

# **THE COMMUNITY TRANSPORTATION CERTIFIED SAFETY AND SECURITY OFFICER PROGRAM (CSSO)**

**PARTICIPANT**

**HANDBOOK**

*Supportive of the Memorandum of Understanding Partnership between  
the Community Transportation Association of America, the Federal Transit Administration,  
the American Public Transportation Association (APTA) and the American Association of  
State Highway and Transportation Officials (AASHTO)*

*Virtual Classroom Version*



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## TABLE OF CONTENTS

CSSO PROGRAM INTRODUCTION .....	1
INTRODUCTION TO SAFETY MANAGEMENT SYSTEM (SMS).....	3
CRITICAL AREA ONE: LEADERSHIP AND MANAGEMENT .....	9
CRITICAL AREA TWO: TRANSIT OPERATIONS .....	14
CRITICAL AREA THREE: VEHICLES AND MAINTENANCE .....	21
CRITICAL AREA FOUR: FACILITIES AND MAINTENANCE.....	26
CRITICAL AREA FIVE: PERSONNEL .....	30
CRITICAL AREA SIX: TRAINING .....	37
CRITICAL AREA SEVEN: ORGANIZATIONAL SAFETY.....	43
CRITICAL AREA EIGHT: ORGANIZATIONAL SECURITY.....	51
CRITICAL AREA NINE: COMMUNITY EMERGENCY RESPONSE PREPAREDNESS.....	58
ACTIVITIES THAT SUPPORT SMS IMPLEMENTATION AND OPERATION .....	63
APPENDIXES	
APPENDIX A: Safety Officer On-Site Assessment Checklist .....	68
APPENDIX B: Driver/Operator On-Board & Passenger Assistance Evaluation Form.....	79

## **CERTIFIED SAFETY AND SECURITY OFFICER PROGRAM INTRODUCTION**

The mission of the Certified Safety and Security Officer (CSSO) Program is to assist in improving the preparedness of public and community transportation managers to maximize their ability to provide safe and secure transit service.

This mission is undertaken through preparing managers to:

- Assess existing operations for safety and security risk factors
- Highlight system strengths for addressing safety and security
- Identify areas for improvement
- Develop safety, security and emergency preparedness programs

The program is designed to help a transit system identify key safety personnel throughout the organization; learn how to collect and use data to be proactive in determining risk factors and creating viable solutions to reduce liability; safely serve its customers; and fulfill its responsibilities in assisting in community emergency preparedness.

### **General Benchmarks for Safety, Security and Emergency Preparedness Excellence:**

The materials presented during this program provide baseline information on Safety Management System (SMS) principles and address the following critical areas with current industry best practices:

1. Leadership and Management
2. Operations
3. Vehicles and Maintenance (Including Contracted Vehicle Maintenance)
4. Facilities and Maintenance (Including Contracted Facility Maintenance)
5. Personnel
6. Training
7. Organizational Safety
8. Organizational Security
9. Community Emergency Response Preparedness

At a minimum, the Safety Officer is responsible for ensuring the transit agency has standards for the above critical areas. These standards should include, but are not limited to:

- Appropriate plans, policies and procedures
- Identified individual(s) with appropriate knowledge, skills and abilities to oversee the safety and security program
- Assurance that all safety-sensitive employees and supervisors are aware of and understand plans, policies and procedures
- Training all safety-sensitive employees to proficiency
- Evidence of employee compliance with procedures and protocols

## **Completing Your Certification**

To receive your CSSO certification, you must:

1. Complete the CSSO Application
2. Attend and participate in a 2-day CSSO virtual or live classroom.
3. Successfully pass the CSSO exam comprised of 80 multiple choice and true or false questions covering SMS and nine critical safety areas. An overall passing score of 70% is required. The exam will be taken at the conclusion of the CSSO course, and you will be notified of the test results.

**Your certification is valid for three-years from the completion date of the exam or on-site assessment.**

## INTRODUCTION TO SAFETY MANAGEMENT SYSTEM (SMS)

### SMS Background

On June 29, 2012, Congress passed the Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) and President Barack Obama signed the bill into law on July 6, 2012. The bill guides the United States Federal Surface Transportation spending. In addition, Map-21 granted Federal Transit Administration (FTA) authority to establish and enforce a new comprehensive framework to oversee the safety of public transportation throughout the United States.

On January 19, 2017, FTA announced the release of the National Public Transportation Safety Plan (National Safety Plan) in the Federal Register. The plan is not a rule. It is:

- FTA's strategic plan and primary guidance document for improving transit safety performance;
- A policy document and communications tool; and
- A repository of standards, guidance, best practices, tools technical assistance, and other resources.

The purpose of the National Safety Plan is to guide the national effort in managing safety risks and safety hazards within our nation's public transportation system and communicate FTA's SMS approach to improving the transit industry's safety performance. FTA expects to periodically update the National Safety Plan as new trends in risk management, emerging technologies, findings from research and other industry developments are offered.

The National Safety Plan does not include any mandatory requirements. However, federal transit law at 49 U.S.C. Section 5329(d)(1)(E) requires public transportation systems that receive federal financial assistance under 49 U.S.C. Chapter 53 to set performance targets based on the performance measures established by FTA in the National Safety Plan.

- **Fatalities** – total number of *reportable* fatalities and rate per total vehicle revenue miles by mode
- **Injuries** – total number of *reportable* injuries and rate per total vehicle revenue miles by mode
- **Safety Events** – total number of *reportable* events and rate per total vehicle revenue miles by mode
- **System Reliability** – the mean distance between major mechanical failures by mode. Major mechanical system failure that prevents a vehicle from completing of starting a scheduled revenue trip because movement is limited or because of safety concerns.

The 2017 National Safety Plan includes trends in public transit safety performance measures for 2009 through 2013 which are based on data reported by transit agencies to the National Transit Database (NTD). (Noteworthy is that the rates of fatalities, injuries, and events are significantly lower for fixed-route bus service than for demand response service.)

Thresholds for reportable fatalities, injuries and events are defined in the NTD Safety

and Security Reporting Manual. The 2017 Safety and Security Policy Manual includes the following definitions:

- Accident – an event that involves any of the following:
  - loss of life
  - report of a serious injury to a person
  - collision of rail transit vehicles
  - runaway train
  - evacuation for life safety reasons
  - train derailment
- Incident – an event that involves any of the following:
  - personal injury that is not serious
  - one or more injuries requiring medical transportation
  - damage to facilities, equipment, or facilities that disrupts the operations of a transit agency
- Event – an accident, incident or occurrence

### **Public Transportation Agency Safety Plan (ASP)**

On July 19, 2018, FTA released the final rule on public transportation agency safety plan requirements.

The rule has the following requirements:

- Section 5307 funded agencies operating 100 or fewer revenue service vehicles in peak service are required to develop an FTA compliant agency safety plan. This plan can be completed by the governing State agency for transportation providers falling into this category.
- Section 5307 funded agencies operating more than 100 revenue service vehicles in peak service are required to develop their own FTA compliant agency safety plan.
  - The plan must be approved by the agency board of directors or equivalent authority by December 31, 2020.
  - Small urban systems may have the state draft or certify their plan or may certify their own plan
  - The plan must be based on the Safety Management System (SMS) approach
  - The agency safety plan must contain performance target based on safety criteria established under the National Public Transportation Safety Plan
  - The agency safety plan must establish a process for annual review
- Agencies receiving Section 5310 and/or 5311 funding **ONLY** are not required **AT THIS TIME** to develop an FTA compliant safety plan. The safety plan requirements for 5307 systems should be considered as best practices for 5310 and/or 5311 funded agencies

- The detailed final rule can be found at <https://www.govinfo.gov/content/pkg/FR-2018-07-19/pdf/2018-15167.pdf>

## **Safety Management System (SMS) – A Brief Overview**

*SMS is about strategically applying resources to risk. To do this effectively, the organizational structure includes these elements:*

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

*SMS is scalable and flexible*

- SMS activities are scalable to the size of the transit agency and complexity of the service delivery model

*Key SMS activities*

- Collecting and analyzing safety data to proactively identify hazards
- Taking actions to mitigate the risk associated with the potential consequences of hazards
- Ongoing monitoring of risk through a system of safety controls
- Using data to support allocation of resources that promote and support safety performance

*Key features of SMS*

- Accountability for the management of safety at the highest level of the transit agency
- Collaboration between management and labor to ensure agreement on safety risk priorities
- Structure and strategic decision making for safety resource allocation
- Enhanced service safety performance through proactive safety risk analyses
- Increased confidence in safety risk controls through safety assurance
- Partnership and knowledge sharing between public transportation agencies, state agencies and the FTA
- A positive safety culture that supports safety communication and hazard reporting

### *The role of senior management in SMS*

- Senior management understands and accepts its role of accountability in promoting safety and managing the transit agency safety program
- Senior management ensures employee partnership and participation on all safety matters
- Safety Officer(s) provides ongoing communication about the SMS to all employees

### *SMS and the current safety structure*

- SMS builds on existing transit agency resources, both human and technical, and refocuses activities to more effectively use these resources
- SMS ensures that safety decision-making is integrated into the management processes that drive the organization

### *Public safety, emergency preparedness and SMS*

- SMS integrates public safety and emergency preparedness information into the assessment of risk
- SMS helps management and employees understand their total safety risk exposure and allows for resources to be applied strategically and effectively

### *SMS and safety culture*

- SMS facilitates a shift in attitudes for both management and employees concerning the importance of safety in day-to-day activities
- SMS emphasizes safety training and communication throughout the entire transit agency to ensure safety policies and procedures and hazard reporting needs are understood
- SMS encourages management and employees to work together to identify and mitigate safety risk

## SMS Components and Sub-Components

### *Safety Management Policy*

*This component addresses the management and organizational arrangements under which the SMS is implemented and operated.*

- Safety Management Policy Statement – *A brief statement that communicates executive leadership commitment to safety and SMS.*
- Safety Accountabilities and Responsibilities – *Clearly defined SMS organizational roles and responsibilities for the entire agency.*
- Integration with Public Safety and Emergency Management – *Internal transit agency safety management depends on strong relationships with law enforcement, fire and emergency management.*
- SMS Documentation and Records – *An effective methodology for maintaining strong documentation of all SMS related activities and data.*

## *Safety Risk Management*

*This critical component of SMS drives transit agency risk reduction.*

- *Safety Hazard Identification – Capturing safety hazard information from all available sources and analyzing those hazards for their potential consequences.*
- *Safety Risk Assessment and Mitigation – Assessing the probability and severity of hazards, prioritizing them, and creating risk mitigations based on this prioritization.*

## *Safety Assurance*

*Safety assurance and safety risk management work together in a continuous cycle and the effectiveness of overall transit agency safety management is evaluated through safety assurance activities.*

- *Safety Performance Monitoring and Measurement – Constantly evaluating individual and agency safety performance and making corrections, as required.*
- *Management of Change – Managing changes within the transit agency to reduce risk.*
- *Continuous Improvement – Commitment to constantly improve the agency’s SMS performance.*

## *Safety Promotion*

*The foundation of the SMS is laid through ongoing communication about safety and SMS up, down and across the organization along with comprehensive training on SMS roles and responsibilities.*

- *Safety Communication – Communicating up, down and across the transit agency to heighten awareness of safety risk, gather input on safety hazards, and provide information on safety mitigations.*
- *Competencies and Training – Provides employees an understanding of how to carry out their SMS roles and responsibilities.*

Note: For an explanation of the FTA’s “Safety Management System (SMS) Approach to Strengthening Transit Safety in the United States”, go to <https://www.transit.dot.gov/regulations-and-guidance/safety/safety-management-systems-sms-approach-strengthening-transit-safety>.

## Overarching Theme

Throughout all phases of SMS, there are four important questions that should be driving your process.

1. What are your most serious safety concerns? (Risk)
2. How do you know this? (Data)
3. What are you doing about it? (Resources)
4. Is what you are doing working? (Trending)

As you review, revise, and develop your internal safety policies and procedures, you need to ensure that whatever you have in place effectively leads you to answer these questions.

## CRITICAL AREA ONE: LEADERSHIP AND MANAGEMENT

*Critical Area Overview:* The Leadership and Management area includes how oversight of the transit system is handled; mission, vision and strategies, leadership and organizational structure; labor and employee relations; contractor oversight, safety plans and policies; safety committees and meetings; and customer service.

The foundation of any transit bus agency’s safety and security program is the strength of the management team and its commitment to the mission. This commitment to safety and security is reflected in organizational goals and objectives and the way an agency’s structure reinforces safety, security, and emergency preparedness values and priorities. Management must be proactive in planning its safety and security initiatives, including those initiatives that impact procurement of equipment and technology, information sharing, and training. The transit system management team effectively leads its workforce and contractors through both example and direction as they address the difficult challenges to all-hazards program planning and implementation.

### **Management Commitment**

Management commitment is exemplified by resource allocation, planning efforts and the development and adoption of safety and security policies that flow across all agency activities. This commitment to safety, security, and emergency preparedness programs starts at the very top of the agency, including its transit board or oversight entity, and ensures that policies and/or protocols are developed to support communication up, down, and across the agency. **It is critical that management’s role in safety, security, and emergency management is clearly identified and includes ongoing involvement in support of the safety and security functions.**

Employee participation and accountability are also critical to success. Effective policies are developed with input from agency stakeholders, including managers, supervisors and front-line employees, and are endorsed by the highest levels of leadership, including those responsible for monitoring and oversight of the transit system.

<b>Critical Area One: Leadership &amp; Management</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
Senior management is actively involved in safety and security program development and decision making.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Management sets formal safety and security goals with quantifiable objectives.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

**Mission, Values, and Strategies**

A well-written mission statement helps an agency maintain focus on its primary purpose and clarifies management’s expectations of the agency’s performance. Agency-wide strategic planning exercises are a tool to develop mission statements, goals, and objectives.

The cornerstone of any transit agency mission statement is ensuring employee and passenger safety and security. Excellent service requires a safe and secure environment as well as the ability for the system to effectively manage incidents that threaten passengers, employees or assets.

Executive management uses the mission statement to communicate to the entire organization what the agency aspires to achieve in service of its customers. Formal and quantifiable goals and objectives provide a compass for organizational safety and security success. The objectives will reflect the core values and culture of the agency and help define its best use of resources.

