

# City of Glendale

## Public Transportation Agency Safety Plan

Revision 2

Adopted [December 10,2024]

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

## TABLE OF CONTENTS

<b>Executive Summary</b> .....	<b>4</b>
Plan Adoption – 673.11(a)(1).....	6
Certification of Compliance – 673.13(a)(b).....	6
<b>Transit Agency Information – 673.23(d)</b> .....	<b>7</b>
Authorities & Responsibilities – 673.23(d).....	9
<b>Safety Policies and Procedures</b> .....	<b>11</b>
Safety Management Policy – 673.23(a).....	11
Employee Safety Reporting Program – 673.23(b).....	12
Communicating the Policy Throughout the Agency – 673.23(c).....	13
PTASP Development and Coordination with ADOT – 673.11(d).....	14
PTASP Annual Review – 673.11(a)(5).....	14
PTASP Maintenance – 673.11(a)(2)(c).....	15
PTASP Documentation and Recordkeeping – 673.31.....	15
Safety Performance Measures – 673.11(a)(3).....	16
Safety Performance Target Coordination – 673.15(a)(b).....	19
<b>Safety Management Systems – 673 subpart C</b> .....	<b>20</b>
Safety Risk Management – 673.25.....	21
Safety Hazard Identification – 673.25(b).....	22
Safety Risk Assessment – 673.25(c).....	24
Safety Risk Mitigation – 673.25(d).....	27
Risk Reduction Program – 49 USC Section 5329(d)(1)(I).....	27
Safety Assurance – 673.27 (a).....	28
Safety Performance Monitoring and Measuring – 673.27 (b).....	28
Safety Event Investigations – 673.27(B)(3).....	29
Safety Promotion – 673.29.....	31
Safety Competencies and Training – 673.29(a).....	31
Safety Communication – 673.29(b).....	32
<b>Appendix A</b> .....	<b>35</b>
Supporting Documents.....	35
Glossary of Terms.....	36
Additional Acronyms Used.....	40

**Appendix B: Board Minutes or Resolution..... 42**  
**Appendix C..... 43**  
    Service Maps.....43  
        GUS 1 Service Map..... 43  
        GUS 2 Service Map..... 44  
        GUS 3 Service Map..... 45  
**Appendix D: Training Program..... 46**

## LIST OF FIGURES

Figure 1: Glendale Transit Operations Organizational Chart.....8  
Figure 2: Safety Management Systems..... 20  
Figure 3: Safety Risk Management Process..... 21  
Figure 4: Sample Risk Register..... 22  
Figure 5: Safety Risk Assessment Matrix..... 25  
Figure 6 Hazard Acceptance Criteria..... 26

## LIST OF TABLES

Table 1 Gus Bus Schedule..... 7  
Table 2: Agency Information..... 8  
Table 3: PTASP Annual Update Timeline..... 14  
Table 4: ASP Record of Changes..... 15  
Table 5: Glendale 2025 Safety Performance Targets for MB and DR..... 18

## 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 Safety Plan, the FTA released a Notice of Proposed Rulemaking (NPRM) regarding changes based on the BIL. These changes will not substantially change this Safety Plan as they will codify what was included in 49 U.S.C. 5329(d), which was previously addressed in the 2022 revision.

FTA also recently released proposed revisions to the National Public Transportation Safety Plan (NPTSP) to address the new requirements in the BIL, enacted as the Infrastructure Investment and Jobs Act (IIJA) to further advance transit safety. The revision 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 Glendale 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 Glendale, 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 Glendale.

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), Glendale 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)<sup>1</sup>. While safety has always been a primary function at Glendale, 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.

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<sup>1</sup> 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:

Shahid Abbas, Transportation Director

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ACCOUNTABLE EXECUTIVE SIGNATURE

DATE

Nathan Whyte, Transit Administrator

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CHIEF SAFETY OFFICER (CSO) SIGNATURE

DATE

***Certification of Compliance – 673.13(a)(b)***

ADOT certified in August 2020 that the Agency Safety Plan was in full compliance with 49 CFR Part 673 and has been adopted and will be implemented by Glendale 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 Glendale, Arizona, provides demand response transit services to the community via the GUS Bus. Glendale offers paratransit and fixed route bus services through a reservation system throughout the City of Glendale. Valley Metro and City of Phoenix provide additional paratransit and fixed route services. Fixed route service is provided through the GUS Bus, which has three separate lines (GUS 1, 2, and 3). Service maps are included in [Appendix C](#). The GUS Bus schedule is included in Table 1, below.

