Rio Metro Regional Transit District
AGENCY SAFETY PLAN – BUS

49 CFR Part 673

Contents

1. Transit Agency Information

Name of Document	Agency Safety Plan (ASP)
Transit Agency Name	Rio Metro Regional Transit District (RMRTD)
Transit Agency Address	809 Copper Avenue NW, Albuquerque, NM 87102
Name and Title of Accountable Executive	Terry Doyle, Director of RMRTD The Accountable Executive meets the requirements in 49 CFR §673.5 and §673.23(d)(1). Please see the Roles and Responsibilities of the Accountable Executive in *Section 4: Safety Management Policy*.
Name of Chief Safety Officer or SMS Executive	Stephanie Paiz, RMRTD Safety Officer The Chief Safety Officer meets the requirements of § 673.5 and $673.23(d)(2). Please see the Roles and Responsibilities of the Chief Safety Officer in *Section 4: Safety Management Policy*.

Mode(s) of Service Covered by This Plan	Motor Bus, Commuter Bus, and Demand Response-Taxi	**List All FTA Funding Types (e.g., 5307, 5310, 5311)**	5307 Small and Large Urban, 5310, 5311, and 5339
Mode(s) of Service Provided by the Transit Agency (Directly Operated or Contracted Service)	Motor Bus: directly operated Demand Response: directly operated and contracted to zTrip Commuter Bus: contracted to All Aboard America		
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	**Description of Arrangement(s)**	Demand Response and Commuter Bus for the Pueblo of Isleta through a Memorandum of Agreement
Name and Address of Transit Agency or Entity for Which Service Is Provided	Pueblo of Isleta 117 Tribal Road 40, Ste. A Isleta, New Mexico 87022		

This ASP applies to the following locations within RMRTD:

Mid-Region Council of Governments (MRCOG)/RMRTD Headquarters	809 Copper Ave. NW Albuquerque, NM 87102	**Elizabeth Carter, Assistant Transit Director—Bus**	Administrative Staff, Main Office, Contractor Oversight
		ecarter@mrcog-nm.gov	
	Office: 505-843-1712	Emergency cell: 505-274-0324	
	Fax: 505-247-1753		
Sandoval County RMRTD	1804 Idalia Road NE	**Carol Mathews, Transit Manager**	Demand Response Only
	Rio Rancho, NM 87124	CMathews@mrcog-nm.gov	Eligible Rio Rancho residents Age 62 years+ or 18 years+ with a disability
		Emergency cell: 505-238-9413	
	Office: 505-994-1608	Personal cell: 505-350-0217	
	Fax: 505-891-7288	**Karen Mullins, Dispatcher**	
		KMullins@mrcog-nm.gov	
		Emergency cell: 505-331-1050	
Valencia County RMRTD	101 Courthouse Rd.	**Leon Cordova, Transit Manager**	Routes: 206, 208, 209, 210 Demand Response in Valencia County and Pueblo of Isleta
	Los Lunas, NM 87031	lcordova@mrcog-nm.gov	
		Emergency cell: 505-220-1153	
	Office: 505-352-7724		
	Fax: 505-352-3592	**Denise Kurtz, Transit Operations Supervisor**	
		dkurtz@mrcog-nm.gov	
		Emergency cell: 505-288-2284	

System Description

<u>**History**</u>
In 2003, the New Mexico Regional Transit District Act (Chapter 73, Article 25, NMSA 1978) was passed, enabling the formation of multi-jurisdictional transit agencies. The purpose of this legislation was to:
- Provide safe and efficient regional transit services;
- Reduce congestion, crashes, and pollution caused by single-occupant vehicles;
- Extend the life of the state's roads by reducing traffic;
- Provide transportation alternatives to residents, particularly transit-dependent groups such as seniors, youth, low-income, and mobility-impaired residents;
- Provide residents with better access to education and higher-paying jobs, and;
- Reduce oil dependency.

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

<u>**Rio Metro Regional Transit District**</u>
On March 29, 2005, the New Mexico Transportation Commission approved the formation of the Mid-Region Transit District, encompassing Bernalillo, Sandoval, and Valencia counties, including most of the cities, towns, and villages that lie therein. At the same time, the Mid-Region Council of Governments (MRCOG) was proceeding with plans for commuter rail between Belen and Santa Fe - the New Mexico NMRX Express (NMRX) - which began operating between Downtown Albuquerque and the Sandoval County/U.S. 550 Station in Bernalillo, in July 2006. The service soon expanded to Los Lunas and Belen, and in December 2008 the route was completed as trains began regular service into Santa Fe.

In 2008, the Mid-Region Transit District was renamed the Rio Metro Regional Transit District (RMRTD), and that year voters in the three counties approved a 1/8-cent gross receipts tax to fund RMRTD, with half of the revenues dedicated to rail and half to the overall RMRTD system. In 2009 the tax took effect, and RMRTD assumed management of the NMRX from the MRCOG. RMRTD began providing bus service in 2010 after consolidating several small transit agencies in Valencia and Sandoval counties, and it also began providing whole or partial funding to some ABQ RIDE routes of regional significance, enabling ABQ RIDE to extend its services to the NMRX and Rio Rancho. While RMRTD also incorporates commuter rail services that receive funding from the Federal Transit Agency (FTA), that service operates under the regulatory authority of the Federal Railroad Administration (FRA), and has its own FRA-approved Safety Plan. The day-to-day operations of RMRTD are the responsibility of the agency Director and program staff.

<u>**RMRTD Board of Directors**</u>
RMRTD's Board of Directors consists of 20 full members and two associate (non-voting) members representing Bernalillo, Sandoval, and Valencia counties; the communities of Albuquerque, Belen, Bernalillo, Bosque Farms, Corrales, Los Ranchos de Albuquerque, Rio Communities, and Rio Rancho; Isleta Pueblo, and; the North Central Regional Transit District. Board members are typically elected officials appointed by their government to serve a term of at least one year, and seats are allocated to each member government based on population.

