follows the requirements set forth under 49CFR Part 655 and 49CFR Part 40 Amended as mandated by the FTA. The Annapolis Transit drug and alcohol program includes specific policies, procedures and responsibilities for pre-employment, random and post-accident testing.

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

Driver's Vehicle Checklist

Annapolis Transit drivers complete a vehicle pre-trip inspection checklist when putting a vehicle into service. This pre-trip inspection includes:

- Inspection of the vehicle's required safety equipment
- Inspection of the interior of the vehicle to detect unauthorized objects or tampering
- Inspection of the interior lights to make sure they are operational and have not been tampered with
- Inspection under the vehicle to detect items taped or attached to the frame
- Inspection of the exterior of the vehicle for unusual scratches or marks made by tools; signs of tampering; unusually clean or dirty compartments; or items attached using magnets or duct tape
- Following established policy governing suspicious packages, devices, or substances to determine if an unattended item or an unknown substance found during inspection is potentially dangerous
- Immediately notifying a supervisor in the case of a potentially suspicious package(s) or evidence of tampering. Do not start or move the vehicle or use electronic means of communication.

Periodically throughout the driver's shift, the above inspections are conducted.

Mechanic's Vehicle Checklist

Annapolis Transit mechanics or contracted mechanics make the following security checks before releasing a vehicle for revenue service:

- Ensures that required safety equipment is on vehicle
- Inspects the interior of the vehicle for unknown objects or tampering
- Inspects the interior lights to make sure they are operational and have not been tampered with
- Inspects under the vehicle for items taped or attached to the frame
- Inspects the exterior of the vehicle for unusual scratches or marks made by tools; signs of tampering; unusually clean or dirty compartments; or items attached using magnets or duct tape
- Inspects the gas cap for signs of tampering or unusual items
- Inspects the engine compartment and other areas to detect foreign objects or false compartments in the air filter area or the cold oil filter. Also look for additional wires running to or from the battery compartment, and take note of unusually clean components and devices
- Inspects the fuel and air tanks to detect inconsistent and missing connections

Vehicle Maintenance

Annapolis Transit provides proper maintenance of vehicles and equipment critical to the continued safe operation of the transit system. Vehicle maintenance practices regularly address safety-related vehicle equipment to ensure that no unsafe vehicles are dispatched for service. Safety-related vehicle equipment includes:

- Service brakes and parking brake
- Tires, wheels, and rims
- Steering mechanism
- Vehicle suspension
- Mirrors and other rear vision devices (e.g., video monitors)
- Lighting and reflectors or reflective markings
- Wheelchair lifts

Most safety-related equipment is inspected during a pre-trip inspection to ensure that the vehicle is fit for service. The vehicle maintenance program addresses the following categories:

- *Daily servicing needs* – This relates to fueling, checking and maintaining proper fluid levels (oil, water, etc.), vehicle cleanliness, pre- and post-trip inspections and maintenance of operational records and procedures.
- *Periodic inspection* – These activities are scheduled to provide maintenance personnel an opportunity to detect and repair damage or wear conditions before major repairs are necessary. Inspection items include suspension elements, leaks, belts, electrical connections, tire wear, and any noticeable problems.
- *Interval related maintenance* – The focus is to identify wear, alignment, or deterioration problems of parts or fluids. Replacement intervals of these items are determined through transit agency experience and manufacturer recommendations.
- *Failure maintenance* - When a failure is encountered that makes the vehicle unsafe or unable to continue operation, the vehicle is removed from service and returned to the garage for repair.

Other Monitoring Activities

- Ride along with operators
- Random, unannounced street supervision

- Use of mystery riders – use of carefully selected regular transit riders as "incognito scouts" that conduct safety compliance and other service reviews and report to management. The intent is to positively reinforce good safety behavior and catch any potential safety pitfall before an incident.

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

In order to promote the continuous safety performance improvement of the SMS, ADOT will promptly and thoroughly investigate events that result in safety of service, and employee. Near-miss incidents are investigated if it is not readily determined the root cause of the near-miss.

Investigations are a methodical search into an event where information relating to factors that may have caused or contributed to the event are discovered. The SMS uses a structured Investigative process where evidence, contributing factors and root cause is recorded such that follow-on mitigating actions may be tracked.

As with any investigation, time is of the essence, therefore investigations should proceed as soon as practical to avoid potentially losing valuable information. Investigations are to be concluded within 5 business days of the incident. Only trained investigators are to conduct investigations and under no circumstance may an investigator examine his/her own work area incident.

A complete investigation is comprised of the following three stages being completed:

1. Investigation and interview stage: All relevant information is found.
2. Root Cause Stage: Contributing factors and root cause is determined and information is recorded. A review of past hazards, controls or evaluation of customer complaints to determine of the effectiveness of existing controls will also be conducted at this stage.
3. Preventative strategies recommendations are prepared and recorded.

