

ATTACHMENT D
2026 AGENCY SAFETY PLAN

**KINGS COUNTY AREA PUBLIC TRANSIT AGENCY (KCAPTA)
210 E 7TH STREET
SUITE 201
HANFORD, CA 93230**

**KCAPTA SAFETY PLAN
2026**

ADOPTED 08/24/2022

UPDATED: _____

Signature of Accountable Executive

Date

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1. PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) RULE OVERVIEW

On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Rule, codified at 49 CFR Part 673. The rule requires certain operators of public transportation systems that receive federal funding under FTA's Urbanized Area Formula Grants Program to develop and implement a Public Transportation Agency Safety Plan (PTASP).

The PTASP must establish the processes necessary to implement a Safety Management System (SMS) and promote a proactive, data-driven approach to safety management within public transportation agencies.

Key PTASP Milestones

- July 19, 2019 - 49 CFR Part 673 became effective.
- July 19, 2019 - FTA issued a *Dear Colleague Letter* notifying the transit industry of the July 20, 2020, compliance deadline.
- July 20, 2020 – Transit Agencies were required to certify compliance with PTASP requirements
- 2022 – FTA issued a *Dear Colleague Letter* regarding changes to PTASP requirements resulting from the Infrastructure Investment and Jobs Act (IIJA) amendment to 49 U.S.C. 5329(d)
- April 26, 2023 – FTA issued for public comment a proposed General Directive addressing assaults on transit workers. The directive proposed requirement for transit agencies subject to PTASP regulations to:
 - Conduct safety risk assessments related to assaults on transit workers,
 - Identify and implement risk mitigations or strategies, and
 - Report to FTA on how the agency assesses, mitigates, and monitors these safety risks.
- 2024 – FTA published the first major update to the PTASP regulation and issued the General Directive 24-1: Required Actions regarding Assaults on Transit Workers.

PTASP Requirements

The PTASP must include all applicable requirements identified in 49 CFR 673. Each plan must:

- Be signed by the transit agency's Chief Executive Officer (CEO) or General Manager;
- Be approved by the agency's Board of Directors or equivalent governing authority;
- Be reviewed, updated, and certified annually; and
- Included in the agency's Safety Management system (SMS) processes and procedures.

Transit agencies were required to certify that they had a compliant PTASP in place by July 20, 2020.

Applicability

The PTASP Rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307).

The rule does not apply to agencies subject to the safety oversight of another federal agency, including:

- Passenger ferry operators regulated by the U.S. Coast Guard; and
- Rail operators regulated by the Federal Railroad Administration (FRA).

Safety Management Systems (SMS)

FTA adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing public transportation safety in the United States. SMS emphasizes:

- Safety policy,
- Safety risk management,
- Safety assurance, and
- Safety promotion.

This framework supports a proactive and continuous approach to identifying hazards, mitigating risks, and improving safety performance.

Bipartisan Infrastructure Law (BIL)/ IJJA Updates

On November 15, 2021, the President signed the Bipartisan Infrastructure Law (BIL), also known as the Infrastructure Investment and Jobs Act (IIJA), into law. The legislation amended FTA's safety program under 49 U.S.C. § 5329(d) and introduced additional (PTASP) requirements.

For transit agencies serving urbanized areas with populations under 200,000, the updated requirements include:

- **Frontline Employee Participation**
Agencies must develop their Agency Safety Plan (ASP) in cooperation with frontline employee representatives. If the agency's ASP was not previously developed in cooperation with frontline employees' representatives, FTA expected agencies to update their ASP accordingly by December 31, 2022
- **Infectious Disease Mitigation Strategies**
Agency Safety Plans must address strategies to minimize exposure to infectious diseases, consistent with guidance from the Centers for Disease Control and Prevention (CDC) or applicable state health authorities. Agencies should evaluate infectious disease exposure through the Safety Risk Management process and identify appropriate mitigations or strategies within the ASP.

2. TRANSIT AGENCY INFORMATION

Kings County Area Public Transit Agency (KCAPTA) was established as a Joint Powers Agency in 1980. KCAPTA's Administrative Office is located at 210 E 7th Street, Suite 201, Hanford, CA 93230. KCAPTA employs 9 employees. KCAPTA's Organization Chart is attached as Appendix A.

KCAPTA is governed by a five-member Board of Directors (the Board), two of whom are appointed from the Kings County Board of Supervisors, one from the City of Hanford, one from the City of Lemoore, and one from the City of Avenal.

Angie Dow is the Executive Director of KCAPTA, who reports to the Board of Directors and has been assigned as the Accountable Executive for the PTASP/SMS. The Executive Director is the single, identifiable person who has ultimate responsibility for carrying out KCAPTA's Safety Plan and Transit Asset Management (TAM) Plan, and for controlling or directing the human and capital resources needed to develop and maintain both the Safety Plan and the TAM Plan. The Executive Director may delegate specific responsibilities, but the ultimate accountability for KCAPTA's safety performance cannot be delegated and always rests with the Executive Director.

KCAPTA establishes the operating policies and defines the services provided, including service hours and days, fares, and routes of the Public Transit System. The day-to-day management and actual operations of the system are carried out under contract with a private firm, MV Transportation, Inc. All operating personnel (managers, dispatchers, mechanics, and drivers) are employees of MV Transportation, Inc.

The Executive Director designates MV Transportation Inc.'s General Manager for the Hanford Division as the Chief Safety Officer. The Chief Safety Officer has the authority and responsibilities for the day-to-day implementation and operation of MV Transit's SMS. The Chief Safety Officer reports directly to the Accountable Executive.

The Executive Director also designates MV Transportation Inc.'s Safety Manager as the Safety Management System (SMS) Executive for KCAPTA's PTASP/SMS. The Safety Manager has a direct line of reporting to the Chief Safety Officer and has a strong working relationship with the operations management functions.

KCAPTA provides fixed-route service throughout Kings County, with limited service to the Cities of Fresno and Visalia, transporting more than 500,000 passenger trips per year. KCAPTA also operates both a demand response service and a paratransit service in the Hanford UZA area, providing more than 18,000 trips per year. KCAPTA's operating budget in FY 2025 was 10.5 million and is funded through a combination of fare-box revenues, sales tax, state, and federal sources. Today it operates a fleet of 26 buses on 16 fixed routes.