The primary responsibilities of the Board of Directors are to develop broad-based goals and strategies that will support RMRTD's long-term success, adopt an annual budget that ensures financial

sustainability, and oversee major improvements to the transit network. Board members are also strongly encouraged to advocate for the needs of their constituents and promote RMRTD's services in their communities. The RMRTD Board of Directors is responsible for carrying out the functions assigned by the provisions of the Regional Transit District Act, including establishing financial, management, service operation, fare, and other policies that support the operations of the transit system.

Agency Safety Plan and Safety Management System
RMRTD developed this Agency Safety Plan (ASP) in accordance with the guidelines and requirements set forth in Title 49 Code of Federal Regulations Part 673, the Public Transportation Agency Safety Plan (PTASP) rule. This plan also serves as a "Safety Management System (SMS) user's manual" that guides RMRTD in the successful implementation and operation of its SMS.

The FTA defines SMS as:
> "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...Furthermore, SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry's existing safety foundation to better control risks, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully."

RMRTD's SMS has four distinct components, which are discussed in subsequent sections of this ASP:
- Safety Management Policy
- Safety Risk Management
- Safety Assurance
- Safety Promotion

2. Agency Safety Plan Development, Approval, and Updates

Name of Entity that Drafted This Plan	Rio Metro Regional Transit District	
Signature by the Accountable Executive	Signature of the Accountable Executive	Date of Signature
		11/19/2021
Approval by the Board of Directors or an Equivalent Authority	Name of Approving Entity	Date of Approval
	RMRTD Board of Directors	11/19/2021
	Relevant Documentation (title and location)	
	A copy of Board Resolution (R-21-09) approving the Agency Safety Plan is maintained on file by the RMRTD Transit Director and RMRTD Safety Officer.	
Certification by State Department of Transportation	N/A	

Version Number and Updates

Version Number	Section/Pages Affected	Reason for Change	Description of Change
1	All	New document	Initial implementation
2	All	Agency chose not to renew contract with RMRTD	Removed all references to ABQ Green Cab
2	Transit Agency Information/p. 4	Title change	Carol Mathews, Transit Manager
2	Agency Safety Plan Development/p. 7	Annual update	Updated dates of Signature and Approval
2	Safety Performance Targets/p. 8	Annual update	Updated data

Annual Review and Update of the Public Transportation Agency Safety Plan
This RMRTD ASP and its safety performance targets will be jointly reviewed and updated by the RMRTD Safety Officer and Assistant Transit Director—Bus by July 1st of each year. The Accountable Executive will review and approve any changes, sign the new ASP, and forward to the RMRTD Board of Directors for final review and approval.

3. Safety Performance Targets

Safety Performance Targets									
The annual targets listed below are based on reviews of the previous five years of RMRTD's safety performance data, and may be measured in Vehicle Revenue Miles (VRM).									
Mode of Transit Service	Vehicle Revenue Miles (VRM)*	Fatalities (total)	Fatalities per 100k VRM	Injuries (total)	Injuries per 100k VRM	Safety Events (total)	Safety Events per 100k VRM	Failures	System Reliability (VRM/ failures)
Fixed Route	170,000	0	0	5	2.94	7	4.12	15	11,333
Demand Response	377,000	0	0	1	0.27	1	0.27	4	94,250
Commuter Bus	268,000	0	0	4	1.49	3	1.12	6	44,666

*FY22 VRM projected by taking 1st quarter VRM and multiplying by 4

Safety Performance Target Coordination		
RMRTD's Accountable Executive shares RMRTD's safety performance targets with the Mid-Region Metropolitan Planning Organization (MRMPO) each year after its formal adoption by the RMRTD Board of Directors. RMRTD's Accountable Executive also provides a copy of the formally adopted Safety Plan to the New Mexico Department of Transportation (NMDOT). RMRTD personnel are available to coordinate with NMDOT and the MRMPO in the selection of NMDOT and MRMPO safety performance targets upon request.		
Targets Transmitted to the State	**State Entity Name**	**Date Targets Transmitted**
	New Mexico Department of Transportation	12/17/2021
Targets Transmitted to the Metropolitan Planning Organization(s)	**Metropolitan Planning Organization Name**	**Date Targets Transmitted**
	Mid-Region Metropolitan Planning Organization	12/17/2021

4. Safety Management Policy

RMRTD Safety Management Policy Statement (SMPS)

November 20, 2020

To All Staff and Contractors:

The Rio Metro Regional Transit District (RMRTD) bus division is developing a Public Transportation Agency Safety Plan (PTASP), in accordance with the Federal Transit Administration (FTA) final rule 49 CFR Part 673. This rule requires the development of a uniform system of public transit safety management, called the Safety Management System (SMS). As the Director of RMRTD, I will be our Accountable Executive, as specified under the new regulations. Ultimately, I am responsible to ensure the successful implementation of the new safety standards, which will be upheld throughout our organization.

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

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

RMRTD has committed to the following capacities:

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

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

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

Employee Reporting—We will institute a safety reporting program as a viable tool for employees to clearly voice their safety concerns. All frontline employees will be responsible for utilizing this program as part of the SMS. No action will be taken against any employee who communicates a safety condition through the RMRTD safety reporting program, unless such disclosure indicates the following: an illegal act, gross misconduct or negligence, or a deliberate or willful disregard of RMRTD rules, policies, and procedures.

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

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

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

Sincerely,

Terry Doyle
Director of RMRTD

Safety Management Policy Communication

The Chief Safety Officer, who leads RMRTD's SMS activities, introduced staff to SMS principles during an All-Staff Meeting. A paper copy of the Policy Statement was distributed to each employee, as well as a Signature of Receipt to document the employee acknowledgement of their receipt of a copy of the SMS. RMRTD also posted the SMS in a conspicuous place (such as on a bulletin board) at each of the main offices in Rio Rancho, Albuquerque, and Los Lunas. Finally, it is available as a link that is posted on the RMRTD website's Bus Safety Reporting page. Contractors have also been instructed to follow the same principal steps to distribute the SMS to their employees.

