



City of Peoria

Public Transportation Agency Safety Plan

Revision 3

Adopted December 17, 2024

In compliance with 49 CFR Part 673 and 49 U.S.C. § 5329



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EXECUTIVE SUMMARY

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

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

The subject of this document is the Public Transportation Agency Safety Plan (PTASP) rule, 49 CFR Part 673, and guidance provided by FTA.

In November 2021, the Bipartisan Infrastructure Law (BIL) was signed into law and amended FTA's safety program at 49 United States Code (USC) Section 5329(d) by adding to the PTASP requirements. Changes include strategies to minimize exposure to infectious diseases, strategies to reduce assaults on transit workers, expansion of training, and the formation of a Safety Committee. As of the publication of this revision of the Agency Safety Plan, the FTA released a Notice of Proposed Rulemaking (NPRM) regarding changes based on the BIL. These changes will not substantially change this Agency Safety Plan as they will codify what was included in 49 U.S.C. 5329(d), which was previously addressed in the 2022 revision.

Additionally, FTA recently released proposed revisions to the National Public Transportation Safety Plan (NPTSP) to address the new requirements in the Bipartisan Infrastructure Law (BIL), enacted as the Infrastructure Investment and Jobs Act (IIJA) to further advance transit safety. This Plan supersedes the one which FTA published in January 2017. It lays out a performance-based approach to reduce injuries and fatalities on transit systems under FTA's safety jurisdiction. If these changes are ratified, this plan will be updated to include safety training for maintenance staff as well as de-escalation training for all safety sensitive personnel. Three new Safety Performance Measures will be added for tracking including "Transit Worker Fatality Rate", "Assaults on Transit Workers", and "Rate of Assaults on Transit Workers". This plan will then be updated to include two new Safety Risk Reduction Program Measures which are "Assaults on Transit Workers" and "Rate of Assaults on Transit Workers, both of which are already reported by Peoria to the FTA through the National Transit Database (NTD).

Furthermore, In April 2024, the Federal Transit Administration (FTA) made important updates to the Public Transportation Agency Safety Plan (PTASP) regulations to improve safety management and performance monitoring for transit agencies. These updates stress the need for decisions based on data and proactive



risk management. Key changes include using advanced safety performance metrics to provide a more complete view of safety by recording a wider range of incidents and near-misses. This helps agencies spot potential hazards earlier and take action to prevent them. Additionally, the FTA now requires more thorough training programs for transit staff, focusing on modern safety management systems (SMS) practices and emergency preparedness to create a knowledgeable workforce focused on the culture of safety.

The updated PTASP regulation also adds stronger oversight and accountability measures for 5307 agencies. These agencies must now conduct regular safety audits and submit detailed reports on their safety performance and compliance with SMS as detailed in their PTASP plans. These reports should include specific plans for addressing any safety issues identified and providing a commitment to continuous improvement. The regulation also highlights the importance of management in promoting a safety-first culture and encouraging executives to be actively involved in safety planning and decision-making processes, thereby promoting safety communications in a top-down and bottom-up feedback.

Safety is a core business function of all public transportation providers and should be systematically applied to every aspect of service delivery. At Peoria, all levels of management, administration and operations are responsible for the safety of their customers and themselves. To improve public transportation safety to the highest practicable level in the state and comply with FTA requirements, the Arizona Department of Transportation (ADOT) originally developed this Agency Safety Plan (ASP) in collaboration with Peoria.

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

¹ Federal Register, Vol. 81, No. 24



Plan Adoption – 673.11(a)(1)

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

Chris Hallett, Neighborhood & Human Services Director

[Redacted Signature]

ACCOUNTABLE EXECUTIVE SIGNATURE

11/27/24

DATE

Tremaine Coley, Transit Manager

[Redacted Signature]

CHIEF SAFETY OFFICER (CSO) SIGNATURE

November 26, 2024

DATE

Certification of Compliance – 673.13(a)(b)

ADOT certified in August 2020 that the PTASP was in full compliance with 49 CFR Part 673. This iteration of the PTASP has been adopted and will be implemented by Peoria as evidenced by the plan approval from the City Council and signatures from the Accountable Executive and CSO required under 49 CFR Part 673.11(a)(1)



TRANSIT AGENCY INFORMATION – 673.23(D)

The City of Peoria, Arizona, provides demand response transit services to the community. Peoria offers Dial-a-Ride and Americans with Disabilities Act (ADA) services through a reservation system throughout the City of Peoria. Services are provided as shown in Table 1:

TABLE 1 HOURS OF SERVICE

	DIAL-A-RIDE SERVICE	ADA SERVICE
MONDAY THROUGH FRIDAY	6:00 AM to 5:00 PM	Matching Fixed Route Hours (approx. 4:50 AM to 10:30 PM)
SATURDAY	No Service	Matching Fixed Route Hours (approx. 6:00 AM to 10:20 PM)
SUNDAY	No Service	Matching Fixed Route Hours (approx. 6:00 AM to 10:20 PM)
NATIONAL HOLIDAYS	No Service	Matching Fixed Route Hours (currently 365 days)

See further details of the Peoria maintenance program under the [Safety Risk Management](#) section. Table 2 contains agency information, while an organizational chart for Peoria is provided in



Figure 1.

Table 2: Agency Information

Information Type	Information
Full Transit Agency Name	Peoria Transit
Transit Agency Address	City of Peoria 8401 W. Monroe St. Peoria, AZ 85345
Name and Title of Accountable Executive 673.23(d)(1)	Chris Hallett, Neighborhood & Human Services Director
Name of Chief Safety Officer or SMS Executive 673.23(d)(2)	Tremaine Coley, Transit Manager
Mode(s) of Service Covered by This Plan 673.11(b)	Demand Response
FTA Funding Types (e.g., 5307, 5310, 5311)	5307





Authorities & Responsibilities – 673.23(d)

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

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

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

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

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

Frontline employees perform the daily tasks and activities where hazards can be readily identified so the identified hazards can be addressed before the hazards become adverse events. These employees are critical to SMS success through each employee's respective role in reporting safety hazards, which is where an effective SMS and a positive safety culture begins. Frontline employees at Peoria include the bus operators, dispatchers, and supervisory personnel.