As of 2020, KCAPTA also provides Vanpool Service. This service is provided under contract with Enterprise Rent-A-Car. Drivers are not paid; they are members of the vanpool group and volunteers. Through the Vanpool service, KCAPTA provides almost 187,000 passenger trips a year.

KCAPTA does not provide transit services on behalf of another transit agency or entity.

PTASP Rule applies to all large and small transit systems that receive Urbanized Area Formula Program funds and all rail transit operators, regardless of FTA funding sources. KCAPTA is a recipient of state and federal grants. These state and federal formula dollars are typically used for operations, are sometimes flexible for both operations and capital, or are restricted to capital only. Below is a table listing Grant Name, Source, and Project Type for KCAPTA.

Grant Name	Source	Project Type
FTA 5307 Urbanized Area Formula Grant	Federal Transit Administration, US Dept. of Transportation	Operations Capital
FTA 5311 Rural Operating Assistance	California Division of Rail and Mass Transit	Operations Capital
FTA Section 5339 Bus and Bus Facilities	Federal Transit Administration, US Dept. of Transportation	Capital
State Transit Assistance, State of Good Repair	California Division of Rail and Mass Transit	Capital
Low Carbon Transit Operation Program	California Division of Rail and Mass Transit	Operations Capital
Transportation Development Act – LTF	State Sales Tax	Operations
Transportation Development Act - STA	State Sales Tax on Motor Fuel	Operations Capital

3. PLAN DEVELOPMENT, APPROVAL, AND UPDATES

KCAPTA is a small bus transit agency with fewer than 100 buses and has decided to develop its own PTASP, informing the State Safety entity (Caltrans) of its decision on December 18, 2018. Consequently, KCAPTA has developed this PTASP (Plan) to comply with the requirements of 49 C.F.R. Part 673. This regulation requires that the Plan must be developed based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, **top-down**, organization-wide, data-driven approach to **managing** safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for managing safety risk. The four principles or pillars of SMS are: (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion. The following provides a pictorial view of the four pillars of SMS.

Since the Fixed Route, Paratransit Service, and Demand Response (micro-transit) is provided under contract with MV Transportation, the Accountable Executive will review MV Transportation SMS Plan annually as part of their review of KCAPTA SMS annual review for compliance with 49 CFR Part 673 and 49 U.S.C 5329(d). In cases where MV's SMS differs from KCAPTA's, the Accountable Executive, Chief Safety Officer, and Safety Management System Executive will discuss and amend plans as needed.

SAFETY MANAGEMENT POLICY

KCAPTA's documented commitment to safety, which defines our safety objectives and accountabilities and responsibilities of employees in regard to safety

Safety Risk Management

KCAPTA's process within our Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk

Safety Assurance

KCAPTA's processes within our Safety Plan that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that we meet or exceed our 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 KCAPTA's public transportation system

3.1 Signature by the Accountable Executive and Approval by the Board

Pursuant to 49 CFR Part 673.11 (a)(1), KCAPTA Plan and subsequent updates must be signed by the Accountable Executive and approved by KCAPTA's Board of Directors.

3.2 Certification of Compliance

Pursuant to 49 CFR Parts 673.13(a) and 673.13(b), KCAPTA's Accountable Executive certifies that KCAPTA has established this Plan, meeting the requirements of 49 CFR Part 673 by July 20, 2020, and will certify its compliance with 49 CFR Part 673.

After the initial certification and annually thereafter, KCAPTA must update this Plan by July 2021, in perpetuity.

- May – June: Data Review
- July: PTASP update
- August: Board Approval
- Annual Certification submitted to Caltrans/FTA

3.3 Plan Review and Updates

KCAPTA updates this Plan when information processes or activities change within the Agency and/or when Part 673 undergoes significant changes, or annually, whichever comes sooner.

This plan will be jointly reviewed and updated by the Chief Safety Officer, the Safety Management System Executive, and the frontline employee representative, with assistance from subject matter experts, each July. The Accountable Executive will approve any changes, then forward them to the KCAPTA Board of Directors for approval.

This Plan may need to be reviewed and updated more frequently based on the following:

- We determine that our approach to mitigating safety deficiencies is ineffective;
- We are making significant changes to service delivery;
- We introduce new processes or procedures that may impact safety;
- We change or re-prioritize resources available to support SMS;
- We significantly change our organizational structure.

Documentation of review, revisions, approvals, employee participation, safety committee recommendations, and Board approvals shall be retained for a minimum of three years in accordance with 49 CFR 673.31.

Version Number and Update

Version Number and Updates Record the complete history of successive versions of this plan			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1.0	All	Original Plan	6/24/2020
2.0	3.4 / 4 / 4.1	2021 Annual Plan Update	7/22/2021
3.0	2 / 3.3 / 4 / 4.1 / 10	Updated Agency Information to include vanpool; Add "frontline employee representative"; Add signature line for review by; Update Safety DATA; Add frontline employee's representative; add TAM Section, SGR, & Occupational Health & Safety Program Section	7/25/2022
4.0	1/2/3/7.2	Updated and revised the document to improve overall readability and clarity, updated the agency address, employee count, and number of buses in active service. Updated Board of Directors membership information. Provided more detail on how the annual review is documented, when it is done and how long it is retained. Updated the Safety Risk Matrix and Likelihood and Severity Tables, made minor grammatical, formatting, and wording revisions throughout the document to improve consistency and readability.	

 Angie Dow – Accountable Executive
 Executive Director

 Date

Reviewed by:

Frontline Employee Representative – Date _____
Frontline Employee Representative – Date _____
Chief Safety Officer – Date _____
Safety Management System Executive – Date _____

Approval by the Board of Directors:

Commissioner Joe Neves – County of Kings – Date _____
Commissioner Doug Verboon- County of Kings- Date _____
Commissioner Nancy Howze – City of Hanford – Date _____
Commissioner Patricia Matthews – City of Lemoore – Date _____
Commissioner Alvaro Preciado – City of Avenal – Date _____

Board approval shall be documented through meeting minutes, resolutions, or other official records maintained by KCAPTA.

