"Get Caught Up in Safety & Security"



SPIDER

Safety & Security Planning Information Directed to Effective Response

West Virginia's Resource Manual for the Safe & Secure Operation of Transportation Systems 2006

West Virginia Department of Transportation
Division of Public Transit

TABLE OF CONTENTS

SECTION	PAGE
ACKNOWLEDGEMENTS	vii
INTRODUCTION	viii
What is SPIDER?	viii
Why the Emphasis on Safety, Security, and Emergency Preparedness?	viii
How Can I work With Local Emergency Management Agencies (EMAs)	ix
How Can Using SPIDER Help Your Transportation System?	ix
How is SPIDER Organized?	x
How Do I Use SPIDER?	xii
SECTION 1. TRANSPORTATION SYSTEM ENHANCEMENTS TO INCREASE SAFETY AND REDUCE RISK	**1-1**
• How to Use This Section	1-1
• Recruitment and Selection	1-2
DOT Physical Qualifications and Examinations	1-4
Targeted Recruitment	1-5
Structured Interviewing	1-6
Background Checks	1-8
• Driver Licensing Requirements	1-9
Who Must Have a West Virginia CDL?	1-9
CDL Questions, Manual, and Forms	1-9
Classification of Driver's License - What do the Letters Mean?	1-10
Driver Responsibilities	1-10
Traffic Violations in Personal Vehicles	1-10
DMV Must Be Notified of Any Loss of Driving Privileges	1-10
Notification of Previous Employment	1-11
Commercial Drivers Prohibited from Operating with Any Alcohol in System	1-11
Implied Consent Law	1-11
Employer Responsibilities	1-12
Class D License – Non-CDL for Hire	1-12
• Training	1-13
Why Train?	1-13
What is Training?	1-13
Developing a Training and Development Plan	1-14
Suggested Operator New-hire Training	1-14
On-going Training for All Employees	1-19
Annual	1-19
Bi-Annual	1-19
Tri-Annual	1-19
CTAA PASS Training	1-19

NIMS Certificate Training 1-19
Documentation 1-20
Required Files 1-21
Personnel File 1-21
Worker Eligibility File 1-21
Payroll File 1-21
Medical File 1-21
Training and Credentials File 1-22
Accident File 1-22
Drug and Alcohol File 1-22
- Performance Evaluation 1-24
Ride Checks 1-24
Formal Annual Evaluations 1-24
Evaluation Methods 1-25
Objective Criteria 1-26
Employee Commendation Response 1-26
Safety Related Complaint Response 1-26
- Employee Wellness 1-27
Health Risks 1-27
Diabetes 1-27
Mixing Medications 1-28
Smoking 1-28
Obesity 1-28
High Blood Pressure/Hypertension 1-29
Alcohol Use and Drug Abuse 1-29
Stress 1-29
Poor Eating Habits 1-29
Lack of Physical Activity 1-29
Older Drivers 1-29
Wellness Program Ideas 1-30
Resources 1-32
- Drug and Alcohol Testing 1-33
Section 5307, 5309, 5311, and 5316 Assistance Recipients 1-33
Section 5310 and 5317 Assistance Recipients 1-34
Non-FTA Transportation Providers 1-34
Cognizant Federal Agencies for Drug & Alcohol Testing 1-35
FTA Drug and Alcohol Testing Policy Requirements Checklist 1-37
Prescription (Rx) & Over-the-Counter Medications: A Reality in the Workplace 1-40
Develop a Prescription (Rx) and OTC Medication Policy 1-40
- Bloodborne Pathogens 1-43
What Are Bloodborne Pathogens? 1-43
Exposure Control Plan 1-43
Awareness Training Program 1-44
Hepatitis B 1-46
Human Immunodeficiency Virus (HIV) 1-46

Bio-hazard Kits and Their Use 1-47
Bio-hazard Kit Training 1-48
Reporting Exposure Incidents 1-50
Incident Report Form 1-52
Resources 1-52
- Airborne Contaminants 1-53
  Colds and Flu 1-53
  Tuberculosis 1-53
  Severe Acute Respiratory Syndrome (SARS) 1-54
  Avian (Bird) Flu 1-54
  Flu Pandemic 1-54
  Preventing the Spread of Colds and Flu 1-55
  Practicing Other Good Health Habits 1-56
  Management Policies 1-56
  Resources 1-57
- OSHA Requirements 1-58
  Overview of OSHA Requirements 1-58
  OSHA Coverage of state and local government workers 1-58
  OSHA and Transportation Systems 1-58
  Facility Safety/Hazard Audit Checklists 1-58
  Fire Safety 1-59
  Hazardous Material Storage 1-60
  Written Hazard Communication Program 1-61
  Labeling of Hazardous Materials 1-62
  Material Safety Data Sheets 1-62
  Employee Information and Training 1-63
  Underground Storage Tanks 1-64
  Resources 1-64
- Maintenance Programs 1-65
  Pre- and Post-Trip Inspection 1-65
  Preventive Maintenance 1-65
  Maintenance Recordkeeping 1-67
  Vehicle Maintenance Documentation 1-68
    Vehicle Inspection 1-68
    Vehicle Maintenance 1-68
- Motor Vehicle Air Conditioning Systems 1-70
  Freon 1-70
  In-house Maintenance of A/C Systems 1-70
  Acceptable Substitute Refrigerants 1-72
  Unacceptable Substitute Refrigerants 1-74
- Communication 1-75
  Communication and Learning Styles 1-75
  Vehicle Communications 1-76
  Communicating in an Emergency 1-77

SECTION 2. EMERGENCY OPERATING PROCEDURES **2-1**

- How to Use This Section 2-1
- Overview of Transit Emergency Planning and Preparation 2-2
  - Safety Equipment and Emergency Response Material 2-3
  - On Board Safety Equipment 2-3
  - On Board Materials and Documentation Forms 2-5
  - Transit Watch 2-5
- Other Types of Disasters 2-7
  - Forest Fires 2-7
  - Mudslides/Rockslides/Landslides 2-7
  - Hurricanes 2-7
- Evacuation Procedures 2-9
  - When to Evacuate and When Not to Evacuate 2-9
  - Recommended Sequence of Actions 2-9
  - Special Concerns In Evacuating Elderly And Disabled Persons From a Transit Vehicle 2-11
  - Communication Procedures Specific to Emergency Situations 2-13
  - What and How to Communicate to Passengers 2-13
  - Choosing the Best Routes and Stops 2-13
  - Appropriate Use of Fire Extinguisher 2-13
  - Drills, Simulations and Exercises 2-15
- Relationships with Emergency Responders 2-17
  - Coordination with Emergency Management Agencies 2-17
    - Law Enforcement 2-17
    - Fire Departments 2-17
    - Emergency Medical Services 2-18
- Training of First Responders on Transit Equipment 2-20
- Accidents and Incidents 2-21
  - Transit Vehicle Accidents 2-21
  - Transit Passenger Incidents 2-22
  - Employee Accidents and Incidents 2-22
  - Management Responsibility 2-23
  - Safety/Security and Accident Review Committee 2-23
  - Safety Awards 2-25
  - Accident Review and Analysis 2-25
  - On-site Investigation 2-25
  - Reconstruction and Casual Analysis 2-27
  - Determining Preventable and Non-preventable Accidents 2-28

SECTION 3. NATIONAL RURAL TRANSIT ASSISTANCE (RTAP) PROGRAM'S THREAT, VULNERABILITY & EMERGENCY PREPAREDNESS TOOLBOX **3-1**

- What is the National RTAP Threat, Vulnerability & Emergency Preparedness Toolbox? 3-1
- How do SPIDER and the Toolbox Work Together? 3-1

SECTION 4. PASSENGER, VEHICLE, AND SYSTEM SAFETY FORMS AND EXAMPLES 4-1

- How To Use This Section 4-1
- Forms Related to Section 1 – System Enhancements to Increase Safety and Reduce Risk
  - Form 1 – Driver Training Documentation
  - Form 2 – New Hire Bus Driver Training
  - Form 3– New Bus Driver Vehicle Orientation Documentation
  - Form 4–Driver On-Board Training Documentation
  - Form 5– Driver On-board Evaluation
  - From 6-- Sample Bloodborne Pathogens Incident Report Form
  - Form 7– Employee Performance Code and Appraisal Explanation and Appraisal Forms
  - Form 8– Vehicle Inspection Report and Vehicle Damage Report
  - Form 9– Preventive Maintenance Inspection Report
  - Form 10– Sample 3,000 Mile Preventive Maintenance (PM) Schedule
  - From 11—Sample 3,000 or 6,000 Mile PM Checklist
  - Form 12 – Vehicle Defect and Correction Report
  - Form 13 – Customer Service Policy/Ride Guide
  - Form 14 – Complaint/Commendation Forms
  - Form 15 – Telephone Comment Form
- Forms Related to Section 2 – Emergency Operating Procedures
  - Form 16 – Post-Accident/Incident Documentation
  - Form 17 – Incident/Injury Report
  - Form 18 – Vehicle Accident Report Form
  - Form 19 – Employee Emergency Response Participation Memo
  - Form 20 – Emergency Response Checklist (during normal operating hours)
  - Form 21 – Emergency Response Checklist (after normal operating hours)
  - Form 22 – Dispatcher Notification Sheet
- Forms Related to Section 3 – Transit Security
  - Form 23 – Bomb Threat Checklist and Procedures
  - Form 24 – Visitor Sign-in Sheet

- Miscellaneous Forms

  Form 25 – Medical Examination Report for Commercial Driver Fitness Determination
  Form 26 – Passenger Assistance Evaluation Forms (D1, D2)
  Form 27 – Sample Prescription/Over-the-counter Medication Policy
  Form 28 – 10 Codes for Radio Communication
  Form 29 – Witness Courtesy Card
  Form 30 – Accident-Incident Instructions for Drivers and Dispatchers
  Form 31 – Annual Vehicle Safety Inspection Form
  Form 32 – Annual Building Inspection Checklist
  Form 33 – OSHA Self-Inspection Checklist

Section 5. Safety, Security and Emergency Preparedness Plan (SSEPP) Template **5-1**

- What is an SSEPP? 5-1
- Why Develop an SSEPP? 5-1
- How Do We Use the SSEP? 5-2
- SSEP Training and Updates 5-2

ACKNOWLEDGEMENTS

The West Virginia Division of Public Transit (DPT) would like to thank the following for their contributions to the Safety and Security Planning Information Directed to Effective Response (SPIDER) Manual:

This update is the 3rd edition of SPIDER which was originally developed by the WV/Division of Public Transit in cooperation with John Balog.

David Barr
Acting National RTAP Director
American Public Works Association

Gary Gleason, President
Communique USA, Inc.

Kansas Trans Reporter
Kansas University Transportation Center

David Bruffy, General Manager
Mountain Line Transit Authority

Patrick McKinney, Manager
Bluefield Area Transit

David Spacek, Illinois Department of Transportation

Springfield, Illinois Mass Transit

Potomac Valley Transit Authority, Petersburg, WV

The Staff of the West Virginia Division of Public Transit

This edition of the SPIDER Manual was updated for the WVDOT/Division of Public Transit by RLS and Associates, 3131 South Dixie Highway, Suite 545, Dayton, OH 45439, and Lazaro & Noel, 6000 Cortaderia St. NE, #5203, Albuquerque, NM 87111.

For further information or to request a copy of SPIDER, contact the Division of Public Transit, Building 5, Room 830, 1900 Kanawha Boulevard East, Charleston, WV 25305-0432, or by calling (304)558-0428.

What is SPIDER?

SPIDER is actually an acronym for **S**afety and **S**ecurity **P**lanning **I**nformation **D**irected to **E**ffective **R**esponse. This manual has been prepared specifically for West Virginia's transportation systems to assist them with ensuring the safety and security of their operations, with an emphasis on emergency preparedness.

Preparing for safety and security is a mind-set. A program which protects your employees, your passengers, and your assets will help ensure that you can continue operations during any scenario, from a minor incident to a natural disaster, or worse. **SPIDER** can also assist you in meeting WVDOT Division of Public Transit (DPT)'s and the Federal Transit Administration's (FTA) program requirements.



Along with this **SPIDER** Manual and CD, you will receive all of the guidance, directions, and forms necessary to develop an on-going, comprehensive safety and security program.

Why the Emphasis on Safety, Security, and Emergency Preparedness?

Unfortunately, the tragic events of September 11, 2001 ushered in a new era for safety, security and emergency preparedness in the United States. As Federal, State, and local public safety organizations assess their capabilities to manage the new threat environment, so, too, must the public transportation industry evaluate and enhance its level of readiness.

While most transportation systems in West Virginia are relatively safe from terrorist attack, natural disasters throughout the United States highlight the need for transportation systems to be prepared to respond to these types of emergencies in their own communities; to assist other communities; or seek the assistance of other communities, in times of disaster. Therefore, each transportation system must evaluate the needs of the community they serve, coordinate with surrounding communities, and develop, and implement, safety, security and emergency response plans.

Even closer to home, the mining disaster at the Sago coalmine in West Virginia highlighted the need for crisis communications. Keeping the lines of communication open is critical during a crisis. While you may not be able to prevent a catastrophe from happening, you can control how you respond to

the crisis. Every organization needs a disaster plan. **There is no such thing as being too prepared.** Remember, just because you have not had a catastrophe does not mean that it will never happen.

Additionally, transportation systems must take a pro-active, not reactive, role in emergency preparedness. **Do not assume that other agencies will contact you to be part of their planning.**

How Can I Work With Local Emergency Management Agencies (EMAs)?

Emergency Management Agency (EMA) personnel tend to define emergencies differently than what might constitute an emergency for a transportation system. When you are developing emergency response plans with local EMA directors, it is important that you and the EMA director agree on the definition of emergency.

Within transportation systems, an understanding of the types of emergencies that could occur and their related hazards is necessary for effective emergency preparedness planning and procedure development. Typical transportation system emergencies might include:

- A passenger fall or illness;
- An unruly passenger;
- Vehicle breakdown;
- Driver incapacitation;
- Vehicle collision and/or fire;
- Vehicle rollover;
- Vehicle immersion in water; and/or
- Severe weather conditions/natural disasters.

It is quite possible that an emergency could involve a combination of these scenarios.

How Can Using SPIDER Help Your Transportation System?

Safety, security, and emergency response are issues that affect every aspect of public transportation. Following the guidance and recommendations contained in **SPIDER** can help identify and address potential hazards resulting in lives saved and reduced injuries and costs. Both the FTA and DPT strongly encourage all transportation systems to be prepared by addressing, at a minimum, the following aspects of safety and security:

- Policy formation: Development of a Board policy, possibly as part of an overall mission statement, which addresses safety, security, and emergency preparedness/response;
- Planning: Development of a formal plan, which addresses all aspects of safety and security, including an emergency response plan.
- Procurement: Vehicle specifications, which reflect safety and security issues.
- Finance: Insurance and Risk Management
- Operations: Policies and procedures for addressing accidents, incidents, training, etc.
- Maintenance: A documented maintenance plan for all vehicles and equipment.

Because safety, security, and emergency response are issues that are all encompassing, each transportation system, regardless of the size, should make safety, security, and emergency response as its top priority. A sound safety, security and emergency management plan will ensure continued operation, help avoid organizational demise and secure your transit systems future.

How is SPIDER Organized?

The **SPIDER** Manual is set out in four specific sections, which follow this introduction:

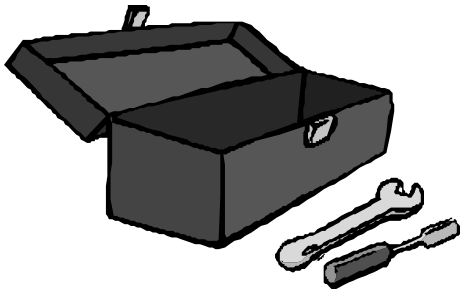
- Section 1, System Enhancements That Reduce Transportation System Risks
- Section 2, Emergency Operating Procedures
- Section 3, National Rural Transit Assistance Program's (RTAP) Threat, Vulnerability & Emergency Preparedness Toolbox
- Section 4, Passenger, Vehicle, and System Safety Forms and Examples
- Section 5, Safety, Security, and Emergency Preparedness Plan Template

Section 1 contains a variety of system enhancements that can be implemented to effectively reduce risk exposure and increase safety in your transportation system. Actions such as a documented, thorough, new-hire training program and employee evaluation program, the institution of a Safety and Security Committee, for example, are enhancements that can actively address safety before an accident or incident occurs.

The standard procedures discussed in Section 2 involve safety issues that are basic to each safety program. They include the proper on-board safety

equipment, emergency response procedures, including evacuation, and working with local emergency responders.

Section 3 is a training package, a "toolbox," prepared by the National Rural Transit Assistance Program (RTAP) on transportation system security. From identifying assets, evaluating hazards and threats to managing critical incidents, which could vary from dealing with unruly passengers to chemical spills, forest fires, or thunderstorms, this section will be a useful tool for responding to any type of threat to the security and safety of your employees and passengers. Although we would like to think that some of the threats and situations described in the RTAP toolbox will never happen in West Virginia, the truth is that none of us are exempt from any situation, no matter how unlikely it might seem. From a safety and security standpoint, the old adage "better safe than sorry" is a much better motto than "I'll worry about that when it happens……..".



Section 4 is a compilation of forms and examples to assist you with implementing the recommended policies and procedures presented in **SPIDER**. Whether you need a suggested Preventive Maintenance Schedule, training documentation forms, accident report form, or bomb threat checklist, forms have been provided that can be customized to fit your individual transportation system needs and requirements.

Finally, Section 5 is a template to assist you in developing your own Safety, Security and Emergency Preparedness Plan (SSEP). This template has been developed based on a variety of previously developed safety and security plans and actual hands-on experience of transportation systems throughout the United States, but has been customized for West Virginia transportation systems and the information contained in the **SPIDER** manual. The West Virginia Division of Public Transit will provide training to assist you in learning how to use this template. Remember, however, the responsibility for actually developing the plan and coordinating with your local emergency management agency and other local agencies and officials is yours. To quote a Section 5311 manager in Indiana, *"….In the following weeks [after our state's mandatory security plan training], meeting after meeting and revision after revision resulted in a very detailed and comprehensive plan that would ultimately allow our City to utilize our staff and vans in the event of a major disaster. Plan in hand, we called on the Mayor to share our vision and work with him. Before we knew it, a special meeting had been called of Civil*

Defense, Police, EMS, and local firefighters. Our "little" plan was to be placed in every police car and fire station within the City. They were especially impressed with the terrorist section, and the plan was shared as a model for others to use. ***But even then, I can distinctly remember thinking that we would probably never use it. Was I wrong….. ."*** (Excerpted from 2006 2nd Quarter Indiana RTAP Newsletter article by Nola Davis.)

All of the information presented in **SPIDER** are **recommendations** for a comprehensive safety program unless otherwise noted. For example, the DPT requires Passenger Service and Safety Program (PASS) training for all Section 5310 and 5311 drivers. The CDL licensing and driver requirements are required for all CDL vehicle drivers. However, other driver training, such as new hire and refresher are at the discretion of the transportation system.

How Do I Use SPIDER?

Each section and subsection of **SPIDER** are detailed in the Table of Contents. If, for instance, you are looking for guidance with developing training for new drivers, simply go to the table of contents, and looking down through the sections, you will find that this topic is addressed in **Section 1, System Enhancements That Reduce Transportation System Risks** under Training. As you turn to the Training section, you will read a comprehensive overview on training in general, including new hire training. If you refer back to the Table of Contents, and look at Section 4, Passenger, Vehicle, and System Safety Forms and Examples, you can see that there are several recommended forms related to new hire training that you can use as presented or customize for your use.

> **As mentioned earlier, in addition to a* ***SPIDER*** *Manual organized in a three ring binder, you will also receive* ***SPIDER*** *on CD. The entire* ***SPIDER*** *manual, including the forms and any other supporting information will be contained on this CD in a "read only" format. To use or customize any of the forms, simply open the desired file on the CD and save it to another disk or your computer hard drive. We suggest you give it a new name, or add the date to the file name so that you can distinguish this form from the original. You are free, then, to make changes, revisions, additions, etc. to the form as desired.*

What SPIDER is not…..

We've spent the majority of this introduction telling you what **SPIDER** is and how to use it. Do not forget what **SPIDER** is not. **SPIDER** is not a static, stand alone document. It has been designed so that it can be updated easily as new technology and requirements change. By itself, it can do nothing. You, as the manager, director, or supervisor of your transportation system, using **SPIDER** as a guide, must take the necessary steps to develop an overall safety program which will allow your system to respond appropriately to any emergency, disaster, or threat that your system could face on a day-to-day basis. This is not something that you can accomplish in a day, a week, or even a month. Safety and security is an on-going challenge that you as a transportation manager must address every day. We strongly encourage you to keep **SPIDER** on your desk in easy reach as a reminder of that challenge.

How to Use This Section

Section 1 of **SPIDER** contains standard policies and procedures to increase a transportation system's safety and decrease risk to passengers and employees. Implementation of many of these standard policies also assists in reducing a system's risk of incidents and accidents. This section is designed so that each subsection or topic is written in a "stand alone" fashion, that is, simply turn to the topic area in which you are interested. See the **Table of Contents** for a list of the Section 1 topic areas. Sample forms and checklists to support these procedures are contained in **Section 4, Passenger, Vehicle, and System Safety Forms and Examples.**

Hiring is the most important job a manager/supervisor has. National statistics show that **the average new hire will stay with an organization for seven years.** Very few decisions a manager or supervisor makes carries the same importance as hiring an individual, particularly someone in a critical customer service position such as a bus or van operator. For the customer, the operator's attitude will represent the entire impression of the whole agency. Careful consideration should be given more to the attitude and personality of the applicant rather than those skills that can be acquired through training. The manager/supervisor should be involved in the hiring process. A clear job description with qualifications and job duties should guide the process. A set list of questions should be developed and asked of all new hire applicants. All new hires should be in a probationary period that provides for dismissal without repercussions. A step-by-step process outline follows:

1. Define the position
   Include how this position supports the overall agency's mission.

2. Job description
   Include not only duties and responsibilities of the position, but give a complete overview of all expectations of the individual to do the job successfully. In addition to duties, this would include such things as treating co-workers with dignity and respect, providing high quality customer service, presenting a positive image, committing to on-going training, and performing all functions in a safe and secure manner. Also include specific physical responsibilities of the job. Safety sensitive positions that are subject to FTA's Drug and Alcohol Testing should also carry this stipulation.

3. Qualifications
   a. CDL (if applicable)
      Agencies should not limit themselves to hiring only operators who currently possess a CDL. The agency can easily assist the right individual in obtaining a CDL, thus greatly expanding the candidate pool.
   b. DOT physical
      The individual must pass the DOT physical as described in including vision and hearing tests prior to employment and every other year thereafter. (See DOT Physical and Examinations)

c. Drug test
Candidates for FTA safety sensitive positions must successfully pass pre-employment drug tests, and, if selected, participate in an ongoing safety-sensitive drug and alcohol testing pool.

d. Physical strength and body mechanics
Candidates will be expected to perform duties consistent with the physical requirements of the position.

e. Language skills
Candidates must successfully demonstrate the abilities to speak, read and write English for the level of the position.

f. Manual dexterity
Candidates must demonstrate manual dexterity in the performance of duties consistent with the position.

g. Motor Vehicle records
Candidates must have a clean motor vehicle record, excluding parking tickets, for the previous three year period. Note: Moving violations, with the exception of DUI's (driving under the influence) are cleared after three years. DUI's remain permanently on an individual's driving record if the individual was arrested and fingerprinted.

h. Criminal background checks
Candidates must have a clean criminal background record consistent with predetermined agency standards. Bear in mind that no universal criminal background check exists; each level of law enforcement (city, county, state, federal) may possibly have a registered offense that would not appear unless that level is checked directly. (e.g. a misdemeanor conviction for a crime committed in the city of Charleston may not register at the Randolph County Sheriffs office.)

i. Other background checks
Candidates may be subjected to other background checks as predetermined by the transportation system. Note: Any criminal act for which an individual is arrested, charged, and fingerprinted, will show up on a criminal background check.

j. Desired knowledge, skills and abilities
- Ability to speak English.
- Second language?
  If necessary, communicate with target audiences.
- Experience in customer service.
- Experience with the disabled or elderly.
- Prior passenger carrier experience.

- Ability to read and write consistent with the job requirements.
- Radio skills/ability to communicate.
- Map reading skills.
- Prior First aid/CPR training.

k. Recruitment *(See Targeted Recruitment Section)*

l. Selection
   - Application
     Application must be consistent with all Federal and state equal opportunity employment laws.
   - Interview *(See Structured Interview section)*
   - Testing
     Employment testing should be job related.

DOT Physical Qualifications and Examinations

DOT physical examinations should be conducted by a qualified medical practitioner. Ideally, the examining physician will be contracted by the hiring transportation system only after an offer of employment is extended with the contingency that a clean bill of health is required for employment. While the regulations for physical qualifications for commercial motor vehicle operators are a requirement for CDL operators as listed in 49 CFR Part 391.41 (Attached), they should be used as a guideline for operator positions not requiring a CDL as well. Transportation systems are responsible, in the event of any accidents, for the physical ability of their employees to safely perform their duties and ensure public safety with utmost caution.



Physical limitations, which may be determined to impair a person's ability to safely operate a commercial motor vehicle and perform other regular duties such as the physical ability to secure a wheelchair, perform an evacuation, etc., and should be investigated and evaluated by a licensed medical practitioner include:

- Loss of use of a foot, a leg, a hand, an arm, or impairment of a hand, finger or limb.
- An established medical history or diagnosis of diabetes mellitus requiring insulin for control.
- Current clinical diagnosis of cardiovascular diseases including myocardial infarction, angina pectoris, coronary insufficiency, thrombosis that is known to cause:

  - Syncope – temporary loss of consciousness caused by insufficient blood flow to the brain;
  - Dyspnea – difficulty breathing;
  - Collapse; or
  - Congestive cardiac failure.
- An established medical history or current diagnosis of respiratory dysfunction.
- Current clinical diagnosis of high blood pressure.
- An established medical history or diagnosis of rheumatic, arthritic, orthopedic, muscular, neuromuscular or vascular disease.
- Epilepsy.
- Mental, nervous, psychiatric disorder.
- Visual acuity must include:
  - Distance and binocular vision of at least 20/40 (Snellen) in each eye with or without corrective lenses.
  - Horizontal field of vision of at least 70 degrees in each eye.
  - Ability to recognize colors of traffic signals (red, green and amber).
- Hearing loss
  - Whisper voice test at 5 feet in at least one ear, with or without hearing aids.
- Current controlled substance use, unless prescribed by a licensed medical practitioner who knows the duties or the job and has advised the prescribed substance will not adversely affect the operator's ability to safely perform.
- Current clinical diagnosis of alcoholism.

While some of the conditions such as impairment or loss of a limb, hand or finger can be mitigated with skill testing or a determination of a non-risk in the operation of a public transit vehicle, FHWA regulations require denial of certification for four instances:

- Insulin treated diabetes.
- Seizure disorders.
- Significant vision defects.
- Significant hearing defects.

Targeted Recruitment

When recruiting operators or front-line employees, consider the following:

- Advertise locally for positions in accordance with local regulations or existing employee agreements.
- Previous bus driving or professional driving experience need not be required, but may be helpful.
- Make sure that the transit system retains as much control over the hiring process as possible.
- *For example, if your transit system is part of a much larger agency, make sure that the transit managers are involved in the hiring of potential transit personnel.*
- Recruitment sources can include:
    - Newspaper, radio, other ads;
    - Word of mouth;
    - Employee referrals;
    - Contract agencies;
    - Employment services;
    - Self-referrals; consider offering incentives to your employees who recommend an individual who is ultimately interviewed and hired; and
    - Other - Fire departments, police departments, church groups, school and charter bus drivers, retired military and dependents, human service agencies, job training, employment programs, etc.

Structured Interviewing

Interviews must be conducted face-to-face and be scripted with uniform and standardized questions. During the interview, establish a dialogue, answer the candidate's questions about the job and give the candidate ample opportunity to completely answer any and all questions.



Although interview questions should be specific to the position within the transit organization, some sample interview questions follow:

General Questions

1. What do you know about our company?
2. What makes you want to work for our company?
3. What are your three major strengths/weaknesses?
4. What do you like/dislike about your present (or most recent) job?
5. What kind of manager/supervisor motivates you?
6. What are your career goals?

7. What have you learned at your present job?
8. What has been your biggest problem or challenge on the job?
9. What kind of work environment do you work best in?
10. How would you describe a team environment at work?
11. How would you present a positive image, if selected to work for us?
12. Why should we hire you?
13. What will your references say about you?

Bus/Van Operator Questions

1. Tell me about your experience as a bus/van operator or as a passenger on public transportation. Why are you especially interested in this type of work?
2. What has been your experience working with the public? Did your experience include working with the elderly, people with disabilities, and people with diverse backgrounds? Tell me about that experience. Tell me about one of your most positive experiences. Tell me about your most challenging experience. Tell me about your biggest successes/biggest failures.
3. Bus operators are often called in for unscheduled work assignments at the last minute. How do you feel about that?
4. A passenger slips and falls off the bus. How would you handle that situation?
5. A passenger asks you to deviate from the designated route because they know a better way. How would you handle that situation?
6. Because of situations beyond your control (i.e., traffic, road work), you were delayed in picking up a customer. How would you deal with that customer complaining about the excessive waiting time?
7. Bus operators must exercise some judgment in meeting the bus schedule while operating the bus safely and courteously, all the while maintaining good public relations. If these goals are in conflict from time to time, what do you see as your priority(s)? Why?

Topics to discuss with all candidates

1. The agency's mission and purpose;
2. The duties of the job;
3. Your expectations of the candidate;
4. Expectations of how to treat co-workers, managers/supervisors and the general public;
5. The characteristics you most like to find in people in this assignment;

6. A description of how your team supports and interacts with each other;
7. The primary results you would like to see produced by the candidate; and
8. The main problems that need attention in this position.

Background Checks

Motor Vehicle Records (MVR)
Potential employees must provide written consent for a MVR check. The transportation system must determine what are acceptable limits.

Criminal Background Check
Agencies are encouraged to conduct criminal background checks for all new hires.

Past Employment
Potential employees must provide information about past employment and give written consent to contact past employers.

Previous Participant in a DOT Drug and Alcohol Pool
Potential employees must provide information about past employment and give written consent to contact past employers.*

***NOTE:** This requirement only applies to FTA Section 5307, 5309, and 5311 recipients and agencies that employ CDL drivers.*

Who must have a West Virginia Commercial Driver's License?



Individuals that live in West Virginia and desire to drive a commercial motor vehicle on public roads must have a West Virginia Commercial Driver's License (CDL), unless expressly exempted. CDL standards are the same in every State.

Transportation system drivers must possess a CDL with a passenger endorsement if they drive a vehicle designed to seat 16 or more persons, including the driver, or vehicles with a GVW over 26,001 lbs. To obtain the endorsement, the applicant must pass a knowledge test. (If the transit vehicle has air brakes, the applicant must also pass a knowledge test on air brakes.) The applicant must also pass the skills tests required for the class of vehicle that will be driven.

NOTE: No one who operates motor vehicles that transport persons or property on a volunteer basis is required to obtain the Class D license.

CDL Questions, Manual, and Forms

More information concerning West Virginia CDL and Class D non-CDL may be obtained by contacting the West Virginia Division of Motor Vehicles, WV CDL. For general information, you may call: (304) 558-2350; specific questions can be directed to: (304) 558-5356

The West Virginia CDL manual, information, and appropriate forms may be downloaded from the WV DOT site: ***http://www.wvdot.com/***.

Classification of Driver's License - What do the Letters Mean?

A - Combination Commercial Motor Vehicles over 26,001 lbs
B - Single Commercial Motor Vehicles over 26,001 lbs
C - All Other Commercial Vehicles and Buses
D - Non Commercial Vehicle for Hire
E - Passenger Vehicles
F - Motorcycle Only
X - No Vehicles/Non Driver

CDL Driver Responsibilities

There are a number of areas that the license holder must be aware of to maintain the privilege to drive in West Virginia. CDL holders may not have any other type of driver's license. Any West Virginia CDL holder who is convicted of a traffic offense (other than parking citations) in another jurisdiction must notify the West Virginia Division of Motor Vehicles within thirty (30) days of said conviction. Said notification must be in writing on the proper DMV form.

Traffic Violations in Personal Vehicles



As indicated above, individuals who have a CDL may not have any other operator's license. More importantly, *violation(s) of traffic rules, including drug and/or alcohol violations, when operating a private motor vehicle* ***can affect*** *the CDL and may result in suspension of the CDL, as per Federal Motor Carrier Safety Administration (FMCSA) regulations*. This information should be reviewed with CDL holders as part of annual training and be included in the appropriate section of the agency's employee handbook.

DMV Must Be Notified of Any Loss of Driving Privileges

Any CDL holder whose license is suspended, revoked, canceled, or expired by any jurisdiction, or who otherwise loses the privilege to drive a commercial motor vehicle in any jurisdiction for any period, or who is disqualified from driving a commercial motor vehicle for any period by any jurisdiction, must notify his or her employer before the end of the business day following the day the CDL holder receives notice of said act.

Notification of Previous Employment

Persons applying for employment as a commercial motor vehicle driver must provide their prospective employer, at the time of their application, with the following information for the ten (10) years preceding the date of application.

- names and addresses of the applicant's previous employers for which the applicant was a driver of a commercial motor vehicle;
- dates between which the applicant drove for each employer; and
- applicant's reason for leaving each employer. Applicants must certify that all information furnished is true and complete. An employer may require an applicant to provide additional information.

Commercial Drivers Prohibited from Operating with Any Alcohol in System

- Notwithstanding any other provision of law, no person may drive, operate, or be in physical control of a commercial motor vehicle while having any measurable alcohol in his/her system.
- A person who drives, operates, or is in physical control of a motor vehicle while having any measurable alcohol in his or her system, or who refuses to take a preliminary breath test to determine their alcohol content must be placed out-of-service for twenty-four (24) hours.

NOTE: The Federal Transit Administration's (FTA's) Drug and Alcohol Testing Policy require the employer to request test results from previous employment that tested under DOT authority. Applicants are required to disclose all DOT drug and alcohol test results from previous employers. Failure to do so will result in the employment offer being rescinded. If the applicant has tested positive or refused to test on a pre-employment test for a DOT covered employer. The applicant must provide new employer proof of having successfully completed a referral, evaluation and treatment plan as described in section 655.62 of subpart G. This section only applies to FTA Section 5307, 5309, 5311 and 5316 recipients.

Implied Consent Law

Any person who accepts the privilege of driving in West Virginia shall be deemed to have given his consent, if arrested, to take the designated test to determine the alcohol content in his/her body. If he/she refuses to take his/her

chemical test, his/her privilege of operating a motor vehicle will be suspended for a period of at least one (1) year, and up to life.

Employer Responsibilities

No employer may knowingly allow, permit or authorize a driver to operate a commercial motor vehicle during any period:

- in which the driver is under license suspension, revocation, or cancellation in any jurisdiction, has lost the privilege to drive a commercial motor vehicle in any jurisdiction, has been disqualified from driving a commercial motor vehicle; or
- in which the driver has more than one driver's license at one time, for the ten (10) day period beginning on the date the driver is issued a license.

Class D License – Non-CDL for Hire

The West Virginia Division of Motor Vehicles (DMV) requires a Class D License for every person who is employed by another for the purpose of driving a motor vehicle when in use for the transportation of passengers for compensation. Drivers who do not meet the requirements for Class A, B or C for the commercial driver's license need a Class D license. Exempt from the Class D licenses are vehicles with Class A license plates (regular passenger vehicles). A Class D License is a Non-CDL for hire.

A class D license shall be issued to persons at least 18 years old with at least one (1) year of licensed driving experience, whose primary function or employment is the transportation of persons or property for compensation or wages, who have paid the required fee. Persons who operate motor vehicles of less than 8,001 lbs. GVWR (class A registration) are not required to obtain a class D license. Applicants may obtain a class D license at any DMV Regional Office by completing CDL-1 and paying the appropriate fee.

Operators with a class D license are required to obtain a DOT Medical Certificate when operating a vehicle of ten thousand one (10,001) pounds GVWR or more.

Why Train?

As a transportation system manager or supervisor, you should already know that your employees, and specifically those on the front lines of your service, are your most important resource. They may be your customers' **only** impression of the quality of your service. Training, then, both for new hires and for existing employees, is the single best investment you can make in your service to ensure that benefits you reap are realized through the impression your employees leave on your customers.

A second benefit of training is safety. The majority of employees in any transit system are classified as safety-sensitive. A structured and formalized training program for both new employees and veterans, including documentation, reduces your system's risk of serious repercussions from an accident or litigation.



What is Training?

Training is many things:

- an investment in people;
- an acknowledgement of your employees' safety-sensitive and customer service responsibilities;
- an opportunity to review and discuss responsibilities;
- an opportunity to disseminate and get feedback on agency (company) policies on transporting passengers;
- a greater partnership among drivers, dispatchers, management and other employees. The most important element in partnership is trust;
- a structure to answer questions drivers may have and to clarify any misconceptions that may exist;
- a way to help employees hone their skills in passenger assistance and passenger relations;
- an opportunity for employees to share their experience with others. In general, people want to share what they have to offer - all you need to do is create a safe environment for that sharing to take place; and

- an opportunity to assess if an employee is a good fit for filling a particular position within the agency.

Developing a Training and Development Plan

Transit systems need a training and development plan that meets the needs of their operating situation. Training plans should be formalized with written curriculum, and training should be documented in a way that clearly demonstrates the employee has been successfully trained to a level of proficiency such as pre- and post-training testing. Such methods will effectively measure success in a documentable fashion. All training should consider such matters as job duties and responsibilities, safety and security issues, customer service, types of equipment to be operated, etc.

The steps to developing and implementing a quality, training program are:

1. Evaluate the training needs of your system and each position;
2. Outline a job specific training plan;
3. Assess your training staff and resources available, including any current training being provided;
4. Write a curriculum including goals, objectives, and competency testing and needed resources;
5. Implement the training;
6. Document all training; and
7. Reevaluate and revise training. Portions may fall under the responsibility of the agency's Safety and Security Committee.

Suggested Driver New-hire Training

While every transportation system is unique, recommended new-hire driver training should include a combination of both classroom and on-board training.

Below is the recommended classroom training for the first 5 days or 40 hours*:
Note: This can be adjusted to reflect the minimum number of recommended hours (24)

Day 1 – Organization and agency orientation
Day 2 – Vehicle orientation and defensive driver training
Day 3 – Passenger sensitivity and assistance training
Day 4 – System safety, emergencies and evacuation
Day 5 – Internal and external customer service and driver wellness

The following is an example of a 24-40 hour curriculum including resources necessary to complete the training:
(Note: Some of the elements contained in the following curriculum will also be covered in PASS training.)

DAY 1

1st Day - Morning	***TIME**	**LEAD**	**ASSISTED BY**	**AUDIO/VISUAL**
**Company Overview	1/2 hr.			
**Human Resources	1/2 hr.			
**Drug & Alcohol Policy (1 hour is required for all safety sensitive employees)	1 hr.			Various options, see Resources on page 1-23 for details.
1st Day - Afternoon	***TIME**	**LEAD**	**ASSISTED BY**	**AUDIO/VISUAL**
**Driver Handbook, Internal Policies, and Performance Code	1 - 2 hrs.			
**Pre-trip Process Introduction to Vehicles Parking Lot Practice	1 - 2 hrs.			Forms

DAY 2

2nd Day - Morning	***TIME**	**LEAD**	**ASSISTED BY**	**AUDIO/VISUAL**
**Coaching the Transit Coach Operator	2-4 hrs.			National Safety Council Video National Safety Council, 800/621-7619, www.nsc.org, or FLI Learning Systems, Inc., 609/466-9000, 800/354-9099, or www.flilearning.com.

2nd Day – Afternoon	*TIME	LEAD	ASSISTED BY	AUDIO/VISUAL
**Seat Belt Use	1/2 hr.			"Room to Live" Video public domain; available from PennTRAIN Library, 800/847-0333
**Rollover	½ hr.			
**Railroad Crossing	½ hr.			School Bus Video contact Bay Transit, 804/758-0333
**Post Accident	½ hr.			
On-board Practice	1-2 hrs.			

DAY 3

3rd Day - Morning	*TIME	LEAD	ASSISTED BY	AUDIO/VISUAL
Overview of ADA	1-1 1/2 hrs.			"Nobody's Burning Wheelchairs" Video Public domain: Project Action, 202/347-3066 or 800/659-6428
Assisting Frail Elderly Hidden Disabilities Visual Disabilities	2-3 hrs.			Hiram G. Andrews Videos "Bus Driver Awareness"; "Dementia, Deafness & Seizure" All public domain, PennTRAIN library, 800/847-0333
3rd Day – Afternoon	***TIME**	**LEAD**	**ASSISTED BY**	**AUDIO/VISUAL**
**Wheelchair Handling Lift Awareness Proper Securement	2-3 hr.			Sure-lok Video Sure-lok, Maritza Valentin, mvalentin@sure-lok.com, 866/787-3565

DAY 4

4th Day – Morning	*TIME	LEAD	ASSISTED BY	AUDIO/VISUAL
Bloodborne Pathogens	½-1 hr.			Spill Kits/"Your Ticket to Safety" Video Public Domain: PennTRAIN library, 800/847-0333
Handling Ill Passengers	½-1 hr.			Forms
Fire Extinguishers	½-1 hr.	Local Fire Dept.		

4th Day - Afternoon	*TIME	LEAD	ASSISTED BY	AUDIO/VISUAL
**Emergency Procedures Web Cutters/ Blanket Drag Evacuation	2-3 hrs.			Somerset County, NJ, Paratransit Driver Emergency Evacuation Procedures Jim Holman, NJ Transit, 973/491-7000, or received as part of CTAA PASS Program; see WV DPT
**System Security Awareness for Transit Employees	1-2 hrs.			"System Security Awareness for Transit Employees – Warning Signs" video from http://transit-safety.volpe.dot.gov/Security/TrainingTools/default.asp
**National Incident Management System Certificate Training (IS 700)	1-1 ½ hrs.			Web training module http://training.fema.gov/emiweb/IS/is700.asp

DAY 5

5th Day - Morning	*TIME	LEAD	ASSISTED BY	AUDIO/VISUAL
Customer Service Diversity Awareness Sexual Harassment Driver Stress Management	2-3 hrs			"Dazzling Customer Service" Public Domain, Lazaro & Noel, 814/262-7535 "Understanding & Avoiding Conflict"—Randy Pine Video can be purchased through Lazaro & Noel, 814/262-7535
5th Day – Afternoon	***TIME**	**LEAD**	**ASSISTED BY**	**AUDIO/VISUAL**
Review Pre-trip	½-1 hr.			Forms
**On-board Training	2-3 hrs.			
On-board Evaluation	½ hr.			Forms

Training Curriculum prepared by Lazaro & Noel

*Times indicated are suggested lengths only, that would constitute a 24-40 hour training segment; they are not requirements, except for the one hour of drug and alcohol training.

It is understandable that training will vary depending on the size of the transit system and the available resources; however, we recommend that, at a minimum, the following topics are presented as part of **all new hire training prior to operating any transit vehicle:

- Company Overview
- Human Resources
- Drug and Alcohol Policy
- Driver Handbook, Internal Policies, and Performance Code
- Introduction to Vehicles and Pre-trip Inspection Process
- Defensive Driving (Coach the Transit Coach Operator)
- Seat belt use
- Emergency Procedures and Evacuation
- Lift Awareness, Wheelchair handling and securement
- System Security Awareness
- NIMS Certificate Training
- Rollover
- Railroad Crossing
- Post Accident
- On-board Training

Upon successful completion of the classroom training, the new driver needs to spend significant time on-board a vehicle, observing veteran drivers and driving themselves, while being monitored by veteran drivers. During this process, the agency should provide coaching that will both build skills and increase confidence. The period of time that this will take will vary dramatically from agency to agency based on the new-hire's previous passenger transport experience, type of vehicles the agency operates and complexity of routes and services. Upon completion of the on-board training, the new hire should be evaluated and competency documented by a qualified supervisor.

On-going Training for All Employees

All employees should receive on-going training. The training should be specific to their functions within the agency and include overall organizational development training. As in new-hire training, all training should be documented. A sample of on-going driver training would include a minimum of:

Annual

- CPR;
- System safety, including evacuation;
- System Security (including NIMS – see below for description);
- Agency policies and procedures; and
- Any new rules and regulations.

Bi-annual

- Defensive driving;

- Bloodborne Pathogens; and
- Security awareness.

Tri-annual

- CTAA PASS Program*;
- First Aid;
- Diversity awareness;
- Sexual harassment training; and
- Drug and alcohol policy. (recommended, not required)

*The WVDOT/Division of Public Transit requires PASS training for all Section 5310 and 5311 providers; see information below.

Community Transportation Association of America (CTAA) PASS Training

CTAA's PASS Driver Certification Program ensures that community transportation drivers have current expertise in passenger assistance techniques and sensitivity skills appropriate for serving persons with disabilities. Train-the-Trainer certification courses certify trainers who can train drivers.

The advantages of attending the PASS certification program are:

- The ability to reduce organizational liability;
- Comprehensive, up-to-date training on the assistance drivers should be providing to passengers with special needs; and
- Intensive emergency situation training.

The WVDOT/Division of Public Transit (DPT) requires PASS training for all Section 5310 and 5311 drivers. The DPT has sponsored three-day, train-the-trainer classes within the state, and pays for PASS materials for the two-day driver classes conducted onsite at Section 5310 and 5311 transportation systems. For a PASS trainer near you, or for more information on train-the-trainer opportunities, contact the Division of Public Transit at (304)558-0428. For further information on the PASS program, visit the CTAA website at www.ctaa.org.

NIMS Certificate Training

Homeland Security Presidential Directive Number-5 (HSPD-5) states:

- To enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive National Incident Management System.

- This system will provide a consistent nationwide approach for Federal, State, and local governments to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.
- To provide for interoperability and compatibility among Federal, State, and local capabilities, the NIMS will include a core set of concepts, principles, terminology, and technologies covering the incident command system; multi-agency coordination systems; unified command; training; identification and management of resources (including systems for classifying types of resources); qualifications and certification; and the collection, tracking, and reporting of incident information and incident resources.

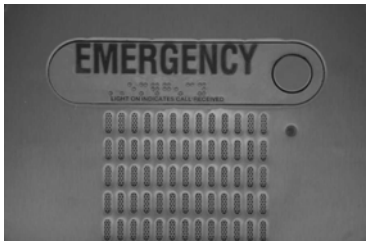
The bottom line is that all governmental employees must have NIMS (IS-700) and all governmental first responders must have NIMS (IS-700) and Basic ICS (IS-100 and 200). First responders include law enforcement, public works, fire, and EMS personnel.

Therefore, any employee responding to an emergency must complete:

- IS-700: National Incident Management System (NIMS), An Introduction
- ICS-100: Introduction to the Incident Command System, I-100, for Federal Disaster Workers

Any employee serving as a supervisor during an emergency must complete:

- IS-700 NIMS, An Introduction
- ICS-100: Introduction to the Incident Command System
- ICS-200: Incident Command System, Basic, I-200, for Federal Disaster Workers



Documentation

If an accident or serious incident occurred tomorrow, could you defend and show that your employees were properly hired, trained and fit for duty? Could you produce the necessary documentation that would support you in a court of law and allow you to defend the agency's procedures and training policies? In the event of a fatal accident, it is quite possible that the National Transportation Safety Board could become involved in the investigation and will have the authority to demand immediate documentation of the employee's entire

training history. It also may be necessary to provide documentation to funding sources that will satisfy your agency's responsibility. Could you produce any necessary information to requesting funding sources?

Required Files

The experts recommend that six, separate filing centers exist for each employee. Each filing center must be kept confidential and be accessible only to pertinent, identified personnel who have oversight of that particular function.

Personnel File (confidential, accessible Transportation Manager or Supervisor)

- Attendance records;
- Employment application and employment history;
- Employee's signed authorizations to obtain MVR, criminal background checks, etc.;
- Copy of current driver's license and other credentials;
- Employee's signed receipt of personnel policies;
- Employee's job description;
- Disciplinary reports;
- Annual evaluations; and
- Any other information relative to employment status.

Work Eligibility File (confidential, accessible to Chief Financial Officer)

- Federal 1-9 form;
- Copy of employee's social security card; and
- Copy of current driver's license or other photo ID.

Payroll (confidential, accessible to Chief Financial Officer)

- Federal W-4 form;
- State or local income tax withholding forms; and
- Wages and benefits and any changes to wages or benefits.

Medical (confidential, accessible to designated Medical Officer)

- Physical exam results; and
- Any documented medical reports pertinent to job performance.

Training and Credentials File(confidential, accessible to Operations Manager, Drug & Alcohol Program Manager)

- Copies of documentation of completed training;
- On-the-job training documentation (Ride checks); and
- Commendations and observed deficiencies.

Accident File

- Accident Investigation reports
- Insurance claim forms
- Law Enforcement reports (if available)
- Emergency Services reports (if available)

Drug and Alcohol (confidential, Drug & Alcohol Program Manager)

- Signed acknowledgement forms;
- Signed receipt of substance abuse policy;
- Notification of employee's use of legal drugs;
- Signed chain of custody forms;
- Notification of drug testing;
- Results of drug or alcohol tests.

All employee files should be considered confidential, and the agency must take reasonable steps to maintain confidentiality and limit access except to designated individuals. In a smaller agency, it is possible that an individual, such as the manager, would act in the capacity of overseer of the majority of files. Drug and Alcohol files, by law (49 CFR 40 and 49 CFR 655), must be locked and kept separate from all other files, only accessible by the designated drug and alcohol program manager. Employees should have access to their own information contained in any of the six filing categories upon submission of written request and signed documentation of receipt.

RESOURCES

- Partnership for a Drug Free America, ***www.drugfree.org***.
- National Clearinghouse for Drug & Alcohol Information, ***www.ncadi.samhsa.gov***
- NCADI Web-casts, ***http://ncadi.samhsa.gov/multimedia/***
- The Training Network, ***http://safetytrainingnetwork.com***
- Buckley Video Productions, "Driver Alert", 415/383-2009, or ***www.buckleyproductions.com***, go to DOT Compliance

Ride Checks

All transportation systems must monitor the day-to-day transportation service. Daily contact with riders often can be used to assess system performance. This may include the daily trip sheets, manifests, feedback dispatchers receive or formal commendations and complaints by passengers.

On-board ride checks are also an important and necessary element in monitoring the quality of service, driving practices and safety adherence in any transportation system. Ride checks can be performed by supervisors and/or Ghost Rider or Secret Rider programs. Ghost Riders are independent individuals hired to specifically ride the vehicle, document performance and report back to the agency. Secret Riders are current riders on the system, who from time to time document performance and report back to the agency.

Ride checks should be:

- Unannounced, regular and formally documented, with a copy retained in the operator's file;
- Performed regularly, i.e., monthly, quarterly or semi-annually dependent upon the manpower available. **At a minimum, ride checks should be performed as part of a driver's annual performance evaluation by the driver's supervisor (see Formal Annual Evaluations below);** and
- Used to document both good performance as well as areas to improve.

New technologies such as automatic vehicle locator (AVL) and on-board cameras allow systems to monitor service at levels not previously possible. After a serious accident or incident, systems that can demonstrate significant on-board monitoring fair better in an investigation than systems, which cannot show documentation of monitoring.

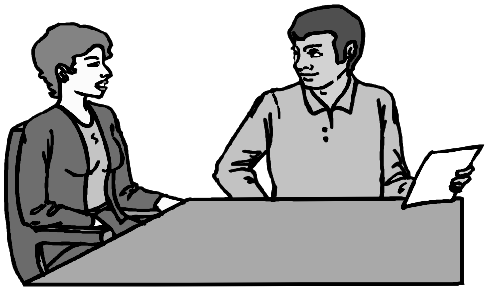
Formal Annual Evaluations

All employees should be evaluated at least annually by their direct supervisor in a formal, consistent manner that provides the most objective method of evaluation possible. A driver's evaluation should include a ride check by his or her supervisor, if not being performed throughout the year, or if being performed by a third party such as a ghost or secret rider. The method and frequency of evaluations should be summarized in the system's personnel policy and be consistent with any existing employee agreements. Evaluations can be based

on the individual's job description or a standardized operator, dispatcher, etc., evaluation format and should include examples of exemplary conduct or areas that need improvement and constructive suggestions for improvement. Any documentation, ride checks, passenger commendations or complaints, etc., accumulated throughout the year should be used in the evaluation process.

When conducting evaluations, here are a few tips to make this event easier on the manager/supervisor and employee:

- **Don't stall.** If evaluations are to be conducted annually, conduct them annually. Don't make the employee hunt you down.
- **Schedule the conference in a quiet, private location.** If you don't have an office with a closed door, consider holding it in a conference room or other location. Give the employee at least 24 hours notice, more if possible, and let them know what you will be discussing so that they can come prepared (For the ride check, you can let the driver know that it will be occurring sometime prior to the actual evaluation conference, but the check itself should be unannounced).



- **Don't be afraid to ask for feedback.** The employee, if a problem exists, might be very aware of it, have suggestions to correct the problem and, in turn, accept further support or criticism from others with grace.
- **Do use a variety of evaluation methods tailored to fit your agency, employees and your management system.** Evaluations should provide information that is useful and insightful to management and employees. If evaluating drivers, conduct a ride along either shortly before or after your scheduled conference.

Evaluation Methods

The self-evaluation method gives the employee a written self-evaluation form that mirrors the manager's evaluation form. Enough time must be given prior to the formal evaluation to allow the employee to honestly reflect on their accomplishments and areas in need of improvement. A dialogue can then be established during the formal evaluation highlighting accomplishments, priorities, and what may be keeping employees from success.

The 360 degree method gets feedback from everyone the employee comes into contact with: customers, supervisors, managers, co-workers and direct reports. This method generally works well in a workplace environment where people are invested in helping everyone succeed.

The metrics-based evaluation method sets quantifiable goals then evaluates performance based on achieving those goals. In an ideal format, the answers are usually "yes" or "no", and numbers are assigned and tabulated. However, while some people think easily in quantifiable terms, some aspects of job performance are difficult to quantify.

Objective Criteria

Any evaluation method is most effective when measurable, objective criteria is defined and analyzed. Performance can then be compared to the established criteria and trends identified for improvement or advancement. Overall organizational performance will increase when success can be objectively measured and compared against past performances.

Employee Commendation Response

Every system needs to have an employee commendation response policy that allows for timely reaction to commendations received, either employee or customer generated. A supervisor should be identified as a contact person for handling commendations. Upon receiving such a commendation, the contact person should document, investigate and celebrate the commendation with the appropriate employee(s) within a prescribed time period (24 hours, one week, etc.) as decided by the system. Recognizing commendations as well as complaints is an important action to boost system morale.

Safety Related Complaint Response

Every system needs to have a safety related complaint response policy that allows for timely reaction to any complaint received, either employee or customer generated. A supervisor should be identified as a contact person for handling any safety related complaint. Upon receiving such a complaint, the contact person should document, investigate and reconcile the complaint within a prescribed time period (24 hours, one week, etc.) as decided by the system.

Health Risks

Transportation systems are entrusted to provide safe, consistent, reliable service for the general public and those with special needs. It is imperative that transportation system managers embrace and promote an on-going holistic approach to employee wellness (which equates into fitness for duty) by taking an interest in, and encouraging others to take personal responsibility for, the mental, physical and emotional health of their employees.

Due to the nature of the job, long periods of time sitting, time schedules, daily stressors of dealing directly with the public, etc., professional drivers should receive basic information on health maintenance, including diet and exercise. While the importance of avoiding excessive use of alcohol and misuse of drugs, legal or illegal, is mandated, managers should also consider implementing programs, which address both disease prevention and awareness of symptoms of diseases that could be avoided by pursuing a healthier lifestyle.

Workplace wellness programs not only benefit the employees by providing the opportunity for healthier lifestyles and increased longevity, but can directly benefit the transportation system as well. Healthier employees, in most cases, take fewer sick days, use fewer medical benefits, and are mentally alert and fit for duty. Company sponsored sports competitions such as bowling, basketball, softball, or other organized leagues or events can be an ideal atmosphere for promoting physical fitness and team building simultaneously.

Diabetes

Managers/supervisors and employees should be aware of and diligent in addressing any errors in vehicle operation, passenger complaints or unusual occurrences that could affect the safety of the public. The condition of adult onset diabetes, for example, increases significantly with age and can remain dormant, undetected and uncontrolled until the affected driver has a close call or an accident. Diabetes can make an individual feel sleepy or dizzy, be confused, have blurred vision or, in more extreme circumstances, lose consciousness or have a seizure, thus affecting the ability to drive safely. Long-term, diabetes can result in nerve damage to the hands, legs, feet or eyes, including significant vision loss or blindness. (Source: Kansas Trans Reporter, April 2005: Driver Performance: What To Do When Your Driver Has Diabetes.) Further, a recent study cited by the American Family Institute (***http://www.aafp.org/afp/20000101/141.html***), where older drivers injured in crashes were compared to a control group, the medical illness most predictive

of an increased risk for injury in an accident was diabetes, especially in older drivers using insulin or hypoglycemic agents. Adequate detection, diagnosis and treatment of illnesses in these disease categories may assist in reducing accident risk and maintaining driving skills.

Mixing Medications

Managers/supervisors and employees should also be aware of the implications of mixing drugs, legal or illegal. For example, if an individual is on hypertension (high blood pressure) drug therapy, which is fairly common, and because of discomfort from a cold, takes an over-the-counter decongestant, the results could be disastrous. The combination of these drugs, both stimulants and completely legal, could heighten the effects of hypertension resulting in symptoms of fatigue, severe headache, chest pain, breathing difficulty and irregular heat beat, ultimately causing a black out or worse.



The Federal Motor Carrier Safety Administration (FMCSA) has developed Design, Development, and Evaluation of the Truck and Bus Driver Wellness Programs including marketing and implementation ideas, which are available on the Internet at ***http://www.fmcsa.dot.gov/about/outreach/dsweek/driverwellness.htm***. Further, **The DOT Medical Examination: A Guide to Commercial Drivers' Medical Certification**, Natalie P. Hartenbaum, MD, MPH, Editor, can provide further insight into health risks and medical conditions which can affect a person's driving skill and condition.

According to a FMCSA 1997 report, these areas have been identified as core risk factors for potential professional operator health risks:

- *Smoking*
  Substantially increases cardiovascular diseases, is a risk factor in cancer and is a leading cause of lung diseases.

- *Obesity*
  Increases the risk for cardiovascular diseases, hypertension and diabetes and can increase problems with arthritis, back and joint pain.

- *Hypertension (high blood pressure)*
  Increases the risk of heart disease, renal failure and stroke. While it can be controlled with drugs, weight reduction sometimes eliminates the need for drug therapy. Symptoms may include fatigue, severe headache, chest pain, breathing difficulty, irregular heart beat.

- *Alcohol use and drug abuse*
  Depressants (alcohol, minor tranquilizers, anti-anxiety medications and marijuana) can product drowsiness, slurred speech, loss of coordination and impaired reaction time.

- *Stimulants, legal and illegal (amphetamines, Ritalin, decongestants and cocaine), while increasing physical and mental alertness, elevate blood pressure, and can produce restlessness, euphoria, headaches and may induce insomnia and irrational behavior, which may include aggression and hostility.*

- *Stress*
  Can increase the incidence of hypertension and cardiovascular, gastrointestinal and immune deficiencies and is a risk factor in a host of diseases, including depression and obesity.

- *Poor eating habits*
  Can be one of the most deciding factors in the health of an individual and one of the most difficult to change.

- *Physical activity*
  Can reduce the risk of physiological illnesses, such as depression, anxiety and stress as well as physical illnesses, such as obesity, heart disease, hypertension and some cancers.

Older Drivers

Older Americans represent the fastest growing segment of the U.S. population. As such, they represent a broad base from which to draw for potential drivers. From an employer and wellness standpoint, however, there are health issues that you will need to be aware of and/or address. Many diseases that are common in older drivers can affect driving ability, including, but not limited to, musculoskeletal disorders, sensory disorders, dementia, psychiatric disorders, stroke, sleep apnea, and alcohol. Drivers with medical conditions that can change abruptly, such as epilepsy, diabetes or heart disease, are also at

increased risk for accidents. A wellness program that offers the opportunity for detection, diagnosis and treatment of illnesses, especially in these categories, can assist in reducing accident risk and maintaining driving skills.

Wellness Program Ideas

Due to monetary constraints, transportation systems may need to be creative in developing and implementing wellness programs. Often, health agencies offer services for free or little cost. Employees should be involved in identifying special needs or goals they have for their personal wellness when developing or implementing a wellness program.

- Physical activity could be encouraged by bartering (free advertising) with local facilities such as Y's, senior centers, schools, universities, etc., which have fitness equipment, for free or low-cost memberships.

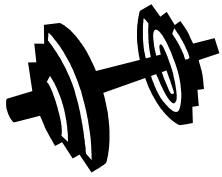
- Often, proactive, comprehensive blood screening and health assessment programs are offered in communities for no or little cost. Contact your local hospitals and/or other medical facilities.

- Encourage healthy eating habits by posting or distributing the food pyramid (http://www.usda.gov/cnpp/Pubs/Pyramid/FGPflyer-ENGLISH-line.pdf) and offering healthy snacks (fruits, vegetables, water) in the operators' lounge.

- Consider sponsoring annual physical examinations in lieu of the CDL required bi-annual physical. The benefit of catching an illness early may be realized in the cost savings of fewer sick days being used.

- Post health tips regularly (monthly, quarterly, etc.) in the operators' lounge. Some examples might be:

  - o Don't use any form of tobacco.
  - o Eat a healthy diet.
  - o Exercise regularly.
  - o See your doctor regularly for preventive care.



Again, your local hospital, other health provider, or your local affiliation of the American Heart Association, the American Lung Association, American Cancer Society, Diabetes Foundation, etc. can provide additional tips. Also consider posting phone numbers and websites for these organizations.

- Consider offering smoking cessation programs, or post the location(s) of where these programs are available in the community. Information is available through a number or organizations such as your local American Heart Association or ***www.americanheart.org***, the Foundation for a Smoke Free America, ***www.anti-smoking.org***, or your local hospital or other health provider.

- Formal informational sessions can be held to train employees on different aspects of wellness, e.g. stress, proper eating habits, symptoms of diseases that would affect the safe performance of duties. Invite guest speakers such as local physicians, pharmacists, representatives of the American Heart Association, American Cancer Society, etc.

- Consider sponsoring a local health fair or wellness clinic either individually or jointly with another business or organization and encourage employees to attend by providing incentives such as time off. Invite representatives of your local health and insurance providers, YM/WCA's, etc. and sponsor free blood pressure checks, diabetes assessments, diet and exercise counseling, etc. Some grocery stores may provide product samples of healthy snacks or other diet-friendly foods.



- Promote a voluntary team weight loss contest. The team concept, 2+ individuals per team, would increase support. Businesses also can team up with weight loss organizations such as Weight Watchers, to offer on-site classes.

- Offer incentives, recognition or encouragement for healthy choices, e.g., smoking cessation, weight loss, observed healthy choices, etc. This could be as simple as observing and a "You're doing great."

- Employees could benefit spiritually and mentally when providing a valuable service to the community. Offer volunteer day(s) off to provide a service to the community with a qualified non-profit agency.

- Set up a quiet room with comfortable seating, low lighting and no television or other distractions to allow a safe place to de-stress during breaks.

- Stress management classes could be regular topics at staff development meetings and are often provided by health organizations, community agencies, universities, etc. for free or little cost. Teaching stress management is a good investment in helping employees avoid job burnout. (source: Kansas Trans Reporter, October 2005)

- Transportation system drivers often transport the same passengers for long periods of time and develop strong bonds. When passengers become ill and/or pass away, drivers may experience the same grief they would as with the loss of a loved one or family member. Ensuring that grief counseling is available as part of your wellness or employee assistance program can be important to your employees' mental health.

Very simply, organizations that stress good physical, mental and emotional health are healthy organizations. Transportation systems are no different. It is particularly important for transportation managers/supervisors to model the behavior they want to see from their employees by practicing good physical, mental, and emotional health.

RESOURCES

- *American Association of Family Physicians, http://www.aafp.org*
- American Geriatric Society Advocacy Center, http://www.americangeriatrics.org/advocacy/.
- National Institute on Aging, http://www.nia.nih.gov/.
- Kansas Trans Reporter, October 2005. (*available in it's entirety on Resource CD*)
- The DOT Medical Examination, A Guide to Commercial Drivers' Medical Certification, Natalie P. Hartenbaum, MD, MPH, Editor, second edition, 2000.
- American Cancer Society, ***www.cancer.org***.
- American Heart Association, ***www.americanheart.org***.
- American Lung Association, ***www.lungusa.org***.
- Foundation for a Smokefree America, ***www.anti-smoking.org***.

Federal Transit Administration (FTA) Section 5307, 5309, and 5311 Assistance Recipients

In accordance with the U.S. Department of Transportation (USDOT), Federal Transit Administration (FTA), public transit systems must establish a drug and alcohol-testing program to achieve a drug- and alcohol-free work force in the interest of the health and safety of employees and the public. This includes conducting drug and alcohol testing of safety-sensitive transit employees. The requirements are set forth in the following regulations:

> 49 CFR part 655, *Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations*.
>
> 49 CFR part 40, *Procedures for Transportation Workplace Drug and Alcohol Testing Programs* (prescribes the testing methods to be followed).

Any recipient of Federal financial assistance under 49 U.S.C. Sections 5307, 5309, 5311 and 5316 of the Federal Transit Act, as amended or any recipient of Federal financial assistance under Section 103(e)(4) of title 23 of the United States Code must comply with these regulations. NOTE: SECTION 5311 ASSISTANCE RECIPIENTS – contract maintenance is exempt from drug and alcohol testing requirements.

FTA-covered systems must develop a drug- and alcohol-testing program that meets the requirements of the Federal Transit Administration. This includes having a policy in place that addresses the requirements set forth in the regulation, training both safety-sensitive employees and supervisors, testing safety-sensitive employees in accordance with the procedures set forth in the regulation, and adhering to the administrative procedures set forth in the regulation (See FTA Drug and Alcohol Policy Requirements Checklist further in this section).

To ensure that transit personnel are aware of all regulation changes and interpretations, the Office of Safety and Security publishes quarterly the FTA Drug and Alcohol Updates. Transit agencies may sign up for automatic updates via the Internet at:

http://transit-safety.volpe.dot.gov/subscribe/WhatsNewSub.asp.

Public transportation systems in West Virginia receive on-going training in the FTA program requirements and should already have a policy and program in place. If you have any question about your policy or program, please refer to the appropriate section of the Code of Federal Regulations (CFR) as indicated previously in this section and/or contact the West Virginia Department of Transportation, Division of Public Transit, (304) 558-0428, and ask for the D/A Program Coordinator. You may also visit FTA's Safety and Security website: http://transit-safety.volpe.dot.gov/

Sections 5310, 5316, and 5317 Assistance Recipients

Section 5310, 5316, and 5317 assistance recipients are not covered under the FTA Drug and Alcohol Program; however, these assistance recipients may be subject to Federal Motor Carrier Safety Administration (FMCSA) regulation 49 CFR part 382, *Controlled Substances and Alcohol Use and Testing*, if a driver is required to have a CDL. If you are not sure if you are in compliance, you should contact FMSCA at the phone number in the table below.

Non-FTA Transportation Providers

As a result of the Omnibus Transportation Employee Testing Act of 1991, the following USDOT Agencies established drug and alcohol testing regulations to ensure that aircraft, trains, trucks, and buses were operated in a safe and responsible manner. Even if your transportation system is not covered under the FTA program requirements, you may still be responsible for drug and alcohol testing compliance. Please refer to the following table to determine which Federal agency may have regulations applicable to your transportation system.

The FTA Policy Checklist provided later in this section is a good reference and can be used as a guideline to develop a drug and alcohol testing policy.

Cognizant Federal Agencies for Drug & Alcohol Testing

DOT Agency	Program Manager	Drug & Alcohol Testing Regulations	2006 Random Drug Testing Rate	2006 Random Alcohol Testing Rate
Federal Aviation Admin (FAA)	Diane J. Wood Drug Abatement Division Room 803 (AAM-800) Independence Ave, SW Washington DC 20591 Phone: 202-267-8442 Fax: 202-267-5200 diane.wood@faa.dot.gov	For employers and employees in the aviation industry 14 CFR Part 121 Appendix I & J	25%	10%
Federal Motor Carrier Safety Admin (FMCSA)	Jerry Fulnecky (acting) Enforcement & Compliance Room 8314 400 7th St. SW Washington DC 20590 Phone: 202-366-2096 Fax: 202-366-7908 Jerry.fulnecky@fmcsa.dot.gov	For carriers and commercial driver's license holders (CDL) 49 CFR Part 382	50%	10%
Federal Railroad Admin (FRA)	Lamar Allen Office of Safety 1120 Vermont Ave,NW Washington DC 20005 Phone: 202-493-6313 Fax: 202-493-6230 Lamar.allen@fra.dot.gov	For employers and employees working in the railroad industry 49 CFR Part 219	25%	10%
Federal Transit Admin (FTA)	Jerry Powers Office of Safety & Security Room 9301l 400 7th St. SW Washington DC 20590 Phone: 202-366-1080 Fax: 202-366-3394 Gerald.Powers@fta.dot.gov	For employers and employees working in the mass transit industry 49 CFR Part 655	50%	10%

DOT Agency	Program Manager	Drug & Alcohol	2006	2006

		Testing Regulations	Random Drug Testing Rate	Random Alcohol Testing Rate
Pipeline & Hazardous Material Safety Administration (PHMSA)	Stanley Kastanas (acting) Office of Pipeline Safety Room 2103 (DPS-2) 400 7th St. SW Washington DC 20590 Phone: 202-366-3844 Fax: 202-366-4566 Stanley.Kastanas@DOT.GOV	For operators and employees working in the pipeline industry 49 CFR Part 199	25%	N/A
United States Coast Guard (USCG)	Robert C. Schoening Office of Investigation & Analysis Room 2406 (G-MOA) 2100 2nd St. SW Washington DC 20593-0001 Phone: 202-267-0684 Fax: 202-267-1416 rschoening@comdt.uscg.mil	For employer and employees operating commercial vessels 46 CFR Part 16 46 CFR Part 4	50%	N/A

Last updated on: 3/8/2006

U.S. Department of Transportation, 400 7th Street, S.W., Washington D.C. 20590 Phone: 202-366-4000

FTA Drug and Alcohol Policy Requirements Checklist

Designated contact person, and board adoption

- Identity of person, office, branch, and/or position
- Proof of policy adoption by Local Governing Board or Other Authorized Official

Covered Employees

- Operation of a revenue service vehicle, in or out of revenue service
- Operation of a non-revenue vehicle requiring a CDL
- Controlling movement or dispatch of a revenue service vehicle (determined by employer)
- Security personnel who carry firearms
- Maintenance of a revenue service vehicle
- Contractor employees that *stand in the shoes* of Transit System employees also have to comply

Prohibited Substances

- Marijuana
- Cocaine
- Amphetamines
- Opiates
- Phencyclidine
- Alcohol



Pre-employment

- Negative test before 1st safety-sensitive duty, must make up if cancelled
- Not safety-sensitive for 90-days and out of pool need pre-employment test
- Applicant who failed/refused must show evidence of treatment
- If alcohol test, must follow Part 40 regulations

Reasonable suspicion

- Trained supervisor
- Physical behavior, performance, contemporaneous observation

Post-accident

- Fatality
- Medical treatment away from scene, unless driver discounted
- Disabling damage, unless driver discounted
- Drug test within 32 hours
- Alcohol within 8 hours
- No test 2 hours, create note, no test 8 hours, update note
- Readily available, or refusal to test
- Readily available stayed for resolution and medical treatment

Return-to-duty and Follow-up

- Conducted in accordance with Part 40, subpart O

FTA Drug and Alcohol Policy Requirements Checklist, Continued

Random

- Scientifically valid selection method
- Testing is conducted on all days and hours throughout the year
- Unannounced and immediate
- No discretion by management or operations

Prohibited behavior

- Alcohol use 4 hours prior, on call, while performing safety-sensitive duty
- Alcohol use 8 hours after accident or until post-accident test

Period of Coverage

- Drug test – anytime on while on duty
- Alcohol test – Just before, during, or immediately after safety-sensitive duty

Testing Methods

- Drug & alcohol tests - detailed discussion in policy now optional
- It is only necessary to reference Part 40, but if referenced, copies must be available for employees

Test Requirement

- All covered employees are required to submit to drug and alcohol tests as a condition of employment in accordance with Part 655

Test Refusal

- Failure to provide breath or urine sample
- Insufficient volume without valid medical explanation
- Tampering, adulterating, or substituting specimen
- Failing to appear within a reasonable time - *defined by employer*
- Leaving the scene of an accident without just cause prior to submitting to a test
- Leaving collection facility prior to test completion
- Failing to permit an observed or monitored collection when required
- Failing to take a second test when required
- Failing to undergo a medical examination when required
- Failing to cooperate with any part of the testing process
- Failing to sign Step 2 of alcohol test form
- Medical Review Officer (MRO) verified adulterated/substituted sample
- Once test is underway, failing to remain at site and provide a specimen
- For pre-employment, NOT refusal: Failure to appear
- For pre-employment, NOT refusal: Failure to remain at site prior to commencement of test
- For pre-employment, NOT refusal: Aborting the collection before the test commences
- No claim that refusal to take a company test is a refusal to DOT test

FTA Drug and Alcohol Policy Requirements Checklist, Continued

Consequences

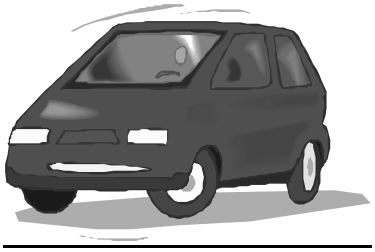
- Positive drug or alcohol (above 0.04) test result or test refusal
- Blood Alcohol Content (BAC) (0.02 to 0.039)
- Dilute negative
- Dilute negative results 2-5 mg/dl
- Immediate remove employee from safety-sensitive position
- Refer for assessment by a Substance Abuse Professional (SAP)
- Apply transit system disciplinary policy
- SAP Referral Required
- All employees/applicants must be given valid contact information for an USDOT-qualified SAP if they test positive.