Authorities, Accountabilities, and Responsibilities

Roles and Responsibilities of the Accountable Executive
The RMRTD Accountable Executive has ultimate responsibility for carrying out the ASP. The Accountable Executive will ensure that RMRTD effectively implements its SMS throughout the agency, and also addresses SMS substandard safety performance. The Accountable Executive may delegate specific responsibilities to the appropriate employees, as needed.

The RMRTD Accountable Executive's roles include, but are not necessarily limited to:
- Decision-making about human and capital resources needed to support asset management, SMS activities, and capital investments;
- Maintaining the Transit Asset Management (TAM) Plan;
- Signing SMS implementation planning documents, and ensuring that SMS is effectively implemented throughout RMRTD's public transportation system;
- Ensuring action is taken to address substandard performance in RMRTD's SMS;
- Endorsing SMS implementation team membership, and;
- Other duties as assigned/necessary to implement the ASP.

Roles and Responsibilities of the Chief Safety Officer
The RMRTD Chief Safety Officer (CSO) has the authority and responsibility for developing, implementing, and operating RMRTD's SMS. The CSO reports directly to the Accountable Executive for matters involving SMS.

The CSO's roles include, but are not necessarily limited to:
- Developing and maintaining SMS documentation;
- Directing hazard identification and safety risk assessments;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive on SMS implementation progress;
- Maintaining an adequate level of training, including attendance of relevant federal, local, and RMRTD training classes to remain current on acceptable standards
- Planning safety management training, and;
- Other duties as assigned/necessary to implement the ASP.

Agency Leadership and Executive Management Roles
Members of RMRTD's leadership have authorities and responsibilities for the day-to-day implementation and operation of the agency's SMS.

In addition to the Director of RMRTD, Agency Leadership and Executive Management include:
- Executive Director, Mid-Region Council of Governments;
- RMRTD Board of Directors;
- Assistant Transit Director—Bus;
- Senior Finance Manager;
- Human Resources Manager, and;
- Valencia and Sandoval Transit Operations Supervisors.

The Agency Leadership and Executive Management are responsible for the following, within their areas of oversight:
- Implementation and operation of RMRTD's SMS, within the functions in which they have responsibility;
- Provide input regarding the allocation of resources, within the functions in which they have responsibility, to accomplish the goals and objectives of the ASP;
- Accountable for oversight, day-to-day operations, and maintaining compliance with the ASP, within the functions in which they have responsibility, and;
- Modify policies consistent with the implementation of the ASP.

AAA and zTrip identified and documented all the SMS-related organizational accountabilities and responsibilities of each of their agency leadership job functions and recorded where this documentation is captured and stored. This information was provided to RMRTD, and this documentation is captured and stored at the RMRTD Headquarters in the CSO's office.

Key Staff Roles
RMRTD Key Staff has the following SMS accountabilities and responsibilities of the ASP. Its roles include, but are not necessarily limited to:
- Assisting the CSO in developing, implementing, and operating the SMS. Based on responsibilities and expertise, Key Staff assists in hazard identification, safety risk assessment, safety risk mitigation, safety performance monitoring, safety performance measurement, safety training, and safety communication activities.
- Key staff plays a significant role as subject matter experts in hazard identification, safety risk assessment, safety risk mitigation, and safety performance monitoring activities.
- Key staff functions that bring experience and expertise to bear on SMS activities include:
  - Transit Operations Supervisors;
  - Dispatchers;
  - Transit Operators;
  - Vehicle Mechanics, and;
  - Other skilled professionals as needed.

Safety Committees and Meetings
In order to facilitate the SMS process, the following committees and meetings convene as needed:
- Safety Committee: Any safety hazards reported will be jointly evaluated by the Safety Committee and the CSO during the monthly meeting. The Safety Committee members include the CSO, Training Coordinator, a Transit Operations Supervisor, and a representative from transit Dispatch, who meet monthly to review issues and make recommendations to improve safety.
- Transit Operators' Meetings: A permanent agenda item in all monthly Transit Operators' meetings is dedicated to safety. Safety issues are discussed and documented.
- Quarterly All-Staff Meetings: Hazard reports and mitigations are shared, safety topics are brought up for open discussion, further feedback is solicited, and hazard self-reporting is further encouraged. All-Staff includes both administrative and operations employees. The information discussed in these meetings will be documented.

Employee Safety Reporting Program

RMRTD has established and implemented a formal safety reporting program that allows its employees and contractor employees to voluntarily report any safety issues, conditions, or concerns they may see during their day-to-day delivery of transit services. This voluntary safety reporting program is separate from RMRTD's mandatory reporting requirements for accidents and incidents.

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

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

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

The reporting system is simple to use and available to all RMRTD and contractor personnel. RMRTD's ESRP addresses the following:
- Who is responsible for developing and managing the employee safety reporting program;
- Timely responses to employee safety reports;
- How the agency provides feedback to employees on the action(s) taken to address the reported safety issue, condition, or concern;
- Investigation of reported safety issues, conditions, or concerns for causal or contributing factors;
- How the transit system documents and reviews safety issues, conditions, or concerns to determine if a hazard exists, and;
- If the issue is determined to be a hazard, how the hazard is then entered into the safety risk management process.

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

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

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

5. Safety Risk Management

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

The SRM process applies to all elements of the system, including operations, maintenance, facilities, vehicles, personnel recruitment, employee training, and supervision. Any reports furnished from the contractor, including a record of the periodic monitoring and documentation of contractor performance related to the SRM process, is kept on file in the CSO's office at the RMRTD Headquarters.

Overall, the RMRTD SRM process includes the following steps that are carried out under the guidance of the CSO, and with input from appropriate subject matter experts:
- Oversee and facilitate the hazard identification process;
- Identify hazards;
- Document the hazards;
- Identify the potential consequences of each hazard;
- Evaluate consequences in terms of probability and severity using the formal risk matrix (see *Appendix E: RMRTD Safety Risk Assessment Matrix)*;
- Communicate any high-priority risk to the Accountable Executive, as well as the other items identified;
- Based on the Accountable Executive's approval, create safety risk mitigations to eliminate or reduce the effects of hazards;
- Implement the mitigation, and;
- Create a strategy for monitoring the mitigation effectiveness.