<b>Critical Area One: Leadership &amp; Management</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
There is a written values or mission statement for the organization, and it is pertinent to the organization’s transportation activities and emphasizes safety as a priority concern.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Organizational Structure**

A transit agency’s organizational structure defines the resources, authority, and responsibilities necessary for the agency to carry out its mission and meet its goals and objectives. The agency’s structure defines how it will safely and securely meet the needs of both customers and the community. The organizational structure is designed to promote processes for open and timely communication.

An organizational chart depicts reporting relationships and provides a map of departmental functions and responsibilities. Effective organizational structure defines safety, security, and emergency preparedness roles and determines how they are able to impact the highest level of decision-making.

<b>Critical Area One: Leadership &amp; Management</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
One or more individuals have been designated and are held accountable for the success of personnel and training programs.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
One or more individuals have been designated as responsible for safety and security.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>NotApplicable</b>	

### **Employee Relations**

The relationship between an agency's management and its employees directly affects the agency's ability to implement effective safety and security practices and develop and maintain a successful safety and security culture. Effective transit agencies maintain a positive relationship and an open line of communication between management and front-line employees regardless of whether or not employees are unionized or part of a collective bargaining agreement.

Safety and security is enhanced by an agency's efforts to solicit front-line employees input into safety and security decision making processes, maximize timely safety and security-related communication, and minimize employee vulnerability to hazards and threats. Developing and maintaining programs that support employee reporting of safety and security hazards, threats, and vulnerabilities is critical to achieving an effective safety management system.

<b>Critical Area One: Leadership &amp; Management</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The relationship between management and employees is effective and open to communication on safety and security organizational issues.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **CTAA Standards**

### **Management Commitment**

1. Senior management is actively involved in safety and security program development and decision-making.
2. The organization has a governing and / or advisory board that makes operational recommendations based on safety and security concerns.
3. If a transit system is part of a larger agency (i.e., municipality or human service agency), the larger agency recognizes the safety and security responsibilities of the transit system.

### **Mission, Values, and Strategies**

1. There is a written values or mission statement for the organization, and it is pertinent to the organization's transportation activities and emphasizes safety as a priority concern.
2. The organization has a strategic and / or business plan that ties together safety, security and emergency preparedness policies.
3. Management sets formal safety and security goals with quantifiable objectives.

### **Organizational Structure**

1. There is up-to-date documentation of the organizational structure.
2. A single, identifiable person has been identified as the Accountable Executive who has the ultimate responsibility for carrying out the agency safety plan; and control or direction over the human and capital resources needed to develop and maintain the agency's safety plan and asset management plan.
3. An adequately trained individual who has the authority and responsibility for day-to-day implementation and operation of the agency's safety plan, otherwise known as the Chief Safety Officer; reports safety concerns directly to the agency's chief executive officer, general manager, president, or equivalent officer.
  - a. Public transportation providers which operate more than 100 vehicles in peak revenue service must have a dedicated Chief Safety Officer.
  - b. Small public transportation providers can designate a Chief Safety Officer who also manages other functions.
4. Although safety is everyone's responsibility, one or more individuals must be designated in the agency as responsible for safety and security who will work with the Chief Safety Officer to implement the agency's safety plan.
5. The organization has a formal structure that defines chain of command and functional responsibilities regarding safety and security communications and operations.

## **Employee Relations**

1. The relationship between management and employees is effective and open to communication on organizational issues in reference to safety and security.
2. Front line employees are involved in the development of safety, security, or emergency preparedness protocols.
3. An agency-wide process which allows employees to report safety conditions and concerns to senior management without the fear of reprisal is in place and being utilized.
4. Employee safety reporting guidelines have been established and communicated throughout the organization. At a minimum they should include:
  - a. What to report
  - b. How to report
  - c. What managers should do when employees report safety concerns
  - d. How reports are to be documented and retained
  - e. How employees will receive feedback about the results of their report

## **CRITICAL AREA TWO: TRANSIT OPERATIONS**

*Critical Area Overview:* The Transit Operations critical area requires the use of safety data collected and consideration of risk factors that may be present in the processes of service design and delivery; vehicle procurement; operational policies and procedures, scheduling and dispatching and communications, contractor service delivery; internal emergency response; and fare handling security.

Transit bus agencies are only as strong as their infrastructures and supporting mechanisms. It is critical that infrastructure be maintained consistent with established regulations, standards, and manuals. Safety and security must be a top priority in the operations function of a transit agency; and the design and acquisition of transit facilities and assets.

The safety and security of employees and passengers must be at the forefront of decision-making. As there are numerous federal and state regulations that govern different aspects of public transportation service, it is critical that transit agency management is familiar with these regulations as well as any applicable standards. A transit agency's commitment to its safety and security mission requires an ongoing awareness of changes in federal and state regulations and standards, and accompanying revision of agency policies, procedures, and protocols, as appropriate.

### **Service Design and Delivery**

Service design and delivery is the backbone of any transit operation. Decisions about service design and delivery are based not only on operational needs for effectiveness and efficiency, but also on safety and security implications.

When evaluating existing and designing new service and delivery methods, safety data collected, including operational safety, location safety, security risks, and other potential risk factors can be implemented in the safest manner possible. Additionally, this process can be enhanced by having access to a wide range of information on facility design, vehicles, equipment, systems, and technology.

There is value in soliciting input into service design and delivery from transit employees whose expertise can add valuable insight. Decision-making is also enhanced by taking advantage of information from outside resources such as industry trade organizations, state agencies, and local government experts that are involved in effective fixed route and demand response service design and delivery.

The best decisions are those that are based on a thorough knowledge of an issue gathered from a variety of sources.

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
If the organization operates fixed route service, schedules are evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates fixed route service, routes are evaluated periodically to ensure the safety of bus stop locations and bus turnarounds.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates demand response service, scheduling of pick up and drop off times is evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates demand response service, it has taken into account the safety and security impact of curb-to-curb, door-to-door and through- the-door service in both its design activity and in the development of its demand response operations, policies and procedures.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization has ensured that enough time is allotted between driver check in with Dispatch and scheduled pull-out time for drivers to complete a comprehensive and compliant pre-trip inspection.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Operational Policies and Procedures**

Clear operating policies and procedures, including driver/operator handbooks, which clearly explain the safety and security responsibilities of each job classification. Driver/Operator handbooks define the roles and responsibilities of drivers/operators and the actions to be taken for specific situations such as vehicle inspections, breakdowns, passenger assistance, emergency procedures, and hazardous conditions. Documentation is kept on file to verify that employees have received copies of and orientations on all agency policies and handbooks.

Effective policies, procedures, protocols, and training programs are best developed by evaluating the needs of passengers and how these needs can be met without creating risk to the safety of other passengers, employees, the vehicle, the agency, or members of the community; and operational risk factors that may impact the safety and security of employees

As a part of this analysis, it is important that the transit agency utilizes the data collected

regarding existing and potential risk factors; and ensures compliance with relevant regulations and industry best practices.

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a formal operations policy document or driver handbook covering all frontline operational safety and security activities, which include vehicle inspection, breakdown and securing procedures; passenger assistance procedures; emergency procedures including fire and evacuation; and hazardous driving condition procedures. A record of employee sign-off for receipt of these documents is maintained.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Scheduling, Dispatching and Communications**

A transit operation’s effectiveness is directly impacted by the quality and reliability of its scheduling, dispatching and communication systems. Communication systems have an obvious role in scheduling, dispatching, and customer service, as well as a critical role in responding to safety and security-related emergencies.

When choosing new or assessing existing communication systems, transit agencies are best served by taking into account the operational requirements of equipment used, system coverage and dead spots, back-up systems, and if the equipment provides access to emergency management radio channels during emergencies.

Scheduling, dispatching and communication procedures for both normal and emergency operations are essential. These procedures address a variety of issues including how passengers, drivers/operators and dispatchers are to communicate with each other during normal operations; emergency protocols; how to address communication dead-spots; and how agency technology is to be employed.

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization always has a dispatcher or supervisor available to drivers for all hours that service is being delivered.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## Passenger Relations and Standards

A top priority for any transit agency is the on-board safety of its passengers. Policies and procedures impacting passenger safety must be clearly communicated to employees and to the passengers for whom the policies have been developed.

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization documents, tracks and responds safety and security related complaints from passengers or other members of the public.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## Contractor Oversight

Many transit agencies outsource and/or contract for part or all of their operations or maintenance functions. In these situations, the contractor “stands in the shoes” of the transit system. The system and its governing body are responsible for the contractor’s actions under the agreement between the agency and the contractor.

It is the transit system’s responsibility to ensure that contractor work practices meet the established safety and security standards of the agency and any and all Federal, state, and local regulations and requirements. It is important that contract language delineates the safety, security, and training responsibilities of the contractor.

It is equally important that the transit agency monitor contractor compliance and impose penalties for non-compliance. These penalties need to be clearly defined in the contract specifications. Compliance is documented throughout the life of the contract with regular reports of contractor performance supplied to the governing body of the transit system. Significant violations of the contract, particularly in the areas of safety and security, are addressed by the governing body and can include termination of the contract or other legal action.

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
If the organization contracts for services, the formal or informal relationship between the organization and contractors includes concerns about training, safety and security and monitoring of the same.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **CTAA Standards:**

### **Service Design and Delivery**

1. The organization has a formal operations policy document or driver/operator handbook covering all frontline operational safety and security activities, which include vehicle inspection, vehicle breakdown and securing procedures; passenger assistance procedures; emergency procedures including fire and evacuation; and hazardous driving condition procedures. A documented record of employee acknowledgement for receipt of these documents is maintained.
2. The organization takes into consideration safety and security concerns when assigning work to frontline employees, including employee experience, skill level and aptitude, employee fatigue concerns and other factors as may be appropriate.
3. When the organization assigns a particular vehicle type from its fleet to a certain piece of work, such as a route or a demand response service, it takes safety and security concerns into account.
4. If the organization operates fixed route service, schedules are evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.
5. If the organization operates fixed route service, adequate time is allowed and appropriate facilities are available at the end of the line to ensure an adequate amount of driver/operator relief time.
6. If the organization operates fixed route service, routes are evaluated periodically to ensure the safety of bus stop locations and bus turnarounds.
7. If the organization operates demand response service, scheduling of pick up and drop off times is evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.
8. If the organization operates demand response service, pick up and drop off locations are evaluated periodically to ensure their safety.
9. If the organization operates demand response service, it has taken into account the safety and security impact of origin to destination service in both its design activity and the development of its demand response operations, policies and procedures.
10. If the organization has experienced safety and security incidents related to service design concerns, based on these incidents it has reacted to help mitigate safety and security risk in the future.
11. The organization has ensured that enough time is allotted between driver/operator check in with Dispatch and scheduled pull-out time for drivers/operators to complete a comprehensive and compliant pre-trip inspection.
12. Confirm the organization is presently compliant with ADA in terms of its service design model, including comparable paratransit requirements, fares vehicle and facility accessibility, on-board lift and securement equipment and passenger

sensitivity and assistance.

### **Operational Policies and Procedures**

1. There is training on the organization's operations policies as they pertain to all staff of the organization.
2. Drivers/Operators are required to use their seat belts at all times when operating a transit vehicle.
3. The organization has a formal operations policy document or driver/operator handbook covering all front-line operational safety and security activities which include vehicle inspection, breakdown, and securing procedures, passenger assistance procedures, emergency procedures including fire and evacuation, and hazardous driving condition procedures. A record of employee sign off for receipt of these documents is maintained.
4. The organization has a policy about cell phone and electronic device use.
5. All basic safety equipment is accounted for as a part of the pre-trip inspection process.
6. Web cutters are within reach of the driver/operator from the driving position.
7. If the organization has on-vehicle surveillance equipment, it is used as a tool for heightening safety and security.
8. If the organization has on-vehicle Global Positioning System (GPS) / Automated Vehicle Locator (AVL) equipment, it is used as a tool for heightening safety and security.

### **Scheduling, Dispatching and Communications**

1. The organization has full radio/communication coverage throughout the service area or has done what is reasonable and practical to provide redundant coverage through use of other technologies such as cell phones.
2. The organization has interoperable radio communication with emergency management in case of a community emergency or has addressed this concern through other communication protocols.
3. The organization always has a dispatcher or supervisor available to drivers/operators for all hours of service operation.
4. Safety and security protocols are integrated as appropriate into the service scheduling and dispatching process.

### **Passenger Relations and Standards**

1. The organization documents, tracks and responds to safety and security related complaints from passengers or other members of the public.
2. The organization actively uses a mechanism for documenting, tracking and responding to safety and security related complaints from passengers or other members of the public.

3. There are passenger assistance policies that define the specific types of assistance that are provided and not provided to passengers, including parameters of demand response service such as curb-to-curb or door-to-door.
4. The organization has a policy regarding child safety seats and the transporting of young children.
5. The organization has a customer service policy governing passenger behavior or other issues in reference to safety and security and this policy encompasses personal oxygen tank storage, service animals, levels of driver/operator assistance, restricted type and amount of items passengers can bring on board, restricted passenger activities on vehicle, and the right of the organization to refuse passenger service based on behavior or other issues.

### **Contractor Service Delivery**

1. If the organization contracts for services, the formal or informal relationship between the organization and contractors includes requirements about training, safety, and security and monitoring of the same.
2. If the organization contracts for services, it conducts periodic audits of contractor training and safety and security to ensure compliance.
3. If the organization contracts for services, the formal or informal relationship between the organization and contractors includes concerns about training, safety and security and monitoring of the same.
4. If the organization contracts for services, it conducts periodic audits of contractor training and safety and security to ensure compliance.
5. If the organization has contracted out any part of its safety-sensitive function, it ensures the contractor has an FTA / Federal Motor Carrier Safety Administration (FMCSA) compliant drug and alcohol program.

## CRITICAL AREA THREE: VEHICLES AND MAINTENANCE

*Critical Area Overview:* The Vehicles and Maintenance critical area includes vehicle maintenance planning, vehicle maintenance procedures, vehicle maintenance records and documentation, and procurement.

The maintenance function of any transit agency is the backbone of effective operations. Whether the maintenance function is carried out in house or outsourced, employee and passenger safety are directly impacted by how well the maintenance function is managed and performs.