4. SAFETY PERFORMANCE TARGETS

KCAPTA establishes annual Safety Performance Targets (SPTs) based on the safety performance measures identified in the National Public Transportation Safety Plan (NSP). Targets are developed and using a rolling three-year average of historical agency safety data, including fatalities, injuries, safety events, and system reliability metrics for each mode of service. Vehicle Revenue Miles (VRM) are used to normalize applicable safety rates. Safety Performance Targets are reviewed annually and updated as necessary through the PTASP annual review process.

All rates referenced in the safety performance targets are incidents per Vehicle Revenue Mile, as defined by the NTD.

KCAPTA's Safety Targets are as follows:

Measure	3 Year Average	2026 Target
Fatalities	0	0
Injuries	.67	Less than or equal to 1
Safety Events	.33	Less than or equal to 1
MDBF	18,500	Greater than 18,000

KCAPTA Data for 2025

Below is the past three (3) years (2023, 2024, 2025) data for KCAPTA's Safety Performance Targets:

KCAPTA 3-Year Data for Fixed Route Service

Category	2023	2024	2025	Average
Major Events	0	1	0	.33
Major Event Rate Per VRM	0	0.0135%	0	0
Collisions	0	0	0	0
Pedestrian Collision	0	0	0	0
Vehicular Collision	0	1	0	.33
Collision Rate Per VRM	0	0	0	0
Pedestrian Collision Rate Per VRM	0	0	0	0
Vehicular Collision Rate Per VRM	0	0.0135%	0	0
Fatalities	0	0	0	0
Fatality Rate Per VRM	0	0	0	0
Transit Worker Fatality Rate	0	0	0	0
Injuries	1	1	0	.66
Injury Rate Per VRM	0.0141%	0.0135%	0	0
Transit Worker Injuries	0	0	0	0
Transit Worker Injury Rate	0	0	0	0
Assaults on Transit Workers	0	0	0	0
Rate of Assaults on Transit Workers per VRM	0	0	0	0
Major Mechanical System Failures	0	0	0	0
System Reliability (VRM/Major Mechanical)	18,130	18,000	19,300	18,500
Annual VRM	706,972	741,631	752,344	733,649

KCAPTA 3-Year Data for On-Demand

Category	2023	2024	2025	Average
Major Events	0	0	0	0
Major Event Rate Per VRM	0	0	0	0
Collisions	0	0	0	0
Pedestrian Collision	0	0	0	0
Vehicular Collision	0	1	0	0
Collision Rate Per VRM	0	0	0	0
Pedestrian Collision Rate Per VRM	0	0	0	0
Vehicular Collision Rate Per VRM	0	0	0	0
Fatalities	0	0	0	0
Fatality Rate Per VRM	0	0	0	0
Transit Worker Fatality Rate	0	0	0	0
Injuries	0	0	0	0
Injury Rate Per VRM	0	0	0	0
Transit Worker Injuries	0	0	0	0
Transit Worker Injury Rate	0	0	0	0
Assaults on Transit Workers	0	0	0	0
Rate of Assaults on Transit Workers per VRM	0	0	0	0
Major Mechanical System Failures	2	4	3	0
System Reliability (VRM/Major Mechanical)	48,700	25,700	38,600	37,700
Annual VRM	97,334	103,126	115,916	105,459

KCAPTA 3-Year Data for Vanpool

Category	2023	2024	2025	Average
Major Events	0	0	1	0
Major Event Rate Per VRM	0	0	0.0097%	0
Collisions	0	0	1	0
Pedestrian Collision	0	0	0	0
Vehicular Collision	0	0	0	0
Collision Rate Per VRM	0	0	0.0097%	0
Pedestrian Collision Rate Per VRM	0	0	0	0
Vehicular Collision Rate Per VRM	0	0	0	0
Fatalities	0	0	0	0
Fatality Rate Per VRM	0	0	0	0
Transit Worker Fatality Rate	0	0	0	0
Injuries	0	0	3	0
Injury Rate Per VRM	0	0	0.0291%	0
Transit Worker Injuries	0	0	0	0
Transit Worker Injury Rate	0	0	0	0
Assaults on Transit Workers	0	0	0	0
Rate of Assaults on Transit Workers per VRM	0	0	0	0
Major Mechanical System Failures	0	0	0	0
System Reliability (VRM/Major Mechanical)				
Annual VRM	721,115	908,417	1,031,747	887,093

4.1 Safety Performance Target Coordination

This PTASP has been developed with guidance from the Caltrans Division of Rail and Mass Transportation (DRMT). The Plan, including safety performance targets, is provided to DRMT and the Metropolitan Planning Organization (MPO), Kings County Association of Governments (KCAG). KCAPTA personnel are available to coordinate with Caltrans and the KCAG in the selection of California and MPO safety performance targets upon request.

As a requirement of 49 U.S.C 5329(b) the 2026 PTASP update has been developed in cooperation with frontline employees.

KCAPTA will officially transmit our targets in writing the DRMT and KCAG by August 30th of each year.

Targets Transmitted to the State	State Entity	Date Targets Transmitted	Updated Targets Transmitted
	Caltrans	July 22, 2020	
Targets Transmitted to the Metropolitan Planning Organization (MPO)	MPO	Date Targets Transmitted	
	KCAG	July 22, 2020	
Cooperation with Frontline Employees	ATU Shop Steward Operator (1)		7/25/2022 05/28/2026

5. OVERVIEW OF KCAPTA'S SAFETY MANAGEMENT SYSTEM (SMS)

SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry's existing safety foundation to better control risk, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully. KCAPTA's SMS focuses on allocating resources to risk and ensures that KCAPTA has the organizational infrastructure to support decision-making at all levels regarding resource allocation. Some key pairs of KCAPTA's SMS include:

- Defined roles and responsibilities;
- Strong executive safety leadership;
- Formal safety accountabilities and communication;
- Effective policies and procedures; and
- Active employee involvement

Furthermore, KCAPTA's SMS has four distinct components, which are discussed in subsequent sections of this Plan:

- Safety Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

6. SAFETY MANAGEMENT POLICY

The Safety Management Policy is the first of the four principles or pillars of KCAPTA's SMS. Safety management is a top priority and a core value of KCAPTA. This Plan has been developed to integrate safety into all KCAPTA operations. It clearly states the organization's safety objectives and sets forth the policies, procedures, and organizational structures necessary to achieve them. The Safety Management Policy clearly defines management and employee responsibilities for safety throughout the organization. It also ensures that management is actively engaged in the oversight of the system's safety performance by

requiring regular review of the Safety Management Policy, budget and program by the designated Accountable Executive.