In carrying out the SRM process, RMRTD uses the following terms:
- **Safety event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, death, damage to/loss of facilities, equipment, rolling stock, or infrastructure belonging to RMRTD, or damage to the environment.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to RMRTD property or the environment.

Safety Hazard Identification

RMRTD has developed methods and processes to identify hazards and their consequences. RMRTD considers, as a source for hazard identification, data and information provided by its Board of Directors, the FTA, and NMDOT. RMRTD also considers the results of its asset condition assessments when performing safety hazard identification activities through its SMS. The results of the condition

assessments and safety risk management activities help to inform RMRTD's determination as to whether an asset meets the state of good repair standards under 49 CFR Part 625.

The safety hazard identification process helps RMRTD to identify hazards and potential consequences in the operation and maintenance of the transit system. Hazards are identified through a variety of sources, including:

- RMRTD employee safety reporting;
- Contractor safety reporting;
- Review of vehicle camera footage;
- Review of monthly performance data and safety performance targets;
- Observations from Transit Operations Supervisors;
- Maintenance reports;
- Comments from customers, passengers, and third parties;
- Safety Committee, Transit Operator, and All-Staff Meetings;
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Results of internal safety audits;
- Investigations into safety events, incidents, and occurrences, and;
- The FTA, NMDOT, and other oversight and authority agencies.

Information related to hazard identification and consequence determinations is stored in the RMRTD Safety Risk Assessment Register, which is an Excel spreadsheet that allows for the documentation of all identified safety hazards and the subsequent activities related to addressing those hazards. This risk register is maintained by the CSO. The CSO reviews the reports for hazards, and documents them in RMRTD's Safety Risk Register. The CSO also enters hazards into the Safety Risk Register from reviews of the RMRTD operations and maintenance, results of audits and observations, and information received from FTA and other oversight authorities, including the National Transportation Safety Board.

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

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

Any identified hazard that poses a real and immediate threat to life, property, or the environment (such as items marked in the Red/High categories in *Appendix E: RMRTD Safety Risk Assessment Matrix)* must immediately be brought to the attention of the Accountable Executive and addressed through the

SRM process (with or without the full Safety Committee) for safety risk assessment and mitigation. This signifies the CSO's belief that immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of the Environmental Protection Agency or NMDOT environmental protection standards. Otherwise, the Safety Committee prioritizes hazards for further SRM activity.

RMRTD involves subject matter experts in safety hazard identification processes by matching the experience and expertise of the individual(s) with the type of hazard to be analyzed. For example, if the hazard is operations-related, then the primary subject matter experts will be from operations; if the hazard is vehicle-maintenance related, that type of hazard requires vehicle maintenance expertise and skills.

RMRTD has ensured that AAA and zTrip have provided a list of the sources they use for identifying hazards, provided descriptions of the processes they use for determining and recording the potential consequences of identified hazards, and reactions to an identified safety concern or issue that requires immediate attention. These descriptions include the location of where each contractor captures and stores this information.

Safety Risk Assessment
RMRTD has established processes to assess the safety risk associated with identified safety hazards. These safety risk assessment processes include an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations and prioritization of the hazards, based on the safety risk.

Assessing the likelihood and severity of hazard consequences is the first step in prioritizing safety risk. RMRTD has established procedures for assessing the safety risk of the consequences of identified safety hazards, and prioritizing the hazards based on this safety risk. RMRTD assesses the safety risk in terms of likelihood (the probability of a consequence occurring) and severity (the seriousness of a consequence, if it does occur). A color-coded safety risk index provides a rating system to use with a safety risk assessment matrix to prioritize safety risk. The safety risk assessment matrix helps us determine the probability and severity of consequences, and allows for prioritization of safety risk. The safety risk assessment risk matrix used by RMRTD is presented in *Appendix E: Safety Risk Assessment Matrix*. Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the CT Safety Risk Assessment Matrix, with the Safety Committee. The Chief Safety Officer will document the Safety Committee's safety risk assessment, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. The Chief Safety Officer will maintain on file Safety Committee agendas, Safety Risk Assessment Packages, additional information collection, and completed Safety Risk Register sections for a period of three years from the date of generation.

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

Safety risk prioritization is linked to safety risk mitigation creation. Prioritizing the safety risk provides the Accountable Executive with the information needed to make decisions about resource application. It helps RMRTD to apply its limited time, financial, and human resources towards the highest priority of transit safety risk.

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

RMRTD has ensured that AAA and zTrip have provided descriptions of how they elevate safety risk assessment information to the executive level, and how they gain approval for moving forward with creating safety risk mitigations. AAA and zTrip have also provided descriptions of their methodologies for documenting safety risk assessment activities and the results of those activities. The descriptions include the location of where each contractor captures and stores this information.

Safety Risk Mitigation

Developing safety risk mitigations to proactively reduce the agency's safety risk is the culmination of the safety risk management process. RMRTD has established processes to identify mitigations or strategies necessary, as a result of its safety risk assessment activities, to reduce the likelihood and severity of its consequences. The CSO is responsible for guiding and overseeing the subject experts during the risk mitigation process at RMRTD. Safety risk mitigations requiring additional resources or changes in agency policy are approved by the Accountable Executive. RMRTD will share its findings with other staff that may have the abilities to use the suggested safety-related changes towards annual capital plans, etc.

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

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

RMRTD has ensured that AAA and zTrip have provided descriptions of their processes for creating safety risk mitigations. The descriptions include the location of where each contractor captures and stores this information.

After creating a safety risk mitigation, RMRTD develops and documents a strategy for implementing the mitigation. These implementation strategies include:
- Identifying who is responsible for implementing the mitigation;
- Identifying where the mitigation will reside within agency activities;
- Describe how the mitigation will be implemented, and;
- Describe how long it should take to implement the mitigation.