The **Safety Committee** is a committee convened by a joint labor-management process comprised of an equal number of frontline employees (selected by a labor organization representing the plurality of the frontline workforce employed by the recipient or, if applicable, a contractor to the recipient, to the extent frontline employees are represented by labor organizations) and management. Pursuant to the Bipartisan Infrastructure Law (BIL) updates to 49 USC Section 5329(d), Peoria has created a Safety Committee composed of an equal representation of frontline employees and management representatives. The Safety Committee at a minimum, is responsible for:

- Review and approval of this PTASP;



- Identify and recommend risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment;
- Identify mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
- Identify safety deficiencies for purposes of continuous improvement.

See the charter in [Appendix C](#).



SAFETY POLICIES AND PROCEDURES

Safety Management Policy – 673.23(a)

Peoria recognizes that the management of safety is a core value. Peoria is committed to providing safe and reliable transportation to the communities it serves. The management team of Peoria will embrace the SMS and is committed to developing, implementing, maintaining, and constantly improving processes to ensure safety. As SMS is a top-down method for instituting safety practices throughout the agency, all levels of management and frontline employees are committed to safety and understand that safety is the primary responsibility of all employees. As necessary, Peoria will plan to develop plans, procedures, structures, and resources to support the implementation of SMS within the agency. Peoria is committed to performing the following activities to implement SMS and this PTASP:

- Communicate the purpose and benefits of the SMS to all staff, managers, supervisors, and employees through Safety Promotion activities. This communication will specifically define the duties and responsibilities of each employee throughout the organization and all employees will receive appropriate information and SMS training.
- Provide appropriate management involvement and the necessary resources to establish an effective employee safety reporting system that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identify hazardous and unsafe work conditions and analyzing data from the employee reporting system. After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.
- Ensure that no action will be taken against employees who disclose safety concerns through the reporting system, unless disclosure indicates an illegal act, gross negligence, or deliberate or willful disregard of regulations or procedures.
- Establish Safety Performance Targets (SPTs) that are realistic, measurable, and data driven and a reduction of the three year rolling average.
- Continual improvement of safety performance through management processes that ensure appropriate safety management action is taken and is effective.
- Ensure the SMP is signed by highest executive in the agency to convey that SMS is important to the highest level of the organization.
- Provide resources for managing safety during service delivery.
- Convey to employees and agency stakeholders that receiving safety information is critical to the operation and success of the SMS.
- Ensure that the Peoria strategies and guidelines to address infectious disease planning and response is consistent with the Centers for Disease Control and Prevention and the Arizona Department of Health Services and local health authorities in order to minimize exposure to



infectious diseases in accordance with 49 USC section 5329 (d)(1)(D) through the Personnel Administrative Regulations, 9-3: Communicable Disease Outbreak program.

Employee Safety Reporting Program – 673.23(b)

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

Peoria management will ensure that all employees are encouraged to report safety conditions directly to senior management or their direct supervisor for elevation to senior management. The Peoria ESRP also covers any contract employees. As a part of its ESRP, Peoria management will strive to regularly update the individual(s) or group that provided the initial report to advise on what steps have and will be taken to address the hazard(s). This is a critical aspect of SMS in order to provide a feedback loop and provide employees with assurances that safety concerns are heard and are addressed accordingly.

Peoria complies with the requirements for establishing and implementing an employee safety reporting process through its Personnel Administrative Regulation 5-16: Workplace Investigations. The policy prohibits retaliation of any kind against anyone who participates in an investigation, or who raises issues that initiates an investigation. However, employee behaviors that may result in disciplinary actions are described in a separate document, Administrative Regulation 90-03: Disciplinary Action. This policy includes a list of offenses that may be considered as misconduct.

Communicating the Policy Throughout the Agency – 673.23(c)

Peoria is committed to ensuring the safety of our passengers, personnel, and operations. Part of that commitment is developing an SMS and agency wide safety culture that reduces agency risk to the lowest level possible. The first step in developing a full SMS and agency wide safety culture is communicating the SMP throughout the agency. The SMP and safety objectives are at the forefront of all communications. This communication strategy will include posting the policy in prominent work locations for existing employees and adding the policy statement to the on-boarding material for all new employees. In addition, the policy statement and safety moments will become part of our agency's regular safety meetings and other safety communications efforts. The signed PTASP serves as the Accountable Executive's endorsement of the SMP. Additionally, the Peoria City Council annually adopts the PTASP and the Peoria SMP.



PTASP Development and Coordination with ADOT – 673.11(d)

This PTASP was originally developed in collaboration between the Arizona Department of Transportation (ADOT) and the City of Peoria in accordance with all requirements stated in 49 CFR Part 673 and 49 USC Section 5329 applicable to a small public transportation provider.

PTASP Annual Review – 673.11(a)(5)

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

The annual review includes the PTASP and associated supporting documents (e.g., Standard Operating Procedures [SOP], Policies, Manuals, etc.) that are used to fully implement all the processes used to manage safety at Peoria. All changes are noted (as discussed below) and the Accountable Executive and CSO sign and date the title page of this document and provide documentation of approval by the Peoria Transit Safety Committee followed by the Peoria City Council, whether by signature, by reference to resolution, or by agenda item approval.

The annual PTASP review follows the update activities and schedule provided below in Table 3. As processes are changed to fully implement SMS or new processes are developed, Peoria will track those changes for use in the annual review.

TABLE 3: PTASP ANNUAL UPDATE TIMELINE

Task	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct
Review Agency Operations									
Review SMS Documentation <i>Safety Policy;</i> <i>Risk Management;</i> <i>Safety Assurance; and</i> <i>Safety Promotion.</i>		→							
Review Previous Targets and Set or Continue Targets									
Report Targets to National Transit Database (NTD), Metropolitan Planning Organization (MPO) – Maricopa Association of Governments (MAG)					→				
Make Any Necessary Adjustments to PTASP									
Update Version No., Adopt & Certify Plan Compliance									★



The following table, Table 4, is used to record final changes made to the ASP during the annual update. This table is a permanent record of the changes to the ASP over time.