For near-miss reports, a full investigation may not be required. In this case, the Accountable Executive will determine the level of investigation appropriate to effectively address the report.

As part of the investigation, management will also look into the effectiveness of competence and training of frontline employees as discussed under safety promotion.

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

Safety assurance is the means to demonstrate that organizational arrangements and processes for safety achievement are properly applied and continue to achieve their intended objectives. This is achieved through safety performance monitoring and measurement processes by which the performance is verified against the safety policy, objectives and targets.

The safety assurance process within ADOT is achieved by monitoring and measuring the outcomes of activities that operational personnel must engage in for the delivery of services.

ADOT management obtains information for safety performance monitoring from a variety of sources including direct employee input, a hazard reporting system, meetings, or assessments/audits.

Each of these types of information sources may exist to some degree and should be assessed on a routine schedule for risk identification and trend analysis by transportation superintendent, maintenance supervisor and risk management administrator in particular. ADOT will accomplish continual safety performance monitoring and oversight of the SMS as indicated below.

As a part of the annual safety objectives and targets development process, ADOT management will work with the risk management administrator to establish the initial list of safety objectives and targets. ADOT management will assist vehicle operations and maintenance divisions with monitoring of the objectives and targets.

Weekly staff meetings and monthly safety and operators meetings will focus on safety performance and means to continually improve safety performance.

Once data from all safety-related activity is reviewed, management and/or supervisors will communicate the appropriate information to all employees in the organization. This includes:

- a. How the hazardous conditions will be addressed including any updating of existing response/mitigation.
- b. An assessment of the appropriateness and effectiveness of the mitigations to address the hazards or event contributing factors.
- c. Any necessary follow ups of the reported hazardous conditions and with the employee(s) who reported the condition.

Any findings from the review will be communicated through:

- a. Regular or special staff meeting(s).
- b. One-on-one meeting with the employee(s) who reported the safety.
- c. Memos /special notice to employee(s).

The mitigation will be considered as appropriate if it actually addresses any identified hazard. The mitigation will only be considered effective if it consistently manages the safety risk under normal operating conditions. Effective mitigation must reduce the safety risks to an acceptable level as defined by the risk assessment in the risk assessment matrix. Management will also propose prioritization of the responses/mitigations based on the risk assessment for each hazard.

Management of Change (Not Required for Small Public Transportation Providers)

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

Continuous Improvement (Not Required for Small Public Transportation Providers)

Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.

7. Safety Promotion

Competencies and Training

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

The purpose of SMS training include the following:

- a. Establish a department-level approach, which ensures that all employees have the appropriate level of knowledge about the ADOT SMS Plan.
- b. Demonstrate how the safety policies, processes and procedure affect how they perform their duties.
- c. Establish initial competency and for on-going competence building.
- d. Refresher training as necessary to stay current with ADOT's safety practices and procedures

Safety training will be both in the classroom and "on the job". Classroom training focuses on training employees at each relevant function and level such that they are aware of the SMS Plan.

On-the-job or hands-on training will focus on how to apply the safety concepts that employees learned in the classroom. On-the-job training will include observation rides with a supervisor and follow up training because of public concerns via comments and mystery riders report, and supervisor reviews.

All training will be documented to include:

- a. training needs;
- b. curricular for initial and refresher training; and
- c. training schedules and records.

Safety Communication

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

Safety communication activities include the following:

1. Face-to-Face or Personal Communication

Face-to-face or personal communication is the preferred method of communication at safety meetings. This will allow for interaction between speaker and recipients to clarify ambiguity. The speaker can evaluate whether an audience has received his message as intended and ask or answer follow-up questions.

2. Mobile Communications Channel

A mobile communication channel via Annapolis Transit radio system may be used when a safety message needs to be relayed to all operators at the same time

3. Electronic Communications Channels

Electronic communication channels encompass email and intranet platforms. This channel can be used for one-on-one, group or mass communication where necessary. When using this channel, care will be taken to craft safety messages with clarity.

4. Written Communication

Written communication will be used when a message that does not require interaction needs to be communicated to an employee or group. This method of communication includes letters, memos, manuals, notices on bulletin boards, safety bulletins, etc. Employees may follow up through an electronic or face-to-face channel if questions arise about a written message.

5. Workshops

Workshops may be used when it is necessary for employees to demonstrate the understanding and knowledge of safety concepts, issues, etc.

Additional Information

Integration with Public Safety and Emergency Management

Emergency Management

The City of Annapolis Department of Transportation (ADOT) coordinates with the Office of Emergency Management (OEM) before, during, and after emergencies and major planned events. The Department of Transportation provides emergency response functions when necessary to assist in saving lives and protecting property.