RMRTD has ensured that AAA and zTrip have provided descriptions of their processes for creating strategies to implement safety risk mitigations and for developing strategies to monitor the effectiveness of their safety risk mitigations. The descriptions include the location of where each contractor captures and stores this information.

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

RMRTD understands that successful mitigation implementation and monitoring activities depend on having a process for how it will formally communicate mitigation and monitoring strategies to operations, maintenance, or administration staff who will implement and monitor the mitigations. RMRTD has documented this process under the guidance and facilitation of the CSO. This communication feeds cross-functional ownership in SMS processes since employees who create the mitigations may not be the same employees that implement and monitor the mitigations.

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

RMRTD has ensured that AAA and zTrip have provided descriptions of their processes for recording safety risk mitigation activities. The descriptions include the location of where each contractor captures and stores this information.

6. Safety Assurance

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

Safety Performance Monitoring and Measurement

RMRTD has many processes in place to monitor its entire transit system for compliance with operations and maintenance procedures, including:
- Safety audits;
- Informal inspections;
- Review of on-board camera footage to access specific incidents;
- Safety surveys;
- Investigation of safety events;
- Safety reviews prior to the launch or modification of any facet of service;
- Daily data gathering and monitoring of data relating to the delivery of service, and;
- Regular vehicle inspections and preventative maintenance.

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

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

Monitoring of compliance with policies and procedures is carried out at RMRTD's two operating locations, at 101 Courthouse Rd. in Los Lunas, and 1500 Idalia Rd., Bldg. C in Rio Rancho. Monitoring activities at these two locations are primarily carried out by the Transit Operations Supervisors that manage each location. However, additional monitoring is carried out by the Assistant Transit Director of Bus, the Training Coordinator, and the CSO. The operational areas that are monitored for compliance with policies and procedures include but are not limited to:
- Transit Operator pre-trip inspections;
- Transit Operator behind-the-wheel performance;

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

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

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

RMRTD has established and documented emergency procedure checklists that Transit Operations Supervisors and dispatchers can readily access to help direct their response to Transit Operators who may experience an emergency during revenue service. These procedures include, but are not limited to:
- Response to accidents and incidents;
- Evacuation of a vehicle under smoke and fire conditions, and;
- Response to a potentially dangerous passenger and other security threats.

RMRTD has ensured that AAA and zTrip have provided descriptions of their processes for monitoring compliance with their operations policies and procedures. The descriptions include the location of where each contractor captures and stores this information.

RMRTD has a process for auditing its contractor's monitor of operating policies and procedures. This process is documented and stored at RMRTD Headquarters in the CSO's office. RMRTD audits its contractors every other year.

Vehicle Maintenance Monitoring
RMRTD uses external maintenance providers, under a formal relationship, for maintenance activities related to vehicles operated out of its Rio Rancho and Los Lunas bases. Vehicle maintenance for Rio Rancho equipment is provided by ABQ RIDE. Vehicle maintenance for equipment operated out of Los Lunas is provided by the Village of Los Lunas. RMRTD has a third contractor, Leonard Tires, who conducts maintenance on its fleet of supervisory vehicles. RMRTD has established relationships with all of these maintenance providers, and regularly works to ensure that maintenance on all RMRTD vehicles meets industry safety standards in terms of both preventive and corrective maintenance.

RMRTD monitors the following areas within external vehicle maintenance. It documents all monitoring activities and their results, such as:
- Adherence to preventive maintenance schedules;
- Effectiveness of corrective maintenance activities, and;
- Maintenance-related vehicle road calls.

Facility Safety Inspections
The RMRTD base location in Los Lunas is leased from the Village of Los Lunas. The Village of Los Lunas conducts periodic and documented facility safety inspections of this facility. If a safety issue is identified

during the safety inspection at that facility, the Village of Los Lunas responds to the safety issue and mitigates it.

The RMRTD base location in Rio Rancho is leased from Sandoval County. Sandoval County conducts periodic and documented facility safety inspections of this facility. If a safety issue is identified during the safety inspection at that facility, Sandoval County responds to the safety issue and mitigates it.

Fire Hazard and Fire Extinguisher Inspections
Fire extinguishers are inspected as part of the pre-trip vehicle inspection conducted by operators and documented on the "Operators Vehicle Condition Report" prior to them leaving the transit facility. Vehicle fire extinguishers are inspected and serviced by ABQ RIDE as part of our vehicle preventative maintenance program. Local/county fire departments or County Building Maintenance conduct regular fire hazard inspections at both the Los Lunas and Rio Rancho facilities. If a fire hazard is identified at either of these facilities, it is addressed by either the village or the county, respectively. RMRTD Staff at both the Los Lunas and Rio Rancho facilities periodically inspect fire extinguishers that are mounted at the facility. If an issue is identified with the fire extinguisher, the fire extinguisher is immediately recharged or replaced.

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

Field Observations of Service Delivery
RMRTD has documented processes that it uses to conduct field observations of safety-related aspects of the following elements of both internal and contractor service delivery:
- Bus stops;
- Bus transfer locations;
- Monitoring the efficiency of fixed-route schedule and service delivery;
- Monitoring the efficiency of commuter bus schedule and service delivery, and;
- Monitoring the efficiency of paratransit/demand response schedule and service delivery.

The Assistant Transit Director-Bus has overall responsibility to ensure that this monitoring is carried out and documented. Further, if deficiencies are noted during the monitoring process, these deficiencies are documented and addressed as a source of proactive hazard identification through RMRTD's safety risk management processes. All these service delivery monitoring activities are documented, and are stored at the RMRTD Headquarters of the CSO's office.

Risk Mitigation Monitoring
The CSO has ultimate responsibility for monitoring operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. The actual field monitoring of the mitigations is often carried out by subject matter experts, including those that assisted in the creation of the mitigation through the SRM process. RMRTD documents how it carries out these monitoring strategies to periodically assess the effectiveness of safety risk mitigations.

