



# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP) FOR THE CITIES OF FARGO, ND MOORHEAD, MN

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METRO TRANSIT GARAGE, 650 23rd St. N. Fargo, ND 58102



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## TRANSIT AGENCY INFORMATION

Transit Agency Name	City of Fargo / City of Moorhead (jointly operating as MATBUS)
Transit Agency Address	Metro Transit Garage, 650 23 <sup>rd</sup> St N Fargo, ND 58102
Name and Title of Accountable Executive	Julie Bommelman, Fargo Transit Director / Dan Mahli, Moorhead City Manager
Name of Chief Safety Officer(s) or SMS Executives	Jordan Smith, Fargo Assistant Transit Director - Fleet and Facilities / Lori Van Beek, Moorhead Transit Manager
Mode(s) of Service Covered by This Plan	Fixed Route; Paratransit
List of All FTA Funding Types	5307, 5310, 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Modes: Fixed Route and Paratransit. The Cities of Fargo, ND and Moorhead, MN use contracted labor to operate the revenue vehicles for both modes.
Does the agency provide transit service on behalf of another transit agency?	The City of Fargo and City of Moorhead have a Joint Powers Agreement (JPA) for the operation of public transit in the metropolitan area. Under that agreement, the City of Fargo provides staff for building maintenance, vehicle maintenance, Fixed Route dispatch, mobility management, and Paratransit Reservationists, with the City of Moorhead paying a portion based on cost-sharing formulas in the JPA. The City of Fargo and the City of Moorhead jointly own the Metro Transit Garage where vehicles are stored, fueled and maintained and where administrative offices are located for City and contract staff. Fargo and Moorhead together select a contracted operator, but have separate contracts with the operator. Fixed Route vehicles are owned by the individual cities. Paratransit vehicles are owned by the individual cities; however, Moorhead leases their vehicles to Fargo for operation of the metro Paratransit system. The City of Fargo owns and operates the Ground Transportation Center (GTC) which acts as the main transfer facility for several routes from Fargo and Moorhead; there are also staff members located at the GTC. Moorhead cost shares in the GTC Operations.


## ORGANIZATION STRUCTURE AND SYSTEM SAFETY RESPONSIBILITIES


<p>CITY OF FARGO Accountable Executive Julie Bommelman</p> <p>CITY OF MOORHEAD Accountable Executive Dan Mahli</p>	<p>The Transit Director serves as the City of Fargo Transit Accountable Executive and the City Manager serves as the City of Moorhead Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> <li>Controls and directs human and capital resources needed to develop and maintain the PTASP and SMS.</li> </ul>
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	<ul style="list-style-type: none"> <li>• Designates an adequately trained Chief Safety Officer who is a direct report.</li> <li>• Ensures that City of Fargo SMS is effectively implemented.</li> <li>• Ensures action is taken to address substandard performance in SMS.</li> <li>• Assumes ultimate responsibility for carrying out City of Fargo and City of Moorhead PTASP and SMS.</li> <li>• Maintains responsibility for carrying out the agency's Transit Asset Management Plan.</li> </ul>
<p>CITY OF FARGO Chief Safety Officer Jordan Smith</p> <p>CITY OF MOORHEAD Chief Safety Officer Lori Van Beek</p>	<p>The Fargo Accountable Executive designates the Assistant Transit Director - Fleet and Facilities as the Chief Safety Officer. The Moorhead Accountable Executive designates the Moorhead Transit Manager as the Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:</p> <ul style="list-style-type: none"> <li>• Develops the PTASP and SMS policies and procedures</li> <li>• Ensures and oversees day-to-day implementation and operation of the SMS.</li> <li>• Chairs the Safety Committee. <ul style="list-style-type: none"> <li>- Coordinates the activities of the committee</li> <li>- Establishes and maintains the Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents</li> <li>- Maintains and distributes minutes of committee meetings</li> </ul> </li> <li>• Advises the Accountable Executive on SMS progress and status.</li> <li>• Identifies substandard performance in the SMS and develops action plans for approval by the Accountable Executive.</li> <li>• Ensures policies are consistent with safety objectives</li> <li>• Provides Safety Risk Management expertise and supports other personnel who conduct and oversee Safety Assurance activities.</li> </ul>
Agency Leadership and Management	<p>Agency Leadership and Management also have authorities and responsibilities for day-to-day SMS implementation and operation of the SMS under this plan. Agency Leadership and Management include:</p> <ul style="list-style-type: none"> <li>• Fargo Assistant Transit Director</li> <li>• Moorhead Transit Manager</li> <li>• Driver Services General Manager (Contracted)</li> <li>• Driver Services Operations Manager (Contracted)</li> <li>• Driver Services Safety Manager (Contracted)</li> <li>• Operations managers and supervisors</li> </ul> <p>Leadership and Management personnel have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> <li>• Participate as members of the Safety Committee (operations managers and supervisors will be rotated through the Safety Committee on a two-year term and other positions are permanent members)</li> <li>• Complete training on SMS and PTASP elements.</li> <li>• Oversee day-to-day operations of the SMS in their departments.</li> <li>• Modify policies in their departments consistent with implementation of the SMS, as necessary</li> <li>• Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including SRM activities, investigation of safety events, development of safety risk mitigation, and monitoring of mitigation effectiveness.</li> </ul>

Key Staff and Activities	<p>City of Fargo and City of Moorhead Transit use the Safety Committee, as well as the monthly Drivers' Meeting and weekly Team Meeting, to support its SMS and safety programs:</p> <ul style="list-style-type: none"> <li>- <b>Safety Committee:</b> Any safety hazard reported will be jointly evaluated by the Safety Committee and the Chief Safety Officer during the Safety Committee Meeting. The Safety Committee is made up of the following members:</li> <li>- Fargo and Moorhead Chief Safety Officers (Permanent Members)</li> <li>- City of Fargo Assistant Transit Director - Operations</li> <li>- City of Fargo Operations Supervisor (Permanent Member)</li> <li>- Driver Services Safety Manager (Permanent Member)</li> <li>- Valley Senior Services Transportation Manager (Permanent Member)</li> <li>- City of Fargo Dispatcher (Two-Year Term)</li> <li>- Maintenance Shop Supervisor (Two-Year Term)</li> <li>- Maintenance Shop Building Supervisor (Two-Year Term)</li> <li>- Bus Operator (Two-Year Term)</li> </ul> <p>Safety Committee will meet bimonthly to review issues and make recommendations to improve safety.</p> <ul style="list-style-type: none"> <li>- <b>Drivers' Meetings:</b> A permanent agenda item in all monthly Drivers' Meetings is dedicated to safety. Safety issues are discussed and documented.</li> <li>- <b>All Staff Team Meetings:</b> Hazard reports and mitigations will be shared, safety topics will be brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. Information discussed in these meetings will be documented.</li> </ul>
Contracted Agencies Covered under this Plan	<p>Valley Senior Services (Metro Senior Ride)</p> <ul style="list-style-type: none"> <li>• Valley Senior Services operates a transportation service call Metro Senior Ride. These services are designed for people age 60 and older. The City of Moorhead leases vehicles to Valley Senior Services to assist them in providing rides for the elderly.</li> </ul>

## PLAN DEVELOPMENT, APPROVAL AND UPDATES

Name of Person Who Drafted This Plan	Jordan Smith, Assistant Transit Director - Fleet and Facilities		
CITY OF FARGO Signature by the Accountable Executive	<b>Signature</b>	<b>Title</b>	<b>Date</b>
		Transit Director	3.11.24
	<b>Relevant Documentation (title and location)</b>		
Approved by Fargo City Commission 2/20/2024			

		City Manager	
CITY OF MOORHEAD Approval by Proper Authority	<b>Signature</b>	<b>Title</b>	<b>Date</b>
		City Manager	2-14-2024
	<b>Relevant Documentation (title and location)</b>		
	Resolution 2024-0212-P		

Safety Committee Approval Date	8/30/2023
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## SAFETY POLICIES AND PROCEDURES

### 1.1 COMMITMENT TO SAFETY

We are committed to Safety Management as a systematic and comprehensive approach to identify safety hazards and risks associated with transit system operations and related maintenance activities. We have adopted a Safety Management System (SMS) framework as an explicit element of the agency's responsibility by establishing safety policy; identifying hazards and controlling risks; goal setting, planning and measuring performance. We have adopted SMS as means by which to foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

To ensure transit safety and in order to comply with Federal Transit Administration (FTA) requirements, we have developed and adopted this Public Transit Agency Safety Plan (PTASP) to comply with FTA regulations established by section 5329(d) of the Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) Act.