**TABLE 1 GUS BUS SCHEDULE**

	<b>MONDAY – FRIDAY</b>	<b>SATURDAY</b>	<b>SUNDAY AND HOLIDAYS</b>
<b>GUS 1</b>	7:00 a.m. to 6:30 PM	7:00 AM to 6:30 PM	8:00 a.m. – 6:00 p.m.
<b>GUS 2</b>	9:00 a.m. – 6:00 p.m.	No Service	No Service
<b>GUS 3</b>	8:00 a.m. – 5:00 p.m.	No Service	No Service

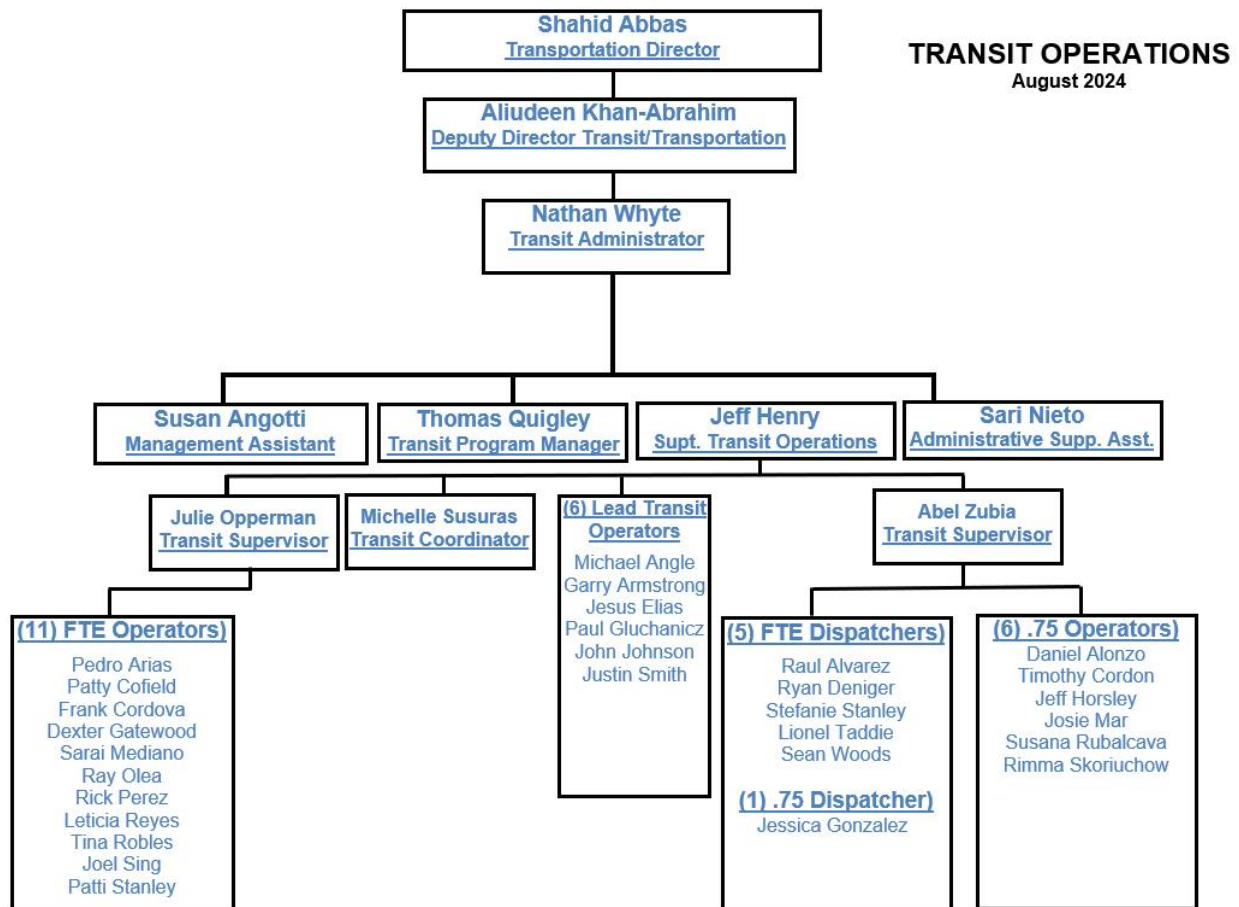
Glendale’s paratransit service is provided through Dial-a-Ride. Same day and reservation service is offered Monday-Friday, while weekend and holiday service is by reservation only. Requests for service on weekends and holidays must be made by noon the previous business day. Glendale Dial-A-Ride provides service only in Glendale.

Table 2 contains agency information, while an organizational chart for Glendale is provided in Figure 1.

**TABLE 2: AGENCY INFORMATION**

Information Type	Information
Full Transit Agency Name	Glendale Transit (GUS Bus)
Transit Agency Address	City of Glendale Transit Division 6210 W. Myrtle Ave Building S Glendale, AZ 85301
Name and Title of Accountable Executive 673.23(d)(1)	Shahid Abbas, Transportation Director
Name of Chief Safety Officer or SMS Executive 673.23(d)(2)	Nathan Whyte
Mode(s) of Service Covered by This Plan 673.11(b)	Paratransit Fixed Route
FTA Funding Types (e.g., 5307, 5310, 5311)	5307

**FIGURE 1: GLENDALE TRANSIT OPERATIONS ORGANIZATIONAL CHART**



## Authorities & Responsibilities – 673.23(d)

Glendale 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 **Glendale Transportation 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 Glendale 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 **Glendale Transit Administrator** 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 Glendale 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 Glendale 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), Glendale has created a Safety Committee composed of an equal representation of frontline employees and management representatives. They are, two operators, two supervisors or managers, the Risk/Safety representative, and the Maintenance Technician. 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.