6.1 Safety Management Policy Statement

Safety is a top priority and core value of KCAPTA, and managing safety is a core business function. KCAPTA and MV Transportation will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public. KCAPTA's overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations.

KCAPTA is committed to:

- **Support** the management of safety by providing appropriate resources to support an organizational culture that fosters safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the agency.
- **Integrate** the management of safety as an explicit responsibility of all managers, supervisors, contract employees, and employees.
- **Clearly** define for all managers and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of this Plan.
- **Establish and Operate** a safety reporting program/process as a fundamental tool in support of the agency's hazard identification and safety risk evaluation activities to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is as low as reasonably practicable (ALARP).
- **Ensure** (i) that no action will be taken against any employee who discloses a safety concern through the safety reporting program/procedures, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures; (ii) that sufficiently trained and skilled personnel are available & assigned to implement this Plan its processes & activities; (iii) that all agency's staff are formally provided with adequate and appropriate safety management information, are competent in Plan's activities, and are assigned only safety related tasks commensurate with their skills; and (iv) that contracted services that support our agency's mission are meeting our safety performance standards.
- **Comply** with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- **Establish and Measure** our agency's safety performance against realistic safety performance indicators and safety performance targets.
- **Continually Improve** our agency's safety performance through management processes that ensure relevant safety action is taken in a timely fashion and is effective when carried out.

The Plan has been approved by the Executive Director and the Board of Directors. The Executive Director has delegated authority to MV Transportation's General Manager for the implementation of this Plan.

This safety policy supports KCAPTA's mission, vision, and safety values within the organization. By following the processes described in the Plan, KCAPTA will continue to have opportunities to improve the overall safety performance of this agency.

6.2 Safety Management Policy Communication

The safety management policy will be communicated throughout the Agency, to all employees, managers, and executives, as well as contractors, and to the Board of Directors through various processes such as:

- Workshops/training sessions – These will be conducted for Senior Management and Supervisors. Once this Plan has been signed by the Executive Director and approved by the Board of Directors, it will become standard practice in perpetuity, making SMS standard business practice. All Union representatives will be kept informed.
- New Hire Safety Orientation – Through this program, all new employees, regardless of their classifications, will be trained about their roles and responsibilities pertaining to PTASP and the principles of SMS.
- The safety communication will continue using safety bulletins and safety meetings.
- In addition, annual safety audits/reviews of PTASP will be conducted to bring focus on the safety management communication aspect and the implementation status of PTASP and SMS principles.

6.3 Authorities, Accountabilities, and Responsibilities

This Plan has assigned specific authorities, accountabilities, and responsibilities to the designated Accountable Executive, MV Transportation General Manager, SMS Executive, and Key Staff. Some of these assigned tasks pertaining to PTASP/SMS are described below:

Accountable Executive

KCAPTA's Accountable Executive is the Executive Director. The Executive Director is accountable for ensuring that KCAPTA's SMS is effectively implemented throughout KCAPTA's public transportation system. The Executive Director is accountable for ensuring action is taken, as necessary, to address substandard performance in KCAPTA's SMS. The Executive Director may delegate specific responsibilities, but the ultimate accountability for KCAPTA's safety performance cannot be delegated and always rests with the Executive Director. The Executive Director is accountable for ensuring that KCAPTA's SMS is effectively implemented and, as necessary, for taking action to address substandard performance in KCAPTA's SMS. The Accountable Executive may delegate specific responsibilities, but not accountability for KCAPTA's safety performance.

The Executive Director's roles include, but are not limited to:

- Establishing and maintaining agency PTASP based on SMS principles.
- Ensuring safety concerns are considered and addressed in the agency's ongoing budget planning process.
- Ensuring transparency in safety priorities, for the Board of Directors and for the employees.
- Establishing guidance on the level of safety risk acceptable to the agency
- Assuring safety policy is appropriately communicated throughout the agency.
- Decision making about resources (people & funds) to support TAM, PTASP/SMS, and capital investments.

Chief Safety Officer

The Executive Director designates MV Transportation Inc.'s General Manager for the Hanford Division as the Chief Safety Officer. The Chief Safety Officer holds a direct line of reporting to the Accountable Executive and has the authority and responsibility for the day-to-day implementation and operation of KCAPTA's SMS.

The Chief Safety Officer's responsibilities include:

- Working with KCAPTA's Executive Director to maintain the agency's PTASP based on SMS principles
- Ensure safety concerns are considered and addressed in the Hanford Division's ongoing budget planning process
- Ensure transparency in safety priorities for all MV Transportation's Hanford Division employees
- Assist KCAPTA's Executive Director in establishing guidance on the level of safety risk acceptable
- Assure the safety policy is appropriately communicated throughout the Hanford Division.

SMS Executive

The Executive Director has also designated MV Transportation Inc., Hanford Division Safety Manager, as the SMS Executive, and some of the responsibilities include.