TABLE 4: PTASP RECORD OF CHANGES

Document Version	Section/Pages Changed	Reason for Change	Reviewer Name(s)	Date of Change
1	New Document	PTASP was adapted from the original Arizona DOT statewide PTASP. PTASP accounts for new requirements under the Bipartisan Infrastructure Law within 49 USC Section 5329(d), issued February 17, 2022	Chris LaRue, August Stanley, Amelija Sorg-Taylor	September 2022
2	Executive Summary P. 4, Safety Performance Targets, Cybersecurity, Safety Meetings, Emergency Management	<ol style="list-style-type: none"> 1. PTASP revised to account for updates based on Peoria agency activities. 2. Included information on FTA’s NPRM for 49 CFR Parts 672, 673, and 674 based on Bipartisan Infrastructure Law changes 3. Changes based on agency organizational changes 4. Annual Safety Performance Target update 5. Added cybersecurity section 6. Update on implementation of Safety Committees 7. Clarifications to the Peoria Emergency Operations Plan 	Amelija Sorg-Taylor, Aidan Quirke	September 2023
3	Executive Summary, Safety Performance Targets, Safety Policies and Procedures	<ol style="list-style-type: none"> 8. 	Aidan Quirke, Kashmala Tahir	October 2024

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



PTASP Maintenance – 673.11(a)(2)(c)

Peoria follows the annual review process outlined above and adjust the PTASP as necessary to accurately reflect current implementation status. This plan documents the processes and activities related to SMS implementation as required under 49 CFR Part 673 Subpart C and Peoria makes the necessary updates to this PTASP as it continues to develop and refine its SMS implementation.

PTASP Documentation and Recordkeeping – 673.31

At all times, Peoria maintains documents that set forth within the PTASP, including those documents related to the implementation of Peoria SMS processes and activities. Peoria’s Document Retention Policy is further described in section 41-151.15 of Preservation of Public Records, under the Arizona Revised Statutes. Per this document, Peoria Transit implements the following requirements:

All records made or received by public officials or employees of the State of Arizona or counties and incorporated towns in the course of their public duties are property of the State of Arizona.

Records shall not be destroyed or otherwise disposed of by any agency of the State unless determined by the State Library that the records have no further administrative, legal, fiscal, research or historical value.

Peoria also maintains documents that are included in whole, or by reference, that describe the programs, policies, and procedures that our agency uses to carry out the PTASP and all iterations of those documents. These documents can be made available upon request to the FTA, other Federal entity, or ADOT. Moreover, Peoria maintains all records related to its SMS, including:

- Transit Safety Committee meeting agendas and notes;
- Employee ride-check results;
- Employment records;
- Safety bulletins;
- Preventive and corrective maintenance records;
- Corrective Action Plans;
- Training records; and
- Accident and incident investigations.

Peoria maintains these documents and records for a minimum of three years after the documents are created. These additional supporting documents are cataloged in [Appendix A](#) and the list are kept current as a part of the annual PTASP review and update.

Safety Performance Measures – 673.11(a)(3)

The PTASP Final Rule, 49 CFR Part 673.11(a)(3), requires that all public transportation providers must develop a PTASP to include SPTs based on the safety performance measures established under the NSP.



The safety performance measures outlined in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the NTD. The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (note that State of Good Repair is developed and tracked in the Transit Asset Management (TAM) Plan).

There are eight SPTs that must be included in each ASP that are based on the four performance measures in the NSP. These SPTs are presented in terms of total numbers reported and rate per Vehicle Revenue Mile (VRM). With the Bipartisan Infrastructure Law changes in 49 USC Section 5329(d), agencies must use a reduction of the three-year rolling average to identify the baseline for the safety performance targets (SPT), which is broken down in Table 5. The last row of the Table includes the SPTs for 2025.

In compliance with the new FTA regulations requiring a reduction in SPTs, the following methodology will be applied:

1. Annual Review and Reduction of SPTs:

- Each SPT will be reviewed on an annual basis, using the three-year rolling average as the baseline.
- A 5% reduction will be applied to each target to ensure continuous improvement in safety performance.

2. Rounding and Minimum Reduction Criteria:

- If the 5% reduction results in a non-integer value (e.g., 3.8), the target will be rounded up to the nearest whole number.
- If applying a 5% reduction results in a target lower than 1, the target will be set at zero.

3. Implementation and Monitoring:

- The revised SPTs will be incorporated into the PTASP and communicated to all relevant personnel.
- Performance against these targets will be continuously monitored, with adjustments made as necessary to reflect changes in operational conditions.

4. Documentation and Justification:

- The rationale for each reduction, including any rounding adjustments, will be thoroughly documented.



TABLE 5: PEORIA 2025 SAFETY PERFORMANCE TARGETS

DR (per 100,000 VRM)									
Mode - DR	Fatalities	Rate of Fatalities	Injuries	Rate of Injuries	Assaults on Transit Workers	Rate of Assaults	Safety Events	Rate of Safety Events	System Reliability **
2021 Actual	1	1.15	1	0.00			0	0.00	86,767
2022 Actual	0	0.00	0	0.00			2	0.00	89,990
2023 Actual	0	0.00	2	0.00	0.00	0.00	0	0.00	92,828
Average	0.33	0.38	1.00	0.00	0.00	0.00	0.67	1.15	89,862
2025 SPT (DR)	0.32	0.36	0.95	0.32	0.00	0.00	0.63	0.32	89,862

*rate = events per 100,000 vehicle revenue miles / **System Reliability = miles between major mechanical failures

While safety has always been a major component of the Peoria operation, the adoption of this PTASP will result in changes across all aspects of the organization. The SPTs in Table 5 reflect an acknowledgement that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. Peoria will continue to set targets at the current NTD reported three-year average as it begins the process of fully implementing SMS and developing its targeted safety improvements. This will ensure that Peoria does no worse than the baseline performance over the last three years.

As part of the annual review of the PTASP, Peoria reevaluates its SPTs and determines whether the SPTs need to be refined based on the three previous years of NTD data. As more data is collected as part of



the SRM process discussed later in this plan, Peoria may begin developing safety performance indicators to help inform management on safety-related investments.

Safety Performance Target Coordination – 673.15(a)(b)

Peoria makes its SPTs available to ADOT and the MPO, Maricopa Association of Governments, to aid in those agencies' respective regional and long-range planning processes, including the Transportation Improvement Plans. To the maximum extent practicable, Peoria coordinates with ADOT and MAG in the selection of State and MPO SPTs.

Each year during the FTA Certifications and Assurances reporting process, Peoria will transmit any updates to its SPTs to both the MAG and ADOT (unless those agencies specify another time in writing).

Additionally, TAM is a key method for agencies to monitor potential safety concerns with assets as they are used and age. Peoria strives to ensure that it meets compliance requirements in development of the biennial updates to the TAM Plan, including its TAM performance targets and measures.



SAFETY MANAGEMENT SYSTEMS – 673 SUBPART C

As previously noted, FTA has adopted SMS as the basis for improving safety across the public transportation industry. In compliance with the NSP, 49 CFR Part 673, and 49 USC Section 5329 (d), Peoria is adopting SMS as the basis for directing and managing safety and risk at our agency. Peoria has always viewed safety as a core business function. All levels of management and employees are accountable for appropriately identifying and effectively managing risk in all activities and operations to deliver improvements in safety and reduce risk to the lowest practical level during service delivery.