## SAFETY POLICIES AND PROCEDURES

### *Safety Management Policy – 673.23(a)*

Glendale recognizes that the management of safety is a core value. Glendale is committed to providing safe and reliable transportation to the communities it serves. The management team of Glendale 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, Glendale will plan to develop plans, procedures, structures, and resources to support the implementation of SMS within the agency. Glendale 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 Glendale strategies and guidelines to address infectious disease planning and response is consistent with the Centers for Disease Control and Prevention, 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).

### 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.

Glendale Transit 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 Glendale ESRP also covers any contract employees, and Glendale will ensure that contractors understand their right and expectation to report and safety risks. As a part of its ESRP, Glendale 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.

Additionally, the City of Glendale Transit Division follows the requirements in the city's Human Resources Policy No. 517: Anti-Fraud. The policy is established to provide increased protection to the assets and financial interests of the City of Glendale, to provide a coordinated approach to the identification, investigation, and resolution of fraudulent activities, to develop controls to promote consistent organizational behavior, and to increase the overall awareness of the responsibility to report fraud and reasonably suspected fraudulent activity to the appropriate City of Glendale administrators.

The policy provides protections for employees who report safety conditions to senior management in the Section on Whistle Blower Protection. The policy states that any employee who reasonably believes that fraudulent activity has been conducted by another employee and reasonably reports the activity will not be subjected to an adverse employment action as a result of reporting the activity. The policy identifies behavior that may be considered for disciplinary action:

- Embezzlement or other financial irregularities
- Forgery, alteration, or falsification of documents (including checks, time sheets, travel expense reports, contractor agreements, purchase orders, other financial documents, electronic files)

- Misappropriation, misuse, theft, removal, or destruction of City resources (including funds, securities, supplies, inventory, furniture, fixtures, equipment, intellectual property, or any other asset)
- Improprieties in the handling or reporting of money or financial transactions
- Misuse of City facilities (including telephones, computers, and e-mail system)
- False claims by employees, vendors, or others associated with the City of Glendale
- Receiving or offering bribes, rebates, or kickbacks
- Personal use of City property
- Accepting or seeking anything of material value from contractors, vendors or persons providing or seeking to provide services/materials to the City (except that which is permitted under HR Policy #509 - gratuities)
- Conflict of interest
- Misrepresentation of facts
- Any similar or related irregularity

While the policy provides provisions for reporting financial misconduct, the City of Glendale will continue to update the PTASP to include an employee safety reporting policy that includes a description of employee reporting protections for employees and contractors to report safety concerns to management.

### **Communicating the Policy Throughout the Agency – 673.23(c)**

Glendale is committed to ensuring the safety of our passengers, personnel, and operations. Part of that commitment is developing an SMS and agencywide safety culture that reduces agency risk to the lowest level possible. The first step in developing a full SMS and agencywide 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 Glendale City Council annually adopts the PTASP and the Glendale 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 Glendale 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 U.S.C. 5329(d)(1)(D), this plan includes provisions for annual updates of the SMS. As part of Glendale’s ongoing commitment to fully implementing SMS and engaging our agency employees in developing a robust safety culture, Glendale 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 Glendale’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 Glendale. 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 Glendale Safety Committee followed by the Glendale 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, Glendale will track those changes for use in the annual review.

**TABLE 3: PTASP ANNUAL UPDATE TIMELINE**

	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct
Review Agency Operations	→								
Review SMS Documentation <i>Safety Policy; Risk Management; Safety Assurance; and 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: ASP 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	Safety Competencies and training, Safety Performance Targets, Safety Meetings	<ol style="list-style-type: none"> <li>1. Included information on FTA's NPRM for 49 CFR Parts 672, 673, and 674 based on Bipartisan Infrastructure Law changes</li> <li>2. Updates to training program</li> <li>3. Annual Safety Performance Target update</li> <li>4. Update on implementation of Safety Committees</li> </ol>	Aidan Quirke, Amelija Sorg-Taylor, Angel Jacome	October 2023

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)**

Glendale follows the annual review process outlined above and adjust this 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 Glendale 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, Glendale maintains documents that set forth within the PTASP, including those documents related to the implementation of Glendale SMS processes and activities.

The City of Glendale follows the requirements established under the Arizona State General Records Retention Schedule Issued to All Public Bodies – Financial Records for retention of its documents. Pursuant to Arizona Revised Statutes (ARS) 41-151.12(3), only the Arizona State Library, Archives and Public Records has the authority to set retention periods for state and local agencies. The Arizona State General Records Retention Schedule also includes requirements for the retention of public records that include agency programs, policies, and procedures as well as training documents. While the City's records retention policy provides a description of the types of records that must be retained in regard to financial records, the 49 CFR Part 673.31 requires that agencies maintain all SMS related documents and

records for a minimum of three years and must be made available upon request by the Federal Transit Administration or other Federal entity.