The Fargo Transit Director, Moorhead City Manager, Metropolitan Council of Governments and City of Fargo Commission/City of Moorhead Council, in cooperation with the North Dakota Department of Transportation and Minnesota Department of Transportation, have reviewed the PTASP and assures that the content has met the requirements of Section 5329 (d) of MAP-21 through the establishment of a comprehensive Safety Management System (SMS) framework. Fundamental safety beliefs guiding our approach include:

- Safety is a core business value
- Safety excellence is a key component of our mission
- Safety is a source of our competitive advantage; our business will be strengthened by making safety excellence an integral part of all our public transportation activities; and
- Accidents and serious incidents are preventable; they are often preceded by precursors (events, behavior, and conditions) that can be identified, assessed and mitigated.

Basic elements of our safety approach include:

- Top Management Commitment to Safe Operations
- Responsibility and Accountability of all Employees
- Clearly Communicate Safety Goals
- Safety Assurance and Performance Measurement for Improvement

## 1.2 ANNUAL PTASP REVIEW AND UPDATE

Our Fargo-Moorhead management will review the PTASP annually, update the document as necessary and implement the changes within a timeframe that will allow the agency to timely submit the annual self-certification of compliance to the Federal Transit Administration (FTA). Annual self-certification will consist of the Fargo Transit Director and Moorhead City Manager signing and dating this document and submitting to FTA for review and approval. The annual review of the PTASP will be conducted by the agency as part of the PTASP review to be conducted no later than **June 30<sup>th</sup>** of each calendar year. Necessary updates outside the annual update window will be handled as PTASP addendums which will be incorporated in the body of the PTASP. Reviews of the PTASP by the local agency, any subsequent updates and addendums, adoption and distribution activities will be documented in the PTASP Document Activity Log.

## 1.3 SAFETY PROMOTION, CULTURE AND TRAINING

We believe safety promotion is critical to the success of SMS by ensuring that the entire organization fully understands and trusts the SMS policies, procedures and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles and allowing open communications of safety issues.

## 1.4 SAFETY CULTURE

Positive safety culture must be generated from the top-down. The actions, attitudes and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility each employee with the ultimate responsibility for safety resting with the Fargo Transit Director and Moorhead City Manager. Employees must trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated.

The primary goal of safety promotion is to develop a positive safety culture that allows SMS to succeed. A positive safety culture is defined as one which is:

- **An Informed Culture**
  - Employees understand the hazards and risks involved in their areas of operation
  - Employees are provided with the necessary knowledge, training, and resources
  - Employees work continuously to identify and overcome threats to safety
- **A Just Culture**
  - Employees know and agree on what is acceptable and unacceptable behavior
  - Human errors must be understood but negligence and willful violations cannot be tolerated
- **A Reporting Culture**
  - Employees are encouraged to voice safety concerns and to share critical safety information without the threat of punitive action
  - When safety concerns are reported they are analyzed, and appropriate action is taken
- **A Learning Culture**
  - Learning is valued as a lifetime process beyond basic skills training
  - Employees are encouraged to develop and apply their own skills and knowledge to enhance safety
  - Employees are updated on safety issues by management and safety reports are fed back to staff so that everyone learns the pertinent lessons

## 1.5 TRAINING

During the initial implementation of the SMS, specific training will be required for all employees, including contract staff, to explain the agency's safety culture and describe how SMS works. The Safety Officer is the resource person for providing a corporate perspective on our approach to safety management. Once



the SMS is implemented, safety training needs will depend on the safety responsibilities of the individual staff members and the nature of tasks performed.

- **Level One Training**
  - **Initial Safety Training for All Staff**
    - Basic Principles of safety management including the integrated nature of SMS, risk management, safety culture, etc.
    - Corporate safety philosophy, safety goals and objectives, safety policy and safety standards
    - Importance of complying with the safety policy and SMS procedures, and the approach to disciplinary actions for different safety issues
    - Organizational structure, roles, and responsibilities of staff in relation to safety
    - Current safety record, including areas of weakness
    - Reporting accidents, incidents, and perceived hazards
    - Feedback and communication methods for the dissemination of safety information
    - Safety promotion and information dissemination
- **Level Two Training**
  - **Safety Training for Operations Personnel – In Addition to Level One Training**
    - Unique hazards facing operational personnel
    - Seasonal safety hazards and procedures
    - Procedures for hazard reporting
    - Procedures for reporting accidents and incidents
    - Emergency procedures
- **Level Three Training**
  - **Safety training program for all employees and contractors directly responsible for safety.**
    - Bus vehicle operators (Driver Training Performed by Driver Services Contractor)
    - Dispatchers
    - Maintenance technicians
    - Managers and supervisors
    - Leadership and Executive Management
    - Chief Safety Officers

Resources will be dedicated to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS.

Operations safety-related skill training may include the following:

The following training is performed by the Driver Services Contractor. Reference Exhibit A

- New-hire bus vehicle operator classroom and hands-on skill training
- Bus operator refresher training
- Bus operator retraining (recertification or return to work)
- Classroom and on-the-job training for operations supervisors and managers
- Accident investigation training for operations supervisors and managers

Vehicle maintenance safety-related skill training includes the following:

The following training is performed by the City of Fargo

- Ongoing vehicle maintenance technician skill training
- Ongoing skill training for vehicle maintenance supervisors
- Accident investigation training for vehicle maintenance supervisors
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors
- Training provided by vendors.

## 1.6 INFECTIOUS DISEASE MITIGATION

Minimizing the spread of an infectious disease is a priority of the Safety Plan. To minimize the spread of infectious diseases, we will rely on physical barriers, air and surface purification systems, hand sanitizing stations and routine cleanings. All vehicles operated in revenue service will be equipped with an air and surface purification system and have a minimum of one hand sanitation station on board. Vehicles operated on the fixed-route system will be equipped with physical operator barriers that create a separation between the operators and the riding public. Deep cleanings will be performed on all revenue vehicles on a routine basis. We will follow any Federal, State or local guidance on mitigating an infectious disease.

## SAFETY RISK MANAGEMENT

### 2.1 HAZARD IDENTIFICATION

Establishing effective hazard identification programs is fundamental to safety management. Hazard identification can be reactive or proactive in nature. Occurrence reporting, incident investigation and trend monitoring are essentially reactive. Other hazard identification methods actively seek feedback by observing and analyzing day-to-day operations. Common hazard identification activities include:

- Safety assessments
- Trend monitoring
- Hazard and incident reporting
- Safety surveys
- Safety audits
- Evaluation of customer suggestions and complaints

The number of near-miss incidents, known as precursors, is significantly greater than the number of accidents for comparable types of events. The practice of reporting and learning from accident precursors is a valuable complement to other hazard identification practices. To be successful, hazard identification must take place within a non-punitive and just safety culture. We will employ systematic safety improvements by discovering and learning of potential weaknesses in the system's safety. We will utilize the FTA's Resource Library to help identify potential sources of hazard information.

The Chief Safety Officer(s) or their designee is responsible for the risk assessment. The Chief Safety Officers may conduct further analyses of hazards and consequences to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment.

Safety risks are recorded and tracked in SharePoint. This will allow for any recorded safety risks to be searched and reports to be generated when necessary.

## 2.1 NON-PUNITIVE REPORTING POLICY

We are committed to the safest transit operating standards possible. To achieve this, it is imperative that we have uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of our operations. To this end, every employee is responsible for the communication of any information that may affect the integrity of transit safety. Such communication must be completely free of any form of reprisal.

We will not take disciplinary action against any employee who discloses an incident or occurrence involving transit safety. This policy shall not apply to information we receive from a source other than the employee, or which involves an illegal act, or deliberate or willful disregard of safety regulations or procedures.

The primary responsibility for transit safety rests with the Transit Operator and Safety Officers, however transit safety is everyone's concern.

Our method of collection, recording and disseminating information from transit safety reports, has been developed to protect the identity of any employee who provides transit safety information. We urge all staff to practice the SMS transit safety procedures outlined in the PTASP to help us become a leader in providing transit riders and employees with the highest level of transit safety.

## 2.2 RISK ASSESSMENT

Once hazards have been identified, we will conduct an assessment to determine their potential consequences. Factors to be considered are the likelihood of the occurrence, the severity of the consequences should there be an occurrence and the level of exposure to the hazard. We will assess risks subjectively by experiences personnel using a Risk Assessment Matrix (RAM). We will use the RAM to measure the level of safety risk in terms of severity and likelihood. This will allow us to combine the assessment of severity and likelihood to determine the overall risk rating of the potential consequence of the hazard.