- Overseeing the safety risk management program by facilitating hazard identification, safety risk assessment, and the development and implementation of safety risk mitigations;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive and KCAPTA's Board of Directors on SMS implementation progress;
- Planning safety management training;
- Developing and organizing annual audits of PTASP/SMS principles to ensure compliance with 49 CFR Part 673 requirements.
- Maintaining safety documentation

Agency Leadership and Executive Management

KCAPTA's Leadership/Management is comprised of the Executive Director, Transit Manager, Accountant, Facility & Fleet Specialist, MV Transportation General Manager, Operation Manager, Safety Manager, Maintenance Manager, Road Supervisors, and Dispatch. Some of the responsibilities include:

- Day-to-day implementation of the PTASP/SMS principles throughout their department/organization.
- Communicating safety accountability and responsibility from the front-line employees to the top of their organization.
- Ensuring employees are following their working rules and procedures, and following safety rules & regulations in performing their jobs. In addition, they are fulfilling their specific roles & responsibilities in implementing the PTASP and SMS principles.
- Ensuring that employees comply with the safety reporting program and report unsafe conditions and hazards to their department management, and that these unsafe conditions and hazards are corrected in a timely manner.
- Ensuring that resources are sufficient to carry out employee training/certification and re-training as required by their job classifications.

Key Staff

KCAPTA key staff/employees and contract employees may include managers, supervisors, specialists, and other key employees who are performing highly technical work, overseeing employees performing critical tasks, and providing support in the implementation of PTASP & SMS principles across various departments throughout the agency. The key staff/employees and contract employees' responsibilities include:

- Ensuring that employees are complying with the safety-reporting program.
- Ensuring supervisors are conducting safety meetings.
- Promoting safety in employees' respective areas of responsibilities – That means zero accidents; absence of any safety concerns; perfect employee performance; and compliance with agency rules & procedures and regulatory requirements.
- Ensuring the safety of passengers, employees, and the public.
- Responding to customer complaints and the expectations of frequency, reliability, and convenience of service.

- Replacing and maintaining aging facilities, equipment, and infrastructure.
- Meeting increasing demands for fixed route, micro transit, and paratransit service.
- Establishing clear lines of safety communication and holding accountability for safety performance.

6.4 Employee Safety Reporting Program

KCAPTA and MV Transportation Inc. implemented a process that allows employees and contracted employees to report safety conditions to senior management and protects them for doing so. The purpose, description, and protections for employees to report unsafe conditions & hazards are described in the Employee Safety Reporting Program as follows:

Purpose:

- To establish a system for KCAPTA or MV Employees to identify unsafe conditions or hazards at work and report them to management without fear of reprisal. However, disciplinary action could result if the condition reported reveals the employee willfully participated in or conducted an illegal act, gross negligence, or deliberate or willful disregard of regulations or procedures, including reporting to work under the influence of controlled substances, physical assault of a coworker or passenger, theft of KCAPTA property, unreported safety events, unreported collisions, and unreported passenger injuries or fatalities.
- To provide guidelines for facilitating the timely correction of unsafe conditions or hazards by KCAPTA management.

Description:

- This program provides a method for KCAPTA and MV Transportation management to identify, evaluate, and correct or avoid unsafe conditions or hazards, procedural deficiencies, design inadequacies, equipment failures, near misses, etc., which adversely affect the safety of employees.

Examples of voluntary safety reporting include:

- Safety hazards in the operating environment (for example, road conditions),
 - Policies and procedures that are not working as intended (for example, insufficient time to complete pre-trip inspection),
 - Events that senior managers might not otherwise know about (for example, near misses), and
 - Information about why a safety event occurred (for example, radio communications challenges).
- The program also involves recommending corrective actions and resolutions of identified unsafe conditions or hazards and/or near misses.
 - All employees have the obligation to report immediately any unsafe conditions or hazards and near misses to their immediate supervisor and may do so without fear of reprisal. The **MV Transportation SMS Hazard/Risk Report Form** is a means by which employees can report hazards or near misses (See Attachment G)
 - Unsafe conditions or hazards may also be identified as a result of occupational injury or illness investigations and/or by accident investigations.
 - Other means by which hazards may be identified are inspections/audits or observations made by the supervisors/management staff as referenced in MV's Safety Inspection Program.
 - Findings will be published immediately following mitigation actions. If the employee's identification is available, direct feedback regarding mitigation will be provided.

7. SAFETY RISK MANAGEMENT

Safety Risk Management (SRM) is the second component of KCAPTA's SMS, which includes processes and procedures to provide an understanding of KCAPTA's operations and vehicle maintenance, enabling individuals to identify hazards associated with those activities.

KCAPTA has implemented a Safety Risk Management process for all elements of its transportation system. The Safety Risk Management process includes the following activities: safety hazard identification, safety risk assessment, and safety risk mitigation.

7.1 Safety Hazard Identification

Hazard identification and analysis is the first step in the SRM process and a key component of SRM. It involves two fundamental safety-related activities: Identifying and analyzing safety hazards; and assessing the risks associated with those hazards and mitigating them to reduce the potential or consequences of those hazards causing harm.

The following outlines KCAPTA's methods and processes for identifying hazards. Hazards are identified through a variety of sources, including:

- Employee safety reporting,
- Review of vehicle camera footage,
- Review of monthly performance data and safety performance targets,
- Observations from supervisors,
- Maintenance reports,
- Comments from customers, passengers, and third parties,
- Safety meetings, driver, and all-staff meetings,
- Results of audits and inspections of vehicles and facilities,
- Results of training assessments,
- Investigations into safety events, incidents, and occurrences, and
- Information from FTA

When a hazard has been identified, whatever the source, it is reported to the Safety Management System (SMS) Executive, who enters it into the Hazard Log. The SMS Executive may also enter a hazard into this log based on reviews of operations, maintenance activities, and procedures.

The SMS Executive will investigate hazards to collect information and determine if hazards need to be entered into the safety risk assessment process. In following up on identified hazards, the SMS Executive may:

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

Any identified hazard that poses an immediate risk to transit operations, the health and safety of employees or the public, or equipment must immediately be brought to the attention of the Accountable Executive and the Chief Safety Officer and placed through the Safety Risk Management process for safety risk assessment and mitigation. Otherwise, hazards will be prioritized for further Safety Risk Management activity.

7.2 Safety Risk Assessment

Safety risk assessment is the quantification of the predicted probability and severity of the consequences of a hazard. The process involves analyzing the likelihood of a consequence occurring (probability) and evaluating the seriousness of the consequence if it does occur (severity).