Additional Employer Provisions Allowed

- Must be identified
- The provisions of the Drug Free Workplace Act of 1988 may be incorporated in the policy statement but must be so identified

Compliance Tips

- Effective date of policy-normally found on cover of policy
- Policy distribution -Employees should be requested to sign a confirmation of receipt form
- Make sure future revisions of a substantive nature also receive Board approval
- Make sure all employees have the most current version of the policy
- Clearly differentiate between FTA and company authority



Prescription (Rx) and OTC Medications: A Reality in the Transit Work Place

This is reality: we live in a "feel better quick" society. No one wants to suffer longer than necessary with a head cold, back pain, or headache. One look around your local pharmacy and you'll find no less than five remedies for any particular ailment. We are encouraged by TV and radio to "ask your physician" for this prescription and that treatment. And, this reality affects the workplace, because we've all done it: reported to work when, perhaps, we should have stayed home. It might be a rigid sick leave policy, parents who save their sick leave for their children, or no sick leave at all; it may be not wanting to burden co-workers, or just plain dedication to our jobs, but at one time or another we've reported to work when we perhaps were not physically or mentally "fit for duty." Although the fine print on the medication insert or the prescription bottle states the possible side affects and "do not operate machinery while taking this medication," we feel "fine" and perfectly capable of performing our job, and in your case driving a transit vehicle filled with passengers, believing the drug manufacturers are talking about someone else, not us.

Prescription (Rx) and Over-the-Counter (OTC) medications used in the workplace is a fitness for duty and safety issue for employees performing safety sensitive duties. Despite the lack of testing requirements or general guidelines for the use of these medications in the workplace, there are steps that you can and should take to ensure the safety of your passengers and your employees.

Develop A Prescription (Rx) and OTC Medication Policy

Normal illnesses (common colds, allergies, headaches, etc.) affecting your employees can be an every day event for any manager. These illnesses, and medications they may be using to counteract them, are an issue insofar as they may affect the employee's physical condition, and therefore become a fitness for duty issue when the employee is performing a safety sensitive function. Having a policy in place that addresses the situation and provides the guidelines for assessment as well as a policy which not only directs but supports a manager's actions, protects you as an employer, your employees, and, ultimately, your passengers.

An Rx/OTC policy statement is an essential part of your overall drug and alcohol program and will serve to educate your safety-sensitive employees on the potential safety risks associated with the use of Rx and OTC medications. To develop an effective Rx/OTC policy statement, consider the following:

- If your agency is covered by the Federal Transit Administration's Drug and Alcohol Testing Policy, FTA recommends, not requires that Rx/OTC medications be addressed in a policy separate from your FTA Drug and Alcohol Testing Policy.

- Become familiar with the varieties and types of medications that are being prescribed, and commonly used over-the-counter medications. Vicodin, Percocet, Oxycodone, and Darvocet, are medications commonly prescribed to relieve moderate to severe pain. Xanax, Valium, and Ativan are prescription medications used to relieve anxiety. Drixoral, Nyquil, Benadryl, and Chlortrimeton are over-the-counter medications used to relieve the symptoms of colds and allergies. Benadryl by itself, or as an additive in Tylenol P.M., is also commonly used as a sleep-aid. These are just a sampling of Rx/OTC medications that are on the marketplace, and all of these medications can cause drowsiness and affect the safe operation of machinery, e.g. transit vehicles.



- Emphasize that the use of some Rx/OTC medications while performing a safety sensitive job duty can be as much of a safety issue as the use of illegal drugs.

- Remember your intent with an Rx/OTC policy is to balance the treatment of medical conditions with requirements of performing safety-sensitive job duties. It should not be your intention to force employees in need of medical attention to return to work prematurely, neither do you want to keep employees receiving medical treatment from returning to work.

- Address the removal of employees from safety-sensitive duty who are impaired by Rx/OTC medications.

- Develop an attendance policy that reflects Rx/OTC-use related absences. Be careful, however, that your attendance policy does not inadvertently encourage employees from reporting for work or remaining on duty when impaired by illness or Rx/OTC use (i.e., no sick leave; Rx/OTC use ineligible for leave, etc.). Be sure to consider Rx/OTC use when establishing limitations on sick leave use.

- Decide whether or not to prohibit certain types of medications or medications with specific types of warnings or side effects. At a minimum, medications that cause drowsiness, fatigue or have warning labels that

caution against the operation of machines, heavy equipment, or automobiles should be prohibited. Establish the guidelines under which you will obtain medical authorization for employees to use certain medications while performing their job duties.

- Establish your employees' responsibilities for reporting their use of Rx/OTC medications.

- Clearly state the consequences for policy violations including the use of Rx/OTC that contributes to cause or severity of an accident and failure to report use or obtain medical authorization, if required.

- Remember, confidentiality in relation to records and interaction with medical practitioners must be maintained at all times.

Refrain from developing a policy that relies on an employee's perception of his or her impairment. If you ask a driver if he or she feels well enough to drive, the answer more than likely will be "yes." Employees are commonly unaware of, or unable to accurately ascertain, their degree of impairment and may report for work or remain on duty when they pose a safety risk to themselves, other transportation system employees, and the general public.

As indicated previously, transportation systems are not required to address Rx and OTC medications in their drug and alcohol (D/A) policies, however, the WVDOT/Division of Public Transit, therefore, strongly recommends that transportation systems be proactive and develop this policy as part of its overall Drug and Alcohol Program. The FTA has a Prescription and Over-the-Counter Medication Tool Kit available to assist transportation systems in addressing this issue. This tool kit contains sample policies and recommendations and is available for download at: ***http://transit-safety.volpe.dot.gov/publications/substance/rxocx/rxocx.pdf***.

NOTE: Information for the Rx and OTC medications was taken in part from the article *"Rx and OTC Medications, Employer Rx and OTC Policy Guidance"* FTA Quarterly Drug and Alcohol Update, Issue 24, Page 5.

What are Bloodborne Pathogens?

Bloodborne pathogens are microorganisms such as viruses or bacteria that are carried in the bloodstream and can cause disease in people. There are many different types of bloodborne pathogens, including malaria, syphilis and brucellosis, but Hepatitis B (HBV) and the Human Immunodeficiency Virus (HIV) are the two diseases specifically addressed by the OSHA Bloodborne Pathogen Standard. In March 1992, OSHA's Bloodborne Pathogen Standard, 29 CFR 1910.1030, took effect. This standard was designed to help prevent more than 200 deaths and 9,000 bloodborne infections every year. While the standard was primarily aimed at hospitals, funeral homes, nursing homes, clinics, law enforcement agencies, emergency responders, and HIV/HBV research laboratories, anyone who can "reasonably expect to come in contact with blood or potentially infectious materials" as part of their job is covered by the standard.

Note: State and local government workers are excluded from Federal coverage under the Occupational Safety and Health Act of 1970 (the "OSH Act"). The West Virginia Department of Transportation, Division of Public Transit, requires all recipients of financial assistance to comply with the OSHA Bloodborne Pathogen Standard, 29 CFR 1910.1030.

Many transit employees can “reasonably anticipate” exposure to blood and/or other potentially infectious materials as part of their job duties, and therefore must receive training to limit, or avoid this exposure to the maximum extent feasible. The person conducting the training must be knowledgeable in the subject matter covered by the elements contained in the training program as it relates to the workplace that the training will address.

Transportation system employees must be aware of the ways exposure are most likely to occur, for example, assisting Dialysis patients, cleaning blood or other body fluid (urine, vomit, saliva) that is visibly contaminated with blood from the vehicle, and providing first aid.

Exposure Control Plan

You are required to develop and implement an Exposure Control Plan. The plan should include but is not limited to:

- Providing a Hepatitis B vaccination program at no-cost to the employee; if the employee does not want to participate in the vaccination program, you must ask them to sign the declination statement;

- Establishing a training program for all employees to teach them the characteristics of bloodborne pathogens;

- Including in your training and Exposure Control Plan "Universal Precautions." Universal Precautions is the term used to describe a prevention strategy in which all blood and potentially infectious materials are treated as if they are, in fact, infectious, regardless of the perceived status of the source individual. In other words, whether or not you think the blood/body fluid is infected with bloodborne pathogens, you treat it as if it is. This approach is used in all situations where exposure to blood or potentially infectious materials is possible. This also means that certain work practice controls shall always be utilized in situations where exposure may occur;

- Including a bloodborne pathogen Awareness Training Program in your Exposure Control Plan. The training must include information on determining who is infected and how transmission can occur and result in infection. OSHA requires that Awareness Training be conducted annually;

- Practicing actual spill clean-ups using water, fruit juice,

- Placing biohazard response kits on vehicles and at work locations; and

- Providing specific training to all employees regarding the use and contents of cleaning kits, procedures and incident reports as they relate to bloodborne pathogens.

Awareness Training Program

The Exposure Control Plan must include an awareness-training program regarding bloodborne pathogens. It must include information on determining who is infected and how transmission can occur and result in infection. OSHA requires that training must be conducted annually.

It is impossible to know for sure if an individual that the system might come into contact with is or is not infected. That is why it is so important for everyone to understand that all blood and other applicable body fluids must be considered infectious at all times and that all precautions be put in place to prevent contact with these fluids so as to minimize the probability of infection.

All bloodborne pathogens are carried in the blood. In addition, they can often be found in several different kinds of body fluids, including blood products such as those found in the drainage of wounds, vaginal secretions, semen, and saliva as a result of dental procedures. Normally less dangerous bodily fluids include tears, perspiration, vomit, urine, feces and saliva from drooling. However, if any of these bodily fluids contain visible blood, then they fall into the same class of potential infection agents as blood, blood products, etc.



Infection results from the intrusion of bloodborne pathogens into a person's body. Intrusion can incur through a variety of entry points including mucous membranes of the eyes, nose and mouth, via cuts or scratches in the skin or through skin which has been punctured by a contaminated sharp object such as broken glass. These could be the general pathways for infection of transit personnel and passengers during typical service delivery. Infection can also occur as a result of sexual contact and by the sharing of needles by drug users. It is believed that unless your transit system is atypical, the latter two routes of infection are probably not going to be common problem areas for you.

Ultimately as you might expect, the highest probability of exposure and the potential transmission of infection can and will occur as a result of an accident. However, an accident does not necessarily have to be a major collision. It could very well be something as simple as a bloody nose, a cut caused by something that is broken, or by vomit generated by someone having a reaction to chemotherapy or some other medical treatment.

It is most important to assume that all blood and other bodily fluids are infectious so that all appropriate precautions can be taken to prevent transmission and eventual infection. OSHA considers this assumption to be an approach they label as "Universal Precautions."

Hepatitis B (HBV)

In the United States, approximately 300,000 people are infected with HBV annually. Of these cases, a small percentage are fatal.

"Hepatitis" means "inflammation of the liver," and, as its name implies, Hepatitis B is a virus that infects the liver. While there are several different types of Hepatitis, Hepatitis B is transmitted primarily through "blood to blood" contact. Hepatitis B initially causes inflammation of the liver, but it can lead to more serious conditions such as cirrhosis and liver cancer.

There is no "cure" or specific treatment for HBV, but many people who contract the disease will develop antibodies, which help them get over the infection and protect them from getting it again. It is important to note, however, that there are different kinds of hepatitis, so infection with HBV will not prevent someone from contracting another type.

The Hepatitis B virus is very durable, and it can survive in dried blood for up to seven days. For this reason, this virus is the primary concern for employees who may be exposed to blood or potentially infectious materials in a non first-aid or medical care situation.

HBV Symptoms

The symptoms of HBV are very much like a mild "flu." Initially there is a sense of fatigue, possible stomach pain, loss of appetite, and even nausea. As the disease continues to develop, jaundice (a distinct yellowing of the skin and eyes), and a darkened urine will often occur. However, people who are infected with HBV will often show no symptoms for some time. After exposure, it can take 1-9 months before symptoms become noticeable. Loss of appetite and stomach pain, for example, commonly appear within 1-3 months, but can occur as soon as 2 weeks or as long as 6-9 months after infection.

Hepatitis B is not spread through food or water, sharing eating utensils, breastfeeding, hugging, kissing, coughing, sneezing or by casual contact.

Human Immunodeficiency Virus (HIV):

AIDS, or acquired immune deficiency syndrome, is caused by a virus called the human immunodeficiency virus, or HIV. Once a person has been infected with

HIV, it may be many years before AIDS actually develops. HIV attacks the body's immune system, weakening it so that it cannot fight other deadly diseases. AIDS is a fatal disease, and while treatment for it is improving, there is no known cure.

Estimates on the number of people infected with HIV vary, but some estimates suggest that an average of 35,000 people are infected every year in the US (in 2000, 45,000 new infections were reported). It is believed that as of 2000, 920,000 persons were living with HIV/AIDS in the United States. These numbers could be higher, as many people who are infected with HIV may be completely unaware of it.

The HIV virus is very fragile and will not survive very long outside of the human body. It is primarily of concern to employees providing first aid or medical care in situations involving fresh blood or other potentially infectious materials. It is estimated that the chances of contracting HIV in a workplace environment are only 0.4%. However, because it is such a devastating disease, all precautions must be taken to avoid exposure.

AIDS infection essentially occurs in three broad stages. The first stage happens when a person is actually infected with HIV. After the initial infection, a person may show few or no signs of illness for many years. Eventually, in the second stage, an individual may begin to suffer swollen lymph glands or other lesser diseases, which begin to take advantage of the body's weakened immune system. The second stage is believed to eventually lead to AIDS, the third and final stage, in all cases. In this stage, the body becomes completely unable to fight off life-threatening diseases and infections.



HIV Symptoms

Symptoms of HIV infection can vary, but often include weakness, fever, sore throat, nausea, headaches, diarrhea, a white coating on the tongue, weight loss, and swollen lymph glands.

Biohazard Kits and Their Use

You should equip each of your vehicles with an appropriately stocked biohazard kit. You should also ensure that all employees are trained on how to

use the equipment contained in the biohazard kit. A typical kit should contain, at a minimum, the following items:

- disposable gloves to protect hands;
- an appropriate disinfectant spray (which may be considered a hazardous material) to prevent transmission and infection from occurring during any spill clean up;
- absorbent paper towels appropriate for clean-up;
- absorbent powder for appropriate clean-up;
- approved puncture-resistant red bags with the biohazard symbol and/or appropriate labels, along with containers for the proper disposal of contaminated materials;
- a brush, dust pan, and tongs appropriate for mechanically picking up sharps (broken glass, needles, etc.); and
- towelettes containing disinfectant to be used for final cleanup after the disposal of contaminated gloves.

Biohazard Kit Training

Each employee should receive appropriate training on how to effectively utilize the materials in the biohazard kit. In the event that blood or bodily fluid with visible blood within it has to be cleaned up, specific steps should be taken. It is your responsibility to train your employees in the proper clean up and disposal procedures.

The procedure should be as follows for the cleanup of all blood, blood products, and other body fluids visibly contaminated with blood.

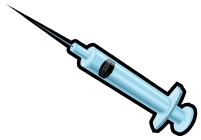
- Disinfectant spray should be used to decontaminate the spill.
- After the disinfectant has been sprayed onto the infected area, clean up the area using paper towels and/or absorbent powder.

- Once the area is wiped clean, new disinfectant spray and towels or absorbent powder should again be used to collect any residue material.

- Any materials acquired by the towels in the cleanup and the towels must be placed carefully into a red biohazard bag. In addition, gloves worn by the employee during the cleanup must also be placed into the red biohazard bag. Any item, which is saturated with blood or body fluids, must go into a red biohazard bag.

Any material which you feel may be contaminated should be placed into a leak proof bag. It is probably wise to assume that all materials being cleaned up and discarded do contain blood or body fluids (with blood) and should be placed into the red biohazard bags.

If it is necessary to cleanup broken glass, needles, or other sharp objects known as "sharps" which could cut you, tear your gloves, or otherwise cause a problem, they should be handled strictly by mechanical means. This means the use of the brush, dustpan and tongs within the biohazard kit. Make sure that any "sharps" are put into a leak proof, puncture-proof container properly marked with the approved biohazard symbol. As a total precaution the brush, dustpan, and tongs used to mechanically pick up "sharps" should also be discarded in the container.



Transportation systems should not attempt final disposal of biohazardous materials. Rather, contact a local hospital, clinic or medical waste disposal company to make arrangements for final and proper disposal of the biohazardous material. Never put labeled biohazardous materials, no matter how small, into the regular trash. The following is the ideal process for labeling and disposal of biohazardous waste:

- Labels must be florescent orange or orange-red or predominantly so, with lettering or symbols in a contrasting color.

- Labels must either be an integral part of the container or affixed as close as feasible to the container by string, wire, adhesive, or other method that prevents their loss or unintentional removal.

- Red bags or red containers may be substituted for labels.

- Individual containers of blood or other potentially infectious materials that are placed in a labeled container during storage, transport, shipment or disposal are exempted from the labeling requirement.

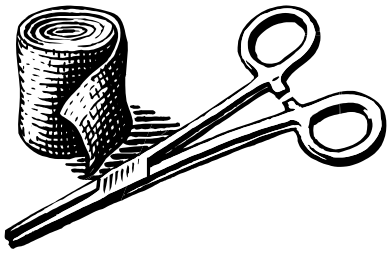
- Labels required for contaminated equipment must also state which portions of the equipment remain contaminated.

- Regulated waste that has been decontaminated need not be labeled or color-coded.

- The primary impacts to transportation systems regarding labeling requirements are the biohazard waste bags and the containers into which they are stored before final disposal.

Note: Your transportation system may be considered a low volume generator of biohazardous waste. Low volume generators are not required to dispose of biohazardous waste in accordance with medical practice and the steps shown above. If your local health department classifies your systems as a low volume generator, you are permitted to dispose of the waste in regular trash containers. Do not, however, leave the biohazard bags exposed or labeled, but place the biohazard bag into a back opaque trash bag before disposal. Unless you meet the requirements for low volume generators as indicated above, even small amounts of biohazardous materials must be disposed of in accordance with proper medical procedures. Contact your local county health department for further assistance.

Reporting Exposure Incidents



You are required to report and conduct a follow-up, including a report from the healthcare professional, when an employee may have been exposed to a bloodborne pathogen from exposure to blood or through needle sticks, to non-intact skin, cuts, or penetrations of the skin and/or splashes to the mucous membranes. Routine use of a biohazard kit to cleanup a biohazardous spill does not trigger an investigation or medical follow-up unless there is reason to believe that an exposure may have occurred. However, it is suggested that you record biohazard kit usage, although you are only required to report and investigate

when there is a reasonable probability that an employee has been exposed to a bloodborne pathogen.

All exposure incidents must be documented. Attempts must be made to capture reasonably detailed information regarding the circumstances of a biohazardous spill and employee exposure incident, therefore, we recommend you use some type of form to ensure that you are capturing complete and consistent information for each incident. A form also provides a base record for determining if additional information is necessary in order to properly evaluate the incident. Information to be captured includes:

- a full description of the incident;
- the equipment within the biohazard kit, which was worn and used in the cleanup;
- whether or not you feel you were exposed to bloodborne pathogens;
- a description of the passenger and anything relevant to the way they acted or what happened to them; and
- the status of your Hepatitis B vaccination program.

The ultimate purpose of an incident report form and of the investigation that follows is:

- to identify and develop methods for preventing future such incidents; and
- provide background information for any medical follow-up.

The final step in the cleanup phase should be to thoroughly wash your hands with running water and an ample amount of good quality antiseptic soap. Thorough washing of your hands followed by a second thorough washing should prevent any potential for transmission and infection.

Incident Report Form

As indicated above, an incident report must be completed for all exposure incidents involving potential bloodborne pathogens. A recommended form can be found in **SECTION 4. PASSENGER, VEHICLE, AND SYSTEM SAFETY FORMS AND EXAMPLES.** You will want to modify, expand and/or supplement this form to meet your particular needs and to reflect your own experience.

RESOURCES

You may need more detailed information than what is presented in this section. For OSHA's complete standard for bloodborne pathogens, go to their website, www.osha.gov, and pull up 29 CFR 1910.1030A from the OSHA standards. Further, a number of websites will assist you in learning more about bloodborne pathogens in the workplace.

- ***www.osha.gov/SLTC/bloodbornepathogens/***.
- ***www.cdc.gov/nios/topics/bbp/***.
- ***www.afscme.org/health/faq-bbp.htm***.
- The okstate.edu website provides training modules available over the Internet: ***www.okstate.edu/ehs/modules/bbp.htm.***

Airborne contaminants are carried by or through the air, like dust or pollen. The Center for Disease Control and Prevention (CDC) has procedures to deal with coal dust and with radiation exposure, which are classified as airborne contaminants. However, transit drivers in their day-to-day duties are unlikely to be exposed to these contaminants. Therefore, this section focuses more on the airborne contaminants that transportation system employees and passengers are likely to encounter (such as a bottle of ammonia spilled inside the vehicle).

The common cold and flu, whether it is seasonal or a "specialty" virus like bird flu, are illnesses that can adversely impact your operation. Senior citizens and children are most susceptible to these illnesses and can spread the germs to drivers. Offering employees flu vaccinations at no or minimal cost, making sure hand sanitizers are available in appropriate locations throughout your work site, providing regular reminders about cold and flu prevention, are just a few ways that you can actively work to minimize or reduce the negative impact airborne illnesses can have on your transportation system.

Colds and Flu

Colds and the flu (influenza) are contagious illnesses caused by viruses that infect the nose, throat, and lungs. Both are spread from person to person when an infected person coughs or sneezes. More serious than colds, the flu can cause mild to severe illness, and at times can lead to death. According to the Centers for Disease Control and Prevention, the best way to prevent this illness is by getting a flu vaccination each fall.

> Consider teaming with local health facilities to offer flu immunizations at your facility, or to offer free or reduced price transportation to locations where the immunizations are being offered.

Tuberculosis (TB)

Tuberculosis (TB) is a disease caused by germs that are spread from person to person through the air. TB usually affects the lungs. In West Virginia the risk of encountering someone with TB is low, but not impossible. In 2005, 28 cases were reported statewide. TB is still an issue outside the United States, therefore, people traveling on vacation, for church and mission trips, etc., could have been exposed. If you suspect that you have been exposed to someone with TB, there are tests that can help detect TB infection.

Severe Acute Respiratory Syndrome (SARS)

Severe Acute Respiratory Syndrome (SARS), a relatively new respiratory illness that received much attention in the media in the past few years, is a virus that can be spread through the air, although this type of transmission is considered unusual. SARS is typically spread by close person-to-person contact. Currently, SARS is not considered a significant risk by the Centers for Disease Control and Prevention.

Avian Influenza (Bird Flu)

Avian influenza is an infection caused by avian (bird) influenza (flu) viruses. These influenza viruses occur naturally among birds. Wild birds worldwide carry the viruses in their intestines but usually do not get sick from them. However, avian influenza is very contagious among birds and can make some domesticated birds, including chickens, ducks, and turkeys, very sick and kill them.

Bird flu is spreading world-wide and may be a concern for the United States in the very near future. Monitoring the CDC web site will keep you updated on the spread and prevention recommendations for bird flu and other diseases.

There are many different subtypes of type A influenza viruses. These subtypes differ because of changes in certain proteins on the surface of the influenza A virus. There are over 25 subtypes of influenza A viruses and all known subtypes of influenza A viruses can be found in birds.



Usually, "avian influenza virus" refers to influenza A viruses found chiefly in birds, but infections with these viruses can occur in humans. The risk from avian influenza is generally low to most people, because the viruses do not usually infect humans.

Flu Pandemic

A flu pandemic is a global outbreak of disease that occurs when a new influenza A virus appears or "emerges" in the human population, causes serious illness, and then spreads easily from person to person worldwide. Pandemics are different from seasonal outbreaks or "epidemics" of influenza. Seasonal outbreaks are caused by subtypes of influenza viruses that already circulate

among people, whereas pandemic outbreaks are caused by subtypes that are new, that have never circulated among people, or that have not circulated among people for a long time. Past influenza pandemics have led to high levels of illness, death, social disruption, and economic loss. Whether or not there is a global outbreak, local flu outbreaks can and do close schools and businesses every year. Having a contingency plan will ensure that your operations can continue during such a situation. A few of the items to consider in your contingency plan include,

- Identify your essential employees;
- Make sure employees are cross trained in all essential job functions;
- Encourage and track annual flu vacccination for all employees;
- Consider policies for flexible work sites and hours; and
- Review (or establish) policies for preventing the spread of flu at the work site.

For a complete checklist for businesses, as well as a personal checklist for individuals, go to ***www.pandemicflu.gov***.

Preventing the Spread of Colds and Flu

Employers and employees can help prevent the spread of colds and flu in the workplace. Vaccination against the flu each fall remains the primary way to prevent this disease. In addition to vaccination, the following simple actions, can help decrease the spread of respiratory illnesses like the flu.

- ***Avoid close contact.*** Avoid close contact with people who are sick. When you are sick, keep your distance from others, to the extent possible, to protect them from getting sick too.
- ***Stay home when you are sick.*** When you are sick or have flu symptoms, stay home, get plenty of rest, and check with a health care provider as needed.

Review personnel and leave policies to ensure that employees who stay home when they are ill are not penalized.

- ***Cover your mouth and nose.*** Cover your mouth and nose with a tissue when coughing or sneezing. It may prevent those around you from getting sick.

- ***Wash your hands.*** Washing your hands often will help protect you from the germs, which cause colds and flu. When soap and water are not available, alcohol-based disposable hand wipes or gel sanitizers are good alternatives.

- ***Avoid touching your eyes, nose or mouth.*** Germs are often spread when a person touches something that is contaminated with germs and then touches his or her eyes, nose, or mouth. Germs can live for a long time (some can live for 2 hours or more) on surfaces like doorknobs, desks, and tables.

Precautions for persons who count fares could include wearing latex gloves when handling the money. At a minimum, hands should be washed immediately following the fare counting and/or hand sanitizer should be available.

Practicing Other Good Health Habits

There is no better medicine for preventing illness than **getting plenty of sleep, staying physically active, managing stress, drinking plenty of fluids, and eating nutritious food.** Practicing healthy habits will help you stay healthy during flu season and all year long.

Management Policies

While all of the tips presented above will be helpful to prevent the spread of disease, there are other things that you as managers need to consider. Often leave policies will dictate whether or not an employee elects to stay home when they are feeling ill. Incentives, such as rewards for zero sick leave usages, often used to encourage attendance and discourage leave abuse, might actually encourage people to come to work when they should not. This is a delicate balance and should be considered when formulating your leave policies.

At the beginning of the cold and flu season, discuss your leave policies and consider providing guidelines, such as "do not come to work if you have a fever of over 100 degrees; nausea; vomiting, etc. and provide reminders for the disease-prevention guidelines discussed above. Only you know what works best for your employees and your agency and which policies and guidelines are appropriate.

RESOURCES

- Current information on seasonal flu may be accessed at: ***http://www.cdc.gov/flu***

- Current information on avian influenza viruses may be accessed at: ***http://www.cdc.gov/flu/avian/***

- Current information on influenza pandemic may be accessed at: ***http://www.pandemicflu.gov/***

- The West Virginia Department of Health and Human Resources web site at ***http://www.wvdhhr.org/*** provides information and links to your local health department. You may be able to have employees vaccinated by the health department at a lower cost than by a private provider:

Overview of OSHA Requirements

As an employer you are responsible under the ***Occupational Safety and Health Act*** to provide a workplace free from recognized hazards that are causing or are likely to cause death or serious physical harm to your employees. You must comply with standards, rules and regulations issued by OSHA under the ***Act***. You must be familiar with the standards and make copies available to employees for review upon their request. OSHA's regulations are contained in ***Title 29, Code of Federal Regulations*** (CFR) Parts 1900-1910.

Copies of various OSHA standards are available for purchase through the Superintendent of Documents, Government Printing Office, Washington, DC 20402-9325 (phone 202-512-1800) (fax 202-512-2250). Payment may be made by check payable to the GPO Deposit Account, or with VISA or MasterCard.

OSHA coverage of state and local government workers

Some transit systems may be part of a state or local government. As such, state and local government workers are excluded from Federal coverage under the Occupational Safety and Health Act of 1970 (the "OSH Act"). However, states operating their own state workplace safety and health programs under plans approved by the U.S. Department of Labor cover most private sector workers and are also required to extend their coverage to public sector (state and local government) workers in the state. Section 2 (11) of the OSH Act encourages states to develop and operate their own state OSH programs.

OSHA and Transportation Systems

As a transportation system, you have responsibilities under OSHA for both your vehicles and your facilities. OSHA requirements for bloodborne pathogens are covered in a separate section (please refer to the table of contents). Other OSHA areas are addressed below.

Facility Safety/Hazard Audit Checklists

Facility safety includes having exit lights in appropriate locations, the availability of first aid and bloodborne pathogen clean-up kits, eye-wash stations, and identifying chemical hazards. Hazard audits are an important part of your overall safety program, and will help you identify safety concerns before they become safety catastrophes. Although not required, a Hazard Audit Checklist

will assist you in identifying areas that are in compliance and those areas that will require corrective action.

As you conduct your audit, be aware of, and address, the following fundamental safety areas:

- Basic Design Deficiencies;
- Inherent Hazards;
- Malfunctions;
- Maintenance Hazards;

- Environmental Hazards; and
- Human Factors.

While not covered by OSHA regulations, during your audit, look for areas that may contain mold spores. Mold spores can result in allergic reactions and cause health concerns to those exposed to mold.

The Hazard Audit Checklist areas that do not apply to your operation can be removed and discarded. Perform regular walk-throughs periodically depending on the size of your transportation system, at least once each quarter; inspections should be performed annually. Your hazardous material inventory should also be checked regularly; additions and deletions to the inventory should be made as they occur.

Fire Safety

Fire extinguishers should be checked regularly and maintained. As part of your overall safety program, regularly review the location of fire extinguishers in your facility with all of your employees, and review the procedures for their use. If possible, work with your local fire department for regular fire safety reviews, and drills. Smoke detectors should also be regularly checked and batteries replaced. At a minimum, replace the batteries in all smoke detectors in the spring and fall coinciding with the beginning and ending of daylight savings time.



Hazardous Material Storage

Another good management practice is to maintain an inventory of hazardous material(s). List all the areas where hazardous material(s) are stored. Inspect and record the condition of the storage area and its suitability for hazardous material containment.

Maintaining a record of the contents of storage areas will be particularly helpful in the event of an emergency. For example, if a fire were to occur at your facility, the fire department personnel responding to the call could be warned of dangerous conditions that might exist if the storage area were to be engulfed in fire. Your inventory of hazardous material(s) should be kept at three separate locations:

- at the storage area (posted outside);
- in the Administrative Offices (filed); and
- at the local fire station (filed with other emergency information).

Use a separate sheet for each storage location. On each form, list the hazardous substance, the type of danger it poses, and the amount that is stored for each location. The categories to be used in classifying a possible hazard are:

- Toxic (harmful if inhaled or swallowed);
- Flammable (catches fire easily); and
- Caustic (burns skin if touched).

To keep an accurate record of which hazards might be present in a storage area, the listing should be compiled on an annual basis. For this reason, the date on which the inspection was completed is crucial.

Each storage area should be evaluated. If the storage of the material(s) fails to meet the standard for the storage of that material, the problem should be noted in a comment section and resolved immediately. For example, flammables stored next to sources of flames (water heater/furnace). To ensure that the problem is fixed, another inspection should be scheduled within six weeks after the first evaluation.

All chemicals which employees may be exposed to under normal conditions of use or in a potential emergency must be evaluated for hazards. Chemical

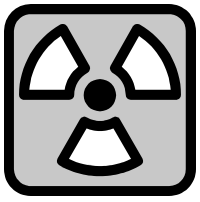
manufacturers and importers must evaluate chemicals they produce or import to determine if they are hazardous using available scientific evidence. Transportation systems are not required to evaluate chemicals unless they choose not to rely on the manufacturer or importer's evaluation. This chemical hazard information, as well as appropriate protective measures, must be communicated to employees of the transportation system by the following methods:

- a written hazard communication program in the workplace, including lists of hazardous chemicals present;
- proper labeling of chemicals in the workplace;
- preparation and distribution of Material Safety Data Sheets (MSDS); and
- employee training regarding hazardous chemicals and proper safety measures.

Commonly found hazardous materials include batteries, paint, lubricants, antifreeze, and cleaning materials, among others.

Written Hazard Communication Program

The Hazard Communication Standard written by the Occupational Safety and Health Administration (OSHA), also known as "Employee Right-to-Know," is designed to inform and train employees in the proper recognition, use and handling of hazardous chemicals or products. In order to comply, a company must prepare a written hazard communication plan, maintain an up-to-date inventory of hazardous chemicals or products at the workplace, and label containers of hazardous chemicals or products. In addition, Material Safety Data Sheets (MSDS) must be readily available to employees and training must be provided to employees working with hazardous chemicals or products.



The written hazard communication program must be made available to a representative of the Assistant Secretary of Labor for Occupation Safety and Health (USDOL) or Director of the National Institute for Occupational Safety and Health (USDOHHS) upon request.

Labeling of Hazardous Chemicals

All containers of hazardous chemicals in the transportation system must be labeled in English with the identification of the chemical and appropriate hazard warnings. Portable containers for transferring hazardous chemicals do not need to be labeled. If the chemical is regulated by an OSHA substance-specific health standard, the labels must meet all requirements of that standard.

Material Safety Data Sheets (MSDS)

Material Safety Data Sheets (MSDS) must be maintained for each hazardous chemical used by a transportation system. Workers exposed to hazardous chemicals have the right to know the identities and hazards of those chemicals, as well as the appropriate means to protect themselves from adverse health effects. Any chemical that poses either a physical hazard (such as flammability) or a health hazard (such as causing damage to the skin or eyes) is covered by the OHSA rules. (Examples of hazardous chemicals they might use). There are several hundred hazardous chemicals. Not all will be used in your system, the most common hazardous chemicals that you may encounter are diesel and gasoline fuel, cleaning supplies, batteries, and anti-freeze. Depending on the amount of exposure by the employee, you may need MSDSs for the hazardous chemicals. This includes hazardous materials used in administration, operations, and maintenance. Transportation systems will receive appropriate MSDS from the chemical manufacturer or importer with, or just prior to, an initial shipment of the chemical (or with the first shipment after a MSDS update). If it is not provided, the transportation system should obtain one as soon as possible. The information contained on the MSDS must accurately reflect all scientific evidence used when making the hazard determination. Any new information regarding the hazards of the chemical or ways to protect

> OSHA does not require that MSDSs be provided to purchasers of household consumer products when the products are used in the workplace in the same manner that a consumer would use them, i.e.; where the duration and frequency of use (and therefore exposure) is not greater than what the typical consumer would experience. This exemption in OSHA's regulation is based, however, not upon the chemical manufacturer's intended use of his product, but upon how it actually is used in the workplace. Employees who are required to work with hazardous chemicals in a manner that results in a duration and frequency of exposure greater than what a normal consumer would experience have a right to know about the properties of those hazardous chemicals.

against the hazards must be added to the MSDS within three months of discovery.

MSDSs must be readily accessible to employees when they are at their work areas. If work is carried out at more than one location, the MSDSs may be kept at a central location within the facility. MSDSs may be kept in any form, including operating procedures, and may cover groups of chemicals instead of individual chemicals where hazards of a process are particularly important. However, the required information for each chemical must remain readily accessible. In addition, MSDSs must be made available upon request of representatives of the Assistant Secretary of Labor for Occupation Safety and Health (USDOL) or Director of the National Institute for Occupational Safety and Health (USDOHHS).

Employee Information and Training

The transportation system must train and inform employees regarding hazardous chemicals when they are initially assigned to a particular area, or when a new hazardous chemical is introduced. This training and information sharing must include, at a minimum:

- a description of the transportation system's requirements;
- ways to detect the presence of a hazardous chemical in their work area, such as visual appearances, odor, etc.;
- physical and health hazards of chemicals;
- appropriate work practices, emergency procedures, and personal protective equipment to be used when dealing with hazardous chemicals; and
- the location, availability, and description of the overall hazard communication program, including an explanation of the labeling system, material safety data sheets, inventory sheets, site report sheets, and how employees can obtain additional information about hazardous chemicals.



Conducting a facility audit, identifying hazardous chemicals, and appropriate employee training is good management. Identifying and correcting hazardous conditions will result in a safer work environment for you and your employees.

Underground Storage Tanks

If your transportation system has an underground storage tank you need to be aware that on August 8, 2005, President Bush signed the Energy Policy Act of 2005. Title XV, Subtitle B of this act (entitled the Underground Storage Tank Compliance Act of 2005) contains amendments to Subtitle I of the Resource Conservation and Recovery Act - the original legislation that created the underground storage tank (UST) program. This new law significantly affects federal and state underground storage tank programs. Those who own underground storage tanks will be impacted by the changes EPA and states make in their tank programs as a result of the law. Further information on compliance with these requirements can be found at the U.S. Environmental Protection Agency (EPA) website, www.epa.gov/OUST/ustsystm/tanko&m.htm. Or, contact the West Virginia Department of Environmental Protection, Office of Waste Management; UST/LUST Section; 1356 Hansford Street, Charleston, WV 25301; phone, 304-558-6371; fax, 304-558-2387; or www.dep.state.wv.us/item

RESOURCES

- *Operating and Maintaining Underground Storage Tank Systems: Practical Help and Checklists. (EPA 510-B-05-002). September 2005; this publication can be found at:* ***http://www.epa.gov/OUST/pubs/ommanual.htm***
- *Current information concerning underground storage tanks may be accessed at:* ***http://www.epa.gov/OUST/ustsystm/tanko&m.htm***
- A good hazard audit check list is available at: ***http://www.psm.act.gov.au/documents/checklist.pdf***
- Additionally, OSHA publishes the Small Business Handbook that will assist you in your audit. This may be downloaded at: ***http://www.osha.gov/dcsp/smallbusiness/small-business.html#gather***
- West Virginia Department of Environmental Protection, www.dep.state.wv.us.

The first step in a quality maintenance program is to procure or retrofit vehicles and equipment to meet identified safety and durability standards necessary for the transportation system's needs. You should consider, at a minimum, the following items:

- Passenger and operator seating;
- Seatbelts and wheelchair securement;
- Mirrors, including cross-over mirrors;
- Non-skid flooring and steps;
- Tires appropriate to size and weight of vehicle;
- Wheelchair passenger lifts that comply with the ADA;
- Size of vehicle to meet demand; and
- Any other equipment that enhances safety or durability.

Pre- and Post-Trip Inspections

Any time a vehicle is put into revenue service, a pre-trip inspection must take place, including at the time of change of operators. Employees who hold responsibility for the pre-trip inspection (operators or maintenance personnel) should be thoroughly trained in what to look for and documentation of any deficiencies. In the case of lift deficiencies when no spare vehicle is available, repairs are expected to be completed "promptly" or the vehicle must be removed from revenue service. Briefly, pre-trip inspections, at a minimum, should include checking the following items:



- Mileage;
- Fuel;
- Entry area;
- Body and paint condition;
- Windows and windshields;
- Lights and signal operation;
- Tires (tread lugs, inflation);
- Wiper blades and arms;
- Front and rear bumpers;
- License plates, stickers;
- Fluid levels as deemed appropriate by the agency;
- Wheelchair lift operation, securement systems and tie downs – mandatory by the ADA;
- Safety and emergency equipment (fire extinguisher, first aid kit, bloodborne pathogens kit, web cutter, etc.);

- Gauges;
- Wipers, defroster, horn;
- A/C and heat system;
- Engine and transmission;
- Brakes;
- Steering;
- Two-way radio; and
- Emergency exits (doors, windows, hatches).

Post-trip inspections should be performed with the vehicle ignition in the "on" position, mileage recorded, windows closed, seat damage checked, trash removed and floors swept.

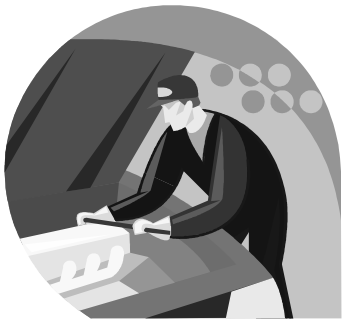
***NOTE**: The West Virginia Division of Motor Vehicles advises that all pre-trip inspection sheets be kept on board vehicles requiring a CDL for a period of one day. (WV Division of Motor Vehicles, CDL Manual, Chapter 1, Subsection 2.1, paragraph one.) We strongly recommend this practice for a period of one week.*

Preventive Maintenance

System mechanics or contractors are the cornerstones in a quality preventive maintenance program. They must be trained on and experienced with working on a variety of vehicles, and they must be specifically trained for the vehicles the system operates. Not only can a preventive maintenance program keep the vehicle safely moving, it can extend the life of the vehicle. An effective preventive maintenance program should include:

- Daily inspections and attention
  - Proper fuel tank levels
  - Proper fluid levels and mixes
  - Interior and exterior cleanliness
  - Replacement of interior and exterior bulbs
  - Visual inspections
  - Operation records and procedures
- Regularly scheduled periodic inspection
  - Suspension elements
  - Leaks
  - Belts
  - Electrical connections

  - Tire wear
  - Emergency exits
  - Any other noticeable problem
- Interval maintenance
  - Lubricating oils and filters
  - Alignment
  - Tires
  - Steering components
  - Corrosion and body damage
  - Engine
  - Transmission
  - Drive train check
  - Air engine oil analysis
  - Thorough check of all safety equipment including emergency exits
  - Accessibility and securement systems



- Breakdown maintenance
  - Flat tires
  - Line ruptures
  - Loss of brakes
  - Engine failures
  - Heating air conditioning failures
  - Inoperable or malfunctioning accessibility and securement systems

Specific vehicles have specific manufacturers' recommended preventive maintenance schedules. A copy of the manufacturer's recommended preventive maintenance schedule should be maintained for each type of vehicle in service and adhered to by the mechanic or contractor. The transportation manager needs to assure that all procedures are being followed as recommended.

Sample preventive maintenance schedules are included in **Section 4, Passenger, Vehicle, and System Safety Forms and Examples**. Please note that these are considered the minimum schedules to follow. Always consult your manufacturer's suggested maintenance schedules for each type of vehicle you operate.

Maintenance Recordkeeping

A separate, distinct record for each vehicle in revenue service must be kept in a separate maintenance documentation system from the time of acquisition of

the vehicle until the time the vehicle is disposed. All maintenance documentation pertinent to the vehicle needs to be entered into the record. It is highly suggested that records be kept in a computerized system for ease of use and accuracy, as well as predictive and pro-active records.

Inventory, as well should be accurate and computerized. There are some excellent, low-priced software solutions available for small fleets.

Vehicle Maintenance Documentation

Vehicle Inspection

- Using the Vehicle Inspection Form, ensure daily pre- and post-trip inspections take place.
- File Vehicle Inspection Forms in a separate Vehicle Inspection File for each vehicle.

Vehicle Maintenance

- Create a Vehicle Maintenance File for each vehicle.
- Attach to the front of each Vehicle Maintenance File a schedule of preventive maintenance to be accomplished.
- Attach to the front of each Vehicle Maintenance File a log summarizing all scheduled and unscheduled maintenance activities which were accomplished.
- Utilize Preventive Maintenance Form for all scheduled maintenance. The maintenance provider will indicate on the form what scheduled maintenance took place.
- Attach to the Preventive Maintenance Form any work orders, purchase orders and/or invoices related to that particular piece of scheduled maintenance work.
- File in the Vehicle Maintenance File the Preventive Maintenance Form with attachments.
- When a recurring maintenance problem occurs and the maintenance required is not scheduled, have the driver or supervisor fill out the top part of the Vehicle Defect Form.
- The maintenance provider should fill out the bottom part of the Vehicle Defect Form indicating how problem was corrected.

- Attach to the Vehicle Defect Form any work orders, purchase orders and/or invoices related to that particular piece of unscheduled maintenance work.
- File in the Vehicle Maintenance File the Vehicle Defect Form with attachments.
- Keep a Vehicle Maintenance File for each vehicle in chronological order of maintenance activities as they occurred.

Freon

For decades, Chlorofluorocarbon-12 (CFC-12, also referred to as R-12) and Hydrochlorofluorocarbon-22 (HCFC-22, also referred to as R-22), which were also known by the trade name *Freon*, was used as the refrigerant in motor vehicle and bus air conditioning systems. However, scientists have shown that it damages the ozone layer. In response, a world consensus decided to end production of this substance. Additionally, to make sure existing CFC-12 is used as much as possible, rather than being wasted and released to the atmosphere, Environmental Protection Agency (EPA) issued regulations under section 609 of the Clean Air Act to require that shop technicians use special machines to recycle these refrigerants.

On December 31, 1995, CFC-12 production essentially ended in the US. It is still legal to use the existing stockpiles of CFC-12, but several companies have also developed new substitutes. These products have been reviewed by EPA's Significant New Alternatives Policy (SNAP) program. Since it is illegal to release these substitutes to the atmosphere, EPA has promulgated standards for machines that recover them from vehicles, and are working on standards for recycling machines.

Numerous fact sheets explain the effects of CFC-12 on the ozone layer, the substitutes and how they must be used, and the regulations that govern motor vehicle air conditioning in the US. All production vehicles are currently manufactured using CFC-free refrigerants.

Motor vehicle air conditioning systems, or MVACS, provide comfort cooling for passengers in cars, buses, planes, trains, and other forms of transportation. MVACS pose risks related to widely varying ambient conditions, accidents, and the location of the evaporator inside the passenger compartment. Given the large number of cars in the nation's fleet, and the variety of designs, new substitutes must be used in accordance with established retrofit procedures. Flammability is a concern in all applications, but the conditions of use and the potential for accidents in this end-use increase the likelihood of a fire. SNAP has identified substitutes for CFC-12 and HCFC-22.

In-house Maintenance of A/C Systems

If your transit system services, performs maintenance on air conditioning systems and/or disposes of air conditioning systems you need to comply with the Code

of Federal Regulations (CFR) Title 40 (Protection of Environment) Part 82 (Protection of Stratospheric Ozone) Section 158 (Standards for Recycling and Recovery Equipment) Subpart F (Recycling and Emissions Reduction). The full text of this regulation may be accessed via the Internet at: ***http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=346dc48353e10d73889bac1601297241;rgn=div6;view=text;node=40%3A17.0.1.1.2.6;idno=40;cc=ecfr***. This subpart applies to any person servicing, maintaining, or repairing appliances. This subpart also applies to persons disposing of appliances, including small appliances and motor vehicle air conditioners. In addition, this subpart applies to refrigerant reclaimers, technician certifying programs, appliance owners and operators, manufacturers of appliances, manufacturers of recycling and recovery equipment, approved recycling and recovery equipment testing organizations, persons selling class I or class II refrigerants or offering class I or class II refrigerants for sale, and persons purchasing class I or class II refrigerants.

For your reference, a table of acceptable and unacceptable substitutes for CFC-12 and HCFC-22 follows. This table was current as of January 1, 2006.

Acceptable Substitute Refrigerants

Ozone Protection Hotline (800) 296-1996; A chronological list of SNAP updates is available from the hotline.
Note: SNAP-related information published in the Federal Register takes precedence over all information on this page.

Substitutes Acceptable Subject to Use Conditions for CFC-12 (class I (Ozone Depletion Rules & Regulations) **ODS) in MVACs**

Substitute (Name Used in the Federal Register)	Trade Name	Retrofit/ New
HCFC-22		R, N (Buses Only)*
HFC-134a		R, N
R-406A	GHG, GHG-X3, GHG-12, McCool, Autofrost X3	R, N
GHG-X4, R-414A (HCFC Blend Xi)	GHG-X4, Autofrost, Chill-it, Autofrost X4	R, N
Small auxiliary power units that include an engine, electrical alternator, water pump, air conditioning compressor and a heat exchanger used in tractor trailers in conjunction with passenger compartment climate control systems that already use an acceptable substitute refrigerant.		R, N
Hot Shot, R-414B (HCFC Blend Omicron)	Hot Shot, Kar Kool	R, N
FRIGC FR-12, (HCFC Blend Beta), R-416A	FRIGC FR-12	R, N
Free Zone, (HCFC Blend Delta)	Free Zone / RB-276	R, N
Freeze 12	Freeze 12	R, N
GHG-X5	GHG-X5	R, N
GHG-HP (HCFC Blend Lambda)	GHG-HP	R, N
Ikon 12, Ikon A (Blend Zeta)	Ikon 12	R, N
SP34E	SP34E	R, N
Stirling Cycle		N
CO_2		N
RS-24	RS-24	R, N
Evaporative Cooling		N

Key: R = Retrofit Uses, N = New Uses

Note: Refrigerated cargo areas and buses using HCFC-22 are not included in the definitions of "motor vehicle air-conditioners" or "motor vehicle-like air-conditioners" under EPA

regulations for servicing of motor vehicle air conditioners.

Substitutes Acceptable for HCFC-22 (class II ODS) in MVACs for Buses and Passenger Trains

Substitute (Name Used in the Federal Register)	Trade Name	Refrigerant Being Replaced	Retrofit/ New
Blend of R-125/R-134a/R-600a (28.1%/70.1%/1.9%)		HCFC-22	R, N (Buses Only)*
HFC-134a		HCFC-22	R, N
R-407C	Suva 407C, Klea 407C	HCFC-22	R, N
R-410A	AZ-20; Puron	HCFC-22	N

Key: R = Retrofit Uses, N = New Uses

Note: Refrigerated cargo areas and buses using HCFC-22 are not included in the definitions of "motor vehicle air-conditioners" or "motor vehicle-like air-conditioners" under EPA regulations for servicing of motor vehicle air conditioners.

Unacceptable Substitute Refrigerants

Ozone Protection Hotline (800) 296-1996; A chronological list of SNAP updates is available from the hotline.

Note: SNAP Notices and Final Rules published in the Federal Register take precedence over all information on the web site.

Unacceptable Substitutes for ODS in Refrigeration and Air Conditioning

Substitute (Name Used in the Federal Register)	ODS Being Replaced	End-uses	Reason
All flammable refrigerants, including OZ-12® (Hydrocarbon Blend A), HC-12a® (Hydrocarbon Blend B), and Duracool 12a	CFC-12	Motor vehicle air conditioning, retrofit and new	Lack of adequate assessment that characterizes incremental flammability risk
OZ-12® (Hydrocarbon Blend A), HC-12a® (Hydrocarbon Blend B), and Duracool 12a	CFC-12	All end-uses other than industrial process refrigeration, retrofit and new	Lack of adequate assessment that characterizes incremental flammability risk
R-141b	CFC-11	centrifugal chillers, new	High ODP; other substitutes with lower overall risk have been identified
R-176 (R-176 contains CFC-12, HCFC-22, and HCFC-142b. It is a different product from RB-276, typically sold under the name "Free Zone.")	CFC-12	All end-uses, retrofit and new	Contains CFC-12
R-403B	R-502	All end-uses, retrofit and new	Contains a perfluorocarbon that exhibits extremely high GWP and very long lifetime
R-405A	CFC-12	All end-uses, retrofit and new	Contains a perfluorocarbon that exhibits extremely high GWP and very long lifetime
MT-31	all CFCs and HCFCs	All end-uses, retrofit and new	Toxicity of a constituent
Hexafluropropylene (HFP) and blends containing it	all CFCs and HCFCs	All end-uses, retrofit and new	HFP is toxic
NARM-22	HCFC-22	All end-uses, retrofit and new	Contains HCFC-22
Self-Chilling Cans using HFC-134a or HFC-152a	CFC-12, HCFC-22, R-502	Household Refrigeration, Transport Refrigeration, Vending Machines, Cold Storage Warehouses and Retail Food Refrigeration; retrofit and new	Unacceptably high greenhouse gas emissions from direct release of refrigerant to the atmosphere

Communication is more than just the conversations and discussions that occur between a transportation system manager and his or her employees, and it goes beyond cell phones and radio equipment used in the provision of the transportation service. It is an integral component of the whole transportation system, and vital to the overall health of the system. Clear and effective communication between and among transportation system management, staff, the general public, the media, government officials, and others can mean the difference between a respected and thriving system and one that is floundering and considered "non responsive" to its customers needs.

Communication and Learning Styles

Remember, communication is simply the exchange of information. You will have information that must be transmitted to others – they have information to exchange with you. Understanding the different learning styles will assist you in communicating your ideas to others.

If possible, tailor your communication style (staff meetings, public presentations, media, etc.) to your audience.

- Visual Learners

Some people learn through what they see. These individuals need to see the presenter's body language and facial expression to fully understand the content. They tend to prefer sitting in the front to avoid visual obstructions (e.g. people's heads). They may think in pictures and learn best from visual displays including: diagrams, illustrations, overhead transparencies, videos, flipcharts and handouts. Visual learners often prefer to take detailed notes to absorb the information.



- Auditory Learners

Many people actually learn through listening. They learn best through verbal lectures, discussions, talking things through and listening to what others have to say. Auditory learners interpret the underlying meanings of speech through listening to tone of voice, pitch, speed and other nuances. Written information may have little meaning until it is heard.



- Tactile Learners

Tactile learners learn through, moving, doing and touching. Tactile, or kinesthetic, persons learn best through a hands-on approach, actively exploring the physical world around them. They may find it hard to sit still for long periods and may become distracted by their need for activity. Using practical exercises as part of your talk or presentation and taking short breaks more often is helpful for these individuals.



With your staff, you have the advantage of knowing more about their learning styles, and so you can use the communication method that best matches your situation. With other groups, you will not have this luxury, therefore, you may have to use a combination of methods to get your message across. In most situations, you will have a mix of these three types of learners in your audience, therefore, using a combination of presentation styles will help ensure that the majority of your audience receives your message.

Vehicle Communications

An important part of safe transportation operations is the ability of vehicle operators, dispatchers and management to be able to communicate with each other. There is no best communication device. Your location, budget, and operation may dictate the type(s) of communication equipment you use.

- Cell Phones

If you have sufficient cell tower coverage in your operating area, cell phones may be a good choice for your primary communication with vehicles. Some services offer walkie-talkie, global positioning systems, and data recording. Some transportation systems believe that cell phones provide a greater "safety net" over two-way radios for emergency communications. Initial expenses may be less than purchasing two-way radios, the base station, and either constructing a tower or purchasing tower space. However, monthly cell phone charges can be excessive. Further, as we previously indicated, cell phone usage is totally dependent upon cell tower coverage. Although cell towers are increasing, some rural areas are still without service. If your drivers are assigned cell phones, you will want to have a cell phone use policy as part of



your personnel manual which also addresses such safety issues as when to engage in conversations and procedures for answer incoming calls with the vehicle in motion.

- Two-Way Radios

Depending on your operating area, a two-way radio may be your best choice for your primary communication with vehicles. You will need an FCC (Federal Communications Commission) license and tower to operate a two-way radio network.

Initial expense will be high for the tower and radios. You may be able to use another agency's tower, which will reduce cost. The coverage area will be dependent on the wattage and radio frequency of the system.

- CB Radios

CB (citizens band) radios are intended for short distances. Therefore, depending on your operating area, this may not be a good choice for primary communication. Again, an FCC license and tower are necessary to operate CB Radios.

Communicating in An Emergency

Communication is never more important than during an emergency. In these cases, time is of the essence. Knowing who to contact and what information to relay is critical. Checklists for the transportation manager, dispatcher, and drivers, at a minimum, should be readily at hand. Further, this topic should be routinely discussed as part of your regular safety meetings, including a discussion of HIPPA (Health Information Privacy Protection Act) requirements for the release of information to the public or media. Communication procedures, including HIPPA, are more thoroughly discussed in **Section II: Emergency Operating Procedures, and Section III, National Rural Transit Assistance Program's (RTAP) Threat, Vulnerability & Emergency Preparedness Toolbox**, of this Manual.

How to Use This Section

Section 2 of **SPIDER** contains emergency operating procedures to increase transportation system safety to its passengers and employees in the event of an emergency or disaster. This Section is designed as a companion **to Section 3, RTAP Threat, Vulnerability & Emergency Preparedness Toolkit**, and should be used as part of a transportation system's overall safety program. See the **Table of Contents** for a list of the Section 2 topic areas. Sample forms and checklists to support these procedures are contained in **Section 4, Passenger, Vehicle, and System Safety Forms and Examples.**

OVERVIEW OF TRANSIT EMERGENCY PLANNING AND PREPARATION

No one would think of operating a transportation system without establishing "standard" operating procedures; however, because of "it could never happen to us," procedures for how to react in the event of natural or manmade disasters are sometimes relegated to only a paragraph or to as a postscript in the transportation system policy and procedure manual. While West Virginia may not be at risk for hurricanes or other highly publicized disasters that have been occurring across the country and in the world, there are a number of events, natural and manmade, that can directly impact transportation systems, putting both passengers and transportation system personnel at risk. These disastrous events serve to emphasize the key component transportation plays in emergency preparedness.

When you come right down to it, it doesn't matter if it is a natural disaster or a minor traffic accident, attention to emergency preparedness is key to maintaining the safety culture of a transportation system. Emergency preparedness programs protect both the community and the transportation system, keeping the agency operational and effective under adverse conditions, while also allowing it to be used as a tool for evacuation. You will find that the keys to the effectiveness of any emergency preparedness effort are solid advance planning and the training of frontline employees on the implementation of those plans. Be familiar with all of the different aspects of emergency preparedness as explained in the following information and conduct regular in-services and/or training sessions for your staff.



The National Rural Transit Assistance Program (RTAP) Threat, Vulnerability & Emergency Preparedness Toolbox: Your Guide to Community Transit Safety, Security and Emergency Preparedness will assist you in preparing for any emergency that your transportation system might face. The toolbox is provided in your **SPIDER** manual which also includes a Safety, Security and Emergency Preparedness plan template. These documents will be your keys to system readiness in the event of an emergency or disaster.

The Toolbox will walk you through the steps for planning and preparing for a number of disasters: hurricanes, tornadoes, wildfires, toxic accidents, floods, etc. (see the **Evaluating Hazards and Threats** chapter and **Appendix** of the Toolbox). While in West Virginia, you may not be at risk for all of these events, disaster planning can apply to ANY disaster. For example, wildfires are not prevalent in West Virginia, but forest fires are. The same basic evacuation procedures apply in both events.

In addition to the Toolbox, other areas of safety and security readiness that you as a transportation system manager should address have been included here.

Safety Equipment and Emergency Response Material

When an emergency or accident occurs on board the vehicle, the need to have the proper equipment immediately available is of the utmost importance. The daily pre-trip inspection by the operator must include the positive identification that the equipment is available and in proper working order. The list of on board equipment could be unlimited and must be adjusted and appropriate to the location of the system, either urban or rural, and potential high-risk conditions a system may encounter such as weather, road conditions, types of passengers, etc. This section provides a list of necessary equipment appropriate to all types and sizes of vehicles and organizations.

On Board Safety Equipment

On board safety equipment should include at a minimum:

- ✓ Working ABC fire extinguisher (10lb. + is recommended, but 5 lb. is acceptable).
    - o When it comes to fire extinguishers, bigger is indeed better. A 10 lb. extinguisher will provide between 10 and 30 seconds of fire extinguishing capacity.
- ✓ Web cutters (2).
    - o One web cutter should be permanently mounted in the securement area where persons with disabilities ride. The other cutter should be immediately available to the operator at all times.
- ✓ First aid kit.
    - o First aid kits should be immediately accessible to the operator and meet OSHA specifications for passenger transportation. Most importantly, restocking of the first aid kit should at a minimum occur during each preventative maintenance inspection.

- ✓ Biohazard kit.
  - o Biohazard kits should be immediately accessible to the operator and meet OSHA specifications for passenger transportation. Most importantly, restocking of the biohazard kit should at a minimum occur during each preventative maintenance inspection.
- ✓ Warning triangles.
  - o A minimum of three (3) warning triangles should be kept in a sealed container and be available to the operator. It is not recommended that flares be carried in a passenger vehicle.

Additional safety equipment may include:

- ✓ Blankets.
  - o A minimum of two (2) blankets should be carried in a sealed container. Blankets provide comfort during an emergency situation, keeping someone warm, and may also be used for emergency evacuation to drag individuals. An organization may also consider mounting an emergency dragging blanket made out of vinyl.
- ✓ Cell phone and emergency telephone numbers.
  - o It is important for the operator to understand that cell phones should never be used while the vehicle is moving. Cell phones are particularly important in dead areas where radio contact is impeded.
- ✓ Two-way radio.
  - o The two-way radio should be activated throughout the day to insure proper working order.



- ✓ Jack handle for manual wheelchair lift operation.
  - o The jack handle should be mounted in such a way that it is easily accessible to operators for manual wheelchair lift operation. Many jack handles are hidden away inside lift units and are not easily accessible in an emergency.

- ✓ Working flashlight.
    - o Flashlights should be checked, and batteries changed, regularly during preventative maintenance.
- ✓ Securement belt extender.
    - o While these are used in the securement of non-typical wheel chairs, they are particularly valuable in an emergency as a passenger dragging device.
- ✓ Quick reference guide, such as a placard or clipboard, for example, with policies and procedures for responding to emergencies, evacuation procedures, vehicle fires and other emergency situations.

Other safety equipment could be added to this list that would be system specific. This could include jumper cables, 50 lb. bags of kitty litter for additional weight or traction, a shovel, breaking bar, etc. It is important to remember that all safety equipment must be securely mounted to prevent injury and be readily available to the operator during an emergency.

On Board Materials and Documentation Forms

When an emergency situation occurs, it is extremely important that proper documentation of the event takes place as soon as it is reasonably possible. Operators need to be trained on and knowledgeable of emergency documentation procedures and the necessary forms to be completed. At a minimum, vehicles should have:

- Disposable 35 millimeter camera.
- Passenger courtesy cards.
- Agency accident report forms.
- Vehicle damage report forms.
- Pre and post-trip inspection forms.



Transit Watch

Launched in 2003, *Transit Watch* is a nationwide public awareness outreach campaign that encourages the active participation of transit passengers and employees in maintaining a safe transit environment. The campaign was also designed to help foster the role of transit as a safe haven in communities across the country.

Since *Transit Watch* began, many transit systems have taken the campaign and adapted it as their own, or have instituted similar public awareness campaigns. Now, building on the success of the initial campaign, the Federal Transit Administration (FTA), along with its partners at the Department of Homeland Security (DHS), the Transportation Security Administration (TSA) and the Office of Grants and Training (G&T) recently made significant enhancements to the public awareness campaign. These improvements include messages pertaining to unattended bags, evacuation procedures, translation of the original Transit Watch materials into Spanish, and the development of a "Five Step Strategy" for use in enhancing communication with State and Local Citizen Corps Councils.

The enhanced *Transit Watch* toolkit represents our combined efforts to make our Nation's transit systems safer and more secure. We believe these toolkits will provide an effective means for transit agencies, transit employees and the riding public to keep America safe and on the move. You can obtain a copy of the *Transit Watch* toolkit by visiting the website at http://transit-safety.volpe.dot.gov/security/TransitWatch/default.asp.

As stated earlier in this Section, the RTAP Toolbox will walk you through the steps for planning and preparing for a variety of natural and manmade disasters: hurricanes, tornadoes, wildfires, toxic accidents, floods, etc. (see the **Evaluating Hazards and Threats** chapter and **Appendix** of the Toolbox). As it was also pointed out, West Virginia transportation systems are not be at risk for all of the events described in the Toolbox, but are at risk for others. We have, therefore, included in this section some examples of West Virginia specific events and the procedures for safely operating in these types of disasters.

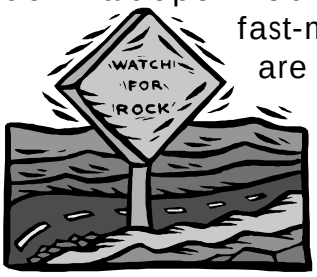
Forest Fires

March through May and October through December are designated "forest fire seasons" in West Virginia. When threatened by a forest fire, transit systems should:

- Discontinue all transit service in the impacted area unless requested by emergency management to assist in evacuation of individuals at risk.
- Work with emergency management staff to create a 30 to 100 foot safety zone around the transit facility clearing all flammable vegetation, pruning trees, and clearing areas around flammable materials. Focus attention on areas downhill of the facility – fire spreads most rapidly uphill and downwind.
- If advised to evacuate, move all transit vehicles out of the impacted area.

Mudslides/Rockslides/Landslides

Landslides and rockslides occur when masses of rock, earth, or debris move down a slope. Debris flows, also known as mudslides, are a common type of fast-moving landslide that tends to flow in channels. Landslides are caused by disturbances in the natural stability of a slope. They can accompany heavy rains or follow droughts, earthquakes, or volcanic eruptions. Mudslides develop when water rapidly accumulates in the ground and results in a surge of water-saturated rock, earth, and debris. Mudslides usually start on steep slopes and can be activated by natural disasters. Areas where fires or human modification of the land have destroyed vegetation on slopes are particularly vulnerable to landslides during and after heavy rains.



Some areas are more likely to experience landslides or mudslides, including:

- Areas where fires or human modification of the land have destroyed vegetation.
- Areas where landslides have occurred before.
- Steep slopes and areas at the bottom of slopes or canyons.
- Slopes that have been altered for construction of buildings and roads.
- Channels along a stream or river.
- Areas where surface runoff is directed.

If driving a transit vehicle, during intense storms and rainfall:

- Listen to the radio or watch TV for warnings about intense rainfall or for information and instructions from local officials.
- Be aware of any sudden increase or decrease in water level on a stream or creek that might indicate debris flow upstream. A trickle of flowing mud may precede a larger flow.
- Look for tilted trees, telephone poles, fences, or walls, and for new holes or bare spots on hillsides.
- Listen for rumbling sounds that might indicate an approaching landslide or mudflow.
- Be alert when driving. Roads may become blocked or closed due to collapsed pavement or debris.
- If landslide or debris flow danger is imminent, quickly move away from the path of the slide. Getting out of the path of a debris flow is your best protection. Move to the nearest high ground in a direction away from the path. If rocks and debris are approaching, run for the nearest shelter and take cover (if possible, under a desk, table, or other piece of sturdy furniture).
- Stay away from the slide sites. Flooding or additional slides may occur after a landslide or mudslides.
- Check for injured or trapped people near the affected area, if it is possible to do so without entering the path of the landslide or mudslides.
- Report broken utility lines to the appropriate authorities.

Hurricanes



While West Virginia may not be at risk for hurricanes, they can be at risk for the heavy rains and flooding that result from the hurricanes. In the **Evaluating Hazards and Threats** chapter and **Appendix** to the RTAP Toolbox, you will find explicit instructions for responding to floods, tornados, hurricanes, and severe thunderstorms.

When to Evacuate and When Not to Evacuate

In emergency situations, one of the hardest decisions an operator may face is whether to evacuate a transit vehicle or not. There are risks involved in an evacuation because of the potential to place a passenger in harm's way. **Evacuation is recommended at any time when the risks of staying on board the vehicle are greater than the risks involved in having the passengers off the vehicle.** In most cases, prior to evacuation, before disengaging the transmission (park or neutral), locate a safe place to park the vehicle, set the brakes and shut the engine off. It may be necessary to have the ignition in the on position to operate the radio and wheelchair lift. Evacuation would typically be appropriate in any of the following situations:

- The vehicle is in a dangerous location and cannot be moved.
  - *Where is the vehicle physically located?*
  - *Is it facing uphill or downhill, on a shoulder or in a traffic lane, in an area of poor visibility (in the line of traffic or on a blind hill or curve), on a divided multi-lane highway, a quiet country road or in a busy city street?*
- You see fire or see or smell smoke.
  - *If there is evidence of smoke or fire, evacuate the passengers first, and then investigate the cause.* ***If smoke or fire is coming from the engine, never open the hood****. The oxygen will fuel the fire. In most cases, prior to evacuation, disengage the transmission (park or neutral), set the brakes and shut the engine off.*
- You see leaking fuel coming from or underneath the vehicle.
- You see a security threat such as a suspicious package, suspicious substance or an explosive device.
- Any other conditions that would make it safer for the passengers to evacuate the vehicle.

Recommended Sequence of Actions

Once the decision is made to evacuate the vehicle, it is essential to do so quickly, especially if fire is a threat. Secure the vehicle, open the operator's window and hang the radio out the window so it is accessible from the outside or take the cell phone with you, and proceed to evacuate passengers.

- Communicate calmly with passengers that evacuation is necessary, indicating which exits they are to use and where they are to gather after leaving the vehicle.

- If any disabled, frail elderly, children or wheelchair passengers are on board, ask for evacuation assistance from ambulatory passengers.

- Evacuate all ambulatory passengers.

- Non-ambulatory passengers may include those who have permanent disabilities and who may or may not use a wheelchair and those with temporary disabilities, such as passengers recovering from a surgery, broken limb and/or using crutches, etc. In situations where evacuation of the vehicle becomes necessary, all of these passengers are treated equally. When evacuating non-ambulatory passengers, including those in wheelchairs:

    - Use a web cutter to cut through all securement straps for those passengers in wheelchairs.
    - Use the lift, if possible, for all non-ambulatory passengers. Manually operate the lift, if necessary.
    - Use the lift, lowered halfway down as a stair step to either roll wheelchairs or carry non-ambulatory passengers out.
    - If the lift is not working, drag or carry non-ambulatory passengers through the door.
    - If normal exits are blocked, drag or carry non-ambulatory passengers through emergency exit windows, preferably with assistance outside and inside the vehicle.

- Once all passengers are clear of the vehicle, calmly guide passengers to a safe area, assess their condition and make sure that dispatch and emergency personnel have been contacted.

Note: Passengers would normally exit appropriate doors. Emergency roof hatches and windows are used only in the event that doors are blocked or the vehicle has rolled on its side.

Special Concerns in Evacuating Elderly and Disabled Persons from a Transit Vehicle

The above *Recommended Sequence of Actions* provides general guidelines for the evacuation of non-ambulatory passengers. It is important to note that passengers may already have disabilities when they get on the vehicle and others may become disabled due to an accident or other event involving the vehicle that they are riding in. Evacuation techniques will remain the same in all situations involving non-ambulatory passengers. Specific concerns involving the evacuation of non-ambulatory passengers are as follows:



- Once a decision has been made to evacuate a vehicle due to a smoke or fire condition, or some other factor putting passengers at risk, a quick assessment of the capabilities and needs of those on board is essential. During this assessment it is important to note the location and condition of any individuals who will require special assistance during the evacuation process.

- It will be critical to the speed of the evacuation process that the operator requests help from any passenger on board who appears mentally and physically capable of providing such help in evacuating those requiring special assistance. It might also be possible to recruit such help from non-passengers outside the vehicle at the scene of the event.

- Ambulatory passengers should be evacuated first and directed to a safe location well away from the vehicle and the roadway and upwind in the case of fire conditions.

- Techniques for evacuating non-ambulatory passengers generally begin with using a web cutter **to cut any securement device holding the person in place but not cutting any wheelchair securement straps**. The wheelchair will most likely be left behind in an evacuation. It is also important to prepare for the release of the individual once the securement strap is cut in order to cushion their fall, particularly if the vehicle is upside down or on its side. It is especially important to not cut wheelchair securement straps if the vehicle is on its side or upside down as the falling wheelchair can be a serious hazard.

- The appropriate exit points to evacuate passengers out of are based on characteristics of the emergency and whether the vehicle is upright, on its side, or upside down. Generally doors will be the first choice, emergency exit windows the second choice, and roof hatches the third choice. If the vehicle is upright and the doors will open, the doors should be used for evacuation. If the vehicle is upright or upside down, and the doors are not an option, emergency exit windows should be used for evacuation. If the vehicle is on its side, roof hatches or the back door (assuming the vehicle is equipped with one), will most likely be the best evacuation option. Also, a general rule of thumb is to evacuate away from the location and source of fire and smoke.

- If a person is somewhat ambulatory, such as frail elderly, children, or injured, they should be assisted to their feet and then assisted out of the vehicle with a one or two-arm side-by-side assist, or by walking behind them with a hand on their shoulder to help keep them from becoming disoriented and falling.

- Depending on whether the vehicle is upright or on its side, non-ambulatory passengers can be lowered to the floor and dragged to the exit point by using a drag cloth, dragging by grasping their clothing at the shoulder area, or by grasping their armpit area and dragging them in that fashion. In all drag-out evacuation circumstances, special attention must be given to protect the head and neck area of the non-ambulatory passenger being evacuated.

- When a second individual has agreed to assist in the evacuation, it may be possible for each person to get on a side of the evacuee and grab under the armpits to carry them out.

- If the passenger is light of weight, another technique is to place their arms over the shoulders and around the neck of the individual evacuating them and then carrying them out draped over the back.

- When evacuating an individual out of a window or some other exit point where there is a significant drop to the ground, a second person should be positioned outside the vehicle in order to receive the person being evacuated and support and cushion them to avoid a fall. Also when evacuating out windows it is helpful to have assistance so that someone can hold the window open while the evacuation takes place.

- In all cases, once non-ambulatory individuals have been evacuated from the vehicle, they need to be carried or dragged to a safe location well away from the vehicle.

Communication Procedures Specific To Emergency Situations

The operator must understand how to communicate key facts about emergency situations with the dispatcher or other key response personnel in the transit organization. The operator must assist police, fire, or emergency medical people who respond to a transit vehicle emergency. Part of this communication revolves around liability issues, such as training operators not to volunteer information about what did – or didn't – cause an emergency situation to occur. An operator must inform emergency response personnel about vehicle safety features, such as the location and use of emergency exits or the location of emergency shut-offs.

What And How To Communicate To Passengers

The operator must remain calm while communicating the key facts about the emergency at hand; the operator must communicate his or her intentions about evacuation and other measures clearly and calmly with the passengers. Operators need to communicate in a manner appropriate to the passengers who are being transported. Operators may be helping evacuate persons who are easily confused, have cognitive impairments, or who have sensory disabilities that prevent them from seeing or hearing life-threatening information.

Choosing The Best Routes and Stops

Once passengers are evacuated, an operator has the lead responsibility to ensure they gather at a safe place. The operator should guide all passengers completely out of harm's way, out of traffic to a protected area, if possible, at a minimum of 100 feet from the vehicle. If the operator cannot lead this function, they need to designate a competent passenger to guide passengers away from the emergency.