Activities to monitor the effectiveness of safety risk mitigations ultimately assist RMRTD in determining whether the existing mitigation:
- Is working as desired;
- Needs some modification to work as desired;

- Is not working and needs to be replaced, or;
- Is no longer needed.

The results of mitigation monitoring activities, safety event documentation, and the results of the analysis of the forms, are made available for further safety risk management activity if needed. Mitigation monitoring documentation is stored at RMRTD Headquarters in the CSO's office. RMRTD has ensured that AAA and zTrip have provided descriptions of the monitoring strategies they use to periodically assess the effectiveness of their safety risk mitigations. The descriptions are included in the location of where each contractor captures and stores this information.

Safety Event Investigation
Responsibility for RMRTD's safety event investigation process is shared by the Assistant Transit Director-Bus and the CSO. Actual performance of safety event investigation, including identifying causal factors, involves not only the CSO and Assistant Transit Director-Bus, but also RMRTD Transit Operations Supervisors and the Training Coordinator. Local law enforcement responds to accident scenes, as well. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS. Basic training requirements for RMRTD employees, including appropriate and compliant frequencies and refresher training, are documented in RMRTD's Safety Training Matrix and the RMRTD Employee Handbook.

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

After a safety event investigation is complete, RMRTD management, with input from subject matter experts, determines whether the safety event was preventable or non-preventable, and based on that decision, whether discipline of employees involved is required.

RMRTD takes the process a step further and performs causal analysis of safety events to help determine if latent organizational factors, beyond individual employee behavior, may have contributed to the event. The results of causal analysis are documented on a causal analysis form.

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

Monitoring the Employee Safety Reporting Program
An effective ESRP supports hazard identification. The RMRTD CSO has ultimate responsibility for monitoring the transit agency's internal ESRP. The CSO will also monitor the use and effectiveness of the ESRP by contractor employees.

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

have reported a safety issue, concern, or condition. The Chief Safety Officer and Safety Committee routinely review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through RMRTD's SRM process. The Chief Safety Officer and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning RMRTD's safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

7. Safety Promotion

Competencies and Training

Under the guidance of the Accountable Executive and the CSO, the RMRTD Training Coordinator has the day-to-day responsibility for the development, delivery, and documentation of all SMS-related safety skill competencies and SMS training.

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

Training Needs Analysis
RMRTD, along with the Human Resources department, will periodically conduct training-needs analyses to ensure that its training is up to date, and that it addresses critical, safety-related concerns. It carries out these training needs analyses by doing the following:
- Reviewing existing job descriptions;
- Identifying which positions, including contractors, have direct responsibility for determining when safety training is needed;
- Determining what SMS roles, responsibilities, and processes may be missing from job descriptions, and;
- Working with Human Resources to update job descriptions to reflect SMS practices.

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

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

RMRTD periodically monitors the effectiveness of AAA and zTrip's Transit Operator training programs by reviewing training content and documentation. The results of this monitoring are kept on file at the RMRTD Headquarters in the Assistant Transit Director's office.

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

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

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

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

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

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

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

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

RMRTD has shared its SMS orientation materials with AAA and zTrip so they can provide SMS orientation sessions for all of their employees.

Safety Risk Management Orientation for Subject Matter Experts
Successful proactive safety risk mitigation begins with subject matter experts who have a clear understanding of their responsibilities and the skills required to carry them out.

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

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

- Assesses hazards for consequences;
- Conducts safety risk assessments, and;
- Creates safety risk mitigations.

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

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

Orientations include how to perform monitoring activities of both internal and contracted operations, as well as external maintenance activities. Performance monitoring includes such activities as:

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

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

Orientation on Employee Safety Reporting Program (ESRP)
An effective ESRP is one of the most important tools for hazard identification.

RMRTD's ESRP orientation, at a minimum, provides the following information:

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

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

RMRTD has provided AAA and zTrip information to ensure that all of their employees are oriented on the RMRTD ESRP and the methods of safety reporting.

Training Documentation
Training documentation is a source of hazard identification. Training documentation provides formal proof that employees received training, and shows that employees have received timely certification

and recertification in critical skill areas. Up-to-date training documentation also assists RMRTD in forecasting future training schedules.

RMRTD training documentation includes:
- Records of training needs analyses for lesson plan development;
- Curricula for initial and refresher training;
- Training schedules and records of all completed training;
- Procedures for revising training materials;
- Course assessment materials, and;
- Copies of individual employee training records.

RMRTD records of course completion include:
- Date the training was held;
- Content covered during the training session;
- Length of the session;
- Training format, and;
- Signatures of both the instructor and the trainee.

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

RMRTD periodically monitors AAA and zTrip's records of their employee's completion of skill training and SMS training. This monitoring is documented, and kept on file at the RMRTD Headquarters in the Assistant Transit Director's office.

Training Monitoring
RMRTD regularly monitors its training and the training of contractors to ensure effectiveness. Specifically, the training monitoring process addresses the following:
- Monitoring training to make sure it delivers the necessary SMS skills and information;
- Oversee contractor training to make sure they are providing necessary agency safety and SMS information, and;
- Establish a process for reviewing and revising training courses and consider review frequency, reviewers, and decision-making process for revisions.

Safety Communication

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

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

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

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

RMRTD has ensured that AAA and zTrip provide the descriptions of the overall approach to safety communication within their agencies. The descriptions include the location of where each contractor captures and stores this information.

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

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

RMRTD's documentation of its safety meeting process includes:
- The frequency of employee safety meetings;
- The job functions that are strongly encouraged to attend meetings;
- How it chooses topics to discuss during the meetings, and;
- How it addresses those topics within the employee safety meeting.

RMRTD has ensured that AAA and zTrip have provide descriptions of their employee safety meeting processes. The descriptions include the location of where each contractor captures and stores this information.