Glendale 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, Glendale maintains all records related to its SMS, including:

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

Glendale 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 an 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 (State of Good Repair as developed and tracked in the 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 by mode (paratransit and Fixed Route) 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 by both MB/DO and DR/DO. The rows titled “2025 SPT (MB)” and “2025 SPT (DR)” of the Table includes the SPTs identified for 2024.

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: GLENDALE 2025 SAFETY PERFORMANCE TARGETS FOR MB AND DR

MB/DO (per 100,000 VRM)									
Mode - MB	Fatalities	Rate of Fatalities	Injuries	Rate of Injuries	Assaults on Transit Workers	Rate of Assaults	Safety Events	Rate of Safety Events	Mean Distance Between Mechanical Failure
2021 Actual	0	0.00	0	0.00			0	0.00	4,299
2022 Actual	0	0.00	0	0.00			0	0.00	7,108
2023 Actual	0	0.00	0	0.00	0.00	0.00	0	0.00	3,882
Average	0.00	0.00	0	0.00	0.00	0.00	0	0.00	5,097
2025 SPT (MB)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	5,097

DR/DO (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	0	0.00	0	0.00			0	0.00	10,056
2022 Actual	0	0.00	0	0.00			0	0.00	30,618
2023 Actual	0	0.00	0	0.00	0.00	0.00	0	0.00	10,851
Average	0.00	0.00	0	0.00	0.00	0.00	0	0.00	17,175
2025 SPT (MB)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	17,175

\*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 Glendale operation, the adoption of this PTASP will result in changes across all aspects of the organization. The SPTs set in Table 5 reflect an acknowledgement that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. Glendale will continue to set targets at the current NTD reported three-year average as we begin the process of fully implementing SMS and developing our targeted safety improvements. This will ensure that Glendale does no worse than the baseline performance over the last three years.

As part of the annual review of the PTASP, Glendale 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 safety risk management process discussed later in this plan, Glendale may begin developing additional safety performance indicators to help inform management on safety related investments.

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

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

Each year during the FTA Certifications and Assurances reporting process, Glendale 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. Glendale 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, 49 USC Section 5329 (d), Glendale is adopting SMS as the basis for directing and managing safety and risk at our agency. Glendale 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 Glendale will be a major undertaking over the next several years. Additionally, once the SMS is fully in place, Glendale 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. Glendale 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 PTASP, Glendale 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 SRM processes described in this section are designed to implement the Glendale 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 Glendale SOPs.

The SRM is focused on implementing and improving actionable strategies that Glendale 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.

FIGURE 4: SAMPLE RISK REGISTER

Hazard ID	Hazard Type	Source	Identification Date	Location	Description	Hazard Rating (Likelihood and Consequence)	Mitigation	Status of feedback with reporter (if applicable)	Updated Hazard Rating (after mitigation)
Haz-09302022-01	Maintenance	Employee Report	9-30-2022	NW side of shop floor	Employee identified an ongoing slip/fall hazard on the shop floor due to a roof leak.	3B (Undesirable)	Fix roof leak	Open	F (eliminated)
Haz-10042022-01	Maintenance	Employee Report	10-4-2022	Intersection of X and Y	Operator identified a line of sight hazard due to overgrown foliage which may result in a potential collision with individual, vehicle, or object.	2D (Undesirable)	Work with City Public Works to cut back the overgrown foliage	Closed	2E (Acceptable with review)

As the SRM process progresses through the steps of identifying what may be wrong, what could happen as a result, and what steps Glendale 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)

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

## MAINTENANCE AND INSPECTIONS

Glendale’s maintenance program is a key component of implementing safety risk management. Glendale follows the Transportation Department, Transit Division’s Maintenance Plan and Program for Federally-Funded Vehicles.

Glendale Transit uses a series of Preventive Maintenance Inspections (A, B, C) checklists to monitor the operations and maintenance condition of its bus fleet.

- “A” Inspection – Completed at 5,000 miles
- “B” Inspection – Completed at 10,000 and 20,000 miles
- “C” Inspection – Completed at 25,000 miles

Glendale also monitors operator pre-trip inspections and defect inspections/corrective maintenance to assess any trends related to potential hazards with facilities and equipment. In the case in which an operator identifies a defect during their pre-trip inspection, they must contact the Transit Coordinator and complete a Vehicle Repair form and contact the Fleet Management Coordinator to identify if the vehicle is unsafe to initiate route operations.

The agency can use the maintenance program as a method for predicting any potential hazards related to equipment. The City of Glendale follows Human Resources Policy No. 524 – City Safety Program, to comply with the requirement for monitoring systems for compliance with and sufficiency of the agency’s procedures for operations and maintenance. Under the roles and responsibilities for the Risk Management Division, Risk Management has the safety responsibility for:

- Collecting statistical data for related to accidents, incidents, injuries, and losses in order to identify and track areas in need of improvement.
- Responding to inspections by regulators and assisting in resolution of any findings
- Developing and maintaining the master city safety program manual
- Providing accident investigation expertise

## 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, whether by radio or phone. 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 agency operations. See more details on the safety risk assessment and mitigation processes in the sections below.