Appropriate Use Of Fire Extinguisher

Operators are not required to fight a fire. Ever. If there is the slightest doubt about your control of the situation, **DO NOT FIGHT THE FIRE.**

1. Use a mental checklist to make a Fight-or-Flight Decision. Attempt to use an extinguisher only if **ALL** of the following apply:



   a. Dispatch and emergency personnel have been contacted.
   b. The vehicle is evacuated.
   c. The fire is small, contained and not spreading beyond its starting point.
   d. The exit is clear, there is no imminent peril and you can fight the fire with your back to the exit.
   e. You can stay upwind or low and avoid smoke. Smoke inhalation must be avoided since only a small amount of toxic smoke can render the operator unconscious.
   f. The proper extinguisher is immediately at hand.
   g. You know how to use the extinguisher.

IF ANY OF THESE CONDITIONS HAVE NOT BEEN MET, DON'T FIGHT THE FIRE YOURSELF. CALL FOR HELP AND LEAVE THE AREA.

2. Whenever possible, use the "Buddy System" to have someone back you up when using a fire extinguisher. If you have any doubt about your personal safety, or if you cannot extinguish a fire, leave immediately and close off the area (close the doors, but DO NOT lock them).
3. Direct the extinguisher at the base of the flames and implement the following P.A.S.S. method:

P	A	S	S
Pull the pin on the extinguisher handle.	Aim the hose at the base of the flames from a safe distance. Keep in mind that the farther away from the base of the flames, the less effective the extinguishing material.	Squeeze the handle of the extinguisher. Do not squeeze the handle until the entire canister has emptied; rather two to three second bursts as needed.	Sweep from side to side. It is important not to aim the nozzle at one point, rather spread the material over the entire effected area.

Note: Extinguisher material is expelled at a very low temperature. Avoid inhaling material, prolonged exposure with skin, or contact with eyes.

4. Recharge any discharged extinguisher **immediately** after use. If you discharge an extinguisher (even just a tiny bit) or pull the pin for any reason, arrange for a replacement.

Drills, Simulations, and Exercises

In crisis management as in sports, a transit agency plays the way it practices. That is why your agency must test their crisis communications plan through mock disaster drills and participate in community emergency response exercises. This requires the transportation system and community public response agencies to plan and conduct increasingly challenging exercises over a period of time. Implementation of such a program allows the collective community to achieve and maintain competency in executing the transportation component of local emergency response plans.

There are five major types of exercises that comprise this program, each with a different purpose and requirement. Each step is progressively more sophisticated in nature and should be undertaken in a step-by-step and long-term implementation plan that is integrated into overall community response.

- Basic awareness training to familiarize participants with roles, plans, procedures, and resolve questions of coordination and assignment of responsibilities.

- Operational training to familiarize front-line staff with roles, plans, procedures, and resolve questions of coordination and assignment of responsibilities.

- Tabletop exercises that simulate emergency situations in an informal, low stress environment. It is designed to elicit discussion as participants examine and resolve problems based on existing crisis management plans and practical working experience.

- Drills that test, develop, or maintain skills in a single response procedure (e.g., communications, notification, lockdown, evacuation procedures, etc.). Drills can be handled within the organization, or coordinated with partner agencies, depending upon the drill objective(s). Drills help prepare players for more complex exercises in which several functions are simultaneously coordinated and tested.

- Functional exercises are full-scale simulated incidents that test one or more functions in a time-pressured realistic situation that focuses on policies, procedures, roles and responsibilities. It includes the mobilization of emergency personnel and the resources appropriate to the scale of the mock incident. Functional exercises measure the operational capability of emergency response management systems in an interactive manner resembling a real emergency as closely as possible.

Coordination with Emergency Management

Effective emergency response must be planned. Careful planning, training, and practice, together with intra/interagency cooperation, coordination and communication is central to your integration into the local community's emergency planning process and the success of the emergency preparedness of your system.

While the RTAP Toolbox contains a good overview and system of steps for coordinating and responding in an emergency (See the **Enhancing Response Capabilities Chapter** of the RTAP Toolbox), further emphasis in the particular areas of emergency response (police, fire, medical, etc. services) is presented below.

Law Enforcement

System management must regularly work with the local and state law enforcement to improve security and emergency/incident preparedness and response capabilities. These activities should include:

- Maintaining regular communications with law enforcement.
- Meeting at least once a year to ensure transit issues are understood by law enforcement.
- Developing an emergency contact list for dispatchers.
- Communicating regularly on optimal incident reporting methods that will offer law enforcement all the information they need.
- Participating in cooperative emergency preparedness training programs.
- Establishing appropriate methods of communication for continuous coordination during an emergency.
- Establishing procedures for supplying the unique types of emergency service that may be required in particular emergency situations.

Fire Departments

System management must work with local fire departments on a regular basis to support improved security and emergency/incident preparedness and response. This will include the following activities:

- Maintaining regular communications with fire services.

- Establishing the level of service (e.g., equipment and personnel) to be delivered in response to various types of emergencies.

- Specifying in advance the level of notification, command and control, and degree of responsibility that will apply on site.

- Establishing appropriate methods of communication, and developing procedures for continuous coordination and transfer of command.

- Providing training for fire department personnel to familiarize them with transit vehicles and equipment, including wheel chair lifts and access/egress procedures.



- Conducting periodic drills in cooperation with the fire department.

- Scheduling a meeting at least annually to ensure transit issues (e.g., evacuation of transit vehicles, considerations for persons with disabilities) are understood by fire officials.

- Identifying any special tools and equipment the firefighters might need to address transit emergencies (particularly items that they would not normally possess) by inviting firefighters to visit the agency annually, and walking them through transit vehicles and facilities.

- Reviewing current fire-related plans and policies.

- Ensuring fire annunciation and evacuation procedures are part of the standard procedures and training for operators.

Emergency Medical Services

System management must work with local emergency medical services including hospitals on a regular basis to support improved medical response. Preparations should include the following activities:

- Maintaining regular communications with EMS.

- Scheduling a meeting on transit property or at the offices of EMS at least annually to ensure transit issues are understood by the organization.
- Establishing appropriate EMS unit jurisdictions.
- Establishing the level of service (equipment, personnel, etc.) to be delivered in response to various types and degrees of emergencies.
- Establishing appropriate methods of communication for continuous coordination during a response.
- Familiarizing EMS personnel with transit vehicles and facilities.
- Conducting periodic drills in conjunction with EMS personnel.

Training Of First Responders On Transit Equipment

To improve first responder familiarity with transit fleet, facilities and operations during an emergency, annual training with local first responders should be held. Key areas to be covered include:

- Vehicle and facility entry - windows, doors and hatches.
- Hazardous materials.
- Facility escape routes and safety zones.
- Equipment shutdown.
- Emergency dump valves.
- Battery cut-off switches.
- Appropriate zones to breach transit vehicles in event of an incident.
- Communications compatibility.

While transportation systems must be ready to deal with all types of incidents, e.g., acts of nature, Hazmat, fires, etc. which have been previously addressed in this section, transportation systems are more likely to face traffic accidents and other types of incidents in the daily operation of service. The tips and recommendations for emergency response, evacuation, etc. addressed previously in this section for other types of emergencies, also apply to the accidents and incidents discussed below.

Transit Vehicle Accidents

Generally an accident can be summed up as being anytime any part of the vehicle comes into contact with another object, except for the wheels touching the ground. Contact with curbs and small tree branches are considered accidents unless there is absolutely no damage to the vehicle.

West Virginia transit drivers are expected to take the following actions in a post-accident situation:

- Check your location for safe conditions. DO NOT move your vehicle unless instructed to do so by law enforcement, or if leaving the vehicle where it is would expose passengers and/or the public to greater danger from a secondary incident (i.e., in a busy traffic lane, on a blind curve, near the top of a hill, or in the path of hazardous materials).

- Secure the vehicle by placing the transmission in the proper setting, engaging the brakes, turning off the engine and turning on the four-way hazard flashers.

- Make a decision to evacuate or not to evacuate the vehicle. EVACUATE IF NECESSARY and gather all passengers together in a safe location.

- Assess the condition of your passengers and contact dispatch providing the appropriate information as to location and need for response.

- Respond to passengers and assist any injured passengers consistent with system policy.

- Inform all passengers of the situation, what actions have been taken and how they will be affected.

- Request that all passengers and witnesses complete system documentation including their names, phone numbers and any other information they can provide (passenger info cards in accident kit).

- Get all necessary information from other drivers, law enforcement and emergency medical personnel.

- Cooperate with law enforcement officials and communicate with others through system management only.

- Do not assign blame nor take responsibility for the accident.

- Avoid talking to the media, but instead refer the media to system management.

- Complete all required accident report documentation as soon as possible.

Transit Passenger Incidents

Many kinds of events occur during the course of a day, which must be reported to management. These events are considered "incidents" and require documentation on Incident Reports. Incidents include but are not limited to:

- Behavior problems – passengers throwing objects, hitting another person, violating company rules or other similar disruptive behavior that can compromise safety.

- Passenger Falls – a passenger falls, or is dropped, but says they're not injured and refuses offers of medical examination; no accident report is filed but an incident report must be filed. If it is a serious fall or there is likelihood of injury, drivers treat it as an accident and notify the supervisor.

- Passenger Complaints – those made to the driver.

- Witnessing an accident - either a driver or a passenger may be asked to record details on an Incident Report.

Each incident requires the driver to use good judgment based on their training in determining the appropriate reaction. In all cases transit management needs to be notified and an Incident Report completed.

Employee Accidents and Incidents

Employee accidents frequently occur due to neglect of standard operating procedures. In cases where an accident occurs without prior knowledge of the hazard, transit agencies have an obligation to identify workplace hazards and

develop controls designed to eliminate or protect employees from those hazards. Investigating incidents of near accidents and investigating actual employee accidents are important techniques to meeting this obligation.

Accidents are defined as incidents that have resulted in property damage, injuries, death or illness to employees. Incidents are situations and/or circumstances that represent the potential to create injuries or property damage.

Management Responsibility

Following any accident or incident, management must:

1. Insure that appropriate medical attention was rendered.
2. Confirm that an adequate investigation was completed and all documentation is produced and preserved.
3. Conduct further investigation as necessary.
4. Discuss corrective actions needed.
5. Make sure the corrective actions (controls) are in place.
6. Monitor the effectiveness of the controls and make changes as necessary.
7. Periodically review these efforts to identify trends or patterns of accidents that can be analyzed to prevent future accidents.
8. Obtain photos if possible.

Safety/Security And Accident Review Committee

While all employees, volunteers and contractors are responsible for the safety and security of a transportation system, a Safety/Security and Accident Review Committee should be established and charged with overseeing safety, security and accident prevention and procedures. Four (4) major responsibilities of the committee are:

- Identifying and rectifying hazardous situations through proactive assessments of physical facilities and policies and procedures.

- Establishing a comprehensive Safety, Security, and Emergency Preparation Plan (SSEPP).

- Conducting reviews and analyses of accidents to determine preventable or non-preventable.

- Risk management – taking proactive steps to identify and evaluate risk exposure and select appropriate methods to eliminate, reduce, shift or minimize those risks.

In addition, the Safety/Security and Accident Review Committee should:

- Provide a forum to raise safety concerns.
- Rectify dangerous situations.
- Promote adherence with OSHA rules and regulations.
- Encourage safe and secure day-to-day operations through example and leadership.
- Establish employee incentive and merit programs.
- Recommend on-going safety and security training.
- Recommend new-hire operator training.
- Recommend on-going operator training.
- Recommend procurement of vehicles and equipment meeting identified safety standards.

The Committee should include a representative membership from all areas of the transportation system to provide a "voice" and encourage "buy-in", as well as individuals from the community to provide a broader, impartial opinion, including:

- Board.
- Management.
- Operators.
- Dispatch.
- Maintenance.
- Knowledgeable and interested experts from the community (e.g., community leaders, emergency responders, insurance executives, etc.).

Safety Awards

To encourage system safety, it is recommended that transportation systems develop a safety award program. Categories for such a program can include accident-free driving, no lost days due to injury or other safety indicators. A major activity that could be implemented is an annual bus/van rodeo with prizes such as gift certificates for the winners.

Accident Review And Analysis

A comprehensive accident review program requires a certain degree of sophistication and involves:

- Accident data collection.
- On site investigation.
- Technical presentation
- Reconstruction and causal analysis.

The following steps should be implemented in the event of an accident:

- Collect information from the vehicle operator, transit system manager or designated accident response contact and the police.

- Dispatch a designated accident response contact, supervisor or manager to the scene of every accident.

- Insure operators are knowledgeable on the agency's accident policies and procedures.

- Review accident procedures with operators on a regular basis.

- Establish a reporting procedure through your chain of command to your insurance carrier and agency board.

On Site Investigation

All persons involved in conducting on site investigations must be trained on how to both assist on the scene and gather information appropriately. It is recommended that at least one representative of each agency complete the

Transportation Safety Institute's *Bus Accident Investigation Course*. At a minimum, the following information should be collected:

Persons
- Name
- Address
- Telephone number
- Operator's license (state of issue, expiration, special class of operation, restrictions)
- Date of birth
- Description of injury, if any
- Unusual condition of operator involved

Equipment
- Make, model and year
- Serial number, fleet number
- Registration number, state and expiration
- Seating capacity
- Insurance carrier
- Policy number, date of expiration or policy record, agents or claims representative's telephone number

Vehicle Exterior Lights
- On or off
- Shorts or faulty circuits
- Cleanliness
- Switch position
- Filament status
- Correct bulb

Weather
- Rain
- Snow
- Temperature
- Sleet or hail
- Lighting, thunder
- Wind
- Glare
- Darkness (sunrise, sunset)

Tires
- Blowout (before, during, after)
- Tread wear cuts/abuse
- Cord damage by rim
- Unmatched tires and sizes (radial, belted, bias, etc.)

Roadside Obstacles
- Trees
- Utility poles
- Rocks
- Sign supports
- Light supports
- Narrow bridges

Pavement Surface
- Potholes
- Crown or highway
- Low shoulders – soft shoulders
- Surface texture drag factor

Roadway Geometry
- Curves
- Super elevation
- Roadside bank or curves
- Lane width

- Inconsistent surface
- Elevated manhole covers
- Missing manhole covers
- Changes in lane or road width
- Shoulders
- Guard rails
- Curbs
- Grades

Signage

- Advance warning
- Confusing messages
- Visibility
- Uniformity
- Construction Zones
- Advance warning
- Equipment
- Signage
- Barricades
- Visibility (dust, etc.)

Visibility

- Glare
- Transition
- Confusion (arrows or directional traffic control)
- Railroad Crossing
- Sight distance
- Warning devices
- Crossing procedures
- Encroaching traffic

Reconstruction and Causal Analysis

A summary report should be prepared following this suggested format:

Cover Page

- Report number.
- Date of accident.
- Company name.
- Company operator's name and ID number.
- Name of person making the report.

Synopsis of Accident

- Date and time of accident.
- Names, addresses, dates of birth and telephone numbers of all involved persons.
- Location of accident.
- Results of the accident damage, injuries.

Narrative Description of the Accident

- Chronological, if possible.
- Use and identify all available information sources.

Summary of Evidence

- Skid marks.
- Glass/metal fragments.
- Sketch.
- Statements.
- Gouge marks.
- Point transfers.
- Photos.
- When possible, photos should come from a 35 millimeter camera and **not a digital camera**.

Exhibits

- Operation report.
- Accident data forms.
- Police report.
- Courtesy cards.
- Newspaper articles.

Determining Preventable/Non Preventable Accidents

The following information would be helpful in determining whether an accident is preventable or non preventable.

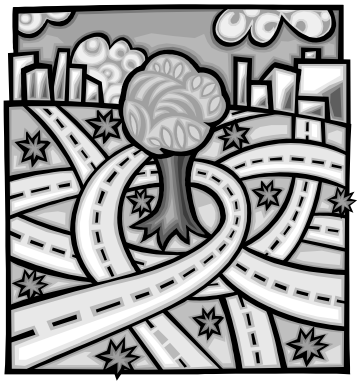
Intersections

It is the responsibility of professional operators to approach, enter and cross intersections prepared to avoid accidents that might occur through the action of other drivers. Complex traffic movement, blind intersections or failure or the other driver to conform to law or traffic control devices will not automatically discharge an accident as non preventable. Intersection accidents are preventable even though the professional operator has not violated traffic regulations. The operator's failure to take precautionary measures prior to entering the intersection is a factor to be studied in making a decision. When a

professional operator enters an intersection and the action of the other driver indicated possible involvement caused by the driver's excess speed, crossing his/her lane in turning or coming from behind a blind spot, the decision based on such entrapment should be preventable.

Vehicle Ahead

Regardless of the abrupt or unexpected stop of the vehicle ahead, the operator can prevent rear-end collisions by maintaining a safe following distance at all times. This includes being prepared for possible obstructions of the highway, either in plain view or hidden by the crest of a hill or the curve of a roadway. Overdriving headlights at night is a common cause of rear-end collisions. Night speed should not be greater than that which will permit the vehicle to come to a stop within the distance illuminated by the vehicle's headlights.



Vehicle Behind

Investigation often discloses that operators risk being struck from behind by failing to maintain a cushion of safety in their own following distance. Rear-end collisions preceded by a roll-back, an abrupt stop at a grade crossing, when a traffic signal changes or when the operator fails to signal a turn at an intersection would be charged preventable. Failure to signal intentions or to slow down gradually should be considered preventable.

Passing

Failure to pass safely indicates faulty judgment and the possible failure to consider one or more of the important factors an operator must observe before attempting a maneuver. Unusual actions of the vehicle being passed, or of oncoming traffic, might appear to exonerate an operator involved in a passing accident; however, the entire passing maneuver is voluntary and the operator's responsibility.

Being Passed

Sideswipes and cut-offs while being passed are preventable when the professional operator fails to yield to the passing vehicle by slowing down or moving to the right when possible.

Oncoming

It is extremely important to check the operator's actions when involved in a head-on or sideswipe accident with a vehicle approaching from the opposite direction. Exact location of vehicles, prior to and at the point of impact, must be carefully verified. Even though an opposing vehicle enters the operator's traffic lane, it may be possible for the operator to avoid the collision. For example, if the opposing vehicle was in a passing maneuver and the operator failed to slow down, stop or move to the right to allow the passing vehicle to re-enter its own lane, the operator has failed to take action to prevent the occurrence. Failing to signal the opposing driver by flicking the headlights or sounding the horn should also be taken into account.

Backing

Many agencies have policies prohibiting backing unless it is absolutely necessary. Backing maneuvers performed on facility grounds should require a spotter. Backing maneuvers performed on the road, off facility grounds, if absolutely necessary, optimally would use a spotter and require mandatory operator walk-around inspection, before reversing the vehicle.

Fixed Objects

Collisions with fixed objects are preventable. They usually involve failure to check or properly judge clearance. New routes, staged delivery points, resurfaced pavements under viaducts, inclined entrances to docks, marquees projecting over traveled sections of road and similar situations are not, in themselves, valid reasons for excusing the operator from being involved. The operator must be constantly on the lookout for such conditions and make the necessary allowances. The operator should always be aware of the total outside height of their vehicle. Accidents involving proper clearance with any fixed object are preventable.

Pedestrians

Traffic regulations and court decisions generally favor the pedestrian hit by a moving vehicle. An unusual route of a pedestrian at mid-block or from between parked vehicles does not necessarily relieve an operator from taking precautions to prevent such accidents. Whether speed limits are imposed on the area or not, driving too fast for the conditions may cause an accident. School zones, shopping areas, residential streets and other areas with special pedestrian traffic must be traveled at reduced speeds suited to the particular situation. Bicycles, motor scooters and similar equipment are generally operated by young and inexperienced drivers. The operator who fails to reduce sight distance has failed to take the necessary precautions to prevent an accident. Keeping within posted limits is not taking the proper precaution when unusual conditions call for voluntary reductions of speed.

Private Property

When an operator is expected to make pick-ups or drop-offs at unusual locations or on driveways not built to support heavy commercial vehicles, it is the operator's responsibility to discuss the situation with transit management and obtain permission prior to entering the area.

Passenger Accidents

Passenger accidents in any type of vehicle are preventable when they are caused by faulty operation of the vehicle. Even though the accident did not involve a collision of the vehicle, it must be considered preventable when the operator stops, turn, or accelerates abruptly. Emergency action by the operator to avoid a collision that results in passenger injury should be examined to determine if proper driving prior to the emergency would have eliminated the need for the evasive maneuver. Passenger slips and falls, once on board the vehicle would normally be considered preventable. Sips and falls on entry or exit steps could be considered preventable if the operator did not assist the person.

Non Collision

Many accidents, such as overturning or running off the road, may result from emergency action by the operator to preclude being involved in a collision. Examination of the operator's driving procedure prior to the accident may

reveal speeds too fast for conditions or other factors. The operator's actions prior to involvement should be examined for possible errors or lack of defensive driving practices.

Failure to Adjust for Conditions



Adverse weather conditions are not a valid excuse for being involved in an accident. Rain, snow, fog, sleet or icy pavement has never caused an accident. These conditions merely increase the hazards of driving. Failure to adjust driving to the prevailing weather conditions should be cause for deciding if an accident was preventable. Failure to employ safety devices provided by the agency should be cause for a preventable decision when it is reasonable to expect the operator to use such devices. Also when an operator, through poor judgment, places themselves in adverse conditions, any resulting accident would be preventable.

On Board Passenger Wheelchair Accident

Any accident involving a person who uses a wheelchair resulting from improper securement of the wheelchair or passenger would normally be considered preventable. An operator must make every possible effort to secure the wheelchair and passenger according to ADA regulations.

Wheelchair Lift Accidents

Several kinds of accidents are reasonably common while loading/unloading passengers using wheelchair lifts. They include, but are not limited to accidents while boarding involving powered electric wheelchairs, scooters and standing passengers which may fall off the lift and injuries caused by extremities getting caught in the lift or contact with the vehicle (i.e., heads of taller passengers impacting with the roof). All of these types of accidents are preventable with proper certified passenger assistance training, pre-trip inspection and regular lift maintenance.

Miscellaneous

Improper use of doors and interlock systems and passenger accidents resulting from passengers' disregard for normal safety procedures are preventable by the operator.

What is *the National RTAP Threat, Vulnerability & Emergency Preparedness Toolbox?*

The National RTAP (Rural Transit Assistance Program) Threat, Vulnerability & Emergency Preparedness Toolbox is actually a training package developed for community transportation systems. Containing a video and other training and education materials, this package was designed as a training tool for transportation managers; as an educational tool for governing boards; and as an informational tool to introduce emergency management concepts to transportation system employees. During a one to two day training class, participants will use this toolbox to understand the need for safety and security planning, assess their transportation system's threats and vulnerabilities, and develop a plan for responding to an emergency that threatens the safety of their passengers and employees.

How Do SPIDER and the RTAP Toolbox Work Together?

SPIDER has been developed as your safety and security manual, your reference and guide to transportation system safety and security. The five chapters of **SPIDER**, which includes the RTAP Toolbox, will help you in developing an overall safety program. The Toolbox will assist you in developing your safety, security, and emergency preparedness plan, which is just one facet of your overall program. **SPIDER** and the Toolbox, used together, provide you with a comprehensive, safety program for your transportation system.

Training is available for using **SPIDER** and the RTAP Toolbox. For more information, contact the WVDOT/Division of Public Transit office at 304-558-0428.

Student Workbook

Threat, Vulnerability & Emergency Preparedness Toolbox

Your guide to community transit safety, security and emergency preparedness



Acknowledgments

This Threat and Vulnerability Assessment tool, with compendium Safety Security and Emergency Preparedness Plan template, was developed by a consortium of transit safety and security consulting firms led by:

Gary Gleason, Communique USA, Inc.
P.O. Box 1625
Aspen, Colorado 81612

Teamed with

Mark Amann, NCI Communications
Jim Chesnutt, NCI Communications
Beverly Krieger, Precision Compliance, Inc.
Ream Lazaro, Revacast Corporation
Michael Noel, Lazaro & Noel, LLC

Under contract with

The NATIONAL RURAL TRANSIT ASSISTANCE PROGRAM

This product has been sponsored under a Cooperative Agreement with the U.S. Department of Transportation and the American Public Works Association under Section 18(h) of the Urban Mass Transportation Act of 1964, as amended; now 49 U.S.C. 5311.

General thanks and acknowledgement are given to the following agencies for their contributions and assistance:

American Red Cross
Association of State Highway Transportation Officials
Center for Disease Control
Colorado Department of Transportation
Community Transportation Assoc. of America
Federal Transit Administration
Federal Emergency Management Agency
Federal Bureau of Investigation
Idaho Transportation Department
National RTAP Review Board
National Safety Council
New Mexico Department of Transportation
Transportation Safety Institute
U.S. Department of Homeland Security
U.S. Department of Transportation
Utah Department of Transportation

Additional acknowledgement and appreciation is given to:

Transportation Research Board/Transportation Cooperative Research Program
Security Planning Tools for Rural, Small Urban and Community-based Public Transportation Operations

Colorado Department of Transportation
Transit Safety & Security Prototype Approach

The National Transit Institute
System Security Awareness for Transit Employees Program
Terrorist Activity Recognition and Reaction Program
Violence in the Transit Workplace Program

Table of Contents

1. Executive Summary 0
2. Defining the Mission 0
3. Identifying Assets 0
4. Evaluating Hazards and Threats 0
5. Assessing Vulnerabilities 0
6. Reducing Risk 0
7. Enhancing Response Capabilities 0
8. Managing Critical Incidents 0
9. Additional Resources 0
10. Appendix — Incident Protocols for Frontline Transit Workers 0

Executive Summary

Providing safe, reliable transportation has long been a priority at all levels of the transit industry including the Federal Transit Administration (FTA), state Departments of Transportation and individual transit providers. Over the last decade transit's traditional focus on safety has been expanded to include system security, even in rural communities.

The model being supported by industry leaders includes transit's role as:

- ***First Preventer*** — recognizing potential threats before they become major incidents
- ***First Responder*** — supporting evacuations, transporting of first responders, providing mobile shelter, and technical emergency response needs
- ***First on Scene*** — responding appropriately to accidents and incidents, acts of nature, loss of organizational infrastructure, hazmat spills, criminal activity and even the relatively remote possibility of domestic or international terrorism. Regardless of the cause, critical incidents require swift decisive action to protect life and property.

> ***Safety has to be the number one priority of all of us in the transportation business. What this program provides is a cookbook to develop a vulnerability assessment identify where your risks are and determine some of the actions you can take to provide a safer service for your employees and your customers.***
>
> ***— Ken Bock***

Community transit runs the gamut from senior centers providing transportation to congregate meals, to considerable fixed-route operations serving resort and smaller urban areas. One of the great challenges for community transit managers, therefore, is deciding what kinds of preparedness activities are appropriate and necessary based on the communities they serve and limited resources available. This Threat and Vulnerability Toolbox, developed by the National Rural Transit Assistance Program, was created to help transit managers set priorities.

Included in this training package are:

- A 10-minute video on transit safety, security and emergency preparedness in community transit operations. This overview is extremely useful in working with regulatory boards, partner agencies, and for introducing emergency management to concepts to transit staff
- A step-by-step guide for identifying critical assets, assessing hazards and threats, and reducing your vulnerability to those hazards and threats that are most likely to occur and most catastrophic for your agency
- Recommendations for preparing to handle incidents if and when they do occur
- A template transit managers can use to create a Safety, Security and Emergency Preparedness Plan (SSEPP) tailored to the risks facing their agencies
- Training and education material that can be used to teach frontline staff what to do in the event of calamity

Calibrated for transit managers and department heads, this training program uses educational text, video clips, exercises and exams to help identify which assets are most essential to fulfilling your organizational mission, prioritize what hazards and threats most jeopardize critical assets, and identify steps to reduce your vulnerability to those hazards and threats. The intended outcome is reduced risk to your operations, passengers and employees, regardless of the size of community you serve.

The average student can complete this course of study in 6 – 8 hours. Practice of the emergency preparedness principles contained herein, however, is more of a journey than a destination. Enjoy the ride.

1. Defining the Mission

Section Learning Objectives

- Basic Awareness of Safety, Security and Emergency Preparedness
- Understanding of Safety, Security and Emergency Preparedness Plans
- Comprehension of Organizational Capabilities

> *As far as I'm concerned, safety is an attitude. Once you sell people on the idea of safety you can sell them anything you have to offer.*
>
> *— Paul Ford*

Community transportation systems operate in a wide variety of environments including rural, urban and resort areas. Community transit includes fixed route, shared ride, paratransit and specialized service for the general public, as well as high-risk passengers such as individuals with disabilities, the elderly and young children.

Safety has always been a priority for local community transportation providers, state Departments of Transportation and the Federal Transit Administration. As a result of 9/11, and the transit attacks in Madrid and London, there are heightened concerns for transit security even in rural communities. The destruction wrought by Hurricanes Katrina, Rita and other acts of nature have renewed our national awareness for the role that public transportation can play as a first responder resource.

Important Definitions:

- **System Safety** – The application of operating policies and procedures to reduce vulnerability to safety-related hazards
- **System Security** – The application of operating policies and procedures to reduce vulnerability to security threats
- **Emergency Preparedness** – The system of policies and procedures that assure rapid, controlled, and predictable responses to a wide variety of safety and/or security incidents

Every transit system — whether a large fixed-route bus system or a small rural provider — is being asked to designate safety, security and emergency preparedness as a top priority, and to prepare to manage critical incidents for the wide array of the hazards that transit faces.

Critical Incidents could include accidents, natural disasters, sabotage, civil unrest, hazardous materials spills, criminal activity, or acts of terrorism. Regardless of the cause, critical incidents require swift, decisive action to protect life and property. Critical incidents must be stabilized prior to the resumption of regular service or activities. And successful resolution of critical incidents typically requires cooperative efforts by a variety of responding agencies.



Based on guidelines from the Federal Transit Administration, the goals of this initiative are to:

- Ensure that safety, security and emergency preparedness are addressed during all phases of system operation including hiring and training of personnel; procurement and maintenance of equipment; development of policies and procedures; and coordination with local emergency management and first responder agencies
- Create a culture that supports employee safety and security through the appropriate use and operation of equipment and resources

- Promote analysis tools and methodologies that identify changing threat conditions and bolster agency response capabilities
- Ensure that your agency will achieve a level of security performance and emergency readiness that meets or exceeds the operating experience of similarly-sized agencies
- Make every effort to ensure that, if confronted with a safety or security event or major emergency, your personnel will respond effectively, using good judgment and building on best practices identified in policies and procedures and exercised through drills and training

The cornerstones of this emergency planning process are:

- Prepare
  - ✔ Identify assets essential to your mission
  - ✔ Identify key threats facing your agency and your community
  - ✔ Coordinate with other emergency response organizations
- Prevent
  - ✔ Take steps to eliminate threats where possible
  - ✔ Institute policies and procedures that reduce the likelihood of incidents occurring
  - ✔ Take steps that reduce the impact on system assets when incidents do occur
- Respond
  - ✔ React quickly and decisively to critical incidents based on the four prime response objectives:
    - ✔ Protection of Self
    - ✔ Protection of Others
    - ✔ Protection of Resources
    - ✔ Stabilization of Incident
- Recover
  - ✔ Resume service delivery based on availability of resources
  - ✔ Repair and replace critical assets
  - ✔ Assess incident response actions
  - ✔ Plan for the future based on lessons learned

This level of proficiency demands that all staff identify safety hazards and security threats, and that steps are taken throughout the organization to eliminate those threats or minimize their potential impact. It also demands coordination with local law enforcement, fire and other public safety agencies to manage response to any incident that occurs on a transit vehicle or at a transit facility. Lastly it demands that transit resources and capabilities be integrated into the management plans of any event that may affect the community itself.

This *Threat and Vulnerability Toolbox* will help put your organization in a better posture to respond to the threats you face. Through text, video clips, exercises and exams you will identify which assets are most essential to fulfilling your organizational mission, prioritize what threats most jeopardize those assets, and identify steps to reduce your vulnerability to those threats. The ultimate outcome of this effort will be a Safety, Security and Emergency Preparedness Plan (SSEPP) that reduces risks to your operations, passengers, employees and the communities it serves.

Exam

1. **Which of the following best defines emergency preparedness?**
   - **A.** The application of operating, technical, and management techniques to reduce safety threats
   - **B.** The application of operating, technical, and management techniques and principles to eliminate threats and vulnerabilities
   - **C.** The system of policies and procedures that assure rapid, controlled, and predictable responses to a wide variety of safety and/or security incidents.
   - **D.** None of the above

2. **Which phrase best completes the sentence, "when it comes to managing disasters..."**
   - **A.** Response is best left to the professionals
   - **B.** Critical incidents must be stabilized prior to the resumption of regular services/activities
   - **C.** Planning is always done at the county level
   - **D.** All of the above

3. **Which is the correct Threat and Vulnerability planning sequence?**
   - **A.** Inventory critical assets, assess vulnerability, identify threats, define mission
   - **B.** Identify threats, assess vulnerability, inventory critical assets, develop risk-reduction plan
   - **C.** Define mission, inventory critical assets, identify threats, assess vulnerability, and develop a risk-reduction plan
   - **D.** None of the above

4. **The cornerstones of Safety, Security and Emergency Preparedness Plans are?**
   - **A.** Prepare, Survive, Recover
   - **B.** Prepare, Prevent, Respond, Recover
   - **C.** Response and Recovery Directorates
   - **D.** Data Analysis, Data Delivery and Deployment Decisions

5. **True or False: Since 9/11 the U.S. Department of Transportation requires all transit agencies to adopt their standard Safety, Security and Emergency Preparedness Plan**

   ☐ True ☐ False

6. **True or False: Protection of self, protection of others, protection of property, and stabilization of incident are the four prime response objectives for any incident.**

   ☐ True ☐ False

continued

7. **Which do you believe is the most important aspect of transit safety, security and emergency preparedness?**

   A. Hiring and training of agency personnel

   B. Procurement and maintenance of equipment

   C. Incident response policies and protocols

   D. Coordination with local first responders/local emergency planning committees

   E. All of the above

8. **Threat resolution is an evaluative process that boosts response capabilities**

   ☐ True ☐ False

9. **The goal of this Threat, Vulnerability and Emergency Preparedness Toolbox is to help ensure that:**

   A. You can successfully eliminate the threats that face your agency

   B. You understand the analysis tools that are available through the National Rural Transit Assistance Program

   C. Your agency achieves a level of preparedness and safety/security performance that meets or exceeds the experience of similarly-sized agencies across the nation

   D. You understand the threats and vulnerabilities of community transit as distinct from those of large urban areas

10. **Transit emergency preparedness includes the concept of transit as a first-responder resource for incidents affecting the community itself, such as fires, floods, hurricanes or tornadoes.**

    ☐ True ☐ False

Answer Key: 1-C; 2-B; 3-C; 4-B; 5-F; 6-T; 7-ANY; 8-F; 9-C; 10-T

Exercises

1. **On a scale of 1-10, where 1 is completely unprepared for the hazards you face and 10 is fully prepared for your worst plausible scenario, rate the level of preparedness for your agency:**

   1 2 3 4 5 6 7 8 9 10

2. **Complete for following seven-part *Agency Capability Assessment***

Agency Capabilities Assessment

Section 1: Security Awareness & Threat Management

1. **Does your system have policies in place to ensure that personnel check vehicles, rest rooms, parking areas, and stairways for unusual, out-of-place, or abandoned items?**

   ☐ Yes ☐ No ☐ N/A

2. **Has your system trained its personnel on recognizing and reporting unusual, out-of-place, or unattended objects?**

   ☐ Yes ☐ No ☐ N/A

3. **Has your system incorporated security concerns into procedures for pre-trip inspections, vehicle cleaning, and vehicle fueling?**

   ☐ Yes ☐ No ☐ N/A

4. **Have appropriate personnel at your system received security or emergency management training from the FTA or another source?**

   ☐ Yes ☐ No ☐ N/A

5. **Has anyone at your agency been certified in the National Incident Management System (NIMS) and/or the Incident Command System (ICS)?**

   ☐ Yes ☐ No ☐ N/A

Section 2: Preparedness Planning

1. **Does your system have access to personnel with security management experience, knowledge, skills and abilities?**

   ☐ Yes ☐ No ☐ N/A

2. **Does your system have standards for design, engineering, and procurement that consider safety and security risks?**

   ☐ Yes ☐ No ☐ N/A

3. **Does your system apply standards for safety and security whenever additional routes and services are considered?**

   ☐ Yes ☐ No ☐ N/A

continued

4. **Does your system have an ongoing liaison program with local law enforcement and/or fire service?**

☐ Yes ☐ No ☐ N/A

5. **Has your system documented its safety and security measures in plans and procedures?**

☐ Yes ☐ No ☐ N/A

6. **Do your employees understand their roles and responsibilities for protecting passengers, other employees from safety hazards and security threats?**

☐ Yes ☐ No ☐ N/A

7. **Does someone from your agency participate on the Local Emergency Planning Committee?**

☐ Yes ☐ No ☐ N/A

Section 3: Safety & Security Management

1. **Does your system have a designated safety/security point person and/or committee?**

☐ Yes ☐ No ☐ N/A

2. **Does your system have specific plans for managing bomb threats?**

☐ Yes ☐ No ☐ N/A

3. **Does your system have specific plans to guide facility and vehicle evacuations?**

☐ Yes ☐ No ☐ N/A

4. **Does your system coordinate with neighborhood watch programs?**

☐ Yes ☐ No ☐ N/A

5. **Has your system reviewed its procedures for managing mail and deliveries vis-à-vis security?**

☐ Yes ☐ No ☐ N/A

6. **Have your employees received training for dispute resolution and conflict management?**

☐ Yes ☐ No ☐ N/A

7. **Has your system developed a program to address workplace violence?**

☐ Yes ☐ No ☐ N/A

Section 4: Threat & Vulnerability Assessment

1. **Does your system have a current listing of its critical assets?**

☐ Yes ☐ No ☐ N/A

2. **Does your system have a current assessment of specific hazards and threats to its operation?**

☐ Yes ☐ No ☐ N/A

continued

3. **Does your system have a prioritized listing of current vulnerabilities?**

☐ Yes ☐ No ☐ N/A

4. **Does your system have a current program in place to reduce system vulnerabilities?**

☐ Yes ☐ No ☐ N/A

Section 5: Physical Security

1. **Does your system require that employees wear badges or other forms of identification?**

☐ Yes ☐ No ☐ N/A

2. **Does your system have procedures to log non-routine entries (e.g., visitors, vendors, personnel during off-shift, and personnel not normally assigned) to administrative facilities?**

☐ Yes ☐ No ☐ N/A

3. **Does your system have procedures to verify the identity of a visitor before issuing a badge, pass, or credential?**

☐ Yes ☐ No ☐ N/A

4. **Does your system have inventory control procedures for access badges, uniforms, and equipment?**

☐ Yes ☐ No ☐ N/A

2. **Have system personnel been trained to challenge people who do not appear to belong in restricted areas or who do not have the appropriate identification displayed?**

☐ Yes ☐ No ☐ N/A

5. **Does your system have gated perimeter fencing for storage of its revenue vehicles?**

☐ Yes ☐ No ☐ N/A

6. **Are vehicle numbers visible on the top, side, front and rear of all vehicles?**

☐ Yes ☐ No ☐ N/A

Section 6: Emergency Response Capabilities

1. **Does your system have an emergency plan?**

☐ Yes ☐ No ☐ N/A

2. **Does your emergency plan specify use of the incident command system?**

☐ Yes ☐ No ☐ N/A

3. **Does your system have pre-identified incident response/safety review personnel?**

☐ Yes ☐ No ☐ N/A

continued

4. **Have your employees been trained in the emergency plans and procedures?**

☐ Yes ☐ No ☐ N/A

5. **Does your system conduct routine simulation drills and incident exercises?**

☐ Yes ☐ No ☐ N/A

6. **Does your system coordinate emergency response training with local first responders?**

☐ Yes ☐ No ☐ N/A

Section 7: Previous Experience

1. **Has your system experienced an emergency in the last 12 months?**

☐ Yes ☐ No ☐ N/A

2. **Has your system experienced an emergency in the last decade?**

☐ Yes ☐ No ☐ N/A

3. **If yes, do you feel the agency responded as well as could be expected?**

☐ Yes ☐ No ☐ N/A

Having completed this FTA Agency Capability Assessment, how would you rate our agency's preparedness (1= completely unprepared — 10=fully prepared)

1 2 3 4 5 6 7 8 9 10

Did your answer change?

2. Identifying Assets

Section Learning Objectives

- Defining your Agency Mission
- Identifying Critical Assets

> *By being proactive, a small community transit manager can go to the emergency responders – the chief of police, public works, even the governor – and say 'Here are my resources that are available here is how I can help you; I want to be a part of this; let me sit down at the table.'*
>
> *– David Barr*

Most transit systems define their mission in terms of mobility: providing safe, reliable transportation to those who do not have other mobility options, and/or those who choose transit. It is essential to define your mission. This helps determine what assets are most essential.

Assets are critical when their loss either endangers human life or impacts your ability to maintain service.

Important Definitions:

Assets can be broadly defined as **people**, **information**, and **property**:

- **People** – Passengers, employees, visitors, contractors, vendors, community members, and others who come into contact with the system
- **Information** – Employee and customer information, computer network configurations and passwords, ridership, revenue and service statistics, operating and maintenance procedures, vehicle identification systems
- **Property** – Revenue vehicles, non-revenue vehicles, storage facilities, passenger facilities, maintenance facilities and equipment, administrative offices, computer and communications equipment

Asset Analysis

The purpose of reviewing assets is to prioritize which assets have the greatest impact on your ability to meet your mission. These assets may require special protection. Identifying and analyzing critical assets for your system is called "asset criticality valuation". This process identifies all system assets, and places a value on those assets in terms of:

- Criticality to mission
- Asset replacement cost
- Severity of impact on public health and safety
- Impact on other assets including intangibles such as public trust and employee morale

For those assets that are mission-critical, steps should be taken for risk ***avoidance*** (i.e. stop the activity altogether), risk ***mitigation*** (e.g. accept the risk but take steps to reduce the likelihood or impact of an incident) and risk ***transference*** (e.g. have someone else, like an insurer, assume the risk).

This helps management to appropriately allocate limited resources on protecting the elements most vital to continuity of operation.



Exam

1. **True or False: Only large urban systems need a formal mission statement.**

   ☐ True ☐ False

2. **For the purpose of your Safety, Security, Emergency Preparedness Plan (SSEPP) critical assets may be defined as:**

   A. Total value of capital equipment minus accumulated depreciation

   B. The system's public image

   C. People, information and property

   D. None of the above

3. **Which of the following should be considered when prioritizing the system's critical assets?**

   A. New purchase price of the asset

   B. The location of the asset

   C. The value of the asset in terms of meeting your mission

   D. None of the above

4. **True or False: Scheduling data, bus maintenance reports and employee information are not considered transit assets.**

   ☐ True ☐ False

5. **True or False: Identifying your critical assets is a key step in deciding how to respond to emergency situations.**

   ☐ True ☐ False

6. **Assets that require special protection are those whose loss would:**

   A. Involve more paperwork than they are worth

   B. Result in negative publicity

   C. Impact your ability to maintain service or endangers human life

   D. None of the above

7. **True or False: Employee morale is a critical asset**

   ☐ True ☐ False

8. **The process of "asset criticality valuation" includes all but:**

   A. Identification of all system assets

   B. Valuation of assets in terms of replacement value

   C. Identification of assets essential to first responders

   D. Determination of how loss of an asset may affect public health and safety

continued

9. **True or False: Sometimes it is just better to "wing it" rather than go through all the steps of evaluating your assets without an actual emergency to deal with.**

☐ True ☐ False

10. **Risk Avoidance, Risk Retention and Risk Transference are:**

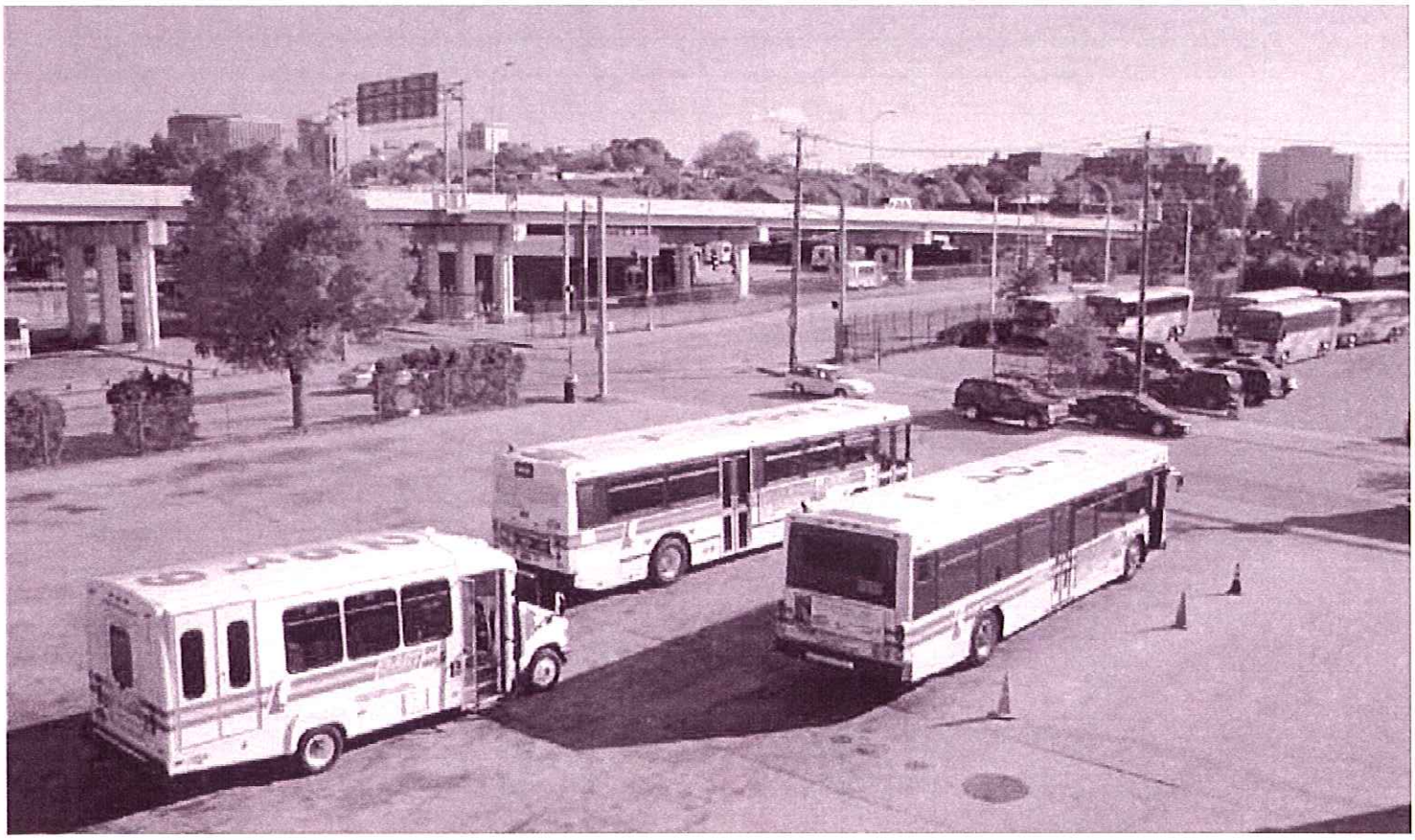
A. Insurance industry jargon with little application to the transit industry

B. Commonly known as the "Golden Triangle" of asset analysis

C. Guiding principles of "asset criticality valuation" and risk management

D. None of the above

Exam Answer Key: 1-F; 2-C; 3-C; 4-F; 5-T; 6-C; 7-T; 8-C; 9-F; 10-C



Exercise

Critical Asset Identification and Valuation

Column A = How critical an asset is to fulfilling your mission, from minor impact to inability to perform your mission.

Column B = How costly it would be to replace the asset, after any insurance reimbursements, if the asset were substantially compromised

Column C = How significantly and immediately the loss of the asset would affect public health and safety

	A	B	C	
Core Transit Assets	Criticality to Mission 1= low 10 = essential	Replacement Value 1= inexpensive 10 = invaluable	Loss Impact to Health/Safety 1= little impact 10 = devastating	Calculate (A x B x C)
People				
Drivers				
Dispatchers				
Administrators				
Mechanics				
Passengers				
Partner Agencies				
Information				
Computer Data				
Employee Info				
Customer Info				
Policies/Procedures				
Property				
Vehicles				
Non Revenue Vehicles				
Fare Boxes				
Radio Systems				
Tools				
Maintenance Equipment				
Fuel				
Bus Stops				
Bus Shelters				
Park and Rides				
Admin. Facilities				
Vehicle Storage				
Maint. Facilities				
Operations Facilities				
Office Furniture				
Computer Systems				
Fax Machines				
Telephone Systems				
Internet Access				

3. Evaluating Hazards and Threats

Section Learning Objectives

- Identifying Hazards and Threats
  - Historical Analysis
  - Physical Analysis
  - Expert Evaluation
  - Scenario Analysis

> *I worry a lot about this kind of stuff, no mater how much you prepare — as Katrina showed us — if you get hit with a major, major disaster it is going to be bedlam and it is going to be very difficult to piece together your resources... it is going to be very difficult to do.*
>
> *— Larry L. Leitech*

Safety addresses the hazards of transporting passengers in the community without accident. Security deals with potential threats against the transit system. Put another way, safety is freedom from unintentional harm. Security is freedom from intended harm.

Threat analysis provides a framework by which to analyze the likelihood of hazards and threats damaging critical assets. Included in this assessment are:

- Historical analysis
- Physical surveys
- Expert evaluation
- Scenario analysis

Important Definitions:

- Safety concerns are hazards
- Security concerns are threats

Historical Analysis

The primary method used to identify threats and hazards is the collection and analysis of historical trends — what has happened in the past for your agency and your industry peers. Information resources may include:

- The Federal Transit Administration
- State Departments of Transportation
- Professional associations
- Peers within the industry
- Operator accident and incident reports
- Bus maintenance reports
- Staff concerns
- Passengers' letters and telephone calls
- Marketing surveys
- Insurance claims
- National Weather Service data
- Local/state police reports
- Emergency management reports

Physical Analysis

Visual inspection is another essential method for identifying threats to your critical assets. Physical surveys should consider:

- Location of facilities and operations relative to threats and hazards
- Exposure to natural hazards
- Value of assets to criminal elements
- Fencing and securement devices
- Lighting and monitoring capabilities
- Access and access control
- Life safety equipment and supplies

Expert Evaluation

Historical analysis and physical analysis can be conducted by agency staff, consultants, and/or partner agencies such as local police, fire, and emergency medical services personnel. Regardless of who assesses your vulnerabilities, it is essential to:

- Identify each potential hazard and threat that your transit system faces
- Evaluate those threats in terms of their potential impact on your critical assets, and
- Prioritize which of those threats and hazards pose the greatest risk to your core mission.

Scenario Analysis

Hazards and threats facing public transit can be framed in six key categories:

- Accidents and incidents
- Acts of nature
- Loss of organizational infrastructure such as communications systems, staffing, and public image
- Hazardous material spills
- Criminal activity
- Domestic and international terrorism

Scenario Analysis considers the probability of these sorts of events and their potential impact on your critical assets to help determine which threats and hazards are most at-risk. It is not an exact science but rather an illustrative tool that helps you set priorities.

Following is a summary of the most common hazards and threats faced by transit operators in each of the six broad categories identified above. At the end of this chapter you will identify which of these affect your particular transit system:

ACCIDENTS & INCIDENTS

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



- ***Transit passenger incidents*** involve passenger falls, injuries relating to lift and securement operation, injuries before boarding or after alighting and passenger illnesses
- ***Employee accidents and incidents*** include injuries within the office, on official travel, while maintaining the equipment, and on-premises but not operating a vehicle for public transport resulting in loss of workforce, lawsuits and worker's compensation claims

CRITICAL INFRASTRUCTURE

- ***Power outages***, whether short or long in duration, can impact ability to operate transit services and limit functional nature of transit equipment and facilities
- ***Computer crashes/cyber attacks*** cause loss of critical data and negatively impact the ability to schedule and dispatch service
- ***Communication system failure*** can have serious effects on your ability to deliver service and keep employees out of harms way
- ***Supply chain interruption*** — Transit service is dependent upon a continuous supply of fuel, lubricants, tires, spare parts, tools, etc. Interruption of material supplies due to weather conditions, roadway closures, acts of terrorism, acts of war, or loss of supplier facilities can limit your ability to maintain service
- ***Facility loss*** — Loss of administrative, maintenance, or operations facilities — whether caused by structural collapse, presence of toxic materials, violation of municipal codes, or significant events on neighboring properties — can hamper your ability to sustain service
- ***Vehicle fires*** can cause injuries and death to employees and passengers, and destroy transit equipment, and pose a significant potential for lawsuits
- ***Structural fire*** whether natural or human-caused, can threaten employees and customers and damage facilities and equipment. Such an event could require use of transit vehicles for temporary shelter, or for evacuation purposes
- ***Staff shortage*** caused by labor disputes, poor human resource management, or regional employee shortages have immediate impacts

on ability to deliver service, and longer-term impacts on facility and equipment resources

- ***Employee malfeasance*** — Illegal and illicit behavior by agency employees, particularly when in uniform or on duty, can seriously damage intangible assets such as organizational image and employee morale

ACTS OF NATURE

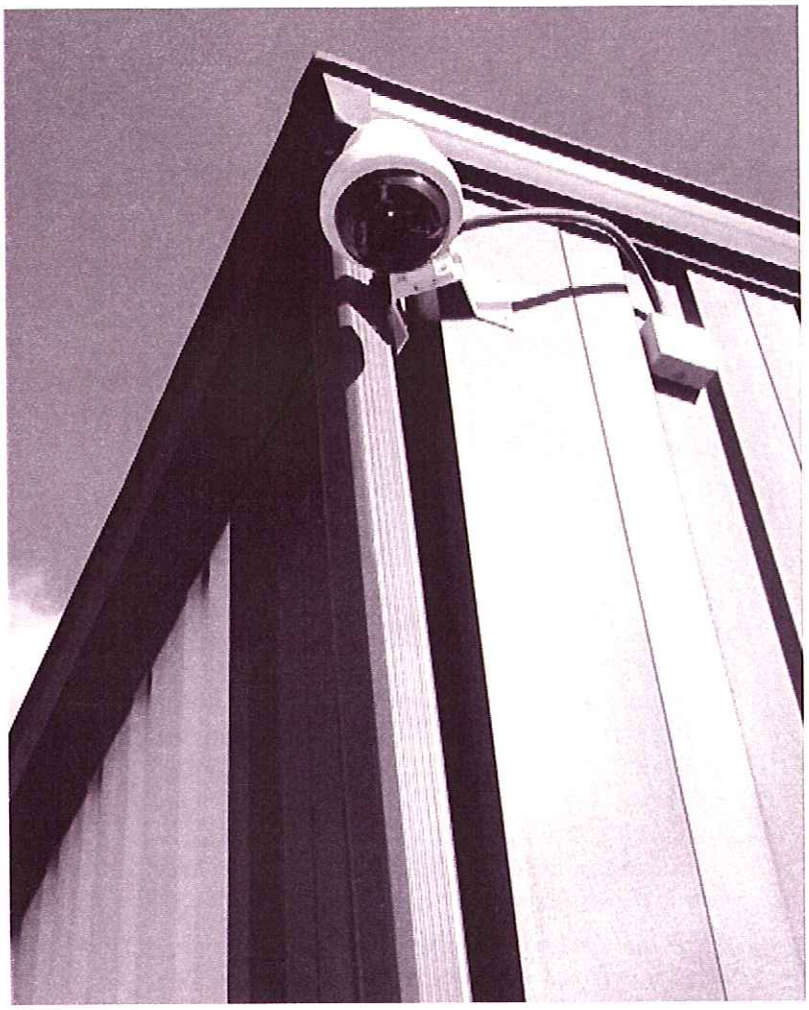
- ***Floods*** caused by heavy rain, storm surge, rapid snowmelt, ice jams, dam breaks or levee failures can result in loss of life, damage to facilities, danger to vehicles on roadways and loss of power and communications. Such events may also require use of transit system assets for evacuation purposes
- ***Winter weather*** can cause power failures, make roads dangerous or impassable, cause sidewalk hazards, and affect the ability to deliver transit service
- ***Tornado/hurricane*** — High winds have the potential to cause flying debris, down trees and/or power lines, and make roadways impassable or dangerous. Such events can damage facilities and/or vehicles, and threaten the safety of passengers and employees. Such events could also require use of transit system assets for evacuation purposes
- ***Thunderstorms*** may trigger flash flooding, heavy winds, hail, lightening, and can cause power or communication system outages
- ***Wildfires***, whether natural or human-caused, reduce visibility, impair air quality, and have the potential to damage facilities, equipment and make roadways impassable. Such an event could require use of transit system assets for evacuation purposes
- ***Earthquakes*** can cause extensive damage to buildings, water systems, power systems, communications systems, roads, bridges and other transportation infrastructure. Such events often overwhelm first responder resources. In coastal areas tsunamis, or tidal waves, are a hazard following major earthquakes and underwater tectonic activity
- ***Landslides and avalanches*** have the potential to close roadways, damage vehicles and facilities, and injure employees and passengers
- ***Dust storm*** usually arrives suddenly in the form of an advancing wall of dust and debris, which may be miles long and several thousand feet high. Blinding, choking dust can quickly reduce visibility causing accidents. While dust storms may last only a few minutes, they tend to strike with little warning.

HAZARDOUS MATERIALS

- ***Blood-borne pathogens*** — Exposure can put drivers, passengers, maintenance employees and bus cleaners at risk of contracting disease
- ***Toxic material spills*** — Toxic materials fall into four basic categories: blister agents such as solvents; cardio-pulmonary agents such as chlorine gas; biological agents such as anthrax; and nerve agents such as Sarin. While some of these materials may be agents of terrorist acts, accidental release is also possible. Additionally, low-level exposure to maintenance related chemicals and vehicle fluids can pose a risk to employee and environmental health
- ***Radiological emergencies*** could include accidental release of radioactivity from power plants or materials being transported through the service area by truck or train. Such incidents can injure or kill anyone in the plume path
- ***Fuel-related events*** include accidental release of natural gas and petroleum, rupture of pipelines, and fire and explosion involving alternative fuel use. Dangers include risk of human life, damage to facilities and vehicles, damage to organizational reputation, and events that may require use of transit system assets for evacuation purposes.

CRIMINAL ACTIVITY

- ***Trespassing*** — Penetration of organizational security system can increase vulnerability to criminal mischief, theft, workplace violence, and terrorist attack
- ***Vandalism/Criminal Mischief*** includes graffiti, slashing, loitering, or other such events that damage buses, bus stops, shelters, transit facilities and/or organizational image
- ***Theft and burglary*** — Break-ins to facilities and vehicles, as well as employee theft, can threaten information assets, property assets, and organizational image



- ***Workplace violence*** includes assaults by employees on employees, passengers on passengers, and passengers on employees including menacing, battery, sexual assault, and murder
- ***Commandeered vehicle*** — The taking of a transit vehicle to perpetrate a crime, and the taking of hostages as a negotiating tool, puts the lives of transit employees and transit passengers at risk
- ***Bomb threats*** — The mere threat of a bomb puts at risk the safety of transit employees and occupants of transit facilities who may react inappropriately to such threats. Additionally, bomb threats cause the loss of resources used in reactive measures, and can lead to debilitating mental stress

TERRORISM

The difference between criminal activity and terrorism is that terrorism is politically motivated. The result looks much the same for your agency. Here are four prime transit terrorist concerns.

- ***Dangerous mail*** — Chemical, biological, radiological and explosive devices delivered through the mail put the lives of transit employees and occupants of transit facilities at risk, and have the potential for damage of facilities and equipment
- ***Suicide bombers*** — Internationally, transit systems have been common terrorist targets. The major inherent vulnerabilities of transit are that transit systems are by design open and accessible, have predictable routines/schedules, and may have access to secure facilities
- ***Improvised Explosive Devices (IED) Activities*** could involve the use of conventional weapons and improvised explosive devices or bombs on transit vehicles, within transit facilities or within the environment of the transit service area, putting the lives of transit employees, passengers and community members at risk, and possibly damaging transit facilities and equipment. Such events could require the use of transit vehicles in evacuation activities
- ***Weapons of Mass Destruction*** — Use of chemical, biological or radiological weapons could cause massive loss of life, damage or destroy transit vehicles and facilities, and irreparably compromise economic vitality of a community. Such events may also require the use of transit vehicles for evacuation purposes

Exam

1. **The difference between safety and security is that:**
   - *A.* Safety has to do with operations while security has to do with maintenance
   - *B.* Safety is freedom from unintentional harm, while security is freedom from intentional harm
   - *C.* Transit safety is the responsibility of the fire department while transit security is the responsibility of the police department
   - *D.* Safety is a more important function for community transit managers

2. **True or False: Threat analysis provides an analytical framework by which to consider the likelihood of threats and hazards impacting your critical assets.**

   ☐ True ☐ False

3. **Hazards and threats can be identified using:**
   - *A.* Accident and incident reports
   - *B.* Bus maintenance reports
   - *C.* Driver and passenger comments/suggestions
   - *D.* Department of Homeland Security Advisories
   - *E.* All of the above

4. **True or False: Threat assessments must be conducted by a certified emergency preparedness consultant or government contractor.**

   ☐ True ☐ False

5. **Which of the following is typically NOT considered during facility threat assessment?**
   - *A.* Facility design and location
   - *B.* Facility access control
   - *C.* Lighting and visibility
   - *D.* Employee parking areas
   - *E.* Vehicle Post-trip Inspections

6. **True or False: Illegal and illicit behavior by off-duty transit employees can damage organizational image and employee morale.**

   ☐ True ☐ False

7. **Which of the following statements is most true?**
   - *A.* Scenario Analysis is a scientific approach to demonstrating potential consequences of transit threats
   - *B.* Scenario Analysis requires sophisticated probability modeling
   - *C.* Scenario Analysis helps boost awareness for how to recognize, prevent, and mitigate potential disasters
   - *D.* None of the above

continued

8. **Telephones, radios, cell phones, and other communication devices**

   A. Can be essential to keeping staff out of harm's way

   B. Play a key role in the delivery of transit service

   C. Have been the source of great consternation during critical incidents

   D. All of the above

9. **True or False: If a bomb threat turns out to be a false alarm it is not necessary to debrief staff.**

   ☐ True ☐ False

10. **Blister Agents, Nerve Agents, Pulmonary Agents and Biological Agents are all examples of:**

   A. Hazardous materials

   B. Common industrial waste

   C. Weapons of math instruction

   D. Weaponry commonly used in Iraq

Answer Key: 1-B; 2-T; 3-E; 4-F; 5-E; 6-T; 7-C; 8-D; 9-F; 10-A

4. Assessing Vulnerabilities

Section Learning Objectives

- Identifying Vulnerabilities
- Prioritizing Risk-Reduction Activities

> *There is a much greater emphasis on preparation since 9/11. One of the things that has grown out of this is the federal government is much more involved in getting the local jurisdictions and states into the planning arena to start preparing for the things that may happen.*
>
> *– Bill Martin*

Important Considerations:

Vulnerabilities are usually caused by:

- Insufficient planning
- insufficient training
- Poor implementation of existing safety/security protocols and
- Lack of coordination with partner agencies/ local emergency responders

A vulnerability is anything that can make an agency more susceptible to a hazard or threat. Vulnerability assessment is designed to identify which of your most essential assets are most at risk, helping you eliminate, mitigate, or transfer unacceptable risks.

Risk elimination implies changes to equipment, facilities, training or operational implementation in order to no longer be exposed to the risk (e.g. moving your maintenance facility out of the floodplain). Risk mitigation implies changes in policies or procedures that reduce the likelihood of an event, or reduce its impact on critical assets (e.g. defensive driver training). Risk transference implies that the risk exposure is borne by someone else (e.g. hazard and liability insurance).

The goal is to minimize vulnerability to identified hazards and threats to essential people, information and property assets. This will also reduce vulnerability to unknown hazards and threats.

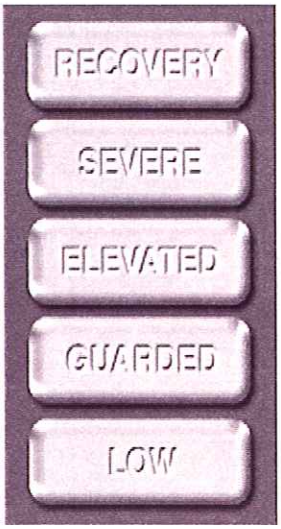
A recommended protocol to reduce vulnerability at your agency is to:

- Involve staff in the identification of threats and in the development of strategies to eliminate, mitigate or transfer agency risks
- Develop new policies and procedures that prevent unwanted incidents
- Use tabletop exercises and scenario analysis to develop emergency response protocols for identified threats that can not be completely avoided
- Provide training that raises staff awareness across all departments about safety and security policies, procedures and responsibilities
- Conduct drills that raise staff proficiency in reacting to unwanted incidents, including proper use of emergency equipment and communication technologies
- Coordinate with law enforcement, fire, emergency medical services and emergency planning organizations
- Participate in exercises that improve coordination across departments and between responding agencies for any sort of critical incident

Prioritization

The goal of your threat and vulnerability assessment is to reduce your agency's exposure to risk. As risk is endemic to transportation, however, it is important to be able to communicate about when risk is low and when it is high.

The U.S. Department of Homeland Security (DHS) utilizes a Security Advisory System for threats to critical infrastructure. The most visible piece of that strategy is the Color-coded Threat Level System. This system is designed to communicate with public safety officials and the public at-large about threats and the appropriate readiness posture. Similarly, the U.S. Forest Service uses a color-coded warning system to inform users on public lands about current wildfire hazards.



A transit threat condition model is included in Chapter 6, Enhancing Response Capabilities.

Exam

1. **In the terminology of emergency preparedness, a vulnerability is best described as:**
   - *A.* Specific actions that may weaken an organization
   - *B.* Susceptibility to illness or injury
   - *C.* Anything that can make an agency more susceptible to a hazard or threat
   - *D.* None of the above

2. **Vulnerabilities are typically a result of all EXCEPT:**
   - *A.* Insufficient planning
   - *B.* Insufficient training
   - *C.* Insufficient coordination with local police and fire
   - *D.* A severe winter storm

3. **Vulnerability analysis is designed to identify specific weaknesses in which of the following critical asssets:**
   - *A.* People
   - *B.* Information
   - *C.* Property
   - *D.* All of the above

4. **True or False: Vulnerability analysis identifies the threats that have the greatest likelihood of occurring and the greatest consequences in terms of loss of critical assets**

   ☐ True ☐ False

5. **An example of eliminating a threat is:**
   - *A.* Moving your maintenance facility out of the floodplain
   - *B.* Defensive driver training
   - *C.* Purchasing earthquake insurance
   - *D.* All of the above

6. **An example of mitigating a threat is:**
   - *A.* Moving your maintenance facility out of the floodplain
   - *B.* Defensive driver training
   - *C.* Purchasing earthquake insurance
   - *D.* All of the above

7. **An example of transferring a threat is:**

   A. Moving your maintenance facility out of the floodplain

   B. Defensive driver training

   C. Purchasing earthquake insurance

   D. All of the above

8. **An effective strategy by which to reduce vulnerabilities is:**

   A. Involving staff in assessment of threats and development of strategies to eliminate, mitigate or transfer risk

   B. Coordination with outside security and emergency preparedness agencies

   C. Drills that raises staff proficiency in proper use of emergency equipment and communication technologies

   D. Exercises that improve coordination across departments and between responding agencies

   E. All of the Above

9. **True or False: Color-coded threat alerts are used to communicate about risk in order to increase awareness about the potential for an incident or attack**

   ☐ True ☐ False

Answer Key: 1-C; 2-D; 3-D; 4-T; 5-A; 6-B; 7-C; 8-E; 9-T; 10-B

Exercise

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, the impact it would have on your ability to fulfill your mission, and the cost to the organization to repair or replace critical assets (people, information and/or property) compromised by the hazard or threat.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Accidents & Incidents***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Minor Vehicle Collision				
Major Collision / no injuries				
Vehicle Collision With Injury				
Mass Casualty Collision				
Passenger Injury Before Boarding / after alighting				
Passenger Fall With Injury				
Employee Injury (Trip / Fall / Cut)				
Wheelchair Securement				
Other				

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, and identify the critical assets that are threatened.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Acts of Nature***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Flooding in community				
Flooding of transit facilities				
Severe Winter Weather				
Severe Ice/Freezing Rain				
Tornado/Severe Wind				
Hurricane				
Thunderstorm/ Hail — Severe				
Wildfire				
Earthquake				
Volcano				
Tsunami				
Landslide				
Snowslide				
Dust Storm				
Other				

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, and identify the critical assets that are threatened.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Critical Infrastructure***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Brief Power Outage				
Extended Power Outage				
Hard Drive Crash/cyber attack				
Information Loss — Maintenance Records, Ops Records, Contact Info				
Loss Of Telephone System/Service				
Loss Of Internet Access				
Loss Of Radio System				
Minor Structural Fire				
Major Structural Fire				
Vehicle Fire without injuries				
Vehicle Fire with injuries				
Supply Chain Interruption				
Loss Of Admin. Facility				
Loss Of Maintenance Facility				
Loss Of Op's Facilities				
Loss of Funding				
Regional Employee Shortage				
Organized Labor Dispute				
Employee Turpitude				

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, and identify the critical assets that are threatened.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Hazardous Materials Spill***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Blood-Borne Pathogen Spill				
Spill of Solvents or other Blister Agents				
Ammonium-Nitrate Fire/ Explosion				
Chlorine Plume from Transport or Storage				
Biological Agent — botulism, anthrax				
Nerve Agent — Sarin or VX				
Radiological accident				
Fuel Spill				
Accidental Release of Natural Gas				
Alternative Fuels Explosion				
Other				

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, and identify the critical assets that are threatened.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Criminal Activity***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Trespassing				
Graffiti				
Vandalism				
Mugging				
Property Theft				
Information Theft - social security numbers, passwords				
Menacing				
Assault and Battery				
Sexual Assault				
Attempted Homicide				
Homicide				
Suicide				
Commandeered Vehicle				
Kidnapping/Hostage Situation				
Bomb Threats				
Other				

Based on experience at your agency and other similarly-sized agencies over the last decade or two, indicate the likelihood of the following threats occurring at your agency within the next five years, and identify the critical assets that are threatened.

Likelihood: 0 = Impossible 1 = Highly Improbable 5–6 = Possible 10 = Certain

Impact on Mission: 1 = Negligible 5–6 = significant 10 = Devastating

Anticipated Losses: 1 = Negotiable 5–6 = Challenging 10 = Catastrophic

*Threat — **Terrorism***	*Likelihood of Incident*	*Impact on Mission*	*Anticipated Losses (after insurance reimbursement)*	*Calculate A x B x C = Vulnerability Index*
Dangerous Mail				
Improvised Explosive Device				
Chemical Weapon				
Biological Weapon				
Radiological Weapon				
Other				

5. Reducing Risk

Section Learning Objectives

- FTA Safety/Security Guidelines
- Common Transit Risk Reduction Strategies
- Transit Watch Guidelines

> *Rural transportation providers need to recognize their importance to the community — not only providing transportation service on a day to day basis but they need to understand that when we have a real emergency and need to move citizens... they are going to be a key partner because they have a lot of specialized equipment.*
>
> *— Steve Williams*

The Federal Transit Administration has identified six core areas for transit safety, security and emergency preparedness activities:

1. Driver Selection
2. Driver Training
3. System Security
4. Vehicle Maintenance
5. Drug and Alcohol Testing
6. Safety Data Acquisition & Analysis

Following is a summary of recommended actions relative to these six core areas.



DRIVER SELECTION

The driver of a transit vehicle is directly responsible for the safety of his or her passengers and other drivers on the road. Specific safety-related criteria for driver selection are therefore critical to your agency's safe operations.

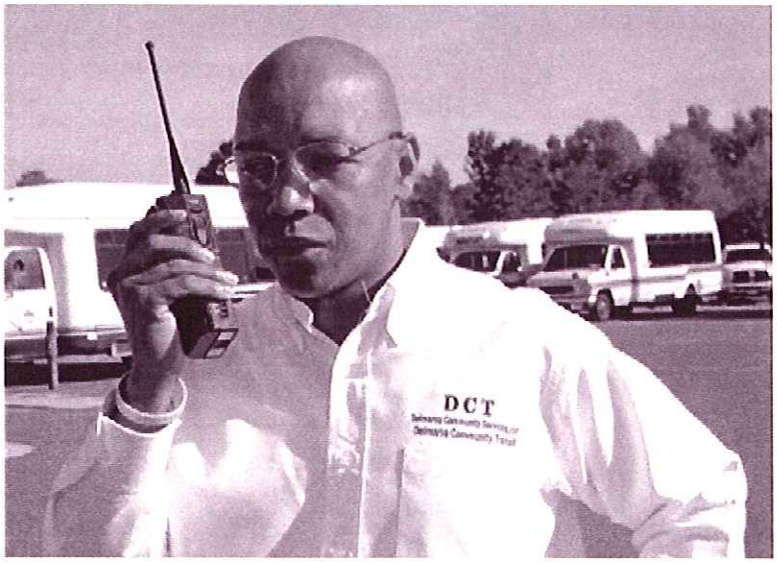
- Background checks — Past-employment and criminal background checks on all employees are strongly recommended to protect against hiring personnel with a history of aberrant behavior
- Driving record — As one's driving record demonstrates an ability to follow traffic rules and regulations and avoid accidents, transit drivers must meet a reasonable standard for driving over a period of time. There are no federal standards beyond that of licensure, so you will need to set and maintain a standard for your agency
- Licensing — The driver must have the appropriate license for the type of vehicle the driver is assigned, and the laws and customs of your local jurisdictions
- Physical requirements — The driver must be physically able to perform the functions associated with the assignment. These factors may include good eyesight with true color perception, good hearing, physical strength and dexterity to assist disabled passengers (especially in demand responsive/ paratransit assignments), or other factors that may be unique to the service area and/or specific driving assignments. Pre-employment and periodic physical examinations are recommended.