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

FIGURE 2: SAFETY MANAGEMENT SYSTEMS





Implementing SMS at Peoria will be a major undertaking over the next several years. Additionally, once the SMS is fully in place, Peoria will assess the programs in place through continuous improvement, a major tenant of SMS. This PTASP is the first step to putting in place a systematic approach to managing the agency’s risk. Peoria has already taken several steps to implement SMS, such as developing this initial PTASP and designating a CSO.

Safety Risk Management – 673.25

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

FIGURE 3: SAFETY RISK MANAGEMENT PROCESS



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

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

Peoria values the safety of their employees and has established the 2020-2024 Safety and Health Strategic Plan to outline the goals and vision for a safe work environment. Personnel Administrative Regulations (PAR) establish policies for safety and other requirements of city employees. PAR 9-1 Safety identifies the responsibilities of employees, supervisors, and administrators to create a safe work environment and reduce injuries and illnesses in the workplace.



FIGURE 4: SAMPLE RISK REGISTER

Hazard ID	Hazard Type	Source	Identification Date	Description	Hazard Rating (Likelihood and Consequence)	Mitigation	Status of feedback with reporter (if applicable)	Updated Hazard Rating (after mitigation)

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

Safety Hazard Identification – 673.25(b)

Peoria already has a series of methodologies to identify safety hazards, primarily through frontline personnel. These methods primarily involve identifying hazards during operations along the line (i.e., traffic hazards, obstacles, pedestrian hazards, etc.) as well as through the inspection and maintenance process. The City of Peoria has policies, procedures and training methods in place that focus on managing safety and methods to report hazardous or unsafe conditions. Transit employees can report safety concerns using several methods, starting with reporting the situation to a lead or supervisor, or the Transit Safety Committee. Additionally, transit employees can report online to the city’s Safety Coordinator using the Safety Concern and Near Miss Form. Peoria has training requirements for staff in areas of safety, which are monitored by Human Resources to verify all staff complete the required safety training. There are videos available to all employees to supplement training regarding safety. (See training under Safety Promotion). Peoria has conducted Job Hazard Analyses for all transit positions and certain job duties, which can result in injury if not performed correctly.

Peoria has processes in place to identify and mitigate these hazards as soon as possible, preferably at the time of identifying and reporting the hazard. However, Peoria will plan to use the Risk Register as a process to assess the hazards and identify any trends.

MAINTENANCE AND INSPECTIONS

Peoria’s maintenance program is a key component of implementing safety risk management. The City of Peoria Transit services are provided through the City’s Transit Division. Vehicles operated by the City’s Transit Division are maintained by the Fleet Services Division (FSD) through a Service Level Agreement. The agreement provides vehicle maintenance and fleet administration as having the primary responsibility of ensuring that all City vehicles are safe and available for their intended purpose. Transit



specific inspection and maintenance schedules are developed with detailed checklists of items to inspect and maintain at regular set intervals. Responsibilities under the FSD include conducting regulatory and safety inspections of the vehicles. Drivers additionally are required to conduct a pre- and post-trip inspection through the Bus Driver Vehicle Inspection Form. If no issues of safety are identified, these inspections sheets are turned in daily and kept with the vehicle records. These inspections must be turned into the dispatch office at the end of each workday or electronically submitted if using electronic devices. In addition, drivers are charged with submitting any maintenance item to the FSD to ensure corrective action is taken. FSD also uses the Supervisor/Senior Operator Transit Vehicle Inspection Form for tracking any defects to be reported to FSD. The process for using the forms is explained in Section 6 – Employee Responsibilities of the Transit Handbook.

OPERATIONS

During daily operations, bus operators, supervisors, and dispatchers are expected to report any hazards they may identify throughout their shifts. Operations staff are a critical component of the safety risk management and hazard identification process. If a frontline employee or contractor identifies a hazard in operating areas or in private City facilities, they are required to report the hazard to management through the quickest method possible as well as to the Safety Coordinator using the Safety Concern and Near Miss Form. Ideally, if a hazard is identified along a route or other operating areas, they work with management staff to mitigate the problem immediately. If this is not feasible, management and frontline staff will work together to identify a mitigation and track it to completion. Regardless of how the hazard is mitigated, the CSO ensures that all identified hazards are tracked through the Risk Register in order to have a documented list of hazards within or affecting the operations. See more details on the safety risk assessment and mitigation processes in the sections below.

CYBER SECURITY

In the context of transit safety, the City of Peoria, AZ ensures the safety and security of its systems, data, and end-users by implementing robust security management systems. These systems are designed to mitigate cybersecurity risks and adhere to industry standards, such as mapping Center for Internet Security (CIS) controls to the National Institute of Standards and Technology (NIST) Cybersecurity Framework (CSF). To promote end user security, regular cybersecurity training sessions are conducted, and multiple simulated phishing campaigns are employed to enhance awareness and preparedness. Workstations at the transportation agency are forefield through the utilization of a patch management solution, an advanced web filtering client, and continuous monitoring and response through a managed endpoint detection system, available round-the-clock, all year long.

At the network level, the City incorporates a cloud-based Web Application Firewall (WAF) to safeguard against potential cyber threats. Additionally, multiple physical and virtual segments are protected using Next-Generation Firewalls (NGFW), and the environment is equipped with strategically placed and monitored Intrusion Prevention Systems (IPS) to further enhance security measures. To maintain the integrity of web platforms, email services, remote access, and administrative access to SAAS admin



consoles and servers, the city mandates the use of Multi-Factor Authentication (MFA). This ensures an added layer of protection against unauthorized access and helps safeguard critical systems and data.

Procurement

The City of Peoria adopts the Procurement Administrative Guidelines from the Department of Materials Management. The policy states the Materials Manager is responsible for monitoring the use of specifications for supplies, services, and construction required by the City. Additionally, the Transit Safety Committee is responsible for reviewing transit procurements for safety features prior to processing the procurement.

Within the SRM process, Procurement is responsible for working with Peoria Transit to identify any potential hazards that may arise depending on the items necessary for purchase. Procurement works with the Transit group to ensure the agency procures the best possible products for maintenance and operations of the system following a comprehensive SRM process.

Safety Risk Assessment – 673.25I

Peoria utilizes the Military Standard (MIL-STD) 882E, which is considered an industry best practice. This standard utilizes an overall safety risk rating, which is a composite of the severity and likelihood of a given safety hazard. Figure 5 is a guide to the severity/probability which provides a final rating.