In addition to frontline hazard identification, the Glendale Transit also conducts an operations rules compliance program as a method to identify other trends in day-to-day operations. The City of Glendale utilizes the following forms and checklists to verify rules compliance:

- The GUS Form is a checklist used to evaluate driving habits, customer relations and general driving knowledge for the GUS Bus operators.
- Ride Check Form #1 and #4 is used to verify rules compliance and rate student drivers for bus operation.
- Ride Check Form #2 is used to verify rules compliance for trainees.

While the City utilized the forms referenced above to describe the process for verifying rules compliance, Glendale will continue to revise the PTASP to account for supporting rules compliance processes.

#### PROCUREMENT

The City of Glendale has adopted the Procurement Policy and Procedures that is applicable to all City of Glendale employees, contract employees, temporary employees, agents, volunteers, and contractors whether under the supervision of the City Manager or the Mayor and City Council, unless otherwise specified.

The Procurement Policy and Procedures clarified and standardizes the City's procurement procedures, provides for economy and efficiency in the City Procurements, maximizes the value of monies spent and provides safeguards that ensure the quality and integrity of the City's Procurement process.

Within the SRM process, Procurement is responsible for working with Glendale 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 – 673.25(c)

Glendale 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 Hazard Acceptance Criteria Figure 6 displays the ultimate breakdown of how Glendale 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 the following:

- 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 Glendale 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. Glendale may accept the risk associated with retaining the identified hazard in an “as is” condition with no further corrective action. Alternatively, the Glendale 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, Glendale 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, Glendale 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, Glendale 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)

Glendale will continuously develop and improve its risk reduction program in order to reduce the number and rates of accidents, injuries, and assaults to Glendale’s transit workers. Glendale will monitor internal data and NTD to assess trends and identify measures to take to reduce vehicular and pedestrian accidents. Additionally, Glendale 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, Glendale will plan to include transit worker assault data in the SPTs, as they will likely be a new requirement according to pending changes to the National Safety Plan (NSP). Such mitigations may include barriers to restrict access from individuals. Such risk reduction assessments will be conducted as a part of the Safety Committee activities.

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

Glendale conducts safety performance monitoring and measuring through several methodologies. In terms of overall state of good repair and maintenance of assets, Glendale utilizes its maintenance documentation to monitor any potential trends in equipment reliability and potential safety risks. Glendale monitors maintenance records compiled by the Risk Management group such as:

- Pre-trip inspection forms;
- Post-trip inspection forms;
- GUS Form
- Ride Check forms 1, 2, and 4
- Inspection Checklists A, B, and C; and
- Corrective maintenance records.

Glendale's maintenance group also follows the Maintenance Plan and Program document to monitor preventive and corrective maintenance based on service performance and accident rates to predict service reliability and equipment functionality and safety.

Glendale uses the resulting data to identify if there are any common trends or hazards affecting operations and maintenance. Following ride checks, if any deficiencies are noted, Glendale 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, Glendale 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

Glendale 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. Glendale utilizes event investigations to identify the root cause of the event. Glendale analyzes the root causes to assess if it is a common hazard affecting the agency operations and whether it needs to be tracked and mitigated. Additionally, Glendale regularly reviews all events that occur overtime to identify if there are any common trends caused by maintenance, reliability of assets, rules compliance, etc.

The event investigation process may include the following steps depending on the type of event:

- Evaluate the scene of the bus safety event to determine what occurred, documenting the final uncontrolled position of employee, patrons, or others; type and severity of injury, position of vehicles and equipment involved, and any other relevant situational data
- Evaluate the scene of the bus safety event to determine any mechanical, physical, and environmental conditions that may have contributed to the event
- Inspect the physical evidence, sketch the scene, and take photographs and measurements, as necessary
- Obtain video footage from vehicle if such equipment and technology is applicable
- Document evidence relative to vehicle travel/speed, including line-of-sight distances, length of skid marks, and damage to infrastructure and buildings
- Conduct interviews of persons deemed essential to the incident
- Remove an employee or contractor from service/duty, if applicable, including making the necessary arrangements for transport to the proper facility for alcohol and drug testing
- Evaluate the job the employee was performing or assigned to, and if the employee was properly trained and qualified to perform the duty assigned at the time of the event
- Make a preliminary assessment whether an unsafe action or unsafe condition contributed to the event

- Determine what personal protective equipment was required for the job, whether it was worn, and if it was in good condition
- Document general observational information such as weather, time of day, road conditions, and visibility

Glendale Transit is further developing its event investigation program to include the methodologies for identifying, reporting, investigating, and mitigating future events.