DRIVER TRAINING

Once qualified candidates are selected and hired, initial and ongoing refresher training should be provided to ensure proper operations and adherence to your agency's policies and procedures. Proper qualification of operating and maintenance personnel is a vital part of a safe transit environment. Driver

training should address specific safety-related issues appropriate to the type of vehicle and driving assignment. Special consideration should also be given to crisis management concerns such as fire and evacuation. The following should be included in your driver training program:

- Traffic Regulations — Training must address state and local traffic rules and regulations, traffic signs and signals, and proper vehicle operations (including proper use of hand signals)
- Defensive Driving and Accident Prevention — Training must stress defensive driving principles, meaning driving with the vehicle under control at all times, within the applicable speed limits and dictates of conditions, anticipating possible unsafe actions of other drivers. Special attention should be given to hazardous conditions:
  - ✔ Winter driving
  - ✔ Rainstorms/thunderstorms
  - ✔ Tornadoes
  - ✔ Intersections
  - ✔ Backing
  - ✔ Lane changes and turns
  - ✔ Railroad crossings
  - ✔ Expressways
  - ✔ Fog
  - ✔ Flash flooding
  - ✔ Skids
  - ✔ Following distance
  - ✔ Passing
  - ✔ Pedestrians, bicycles and motorcycles
  - ✔ Rollovers
  - ✔ Traffic congestion
- Type of vehicle in service — Training should include all core driving maneuvers and equipment-specific functions. Training should focus on the type of vehicle that will be used in service, as significant differences can exist between manufacturers and even between different bus models
- Passenger Assistance Techniques — Training should be provided on how to serve the diverse needs of transit riders including:
  - Communicating with passengers
  - Sensitivity to passenger needs
  - Understanding disabilities
  - Mobility devices
  - Wheelchair management/ wheelchair securement
  - Lift and ramp operations
  - Lift, drag, and carry techniques for emergency situations



Radio Usage

To ensure the safety of your drivers and passengers and to enhance the performance of your operations, it is important that all agency employees are familiar with two-way radio operations. Basic procedures are as follows:

- All base stations and vehicle units shall be tuned to the appropriate assigned frequency at all times.
- Staff will initiate communications by first stating who they are calling, and then who is making the call. At the completion of the transmission both parties will indicate that the transmission is completed by stating their call sign and "clear"
- In the event of an emergency, caller will establish communications on the primary frequency and immediately shift to the secondary frequency.
- Emergency calls must state the nature of the emergency, precise location of emergency, and what assistance is required

- All communications will be between Dispatch/ Supervisor and the unit requesting assistance

Crisis Management Training

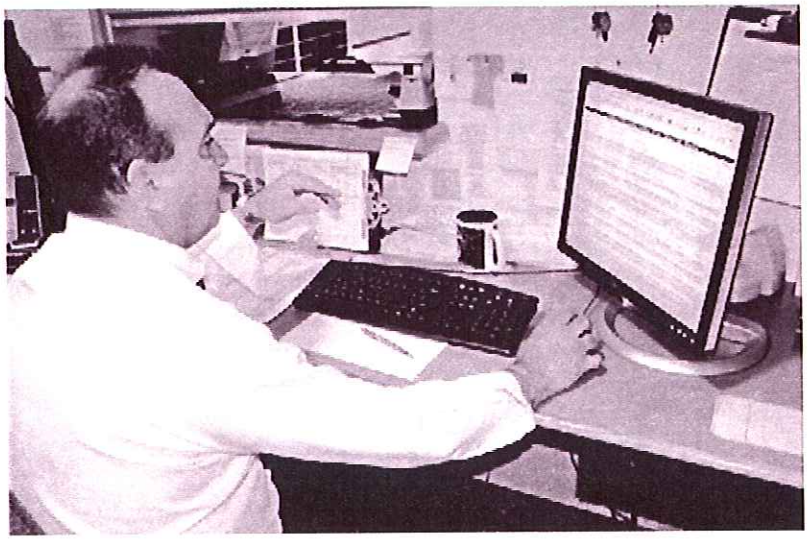
Training must cover emergencies the driver may face while out on the bus including:

- ✔ Accidents
- ✔ Fire safety
- ✔ Vehicle evacuation
- ✔ Securing the vehicle
- ✔ Ill and injured passengers
- ✔ Bloodborne Pathogens (bodily fluid spills and clean-up procedures)
- ✔ Handling conflict
- ✔ Recognizing and communicating about transit security risks

First Aid/Triage

Policies on First Aid and CPR training vary from agency to agency and state to state. At a minimum, drivers should be trained on basic triage procedures for mass casualty incidents focusing on:

- ✔ Clearing air passages
- ✔ Controlling bleeding
- ✔ Handling shock victims
- ✔ Reacting to seizures



TRAINING DOCUMENTATION

Drivers are required to demonstrate skill and performance competency in the type of vehicle and operating environment to which they are assigned. Ongoing/ recurring training is necessary to reinforce policies and procedures as well as to provide a mechanism to brief drivers on new policies, procedures and/or regulations. Complete and accurate records of all driver training and certification should be maintained, as well as the training materials and grading mechanism.

SYSTEM SECURITY

Vehicle Storage Locations

Vehicle storage locations should be placed in areas where tampering, vandalism and theft are unlikely. Storage facility guidelines include:

- ✔ Located away from unsafe areas
- ✔ Highly visible and well lit
- ✔ Routinely patrolled by law enforcement
- ✔ Fenced by chain-link or other security enclosure

Bus Stop Locations

When a decision is made to establish a bus stop, you should assess bus stop locations to ensure that they are located in the most secure areas possible. Guidelines for this assessment are:

- ✔ Highly visible and well lit
- ✔ Located in populated areas when possible
- ✔ Located away from unsafe areas
- ✔ Co-located with other activity centers
- ✔ Appropriate sight-distances for approaching vehicles and pedestrian movement

Facility Security Review

The conditions affecting facility security change constantly. Employees come and go, a facility's contents and layout change, hazards and threats wax and wane, and operations vary. Even such things as significant growth of bushes or trees around a facility's exterior may affect security by shielding the view of potential intruders. Periodic review of hazards and threats is necessary to keep pace with changes. Recommended security reviews should include annual site surveys of all critical facility assets, with special attention directed to:

- ✔ Perimeter security and access control
- ✔ Surveillance and alarm systems

- ✔ Lighting
- ✔ Utilities
- ✔ Communication equipment
- ✔ Sensitive employee and customer information
- ✔ Chemical- and cleaning-product storage, securement and record-keeping
- ✔ High-risk facilities and activities near the transit facilities and operations

Computers

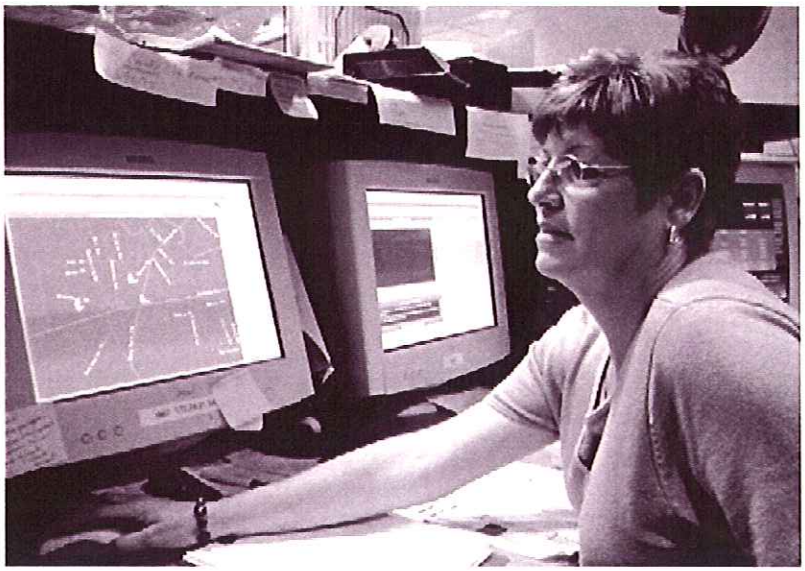
Backup files of key financial, personnel, dispatching, and other information should be performed regularly. Most IT professionals recommend daily back-ups for daily users, and weekly back-ups for more occasional computer users. Back-up technologies include magnetic tape, zip drives, DVDs, jump-drives and external hard-drives. External drives and jump drives are the most stable of these formats. Backup files should be stored in a fireproof and secured location. An additional copy of computer backups, along with duplicate hard copies of important documents, should be kept off-site in a secured location with a rotation schedule that is regularly updated to ensure that not all copies are in the same location at the same time.

Preventing Disasters and Terrorist Attacks

Community disasters and emergencies can have a significant impact on the safety and security of assets critical to public transit, and can place a significant burden on transit as a first-responder resource. It is therefore incumbent upon transit staff to serve as the eyes and ears of the community as part of the community's first line of defense.

Transit Watch

Transit Watch was developed by the Federal Transit Administration (FTA) and encourages transit employees, transit riders and community members to be aware of their surroundings and alert to activities, packages or situations that seem suspicious. If something out of the ordinary and potentially dangerous is observed, it should be immediately reported to the proper transit supervisor who may investigate and/or notify law enforcement authorities.



Be on the Look Out (BOLO) Procedures

Suspicious Items

Public transportation systems deal with items left unattended in stations and on vehicles all the time. These unattended packages impose a tremendous burden on security. Although unattended packages seldom turn out to be bombs or other weapons of terror, they all represent a potential threat and need to be examined systematically. Packages and devices are suspicious if they meet any of the following criteria:

- ✔ Common objects in unusual locations
- ✔ Uncommon objects in common locations
- ✔ A threatening message is attached
- ✔ Unusual wires or batteries are visible
- ✔ Stains, leaks or powdery residue are evident
- ✔ Sealed with excessive amounts of tape or string
- ✔ Lopsided or lumpy in appearance
- ✔ Tanks, bottles or bags are visible
- ✔ A clock or timer is attached
- ✔ A strange odor, cloud, mist, vapor or sound emanates from it
- ✔ Addressed with cut and paste lettering and/or common words misspelled
- ✔ Have excessive postage attached
- ✔ Abandoned by someone who quickly leaves the scene

- ✔ No one in the immediate area claims it as theirs
- ✔ An active attempt has been made to hide it (i.e. Placed in an out-of-the-way locations)

If an item, package or device is determined to be suspicious:

- The item is not touched or moved
- The area and/or vehicle is immediately evacuated upwind
- Radio and cell phones are not used within 300 feet of the package
- System management is notified
- Appropriate action is taken (i.e., notifying of bomb analysis team).

If an unattended package is not deemed suspicious, it will be treated as lost property and handled according to agency protocol.

Suspicious Vehicles

While criminal activity seems less likely in rural communities, vehicles (cars, trucks, boats, bikes) are frequently used in criminal or terrorist attacks. Therefore, agency employees should be alert to suspicious vehicles in and around their work environment and should notify system management of vehicles that:

- ✔ Show signs of forced entry
- ✔ Have altered or makeshift company insignia or license plates
- ✔ Are located in an unauthorized area or near a potentially catastrophic target
- ✔ Contain unusual equipment which could be used in a violent act
- ✔ Appear to be overloaded and/or have bulging tires or sagging frames
- ✔ Emit unusual odors, leaks or residues

Suspicious People and Activities

Employees should be taught to focus on behaviors and not on a person's color, nationality, ethnicity or religion. The key concern in determining what is suspicious is always based on

1. where someone is,
2. when he or she is there, and
3. what he or she is doing. Behavior may be considered suspicious based upon:
   - ✔ Apparel/accessories (e.g. Heavy coat on a hot day)
   - ✔ Body language
   - ✔ Attitude of the person
   - ✔ Actions in and around crowds
   - ✔ Reaction to uniformed presence

Specific actions of concern include people appearing to be:

- ✔ Gathering intelligence
- ✔ Running security tests
- ✔ Attempting infiltration
- ✔ Conducting a dry run/drill
- ✔ Deploying assets
- ✔ Photographing secure and/or high-profile installations

It normally is a combination of factors that will accurately identify a suspicious person or act. Employees should be encouraged to trust their judgment based on their experience in and around the agency's facilities and the community.

Drivers' Vehicle Inspection

Drivers must complete a vehicle pre-trip inspection before putting a vehicle into service. From a safety/security perspective, this pre-trips inspection includes:

- Inspection of the vehicle emergency supplies and required safety equipment
- Inspection of the interior of the vehicle to detect unauthorized objects or tampering
- Inspection of the interior lights to make sure they are operational
- Inspection under the vehicle to detect items taped or attached to the frame
- Inspection or the gas cap for signs of tampering or unusual items
- Inspection of the exterior of the vehicle for scratches or marks made by a collision, tools; and signs of tampering such as unusually clean or dirty compartments or items attached using magnets or duct tape

These inspection procedures should also be conducted periodically throughout the driver's shift.

Drivers should immediately notify a supervisor in the case of a suspicious packages(s) or evidence of tampering.

Drug & Alcohol Testing

A critical element to the commitment of safe operations is ensuring that your employees are not impaired due to the use of alcohol, illegal drugs, prescription drugs or over-the-counter medication. That is why this is one of the six core areas identified by the Federal Transit Administration's safety and security guidelines. Your agency must follow the requirements mandated by the FTA under 49CFR Part 655 and 49CFR Part 40 Amended for testing of all safety-sensitive positions for drug and alcohol use/abuse.

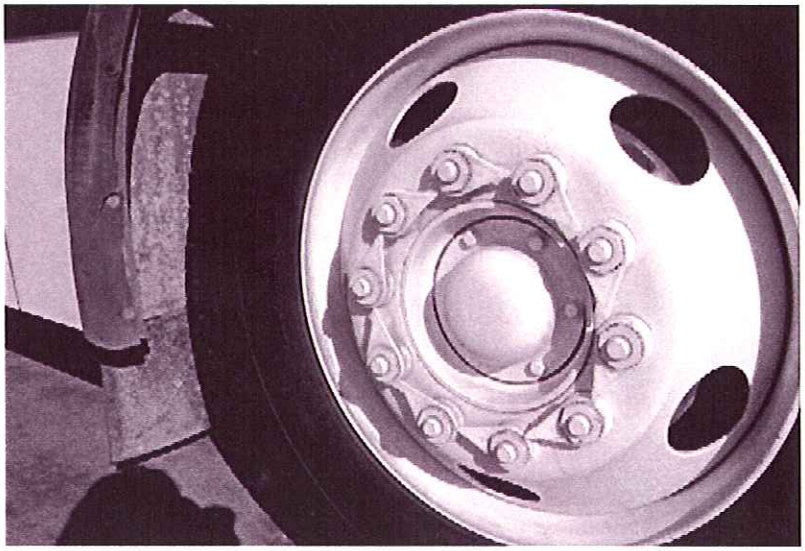
Vehicle Maintenance

Unsafe vehicles present unnecessary hazards to the driver, passengers and other vehicles on the road. Proper maintenance of vehicles and equipment is critical to the continued safe operation of the transit system. Basic vehicle maintenance practices regularly address safety-related vehicle equipment including:

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

Your agency should have an established plan to address the maintenance requirements of your vehicles and equipment for the following categories:

- ***Daily servicing needs*** — Vehicle cleanliness, fueling, checking and maintaining proper fluid levels (oil, water, etc), tire pressure and tread wear, and maintaining operational records and procedures.
- ***Periodic inspection*** — Activities scheduled to detect and repair damage or wear conditions before major repairs are necessary. Inspection items include suspension elements, hoses, belts, electrical connections, tire wear, and any noticeable maintenance-related problems.
- ***Interval related maintenance*** — Preventative repair or replacement of parts or fluids for wear, alignment, or deterioration from use. Replacement intervals of these items are determined through transit agency experience and manufacturer recommendations.
- ***Failure maintenance*** — Repair or replacement of parts that fail in-service. When a failure is encountered that makes the vehicle unsafe or unable to continue operation, the vehicle should be removed from service and returned to the garage for repair.



Vehicle Readiness

It is important that your agency maintains fully stocked first aid kits, biohazard cleanup packs, fire suppression equipment, space blankets, vehicle emergency equipment, and emergency instructions in all vehicles.

Required safety equipment includes:

- ✔ First Aid Kid
- ✔ Bio-hazard Kit
- ✔ Fire Extinguisher
- ✔ Triangles
- ✔ Seat Belt Cutter
- ✔ Flashlight

Safety Data Acquisition/ Analysis Procedures

Your understanding of safety data is not just a federal guideline but an important step toward allocating finite resources to implement safety program elements. Data on safety-related events such as pas-

senger injuries or claims, employee injuries, and accidents and incidents is used to determine trends in system operations. By understanding the trends you will be able to focus efforts on incidents and accidents that happen most frequently, thereby reducing vulnerability of your critical assets.

OSHA Requirements

Your facilities and staff working conditions should be periodically inspected in order to ensure that the agency is compliant with all applicable Occupational Safety and Health Administration (OSHA) requirements.

Employee Awareness

Management must provide clear direction to staff regarding safety, security, and incident management watches and warnings. This includes awareness for crisis preparedness procedures, special safety and security measures involving buses and other vehicles, heightened awareness of suspicious persons and activities, and verifying the identify of service and delivery personnel.

Exam

1. **Which of the following are critical to the transit driver selection process?**
   - **A.** Physical requirements
   - **B.** Driving record
   - **C.** Background checks
   - **D.** Licensing
   - **E.** All of the above

2. **Of the following, which is not important training for drivers?**
   - **A.** Crisis Management
   - **B.** Defensive Driving
   - **C.** Vehicle Repair
   - **D.** Passenger Assistance

3. **True or False: Fire and vehicle evacuation training can be done effectively in a classroom setting without a hands-on component.**

   ☐ True ☐ False

4. **There is no need for hard copy driver training documentation records as long as computerized records of training exist.**

   ☐ True ☐ False

5. **Which of the following does not address requirements for transit agency drug and alcohol policy and procedures?**
   - **A.** 49 CFR Part 655
   - **B.** 30 CFR Part 90
   - **C.** 49 CFR Part 40

6. **The selection of emergency drop points should be based on which of the following?**
   - **A.** Availability of on-site personnel to assist passengers
   - **B.** Geographic distribution
   - **C.** Physical safety of drop points
   - **D.** Prioritization of passenger needs based on critical factors
   - **E.** All of the above

7. **True or False: Calls for emergency assistance should state the nature of the emergency, precise location of emergency and what assistance is required.**

   ☐ True ☐ False

8. **Guidelines for threat assessment of bus stop locations do not include**

   A. Highly visible and well lit

   B. Located away from unsafe areas

   C. Have benches and shelters with advertising logos

   D. Located in populated areas when possible

   E. Appropriate sight distances for approaching vehicles

9. **Required on-board vehicle safety equipment includes the following except for**

   A. Fire extinguisher

   B. First aid kit

   C. Triangles

   D. Water and high-energy food

   E. Bio-hazard kit

   F. Seat belt cutter

10. **True or False: Defective windshield wipers are discovered during a pre-trip inspection. This is not a safety related issue so it is okay to put the vehicle in service without correcting the problem.**

    ☐ True ☐ False

11. **True or False: Identification of suspicious people and their activities should be based on behaviors and not on a person's color, nationality, ethnicity or religion.**

    ☐ True ☐ False

12. **True or False: If an item is determined to be suspicious, radios and cell phones should not be used within 300 feet of the item.**

    ☐ True ☐ False

Answer Key: 1-E; 2-C; 3-F; 4-F; 5-B; 6-E; 7-T; 8-C; 9-D; 10-F; 11-T; 12-T

Exercise

Risk Reduction Plan

Note your 15 top vulnerabilities, based on the matrices at the end of Chapter 4. Indicate your current risk-reduction strategies for those vulnerabilities, and identify additional measures you plan to implement in the next 12 months. Think hiring, training, operations, system security, maintenance, and data acquisition/analysis.

Top Vulnerabilities (from Chapter 4)		*Current Risk Reduction Strategies*	*Additional Mitigation Actions Planned*
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			

6. Enhancing Response Capabilities

Section Learning Objectives

- Coordination with First Responders
- Incident Activation
- Succession Planning
- Continuity of Operations
- Disaster Drills and Exercises

> *Have a good plan, train to that plan, practice that plan and when it comes time for the real thing it's just like an exercise.*
> — *Jamie Turner*

Traditionally transit has not been considered a first responder organization. This disconnect was probably never more clear than in the aftermath of Hurricane Katrina, where thousands of transit dependent and special needs populations were not considered until too late in the game. Transit is also dependent upon traditional first responder organizations — police and fire in particular — to help with emergency response and emergency response planning. One of the desired outcomes of this initiative is to bridge the chasm between transit and local emergency planning committees who are responsible for a coordinated approach to community incident response.

Coordination with Emergency Management

Effective emergency response does not happen by accident. It is the result of planning, training, exercising, and intra/interagency cooperation. It is recommended that transit staff regularly participate on your Local Emergency Planning Committee (LEPC), which meets monthly or quarterly in most communities.

At a minimum, you should meet annually with your city and/or county emergency management coordinator to discuss:

- Transit's role as a first-responder resource on community disaster incidents
- The need to familiarize your local police, fire and emergency medical services (EMS) personnel with your facilities and your equipment
- Opportunities for training of transit staff in Incident Command, the National Incident Management System (NIMS), and local disaster preparedness issues
- Regular and after-hours contact information for your agency
- Opportunities to integrate transit into local disaster drills and exercises

Coordination with First Responders

In addition to fostering relationships with the local emergency management coordinator, it is recommended that you build relationships directly with local law enforcement, fire and EMS leadership to ensure transit issues are understood. At a minimum, you should meet annually with local first responders to discuss:

- Critical information that your dispatcher(s) must obtain from your driver to ensure that 911 knows what they need to know if/when you have an accident/incident requiring their help
- Regular and after-hours contact information for transit incident response point people
- Transit-specific issues (e.g., evacuation of transit vehicles, considerations for persons with disabilities) that first responder agencies need to understand
- The need to familiarize first responder personnel with your equipment, facilities, and evacuation procedures. Specific items that should be addressed include:
  - ✔ Vehicle and facility entry
  - ✔ Recommended facility escape routes and safety zones
  - ✔ Hazardous materials in facilities and on vehicles
  - ✔ Fuel shut-off valves

- ✔ Equipment shutdown
- ✔ Emergency dump valves
- ✔ Battery cut-off switches
- ✔ Communications compatibility

- Any special tools/equipment first responders might need to address transit emergencies, particularly items that they would not normally possess
- Fire-related plans and policies
- Appropriate first responder unit jurisdictions
- Appropriate methods of communication, and procedures for incident coordination and transfer of command
- The level of service (e.g., equipment and personnel) that might be needed/expected/available on various types of community emergencies
- Expectations for who your staff should expect to interface with on a local disaster incident (e.g. who is in charge of ESF-1 - Emergency Support Function 1, Transportation)
- Opportunities for basic awareness training on local safety and security issues

First responder and emergency manager coordination meetings should be documented in the form of a Memorandum of Understanding that details roles, responsibilities and mutual-aid agreements between the participating agencies.

Safety, Security and Emergency Preparedness Plans (SSEPP)

Your agency should be committed to provide safe, secure and reliable services for your passengers and employees, and to serve as an emergency-response resource to your community, region and nation. These commitments should be documented in your agency SSEPP. A SSEPP template is included in the Safety, Security and Emergency Preparedness Toolbox DVD. Certain aspects of this SSEPP will be automatically updated through completion of core exercises. You will want to thoroughly review this document to ensure that it reflects what your agency is actually doing. Your SSEPP should also be reviewed at least annually to incorporate changes dictated by your actual safety and security experiences.

Activation Capabilities

In case of a community incident where transit is providing first-responder support or a transit-related crisis where transit needs assistance, it is vital that your transit system be able to mobilize quickly in case of an emergency.

Emergency Response Teams

The Incident Command System (ICS) is a standardized on-scene incident management strategy endorsed under the National Incident Management System (NIMS). This national standard focuses on key functional responsibilities for incident response regardless of the size of an incident. This allows responders to expand or contract staffing based on resource availability and complexity of any single incident or multiple incidents.

To be compliant with NIMS your transit system must identify individuals who may be needed to help on critical incident response in each of the following areas of responsibility:

- Incident Response Leadership
- Emergency Public Information
- Staff and Public Safety
- Incident Response Operations
- Demands for Incident Response Plans and Documentation
- Incident Response Logistical Support
- Financial Accounting for Incident Response Activities and Losses

At the end of this chapter you will identify who will fill these responsibilities for your Emergency Response Team. For small organizations response team members may need to wear multiple hats. Smaller organizations also frequently rely upon assistance from outside organizations to ensure sufficient incident response resources.

Continuity of Operations

The FTA does encourage transit to partner with community agencies in order to serve as a first responder resource, but the FTA does not recognize disaster-response activities as a reimbursable expense under FTA formula dollars per OMB A87. Additionally, there is a balance every agency must strike between supporting community disaster incidents and maintaining day-to-day transit service

requirements that are the core mission of transit resources. When assessing hazards and threats transit agencies should assess how probable incidents might affect its ability to meet its mission. Plans should be established for alternate property information and human resources in order to help maintain service during crisis, or resume service as quickly as possible afterwords.

Succession Planning

It is important to have a plan to ensure continuity of management throughout any emergency incident. The succession plan provides for automatic delegation of authority in cases where:

- A member of the incident response team is no longer able to perform incident-related duties due to injury or illness
- A member of the incident response team is temporarily unable to perform incident-related duties due to loss of communications, competing priorities, or mandated rest and recuperation
- Regular members of the agency incident response team are unavailable due to travel (e.g., vacation, professional development, etc.)

The succession plan designates the next most senior leader required to manage temporary duties normally assigned to higher-level personnel.

Internal Contact Information

You should maintain accurate and up-to-date contact information on key staff required to respond and/or be informed about safety and security emergencies. Contact information should include work number, home number, cell phone number, email address and home address. Typically this list will include:

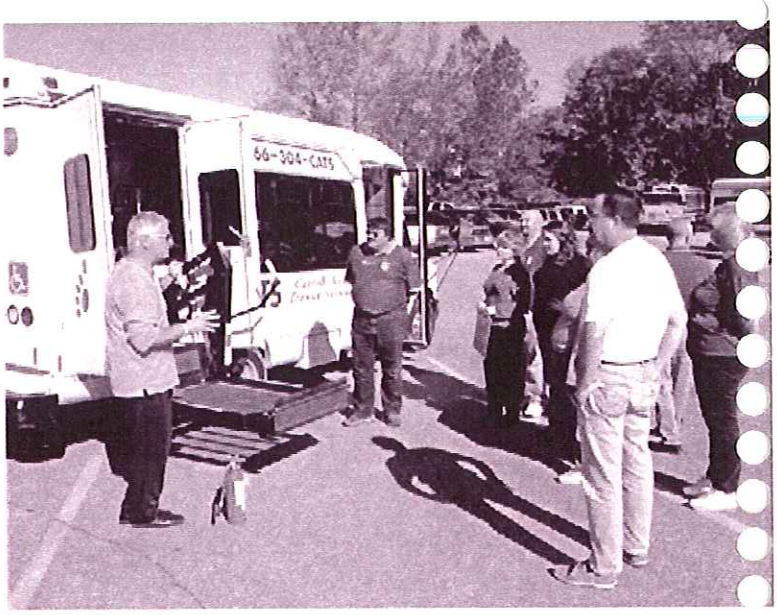
- ✔ Board chair/board members
- ✔ Insurance carrier
- ✔ Transit manager
- ✔ Operations director
- ✔ Maintenance director
- ✔ Marketing director
- ✔ Finance/Admin director

External Contact Information

It is important to maintain accurate and up-to-date contact information for community emergency management personnel, first responders and partner organizations to be notified in the case of safety and security emergencies. Typically this list will include work number, home number, cell phone number, email address and home address for the following:

- ✔ Police chief/Sheriff
- ✔ Fire chief/deputy
- ✔ Emergency Medical Services
- ✔ Local and state Emergency Operations Centers
- ✔ Mayor/County Commissioners
- ✔ Local hospital emergency room(s)
- ✔ Local public health director/deputy
- ✔ Local media

At the end of this chapter is a draft form you can use to collect internal and external contact information.



Exercises and Drills

In crisis management, as in sports or music, you play the way you practice. That is why it is essential that transit managers test emergency preparedness plans through disaster drills and exercises that are increasingly challenging over time. Implementation of such a program allows your staff to achieve and maintain competency in the skills necessary to effectively respond to the risks you face.

The U.S. Department of Homeland Security has established guidance doctrine known as the Home-

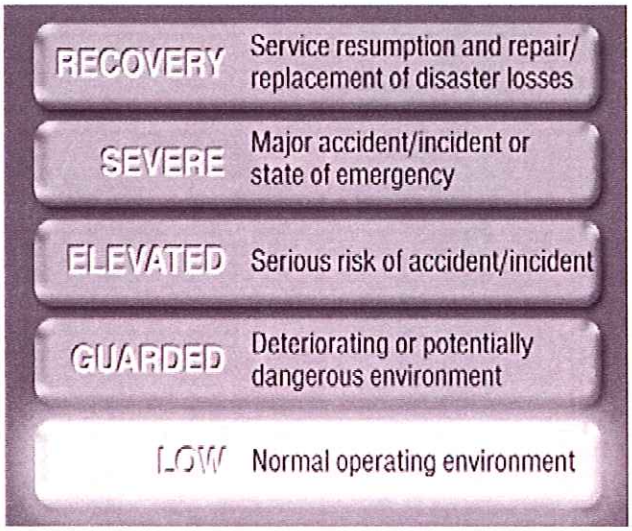
land Security Exercise Evaluation Program (HSEEP) by which to enhance your preparedness for disaster incidents. There are seven steps to the HSEEP training and exercise process:

1. Seminars utilizing lecture, multi-media presentations, case studies, and expert testimony to orient participants to response resources, strategies, policies, and procedures. Seminars are recommended for organizations and jurisdictions that are developing or making major changes to their emergency response plans.
2. Workshops to develop specific incident response products, typically using break-out sessions followed by plenary review and discussion. Workshops are frequently used to establish exercise objectives, develop exercise scenarios, and identify elements of standard performance.
3. Tabletop Exercises involving key personnel in discussions about realistic disaster scenarios. Tabletop exercises are used to assess and enhance preparedness, prevention, response and recovery plans, policies and procedures. Basic tabletop exercises introduce a complete disaster scenario for participants to discuss and resolve. Advanced tabletop exercises introduce scenario components incrementally forcing participants to adapt their response strategies to changing disaster conditions
4. Games provide scenario analysis and discussion in a competitive, time-restricted environment, holding participants to the consequences of previous decisions. Games are used primarily to evaluate decision-making processes, and do not involve actual deployment of operational resources
5. Drills that develop and maintain skills in a single response procedure (e.g., evacuation procedures, notification, etc.). Drills are designed to measure performance of operational activities against established response standards with immediate player feedback
6. Functional Exercises are full-scale interdisciplinary exercises focused on exercising plans, policies, and procedures in coordination, under time constraints, with simulated movement of personnel and equipment
7. Full-Scale Exercises are full-scale interdisciplinary events that field test multiple response functions in a time-pressured environment including mobilization of response personnel and equipment. Full-scale exercises measure the operational capability of emergency response plans in an interactive manner resembling a real emergency incident as closely as possible. Although pre-scripted events may be used, full-scale exercises are primarily driven by player actions and decisions

Transit Threat Alert System

The Federal Transit Administration has developed a transit Threat Condition Model that parallels that of the Department of Homeland Security. The FTA model progresses from green through red to indicate threat levels from low to severe. It also includes purple designating disaster recovery. This model, along with its recommended protective measures, has been adapted for application to community transit systems as follows:

While each transit agency should implement activities appropriate to its own operating environment, the following general guidelines apply to each successive hazard and threat level:

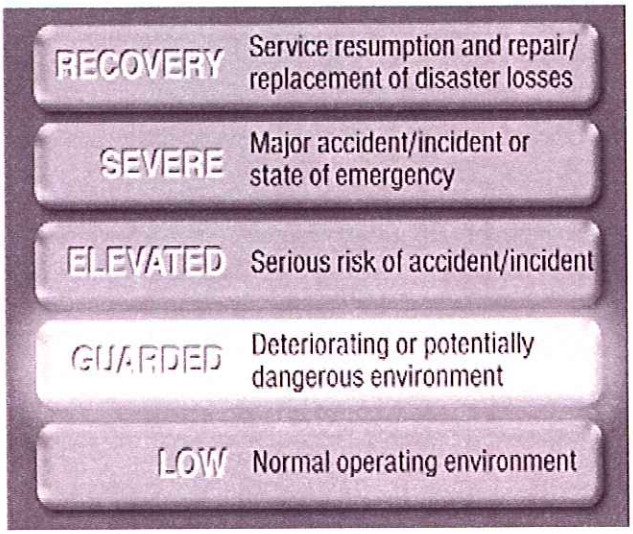


Green — Low

When things are proceeding normally:

1. Follow standard operating procedures ensuring system safety and security
2. Refine and exercise risk reduction strategies
3. Explore opportunities for staff training in safety, security and emergency preparedness

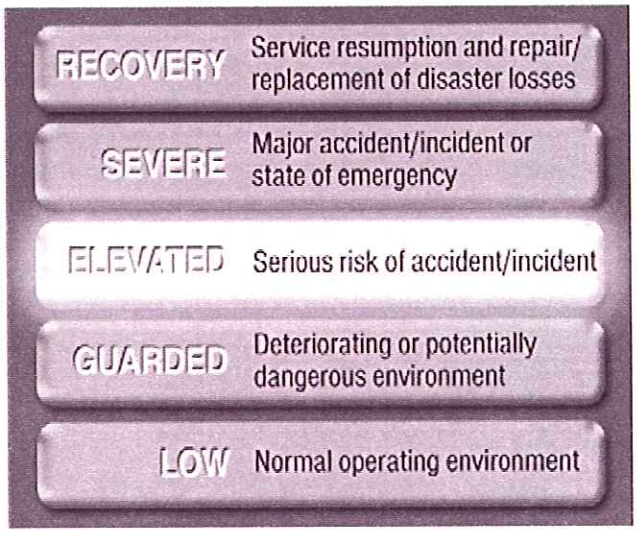
4. Maintain best practices in access control of facilities and equipment
5. Survey equipment, facilities and operations for changes in your risk environment
6. Assess the need for enhanced emergency response equipment, particularly communications systems
7. Develop and implement security and back-up protocols for computer-based operating systems
8. Foster relationships with first responders including fire, law enforcement, emergency medical services and local emergency management planning
9. Incorporate security awareness into public education programs
10. Develop thresholds and procedures for service suspension and resumption
11. Conduct disaster drills and exercises including facility evacuations, shelter-in-place actions, staff accountability drills and simulated mobilization of transit incident response team



Blue — Guarded

When there is a generally heightened risk for accidents, natural disasters, criminal activity and other common transit hazards and threats:

1. Review situational forecasts from the National Weather Service, local law enforcement, avalanche advisory center, or other appropriate sources
2. Review incident response plan
3. Consider additional resource requirements and place resources on stand-by as appropriate
4. Inspect safety/security equipment to ensure availability and operability
5. Assess integrity of barriers such as perimeter fencing and security systems
6. Strengthen watch procedures for unusual activity, unidentified vehicles and persons, and abandoned packages and parcels
7. Communicate threats/hazards to supervisors, and provide additional staff oversight as appropriate
8. Pre-set thresholds for protective actions such as notification of partner agencies and service suspension protocols



Orange — Elevated

When there is substantial risk for accidents, natural disasters, criminal activity and other common transit hazards and threats:

1. Mobilize additional resources as required to protect assets and/or continue to fulfill mission
2. Place incident response team on stand-by
3. Activate service suspension thresholds as appropriate
4. Communicate threats/hazards to frontline staff with an operational need to know. Post Security Alert as appropriate
5. Reinforce employee awareness of their emergency situation roles and responsibilities

6. Inform partner agencies with an operational need to know of the increased threat/hazard and operational precautions you are exercising
7. Check to ensure all emergency telephone, radio, intercom, and satellite communication devices are in place and operational
8. Review critical incident notification plan
9. Discuss communications procedures and back-up plans with all concerned
10. Secure all buildings and storage areas, reducing the number of access points for vehicles and personnel to a minimum
11. Increase patrols/supervision in facilities and along routes
12. Increase patrolling at night and ensure all vulnerable critical points are secure
13. Instruct employees working at remote locations to check-in on a periodic basis.
14. Minimize administrative travel
15. Limit access to designated facilities to those personnel who have a legitimate and verifiable need to enter the facility. Inspect all vehicles entering key areas/facilities for dangerous items
16. Consult with local authorities about road closures and other local response actions
17. Coordinate emergency plans with other jurisdictions as appropriate
18. Activate contingency and emergency response plans and personnel as needed
19. Make necessary preparations to establish Command Center(s) and/or to dispatch staff in case of an incident
20. Prepare to execute contingency procedures, such as moving to an alternate site or dispersing the workforce.

Red – Severe

When responding to a major incident involving loss of critical assets, injuries or fatalities, or assisting with evacuations or other mission-assignments related to a community disaster:

1. Activate Incident Response Team
2. Assess immediately impact on transit service and facilities and adjust or terminate services as required



3. Activate mitigation measures
4. Designate the Incident Commander
5. Activate Transit Emergency Command Center and/or dispatch representatives to appropriate Emergency Operations Center
6. Cancel or postpone non-vital work activities
7. Identify available assets to support response effort
8. Redirect personnel and equipment to address critical emergency needs, as appropriate
9. Evacuate any non-essential personnel and visitors from your facilities
10. Activate Joint Information System/Center to provide fast, accurate, coordinated, timely, understandable, and appropriate (FACTUAL) emergency information to internal and external audiences
11. Perform incident notification to board members and key stakeholders as dictated by your emergency response plan
12. Coordinate closing of public roads and facilities with local authorities
13. Increase security to maximum sustainable level to ensure absolute control of command, control and communications centers

In addition to this simple four-step summary communicating transit threat or hazard level, there is an additional category designating long-term recovery and service restoration.



Purple — Recovery

When overseeing long-term recovery from an incident:

1. Activate (or hastily develop) Business Recovery Plan
2. Restore transit service
3. Repair or replace essential disaster-damaged facilities
4. Guard against secondary Attacks
5. Identify and implement corrective measures to reduce the likelihood of a repeat of the incident
6. Restore Public confidence by announcing new protective measures/lessons learned
7. Return to appropriate threat level indicator
8. Identify Short and Long Term Capital replacement needs, develop plans and detailed designs
9. Coordinate funding and other needs for transit system restoration with FTA/state Department of Transportation
10. Complete an After Action Report

Exam

1. **True or False: Transit has traditionally been considered a first responder organization.**

   ☐ True ☐ False

2. **Meeting at least annually with your local emergency management coordinator can help clarify:**

   A. Transit's role in response to community incidents

   B. Opportunities to integrate transit into local disaster drills and exercises

   C. Opportunities to fund transit-related safety/security needs (e.g. back-up generators) with U.S. Department of Homeland Security funding

   D. All of the above

3. **True or False: Fire fighters do not need any specialized equipment or training to respond effectively to a transit emergency.**

   ☐ True ☐ False

4. **Annual familiarization training with local fire fighters should include:**

   A. Interoperability of communications equipment

   B. Familiarization with hazardous materials stored at transit facilities

   C. Vehicle and facility emergency entry points

   D. Vehicle electrical switches and dump valves

   E. All of the above

5. **Annual familiarization training with local law enforcement should include:**

   A. Interoperability of communications equipment

   B. Familiarization with facility monitoring procedures

   C. Review of facility security risks

   D. Discussion of standard operating procedures for on-board security incidents

   E. All of the above

6. **True or False: Transit does not play a role in development of community emergency preparedness plans**

   ☐ True ☐ False

7. **Rapid mobilization of resources is essential to effective incident response. Which of the following is omitted from the Emergency Response Team call sheet located in the dispatch area of your operation?**

   A. Name and title of Emergency Response Team members

   B. Office and cell phone numbers of Emergency Response Team members

   C. Home telephone and street address of Emergency Response Team members

   D. Social security number and date of birth of Emergency Response Team members

8. **In addition to an Emergency Response Team call list, contact information should also be maintained for all which of the following first responders:**

   A. Police Chief/Deputy

   B. Fire Chief/Deputy

   C. State Patrol

   D. Local hospital emergency room(s)

   E. Local public health director/deputy

   F. All of the above

   G. None of the above

9. **True or False: A succession plan provides for automatic delegation of authority to the next most senior leader in cases where personnel are no longer available or able to perform incident-related duties**

   ☐ True ☐ False

10. **Drills and exercises help staff to achieve and maintain competency in the skills necessary to effectively respond to critical incidents. The progression of training includes which of the following?**

   A. Seminars

   B. Tabletop Exercises

   C. Drills

   D. Functional Exercises

   E. All of the above

   F. None of the above

11. **True or False: The transit threat alert system outlined in this chapter could be paraphrased as: Green — "everything is cool"; Blue — "better pay attention"; Orange — "on pins and needles"; Red — "all hell is breaking loose"; Purple — "getting things back to normal"**

   ☐ True ☐ False

Answer Key: 1-F; 2-D; 3-F; 4-E; 5-E; 6-F; 7-D; 8-F; 9-T; 10-E; 11-T

Essential Internal & External Emergency Contacts

Emergency contact info and Emergency Response Team roster should be printed, placed by telephones of key personnel, and periodically updated. Here is a format you can use:

Internal Contact Information

Title	*Name*	*Work phone*	*Cell phone*	*Home phone*	*Home address*
Transit manager					
Operations director					
Maintenance director					
Marketing director					
Finance/Admin dir.					
Board chair					
Insurance Contact					

External Contact Information

Title	*Name*	*Work phone*	*Cell phone*	*Home phone*	*Home address*
Police chief					
Sheriff					
Fire Chief					
Emergency Medical Services					
EOC Director					
Mayor					
Chair, County Commissioners					
Hospital Emergency Room					
Public Health Director					
Newspaper Editor					
Radio news					
Radio news					
TV News Desk					
TV News Desk					
TV News Desk					

7. Managing Critical Incidents

Section Learning Objectives

- Incident Management Procedures
- Division of Responsibilities by Function
- Emergency Public Information Demands
- Supporting Community Incident Response

> *The one thing we all need to do is all work together. No one jurisdiction can sit all by itself and pull the resources that are needed to be able to handle a bad incident or to be able to handle people from another jurisdiction should they come to your jurisdiction. We all need to work together and we all need to start planning together now to be able to deal with those situations when they occur.*
>
> *— Bill Martin*

A critical incident is any unwanted incident that threatens critical assets of the transit agency. Regardless of how well you plan, train and exercise you will not be able to fully eliminate all hazards facing public transit. As such, it is important to provide protocols to all staff for how to respond to transit accidents and incidents as well as disasters affecting the community as a whole.

Incident Management

Managing a critical incident requires that decisions be made quickly under stressful conditions, often with incomplete or conflicting information and without the availability of optimal response resources. Characteristics of effective incident managers will therefore include:

- Calm demeanor
- Safety orientation
- Quick thinking and decisive
- Adaptable and flexible
- Proactive
- Realistic about resource limitations

Typically, prime incident objectives are, in priority order:

1. Preservation of self
2. Protection of others
3. Protection of property
4. Stablization of incident

Responding to Community Emergencies

Transit plays a key role in response to community incidents, particularly acts of nature. When such an emergency occurs it often impacts transit services and may require transit assistance for evacuations, mobile temporary shelter, and transport of incident response resources. Following is a recommended protocol for transit system response under such circumstances:

- The most senior person on duty assumes the responsibility of initial agency Emergency Response Coordinator (ERC)
- The ERC should give the individual calling a telephone number (or other means through which the ERC will remain constantly available) for updated emergency information communications during the incident
- The ERC will perform the following functions:
  - ✔ Verify the authenticity of the requested emergency support activity as dictated by your local emergency response plan
  - ✔ Contact affected on-duty vehicles (by radio) to notify them that they are needed for an emergency response
  - ✔ Direct all affected drivers to unload their passengers per agency policy/directive for emergency incidents and proceed to the designated staging area.
  - ✔ Record an Estimated Time of Arrival (ETA) at that staging area
  - ✔ Notify agency Emergency Response Team that your agency is responding to a community emergency
  - ✔ Establish a Transportation Command Center at the transit facility or other available location as circumstances may dictate

- ✔ Maintain an annotated log of all emergency response activities and contacts
- ✔ Record actual arrival of transit equipment at Staging Area

- The ERC will remain in charge of all response activities throughout the emergency unless relieved by a more senior manager, or for rest and recuperation.
- The ERC should have authority to allocate agency personnel and equipment as necessary to respond to the emergency at hand.
- The ERC will have the emergency authority to procure parts, fuel, and other essentials necessary to continue and sustain your emergency response activities
- The ERC will maintain communications with the emergency response team, to whatever degree the team is activated, throughout incident response
- The level of incident response team activation will depend upon the size of the incident. Thresholds will vary from agency to agency and incident to incident, but are typically based upon:
  1. Impact on critical assets
  2. Injuries/fatalities
  3. Visibility of incident
  4. Media interest

Suspension/Restoration of Service

Transit supervisors/dispatch will, after being notified of an emergency, evaluate the status of agency assets (people, information and property), and the safety risk to those assets, to determine if transit operations can be maintained. If service must be suspended the Emergency Response Team will be responsible for coordinating service suspension protocols, and for taking steps to restore essential transit services as soon as is practical within the constraints of resource availability and safety considerations.

Post-Incident Cleanup and Inspection

Immediately after a critical incident you must assess assets for damage and needed repairs. Photos should be taken of disaster-damaged property. Narrative should be provided for disaster-damaged assets. The purpose of this activity is to begin to restore assets to their pre-emergency condition.

Transit managers should make contact with insurance carriers to ensure timely reimbursement for asset repairs, and should consider the need for Employee Assistance Programs for staff who may need post-incident counseling. On large incidents, additional assistance may be available through FEMA or the state office of emergency services.

Emergency Public Information

During critical incidents what is said to the public is critically important. The watchword for emergency public information is "maximum disclosure with minimum delay". Throughout a crisis the media relations/public information function must work proactively with the media, elected officials and partner agencies to provide accurate, verified information regarding:

1. What has happened
2. What you are doing about it
3. How it might affect the community

When providing incident information, it is also vitally important to express empathy for those impacted by the disaster. According to research by risk communications expert Vincent Covello, half of your credibility as an organization is based on being empathetic to the impacts of the disaster on the victims and the community.

Release of Sensitive Information

Under the Health Information Privacy Protection Act (HIPPA) it is illegal to release to the public or the media information about the names of the injured or the nature of their injuries. This is, of course, precisely the kind of information the media will want. What you can release is number of victims, their general condition — dead, critical, stable, or good condition — and the status of treatment - being attended to, being monitored, or treated and released. Unless the patients are your own staff, you are usually best served by referring questions about patient conditions to the local hospitals.

There may be additional information relative to safety and security incidents that may be withheld under company policy. This could include information containing security procedures and capabilities, personnel details, or details that could increase the vulnerability of personnel, facilities, or operations. These policies and protocols must be established in writing in advance of any critical incident, and practiced during disaster drills and exercises.



Follow-Up Debriefing

In order to mitigate the possible negative psychological effects of an emergency or incident, management should meet with staff directly involved in the incident to discuss response activities and provide an opportunity for staff to process emotional issues that may arise. Transit managers should ensure the availability of support services to all parties who may have been directly or secondarily impacted by the event, including family members of drivers or others involved in the incident.

After Action Report

Following any major incident your management team must complete a report assessing response during the incident. This report will focus on such issues as the emergency notification process, the establishment of incident command, incident communication, and strengths and weaknesses of the response effort. This information will be used to modify policies, provide additional training, and give feedback to those involved to enhance future incidents.

Incident Management Responsibilities

All Personnel

While not every staff resource will be part of your incident management team, every member of the organization has an essential role in helping to prepare, prevent, respond to and recover from critical incidents. Following are key functions that must be performed by all personnel:

- ✔ Become familiar with, and operate within, all safety, security and emergency preparedness procedures for assigned duties
- ✔ Use good judgment when managing volatile passengers situations
- ✔ Notify the Transit Director or his/her designee when a physical or mental condition, or required medications or therapies, may impair your ability to meet performance standards for safety, security, and/or emergency response activities
- ✔ Immediately report all suspicious activity, no matter how insignificant it may seem, to the Transit Director or his/her designee
- ✔ Immediately report all safety and security incidents
- ✔ Participate in security and emergency preparedness training, drills and exercises

Transit Director

The Transit Director, who is typically the Team Leader on your Emergency Response Team, has overall authority and ultimate accountability for critical incident preparation, response and recovery including:

- ✔ Coordinating with the Emergency Operations Center and Incident Commander
- ✔ Establishing incident objectives for the transit agency
- ✔ Developing and managing the incident staffing plan
- ✔ Ensuring that sufficient resources are allocated to incident response
- ✔ Providing leadership on response and recovery operations

- ✔ Reviewing incident response actions and incident investigation reports
- ✔ Implementing changes to reduce the likelihood of future losses
- ✔ Serving as lead agency spokesperson throughout response and recovery

Safety

The person who is the Safety Officer on your Emergency Response Team, is responsible for the safety of incident response activities including:

- ✔ Ensuring protection of transit assets from a safety perspective
- ✔ Establishing staffing limits that consider rest and recovery protocols
- ✔ Debriefing and crisis counseling for agency staff
- ✔ After-action recommendations to limit future losses

Marketing

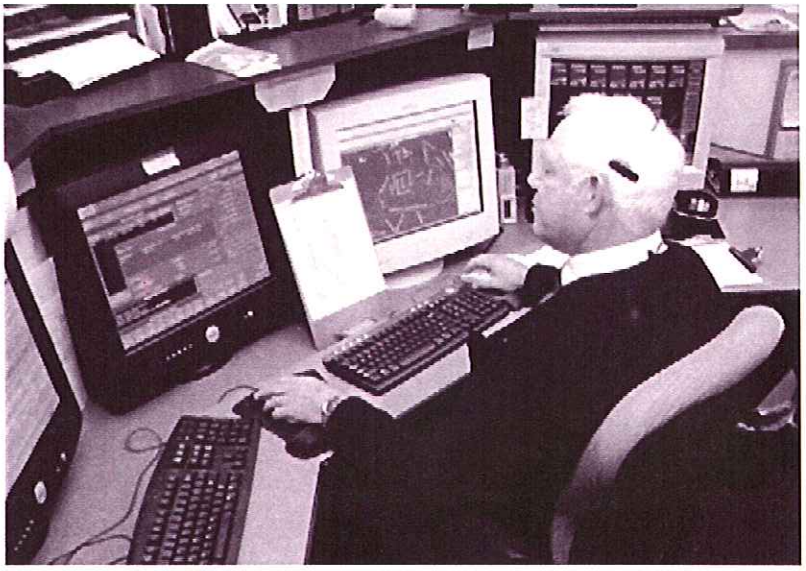
The person who is the Information/Liaison Officer on your Emergency Response Team, is responsible for incident information including:

- ✔ Crafting message incorporating verifiable incident information and impact on service delivery
- ✔ Notification of internal audiences (board, staff, advisory committees) and external audiences (media, public)
- ✔ Coordinating press conferences and other public announcements
- ✔ Coordinating with partner agencies
- ✔ Preparing after-action report

Dispatch

Dispatchers, who are typically in the Operations Section of your Emergency Response Team, are expected to:

- ✔ Receive calls for assistance
- ✔ Obtain incident details and determine response requirements
- ✔ Dispatch supervisors and emergency response personnel
- ✔ Coordinate with first responder resources
- ✔ Establish on-scene communication
- ✔ Notify supervisory and management staff of serious incidents
- ✔ Notify area hospitals (mass casualty), and other partner agencies
- ✔ Provide direction to on-scene personnel
- ✔ Notify social service and contract agencies of disruptions and/or cancellations of service
- ✔ Coordinate with marketing manager regarding cancellation of fixed-route services



Operations Supervisors

Operations managers/supervisors, who may serve as the Operations Chief and/or Plans Chief on your Emergency Response Team, are responsible for implementing incident response objectives established by the transit director, and ensuring smooth function of both incident operations and continued provision of transit services. To fulfill that responsibility operations managers must:

- ✔ Have full knowledge of all standard and emergency operating procedures
- ✔ Immediately report safety and security concerns to the transit manager or his/her point of contact
- ✔ Provide leadership and direction to employees during safety and security incidents

- ✔ Make decisions regarding the continuance of operations
- ✔ Compile incident photos and witness statements
- ✔ Ensure that all information gathering and reporting requirements are met
- ✔ Respond to safety or security related calls for assistance with crowd control, victim/witness information gathering, and general on-scene assistance
- ✔ Complete necessary safety and security-related reports
- ✔ Coordinate with all outside agencies at incident scene(s)
- ✔ Communicate incident response activities to incident information officer
- ✔ Coordinate any required post-accident drug-testing requirements

Drivers

Drivers, who are in the Operations Section of your Emergency Response Team, are responsible for managing safety and security incidents, real and potential, from impact until supervisors and/or first responders arrive. Drivers may also be an operations resource to incident command on a community disaster. In these roles each driver will:

- ✔ Continually assess threats and hazards to agency assets, and determine when to call for assistance
- ✔ Report all accidents or incidents to agency dispatch
- ✔ Take charge of any safety or security incident scene in which they are involved until the arrival of supervisory or emergency personnel
- ✔ Gather passengers together in a safe location
- ✔ Request that passengers complete incident witness information cards
- ✔ Complete all necessary safety and security-related reports
- ✔ Maintain control of transit equipment until relieved of that responsibility by supervisory or emergency personnel
- ✔ Support emergency response activities as directed, assuming that such direction does not conflict with standing organizational policies and procedures

Maintenance

Mechanics (including volunteers and contractors), who are typically in the Logistics Section of your Emergency Response Team, are expected to:

- ✔ Provide priority response to safety and security requests for equipment and personnel
- ✔ Follow-up on personal affects left onboard

Finance/Administration

Finance directors, who will typically head the Finance Section of your Emergency Response Team, play a critical role in incident response. During incident response the finance director will:

- ✔ Notify attorney, insurance claims adjusters and the state Department of Transportation
- ✔ Track financial resources dedicated to response activities
- ✔ Identify and report casualty losses
- ✔ Follow-up on questionable claims

Note: In smaller transportation agencies, one individual may fill multiple roles and have multiple safety, security and emergency preparedness responsibilities. Additionally, smaller agencies will often establish agreements with others outside their agency to help fill functional roles and responsibilities during critical incidents

Exercise

Emergency Response Teams

The Incident Command System (ICS) is a management standard that focuses on key functional responsibilities for incident response regardless of incident size. In smaller agencies individuals may need to bear multiple responsibilities. Smaller agencies also frequently look to partner agencies to help fulfill its emergency response roster demands.

Identify the personnel expected to serve on your Emergency Response Team:

Transit Emergency Response Team Roster

Functional Responsibility	*Regular Job Title*	*Name*
Team Leader		
Deputy Team Leader/ *Alternate Team Lead*		
Alternate Deputy Team Leader		
Safety Officer		
Alternate Safety Officer		
Information Officer/ Interagency Liaison		
Deputy Information Officer/ *Alternate Information Lead*		
Alternate Deputy Information Officer		
Operations Management		
Alternate Operations Management		
Incident Planning		
Alternate Planner		
Incident Logistics		
Alternate Logistics		
Incident Finance/Administration		
Alternate Finance/Administration		

Final Exam

1. **True or False: The purpose of having a Safety, Security and Emergency Preparedness Plan (SSEPP) is to eliminate the possibility of any hazards or threats affecting the operation of the transit system.**

   ☐ True ☐ False

2. **During a crisis, which of the following is the correct prioritization of incident response objectives?**

   A. Protect yourself, protect others, protect property, stabilize incident

   B. Stabilize incident, evacuate passengers, secure vehicle

   C. Secure vehicle, evacuate if necessary, call dispatch

   D. Assess situation, call dispatch, remove bus from roadway, await help

3. **True or False: During a mass casualty bus accident your driver must assume the role of incident commander from the time of the incident until he or she is relieved of that responsibility by a supervisor or first responder in what is commonly referred to as "Transfer of Command".**

   ☐ True ☐ False

4. **When reporting a critical incident, which piece of information is typically NOT essential:**

   A. The precise location of the incident

   B. The nature of the incident

   C. Which direction the bus is facing

   D. What resources are needed

5. **True or False: When managing a crisis it is imperative that a different person be assigned to each functional area of responsibility designated in the Incident Command System**

   ☐ True ☐ False

6. **After an accident or incident management must evaluate**

   A. When service can resume

   B. Which asset recovery activities are necessary

   C. How your personnel responded to the incident

   D. All of the above

7. **When addressing the public or the media during a crisis, it is important to:**

   A. Provide the names and conditions of those injured as soon as you have them

   B. Share the opinions of witnesses and first responders

   C. Focus on what happened, what it means to the audience, and what you are doing about it

   D. Apologize and accept blame

   E. All of the above

8. **All personnel should understand it is their responsibility to**

   A. Report anything suspicious

   B. Carry a weapon to subdue volatile passengers

   C. Report all safety and security incidents

   D. Participate in all safety and security training

   E. All of the above

   F. A and B

   G. A, C, and D

9. **True or False: When there is an accident occurs the driver does not relinquish his responsibility as the person in charge to anyone until the incident is stabilized.**

   ☐ True ☐ False

10. **In the event of a community emergency or disaster**

   A. Your transit vehicles should proceed immediately to the staging area and await further instructions

   B. Once emergency response vehicles are dispatched, the Emergency Response Coordinator can discontinue all emergency procedures

   C. The system's Emergency Response Coordinator should remain in communication with the Incident Commander or his Liaison Officer regarding the use the need for transit resources as an incident response resource

   D. All of the above

Answer Key: 1-F; 2-A; 3-T; 4-C; 5-F; 6-D; 7-C; 8-G; 9-F; 10-C

8. Resources

Where To Go For More Info

Federal Transit Administration

The Federal Transit Administration (FTA) has developed numerous guidelines for transit professionals responsible for planning for, managing, and recovering from emergencies and disasters. Information can be found at **http://transit-safety.volpe.dot.gov**

Homeland Security Exercise and Evaluation Program

The Office for Domestic Preparedness (ODP) has developed numerous guidelines for domestic security including the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP is a threat- and performance-based exercise program to help states and local jurisdictions establish exercise programs and design, develop, conduct, and evaluate exercises. Details at **www.ojp.usdoj.gov/odp/docs/hseep.htm**

The National Transit Institute

The National Transit Institute at Rutgers University has developed a variety of courses on to address worker safety and health in the transit workplace. Courses are designed for front-line and supervisory personnel, including a new course tailored to the safety and security needs of community transit providers. Learn more at **http://ntionline.com/topic.asp?TopicArea=5**

The NIMS Integration Center

The National Incident Management System (NIMS) was developed to give emergency managers and responders unified processes and procedures designed to improve interoperability among jurisdictions and disciplines in command and management, resource management, training and communications. By Presidential Executive Order all agencies that receive federal funding must adopt a NIMS-based emergency response protocol, and all first responder organizations — including transit — must train their staff to basic awareness in NIMS. More information and an online independent-study certificate course available at **http://training.fema.gov/NIMS**.

Additional recommended online incident management certificate courses include:

http://training.fema.gov/EMIWeb/IS/is100.asp

http://training.fema.gov/EMIWeb/IS/is200.asp

http://training.fema.gov/EMIWeb/IS/is700.asp

Transportation Research Board

The Transit Research Board (TRB) is a national resource on a wide array of publications on transportation-related issues. Dozens of pamphlets, technical articles, studies and reports can be found at **www.TRB.org/SecurityPubs**. Of particular relevance is TCRP Report 86, Vol, 10, Hazard and Security Plan Workshop Instructor Guide: Security Planning Tools for Rural, Small Urban and Community-based Public Transportation Operations.

9. Appendix

Incident Response Protocols for Frontline Transit Workers

- Accidents & Incidents
- Loss of Organizational Infrastructure
- Acts of Nature
- Hazardous Materials Spills
- Criminal Activity
- Acts of Terrorism

The following information on identified threats to transit agencies and communities throughout the nation provides a baseline for staff preparation. You can use the following material in safety meetings. It is also a good idea to put a copy of the next 16 pages in each of your vehicles.

Accidents and Incidents

Vehicle Accidents

Transit drivers are expected to take the following actions in a post-accident situation:

- Check their location for safe conditions. DO NOT move their vehicle unless instructed to do so by law enforcement, or unless leaving the vehicle where it is would expose the passengers and/or the public to greater danger for a secondary incident (i.e., in a busy traffic lane, on a blind curve, near the top of a hill, or in the path of hazardous materials)
- Secure the vehicle by placing the transmission in the proper setting, engaging the brakes, turning off the engine and turning on the four-way hazard flashers
- Make a decision to evacuate or not to evacuate the vehicle. EVACUATE IF NECESSARY and gather all passengers together in a safe location
- Assess the condition of passengers and contact dispatch providing the appropriate information as to location and need for response
- Respond to passenger needs and assist any injured passengers consistent with system policy
- Inform all passengers of the situation, what actions have been taken and how they will be affected
- Request that all passengers and witnesses complete system documentation including their names, phone numbers and any other information they can provide (passenger info cards in accident kit)
- Get all necessary information from other drivers, law enforcement and emergency medical personnel
- Cooperate with law enforcement officials
- Do not assign blame nor take responsibility for the accident
- Avoid talking to the media, but instead refer the media to system management
- Complete all required accident report documentation as soon as possible

Passenger Incidents

Many kinds of events occur during the course of a driving day that must be reported to management. These events are considered "incidents" and require documentation on Incident Reports. Incidents include but are not limited to:

- Behavior problems — passengers throwing objects, hitting another person, violating company rules or other disruptive behavior that can compromise safety
- Passenger Falls — a passenger falls, or is dropped, but says they're not injured and refuses offers of medical examination
- Passenger Complaints — those made to the driver
- Witnessing an accident — either a driver or a passenger may be asked to record details on an Incident Report

Each incident requires the driver to use good judgment based on their training in determining the appropriate reaction. In all cases transit management needs to be notified and an Incident Report completed.

Workplace Accidents

Each employee in your organization has an obligation to identify and report workplace hazards. Employees are also required to complete accident reports on any workplace slips, falls, cuts, abrasions, and other such incidents. Management has a responsibility to develop controls designed to eliminate or protect employees from hazards identified by accidents, incidents, and reported hazards.

Management Responsibility

Following any accident or incident, management must:

1. Insure that appropriate medical attention was rendered
2. Confirm that an adequate investigation was completed and all documentation is produced and preserved
3. Conduct further investigation as necessary
4. Discuss corrective actions needed;
5. Make sure the corrective actions (controls) are in place
6. Monitor the effectiveness of the controls and make changes as necessary
7. Periodically review these efforts to identify trends or patterns of accidents that can be analyzed to prevent future accidents

Acts of Nature

Floods

Flooding can quickly inundate large areas with standing water, leaving residents or motorists stranded and endangering life and property. A flood WATCH means that flooding is possible. A flood WARNING means that flooding has been reported or is imminent. If a flood warning is issued or flooding is observed, it is essential to act quickly.

- ✔ Evacuate immediately if advised to do so
- ✔ Move to a safe area before access is cut off by flood waters
- ✔ Get out of areas subject to flooding. This includes valleys, low spots, and washes
- ✔ Evacuate essential equipment from low-lying flood-prone areas
- ✔ Avoid already flooded and quick water flow areas
- ✔ Never attempt to walk, swim, or drive through swift water. Even six inches of fast moving water can knock a person off their feet

If driving a transit vehicle...

- Be aware that the roadbed may not be intact under floodwaters. If floodwaters are encountered, drivers must turn around and go another way. Never drive through flooded roadways-a vehicle can float in less than two feet of water!
- If the vehicle stalls, evacuate immediately and seek higher ground. Rapidly rising water may engulf the vehicle and its occupants
- Be especially cautious at night. Darkness makes it harder to recognize flood dangers



Winter Weather

General defensive driving skills should be used in all winter weather situations. This includes increasing following distance, protecting against glare, reducing speed and being concerned about overpasses, underpasses and shady areas.

Important information for drivers trapped in a transit vehicle in a winter storm:

- ✔ Stay in the vehicle and keep passengers in the vehicle
- ✔ Do not leave the vehicle to look for help unless help is visible within 100 yards
- ✔ To keep warm, turn on the vehicle's engine for about 10 minutes each hour
- ✔ Run the heater only when the vehicle is running
- ✔ Turn on vehicle lights only when the vehicle is running
- ✔ Ensure the exhaust is clear of snow to avoid carbon monoxide poisoning.
- ✔ Open windows slightly for fresh air
- ✔ Have passengers and driver do light exercise and/or huddle together to stay warm
- ✔ If alone, stay awake as much as possible

Tornado/Hurricane

Tornado

The following weather signs may mean that a tornado is approaching:

- ✔ A dark or green-colored sky
- ✔ A large, dark, low-lying cloud
- ✔ Large hail
- ✔ A loud roar that sounds like a freight train

The least desirable place to be in a tornado is in a motor vehicle. Buses are easily tossed by tornado winds. Do not try to outrun a tornado in a vehicle. If a tornado is seen, exit and security the vehicle. Guide passengers to substantial structure for cover. Avoid windows. If no structure is available, lay flat in a ditch or low-lying area. Protect head with arms. Follow thunderstorm procedures (below) in the case of downed power lines.

Extra care is required in transit facilities or any building where a large group of people is concentrated in a small area. Inside a building:

- ✔ Move away from windows and glass doorways
- ✔ Go to the innermost part of the building on the lowest possible floor
- ✔ Do not use elevators because the power may fail, trapping people inside
- ✔ Make your body as small a target as possible by crouching down and protecting your head



Hurricane

Following are steps to be taken if the transit system is under a hurricane watch or warning:

- ✔ Keep in communication with the community's emergency management staff in order to assist in evacuations
- ✔ Become knowledgeable of primary and secondary evacuation routes and locations of emergency shelters
- ✔ Locate and secure important transit documents
- ✔ Be prepared to turn off facility electrical power if evacuation is required
- ✔ Ensure that all vehicles are fully fueled
- ✔ Secure any items outside which may damage property in a storm
- ✔ Cover facility windows and doors with boarding. If boarding is not available, packing tape will increase window strength
- ✔ If advised to evacuate, move all transit vehicles out of the impacted area
- ✔ If relocation of vehicles is not possible, try to place vehicles under cover
- ✔ If on vehicle, follow procedures for flooding and high wind and downed power lines
- ✔ If in facility, stay away from all windows and exterior doors
- ✔ Monitor radio and television for weather conditions

- ✔ Recognize that some staff may be unwilling or unable to report to work due to community evacuation procedures

Severe Thunderstorms

- ✔ If heavy rain accompanies thunderstorms, follow standard procedures for flooding situations
- ✔ If high winds accompany thunderstorms, follow standard procedures for tornadoes/ hurricanes
- ✔ If a lightning storm is active in the vicinity, stay inside vehicle or facility and away from windows. Avoid contact with any item that may be able to conduct an electrical charge
- ✔ Never touch a fallen power line and avoid contact with low-slung overhead power lines
- ✔ Never drive a transit vehicle through standing water if downed power lines are in the vicinity
- ✔ If a power line falls across a vehicle, keep passengers in the vehicle and drive away from the line
- ✔ If the engine stalls, do not turn off the ignition and warn people outside the bus to not touch the vehicle



Wildfire

When threatened by a wildfire:

- ✔ Discontinue all transit service in the impacted area unless requested by emergency management to assist in evacuation of individuals at risk
- ✔ Work with emergency management staff to create a 30 to 100 foot safety zone around the transit facility clearing all flammable vegetation, pruning trees, and clearing areas around flammable materials. Focus attention on areas downhill of the facility — fire spreads most rapidly uphill and downwind.
- ✔ If advised to evacuate, move all transit vehicles out of the impacted area

Earthquake

- ✔ If in a transit facility when an earthquake occurs, find locations to protect staff in doorways, under sturdy furniture or next to a large bulky object that will compress slightly but leave a void next to it.
- ✔ Crouch into a fetal position and protect eyes by pressing face into arm
- ✔ In a post-earthquake situation, immediately evacuate the building and go to open ground.
- ✔ Be cautious of downed power lines and compromised buildings
- ✔ If on a transit vehicle when an earthquake occurs, ensure that the vehicle is not underneath any structure that could collapse onto it
- ✔ In a post-earthquake situation, do not operate the transit vehicle over any structures that could be in danger of collapse

Landslide/Avalanche

- ✔ In order to protect against injury or death caused by a landslide or avalanche, recognize that all slopes over 30 degrees are vulnerable to such an event
- ✔ Heed local avalanche forecasts and avoid high-risk areas during periods of extreme risk (following heavy, consistent rains for avalanche hazard, and heavy, deep snowstorms for snow slides)
- ✔ Never stop a transit vehicle in a known avalanche chute

- Be alert when driving transit vehicles because roads may become blocked or closed due to the slide
- Listen for rumbling sounds that might indicate an approaching landslide or avalanche
- If a landslide or avalanche flow is imminent quickly move away from the path of the slide

Dust Storm

- If dense dust is observed blowing across or approaching a roadway, pull your vehicle off the pavement as far as possible, stop, turn off lights, set the emergency brake, take your foot off of the brake pedal to be sure the tail lights are not illuminated
- Don't enter the dust storm area if you can avoid it
- If you can't pull off the roadway, proceed at a speed suitable for visibility, turn on lights and sound horn occasionally. Use the painted center line to help guide you. Look for a safe place to pull off the roadway
- Never stop on the traveled portion of the roadway

In the past, motorists driving in dust storms have pulled off the roadway, leaving lights on. Vehicles approaching from the rear and using the advance car's lights as a guide have inadvertently left the roadway and in some instances collided with the parked vehicle. Make sure all of your lights are off when you park off the roadway.

Protecting Critical Infrastructure

Power Outages

In a power outage take the following actions:

- Turn off all electronic equipment
- Activate backup power generator if available
- If using a portable generator be concerned about back-feed which sends power back to electrical lines and has the potential to seriously injure or kill
- Locate and turn on battery-powered lighting alternatives such as flashlights
- In warm environments, be aware and ready to react to the risk of heat stroke, heat exhaustion and heat fainting
- In cold environments, be aware and ready to react to symptoms of hypothermia
- If possible, get an estimate of longevity of outage and area covered

Computer Crashes

- Ensure that computers have operative and adequate case fans to avoid computer damage due to heat.
- Clear out "dust bunnies" from case fans using a can of "air duster". These are the materials most likely to ignite
- Ensure that computers are placed in an environment where there is air flow
- Connect all computers to an Uninterrupted Power Source (UPS) battery to protect against power surges. It also gives a short amount of time to save programs and shut down computers when a power outage occurs
- Avoid computer crashes from viruses and internet intrusions by using appropriate antivirus, anti-spyware and firewall software, and update the programs daily
- Back up computer data on a regular basis whether it be onto a CD, flash drive, portable hard drive or a tape back-up system
- Store backups in a secured and fire-proof location, preferably off site with a rotation schedule so that at no time are all copies on property at the same time

Vehicle Fires

General Fire Procedures

- If smoke or fire is present, EVACUATE the vehicle immediately
- DO NOT open up the hood or engine compartment if there are signs of fire inside
- Shut off all electrical power and read the instructions printed on the extinguisher
- Only try to extinguish a fire if you are sure of what to do and only if it is safe to do so. The fire extinguisher is to be used primarily to create a way off the vehicle for evacuation purposes
- Only after the vehicle has been evacuated should the extinguisher be employed to put out a fire



- When using the extinguisher, stay as far away from the fire as possible
- Aim the extinguisher at the source or the base of the fire, not at the flames
- Use the extinguisher upwind. Let the wind carry the extinguisher contents toward the fire rather than carrying the flames toward the user
- Continue extinguishing until whatever was burning has been cooled
- Absence of smoke or flame does not mean that the fire is completely out or cannot restart

Fire Evacuation Procedures

- ONLY EVACUATE the vehicle when necessary for safety reasons
- DO EVACUATE the vehicle if any of following conditions exist:
- The vehicle is in a dangerous location and cannot be moved
- Fire or smoke is seen or smelled
- Fuel is seen leaking from the vehicle
- Anything that would make it safer for the passengers to evacuate the vehicle
- Once a decision to evacuate is made, speed of evacuation is essential, especially with the threat of fire
- Calmly tell passengers what is going to happen, tell them which exit(s) to use and where they should go to wait, stressing that they must stay clear of the bus and clear of traffic hazards and upwind if possible
- Assess the condition of passengers to be evacuated and what assistance will be required
- Ask for assistance from ambulatory passengers in evacuating passengers who are injured or disabled
- Evacuate all ambulatory passengers first except those who have agreed to assist in the evacuation of non-ambulatory passengers and ask someone to take the fire extinguisher off the vehicle with them
- Make sure all passengers assemble in a safe location well away from the vehicle
- When evacuating non-ambulatory or wheelchair passengers, do the following:
- Use a seatbelt cutter to cut through all securement devices
- If the wheelchair door works and the lift is operative, put the lift halfway down and use it as a step to roll the chair off the vehicle or to drag or carry non-ambulatory passengers off
- If the wheelchair lift is not working, slide wheelchair passengers out of their chairs and drag or carry them down the aisle and out the door. This also pertains to any injured or unconscious passengers. To accomplish the dragging technique, bend at the knees, grasp under the arms of the passenger and pull
- If the doors of the vehicle are blocked or non-functioning, evacuate any mobility impaired, injured or unconscious passengers by getting them through emergency exit windows or roof hatches as the situation may dictate and preferably with assistance outside and inside

Facility Fires

If a fire is discovered, sound the alarm and call the fire department.