Hazard severity is a subjective measure of hazard, supported by factual data, and will be categorized as follows:

- Catastrophic – Death or system loss
- Critical – Severe injury, severe occupational illness, or major system damage
- Marginal – Minor injury, minor occupational illness, or minor system damage
- Negligible – less than minor injury, occupational illness, or system damage
- Insignificant – Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in no injury, none or minor damage to equipment, no adverse reputational damage.

Hazard probability is a subjective measure of likelihood that a specific hazard will occur and will be categorized as follows:

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



Once hazards are identified and categorized, subsequent analysis will be undertaken to resolve the issue and minimize risk associated with the identified hazard. A hazard resolution matrix is used to combine hazard severity and hazard frequency, as shown in the matrix, to identify the level of acceptance for a specific hazard/risk.

FIGURE 5: SAFETY RISK ASSESSMENT MATRIX

Bus Transit Agency					
HAZARD RISK INDEX					
Probability	Severity				
	1	2	3	4	5
	Catastrophic	Critical	Marginal	Negligible	Insignificant
(A) Frequent	1A	2A	3A	4A	5A
(B) Probable	1B	2B	3B	4B	5B
(C) Occasional	1C	2C	3C	4C	5C
(D) Remote	1D	2D	3D	4D	5D
(E) Improbable	1E	2E	3E	4E	5E
(F) Eliminated					

Figure 6 displays the ultimate breakdown of how Peoria will address hazards, by their rating:

FIGURE 6: HAZARD ACCEPTANCE CRITERIA

HAZARD ACCEPTANCE CRITERIA			
Hazard Risk Index	Decision Authority		Special Conditions
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable		<i>Must be mitigated</i>
1D, 2C, 2D, 3B, 3C, 4A	Undesirable		<i>Requires bus transit agency management decision:</i>
1E, 2E, 3D, 3E, 4B, 4C, 4D, 5A, 5B, 5C	Acceptable with Review		<i>Requires bus transit agency management decision:</i>
4E, 5D, 5E	Acceptable without Review		Acceptable without further review
Eliminated			

Hazards are further defined as:

- Unacceptable Hazards – Hazards with a Hazard Risk Index of 1A, 1B, 1C, 2A, 2B, 3A are “unacceptable” and must be mitigated in the most expedient manner possible to eliminate



or control them prior to the project initiating service, by reducing the severity and/or probability of the hazard to an acceptable level.

- Undesirable Hazards – Hazards with a Hazard Risk Index of 1D, 2C, 2D, 3B, 3C, 4A are “undesirable.” A management decision is required by Peoria on the specific method of corrective action to mitigate the risk based on additional considerations such as the availability of acceptable alternative measures (workarounds), availability of resources, on a permanent or temporary basis.
- Acceptable with Review Hazards – Hazards with a Hazard Risk Index of 1E, 2E, 3D, 3E, 4B, 4C, 4D, 5A, 5B, 5C are “acceptable with review” by the bus transit agencies. Peoria may accept the risk associated with retaining the identified hazard in an “as is” condition with no further corrective action. Alternatively, the Peoria may prescribe periodic tests and inspections or other preventative measures to ensure, on a continuing basis, that the original severity and probability ratings are not invalidated over time by degradation of conditions in the subject item.
- Acceptable without Review Hazards – Hazards with a Risk Index of 4E, 5D, 5E are “acceptable” without review. The results of the analysis will be shared by the CSO with the Accountable Executive on an ongoing basis to identify appropriate actions. All “unacceptable” hazards must be eliminated, and measures will be taken for the remaining risk acceptance categories to minimize risk. The results of such analysis will be shared with agency staff and law enforcement agencies on a quarterly basis for awareness and support.

Safety Risk Mitigation – 673.25(d)

In the final step of the SRM process, Peoria may determine and implement safety mitigation actions to reduce or eliminate all identified safety hazards. Mitigation actions may be developed in the form of elimination, engineering, procedural changes, and/or administrative changes. Once a mitigation action has been identified, Peoria assesses all changes that result from the mitigating actions and whether they may introduce new hazards. If existing mitigation measures are sufficient, then no further mitigation actions are necessary. However, Peoria may need to reassess proposed mitigations to ensure that it will decrease the existing safety risk rating to an acceptable level and avoid the development of any new hazards.

Risk Reduction Program – 49 USC Section 5329(d)(1)(I)

Peoria strives to continuously develop and improve its risk reduction program in order to reduce the number and rates of accidents, injuries, and assaults to Peoria’s transit workers. Peoria will monitor internal data and NTD to assess trends and identify measures to take to reduce vehicular and pedestrian accidents. Additionally, Peoria will monitor transit worker assault data and identify mitigations, including the deployment of assault mitigation infrastructure and technology, as deemed necessary. In the next iteration of this PTASP, Peoria will plan to include transit worker assault data in the SPTs, a probable new requirement according to pending changes to the NSP. Such mitigations may include barriers to



restrict access from individuals. Such risk reduction assessments will be conducted as a part of the Transit Safety Committee activities.

In addition to conducting risk reduction assessments, Peoria also establishes safety performance targets (see further details in [Safety Risk Measures section](#)). These targets are annually updated based on a three-year rolling average of the data submitted by Peoria to the NTD.



Safety Assurance – 673.27 (a)

Safety assurance is a process that functions to ensure the implementation and effectiveness of safety risk mitigation and is the process by which Peoria ensures that it meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Performance Monitoring and Measuring – 673.27 (b)

49 CFR Part 673.27 requires transit agencies to establish activities to:

- Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance;
- Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;
- Conduct investigations of safety events to identify causal factors; and
- Monitor information reported through any internal safety reporting programs.

MONITORING OPERATIONS AND MAINTENANCE COMPLIANCE 673.27(B)(2)

Peoria conducts safety performance monitoring and measuring through several methodologies. In terms of overall state of good repair and maintenance of assets, Peoria utilizes its maintenance documentation to monitor any potential trends in equipment reliability and potential safety risks. Peoria monitors maintenance records compiled by FSD including:

- Pre- and post-trip inspection forms;
- Bus Driver Vehicle Inspection forms; and
- Corrective maintenance records.

Peoria Transit monitors vehicle operations as prescribed in the Transit Vehicle Management Procedures to ensure safe operations. The procedures detail steps to include daily monitoring of vehicles for safety and proper maintenance. Pre- and Post-Trip forms are required daily by operators and submitted to Transit management for review and retention. The Peoria Pre-Trip form includes inspections of components of the buses. The inspections are useful for both initial corrective maintenance if issues are found, but also for monitoring common issues for specific components.