The Safety Management System Executive, with assistance from key staff subject matter experts, is responsible for assessing identified hazards and rating them using the safety risk matrix below. Prioritizing safety risk provides the Accountable Executive with the information needed to make decisions about resource application.

The following matrix, adopted from the TSI Participation Guide – SMS Principles for Transit, facilitates ranking hazards based on their probability of occurrence and the severity of their outcomes.

It's the quantification expressed in terms of the predicted probability and severity of a hazard's consequences. The process involves analyzing the likelihood of a consequence occurring (probability) and evaluating the seriousness of the consequence if it does occur (severity)

- **Safety Risk Probability** – The measurement goes from A to F, with A being frequent or likely to occur frequently, and E being improbable or expected that this event will most likely never occur. The designation F is used when potential hazards are identified and later eliminated. Below is the Safety Risk Probability Table.

Probability/Likelihood			
Description	Level	Specific Individual Item	System or Vehicle Fleet
Frequent	A	Likely to occur often in the life of an item	Continuously experienced. Potential consequences may be experienced more than once in 500 operating hours
Probable	B	Will occur several times in the life of an item	Will occur frequently. Potential Consequences may be experienced between 500 and 6,000 operating hours
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times. Potential consequences may be experienced once between 6,000 and 60,000 operating hours
Remote	D	Unlikely, but possible to occur in the life of an item	Unlikely, but can reasonably be expected to occur. Potential consequences may be experienced once between 60,000 and 180,000 operating hours
Improbable	E	So unlikely, it can be assumed that the occurrence may not be experienced in the life of an item	Unlikely to occur, but possible
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated

- **Safety Risk Severity** – It is an assessment of the damaging potential of the consequence. It includes four categories to denote the level of severity of the occurrence of a consequence, the meaning of each category, and the assignment to of a value to each category using numbers. In this table, 1 is considered catastrophic, meaning possible deaths and equipment destroyed, and 4 is considered negligible or of little consequence, with two levels in between. Below is the Severity Category Table.

SEVERITY CATEGORIES

Description	Severity Category	Mishap Results Criteria
Catastrophic	1	Could result in one or more of the following: multiple deaths, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10 M
Critical	2	Could result in one or more of the following: death, permanent partial disability, injuries, or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding \$1M but less than \$10M
Marginal	3	Could result in one or more of the following: injury or occupational illness resulting in one or more lost workday(s), reversible moderate environmental impact, or monetary loss equal to or exceeding \$100K but less than \$1M
Negligible	4	Could result in one or more of the following: injury or occupational illness not resulting in a lost workday, minimal environmental impact, or monetary loss less than \$100K

- Safety Risk Mitigation** – Involves evaluating the risk based on the Safety Risk Matrix and recommending appropriate mitigations. This is achieved by combining the probability and severity of the safety risk into a safety risk index. This step allows to complete evaluation of the acceptability of the safety risk. This will also help prioritize safety risks. The Safety Risk Matrix and Safety Risk Index are shown below.

Safety Risk Assessment Matrix				
Severity → Probability ↓	Catastrophic	Critical	Marginal	Negligible
	1	2	3	4
A – Frequent	1A	2A	3A	4A
B – Probable	1B	2B	3B	4B
C – Occasional	1C	2C	3C	4C
D – Remote	1D	2D	3D	4D
E – Improbable	1E	2E	3E	4E
F – Eliminated				
Safety Risk Index Ranking				
1A, 1B, 1C, 2A, 2B, 3A	High	Unacceptable under the existing circumstances.		
1D, 2C, 2D, 3B, 3C, 3E, 4A,4B	Medium	Acceptable based upon mitigations		
1E, 2E, 3D, 3E, 4C, 4D, 4E	Low	Acceptable with senior management approval		

The Safety Management System Executive documents recommendations regarding hazard rating and mitigation options and reports this information to the Accountable Executive and the Chief Safety Officer.

The Chief Safety Officer, assisted by Key Staff subject matter experts, reviews current safety risk mitigations and establishes procedures to 1) eliminate, 2) mitigate, and 3) accept specific risks. Prioritization of safety remediation measures is based on risk analysis and a course of action acceptable to KCAPTA management.

The safety risk must be mitigated if ranked as Unacceptable (High-Red). Those safety risks that have been mitigated, even those mitigated risks shown as Acceptable status (Low-Green) undergo regular and consistent monitoring to ensure the mitigation strategy is effective.

Key strategies to minimize the types of risks that potentially exist include:

Development and deployment of policies and procedures that address known hazards and risks,

- Discussion of other actions, strategies, and procedures that might help safeguard against unknown/unforeseen risks,
- Training of drivers and other staff on all safety policies and procedures,
- Training of drivers and staff on methodologies for handling emergencies, and
- Training of drivers and staff on proper and effective use of emergency equipment, communication technologies, and protocol.

Safety risk mitigations are tracked and updated in the Hazard Log by the Safety Management System Executive.

8. SAFETY ASSURANCE

Safety Assurance is the third component of KCAPTA's SMS. It ensures that processes within KCAPTA's Safety Management System have been implemented and are effective in mitigating risks and that KCAPTA meets or exceeds its safety objectives through the collection, analysis, and assessment of information. Safety assurance includes inspection activities to support oversight and performance monitoring. It ensures that safety mitigation activities are implemented appropriately and effectively. It helps with safety performance monitoring and measurement.

KCAPTA monitors its operations and maintenance protocols and procedures, as well as any safety risk mitigations, to ensure they are implemented as planned. Furthermore, the Agency investigates safety events and any reports of non-compliance with applicable regulations, standards, and legal authority. Finally, KCAPTA continually monitors information reported to it through any internal safety reporting programs, including the employee safety-reporting program.