- Leave the fire area quickly, closing all doors behind to slow the spread of fire and smoke
- Follow the building's evacuation plan to the letter, unless doing so creates immediate danger. If smoke or flames are encountered, use an alternative escape route.
- If it is necessary to escape through smoke, crawl low. Heat and smoke rise. Cleaner air will be 12 to 24 inches (30 to 60 centimeters) above the floor

- Test doors before opening them. Kneeling or crouching, reach up as high as possible and touch the door, the knob, and the space between the door and its frame with the back of the hand. If the door is hot, use an alternative escape route. If the door feels cool, open it carefully and be ready to slam it shut if smoke or heat rush in
- Once out of the facility, stay out of the way of firefighters. Tell the fire department if anyone might be trapped in the building. Do not go back inside for any reason, until firefighters say it is safe to do so

Hazmat

Blood-Borne Pathogens

Steps to take when reacting to an on-vehicle blood-borne pathogen incident:

- Contact dispatch and describe the situation. If instructed to respond to the bodily fluid spill, complete steps 2–10. If instructed to wait for assistance to arrive on the scene, secure the vehicle and wait. In any case, follow system policy on handling biohazards
- Locate the biohazard kit that is on the vehicle. Avoid stepping on the fluid spill
- Put on the disposable gloves found in the biohazard kit when giving any first aid or cleaning up any potentially dangerous bodily fluid spill such as blood, vomit, urine or defecation
- Cover the spill area with the disinfectant found in the biohazard kit
- Using the appropriate instrument from the biohazard kit, dispose of any material that may be contaminated by placing it in the biohazard bag found in the biohazard kit
- If the clean up includes broken glass or other sharp objects, extra caution must be taken. Pick the sharp objects up by mechanical means rather then using the hands and dispose of them in the leak proof, puncture proof container provided in the biohazard kit for that purpose
- Carefully discard all clean up materials, including gloves, in the biohazard bag
- Double bag the biohazard bag immediately if there is any possibility of it ripping or tearing
- Insure that all biohazard materials are placed in the appropriate transit system depository
- Thoroughly wash hands with soap, disinfectant and running water as soon as possible

Toxic Chemical Spills

In case of a chemical release in or near a facility:

- Find clean air very quickly
- If the release is outdoors and personnel are outdoors, take shelter quickly in the closest building, close all windows/doors and shut off the heating, ventilating and air conditioning system (HVAC). If inside, stay inside and find an interior room and seal the room. Remain inside until told it is safe to leave and then ventilate and vacate the shelter immediately
- If the release is indoors, open windows and breathe fresh air. Evacuate the building immediately
- Once protected from chemical agent exposure, decontaminate by removing clothes and showering with warm water and soap
- When conditions are safe to move about freely, seek medical treatment

If a chemical release occurs outside a vehicle:

- ✔ Shelter in place by staying on the vehicle
- ✔ Shut all vehicle windows, turn off all vents, heating and air conditioning systems
- ✔ If the vehicle can be safely moved, drive as far away and upwind as possible
- ✔ Immediately report locations and all events to dispatch/appropriate authorities

If a chemical release occurs inside a vehicle:

- ✔ If the vehicle is in motion at the time of discovery, immediately pull over to a safe location preferably in an area not crowded with people
- ✔ Shut down the vehicle, including hvac and windows, and evacuate passengers a minimum of 1,500 feet away from the vehicle, preferably upwind
- ✔ Tell passers-by to stay away from the vehicle

- ✔ When requesting or waiting for assistance, never re-enter the vehicle. Contact dispatch and emergency response and give the precise location of the vehicle, reporting all events.

Radiological Emergencies

In case of a radiological release:

- ✔ Avoid inhaling dust that could be radioactive
- ✔ If outside and informed of an outside release of radiation, cover nose and mouth and seek indoor shelter. If inside an undamaged building, stay there. Close windows and doors and shut down ventilation systems. Exit the building/shelter when told it is safe.
- ✔ If inside and informed of a release of radiation, cover nose and mouth and go outside immediately
- ✔ Decontaminate by removing clothing and showering
- ✔ Relocate outside the contaminated zone only if instructed to do so by public officials.

Decontamination

Exposure to radiological release may require the decontamination of victims and equipment. The determination about when decontamination may be necessary will be made by first responders and those managing the incident. Individuals potentially exposed to release will be kept at the scene and isolated until the decision to decontaminate or not is made and to ensure that further contamination of others is prevented.

Fuel Related Events

Fueling, Oil and Other Petroleum Hydrocarbons

- Each facility should develop a petroleum spill plan including:
  - ✔ Who is responsible for taking what action
  - ✔ What action should be taken during an event
  - ✔ When should additional resources be called for assistance
  - ✔ Where are clean up materials stored at the facility
  - ✔ How are the clean up materials used and disposed of



  - ✔ Each facility should have adequate petroleum spill response equipment that is easily accessible and clearly marked
  - ✔ Each facility should

A petroleum, flammable liquid fire burns at the surface of the material as it is vaporized by the fire or ambient heat. Applying water merely spreads the flaming liquid over a wider area, where it vaporizes more rapidly, intensifying the fire. The best way to put out such a fire is to cut off its air supply or interrupt its chemical chain reaction. The smothering agents commonly used for petroleum fires are carbon dioxide (CO2) and dry chemical powder extinguishers. Both are effective for flammable liquids, but dry chemical is better for outdoor use because it is not subject to wind, has a longer range and can extinguish pressurized leaks of gas and liquid.

Natural Gas

Natural gas has a different hazard profile than traditional liquid fuels such as gasoline and diesel fuel. Two properties that affect its hazard profile and consequent emergency response are its gaseous state and its storage at high pressure or low temperature. In normal transit operations, the risks from these hazardous properties have been mitigated through effective design.

Fires fed by natural gas may attain large heat release rates quickly. The size of the fire is generally not reduced by cooling the fuel supply with water. If a fire fed by a natural gas leak is extinguished, but the gas is still escaping, the gas can re-ignite and, because unburned gas has accumulated, lead to an even larger rate of heat release.

In the case of a natural gas leak or release:

- Verify the origin of the gas release and stop the release
- Evacuate people and property from the vicinity of the release
- Move upwind from any actual or suspected gas leaks or gas releases
- Call 911 to alert first responders to the incident
- Prevent ignition. If natural gas is or has been released, the scene must be surveyed for ignition sources, and ignition sources must be removed
- Be wary of static electricity. For a flammable gas static electricity is always a potential ignition source. This is especially true if the relative humidity of the air is low. In rapidly flowing gases, the motion of entrained particles can cause the buildup of static charges.
- Ventilate enclosed areas, considering that natural gas is lighter than air. LNG fuel vapors may be heavier than air until they warm. Propane is heavier than air

Criminal Activity

Vandalism/Trespassing

Preventing vandalism and trespassing require facility and vehicle security focusing on:

- ✔ Adequate lighting
- ✔ Perimeter fencing
- ✔ Surveillance equipment
- ✔ Alarm systems
- ✔ Security patrols
- ✔ Employee alertness

Theft and Burglary

Preventing theft and burglary require facility and vehicle security focusing on:

- ✔ Key control that makes it difficult for vehicle and facility keys to end up in the wrong hands
- ✔ Access control with employee badging and security protocols
- ✔ Facility and vehicle lock up procedures that secure tools and equipment
- ✔ Surveillance equipment, particularly for high-risk activities like money counting
- ✔ Adequate lighting and fencing
- ✔ Periodic security patrols and employee alertness

Theft by employees can be a more vexing problem, but vulnerability can be minimized with a security program focusing on:

- ✔ Clear, written policies on ethical behavior
- ✔ Supervision and surveillance on high-risk activities like money counting
- ✔ Tight inventory control
- ✔ Employee teamwork

Workplace Violence

Violent behavior is often preceded by a variety of early warning signs. Unfortunately these signs are often ignored until it is too late. Early recognition of the warning signs of workplace violence is critical to the prevention of incidents.

In recognizing warning signs, be alert for unacceptable or out-of-the-ordinary behavior exhibited by a person. When this behavior is exhibited tell someone in the agency about these concerns so that proactive measures can be taken if necessary. These measures may include a conversation on the part of a supervisor, counseling, Employee Assistance Program (EAP) support, or other forms of assistance. The goal is not punitive action but prevention through resolution of the issues or situation. Effective workplace violence prevention programs will include a mechanism for communicating these concerns in a confidential and productive manner.

Some behavioral warning signs to be alert for are:

- ✔ Unusual interest in weapons and expressions of violence
- ✔ Exhibiting signs of depression
- ✔ Increased work problems.
- ✔ Showing signs of domestic violence
- ✔ Increased emotional outbursts
- ✔ Unhealthy obsession with a co-worker
- ✔ Expressing irrational beliefs and ideas
- ✔ Strong reaction to real or perceived criticism

Violence or Weapons on Vehicle

Instructions for drivers dealing with threats of violence:

- Stay calm and maintain control; do not overreact to the situation
- Behave in a non-threatening way through both voice and action
- Look for ways to defuse the situation
- Look for ways to alert emergency response
- If possible, park the vehicle in a public place and do not operate it
- Open bus doors
- Make every effort to allow passengers to exit the vehicle whenever possible including asking the antagonist to allow de-boarding
- If there are no passengers on board, look for a way to escape the vehicle
- If the antagonist leaves the bus, do not pursue
- If a weapon is involved, do not attempt to grab it or make any sudden movements
- If driving, let the assailant know verbally each move being made, such as turns, lane changes, stops, etc.
- Make every effort to cooperate with the assailant and make the assailant feel no resistance
- If violence is directed toward a passenger, immediately contact emergency response and intervene only if safe to do so
- Provide information to emergency response including vehicle location, nature of the incident, descriptions of assailant(s) and any weapons involved
- Complete required forms and documentation

Hostage Situation

Steps in avoiding or dealing with a vehicle being commandeered:

- Survey area for suspicious people/activities while approaching pick up/drop off points.
- Immediately report concerns to dispatch if suspicious people/activities are present and drive vehicle out of area
- Do not open doors if suspicions are aroused when vehicle is stopped; instead, communicate with individual through a window until determining proper action
- If suspicious individual is seen at a railroad crossing, do not open doors enough for them to board; make visual surveillance of tracks and move on when safe to do so. Contact dispatch
- Avoid boarding individuals suspected of carrying a weapon or suspicious dangerous package. Contact dispatch immediately
- If individual with concealed weapon is aboard vehicle, act as if the weapon was not noticed. Do not confront the individual. Stay calm and focused
- If possible and safe to do so, get passengers off vehicle and contact dispatch
- If vehicle is commandeered, follow all instructions and avoid confrontation. Remain calm and show no outward signs of panic
- In event that the vehicle is commandeered while parked, open all doors and keep them open to allow opportunity for all passengers to exit. If it seems appropriate, ask perpetrator if vehicle can be de-boarded but don't push too hard to end the situation
- In event that vehicle is commandeered while in motion, stay on the route but don't stop at the usual stops so someone might notice and react
- Attempt to alert authorities but take no action that could potentially increase the risk to oneself or others
- Talk to the hijacker and try to create a relationship. Stay in touch with hijacker and don't antagonize them. Be clear about what you can and cannot do to fulfill their demands — some of their requests may be out of your control. The watchword is patient, understanding and firm
- Stay calm, use common sense and follow instructions of the perpetrator. Either wait for emergency response or, if possible, find a way to escape

Bomb Threats

All threats, no matter how many times they may occur, must be treated seriously and thoroughly investigated and managed. Protocols for evaluating

bomb threats and procedures for evacuations will be developed and practiced.

The following actions are to be taken in the event of a telephoned bomb threat:

- treat each and every threat seriously
- keep the caller on the line as long as possible
- do not hang up the phone that the call came in on
- use another telephone to contact the police
- write down what the caller said or record the call (try to record/write down every word spoken)
- pay particular attention to background noises as this may provide clues to where the call is originating
- try to identify voice characteristics, accents, gender, age, etc.
- try to get specifics on the bomb, i.e., locations, detonation time, what does it look like, why did the person place the bomb; often the type of person making a threat of this nature becomes so involved that they will answer questions impulsively.
- record the number the call was received on
- record the time, date and duration of the call
- remain available to law enforcement personnel for interviews

Written Threats (threat to detonate explosive is written or delivered)

- ✔ May be more serious than phone-in threats
- ✔ Are generally more difficult to trace than phone-in threats
- ✔ Serve a variety of purposes, but, generally, are directed at specific personnel rather than at the system as a whole
- ✔ The personal motivations of the criminal may be more important in these types of threats

Terrorism

Overview

The events of September 11, 2001, demonstrate that this nation and its infrastructure are vulnerable to international terrorist attack. The bombings in Madrid and London reinforce that threat. However, international terrorism is not the only concern of transit agencies. Timothy McVeigh was not an international terrorist, but struck terror in America when he bombed the Murrah Building in Oklahoma City. The same is true of Eric Rudolph in his attacks on Birmingham and the Atlanta Olympics. The Beltway Snipers, the Ohio overpass sniper, the Unabomber and even Columbine High School accentuate the domestic terrorist threat. Transit systems large and small must prepare for the possibility of either being the target or being within the environment of terrorism. As a part of that planning, transit organizations and employee training must focus on the possible potential threats described below.

Dangerous mail

Indicators of suspicious letters or packages:

- ✔ Handwritten and addressed to title only with no name or incorrect title
- ✔ Sealed with excessive tape
- ✔ No return address or one that can't be verified as legitimate
- ✔ Strange odor
- ✔ Lopsided or uneven
- ✔ Restrictive markings such as "Confidential" or "Do not X-ray"
- ✔ Misspelled common words
- ✔ Unexplained oily stains, discolorations or crystallization on wrapper
- ✔ Rigid or bulky
- ✔ Excessive postage

If mail is suspected to contain a:

Bomb

- Evacuate immediately
- Call police and local fire department/ HAZMAT unit
- Contact postal inspectors

Radiological Threat

- Limit exposure — don't handle
- Evacuate area

- Shield body from object
- Call police and local fire department/ HAZMAT unit
- Contact postal inspectors

Biological or Chemical Threat

- Isolate — don't handle
- Evacuate immediate area
- Wash hands with soap and warm water
- Call police and local fire department/ HAZMAT unit
- Contact postal inspectors

Suicide Bombers

Characteristics of suicide bombers:

- May wear irregular or disproportionate clothing for body type or weather
- Will have a rigid midsection
- May repeatedly pat their chest or stomach
- May keep hands in pockets or closed (holding detonator)
- May move about without purpose
- May sweat or act extremely nervous
- May be mumbling to themselves
- May not make eye contact
- May carry irregular, inappropriate or overweight luggage or bags
- May be non-communicative or uncooperative

Suicide bomber explosive materials:

- May wear explosive materials as a harness on their body underneath their clothes
- May carry explosive materials in a bag such as a backpack
- May have wires running down shirtsleeve, along the belt (attaching bomb to a detonating device), to an ear or anywhere on the body
- May have in their hand a positive or negative activation device
  - ✓ A positive activation device requires an act to detonate, such as throwing a switch, pushing a plunger or closing a circuit
  - ✓ A negative activation device requires simply a release of the detonating switch (such as opening of the hand which holds a switch)

Strategies for interacting with a person considered suspicious:

- Observe what the person is doing, where they are and when they are there.
- Observe any package or vehicle associated with the person
- Do not prevent a suspicious person from leaving the area
- If speaking to or in the vicinity of a suspicious person be polite, courteous and non-threatening
- "May I help you?" is a non-threatening way to begin
- Do not invade the person's space or make any sudden movements
- Be alert for signs of physical or auditory distress in the person
- Withdraw from the presence of a suspicious person in a calm and non-threatening way so they are not aware of the suspicion of them as this may cause them to do something harmful
- Be alert for other possible suspicious people in the area
- Immediately report a suspicious person once safely able to do so without being observed by that person
- If safe to do so, observe in what direction person may be going
- Report in to first responders when they arrive on the scene

Conventional Weapons and IEDs (Improvised Explosive Devices)

Conventional weapons

If a perpetrator with a weapon is in an open area and gunshots are heard:

- Try to determine the direction of fire
- Scatter and run away from the direction of fire
- Try to put a solid barrier, such as an engine block, between self and the direction of fire

Improvised Explosive Devices

Items and devices that are cause for suspicion have the potential to contain or be a part of an improvised explosive device. These items and devices will immediately be reported to appropriate authorities as they potentially present a threat to everyone in the area.

If a package is discovered, remain calm and never touch, move, shake, cover or empty the contents of the suspicious package. Everyone in the vicinity needs to be instructed to evacuate a minimum of 1,500 feet away from the package, preferably upwind. When at all possible, obtain a list of all people who handled the package or were in the room/area when the package was recognized or opened. Give this list to emergency response.

Emergency response will be given the precise location of the suspicious package and any reasons for the suspicion, including a detailed description of the package. When requesting assistance, never use a cell phone from any closer than 300 feet as the cellular signal could trigger the detonation device.

If an explosive device is suspected outside a transit vehicle:

- Open the doors and windows of the vehicle (if device explodes this will prevent injury from flying glass)\
- If the vehicle can be safely moved, relocate vehicle upwind and away from danger

Reacting to possible detonation of an explosive device:

- If an explosive device is about to be detonated nearby, put a solid barrier between the explosive and self and/or passengers.
- If no barrier is readily available or there is not enough time to escape out of range, have everyone lay face down and cover the back of their head and neck with their arms for protection.

Following are general rules for avoiding injury from a dangerous object:

- When it is determined to evacuate, do so immediately; move as far from a suspicious object as possible
- Be aware that a bomber may lure people outside (either by hoax or a real threat) into the blast zone of a bomb placed in a vehicle and/or easily hidden in a parking area (secondary device)
- Stay out of the object's line-of-sight, thereby reducing the hazard of injury because of direct fragmentation
- Keep away from glass windows or other materials that could become flying debris

Weapons of Mass Destruction

The amount of risk present in chemical, biological and radiological exposure depends upon:

- How long the individual was exposed to the agent (time),
- How far they were immediately able to get away from the agent (distance) and
- Whether the agent was blocked from entering the body by some structure or layer of protection (shielding)

Chemical Weapons

A chemical agent may be introduced:

- Into a building through the ventilation system
- Inside a building using a small explosive device
- Into a water supply such as a reservoir
- Into the air using a missile warhead or similar device

Signs that a chemical release has occurred:

- Birds falling from air
- Two or more people are observed suddenly:
- Experiencing difficulty breathing or coughing uncontrollably
- Suffering a collapse or seizure
- Complaining of nausea
- Complaining of blurred vision
- Complaining of an unusual and unexplainable odor

In case of a chemical release:

- Find clean air very quickly.
- If the release is outdoors and you are outdoors, take shelter quickly in the closest building, close all windows/doors and shut off the heating, ventilating and air conditioning system (hvac). If inside, stay inside and find an interior room and seal the room. Remain inside until

told it is safe to leave and then ventilate and vacate the shelter immediately.

- If the release is indoors, follow chemical attack plans specific to your facility. Open windows and breathe fresh air. Evacuate the building immediately.
- Once protected from chemical agent exposure, decontaminate by removing clothes and showering.
- When conditions are safe to move about freely, seek medical treatment.

Biological Weapons

People exposed to pathogens such as anthrax, ricin or smallpox may not know that they have been exposed and those who are infected or subsequently become affected may not feel sick for some time. This delay between exposure and onset of illness is characteristic of infectious diseases. Unlike acute incidents involving explosives or some chemicals, the initial response to a biological attack is most likely made by hospitals or the healthcare community.

A biological agent can be introduced:

- By mail, via a contaminated letter or package
- Using a small explosive device to help it become airborne
- Through a building's ventilation system
- Using a contaminated item such as a backpack, book bag or other parcel left unattended
- By intentionally contaminating a food supply
- By aerosol release into the air (such as with a crop duster or spray equipment)
- By missile warheads
- By infected persons

In case of a biological release:

- Get medical aid and minimize further exposure to agents.
- If symptomatic, immediately go to medical provider specified by public health officials for medical treatment.

Radiological Weapons

The difficulty of responding to a radiological incident is compounded by the nature of radiation itself. In an explosion the fact that radioactive material was involved may or may not be obvious, depending upon the nature of the explosive device used. Radiological detection equipment will be required to confirm the presence of radiation.

In case of a radiological release:

- Avoid inhaling dust that could be radioactive.
- If an explosion occurs outdoors or you are informed of an outside release of radiation and you are outside, cover nose and mouth and seek indoor shelter. If you are inside an undamaged building, stay there. Close windows and doors and shut down ventilation systems. Exit shelter when told it is safe.
- If an explosion occurs inside your building or you are informed of a release of radiation, cover nose and mouth and go outside immediately.
- Decontaminate by removing clothing and showering.
- Relocate outside the contaminated zone only if instructed to do so by public officials

How to Use this Section

This section has been developed to provide a collection of forms for a variety of purposes, all of which can be tailored to a specific transportation system. The requirements set forth on these forms represent suggested areas and items you will want to address or monitor; however, not all areas will apply to every transit system. All forms are recommendations, not requirements; however, we believe that each one merits consideration.

Along with your **SPIDER** three-ring binder, you should have received a CD which contains, in addition to the basic **SPIDER** Manual, files for each of the forms in this section. Please take each form, review it against your specific transportation system's needs and policies, and customize it as appropriate. You can do this by opening the file on the CD and saving it to a floppy disk or to your hard drive. We recommend you change the name of the new file to distinguish it from the original file on the CD.

The forms in this section are divided into three subsections to correspond with the information presented in this manual. For each form, a set of directions that states the form's purpose and how it should be used is provided.

Section 1 – Standard Operating Procedures

Form 1 – Driver Training Documentation
Form 2 – New Hire Driver Training
Form 3 – New Driver Vehicle Orientation Documentation
Form 4 – Driver On-Board Training Documentation
Form 5 – Driver On-board Evaluation
From 6 – Sample Bloodborne Pathogens Incident Report Form
Form 7 – Employee Performance Code and Appraisal Explanation and Documentation Forms
Form 8 – Vehicle Inspection Report and Vehicle Damage Report
Form 9 – Preventive Maintenance Inspection Report
Form 10 – Sample 3,000 Mile Preventive Maintenance Schedule
Form 11 – Sample 3,000 or 6,000 Mile PM Checklist
Form 12 – Vehicle Defect and Correction Report
Form 13 – Customer Service Policy
Form 14 – Complaint/Commendation Forms
Form 15 – Telephone Comment Form

Section 2 – Emergency Operating Procedures

Form 16 – Accident/Incident Documentation
Form 17 – Incident/Injury Report
Form 18 – Vehicle Accident Report Form
Form 19 – Employee Emergency Response Participation Memo
Form 20 – Emergency Response Checklist (during normal operating hours)
Form 21 – Emergency Response Checklist (after normal operating hours)
Form 22 – Dispatcher Notification Sheet

Section 3 – Transit Security

Form 23 – Bomb Threat Checklist and Procedures
Form 24 – Visitor Sign-in Sheet

Section 4 – Miscellaneous Forms

Form 25 – Medical Examination Report for Commercial Driver Fitness Determination
Form 26 – Passenger Assistance Evaluation Forms (D1, D2)
Form 27 – Sample Prescription/Over-the-counter Medication Policy
Form 28 – 10 Codes for Radio Communication
Form 29 – Witness Courtesy Card
Form 30 – Accident-Incident Instructions for Drivers and Dispatchers
Form 31 – Annual Vehicle Safety Inspection Form
Form 32 – Annual Building Inspection Checklist
Form 33 – OSHA Self-Inspection Checklist

FORM 1: DRIVER TRAINING DOCUMENTATION FORM

This form is to be used for the overall documentation of driver training throughout an employee's career with the agency. We recommend that a training file be kept for each employee and be maintained separate from the employee's personnel file. Example training provided on Page 1 is recommended as a minimum. Add topics and courses specific to your transportation system. Use continuation sheets as necessary to document training over the course of the employee's career. A copy of the training documentation form(s) should be maintained in the driver's personnel file or folder.

When a new driver is hired, place a training sheet in his or her personnel file. As training is completed, record the course name, number of hours completed, and the instructor's name. Have the instructor, or if preferred the driver's supervisor, and the driver initial the form as indicated. It is recommended that both the instructor or supervisor and the driver initial the form after each type of training is completed.

Form 1--Example
DRIVER TRAINING DOCUMENTATION FORM*
TRANSPORTATION SYSTEM NAME:
_____

DRIVER NAME: _____

Page 1

Subject/Name of Course	Hours	Date of the Training	Instructor	Date and initials of Instructor or Supervisor and Driver	Expires
Agency Orientation					
System Policy Orientation					
Drug/Alcohol					
Vehicle Orientation					
Vehicle Inspection Procedures					
Defensive Driving					
PASS Training					
Customer Sensitivity & Assistance					
CPR/First Aid					
Additional Training by Topic					

**The purpose of this form is to document all training provided to drivers. By signing off on this form in the various training areas the instructor or supervisor and driver agrees that the training was completed by the driver on the date indicated.*

Form 1: Blank Form
DRIVER TRAINING DOCUMENTATION FORM*
TRANSPORTATION SYSTEM NAME:
_____

DRIVER NAME: _____

Page ___

Subject/Name of Course	Hours	Date of the Training	Instructor	Date and initials of Instructor or Supervisor and Driver	Expires
Agency Orientation					
System Policy Orientation					
Drug/Alcohol					
Vehicle Orientation					
Vehicle Inspection Procedures					
Defensive Driving					
PASS Training					
Customer Sensitivity & Assistance					
CPR/First Aid					
Additional Training by Topic					

**The purpose of this form is to document all training provided to drivers. By signing off on this form in the various training areas the instructor or supervisor and driver agrees that the training was completed by the driver on the date indicated.*

Form 2: New Hire Driver Training Documentation

This form is to be completed during the initial training of drivers after hire. Topics and hours are recommendations only. Each transportation system should customize the form to reflect the reality of the agency new hire training effort. Since the West Virginia Division of Public Transit requires that all drivers complete the PASS training, many of the areas recommended may be covered in PASS.

For each subject or topic area, enter the date, number of hours, and instructor's name for each class. It is critical that both the instructor and the driver initial the form after each type of training is completed, and then both sign the form when the entire new hire training package has been completed.

Form 2

New Hire Driver Training Documentation Form

_____ Transportation System

_____

(Driver's Name)

The purpose of this form is to document the training provided to newly hired drivers employed by our agency. By initialing this form at the various categories, the instructors and drivers are documenting that the subjecting training was completed on the date indicated.

Subject	Dates	Hours	Instructor	Instructor/ Driver Initials
ORIENTATION				
• Overview				
• Human Resources				
• Drug & Alcohol Policy				
• Driver Handbook & Performance Code				
• Pre-trip Process • Introduction to Vehicles • Parking Lot Practice				
• Coaching the Transit Coach Operator				
• Seat Belt Use				
• Rollover				
• Railroad Crossing				
• Post-accident				
• On-board Practice				
• Overview of ADA				
• Assisting Frail Elderly • Hidden Disabilities • Visual Disabilities				

New Hire Documentation Form
Page 2

SUBJECT	HOURS	DATES	INSTRUCTOR	TRAINEE
• Wheelchair Handling • Lift Awareness • Proper Securement				
• Bloodborne Pathogens				
• Handling Ill Passengers				
• Fire Extinguishers				
• Emergency Procedures • Web Cutters • Blanket Drag • Evacuation				
• Customer Service • Diversity Awareness • Sexual Harassment				
• Review Pre-trip				
• On-board Evaluation				

TOTAL TRAINING HOURS **_____**

Training Supervisor _____ Date _____

Driver Trainee _____Date _____

FORM 3: NEW DRIVER VEHICLE ORIENTATION DOCUMENTATION

This form should be used during the new hire training process and should also be completed for all experienced drivers when the agency purchases new equipment.

This form is to be completed by the transit agency instructor, and signed by the trainee, as an orientation tool for all vehicles that any employee may be required to drive during their employment. The list of items on the following form is a comprehensive list, therefore, not every item will appear on every type of vehicle. For those items that do not pertain to a specific vehicle, simply note "N/A."

NOTE: *This form will need modified to reflect the specifics of vehicles in your fleet.*

FORM 3

NEW DRIVER VEHICLE ORIENTATION DOCUMENTATION FORM

_____

***TYPE OF VEHICLE**

_____ Instructor

_____ Operator

***Note: Not all of the items indicated below will pertain to every type of vehicle. For those items that are not present on a specific vehicle, mark "N/A."**

_____Operator's Daily Equipment Report
_____Driver's Seat/Controls
_____Chime Box
_____Dash Fans Switch
_____Dash Fans – High/Low
_____Climate Control Vent
_____Coat Hanger
_____Driver's Curtain/Release
_____Radio Control/Settings
_____Radio Speaker – On/Off
_____PA Microphone
_____PA Volume Adjustment
_____PA Microphone – On/Off
_____PA Speakers Switch
_____Transmission Retarder
_____Emergency Brake Override
_____Driver's Booster Switch
_____Climate control
Mode
On/Off
Blowers
_____Farebox Light
_____Defrost Switch
Defrost
Driver's Heat/Deflector
Driver's Air
Driver's Thermostat
_____Front Interior Light
_____Rear Interior Lights
_____Driver's Light
_____Passenger Chime/Request Lights
_____Instruments Dimmer Switch
_____High Idle
_____Engine Start
_____Master Switch
Engine Stop
Run
Lights
Park
_____Transmission Gear Selector

_____5 Position Door Control
_____Door Air Dump (Front Only)
_____Sander Switch
_____Fuse Box Lever
_____Destination Sign/Program
_____Dual Air Gauge-Front/Rear
_____Speedometer
_____Coolant Gauge
_____Battery Gauge
_____Oil Gauge
_____Lift Use Counter
_____Intermittent Windshield Wiper
_____Left Windshield Wiper
_____Right Windshield Wiper
_____Windshield Washer
_____Hazard Switch
_____Pre-Start Indicator Lights
Check Engine
Stop Engine
Check Transmission
Do Not Shift
_____Stow Switch
_____Engine Test Switch
_____Engine Emergency Override Switch
_____Transmission Test Switch
_____Kneeler Switch
_____Parking Brake
_____Right Outside Mirror Adjustment
_____Buzzer/Lights Test Button
Turn Signals
Low Air
Charge
Rear Door
High Beam
Engine Fire
Next Stop
Brake On
Lift Power (Lift Power ON)
Wheelchair Stop
Not Stowed

NOTE: *This form will need modified to reflect the specifics of vehicles in your fleet.*

AC Fail
High Idle
Retarder Off
_____Lift Power
_____Lift Sensor Override
_____Lift Selector
Deploy
Raise
Lower
Stow (Double Stow Switch)
_____Lift Function Switch
_____Steering Wheel
Tilt
Telescoping
Horn
_____High/Low Beam
_____Turning Signals
_____Fresh Air Vent
_____Brake Pedal
_____Throttle
_____Cup Holder
_____Trash Receptacle
_____Transfer Cutter
_____Mirrors/Adjustment
_____Farebox

_____Triangles
_____Fire Extinguisher
_____Storage Compartment Behind
_____Driver's Sear
Owner/Insurance Cards
Bio Hazard Kit
_____Spill Socks (under Rear Seat)
_____Roof Emergency Exits
_____Rear Door Emergency Air Dump
_____Window Emergency Exits
_____Window Operation
_____Wheelchair Bays (Refer to GBTA Procedures for Transporting Wheelchairs and Three Wheelers on Vehicles
Seat Latch
Tie Down Belts/Storage
Lift/Kneeler Use w/Wheelchair/Scooter
Loading
Securement w/Belts
Shoulder Harness
Unloading
Stowing
_____Battery Emergency Shut Off Switches
_____Engine Compartment Door Operation
_____Wheel Chock
_____Condition of Seats, Floor & Railings
_____Post Trip Inspection

I hereby certify that I have received instruction and understand the operation and purpose of the above features and functions of the _____.
Vehicle

_____
Operator's Signature

_____
Date

I hereby certify that _____ has received instruction and explanation on the above features and functions of the _____.
Vehicle

_____
Instructor's Signature

_____
Date

FORM 4: NEW DRIVER ON-BOARD TRAINING DOCUMENTATION

This form is to be used during the new hire training process to document on-board training of drivers when assigned to work routes with an experienced driver. It is critical that both the trainee and the experienced driver initial this form to document the length and dates of training.

FORM 4

New Driver On-Board Training Documentation

(Driver's Name)

_____ Transportation System

This form documents the on-board training provided to New Drivers employed by our agency.

By initialing this form, the New Driver named above is documenting the dates and time of the on-board training provided by the assigned Experienced Driver.

Date	Start Time	Finish Time	Total Time	New Driver Initials	Exp. Driver Initials	Observing	Driving

FORM 5: DRIVER ON-BOARD EVALUATION

This form is to be used by the trainer to evaluate a driver's behind-the-wheel performance during the new hire period, and then on an annual basis thereafter. This form should be used in conjunction with coaching and counseling sessions designed to reinforce satisfactory performance and improve unsatisfactory performance.

FORM 5
DRIVER ON-BOARD EVALUATION

DRIVER NAME: _____ DATE: _____
ROUTE OBSERVED: _____ TIME: _____

ROUTE PERFORMANCE:

	Satisfactory	Unsatisfactory	Comments
Knows stop locations			
Knows fare policy & zones			
Knows service & policy			
Passenger assistance skills			

SCHEDULE PERFORMANCE:

Scheduled Departure		Actual Departure	
Scheduled Arrival		Actual Arrival	

DRIVING SKILLS AND OPERATING PERFORMANCE:

	Satisfactory	Unsatisfactory	Comments
Courtesy			
Right Turn			
Left Turn			
Smoothness: Stops & Start			
Intersection Awareness			
General Awareness			
Pulling into Curbs			
Use of Signals			
Use of Four-Way Flashers			
Use of Mirrors			
Use of Hands			
Use of Feet			
Use of Wheelchair Lift			
Use of Kneeler			
Use of Interior Lights			
Radio Procedures			
Defensive Driving Skills			
Seatbelt Use			
Pedestrian Awareness			

REQUIRED WORK MATERIAL:

	Yes	No	Comments
Documentation			
Schedules			
Transfers			
Log Book			
Uniform			
_____			
_____			
_____			
_____			

COMMENTS: _____

FORM 6: BLOODBORNE PATHOGENS INCIDENT REPORT FORM

An incident report must be completed for all exposure incidents involving potential bloodborne pathogens. Using a standard form ensures that consistent and comprehensive information for all incidents is recorded. The following is a recommended form. Modify, expand and/or supplement this form to meet your particular needs and to reflect your own experience.

FORM 6
BLOODBORNE PATHOGENS INCIDENT REPORT FORM

Date of Report: _____

Employee: _____

Approximate Time of Incident: _____

Date of Incident: _____

Location of Incident: _____

Other personnel at scene: Yes: _____ No: _____

List personnel: _____

All personnel who were exposed to blood or OPIM should independently complete separate forms.

Source of exposure: Identified: Yes: _____ No: _____

Name of individual or Description of Source of Exposure:

_____

_____

_____

Name of Supervisor Notified of Incident: _____

Time of Notification: _____ Date of Notification: _____

Signature of Employee For supervisor follow-up: _____

Job Classification/Title: _____

Source individual contacted for possible testing: Yes: _____ No: _____

Comments/Status: _____

_____

HBV vaccination: Recommended: Yes: _____ No: _____

Administered by: _____ Date: _____

Findings and Recommendations: _____

_____

Date: _____

Signature of Supervisor: _____

FORM 7: EMPLOYEE PERFORMANCE CODE AND APPRAISAL EXPLANATION

These forms are to be used to document the employee performance appraisal process on an annual basis. Performance codes are explained and then broken down by areas of concern. An overall performance evaluation form is also provided.

As with all of the forms included in this section, each transportation system is encouraged to customize these forms to reflect its own goals and missions.

FORM 7
Employee Performance Code and Appraisal Explanation

1. **Report to work on-time and fit for duty**

   Since our mission is to provide safe, reliable on-time service, we will arrive at work before our assigned time. We will take personal responsibility to be well rested and free of the influence of drugs, alcohol, or any other substances, including over the counter and duly prescribed prescription medications, that affect behavior or job performance. We will come to work in control and mentally alert. We will care for our mental, physical and emotional health.

2. **Practice safety in all work activities**

   At a minimum, our customers deserve and expect to be safe when using our services. Our families also expect us to return home safely at the end of our work shift. We, therefore, will always put safety ahead of schedule. We will follow all safety rules. We will pay attention to driving defensively and will not engage in high risk activities. We will take seriously the special needs of each passenger and we will be prepared for and understand how to deal with emergency situations.

3. **Demonstrate high levels of skill in our jobs**

   We are professional. We will take every opportunity to learn ways to improve our performance while on the job. We will set high standards and constantly search for innovative ways to improve performance. We will continue to learn through on-going re-education and training. We will take the performance review process seriously.

4. **Respect the property of the transit agency and co-workers**

   We respect that the tools of our trade were purchased through tax dollars. We will diligently care for the equipment through pro-active measures such as careful inspections and reporting of defects. We will set an example for others by caring for our work environment. We will take seriously our responsibility to neither abuse nor use facilities nor equipment for personal gain. We will not violate the personal property of co-workers.

5. **Treat co-workers with dignity and respect**

   We understand that this agency is made up of a diverse workforce. We will respect the rights of individuals to be different from us. We will take an active part in creating a friendly working community. We will extend common courtesies to each other. We will not engage in gossip or other damaging or harassing activities against our co-workers. Supervisors may discipline, but will always do so with dignity and respect. Rules will be applied fairly while honoring individuals' special needs. Confidentiality of personal or sensitive information will be diligently protected. We will be honest with each other at all times.

6. **Treat customers with dignity and respect**

We acknowledge that customers are our business and that each person who contacts the agency or who uses the service is the very essence of why this agency is necessary. We will listen to their questions and provide them helpful information. We understand that our mission is to provide safe, reliable, on-time service that people can depend on. We will welcome them and thank them for using our services. We will treat them with dignity regardless of their age, gender, race, ethnicity, religious beliefs, disability, economic or social status. We acknowledge that while the customer may not always be right, they always deserve dignity and respect.

7. Present a positive image of the agency when performing job duties

We acknowledge that we are professionals who will look and act as professionals. This will start with personal responsibility to care for our hygiene, be neat in our appearance and wear clean and appropriate clothing. We will be positive with the public when speaking about the agency. We will use the in-house meetings with managers / supervisors to solve problems and improve morale. We will embrace the agency's values and apply them to both co-workers and customers.

Employee Performance Appraisal

Employee Name: _____Employee No. (if applicable) _____

Transportation System: _____

Job Title: _____ Evaluation Date: _____

THIS EMPLOYEE PERFORMANCE APPRAISAL SYSTEM IS DESIGNED TO HELP CLARIFY JOB EXPECTATIONS BETWEEN SUPERVISOR AND EMPLOYEE, TO FORMALLY ACKNOWLEDGE LEVELS OF PERFORMANCE, TO PROVIDE FEEDBACK ON PERFORMANCE, TO FACILITATE COUNSELING AS NECESSARY, AND TO ESTABLISH GOALS AND IDENTIFY MEASURES THE EMPLOYEE NEEDS TO TAKE IF IMPROVEMENT IS NEEDED.

IF THE EMPLOYEE BEING EVALUATED IS A DRIVER, THIS EMPLOYEE PERFORMANCE APPRAISAL FORM SHOULD BE USED IN CONJUNCTION WITH THE BEHIND-THE-WHEEL "DRIVER EVALUATION AND COACHING DOCUMENTATION" FORM FOR A COMPLETE EVALUATION AND APPRAISAL PROCESS.

Instructions:

The appropriate supervisor will comment on the employee's performance for each area of responsibility listed. The rating is the supervisor's judgment of the employee's performance level. The supervisor will make comments and place an (X) by the rating which most accurately describes the employee's performance. Definitions for terms used in the rating scale are as follows:

Excellent:	During this appraisal period the employee has consistently performed in an outstanding manner and beyond the requirements of the job.
Good:	During this appraisal period the employee has consistently met the requirements of the job.
Needs improvement:	During this appraisal period the employee has needed further guidance (e.g., training, counseling, reminders because performance has on occasion fallen below the requirements of the job).
Unsatisfactory:	During this appraisal period the employee clearly did not meet the requirements of the job which necessitated initiating corrective action and discipline.

E**mployee Performance Appraisal**

For _____
(employee name)

Responsibilities	Comments	Rating
1. Reports to work on-time & fit for duty • Arrives at work prior to assigned time • Well rested, cool, calm, in control • Free of substances that may affect performance		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory
2. Practices safety in all work activities • Follows safety rules • Drive defensively • Performs all safety checks • Cares for elderly and people with disabilities • Responds well to emergencies		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory
3. Demonstrates a high level of skills on the job • Professionalism • High standards • Takes training seriously • Takes performance review, coaching, counseling seriously		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory
4. Respects the property of the agency and co-workers • Cares for equipment • Performs all inspections • Keeps work area clean • No violation of other's personal property		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory

Employee Name: _____		
Responsibilities	**Comments**	**Rating**
5. Treats co-workers with dignity & respect • Respects diversity • Friendly at work • Polite in communication • Respects confidentiality		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory
6. Treats customers with dignity & respect • Treats customers with respect • Respectful / helpful • Listens and answers question politely • Provides required assistance		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory
7. Presents a positive image of the agency when performing job duties • Professionalism • Neat / clean • Uniform / appropriate dress • Solves problems • Improves morale		( ) Excellent ( ) Good ( ) Needs Improvement ( ) Unsatisfactory

Employee Performance Appraisal

EMPLOYEE NAME: _____ EMPLOYEE NO.: ____

JOB TITLE : _____ DATE OF HIRE: _____

EVALUATION DATE: _____ LAST EVALUATION DATE: _____

OVERALL EVALUATION :
( ) EXCELLENT
( ) GOOD
( ) NEEDS IMPROVEMENT
( ) UNSATISFACTORY

Evaluator comments:

_____

_____

_____

_____

_____

Employee Comments:_____

_____

_____

_____

_____

Employee's Signature: _____
Date: _____

Evaluator's Signature: _____
Date: _____

FORM 8: VEHICLE INSPECTION AND DAMAGE REPORTS

This is a two-sided form to be used on a daily basis during the drivers' pre- and post-trip inspections.

This form should be adjusted to accurately reflect the required inspection items on the type of vehicles operated by the transit agency. Or, if desired, one comprehensive list can be compiled, and any items which do not pertain to a specific vehicle can be marked "N/A."

It is critical that any safety related defects noted by drivers are corrected prior to putting the vehicle into service. If necessary, the driver should be assigned another vehicle until the safety related defects are corrected.

VEHICLE PRE-TRIP INSPECTION CHECKLIST

Vehicle #_____ Date:_____

Driver 1:_____ Driver 2:_____

Beginning Mileage:_____ Beginning Mileage:_____
Ending Mileage:_____ Ending Mileage:_____
Total Miles:_____ Total Miles:_____

Inspection Start Time:_____ Inspection Start Time:_____
End Time:_____ End Time:_____

Added (A) Checked (X)			Repair Needed (R) Report all repairs needed below in comment area		
Items to Check Daily	Driver 1	Driver 2	Items to Check Daily	Driver 1	Driver 2
Oil Level			Gauges: Fuel/Oil/Volt/Temp.		
Transmission Level			Brake Pedal/ Emergency Brake		
Coolant Level			Registration/Insurance Information		
Power Steering Level			A/C/Defroster /Heater- Front and Rear		
Brake Fluid Level			Passenger Entrance Door/Light		
Belts/Hoses/Wires/Batteries			Interior Lights		
Water/Fluid Leaks			Horn/Radio/PA & Passenger Signaling		
Windshield/Wipers/Washer Fluid			Seats/Seat Belts/Hand Rails		
Headlights- Hi-Low/Daytime Running			Interior Clean		
Directional Lights			Modesty Panels/Stanchions		
Emergency Flashers			Wheelchair Lift/ Interlock System		
Brake/Back Up Lights			Secrurement System		
Clearance Lights			Fire Extinguisher/Reflectors		
Back up Alarm			First Aid/ Bloodborne Kits		
Mirrors/Windows/Doors/Locks			Farebox		
Tires/Lug Nuts/Tire Pressure			Roof Hatch		
Exterior Decals/ Inspection Sticker			Destination Signs		
Logo/Striping			Interior Decals		
Strobe Light			Windows/ Emergency Windows		
Fog Lamps			Leaks		
Clean Exterior			OTHER:		

BODY DAMAGE DESCRIPTION:_____
_____
_____
_____

OTHER COMMENTS:_____
_____

NOTIFIED SUPERVISOR OF ANY REPAIRS NEEDED: ____ YES ____ NO

Driver 1 Signature:_____ Driver 2 Signature:_____

I certify that the above repairs and or services were performed and complete on the above vehicle in accordance with the manufacturer's repair guidelines. ***Mechanic's Signature*** *:*_____

Vehicle Damage Report Form

Date of Report _____ **System: _____**
Time of Report ___a.m. ___ p.m. **Vehicle No. : _____**

Date of Damage: _____ Time of Damage: ____ a.m. ____ p.m.
Location: _____

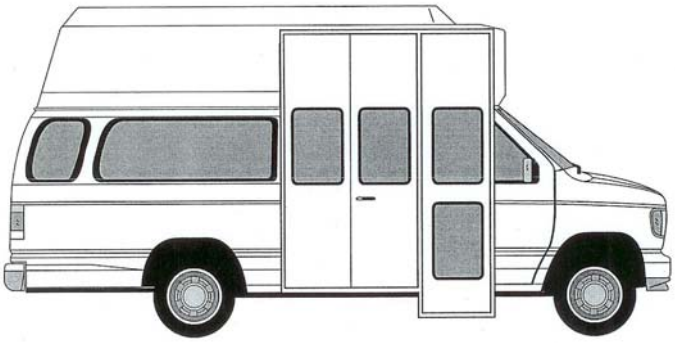
(Indicate Damage on the Appropriate Diagram)



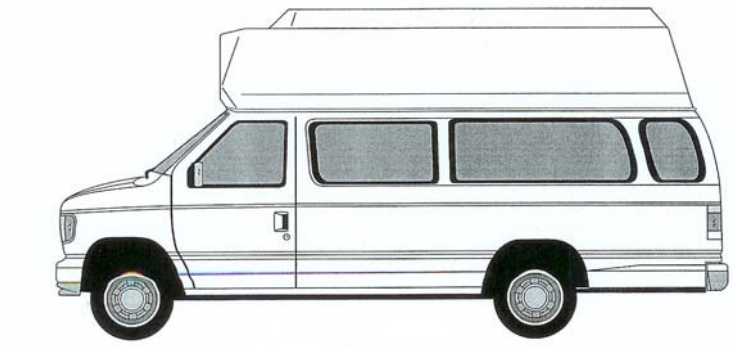
(front)



(rear)



(right side)



(left side)

Name of Person Completing Report: _____

Signature of Person Completing Report: _____

Signature of Person Receiving Report: _____

FORM 9: PREVENTIVE MAINTENANCE INSPECTION REPORT

This form should be used to document all scheduled maintenance activities whether performed in house or by an outside vendor.

This form may be adjusted to meet the PM inspection requirements of the actual vehicles operated by the agency.

Form 9

PREVENTIVE MAINTENANCE INSPECTION REPORT

Agency _____ **Agency Vehicle #** _____

Tag No. _____ **Vehicle ID #** _____

Make and Year _____

Equipment & Components	Passed	Rejected	Repaired
WHEEL ALIGNMENT			
SUSPENSION			
STEERING			
BRAKE SYSTEMS			
TIRES, WHEELS, RIMS, STUDS, NUTS			.
FUEL SYSTEM			
EXHAUST SYSTEM			
VEHICLE FRAME, BODY & SHEET METAL			
ELECTRICAL SYSTEM			
EMERGENCY EQUIPMENT			
SEATS & SEAT BELTS		.	
SUN VISOR AND HORN			
MIRRORS			
WINDOWS			
WINDSHIELD WIPERS & DEFROSTERS			
POWER TRAIN COMPONENTS			
SPEEDOMETER & ODOMETER			
PEDAL PADS			
FLUIDS, FILTERS, BELTS & HOSES			
WHEEL CHAIR LIFT			
TANKS & PRESSURE VESSELS			
HEATING & AIR CONDITIONING SYSTEMS			
WHEELCHAIR SECUREMENT DEVICES			

Vehicle Mileage _____

Date _____

Mechanic's Name _____

Mechanic's Signature _____

Date and/or Mileage of next PM due _____

Additional comments should be written on the back of this form.

FORM 10: SAMPLE 3,000 MILE PREVENTIVE MAINTENANCE (PM) SCHEDULE

Preventive maintenance schedules, by mileage, should be followed for each type of vehicle operated. For example, vans and smaller vehicles are typically maintained at 3,000 mile intervals, while larger vehicles may be maintained at 5,000 miles, 6,000 miles, etc. Vehicle manufacturers provide suggested preventive maintenance schedules which should be used as minimum criteria.

The following schedule is offered as an example. When in doubt, always refer back to the manufacturer's suggested schedule.

FORM 10
Sample 3,000 Mile Preventive Maintenance (PM) Schedule

Be alert and ready to make schedule alterations according to your specific needs. When making alterations, be sure to document any changes and update this list for reference.

Regularly: Clean vehicle interior and exterior – determine need by the amount of use and road conditions (when salt is used for clearing roads and chloride compounds are used to control dust, the vehicle may require more frequent cleaning.)

Every Year: Flush radiator. Replace coolant. Service air conditioner.

Every 2 Years: Replace all hoses; more often, if necessary.

Every 4 Years: Replace battery.

Mileage Specific:

3,000	Change oil, oil filter – lubricate chassis
6,000	Change oil, oil filter – lubricate chassis – rotate tires
9,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter
12,000	Change oil, oil filter – lubricate chassis – rotate tires
15,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis
18,000	Change oil, oil filter – lubricate chassis – rotate tires - inspect drive belts, adjust belt tension – in dusty areas, change air filter
21,000	Change oil, oil filter – lubricate chassis – change front and rear brake pads
24,000	Change oil, oil filter, fuel filter, spark plugs – lubricate chassis – rotate tires – service transmission, replace transmission fluid and filter – pack wheel bearings – engine tune-up**
27,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter
30,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis – rotate tires
33,000	Change oil, oil filter – lubricate chassis
36,000	Change oil, oil filter – lubricate chassis – rotate tires- inspect drive belts, adjust belt tension – in dusty areas, change air filter
39,000	Change oil, oil filter – lubricate chassis
42,000	Change oil, oil filter – lubricate chassis – change front and rear brake pads - rotate tires
45,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter

48,000	Change oil, oil filter, fuel filter, spark plugs – lubricate chassis – rotate tires – service transmission, replace transmission fluid and filter – pack wheel bearings – engine tune-up** - Replace EGR valve and clean EGR passage, ignition cables, distributor cap and rotor drive belts (V-type only), vacuum-operated emission system components
51,000	Change oil, oil filter – lubricate chassis
54,000	Change oil, oil filter – lubricate chassis – rotate tires - inspect drive belts, adjust belt tension – in dusty areas, change air filter
57,000	Change oil, oil filter – lubricate chassis
60,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis – rotate tires
63,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter – change front and rear brake pads
66,000	Change oil, oil filter – lubricate chassis
69,000	Change oil, oil filter – lubricate chassis
72,000	Change oil, oil filter, spark plugs – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter – rotate tires – service transmission, replace transmission filter and fluid – pack wheel bearings – engine tune-up**
75,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis
78,000	Change oil, oil filter – lubricate chassis – rotate tires
81,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter
84,000	Change oil, oil filter – lubricate chassis – rotate tires – change front and rear brake pads
87,000	Change oil, oil filter – lubricate chassis
90,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis – inspect drive belts, adjust belt tension – rotate tires
93,000	Change oil, oil filter – lubricate chassis
96,000	Change oil, oil filter, fuel filter, spark plugs – lubricate chassis – rotate tires – service transmission, replace transmission fluid and filter – pack wheel bearings – engine tune-up** - Replace EGR valve and clean EGR passage, ignition cables, distributor cap and rotor drive belts (V-type only), vacuum-operated emission system components
99,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter
102,000	Change oil, oil filter – lubricate chassis – rotate tires
105,000	Change oil, oil filter, air filter* and PCV valve** – lubricate chassis – change front and rear brake pads
108,000	Change oil, oil filter – lubricate chassis – inspect drive belts, adjust belt tension – in dusty areas, change air filter – rotate tires

In dusty areas, the air filter should be changed every 9,000 miles

****PCV valve, brake pad replacements and engine tune-ups may need to be performed more often than suggested in this exhibit.***

FORM 11: 3,000 OR 6,000 PREVENTIVE MAINTENANCE CHECKLIST

In addition to the suggested preventive maintenance schedule, the following checklist offers a detailed breakdown of the different activities to be conducted every 3,000, 6,000, etc. miles. Again, the manufacturer's suggested preventive maintenance guidelines should be used as minimum criteria.

FORM 11
3,000 or 6000 Mile Preventive Maintenance Inspection

Date Completed _____ Vehicle No. _____
Performed By: _____ Mileage _____

√Check All Items Serviced

___Vehicle Interior
- _____Check Vehicle Interior for damage or defects
- _____ Check all seats/operate fold seats to check latches, etc.
- _____ Check all seatbelts
- _____ Check all wheelchair tiedowns and securement devices
- _____ Inspect all escape and roof hatches
- _____ Inspect all door seals and door latches
- _____ Check all lights and operating controls
- _____ Check windshield wiper operation
- _____Inspect all glass for cracks or discoloration, etc.
- _____ Check state safety inspection sticker
- _____ Check all interlock and alarm systems
- _____ Check all mirrors and visors
- _____ Inspect fire extinguishers
- _____ Check steps for any defects or safety problems

___Vehicle Exterior
- _____ Check for visible damage or defects
- _____ Check paint condition and lettering
- _____ Check windshield wipers for any defects
- _____ Add fluid to windshield washer tank
- _____ Check exterior mirrors for defects, damage, looseness, etc.
- _____ Check all exterior lights
- _____ Check all compartment doors (lube hinges and latches)

___Heating and Air Conditioning
- _____ Check all motors and fans
- _____ Check all switches for operation
- _____ Check all hoses and fittings
- _____ Check heater and defrost system
- _____ Check all filters; change if needed
- _____ Check refrigerant system for leaks
- _____ Check Freon Level
- _____ Check and clean condenser and evaporator coils
- _____ Check A/C Compressor for Leaks
- _____ Check A/C Compressor belts

___Engine
- _____ Change oil and oil filters (record amount of oil used on work order)
- _____ Check power steering fluid, belts, and pump
- _____ Check air filter; change if needed
- _____ Check all hoses and clamps
- _____ Inspect all wires and cables
- _____ Check and clean batteries and battery cables
- _____ Check radiator and antifreeze for PH; change if needed
- _____ Check for any fluid leaks

___Transmission
- _____ Check fluid level
- _____ Check transmission for any leaks
- _____ Check all transmission linkages and lube

___Suspension

_____ Check all suspension parts for damage, looseness, wear, etc.
_____ Check for broken springs or spring shackles, etc.
_____ Shock absorbers: Check for leaks, damage, bad grommets, etc.
_____ Steering Box: Check for looseness or leaks
_____ Check suspension for any loose bolts or brackets

___Underbody

_____ Check welds and framework for cracks and damage
_____ Inspect all fuel tanks and fuel lines for leaks and damage
_____ Inspect exhaust system for defects/includes hangers & clamps
_____ Check driveshaft and carrier bearings; lube as needed
_____ Check driveshaft containment cage
_____ Check differential for leaks and oil level

___Braking System

_____ Check brake lining thickness
_____ Check brake lines for leaks and damage
_____ Check for wheel cylinder leaks and defects
_____ Check axle seals
_____ Check brake adjuster operation

___Tires and Wheels

_____ Check tires for damage
_____ Check tires for proper inflation (refer to service manual)
_____ Inspect wheels for cracks or damage
_____ Inspect studs and nuts for damage and torque

___Lubrication

_____ Lubricate drivers seat adjustment (wipe off excess)
_____ Lubricate door hinges and latches (wipe off excess)
_____ Lubricate all steering & suspension (refer to service manual)
_____ Grease U-joints and driveshaft slides
_____ Lube all linkages (refer to service manual)

___Wheelchair lift

_____ Visually check lift for defects
_____ Check handrails for damage or defects
_____ Grease whale slots (wipe off excess)
_____ Grease fold slots-bridge plate ends (wipe off excess)
_____ Lube whale pins & safety barrier hinge with light oil
_____ Lube bridge plate hinge with light oil
_____ Lube platform fold bearings with light oil
_____ Lube horseshoe pivot pins with light oil
_____ Inspect hairpin cotters, weldment lever, horseshoe pivot
_____ Inspect whale and fold slots for wear
_____ Inspect all lift wiring for damage
_____ Remove cover and inspect cylinder for leaks and damage, etc.
_____ Check all hoses for leaks and damage
_____ Check lift fluid level with lift down and unfolded
_____ Operate wheelchair lift several times through full cycle
_____ Test drive vehicle; leave in cleaning/wash area to be cleaned

Source: Springfield, IL Mass Transit

FORM 12: VEHICLE DEFECT AND CORRECTION REPORT

The first part of this form should be filled out by drivers when they have a running maintenance problem during their shift. Once this problem has been corrected, the second part of this form must be filled out by the mechanic who performs the corrective maintenance, whether that mechanic is in house or an employee of an outside vendor.

FORM 12

VEHICLE DEFECT AND CORRECTION REPORT

Agency _____ Veh. No. _____

PROBLEM IDENTIFICATION

Driver/Supervisor/Mechanic

_____

Date and
Time_____

Vehicle Problem Description:

MAINTENANCE PERFORMED

Mechanic/Supervisor

_____

Date and Time

_____

Vehicle Maintenance Performed:

Mechanic/Supervisor Signature

_____

Additional comments should be written on the back of this form.

FORM 13: CUSTOMER SERVICE POLICY/RIDE GUIDE

The following customer service policy, or ride guide as they are also called, is an example of a recommended general policy which should be edited and customized, as appropriate, by each individual transportation system to reflect the system's actual customer service policy.

Each system should make every effort to distribute its customer service policy or ride guide to all passengers via on vehicle distribution and, as appropriate, as part of the systems passenger eligibility process, if applicable.

All drivers and dispatchers should be well versed in the policy's rules and requirements.

[enter your system name here]
[insert address here]
[address line 2 if needed]
[[city, state, zip]
[telephone number
Website, if applicable]

CUSTOMER SERVICE POLICY/RIDE GUIDE

Our transportation system is committed to provide safe, accessible, timely and professional services for our customers. We can provide such a service only when our passengers respect and follow certain safety and courtesy rules. Therefore, we thank you, the passengers boarding our vehicles, for obeying the rules listed below:

1. The driver is responsible for the safety and welfare of all passengers while riding the transit vehicle. Therefore, the driver is in charge and passengers are expected to comply with the instructions of the driver at all times. Passenger safety and welfare is contingent upon all passengers complying with these instructions.

2. Passengers are expected to act in a courteous manner at all times while riding the vehicle. Any passenger who is verbally and/or physically abusive to other passengers or the driver will be asked to immediately exit the vehicle.

3. If a vehicle is seat belt equipped and a passenger fails to buckle up, the driver will ask them to do so before proceeding. If the passenger refuses, they will be asked to exit the vehicle and they will be refused service. There will be no exceptions to this rule.

FORM 13

4. Passengers are expected to pay their fares upon boarding the vehicle or show a valid pass to the driver. We appreciate exact change for fares. No passenger may ride without paying.

5. Do not attempt to stand or exit the vehicle until it has come to a complete stop and the driver informs you that it is safe to exit.

6. Passengers are expected to maintain control of their possessions while on the vehicle. The agency will not be responsible for lost or stolen property.

7. In the event of an emergency, all passengers are to explicitly follow the instructions given by the driver. If an evacuation of the vehicle is deemed necessary, the driver will instruct you as to the actions to be taken.

8. Passengers are not permitted to consume food and drinks on the vehicle.

9. All vehicles are tobacco free. Smoking and chewing are not permitted on the vehicle.

10. No passenger is permitted to have an open alcoholic beverage container on the vehicle. The agency reserves the right of the driver to ask to see the contents of a package if he or she suspects that package may contain an open container of alcohol.

11. Illegal drugs are not permitted on the vehicle at any time. Any person found in possession of such drugs will be immediately reported to law enforcement.

12. Any person intoxicated or under the influence of alcohol and/or drugs may or may not be permitted to ride the vehicle, at the discretion of the transportation system.

13. Any person using profane language towards the driver or other passengers may be asked to exit the vehicle.

14. Passengers are asked to maintain good personal hygiene so as not to offend other passengers.

15. Passengers are to refrain from horseplay or fighting on the vehicle. The driver will immediately stop the vehicle in the event of such an incident, will ask the passenger to exit the vehicle and will contact law enforcement if deemed necessary.

16. Weapons are not allowed on any vehicle at any time. A weapon is described as a firearm, knife, pipe, bar, club, blackjacks, brass knuckles, numchuks or any other device capable of causing bodily harm to another individual. Any person found in possession of a weapon will be reported immediately to law enforcement: **no exceptions**.

17. Service animals accompanying individuals with disabilities will be allowed to board the vehicle. No other animals are allowed. (Note: some systems do allow pets in appropriate pet carriers.)

Any passenger who violates these rules can and will be prohibited from using our service. We are responsible for the safety and welfare of all passengers and will refuse service to any person who places our passengers and/or drivers at risk.

FORM 14: CUSTOMER COMPLAINT/COMMENDATIONS CARD

This is a two-sided form to be kept on the vehicle and to be distributed to passengers who express a desire to register either a complaint or a compliment. Passengers should be informed that they can either pass the form back to the driver who will then turn it in, or mail the form to the transit agency. All complaints should be investigated and resolved. All commendations should include positive feedback to the employee receiving the compliment.

Form 14

[insert system name here]
[insert address]
[insert city, state, zip]
[insert phone/fax number]

Passenger Name:_____ Date:_____

Address: _____

(In order for this to be a valid complaint, name and address must be completed)

COMPLAINT : _____

_____

_____

_____

_____

_____

You may either mail this form to the address above or call in the information using the telephone number listed above. *Thank you* for helping us to improve our transportation services.

Please be assured that information provided will remain confidential and will be used only for the purposes of enhancing the quality of our public transportation services. Thank you.

[insert system name here]
[insert address]
[insert city, state, zip]
[insert phone/fax number]

Passenger Name:_____ Date:_____

Address: _____

(In order for this to be a valid comment, name and address must be completed)

COMMENDATION: _____

_____

_____

_____

_____

_____

You may either mail this form to the address above or call in the information using the telephone number listed above. *Thank you* for helping us to improve our transportation services.

Please be assured that information provided will remain confidential and will be used only for the purposes of enhancing the quality of our public transportation services. Thank you.

FORM 15: TELEPHONE COMMENT FORM

This form is for use by the dispatcher and any other transit staff who may answer the telephone. It should be filled out when a customer registers either a complaint or a commendation over the telephone. All complaints should be investigated and resolved. All commendations should include positive feedback to the employee receiving the compliment.

FORM 15

TELEPHONE COMMENTS **[*insert system name here*]**

Date _____ Time Received _____ Date _____ Route _____ Driver _____ Bus # _____ **Name** _____ **Address**_____ Phone _____ Rec'd by _____	Compliment Complaint These comments relate to: Service (routing, scheduling) Equipment (buses, stops) Policy Personnel (drivers, staff) Other _____

(In order to be a valid complaint, name and address must be completed)

Comment:_____

_____

_____

Action Taken/Supervisor remarks:

_____

_____

FORM 16: POST ACCIDENT/INCIDENT DOCUMENTATION FORM

The following form, although somewhat elaborate, can be used to determine if a drug and alcohol test is required for the driver following an accident or incident. By using the form in all situations, not only when a test is required, it serves as your documentation to support your decisions as to why a test was or was not required or performed.

POST ACCIDENT TESTING DECISION REPORT

Note: Accident does not necessarily mean collision. If an individual falls on a vehicle and needs to be taken to the hospital, an accident has occurred and a post-accident test is required unless the driver can be discounted as a contributing factor. (Spring 1996, *FTA D & A* ***Updates*** , p. 5)

System Name: _____

Date of accident: _____ **Time of accident:** _____

Location of accident: _____

Driver of Vehicle: _____ **Driver ID No.** _____

WV Uniform Traffic Crash Report Attached ☐ Yes ☐ No

1. Was there loss of life as a result of the accident?
☐ Yes **(Requires Testing - NO exceptions)** ☐ No

2. Did an individual suffer a bodily injury and immediately receive medical treatment away from the scene of the accident?
☐ Yes **(Requires Drug & Alcohol Testing unless question 4 applies)** ☐ No (No testing required under FTA Authority)

3. Was there disabling damage to any of the involved vehicles? Disabling damage means damage which precludes the departure of any vehicle from leaving the scene of the occurrence in its usual manner in daylight after simple repairs; or damage to any vehicle that could have been operated but which would have further damaged the vehicle if so operated. *Disabling damage does not include damage that could be remedied temporarily at the scene of the occurrence without special tools or parts; tire disablement even if no spare tire is available; or damage to headlights, tail-lights, turn signals, horn, or windshield wipers that makes them inoperative* .
☐ Yes **(Requires Drug & Alcohol Testing unless question 4 applies)** ☐ No (No testing required under FTA Authority)

4. Can the driver or any other covered employee on the vehicle be completely discounted as a contributing factor to the accident? ***Note: If you discount the driver as a contributing factor, it should be well documented.***
☐ Yes ☐ No ***Even if you answer No, under FTA regulations you must also meet the criteria in questions 1, 2 and/or 3 to require testing***

5. Were there any other safety-sensitive employees (e.g., maintenance personnel, dispatcher, etc.)**, whose performance could have contributed to the accident** (As determined by the employer using the best information available at the time of the decision)**?**
☐ Yes ☐ No ***Even if you answer No, under FTA regulations you must also meet the criteria in questions 1, 2 and/or 3 to require testing. List other employees tested on back of form.***

6. Did you perform a drug and/or alcohol test? ☐ Yes ☐ No **If you answered NO, complete # 6, sign and submit report.**
Name of Supervisor making this determination _____
Time Employee was informed of this determination _____

7. Decision to Test: FTA Authority ☐ **Company Authority** ☐

8. Was an alcohol test performed within 2 hours? ☐ Yes Date & Time: _____
☐ No Why, Not? _____

9. If no alcohol test occurred and more than eight hours elapsed from the time of the accident, please explain.

10. Was a drug test performed within 32 hours? ☐ Yes Date & Time: _____
☐ No Why, Not? _____

11. Did the driver leave the scene of the accident without just cause? ☐ Yes ☐ No
If Yes, please explain _____

Report Submitted By:

_____ _____
Signature & Title Date

For your files, attach test results summary, order to test, chain of custody (USDOT) and alcohol test form (USDOT) WVDPT 09/06

FORM 17: INCIDENT/INJURY REPORT FORM

This form should be completed by the driver when any **non-vehicular** incident or injury occurs. This injury could be minor or major and could involve passengers, employees, or even pedestrians in close proximity to the vehicle. Drivers should be required to fill this form out whether or not medical attention was required.

FORM 17
INCIDENT / INJURY REPORT FORM

DATE REPORT COMPLETED: _____ REPORT NO._____

TIME REPORT COMPLETED: _____ AM _____PM _____

DATE OF INCIDENT / INJURY: _____ TIME: _____ AM _____ PM _____ VEHICLE NO. _____
(IF ON VEHICLE)

LOCATION: _____

NAME OF INJURED: _____ AGE: _____

DATE OF BIRTH: _____ OCCUPATION: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

TELEPHONE NUMBER / HOME: _____TELEPHONE NUMBER / DAY – DURING OFICE HOURS: _____

WAS INCIDENT / INJURY REPORTED TO:

YES _____ NO _____	DRIVER
YES _____NO _____	OFFICE STAFF
YES _____NO _____	SUPERVISOR
YES _____NO _____	POLICE
YES _____NO _____	MEDICAL
YES _____NO _____	OTHER: _____

DESCRIPTION OF ACCIDENT / INCIDENT:

_____

_____

_____

INJURIES:_____

_____

_____

DID INJURED PERSON REQUIRE HOSPITAL TREATMENT?

YES _____NO _____

IF YES, NAME OF HOSPITAL: _____

HOW WAS INJURED TRANSPORTED?_____

IF AMBULANCE, NAME OF SERVICE: _____

IF HOSPITAL TREATMENT WAS NOT NECESSARY, DID INJURED RECEIVE MEDICAL TREATMENT AT DOCTOR'S OFFICE?

YES _____NO _____

NAME OF PERSON FILLING OUT REPORT: _____
PRINTED

SIGNATURE OF PERSON FILLING OUT REPORT: _____
SIGNED

FORM 18: VEHICLE ACCIDENT REPORT FORM

This form should be filled out by the driver and/or supervisor when any transit vehicle is involved in an accident, regardless of the magnitude or seriousness of the accident. The need to fill out this form is not eliminated if law enforcement prepares an accident report. A copy of the law enforcement report should be attached to this form as a part of the documentation package.

FORM 18

DATE OF REPORT: _____ AGENCY: _____

VEHICLE ACCIDENT REPORT FORM

ABOUT THE ACCIDENT

Date of Accident_____ Time _____A.M. Were You _____ Inbound

_____P.M. _____ Outbound

Veh. No._____ Route Name _____ Driver _____ Age _____

Driver's ID No. _____ Address _____ Date of Birth _____

Location Of Accident _____

Road Condition _____ Weather _____

At What Distance Did You Notice The Impending Accident _____ Feet

What Was Your Speed _____ MPH What Was Your Speed At Impact _____ MPH

Approximate Distance Traveled After Impact _____ Feet

Did You Sound Horn _____

No. of Passengers On Board At Time Of Accident _____

Point Of Impact On Your Vehicle _____

Damage To Your Vehicle Confined To _____

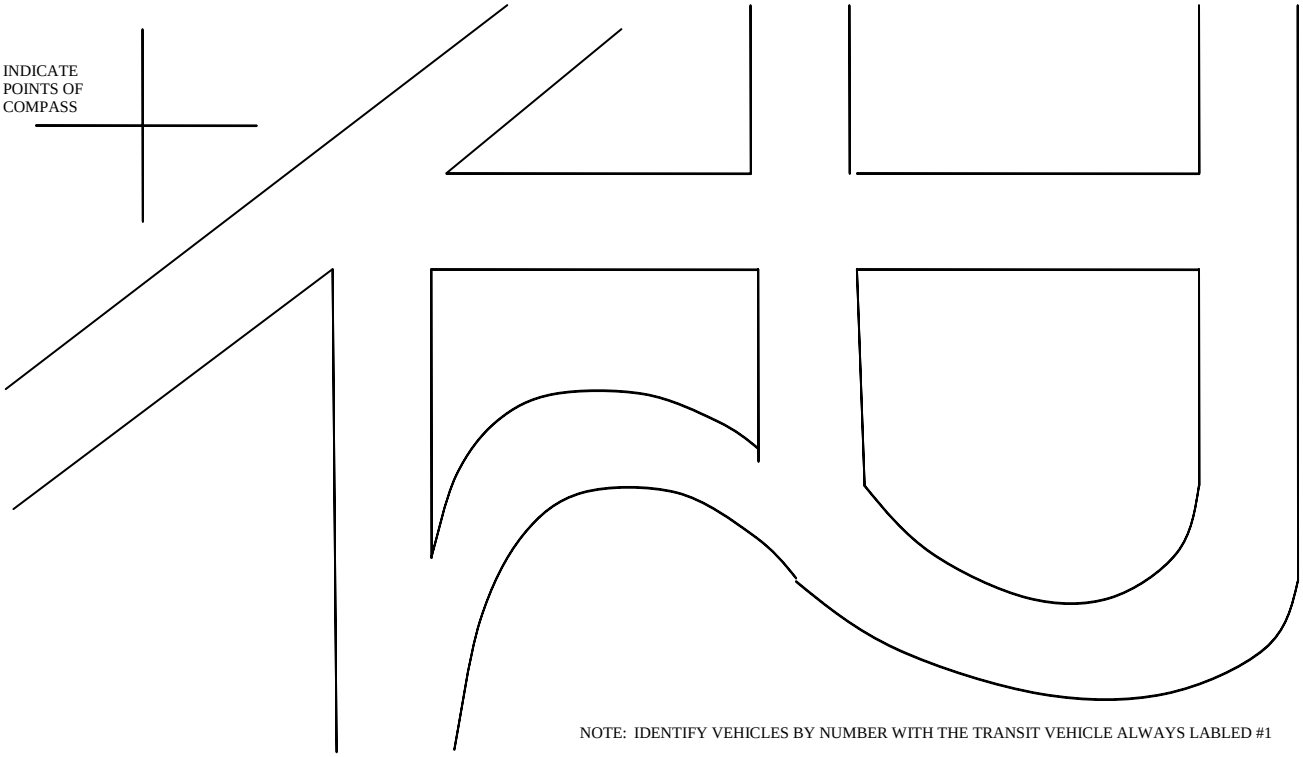
NARRATIVE (DESCRIPTION OF ACCIDENT)

WITNESSES

Name	Address	Phone #
Name	Address	Phone #
Name	Address	Phone #
Name	Address	Phone #
Name	Address	Phone #

SKETCH OF ACCIDENT SCENE

Please indicate on the diagram the position of vehicles, directions they were facing, traffic signal lights or stop signs, and other information which you deem pertinent.



NOTE: IDENTIFY VEHICLES BY NUMBER WITH THE TRANSIT VEHICLE ALWAYS LABLED #1

ABOUT THE INJURIES

Was Anyone In Your Vehicle Injured? _____Yes _____No If yes, list below:

Name	Address	Taken to the Hospital?
		Yes No
		Yes No
		Yes No
		Yes No

Was Anyone In The Other Vehicle Injuries? _____Yes _____No If yes, list below:

Name	Address	Taken to the Hospital?
		Yes No
		Yes No
		Yes No

ABOUT THE SECOND VEHICLE, PEDESTRIAN OR PROPERTY

_____ _____Inbound _____ Outbound

Year Make Type Color License Plate No. State

Driver or Pedestrian's Name _____

Address _____ City _____ State _____ Age _____

Owner's Name _____ Address_____

City _____ State _____

Insurance Number _____ Company _____

Agent _____

Point of Impact _____

Damage to His/Her Vehicle _____

What Did Driver Say _____

Approximate Distance Vehicle Traveled After Impact _____FT

Number of Passengers In Vehicle _____

Did Police Investigate _____ Department _____

ABOUT THE THIRD VEHICLE, PEDESTRIAN OR PROPERTY

_____ _____Inbound _____ Outbound

Year Make Type Color License Plate No. State

Driver or Pedestrian's Name _____

Address _____ City _____ State _____ Age _____

Owner's Name _____ Address_____

City _____ State _____

Insurance Number _____ Company _____

Agent _____

Point of Impact _____

Damage to His/Her Vehicle _____

What Did Driver Say _____

Approximate Distance Vehicle Traveled After Impact _____FT

Number of Passengers In Vehicle _____

Did Police Investigate _____ Department _____

Signature of Person Preparing This Report: _____

Signature of Person Receiving This Report: _____

IF MORE THAN THREE VEHICLES, PEDESTRIANS OR PROPERTIES ARE INVOLVED ATTACH ADDITIONAL COPIES OF THIS PAGE

FORM 19: EMPLOYEE EMERGENCY RESPONSE PARTICIPATION MEMO

This form should be completed by all employees whether at time of hire or already employed. Employees will designate on this form whether they agree to participate in emergency response activities. Since employees cannot be required to participate in emergency response activities, no pressure should be brought to bear on employees who decline to participate.