Additionally, Peoria management and supervisors conduct proficiency checks on bus operators which may include fitness for duty checks, ride-alongs or stationary and/or trailing ride checks. Peoria uses the resulting data to identify if there are any common trends or hazards affecting operations. Following ride checks, if any deficiencies are noted, Peoria supervisors will coach the operators on any necessary rules to review and areas for improvement.



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

As a primary part of the internal safety reporting program, Peoria monitors information reported through the ESRP. When a report originating through the complaint process documents a safety hazard, the supervisor submits the hazards identified through the internal reporting process, including previous mitigation in place at the time of the safety event. The supervisor submits the hazard report to the SRM process to be analyzed, evaluated, and if appropriate, assigned for mitigation/resolution.

OTHER SAFETY ASSURANCE INITIATIVES

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

Safety Event Investigations – 673.27(B)(3)

Event investigations are a key aspect of the overall SRM and SA process. Peoria utilizes event investigations to identify the root cause of the event. The City of Peoria has a Risk Management Division and a Safety Office, to assess risk elements and mitigate hazards. For employee workplace injury and illness, incidents, or accidents, the City of Peoria has a program in place to ensure these are adequately and appropriately reviewed. Peoria has developed the Incident Review Procedure Written Safety Program that provides the structure for investigating workplace incidents to determine preventability and assist in mitigating future occurrences. In addition to the City's overall Safety Plan, the Transit Division has procedures specific to transit to follow based on the situation and identifies the responsibilities by position. These include procedures for dispatchers, drivers, and supervisors. As the vehicles are City-owned, any incident or accident involving a bus requires Peoria Police to be called to conduct an investigation in addition to the transit supervision investigation.

Peoria analyzes the root causes of event investigations to assess if it is a common hazard affecting the agency operations and whether it needs to be tracked and mitigated. Additionally, Peoria regularly reviews all events that occur over time to identify if there are any common trends caused by maintenance, reliability of assets, rules compliance, etc. The Peoria Incident Review Procedure Written Safety Plan further details the transit division's event investigation procedures, including the roles and responsibilities of departments, employees and the Safety Office. Department managers and supervisors are responsible for notifying the Safety Office immediately following any workplace injury or illness and providing documentation of incidents within 24 hours. The Safety Office is also responsible for coordinating investigations, initiating reviews, and determining the depth of the investigation based on a Risk Assessment Worksheet.



The severity of incidents is categorized from Class 1 to Class IV, depending on the level of injury or damage caused. Incident reports are generated for Class I and Class II incidents requiring a written investigation. All personnel are required to fully cooperate with the investigation to prevent future occurrences.



Safety Promotion – 673.29

49 CFR Part 673.29(a) requires transit agencies to establish and implement a comprehensive safety training program for all agency employees and contractors directly responsible for safety in the agency's public transportation system. The training program must include refresher training, as necessary.

Safety Competencies and Training – 673.29(a)

EMPLOYEE/CONTRACTOR TRAINING PROGRAM

The City of Peoria conducts training through its Transit Employee Handbook as part of the onboarding process for new employees. In accordance with 49 USC Section 5329 (d)(H)(i)(II), Peoria will provide all pertinent safety training, refresher training, and de-escalation training for operations and maintenance personnel. The City of Peoria maintains a comprehensive training program with elements directly identified regarding safety. In addition, the Transit Division supplements the City's required training to include training specific to Transit safety.

The training program contains the following categories:

- New hire training for workplace safety
 - o New hire training for transit-specific staff
- On-going/refresher training City wide (annual, bi-annual, or periodic)
 - o On-going transit-specific training requirements
- Initiated required training (for unplanned purposes)
 - o Items identified during ride checks or safety inspections that may require additional refresher training

Peoria has training requirements for staff in areas of safety, which is monitored by Human Resources to ensure all staff complete the required safety training. Specific modules like "Safe Loading and Unloading of Passengers," "Driver Safety," and "Vehicle Safety" videos are provided to ensure a comprehensive understanding of critical safety protocols. There are videos available to all employees to supplement training regarding safety. Peoria also provides continuing training, as necessary, to employees to ensure they stay current with the agency's safety practices and procedures.

Training for Peoria employees includes both the City-wide training as well as position-specific transit training. These include essential elements such as maintaining safe following distances, controlling speed, and handling adverse weather conditions. Additionally, training covers the specific responsibilities for securing non-ambulatory passengers and navigating rural roads. The training list curriculum is included in [Appendix D](#).



EMPLOYEE/CONTRACTOR TRAINING RECORDS

49 CFR Part 673.31 requires transit agencies to maintain documents related to the implementation of its SMS, and results from SMS processes and activities. These documents must be made available upon request by the FTA and must maintain these documents for a minimum of three years after they are created. At Peoria, the Human Resources Department and City Clerk maintain an electronic tracking system with Certificates of Completion to verify all employees required to attend the training are complying with desired set goals. The Transit Division monitors Division specific training using a spreadsheet and ensures compliance by maintaining the scheduling of these trainings. This spreadsheet is also used to identify the specified training required for each transit staff member, by position.

EMPLOYEE/CONTRACTOR TRAINING COMPLIANCE

To verify compliance requirements and verify the effectiveness of its training program, training documents are retained by Peoria including:

- Records of training needs analysis for curriculum development;
- Curricula for initial and refresher training;
- Training schedules and records of all completed training; and
- Procedures for revising training materials.

Training compliance includes ensuring employees maintain up-to-date knowledge on modules such as vehicle control, passenger safety, crisis management, and transit security. Periodic reviews of training materials are conducted to align with new safety regulations and operational needs.

Safety Communication – 673.29(b)

SAFETY MEETINGS

Peoria conducts monthly safety meetings to distribute safety information to employees and contractors. A safety moment is part of each monthly meeting, after which employees are required to sign off for attendance and understanding. The Peoria Transit Division will develop a policy that describes the process and mechanism for distributing safety information to agency employees and contractors. Peoria encourages drivers to report any safety immediately to dispatch or management. If the concern is not of imminent danger, the topic is added to the monthly meeting, if not, a separate meeting and investigation may result. As of the first year of the Safety Committee implementation, Peoria has found that the meetings are successful in meeting Federal requirements. Peoria uses the Safety Committee meetings as a venue to review and address hazards that arise from frontline and management staff. Hazards are regularly reviewed during the meetings to identify lasting mitigations and to verify the mitigations do not introduce new hazards (safety rule testing).