Before an emergency or event, ADOT participates in planning, exercises, and training with OEM. These activities help prepare the City for emergencies and major events, and enhance the ability to save lives and protect property during emergencies.

During events and emergencies, OEM may request for a representative from ADOT to report to the Emergency Operations Center (EOC) to help coordinate the City's emergency response. Changes in normal operations may be necessary to enhance the service provided to citizens, as well as ADOT vehicles may be reassigned to support emergency response operations.

Following a disaster or event, ADOT participates in After Action Reports and Incident Debriefs/Hot washes. Debriefs and Hot washes help responding departments and agencies identify strengths and areas of improvement following an incident or preplanned event. After Action Reports documents the incident/event, strengths, areas of weakness, and objectives to accomplish to improve the City's emergency response capabilities.

Incident Management

During an emergency or major planned event, the Department of Transportation (ADOT) may need to provide a representative to the City of Annapolis Emergency Operations Center (EOC). This representative is able to coordinate with other City Department representatives in the EOC, and participate in the Unified Command to help lead response efforts when necessary.

ADOT normally falls under the Operations Section of the City of Annapolis Incident Command Structure. ADOT serves a Human Services role, where the transportation of citizens or other purposes to utilize ADOT vehicles may be necessary.

All ADOT vehicles in the field report to the ADOT Dispatcher. The Dispatcher communicates with the ADOT EOC Representative to accomplish the objectives and strategies set forth by the incident/event Unified Command.

Coordination with External Agencies

Annapolis Transit is committed to proactively coordinate with local emergency management, law enforcement and other first responders in preparing for an integrated response to emergencies and security related events. Toward this end Annapolis Transit meets on a regular basis with local emergency management staff, local law enforcement and other first responders, and reviews local and transit agency emergency plans to ensure that transit is integrated into these plans and is prepared to play its defined role in any emergency.

Interagency Coordinated Emergency Response Protocols

When an outside emergency occurs in the community and specifically designated officials declare a state of emergency which requires transit agency participation, response, or awareness, the local emergency manager or their designee contacts Annapolis Transit. The following policy is followed:

- The most senior person on duty is the initial Annapolis Transit Emergency Response Coordinator (ERC). The ERC gives the individual calling a telephone number (or other means through which the ERC will remain constantly available) for updated emergency information communications during the emergency.
- The ERC performs the following functions:
 - Contacts all on-duty vehicles (by radio) to notify them that they are needed for an emergency response.
 - Directs all affected drivers to unload their passengers at a designated point and proceed to the designated staging area.
 - Records an approximate time of arrival (estimated time of arrival - ETA) at that staging area with notification upon arrival.
 - The ERC calls employees on the emergency phone list, informs them that Annapolis Transit is responding to a community emergency.
- The ERC remains in charge of all response activities throughout the emergency unless relieved by a more senior manager.
- The ERC has the authority to allocate all transit personnel and equipment as necessary to respond to the emergency at hand.

- The ERC has the emergency authority to procure parts, fuel, and other essentials necessary to continue and sustain transit emergency response activities.
- The ERC continues to make efforts to contact all transit personnel to inform them of our participation).
- The ERC provides personnel and resources in the quantities requested and to various locations as directed.
- The ERC remains on-duty in an active status until relieved or directed by the emergency manager or his/her designee that the transit agency's participation in the emergency response is no longer required.
- ERC maintains communication with the Director or his/her designee and remains in communication to the extent possible.

Emergency Response Planning and Mitigation

The Annapolis Department of Transportation (ADOT) is actively involved with emergency planning before, during, and after major events and emergencies. ADOT is involved in Office of Emergency Management planning activities, which includes but is not limited to updating the Emergency Operations Plan or the development of the Annapolis Disaster Recovery Plan.

Before a major incident or a preplanned event, ADOT is actively involved in the Incident Action Planning process coordinated by the Office of Emergency Management. Information about changes in operations and other notable information concerning operations for these incidents or events are presented during an Operational Briefing to ensure the City has a plan, and all participating departments are situationally aware.

Emergency Preparedness Exercises/Training

The Office of Emergency Management (OEM) conducts tabletop exercises and full scale exercises annually. The Department of Transportation (ADOT) participates in these activities as appropriate.

Full Scale Exercises and Tabletop Exercises will present a hazard or scenario that will test and/or provoke discussion among departmental representatives. These scenarios often include coordination between multiple departments, jurisdictions, and other partners.

Full Scale and Tabletop exercises often focus on evaluating existing procedures and policies, areas of improvement from past After Action Reports, and/or any new plans put in place by City Departments.

Definitions of Special Terms Used in the SMS Plan

Term	Definition

List of Acronyms Used in the SMS Plan

Acronym	Word or Phrase