Organization-Wide Communication of Safety Hazard and Safety Risk Information
A goal of safety risk management processes is to reduce safety risk for employees and customers. Safety-sensitive employees are always vulnerable to the consequences of safety hazards within the transit environment. Timely reporting to employees of newly identified safety hazards, as well as the safety risks those hazards present, can help reduce that vulnerability.
RMRTD has documented procedures for communicating hazards. The documentation of these procedures is kept on file at the RMRTD Headquarters in the CSO's office. The CSO is responsible for making sure this communication takes place.

RMRTD has ensured that AAA and zTrip have provided descriptions of their processes for communicating any new safety hazard and safety risk information throughout their organizations. The descriptions include the location of where each contractor captures and stores this information.

Communication about Safety Risk Mitigations
RMRTD is committed to informing employees, at every level of operations, about the safety risk mitigations it is putting into effect. The reasons it provides this information are:
- It tells employees that the transit agency is doing all it can to reduce risk;
- It brings attention to employee roles and responsibilities that may be affected by new mitigations, and;

- Informed employees are better situated to be a source of information on determining how well mitigations are working.

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

RMRTD has ensured that AAA and zTrip have provided descriptions of their procedures for communicating new safety risk mitigations that they put into place. The descriptions include the location of where each contractor captures and stores this information.

Organization-Wide Communication of Agency Safety Performance
Transit agencies implement SMS to help them continuously improve their safety performance. Communicating agency safety performance information promotes employee "buy-in" to SMS processes, thus further improving the agency's overall safety performance.

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

RMRTD has documented how it communicates safety performance information throughout its organization and to contractors. This documentation is on file at RMRTD Headquarters in the CSO's office. The Accountable Executive is responsible for taking the lead on this communication and making sure that it takes place.

Additional Information

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

Appendix A: Definitions

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

Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

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

Event means any Accident, Incident, or Occurrence.

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

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

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

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

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

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

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

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

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

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

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

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

Safety Event means any Accident, Incident, or Occurrence.

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

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

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

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

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

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

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

Serious Injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date of 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 5 percent of the body surface.

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

State means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

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

Transit Agency means an operator of a public transportation system.

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

Appendix B: Acronyms and Abbreviations

Acronym or Abbreviation	Meaning
AAA	All Aboard America
ASP	Agency Safety Plan
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
NMDOT	New Mexico Department of Transportation
NMRX	New Mexico Rail Runner Express
MRMPO	Mid-Region Metropolitan Planning Organization
MRCOG	Mid-Region Council of Governments
PTASP	Public Transportation Agency Safety Plan
RMRTD	Rio Metro Regional Transit District
SMPS	Safety Management Policy Statement
SMS	Safety Management System
SRM	Safety Risk Management

Appendix C: RMRTD Board of Directors ASP Approval Documentation

RIO METRO
REGIONAL TRANSIT DISTRICT

R-21-09 RMRTD

1   APPROVING THE UPDATED RMRTD AGENCY SAFETY PLAN
2
3   **WHEREAS,** United States Code, Title 49. Transportation subtitle III General and

4   Intermodal Programs, Chapter 53 Public Transportation, Section 5307 Urbanized Area

5   Formula Grants provides that public transportation agencies prepare and maintain an

6   agency safety plan; and

7   **WHEREAS,** On July 19, 2018, the Federal Transit Administration (FTA)

8   published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which

9   requires certain operators of public transportation systems that receive federal funds

10   under FTA's Urbanized Area Formula Grants to develop safety plans that include the

11   processes and procedures to implement Safety Management Systems (SMS); and

12   **WHEREAS,** RMRTD staff developed the RMRTD Agency Safety Plan (ASP) in

13   accordance with the guidelines and requirements set forth in Title 49 Code of Federal

14   Regulations Part 673, the Public Transportation Agency Safety Plan (PTASP) rule; and

15   **WHEREAS** The RMRTD Agency Safety Plan also serves as a "Safety

16   Management System (SMS) user's manual" that guides RMRTD in the successful

17   implementation and operation of its SMS; and

18   **WHEREAS,** this final rule requires RMRTD to designate an individual to serve as

19   the Accountable Executive and the designate an individual to serve as a Chief Safety

20   Officer; and

R-21-09 RMRTD   1   November 19, 2021

21   **WHEREAS**, Terry Doyle, RMRTD Director was designated as the Accountable

22   Executive when the RMRTD Board of Directors approved R-20-10 RMRTD on

23   November 20, 2020; and

24   **WHEREAS**, Stephanie Paiz, RMRTD Safety Officer was designated as the Chief

25   Safety Officer when the RMRTD Board of Directors approved R-20-10 RMRTD on

26   November 20, 2020; and

27   **WHEREAS** the RMRTD Agency Safety Plan requires annual updating and

28   approval by the RMRTD Board of Directors as detailed in the Plan

29   **NOW, THEREFORE, BE IT RESOLVED BY THE RIO METRO REGIONAL**

30   **TRANSIT DISTRICT BOARD OF DIRECTORS THAT:**

31   The Updated RMRTD Agency Safety Plan dated November 2021 is Approved

32   **PASSED, ADOPTED, AND APPROVED** this 19th day of November 2021 by the

33   Board of Directors of the Rio Metro Regional Transit District.

34

35
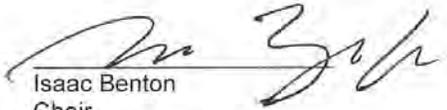
Isaac Benton
Chair
RMRTD Board of Directors

ATTEST:
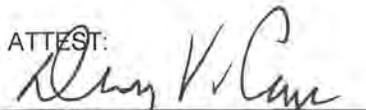
Dewey V. Cave
Chief Executive Officer
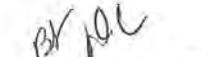
R-20-10 RMRTD
R-21-09

2
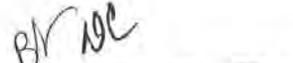
November 20, 2020
Nov. 19, 2021

Appendix D: Metropolitan Transportation Board Adoption of the ASP

1   RESOLUTION

2   of the

3   METROPOLITAN TRANSPORTATION BOARD

4   of the

5   MID-REGION METROPOLITAN PLANNING ORGANZIATION

6   of the

7   MID-REGION COUNCIL OF GOVERNMENTS OF NEW MEXICO

8   (R-20-10 MTB)