Results of the risk assessment process will help determine whether the risk is being appropriately managed or controlled. If the risks are acceptable, the hazard will simply need monitoring. If the risks are unacceptable, steps will be taken to lower the risk to an acceptable or tolerable level, or to remove or avoid the hazard.

## 2.3 RISK MITIGATION

The assessment process may indicate that certain hazards have an acceptable level of risk, while others require mitigation to an acceptable or tolerable level. The level of risk can be lowered by reducing the severity of the potential consequences, by reducing the likelihood of occurrence and/or by reducing the exposure to that risk. In general, we will take the following safety actions to mitigate risk. These actions can be categorized into three broad categories, including:

- **Physical Defense**
  - These include objects and technologies that are engineered to discourage, or warn against, or prevent inappropriate action or mitigate the consequences of events. (e.g. traffic control devices, fences, safety restraining systems)
- **Administrative Defenses**
  - These include procedures and practices that mitigate the likelihood of an accident or incident. (e.g. safety regulations, standard operating procedures, supervision inspection, training)
- **Behavioral Defenses**
  - These include behavioral interventions through education and public awareness campaigns aimed at reducing risky and reckless behavior of motorists, passengers and pedestrians; factors outside the control of our agency.

## 2.4 PRIORITIZE SAFETY RISKS

Once hazards have been identified and risk levels assessed, we will prioritize safety risks. A Prioritized Safety Risk Log will be used to organize the system safety risks. The Prioritized Safety Risk Log will identify the priority level for safety risks, a description of the risk, planned mitigation strategies to address the risk, the outcome of the planned mitigation strategies, responsible staff, timeline of the planned mitigation strategies and the status of the prioritized safety risk. We will update the Prioritized Safety Risk Log to ensure continual progress towards risk reduction.

## 2.5 SAFETY ASSURANCE

Safety Assurance provides the necessary feedback to ensure that the SMS is functioning, and we are meeting or exceeding its safety objectives. Safety assurance requires a clear understanding of how safety performance will be evaluated and what metrics will be used to assess system safety and determine if the safety management system is working properly. Having decided on the metrics by which success will be measured; safety management requires embedding these metrics in the organizational culture and encouraging their use for ongoing performance improvement.

# SAFETY PERFORMANCE MONITORING AND MEASUREMENT

## 3.1 MONITORING THE SYSTEM FOR COMPLIANCE WITH PROCEDURES FOR OPERATIONS AND MAINTENANCE

We have many processes in place to monitor our entire transit system for compliance with operations and maintenance procedures including:

- Safety audits,
- Informal inspections,
- Regular review of onboard camera footage to assess drivers and specific incidents,
- Investigation of safety occurrences,
- Safety review prior to the launch or modification of any facet of service,
- Daily data gathering and monitoring of data related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

Results from the above processes are compared against recent performance trends periodically by the Chief Safety Officers to determine where action needs to be taken. The Chief Safety Officers enter any identified non-compliant or ineffective activities, including mitigations, into the tracking system in SharePoint for reevaluation by the Safety Committee.

## 3.2 MONITORING OPERATIONS TO IDENTIFY ANY SAFETY RISK MITIGATIONS THAT MAY BE INEFFECTIVE, INAPPROPRIATE, OR WERE NOT IMPLEMENTED AS INTENDED

We monitor safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. The Chief Safety Officers maintain a list of safety risk mitigations. The mechanism for monitoring safety risk mitigations varies depending on the mitigation

The Chief Safety Officers establish one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate

director, manager, or supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities. The Chief Safety Officer will endeavor to make use of existing processes and activities before assigning new information collection activities.

The Chief Safety Officers and Safety Committee review the performance of individual safety risk mitigations during periodic Safety Committee meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Safety Committee will propose a course of action to modify the mitigation or take other action to manage the safety risk. The Chief Safety Officers will approve or modify this proposed course of action and oversee its execution.

The Chief Safety Officers and Safety Committee also monitor operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns. The Chief Safety Officers work with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

### 3.3 INVESTIGATIONS OF SAFETY EVENTS TO IDENTIFY CAUSAL FACTORS

We maintain documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event. These procedures also reflect all traffic safety reporting and investigation requirements established by the state of North Dakota and Minnesota Department of Motor Vehicles.

The Chief Safety Officers maintain all documentation of investigation policies, processes, forms, checklists, activities, and results. An investigation report is prepared and sent to the Safety Committee for integration into their analysis of the event.

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

### 3.4 MONITORING INFORMATION REPORTED THROUGH THE INTERNAL SAFETY REPORTING PROGRAM

The Chief Safety Officers and Safety Committee routinely review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels.

When necessary, the Chief Safety Officers and Safety Committee ensure that the concerns are investigated or analyzed through the Safety Risk Mitigation (SRM) process.

The Chief Safety Officers and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

### 3.5 SAFETY COMMUNICATION

The Chief Safety Officers coordinate the safety communication activities for the SMS. Activities focus on the three categories of communication activity established in 49 CFR Part 673 (Part 673):

- Communicating safety and safety performance information throughout the agency: Communicates information on safety and safety performance monthly during all regular Team Meetings and contractor Driver Safety Meetings. A permanent agenda item in all monthly Driver Safety Meetings dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact service or safety performance, and updates regarding SMS implementation. Information is requested from drivers during these meetings, which is recorded in meeting minutes. Finally, the Safety Officer posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms, advertising safety messages and promoting awareness of safety issues.
- Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency: As part of new-hire training, safety policies and procedures are distributed to all employees. Training on these policies and procedures and discusses them during safety talks between supervisors and bus operators and vehicle technicians. For newly emerging issues or safety events at the agency, the Chief Safety Officers issue bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees.
- Informing employees of safety actions taken in response to reports submitted through the ESRP: Provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors, including contract operator employees and supervisors.

## DEFINING SAFETY GOALS AND OBJECTIVES/OUTCOMES

Setting safety goals and objectives is part of strategic planning and establishing safety policy. Clearly defining safety goals is the first part in creating a safety performance measurement system. Safety goals are general descriptions of a desirable long-term impact. Whereas safety objectives or outcomes are more specific statements that define measurable results.

The safety objectives and outcomes will be measured by defining specific performance metrics, including baseline and targets that we will determine as reasonable.

### 4.1 DEFINING SAFETY PERFORMANCE MEASURES

We will utilize these basic principles of performance measurement:

- Stakeholder involvement and acceptance
- Focus on agency goals and activities
- Clarity and precision
- Credibility
- Forward-looking measures
- Integration into agency decision-making
- Timely reporting
- Realism of goals and targets

## 4.2 METRICS

Defining safety performance measures includes the use of safety related metrics. There are some general safety related metrics that can be used to measure transit safety performance. The following is a list of performance target areas and metrics that we will use.

Injuries	<ul style="list-style-type: none"> <li>• Number of Injuries (Fixed Route)</li> <li>• Number of Injuries (On Demand)</li> <li>• Number of Injuries per 100,000 vehicle revenue miles (Fixed Route)</li> <li>• Number of Injuries per 100,000 vehicle revenue miles (On Demand)</li> </ul>
Fatalities	<ul style="list-style-type: none"> <li>• Number of Fatalities (Fixed Route)</li> <li>• Number of Fatalities (On Demand)</li> <li>• Number of Fatalities per 100,000 vehicle revenue miles (Fixed Route)</li> <li>• Number of Fatalities per 100,000 vehicle revenue miles (On Demand)</li> <li>• Work-related fatalities per specific time period</li> </ul>
Safety Events	<ul style="list-style-type: none"> <li>• Total Number of Safety Events (Fixed Route)</li> <li>• Total Number of Safety Events (On Demand)</li> <li>• Number of Safety Events per 100,000 vehicle revenue miles (Fixed Route)</li> <li>• Number of Safety Events per 100,000 Vehicle revenue miles (On Demand)</li> </ul>
System Reliability	<ul style="list-style-type: none"> <li>• Mean distance between major mechanical failure (Fixed Route)</li> <li>• Mean distance between major mechanical failure (On Demand)</li> <li>• Percent of preventative maintenance inspections completed within 10% of scheduled mileage</li> </ul>

## 4.3 TARGETS

Measuring safety performance metrics includes targets or goal we strive to accomplish. The following lists are the targets we will set for our agency. The Cities of Fargo, ND and Moorhead, MN will officially transmit its targets to the States of North Dakota and Minnesota by July 31 of each year. The following targets are based on a five year rolling average of NTD reportable safety events.