Good maintenance record keeping, and documentation positively impact efficiency and effectiveness and reduce organizational liability. The success of maintaining vehicles can be gauged and improved by the use of safety related performance measures. It is important the agency develops mechanisms to ensure compliance with all relevant maintenance regulations and standards. Failure to comply with federal and state vehicle maintenance regulations and standards can result in penalties and fines and may place employees and passengers in harm's way.

### **Maintenance Planning**

Maintenance plans contain specific goals and objectives for the agency's maintenance program and describe how the objectives are going to be met and include what procedures will be performed and how often. Maintenance plans provide a methodology to guide all maintenance-related activity including the monitoring of compliance with schedules and performance standards outlined in the plan.

Maintenance planning addresses the preventive and defect maintenance of vehicles. Input in the planning process can be obtained from government agencies, industry experts, vendors, peer transit agencies, insurance providers, and appropriate internal transit employees. Vehicle maintenance plans are generally based on the vendor or manufacturers-recommended procedures and schedules with attention paid to the most stringent duty-cycle requirements, sometimes called "commercial service" or "severe service" use.

This ensures that maintenance is performed frequently and thoroughly enough to maintain equipment in the safest condition, while protecting the life of the vehicle and meeting the manufacturers' warranty requirements.

<b>Critical Area Three: Vehicles and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a bus maintenance plan that includes formal procedures for preventive and corrective maintenance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Maintenance Procedures**

Maintenance planning provides the foundation for all maintenance activities. Maintenance procedures define how these activities are to be carried out. Transit maintenance procedures direct employee activity over a wide spectrum of agency functions that include preventive and defect maintenance, vehicle inspection, vehicle assignment, vehicle identification, and on-board vehicle safety equipment. It is critical that transit maintenance staff is aware of the safety and liability impact of their actions. Specific maintenance procedures and protocols that govern the work performed by maintenance staff ensure that maintenance goals and objectives are met. Tools such as shop manuals or job aids like pre- and post-trip inspection checklists support the ability of employees to perform each maintenance task. The importance of maintenance activities from the perspective of safety, liability, and regulatory requirements demands diligent oversight and monitoring of these functions. Regular training and skill assessment of maintenance employees is critical, particularly given the rapid change of technology in the transit industry.

<b>Critical Area Three: Vehicles and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
A recording and tracking system is used to schedule inspections and maintenance intervals; this system records dates or mileages when services are due.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
There are lines of communication that allow maintenance personnel and drivers to share their expertise in maintaining the operational safety of the vehicle fleet.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Drivers always perform effective pre-trip vehicle inspections and these inspections are documented.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization uses a formal preventive maintenance checklist.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Maintenance Documentation (Internal or Contracted)**

All vehicle maintenance requires documentation that needs to be maintained to ensure regulatory compliance, improve safety efficiency and effectiveness, and limit organizational liability. These records include activities related to vehicle preventive maintenance, defect maintenance, vehicle inspection, and vehicle breakdown.

Although computer-based maintenance software can assist in maintenance management, it is important that hard copies of all vehicle and facility maintenance activities be filed and retained according to appropriate protocol and the agency’s record retention policy. It is critical that all maintenance documentation required by the agency be kept current and accurate.

<b>Critical Area Three: Vehicles and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization uses a system to identify and document vehicle defects requiring corrective maintenance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
All preventive maintenance is documented, including work orders, purchase orders and / or invoices related to a particular piece of scheduled maintenance work and kept on file.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Vehicle Procurement**

The approach to procurement of services, vehicles and equipment, and other materials necessary for the implementation of service has a direct impact on the safety and security of an agency’s operations, its employees, and the riding public.

It is critical that the on-board safety of employees and passengers includes attention paid to how vehicles are fitted and equipped. This begins with keeping operational safety-related equipment, such as fire extinguisher, first-aid kit, web cutter, bio-hazard kit, flashlight and triangles on the vehicle. Transit agency safety and security is also supported by having access to information on and acquisition of contemporary technology. This technology may include Global Positioning System (GPS) / Automated Vehicle Locator (AVL ) equipment, on board vehicle cameras, and state of the art computer software particularly in the scheduling and dispatching arena.

Procurement of transit system assets or services is partially driven by relationships with outside entities such as Federal and state government agencies. These entities often define the parameters under which the procurement should be requested, budgetary limits on the procurement itself, and the amount of involvement and flexibility allowed to the individual transit system in determining its choices in asset acquisition. Often, larger agencies have greater decision-making power, while smaller agencies have a somewhat more limited role due to state and local oversight.

Each transit agency has to approach the procurement process with the goal of maximizing the safety and security of the system within the budget provided.

<b>Critical Area Three: Vehicles and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
Each transit revenue vehicle is equipped with basic safety equipment, including a fire extinguisher, bio-hazard kit, first aid kit, triangles, web cutter and a flashlight.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**CTAA Standards:**

**Maintenance Planning**

1. All maintenance required by manufacturer’s warranty provisions is being performed.
2. The organization has a bus maintenance plan that includes formal procedures for preventive and corrective maintenance.
3. The maintenance management function ensures that vehicles are regularly and systematically inspected and maintained in accordance with a maintenance plan and with the bus manufacturers’ recommendations and requirements.
4. A recording and tracking system is used to schedule inspections and maintenance intervals and include date or mileage when services are due.
5. The organization uses standard and formalized maintenance performance measures to evaluate its maintenance effectiveness over time.

**Maintenance Procedures**

1. Transit vehicles are kept clean and the outward appearance is one that reflects the organization’s commitment to the safety and security of its customers.
2. There are lines of communication that allow maintenance personnel and drivers/operators to share their expertise in maintaining the operational safety of the vehicle fleet.
3. Drivers/Operators always perform effective pre-trip vehicle inspections and these inspections are documented.
4. Deficiencies noted in pre-trip inspections are repaired in a timely manner and properly reviewed by management.
5. Wheelchair lifts, securement devices and other transit vehicle accessibility features are tested on a daily basis, and the organization ensures there are no recurring patterns of lift failures or related problems.

6. The organization utilizes a formal preventive maintenance checklist.
7. The organization utilizes a system to identify and document vehicle defects requiring corrective maintenance.

### **Maintenance Documentation**

1. Vehicle inspection forms, including driver/operator daily pre/post-trip inspections and mechanic inspections, are kept on file.
2. All preventive maintenance is documented, including work orders, purchase orders and / or invoices related to a particular piece of scheduled maintenance work, and kept on file.
3. All corrective maintenance is documented, including work orders, purchase orders, and/or invoices related to a particular piece of corrective maintenance work, and kept on file.
4. Separate and distinct records of all maintenance activities for a vehicle are kept in an individual vehicle file.

### **Vehicle Procurement**

1. The organization researches its vehicle needs by an analysis of the safety and security implications of ridership, routes, type of service and budget.
2. In its development of specifications, the organization takes into consideration safety and security issues such as seating configuration, lift placement, and number of unblocked door exits and emergency window exits for use in evacuating the vehicle in a fire or other life threatening incident.
3. The organization makes and documents delivery inspections of vehicles with an eye to safety and security concerns, such as steel body structure of the bus, lift/securement workability, exit portals operability, and road worthiness including braking system.
4. With a focus on safety and security response concerns, transit revenue vehicles are clearly and properly identified with numbers on their sides that are easily visible from ground level and, if appropriate, by a number on the roof that is large enough to be clearly visible from the air.
5. Each transit revenue vehicle is equipped with basic safety equipment, including a fire extinguisher, biohazard kit, first aid kit, triangles, web cutter and a flashlight.
6. The organization researches its vehicle needs by analyzing the safety and security implications of ridership, routes, type of service and budget.

## CRITICAL AREA FOUR: Facilities and Maintenance

*Critical Area Overview:* The Facilities and Maintenance critical area includes documenting your facilities inventory, facilities / systems maintenance plan, facilities maintenance procedures, facility maintenance records and documentation, hazardous materials program and leased facility responsibilities.

### **Facilities Maintenance Planning**

Facilities maintenance and planning is as critical as vehicle maintenance and planning. Many safety and security hazards may exist within your shops and offices. Without proper management of these hazards, transit employees are at risk of harm.

<b>Critical Area Four: Facilities and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization conducts periodic internal facility safety audits and documents these audits.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The workplace is clean, orderly and safety-conscious.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization has a fire prevention and reaction plan and documents periodic fire hazard inspections.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Appropriate fire extinguishers are mounted at locations throughout the organization's facilities and these extinguishers are charged and adequately monitored.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Hazardous Materials Program**

Transit agencies often deal with a wide variety of potentially hazardous materials. These materials may involve blood borne pathogen spills on vehicles, products used to clean transit facilities, or materials stored and used within the transit vehicle maintenance function.

Strict Occupational Safety and Health Administration (OSHA) regulatory requirements exist and dictate how transit agencies should manage hazardous materials. These regulations include requirements for maintaining a formal inventory of on-site hazardous materials; storing hazardous materials in approved containers and locations; maintaining and ensuring Safety Data Sheets (SDSs) (formerly MSDSs or Material Safety Data Sheets) for each hazardous chemical to downstream users to communicate information on these hazards. The information contained in the SDS is largely the same as the MSDS, except now the SDSs are required to be presented in a consistent user-friendly, 16-section format.

The SDS sheets must be readily available for employee review and include an approved plan of hazardous material disposal. Federal regulations also require agencies to meet “right to know” employee training and orientation requirements for all employees that may come into contact with hazardous materials as a part of their job function.

In addition to the regulatory requirements pertaining to hazardous material storage and disposal, it is important that transit agencies develop a plan for responding to emergencies involving hazardous material spills or releases. That plan must include emergency management access to the SDS sheets in the event of an emergency.

A description of the 16-section SDS sheets can be found at <https://www.osha.gov/Publications/OSHA3514.html>.

OSHA publications and other training resources can be found at <https://www.osha.gov/pls/publications/publication.html>.

<b>Critical Area Four: Facilities and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
If the organization uses and stores hazardous materials on site, it has implemented and maintains a written, comprehensive hazard communication program that includes provisions for container labeling, collection and availability of safety data sheets (SDS) and an employee training program.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Leased Facility Responsibilities**

When leasing a facility, it is critical that the leasee and the lessor have a clear understanding and documented agreement regarding safety and security responsibilities. Collecting and using safety data to manage risk is just as important in a leased facility as it is for a facility you own.

**CTAA Standards:**

**Facility Maintenance Planning**

1. The organization has a facility risk reduction strategy designed to minimize the threat of possible theft of transit assets.
2. The organization conducts periodic internal facility safety audits and documents these audits.
3. The organization records all incidents of vandalism.
4. The organization integrates OSHA type safety concerns and other appropriate guidelines into its facility design process, as may be required.

5. Transit facilities have posted building evacuation plans and exits are clearly marked.
6. If the organization performs maintenance in-house:
  - there is a program for ensuring shop safety for maintenance employees.
  - there is protection on or around in-ground maintenance pits.
  - vehicle lifts / jack stands meet required safety standards.
  - the maintenance shop is equipped with safety goggles, eye wash stations, first aid kits and blood-borne pathogen kits.
  - “non-walk-through” areas are clearly marked, including outside garage doors.
  - parts are appropriately and safely stored so they can be easily inventoried and do not present a danger to employees.
  - shop floor surfaces are kept clean of fluid residue to prevent fire or slipping hazards.
7. Electrical power sources are secured, and electrical cords are stored when not in use.
8. The workplace is clean, orderly and safety-conscious.
9. There is a process in place for ensuring office safety for administrative staff.
10. The organization has a fire prevention and reaction plan and documents periodic fire hazard inspections.
11. Appropriate fire extinguishers are mounted at locations throughout the organization’s facilities and these extinguishers are charged and adequately monitored.

### **Hazardous Materials Program**

1. The organization has an effective hazardous materials program.
2. If the organization uses and stores hazardous materials on site, it has implemented and maintains a written, comprehensive hazard communication program that includes provisions for container labeling, collection and availability of SDS, and an employee training program.
3. If the organization stores hazardous materials on site, it maintains a formal inventory of on-site hazardous materials including type of material, where the material is stored, the condition of the storage area and storage container suitability and labeling.
4. If the organization uses and stores hazardous materials on site, it has a plan for reacting to an emergency involving hazardous material storage, such as a facility fire or toxic spill.
5. If the organization uses and stores hazardous materials on site, safety data sheets are maintained for each hazardous chemical used by the organization and these sheets are readily accessible to employees in their work areas.
6. If the organization uses hazardous materials on site, it has an approved plan for hazardous material disposal.

7. If the organization uses and stores hazardous materials on site, it trains and informs employees regarding hazardous chemicals when employees are initially assigned to a particular work area or when a new hazardous chemical is introduced.
8. If the organization maintains underground fuel storage tanks on site these tanks are compliant with the Energy Policy Act of 2005, title XV subtitle B.
9. If the organization operates alternative fuel vehicles, it provides orientations for internal staff and external emergency management related to alternative fuel vehicle emergency events, such as a fire or accident that causes fuel release.
10. If the organization operates alternative fuel vehicles, it ensures that all employees are trained on and follow standard and appropriate alternative fuel safety guidelines and protocols.
11. If the organization operates alternative fuel vehicles, it ensures that the fuel storage system uses appropriate materials and installation design systems.

#### **Leased Facility Responsibilities**

1. A written lease agreement exists detailing the safety/security responsibilities of all parties involved.
2. CTAA Standards apply to any facility used by the transit agency, whether it is leased or owned.

## CRITICAL AREA FIVE: PERSONNEL

*Critical Area Overview:* The Personnel critical area includes personnel policies and procedures; recruitment and selection; performance monitoring; drug and alcohol program; and workplace wellness programs.

Human Resource policies, procedures, and practices provide a broad range of services that help ensure the safety and security of the transit system and the system’s most valuable asset – its employees. Personnel functions include employee recruitment and selection, developing various administrative policies and procedures, employee performance evaluations, fitness for duty, performance improvement plans, individual development plans, professional development and employee assistance programs.

The personnel function also administers workplace violence awareness programs and agency worker compensation programs, oversee employee discipline and termination practices, participate in bargaining agreement negotiations and define basic job functions and descriptions.

### **Personnel Policies and Procedures**

Transit agency personnel activities are normally carried out consistent with a formal personnel policy that sets the standard for all employee actions. This personnel policy is communicated and distributed to agency employees and signed for upon receipt. Documentation is kept on file to verify that employees have received copies of and orientations on all agency policies and handbooks.