A list containing contact information of those agreeing to participate should be prepared and kept available within the transit agency as well as distributed to city/county emergency management staff.

FORM 19

INTEROFFICE MEMORANDUM

To: Manager,

From: _____

Subject: Emergency Response Participation

Date:

I have read and understand the [transportation system name] Policies and Procedures for Emergency Response. I understand that I may discuss any part of this plan and my responsibilities with you. I further agree to provide the agency with current telephone numbers where I can be contacted and to keep these updated as they change.

_____ I agree to participate as needed and requested to assist the community and the agency.

_____ I am a Firefighter/first responder and can not participate due to my responsibilities in my other job in a situation of this nature.

_____ I can not / will not participate.

Signature: _____

Printed Name: _____

Date: _____

FORM 20: EMERGENCY RESPONSE CHECKLIST (DURING NORMAL OPERATING HOURS)

This checklist should be made available to dispatchers and transit system supervisors and managers for use when contacted during normal operating hours by emergency management or first responders informing them that an emergency has taken place.

This form can be adjusted to reflect existent emergency management protocol within the agency and community.

FORM 20

Emergency Response Checklist

(During Normal Operating Hours)

Checklist to use when contacted by Emergency Management/First Responders

1. Ask for the Contacting Official's name and telephone number. Write them down here:

2. Assign someone to begin calling off-duty Drivers, Mechanics and Managers in to work during the emergency – the phone list is [insert where]

3. Contact any Drivers on Duty and give instructions that they are to drop off their passengers at a safe, warm location (there is a list [insert where]

4. Tell all Drivers on duty where they are to go to help in the disaster

5. Make sure someone is assigned to open the garage

6. Make sure a phone line is open for 911 to contact you

7. Write down each Driver, the vehicle they are using and when they will start working

8. Take some time to think and calm down

9. Read through this packet one step at a time to make sure you covered everything

FORM 21: EMERGENCY RESPONSE CHECKLIST (AFTER NORMAL OPERATING HOURS)

This checklist should be made available to transit system supervisors and managers for use when contacted after normal operating hours by emergency management or first responders informing them that an emergency has taken place.

This form can be adjusted to reflect existent emergency management protocol within the agency and community.

FORM 21
Emergency Response Checklist
(After Normal Operating Hours)

1. Initial contact will be made by [insert] using the First Responder List.

2. The first person contacted by [insert] will be the [name of transit agency] Emergency Response Coordinator (ERC). The ERC must provide to [insert] a telephone number or other means by which they will remain available to communication from [insert].

3. The ERC will begin to call persons listed on the Employee Phone List informing them that [name of transit agency] is responding to a Community Emergency. During this stage, the ERC must:

   a. Coordinate the opening of the garage or other facility where [name of transit agency] vehicles are located,

   b. Assign additional personnel to make initial call-out phone calls dividing the employee phone list to more quickly mobilize personnel,

   c. Establish a [name of transit agency] Command Post at the Authority's Maintenance Facility or other available location as circumstances may dictate,

   d. Complete the Mobilization Check-off List to accurately account for resources available to [insert].

4. The ERC will remain in charge of all [name of transit agency] Emergency Response activities throughout the emergency unless relieved by personnel higher on the First Responder List.

5. The ERC will have the authority to allocate all [name of transit agency] personnel and equipment as necessary to respond to the emergency at hand.

6. The ERC shall have the emergency authority to procure parts, fuel and other essentials necessary to continue and sustain [name of transit agency] Emergency Response activities.

7. The ERC shall continue to make efforts to contact all [name of transit agency] personnel as well as [name of transit agency] Board Members (to inform them of our participation) as time and response efforts may permit.

8. The ERC shall provide personnel and resources in the quantities requested and to various locations as may be directed by [insert].

9. The ERC shall remain on-duty in an active status until relieved or directed to stand down by[insert].

FORM 22: DISPATCHER NOTIFICATION SHEET

This form provides a checklist of questions the dispatcher must ask when an emergency involving a transit vehicle is reported. Responses to these questions should be recorded and kept as documentation of the emergency management process. The dispatcher should then use this form to respond appropriately to the communication received based on standard emergency management protocol.

FORM 22
DISPATCHER NOTIFICATION SHEET

When an emergency is reported, the dispatcher should ask the following:

1. Vehicle number and driver name
2. Exact location of the emergency - Road - Cross Street - Direction Headed - Landmarks
3. Type of emergency - Accident - Fire - Mechanical Difficulty - Health Difficulty
4. Number of possible injuries
5. Extent of injuries
6. Whether emergency personnel have been notified
7. Time that emergency occurred

FORM 23: BOMB THREAT CHECKLIST AND PROCEDURES

This form should be made available to all individuals answering the transit agency telephone. If a bomb threat is received over the telephone, the individual receiving the bomb threat should record all appropriate information on the checklist as well as ask the caller the indicated questions, if possible. Attempts should be made to alert appropriate authorities while the individual is still on the phone. Once the conversation with the caller has been completed the individual answering the telephone should follow the standard bomb threat reaction protocol.

FORM 23

BOMB THREAT CHECKLIST AND PROCEDURES

Exact time and date of call:

_____

Exact words of caller:

_____

_____

_____

Voice	**Accent**	**Manner**	**Background Noise**
____ Loud	____ Local	____ Calm	____Factory Machines
____ High Pitched	____ Foreign	____ Rational	____ Bedlam
____ Raspy	____ Race	____ Coherent	____ Music
____ Intoxicated	____ Not Local	____ Deliberate	____ Office Machines
____ Soft	____ Region	____ Righteous	____ Mixed
____ Deep	____ Other	____ Angry	____ Street Traffic
____ Pleasant		____ Irrational	____Trains
____ Other		____ Incoherent	____ Animals
		____ Emotional	____ Quiet
		____ Laughing	____ Voices
		____ Other	____ Airplanes
			____ Party Atmosphere
			____ Other

Language	**Speech**	**Familiarity with Threatened Facility**
____ Excellent	____ Fast	____ Much
____ Fair	____ Distinct	____ Some
____ Foul	____ Stutter	
____ Good	____ Slurred	
____ Poor	____ Slow	
____ Other	____ Distorted	
	____ Nasal	
	____ Lisp	
	____ Other	

Questions to Ask the Caller

When is the bomb going to explode?

Where is the bomb?

What does it look like?

What kind of bomb is it?

What will cause it to explode?

Did you place the bomb?

Why did you place the bomb?

Where are you calling from?

What is your address?

What is your name?

Observations

If the voice is familiar, whom did it sound like?

Were there any background noises?

Telephone number call received at:

Person receiving call:

Any additional remarks:

FORM 24: VISITOR SIGN-IN SHEET

This form should be used at the initial point of contact with anyone entering the transit administrative or maintenance facility. The purpose of this form is to document activity by non-employees within the transit environment as a security precaution.

FORM 24
VISITOR SIGN-IN SHEET

Date	Name	Company	Purpose of Visit	Person Visited	Badge Number	Time In	Time Out

FORM 25: DOT PHYSICAL FORM

The United States Department of Transportation (USDOT) requires that all drivers in possession of a Commercial Driver's License (CDL) submit to routine fitness determination exams. This form must be used when completing the fitness determination exam.

Medical Examination Report
FOR COMMERCIAL DRIVER FITNESS DETERMINATION

649-F (6045)

1. DRIVER'S INFORMATION Driver completes this section

Driver's Name (Last, First, Middle)	Social Security No.	Birthdate M / D / Y	Age	Sex ☐ M ☐ F	New Certification ☐ Recertification ☐ Follow-up ☐	Date of Exam

Address	City, State, Zip Code	Work Tel: ( ) Home Tel: ( )	Driver License No.	License Class ☐ A ☐ B ☐ C ☐ D ☐ Other	State of Issue

2. HEALTH HISTORY Driver completes this section, but medical examiner is encouraged to discuss with driver.

Yes	No	
☐	☐	Any illness or injury in the last 5 years?
☐	☐	Head/Brain injuries, disorders or illnesses
☐	☐	Seizures, epilepsy
		☐ medication_____
☐	☐	Eye disorders or impaired vision (except corrective lenses)
☐	☐	Ear disorders, loss of hearing or balance
☐	☐	Heart disease or heart attack; other cardiovascular condition
		☐ medication_____
☐	☐	Heart surgery (valve replacement/bypass, angioplasty, pacemaker)
☐	☐	High blood pressure ☐ medication_____
☐	☐	Muscular disease
☐	☐	Shortness of breath

Yes	No	
☐	☐	Lung disease, emphysema, asthma, chronic bronchitis
☐	☐	Kidney disease, dialysis
☐	☐	Liver disease
☐	☐	Digestive problems
☐	☐	Diabetes or elevated blood sugar controlled by:
		☐ diet
		☐ pills
		☐ insulin
☐	☐	Nervous or psychiatric disorders, e.g., severe depression
		medication_____
☐	☐	Loss of, or altered consciousness

Yes	No	
☐	☐	Fainting, dizziness
☐	☐	Sleep disorders, pauses in breathing while asleep, daytime sleepiness, loud snoring
☐	☐	Stroke or paralysis
☐	☐	Missing or impaired hand, arm, foot, leg, finger, toe
☐	☐	Spinal injury or disease
☐	☐	Chronic low back pain
☐	☐	Regular, frequent alcohol use
☐	☐	Narcotic or habit forming drug use

For any YES answer, indicate onset date, diagnosis, treating physician's name and address, and any current limitation. List all medications (including over-the-counter medications) used regularly or recently.

_____

_____

_____

I certify that the above information is complete and true. I understand that inaccurate, false or missing information may invalidate the examination and my Medical Examiner's Certificate.

Driver's Signature_____ Date_____

Medical Examiner's Comments on Health History (The medical examiner must review and discuss with the driver any "yes" answers and potential hazards of medications, including over-the-counter medications, while driving. This discussion must be documented below.)

_____

_____

_____

_____

TESTING (Medical Examiner completes Section 3 through 7) Name: Last, First, Middle,

3. VISION

Standard: At least 20/40 acuity (Snellen) in each eye with or without correction. At least 70 degrees peripheral in horizontal meridian measured in each eye. The use of corrective lenses should be noted on the Medical Examiner's Certificate.

INSTRUCTIONS: When other than the Snellen chart is used, give test results in Snellen-comparable values. In recording distance vision, use 20 feet as normal. Report visual acuity as a ratio with 20 as numerator and the smallest type read at 20 feet as denominator. If the applicant wears corrective lenses, these should be worn while visual acuity is being tested. If the driver habitually wears contact lenses, or intends to do so while driving, sufficient evidence of good tolerance and adaptation to their use must be obvious. ***Monocular drivers are not qualified.***

Numerical readings must be provided.

ACUITY	UNCORRECTED	CORRECTED	HORIZONTAL FIELD OF VISION
Right Eye	20/	20/	Right Eye ○
Left Eye	20/	20/	Left Eye ○
Both Eyes	20/	20/	

Applicant can recognize and distinguish among traffic control signals and devices showing standard red, green, and amber colors? ☐ Yes ☐ No

Applicant meets visual acuity requirement only when wearing:
☐ Corrective Lenses

Monocular Vision: ☐ Yes ☐ No

Complete next line only if vision testing is done by an opthalmologist or optometrist

Date of Examination | Name of Ophthalmologist or Optometrist (print) | Tel. No. | License No./ State of Issue | Signature

4. HEARING

Standard: a) Must first perceive forced whispered voice ≥ 5 ft., with or without hearing aid, or b) average hearing loss in better ear ≤ 40 dB
☐ Check if hearing aid used for tests. ☐ Check if hearing aid required to meet standard.

INSTRUCTIONS: To convert audiometric test results from ISO to ANSI, -14 dB from ISO for 500Hz, -10dB for 1,000 Hz, -8.5 dB for 2000 Hz. To average, add the readings for 3 frequencies tested and divide by 3.

Numerical readings must be recorded.

	Right ear	Left Ear
a) Record distance from individual at which forced whispered voice can first be heard.	\ Feet	\ Feet

b) If audiometer is used, record hearing loss in decibels. (acc. to ANSI Z24.5-1951)	Right Ear			Left Ear		
	500 Hz	1000 Hz	2000 Hz	500 Hz	1000 Hz	2000 Hz
	Average:			Average:		

5. BLOOD PRESSURE/ PULSE RATE

Numerical readings must be recorded. Medical Examiner should take at least two readings to confirm BP.

Blood Pressure	Systolic	Diastolic

Driver qualified if ≤140/90.

Pulse Rate: ☐ Regular ☐ Irregular

Record Pulse Rate:_____

Reading	Category	Expiration Date	Recertification
140-159/90-99	Stage 1	1 year	1 year if ≤140/90. One-time certificate for 3 months if 141-159/91-99.
160-179/100-109	Stage 2	One-time certificate for 3 months.	1 year from date of exam if ≤140/90
≥180/110	Stage 3	6 months from date of exam if ≤140/90	6 months if ≤ 140/90

6. LABORATORY AND OTHER TEST FINDINGS

Numerical readings must be recorded.

URINE SPECIMEN	SP. GR.	PROTEIN	BLOOD	SUGAR

Urinalysis is required. Protein, blood or sugar in the urine may be an indication for further testing to rule out any underlying medical problem.

Other Testing (Describe and record) _____

7. PHYSICAL EXAMINATION

Height:_____ (in.) Weight:_____ (lbs.) Name: Last, First, Middle,

The presence of a certain condition may not necessarily disqualify a driver, particularly if the condition is controlled adequately, is not likely to worsen or is readily amenable to treatment. Even if a condition does not disqualify a driver, the medical examiner may consider deferring the driver temporarily. Also, the driver should be advised to take the necessary steps to correct the condition as soon as possible particularly if the condition, if neglected, could result in more serious illness that might affect driving.

Check YES if there are any abnormalities. Check NO if the body system is normal. Discuss any YES answers in detail in the space below, and indicate whether it would affect the driver's ability to operate a commercial motor vehicle safely. Enter applicable item number before each comment. If organic disease is present, note that it has been compensated for. See *Instructions to the Medical Examiner* for guidance.

BODY SYSTEM	CHECK FOR:	YES*	NO
1. General Appearance	Marked overweight, tremor, signs of alcoholism, problem drinking, or drug abuse.		
2. Eyes	Pupillary equality, reaction to light, accommodation, ocular motility, ocular muscle imbalance, extraocular movement, nystagmus, exophthalmos. Ask about retinopathy, cataracts, aphakia, glaucoma, macular degeneration and refer to a specialist if appropriate.		
3. Ears	Scarring of tympanic membrane, occlusion of external canal, perforated eardrums.		
4. Mouth and Throat	Irremediable deformities likely to interfere with breathing or swallowing.		
5. Heart	Murmurs, extra sounds, enlarged heart, pacemaker, implantable defibrillator.		
6. Lungs and chest, not including breast examination	Abnormal chest wall expansion, abnormal respiratory rate, abnormal breath sounds including wheezes or alveolar rales, impaired respiratory function, cyanosis. Abnormal findings on physical exam may require further testing such as pulmonary tests and/ or xray of chest.		
7. Abdomen and Viscera	Enlarged liver, enlarged spleen, masses, bruits, hernia, significant abdominal wall muscle weakness.		
8. Vascular System	Abnormal pulse and amplitude, cartoid or arterial bruits, varicose veins.		
9. Genito-urinary System	Hernias.		
10. Extremities- Limb impaired. Driver may be subject to SPE certificate if otherwise qualified.	Loss or impairment of leg, foot, toe, arm, hand, finger, Perceptible limp, deformities, atrophy, weakness, paralysis, clubbing, edema, hypotonia. Insufficicent grasp and prehension in upper limb to maintain steering wheel grip. Insufficient mobility and strength in lower limb to operate pedals properly.		
11. Spine, other musculoskeletal	Previous surgery, deformities, limitation of motion, tenderness.		
12. Neurological	Impaired equilibrium, coordination or speech pattern; asymmetric deep tendon reflexes, sensory or positional abnormalities, abnormal patellar and Babinki's reflexes, ataxia.		

***COMMENTS:** _____

Note certification status here. See Instructions to the Medical Examiner for guidance.

- ☐ Meets standards in 49 CFR 391.41; qualifies for 2 year certificate
- ☐ Does not meet standards
- ☐ Meets standards, but periodic monitoring required due to _____.
  Driver qualified only for: ☐3 months ☐6 months ☐1 year ☐ Other

Temporarily disqualified due to (condition or medication):_____

Return to medical examiner's office for follow up on _____

- ☐ Wearing corrective lense
- ☐ Wearing hearing aid
- ☐ Accompanied by a _____waiver/ exemption. Driver must present exemption at time of certification.
- ☐ Skill Performance Evaluation (SPE) Certificate
- ☐ Driving within an exempt intracity zone (See 49 CFR 391.62)
- ☐ Qualified by operation of 49 CFR 391.64

Medical Examiner's signature _____

Medical Examiner's name _____

Address _____

Telephone Number _____

If meets standards, complete a Medical Examiner's Certificate as stated in 49 CFR 391.43(h). (Driver must carry certificate when operating a commercial vehicle.)

49 CFR 391.41 Physical Qualifications for Drivers

THE DRIVER'S ROLE

Responsibilities, work schedules, physical and emotional demands, and lifestyles among commercial drivers vary by the type of driving that they do. Some of the main types of drivers include the following: turn around or short relay (drivers return to their home base each evening); long relay (drivers drive 9-11 hours and then have at least a 10-hour off-duty period), straight through haul (cross country drivers); and team drivers (drivers share the driving by alternating their 5-hour driving periods and 5-hour rest periods.)

The following factors may be involved in a driver's performance of duties: abrupt schedule changes and rotating work schedules, which may result in irregular sleep patterns and a driver beginning a trip in a fatigued condition; long hours; extended time away from family and friends, which may result in lack of social support; tight pickup and delivery schedules, with irregularity in work, rest, and eating patterns, adverse road, weather and traffic conditions, which may cause delays and lead to hurriedly loading or unloading cargo in order to compensate for the lost time; and environmental conditions such as excessive vibration, noise, and extremes in temperature. Transporting passengers or hazardous materials may add to the demands on the commercial driver.

There may be duties in addition to the driving task for which a driver is responsible and needs to be fit. Some of these responsibilities are: coupling and uncoupling trailer(s) from the tractor, loading and unloading trailer(s) (sometimes a driver may lift a heavy load or unload as much as 50,000 lbs. of freight after sitting for a long period of time without any stretching period); inspecting the operating condition of tractor and/or trailer(s) before, during and after delivery of cargo; lifting, installing, and removing heavy tire chains; and, lifting heavy tarpaulins to cover open top trailers. The above tasks demand agility, the ability to bend and stoop, the ability to maintain a crouching position to inspect the underside of the vehicle, frequent entering and exiting of the cab, and the ability to climb ladders on the tractor and/or trailer(s).

In addition, a driver must have the perceptual skills to monitor a sometimes complex driving situation, the judgment skills to make quick decisions, when necessary, and the manipulative skills to control an oversize steering wheel, shift gears using a manual transmission, and maneuver a vehicle in crowded areas.

---

§391.45 PHYSICAL QUALIFICATIONS FOR DRIVERS

(a) A person shall not drive a commercial motor vehicle unless he is physically qualified to do so and, except as provided in §391.67, has on his person the original, or a photographic copy, of a medical examiner's certificate that he is physically qualified to drive a commercial motor vehicle.

(b) A person is physically qualified to drive a motor vehicle if that person:

(1) Has no loss of a foot, a leg, a hand, or an arm, or has been granted a Skill Performance Evaluation (SPE) Certificate (formerly Limb Waiver Program) pursuant to §391.49.

(2) Has no impairment of: (i) A hand or finger which interferes with prehension or power grasping; or (ii) An arm, foot, or leg which interferes with the ability to perform normal tasks associated with operating a commercial motor vehicle; or any other significant limb defect or limitation which interferes with the ability to perform normal tasks associated with operating a commercial motor vehicle; or has been granted a SPE Certificate pursuant to §391.49.

(3) Has no established medical history or clinical diagnosis of diabetes mellitus currently requiring insulin for control;

(4) Has no current clinical diagnosis of myocardial infarction, angina pectoris, coronary insufficiency, thrombosis, or any other cardiovascular disease of a variety known to be accompanied by syncope, dyspnea, collapse, or congestive cardiac failure.

(5) Has no established medical history or clinical diagnosis of a respiratory dysfunction likely to interfere with his ability to control and drive a commercial motor vehicle safely.

(6) Has no current clinical diagnosis of high blood pressure likely to interfere with his ability to operate a commercial motor vehicle safely.

(7) Has no established medical history or clinical diagnosis of rheumatic, arthritic, orthopedic, muscular, neuromuscular, or vascular disease which interferes with his ability to control and operate a commercial motor vehicle safely.

(8) Has no established medical history or clinical diagnosis of epilepsy or any other condition which is likely to cause loss of consciousness or any loss of ability to control a commercial motor vehicle;

(9) Has no mental, nervous, organic, or functional disease or psychiatric disorder likely to interfere with his ability to drive a commercial motor vehicle safely;

(10) Has distant visual acuity of at least 20/40 (Snellen) in each eye without corrective lenses or visual acuity separately corrected to 20/40 (Snellen) or better with corrective lenses, distant binocular acuity of at least 20/40 (Snellen) in both eyes with or without corrective lenses, field of vision of at least 70 degrees in the horizontal meridian in each eye, and the ability to recognize the colors of traffic signals and devices showing standard red, green and amber;

(11) First perceives a forced whispered voice in the better ear not less than 5 feet with or without the use of a hearing aid, or, if tested by use of an audiometric device, does not have an average hearing loss in the better ear greater than 40 decibels at 500 Hz, 1,000 Hz and 2,000 Hz with or without a hearing device when the audiometric device is calibrated to the American National Standard (formerly ASA Standard) Z24.5-1951;

(12) (i) Does not use a controlled substance identified in 21 CFR 1308.11 Schedule I, an amphetamine, a narcotic, or any other habit-forming drug. (ii) Exception: A driver may use such a substance or drug, if the substance or drug is prescribed by a licensed medical practitioner who: (A) Is familiar with the driver's medical history and assigned duties; and (B) Has advised the driver that the prescribed substance or drug will not adversely affect the driver's ability to safely operate a commercial motor vehicle; and

(13) Has no current clinical diagnosis of alcoholism.

INSTRUCTIONS TO THE MEDICAL EXAMINER

General Information

The purpose of this examination is to determine a driver's physical qualification to operate a commercial motor vehicle (CMV) in interstate commerce according to the requirements in 49 CFR 391.41-49. Therefore, the medical examiner must be knowledgeable of these requirements and guidelines developed by the FMCSA to assist the medical examiner in making the qualification determination. The medical examiner should be familiar with the driver's responsibilities and work environment and is referred to the section on the form, **The Driver's Role**.

In addition to reviewing the **Health History** section with the driver and conducting the physical examination, the medical examiner should discuss common prescriptions and over-the-counter medications relative to the side effects and hazards of these medications while driving. Educate the driver to read warning labels on all medications. History of certain conditions may be cause for rejection, particularly if required by regulation, or may indicate the need for additional laboratory tests or more stringent examination perhaps by a medical specialist. These decisions are usually made by the medical examiner in light of the driver's job responsibilities, work schedule and potential for the conditions to render the driver unsafe.

Medical conditions should be recorded even if they are not cause for denial, and they should be discussed with the driver to encourage appropriate remedial care. This advice is especially needed when a condition, if neglected, could develop into a serious illness that could affect driving.

If the medical examiner determines that the driver is fit to drive and is also able to perform non-driving responsibilities as may be required, the medical examiner signs the medical certificate which the driver must carry with his/her license. The certificate must be dated. **Under current regulations, the certificate is valid for two years, unless the driver has a medical condition that does not prohibit driving but does require more frequent monitoring**. In such situations, the medical certificate should be issued for a shorter length of time. The physical examination should be done carefully and at least as complete as is indicated by the attached form. Contact the FMCSA at (202) 366-1790 for further information (a vision exemption, qualifying drivers under 49 CFR 391.64, etc.).

Interpretation of Medical Standards

Since the issuance of the regulations for physical qualifications of commercial drivers, the Federal Motor Carrier Safety Administration (FMCSA) has published recommendations called Advisory Criteria to help medical examiners in determining whether a driver meets the physical qualifications for commercial driving. These recommendations have been condensed to provide information to medical examiners that (1) is directly relevant to the physical examination and (2) is not already included in the medical examination form. The specific regulation is printed in italics and it's reference by section is highlighted.

Federal Motor Carrier Safety Regulations
-Advisory Criteria-

Loss of Limb:
§391.41(b)(1)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no loss of a foot, leg, hand or an arm, or has been granted a Skill Performance Evaluation (SPE) Certificate pursuant to Section 391.49.

Limb Impairment:
§391.41(b)(2)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no impairment of: (i) A hand or finger which interferes with prehension or power grasping; or (ii) An arm, foot, or leg which interferes with the ability to perform normal tasks associated with operating a commercial motor vehicle; or (iii) Any other significant limb defect or limitation which interferes with the ability to perform normal tasks associated with operating a commercial motor vehicle; or (iv) Has been granted a Skill Performance Evaluation (SPE) Certificate pursuant to Section 391.49.

A person who suffers loss of a foot, leg, hand or arm or whose limb impairment in any way interferes with the safe performance of normal tasks associated with operating a commercial motor vehicle is subject to the Skill Performance Evaluation Certification Program pursuant to section 391.49, assuming the person is otherwise qualified.

With the advancement of technology, medical aids and equipment modifications have been developed to compensate for certain disabilities. The SPE Certification Program (formerly the Limb Waiver Program) was designed to allow persons with the loss of a foot or limb or with functional impairment to qualify under the Federal Motor Carrier Safety Regulations (FMCSRs) by use of prosthetic devices or equipment modifications which enable them to safely operate a commercial motor vehicle. Since there are no medical aids equivalent to the original body or limb, certain risks are still present, and thus restrictions may be included on individual SPE certificates when a State Director for the FMCSA determines they are necessary to be consistent with safety and public interest.

If the driver is found otherwise medically qualified (391.41(b)(3) through (13)), the medical examiner must check on the medical certificate that the driver is qualified only if accompanied by a SPE certificate. The driver and the employing motor carrier are subject to appropriate penalty if the driver operates a motor vehicle in interstate or foreign commerce without a curent SPE certificate for his/her physical disability.

Diabetes
§391.41(b)(3)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no established medical history or clinical diagnosis of diabetes mellitus currently requiring insulin for control.

Diabetes mellitus is a disease which, on occasion, can result in a loss of consciousness or disorientation in time and space. Individuals who require insulin for control have conditions which can get out of control by the use of too much or too little insulin, or food intake not consistent with the insulin dosage. Incapacitation may occur from symptoms of hyperglycemic or hypoglycemic reactions (drowsiness, semiconsciousness, diabetic coma or insulin shock).

The administration of insulin is, within itself, a complicated process requiring insulin, syringe, needle, alcohol sponge and a sterile technique. Factors related to long-haul commercial motor vehicle operations, such as fatigue, lack of sleep, poor diet, emotional conditions, stress, and concomitant illness, compound the dangers, the FMCSA has consistently held that a diabetic who uses insulin for control does not meet the minimum physical requirements of the FMCSRs.

Hypoglycemic drugs, taken orally, are sometimes prescribed for diabetic individuals to help stimulate natural body production of insulin. If the condition can be controlled by the use of oral medication and diet, then an individual may be qualified under the present rule. CMV drivers who do not meet the Federal diabetes standard may call (202) 366-1790 for an application for a diabetes exemption.
(See Conference Report on Diabetic Disorders and Commercial Drivers and Insulin-Using Commercial Motor Vehicle Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Cardiovascular Condition
§391.41(b)(4)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no current clinical diagnosis of myocardial infarction, angina pectoris, coronary insufficiency, thrombosis or any other cardiovascular disease of a variety known to be accompanied by syncope, dyspnea, collapse or congestive cardiac failure.

The term "has no current clinical diagnosis of" is specifically designed to encompass: "*a clinical diagnosis of*" (1) a current cardiovascular condition, or (2) a cardiovascular condition which has not fully stabilized regardless of the time limit The term "*known to be*

accompanied by" is designed to include a clinical diagnosis of a cardiovascular disease (1) which is accompanied by symptoms of syncope, dyspnea, collapse or congestive cardiac failure; and/or (2) which is likely to cause syncope, dyspnea, collapse or congestive cardiac failure.

It is the intent of the FMCSRs to render unqualified, a driver who has a current cardiovascular disease which is accompanied by and/or likely to cause symptoms of syncope, dyspnea, collapse, or congestive cardiac failure. However, the subjective decision of whether the nature and severity of an individual's condition will likely cause symptoms of cardiovascular insufficiency is on an individual basis and qualification rests with the medical examiner and the motor carrier. In those cases where there is an occurrence of cardiovascular insufficiency (myocardial infarction, thrombosis, etc.), it is suggested before a driver is certified that he or she have a normal resting and stress electrocardiogram (ECG), no residual complications and no physical limitations, and is taking no medication likely to interfere with safe driving.

Coronary artery bypass surgery and pacemaker implantation are remedial procedures and thus, not unqualifying. Implantable cardioverter defibrillators are disqualifying due to risk of syncope. Coumadin is a medical treatment which can improve the health and safety of the driver and should not, by its use, medically disqualify the commercial driver. The emphasis should be on the underlying medical condition(s) which require treatment and the general health of the driver. The FMCSA should be contacted at (202) 366-1790 for additional recommendations regarding the physical qualification of drivers on coumadin.
(See Cardiovasular Advisory Panel Guidelines for the Medical examination of Commercial Motor Vehicle Drivers at: http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Respiratory Dysfunction
§391.41(b)(5)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no established medical history or clinical diagnosis of a respiratory dysfunction likely to interfere with ability to control and drive a commercial motor vehicle safely.

Since a driver must be alert at all times, any change in his or her mental state is in direct conflict with highway safety. Even the slightest impairment in respiratory function under emergency conditions (when greater oxygen supply is necessary for performance) may be detrimental to safe driving.

There are many conditions that interfere with oxygen exchange and may result in incapacitation, including emphysema, chronic asthma, carcinoma, tuberculosis, chronic bronchitis and sleep apnea. If the medical examiner detects a respiratory dysfunction, that in any way is likely to interfere with the driver's ability to safely control and drive a commercial motor vehicle, the driver must be referred to a specialist for further evaluation and therapy. Anticoagulation therapy for deep vein thrombosis and/or pulmonary thromboembolism is not unqualifying once optimum dose is achieved, provided lower extremity venous examinations remain normal and the treating physician gives a favorable recommendation.

(See Conference on Pulmonary/Respiratory Disorders and Commercial Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm

Hypertension
§391.41(b)(6)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no current clinical diagnosis of high blood pressure likely to interfere with ability to operate a commercial motor vehicle safely.

Hypertension alone is unlikely to cause sudden collapse; however, the likelihood increases when target organ damage, particularly cerebral vascular disease, is present. This regulatory criteria is based on FMCSA's Cardiovascular Advisory Guidelines for the Examination of CMV Drivers, which used the Sixth Report of the Joint National Committee on Detection, Evaluation, and Treatment of High Blood Pressure (1997).

Stage 1 hypertension corresponds to a systolic BP of 140-159 mmHg and/or a diastolic BP of 90-99 mmHg. The driver with a BP in this range is at low risk for hypertension-related acute incapacitation and may be medically certified to drive for a one-year period. Certification examinations should be done annually thereafter and should be at or less than 140/90. If less than 160/100, certification may be extended one time for 3 months.

A blood pressure of 160-179 systolic and/or 100-109 diastolic is considered Stage 2 hypertension, and the driver is not necessarily unqualified during evaluation and institution of treatment. The driver is given a one time certification of three months to reduce his or her blood pressure to less than or equal to 140/90. A blood pressure in this range is an absolute indication for anti-hypertensive drug therapy. Provided treatment is well tolerated and the driver demonstrates a BP value of 140/90 or less, he or she may be certified for one year from date of the initial exam. The driver is certified annually thereafter.

A blood pressure at or greater than 180 (systolic) and 110 (diastolic) is considered Stage 3, high risk for an acute BP-related event. The driver may **not** be qualified, even temporarily, until reduced to 140/90 or less and treatment is well tolerated. The driver may be certified for 6 months and biannually (every 6 months) thereafter if at recheck BP is 140/90 or less.

Annual recertification is recommended if the medical examiner does not know the severity of hypertension prior to treatment.

An elevated blood pressure finding should be confirmed by at least two subsequent measurements on different days.

Treatment includes nonpharmacologic and pharmacologic modalities as well as counseling to reduce other risk factors. Most antihypertensive medications also have side effects, the importance of which must be judged on an individual basis. Individuals must be alerted to the hazards of these medications while driving. Side effects of somnolence or syncope are particulary undesirable in commercial drivers.

Secondary hypertension is based on the above stages. Evaluation is warranted if patient is persistently hypertensive on maximal or near-maximal doses of 2-3 pharmacologic agents. Some causes of secondary hypertension may be amenable to surgical intervention or specific pharmacologic disease.
(See Cardiovascular Advisory Panel Guidelines for the Medical Examination of Commercial Motor Vehicle Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Rheumatic, Arthritic, Orthopedic, Muscular, Neuromuscular or Vascular Disease §391.41(b)(7)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no established medical history or clinical diagnosis of rheumatic, arthritic, orthopedic, muscular, neuromuscular or vascular disease which interferes with the ability to control and operate a commercial motor vehicle safely.

Certain diseases are known to have acute episodes of transient muscle weakness, poor muscular coordination (ataxia), abnormal sensations (paresthesia), decreased muscular tone (hypotonia), visual disturbances and pain which may be suddenly incapacitating. With each recurring episode, these symptoms may become more pronounced and remain for longer periods of time. Other diseases have more insidious onsets and display symptoms of muscle wasting (atrophy), swelling and paresthesia which may not suddenly incapacitate a person but may restrict his/her movements and eventually interfere with the ability to safely operate a motor vehicle. In many instances these diseases are degenerative in nature or may result in deterioration of the involved area.

Once the individual has been diagnosed as having a rheumatic, arthritic, orthopedic, muscular, neuromuscular or vascular disease, then he/she has an established history of that disease. The physician, when examining an individual, should consider the following: (1) the nature and severity of the individual's condition (such as sensory loss or loss of strength); (2) the degree of limitation present (such as range of motion); (3) the likelihood of progressive limitation (not always present initially but may manifest itself over time); and (4) the likelihood of sudden incapacitation. If severe functional impairment exists, the driver does not qualify. In cases where more frequent monitoring is required, a certificate for a shorter period of time may be issued. (See Conference on Neurological Disorders and Commercial Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Epilepsy
§391.41(b)(8)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no established medical history or clinical diagnosis of epilepsy or any other condition which is likely to cause loss of consciousness or any loss of ability to control a motor vehicle.

Epilepsy is a chronic functional disease characterized by seizures or episodes that occur without warning, resulting in loss of voluntary control which may lead to loss of consciousness and/or seizures. Therefore, the following drivers cannot be qualified: (1) a driver who has a medical history of epilepsy; (2) a driver who has a current clinical diagnosis of epilepsy; or (3) a driver who is taking antiseizure medication.

If an individual has had a sudden episode of a nonepileptic seizure or loss of consciousness of unknown cause which did not require antiseizure medication, the decision as to whether that person's condition will likely cause loss of consciousness or loss of ability to control a motor vehicle is made on an individual basis by the medical examiner in consultation with the treating physician. Before certification is considered, it is suggested that a 6 month waiting period elapse from the time of the episode. Following the waiting period, it is suggested that the individual have a complete neurological examination. If the results of the examination are negative and antiseizure medication is not required, then the driver may be qualified.

In those individual cases where a driver has a seizure or an episode of loss of consciousness that resulted from a known medical condition (e.g., drug reaction, high temperature, acute infectious disease, dehydration or acute metabolic disturbance), certification should be deferred until the driver has fully recovered from that condition and has no existing residual complications, and not taking antiseizure medication.

Drivers with a history of epilepsy/seizures off antiseizure medication **and** seizure-free for 10 years may be qualified to drive a CMV in interstate commerce. Interstate drivers with a history of a single unprovoked seizure may be qualified to drive a CMV in interstate commerce if seizure-free **and** off antiseizure medication for a 5-year period or more.
(See Conference on Neurological Disorders and Commercial Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Mental Disorders
§391.41(b)(9)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has no mental, nervous, organic or functional disease or psychiatric disorder likely to interfere with ability to drive a motor vehicle safely.

Emotional or adjustment problems contribute directly to an individual's level of memory, reasoning, attention, and judgment. These problems often underlie physical disorders. A variety of functional disorders can cause drowsiness, dizziness, confusion, weakness or paralysis that may lead to incoordination, inattention, loss of functional control and susceptibility to accidents while driving. Physical fatigue, headache, impaired coordination, recurring physical ailments and chronic "nagging" pain may be present to such a degree that certification for commercial driving is inadvisable. Somatic and psychosomatic complaints should be thoroughly examined when determining an individual's overall fitness to drive. Disorders of a periodically incapacitating nature, even in the early stages of development, may warrant disqualification.

Many bus and truck drivers have documented that "nervous trouble" related to neurotic, personality, or emotional or adjustment problems is responsible for a significant fraction of their preventable accidents. The degree to which an individual is able to appreciate, evaluate and adequately respond to environmental strain and emotional stress is critical when assessing an individual's mental alertness and flexibility to cope with the stresses of commercial motor vehicle driving.

When examining the driver, it should be kept in mind that individuals who live under chronic emotional upsets may have deeply ingrained maladaptive or erratic behavior patterns. Excessively antagonistic, instinctive, impulsive, openly aggressive, paranoid or severely depressed behavior greatly interfere with the driver's ability to drive safely. Those individuals who are highly susceptible to frequent states of emotional instability (schizophrenia, affective psychoses, paranoia, anxiety or depressive neuroses) may warrant disqualification. Careful consideration should be given to the side effects and interactions of medications in the overall qualification determination. See Psychiatric Conference Report for specific recommendations on the use of medications and potential hazards for driving.
(See Conference on Psychiatric Disorders and Commercial Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Vision
§391.41(b)(10)
A person is physically qualified to drive a commercial motor vehicle if that person:
Has distant visual acuity of at least 20/40 (Snellen) in each eye with or without corrective lenses or visual acuity separately corrected to 20/40 (Snellen) or better with corrective lenses, distant binocular acuity of at least 20/40 (Snellen) in both eyes with or without corrective lenses, field of vision of at least 70 degrees in the horizontal meridian in each eye, and the ability to recognize the colors of traffic signals and devices showing standard red, green, and amber.

The term "ability to recognize the colors of" is interpreted to mean if a person can recognize and distinguish among traffic control signals and devices showing standard red, green and amber, he or she meets the minimum standard, even though he or she may have some type of color perception deficiency. If certain color perception tests are administered, (such as Ishihara, Pseudoisochromatic, Yarn) and doubtful findings are discovered, a controlled test using signal red, green and amber may be employed to determine the driver's ability to recognize these colors.

Contact lenses are permissible if there is sufficient evidence to indicate that the driver has good tolerance and is well adapted to their use. Use of a contact lens in one eye for distance visual acuity and another lens in the other eye for near vision is not acceptable, nor telescopic lenses acceptable for the driving of commercial motor vehicles.

If an individual meets the criteria by the use of glasses or contact lenses, the following statement shall appear on the Medical Examiner's Certificate: "Qualified only if wearing corrective lenses."

CMV drivers who do not meet the Federal vision standard may call (202) 366-1790 for an application for a vision exemption.
(See Visual Disorders and Commercial Drivers at:
http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Hearing
§391.41(b)(11)
A person is physically qualified to drive a commercial motor vehicle if that person:
First perceives a forced whispered voice in the better ear at not less than 5 feet with or without the use of a hearing aid, or, if tested by use of an audiometric device, does not have an average hearing loss in the better ear greater than 40 decibels at 500 Hz, 1,000 Hz, and 2,000 Hz with or without a hearing aid when the audiometric device is calibrated to American National Standard (formerly ADA Standard) Z24.5-1951.

Since the prescribed standard under the FMCSRs is the American Standards Association (ANSI), it may be necessary to convert the audiometric results from the ISO standard to the ANSI standard. Instructions are included on the Medical Examination report form.

If an individual meets the criteria by using a hearing aid, the driver must wear that hearing aid and have it in operation at all times while driving. Also, the driver must be in possession of a spare power source for the hearing aid.

For the whispered voice test, the individual should be stationed at least 5 feet from the examiner with the ear being tested turned toward the examiner. The other ear is covered. Using the breath which remains after a normal expiration, the examiner whispers words or random numbers such as 66, 18,

23, etc. The examiner should not use only sibilants (s sounding materials). The opposite ear should be tested in the same manner. If the individual fails the whispered voice test, the audiometric test should be administered.

If an individual meets the criteria by the use of a hearing aid, the following statement must appear on the Medical Examiner's Certificate "Qualified only when wearing a hearing aid."

(See Hearing Disorders and Commercial Motor Vehicle Drivers at: http://www/fmcsa.dot.gov/rulesregs/medrports.htm)

Drug Use
§391.41(b)(12)

A person is physically qualified to drive a commercial motor vehicle if that person:

Does not use a controlled substance identified in 21 CFR 1308.II. *Schedule I, an amphetamine, a narcotic, or any other habit-forming drug. Exception: A driver may use such a substance or drug, if the substance or drug is prescribed by a licensed medical practitioner who is familiar with the driver's medical history and assigned duties; and has advised the driver that the prescribed substance or drug will not adversely affect the driver's ability to safely operate a commercial motor vehicle.*

This exception does not apply to methadone. The intent of the medical certification process is to medically evaluate a driver to ensure that the driver has no medical condition which interferes with the safe performance of driving tasks on a public road. If a driver uses a Schedule I drug or other substance, an amphetamine, a narcotic, or any other habit-forming drug, it may be cause for the driver to be found medically unqualified. Motor carriers are encouraged to obtain a practitioner's written statement about the effects on transportation safety of the use of a particular drug.

A test for controlled substances is not required as part of this biennial certification process. The FMCSA or the driver's employer should be contacted directly for information on controlled substances and alcohol testing under Part 382 of the FMCSRs.

The term "uses" is designed to encompass instances of prohibited drug use determined by a physician through established medical means. This may or may not involve body fluid testing. If body fluid testing takes place, positive test results should be confirmed by a second test of greater specificity. The term "habit-forming" is intended to include any drug or medication generally recognized as capable of becoming habitual, and which may impair the user's ability to operate a commercial motor vehicle safely.

The driver is medically unqualified for the duration of the prohibited drug(s) use and until a second examination shows the driver is free from the prohibited drug(s) use. Recertification may involve a substance abuse evaluation, the successful completion of a drug rehabilitation program, and a negative drug test result. Additionally, given that the certification period is normally two years, the examiner has the option to certify for a period of less than 2 years if this examiner determines more frequent monitoring is required.

(See Conference on Neurological Disorders and Commercial Drivers and Conference on Psychiatric Disorders and Commercial Drivers at: http://www.fmcsa.dot.gov/rulesregs/medreports.htm)

Alcoholism
§391.41(b)(13)

A person is physically qualified to drive a commercial motor vehicle if that person:

Has no current clinical diagnosis of alcoholism.

The term "current clinical diagnosis of" is specifically designed to encompass a current alcoholic illness or those instances where the individual's physical condition has not fully stabilized, regardless of the time element. If an individual shows signs of having an alcohol-use problem, he or she should be referred to a specialist. After counseling and/or treatment, he or she may be considered for certification.

MEDICAL EXAMINER'S CERTIFICATE

I certify that I have examined _____ In accordance with the Federal Motor Carrier Safety Regulations (49 CFR 391.41-391.49) and with knowledge of the driving duties, I find this person is qualified; and, if applicable, only when:

- ☐ wearing corrective lenses
- ☐ wearing hearing aid
- ☐ accompanied by a _____ waiver exemption
- ☐ driving within an exempt intracity zone (49 CFR 391.62)
- ☐ accompanied by a Skill Performance Evaluation Certificate (SPE)
- ☐ Qualified by operation of 49 CFR 391.64

The information I have provided regarding this physical examination is true and complete. A complete examination form with any attachment embodies my findings completely and correctly, and is on file in my office.

SIGNATURE OF MEDICAL EXAMINER	TELEPHONE	DATE

MEDICAL EXAMINER'S NAME (PRINT)	
	☐ MD ☐ DO ☐ Chiropractor ☐ Physician Assistant ☐ Advanced Practice Nurse

MEDICAL EXAMINER'S LICENSE OR CERTIFICATE NO./ISSUING STATE

SIGNATURE OF DRIVER	DRIVER'S LICENSE NO.	STATE

ADDRESS OF DRIVER

MEDICAL CERTIFICATE EXPIRATION DATE

FORM 26: PASSENGER ASSISTANCE EVALUATION FORMS

The WV Division of Public Transit has initiated a process whereby all drivers are evaluated in assisting passengers of all physical conditions. These forms (D1 and D2) are to be used in evaluating drivers in such areas as lift operation, mobility securement, and overall proficiency.

WEST VIRGINIA
Passenger Assistance Performance Evaluation

(Form D1)

Name of Trainee:_____ Date:_____

Name of Trainer:_____ Location:_____

Skill Categories: **Stand/Sit/Walk/On and Off Vehicle Assist; Up/Down Curb**

Specific Task	Rating*			Comments	Instr. Initials
	1	2	3		
Stand Assist					
Sit Assist					
Walk Assist					
Boarding vehicle					
Exiting vehicle					
Tilt Wheelchair to Balance Point					
Up Curb					
Down Curb					
Up Ramp					
Down Ramp					
Passenger Communication (all tasks)					
Body Mechanics (all tasks)					

*** Rating Definitions:**

1: Demonstrates complete mastery over task. Able to explain task thoroughly and clearly.

2: Demonstrates a good understanding of task. May be hesitant in performing task. Needs more than one attempt to complete task properly. Able to clearly explain task.

3: Completes task with difficulty. May need to attempt task repeatedly or receive instructions to complete task.

General Comments:

Trainee Signature:_____ Date:_____

Instructor Signature:_____ Date:_____

WEST VIRGINIA
Passenger Assistance Performance Evaluation
(Form D2)

Name of Trainee:_____ Date:_____

Name of Trainer:_____ Location:_____

Skill Categories: **Lift Operation and Securement**

Specific Task	Rating*			Comments	Instr. Initials
	1	2	3		
Lowering the Lift					
Assisting onto the Lift Platform					
Raising the Lift					
Assisting off the Lift Platform					
Position Mobility Device in Securement Location on Vehicle					
Set the Wheel Locks (Power off)					
Front Securement					
Rear Securement					
Lap Belt					
Shoulder Belt					
Test Overall Securement					
Passenger Communication (all tasks)					
Body Mechanics (all tasks)					

*** Rating Definitions:**

1: Demonstrates complete mastery over task. Able to explain task thoroughly and clearly.

2: Demonstrates a good understanding of task. May be hesitant in performing task. Needs more than one attempt to complete task properly. Able to clearly explain task.

3: Completes task with some difficulty. May need to attempt task repeatedly or receive instructions to complete task.

General Comments:

Trainee Signature:_____ Date:_____

Instructor Signature:_____ Date:_____

FORM 27: SAMPLE POLICY FOR USE OF OVER-THE-COUNTER AND PRESCRIPTION MEDICATION

The National Transportation Safety Board (NTSB) issued a directive to the Federal Transit Administration (FTA) to educate service agencies on the potential safety risks associated with the use of prescription (Rx) and over-the-counter (OTC) medications by employees who perform safety-sensitive functions. This sample policy is to be used as a supplement to your agencies existing substance abuse policy and is not intended for use by public transit agencies only; all agencies that perform transportation services are advised to adopt such a policy.

<INSERT ORGANIZATION NAME HERE>

Prescription and Over-The-Counter Medication Policy

PURPOSE

The National Transportation Safety Board (NTSB) issued a directive to the Federal Transit Administration (FTA) to educate service agencies on the potential safety risks associated with the use of prescription (Rx) and over-the-counter (OTC) medications by employees who perform (insert job duties here) .

In the interest of complying with this directive and protecting employees and others, <INSERT ORGANIZATION NAME HERE> has developed this Rx/OTC policy. As such, all safety-sensitive employees must make sure that any prescribed drug, any over-the-counter medication, or combination of drugs being taken will not adversely impact their job performance. The employee must inform the prescribing medical practitioner of the employee's job duties performed and the medical practitioner must approve the medications to ensure that the employee's job duties can be performed safely.

APPLICABILITY

This policy applies to all (insert applicable positions here) . The procedure set forth herein applies only to medications that are to be taken or that would have an effect while at work.

PRESCRIPTION MEDICATIONS

The appropriate use of legally prescribed medications is not prohibited. However, the employee has the responsibility to discuss the potential effects of any prescription medication with the prescribing medical practitioner including its potential to impair mental functioning, motor skills, or judgment. The employee must refrain from performing (insert job duties here) any time their ability to safely perform their job duties is adversely impacted by the use of a prescription medication.

1. A legally prescribed drug means the employee has a prescription or other written approval from a medical practitioner for his/her use of a drug in the course of medical treatment. The written statement must include the employee's name, the name of the substance, quantity/amount to be taken, and the period of authorization.

2. The misuse or abuse of prescription medications is prohibited. Examples of misuse and/or abuse include:

    a. Use of a medication that is not prescribed by the employee.
    b. The employee exceeds the prescribed dosage.

c. Use of any medication that contains alcohol within four hours of performing safety-sensitive functions.
d. The use of any prescription medications that adversely impacts the employee's ability to safely perform his/her assigned duties.

<INSERT ORGANIZATION NAME HERE> requires that all (insert applicable positions here) obtain a statement from their medical practitioner for each medication prescribed indicating whether the employee should be medically disqualified from performing safety-sensitive functions during the duration of the treatment. The statement must be provided to the <insert management title here> where it will be kept in the employee's confidential medical file.

OVER-THE-COUNTER MEDICATIONS

The appropriate use of over-the-counter (OTC) medications is not prohibited. However, the employee has the responsibility to read all warning labels and contraindication notices and if necessary discuss the potential effects of any OTC medication with a medical practitioner or pharmacist including its potential to impair mental functioning, motor skills, or judgment. The employee must refrain from performing a safety-sensitive function any time his/her ability to safely perform their job duties is adversely impacted by the use of OTC medications.

1. The misuse or abuse of OTC medications is prohibited. Examples of misuse and/or abuse include:

    a. Use of any medication that contains alcohol within four hours of performing safety-sensitive functions.
    b. The use of any OTC that adversely impacts the employee's ability to safely perform his/her job duties.
    c. Using an OTC for other than its intended purpose.
    d. Exceeding the recommended dosage.

<INSERT ORGANIZATION NAME HERE> requires that all (insert applicable positions here) obtain a statement from their medical practitioner or pharmacist for each OTC used that has a warning label or caution that indicates that mental functioning, motor skills, or judgment may be adversely affected. As an example, the warning label might indicate: "May cause drowsiness. Use care when operating a car or heavy machinery." The statement should indicate whether the employee should be medically disqualified from performing safety-sensitive functions during the duration of the treatment. The statement must be provided to the <insert management title here> where it will be kept in the employee's confidential medical file.

MEDICAL DISQUALIFICATION

Ultimately, the employee is the best judge of how a substance is impacting him/her. As such, the employee has the responsibility to inform the medical practitioner/pharmacist of

performance altering side effects and request medical disqualification from performance of their duties. The employee is encouraged to discuss/consider alternative treatments that do not have the performance altering side effects.

An employee will be medically disqualified from the performance of safety-sensitive functions if the medical practitioner/pharmacist determines that the side effects of the medication being taken pose a potential threat to the safety of co-workers, the public and/or the employee.

The medical practitioner/pharmacist determination is subject to review by the <INSERT ORGANIZATION NAME HERE> company physician. The company physician may consult with the medical practitioner/pharmacist to obtain additional information as necessary. Based on the information provided, the company physician may determine that the employee should be medically disqualified. The company physician's decision will be deemed final.

The medical practitioner/pharmacist statements and any other medical information obtained through this process are confidential information and will be maintained in confidential medical files in the <INSERT ORGANIZATION NAME HERE> office.

PROCEDURAL GUIDELINES

The employee has the responsibility to assess his/her fitness for duty while using Rx/OTC prescription medication. As such, the employee has the following responsibilities:

- The employee has the responsibility to discuss the potential effects of any OTC drug with a medical practitioner or pharmacist, including any adverse impact on the safe performance of their job duties. The employee is encouraged to discuss with their medical practitioner/pharmacist alternative treatments that do not have performance altering side effects.

- The employee has the responsibility to inform the medical practitioner/ pharmacist of performance altering side effects experienced and request medical disqualification from the performance of safety-sensitive job duties.

- The employee must have medical practitioner/pharmacist determine if he/she should be medically disqualified from the performance of safety-sensitive job duties based on the side effects of the OTC. The employee must subsequently request the medical practitioner/pharmacist to complete a statement indicating whether or not the employee should be medically disqualified, and if so, the duration of the disqualification. An example of the form to be used is provided in Appendix A of this policy.

- Employees are required to provide the medical practitioner/pharmacist statement in a sealed envelope to the <insert management title here> . The envelope should be sealed and marked confidential.

- The employee must notify their immediate supervisor of the duration of his/her medical disqualification. The employee will be immediately removed from duty.

- Employees will be allowed to use their accumulated sick leave, personal time, and/or vacation for the duration of the medical disqualification.

The <INSERT ORGANIZATION NAME HERE> will periodically publish a list of medications that are of the greatest concern. The list will be provided as a guide only and should not be considered all-inclusive. Use of the list to identify potential problem medications does not exempt the employee from the process as defined herein, but should be used to trigger more in depth discussions with the medical practitioner/pharmacist.

CONSEQUENCES OF POLICY VIOLATION

An employee who fails to report the use of an Rx/OTC medication or who performs safety-sensitive functions when his/her performance is being adversely impacted by an OTC medication will be subject to the following discipline.

• Failure to report (1st Offense)	<insert disciplinary action here>
• Failure to report (2nd Offense)	<insert disciplinary action here>
• Performance of safety-sensitive function when adversely impacted by OTC medication	<insert disciplinary action here>
• Falsification of medical practitioner/pharmacist statement	Discharge

FORM 28: 10-CODES FOR RADIO COMMUNICATIONS

Agencies using a two way radio as the primary means of communication may wish to utilize 10-codes for simplifying communications. This form is a list of the codes most commonly used by transportation drivers.

Ten Codes for Radio Communication

Code	Message	Code	Message
10-04	Affirmative (OK)	10-33	HELP ME QUICK
10-07	Out of Service	10-34	Time
10-08	In service	10-40	Fight in Progress
10-09	Say Again (repeat)	10-41	Beginning Tour of Duty
10-10	Negative	10-42	Ending Tour of Duty
10-12	Stand-By	10-45	Use Signal 13 (Bomb Threat)
10-17	En route	10-50	Accident, PD-PI-F
10-18	URGENT	10-51	Wreaker Needed
10-20	Location	10-52	Ambulance Needed
10-21	Call (By Phone)	10-53	Road Blocked
10-22	Disregard	10-51	Wrecker Needed
10-23	At the Scene	10-82	Stranded Motorist
10-24	Assignment Completed	10-83	Animal Carcass
10-25	Report to (Meet)	10-86	Wheelchair Passenger Aboard
10-26	Estimated Time of Arrival	10-89	Out at Residence
10-31	Pick Up	10-97	Assistance Needed: County or State Local Law Enforcement

Ten Codes for Radio Communication

Code	Message	Code	Message
10-04	Affirmative (OK)	10-33	HELP ME QUICK
10-07	Out of Service	10-34	Time
10-08	In Service	10-40	Fight in Progress
10-09	Say Again (repeat)	10-41	Beginning Tour of Duty
10-10	Negative	10-42	Ending Tour of Duty
10-12	Stand-By	10-45	Use Signal 13 (Bomb Threat)
10-17	Enroute	10-50	Accident, PD-PI-F
10-18	URGENT	10-51	Wreaker Needed
10-20	Location	10-52	Ambulance Needed
10-21	Call (By Phone)	10-53	Road Blocked
10-22	Disregard	10-51	Wreaker Needed
10-23	At the Scene	10-82	Stranded Motorist
10-24	Assignment Completed	10-83	Animal Carcass
10-25	Report to (Meet)	10-86	Wheelchair Passenger Aboard
10-26	Estimated Time of Arrival	10-89	Out at Residence
10-31	Pick Up	10-97	Assistance Needed: County or State Local Law Enforcement

FORM 29: WITNESS COURTESY CARD

During an accident, it is essential to gather and document as much information as possible. This form is a useful tool in collecting statements from witnesses to an accident.

COURTESY CARD

DATE AND TIME OF ACCIDENT_____

DID YOU SEE THE ACCIDENT?_____

DID ANYONE APPEAR INJURED?_____

WERE YOU A PASSENGER?_____

IF SO, WHERE WERE YOU SEATED?_____

WHERE WERE YOU AT THE TIME OF THE ACCIDENT?_____

_____

HOW DID THE ACCIDENT HAPPEN?_____

_____

_____

_____

_____

_____

_____

YOUR NAME_____

ADDRESS_____

CITY _____ STATE _____ ZIP_____

DAYTIME PHONE NUMBER (_____) _____

PLEASE COMPLETE THIS CARD

AND RETURN IT TO THE DRIVER – THANK YOU

COURTESY CARD

DATE AND TIME OF ACCIDENT_____

DID YOU SEE THE ACCIDENT?_____

DID ANYONE APPEAR INJURED?_____

WERE YOU A PASSENGER?_____

IF SO, WHERE WERE YOU SEATED?_____

WHERE WERE YOU AT THE TIME OF THE ACCIDENT?_____

_____

HOW DID THE ACCIDENT HAPPEN?_____

_____

_____

_____

_____

_____

_____

YOUR NAME_____

ADDRESS_____

CITY _____ STATE _____ ZIP_____

DAYTIME PHONE NUMBER (_____) _____

PLEASE COMPLETE THIS CARD

AND RETURN IT TO THE DRIVER – THANK YOU

FORM 30: ACCIDENT-INCIDENT CARDS FOR DRIVERS AND DISPATCHERS

Every employ has a responsibility in an emergency situation. Responsibilities can range from the transport of injured persons to a medical facility to relaying information to emergency services to documenting the incident for recordkeeping purposes. This form is a step-by-step set of instructions for drivers and dispatchers to follow in common emergencies.

QUICK REFERENCE

INCIDENT/ACCIDENT MANAGEMENT GUIDELINES FOR DISPATCHERS

Passenger Fall

1. Determine exact location of vehicle
2. Contact appropriate emergency personnel
3. Dispatcher notify supervisor.
4. Determine need for driver replacement.
5. First Report of Injury – Worker's Compensation.
6. Driver in need of drug test?
7. Supervisors determine safety issues.

Vehicle Breakdown

1. Determine exact vehicle location.
2. Determine situation, description of problem. Determine number and type of passengers, determine if immediate passenger needs.
3. If circumstances warrant contact law enforcement and/or emergency personnel.
4. Notify supervisor.
5. If situation is controlled, dispatch another vehicle to pick up passengers.

Vehicle Fire

1. Find out exact location.
2. Determine if driver and passengers are safe and not in need of medical attention.
3. Contact emergency personnel.
4. Contact Supervisor.
5. Dispatch vehicle to pick up driver and passengers.
6. Make arrangements to recover vehicle.

Vehicle Evacuation

1. Contact emergency services personnel as required.
2. Contact Supervisor.
3. Dispatch vehicle to pick up driver and passengers.
4. Make arrangements to recover vehicle.

Vehicle Accident

1. Determine location of vehicle.
2. Contact appropriate emergency personnel.
3. Contact Supervisor.
4. Dispatch second vehicle to transport uninjured passengers.
5. Make arrangements to recover vehicle if necessary.

Vandalism to Vehicle

1. Get details of vandalism.
2. Contact Supervisor and await instructions.

Fare Dispute

1. Notify Supervisor of situation.

Illness

1. Identify exact location of the vehicle.
2. Notify EMS.
3. Contact Supervisor.

Baby Delivery
1. Contact 911 and Supervisors. 2. Dispatch alternative driver and bus.
Harassment /Unruly Passenger/Violent Incident
1. Obtain exact location of the vehicle. 2. Determine nature of the incident. 3. Contact police services, if necessary. 4. Contact Supervisor.
Handling Body Fluid Spills
1. Contact Supervisor and describe the situation. 2. Locate the biohazard kit. Avoid stepping in the fluid spill. 3. Put on the disposable gloves found in the biohazard kit when giving any first aid or cleaning up any potentially dangerous bodily fluid spill, such as blood, vomit, urine or defecation. 4. Cover the spill area with the disinfectant found in the biohazard kit. 5. Using the appropriate instrument from the biohazard kit, dispose of any material that may be contaminated by placing it in the biohazard bag found in the biohazard kit. 6. If the clean up includes broken glass or other sharp objects, take extra precautions. Use mechanical means rather then using your hands to pick up the objects and dispose of them in the leak proof, puncture proof container provided in the biohazard kit. 7. Discard carefully all clean up materials including gloves in the biohazard bag. 8. Double bag the biohazard bag immediately if there is any possibility of it ripping or tearing. 9. Insure that all biohazard materials are placed in the appropriate transit system depository. 10. Thoroughly wash hands with soap, disinfectant and running water as soon as possible. 11. Complete all required incident documentation.

*in all situations, driver incident report must be reviewed, documented, and filed.

QUICK REFERENCE

INCIDENT/ACCIDENT MANAGEMENT GUIDELINES FOR DRIVERS

Passenger Fall

1. Contact dispatch and give exact location
2. Secure Vehicle
3. Check scene for safety; check passenger.
4. If conscious, ask passenger what they would like to do.
5. If unconscious, notify dispatch, and request assistance.
6. Monitor passenger; assist other passengers.
7. Complete incident report.

Vehicle Breakdown

1. Safely guide the unit off the road onto the right shoulder or into a parking area.
2. Immediately engage emergency flashers and position emergency reflectors.
3. Notify the dispatcher.
4. Indicate whether there are passengers on board, give a brief description of the problem, and vehicle location.
5. Do not leave passengers unattended, unless it is an extreme emergency.
6. If it is extremely cold, you will want to find shelter for your passengers.
7. If you cannot get shelter and your passengers must remain on the vehicle, do not let your vehicle run standing still for more than ten (10) minutes every hour.
8. When your vehicle is running, windows should be cracked open. Also, be sure your tailpipe is clear.
9. Complete incident report.

Vehicle Fire

1. At first indication of fire on the vehicle, proceed as follows: PULL TO A SAFE LOCATION, STOP the vehicle immediately, SHUT OFF ENGINE, open all doors, contact dispatcher to request emergency services assistance and evacuate passengers (toss radio microphone out of drivers side window for possible future communication).
2. Evacuate passengers in an orderly manner. Safety of all passengers is your first consideration.
3. Wheelchair passengers may need to be removed from the vehicle without their mobility device. Then if there is time and it is safe to do so retrieve their chair. Save the life first!
4. If possible, use the fire extinguisher located on the vehicle. If the fire is extinguished, notify dispatcher for further instructions.
5. If fire cannot be controlled by fire extinguisher, notify dispatcher immediately giving vehicle location and fire location on vehicle. Do not re-board vehicle. Wait for assistance and tend to passengers needs. Passengers will be loaded on to another vehicle.

Vandalism to Vehicle

1. After passenger exits the vehicle; notify dispatcher.
2. Determine if vehicle is safe to continue on route; complete incident report.

Fare Dispute

1. Inform passenger of correct fare and ask them to have the correct amount next time.
2. Notify dispatcher.

Illness

1. If minor and the passenger is able to communicate – continue route – unless passenger requests EMS assistance.
2. If passenger is unconscious – pull vehicle to a safe location and secure the vehicle (i.e. flashers, emergency triangles).
3. Notify dispatch that EMS assistance is required and give specific location.
4. If incident leads to a body fluid spill – refer to body fluid clean-up procedures.
5. Complete incident report.

Baby Delivery

1. Secure bus.
2. Inform other passengers of the situation – stay seated or evacuate.
3. Notify Dispatch.
4. Keep passenger comfortable.
5. In case of biohazard contamination – consult biohazard procedure.
6. Complete incident report.

Harassment /Unruly Passenger/Violent Incident

1. Pull to a safe area – notify dispatch.
2. Determine level of incident – if not serious, settle conflict.
3. If situation is serious, inform other passengers of the situation – make determination regarding evacuation.
4. Contact dispatch for further instructions.
5. Complete incident report.

Handling Body Fluid Spills

1. Contact dispatch and describe the situation.
2. If you are instructed to wait for assistance, secure the vehicle and wait.
3. Locate the biohazard kit that is on the vehicle. Avoid stepping in the fluid spill.
4. Put on the disposable gloves found in the biohazard kit when giving any first aid or cleaning up any potentially dangerous bodily fluid spill, such as blood, vomit, urine or defecation.
5. Cover the spill area with the disinfectant found in the biohazard kit.
6. Using the appropriate instrument from the biohazard kit, dispose of any material that may be contaminated by placing it in the biohazard bag found in the biohazard kit.
7. If the clean up includes broken glass or other sharp objects, take extra precautions. Use mechanical means rather then using your hands to pick up the objects and dispose of them in the leak proof, puncture proof container provided in the biohazard kit.
8. Discard carefully all clean up materials including gloves in the biohazard bag.
9. Double bag the biohazard bag immediately if there is any possibility of it ripping or tearing.
10. Insure that all biohazard materials are placed in the appropriate transit system depository.
11. Thoroughly wash hands with soap, disinfectant and running water as soon as possible.
12. Complete all required incident documentation.

Vehicle Accident

1. Remain calm.
2. Ensure that vehicle and passengers are out of immediate danger from other vehicles (secure the vehicle).
3. Evacuate vehicle if smoke, fuel leak or potential for fire is apparent.
4. Check for injuries/need for medical attention:
    a. Transit vehicle and/or other vehicles, and
    b. Pedestrian(s).
5. Contact emergency personnel – if needed;
    a. Give exact location, and
    b. Describe extent and number of injuries.
6. Notify appropriate law enforcement agency.
7. Notify dispatch of:
    a. Vehicle number and driver name,
    b. Exact location,
    c. Possible injuries and extent of injuries,
    d. Advise if EMS and/or law enforcement have been notified, and
    e. Advise if another vehicle is needed for uninjured passengers
8. DO NOT DISCUSS ACCIDENT WITH ANYONE BUT LAW ENFORCEMENT AND AGENCY MANAGEMENT PERSONNEL.
9. DO NOT ADMIT FAULT.
10. Remain at accident scene unless operator requires medical attention.
11. Complete an accident report ASAP.

Vehicle Evacuation

1. Calmly tell your passengers what you are going to do, tell them which exit(s) to use and where you want them to wait, stressing that they must stay clear of the bus and clear of traffic hazards.
2. Assess the condition of passengers to be evacuated and what assistance will be required.
3. Ask for assistance from ambulatory passengers in evacuating passengers who are injured or disabled.
4. Evacuate all ambulatory passengers first except those who have agreed to assist in the evacuation of non-ambulatory passengers and ask someone to take the fire extinguisher off with them.
5. Make sure all passengers assemble in a safe location well away from the vehicle.
6. When evacuating non-ambulatory or wheelchair passengers, do the following:
7. Use a web cutter to cut through all securement devices.
    a. If the wheelchair door works and the lift is operative, put the lift halfway down and use it as a step to roll the chair off the vehicle or to drag or carry non-ambulatory passengers off.
    b. If the wheelchair lift is not working, slide wheelchair passengers out of their chairs and drag or carry them and any injured or unconscious passengers down the aisle and out the door.
8. Dragging should be done by bending at the knees and grasping and pulling under the arms.
9. If the doors of the vehicle are blocked or non-functioning, evacuate any mobility impaired, injured or unconscious passengers by getting them through emergency exit windows or roof hatches as the situation may dictate and preferably with assistance outside and inside.

FORM 31: ANNUAL VEHICLE SAFETY INSPECTION FORM

Every vehicle used in the transportation of passengers should be inspected annually to ensure that safety equipment is in good working condition and to detect necessary repairs or maintenance issues. This form is a complete safety inspection form to be used during an annual vehicle evaluation.

PUBLIC TRANSPORTATION - VEHICLE SAFETY INSPECTION FORM

DOT No._____ Vin_____ (Last 4 digits) Make_____ Mileage_____ Inspection Date_____

Agency_____

Address_____ City_____ State_____ Zip_____

VEHICLE HISTORY

	Date	Miles		Date	Miles
Last Inspected			Wheel Pack		
Lubrication			Air Cleaner (dry)		
Oil Change			Fuel Filter		
Last Tune-Up			Transmission Filter		
Last Service Check					

Codes: OK – Checked A – Added CH – Changed T – Tightened I – Inspected L – Lubricated R - Repaired

GENERAL CONDITION		**SAFETY EQUIPMENT**	
	Body Interior / Exterior, Bumpers, Trim		Fire Extinguisher Charged (date)/Blood-Borne Pathogen Kit
	Loose Floor Covering / Weak Flooring / Steps		Seatbelt Cutter / Reflective Florescent Triangle Set
	Windows / Windshield Not Cracked		Drag Blanket / 16 Unit First-Aid Kit / Back-up Alarm
	Unsecured items, Spare Tire / Restraints / Safety Equipment / Other	**HEATER / DEFROSTER**	
ENGINE COMPARTMENT INSPECTION			Heater / Defroster Motor & Controls
	Belts & Hoses	**LIGHTS, HORN**	
	Engine Oil / Coolant / Brake Fluid		Interior Passenger Area Lighting / Stepwell / Lift Doorway
	Power Steering Fluid		Low / High Beam Headlights & Indicator / Dimmer Switch
	Battery Terminals / Cables / Compartment		Turn Signal Lights / Hazard Flashers
BRAKES			Running/ Brake/ Tail/ License Plate / Back-Up Lights / Horn
	Brakes (travel, level & leaks)	**WIPER / WASHER**	
	Parking Brake		Wiper / Washer Operation / Fluid
TRANSMISSION – DRIVE TRAIN		**MIRRORS**	
	Transmission (level & leaks)		Mounting, Interior & Exterior View
	Differential (level & leaks)	**SUSPENSION F / R**	
	U-joints & Drive Shaft		Wheels / Shocks / Springs
TIRES		**EXHAUST SYSTEM**	
	Visual Tire / Wheel Check		Exhaust / Tail Pipe / Hangers / Clamps / Leaks
DOORS / EMERGENCY EXITS			Muffler / Catalytic Converter
	Doors / Windows / Roof Hatch Work Properly	**FUEL SYSTEM**	
	Buzzer Activated if Vehicle is in Motion / Rear Exit Door Locked		Leaks / Fill Cap
PASSENGER SEATS / DRIVER SEAT		**LIFT / RAMP / SECUREMENTS**	
	Sharp Edges/ Exposed Metal / Upholstery / Springs		Remote Control / Wheelchair Stops / Handrails
	Seats & Arm Rest Firmly Mounted		Restraints / Tie Downs Operation
			Manual Lift Operation / Lift Interlock System

INSPECTOR'S REMARKS

_____

_____

_____

_____

INSPECTOR SIGNATURE_____ **DATE**_____

AGENCY SIGNATURE_____ **DATE**_____

FORM 32: ANNUAL BUILDING INSPECTION CHECKLIST

Facilities should be inspected annually in such areas as plumbing, roofing, sidewalk safety, and ventilation controls. This form is a comprehensive checklist covering standard building equipment and systems to ensure safe and effective operation.

Annual Building Inspection Checklist

Facility Exterior	*YES*	*NO*	*N/A*
Is the building address or identification clearly visible?			
Are exterior lights in working order?			
Are the exits onto public streets free from visibility obstructions?			
Are all building sides accessible to emergency equipment?			
Does the building appear to be in good repair?			
Are exterior walls free from cracks or other damages?			
Are windows free from cracks or broken panes?			
Are paved surfaces inspected and repaired (i.e., lifts, cracks, etc.)?			
Are stairs, landings and handrails in good repair and fastened securely? (inspect the bottom of each step)			
Are facilities periodically inspected and documented?			
Are all sewer clean out caps in place?			
Are all irrigation covers in place?			
Do entrance doors close slowly to avoid hazards to fingers?			
Facility Interior	*YES*	*NO*	*N/A*
Electrical Systems			
Are all electrical panels secured?			
Have all electrical circuits been identified?			
Are all electrical switches and receptacles in good repair?			
Have Ground Fault Interrupter's been provided on circuits in proximity to water?			
Is there a "lock-out" procedure in place?			
Heating System:			
Is a 3' clearance provided around all heating equipment?			
Are furnace/boiler rooms kept locked?			
Are furnace/boiler rooms free from combustible storage?			

PM Schedule updated			
Has the unit been serviced regularly			
Has the filter been changed and clean?			
Has the unit been cleaned?			
Are the thermostats in good working order?			
Are vents clean?			
Check pipes or lines for leakage of fluids. Repair if needed.			
Check electrical supply for damage. Repair if needed.			
Are residents reminded to keep combustibles away from heaters?			
Air Conditioning			
PM Schedule updated			
Has the unit been serviced regularly			
Has the filter been changed and clean?			
Has the unit been cleaned?			
Are the thermostats in good working order?			
Are vents clean?			
Check pipes or lines for leakage of fluids. Repair if needed.			
Check electrical supply for damage. Repair if needed.			
Private Protection:			
Is building equipped with an automatic sprinkler system? If so, continue.			
Is the main sprinkler control valve accessible?			
Are all valves supplying water or air to the system open?			
Is system operation monitored by an alarm company?			
Is valve operation monitored by an alarm company?			
Is the sprinkler system tested on a quarterly basis and documented?			
Is the building equipped with a fire detection system? If so, continue.			