EMERGENCY MANAGEMENT



The City of Peoria Emergency Operations Plan (EOP) provides a description of the hazardous materials requirement under Section ESF #10, Hazardous Materials. The Peoria EOP includes a breakdown regarding:

- The purpose of the emergency management structure for the City;
- The National Incident Management System (NIMS)/Incident Command System (ICS) processes for the City;
- The coordination between the Peoria Office of Emergency Management and Fire/Medical Department with other Peoria groups, including Transit;
- The hazard and vulnerability assessment process, which closely aligns with how Transit performs assessments;
- Cross department communications in the case of an emergency; and,
- References the City Continuity of Government (COG) Plan.

Per the City of Peoria EOP, the Transit concept of operations in the case of an emergency is to:

- Continue to provide normal and emergent transportation as needed;
- Coordinate client transport needs with other service providers as needed; and
- Provide and coordinate the use of transit equipment and personnel needed in the emergency areas.

The plan aligns with the ESF #10 function in the Maricopa County EOP, the State of Arizona Emergency Response and Recovery Plan (SERRP), and the National Response Framework.

The City of Peoria adopts the City of Peoria Hazardous Materials Written Safety Program. The plan requires Peoria Fire-Medical Department to respond to incidents in Peoria involving hazardous materials with the goal stabilizing the incident and leaving clean-up operations to hazardous materials specialists. All employees that may be responsible for hazardous materials are to avail themselves to this program and associated training. Additionally, The City of Peoria Hazardous Materials Written Safety Program contains policies and procedures for the Right-to-Know Program for communicating chemical and material hazards throughout the agency. Training for employees is provided prior to any exposure to hazardous materials and refresher training is provided at least every two years after initial training. Training includes what is provided on the Safety Data Sheets (SDS) and how to access them. The SDS sheets are maintained and updated as necessary by the Safety Department at Peoria.

DRUG AND ALCOHOL PROGRAM

Peoria complies with the FTA drug and alcohol program and verifies the safety of its employees through the restriction of the use of alcohol and drugs in the workplace. The City of Peoria maintains a Drug and Alcohol Policy that is aligned with DOT 49 CFR Part 40, 49 CFR Part 655, and 49 CFR Part 382. This policy



ensures compliance with federal regulations while promoting a safe, drug-free work environment. The City has adopted a zero-tolerance philosophy on substance abuse and emphasizes the importance of self-identification and education for employees with substance abuse concerns.

The policy covers the following topics:

- Types of Testing
- Collection and Testing
- Privacy and Confidentiality
- Employee Responsibilities
- Prescription and Over-the-Counter Drugs
- Referral for Treatment
- Consequences for Violations
- Definitions

Peoria's Human Resources Department and City Clerk maintain detailed records of all drug and alcohol testing, including training records, testing schedules, and results. These records are retained for at least three years, in compliance with 49 CFR Part 673.31, and made available upon request to the FTA. The Transit Division also maintains a tracking system to ensure compliance with testing schedules and training requirements.



APPENDIX A

Supporting Documents

- Document Retention Policies, Facilities and Transit Records
- Emergency Operations Plan, Revised September 21, 2022
- Hazardous Materials Incident Review Procedure Written Safety Plan, A.R.S. 23-403.A, July 2022
- Personnel Administrative Regulation 5-16, Workplace Investigations
- Personnel Administrative Regulations 9-1, Safety
- Personnel Administrative Regulations 9-2, Reporting Injuries / Accidents
- Personnel Administrative Regulations 9-3, Communicable Disease Outbreak
- Personnel Administrative Regulations 5-3, Drug / Alcohol-Free Workplace, March 1, 2018
- Procurement Administrative Guidelines, May 1, 2023
- Safety Concern and Near Miss Form (online form)
- 2020-2024 Safety and Health Strategic Plan
- Transit Safety Committee Charter, June 14, 2023
- Supervisor Transit II Vehicle Inspection Form
- Transit Asset Management Plan, September 7, 2022
- Transit Handbook, July 2023
- Vehicle Inspection Report – Preventive Maintenance Inspection



Glossary of Terms

Accident: means an event that involves any of the following: a loss of life; a report of a serious injury to a person (see “Serious Injury” below); a collision of transit vehicles; an evacuation for life safety reasons; at any location, at any time, whatever the cause.

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

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

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

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

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

Event: means an accident, incident, or occurrence.

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

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

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



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

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

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

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

Notice of Proposed Rulemaking (NPRM): means a proposed new regulation or proposed changes to an existing regulation. A Federal agency is only allowed to issue regulations if authorized to do so by Congress, so the NPRM also provides the statutory authority under which the agency is proposing the regulation. The NPRM also explains the background and history of the issue that generated the regulation, and avenues for public participation.

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

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

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

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

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

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

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



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

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

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

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

Safety Committee: a committee convened by a joint labor-management process comprised of an equal number of frontline employees (selected by a labor organization representing the plurality of the frontline workforce employed by the recipient or, if applicable, a contractor to the recipient, to the extent frontline employees are represented by labor organizations) and management.

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

Serious Injury: means any injury which:

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

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

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

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

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



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

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

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

Additional Acronyms Used

ADA: Americans with Disabilities Act

ADOT: Arizona Department of Transportation

BIL: Bipartisan Infrastructure Law

CIS: Center for Internet Security

CSF: Cybersecurity Framework

COG: Continuity of Government

CSO: Chief Safety Officer

EOP: Emergency Operations Plan

ESRP: Employee Safety Reporting Program

FAST Act: Fixing America's Surface Transportation Act

FSD: Fleet Service Division

FTA: Federal Transit Administration

ICS: Incident Command System

IPS: Intrusion Prevention Systems

MAG: Maricopa Association of Governments

MAP-21: Moving Ahead for Progress in the 21st Century Act

MFA: Multi-factor Authentication

MOU: Memorandum of Understanding



- MPO:** Metropolitan Planning Organization
- NGFW:** Next-Generation Firewalls
- NIMS:** National Incident Management System
- NIST:** National Institute of Standards and Technology
- NPRM:** Notice of Proposed Rulemaking
- NPTSP:** National Public Transportation Safety Plan
- NTD:** National Transit Database
- PAG:** Personnel Administrative Regulation
- PM:** Preventative Maintenance
- PTASP:** Public Transportation Agency Safety Plan
- SA:** Safety Assurance
- SDS:** Safety Data Sheet
- SERRP:** State of Arizona Emergency Response and Recovery Plan
- SMS:** Safety Management Systems
- SOP:** Standard Operating Procedure
- SP:** Safety Promotion
- SPT:** Safety Performance Targets
- SRM:** Safety Risk Management
- TAM:** Transit Asset Management
- USC:** United States Code
- VRM:** Vehicle Revenue Miles
- WAF:** Web Application Firewall



APPENDIX B

Board Minutes or Resolution

Place here, or place reference here.