Orientation sessions for new employees and periodic refresher orientations for current employees are held for the purpose of reviewing all personnel policies and procedures set out in policy documents and policy statements. Orientation sessions allow for questions and feedback from the employees and give transit system management a way to deliver a consistent message about system personnel policies and procedures.

All personnel policies and procedures emphasize the critical role safety has in the provision of service and describes and reinforces each employee’s role in organizational safety.

<b>Critical Area Five: Personnel</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a formal personnel policy document covering all personnel actions for transit employees, including safety and security related issues, and the organization has a record of employees signing for receipt of the policy.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Recruitment and Selection**

The quality of a transit agency’s workforce impacts safety and security success, so a well-managed recruitment and selection process is critical. Job descriptions are the tools that drive the recruitment and selection process and are necessary for each key position. Accurate and up-to-date job descriptions also reflect the specific safety and security-related requirements and responsibilities of positions.

Performing periodic reviews of all job descriptions and revising them as needed to reflect current circumstances is an important transit agency function. A good first step is to write a job description that lists specific tasks and activities, including those that impact safety and security, that are required to be performed by the person in the position. This is followed by an analysis of the particular set of knowledge, skills, abilities, and past experience required to perform the listed tasks and activities. This process will help to reduce discriminatory hiring and ensure that qualified individuals are hired.

Significant to the recruitment and selection process and safety of your employees and passengers are in-depth background checks for all job candidates. These checks include previous employer history, driver/operator license records, national criminal, and sexual predator background checks.

Interviews are most effectively conducted using a formally structured interview template that allows both fair and comprehensive evaluation of each candidate. Interview questions should be written out and reviewed in advance by someone in the agency that is knowledgeable about laws and regulations that govern hiring and selection. Using written interview questions and using two or more interviewers helps to reduce the possibility of discriminatory hiring practices and the resulting liability exposure. It is important that agencies maintain records of all interviews and interview results. When you visit [www.ctaa.org](http://www.ctaa.org) and look at the top of the home page, you’ll find the Resources area, where you can look at the webinar archives that has the Driver Recruitment and Driver Retention webinars as well as a library of recruitment and retention information. There is also an online workshop entitled Recruiting, Building & Retaining A Sustainable Driver Workforce, available for a nominal registration.

<b>Critical Area Five: Personnel</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
Job descriptions generally address safety and security responsibilities for each job function category.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Criminal background checks are required of applicants for safety-sensitive positions.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Performance Monitoring**

Simply put, transit employee performance monitoring is comprised of activities to ensure that employee performance goals are being met in an effective and efficient manner. Performance monitoring steps include establishing performance goals and plans, observing employee activities and providing feedback, and formally evaluating employee performance. Once performance has been evaluated, positive performance can be rewarded. On the other hand, performance gaps must be recognized, and performance improvement plans developed to address these gaps.

Additionally, performance monitoring provides the opportunity for employee coaching, counseling and discipline which may include the possibility of termination. This part of performance monitoring is critical in recognizing at-risk behavior and addressing it BEFORE an incident occurs.

<b>Critical Area Five: Personnel</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
There is a formal process to evaluate safety and security related employee performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization periodically monitors on-board driver safety and security performance using such methods as supervisory ride-a-longs or secret rider audits.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization uses the supervisory tools of coaching, counseling and discipline to improve transit employee safety and security performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Drug and Alcohol Program**

A transit agency's drug and alcohol program is directed by Federal regulation as defined in 49 CFR, Part 40 and Part 655 respectively. Additionally, some transit agencies must adhere to Federal Motor Carrier Safety Administration (FMCSA) regulations. Compliance with these regulations includes requirements for program management, testing and collection procedures, laboratory analysis, medical review activities, substance abuse counseling, and record keeping.

Because of the direct impact drug and alcohol programs have on the safety and security of a transit agency and its operations, transit agencies rely on established means through which program compliance can be monitored. This includes periodic compliance audits, post-accident, pre-hire, and/or random drug screening of employees, and other activities deemed necessary by the transit agency to ensure program compliance.

The use and abuse of prescription and/or over-the-counter medications are often also addressed by a transit agency's drug and alcohol program. The transit agency's drug and alcohol programs are required to establish policies for contracted personnel and services in safety sensitive positions.

**Workplace Wellness Programs**

A transit employee's ability to perform in a safe manner on a daily basis or to respond to safety and security emergencies is determined by their wellness and fitness for duty. Transit agencies are well-served by monitoring employees through pre-hire medical examinations and periodic medical examinations thereafter, as well as through evaluations of employee functional performance.

Transit agencies often develop a Fitness for Duty policy which clearly defines the agency's processes for monitoring employee wellness and fitness for duty and what actions will be taken if an employee's fitness for duty is found to be adversely affecting his/her job performance and/or the safety of passengers or the system.

Employee wellness and fitness for duty programs include addressing the issue of fatigue management. It is important that transit agencies are aware of any regulatory requirements governing assignment of work hours and develop policies defining the maximum lengths of time employees can work without rest. Fatigue management programs operate with a process for tracking driver/operator work hours to avoid driver/operator fatigue as a consequence of poor scheduling or job rotation.

Workplace violence is becoming an increasingly important concern of the transit industry. Transit agencies address this concern through the development and administration of Workplace Violence Prevention Programs. These programs encompass management and employee training and orientation, identification and reporting procedures for harassing or potentially violent behavior, and employee counseling options.

<b>Critical Area Five: Personnel</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a driver fatigue program that includes tracking and monitoring on-duty and / or driving hours to minimize fatigue related safety risk.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **CTAA Standards:**

### **Personnel Policies and Procedures**

1. The organization has an employee handbook and Personnel Policy Procedure Manual which covers all personnel actions relative to transit employees, including safety and security related issues. The organization maintains records of employees signing for receipt of the policy.
2. There are written job descriptions for drivers/operators and other safety-sensitive personnel.
3. Job descriptions address safety and security responsibilities for each job function category.
4. Systems are in place for monitoring employees' current employment status, licenses, certifications, and other important qualifications.
5. There are passenger assistance policies that define the specific types of assistance that are or are not provided to passengers, including parameters of demand response service such as curb-to-curb or door-to-door.
6. The organization has a policy regarding child safety seats and the age at which young children can ride the vehicle without a guardian.
7. The organization has a customer service policy governing passenger behavior or other issues in reference to safety and security and this policy encompasses personal oxygen tank storage; service animals; levels of driver/operator assistance; restricted type and number of items passengers can bring on board; restricted passenger activities on vehicle; and the right of the organization to refuse passenger service based on behavior or other issues.

### **Recruitment and Selection**

1. Criminal background checks, drug and alcohol testing, DOT physical, safety and sensitivity driver/operator training are required of applicants for safety-sensitive positions.
2. Medical examinations are required of drivers/operators at hire and periodically thereafter.
3. Systems are in place to determine appropriate qualifications for maintenance personnel based on skills, certifications, training and experience.
4. The organization verifies information provided on employment applications for safety-sensitive positions.
5. Structured interview templates and / or other tools are used to interview and select drivers/operators and other safety-sensitive employees.
6. Copies of standard employment application forms, interview questionnaires and other materials used in the selection and hiring process are kept on file.

7. Driver/Operator license checks are conducted prior to selection of individuals for safety-sensitive positions and these checks are also done periodically throughout the employment tenure of safety-sensitive employees.
8. Job descriptions include:
  - a. Safety responsibilities
  - b. Potential job risks
  - c. Hazard exposure risks
  - d. Full description of job appropriate training

### **Performance Monitoring**

1. There is a formal process in place to evaluate safety and security related employee performance.
2. There is documentation proving that required employee performance evaluations and improvement plans are completed and acted upon.
3. Documented evaluations based on behind-the-wheel safety and security related performance are done at hire and at least annually thereafter for all drivers/operators.
4. The organization employs periodic methodologies to monitor on-board driver/operator safety and security performance such as supervisory ride-alongs or ghost rider audits.
5. The organization uses the supervisory tools of coaching, counseling and discipline to improve transit employee safety and security performance.
6. There is a process to gather and disseminate to employees information on high health risk issues associated with transit employment.
7. The organization provides an employee benefit package or uses free community resources to ensure mental and physical health related counseling is available to employees.

### **Drug and Alcohol Program**

1. The organization has a drug and alcohol program policy document consistent with the requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
2. Drug and alcohol tests are conducted consistent with the most current testing requirements of 49CFR part 40 or other pertinent federal, state or local regulations.
3. The laboratory used for drug test analysis is certified consistent with the most current requirements of 49CFR part 40 or other pertinent federal, state or local regulations.
4. The Medical Review Officer follows the most current procedures required by 49CFR parts 40 and 655.

5. Pre-employment drug testing is conducted consistent with the testing requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
6. Random drug and alcohol testing is conducted consistent with the testing requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
7. Post-accident drug and alcohol testing is conducted consistent with the testing requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
8. Reasonable suspicion drug and alcohol testing is conducted consistent with the testing requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
9. Return-to-duty drug and alcohol testing is conducted consistent with the testing requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
10. Drug and alcohol record keeping is consistent with the requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
11. There is documented evidence of all supervisory personnel having received reasonable suspicion training.
12. There is documented evidence that all employees have received training on the effects of drug and alcohol use on safety sensitive transit operations.
13. Drug and alcohol reporting is consistent with the requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
14. The organization has a methodology for minimizing the risk of safety sensitive employees inappropriately using prescription or over-the-counter medications.

### **Workplace Wellness Programs**

- A. There is a process to gather and disseminate to employee's information on high health risk issues associated with transit employment.
- B. The organization provides an employee benefit package or utilizes free community resources to ensure mental and physical health related counseling is available to employees.
- C. The organization has a driver/operator fatigue program that includes tracking and monitoring on-duty and / or driving hours to minimize fatigue related safety risk.
- D. The organization provides information to employees on workplace violence prevention.

## **CRITICAL AREA SIX: TRAINING**

*Critical Area Overview:* The Training critical area includes training management, trainers, training formats, training topics, training frequency and training documentation.

We live in an age of rapid change. New methods, new equipment, tougher competition and increased budget consciousness have made training programs commonplace in business and industry today. As transit agencies move forward to keep pace with these and other developments, management must recognize training does not cost, it saves. A skilled employee is the organization's greatest asset.

To enhance the safety and security related performance of transit employees, transit agencies must not only develop their own internal training programs but take advantage of training programs offered by nationally recognized organizations or other external sources. Whether training is for experienced employees who need to be retrained or refreshed, or for the new employee who lacks sufficient skills, a strong training foundation is critical to the safety and security of transit employees and customers. Some of the advantages of a strong transit training effort include improved production and quality, better adherence to policies and procedures, reduced labor problems, and regulatory compliance.

### **Training Management**

Comprehensive training programs are needed to orient employees on the transit agency's policies, procedures, and protocols. Training programs develop the specific safety and security skills necessary to ensure employees are capable of providing safe, secure, reliable, and high-quality service.

Developing a training program begins with the performance of a "needs assessment" of the skills required to fulfill specific job functions. This assessment starts with a review of the job descriptions for each position and is followed by a hands-on evaluation of incumbent on-the-job skills.

Based on the needs assessment results, the transit agency then develops a Training Plan that includes initial, refresher, and re-training criteria and curriculum for each job function. The Training Plan is reviewed and revised as operating conditions or skill requirements evolve, new equipment or systems are procured, facilities are constructed or modified, or as a result of policy or procedural change.

Establishing mechanisms for monitoring the effectiveness of training programs and trainers is central to training management. Training program initiatives also address any necessary specialized training or certifications required within the operations or maintenance functions.

<b>Critical Area Six: Training</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a training plan that directs all employee training and development activities.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Driver/Operator Training**

The delivery of safety and security-related training to all drivers/operators is undoubtedly one of the most powerful tools available to transit management in creating an environment for agency safety and security awareness and success. Safety and security is impacted by nearly every action a driver/operator takes during day-to-day performance or during emergency operations.

Driver/Operator training includes a focus on vehicle inspection, defensive driving, customer assistance, emergency/crisis management, and skills specific to the transit agency.

Driver/Operator refresher training is defined as “training provided on a periodic basis to all employees within a job function.”

Driver/Operator retraining is defined as “training provided on the basis of a performance deficit to selected employees within a job function.”

As the definitions suggest, although similar in that both types of training focus on enhancing and reinforcing driver/operator safety and security related skills, they are distinctly different. Driver/Operator refresher training is important to maintain a necessary skill set. Retraining is required when an employee has failed to demonstrate his/her ability to fulfill assigned duties according to transit system policies and procedures. Often retraining is provided as a result of an accident or incident that could have been prevented if the driver/operator had performed appropriately or used the skills he/she had been previously trained on.

<b>Critical Area Six: Training</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
Drivers receive formal defensive driving training and certification at hire and periodically thereafter.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Drivers receive training on passenger assistance and sensitivity techniques for serving elderly and disabled passengers at hire and periodically thereafter.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

Drivers receive emergency / crisis management training that includes handling accidents / incidents, vehicle fires and evacuation procedures and violent or potentially violent perpetrators at hire and periodically thereafter.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Drivers receive a hands-on orientation on every vehicle prototype they may be required to operate.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Drivers are trained on the agency's established pre-trip inspection techniques at hire and periodically thereafter.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Agency-wide Training**

Effective training is based on formal and well-structured lesson plans involving both classroom and hands-on instruction. Lesson plans are kept on file and reviewed periodically to ensure they are up-to-date and reflect any changes in regulations or industry practices.

Maintenance training addresses vehicle and facility maintenance skills and safe work practices within the maintenance shop environment.

Providing training to dispatchers, schedulers, supervisors, managers and administrative staff is also important, as is agency-wide security awareness training.

The success of overall employee training and development efforts is contingent upon having qualified, well-trained, and effective instructors. Transit agencies need to ensure instructors are provided with adequate resources and information that allows them to remain up-to-date with the latest industry regulations, standards, and best practices. Transit system trainer skills are enhanced through participation in certified train-the-trainer programs and other offerings available from institutes, trade associations, or private non-profit groups.

Transit agencies periodically review the criteria they feel is necessary to require refresher training or retraining of employees. Refresher training may be linked to periodic delivery based on a set time schedule while retraining may be linked to a specific inappropriate action or failed response.