## 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 Glendale utilizes the following documents as part of its training for employees and contractors:

- New Employee Training Procedure
- Trainer Feedback Questionnaire
- Driver Trainee Exam and Answers
- Employee Training Checklist
- New Hire Checklist
- Instructor Evaluation of Student Form

Employee training covers the following topics, per the checklist and syllabus:

- National Incident Command System (NIMS)
- Occupational Safety and Health (annual)
- Distracted Driving
- Bloodborne Pathogens (annual)
- DOT Drug and Alcohol Awareness (annual)
  - Supervisor Specific Training (annual)
- Driver Safety (initial and every three years)
- Emergency Preparedness
- Emergency and Fire Preparedness
  - Fire Extinguisher Use
  - Fire Protection and Prevention (annual)
- Globally Harmonized System (GHS) USA compliance
- Hazard Communication (annual)
- Road Rage/Defensive Driving Techniques
- Workplace Violence

The New Employee Training Procedure provides a description of the roles and responsibilities of a Coordinator who is responsible for scheduling training for new employees, ensuring training is completed and all paperwork is completed by both the trainer and trainee. In accordance with 49 USC Section 5329 (d)(H)(i)(II), Glendale will provide all pertinent safety training, refresher training, and de-escalation training for operations and maintenance personnel. At a minimum the new employee shall have classroom training, a minimum of 12 days on the road; two training shifts on opening, two training shifts on closing, all routes ending at 7:00 p.m. or later, lunch shifts, all GUS routes, weekend Dial-a-Ride shift, weekend GUS shift and weekend lunch shift. Additionally, all new employees review training on hazard communications – a key to the safety promotion program.

To ensure trainees are learning the required skills to perform their responsibilities, training instructors are provided with an Instructor’s Evaluation of Student to complete as to determine whether a new employee is able to represent the City of Glendale in a professional manner and possess the ability to understand the job and become an asset to the Transportation Department. Trainees are also provided with a Trainer Feedback Questionnaire to evaluate the effectiveness of training courses and instructors.

#### 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. A transit agency must maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its PTASP. The previously referenced procedures and records must be made available upon request by the FTA and must maintain these documents for a minimum of three years after they are created. Glendale monitors and has available its training schedule for reviews. This includes a list of all personnel and their mandatory training to be completed.

#### EMPLOYEE/CONTRACTOR TRAINING COMPLIANCE

To verify compliance requirements and verify the effectiveness of its training program, training records will be regularly audited to ensure compliance with the New Employee Training Procedure as well as the new employee OTIS training schedule.

#### REFRESHER TRAINING PROGRAM

Glendale also provides refresher training, as necessary, to employees to ensure they stay current with the agency’s safety practices and procedures. The training courses include a reference if they are required for either annual or triennial renewal.

### Safety Communication – 673.29(b)

#### SAFETY MEETINGS

Glendale Transit developed a policy that describes the process and mechanism for distributing safety information to agency employees and contractors. Currently, in accordance with 49 USC Section

5329(d), Glendale is holding Safety Committee meetings that are composed of equal parts management and frontline employees. The responsibility of this committee include the review of hazards and approval of the PTASP. As of the first year of the Safety Committee implementation, Glendale has found that the meetings are successful in meeting the Federal requirements. Glendale uses these meetings to review and address hazards that arise from frontline and management staff. These hazards are regularly reviewed during the meetings to identify lasting resolutions and to ensure the mitigations do not introduce new hazards.

#### EMERGENCY MANAGEMENT

City of Glendale complies with the requirement to include or incorporate emergency preparedness and response plans into the Bus PTASP through the City of Glendale Emergency Operations Plan. The plan ensures transportation activities are effectively organized, mobilized, and coordinated to provide support, resources, assistance, and transportation system assessment during and following an emergency or disaster. The plan identifies the City of Glendale Transportation Department as the primary department for implementing Emergency Support Function (ESF) #1 tasks. The plan also describes the roles and responsibilities of the Transit Division under the Primary Department's Responsibilities section for ESF #1 for Transportation Services.

The ESF #1 section of the plan addresses the transportation responsibilities during response and recovery from emergencies and disasters which include, but are not limited to:

- Coordinating city agencies and resources to manage, restore, and maintain transportation arteries;
- Assessing damage to transportation infrastructure; and
- Transporting city personnel, materials, goods, and services to and from emergency sites.

#### HAZARDOUS MATERIALS PROGRAM

The City of Glendale complies with the requirement for communicating safety and safety performance information through the Hazard Communication/Right-to-Know policy. The purpose of the policy is to provide guidelines for the management and communication about hazardous materials in the workplace. The policy also ensures that information concerning hazards and chemicals used by the City of Glendale is transmitted to ensure health and safety protection. The policy provides an overview of the roles and responsibilities for:

- Directors;
- Managers and Supervisors;
- Employees; and
- Risk Management Division.

Training for the Hazard Communication policy is required for all employees working with hazards materials and refresher training will be offered annually.

#### DRUG AND ALCOHOL PROGRAM

Glendale Transit complies with the safety communication requirement by implementing the City of Glendale Human Resources Policy No.505A: Drug, Alcohol and Substance Abuse. The policy establishes consistent processes and procedures to prevent or address alcohol and substance use and abuse and to provide guidance to supervisors to manage these issues for drivers of commercial vehicles. The policy also requires employees to report to work and remain in a condition to perform their safety sensitive job duties in a safe and effective manner. The policy further clarifies the requirements for all Department of Transportation (DOT) drivers, in accordance with Federal Motor Carrier Safety Administration (FMCSA) and FTA. The policy also ensures compliance with