Mode of Service	Injuries (Total)		Injuries (per 100k VRM)	
	Fargo	Moorhead	Fargo	Moorhead
Fixed Route Bus	1.2	.6	.13	.13

On Demand/ADA Paratransit	0	0
Valley Senior Services	0	0

Mode of Service	Fatalities (Total)	Fatalities (per 100k VRM)	Work-related employee fatalities
Fixed Route Bus	0	0	0
On Demand/ADA Paratransit	0	0	0

Mode of Service	Safety Event (Total)		Safety Event (per 100k VRM)	
	Fargo	Moorhead	Fargo	Moorhead
Fixed Route Bus	2.2	1.4	.24	.29
On Demand/ADA Paratransit	.2		.06	
Valley Senior Services	0		0	

Mean distance between major mechanical failures (Fixed Route)	Mean distance between major mechanical failures (On Demand)	Percentage of PM completed within 10% of scheduled mileage
9000	12000	90

Safety Performance Target Coordination		
The Accountable Executive shares our PTASP, including safety performance targets, with the ND DOT and MN DOT in our service area each year after its formal adoption by the City of Fargo Commission and the City of Moorhead City Council. Personnel are available to coordinate with ND DOT and MN DOT and the MPO in the selection of ND DOT and MN DOT and MPO safety performance targets upon request.		
Targets Transmitted to the State	ND DOT	Date Targets Transmitted
Targets Transmitted to the State	MN DOT	Date Targets Transmitted
		9/13/2023

#### 4.4 INTEGRATING RESULTS INTO AGENCY DECISION-MAKING PROCESS

We are committed to using the data collected and information learned to inform decision making and instill positive change. The main objective is the continuous improvement of transit system safety. When performance goals are not met, we will identify why such goals were not met and what actions can be taken to minimize the gap in achieving defined goals. However, when goals are easily achieved, action will be taken to exceed expectations and re-establish a reasonable baseline.

Uses of Performance Results include:



- Focus attention on performance gaps and trigger in-depth investigations of what performance problems exists
- Help make informed resource allocation decisions
- Identify needs for staff training or technical assistance
- Help motivate employees to continue making program improvements
- Support strategic planning efforts by providing baseline information for tracking purposes
- Identify best practices through benchmarking
- Respond to elected officials and the public's demand for accountability

#### 4.5 SUSTAINING A SAFETY MANAGEMENT SYSTEM

In order to sustain a safety management system, we will ensure that particular processes are employed to instill an organizational foundation. Examples of actions taken to sustain SMS include:

- **Create measurement-friendly culture**
  - All staff, including management, should be actively engaged in creating measurement-friendly culture by promoting performance measurement as a means of continuous improvement. Management will also lead by example and utilize performance metrics in decision making processes
- **Build organization capacity**
  - Investment in developing skilled human resources capacity is essential to sustaining an SMS. Both technical and managerial skills will be needed for data collection and analysis, and goal setting. We are committed to providing the financial resources required for organizational capacity and maintaining an SMS on a continuous basis.
- **Reliability and transparency of performance results**
  - The SMS will be able to produce and report results, both good and bad. Performance information should be transparent and made available to all stakeholders. Messengers should be protected to preserve the integrity of the measurement system. The focus should be on opportunities for improvement rather than allocating blame.
- **Demonstrate continuous commitment to measurement**
  - Visible commitment to using metrics is a long-term initiative. We will demonstrate a commitment to performance measurement by establishing a formal process of reporting performance results, such as including Transit Safety and Performance measurement as a standing agenda item at Transit Board, City Commission and City Council meetings.

### SUPPORTING DOCUMENTATION

We will maintain documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this PTASP; and the results from its SMS processes and activities for three years after creation. Documentation will be maintained in SharePoint and will be available to the FTA or other Federal or oversight entity upon request.

#### 5.1 DEFINITIONS OF TERMS USED IN THE SAFETY PLAN

We incorporate all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

- Accident means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; an evacuation for life safety reasons.

- Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
- Equivalent Authority means an entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- Event means any Accident, Incident, or Occurrence.
- Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
  - Incident means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
  - Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
  - National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
  - Occurrence means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
  - Operator of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
  - Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
  - Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
  - Public Transportation Agency Safety Plan (PTASP or Agency Safety Plan) means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.
  - Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.
  - Risk mitigation means a method or methods to eliminate or reduce the effects of hazards.

- Safety Assurance means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
- Safety Management System (SMS) means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- Safety performance target means a performance target related to safety management activities.
- Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- Safety risk Assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- Safety Risk Management (SRM) means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- Serious injury means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- Transit agency means an operator of a public transportation system.
- Transit Asset Management Plan (TAMP) means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625

## 5.2 COMMONLY USED ACRONYMS

Acronym	Word or Phrase
ADA	American's with Disabilities Act of 1990

ASP	Agency Safety Plan (also referred to as a PTASP in part 673)
CFR	Code of Federal Regulations
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MATBUS	Fargo-Moorhead Metropolitan Area Transit Public Bus System
MNDOT	Minnesota Department of Transportation
MPO	Metropolitan Planning Organization
NDDOT	North Dakota Department of Transportation
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
PTASP	Public Transportation Agency Safety Plan
RAM	Risk Assessment Matrix
SMS	Safety Management System
SRM	Safety Risk Management
TAMP	Transit Asset Management Plan
U.S.C.	United States Code
VRM	Vehicle Revenue Miles

### 5.3 EXHIBIT A – ACTIVITY LOG

### City of Fargo and City of Moorhead Transit Safety Plan

Date	Activity (Review/Update/Addendum/ Adoption/Distribution)	Person Making Changes	Remarks
11/18/2020	MAT Coordinating Board – Review and Recommend Adoption of Safety Plan to Fargo City Commission and Moorhead City Council		
11/30/2020	Fargo City Commission - Adoption of Plan		
12/10/2020	Metropolitan Council of Governments (MPO) Transportation Technical Committee - Review and Recommend Approval of Safety Plan to Policy Board		
12/14/2020	Moorhead City Council - Adoption of Plan		Resolution #2020-1214-P
12/17/2020	Metropolitan Council of Government (MPO) Policy Board - Approval of Plan		
3/01/2021	Revision	Jordan Smith	Removed Assistant Transit Director, Contractor GM and Road Supervisor from Safety Committee. Added Valley Senior Services Transportation Manager.  Add Valley Senior Services as Contracted Agencies Covered Under this Plan
2/8/22	Revision	Jordan Smith	Added City of Fargo Assistant Transit Director to safety committee.

6/8/2022	Revision	Jordan Smith	<p>Add Infectious Disease Mitigation</p> <p>Add Safety Committee Approval Date</p> <p>Remove Safety Culture targets as they are not a required element of the plan</p> <p>Removed work days lost target as it is not a required element of the plan</p> <p>Updated Safety Targets</p> <p>Move audit log to be an Exhibit to the plan</p>
7/13/2022	MAT Coordinating Board – Review and Recommend Adoption of 2022 Updated Safety Plan to Fargo City Commission and Moorhead City Council		
7/25/2022	Fargo City Commission – Adoption of 2022 Updated Safety Plan		
7/25/2022	Moorhead City Council – Adoption of 2022 Updated Safety Plan		Resolution 2022-0725-F
8/30/2023	Revision	Jordan Smith	Update Targets. Annual Review and Safety Committee Approval.
10/4/2023	MAT Coordinating Board – Review of 2023 Updated Safety Plan		
2/12/2024	Moorhead City Council – Adoption of 2023 Updated Safety Plan		Resolution 2024-2012-P

2/20/2024	Fargo City Commission – Adoption of 2023 Updated Safety Plan		
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## Risk Assessment Matrix

Identified Risk:	
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Impact of Risk						Probability of Risk				
Severity	Cost (Thousands)	People	Asset	Environment	Quality	< 1% Very Low (1)	1% - 10% Low (2)	10% - 50% Medium (3)	50% - 90% High (4)	> 90% Very High (5)
Very High 5	>50	Multiple Fatalities	Major Damage, multiple units	Massive Effect	Complete discontinuation of service	5	10	15	20	25
High 4	25-50	Permanent total disability or one fatality	Major Damage, unit level	Major Effect	Substantial disruption of service	4	8	12	16	20
Medium 3	10-25	Serious injury, hospitalization	Moderate Damage	Moderate Effect	Slight disruption of service	3	6	9	12	15
Low 2	1-10	Slight injury, medical treatment	Minor Damage	Minor Effect	Minimal disruption of service	2	4	6	8	10
Very Low 1	<1	First aid or no injury	No/Slight Damage	No/Slight Effect	No disruption of service	1	2	3	4	5
Risk Value										

Assessed Risk Value:	
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### Instructions

1. Estimate potential consequences and severity (thought of as what could happen if hazard actually occurred)
2. Estimate likelihood of such consequences occurring (using historical evidence, data and experiences)
3. Multiply the severity for each consequence by the likelihood of that consequence occurring. This is the risk value.
4. Sum the risk values for a total assessed risk. (out of 125)



### Prioritized Safety Risk Log

This Prioritized Safety Risk Log is used to organize identified safety risks facing the MATBUS system. The log should be updated frequently to demonstrate continual progress towards risk reduction through mitigation strategies. A timeline is used to highlight projected completion dates.