APPENDIX C

Safety Committee Charter

Peoria Transit Safety Committee

Establishment – The Peoria Transit Safety Committee is established as required, as part of the Public Transportation Agency Safety Plan (PTASP). The Peoria Transit Safety Committee is established as of July 28, 2022. (49 CFR part 673)

Membership – Membership must be developed in cooperation with frontline employee representatives, and have equal participants of frontline staff (as selected by union-represented frontline Transit staff) and management from the Peoria Transit staff.

The committee shall consist of two (2) members:

1. The Peoria Transit Supervisor and,
2. One (1) Peoria Transit frontline staff person as selected by the Transit frontline union members from either the driver, lead operator or dispatcher job positions.

Responsibilities – The Peoria Transit Safety Committee is charged with addressing the following topics to include:

- Identify and recommend risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the safety risk assessment,
- Identify mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended,
- Establish performance targets for the risk reduction program using a 3-year rolling average and review methods for identifying and evaluating safety risks,
- Completion of a safety training program,
- Continuation of safety education and training including de-escalation training,
- Establish strategies to minimize exposure of the public, personnel, and property to hazards and unsafe conditions,
- Review safety-critical operations and maintenance rules and procedures and make determinations for updates,
- One or more members to review Transit purchases for safety features as needed,
- Minimize exposure to infectious diseases consistent with Centers for Disease Control and Prevention or State health authority guidelines,
- Improve safety and reduce the number and rate of accidents (vehicle and pedestrians), injuries, and assaults on transit workers,
- Approve the Peoria Public Transportation Agency Safety Plan prior to presentation to the Peoria City Council for approval.

Meetings – Meetings of the Safety Committee shall be held annually (as a minimum), or more often as needed. Summary notes of the discussions (including meeting date and time) shall be shared with all Transit staff and the Transit Manager within 10 working days of the meeting.

Peoria Transit Safety Committee
July 21, 2022



APPENDIX D

Citywide Training

City Required Training



Training Courses	Date Completed	Annual Refresher	Annual Refresher	Biannual Refresher	4 Years Refresher
Fire Extinguisher / Building Evacuation (Annualy)					
Computer / Cyber Security (Annualy)					
ILLICIT DISCHARGE DETECTION AND ELIMINATION (IDDE) (Annualy)					
How was your day? (Harassment Prevention & Diversity) (Biannual)					
Customer Service (Biannual)					
Ethics in Public Service (Biannual)					
Hazard Communication (Includes SDS) (Biannual)					
Site Security Emergency Action Plan (Biannual)					
Site Security Active Threat Response (Biannual)					
Back Injury Prevention (Biannual)					
Ergonomics (Biannual)					
Defensive Driving (Biannual)					
Continuous Chest Compression and Automated External Defibrillator (CCC-AED)					
IS100- Introduction to the incident command System (1 time only)					
IS700- Introduction to the National Incident Management System (NIMS) (1 time only)					

Transit Division Training

Course Outline

Module 1: Introduction

Section 1: Vehicle Safety

1.10 < /u> **Module 2: Vehicle Safety** (Lesson)
 Vehicle Security
Pre-Trip Form
 Understanding the Pre-Trip Form
 Approaching the Vehicle
 Inspecting the Hood
 Conducting the Walk-Around
 Tire Inspection
 Conducting On-Board Inspection
 Conducting En Route Inspection

Section 2: Driver/Operator Safety

1.11 < /u> **Module 3: Defensive Driving** (Lesson)
 Being Fit for Duty
 Sensing Motorists
 Vehicle Control Procedures
 Approaching the Vehicle
 Steering the Vehicle
 Braking the Vehicle
 Signaling and Turning
 Backing the Vehicle

1.12 < /u> **Module 4: Defensive Driving** (Lesson)
 Dealing with Tailgater
 Controlling Speed and Spacing
 Negotiating Curve
 Approaching Tra Crossings
 Driving on an Expressway
 Handling a Two-Wheel Vehicle
 Approaching a Motorist in an Emergency

1.13 < /u> **Module 5: Winter Driving** (Lesson)
 Reduced Visibility
 Driving in a Low Visibility
 Driving in Winter
 Operating in Snow
 Operating in Fog
 Avoiding and Handling Skids
 Driving at Night
 Communication and Communication Equipment

Section 3: Passenger Safety

1.14 < /u> **Module 6: Passenger Safety** (Lesson)
 Passenger Relations
 Preventing Passenger Slips and Falls
 Ensuring Safety at Stop Locations
 Ensuring Passenger Boarding and Disembarking
 Ensuring Safe Use
 Navigating Rural Roads

1.15 < /u> **Module 7: Safety of Non-Motorized Vehicles** (Lesson)
 Understanding Your Responsibility
 Understanding Side and Rear View
 Understanding Motorists
 Operating the Light
 Transferring Scooter Passengers to a Seat
 Securing Non-Motorized Wheelchairs
 Securing Scooters
 Securing Motorized Scooters

1.16 < /u> **Module 8: Transit Security** (Lesson)
 Transit Watch
 Types of Suspicious People
 Responding to Suspicious People
 Responding to Suspicious Packages/Substances
 Responding to Suspicious Passengers

1.17 < /u> **Module 9: Crisis Management** (Lesson)

Step 1: Crisis Management
 Accident Procedures: Your Vehicle
 Accident Procedures: Your Passengers
 Accident Procedures: Evacuation
 Evacuation Procedures
 Evacuating Non-Ambulatory Passengers
 Extinguishing Fires
 Securing the Vehicle
 Handling Unconscious Passengers
 Handling Spills
 Assisting in Community Emergencies



ADA Driver Training

Course Contents

This course will cover the following topics. At the successful completion of the course and quiz, the learner will receive a certificate of completion.

01 Disability Information

Types of disabilities
Disability sensitivity

02 Service Types & Levels

Fixed route, demand response,
ADA complementary paratransit

03 Passenger Assistance

Lifts, ramps, wheelchairs,
packages, PCAs, medical devices

04 Special Considerations

Service animals, children, guests,
challenging situations, emergencies