- Drug and Alcohol Testing Rule, Procedures for Transportation Workplace Drug and Alcohol Testing Programs (49 CFR Part 40, as amended)
- FTA Drug and Alcohol Regulations (49 CFR Part 655, as amended)
- Federal Motor Carrier Safety Administration (FMCSA) Drug and Alcohol Testing Regulations (49 CFR Part 382)

## APPENDIX A

### *Supporting Documents*

- Accident Procedures and Forms
- Driver Trainee Exam and Answers
- Emergency Operations Plan, ESF#1 – Transportation Services
- Employee Training Schedule
- Hazard Communication/Right-to-Know Policy
- Human Resources Policy #517: Anti-Fraud
- Human Resources Policy #524, City Safety Program, Effective September 12, 2016
- Human Resources Policy No.505A, Drug, Alcohol and Substance Abuse DOT (FTA and FMCSA), Revised May 1, 2018
- Instructor Evaluation of Student Form
- New Employee Training Procedure
- New Employee Training Checklist, January 23, 2023
- New Hire Checklist, January 23, 2023
- Operator Dial-A-Ride Training Checklist, 2020
- Preventive Maintenance Inspection Checklists: A, B, and C
- Procurement Policy and Procedures developed by the City, Revised April 12, 2022
- Ride Check Form #1, #2, #3, and #4
- Ride Check Form for GUS operations, 2020
- State of Arizona, General Records Retention Schedule Issued to All Public Bodies
- Trainer Feedback Questionnaire
- Training Curriculum
- Transit Asset Management Plan
- Transit New Employee Class Roster, 2023
- Vehicle Maintenance Plan, February 2022

## 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; 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.

**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 a time period required by the Federal Transit Administration (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

**CSO:** Chief Safety Officer

**DOT:** Department of Transportation

**EOP:** Emergency Operations Plan

**ESRP:** Employee Safety Reporting Program

**FAST Act:** Fixing America's Surface Transportation Act

**FTA:** Federal Transit Administration

**GHS:** Globally Harmonized System

**MAG:** Maricopa Association of Governments

**MAP-21:** Moving Ahead for Progress in the 21<sup>st</sup> Century Act

**MOU:** Memorandum of Understanding

**MPO:** Metropolitan Planning Organization

**NIMS:** National Incident Management System

**NPRM:** Notice of Proposed Rulemaking

**NPTSP:** National Public Transportation Safety Plan

**NTD:** National Transit Database

**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

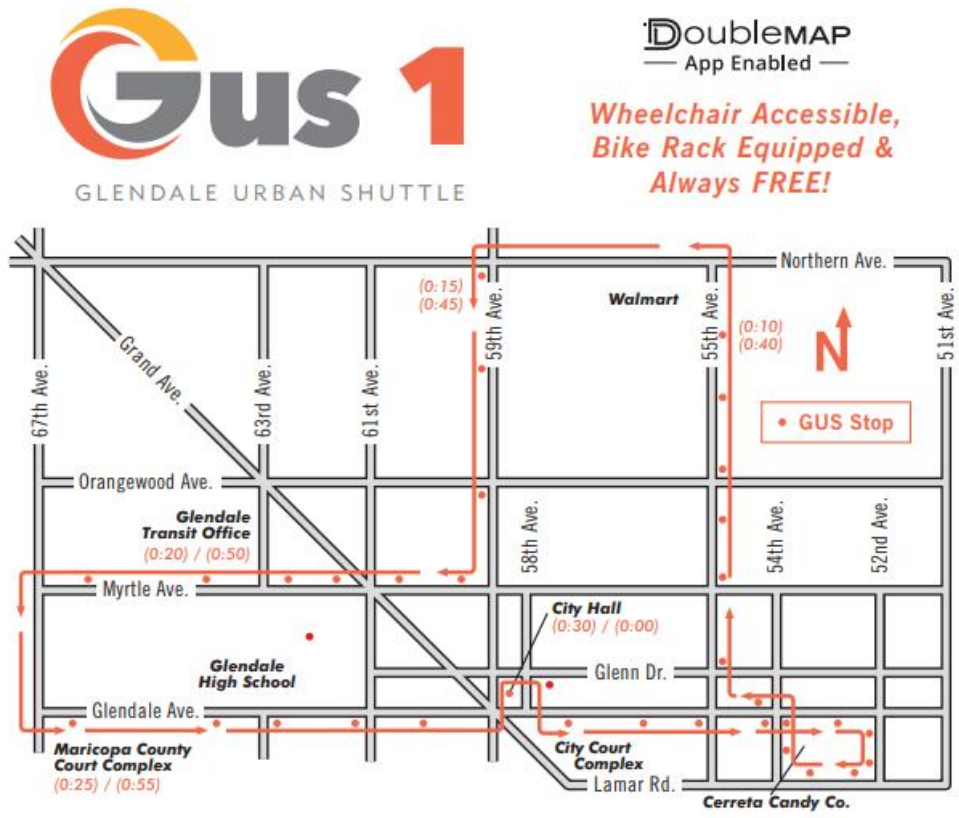
## **APPENDIX B: BOARD MINUTES OR RESOLUTION**

Place here, or place reference here.