Completed by:	Last Updated:
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Priority	Risk Description	Planned Mitigation Strategies	Outcomes of Planned Mitigation Strategies	Responsible Staff	Timeline	Status
1						
2						
3						
4						
5						
6						
7						

Name (optional) \_\_\_\_\_

Event Time \_\_\_\_\_

Location \_\_\_\_\_

Specific Area of Location (if applicable) \_\_\_\_\_

--

1. \_\_\_\_\_

3. \_\_\_\_\_



# First Transit Agency Safety Plan

## 1. Transit Agency Information - CORPORATE

<b>Transit Agency Name</b>	First Transit		
<b>Transit Agency Corporate Address</b>	600 Vine Street, Ste. 1400 Cincinnati, Ohio, U.S. 45202		
<b>Name and Title of Corporate Accountable Executive</b>	David Perez, Vice President of Safety – First Transit		
<b>Name of Corporate Chief Safety Officer</b>	Paul Meredith, Senior Director of Safety		
<b>Mode(s) of Service Covered by This Plan</b>	Transit Bus	<b>List All FTA Funding Types (e.g., 5307, 5310, 5311)</b>	
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	<p>First Transit is a business unit of First Group America, the U.S. based North American Operating Unit of FirstGroup plc (First Group), a United Kingdom-based passenger transportation company. First Group is the U.K.'s largest bus operator, with a fleet of more than 9,000 vehicles, and also one of the U.K.'s leading train operators.</p> <p>First Transit services the U.S. transportation industry through two unique service approaches: <u>Transit Contracting</u>, and <u>Transit Management</u>. With these two service approaches, First Transit has participated on assignments of all types, sizes and scopes throughout the world.</p> <p><b><u>Transit Contracting</u></b> provides the design, implementation and operation of flexible, cost-effective transportation systems throughout the United States. Transit Contracting provides a turnkey or tailored service approach that supplies all or most components of operations including equipment, facilities, staffing, management and so forth. Such operational experience encompasses dial-a-ride, shared-ride taxi, services for the elderly and persons with disabilities, airport shuttle, commuter express, and fixed route service.</p> <p><b><u>Transit Management Services</u></b> provides resident teams to manage public transit systems in various locations throughout the United States. Our approach to excellence combined with our teams' experience has yielded unmatched operating results and awards in the industry.</p> <p>First Transit offers a unique six-part approach to our <b><u>Safety Management System (SMS)</u></b></p> <ul style="list-style-type: none"><li>• Location Management Team (General Manager, Safety Manager)</li></ul>		



	<ul style="list-style-type: none"><li>• Region Staff (Region Safety Manager, Region Safety Director, Region Maintenance Director &amp; Region Vice President)</li><li>• Senior Director of Safety</li><li>• Vice President of Safety</li><li>• Vice President of Maintenance</li><li>• President</li></ul> <p>A <b><u>Resident Management Team</u></b> is assigned to each location consisting of, in part, a Location General Manager (LGM) and a Location Safety Manager (LSM).</p> <ul style="list-style-type: none"><li>• The LGM participates fully with the client to ensure the operation is running effectively and acts as mediator when safety related problems arise. The LGM is also responsible for ensuring implementation of the National Safety Program.</li><li>• The LSM routinely is in contact with the operation and is responsible for ensuring their locations have the current safety programs in place; auditing local safety efforts; reviewing all accident and injury claims; reviewing performance statistics; and coordinating corporate assets to address specific deficiencies found on the local level.</li></ul> <p>Our <b><u>Region Staff</u></b> consists of a Region Safety Manager, Region Safety Director, Region Maintenance Director, Region Director of Operations, Region Vice Presidents.</p> <ul style="list-style-type: none"><li>• The Region Maintenance Director, The Region Director of Operations and Region Vice Presidents are responsible for the oversight of all First Transit locations within the region. They provide direction and assistance to location managers, including P&amp;L, budgets, and personnel.</li><li>• The Region Safety Manager and Region Safety Director ensures management services are provided according to local governing board policies, as well as maintaining quality and client satisfaction, and their locations have the current safety programs in place.</li></ul> <p>The <b><u>Vice President of Safety</u></b> provides oversight for each individual region of First Transit. This person works with each Region Safety Manager and Region Director of Safety to ensure First Transit is in compliance with all FTA and DOT regulations.</p> <p>The <b><u>Vice President of Maintenance</u></b> provides technical assistance, training, and “best practices” information to all of First Transit’s managed systems.</p> <p>The <b><u>President of First Transit</u></b> works closely with the Vice President of Safety - First Transit and Vice President of Maintenance. All safety processes are reviewed and approved before any decision regarding safety is approved.</p>			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes X	No	Description of Arrangement(s)	FGA operates 335 contracts throughout North America to provide fixed-route and paratransit public bus service for state transportation departments and administrations; transit agencies; and universities.



<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	Matbus  650 23 <sup>rd</sup> st. North Fargo, North Dakota. 58102
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## 2. Transit Agency Information – OPERATING LOCATION SPECIFIC

<b>Transit Agency Name</b>	First Transit		
<b>Operating Location Address</b>	650 23 <sup>rd</sup> st. North Fargo, North Dakota. 58102		
<b>Name and Title of Accountable Executive</b> <i>(Meets FTA § 673.5 and § 673.23(d)(1) – Accountable Executive definition)</i>	General Manager:		
<b>Name of Chief Safety Officer</b> <i>(Meets FTA § 673.5 and § 673.23(d)(2) - Chief Safety Officer definition)</i>	Location Safety Manager: Kevin Huddleston		
<b>Mode(s) of Service Covered by This Plan</b>	<input checked="" type="checkbox"/> Fixed-Route <input checked="" type="checkbox"/> ParaTransit <input type="checkbox"/> Deviated Fixed-Route <input type="checkbox"/> Demand-Response	<b>List All FTA Funding Types (e.g., 5307, 5310, 5311)</b>	<input checked="" type="checkbox"/> 5307 <input type="checkbox"/> 5310 <input type="checkbox"/> 5311 <input type="checkbox"/> Other, Please describe <a href="#">Click or tap here to enter text.</a>
<b>Mode(s) of Service Provided by the Operating Location (Directly operated or contracted service)</b>	<b>Fleet Description:</b>  <b>Transit Contracting:</b> provides the design, implementation and operation of flexible, cost-effective transportation systems throughout the United States. Transit Contracting provides a turnkey or tailored service approach that supplies all or most components of operations including equipment, facilities, staffing, management and so forth. Such operational experience encompasses dial-a-ride, shared-ride taxi, services for the elderly and persons with disabilities, airport shuttle, commuter express, and fixed route service.  <b>Service Description:</b>		



	<b>Transit Management Services:</b> provides resident teams to manage public transit systems in various locations throughout the United States. Our approach to excellence combined with our teams' experience has yielded unmatched operating results and awards in the industry. First Transit offers a unique six-part approach to our <b>Safety Management System (SMS)</b> .		
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<b>Description of Arrangement(s)</b>  <b>Length of Contract: 1 YEAR</b>  <b>Equipment/Facilities Provided by Contract:</b> <input checked="" type="checkbox"/> Buses <input checked="" type="checkbox"/> Maintenance Equipment <input checked="" type="checkbox"/> Facilities  <b>Equipment/Facilities Provided by First Transit:</b> <input type="checkbox"/> Buses <input type="checkbox"/> Maintenance Equipment <input type="checkbox"/> Facilities
<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	<b>Name of Entity Service for which service is being provided:</b> Matbus – 650 23 <sup>rd</sup> st. North Fargo, North Dakota. 58102 <b>Contact Information for Entity:</b> Main Phone: (701) 241-8140		

### 3. Plan Development, Approval, and Updates

This Agency Safety Plan addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.