9   **ADOPTING PUBLIC TRANSPORTATOION AGENCY SAFETY PLANS (PTASP)**
10   **DEVELOPED BY**
11   **CITY OF ALBUQUERQUE TRANSIT DEPARTMENT (ABQ RIDE)**
12   **RIO METRO REGIONAL TRANSIT DISTRICT**
13

14   WHEREAS, the Metropolitan Transportation Board is the governing body of the

15   Mid-Region Metropolitan Planning Organization (MRMPO), a division of the Mid-Region

16   Council of Governments; and

17   WHEREAS, the MRMPO is responsible for metropolitan transportation planning

18   in accordance with 23 CFR 450, for the Albuquerque Metropolitan Planning Area

19   (AMPA); and

20   WHEREAS, United States Code, Title 49. Code of Federal Regulations Part 673

21   established a requirement for certain transit agencies that receive federal funds under

22   FTA's Urbanized Area Formula Grants to develop a Public Transit Agency Safety Plan

23   (PTASP); that include the process and procedures to implement Safety Management

24   Systems (SMS); and

25   WHEREAS, federal regulations require metropolitan planning organizations to

26   adopt Public Transit Agency Safety Plans.

R-10-20 MTB   1   December 18, 2020

27   NOW THEREFORE BE IT RESOLVED by the Metropolitan Transportation Board

28   of the Mid-Region Metropolitan Planning Organization of the Mid-Region Council of

29   Governments of New Mexico that the Transit Safety Agency Plans, as set out in

30   ATTACHMENTS A and B, are hereby accepted and adopted for the Albuquerque

31   Metropolitan Planning Area (AMPA) and the Mid-Region Metropolitan Planning

32   Organization.

33   PASSED, APPROVED, AND ADOPTED this 18th day of December 2020

34   by the Metropolitan Transportation Board of the Mid-Region Metropolitan Planning

35   Organization of the Mid-Region Council of Governments of New Mexico.

36

37   _____
38   Jack Torres, Chair
39   Metropolitan Transportation Board
40   ATTEST:
41
42
43   _____
44   Dewey V. Cave
45   Executive Director, Mid-Region Council of Governments
46   Executive Director, Mid-Region Metropolitan Planning Organization

Appendix E: RMRTD Safety Risk Assessment Matrix

Risk Assessment Matrix

	1. Catastrophic	**2. Critical**	**3. Marginal**	**4. Negligible**
A. **Frequent**	High (1A)	High (2A)	High (3A)	Medium (4A)
B. **Probable**	High (1B)	High (2B)	Medium (3B)	Medium (4B)
C. **Occasional**	High (1C)	Medium (2C)	Medium (3C)	Low (4C)
D. **Remote**	Medium (1D)	Medium (2D)	Low (3D)	Low (4D)
E. **Improbable**	Medium (1E)	Low (2E)	Low (3E)	Low (4E)

Risk Assessment Matrix Color Code

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

Severity of the Consequence

Value	Definition Category	Meaning
1	Catastrophic	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact that violates laws or regulations, or monetary loss equal to or exceeding $250,000
2	Critical	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least one person, property damage e3xceeding $25,000 but less than $250,000, system shut-down lasting between 10 minutes and 4 hours, or reversible significant environmental impact causing a violation of law or regulation
3	Marginal	Could result in one or more of the following: injury or occupational illness resulting in one or more lost work day(s), reversible moderate environmental impact without violation of law or regulations, or monetary loss up to $25,000, or system shutdown of less than 10 minutes
4	Negligible	Could result in one or more of the following: injury or occupational illness not resulting in a lost work day, minimal environmental impact, or monetary loss less than $25,000

Likelihood of the Consequence

Value	Qualitative Definition	Meaning
A	Frequent	Likely to occur frequently—more than once per month
B	Probable	Likely to occur less than once per month but more than once per year
C	Occasional	Likely to occur less than once per year but more than once per decade
D	Remote	Very unlikely to occur—once in the life of the system
E	Improbable	Almost inconceivable that the event will occur in the life of the system

Appendix F: Contractor Information

All Aboard America (AAA)

Address, Phone, Fax	Contact Person	Bus/Service Line
3789 Academy Rd.	**Ed Powers, General Manager**	Routes: 8, 201,
Santa Fe, NM 87507	EPowers@allaboardamerica.com	202, 204,
	Emergency cell: 602-999-1157	366 & 505
Office: 505-424-1110		
Fax: 505-424-3626	**Louie Garcia, Operations Manager**	
	louie@allaboardamerica.com	
	Emergency cell: 505-780-1388	

WHC NM LLC dba Ztrip

Address, Phone, Fax	Contact Person	Service Line
500 Kinley Ave. NE	Chris Evans, General Manager	Demand Response Transportation
Albuquerque, NM 87102	cevans@ztrip.com	
	Emergency cell: 505-508-6296	
Office: 505-842-5969		

Appendix G. RMRTD Organizational Chart

Rio Metro Regional Transit District Organizational Chart

RMRTD Agency Safety Plan
Version 2 (December 2021)

Appendix H: Safety Risk Register

Initial Safety Risk Rating			Further Mitigation Action
Severity of Consequences	**Likelihood of Consequences**	**Safety Risk Index**	**Further Mitigation Action**
2 (Serious)	B (Occasional)	2B	1. Have Transit Operations Supervisors and Transit Operators constantly watching for low-hanging tree branches. 2. Maintain contact with Maintenance to uphold communication of branches and shrubs that may create hazards.

Revised Safety Risk Index		Mitigation Owner and Implementation Date		
Revised Safety Risk Index	**Revised Safety Risk Index Date**	**Department Responsible for Mitigation**	**Estimated Implementation Date**	**Contact Person**
1D (Acceptable based upon mitigations)		Transportation		

Appendix I: Rio Metro Training Acknowledgement

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

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

_____   _____   _____

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