## APPENDIX C

### Service Maps

#### GUS 1 Service Map



**If you need to go to any of these places, GUS 1 can get you there!**

Connect to GUS 2 & 3 to travel to more locations

- Northern Crossing • Cerreta Candy Company • Maricopa County Clinic • Glendale City Hall
- Maricopa County Court Complex • Glendale High School • Shops in Downtown Glendale

**GUS 1 operates Mon - Sat • 7 a.m. to 6:30 p.m. | Sun • 8 a.m. to 6 p.m.**

GUS 1 is a 30-minute counterclockwise loop that stops only at designated GUS & Valley Metro bus stops along the route.

No flag stops are allowed on this route. GUS 1 will operate on a Sunday schedule on all holidays observed by the city of Glendale.



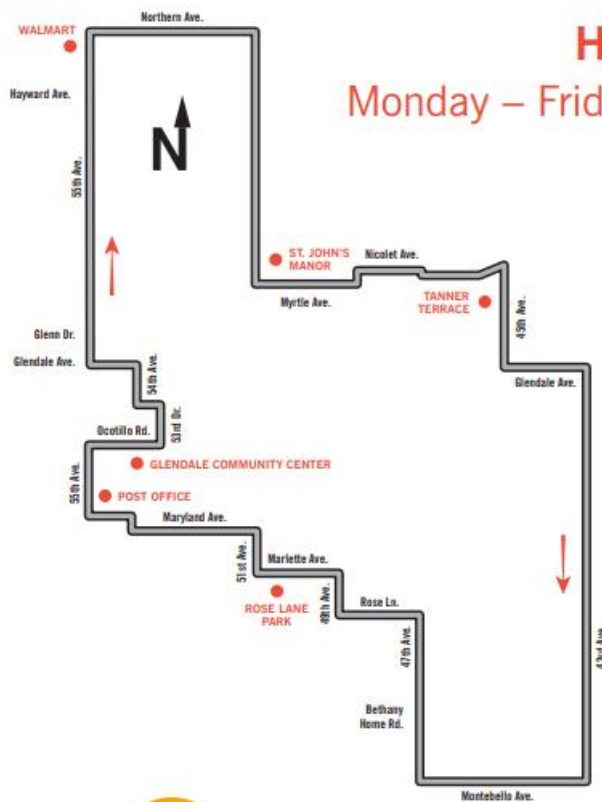
For questions about GUS Bus routes call 623-930-2940

GUS 2 Service Map



DoubleMAP  
— App Enabled —

*Wheelchair Accessible,  
Bike Rack Equipped &  
Always FREE!*



**Hours of Operation**  
Monday – Friday | 9 am – 6 pm

**FREE!**

- 45 minute clockwise loop
- Service to the following community destinations:
  - Walmart Supercenter
  - Fry's Food and Drug
  - Glendale Post Office
  - Glendale Community Center
  - 99 Cents Only Store
  - Cerreta Candy Company
  - Rose Lane Aquatic Center
- Connections to the free GUS 1 & GUS 3 circulators
- Direct Access to Valley Metro bus routes on 43rd Ave., 51st Ave., Bethany Home Rd., Glendale Ave., & Northern Ave.



For questions about GUS Bus routes  
call 623-930-2940

GUS 3 Service Map



**GUS 3**  
GLENDALE URBAN SHUTTLE

**DoubleMAP**  
— App Enabled —

*Wheelchair Accessible,  
Bike Rack Equipped &  
Always FREE!*

**GUS 3 Operates**  
**Monday - Friday**  
**8 a.m. - 5 p.m.**

GUS 3 is a 60-minute loop that stops at all designated Valley Metro bus stops. GUS 3 can also stop anywhere safely along non-arterial roads. GUS 3 does not operate on weekends or on holidays observed by the city of Glendale.



**If you need to go to any of these places, GUS 3 can get you there!**

Connect to GUS 1 & 2 to visit other destinations in Glendale

NBA Lifestyles • Manistee Manor • Waymark Gardens  
59th & Peoria Avenues • Glendale Adult Center  
Glendale Main Library • Northern Crossing  
Glendale Community College • Glencroft Retirement Villas



**For questions about GUS Bus routes**  
call 623-930-2940

## APPENDIX D: TRAINING PROGRAM

### OTIS Classes:

#### Transit New Employee Classes:

1. Back Injury Prevention: You're in Control
2. Bloodborne Pathogens
3. DOT: Drug & Alcohol Testing Employee
4. Driver Safety
5. Emergency & Fire Preparedness
6. Fire Protection & Prevention
7. Hazard Communication
8. Heat Stress
9. Office Ergonomics
10. Slips, Trips, & Falls
11. Workplace Violence: Prevent the Threat

#### OTIS Classes to be taken Annually:

1. Bloodborne Pathogens
2. Fire Protection & Prevention
3. Hazard Communication
4. Heat Stress
5. DOT: Drug & Alcohol Testing Employee

#### OTIS Classes to be taken Every 3 years:

1. Driver Safety

### National Incident Management System (NIMS) Classes:

1. 100 Course – Introduction to the Incident Command System
2. 700 Course – An Introduction to the National Incident Management System