<b>Name of Entity That Drafted This Plan:</b>	<b>First Transit Location Code:</b> 55828	
	<b>Signature of Location Accountable Executive</b>	<b>Date of Signature</b>



<b>Signature by the Location Accountable Executive</b> (Location General Manager)		Click or tap to enter a date.
<b>Approval by the Board of Directors or an Equivalent Authority</b> (Local Contract Authority)	<b>Name of Individual/Entity That Approved This Plan</b>	<b>Date of Approval</b>
	Click or tap here to enter text.	Click or tap to enter a date.
	<b>Relevant Documentation (title and location)</b>	
	Click or tap here to enter text.	
<b>Certification of Compliance</b>	<b>Name of Individual/Entity That Certified This Plan</b>	<b>Date of Certification</b>
	<b>Client Approver:</b> Click or tap here to enter text.	Click or tap to enter a date.
	<b>Relevant Documentation (title and location) (First Transit Safety Plan and other Client Documentation)</b>	
	Click or tap here to enter text.	

### Version Number and Updates

*Record the complete history of successive versions of this plan.*

Version Number	Section/Pages Affected	Reason for Change	Date Issued
Original	All pages are original version	First Official version of Safety Plan	May 2019
Update	All pages	FTA recommendations incorporated	March 2020
Update	Pages 24,26,42,46	Removed reference to SOP#803a, Adjusted SOP numbering, Updated Training to reflect current, Removed SST Recognition.	March 2021
Update	Pages 31, 46	Included language to reflect regulatory requirements of the Bipartisan Act.	March 2022
Update	Pages 37, 38, 39	Trainer Certification Program Updates	April 2022

### Annual Review and Update of the Public Transportation Agency Safety Plan

*Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.*



At First Transit, review of safety practices is an ongoing process, not one limited to scheduled reviews. As policies/procedures and training techniques change throughout the year they are updated and communicated throughout the organization. All changes are reviewed and approved by the Senior Director of Safety and the Vice President of Safety – First Transit.

Prior to the beginning of each fiscal year, First Transit's Safety Plan is reviewed by Executive management and revised based on the safety data collected and analyzed, and changes to policies and procedures made throughout the year. The revised plan is then disseminated to all First Transit locations for implementation.

## 4. Safety Performance Targets

### Safety Performance Targets

*Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.*

Mode of Transit Service	Fatalities (Total)	Fatalities (per 100K VRM)	Injuries (Total)	Injuries (per 100K VRM)	Safety Events (Total)	Safety Events (per 100K VRM)	System Reliability (Total)	System Reliability (per 100K VRM)	Other (Client Required, if any)
Fixed-Route	0	0	10.10	3.48	8.67	2.99	10	3.44	N/A
Para-Transit	0	0	0	0.00	1.73	0.22	6	1.77	N/A
Deviated Fixed-Route	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Demand Response	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

### Safety Performance Target Coordination

*Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.*

Click or tap here to enter text.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	State Entity which receives performance numbers: State of North Dakota, State of Minnesota	Click or tap to enter a date.
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	MPO which receives performance numbers: Click or tap here to enter text.	Click or tap to enter a date.
	MPO which receives performance numbers: Click or tap here to enter text.	Click or tap to enter a date.





## 5. Safety Management Policy

### Safety Management Policy Statement

*Include the written statement of safety management policy, incorporating safety objectives.*

At First Transit, safety is more than a policy statement. Management believes that working safely promotes quality, productivity, and profitability. Prevention of collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, the proper training, protective equipment, and a work environment conducive to safe practices and policies.

All employees are required to perform their duties safely and with concern for the safety of our passengers, other employees and the public. **First Transit will not perform any service, nor transport or use a product, unless it can be done safely.**

First Transit employs a company-wide safety concept, "**BeSafe**". The main purpose of BeSafe is to reduce collisions and injuries by increasing the communications between employees and managers about safety related issues. As part of this process, employees of all levels are encouraged to initiate reports of any near miss, route and security hazards, or any unsafe condition. When a report about a safety or security concern is filed, it is investigated, which includes follow-up with the reporting employee regarding the resolution of the report.

First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person's suspected violation of Company policies or guidelines, or any alleged violations of federal, state or local laws.

To ensure that each employee understands and performs their job functions in the BeSafe manner, the **BeSafe Handbook**, is issued to each employee and sized to fit in the safety lanyard or vest, which each employee must wear while on duty.

The **BeSafe Principles** provide the basic truths and fundamentals about working safely in our workplace and on our vehicles. All First Transit employees are expected to adopt these principles and put them into practice. Together a safe work environment is created, free from injury to each other and our passengers.

The motto for the BeSafe Principles is: "**Think Safe, Act Safe, BeSafe.**" This motto is each employee's instruction to work safely at all times.

**If an employee feels they cannot perform a task safely, they don't perform the task.** The employee has been trained and encouraged to stop work and immediately advise management of issues preventing them from working safely and what would be required to perform the task safely.

The BeSafe Principles include:

- **Prevent injury to myself and others.**
  - Be aware of any hazardous condition or practice that may cause injury to people, damage to property, or the environment.
  - Use the BeSafe Handbook to record and report.
- **Perform all necessary safety checks and risk assessments of the work area and job to be performed before any work begins.**
  - Speak to management **before** work is started if unsure of the required safety and risk assessments.
- **Follow all safety procedures, signs and instructions.**



- If these are not understood, speak to management before work begins.
- **Keep work area clean and tidy at all times.**
  - Untidy areas could cause injury to the employee or their colleagues and waste time and energy.
- **Wear protective clothing and equipment (PPE) as required.**
  - Keep PPE in good working order, wear it correctly and ask for a replacement if it becomes damaged or unfit for use.
- **Use only the correct tools and equipment authorized and trained to use for the job.**
  - Check that they are in good condition before use and use them safely.
- **Only adjust and repair any piece of work equipment trained on and authorized to do so.**
  - Never modify any equipment that changes the designed use of the equipment or alters a safety feature.
- **Assess any load and capability to move it before lifting.**
  - Get help with any heavy or awkward items and follow the correct lifting techniques.
- **Report all injuries, incidents and near misses to management.**
  - Seek help immediately and first aid (if necessary).
- **Tell management of any suggestions to prevent injuries in the workplace**
  - Note suggestions made and discuss with management.

The official policy that reflects First Transit's commitment to safety is included as **Appendix A**.

### **Safety Management Policy Communication**

*Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.*

### **Communication of Local Safety Concerns**

The Location Safety Manager is at the center of the local safety communication process and is responsible for compiling safety reports to include the following:

- Accident and injury data for previous month
- Security incident data
- Safety and security audit data and recommendations
- Safety Solutions Team (SST) meeting minutes
- BeSafe near miss and hazard reporting

This person reports directly to the Location General Manager (LGM) and routinely meets formally with the LGM, one-on-one, to provide updates on safety issues, safety priorities, and hazard management. The Location Safety Manager (LSM) also meets informally with the LGM to provide updates on safety issues on an as-needed basis.

The Location Safety Manager also participates in the Safety Solutions Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

- The LSM and the LGM have the authority to correct or suspend work for conditions determined to be unsafe, or pose a hazard to customers, employees, contractor employees, the general public, or



endangers the safe passage of vehicles, until the unsafe condition or hazard can be mitigated or corrected.

The Region Safety Managers also conduct regular internal reviews of local operations. They are to ensure that each location is audited at least every two to three years, with high risk locations audited annually for compliance using the risk-based **Location Safety Review**.

Location Safety Review	
Category	Description
Scope of Safety Reviews	First Transit locations are selected based upon risk-based criterion. Individual locations receive a review every 2-3 years
Risk-Based Selection Criterion	Locations selected based on declining 3-year reviews; sites with new location managers; high collision/injury Accident Frequency Rate (AFR); prior year failing score
Review Format	More narrow and focused audit template which includes a balance of compliance assurance as well as location-specific risks and safety performance.
Findings and Follow-Up	<div>Action plans are developed in conjunction with location staff and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked within the <b>Safety Toolbox</b>.</div> <div><div>Strong</div><div>Highly Effective</div><div>Some Improvement Needed</div><div>Much Improvement Needed</div></div>



Escalation Process	Items requiring escalation to Senior Director of Safety/Vice President of Safety – First Transit remain intact. Through the use of Safety Toolbox, unresolved actions are designed to escalate to the Location General Manager/Region Safety Manager.
Visibility	Review results and action items are routinely shared with the Location General Manager/Region Safety Manager/Executive Management. This is augmented by the escalation process for unresolved action items as noted above.

### ***Corporate Communication of Safety Concerns***

Executive Safety Meetings are routinely held where each department discusses their concerns and progress in the area of safety and safety related concerns. Recommendations are considered, and necessary changes implemented. All complaints by departments are addressed immediately.