The transit agency delivers refresher training or retraining using the same standards for structured lesson plans, trainer qualifications, and documentation that is used in conjunction with its new hire training efforts.

<b>Critical Area Six: Training</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
If maintenance is performed in house, every effort is made to provide skill development training for mechanics, as is reasonable and possible.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Safety and security related skills training is provided to all appropriate managers and supervisors.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization provides periodic refresher training to safety sensitive employees and retraining based on performance issues.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Training Documentation**

It is essential that records of all training and re-training provided to and completed by employees are maintained by the transit agency. These records should document all classroom and on-the-job training with an agenda of topics covered, times and dates of training, and signatures of both trainer and trainee.

There are three primary reasons for this documentation:

- 1) If an incident or accident occurs, safety training records will indicate that the personnel involved had the proper safety training and therefore acted in the proper manner. This can limit transit agency liability;
- 2) If it is proven that a transit employee performed in an irresponsible and dangerous manner, that employee will be unable to maintain that he/she was not properly trained and therefore was unprepared for the situation that occurred;
- 3) The transit agency will be able to easily ascertain the safety and security competence of its personnel by referring to training records.

<b>Critical Area Six: Training</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
There are written records of all training classes that have taken place and these records include training objectives, trainers' names and qualifications, length of training, training mode, types of certifications or credentials and dates and signatures of both trainer and trainee.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

All on-the-job and behind-the-wheel training is formally documented with dates, times, information covered and signatures of both trainer and trainee.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
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**CTAA Standards:**

**Training Management**

1. The organization has a training plan that directs all employee training and development activities.
2. There are training curriculums/lesson plans, training schedules, and audio/ video materials in place to support all in-house training efforts.
3. The organization has an area either on- or off-site that can be used as a classroom facility for conducting training and this area contains appropriate audio and visual aids.
4. Organizational trainers have appropriate backgrounds and qualifications to effectively deliver training in their assigned areas.
5. Full and / or part-time trainers receive train-the-trainer instruction on both classroom and on-line training responsibilities.

**Driver/Operator Training**

1. Drivers/Operators receive formal defensive driving training and certification at hire and on a periodic basis thereafter.
2. Drivers/Operators receive at hire and periodically thereafter specialized training on hazardous conditions specific to the geography of the region.
3. Drivers/Operators receive at hire and periodically thereafter training on passenger assistance and sensitivity techniques for serving elderly passengers and persons with disabilities. The Passenger Assistance Safety and Sensitivity (PASS) Driver certification training is available on-line and in the classroom.
4. Drivers/Operators receive at hire and periodically thereafter hands-on training on lift equipment and securement based on vehicle inventory.
5. Drivers/Operators receive at hire and periodically thereafter emergency/ crisis management training that includes handling accidents/incidents, vehicle fires and evacuation procedures, and violent or potentially violent perpetrators.
6. Drivers/Operators receive at hire and periodically thereafter training on accident and incident reporting procedures.
7. Drivers/Operators receive at hire and periodically thereafter training and certification on first aid/ cardiopulmonary resuscitation (CPR) or some training in basic triage response including clearing air passages, curbing bleeding, handling shock, and handling seizures.
8. Drivers/Operators receive training at hire and periodically thereafter on blood borne pathogen control (bio-hazard) procedures.
9. Drivers/Operators receive a hands-on orientation on every vehicle prototype they may be required to operate.

10. Drivers/Operators are trained at hire and periodically thereafter on appropriate pre-trip and post-trip inspection techniques.
11. The organization provides new-hire driver/operator candidates with one-on-one coaching by experienced drivers/operators to improve driving skills, develop uniformity in operating practices and ensure use of appropriate safety equipment.
12. Drivers/Operators receive training in local geography, transit organization route structure, or map-reading skills, as appropriate to the type(s) of service the organization provides its customers.

### **Agency-wide Training**

1. The organization utilizes, as appropriate, state and federally sponsored training programs, such as the National Transit Institute, the Transportation Safety Institute, or State, National Rural Transit Assistance Program (RTAP) and CTAA resources.
2. The organization utilizes, as appropriate, outside community-based training delivery resources.
3. Schedulers and dispatchers receive specialized training on procedures, protocols, and software.
4. Drivers/Operators, dispatchers and supervisory staff receive training on radio use or other communication equipment.
5. If maintenance is performed in house, every effort is made to provide skill development training for mechanics as is reasonable and possible.
6. Safety and security related skills training is provided to all appropriate managers and supervisors.
7. The organization provides periodic refresher training to safety sensitive employees and retraining based on performance issues.

### **Training Documentation**

1. The organization keeps copies of all certificates and awards that employees receive that document their training or safety accomplishments.
2. There are written records of all training classes that have taken place and these records include training objectives, trainers' names and qualifications, length of training, training mode, types of certifications or credentials and dates and signatures of both trainer and trainee.
3. All on-the-job and behind-the-wheel training is formally documented with dates, times, information covered, and signatures of both trainer and trainee.
4. Records of all training an employee has received for the entire tenure of employment are kept in an individual employee file.

## **CRITICAL AREA SEVEN: Organizational Safety**

*Critical Area Overview:* Organizational Safety includes assigning a Safety and Security Officer; safety plans; hazard identification, analysis and reduction; accident and incident handling; insurance; and safety data acquisition and analysis.

Organizational Safety activities focus on addressing hazards caused by unintentional acts. Effective safety management begins with ensuring that safety roles and responsibilities within the organization have been formalized and a process for identifying, analyzing and mitigating or resolving safety hazards has been developed and implemented. This includes, but is not limited to, methods for investigating accidents and incidents to identify root causes and other contributing safety factors.

Critical safety activities involve inspections and audits of the safety of operations and maintenance practices, facility infrastructure and contractor activities. Once hazard identification and analysis is completed and documented, safety planning assists the agency and its employees in reducing safety vulnerabilities and creating initiatives that enhance the agency's safety culture.

It is important that the transit agency develops formal lines of organizational authority and accountability with well-defined safety roles and responsibilities. Effective safety practices include developing mechanisms for communicating to employees their safety responsibilities and ensuring those responsibilities are being met.

### **Safety Plans**

Safety refers to hazards caused by unintentional acts; an ongoing and dynamic process. All transit agencies strive to provide safe service to their passengers and safe work environments for their employees. All agencies address safety in some way through procedures or policies. Additionally, agencies may document their approach to implementation in an overall safety plan.

A safety plan helps clarify the safety responsibilities and activities to be carried out by the transit agency and communicates the philosophy and specific goals and objectives of the agency's safety program. Safety plans build the basis for effectively managing safety initiatives and help promote a healthy safety culture within the organization. Safety plans are reviewed and revised as necessary to ensure they remain consistent with agency operating realities and objectives. Executive management formally endorses the safety plan as well as authorizes any subsequent revisions. Safety plans are shared with agency employees as appropriate to ensure employees are guided in safely carrying out their jobs.

<b>Critical Area Seven: Organizational Safety</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The individual responsible to lead the organization's safety initiatives has received training on the roles and responsibilities.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The individual responsible to lead the organization's safety initiatives has regular and direct access to the organization's CEO on safety related activities and concerns.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a formal mechanism for frontline employees to report safety hazards and safety concerns without fear of reprisal, and management actively encourages employees to report their concerns.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization emphasizes safety communication, including holding regular safety meetings with all employees.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a safety committee process that discusses safety issues and makes safety recommendations to executive leadership.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

### **Hazard Identification and Reduction**

A hazard can be defined as any set of conditions, internal or external to the system or system operation, which can cause injury, illness, death, or damage to/loss of equipment or property. Transit agencies are responsible for ensuring that their operations and services, employees, and contractors provide passengers with the highest achievable level of safety. This is achieved by using hazard identification, analysis, and resolution methods.

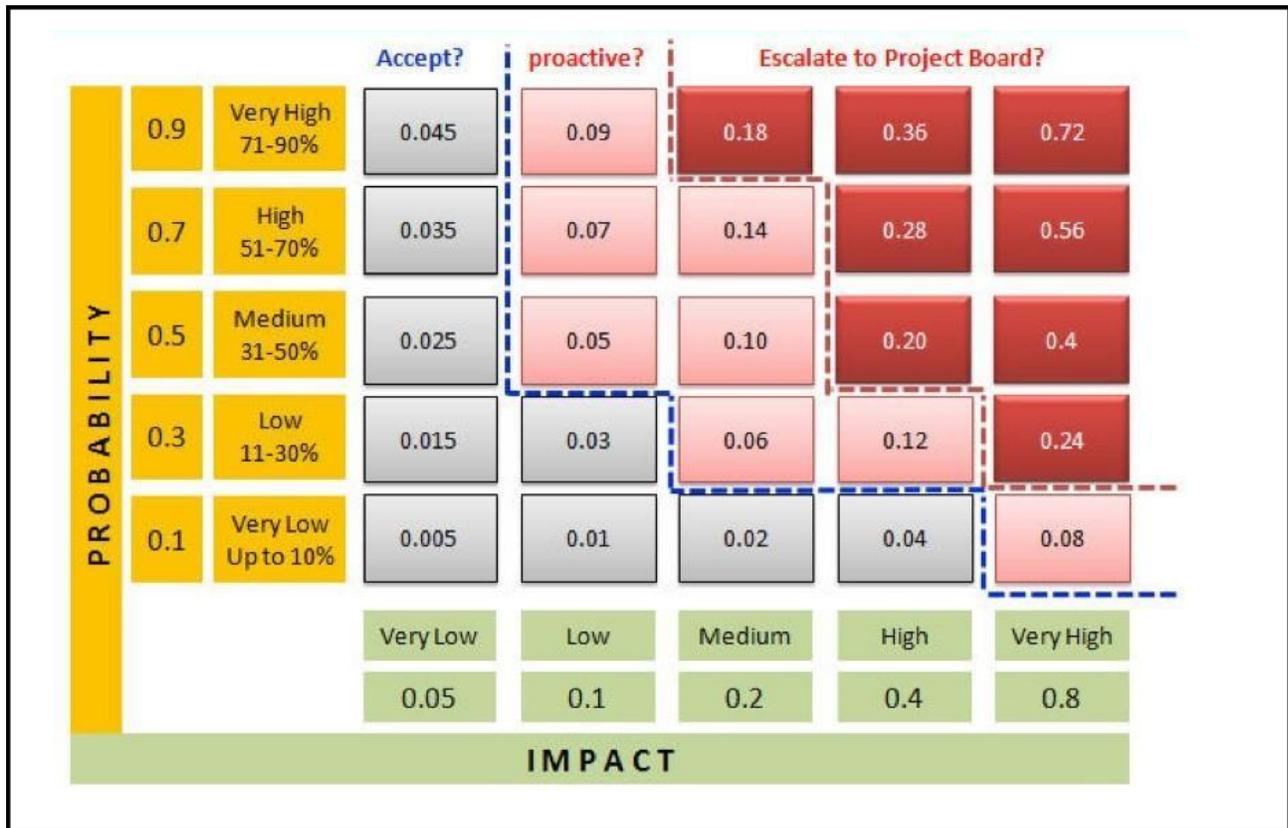
The objective of the hazard identification and resolution process is to identify and define significant dangerous conditions related to the operation and services of a transit agency and to eliminate or control these conditions prior to their causing or contributing to an accident/incident, injury, death or other major loss.

All employees of a transit agency are responsible for identifying, reporting, and, when possible, eliminating or controlling hazards that they encounter during their daily duties. Once hazards have been identified and fully evaluated, the transit agency then focuses on taking appropriate actions to mitigate, control, or eliminate the hazard.

**Critical Area Seven: Organizational Safety**

Description	Internal Process	Reviewer Process and Comments <i>(Provide comments to explain your review process)</i>
The organization has a methodology for identifying hazards and analyzing those hazards for their potential consequences.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a methodology to assess the probability and severity of hazard consequences and, based on that assessment, create mitigations to reduce risk.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Operations and maintenance management and frontline employees play an active role in organizational safety related activities and assist in identifying hazards and developing safety risk mitigations.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

Risk probability



## **Accident and Incident Handling**

Vehicle accidents and employee or passenger incidents can occur at any time and require strategic and effective decision-making by both management and front-line employees. Once the accident or incident is under control, transit agencies have responsibility for initiating formal procedures on accident/incident reporting, investigation, and review. It is essential that these activities are clearly defined in agency policies and procedures and include specific employee roles and responsibilities.

The process of accident/incident reporting, investigation, and review is enhanced and made consistent through the use of standardized protocols and documentation forms. The goal of accident/incident investigation is to identify root causes of the event so appropriate corrective actions can be taken to prevent recurrence. The accident/incident investigation and review process can be managed through either an employee tasked with that responsibility or through an accident review committee composed of both management and front-line employees.

Thorough documentation of the overall accident/incident review process is important.

## **Insurance**

There are a variety of ways that a transit agency can insure its assets and protect against liability. These range from the purchase of coverage from a broker or carrier, to participation in an insurance consortium, to being self-insured. In order to determine the best strategy, the insurance agency needs to have access to detailed information including the types of insurance coverage available as well as coverage approaches taken by peer transit agencies from around the region, state, and country.

Critical issues related to the safety, security, and emergency preparedness impact on transit insurance include the effects of agency policies, procedures, and training on safety risk, and the impact of accidents or incidents on insurance coverage.

Also significant is whether or not coverage will remain in force in the event that transit vehicles and resources are used as a part of emergency evacuation activities directed by local emergency management.

Various resources are available to help transit system management make sound decisions about insurance coverage. National and state level associations, such as those for county or municipal governments, and transit and insurance industry groups can provide information about prudent risk management and underwriting practices. It is important that transit system management is knowledgeable about the basics of risk management, underwriting practices, and their relationship to safety and security programs.

## **Facility Safety**

It is important to conduct periodic inspections of all transit facilities including agency buildings and yards, transfer centers, and bus stops. The purpose of these inspections is to identify potential hazards and repair needs. The inspections focus on agency-specific facility hazards, and state and Federal requirements including, when appropriate, those of OSHA and the Environmental Protection Agency (EPA).

Because of the widely varied nature of most transit facilities and the complexity of government standards, it may be necessary for the transit agency to educate an internal inspection team or use outside resources to accurately identify hazards and repair requirements.

The facility inspection process is best linked to the transit agency's hazard management and safety data acquisition and analysis practices, as well as the internal safety audit and review process. Standard checklists are helpful when performing and documenting facility inspections. Post-inspection reports include inspection findings and recommended corrective actions.