Does the system protect the entire building?			
Does the system provide an alarm signal in the building?			
Is system tested on a monthly basis and documented?			
Is the main alarm panel in normal operating condition?			
Are portable fire extinguishers provided?			
Are all extinguishers inspected on a monthly basis and documented?			
Do all extinguishers have a current inspection tag?			
Emergency Evacuation:			
Are all exits and travel paths identified with illuminated "EXIT" signs?			
Are travel paths leading to exits free of obstructions?			
Are exits unlocked and operational?			
Are working emergency lights provided in the building?			
Are emergency lights tested periodically and documented?			
Are evacuation diagrams posted throughout the building?			

Visual Roof Inspection	*Comments*
Visually inspect the roof for the following conditions: • Debris • Drainage (no evidence of standing water) • Physical damage • Structural Deformation *For Flat/Membrane Roof:* • Condition of coating • Granular loss • Punctures • Cracks (Alligatoring) • Blisters (Fishmouths) • Ponding *For Sloped Roof:* • Roof Material • Surface Condition • Deformed edges • Shingle Condition o Buckled o Curled o Missing o Granular loss o Corrosion (metal) o Fasteners	
Visually inspect the following common roof features (if applicable) for visible signs of damage or repair: • Fascia • Soffit • Flashing • Gutters / Drains, etc. • Skylights • Chimneys / Vents • Fall Arrest Anchors • Control Zone Access • Drains / Vents	
Roofing repairs may also become noticeable by observing the following conditions: *Ceiling Conditions:* • Cracks • Water Staining • Water Leaks • Seasonal Change *Exterior Wall Conditions:* • Deformed Finish • Surface Deterioration • Staining *Interior Wall Surfaces:* • Cracks • Water Staining • Water Leaks • Deformed Finish • Seasonal Change • Window Leaks • Door/Window Alignment	

Annual Plumbing Inspection	*Comments*
Look for signs of leaks in all exposed pipes, and in areas where pipes run through the walls or foundation.	
Look for signs of corrosion, which could indicate a problem with the water, or with the pipe itself. Watch for green stains around brass and copper fittings and on shutoff valves, a sign of either corrosion or electrolysis caused by mismatched metals. This will cause leaks and bad connections if left uncorrected.	
Check the water pressure. Low pressure could mean a problem with the line or just sediment buildup in the faucet aerator.	
Check drains for speed of drainage - a slow drain may have a clog or a blocked vent pipe. Look for a full swirling drain; bubbling drains are a sign of a problem.	
Flush the toilets to make sure they operate properly. Open their tanks and look for worn or missing parts. Then wait around for a few minutes to see if the toilet runs after a pause, a sign of a slow leak.	
Look inside the burner chamber of the water heater for rust flakes. Check the flame; it should be an even blue, with no yellow. A yellow flame indicates soot or a problem with the gas-air mixture, meaning the jets need cleaning.	
Drain the water heater to remove sediment that has settled to the bottom. Sometimes leaks in faucets are caused by hard water wearing out the washers.	
Watch out for cracked tiles sinks. Tap on tiles looking for loose or hollow ones, which could be masking rotted backer-board behind them.	
Check on the state caulking to see if its time to replace it.	
Look for evidence of mildew where water has a chance to stand for longer periods.	
Manipulate the toilet base to be sure it doesn't rock, which might mean a leak has damaged the floor around it.	
Look for cracks on the toilet tank or bowl or on sinks.	
Turn on faucets and check for leaks around handles and valves. Are they easy to use, or harder to turn on and off?	

Address Inspected: _____ Date: _____

_____

_____

_____

Inspected by: _____

(print)

_____

(signed)

FORM 33: OSHA SELF-INSPECTION CHEKLIST

Any good management system requires periodic review. The most widely accepted way to identify hazards is to conduct safety and health inspections. This form includes a checklist designed to assist you in self-inspection fact-finding. The checklist can give you some indication of where to begin taking action to make your facility safer and more healthful for all of your employees.

OSHA Self-Inspection Safety Checklist

EMPLOYER POSTING	*YES*	*NO*	*N/A*
Is the required OSHA Job Safety and Health Protection Poster displayed in a prominent location where all employees are likely to see it?			
Are emergency telephone numbers posted where they can be readily found in case of emergency?			
Where employees may be exposed to toxic substances or harmful physical agents, has appropriate information concerning employee access to medical and exposure records and Material Safety Data Sheets (MSDSs) been posted or otherwise made readily available to affected employees?			
Are signs concerning exit routes, room capacities, floor loading, biohazards, exposures to xray, microwave, or other harmful radiation or substances posted where appropriate?			
Is the Summary of Work-Related Injuries and Illnesses (OSHA Form 300A) posted during the months of February, March and April?			
RECORDKEEPING	*YES*	*NO*	*N/A*
Are occupational injuries or illnesses, except minor injuries requiring only first aid, recorded as required on the OSHA 300 log?			
Are employee medical records and records of employee exposure to hazardous substances or harmful physical agents up-to-date and in compliance with current OSHA standards?			
Are employee training records kept and accessible for review by employees, as required by OSHA standards?			
Have arrangements been made to retain records for the time period required for each specific type of record? (Some records must be maintained for at least 40 years.)			
Are operating permits and records up-to-date for items such as elevators, air pressure tanks, liquefied petroleum gas tanks, etc.?			
SAFETY AND HEALTH PROGRAM	*YES*	*NO*	*N/A*
Do you have an active safety and health program in operation that includes general safety and health program elements as well as the management of hazards specific to your worksite?			
Is one person clearly responsible for the safety and health program?			
Do you have a safety committee or group made up of management and labor representatives that meets regularly and reports in writing on its activities?			
Do you have a working procedure to handle in-house employee complaints regarding safety and health?			
Are your employees advised of efforts and accomplishments of the safety and health program made to ensure they will have a workplace that is safe and healthful?			
Have you considered incentives for employees or workgroups who excel in reducing workplace injury/illnesses?			

MEDICAL SERVICES AND FIRST AID	*YES*	*NO*	*N/A*
Is there a hospital, clinic, or infirmary for medical care near your workplace or is at least one employee on each shift currently qualified to render first aid?			
Have all employees who are expected to respond to medical emergencies as part of their job responsibilities received first aid training; had hepatitis B vaccination made available to them; had appropriate training on procedures to protect them from bloodborne pathogens, including universal precautions; and have available and understand how to use appropriate PPE to protect against exposure to bloodborne diseases?*			
If employees have had an exposure incident involving bloodborne pathogens, was an immediate post-exposure medical evaluation and follow-up provided?			
Are medical personnel readily available for advice and consultation on matters of employees' health?			
Are emergency phone numbers posted?			
Are fully supplied first aid kits easily accessible to each work area, periodically inspected and replenished as needed?			
Have first aid kits and supplies been approved by a physician, indicating that they are adequate for a particular area or operation?			
Is there an eye-wash station or sink available for quick drenching or flushing of the eyes and body in areas where corrosive liquids or materials are handled?			
FIRE PROTECTION	*YES*	*NO*	*N/A*
Is your local fire department familiar with your facility, its location and specific hazards?			
If you have a fire alarm system, is it certified as required and tested annually?			
If you have outside private fire hydrants, are they flushed at least once a year and on a routine preventive maintenance schedule?			
Are fire doors and shutters in good operating condition?			
Are fire doors and shutters unobstructed and protected against obstructions, including their counterweights?			
Are fire door and shutter fusible links in place?			
Are automatic sprinkler system water control valves, air and water pressure checked periodically as required?			
Is the maintenance of automatic sprinkler systems assigned to responsible persons or to a sprinkler contractor?			
Are sprinkler heads protected by metal guards if exposed to potential physical damage?			
Is proper clearance maintained below sprinkler heads?			
Are portable fire extinguishers provided in adequate number and type and mounted in readily accessible locations?			

Are fire extinguishers recharged regularly with this noted on the inspection tag?			
Are employees periodically instructed in the use of fire extinguishers and fire protection procedures?			
PERSONAL PROTECTIVE EQUIPMENT AND CLOTHING	*YES*	*NO*	*N/A*
Has the employer determined whether hazards that require the use of PPE (e.g., head, eye, face, hand, or foot protection) are present or are likely to be present?			
If hazards or the likelihood of hazards are found, are employers selecting appropriate and properly fitted PPE suitable for protection from these hazards and ensuring that affected employees use it?			
Have both the employer and the employees been trained on PPE procedures, i.e., what PPE is necessary for job tasks, when workers need it, and how to properly wear and adjust it?			
Are protective goggles or face shields provided and worn where there is any danger of flying particles or corrosive materials?			
Are approved safety glasses required to be worn at all times in areas where there is a risk of eye injuries such as punctures, abrasions, contusions, or burns?			
Are employees who wear corrective lenses (glasses or contacts) in workplaces with harmful exposures required to wear only approved safety glasses, protective goggles, or use other medically approved precautionary procedures?			
Are protective gloves, aprons, shields, or other means provided and required where employees could be cut or where there is reasonably anticipated exposure to corrosive liquids, chemicals, blood, or other potentially infectious materials? See the OSHA Bloodborne Pathogens standard, 29 CFR 1910.1030(b), for the definition of "other potentially infectious materials."			
Is appropriate foot protection required where there is the risk of foot injuries from hot, corrosive, or poisonous substances, falling objects, crushing, or penetrating actions?			
Are approved respirators provided when needed? (See 29 CFR 1910.134 for detailed information on respirators or check OSHA's website at www.osha.gov).			
Is all PPE maintained in a sanitary condition and ready for use?			
Are food or beverages consumed only in areas where there is no exposure to toxic material, blood, or other potentially infectious materials?			
Is protection against the effects of occupational noise provided when sound levels exceed those of the OSHA Noise standard?			
Are adequate work procedures, PPE and other equipment provided and used when cleaning up spilled hazardous materials?			
Are appropriate procedures in place to dispose of or decontaminate PPE contaminated with, or reasonably anticipated to be contaminated with, blood or other potentially infectious materials?			
GENERAL WORK ENVIRONMENT	*YES*	*NO*	*N/A*
Are all worksites clean, sanitary and orderly?			
Are work surfaces kept dry and appropriate means taken to assure the surfaces are slipresistant?			

Are all spilled hazardous materials or liquids, including blood and other potentially infectious materials, cleaned up immediately and according to proper procedures?			
Is combustible scrap, debris and waste stored safely and removed from the worksite promptly?			
Is all regulated waste, as defined in the OSHA Bloodborne Pathogens standard (29 CFR 1910.1030), discarded according to Federal, state and local regulations?			
Is metallic or conductive dust prevented from entering or accumulating on or around electrical enclosures or equipment?			
Are covered metal waste cans used for oily or paint-soaked waste?			
Are all oil and gas-fired devices equipped with flame failure controls to prevent flow of fuel if pilots or main burners are not working?			
Are paint spray booths, dip tanks, etc., cleaned regularly?			
Are the minimum number of toilets and washing facilities provided and maintained in a clean and sanitary fashion?			
Are all work areas adequately illuminated?			
Are pits and floor openings covered or otherwise guarded?			
Have all confined spaces been evaluated for compliance with 29 CFR 1910.146? (Permitrequired confined spaces.)			
WALKWAYS	*YES*	*NO*	*N/A*
Are aisles and passageways kept clear and marked as appropriate?			
Are wet surfaces covered with non-slip materials?			
Are holes in the floor, sidewalk, or other walking surface repaired properly, covered, or otherwise made safe?			
Is there safe clearance for walking in aisles where motorized or mechanical handling equipment is operating?			
Are materials or equipment stored in such a way that sharp projections will not interfere with the walkway?			
Are spilled materials cleaned up immediately?			
Are changes of direction or elevations readily identifiable?			
Are aisles or walkways that pass near moving or operating machinery, welding operations, or similar operations arranged so employees will not be subjected to potential hazards?			
Is adequate headroom provided for the entire length of any aisle or walkway?			
Are standard guardrails provided wherever aisle or walkway surfaces are elevated more than 30 inches (76.20 centimeters) above any adjacent floor or the ground?			
FLOOR AND WALL OPENINGS	*YES*	*NO*	*N/A*

Are floor openings guarded by a cover, a guardrail, or equivalent on all sides (except at stairways or ladder entrances)?			
Are toeboards installed around the edges of permanent floor openings where persons may pass below the opening?			
Are skylight screens able to withstand a load of at least 200 pounds (90.7 kilograms)?			
Is the glass in windows, doors, glass walls, etc., subject to possible human impact, of sufficient thickness and type for the condition of use?			
Are grates or similar type covers over floor openings such as floor drains designed to allow unimpeded foot traffic or rolling equipment?			
Are unused portions of service pits and pits not in use either covered or protected by guardrails or equivalent?			
Are manhole covers, trench covers and similar covers, and their supports designed to carry a truck rear axle load of at least 20,000 pounds (9,072 kilograms) when located in roadways and subject to vehicle traffic?			
Are floor or wall openings in fire-resistant construction provided with doors or covers compatible with the fire rating of the structure and provided with a self-closing feature when appropriate?			
STAIRS AND STAIRWAYS	*YES*	*NO*	*N/A*
Do standard stair rails or handrails on all stairways have at least four risers?			
Are all stairways at least 22 inches (55.88 centimeters) wide?			
Do stairs have landing platforms not less than 30 inches (76.20 centimeters) in the direction of travel and extend 22 inches (55.88 centimeters) in width at every 12 feet (3.6576 meters) or less of vertical rise?			
Do stairs angle no more than 50 and no less than 30 degrees?			
Are step risers on stairs uniform from top to bottom?			
Are steps slip-resistant?			
Are stairway handrails located between 30 inches (76.20 centimeters) and 34 inches (86.36 centimeters) above the leading edge of stair treads?			
Do stairway handrails have at least 3 inches (7.62 centimeters) of clearance between the handrails and the wall or surface they are mounted on?			
Are stairway handrails capable of withstanding a load of 200 pounds (90.7 kilograms), applied within 2 inches (5.08 centimeters) of the top edge in any downward or outward direction?			
Where stairs or stairways exit directly into any area where vehicles may be operated, are adequate barriers and warnings provided to prevent employees from stepping into the path of traffic?			
Do stairway landings have a dimension measured in the direction of travel at least equal to the width of the stairway?			
Is the vertical distance between stairway landings limited to 12 feet (3.6576 meters) or less?			

ELEVATED SURFACES	*YES*	*NO*	*N/A*
Are signs posted, when appropriate, showing the elevated surface load capacity?			
Are surfaces that are elevated more than 30 inches (76.20 centimeters) provided with standard guardrails?			
Are all elevated surfaces beneath which people or machinery could be exposed to falling objects provided with standard 4-inch (10.16- centimeter) toeboards?			
Is a permanent means of access and egress provided to elevated storage and work surfaces?			
Is required headroom provided where necessary?			
Is material on elevated surfaces piled, stacked, or racked in a manner to prevent it from tipping, falling, collapsing, rolling, or spreading?			
EXITING OR EGRESS – EVACUATION	*YES*	*NO*	*N/A*
Are all exits marked with an exit sign and illuminated by a reliable light source?			
Are the directions to exits, when not immediately apparent, marked with visible signs?			
Are doors, passageways or stairways that are neither exits nor access to exits, but could be mistaken for exits, appropriately marked "NOT AN EXIT," "TO BASEMENT," "STOREROOM," etc.?			
Are exit signs labeled with the word "EXIT" in lettering at least 5 inches (12.70 centimeters) high and the stroke of the lettering at least l/2- inch (1.2700 centimeters) wide?			
Are exit doors side-hinged?			
Are all exits kept free of obstructions?			
Are at least two means of egress provided from elevated platforms, pits, or rooms where the absence of a second exit would increase the risk of injury from hot, poisonous, corrosive, suffocating, flammable, or explosive substances?			
Are there sufficient exits to permit prompt escape in case of emergency?			
Are special precautions taken to protect employees during construction and repair operations?			
Is the number of exits from each floor of a building and the number of exits from the building itself appropriate for the building occupancy load?			
Are exit stairways that are required to be separated from other parts of a building enclosed by at least 2-hour fire-resistive construction in buildings more than four stories in height, and not less than 1-hour fire-resistive construction elsewhere?			
Where ramps are used as part of required exiting from a building, is the ramp slope limited to 1 foot (0.3048 meter) vertical and 12 feet (3.6576 meters) horizontal?			
Where exiting will be through frameless glass doors, glass exit doors, storm doors, etc., are the doors fully tempered and meet the safety requirements for human impact?			
EXIT DOORS	*YES*	*NO*	*N/A*

Are doors that are required to serve as exits designed and constructed so that the path of exit travel is obvious and direct?			
Are windows that could be mistaken for exit doors made inaccessible by means of barriers or railings?			
Are exit doors able to be opened from the direction of exit travel without the use of a key or any special knowledge or effort when the building is occupied?			
Is a revolving, sliding, or overhead door prohibited from serving as a required exit door?			
Where panic hardware is installed on a required exit door, will it allow the door to open by applying a force of 15 pounds (6.80 kilograms) or less in the direction of the exit traffic?			
Where exit doors open directly onto any street, alley, or other area where vehicles may be operated, are adequate barriers and warnings provided to prevent employees from stepping into the path of traffic?			
Are doors that swing in both directions and are located between rooms where there is frequent traffic provided with viewing panels in each door?			
PORTABLE LADDERS	*YES*	*NO*	*N/A*
Are all ladders maintained in good condition, joints between steps and side rails tight, all hardware and fittings securely attached, and moveable parts operating freely without binding or undue play?			
Are non-slip safety feet provided on each metal or rung ladder, and are ladder rungs and steps free of grease and oil?			
Are employees prohibited from placing a ladder in front of doors opening toward the ladder unless the door is blocked open, locked, or guarded?			
Are employees prohibited from placing ladders on boxes, barrels, or other unstable bases to obtain additional height?			
Are employees required to face the ladder when ascending or descending?			
Are employees prohibited from using ladders that are broken, have missing steps, rungs, or cleats, broken side rails, or other faulty equipment?			
Are employees instructed not to use the top step of ordinary stepladders as a step?			
When portable rung ladders are used to gain access to elevated platforms, roofs, etc., does the ladder always extend at least 3 feet (0.9144 meters) above the elevated surface?			
Are employees required to secure the base of a portable rung or cleat type ladder to prevent slipping, or otherwise lash or hold it in place?			
Are portable metal ladders legibly marked with signs reading "CAUTION - Do Not Use Around Electrical Equipment" or equivalent wording?			
Are employees prohibited from using ladders as guys, braces, skids, gin poles, or for other than their intended purposes?			
Are employees instructed to only adjust extension ladders while standing at a base (not while standing on the ladder or from a position above the ladder)?			

Are metal ladders inspected for damage?			
Are the rungs of ladders uniformly spaced at 12 inches (30.48 centimeters) center to center?			
HAND TOOLS AND EQUIPMENT	*YES*	*NO*	*N/A*
Are all tools and equipment (both company and employee-owned) used at the workplace in good condition?			
Are hand tools, such as chisels, punches, etc., which develop mushroomed heads during use, reconditioned or replaced as necessary?			
Are broken or fractured handles on hammers, axes and similar equipment replaced promptly?			
Are worn or bent wrenches replaced?			
Are appropriate handles used on files and similar tools?			
Are employees aware of hazards caused by faulty or improperly used hand tools?			
Are appropriate safety glasses, face shields, etc., used while using hand tools or equipment that might produce flying materials or be subject to breakage?			
Are jacks checked periodically to ensure they are in good operating condition?			
Are tool handles wedged tightly into the heads of all tools?			
Are tool cutting edges kept sharp so the tool will move smoothly without binding or skipping?			
Are tools stored in a dry, secure location where they cannot be tampered with?			
Is eye and face protection used when driving hardened or tempered studs or nails?			
PORTABLE (POWER OPERATED) TOOLS AND EQUIPMENT	*YES*	*NO*	*N/A*
Are grinders, saws and similar equipment provided with appropriate safety guards?			
Are power tools used with proper shields, guards, or attachments, as recommended by the manufacturer?			
Are rotating or moving parts of equipment guarded to prevent physical contact?			
Are all cord-connected, electrically operated tools and equipment effectively grounded or of the approved double insulated type?			
Are effective guards in place over belts, pulleys, chains and sprockets on equipment such as concrete mixers, air compressors, etc.?			
Are portable fans provided with full guards or screens having openings 1/2 inch (1.2700 centimeters) or less?			
Is hoisting equipment available and used for lifting heavy objects, and are hoist ratings and characteristics appropriate for the task?			
Are pneumatic and hydraulic hoses on poweroperated tools checked regularly for deterioration or damage?			

ABRASIVE WHEEL EQUIPMENT GRINDERS	*YES*	*NO*	*N/A*
Is the work rest used and kept adjusted to within 1/8 inch (0.3175 centimeter) of the wheel?			
Is the adjustable tongue on the top side of the grinder used and kept adjusted to within 1/4 inch (0.6350 centimeters) of the wheel?			
Do side guards cover the spindle, nut and flange and 75 percent of the wheel diameter?			
Are bench and pedestal grinders permanently mounted?			
Are goggles or face shields always worn when grinding?			
Is the maximum revolutions per minute (rpm) rating of each abrasive wheel compatible with the rpm rating of the grinder motor?			
Are fixed or permanently mounted grinders connected to their electrical supply system with metallic conduit or other permanent wiring method?			
Does each grinder have an individual on and off control switch?			
Is each electrically operated grinder effectively grounded?			
Are new abrasive wheels visually inspected and ring tested before they are mounted?			
Are dust collectors and powered exhausts provided on grinders used in operations that produce large amounts of dust?			
Are splash guards mounted on grinders that use coolant to prevent the coolant from reaching employees?			
Is cleanliness maintained around grinders?			

POWER-ACTUATED TOOLS	*YES*	*NO*	*N/A*
Are employees who operate power-actuated tools trained in their use and required to carry a valid operator's card?			
Is each power-actuated tool stored in its own locked container when not being used?			
Is a sign at least 7 inches (17.78 centimeters) by 10 inches (25.40 centimeters) with bold face type reading "POWER-ACTUATED TOOL IN USE" conspicuously posted when the tool is being used?			
Are power-actuated tools left unloaded until they are ready to be used?			
Are power-actuated tools inspected for obstructions or defects each day before use?			
Do power-actuated tool operators have and use appropriate PPE such as hard hats, safety goggles, safety shoes and ear protectors?			
MACHINE GUARDING	*YES*	*NO*	*N/A*
Is there a training program to instruct employees on safe methods of machine operation?			
Is there adequate supervision to ensure that employees are following safe machine operating procedures?			
Is there a regular program of safety inspection of machinery and equipment?			
Is all machinery and equipment kept clean and properly maintained?			
Is sufficient clearance provided around and between machines to allow for safe operations, set up and servicing, material handling and waste removal?			
Is equipment and machinery securely placed and anchored to prevent tipping or other movement that could result in personal injury?			
Is there a power shut-off switch within reach of the operator's position at each machine?			
Can electric power to each machine be locked out for maintenance, repair, or security?			
Are the noncurrent-carrying metal parts of electrically operated machines bonded and grounded?			
Are foot-operated switches guarded or arranged to prevent accidental actuation by personnel or falling objects?			
Are manually operated valves and switches controlling the operation of equipment and machines clearly identified and readily accessible?			
Are all emergency stop buttons colored red?			
Are all pulleys and belts within 7 feet (2.1336 meters) of the floor or working level properly guarded?			
Are all moving chains and gears properly guarded?			
Are splash guards mounted on machines that use coolant to prevent the coolant from reaching			

employees?			
Are methods provided to protect the operator and other employees in the machine area from hazards created at the point of operation, ingoing nip points, rotating parts, flying chips and sparks?			
Are machine guards secure and arranged so they do not cause a hazard while in use?			
If special hand tools are used for placing and removing material, do they protect the operator's hands?			
Are revolving drums, barrels and containers guarded by an enclosure that is interlocked with the drive mechanism so that revolution cannot occur unless the guard enclosure is in place?			
Do arbors and mandrels have firm and secure bearings, and are they free from play?			
Are provisions made to prevent machines from automatically starting when power is restored after a power failure or shutdown?			
Are machines constructed so as to be free from excessive vibration when the largest size tool is mounted and run at full speed?			
If machinery is cleaned with compressed air, is air pressure controlled and PPE or other safeguards utilized to protect operators and other workers from eye and body injury?			
Are fan blades protected with a guard having openings no larger than l/2 inch (1.2700 centimeters) when operating within 7 feet (2.1336 meters) of the floor?			
WELDING, CUTTING, AND BRAZING	*YES*	*NO*	*N/A*
Are only authorized and trained personnel permitted to use welding, cutting, or brazing equipment?			
Does each operator have a copy of and follow the appropriate operating instructions?			
Are compressed gas cylinders regularly examined for obvious signs of defects, deep rusting, or leakage?			
Is care used in handling and storage of cylinders, safety valves, relief valves, etc., to prevent damage?			
Are precautions taken to prevent the mixture of air or oxygen with flammable gases, except at a burner or in a standard torch?			
Are only approved apparatuses (torches, regulators, pressure reducing valves, acetylene generators, manifolds) used?			
Are cylinders kept away from sources of heat and elevators, stairs, or gangways?			
Is it prohibited to use cylinders as rollers or supports?			
Are empty cylinders appropriately marked and their valves closed?			
Are signs posted reading "DANGER, NO SMOKING, MATCHES, OR OPEN LIGHTS," or the equivalent?			
Are cylinders, cylinder valves, couplings, regulators, hoses and apparatuses kept free of oily or greasy substances?			

Is care taken not to drop or strike cylinders?			
Are regulators removed and valve-protection caps put in place before moving cylinders, unless they are secured on special trucks?			
Do cylinders without fixed wheels have keys, handles, or non-adjustable wrenches on stem valves when in service?			
Are liquefied gases stored and shipped valveend up with valve covers in place?			
Are employees trained never to crack a fuel gas cylinder valve near sources of ignition?			
Before a regulator is removed, is the valve closed and gas released?			
Is red used to identify the acetylene (and other fuel-gas) hose, green for the oxygen hose and black for inert gas and air hoses?			
Are pressure-reducing regulators used only for the gas and pressures for which they are intended?			
Is open circuit (no-load) voltage of arc welding and cutting machines as low as possible and not in excess of the recommended limits?			
Under wet conditions, are automatic controls for reducing no-load voltage used?			
Is grounding of the machine frame and safety ground connections of portable machines checked periodically?			
Are electrodes removed from the holders when not in use?			
Is it required that electric power to the welder be shut off when no one is in attendance?			
Is suitable fire extinguishing equipment available for immediate use?			
Is the welder forbidden to coil or loop welding electrode cable around his body?			
Are wet machines thoroughly dried and tested before use?			
Are work and electrode lead cables frequently inspected for wear and damage, and replaced when needed?			
Are cable connectors adequately insulated?			
When the object to be welded cannot be moved and fire hazards cannot be removed, are shields used to confine heat, sparks and slag?			
Are fire watchers assigned when welding or cutting is performed in locations where a serious fire might develop?			
Are combustible floors kept wet, covered with damp sand, or protected by fire-resistant shields?			
Are personnel protected from possible electrical shock when floors are wet?			
Are precautions taken to protect combustibles on the other side of metal walls when welding is underway?			
Are used drums, barrels, tanks and other containers thoroughly cleaned of substances that could			

explode, ignite, or produce toxic vapors before hot work begins?			
Do eye protection, helmets, hand shields and goggles meet appropriate standards?			
Are employees exposed to the hazards created by welding, cutting, or brazing operations protected with PPE and clothing?			
Is a check made for adequate ventilation in and where welding or cutting is performed?			
When working in confined places, are environmental monitoring tests done and means provided for quick removal of welders in case of an emergency?			
COMPRESSORS AND COMPRESSED AIR	*YES*	*NO*	*N/A*
Are compressors equipped with pressure relief valves and pressure gauges?			
Are compressor air intakes installed and equipped so as to ensure that only clean, uncontaminated air enters the compressor?			
Are air filters installed on the compressor intake?			
Are compressors operated and lubricated in accordance with the manufacturer's recommendations?			
Are safety devices on compressed air systems checked frequently?			
Before a compressor's pressure system is repaired, is the pressure bled off and the system locked out?			
Are signs posted to warn of the automatic starting feature of the compressors?			
Is the belt drive system totally enclosed to provide protection for the front, back, top and sides?			
Are employees strictly prohibited from directing compressed air towards a person?			
Are employees prohibited from using highly compressed air for cleaning purposes?			
When compressed air is used to clean clothing, are employees trained to reduce the pressure to less than 10 pounds per square inch (psi)?			
When using compressed air for cleaning, do employees wear protective chip guarding and PPE?			
Are safety chains or other suitable locking devices used at couplings of high-pressure hose lines where a connection failure would create a hazard?			
Before compressed air is used to empty containers of liquid, is the safe working pressure of the container checked?			
When compressed air is used with abrasive blast cleaning equipment, is the operating valve a type that must be held open manually?			
When compressed air is used to inflate auto tires, are a clip-on chuck and an inline regulator preset to 40 psi required?			
Are employees prohibited from using compressed air to clean up or move combustible dust if such action could cause the dust to be suspended in the air and cause a fire or explosion hazard?			

COMPRESSOR/AIR RECEIVERS	*YES*	*NO*	*N/A*
Is every receiver equipped with a pressure gauge and one or more automatic, springloaded safety valves?			
Is the total relieving capacity of the safety valve able to prevent pressure in the receiver from exceeding the maximum allowable working pressure of the receiver by more than 10 percent?			
Is every air receiver provided with a drain pipe and valve at the lowest point for the removal of accumulated oil and water?			
Are compressed air receivers periodically drained of moisture and oil?			
Are all safety valves tested at regular intervals to determine whether they are in good operating condition?			
Is there a current operating permit?			
Is the inlet of air receivers and piping systems kept free of accumulated oil and carbonaceous materials?			
COMPRESSED GAS CYLINDERS	*YES*	*NO*	*N/A*
Are cylinders with a water weight capacity over 30 pounds (13.6 kilograms) equipped with a means to connect a valve protector device, or with a collar or recess to protect the valve?			
Are cylinders legibly marked to clearly identify the type of gas?			
Are compressed gas cylinders stored in areas protected from external heat sources such as flame impingement, intense radiant heat, electric arcs, or high-temperature lines?			
Are cylinders located or stored in areas where they will not be damaged by passing or falling objects or subject to tampering by unauthorized persons?			
Are cylinders stored or transported in a manner to prevent them from creating a hazard by tipping, falling, or rolling?			
Are cylinders containing liquefied fuel gas stored or transported in a position so that the safety relief device is always in direct contact with the vapor space in the cylinder?			
Are valve protectors always placed on cylinders when the cylinders are not in use or connected for use?			
Are all valves closed off before a cylinder is moved, when the cylinder is empty and at the completion of each job?			
Are low-pressure fuel gas cylinders checked periodically for corrosion, general distortion, cracks, or any other defect that might indicate a weakness or render them unfit for service?			
Does the periodic check of low-pressure fuel gas cylinders include a close inspection of the cylinders' bottoms?			
HOIST AND AUXILIARY EQUIPMENT	*YES*	*NO*	*N/A*
Is each overhead electric hoist equipped with a limit device to stop the hook at its highest and lowest point of safe travel?			

Will each hoist automatically stop and hold any load up to 125 percent of its rated load if its actuating force is removed?			
Is the rated load of each hoist legibly marked and visible to the operator?			
Are stops provided at the safe limits of travel for trolley hoists?			
Are the controls of hoists plainly marked to indicate the direction of travel or motion?			
Is each cage-controlled hoist equipped with an effective warning device?			
Are close-fitting guards or other suitable devices installed on each hoist to ensure that hoist ropes will be maintained in the sheave grooves?			
Are all hoist chains or ropes long enough to handle the full range of movement of the application while maintaining two full wraps around the drum at all times?			
Are guards provided for nip points or contact points between hoist ropes and sheaves permanently located within 7 feet (2.1336 meters) of the floor, ground, or working platform?			
Are employees prohibited from using chains or rope slings that are kinked or twisted and prohibited from using the hoist rope or chain wrapped around the load as a substitute for a sling?			
Is the operator instructed to avoid carrying loads above people?			
SPRAYING OPERATIONS	*YES*	*NO*	*N/A*
Is adequate ventilation provided before spraying operations are started?			
Is mechanical ventilation provided when spraying operations are performed in enclosed areas?			
When mechanical ventilation is provided during spraying operations, is it so arranged that it will not circulate the contaminated air?			
Is the spray area free of hot surfaces and at least 20 feet (6.096 meters) from flames, sparks, operating electrical motors and other ignition sources?			
Are portable lamps used to illuminate spray areas suitable for use in a hazardous location?			
Is approved respiratory equipment provided and used when appropriate during spraying operations?			
Do solvents used for cleaning have a flash point to 100 degrees Fahrenheit (deg. F) or more?			
Are fire control sprinkler heads kept clean?			
Are "NO SMOKING" signs posted in spray areas, paint rooms, paint booths and paint storage areas?			
Is the spray area kept clean of combustible residue?			
Are spray booths constructed of metal, masonry, or other substantial noncombustible material?			
Are spray booth floors and baffles noncombustible and easily cleaned?			
Is infrared drying apparatus kept out of the spray area during spraying operations and is the spray			

booth completely ventilated before using the drying apparatus?			
Is the electric drying apparatus properly grounded?			
Are lighting fixtures for spray booths located outside the booth with the interior lighted through sealed clear panels?			
Are the electric motors for exhaust fans placed outside booths or ducts?			
Are belts and pulleys inside the booth fully enclosed?			
Do ducts have access doors to allow cleaning?			
Do all drying spaces have adequate ventilation?			
ENTERING CONFINED SPACES	*YES*	*NO*	*N/A*
Are confined spaces thoroughly emptied of any corrosive or hazardous substances, such as acids or caustics, before entry?			
Are all lines to a confined space that contain inert, toxic, flammable, or corrosive materials valved off and blanked or disconnected and separated before entry?			
Are all impellers, agitators, or other moving parts and equipment inside confined spaces locked out if they present a hazard?			
Is either natural or mechanical ventilation provided prior to confined space entry?			
Are appropriate atmospheric tests performed to check for oxygen deficiency, toxic substances and explosive concentrations in the confined space before entry?			
Is adequate illumination provided for the work to be performed in the confined space?			
Is the atmosphere inside the confined space frequently tested or continuously monitored during work?			
Is there a trained and equipped standby employee positioned outside the confined space, whose sole responsibility is to watch the work in progress, sound an alarm if necessary and render assistance?			
Is the standby employee appropriately trained and equipped to handle an emergency?			
Are employees prohibited from entering the confined space without lifelines and respiratory equipment if there is any question as to the cause of an emergency?			
Is approved respiratory equipment required if the atmosphere inside the confined space cannot be made acceptable?			
Is all portable electrical equipment used inside confined spaces either grounded and insulated or equipped with ground fault protection?			
Are compressed gas bottles forbidden inside the confined space?			
Before gas welding or burning is started in a confined space, are hoses checked for leaks, torches lighted only outside the confined area and the confined area tested for an explosive atmosphere each time before a lighted torch is taken into the confined space?			

If employees will be using oxygen-consuming equipment such as salamanders, torches, furnaces, etc., in a confined space, is sufficient air provided to assure combustion without reducing the oxygen concentration of the atmosphere below 19.5 percent by volume?			
Whenever combustion-type equipment is used in a confined space, are provisions made to ensure the exhaust gases are vented outside of the enclosure?			
Is each confined space checked for decaying vegetation or animal matter which may produce methane?			
Is the confined space checked for possible industrial waste which could contain toxic properties?			
If the confined space is below ground and near areas where motor vehicles will be operating, is it possible for vehicle exhaust or carbon monoxide to enter the space?			
ENVIRONMENTAL CONTROLS	*YES*	*NO*	*N/A*
Are all work areas properly illuminated?			
Are employees instructed in proper first aid and other emergency procedures?			
Are hazardous substances, blood and other potentially infectious materials, which may cause harm by inhalation, ingestion, or skin absorption or contact, identified?			
Are employees aware of the hazards involved with the various chemicals they may be exposed to in their work environment, such as ammonia, chlorine, epoxies, caustics, etc.?			
Is employee exposure to chemicals in the workplace kept within acceptable levels?			
Can a less harmful method or product be used?			
Is the work area ventilation system appropriate for the work performed?			
Are spray painting operations performed in spray rooms or booths equipped with an appropriate exhaust system?			
Is employee exposure to welding fumes controlled by ventilation, use of respirators, exposure time limits, or other means?			
Are welders and other nearby workers provided with flash shields during welding operations?			
If forklifts and other vehicles are used in buildings or other enclosed areas, are the carbon monoxide levels kept below maximum acceptable concentration?			
Has there been a determination that noise levels in the facilities are within acceptable levels?			
Are steps being taken to use engineering controls to reduce excessive noise levels?			
Are proper precautions being taken when handling asbestos and other fibrous materials?			
Are caution labels and signs used to warn of hazardous substances (e.g., asbestos) and biohazards (e.g., bloodborne pathogens)?			
Are wet methods used, when practicable, to prevent the emission of airborne asbestos fibers, silica dust and similar hazardous materials?			

Are engineering controls examined and maintained or replaced on a scheduled basis?			
Is vacuuming with appropriate equipment used whenever possible rather than blowing or sweeping dust?			
Are grinders, saws and other machines that produce respirable dusts vented to an industrial collector or central exhaust system?			
Are all local exhaust ventilation systems designed to provide sufficient air flow and volume for the application, and are ducts not plugged and belts not slipping?			
Is PPE provided, used and maintained wherever required?			
Are there written standard operating procedures for the selection and use of respirators where needed?			
Are restrooms and washrooms kept clean and sanitary?			
Is all water provided for drinking, washing and cooking potable?			
Are all outlets for water that is not suitable for drinking clearly identified?			
Are employees' physical capacities assessed before they are assigned to jobs requiring heavy work?			
Are employees instructed in the proper manner for lifting heavy objects?			
Where heat is a problem, have all fixed work areas been provided with spot cooling or air conditioning?			
Are employees screened before assignment to areas of high heat to determine if their health might make them more susceptible to having an adverse reaction?			
Are employees working on streets and roadways who are exposed to the hazards of traffic required to wear bright colored (traffic orange) warning vests?			
Are exhaust stacks and air intakes located so that nearby contaminated air will not be recirculated within a building or other enclosed area?			
Are universal precautions observed where occupational exposure to blood or other potentially infectious materials can occur and in all instances where differentiation of types of body fluids or potentially infectious materials is difficult or impossible?			
FLAMMABLE AND COMBUSTIBLE MATERIALS	*YES*	*NO*	*N/A*
Are combustible scrap, debris and waste materials (oily rags, etc.) stored in covered metal receptacles and promptly removed from the worksite?			
Is proper storage practiced to minimize the risk of fire, including spontaneous combustion?			
Are approved containers and tanks used to store and handle flammable and combustible liquids?			
Are all connections on drums and combustible liquid piping, vapor and liquid tight?			
Are all flammable liquids kept in closed containers when not in use (e.g., parts cleaning tanks, pans, etc.)?			

Are bulk drums of flammable liquids grounded and bonded to containers during dispensing?			
Do storage rooms for flammable and combustible liquids have explosion-proof lights and mechanical or gravity ventilation?			
Is liquefied petroleum gas stored, handled and used in accordance with safe practices and standards?			
Are "NO SMOKING" signs posted on liquefied petroleum gas tanks and in areas where flammable or combustible materials are used or stored?			
Are liquefied petroleum storage tanks guarded to prevent damage from vehicles?			
Are all solvent wastes and flammable liquids kept in fire-resistant, covered containers until they are removed from the worksite?			
Is vacuuming used whenever possible rather than blowing or sweeping combustible dust?			
Are firm separators placed between containers of combustibles or flammables that are stacked one upon another to ensure their support and stability?			
Are fuel gas cylinders and oxygen cylinders separated by distance and fire-resistant barriers while in storage?			
Are fire extinguishers selected and provided for the types of materials in the areas where they are to be used? Class A - Ordinary combustible material fires. Class B - Flammable liquid, gas or grease fires. Class C - Energized-electrical equipment fires.			
Are appropriate fire extinguishers mounted within 75 feet (22.86 meters) of outside areas containing flammable liquids and within 10 feet (3.048 meters) of any inside storage area for such materials?			
Are extinguishers free from obstructions or blockage?			
Are all extinguishers serviced, maintained and tagged at intervals not to exceed one year?			
Are all extinguishers fully charged and in their designated places?			
Where sprinkler systems are permanently installed, are the nozzle heads so directed or arranged that water will not be sprayed into operating electrical switchboards and equipment?			
Are safety cans used for dispensing flammable or combustible liquids at the point of use?			
Are all spills of flammable or combustible liquids cleaned up promptly?			
Are storage tanks adequately vented to prevent the development of excessive vacuum or pressure as a result of filling, emptying, or atmosphere temperature changes?			
Are storage tanks equipped with emergency venting that will relieve excessive internal pressure caused by fire exposure?			
Are rules enforced in areas involving storage and use of hazardous materials?			
HAZARDOUS CHEMICAL EXPOSURE	*YES*	*NO*	*N/A*

Are employees aware of the potential hazards and trained in safe handling practices for situations involving various chemicals stored or used in the workplace such as acids, bases, caustics, epoxies, phenols, etc.?			
Is employee exposure to chemicals kept within acceptable levels?			
Are eye-wash fountains and safety showers provided in areas where corrosive chemicals are handled?			
Are all containers, such as vats, storage tanks, etc., labeled as to their contents, e.g., "CAUSTICS"?			
Are all employees required to use personal protective clothing and equipment when handling chemicals (gloves, eye protection, respirators, etc.)?			
Are flammable or toxic chemicals kept in closed containers when not in use?			
Are chemical piping systems clearly marked as to their content?			
Where corrosive liquids are frequently handled in open containers or drawn from storage vessels or pipelines, are adequate means readily available for neutralizing or disposing of spills or overflows and performed properly and safely?			
Are standard operating procedures established and are they being followed when cleaning up chemical spills?			
Are respirators stored in a convenient, clean and sanitary location, and are they adequate for emergencies?			
Are employees prohibited from eating in areas where hazardous chemicals are present?			
Is PPE used and maintained whenever necessary?			
Are there written standard operating procedures for the selection and use of respirators where needed?			
If you have a respirator protection program, are your employees instructed on the correct usage and limitations of the respirators? Are the respirators National Institute for Occupational Safety and Health (NIOSH)- approved for this particular application? Are they regularly inspected, cleaned, sanitized and maintained?			
If hazardous substances are used in your processes, do you have a medical or biological monitoring system in operation?			
Are you familiar with the threshold limit values or permissible exposure limits of airborne contaminants and physical agents used in your workplace?			
Have appropriate control procedures been instituted for hazardous materials, including safe handling practices and the use of respirators and ventilation systems?			
Whenever possible, are hazardous substances handled in properly designed and exhausted booths or similar locations?			
Do you use general dilution or local exhaust ventilation systems to control dusts, vapors, gases, fumes, smoke, solvents, or mists that may be generated in your workplace?			
Do employees complain about dizziness, headaches, nausea, irritation, or other factors of			

discomfort when they use solvents or other chemicals?			
Is there a dermatitis problem? Do employees complain about dryness, irritation, or sensitization of the skin?			
Have you considered having an industrial hygienist or environmental health specialist evaluate your operation?			
If internal combustion engines are used, is carbon monoxide kept within acceptable levels?			
Is vacuuming used rather than blowing or sweeping dust whenever possible for cleanup?			
Are materials that give off toxic, asphyxiant, suffocating, or anesthetic fumes stored in remote or isolated locations when not in use?			
HAZARDOUS SUBSTANCES COMMUNICATION	*YES*	*NO*	*N/A*
Is there a list of hazardous substances used in your workplace and an MSDS readily available for each hazardous substance used?			
Is there a current written exposure control plan for occupational exposure to bloodborne pathogens and other potentially infectious materials, where applicable?			
Is there a written hazard communication program dealing with MSDSs, labeling and employee training?			
Is each container for a hazardous substance (i.e., vats, bottles, storage tanks, etc.) labeled with product identity and a hazard warning (communication of the specific health hazards and physical hazards)?			

Is there an employee training program for hazardous substances that includes: • an explanation of what an MSDS is and how to use and obtain one; • MSDS contents for each hazardous substance or class of substances; • explanation of "A Right to Know"; • identification of where an employee can see the written hazard communication program; • location of physical and health hazards in particular work areas and the specific protective measures to be used; and • details of the hazard communication program, including how to use the labeling system and MSDSs.			
Does the employee training program on the bloodborne pathogens standard contain the following elements:			
an accessible copy of the standard and an explanation of its contents;			
a general explanation of the epidemiology and symptoms of bloodborne diseases;			
an explanation of the modes of transmission of Bloodborne Pathogens;			
an explanation of the employer's exposure control plan and the means by which employees can obtain a copy of the written plan;			
an explanation of the appropriate methods for recognizing tasks and the other activities that may involve exposure to blood and other potentially infectious materials;			
an explanation of the use and limitations of methods that will prevent or reduce exposure, including appropriate engineering controls, work practices and PPE;			
information on the types, proper use, location, removal, handling, decontamination and disposal of PPE;			
an explanation of the basis for selection of PPE;			
information on the hepatitis B vaccine;			
information on the appropriate actions to take and persons to contact in an emergency involving blood or other potentially infectious materials;			
an explanation of the procedure to follow if an exposure incident occurs, including the methods of reporting the incident and the medical follow-up that will be made available;			
information on post-exposure evaluations and follow-up; and			
an explanation of signs, labels and color coding.			
Are employees trained in:			
how to recognize tasks that might result in occupational exposure;			
how to use work practice, engineering controls and PPE, and their limitations;			

how to obtain information on the types, selection, proper use, location, removal, handling, decontamination and disposal of PPE; and			
who to contact and what to do in an emergency.			
ELECTRICAL	*YES*	*NO*	*N/A*
Do you require compliance with OSHA standards for all contract electrical work?			
Are all employees required to report any obvious hazard to life or property in connection with electrical equipment or lines as soon as possible?			
Are employees instructed to make preliminary inspections and/or appropriate tests to determine conditions before starting work on electrical equipment or lines?			
When electrical equipment or lines are to be serviced, maintained, or adjusted, are necessary switches opened, locked out or tagged, whenever possible?			
Are portable electrical tools and equipment grounded or of the double insulated type?			
Are electrical appliances such as vacuum cleaners, polishers, vending machines, etc., grounded?			
Do extension cords have a grounding conductor?			
Are multiple plug adaptors prohibited?			
Do you have electrical installations in hazardous dust or vapor areas? If so, do they meet the National Electrical Code (NEC) for hazardous locations?			
Are exposed wiring and cords with frayed or deteriorated insulation repaired or replaced promptly?			
Are flexible cords and cables free of splices or taps?			
Are clamps or other securing means provided on flexible cords or cables at plugs, receptacles, tools, equipment, etc., and is the cord jacket securely held in place?			
Are all cord, cable and raceway connections intact and secure?			
In wet or damp locations, are electrical tools and equipment appropriate for the use or location or otherwise protected?			
Are metal measuring tapes, ropes, hand-lines or similar devices with metallic thread woven into the fabric prohibited where they could come in contact with energized parts of equipment or circuit conductors?			
Is the use of metal ladders prohibited where the ladder or the person using the ladder could come in contact with energized parts of equipment, fixtures, or circuit conductors?			
Are all disconnecting switches and circuit breakers labeled to indicate their use or equipment served?			
Are disconnecting means always opened before fuses are replaced?			
Do all interior wiring systems include provisions for grounding metal parts of electrical raceways, equipment and enclosures?			

Are all electrical raceways and enclosures securely fastened in place?			
Are all energized parts of electrical circuits and equipment guarded against accidental contact by approved cabinets or enclosures?			
Is sufficient access and working space provided and maintained around all electrical equipment to permit ready and safe operations and maintenance?			
Are all unused openings (including conduit knockouts) in electrical enclosures and fittings closed with appropriate covers, plugs, or plates?			
Are electrical enclosures such as switches, receptacles, junction boxes, etc., provided with tight-fitting covers or plates?			
Are disconnecting switches for electrical motors in excess of two horsepower able to open the circuit when the motor is stalled without exploding? (Switches must be horsepower rated equal to or in excess of the motor rating.)			
Is low voltage protection provided in the control device of motors driving machines or equipment that could cause injury from inadvertent starting?			
Is each motor located within sight of its controller or is the controller disconnecting means able to be locked open or is a separate disconnecting means installed in the circuit within sight of the motor?			
Is the controller for each motor that exceeds two horsepower rated equal to or above the rating of the motor it serves?			
Are employees who regularly work on or around energized electrical equipment or lines instructed in cardiopulmonary resuscitation (CPR)?			
NOISE	*YES*	*NO*	*N/A*
Are there areas in the workplace where continuous noise levels exceed 85 decibels?			
Is there an ongoing preventive health program to educate employees in safe levels of noise, exposures, effects of noise on their health and the use of personal protection?			
Have work areas where noise levels make voice communication between employees difficult been identified and posted?			
Are noise levels measured with a sound level meter or an octave band analyzer and are records being kept?			
Have engineering controls been used to reduce excessive noise levels? Where engineering controls are determined to be infeasible, are administrative controls (i.e., worker rotation) being used to minimize individual employee exposure to noise?			
Is approved hearing protective equipment (noise attenuating devices) available to every employee working in noisy areas?			
Have you tried isolating noisy machinery from the rest of your operation?			
If you use ear protectors, are employees properly fitted and instructed in their use?			
Are employees in high noise areas given periodic audiometric testing to ensure that you have an effective hearing protection system?			

FUELING	*YES*	*NO*	*N/A*
Are employees prohibited from fueling an internal combustion engine with a flammable liquid while the engine is running?			
Are fueling operations performed to minimize spillage?			
When spillage occurs during fueling operations, is the spilled fuel washed away completely, evaporated, or are other measures taken to control vapors before restarting the engine?			
Are fuel tank caps replaced and secured before starting the engine?			
In fueling operations, is there always metal contact between the container and the fuel tank?			
Are fueling hoses designed to handle the specific type of fuel?			
Are employees prohibited from handling or transferring gasoline in open containers?			
Are open lights, open flames, sparking, or arcing equipment prohibited near fueling or transfer of fuel operations?			
Is smoking prohibited in the vicinity of fueling operations?			
Are fueling operations prohibited in buildings or other enclosed areas that are not specifically ventilated for this purpose?			
Where fueling or transfer of fuel is done through a gravity flow system, are the nozzles self-closing?			
MATERIALS HANDLING	*YES*	*NO*	*N/A*
Is there safe clearance for equipment through aisles and doorways?			
Are aisleways permanently marked and kept clear to allow unhindered passage?			
Are motorized vehicles and mechanized equipment inspected daily or prior to use?			
Are vehicles shut off and brakes set prior to loading or unloading?			
Are containers of liquid combustibles or flammables, when stacked while being moved, always protected by dunnage (packing material) sufficient to provide stability?			
Are hand trucks maintained in safe operating condition?			
Are pallets usually inspected before being loaded or moved?			
Are safety latches and other devices being used to prevent slippage of materials off of hoisting hooks?			
Are securing chains, ropes, chockers, or slings adequate for the job?			
Are provisions made to ensure that no one is below when hoisting material or equipment?			
Are MSDSs available to employees handling hazardous substances?			
TRANSPORTING EMPLOYEES AND MATERIALS	*YES*	*NO*	*N/A*

Do employees who operate vehicles on public thoroughfares have valid operator's licenses?			
When seven or more employees are regularly transported in a van, bus, or truck, is the operator's license appropriate for the class of vehicle being driven and are there enough seats?			
Are vehicles used to transport employees equipped with lamps, brakes, horns, mirrors, windshields and turn signals, and are they in good repair?			
Are transport vehicles provided with handrails, steps, stirrups, or similar devices, placed and arranged to allow employees to safely mount or dismount?			
Are employee transport vehicles equipped at all times with at least two reflective-type flares?			
Is a fully charged fire extinguisher, in good condition, with at least a 4 B:C rating maintained in each employee transport vehicle?			
When cutting tools or tools with sharp edges are carried in passenger compartments of employee transport vehicles, are they placed in closed boxes or containers that are secured in place?			
Are employees prohibited from riding on top of any load that could shift, topple, or otherwise become unstable?			
CONTROL OF HARMFUL SUBSTANCE BY VENTILATION	*YES*	*NO*	*N/A*
Is the volume and velocity of air in each exhaust system sufficient to gather the dusts, fumes, mists, vapors, or gases to be controlled, and to convey them to a suitable point of disposal?			
Are exhaust inlets, ducts and plenums designed, constructed and supported to prevent collapse or failure of any part of the system?			
Are clean-out ports or doors provided at intervals not to exceed 12 feet (3.6576 meters) in all horizontal runs of exhaust ducts?			
Where two or more different operations are being controlled through the same exhaust system, could the combination of substances involved create a fire, explosion, or chemical reaction hazard in the duct?			
Is adequate makeup air provided to areas where exhaust systems are operating?			
Is the source point for makeup air located so that only clean, fresh air, free of contaminants will enter the work environment?			
Where two or more ventilation systems serve a work area, is their operation such that one will not offset the functions of the other?			

SANITIZING EQUIPMENT AND CLOTHING	*YES*	*NO*	*N/A*
Is required personal protective clothing or equipment able to be cleaned and disinfected easily?			
Are employees prohibited from interchanging personal protective clothing or equipment, unless it has been properly cleaned?			
Are machines and equipment that process, handle, or apply materials that could injure employees cleaned and/or decontaminated before being overhauled or placed in storage?			
Are employees prohibited from smoking or eating in any area where contaminants are present that could be injurious if ingested?			
Are employees required to shower and wash their hair as soon as possible after a known contact with a carcinogen has occurred?			
When equipment, materials, or other items are taken into or removed from a carcinogen-regulated area, is it done in a manner that will not contaminate non-regulated areas or the external environment?			
TIRE INFLATION	*YES*	*NO*	*N/A*
Where tires are mounted and/or inflated on drop center wheels or on wheels with split rims and/or retainer rings, is a safe practice procedure posted and enforced?			
Does each tire inflation hose have a clip-on chuck with at least 2.54 inches (6.45 centimeters) of hose between the chuck and an in-line hand valve and gauge?			
Does the tire inflation control valve automatically shut off the air flow when the valve is released?			
Is a tire restraining device such as a cage, rack, or other effective means used while inflating tires mounted on split rims or rims using retainer rings?			
Are employees prohibited from standing directly over or in front of a tire while it is being inflated?			

Address Inspected: _____ Date: _____

_____

_____

_____

Inspected by: _____

(print)

_____

(signed)

SECTION 5: SAFETY, SECURITY AND EMERGENCY PREPAREDNESS PLAN (SSEPP)

What is *a Safety, Security and Emergency Preparedness Plan (SSEPP)?*

A Safety, Security and Emergency Preparedness Plan (SSEPP) documents a transportation system's process to make informed decisions for the system's operations, passengers, employees and communities regarding the development and implementation of a comprehensive security and emergency preparedness program.

This SSEPP, developed specifically for West Virginia's transportation systems, is designed to be used in conjunction with the WVDOT/DPT's **SPIDER** manual. The SSEPP references **SPIDER** in terms of specific content on planning, preparing, and responding to our mission and is intended to be used along with **SPIDER** to enhance a transportation system's safety, security and emergency preparedness.

Why Develop a *Safety, Security and Emergency Preparedness Plan (SSEPP)?*

Safety has always been a priority for the West Virginia Department of Transportation/Division of Public Transit (DPT) as well as a concern for all rural public transit operators in the state of West Virginia. The DPT has consistently emphasized the responsibilities of rural transit providers within the state to help keep our communities safe and moving. West Virginia's rural public transit systems are an integral component of the necessary infrastructure to respond to hazards, threats and emergencies of all kinds. These threats and emergencies include accidents and serious incidents, acts of nature, attacks on infrastructure, exposure to hazardous materials, criminal acts, and domestic or international terrorism. The extent to which some of these events in recent years have affected our country has brought a new awareness for the role that West Virginia's rural public transportation network can play in incident management.

Safety and security are issues that affect every aspect of West Virginia public transportation. Identifying and addressing potential threats and hazards can save lives, reduce injuries and reduce costs. Since safety and security are issues that are all encompassing, each West Virginia transportation system must designate safety and security as its top priority, and prepare to manage critical incidents.

The activities documented in an SSEPP focus on establishing responsibilities for safety, security and emergency preparedness, identifying a methodology for documenting and analyzing potential safety, security and emergency preparedness issues, and developing the management system through which a

transportation system can track and monitor our progress in addressing these issues.

The development and use of an SSEPP is an integral part to proactively live up to a transportation system's responsibilities to its employees, passengers, communities, state and nation.

How Do We Use the SSEPP?

The SSEPP provided as part of **SPIDER** is a template which can be customized to reflect your transportation system's individual policies and procedures. You will receive the SSEPP on a CD. Simply load the CD in your computer, open the SSEPP file, and save it to your computer hard drive. From this point, you can begin entering your system's information into the template.

SSEPP Training and Updates

The WVDOT/Division of Public Transit offers training for assisting a transportation systems with the initial development of its SSEPP. We strongly recommend that all transportation managers attend this training when offered. Once an SSEPP has been developed, however, it is the transportation system's responsibility to regularly review and update the plan to ensure that it reflects the current standard of operations of not only the transportation providers, but other emergency responders. For questions regarding SSEPP training, contact the DPT office at 304-558-0428.

WEST VIRGINIA
RURAL PUBLIC TRANSIT

[NAME OF TRANSIT AGENCY]

SAFETY, SECURITY AND EMERGENCY PREPAREDNESS PLAN (SSEPP)

With Supporting Documentation

[DATE]

West Virginia Department of Transportation

TABLE OF CONTENTS

PREFACE **4**

1. DEFINING THE MISSION **6**

1.1 INTRODUCTION 6
1.2 SYSTEM OVERVIEW 8
1.3 SAFETY AND SECURITY ROLES AND RESPONSIBILITIES 9
1.4 CRITICAL ASSETS 12

2. ANALYZING HAZARDS AND THREATS **14**

2.1 OVERVIEW 14
2.2 HAZARD AND THREAT IDENTIFICATION 14
2.3 THREAT AND VULNERABILITY ANALYSIS 16

3. REDUCING VULNERABILITIES **18**

3.1 OVERVIEW 18
3.2 HIRING AND TRAINING 18
3.3 POLICIES AND PROCEDURE 19
3.4 FACILITIES READINESS 24
3.5 VEHICLE READINESS 24
3.6 SAFETY DATA ACQUISITION/ANALYSIS PROCEDURES 26
3.7 BEING THE EYES AND EARS OF THE COMMUNITY 26

4. PREPARING TO RESPOND **28**

4.1 OVERVIEW 28
4.2 COORDINATION WITH EMERGENCY MANAGEMENT 28
4.3 COORDINATION WITH FIRST RESPONDERS 28
4.4 NOTIFICATION METHODOLOGY 30
4.5 EXERCISES AND DRILLS 31

5. REACTING TO AN EVENT **32**

5.1 OVERVIEW 32
5.2 HAZARD AND THREAT REACTION 32
5.3 HAZARD AND THREAT PROTOCOLS 33

6. MANAGING THE INCIDENT **34**

6.1 NATIONAL INCIDENT MANAGEMENT SYSTEM (NIMS) 34
6.2 INCIDENT COMMAND SYSTEM (ICS) 34
6.3 TRANSIT INCIDENT MANAGEMENT 34

7. ACTIVATING AND UPDATING SSEPP **35**

7.1 OVERVIEW 35
7.2 ACTIVATION 35
7.3 EVALUATION AND MODIFICATION OF SSEPP 35
7.4 UPDATING SSEPP 36

APPENDIX A **37**

SSEPP SUPPORTING DOCUMENTS 38
CAPABILITIES ASSESSMENT *39*
CRITICAL ASSET ANALYSIS *43*
CRITICAL ASSET VULNERABILITY ACTION REPORT *45*
HAZARD AND THREAT ASSESSMENTS *47*
PRIORITIZED RISK REDUCTION STRATEGIES *54*
MEMORANDUM OF UNDERSTANDING BETWEEN [NAME OF TRANSIT AGENCY] AND COMMUNITY EMERGENCY MANAGEMENT *56*

MEMORANDUM OF UNDERSTANDING BETWEEN [NAME OF TRANSIT AGENCY] AND FIRST RESPONDERS 58
INTERNAL AND EXTERNAL CONTACT LISTS 60
SUCCESSION LIST 63
MEMORANDUM OF EXECUTIVE APPROVAL 65

APPENDIX B 67

SAFETY, SECURITY AND EMERGENCY PREPAREDNESS PROTOCOLS 68
SERIOUS TRANSIT VEHICLE ACCIDENT/INCIDENT 69
TRANSIT VEHICLE FIRE 70
COMMUNITY EVACUATION 71
CONTRACTOR SERIOUS ACCIDENT/INCIDENT 72
DANGEROUS PERSON(S) ON TRANSIT PROPERTY 73
SHOOTER OR HOSTAGE SITUATION ON TRANSIT VEHICLE 74
SUSPICIOUS ITEM ON TRANSIT VEHICLE 75
TRANSIT SYSTEM SHUTDOWN 76
SUSPICIOUS ITEM IN OR NEAR TRANSIT FACILITY 77
DANGEROUS PERSON ON TRANSIT VEHICLE 78

APPENDIX C 79

SSEPP ACTION AND STATUS CHECKLIST 80

PREFACE

Safety has always been a priority for the West Virginia Department of Transportation as well as a concern for all rural public transit operators in the state of West Virginia. The West Virginia Department of Transportation has consistently emphasized the responsibilities of rural transit providers within the state to help keep our communities safe and moving. As a result of 9/11 and the transit attacks in Spain and Great Britain, there are heightened concerns throughout the nation and West Virginia that have required the focus on safety to expand to include transit security and emergency preparedness. It's not just that our eyes were opened to the possibility of terrorism against our homeland and that transit can be the focus of that criminal activity, but the realization that West Virginia's rural public transit systems are an integral component of the necessary infrastructure to respond to hazards, threats and emergencies of all kinds. These threats and emergencies include accidents and serious incidents, acts of nature, attacks on infrastructure, exposure to hazardous materials, criminal acts, and domestic or international terrorism. The destruction wrought by Hurricane Katrina and other recent acts of nature such as tornadoes, flooding, and severe winter weather has brought a new awareness for the role that West Virginia's rural public transportation network can play in incident management. The West Virginia Department of Transportation has made it clear that all transit systems within the state, large and small, rural and urban, must live up to their responsibilities to their respective communities by being ready to respond to a crisis; be it man-made or nature's own upheaval.

Safety and security are issues that affect every aspect of West Virginia public transportation. Identifying and addressing potential threats and hazards can save lives, reduce injuries and reduce costs. Since safety and security are issues that are all encompassing, each West Virginia transportation system must designate safety and security as its top priority, and prepare to manage critical incidents.

Consistent with requirements established by both the Federal Transit Administration and the West Virginia Department of Transportation to address safety, security and emergency preparedness in all aspects of our organizational development, [NAME OF TRANSIT AGENCY] has developed this Safety, Security and Emergency Preparedness Plan (SSEPP). This SSEPP outlines the process used by our agency to make informed decisions that are appropriate for our operations, passengers, employees and communities regarding the development and implementation of a comprehensive security and emergency preparedness program.

This SSEPP is designed to be used in conjunction with the expanded and revised West Virginia Department of Transportation SPIDER document. This SSEPP references the SPIDER document in terms of specific content on planning, preparing, and responding to our mission. This SSEPP and the SPIDER are bookend tools used by [NAME OF TRANSIT AGENCY] in the enhancement of our safety, security and emergency preparedness.

As a result of this effort, [NAME OF TRANSIT AGENCY] achieves not only an effective physical security program, but also enhances our associations with the local public safety agencies in our service area. Improved communication increases their awareness of our resources and capabilities, and improves our readiness to support their efforts to manage community-wide

emergencies, including, accidents and incidents, acts of nature, hazardous materials, criminal activity, and domestic or international terrorism.

The activities documented in this SSEPP focus on establishing responsibilities for safety, security and emergency preparedness, identifying our methodology for documenting and analyzing potential safety, security and emergency preparedness issues, and developing the management system through which we can track and monitor our progress in addressing these issues.

The structure of this SSEPP focuses first on a description of [NAME OF TRANSIT AGENCY] mission and critical assets, then on identifying threats and vulnerabilities to the transit system and the environment in which it operates, followed by strategies for reducing vulnerabilities, methodology to react to possible hazardous or threatening events, and finally, preparing our transit staff to manage incidents in concert with external emergency management organizations and first responders. Appendix A of this SSEPP contains supporting documentation for all safety, security and emergency preparedness activities undertaken by [NAME OF TRANSIT AGENCY]. Appendix B of this SSEPP contains operational protocols for reacting to emergency events identified as potential vulnerabilities.

The development and use of this SSEPP by [NAME OF TRANSIT AGENCY] is an integral part of our pro-active attempt to live up to our responsibilities to our employees, passengers, communities, state and nation. This SSEPP meets the safety, security and emergency preparedness standards we have set for our own agency and is consistent with the expectations of the West Virginia Department of Transportation and the Federal Transit Administration.

1. DEFINING THE MISSION

1.1 Introduction – Establishing the parameters of the plan

1.1a. - AUTHORITY

The authority for implementing the SSEPP resides with the [NAME OF TRANSIT AGENCY] [NAME OF TRANSIT MANAGER and TITLE] and the [NAME OF OVERSIGHT AUTHORITY].

1.1b. - PURPOSE

This SSEPP defines our process for addressing safety, security and emergency preparedness as:

- **System Safety –** The application of operating policies and procedures to reduce vulnerability to safety-related hazards.

- **System Security –** The application of operating policies and procedures to reduce vulnerability to security threats.

- **Emergency Preparedness –** The system of policies and procedures that assure rapid, controlled, and predictable responses to a wide variety of safety and/or security incidents.

The SSEPP supports [NAME OF TRANSIT AGENCY] efforts to address and resolve critical incidents on our property and within our community.

Critical Incidents – May include accidents, natural disasters, crimes, terrorism, sabotage, civil unrest, hazardous materials spills and other events that require emergency response. Critical incidents require swift, decisive action from multiple organizations, often under stressful conditions. Critical incidents must be stabilized prior to the resumption of regular service or activities.

The overall purpose of [NAME OF TRANSIT AGENCY] SSEPP is to optimize -- within the constraints of time, cost, and operational effectiveness -- the level of protection afforded to [NAME OF TRANSIT AGENCY] passengers, employees, volunteers and contractors, and any other individuals who come into contact with the system, both during normal operations and under emergency conditions.

This SSEPP demonstrates the [NAME OF TRANSIT AGENCY] commitment to do the following:

- **Prepare**
  - Identify assets essential to our mission
  - Identify key players of our mission
  - Identify key threats facing our agency and our community

- Establish reactive policies, procedures and protocols
- Coordinate with emergency response organizations

- **Prevent**
  - Take steps to protect system assets and eliminate threats where possible
  - Increase training and awareness

- **Respond**
  - React quickly and decisively to critical events and incidents

- **Recover**
  - Assess incident response actions
  - Repair and replace critical assets
  - Plan for the future based on lessons learned

1.1c. - GOALS

The SSEPP provides [NAME OF TRANSIT AGENCY] with a safety, security and emergency preparedness capability that:

- Ensures that safety, security and emergency preparedness are addressed during all phases of system operation, including the hiring and training of agency personnel; the procurement and maintenance of agency equipment; the development of agency policies, rules, and procedures; and coordination with local public safety and community emergency planning agencies.

- Promotes analysis tools and methodologies to encourage safe system operations through the identification, evaluation and resolution of threats and vulnerabilities, and the ongoing assessment of agency capabilities and readiness.

- Creates a culture that supports employee safety and security and safe system operations (during normal and emergency conditions) through dedicated compliance with agency rules and procedures and the appropriate use and operation of equipment and resources.

1.1d. - OBJECTIVES

In this new environment, every threat cannot be identified and eliminated, but [NAME OF TRANSIT AGENCY] takes steps to be more aware, to better protect passengers, employees, facilities and equipment, and stand ready to support community needs in response to a critical incident. To this end, our SSEPP has five objectives:

1. Achieve a level of security performance and emergency readiness that meets or exceeds the operating experience of similarly-sized agencies around the nation.

2. Partake in and strengthen community involvement and participation in the safety and security of our system.

3. Develop and implement a Threat and Vulnerability Assessment program and, based on the results of this program, establish a course of action for improving physical safety and security measures and emergency response capabilities.

4. Expand our training program for employees, volunteers and contractors to address safety and security awareness and emergency management concerns.

5. Enhance our coordination with partner agencies regarding safety, security and emergency preparedness issues.

An Agency "CAPABILITIES ASSESSMENT" is found in APPENDIX A of this SSEPP.

1.1e. - DEFINITION

In this SSEPP, the terms "transit vehicle" or "bus" are used to describe all types of transit surface conveyances including sedans, mini-vans, vans, body-on-chassis, mini-transit buses and the wide range of full-size coaches.

1.2 System Overview – Who We Are and What We Do

1.2a. - ORGANIZATIONAL DESCRIPTION

[*Insert brief narrative providing a description of the organization and its services*]

1.2b. - MISSION STATEMENT

[*Insert mission statement*]

1.2c. - SERVICE AREA

[Briefly describe service area and population served, including geographic boundaries and unique features]

1.2d. - SERVICE DESIGN

[*Identify type(s) of service provided*]

1. Fixed Route
2. Demand Response

3. Route Deviation

1.2e. - VEHICLES AND FACILITIES

[*Identify and describe types of vehicles and facilities used by transit agency to provide service*]

1.3 Safety and Security Roles and Responsibilities – Who Has Responsibility for Addressing Risk

1.3a. - PHILOSOPHY

[NAME OF TRANSIT AGENCY] makes all efforts to ensure that, if confronted with a safety or security event or major emergency, [NAME OF TRANSIT AGENCY] personnel will respond effectively, using good judgment, ensuring due diligence, and building on best practices identified in rules and procedures and exercised through drills and training.

This level of proficiency requires the establishment of formal mechanisms to be used by all [NAME OF TRANSIT AGENCY] personnel to identify safety or security threats and vulnerabilities associated with [NAME OF TRANSIT AGENCY] operations, and to develop controls to eliminate or minimize them. The SSEPP also requires [NAME OF TRANSIT AGENCY] to:

- Coordinate with local law enforcement and other public safety agencies to manage response to any incident that occurs on a transit vehicle or affects transit operations, and

- Identify a process for integrating [NAME OF TRANSIT AGENCY] resources and capabilities into the community response effort to support the management of a major safety or security event affecting the community.

[NAME OF TRANSIT AGENCY] management expects all of our employees, volunteers and contractors to support this SSEPP.

1.3b. - DIVISION OF RESPONSIBILITIES

Transit Manager/Supervisors/Administrative Staff

The Transit Manager has the overall authority to develop and execute the [NAME OF TRANSIT AGENCY] SSEPP and ultimate accountability for its implementation. In addition, the Transit Manager is responsible for the following specific activities:

- Proactive leadership which supports safety, security & emergency preparedness planning
- Ensuring that sufficient resources and attention are devoted to the SSEPP, including:
    - Development of standard operating procedures related to employee safety and security duties;

  - Development and enforcement of safety and security regulations;
  - Development of emergency operating procedures to maximize transit system response effectiveness and minimize system interruptions during emergencies;
  - Provision of proper training and equipment to employees to allow an effective response to safety/security incidents and emergencies, including vehicle evacuation

- Development of an effective notification and reporting system for safety/security incidents and emergencies
- Designating a Point of Contact (POC) to manage the SSEPP
- Supporting and communicating safety, security and emergency preparedness as top priorities to all employees
- Developing relations with outside organizations that may participate in and contribute to the SSEPP, including local public safety and emergency planning agencies

Managers/Supervisors specific responsibilities include:

- Having full knowledge of all standard and emergency operating procedures
- Ensuring that drivers make safety, security and emergency preparedness a primary concern when on the job
- Cooperating fully with the SSEPP regarding any accident investigations as well as listening and acting upon any safety or security concerns raised by the drivers
- Immediately reporting security concerns to the transit manager or his/her point of contact

In addition, when supporting response to an incident, managers/supervisors:

- Provide leadership and direction to employees during safety and security incidents
- Determine when to call for assistance
- Make decisions regarding the continuance of operations
- Respond to safety or security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance
- Complete necessary safety and security related reports
- Coordinate with all outside agencies at incident scenes
- Assist employees in proactive planning for their family's safety during a community emergency
- Set up call out procedures to be used during normal operating hours and after normal operating hours

Administrative Staff responsibilities include:

- Ensuring all pre-employment screening processes are carried out effectively
- Being aware of employee disciplinary action that may result in the affected employee becoming a risk to [NAME OF TRANSIT AGENCY] facilities, systems, passengers, employees or other assets
- Educating employees on employee safety and security policy and procedure
- Ensuring that all training materials adopted by [NAME OF TRANSIT AGENCY] are current and reflect the best practices established by the transit industry

- Providing accurate and timely information regarding safety, security and emergency response incidents and activities.
- Designating a Public Information Officer (PIO) for media contact regarding safety/security incidents and issues
- Coordinating with partner agencies before, during and after critical incidents

Drivers

In addition to the general responsibilities identified for all personnel, drivers (including volunteers and contractors) are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing safety/security incidents, and in responding to transit and community emergencies. Each driver:

- Reports all safety or security incidents to agency dispatch
- Determines when to call for assistance
- Takes charge of any safety or security incident scene in which they are involved until the arrival of supervisory or emergency personnel
- Maintains control of the vehicle and other agency assets under their purview
- Completes all necessary safety and security-related reports
- Supports community emergency response activities as directed by [NAME OF TRANSIT AGENCY] policies and procedures
- Knows when and how to conduct a vehicle evacuation

Dispatchers

- Receive calls for assistance
- Dispatch supervisors and emergency response personnel
- Coordinate with law enforcement and emergency medical service communication centers
- Notify supervisory and management staff of serious incidents
- Establish on-scene communication
- Complete any required safety or security-related reports
- Provide direction to on-scene personnel

Mechanics (including volunteers and contractors)

- Report vandalism
- Report threats and vulnerabilities of vehicle storage facilities
- Maintain vehicles and facility security systems
- Provide priority response to safety and security requests for equipment and/or personnel

All Personnel

[NAME OF TRANSIT AGENCY] personnel understand and adopt their specific roles and responsibilities, as identified in this SSEPP, thereby increasing their own personal safety and security and that of their passengers during normal operations and in emergency conditions.