Some of the key elements of KCAPTA's Safety Performance Monitoring and Measurements are shown below:

8.1 Safety Performance Monitoring and Measurement

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

- Monitors the system for compliance with sufficiency of, the Agency's contractors' procedures for operations and maintenance through:
 - Safety audits,
 - Informal Inspections,
 - Regular review of on-board camera footage to assess drivers and specific incidents,
 - Safety surveys,
 - Employee safety reporting program,
 - Investigation of safety occurrences,
 - Safety review prior to the launch or modification of any facet of service,
 - Daily gathering and monitoring of data relating to the delivery of service,
 - Regular vehicle inspections and preventative maintenance, and
 - Continuous feedback loop between leadership and all levels of the agency.
- Monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended through:
 - Reviewing results from accident, incident, and occurrence investigations,
 - Monitoring employee safety reporting,
 - Reviewing results of internal safety audits and inspections, and
 - Analyzing operational and safety data to identify emerging safety concerns.
- Conduct investigations of safety events to identify causal factors; and
- Monitor information reported through any internal safety reporting programs.
- Safety Management System (SMS) Executive routinely reviews safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication

channels. When necessary, the SMS Executive ensures that the issues and concerns are investigated or analyzed through the safety risk assessment process.

- The SMS Executive also reviews the results of internal and external reviews, including audits and assessments, with findings affecting safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations. The SMS Executive discusses relevant safety issues and concerns with the Accountable Executive, Chief Safety Officer, and executive management and documents the results of these reviews in the Hazard Log.

In the event of a fatality, KCAPTA complies with all FTA drug and alcohol requirements.

In California, every driver involved in an accident that results in death, injury, or property damage over \$1000, effective January 1, 2017, must report the accident on a [Report of Traffic Accident Occurring in California](#) (SR 1) form to DMV. The report forms are available at www.dmv.ca.gov, by calling 1-800-777-0133, and at CHP and DMV offices. Also, under California Vehicle Code §16002(b) the driver of a vehicle that is owned or operated by a publicly owned or operated transit system, or that is operated under contract with a publicly owned or operated transit system, and that is used to provide regularly scheduled transportation to the general public or for other official business of the system shall, within 10 days of the occurrence of the accident, report to the transit system any accident of a type otherwise required to be reported pursuant to [subdivision \(a\) of Section 16000](#). KCAPTA requires driver notification to their employer (KCAPTA or MV Transportation) immediately and maintains records of any report filed pursuant to this paragraph.

8.2 Investigation of Safety Events

The goal of an investigation is to identify the cause of safety concerns or events and record relevant facts to prevent recurrence and mitigate risk. Root Cause Analysis (RCA) is a structured process that identifies the physical, human, and latent causes of undesirable events in the workplace.

In general, there are seven basic root causes of most accidents: Procedures, Training, Communication, Quality Control, Management Systems, Human Engineering, and Work Direction.

A Root Cause Analysis will disclose

- Why the incident, failure, or breakdown occurred
- How future failures can be eliminated through
- Changes to procedures
- Changes to operation
- Staff training
- Design modifications
- Identifying factors adversely affecting service life and implementation of mitigation actions

The term “Event” is commonly used to refer to an “accident, incident, or occurrence.” The Event Report is defined as the following event types:

- 1) Collision resulting in injury or property damage
- 2) Non-collision passenger event resulting in injury
- 3) Non-collision employee event resulting in injury or property damage, including security-related incidents and workplace injury and illness reports
- 4) Near Mishap or High Severity Incident (no actual injury or property damage, but potential for severe injury or high-value property damage could have resulted from the event)
- 5) Incident (no injury or damage, but injury or damage could have occurred)

The table below summarizes the reporting criteria:

Report Level	Consists of	Type of Event
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1	<ul style="list-style-type: none"> Event/Incident Report 	Incidents- An incident is an event where there is no evidence of contact or where a passenger accident does not require medical care, the passenger has no visible injury, and no claim was filed.
2	<ul style="list-style-type: none"> Event/Incident Report Supervisor Report with Evaluation and Review Law Enforcement Report Drive Cam Review Submitted passenger complaint 	Incidents- when, at the discretion of the Supervisor or Safety/Risk Management, an additional level of investigation is warranted
3	Everything in Level 1, plus: <ul style="list-style-type: none"> Post-accident review and evaluation 	Events, Near Mishaps, or High Severity Incidents Any National Transit Database (NTD) Reportable Occurrence
4	Everything in Level 2, plus: <ul style="list-style-type: none"> Formal Incident Investigation with root cause analysis 	Events, Near Mishaps or High Severity Incidences, and any NTD Reportable Occurrence when, at the discretion of the Supervisor or Safety/Risk Management, an additional level of investigation is warranted.

9. SAFETY PROMOTION

Safety Promotion is the fourth component of KCAPTA's SMS. Safety promotion is an important part of the safety management system, setting the tone for the PTASP/SMS and helping to establish and maintain a robust safety culture. Safety Promotion has two components: (1) Safety Communication, and (2) Competencies and Training. Some of the key elements of Safety Communications, Competencies & Training.

9.1 Safety Communication

Ongoing safety communication is critical, and it should occur up, down, and across all levels. Any lessons learned should be communicated to all concerned. Management's commitment to resolving safety concerns & hazards should be communicated regularly. One of management's most important responsibilities under PTASP/SMS is to encourage and motivate employees to communicate openly, authentically, and without concern for reprisal. Safety communication is the heart and soul of a successful PTASP/SMS. Ensure employees are aware of the PTASP/SMS. Convey safety-critical information, including accidents, injuries, reported hazards, and their resolutions. Tools to support safety communication include:

- Safety bulletins
- Safety notices
- Posters
- CDs, thumb drives, or online safety video access
- Newsletters
- Briefings or Toolbox talks
- Seminars and workshops
- New employee training and refresher training
- Intranet or social media
- Safety committee meetings

9.2 Competencies and Training

The executive management is responsible and committed to ensuring that all employees attend the training provided to understand their specific roles and responsibilities in implementing PTASP/SMS. All employees must acquire the competencies and knowledge to consistently apply their skills as they relate to safety

performance objectives. All employees, supervisors, managers, and senior management must have a good understanding of the following:

All Employees:

- Understanding of safety performance targets
- Understanding of fundamental principles of PTASP/SMS
- Understanding of safety reporting program-Reporting unsafe conditions & hazards/near misses
- Understanding of their individual roles & responsibilities for PTASP/SMS

Managers and Supervisors

- Understanding of Safety Risk Management
- Understanding of Safety Assurance
- Understanding of Safety Promotion
- Understanding of their individual roles & responsibilities for PTASP/SMS

Senior Management:

- Understanding of management commitment and support of all activities of PTASPS/SMS

The comprehensive safety-training program applies to all employees directly responsible for safety, including:

- Bus Operators,
- Dispatchers,
- Maintenance Technicians,
- Managers and Supervisors,
- Agency Leadership and Executive Management
- Chief Safety Officer, and
- Accountable Executive

KCAPTA and MV Transportation dedicate resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The Scope of the safety training, including biannual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

Basic training requirements for MV employees, including frequencies and refresher training, are documented in the MV Transportation Safety Policy Manual.