A transit agency's facility maintenance efforts require a formalized and detailed plan that promotes safety while meeting industry standards, guidelines, and regulations. Facility maintenance plans are best created consistent with Federal and state guidelines.

## **Safety Data Acquisition and Analysis**

Safety-related data, such as that gained through accident/incident investigations, hazard management practices, and industry guidance, provide transit managers with opportunities to learn from past internal events and the experiences of peers. The information gained through this process can be used to improve agency performance and, when used properly, can highlight agency accident/incident and hazard trends.

Tracking this data over time also provides useful information regarding the effectiveness of the agency's safety program and where safety-related improvements can be made. To be effective, the safety data acquisition and analysis process requires orderly, systematic, and comprehensive record keeping. Although larger transit agencies use information technology to assist in safety data acquisition and analysis, smaller transit agencies often rely on simpler methodologies to collect data, such as a spreadsheet or a file of written reports from accidents, complaints, and employee reports of incidents.

By watching for trends in accidents/incidents, passenger complaints, and "near miss" reports, transit management has the potential to identify and resolve problems before critical accidents/incidents occur.

<b>Critical Area Seven: Organizational Safety</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization performs causal analysis of accidents and incidents to identify contributing organizational factors beyond individual employee behavior and, as appropriate, attempts to mitigate those organizational factors to reduce future safety risk.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**CTAA Standards:**

**Safety Plans**

1. The organization has a written safety plan appropriate to the size, location and scope of its operations and this plan is followed.
2. The transit agency has adopted an Exposure Control Plan that eliminates or minimizes employee exposure to blood-borne pathogens consistent with OSHA regulation 1910.1030 or has taken other steps as appropriate to minimize employee blood-borne pathogen risk.
3. The organization has adopted a strong policy governing driver/operator cell phone use which works to lower distracted drive safety risk and this policy is strictly enforced.

**Hazard Identification and Reduction**

1. The organization has a methodology to identify internal and external hazards including weather, hazardous materials, fire, and accidents and incidents.
2. The organization has a formal or informal risk management program that identifies, analyzes and measures specific risks the agency may face and adapts methodologies to avoid, reduce, control, assume or transfer these specific risks.
3. The organization holds regular safety meetings to promote safety awareness among drivers/operators and other safety sensitive employees and these meetings are formally documented.
4. The organization has a committee or an individual that solicits information from employees on safety issues for the purpose of eliminating, reducing, shifting, or minimizing risk and encourages employees to report their concerns.
5. The organization has a committee or an individual that solicits information from employees on safety issues for the purpose of eliminating, reducing, shifting or minimizing risk.

6. The organization holds regular safety meetings to promote safety awareness among drivers/operators and other safety sensitive employees and these meetings are formally documented.

### **Accident and Incident Handling**

1. The organization has a formal accident investigation and documentation process.
2. The organization has a formal methodology for determining whether accidents or incidents are “preventable” or “non-preventable”.
3. The organization records and documents all accidents and incidents and keeps all pertinent information on file.
4. The organization has specific formal procedures and guidelines for employees to follow in reference to transit vehicle post-accident activities.
5. The organization has specific formal procedures and guidelines for employees to follow in reference to transit passenger or employee incidents.

### **Insurance**

1. The organization has appropriate levels of insurance coverage.
2. If the organization has had any insurance premium increases due to safety concerns, it has responded by addressing those concerns.
3. The organization has determined whether or not insurance coverage will apply if vehicles are damaged or destroyed when being used during emergency community evacuations and has responded accordingly.

### **Facility Safety**

1. The organization has a facility risk reduction strategy designed to minimize the threat of possible theft and burglary of transit assets.
2. The organization conducts periodic internal facility safety audits and documents these audits.
3. The organization records all incidents of vandalism.
4. The organization integrates OSHA type safety concerns and other appropriate guidelines into its facility design process as may be required.
5. Transit facilities have posted building evacuation plans and exits are clearly marked.
6. If the organization performs maintenance in house, there is a program for ensuring shop safety for maintenance employees.
7. If the organization performs maintenance in house, there is protection on or around in-ground maintenance pits.
8. If the organization performs maintenance in house, vehicle lifts/jack stands meet required safety standards.

9. If the organization performs maintenance in house, the maintenance shop is equipped with safety goggles, eye wash stations, first aid kits, and blood-borne pathogen kits.
10. If the organization performs maintenance in house, “non-walk through” areas are clearly marked, including outside garage doors.
11. If the organization performs maintenance in house, parts are appropriately and safely stored so they can be easily inventoried and do not present a danger to employees.
12. If the organization performs maintenance in house, shop floor surfaces are kept clean of fluid residue so as not to present fire or slipping hazards.
13. Electrical power sources are secured, and electrical cords are stored when not in use.
14. The workplace is clean, orderly, and safety-conscious.
15. There is a process in place for ensuring office safety for administrative staff.
16. The organization has a fire prevention and reaction plan and documents periodic fire hazard inspections.
17. Appropriate fire extinguishers are mounted at locations throughout the organization’s facilities and these extinguishers are adequately monitored and kept charged.

### **Safety Data Acquisition and Analysis**

1. Data totals of accidents and incidents, vandalism, crimes, and safety related customer complaints are compiled and monitored over time.
2. Safety related data is analyzed for discernible trends and these trends are addressed to reduce organizational liabilities and vulnerabilities.
3. The organization has a formal or informal methodology for utilizing safety related “all hazards” information to potentially reduce future safety vulnerabilities.

## CRITICAL AREA EIGHT: Organizational Security

*Critical Area Overview:* The Organizational Security critical area includes external relationships with law enforcement and emergency management; security plans; threat and vulnerability assessment, fare handling security; security awareness and response, potential security threats; on-vehicle security, including bus driver/operator assaults; facility security; and data acquisition, analysis and security.

Security activities refer to protecting against threats caused by intentional acts be they criminal or domestic/international posed by criminal or terrorist activity. The FTA, along with the Department of Homeland Security (DHS) and the Transportation Security Administration (TSA) has established regulations, guidelines, recommended practices, and various other resources to assist transit agencies in developing administering and continually improving their system's security programs.

The FTA has identified several basic elements of security management which can be developed and administered by transit agencies; a comprehensive Security Plan that clearly defines the agency's security policies and employee security roles and responsibilities; a process for performing threat and vulnerability assessments; a plan for working with outside agencies to stay aware of changing security circumstances and potential threats to the transit system; and programs for continually monitoring the security of the agency's operations, services, facilities, equipment, passengers, employees, contractors, and other assets.

A sample security plan can be found at <https://www.transit.dot.gov/oversight-policy-areas/system-security-and-emergency-preparedness-plan-ssepp>

A resource guide, "*Security and Emergency Preparedness Action Items for Transit Agencies: A Resource Document for Transit Agencies*", can be found at [https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/508\\_new\\_top\\_17.pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/508_new_top_17.pdf)

### **Security Plans**

Security refers to threats caused by intentional acts. An ongoing and dynamic process, security planning is a major step in addressing agency security concerns and involves assessing threats and reducing vulnerability to the transit agency, its employees, customers, and the larger community.

Effective security plans are created based on the size, resources, and operating environment of the transit system. Small transit operations often choose to develop security and emergency preparedness plans in partnership with local government or regional planning entities to reduce direct costs and expand resources.

Security plans define roles and responsibilities for monitoring the effectiveness of transit operations and support activities within the area of security-related tasks. Successful security planning incorporates input from all employees to effectively address realities on the ground. In addition, key external stakeholders such as Federal and state government, local emergency managers, and community emergency management provide input into the process.

Security plans are reviewed and revised as necessary to ensure they remain consistent with agency operating realities and objectives. Executive management formally endorses the security plan as well as authorizes any subsequent revisions.

Security plans are shared with agency employees as appropriate to ensure employees are guided in securely carrying out their job assignments. Given the potentially sensitive nature of the contents of security plans, they are marked as “sensitive security information” and their distribution is strictly controlled.

**Threat and Vulnerability Assessment**

Threat and Vulnerability Assessments (TVAs) are performed consistent with FTA and TSA’s recommended practices. A TVA is performed by a transit agency for the first time to serve as a baseline evaluation of system security. TVAs are performed periodically thereafter when changes within the transit operating environment have occurred as a result of external activities that impact the security of the agency’s operations, services, passengers, employees, contractors, and other assets.

TVAs are performed and documented using a standardized template and, whenever possible, coordinated with outside stakeholders such as local emergency management, law enforcement, and fire departments to gain the benefit of their expertise and to establish working relationships with their personnel. In performing the TVA, the transit agency identifies all of its critical assets, including capital and human, and evaluates the importance of these assets to the system and their vulnerability to internal and external security threats. This process assists the transit agency in identifying system threats and vulnerabilities, while prioritizing what actions can be taken to eliminate or control the threat or vulnerability.

TVA findings and results are always documented and linked to proposed recommendations for correcting any identified system security weaknesses and reducing system security vulnerabilities. Transit system actions based on the results of the security assessment are best when tailored to the size and type of the agency.

Because of the sensitive nature of security-related information, a transit agency develops mechanisms to ensure the TVA report remains confidential and in the control of the agency at all times. TVA results should only be shared with appropriate external stakeholders, such as emergency management, law enforcement and other impacted governmental entities.

<b>Critical Area Eight: Organizational Security</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a formal or informal methodology for identifying criminal or terrorist threats and has completed some type of structured and documented threat and vulnerability assessment.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Fare Handling Security**

Since transit revenue provides an enticement for criminal behavior, the security of revenue facilities and procedures is a concern. To address this security concern, transit agencies assess the revenue handling process to identify possible weaknesses and to reduce or control the impact of potential threats and vulnerabilities. Based on the results, the agency is in the position to evaluate methods for improving revenue handling and transfer practices.

These methods can include using surveillance cameras, controlling access to revenue facilities, secure handling of fare boxes at probing stations, sealing of revenue transfer containers, storing revenues in a secured vault, and/or timely transferring of revenues to a bank.

As with all other security related practices of the transit agency, revenue facility security and revenue handling and transfer procedures are best re-evaluated on a periodic basis to ensure they remain effective. The goal of making the revenue handling process more secure is not only to reduce the possibility of theft by employees, but also to reduce the vulnerability of employees to external criminal activity.

<b>Critical Area Eight: Organizational Security</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has appropriate formal security protocols for managing fare revenue including removal from vehicles, handling, counting and transfer to bank.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Facility Security**

Effectively securing access to vehicle storage areas and transit facilities is often a challenge to transit agencies due to various constraints such as agency size, location, and resources. Regardless, it is important that transit agencies utilize available resources to put into place the highest level of vehicle storage and transit facility security possible.

Methods for improving vehicle and transit facility security may include locked and/or controlled perimeter fencing, external and internal lighting, surveillance equipment, alarm systems, locked and/or controlled facility entrances, roving security patrols, or some combination of these threat reduction strategies. In many cases, however, transit agencies will not be able to implement all of these improvements. Instead, the agency will have to select the option that is the most cost-effective and practical for their needs.

The selection of security options requires a thorough analysis of all facilities and vehicle storage areas combined with a realistic appraisal of identified threats and vulnerabilities. Common sense, the advice of local law enforcement or emergency management, and the agency's insurance carrier can be valuable resources for deciding how to best secure storage areas and facilities.

An internal security review process is an effective tool in verifying that security programs and practices have been developed and implemented in accordance with Federal and state requirements and as mandated by internal transit agency policies and procedures. This internal review process is best when documented with a checklist. The results can be used to measure agency security program performance.

<b>Critical Area Eight: Organizational Security</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization works to ensure the security of the transit vehicle storage area(s) including using, as is reasonable and practical, fencing, locked entrances, sufficient lighting and surveillance equipment.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Security Awareness and Response**

A transit agency’s front-line employees and passengers are sometimes described as the security “eyes and ears” of the system and the community. They work in and ride the system each day and are often in the best position to notice suspicious activities, people, vehicles, or items, as well as any other events that may pose a security threat or vulnerability to the agency’s operations and services. It is therefore important that transit agencies recognize their employees and passengers as key resources in assisting the enhancement of system and community security.

Efforts that stress the value of security awareness to employees and passengers are an important element of a transit agency’s overall security program. Training programs and informational sharing efforts that emphasize security awareness and reporting have the potential to reduce security vulnerabilities.

Security awareness and reporting programs have applicability to a variety of transit agency activities including vehicle inspection, vehicle storage, visitor control systems, suspicious item response, bomb threat and dangerous mail response, theft and burglary concerns, and reacting to potentially dangerous people.

Reporting procedures and accompanying documentation are most effective when designed to be as simple and as easy as possible for employees to follow or complete, requiring just enough information so that a supervisor or manager can determine what, if any, follow up action is required. It is critical to stress to all employees that any unusual and potentially suspicious behavior or items should be reported.

<b>Critical Area Eight: Organizational Security</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has developed formal protocols for employee reaction to telephoned or written bomb threats and bomb threat checklists are placed near telephones.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization has specific procedures and guidelines that direct transit employees' response to on-board or in-transit facility criminal / terrorist activity, including violent and / or armed perpetrators; hostage situations; improvised explosive devices; and chemical, biological and radiological (CBR) weapons attacks.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The agency has established an emergency verbal code for drivers to use in notifying the dispatcher that emergency law enforcement response is needed due to a violent or potentially violent perpetrator on the vehicle.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

### **Security Data Acquisition and Analysis**

Transit agency security is enhanced through the development and administration of a security data acquisition and analysis process that relies on the documentation of past internal security events and peer agency experiences. It is critical to stress to all employees that any unusual, potentially suspicious or dangerous behavior or items should be reported, and this activity documented by the transit agency.

Security-related events such as criminal or terrorist behavior on transit vehicles, in and around transit facilities, or within the community, need not only be reported to appropriate authorities, but also tracked to identify potential system security threats and vulnerabilities. This information can be used to measure and improve agency security-related performance.

Tracking security data over time provides useful information regarding the effectiveness of the agency's security program in comparison to other agencies and where improvements can be made. To be effective, the security data acquisition and analysis process requires orderly, systematic, and comprehensive record keeping. This requires transit agencies to develop formal yet easy-to-use mechanisms for gathering and analyzing security data. These mechanisms can range from sophisticated information technology to a simple spreadsheet or a paper filing system where security incident forms are kept.