To ensure the success of the SSEPP, the following functions are performed by [NAME OF TRANSIT AGENCY] personnel:

- All suspicious activity, no matter how insignificant it may seem, is reported to the Transit Manager or his/her designee.
- All security incidents are immediately reported.
- Proper judgment is used by following crisis management guidelines when managing dangerous passengers and potentially volatile situations.
- All security and emergency preparedness training, including drills and exercises, is attended.
- Are familiar with, and operate within, all security and emergency preparedness procedures for the assigned work activity.
- The Transit Manager or his/her designee is notified when a physical or mental condition, or required medications or therapies, may impair the ability of an employee to perform security or emergency preparedness functions.

1.4 Critical Assets – Identifying the Important Elements of Our Organization Requiring Protection

1.4a. - OVERVIEW

In security terms, [NAME OF TRANSIT AGENCY] assets are broadly defined as people, information, and property. In public transportation, the people include passengers, employees, visitors, contractors, vendors, nearby community members, and others who come into contact with the system. Information includes operating and maintenance procedures, vehicle control and power systems, employee information, computer network configurations and passwords, and other proprietary information. Assets are critical when their loss either endangers human life or impacts the [NAME OF TRANSIT AGENCY] ability to maintain service. In reviewing assets, the transportation system has prioritized which among them has the greatest consequences for the ability of the system to sustain service. These critical assets may require higher or special protection.

1.4b. - ASSET ANALYSIS

In identifying and analyzing critical assets for the entire system under the full range of operational conditions, a simple process called “asset criticality valuation” has been performed by [NAME OF TRANSIT AGENCY]. This process helps [NAME OF TRANSIT AGENCY] management to prioritize the allocation of limited resources in protecting the most vital elements of its operation. In this asset analysis [NAME OF TRANSIT AGENCY] has considered the following:

- the value of the asset, including current and replacement value;
- the value of the asset to a potential adversary;
- where the asset is located;
- how, when, and by whom an asset is accessed and used; and
- if these assets are lost, what is the impact on passengers, employees, equipment, public safety organizations, the general public and our transportation operation.

An Agency "CRITICAL ASSET ANALYSIS" is found in APPENDIX A of this SSEPP.

2. ANALYZING HAZARDS AND THREATS

2.1 Overview

While safety addresses the day-to-day issues of transporting passengers in the community safely and without accident, security deals with the entire transit system and the potential for threats against it. Security also includes [NAME OF TRANSIT AGENCY] as part of the larger community and the response within the community to environmental hazards, criminal or terrorist acts, or natural disaster.

The [NAME OF TRANSIT AGENCY] Threat and Vulnerability Assessment provides an analytical process that considers the likelihood of a specific threat endangering the system. These assessments use a combination of quantitative and qualitative techniques to identify security requirements, including historical analysis of past events, intelligence assessments, physical surveys and expert evaluation. Effective Threat and Vulnerability Assessments include:

1. human and physical asset analysis;
2. hazard or threat identification;
3. vulnerability assessment;
4. countermeasure recommendations.

The Threat and Vulnerability Assessment offers [NAME OF TRANSIT AGENCY] the ability to identify critical assets and their vulnerabilities to hazards and threats, to develop and implement countermeasures to these hazards and threats, and to monitor and improve program effectiveness. This analysis is guided by clear investigation of three critical questions:

1. Which assets can we least afford to lose?
2. What is our responsibility to protect these assets?
3. Where do we assume total liability for risk and where do we transfer risk to others, such as local public responders, technical specialists, insurance companies, and the state and Federal government?

A "CRITICAL ASSET VULNERABILITY ACTION REPORT" is found in Appendix A of this SSEPP.

2.2 Hazard and Threat Identification

A threat is any action with the potential to cause harm in the form of death, injury, destruction of property, interruption of operations, or denial of services. [NAME OF TRANSIT AGENCY] threats include accidents and incidents, hazardous materials, fires, acts of nature, or any event that could be perpetrated by criminals, disgruntled employees, or terrorists.

Threat analysis defines the level or degree of the threats by evaluating the probability and impact of the threat. The process involves gathering historical data about hazardous or threatening events and evaluating which information is relevant in assessing the threats against [NAME OF TRANSIT AGENCY]. Some of the questions answered in our threat analysis include.

- How safe are vehicles and equipment?
- How secure is the transportation facility?
- What event(s) or act(s) of nature has a reasonable probability of occurring?
- Have similar-sized agencies been targets of criminal or terrorist acts in the past?
- How significant would the impacts be?

A vulnerability is anything that can make an agency more susceptible to a threat. This includes vulnerabilities in safety/security procedures and practices involving transit facilities, transit equipment and transit staff. Vulnerability analysis identifies specific weaknesses to hazards and threats that must be mitigated.

2.2a. – HAZARD AND THREAT IDENTIFICATION METHODOLOGY

The primary method used by [NAME OF TRANSIT AGENCY] to identify the hazards and threats to the transit system and the vulnerabilities of the system is the collection of historical data and incident reports submitted by drivers and supervisors and information provided by federal and state agencies and local law enforcement.

Information resources include but are not limited to the following:

- Incident/accident reports
- Maintenance reports
- Passengers' letters and telephone calls
- Statistical reports
- Historical data
- Information from public safety officials

[NAME OF TRANSIT AGENCY] reviews safety/security information resources and determines if additional methods should be used to identify system threats and vulnerabilities. This includes a formal evaluation program to ensure that safety/security procedures are maintained and that safety/security systems are operable. Safety/security testing and inspections are conducted to assess the vulnerability of the transit system. Testing and inspection includes the following three-phase approach:

1. Equipment preparedness
2. Employee proficiency
3. System effectiveness

2.2b. - IDENTIFIED TRANSIT SYSTEM HAZARDS AND THREATS

The [NAME OF TRANSIT AGENCY] has completed a Threat and Vulnerability Assessment for the following hazards and threats as defined within Section 2 of the West Virginia Department of Transportation SPIDER document:

- Accidents and Incidents
- Acts of Nature
- Critical Infrastructure
- Hazardous Materials
- Criminal Activity
- Terrorism

"HAZARD AND THREAT ASSESSMENT" forms are found in Appendix A of this SSEPP.

2.3 Threat And Vulnerability Analysis

The [NAME OF TRANSIT AGENCY] reviews current methods of threat and vulnerability resolution and establishes procedures to 1) eliminate; 2) mitigate; 3) transfer, and/or 4) accept specific risks. Prioritization of safety/security remediation measures are based on risk analysis and a course of action acceptable by [NAME OF TRANSIT AGENCY] management.

2.3a. - STRATEGIES TO MINIMIZE KNOWN THREATS AND VULNERABILITIES

Key strategies that [NAME OF TRANSIT AGENCY] employs to minimize the types of threats and vulnerabilities that potentially exist include:

- development and deployment of policies and procedures that address known hazards, threats and vulnerabilities
- discussion of other actions, strategies and procedures that might help safeguard against unknown/unforeseen threats and vulnerabilities
- training of drivers and other agency staff on all safety and security policies and procedures
- training of drivers and other agency staff on methodologies for handling safety and security emergencies
- training of drivers and staff on proper and effective use of emergency equipment and communication technologies and protocol
- purchasing sufficient insurance to adequately finance employee, customer, community related medical expenses along with replacement value of equipment and property loss after a safety/security incident

2.3b. - STRATEGIES TO MINIMIZE UNKNOWN THREATS AND VULNERABILITIES

[NAME OF TRANSIT AGENCY] initiates discussions about the types of security threats and vulnerabilities not yet defined that might impact its transit operations, and provides for periodic discussions to maintain a focus on safety/security. Mitigation strategies include:

- involving staff in the identification of threats and in the development of strategies to mitigate those threats
- ongoing attention to safety/security at periodic staff meetings
- continuing to place emphasis on security as a responsibility for all staff, no matter the specific job duties and responsibilities
- ongoing training on the various aspects of security related issues
- continued interface with outside security and emergency preparedness elements of the community

"PRIORITIZED RISK REDUCTION STRATEGIES" are found in Appendix A of this SSEPP.

3. REDUCING VULNERABILITIES

3.1 Overview

[NAME OF TRANSIT AGENCY] follows the guidelines provided by the Federal Transit Administration's (FTA) description of Core Elements addressing *Model Transit vehicle Safety Programs* in our internal focus on safety and the FTA's *Public Transportation System Security and Emergency Preparedness Planning Guide* in our internal focus on security.

3.2 Hiring and Training

3.2a. – DRIVER SELECTION

Driver selection is critical to [NAME OF TRANSIT AGENCY] safe transit operations. The driver of a [NAME OF TRANSIT AGENCY] transit vehicle is directly responsible for the safety of his or her passengers and also the safety of other drivers that share the road with the transit vehicle. The driver selection criterion addresses specific, safety-related items as presented in Section 1 of the West Virginia Department of Transportation SPIDER document.

3.2b. – DRIVER TRAINING

Driver training is critical to [NAME OF TRANSIT AGENCY] safe transit operations. The driver of a [NAME OF TRANSIT AGENCY] transit vehicle is directly responsible for the safety of his or her passengers and also the safety of other drivers that share the road with the transit vehicle. The driver training criteria addresses specific, safety-related items as presented in Section 1 of the West Virginia Department of Transportation SPIDER document. Detailed training is provided to all drivers in the following areas:

- Defensive Driving
- CTAA's PASS training (**P**assenger **A**ssistance and **S**ystem **S**afety)
- Crisis Management, including vehicle evacuation
- CPR/First Aid

3.2c. – TRAINING DOCUMENTATION

The [NAME OF TRANSIT AGENCY] maintains complete and accurate records of all driver training and certification, as well as the training materials and grading mechanism. Drivers are required to demonstrate skill and performance competency in the type of vehicle to which they are assigned as a part of training requirements. Because training transit operations personnel is not a one-time activity, [NAME OF TRANSIT AGENCY] provides ongoing/recurring training necessary to reinforce policies and procedures as well as to provide a mechanism to brief drivers on new policies, procedures and/or regulations. Documentation procedures are consistent with those outlined in Section 1 of the West Virginia Department of Transportation SPIDER document.

3.3 Policies and Procedures

3.3a. - OSHA REQUIREMENTS

[NAME OF TRANSIT AGENCY] periodically inspects its facilities and staff working conditions in order to ensure that the agency is a safe working environment and compliant with all applicable OSHA requirements. OSHA requirements are addressed in Section 1 of the West Virginia Department of Transportation SPIDER document.

3.3b. - EMERGENCY OPERATIONS POLICIES

[NAME OF TRANSIT AGENCY] has in place Operations Policies that address emergency response. Particular attention is given to the following issues:

Checking Weather and Other Hazardous Conditions

At [NAME OF TRANSIT AGENCY] management is responsible for checking weather and other reports to ensure it is safe to send vehicles on the road. The designated individual checks this information before each shift and at appropriate intervals, especially if severe weather is expected. Drivers performing their routes continuously assess road conditions, evaluating weather, construction, accidents, and other situations to ensure it is safe to proceed. Every effort is made to avoid sending drivers on routes if it is unsafe to do so. However, if a condition arises requiring a driver to abort a route, the dispatcher will contact the driver (or the driver will alert the dispatcher), and the dispatcher will provide instructions on how to proceed.

[NAME OF TRANSIT AGENCY] also maintains a dispatcher log, a narrative description of what occurs during each shift. This enables the incoming dispatcher to read the previous shift log and know what needs to be tracked, problem areas of concern, or what is going right and wrong.

Communication Systems

Radio and communication procedures are consistent with those outlined in Section 1 of the West Virginia Department of Transportation SPIDER document.

To ensure the safety of our drivers and passengers and to enhance the performance of our operations, all [NAME OF TRANSIT AGENCY] employees are familiar with two-way radio operations and we have provided for continued operation of our communication system after normal office hours. Basic radio operation procedures are as follows:

- Staff using the two-way radio follows the standard use practices of the FCC. Profanity, abusive language, or other inappropriate transmissions are not allowed, and could result in disciplinary action.
- All transmissions are as brief as possible.
- All base stations and vehicle units are tuned to the appropriate assigned frequency at all times.

- Staff initiates communications by first stating who they are calling, and then who is making the call. At the completion of the transmission both parties indicate that the transmission is completed by stating their call sign and "clear".
- Except in the event of an emergency, all staff listens for five seconds before transmitting to ensure there are no transmissions in progress. Other units' transmissions are not interrupted unless it is an emergency.
- When an emergency is declared, all non–emergency transmissions will cease until a supervisor clears the emergency.
- In the event of an emergency, communications are established on the primary frequency and are then immediately shifted to the secondary frequency. The nature of the emergency and what assistance is required is stated. To ensure appropriate help arrives promptly, staff transmits the following items as soon as possible:
  - Who they are and their location, in detail,
  - What assistance they need,
  - How many passengers they have and the nature of their condition(s),
  - Staff not involved with the emergency stay off the radio; communications are between Dispatch and the unit requesting assistance.
  - After initial contact, emergency communications may also take place between a supervisor and the unit, or between Dispatch and a supervisor.

Aborting or Changing Route Due to a Hazard

To the extent possible, [NAME OF TRANSIT AGENCY] avoids sending vehicles out in conditions that might pose a hazard. It is the responsibility of the management to check weather and other relevant conditions at the beginning of a shift, and on an ongoing basis, to safeguard the well being of passengers, employees, and others. If a hazard is encountered that causes it to be unsafe to continue on a route, agency policy is as follows:

- If the hazard is noted by the driver, he/she will call the dispatcher, describe the situation, and await further instruction.
- If the hazard is noted by staff other than the driver (e.g., the dispatcher becomes aware that a tornado is approaching), the dispatcher will contact the driver and provide direction.

Direction is as follows:

- To abort the route, and drive the passengers to the nearest emergency drop point (see policy on emergency drop points)
- To abort the route and return to the agency (particularly if there are no passengers on the vehicle)
- To drop off some or all passengers at the next stops and to then abort the route, following the instructions of the dispatcher (returning to the agency or using an emergency drop point)

With most hazards or emergencies, it is the primary policy of [NAME OF TRANSIT AGENCY] that the driver first, communicates with the dispatcher, describes the situation, and awaits instruction. The exception to this is in the case of an immediate life threatening situation when the driver will act first, then communicate. Policies are in place for a range of situations.

Emergency Drop Points

Emergency drop points are pre-designated safe locations that are used by drivers to drop off passengers whenever instructed to do so by the dispatcher or the designated backup. In the event of an emergency, the dispatcher ensures that the driver has been contacted and given instructions as to where to drop off passengers, and the estimated time to drop off.

Decisions on selection of drop points are based on the following:

- All points are manned
- Geographic distribution
- Physical safety of drop points
- Prioritization of passenger needs based on critical factors (i.e., medical needs of persons in the area, environmental conditions, etc.)
- Availability of on-site personnel to address passenger needs

Pre-existing agreements are in place for all drop points and the list of drop points is maintained by [NAME OF TRANSIT AGENCY] and reviewed on a quarterly basis.

Normal Hours Emergency Response Policy

When an outside emergency occurs in the community and specifically designated officials declare a state of emergency which requires transit agency participation, response, or awareness, the local emergency manager or their designee will contact [NAME OF TRANSIT AGENCY]. During normal hours the policy followed is:

- Initial contact is made by the emergency manager or his or her designee, using the first responder checklist maintained in the Emergency Management Plan.
- The most senior person on duty is the initial [NAME OF TRANSIT AGENCY] Emergency Response Coordinator (ERC). The ERC gives the individual calling a telephone number (or other means through which the ERC will remain constantly available) for updated emergency information communications during the emergency.
- The ERC performs the following functions:
  - Contacts all on-duty vehicles (by radio) to notify them that they are needed for an emergency response.
  - Directs all affected drivers to unload their passengers at a designated point and proceed to the staging area designated by [NAME OF TRANSIT AGENCY].
  - Records an approximate time of arrival (estimated time of arrival - ETA) at that staging area with notification upon arrival.
  - The ERC calls employees on the emergency phone list, informing them that [NAME OF TRANSIT AGENCY] is responding to a community emergency.
  - Establishes a [NAME OF TRANSIT AGENCY] incident command center at the transit facility or other available location as circumstances may dictate.
- The ERC remains in charge of all response activities throughout the emergency unless relieved by a more senior manager.
- The ERC has the authority to allocate all [NAME OF TRANSIT AGENCY] personnel and equipment as necessary to respond to the emergency at hand.

- The ERC continues to make efforts to contact all [NAME OF TRANSIT AGENCY] personnel.
- The ERC provides personnel and resources in the quantities requested and to various locations as may be directed by the emergency manager or his/her designee.
- The ERC remains on-duty in an active status until relieved or directed by the emergency manager or his/her designee that the transit agency's participation in the emergency response is no longer required.

After Hours Emergency Response Policy

When an outside emergency occurs in the community that requires transit agency participation, response, or awareness, the local emergency manager contacts [NAME OF TRANSIT AGENCY]. After normal operating hours, the policy followed is:

- Initial contact is made by the emergency manager or his/her designee using the emergency contact list the [NAME OF TRANSIT AGENCY] has supplied to them.
- Either the person receiving the call or the most senior person available is the initial [NAME OF TRANSIT AGENCY] Emergency Response Coordinator (ERC). The ERC gives the individual calling a telephone number (or other means) by which the ERC remains available for communications during the emergency.
- The ERC begins to call persons listed on the internal contact list, informing them that [NAME OF TRANSIT AGENCY] is responding to a community emergency. During this stage, the ERC:
  - Coordinates the opening of the transit facility where [NAME OF TRANSIT AGENCY] vehicles are located
  - Establishes a [NAME OF TRANSIT AGENCY] incident command center at the transit facility or other available location as circumstances may dictate.
- The ERC remains in charge of all response activities throughout the emergency unless relieved by a more senior manager.
- The ERC has the authority to allocate all [NAME OF TRANSIT AGENCY] personnel and equipment as necessary to respond to the emergency at hand.
- The ERC continues to contact all [NAME OF TRANSIT AGENCY] personnel.
- The ERC provides personnel and resources in the quantities requested and to various locations as may be directed by the emergency manager or his/her designee.
- The ERC remains on duty in an active status until relieved or directed by the emergency manager or his/her designee that the transit agency's participation in the emergency response is no longer required.
- The ERC maintains time annotated log of all activities as well as contact log.

Community Evacuation Procedures

[NAME OF TRANSIT AGENCY] provides evacuation and transportation support to the local emergency management function by assisting in community evacuation.

- **General**
  - At the direction of incident command or the transit base station, drivers pick up evacuees from specifically designated locations and transport them to designated shelters or secure locations
  - To the maximum extent possible, drivers track where special needs passengers are delivered
- **Transit Management**
  - Coordinates with local emergency management
  - Reports to the transit agency incident command center
  - Provides drivers with assembly points and conducts briefings
  - Determines the location of all shelters and identifies the logistical support required
  - Communicates this information to the transit base station and to supporting transit vehicles
  - Responds to changing requirements for transportation and evacuation support ss directed by the incident commander or his/her designee
  - Identifies support facilities for drivers
- **Dispatcher**
  - Establishes communications and provides support to transit management and local emergency management as requested
  - Notifies support social service and contract agencies of disruptions and/or cancellations of service
  - Sustains whatever level of routine operations is feasible
  - Begins contingency planning for driver replacement, rest, and recycling
- **Drivers**
  - Communicate with dispatch
  - Follow guidance provided by the transit incident command center, dispatch, and local emergency management
  - Do not take risks that place driver, passengers, or vehicle at significant risk
  - Help passengers, as needed, that have visual, hearing, or mobility impairments to get on or off the transit vehicle
  - Rest, refuel, and eat when possible
  - Notify transit management immediately if fatigue becomes a safety issue

3.3c. - DRUG AND ALCOHOL POLICIES

A critical element of [NAME OF TRANSIT AGENCY] commitment to safe operations is ensuring that our employees are not impaired due to the use of alcohol, illegal drugs, prescription drugs or over-the-counter medication. [NAME OF TRANSIT AGENCY] follows specific drug and alcohol protocol as outlined in Section 1 of the West Virginia Department of Transportation SPIDER document.

[NAME OF TRANSIT AGENCY] follows the requirements set forth under 49CFR Part 655 and 49CFR Part 40 Amended as mandated by the FTA. The bottom line is protection of the riding public and transit employees, and all efforts are geared toward this end. The [NAME OF TRANSIT AGENCY] drug and alcohol program includes specific policies, procedures and responsibilities, or references the appropriate master document containing that information.

3.4 Facilities Readiness

3.4a. – FACILITY SECURITY REVIEW

[NAME OF TRANSIT AGENCY] assesses on an ongoing basis the system's physical and procedural security systems and exposures. Findings from past and current threat and vulnerability assessments are of particular significance. [NAME OF TRANSIT AGENCY] follows facility security procedures as outlined in Section 3 of the West Virginia Department of Transportation SPIDER document.

The conditions affecting facility security change constantly. Employees come and go, a facility's contents and layout may change, various threats wax and wane, and operations may vary. Even such mundane changes as significant growth of bushes or trees around a facility's exterior may affect security by blocking the view to witness potential intruders. [NAME OF TRANSIT AGENCY] reviews our security measures periodically, as well as whenever facilities or other conditions change significantly. [NAME OF TRANSIT AGENCY] also does the following:

- updates risk assessments and site surveys;
- reviews the level of employee and contractor compliance with security procedures;
- considers whether those procedures need modification; and
- reviews on an ongoing basis the adequacy of its existing security systems.

3.4b. - BUS STOP LOCATIONS

When a decision is made to establish a bus stop, [NAME OF TRANSIT AGENCY] assesses bus stop locations to ensure that stops are located in the most secure areas possible. Guidelines for this assessment are:

- Highly visible
- Appropriately lit when possible
- Located in populated areas when possible
- Located away from unsafe areas
- Co-located with other activity centers when possible

3.5 Vehicle Readiness

3.5a. – ON-BOARD SAFETY EQUIPMENT

It is the policy of [NAME OF TRANSIT AGENCY] to maintain fully stocked first aid kits, biohazard cleanup packs, fire suppression equipment, vehicle emergency equipment, and emergency instructions in all vehicles consistent with Section 2 of the West Virginia Department of Transportation SPIDER document. Assigned drivers inspect their vehicles daily for emergency supplies and documents and record the results on the pre-trip inspection sheet. In addition, when a mechanic places a vehicle back in service, he/she ensures the required safety equipment is on the vehicle.

3.5b. – DRIVER'S VEHICLE CHECKLIST

[NAME OF TRANSIT AGENCY] drivers complete a vehicle pre-trip inspection checklist when putting a vehicle into service. This pre-trip inspection is consistent with safety requirements outlined in Section 1 and security requirements outlined in Section 3 of the West Virginia Department of Transportation SPIDER document.

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

3.5c. - MECHANIC'S VEHICLE CHECKLIST

[NAME OF TRANSIT AGENCY] mechanics or contracted mechanics complete a maintenance inspection checklist before putting a vehicle into service. This maintenance inspection is consistent with safety requirements outlined in Section 1 and security requirements outlined in Section 3 of the West Virginia Department of Transportation SPIDER document.

3.5d. - VEHICLE MAINTENANCE

[NAME OF TRANSIT AGENCY] provides proper maintenance of vehicles and equipment critical to the continued safe operation of the transit system consistent with practices described in Section 1 of the West Virginia Department of Transportation SPIDER document. Unsafe vehicles present unnecessary hazards to drivers, passengers, and other vehicles on the road. Basic vehicle maintenance practices regularly address safety-related vehicle equipment to ensure that no unsafe vehicles are dispatched for service. Safety-related vehicle equipment includes:

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

Most safety-related equipment is inspected during a pre-trip inspection to ensure that the vehicle is fit for service. [NAME OF TRANSIT AGENCY] has an established formal plan to address the maintenance requirements of our vehicles and equipment. The vehicle maintenance program addresses the following categories:

- **Daily servicing needs** – This relates to fueling, checking and maintaining proper fluid levels (oil, water, etc), vehicle cleanliness, pre- and post-trip inspections and maintenance of operational records and procedures.

- **Periodic inspection** – These activities are scheduled to provide maintenance personnel an opportunity to detect and repair damage or wear conditions before major repairs are necessary. Inspection items include suspension elements, leaks, belts, electrical connections, tire wear, and any noticeable problems**.**

- **Interval related maintenance** – This focus is to identify wear, alignment, or deterioration problems of parts or fluids. Replacement intervals of these items are determined through transit agency experience and manufacturer recommendations.

- **Failure maintenance** - Regardless of the preventative maintenance activities, in-service failures will occur. When a failure is encountered that makes the vehicle unsafe or unable to continue operation, the vehicle is removed from service and returned to the garage for repair.

3.5e. – VEHICLE STORAGE

When possible, [NAME OF TRANSIT AGENCY] vehicles are stored indoors or within a well-lighted fenced in area outdoors.

3.6 Safety Data Acquisition/Analysis Procedures

To [NAME OF TRANSIT AGENCY] understanding, safety data is an important step toward allocating finite resources to implement safety program elements. Data on safety-related events such as

- passenger injuries or claims
- passenger complaints
- employee injuries
- accidents

is used to determine trends in system operations. The ultimate goal is to identify and mitigate hazards before they cause accidents, thus boosting system performance and delivery of service to the riding public.

Safety Data Acquisition/Analysis Procedures are monitored through the use of a safety and security review process as outlined in Section 1 of the West Virginia Department of Transportation SPIDER document.

3.7 Being the Eyes and Ears of the Community

3.7a. – TRANSIT WATCH

The [NAME OF TRANSIT AGENCY] supports Transit Watch and prepares all its employees to help promote safety and security within the community, region and nation.

Transit Watch was developed by the Federal Transit Administration (FTA) and encourages transit employees, transit riders and community members to be aware of their surroundings and alert to activities, packages or situations that seem suspicious. If something out of the ordinary

and potentially dangerous is observed, it is reported immediately to the proper transit supervisor who may investigate and/or notify law enforcement authorities.

3.7b. - BE ON THE LOOK OUT (BOLO) PROCEDURES

[NAME OF TRANSIT AGENCY] understands that it has a role to play in being a part of the eyes, ears and liability of the community and a part of the community's first line of defense. Therefore, it is vigilant and is committed to train and encourage all employees to be on the look out for any suspicious people, activities, vehicles, packages or substances. Because [NAME OF TRANSIT AGENCY] employees know their operating environment, know what is usual and unusual, they are taught to trust their gut reactions and report anything unusual, out of place or suspicious to dispatch/management who then immediately pass this information on to the appropriate authorities.

Consistent with Section 3 of the West Virginia Department of Transportation SPIDER document, all [NAME OF TRANSIT AGENCY] employees are expected to Be On the Look Out for and to report to the transit agency the following:

- suspicious items/packages
- suspicious vehicles
- suspicious people and activities

4. PREPARING TO RESPOND

4.1 Overview

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

4.2 Coordination with Emergency Management

Effective emergency response does not happen by accident. It is the result of planning, training, exercising, and intra/interagency cooperation, coordination and communication. Integration into the local community's emergency planning process is central to the success of the [NAME OF TRANSIT AGENCY] SSEPP and to the preparedness of the system.

In this SSEPP, [NAME OF TRANSIT AGENCY] defines its internal processes for identifying safety and security events, mitigating consequences and managing or assisting in incident response. For some systems, the process of preparing the SSEPP and documenting preparedness for security and other events may be sufficient planning. For other systems, the SSEPP is but one in a series of plans that document the system's emergency response capabilities and performance requirements. In the case of [NAME OF TRANSIT AGENCY], coordination with the local community is essential to successfully fulfill all SSEPP functions including threat mitigation, consequence management planning, exercising and training, and post-incident analysis.

A "MEMORANDUM OF UNDERSTANDING" between [NAME OF TRANSIT AGENCY] and Community Emergency Management is found in Appendix A of this SSEPP.

4.3 Coordination with First Responders

4.3a. – LAW ENFORCEMENT

[NAME OF TRANSIT AGENCY] Management regularly works with the local and state law enforcement to improve security and emergency/incident preparedness and response capabilities. These activities include:

- Maintaining regular communications with law enforcement
- Meeting at least once a year to ensure transit issues are understood by law enforcement

- Developing an emergency contact list for dispatchers
- Communicating regularly on optimal incident reporting methods that will offer law enforcement all the information they need
- Participating in cooperative emergency preparedness training programs
- Establishing appropriate methods of communication for continuous coordination during an emergency
- Establishing procedures for supplying the unique types of emergency service that may be required in particular emergency situations

4.3b. – FIRE

[NAME OF TRANSIT AGENCY] works with the local fire departments on a regular basis to support improved security and emergency/incident preparedness and response. This includes the following activities:

- Maintaining regular communications with fire services
- Establishing the level of service (e.g., equipment and personnel) to be delivered in response to various types of emergencies
- Specifying in advance the level of notification, command and control, and degree of responsibility that will apply on site
- Establishing appropriate methods of communication, and developing procedures for continuous coordination and transfer of command
- Providing training for fire department personnel to familiarize them with transit vehicles and equipment, including wheel chair lifts and access/egress procedures
- Conducting periodic drills in cooperation with the fire department
- Scheduling a meeting at least annually to ensure transit issues (e.g., evacuation of transit vehicles, considerations for persons with disabilities) are understood by fire officials
- Identifying any special tools and equipment the firefighters might need to address transit emergencies (particularly items that they would not normally possess) by inviting firefighters to visit the agency annually, and walking them through transit vehicles and facilities
- Reviewing current fire-related plans and policies
- Ensuring fire annunciation and evacuation procedures are part of the standard procedures and training for operators

4.3c. - EMERGENCY MEDICAL SERVICES

[NAME OF TRANSIT AGENCY] works with the local emergency medical services including hospitals on a regular basis to support improved medical response. Preparations include the following activities:

- Maintaining regular communications with EMS
- Scheduling a meeting on transit property or at the offices of EMS at least annually to ensure transit issues are understood by the organization
- Establishing appropriate EMS unit jurisdictions

- Establishing the level of service (equipment, personnel, etc.) to be delivered in response to various types and degrees of emergencies
- Establishing appropriate methods of communication for continuous coordination during a response
- Familiarizing EMS personnel with transit vehicles and facilities
- Conducting periodic drills in conjunction with EMS personnel

A "MEMORANDUM OF UNDERSTANDING" between [NAME OF TRANSIT AGENCY] and First Responders is found in Appendix A of this SSEPP.

4.3d. – TRAINING OF FIRST RESPONDERS ON TRANSIT EQUIPMENT

[NAME OF TRANSIT AGENCY] holds annual training with local first responders to improve familiarity with transit fleet, facilities and operations.

4.4 Notification Methodology

4.4a. – Internal Contact Information

[NAME OF TRANSIT AGENCY] maintains accurate and up-to-date internal contact information on key internal staff, officials and stakeholders required to respond to safety and security emergencies.

4.4b. – External Contact Information

[NAME OF TRANSIT AGENCY] maintains accurate and up-to-date external contact information on key community emergency management personnel and first responders to be notified in the case of safety and security emergencies.

Internal and External "CONTACT LISTS" are found in Appendix A of this SSEPP.

4.4c. – Succession Plan

[NAME OF TRANSIT AGENCY] has a plan to ensure continuity of management throughout any emergency incident. The succession plan provides for automatic delegation of authority. The succession plan designates the next most senior leader required to manage temporary duties normally assigned to higher-level personnel.

4.5

A "SUCCESSION LIST" reflecting [NAME OF TRANSIT AGENCY] emergency internal chain of command is found in Appendix A of this SSEPP.

4.5 Exercises and Drills

In crisis management as in sports, the transit agency plays the way it practices. That is why [NAME OF TRANSIT AGENCY] is committed to testing our emergency preparedness plans through disaster drills and exercises.

[NAME OF TRANSIT AGENCY] is committed to participating in community emergency response exercises. This commitment requires our system and community public response agencies to plan and conduct increasingly challenging exercises over a period of time. Implementation of such a program allows the collective community to achieve and maintain competency in executing the transportation component of local emergency response plans. The [NAME OF TRANSIT AGENCY] participation in exercises and drills is consistent with activities described in Section 2 of the West Virginia Department of Transportation SPIDER document.

5. REACTING TO AN EVENT

5.1 Overview

[NAME OF TRANSIT AGENCY] is committed to focusing on organizational emergency planning activities and preparing its transit staff to react to any potential threatening event. We understand that hazard and threat reaction planning and preparation is a dynamic and ongoing process which requires constant attention and organizational energy.

5.2 Hazard and Threat Reaction

[NAME OF TRANSIT AGENCY] has established procedures and trains employees on appropriate reaction to hazards and threats in a manner consistent with information provided in Sections 2 and 3 of the West Virginia Department of Transportation SPIDER document. Specific procedures and training address the following hazards and threats:

- Accidents and Incidents
  - Transit vehicle accidents
  - Transit passenger accidents
  - Employee accidents and incidents
- Acts of Nature
  - Floods
  - Winter weather
  - Tornadoes
  - Thunderstorms
  - Fires
  - Landslides/mudslides/rockslides/sinkholes
- Organizational Infrastructure
  - Vandalism and Trespassing
  - Theft and burglary
  - Workplace violence
  - Vehicle fires
  - Facility fires
  - Bomb threats and dangerous mail
- Hazardous Materials
  - Blood borne pathogens
  - Toxic incidents
  - Fuel related events
- Criminal Activity
  - Conflict, violence, or shooter on vehicle
  - Hostage situations on vehicle
- Domestic or International Terrorism
  - Improvised explosive devices
  - Chemical, biological, and radiological release

5.3 Hazard and Threat Protocols

[NAME OF TRANSIT AGENCY] developed specific protocols to address hazards and threats based on an identification of our vulnerabilities. These protocols are presented in Appendix B of this SSEPP. Specific protocols addressed are:

- Serious transit vehicle accident/incident
- Contractor serious accident/incident
- Transit vehicle fire
- Suspicious item on transit vehicle
- Suspicious item on or near transit facility
- Dangerous person(s) on transit vehicle
- Dangerous person(s) on transit property
- Shooter or hostage situation on transit vehicle
- Community evacuation
- Transit system shutdown

6. MANAGING THE INCIDENT

6.1 National Incident Management System (NIMS)

The management of [NAME OF TRANSIT AGENCY] is committed to train and work within the National Incident Management System (NIMS) structure as a part of the community emergency response team as per the requirements laid out at **http://training.fema.gov/EMIWeb/IS/is700.asp**. The [NAME OF TRANSIT AGENCY] follows NIMS procedures as outlined in Section 2 of the West Virginia Department of Transportation SPIDER document. This SSEPP takes an all-hazards approach using a common standard of efficient and coordinated response across multiple agencies which is consistent with the overall structure of NIMS.

6.2 Incident Command System (ICS)

The management of [NAME OF TRANSIT AGENCY] is committed to train and work within the Incident Command System structure as a part of the community emergency response team as per the requirements laid out in Section 2 of the West Virginia Department of Transportation SPIDER document and at:

http://training.fema.gov/EMIWeb/IS/is100.asp
http://training.fema.gov/EMIWeb/IS/is200.asp
http://training.fema.gov/EMIWeb/IS/is700.asp

6.3 Transit Incident Management

[NAME OF TRANSIT AGENCY] frontline employees may be responsible for managing security incidents and threats (potential or actual). These employees are taught to assess the situation and decide on the appropriate action. It is also their responsibility to manage incidents and threats until emergency responders arrive. They are instructed to serve as a resource to emergency responders until the incident or threat is resolved.

[NAME OF TRANSIT AGENCY] follows the procedures and trains employees on incident management based on the methodologies and practices described in Section 2 of the West Virginia Department of Transportation SPIDER document. These methodologies and practices include:

- Incident management priorities
- Incident management requirements
- Incident management constraints
- Incident management steps
- Emergency information dissemination
- Incident recovery

7. ACTIVATING AND UPDATING SSEPP

7.1 Overview

[NAME OF TRANSIT AGENCY] management is committed to provide safe, secure and reliable services for its passengers and employees. It is committed, as well, to be a safety, security and emergency preparedness resource to the community, region and state. Towards this end the SSEPP is an important and ongoing cornerstone of this system's transit operation.

Complete the SSEPP "ACTION AND STATUS CHECKLIST" found in Appendix C of this SSEPP by indicating the status of each item on the checklist as Not Done, Underway, Completed, or Ongoing.

7.2 Activation

This SSEPP has been activated through a Memorandum of Executive Approval which has been shared with all employees of [NAME OF TRANSIT AGENCY] and all key officials and stakeholders within the community.

7.3 Evaluation and Modification of SSEPP

This SSEPP is a "living document" and addresses issues associated with system security and emergency preparedness on a timely and proactive basis. It is incumbent upon all appropriate personnel of the [NAME OF TRANSIT AGENCY] to constantly evaluate the effectiveness of this SSEPP and the effectiveness of its implementation.

The SSEPP is thoroughly reviewed periodically (annually at a minimum). Any changes in information are updated more frequently, on an as-needed basis. The [NAME OF TRANSIT AGENCY] management is responsible for this review. The review includes the following factors:

- Reviewing factual information, including names and phone numbers contained in the plan
- Reevaluating employee knowledge and awareness
- Revising programs and procedures included in the SSEPP
- Performing an annual review of chain of command and updating information as appropriate
- Coordinating with designated backup locations that are to be used for operational relocation during an emergency, ensuring they are cognizant of agreements in place.

In addition to regular, periodic reviews, certain events may require revision to the SSEPP, including, for example, the following:

- The addition of new members to the organization and outside the organization with specific roles identified in the SSEPP
- New operations or processes that affect the SSEPP
- New or renovated facilities or changes in layout
- Changes in relationships with outside agencies
- Changes in the identification of potential threats and accompanying vulnerabilities

Following use of the SSEPP in emergency situations, the [NAME OF TRANSIT AGENCY] Management reviews the organization's response against the procedures and requirements outlined in the SSEPP. Based on this review, Management identifies areas that can be improved or adjusted in the plan to ensure more effective responses in the future.

7.4 Updating SSEPP

After internal and external evaluations, and based upon SSEPP review findings, the [NAME OF TRANSIT AGENCY] Management will revise this SSEPP and any supporting documentation and training requirements to reflect new practices, policies and procedures. The revised SSEPP accompanied by a new Memorandum of Executive Approval will then be shared with all transit employees and all key officials and stakeholders within the community.

A "MEMORANDUM OF EXECUTIVE APPROVAL" of the SSEPP is found in Appendix A of this SSEPP.

Appendix A

Supporting SSEPP Documents

SSEPP SUPPORTING DOCUMENTS

[NAME OF TRANSIT AGENCY] has completed the following supporting documents as a part of its overall Threat and Vulnerability Assessment and Safety, Security and Emergency Preparedness Plan (SSEPP). These supporting documents are revised based on changing threat information, system vulnerabilities, emergency management structure and personnel working in a safety and security related capacity, either inside the organization or within the community.

- Capabilities Assessment
- Critical Asset Analysis
- Critical Asset Vulnerability Action Report
- Hazard and Threat Assessments
- Prioritized Risk Reduction Strategies
- Memorandum of Understanding between [NAME OF TRANSIT AGENCY] and Community Emergency Management
- Memorandum of Understanding between [NAME OF TRANSIT AGENCY] and First Responders
- Internal and External Contact Lists
- Succession List
- Memorandum of Executive Approval

CAPABILITIES ASSESSMENT

[NAME OF TRANSIT AGENCY] Capabilities Assessment

Adapted from the Federal Transit Administration

Section 1: Security Awareness & Threat Management

1. Does your system have policies in place to ensure that personnel check vehicles, rest rooms, parking areas, and stairways for unusual, out-of-place, or abandoned items?

□ Yes □ No □ N/A

2. Has your system trained its personnel on recognizing and reporting unusual, out-of-place, or unattended objects?

□ Yes □ No □ N/A

3. Has your system incorporated security concerns into procedures for pre-trip inspections, vehicle cleaning, and vehicle fueling?

□ Yes □ No □ N/A

4. Have appropriate personnel at your system received security or emergency management training from the FTA or another source?

□ Yes □ No □ N/A

5. Has anyone at your agency been certified in the National Incident Management System (NIMS) and/or the Incident Command System (ICS)?

□ Yes □ No □ N/A

Section 2: Preparedness Planning

1. Does your system have access to personnel with security management experience, knowledge, skills and abilities?

□ Yes □ No □ N/A

2. Does your system have standards for design, engineering, and procurement that consider safety and security risks?

□ Yes □ No □ N/A

3. Does your system apply standards for safety and security whenever additional routes and services are considered?

□ Yes □ No □ N/A

4. Does your system have an ongoing liaison program with local law enforcement and/or fire service?

□ Yes □ No □ N/A

5. Has your system documented its safety and security measures in plans and procedures?

□ Yes □ No □ N/A

6. Do your employees understand their roles and responsibilities for protecting passengers and other employees from safety and security threats?

□ Yes □ No □ N/A

7. Does someone from your agency participate in the Local Emergency Planning Committee?

□ Yes □ No □ N/A

Section 3: Safety & Security Management

1. Does your system have a designated safety/security point person and/or committee?

□ Yes □ No □ N/A

2. Does your system have specific plans for managing bomb threats?

□ Yes □ No □ N/A

3. Does your system have specific plans to guide facility and vehicle evacuations?

□ Yes □ No □ N/A

4. Does your system coordinate with neighborhood watch programs?

□ Yes □ No □ N/A

5. Has your system reviewed its procedures for managing mail and deliveries to assess security considerations?

□ Yes □ No □ N/A

6. Have your employees received training for dispute resolution and conflict management?

□ Yes □ No □ N/A

7. Has your system developed a program to address workplace violence?

□ Yes □ No □ N/A

Section 4: Threat & Vulnerability Assessment

1. Does your system have a current listing of its critical assets?

□ Yes □ No □ N/A

2. Does your system have a current assessment of specific hazards and threats to its operation?

□ Yes □ No □ N/A

3. Does your system have a prioritized listing of current vulnerabilities?

□ Yes □ No □ N/A

4. Does your system have a current program in place to reduce system vulnerabilities?

□ Yes □ No □ N/A

Section 5: Physical Security

1. Does your system require that employees wear badges or other forms of identification?

□ Yes □ No □ N/A

2. Does your system have procedures to log non-routine entries (e.g., visitors, personnel during off-shift, and personnel not normally assigned) to administrative facilities?

□ Yes □ No □ N/A

3. Does your system have procedures to verify the identity of a visitor before issuing a badge, pass, or credential?

□ Yes □ No □ N/A

4. Does your system have inventory control procedures for access badges, uniforms, and equipment?

□ Yes □ No □ N/A

5. Have system personnel been trained to challenge people who do not appear to belong in restricted areas or who do not have the appropriate identification displayed?

□ Yes □ No □ N/A

6. Does your system have gated perimeter fencing for storage of its revenue vehicles?

□ Yes □ No □ N/A

7. Are vehicle numbers visible on the top, side, front and rear of all vehicles?

□ Yes □ No □ N/A

Section 6: Emergency Response Capabilities

1. Does your system have an emergency plan?

□ Yes □ No □ N/A

2. Does your emergency plan specify use of the incident command system?

□ Yes □ No □ N/A

3. Does your system have a pre-identified incident response/safety review personnel?

□ Yes □ No □ N/A

4. Have your employees been trained in the emergency plans and procedures?

□ Yes □ No □ N/A

5. Does your system conduct routine simulation drills and incident exercises?

□ Yes □ No □ N/A

6. Does your system coordinate emergency response training with local first responders?

□ Yes □ No □ N/A

Section 7: Previous Experience

1. Has your system experienced an emergency in the last 12 months?
   □ Yes □ No □ N/A
2. Has your system experienced an emergency in the last decade?
   □ Yes □ No □ N/A
3. If yes, do you feel the agency responded as well as could be expected?
   □ Yes □ No □ N/A

CRITICAL ASSET ANALYSIS

CRITICAL ASSET ANALYSIS

Critical Assets	Level of Criticality (Rate as High, Medium, Low)	Level of Vulnerability (Rate as High, Medium, Low)
Vehicles		
Buses/vans		
Administrative vehicles		
Radios		
Fare boxes		
Other		
Maintenance Area In-house		
Entrances/exits		
Restrooms		
Equipment		
Other		
Contractor		
Storage Lots		
Vehicles		
Entrances/exits		
Fuel areas		
Other		
Office Facilities and Equipment		
Office furniture		
Computers		
Phone systems		
Radio system		
Entrances/exits		
Restrooms		
Storage areas		
Revenue collection facilities		
Employee parking lots		
Other		
Transit Support		
Transit Center		
Bus Stops		
Bus Shelters		
People		
Drivers		
Other staff		
Passengers		

CRITICAL ASSET VULNERABILITY ACTION REPORT

CRITICAL ASSET VULNERABILITY ACTION REPORT

Transit Assets	Elements of Vulnerability	Assessment of Adequacy of Current Levels of Protection	Action Required? Yes / No
Vehicles			
Transit vehicles			
Administrative vehicles			
Radios			
Fare boxes			
Other			
Maintenance Area In-house			
Entrances/exits			
Restrooms			
Equipment			
Other			
Contractor			
Storage Lots			
Vehicles			
Entrances/exits			
Fuel areas			
Other			
Office Facilities and Equipment			
Office furniture			
Computers			
Phone Systems			
Radio system			
Entrances/exits			
Restrooms			
Storage areas			
Revenue collection area			
Employee parking lots			
Other			
Transit Support			
Transit Center			
Bus Stops			
Bus Shelters			
Personnel			
Drivers			
Other staff			
Passengers			

HAZARD AND THREAT ASSESSMENTS

Accident and Incident Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Accidents & Incidents				
Minor Vehicle Collision				
Major Collision no injuries				
Major Collision injury/injuries				
Major Collision fatality				
Passenger Injury before boarding/ after alighting				
Passenger Fall on vehicle/no injury				
Passenger Fall on vehicle/injury				
Employee Injury				
Wheelchair Lift Failure/no injury				
Wheelchair Lift Failure/injury				
Injury Based on Securement Problem				

Organizational Infrastructure Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Organizational Infrastructure				
Trespassing				
Vandalism				
Employee Theft				
Bomb Threat				
Dangerous Mail				
Brief Power Outage				
Extended Power Outage				
Hard Drive Crash/Cyber Attack				
Loss of Landline Phone Service				
Loss Of Cell Phone Service				
Loss Of Radio System				
Minor Structural Fire				
Major Structural Fire				
Vehicle Fire without injuries				
Vehicle Fire with injury/fatality				

Acts of Nature Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Acts of Nature				
Flooding in community				
Flooding of transit facilities				
Severe Winter Weather				
Fog				
Tornado				
Severe Thunderstorms				
Fires				
Landslide/ Rockslide/ Mudslide/ Sinkhole				

Hazardous Materials Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Hazardous Materials				
Blood borne Pathogen Spill				
Toxic Release				
Fuel Related Event				

Criminal Activity Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Criminal Activity				
Non-employee Theft				
Menacing Behavior on Vehicle				
Assault on Vehicle				
Assault on Employees at or near facility				
Shooter on Vehicle				
Hostage Situation on Vehicle				

Domestic or International Terrorism Assessment

Threat/Hazard	**A.** **Likelihood** 1 = improbable 10 = certain	**B.** **Impact on Service Delivery** 1 = minor 10 = catastrophic	**C.** **Financial Impact** 1 = negotiable 10 = catastrophic	**Vulnerability Index** **(A+B+C)**
Terrorism				
Suspicious Item on Vehicle				
Improvised Explosive Device				
Chemical Weapon				
Biological Weapon				
Radiological Weapon				

PRIORITIZED RISK REDUCTION STRATEGIES

Prioritized Risk Reduction Strategies

	Vulnerabilities Identified	***Risk Reduction Actions Planned***
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

MEMORANDUM OF UNDERSTANDING BETWEEN [NAME OF TRANSIT AGENCY] AND COMMUNITY EMERGENCY MANAGEMENT

DRAFT MEMORANDUM OF UNDERSTANDING
[NAME OF TRANSIT AGENCY] AND EMERGENCY MANAGEMENT

Purpose: To establish specific agreement between transit agency staff and Community Emergency Management in the event of a community incident/emergency or an incident/emergency on board a transit vehicle or on transit agency property.

Policy/Authority: This Memorandum of Understanding is established by [NAME OF CITY/COUNTY] and covers and is agreed to by the following agency: [EMERGENCY MANAGEMENT].

Authority of Command:

1. The authority of command at any incident/emergency will lie with the first officer on the scene until such time as the officer assigned to the call arrives at the scene. At that point, the assigned officer is in command unless relieved by a supervisor or the [TITLE], or if the office relinquishes command to another officer because of specialized skills or assignment.

2. Whenever the [TITLE] is not available, the SUCCESSION STANDARD applies.

Interface/Coordination with Transit Agency:

1. In the event of an incident/emergency on board a transit vehicle or on transit agency property, [NAME OF TRANSIT AGENCY] will follow established protocols.

2. In the event of a community incident/emergency [NAME OF TRANSIT AGENCY] is available to assist as needed. This could include:
   - Assisting in the evacuation of citizens in the affected area,
   - Transporting First Responders to and from the scene
   - Using transit vehicles in the staging area as a protected environment for First Responders or victims of the incident/emergency
   - Evacuating the elderly and/or persons with disabilities to or from nursing home, or other care facilities
   - Other, as determined by agency management and/or the Incident Commander (IC).

3. The determination of the transit agency's response will be made by the Incident Commander in conjunction with the agency Manager or his/her designee.

_____ _____

Signature and Title Date

_____ _____

Signature and Title Date

MEMORANDUM OF UNDERSTANDING BETWEEN [NAME OF TRANSIT AGENCY] AND FIRST RESPONDERS

DRAFT MEMORANDUM OF UNDERSTANDING
[NAME OF TRANSIT AGENCY] AND FIRST RESPONDERS

Purpose: To establish specific agreement between transit agency staff and Community First Responders in the event of a community incident/emergency or an incident/emergency on board a transit vehicle or on transit agency property.

Policy/Authority: This Memorandum of Understanding is established by [NAME OF CITY/COUNTY] and covers and is agreed to by the following agencies: [POLICE, FIRE, ETC.].

Authority of Command:

1. The authority of command at any incident/emergency will lie with the first officer on the scene until such time as the officer assigned to the call arrives at the scene. At that point, the assigned officer is in command unless relieved by a supervisor or the [TITLE], or if the office relinquishes command to another officer because of specialized skills or assignment.

2. Whenever the [TITLE] is not available, the SUCCESSION STANDARD applies.

Interface/Coordination with Transit Agency:

1. In the event of an incident/emergency on board a transit vehicle or on transit agency property, [NAME OF TRANSIT AGENCY] will follow established protocols.

2. In the event of a community incident/emergency [NAME OF TRANSIT AGENCY] is available to assist as needed. This could include:
   - Assisting in the evacuation of citizens in the affected area,
   - Transporting First Responders to and from the scene
   - Using transit vehicles in the staging area as a protected environment for First Responders or victims of the incident/emergency
   - Evacuating the elderly and/or persons with disabilities to or from nursing home, or other care facilities
   - Other, as determined by agency management and/or the Incident Commander (IC).

3. The determination of the transit agency's response will be made by the Incident Commander in conjunction with the agency Manager or his/her designee.

_____ _____

Signature and Title Date

_____ _____

Signature and Title Date

INTERNAL AND EXTERNAL CONTACT LISTS

INTERNAL CONTACT LIST

Title	name	work phone	cell phone	home phone	home address
Transit Manager					
Operations Supervisor					
Maintenance Supervisor					
Administrative Staff					
Board Chair					
Insurance Contact					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Driver					
Mechanic					
Mechanic					
Mechanic					
Mechanic					

EXTERNAL CONTACT LIST

Title	name	work phone	cell phone	home phone	email	home address
Police						
Fire						
Emergency Medical Services						
Local Emergency Management						
Elected Official						
Elected Official						
Hospital Emergency Room						
Media Contact						
Media Contact						
Media Contact						

SUCCESSION LIST

[NAME OF TRANSIT AGENCY]

Succession of Personnel and Emergency Chain of Command

NAME, TITLE	WORK PHONE	CELL PHONE	HOME PHONE
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

MEMORANDUM OF EXECUTIVE APPROVAL

MEMORANDUM OF EXECUTIVE APPROVAL

To: All Employees, Volunteers and Contractors
From: [NAME OF EXECUTIVE AND TITLE]
Date: [DATE]
Subject: System Safety, Security and Emergency Preparedness Plan

It is the objective of [NAME OF TRANSIT AGENCY], to provide safe, secure and reliable service for its passengers and employees. To demonstrate our commitment, [NAME OF TRANSIT AGENCY] has developed this Safety, Security and Emergency Preparedness Plan (SSEPP).

[NAME OF TRANSIT AGENCY] has a sincere concern for the welfare and safety of its employees (and volunteers and contractors) as well as the public it serves. The operation and maintenance of [NAME OF AGENCY] requires a continual emphasis on security, from the procurement of new systems and equipment, through the hiring and training of employees, to the management of the agency and the provision of service. The security function must be supported by an effective capability for emergency response, both to support resolution of those incidents that occur on transit property and those events that affect the surrounding community served by [NAME OF AGENCY].

This SSEPP describes the policies, procedures and requirements to be followed by management, maintenance and operating personnel in order to provide a secure environment for agency employees, volunteers, and contractors, and to support community emergency response. All personnel are expected and required to adhere to the policies, procedures, and requirements established herein and to properly and diligently perform security related functions as a condition of employment or support for [NAME OF TRANSIT AGENCY].

[NAME OF TRANSIT AGENCY] management will provide leadership in promoting safety, security and emergency preparedness throughout the organization. The Executive and Staff will be continually and directly involved in formulating, reviewing and revising safety, security and emergency preparedness policies, goals and objectives. Each [NAME OF TRANSIT AGENCY] employee, volunteer and contractor is governed by the requirements and terms of this Plan, and must conscientiously learn and follow prescribed security and emergency rules and procedures. Each employee must operate safely, use equipment, tools and materials properly and be trained in the work rules and procedures for his/her areas of responsibility, including contingency plans for abnormal and emergency conditions. Each employee shall take active part in the identification and resolution of security concerns.

Supervisors shall actively participate in all activities regarding safety, security and emergency preparedness; shall fully cooperate with the policies and objectives specified in this Plan; and shall receive the full cooperation and support of executive management in their activities for improved security and emergency preparedness.

_____ _____

Executive Signature Date

APPENDIX B

Safety, Security and Emergency Preparedness Operational Protocols

SAFETY, SECURITY AND EMERGENCY PREPAREDNESS PROTOCOLS

This Appendix contains safety, security and emergency preparedness protocols for [NAME OF TRANSIT AGENCY]. The specific protocols contained herein are:

- SERIOUS TRANSIT VEHICLE ACCIDENT/INCIDENT
- CONTRACTOR SERIOUS ACCIDENT/INCIDENT
- TRANSIT VEHICLE FIRE
- SUSPICIOUS ITEM ON TRANSIT VEHICLE
- SUSPICIOUS ITEM ON OR NEAR TRANSIT FACILITY
- DANGEROUS PERSON(S) ON TRANSIT VEHICLE
- DANGEROUS PERSON(S) ON TRANSIT PROPERTY
- SHOOTER OR HOSTAGE SITUATION ON TRANSIT VEHICLE
- COMMUNITY EVACUATION
- TRANSIT SYSTEM SHUTDOWN

SERIOUS TRANSIT VEHICLE ACCIDENT/INCIDENT

- Driver - notify Dispatch of accident/incident, including location and number of injured people.
- Driver - respond to accident/incident scene by assisting passengers and reporting to law enforcement when they arrive, if Driver is capable.
- Dispatch - receives notification of accident/incident.
- Dispatch - contact First Responders if they're not already on the scene.
- Dispatch - send on-duty Supervisor to the scene.
- Dispatch - contact Management using "transit emergency call down list".
- Supervisor – go to the scene and check in with Driver and law enforcement to assess the situation and assist passengers as required.
- Supervisor – conduct on-site accident investigation
- Supervisor - report to Dispatch with assessment of accident/incident.
- Supervisor – takes Driver for drug and alcohol test if accident meets threshold.
- Dispatch - reroute service on affected route, as may be appropriate.
- Dispatch - send backup vehicle to the scene to transport uninjured passengers to their destination.
- Management - notify key officials and stakeholders.
- Management - notify family of Driver about accident/incident, and, if Driver is injured, the location of medical treatment facility.
- Management – do not do not go to hospital; do not make any public/on the record statements without legal consult.
- Management – participate in preparation of a media strategy including time and content of public information statement.
- Supervisor and Driver - complete required documentation including post-accident investigation.
- Dispatch - resume normal service delivery on affected route when appropriate.
- Management – debrief key officials and stakeholders.
- Management - ensure counseling is available for employee victims.

TRANSIT VEHICLE FIRE

- Driver sees/smells smoke, or sees flames.
- Driver - immediately bring vehicle power down. (Electrical system in engine compartment at back of vehicle?)
- Driver - evacuate the vehicle, immediately.
- Driver - evacuate passengers well away from the vehicle to minimize risk and behind a safe barrier if possible.
- Driver - use whatever means necessary to notify Dispatch of the fire situation. Information relayed must include location of vehicle and number of injured passengers, if any.
- Dispatch - tell Driver to immediately evacuate vehicle if Driver has not already done so.
- Dispatch - contact first responders about situation (location, number of injured passengers).
- Dispatch - send on-duty Supervisor to the scene.
- Dispatch - contact Management using "transit emergency call down list".
- Supervisor - go to the scene and check in with Driver and law enforcement to assess the situation and assist passengers as required.
- Supervisor – conduct on-site accident investigation
- Supervisor - report to dispatch with assessment of accident.
- Dispatch - reroute service on affected route, as may be appropriate.
- Dispatch - send backup vehicle to the scene to transport uninjured passengers to their destination.
- Management - notify key officials and stakeholders.
- Management - notify family of Driver about accident and if Driver is injured, location of medical treatment facility.
- Management – participate in preparation of a media strategy including time and content of public information statement.
- Supervisor and Driver - complete required documentation including post-accident investigation. .
- Dispatch - resume normal service delivery on affected route when appropriate.
- Management - debrief key officials and stakeholders.
- Management - ensure counseling is available for employee victims.

COMMUNITY EVACUATION

It is assumed that Management has disseminated the "transit staff emergency call-down list" to all key emergency management stakeholders.

Using the transit staff emergency call down list, emergency management/first responders have notified Management of the need for transit vehicles for evacuation purposes.

- Management - gather pertinent information from emergency management/first responders including:
    - number of vehicles required
    - number of Drivers required, if any,
    - time frame for staging
    - staging location

- Management -call maintenance staff (if existent) to report for work (if not already in house) in order to prepare vehicles for use.

- Management - contact operations staff to begin calling in required Drivers using "employee volunteer emergency phone list" (if needed, and they are not already in house).

- Management - determine whether there is a need to shut down system-wide service if it is presently in operation.

- Dispatch - follow standard "shut down procedures" if decision to shut down service was made.

- Maintenance staff - prepare vehicles for use in evacuation.

- Drivers or first responders - move vehicles to staging area and report to Incident Command.

- Management - report to staging area to act as liaison to Incident Commander.

- Drivers - upon completion of evacuation maneuvers, return vehicles to base.

- Drivers/Supervisors/Management - complete required documentation.

- Management - if necessary, make decision on when and how to resume normal service.

- Management - communicate to all affected employees the decision on whether and when normal service will resume.

- Management - participate in post-incident debriefing with emergency management.

CONTRACTOR SERIOUS ACCIDENT/INCIDENT

- Management – receives notification of accident/incident from Contractor
- Management – notify First Responders even if Contractor has already called them.
- Management – contact key officials and stakeholders.
- Management – go to the scene if it is still active to gather information.
- Management – ensure Contractor takes Driver for drug and alcohol test if accident meets threshold.
- Management – ensure that Contractor driver training records and vehicle maintenance records are put under lock and key.
- Management – do not go to hospital; do not make any public/on the record statements without legal consult.
- Management – participate in preparation of a media strategy including time and content of public information statement.
- Management - complete required documentation; do required incident follow-up as appropriate
- Management – conduct an internal investigation of contractor to ensure proper safety procedures were followed.

DANGEROUS PERSON(S) ON TRANSIT PROPERTY

- Transit Staff – sees trespasser on transit facility and determines that trespasser may be dangerous.

- Transit Staff – attempt to safely get a good look at trespasser(s) for physical description of trespasser (weapons, if any), location and direction of their movement.

- Transit Staff – proceed to a safe location; without compromising personal safety call 911 if possible, providing all possible information about trespassers.

- Transit Staff - without compromising personal safety, notify Management if possible.

- Management – once notified of dangerous person on property, make a call to 911 even if call is duplicative

- Management – if First Responders haven't arrived to direct scene, determine whether best response to protect the safety of all persons is to evacuate, relocate or shelter in place.

- Management – give appropriate instructions to all impacted persons on whether to evacuate, relocate or shelter in place.

- Management – establish a command location outside the perimeter of the facility, well away from exposure to risk; attempt to stop all individuals/vehicles from entering the perimeter.

- Management – report in to First Responders and await instructions.

- Management – notify key officials and stakeholders; provide updates as appropriate.

SHOOTER OR HOSTAGE SITUATION ON TRANSIT VEHICLE

- Driver – notify Dispatch (only if safe to do so without risk to yourself) using 10 codes or verbal codes if required for safety purposes, that a shooter/and or hostage taking situation is on vehicle; if possible, include location of vehicle and description of individual(s).

- Driver – if safe to do so, pull vehicle off the road and open doors, preferably in a public and well-lit location. Look for an opportunity to escape vehicle.

- Driver – if unsafe to do any of above, try to remain calm, cooperate with dangerous individual(s), follow instructions of perpetrator, and await arrival of First Responders.

- Driver – use empathy to establish a relationship with Perpetrator and attempt to engage person in dialogue, if safe to do so, including offering the Perpetrator the opportunity to get off the vehicle and escape at any time.

- Dispatch – receives notification of situation on vehicle.

- Dispatch – contact First Responders with information on location of vehicle and any other information provided by Driver.

- Dispatch – if communication from Driver discontinues, do not repeatedly attempt to re-contact Driver or say anything over the radio that could further incite dangerous person(s).

- Dispatch – contact on-duty Supervisor/Management.

- Supervisor – locate the vehicle (if position not given by Driver - either by dispatch log, AVL, etc.)

- Management – get someone to help Dispatch answer phones.

- Dispatch – reroute other vehicles away from affected route.

- Management – contact key officials and stakeholders.

- Management – participate in preparation of a media strategy including time and content of public information statement.

- Management – contact family of Driver.

- Management – once situation has been resolved by First Responders, instruct Dispatch to inform Drivers of return to normal route schedule. Send a back up vehicle or vehicle Driver to the impacted location.

- Management – assuming Driver is not injured in the incident, pull Driver out of service, complete appropriate documentation and ensure Driver received the opportunity for counseling.

- Management – debrief key officials and stakeholders on resolution of the incident.

SUSPICIOUS ITEM ON TRANSIT VEHICLE

- Driver – observe suspicious device/item (as defined through previous training) on vehicle.
- Driver – evacuate vehicle well away and if possible behind a firm barrier following pre-proscribed emergency procedures; do not use radio or cell phone within 300 feet of suspicious item/device.
- Driver – notify Dispatch (not using radio or cell phone within 300 feet of suspicious item/device) as to vehicle location and give a description of item/device; inform about evacuation.
- Dispatch – upon notification from Driver, if based on protocol or Driver indecision, Driver has not already evacuated vehicle instruct Driver to do so immediately.
- Dispatch – call First Responders – notify them of situation, including location of vehicle and description of item or device.
- Dispatch – notify Management of situation, including location of vehicle and description of item or device.
- Management – instruct Dispatch, as appropriate, to have all drivers pull off the roadway in a safe location, search their vehicles for any suspicious item/device and report back with search results.
- Management - if any other vehicle reports a suspicious item/device, all in-service vehicles must be immediately evacuated and First Responders informed of any other suspicious items/devices.
- Management - if multiple devices are found, all transit facilities should be searched for suspicious items/devices and evacuation of facilities initiated as may be required.
- Management – send Supervisor/other transit representatives to scene.
- Management – inform key officials and stakeholders of situation.
- Management – liaison with First Responders or Incident Commander and await further instructions.
- Management – once incident(s) has been addressed and direction is given that it is safe to resume service, give transit staff instructions for service resumption.

TRANSIT SYSTEM SHUTDOWN

Management has pre-established thresholds and triggers based on weather and other risks to determine when system shutdown is necessary.

Management has pre-established and coordinated for emergency drop-off points within the service.

- Management – based on direction from the city or the meeting of pre-established thresholds/triggers, determine that partial or total system shutdown is required.

- Management – inform Dispatch to initiate partial or total system shutdown.

- Dispatch – inform impacted Drivers that system shutdown has been directed and Drivers should take passengers to pre-designated drop off points and return to base.

- Drivers – go out of service; take passengers on board vehicle to pre-designated drop-off points and return to base.

- Management – contact appropriate officials to inform media about service discontinuance in order to get information out to the public.

- Dispatch – use call down list to notify all employees not already on duty, to not report for work until notified to do so.

- Drivers – secure vehicles upon return to base, and either go off duty or stay on duty in a stand-by status until further service determinations are made.

- Management – monitor situation to determine when and if regular or special service will be reinstated.

- Management – notify key officials and stakeholders that partial or total service has been discontinued; remain on call.

- Management – on instruction from key officials and stakeholders or based on pre-established thresholds/triggers, determine that service should be reinstated.

- Management – direct appropriate staff as to the time of service reinstatement and initiates notification process.

- Management – notify key officials and stakeholders as to time of service reinstatement.

- Dispatch – notify Drivers using the call down list as to time of service reinstatement and when to report for duty.

- Drivers and Maintenance – report for duty, prep vehicles, and put system back in service following AM pull out procedures.

- All hands – system renews normal operations.

SUSPICIOUS ITEM IN OR NEAR TRANSIT FACILITY

- Transit Staff – observe suspicious device/item (as defined through previous training) in or near a transit facility.

- Transit Staff – evacuate facility well away from building and if possible behind a firm barrier following pre-proscribed emergency procedures; do not use radio or cell phone within 300 feet of suspicious item/device.

- Ranking Staff Member – call First Responders – notify them of situation, including location and description of item or device.

- Ranking Staff Member – notify Management if not already present.

- Management – make decision whether or not to pull all vehicles out of service to search for suspicious items/devices.

- Management - if the decision is made for an all vehicle search, instruct staff as to appropriate mechanism to notify all vehicle Drivers to pull over and conduct a search for suspicious item/devices and report back.

- Management – if other items/devices are found within the system, immediately halt all service and evacuate all vehicles.

- Management – notify First Responders of situation, including locations and descriptions of items/devices.

- Management – inform City Manager and City Safety Officer of situation.

- Management – liaison with First Responders or Incident Commander and await further instructions.

- Management – once incident(s) has been addressed and direction is given that it is safe to resume service, give transit staff instructions for service resumption.

DANGEROUS PERSON ON TRANSIT VEHICLE

- Driver – notify Dispatch (only if safe to do so without risk to yourself) using 10 codes or verbal codes if required for safety purposes, that a dangerous person is on vehicle; if possible, include location of vehicle and description of individual(s).

- Driver – if safe to do so, pull vehicle off the road and open doors, preferably in a public and well-lit location.

- Driver – look for an opportunity to escape vehicle, and if safe to do so, assist other passengers in getting off vehicle.

- Driver – if unsafe to do any of above, try to remain calm, cooperate with dangerous individual(s) and await arrival of First Responders.

- Dispatch – receives notification of dangerous person on vehicle.

- Dispatch – contact First Responders with information on location of vehicle and description of dangerous person(s).

- Dispatch – if communication from Driver discontinues, do not repeatedly attempt to re-contact Driver or say anything over the radio that could further incite dangerous person(s).

- Dispatch – contact on-duty Supervisor.

- Dispatch – contact Management.

- Supervisor – locate the vehicle (if position not given by Driver - either by dispatch log, AVL, etc.)

- Supervisor – if situation on vehicle is ongoing and perceived as dangerous, do not approach vehicle, but contact First Responders and report back to Dispatch as to situation.

- Management – decide if rerouting other vehicles away from affected vehicle on route.

- Management – once situation has been resolved by First Responders, instruct Dispatch to inform Drivers of return to normal route schedule.

- Management - including sending a back up vehicle or vehicle Driver to the impacted location.

- Management – assuming Driver is not injured in the incident, pull Driver out of service, complete appropriate documentation and ensure Driver received the opportunity for counseling.

- Management – debrief key officials and stakeholders on resolution of the incident.

APPENDIX C

SSEPP ACTION AND STATUS CHECKLIST

SSEPP ACTION AND STATUS CHECKLIST (Page 1)

	NOT DONE	UNDERWAY	COMPLETED	ONGOING
1. Open electronic SSEPP document template and, using "Edit Find and Replace" software feature, change all shaded bracketed content to appropriately reflect the name of your transit agency and other information as identified.	☐	☐	☐	☐
2. Complete the *Capabilities Assessment* questionnaire found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
3. Add the requested information to the *System Overview* section of this SSEPP.	☐	☐	☐	☐
4. Ensure all transit employees are familiar with *Division of Responsibilities* as defined in Section 1.3 of this SSEPP.	☐	☐	☐	☐
5. Complete the *Critical Asset Analysis* found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
6. Complete the *Critical Asset Vulnerability Action Report* found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
7. Complete the *Hazard and Threat Assessment* forms found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
8. Complete the *Prioritized Risk Reduction Strategies* found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
9. Ensure *Driver Selection* process is consistent with Section 1 of SPIDER.	☐	☐	☐	☐
10. Ensure *Driver Training* process is consistent with Section 1 of SPIDER.	☐	☐	☐	☐
11. Ensure *Training Documentation* process is consistent with Section 1 of SPIDER.	☐	☐	☐	☐
12. Ensure *OSHA Requirements* are addressed consistent with Section 1 of SPIDER.	☐	☐	☐	☐
13. Establish *"Trigger" Threshold for Discontinuing Service* due to severe weather or other unsafe conditions.	☐	☐	☐	☐
14. Ensure staff follows all required B*asic Radio Operations Procedures*.	☐	☐	☐	☐
15. Establish E*mergency Drop Points* and negotiate agreements for use of these drop points.	☐	☐	☐	☐

SSEPP ACTION AND STATUS CHECKLIST (Page 2)

	NOT DONE	UNDERWAY	COMPLETED	ONGOING
16. Train staff on N*ormal and After-hours Emergency Response Policy*.	☐	☐	☐	☐
17. Develop C*ommunity Evacuation Policies and Procedures* involving use of transit vehicles in coordination with local emergency management.	☐	☐	☐	☐
18. Ensure D*rug and Alcohol Policies and Protocol* are consistent with 49CFR Part 65 and 49CFR Part 40 Amended as outlined in Section 1 of the SPIDER.	☐	☐	☐	☐
19. Follow F*acility Security Procedures* as outlined in Section 3 of the SPIDER.	☐	☐	☐	☐
20. Ensure all vehicles are equipped with appropriate O*n-board Safety Equipment* as outlined in Section 3 of the SPIDER.	☐	☐	☐	☐
21. Ensure drivers complete a V*ehicle* P*re-trip Inspection Checklist* when putting a vehicle into service consistent with Sections 1 and 3 of the SPIDER.	☐	☐	☐	☐
22. Ensure mechanics complete a *Vehicle* M*aintenance Inspection Checklist* before putting a vehicle into service consistent with Sections 1 and 3 of the SPIDER.	☐	☐	☐	☐
23. Ensure all *Vehicle Maintenance* is consistent with practices described in Section 1 of the SPIDER.	☐	☐	☐	☐
24. Ensure *Safety Data Acquisition/Analysis Procedures* are consistent with Section 1 of the SPIDER.	☐	☐	☐	☐
25. Train all employees to *Be On The Look Out (BOLO)* for suspicious people, activities, vehicles, packages, or substances consistent with information presented in Section 3 of the SPIDER.	☐	☐	☐	☐
26. Negotiate and complete *Memorandum of Understanding between your transit agency and Community Emergency Management* as found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐

SSEPP ACTION AND STATUS CHECKLIST (Page 3)

	NOT DONE	UNDERWAY	COMPLETED	ONGOING
27. *Set Up Training* for transit drivers by law enforcement on how to handle violent perpetrators on a vehicle.	☐	☐	☐	☐
28. *Set Up Training* for transit drivers by fire fighters on how to respond to a fire situation on a transit vehicle.	☐	☐	☐	☐
29. Negotiate and complete *Memorandum of Understanding between your transit agency and First Responders* as found in Appendix A (Supporting Documents) of this SSEPP	☐	☐	☐	☐
30. *Train First Responders* on transit vehicle and lift equipment operation.	☐	☐	☐	☐
31. Complete *Internal and External Contact Lists* as found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
32. Complete *Succession List* as found in Appendix A (Supporting Documents) of this SSEPP.	☐	☐	☐	☐
33. Develop a *Transit Staff Emergency Call-down List* and disseminate it to key emergency management stakeholders.	☐	☐	☐	☐
34. When possible, practice and participate in *Emergency Exercises and Drills* consistent with Section 2 of the SPIDER.	☐	☐	☐	☐
35. Modify to make system specific and train all employees on *Hazard and Threat Protocols* as presented in Appendix B (Safety, Security and Emergency Preparedness Operational Protocols) of this SSEPP.	☐	☐	☐	☐
36. Ensure that transit system management follows *National Incident Management System (NIMS)* as outlined in Section 2 of the SPIDER.	☐	☐	☐	☐
37. Ensure that transit system management follows *Incident Command System (ICS)* as outlined in Section 2 of the SPIDER.	☐	☐	☐	☐
38. Ensure all employees are trained on *Transit Incident Management Methodologies and Practices* as described in Section 2 of the SPIDER.	☐	☐	☐	☐

.

SSEPP ACTION AND STATUS CHECKLIST **(Page 4)**

	NOT DONE	UNDERWAY	COMPLETED	ONGOING
39. Complete *Memorandum of Executive Approval* as found in Appendix A (Supporting Documents) of this SSEPP	☐	☐	☐	☐
40. *Orient All Transit Employees* on all appropriate aspects of SSEPP content	☐	☐	☐	☐
41. *Evaluate and Modify SSEPP* on an annual basis or more often if circumstances dictate	☐	☐	☐	☐

.