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus operator refresher training,
- Bus operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers

Vehicle maintenance safety-related skill training includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
- Training provided by vendors

KCAPTA's Accountable Executive and Agency Leadership and Executive Management team must complete FTA's SMS Awareness online training.

10. NATIONAL TRANSIT ASSET MANAGEMENT (TAM) SYSTEM

TAM plan is reviewed, maintained, and updated by the Executive Director and Accountant periodically.

10.1 Safety and State of Good Repair

The State of Good Repair (SGR) standards will be defined by the National Safety Program and National Transit Asset Management (TAM) System upon FTA's final ruling. These SGR standards specify the conditions under which a safety risk analysis must be conducted for capital assets, including equipment, rolling stock, infrastructure, and facilities. KCAPTA shall set safety performance objectives based on this definition when available and make informed investments to strive for a State of Good Repair for all assets.

10.2 Occupational Health & Safety Programs

KCAPTA utilizes OSHA and other industry standards as best practices for developing, implementing, and monitoring internal workplace safety programs and requirements. KCAPTA policies and procedures comply with other federal, state, and local occupational health and safety regulations. To include the KCAPTA injury and illness Prevention Plan.

10.3 Personal Protective Equipment (PPE)

Specific work locations and job duties require the use of PPE to safeguard employees, contractors, and visitors against hazards or harmful workplace conditions. KCAPTA contractor, MV Transit, safety procedures evaluate the need for PPE given the hazard exposure associated with a task or location. MV Transit is responsible for providing necessary PPE to employees and monitoring their use of the equipment, in compliance with all applicable rules, regulations, and standards. It is KCAPTA's philosophy that PPE will be used as a last-resort protection system, only after remedies such as engineering or administrative controls to eliminate a workplace hazard are determined to be infeasible or unable to fully protect employees from specific workplace hazards.

11. DOCUMENTATION

Appendix A	KCAPTA Organizational Chart
Attachment A	MV Transportation, Inc Safety Policy Manual (dated November 2019)
Attachment B	MV Transportation, Inc Safety Management System Plan (dated October 28, 2019)
Attachment C	MV Transportation, Inc Health and Safety Preparedness Plan
Attachment D	MV Safety Committees
Attachment E	MV Transportation, Inc Driver's Annual Review
Attachment F	MV Transportation, Inc Refresher Training
Attachment G	MV Transportation, Inc Hazard Risk Form
Attachment H	MV Transportation, Inc Post Accident Decision Maker Form
Attachment I	MV Transportation, Inc Preventability Determination Sheet

Pursuant to 49 CFR Part 673.31, KCAPTA maintains records related to this Safety Plan and SMS implementation for a minimum of three years. These documents include, but are not limited to, the results from SMS processes and activities. KCAPTA will make these documents available to FTA, Caltrans, and other Federal and state agencies upon request.

12. DEFINITIONS OF SPECIAL TERMS USED IN THE SAFETY PLAN

Accident: An Event that involves any of the following: a loss of life; report of a serious injury to a person; a collision of public transportation vehicles; an evacuation for life safety reasons.

Accountable Executive: A single, identifiable person who has ultimate responsibility for carrying out KCAPTA Safety Plan; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Safety Plan, in accordance with 49 U.S.C. §5329 (d), and the agency's Transit Asset Manage Plan in accordance with 49 U.S.C. § 5326.

Agency or Transit Agency: Kings County Area Public Transit Agency or KCAPTA

Board: Kings County Area Public Transit Agency Board of Directors

Caltrans: The California Department of Transportation

Chief Safety Officer: An individual who has responsibility for carrying out the KCAPTA Safety Plan and reports directly to the Transit Agency's chief executive officer.

CRF: Code of Federal Regulations.

Event: Any Accident, Incident, or Occurrence.

FTA: The Federal Transit Administration, an operating administration within the United States Department of Transportation.

Hazard: Any real or potential condition that can cause injury, illness, or death, damage to or loss of the facilities, equipment, rolling stock, or infrastructure of the system, or damage to the environment.

Incident: An event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the transit agency.

Investigation: 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: The plan to improve the safety of all public transportation systems that receive federal financial assistance under 49 U.S.C. Chapter 53.

Occurrence: An Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of the Transit Agency.

Part 673: 49 CFR (Code of Federal Regulations) Part 673.

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

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

Risk mitigation: A method or method to eliminate or reduce the effects of hazards.

Safety Assurance: Processes within the Transit Agency's Safety Management Systems that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the Transit Agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Management Policy: The 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 Systems (SMS): The formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a Transit Agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

Safety Performance Target (SPT): A Performance Target related to safety management activities.

Safety Promotion: 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 (SRA): The formal activity whereby the Transit Agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

Safety Risk Management (SRM): A process within the Transit Agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

Serious injury: Any injury which: (1) requires hospitalization for more than 48 hours, commencing within seven days from the date the injury was received, (2) results in a fracture of any bone (except simple fractures of fingers, toes, or noses), (3) causes severe hemorrhages, nerve, muscle, or tendon damage; (4) involves any internal organ, or (5) involves second or third-degree burns, or any burns affecting more than five percent of the body surface.

State of Good Repair (SGR): The condition in which a capital asset can operate at a full level of performance.

Transit Asset Management Plan: 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.

U.S.C.: United States Code.