The critical concern is that the data is analyzed and used to identify trends in security threat and develop initiatives to reduce security vulnerabilities.

## **CTAA Standard:**

### **Security Plans**

1. The organization has a written security plan appropriate to the size, location, and scope of its operation.

### **Threat and Vulnerability Assessment**

1. The organization has a formal or informal methodology for identifying criminal or terrorist threats and has completed some type of structured and documented Threat and Vulnerability Assessment.
2. Organizational critical assets have been examined in terms of their vulnerability to hazards and threats and this examination has been documented.
3. Information on organizational hazards, threats, and vulnerabilities has been shared with appropriate outside emergency and first response entities.

### **Fare Handling Security**

1. The organization has appropriate formal security protocols for managing fare revenue including removal from vehicles, handling and counting, and transfer to bank.
2. The organization takes appropriate steps as are reasonable and practical to secure the fare handling and transfer process.

### **Facility Security**

1. As is reasonable and practical, the organization addresses facility security concerns in reference to the security of dispatch, driver/operator break areas, administrative offices, maintenance facilities, parking lots, entrances, windows, doors, restrooms, corridors and stairwells, rooftops, HVAC systems, trash receptacles, and other security related infrastructure.
2. The organization works to ensure the security of the transit vehicle storage area(s) including using, as is reasonable and practical, fencing, locked entrances, sufficient lighting, and surveillance equipment.
3. The organization has requested local law enforcement officers to periodically patrol agency facilities and vehicle storage areas.
4. The organization has either explored the possibility of purchasing surveillance equipment or has surveillance equipment in place in its transit facilities.

5. The organization has a visitor control methodology as is reasonable and practical.
6. The organization issues employee identification badges which employees are required to display at all times while on duty.
7. The organization has developed formal protocols for employee reaction to telephoned or written bomb threats and bomb threat checklists are placed near telephones.
8. The organization has a process for managing dangerous mail including suspicious packages or letters delivered to the agency.
9. The organization has anti-virus software installed on all computers and/or computer networks.
10. The organization regularly backs up its computer data and stores it in a safe and secure location.

### **Security Awareness and Response**

1. All employees receive security awareness training on recognition, reaction, and reporting of suspicious people, suspicious behavior, suspicious items, and suspicious vehicles.
2. The organization has specific procedures and guidelines for all transit employees for responding to on-board or in transit facility criminal/terrorist activity, including violent and/or armed perpetrators, hostage situations, improvised explosive devices, and CBR attacks.
3. The agency has established an emergency verbal code for drivers/operators to use in notifying the dispatcher that emergency law enforcement response is needed based on a violent or potentially violent perpetrator on the vehicle.

### **Security Data Acquisition and Analysis**

1. Data totals of security related events are compiled and monitored over time.
2. Security related data is analyzed for discernible trends and these trends are addressed to reduce organizational liabilities and vulnerabilities.
3. The organization has a formal or informal methodology for recording and analyzing security related "all hazards & threats" information to reduce future security vulnerabilities.

## **CRITICAL AREA NINE: COMMUNITY EMERGENCY RESPONSE PREPAREDNESS**

*Critical Area Overview:* This Community Emergency Response Preparedness critical areas include planning for responding to community emergencies; incident management; coordination with emergency management; and drills, simulations and exercises.

The development of an all-hazards approach to emergency preparedness assists transit agencies in responding to their own internal safety and security concerns and illuminates their role as a part of a broader network of community emergency management.

A basic tool in emergency and all-hazards management is a transit- specific emergency preparedness plan. The transit readiness and response role is enhanced by focusing on internal incident management and addressing the agency's responsibilities in supporting external emergency community response. It is critical that transit management and staff are trained on incident response and recovery.

Emergency information dissemination guidelines require formalization. Transit's specific role in community emergency response needs to be defined and formalized within the community emergency management plan.

### **Emergency Planning**

Increasing emphasis is being placed on transit agencies to develop internal emergency preparedness plans in coordination with local or regional emergency management. These plans establish internal transit emergency preparedness responsibilities, contain all required emergency response protocols, and define the relationship between the transit agency and external emergency management.

Formal emergency preparedness plans require executive approval, are distributed to key external stakeholders, and the contents are communicated to impacted internal staff. These plans, whether contained in a single internal safety, security and emergency preparedness document such as a SSEPP, developed as separate safety, security and emergency preparedness internal documents, or included as a part of a community/region-wide Emergency Operations Plan, are living and dynamic and therefore are reviewed periodically for accuracy and appropriateness.

Any planning document that contains sensitive security information needs to be kept confidential and controlled and shared only with key external stakeholders on a need-to-know basis.

<b>Critical Area Nine: Community Emergency Response Preparedness</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has specific procedures and guidelines for responding to the need to evacuate people from communities threatened by artificial or natural events as ordered by local emergency management.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Managers and supervisors are trained in how to manage transit emergency incidents.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

**Incident Management**

Transit’s incident management initiatives include developing protocols for reacting to identified threats and hazards and are at least partially driven by previously experienced safety and security events.

The incident management process reinforces the responsibility of front-line employees to be on the lookout for, respond to, and report safety and security-related activities and events in the service area. The scheduling and dispatching process is an important component of the overall transit incident management system since the people who perform these functions are often an integral part of agency response.

Transit industry management is presently being urged by the Federal government to become National Incident Management System (NIMS) certified and to develop the internal crisis management skills of its workforce. As part of this incident management initiative, transit agencies are encouraged to develop employee protocols for responding to a wide range of safety and security events involving transit operations. Additional information regarding NIMS can be found at <https://www.fema.gov/national-incident-management-system>

Recent community emergencies created by acts of nature have underlined the importance of transit systems’ role in providing resources for emergency community evacuation efforts. Transit’s role also may include helping emergency management identify and locate transportation dependent populations that may require evacuation assistance.

The stronger the working relationship between transit agencies and entities such as local human service agencies, elderly housing complexes, nursing homes, and assisted living facilities, the easier it will be for transit to prepare for and participate in special needs population evacuation.

## **Coordination with Emergency Management**

It is valuable for transit agency management to build an effective working relationship with local, regional, state, and, as appropriate, Federal emergency management agencies. This relationship often includes entering into agreements for the provision of cooperation, coordination, communication, and support in the event of transit or community emergencies and community evacuations. These agreements may be included in local, regional, or state emergency response plans, or may be stand-alone agreements between the transit system and external agencies.

The transit agency is well served by pursuing the opportunity to participate in Local Emergency Planning Committees (LEPC). Open communication and interaction with law enforcement and fire departments is an important goal of transit emergency management. This relationship includes cross-training activities with law enforcement and fire personnel being oriented on transit vehicle operation and transit employees being trained on how to respond to vehicle fires and violent/dangerous passengers on vehicles.

Special attention needs to be given to training public safety and/or other appropriate personnel on the operation of wheelchair lift and securement equipment. Additionally, training is helpful for emergency management on the structural design of transit vehicles so they can find the fastest and safest access points in the event they need to gain entrance to the vehicle after an accident in order to evacuate passengers.

<b>Critical Area Nine: Community Emergency Response Preparedness</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has established a working relationship with the local or regional emergency management process and has instituted a response mechanism in the event of a transit emergency or a community emergency requiring transit involvement.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Information on organizational hazards, threats and vulnerabilities has been shared with appropriate external emergency and first response entities.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## **Drills, Simulations and Exercises**

The transit agency benefits from holding internal hands-on emergency response training and participating whenever possible in external emergency drills, simulations, and exercises. These internal and external activities can range from tabletop exercises to single response drills to full-scale functional exercises.

Practicing emergency response capabilities develops management and employee skills and

crystallizes response protocols. Regularly repeated training and testing of transit employees on emergency response skills will help to ensure that employees are as prepared as possible for any emergency.

A part of such training includes the assessment of employee skill levels and additional coaching as necessary. Post-action reports on all drills, simulations, and exercises are a means of documenting the event and provide an opportunity for analysis and improvement of response.

## **CTAA Standards:**

### **Emergency Planning**

1. The organization has established an internal emergency notification protocol.
2. The organization has an emergency preparedness plan, or an emergency management plan, appropriate to the size, location and scope of its operations, that is integrated with regional emergency management plans.
3. Emergency preparedness procedures and protocols have been distributed to appropriate staff.
4. The organization has specific procedures and guidelines for responding to the need to evacuate people from communities threatened by man-made or natural events as ordered by local emergency management.
5. The organization has specific procedures and guidelines for responding to the need for emergency system shut down and subsequent system start up.
6. The organization has an emergency information dissemination policy that restricts employee media access and guides those key staff members in providing accurate verified information regarding what has happened, what the agency is doing about it, and how might it affect the community.

### **Incident Management**

1. Managers and supervisors are trained in how to manage transit emergency incidents.
2. The organization's managers and supervisors are NIMS certified.

### **Coordination with Emergency Management**

1. The organization's management either presently participates in or has solicited for participation in Local Emergency Planning Committee (LEPC) meetings.

2. The organization has established a working relationship with the local or regional emergency management process and has instituted a response mechanism in the event of a transit emergency or a community emergency requiring transit involvement.
3. The organization has established a working relationship with local fire departments and law enforcement to improve safety, security, and emergency/incident preparedness response capabilities.
4. The organization has familiarized law enforcement and fire emergency management with transit equipment facilitation and operations, including vehicle and facility entry, hazardous materials, equipment shut down, emergency dump valves and battery cut-off switches, and lift operation.
5. Local fire department personnel conduct periodic training for the agency's drivers/operators on fire extinguisher use and how to evacuate the vehicle when fire or fire risk is present.
6. Local law enforcement conducts periodic training for the agency's drivers/operators on how to react to violent and / or potentially violent passengers on buses.

### **Drills, Simulations and Exercises**

1. The organization holds internal hands-on training for transit employees on responding to a variety of different emergency situations that they potentially might encounter.
2. The organization participates in or solicits participation in external emergency drills, simulations, and exercises ranging from basic awareness training, to operational training, to tabletop exercises, to single response drills, to full scale functional exercises in order to develop effective coordinated response to emergency community events.

## **ACTIVITIES THAT SUPPORT SMS IMPLEMENTATION AND OPERATION**

### **Understand SMS**

SMS is neither a contemporary version of past safety programs nor an enhanced accident prevention program. It's a management system that produces objective data that allows senior management to make informed decisions regarding the allocation of resources to mitigate prioritized safety risk. SMS is flexible and scalable to the size and operating characteristics of a transit agency. It is meant to be tailored specifically to the safety management needs of an agency.

### **Define SMS Roles and Responsibilities**

Transit agency safety management accountabilities and responsibilities are defined prior to implementing SMS. These responsibilities and accountabilities vary greatly depending on the size and organizational structure of an agency. However, certain SMS roles and responsibilities must be established.

- **Accountable Executive:** Has ultimate responsibility for SMS implementation and operation and the agency's safety performance. Makes strategic resource allocation decisions based on prioritized risk. Under most circumstances, the Accountable Executive will be the transit agency CEO.
- **SMS Lead / Safety Officer:** Manages SMS implementation and operation but relies on appropriate subject matter experts to assist in safety risk management and safety assurance activities. Has direct access to the Accountable Executive, as well as operations and maintenance management. Under most circumstances, the SMS Lead will also be the transit agency Safety Officer.
- **SMS Implementation Team:** Represents a cross section of a transit agency's functions and assists the SMS Lead / Safety Officer in SMS implementation.
- **Operations and Maintenance Management:** Play a critical role in the ongoing operation of the SMS, including participating in and overseeing safety risk management and safety assurance activities.
- **Frontline Operations and Maintenance staff:** Provide timely and ongoing feedback to transit agency management on safety hazards and concerns and, as appropriate, participate in safety risk management activities.

## **Issue a Safety Management Policy Statement**

The Safety Management Policy Statement is a brief document that frames the fundamentals upon which the transit agency will implement and operate its SMS. This statement:

- Documents executive management's commitment to safety and safety improvement.
- Commits the agency to providing resources to mitigate prioritized safety risk.
- Addresses a formal and effective safety reporting program.
- Commits the transit agency to establish safety performance standards.
- Emphasizes that transit employees up, down and across the agency will all have a critical role in the SMS.
- Should be signed by the Accountable Executive / CEO or, in some cases, another oversight authority.
- Is communicated and made available to all employees throughout the transit agency and is visibly supported by executive leadership.

## **Conduct SMS Analysis and Create SMS Implementation Plan**

Prior to creating an SMS Implementation Plan, it's important to analyze existing transit agency safety practices to identify practices that are already in place to support the SMS and gaps where practices need to be addressed before an SMS can be fully operational. After the analysis is complete, the transit agency will need to create an implementation plan that identifies SMS implementation activities, timelines and responsibilities. This plan is basically a project management plan and can be developed using readily available tools, including spread sheets or a Gantt chart. The SMS Lead / Safety Officer will oversee and direct the plan's development and implementation with significant input and involvement by the cross-functional SMS implementation team.

## **Ensure an Effective Employee Safety Reporting Program**

Transit agency employees play a vital role in establishing and maintaining an effective SMS. Often frontline employees are more aware of safety hazards and concerns that affect the transit agency because these employees are either driving or maintaining buses on a daily basis. A formal employee safety reporting program encourages employees to report safety hazards and concerns without fear of reprisal. The transit agency documents the reported hazards and concerns and addresses issues, as necessary, through safety risk management activities. The employee safety reporting program must be easy for employees to use and supported by a transit culture of trust and communication.

## **Create a System for Documenting SMS Data and Activities**

The SMS feeds on data and cannot be successful without the diligent and accurate collection of data. Therefore, it is essential that the transit agency has a mechanism to collect and formally document data related to safety hazard identification, safety risk assessment, safety risk mitigations and safety performance monitoring. This data must be easily accessible so it can be analyzed, and when appropriate, shared throughout the transit agency. Reactive data includes information about accidents and incidents after they occur. Proactive data includes information about safety risks before accidents and incidents happen. Both reactive and proactive safety data help paint a picture of transit agency safety risk and drive safety risk mitigation and safety performance monitoring activities.

## **Emphasize Agency-Wide Safety Communication**

Every transit agency understands the importance of safety communication, both formal and informal. Most agencies already have some type of safety communication platform, such as safety meetings or safety committees. SMS is dependent on strong agency-wide communication and two-way dialogue on safety hazards and safety risk mitigations. Not only does safety communication have to occur up, down and across the transit agency on a regular basis, it also must be documented to create a record of past SMS related activities and information that will drive future SMS activities.

## **Train on SMS Roles and Responsibilities**

All transit agencies deliver some level of skill training to their employees. The SMS will require additional training initiatives for existing and new employees on what SMS is and their roles and responsibilities in supporting the SMS. SMS is not common sense or intuitive, so formal, ongoing safety management training is essential for successful SMS implementation and operation. Additionally, frontline employees need to know how to report their safety concerns; managers and supervisors need to be trained on SMS activities they will be involved in; safety staff need to understand their role as SMS facilitators; and executive leadership needs to understand its SMS responsibilities.

## **Identify and Analyze Hazards**

Hazard identification and analysis can help a transit agency address hazards before they escalate into incidents or accidents. This process also provides a foundation for assessing safety risk and implementing safety risk mitigations. Every transit agency encounters hazards on a regular basis. The only way those hazards can be addressed is by identifying and documenting them. Most transit agencies have multiple sources for hazard identification, which include:

- Employee safety reporting
- Field observations
- Customer and public feedback or complaints
- Safety inspections

- Safety committee reviews
- Internal safety investigations
- Accident and incident reports
- Compliance programs
- Shared transit industry data
- Input from state and federal government sources

After hazards are identified, they must be analyzed for their potential consequences. For this analysis process to be effective, an agency must understand that a hazard does not get mitigated, but rather, the consequences of the hazard are mitigated. It is also important to realize that one hazard may have multiple consequences.

### **Assess and Prioritize Risk and Create Risk Mitigations**

The consequences of each hazard must be assessed in terms of their probability and severity. Assessing consequences can be accomplished by using a simple matrix that prioritizes risk from high to low probability and severity. This assessment allows transit management to know what their major safety risks are and apply their precious resources to mitigate their highest safety risks. Based on this assessment and prioritization of hazard consequences, the transit agency will review whether there are mitigations already in place and, if so, whether these mitigations need to be changed or new mitigations developed. Subject matter experts should be involved in the risk mitigation process to assess and improve any mitigations that are already in place or create new mitigations where there are gaps.

### **Monitor Individual and Agency Safety Performance**

Monitoring individual safety performance through field observations is the only way an agency can determine whether individuals are performing as trained, policies and procedures are being followed and mitigations are being implemented as designed. Field observations should always be documented. Coaching and training is a necessary follow-up strategy to address individual performance problems identified during field observations. Monitoring agency safety performance is best done by analyzing data related to accidents, incidents, preventive maintenance adherence, miles between road calls and the status of agency performance target achievement. New hazards discovered during individual and agency safety performance monitoring activities should be analyzed and mitigations developed, as necessary.

### **Perform Causal Analysis of Accidents and Incidents**

Historically, transit agencies have far too often investigated accident and incidents for the primary purpose of identifying whether the accident or incident was preventable or non-preventable and subsequently disciplining the employee(s) involved. Although this process is important, it does not reduce future safety risk. Causal analysis is an important activity to help reduce future safety risk. Accidents and incidents must be analyzed not only to discover the involved employees' behavior, but also to identify any latent organizational factors that could have contributed to the accident or incident. Keep in mind that there may be more than one organizational factor that partially contributed to an accident or incident. It is the output of this causal analysis that allows the transit agency to identify hazards and mitigate the consequences of those hazards.

### **Assess Organizational Change for Risk and Mitigate If Necessary**

When a transit agency changes factors directly or indirectly involving service delivery, there is always the potential for those changes to increase safety risk. Changes may cut across a wide spectrum of the agency's activities, ranging from service expansion to staff reductions to procuring new equipment or technology to altering approaches to skill training initiatives or changing standard or emergency operating procedures. An agency should establish a methodology to ensure that all changes being considered are evaluated for safety risk before they are implemented. If it is determined a change will heighten safety risk to an unacceptable level, mitigations need to be developed and put in place before implementing the change.

### **Continuously Improve the SMS**

An SMS is a work in progress and never completed. Ongoing evaluation of your transit agency's SMS is required to make sure it is effective in helping the agency carry out its safety mission and achieve its safety objectives and safety performance targets. Evaluating SMS effectiveness should be designed to identify weaknesses in how the SMS is structured and whether or not related activities are being carried out as designed and planned.

Appendix A  
On-Site Safety Assessment

**THE COMMUNITY TRANSPORTATION  
CERTIFIED SAFETY AND SECURITY  
OFFICER PROGRAM  
(CSSO)**

**Safety Officer On-Site Assessment Checklist**

Company:

Person Completing Assessment:

Title:

Signature:

Date:

Approved by:

Title:

Signature:

Date:

## Appendix A On-Site Safety Assessment

***Please examine each issue and provide specifics in the Reviewer Process and Comments column.***

<b>Critical Area One: Leadership &amp; Management</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
Senior management is actively involved in safety and security program development and decision making.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
There is a written values or mission statement for the organization, and it is pertinent to the organization's transportation activities and emphasizes safety as a priority concern.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
Management sets formal safety and security goals with quantifiable objectives.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
One or more individuals have been designated as responsible for safety and security.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
One or more individuals have been designated and are held accountable for the success of personnel and training programs.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The relationship between management and employees is effective and open to communication on safety and security organizational issues.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## Appendix A On-Site Safety Assessment

<b>Critical Area Two: Operations</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
If the organization operates fixed route service, schedules are evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates fixed route service, routes are evaluated periodically to ensure the safety of bus stop locations and bus turnarounds.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates demand response service, scheduling of pick up and drop off times is evaluated periodically to ensure appropriate time is allotted for safe operation of that service within the parameters of on-time performance.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
If the organization operates demand response service, it has taken into account the safety and security impact of curb-to-curb, door-to-door and through- the-door service in both its design activity and in the development of its demand response operations, policies and procedures.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization has ensured that enough time is allotted between driver/operator check in with Dispatch and scheduled pull-out time for drivers/operators to complete a comprehensive and compliant pre-trip inspection.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization has a formal operations policy document or driver/operator handbook covering all frontline operational safety and security activities, which include vehicle inspection, breakdown and securing procedures; passenger assistance procedures; emergency procedures including fire and evacuation; and hazardous driving condition procedures. A record of employee sign- off for receipt of these documents is maintained.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization always has a dispatcher or supervisor available to drivers/operators for all hours that service is being delivered.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	
The organization documents, tracks and responds to safety and security related complaints from passengers or other members of the public.	<input type="checkbox"/> <b>In-Progress</b> <input type="checkbox"/> <b>Complete</b> <input type="checkbox"/> <b>Not Applicable</b>	

## Appendix A On-Site Safety Assessment

If the organization contracts for services, the formal or informal relationship between the organization and contractors includes concerns about training, safety and security and monitoring of the same.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
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Critical Area Three: Vehicles and Maintenance		
Description	Internal Process	Reviewer Process and Comments <i>(Provide comments to explain your review process)</i>
The organization has a bus maintenance plan that includes formal procedures for preventive and corrective maintenance.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
A recording and tracking system is used to schedule inspections and maintenance intervals; this system records dates or mileages when services are due.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
There are lines of communication that allow maintenance personnel and drivers/operators to share their expertise in maintaining the operational safety of the vehicle fleet.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Drivers/Operators always perform effective pre-trip vehicle inspections and these inspections are documented.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization uses a formal preventive maintenance checklist.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization uses a system to identify and document vehicle defects requiring corrective maintenance.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
All preventive maintenance is documented, including work orders, purchase orders and / or invoices related to a particular piece of scheduled maintenance work and kept on file.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Each transit revenue vehicle is equipped with basic safety equipment, including a fire extinguisher, bio-hazard kit, first aid kit, triangles, web cutter and a flashlight.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

## Appendix A On-Site Safety Assessment

<b>Critical Area Four: Facilities and Maintenance</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization conducts periodic internal facility safety audits and documents these audits.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The workplace is clean, orderly and safety-conscious.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a fire prevention and reaction plan and documents periodic fire hazard inspections.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
If the organization uses and stores hazardous materials on site, it has implemented and maintains a written, comprehensive hazard communication program that includes provisions for container labeling, collection and availability of safety data sheets (SDS) and an employee training program.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Appropriate fire extinguishers are mounted at locations throughout the organization's facilities and these extinguishers are charged and adequately monitored.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

<b>Critical Area Five: Personnel</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a formal personnel policy document covering all personnel actions for transit employees, including safety and security related issues, and the organization has a record of employees signing for receipt of the policy.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Job descriptions generally address safety and security responsibilities for each job function category.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Criminal background checks are required of applicants for safety-sensitive positions.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

## Appendix A On-Site Safety Assessment

There is a formal process to evaluate safety and security related employee performance.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization periodically monitors on-board driver/operator safety and security performance using such methods as supervisory ride-alongs or secret rider audits.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization uses the supervisory tools of coaching, counseling and discipline to improve transit employee safety and security performance.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a driver/operator fatigue program that includes tracking and monitoring on-duty and / or driving hours to minimize fatigue related safety risk.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

<b>Critical Area Six: Training</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a training plan that directs all employee training and development activities.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Drivers/Operators receive formal defensive driving training and certification at hire and periodically thereafter.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Drivers/Operators receive training on passenger assistance and sensitivity techniques for serving elderly and disabled passengers at hire and periodically thereafter.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Drivers/Operators receive emergency / crisis management training that includes handling accidents / incidents, vehicle fires and evacuation procedures and violent or potentially violent perpetrators at hire and periodically thereafter.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Drivers/Operators receive a hands-on orientation on every vehicle prototype they may be required to operate.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

## Appendix A On-Site Safety Assessment

Drivers/Operators are trained on the agency's established pre-trip inspection techniques at hire and periodically thereafter.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
If maintenance is performed in house, every effort is made to provide skill development training for mechanics, as is reasonable and possible.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Safety and security related skills training is provided to all appropriate managers and supervisors.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization provides periodic refresher training to safety sensitive employees and retraining based on performance issues.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
There are written records of all training classes that have taken place and these records include training objectives, trainers' names and qualifications, length of training, training mode, types of certifications or credentials and dates and signatures of both trainer and trainee.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
All on-the-job and behind-the-wheel training is formally documented with dates, times, information covered and signatures of both trainer and trainee.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

<b>Critical Area Seven: Organizational Safety</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The individual responsible to lead the organization's safety initiatives has received training on the roles and responsibilities.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The individual responsible to lead the organization's safety initiatives has regular and direct access to the organization's CEO on safety related activities and concerns.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a formal mechanism for frontline employees to report safety hazards and safety concerns without fear of reprisal, and management actively encourages employees to report their concerns.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization emphasizes safety communication, including holding regular safety meetings with all employees.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

## Appendix A On-Site Safety Assessment

The organization has a safety committee process that discusses safety issues and makes safety recommendations to executive leadership.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a methodology for identifying hazards and analyzing those hazards for their potential consequences.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has a methodology to assess the probability and severity of hazard consequences and, based on that assessment, create mitigations to reduce risk.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
Operations and maintenance management and frontline employees play an active role in organizational safety related activities and assist in identifying hazards and developing safety risk mitigations.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization performs causal analysis of accidents and incidents to identify contributing organizational factors beyond individual employee behavior and, as appropriate, attempts to mitigate those organizational factors to reduce future safety risk.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

<b>Critical Area Eight: Organizational Security</b>		
<b>Description</b>	<b>Internal Process</b>	<b>Reviewer Process and Comments</b> <i>(Provide comments to explain your review process)</i>
The organization has a formal or informal methodology for identifying criminal or terrorist threats and has completed some type of structured and documented threat and vulnerability assessment.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has appropriate formal security protocols for managing fare revenue including removal from vehicles, handling, counting and transfer to bank.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization works to ensure the security of the transit vehicle storage area(s) including using, as is reasonable and practical, fencing, locked entrances, sufficient lighting and surveillance equipment.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
The organization has developed formal protocols for employee reaction to telephoned or written bomb threats and bomb threat checklists are placed near telephones.	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

## Appendix A On-Site Safety Assessment

<p>The organization has specific procedures and guidelines that direct transit employees' response to on-board or in-transit facility criminal / terrorist activity, including violent and / or armed perpetrators; hostage situations; improvised explosive devices; and chemical, biological and radiological (CBR) weapons attacks.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
<p>The agency has established an emergency verbal code for drivers/operators to use in notifying the dispatcher that emergency law enforcement response is needed due to a violent or potentially violent perpetrator on the vehicle.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

Critical Area Nine: Community Emergency Response Preparedness		
Description	Internal Process	Reviewer Process and Comments <i>(Provide comments to explain your review process)</i>
<p>The organization has specific procedures and guidelines for responding to the need to evacuate people from communities threatened by artificial or natural events as ordered by local emergency management.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
<p>Managers and supervisors are trained in how to manage transit emergency incidents.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
<p>The organization has established a working relationship with the local or regional emergency management process and has instituted a response mechanism in the event of a transit emergency or a community emergency requiring transit involvement.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	
<p>Information on organizational hazards, threats and vulnerabilities has been shared with appropriate external emergency and first response entities.</p>	<input type="checkbox"/> In-Progress <input type="checkbox"/> Complete <input type="checkbox"/> Not Applicable	

**Appendix B**  
**Driver/Operator On-Board & Passenger Assistance Evaluation Form**

**DRIVER/OPERATOR ON-BOARD EVALUATION**

**DRIVER/OPERATOR 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	
Scheduled Arrival	

Actual Departure	
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			



# Driver/Operator On-Board & Passenger Assistance Evaluation Form

Participants will demonstrate knowledge of proper securement by boarding, securing, un-securing, de-boarding two different manned mobility devices on a minimum of two mobility devices. Instructors will use this standard form for evaluation.

## ***Hands-on On-board Evaluation Passenger Assistance Evaluation Form***

Name of Trainee: \_\_\_\_\_

Date: \_\_\_\_\_

Name of Trainer: \_\_\_\_\_

Location: \_\_\_\_\_

Skill Categories: **Lift Operation and Securement**

Specific Task	Rating			Comments	Instructors Initials
	1	2	3		
Lowering the Lift					
Assisting Passenger onto the Lift					
Raising the Lift					
Assisting the Passenger off the Lift					
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:**