Minutes from the Executive Safety meeting are distributed to and posted at each location. Action items are addressed at the following meeting.

Executive safety meetings are conducted in the following formats.

#### First Group Executive Safety Committee (ESC)

- Consists of President, COO, and Safety Vice President of each operating group
- Discussions include safety performance, trend analysis, program oversight

#### First Group Safety Council

- Consists of Vice Presidents of Safety for all operating divisions
- Discussions include safety performance, trend analysis, and safety oversight

#### First Group America Safety Council

- Consists of Safety Senior Directors and Safety Vice Presidents
- Discussions include safety performance, trend analysis, best practices, and program oversight

#### Performance Review Management (PRM)

- Consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, Region Director of Maintenance, Region Directors of Safety and Region Safety Managers
- Discussions include regions safety performance

#### Safety Advisory Committee

- Consists of a sampling of Location General Managers, Region Directors of Operations, Region Safety Directors and Region and Local Safety Managers
- Discussions include review of policy and procedures, training, and safety awareness

### **Authorities, Accountabilities, and Responsibilities**



*Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).*

**Accountable Executive**  
(Same as Section 2. - Transit  
Agency Information – OPERATING  
LOCATION SPECIFIC)

General Manager: Ed Pearl

**Chief Safety Officer or SMS  
Executive**  
(Same as Section 2. - Transit  
Agency Information – OPERATING  
LOCATION SPECIFIC)

Safety Manager: Kevin Huddleston

**Agency Leadership and  
Executive Management**

**Resident Management Team:**  
Julie Bommelman / Lori Van Beek

**Key Staff**

**Region Staff:**

Region Safety Manager: Clint Wellard

Region Safety Director: Paul Merideth

Region Maintenance Director: Tom Greaves

Region Director of Operations: Julie Sellner

Region Vice President: Paul Buharin

Region Vice President: Click or tap here to enter text.

Region Vice President: Click or tap here to enter text.



<b>Additional Accountability</b>  <b>(Local Staff Responsibility)</b>	<p>Use the following <b>Safety Responsibility and Task Matrix</b> assign safety responsibilities for the tasks listed. If tasks are performed at a specific location that is not listed in the Matrix, add it.</p> <p>Check the appropriate box for the responsible position then name the person responsible in the last column.</p> <p><b>AE:</b> Accountable Executive  <b>CSO:</b> Chief Safety Officer  <b>OPS:</b> Operations  <b>MNT:</b> Maintenance  <b>HR:</b> Human Resources  <b>AL:</b> Agency Leadership  <b>KS:</b> Key Staff</p>							
	<b>Safety Responsibility and Task Matrix</b>							
	<b>Responsibilities and Tasks</b>	<b>AE</b>	<b>CSO</b>	<b>OPS</b>	<b>MNT</b>	<b>HR</b>	<b>OTHER</b>	<b>Responsible Personnel</b>
	Establish annual safety objectives for submission to the GM at the beginning of each fiscal year	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager
	Submit a report on the safety performance at the end of each fiscal period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager
	Submit the following: period operations and safety data; accident and incident reports; and site safety review results	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager
The LGM or their designee has the authority to direct that work or conditions have been determined to be unsafe or pose a hazard to customers, employees, contractor	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager, Location Safety Manager	



	employees, the general public, or endangers the safe passage of buses be suspended or restricted until the unsafe condition or hazard can be mitigated or corrected							
	Management of system safety, occupational health and safety, accident and incident investigation, environmental protection and monitoring the implementation of the Safety Management System (SMS) Program Plan	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager and Location Road Supervisor
	Review of all safety aspects of departmental procedures including: First Transit policies/instructions; Standard Operating Procedures; HR policies; safety and health policies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety manager
	SMS Review and Modification	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety manager
	Safety Solutions Team Meetings	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety manager
	Daily Safety & Health Walkthrough	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager and Location Road Supervisor





	Safety related reports to external agencies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager
	Near miss and route hazard report investigations	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager and Location Road Supervisor
	Investigation of safety related trends	<input type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Safety Manager
	Coordination with United States and State Departments of Labor and Occupational Safety and Health Administration (OSHA)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location Safety Manager
	Environmental Management Oversight	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and client Maintenance Manager
	Hazard Management Process	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Management Team
	Managing Safety Validation of Change Process	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager
	Safety Data Reporting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location





								Safety Manager
	Investigations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location Safety Manager
	Advise to update SOPs, Rules, and Emergency Plans	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location Safety Manager
	Emergency Response	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location Safety Manager
	Fire Protection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and client Maintenance Manager
	Shop Safety Hazardous Tools Inspections	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Client Maintenance Manager
	Review Vehicle Maintenance and Failure Data	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Client Maintenance Manager



	Perform Vehicle Maintenance Inspections/Audits	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Client maintenance Manager
	Training, Certification, Review, and Audit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Management Team
	Personal Protective Equipment Review	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location Management Team
	Hazardous Materials Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input checked="" type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Client Management Team
	Drug and Alcohol Abuse Program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager and Location Safety Manager
	Procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	AL: <input type="checkbox"/> KS: <input type="checkbox"/>	Location General Manager

### Employee Safety Reporting Program

*Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).*



First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations.

Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at [ethicsfirst.ethicspoint.com](http://ethicsfirst.ethicspoint.com); or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

**Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.**

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or co-worker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.

**Your road to reporting...**

Report your concerns!

If you have concerns about these or any other issues, contact the Ethics Hotline. It's operated by an external company, not by FirstGroup, so you can confidentially report a concern and remain anonymous. The Hotline is open 24 hours a day, every day of the year.

**ETHICS HOTLINE: 3 ways to report**

CALL: **1-877-322-5534**

VISIT: [www.ethicsfirst.ethicspoint.com](http://www.ethicsfirst.ethicspoint.com)

EMAIL: [compliance@firstgroup.com](mailto:compliance@firstgroup.com)

**Take Action!**

Get a QR reader? You can also report anonymously by using a smart device to scan the QR code. Visit the ethics page and anonymously file a report. Any day. Anytime.

The poster features a winding road leading towards a horizon under a blue sky. A signpost on the right side of the road lists various issues: fraud, bribery, security breaches, dishonesty, discrimination or harassment, conflicts of interest, misconduct, safety violations, financial irregularities, workplace violence, and violations of law, regulation or policy. A QR code is located in the bottom right corner, with a red arrow pointing to it.

**Reporting Options**

At First Transit reporting unsafe practices, policy violations, violations of the law, etc. is encouraged, and in some instances required, of all employees. The primary goal is to be able to identify areas where risk of injury to personnel or customers, or destruction of property may exist; and develop measures to mitigate those risks.

Unless the employee's action or in-action is egregious, disciplinary action is not warranted.

Employees that fail to report mandatory items, such as:

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or
- Submitting an inaccurate or incomplete report

that could lead to serious harm, are subjected to the disciplinary process describe later in this section.

Employees are **encouraged** to report:

***Near Miss and Hazard Reporting***

In the interest of employee and passenger safety, each First Transit employee is issued a “**Near Miss and Hazard Reporting**” pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards.

If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

**Near miss:** An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence

**Hazard:** Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

**SOP #806 – Near Miss & Hazard Reporting** describes the reporting process

***Threatening or Suspicious Activity***

The form is titled "Near miss and hazard reporting" and features the BeSafe logo in the top right corner. It includes fields for "Date / /", "Name", "Location", and "Observation(s)". There are checkboxes for "Near miss report" and "Hazard report". Below the observation field is a section for "Actions required" with multiple lines for text. Further down is a field for "Who is to complete the action(s)". At the bottom, there are checkboxes for "Contractor", "Employee", "Visitor", and "Other". The First Transit logo is in the bottom right corner.



First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at [ethicsfirst.ethicspoint.com](https://ethicsfirst.ethicspoint.com), or email [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

### ***Duty to Report Wrongdoing***

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com). You may also contact the Healthcare Compliance Officer directly.

### ***Self-Reporting***

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

### ***Open-Door Policy***

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

- If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at [ethicsfirst.ethicspoint.com](https://ethicsfirst.ethicspoint.com), or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First



Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

In situations requiring immediate attention, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

- This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

**Employees are REQUIRED to report the following. Failure to do so WILL lead to disciplinary action.**

### ***Accidents/Incidents***

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. **SOP #700 – Accident & Safety Data Acquisition and Reporting**, and the supporting **SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report**; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

### ***Accidents***

Accidents are considered to be any collision that occurs while an Operator is on duty. Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, **SOP #700c – Operator Incident Report** and **SOP #700a – Auto & General Liability Claim Form**, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form.

Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

### ***Incidents***

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a **SOP #700a – Auto & General Liability Claim Form** to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,





- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

### ***Required Courtesy Cards***

In the event of an accident or an incident, Operators must distribute **SOP #700b – Courtesy Cards** then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

### ***Duty to Report Law Enforcement Actions***

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

### **Possible Disciplinary Actions**

First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;

- Class 1 – Dischargeable Offenses, the most serious and unacceptable behavior
- Class 2 – Serious violations of the First Transit performance code
- Class 3 – Secondary violations of the First Transit performance code
- Class 4 – Lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations

Examples of **Class 1 Dischargeable Offenses** include:

- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety; some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
  - Failure to properly secure mobility devices
  - Cell phone use while operating a company vehicle
  - Striking a pedestrian
  - Colliding into the rear of another vehicle or stationary object
  - Running a red light or stop sign
  - Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft



- Unauthorized Use or Removal of Company / Client Property or Vehicle
- Violence / Fighting / Threats
- Harassment
- Insubordination
- Security
- Sleeping on the Job
- Destruction of Property
- Failure to Return to Work
- Leaving Bus or Passengers
- Failure to Follow Sleeping Passenger Rules

Examples of **Class 2 Infractions** considered to be serious violations of the First Transit performance code include:

- Abusing or misusing sick leave
- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a High Visibility Safety Vest, Reflective Safety Vest, or Company issued High Visibility Uniform Shirt according to Company policies
- Failure to wear Safety Glasses in compliance with PPE directives
- Failure to wear Company Assigned Shoe Grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or Company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advance approval of the Company
- Failure to operate a Company vehicle according to assigned route or timetable
- Failure of any Operator, Safety Sensitive Employee or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a Company vehicle





- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering or assisting any person to enter, or attempt to enter a Company location or restricted areas without proper authority

Examples of **Class 3 Infractions**, considered to be secondary violations of the First Transit performance code, include:

- Mandatory Reporting failure including:
  - Failure to report defective equipment
  - Failure to report a safety hazard
  - Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report
  - Failure to report law enforcement actions
- Posting, circulating or distributing written or printed material during working times and in working areas
- Failure to adhere to the Company Reverse Parking policy for Company vehicles and personal vehicles
- Use of a Company-owned radio or cell phone for non-Company business during working time
- Failure of any Operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a Company vehicle

Examples of **Class 4 Infractions**, considered to be lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations, include:

- Failure to comply with the dress code, uniform policy, cleanliness, personal hygiene, personal grooming habits, or other requirements established by the client or Company
- Reporting for duty in an improper uniform, presenting an untidy, unkept or dirty appearance of person or uniform, or improperly displaying uniform articles, Company emblem, or authorized pins and badges
- Parking a personal vehicle in a restricted area at a Company location
- Neglect of job duties and responsibilities, or lack of application or effort on the job
- Incompetence or failure to meet reasonable standards of efficiency or effectiveness
- Failure to provide First Transit with a current address or telephone number
- Failure to inform First Transit of changes in status of dependents for insurance coverage
- Littering the employee lounge area, restrooms, or any other company property
- Failure to read notices and bulletins and not making an effort to stay informed

### **Applying Disciplinary Actions**

Although employment may be terminated at-will by either the employee or First Transit at any time



in accordance with applicable law, without following any formal system of discipline or warning, First Transit may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart below describes how disciplinary actions are applied.

Class of Infraction	Discharge	Suspension	Written Warning
1	1st Offense	-----	-----
2	2nd Offense*	1st Offense	-----
3	3rd Offense*	2nd Offense*	1st Offense
4	4th Offense*	3rd Offense*	1st & 2nd Offense*

\*Within 12 months of first offense, 36 months for safety

Additionally, First Transit may use the following criteria to determine discipline specific to any type of traffic violation or preventable accident.

Major Offenses	Action
One violation	Discharge
Serious Violations	Action
One violation	Written warning
Two violations within any 36-month period	Discharge
Moving Violations	Action
Two violations within any 36-month period	Three-day Suspension
Three violations within any 36-month period	Discharge
Two violations within any 12-month period	Discharge
Preventable Vehicle Accidents	Action
One preventable accident	Written warning
Two preventable accidents within any 36-month period	Five-day Suspension
Three preventable accidents within any 36-month period	Discharge
Two preventable accidents within any 12-month period	Discharge

Details of First Transit's reporting requirements, infractions of company policy, and disciplinary actions that may be taken are described in more detail in the **First Transit Employee Handbook**.



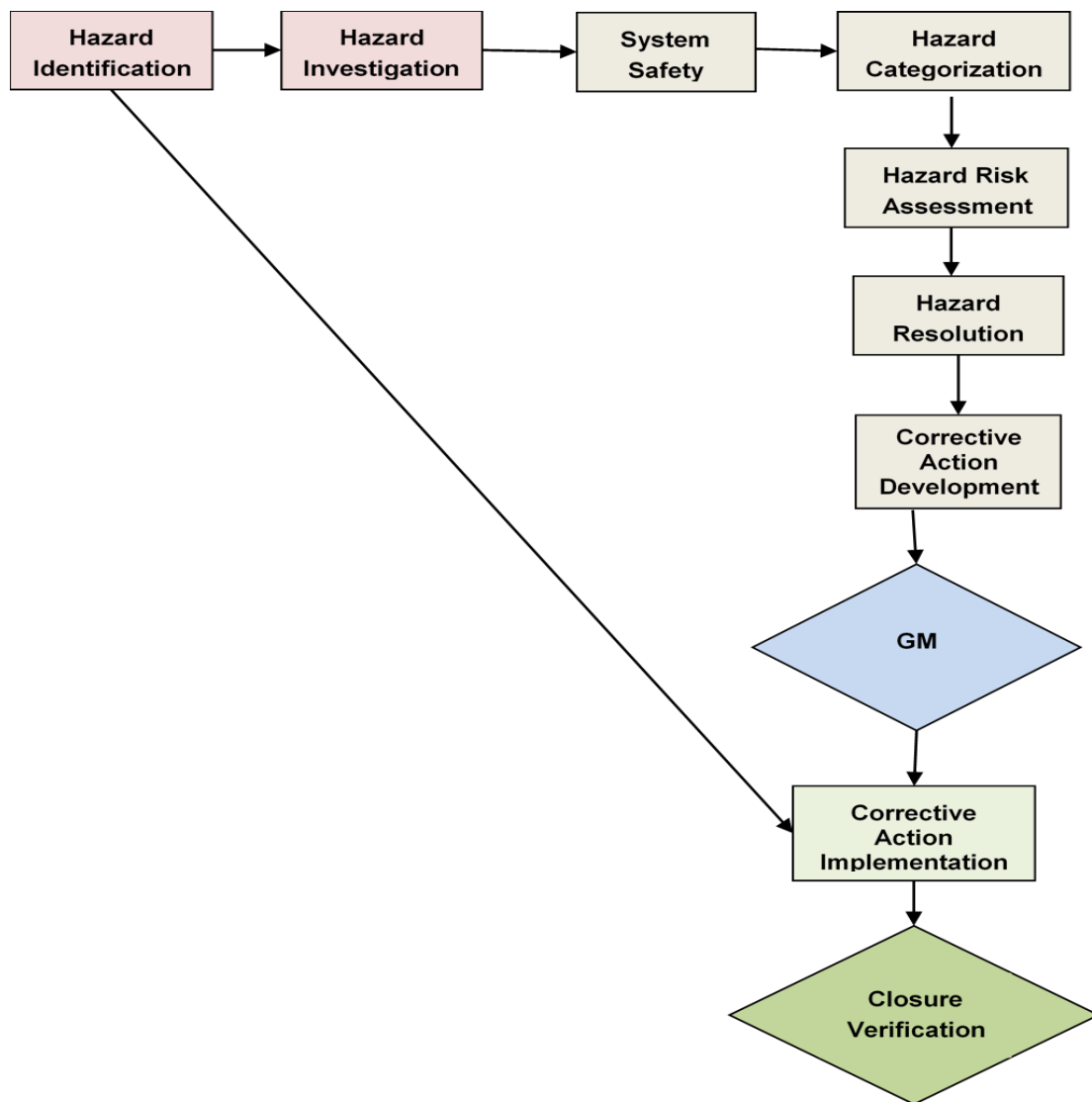
## 6. Safety Risk Management

### **Safety Risk Management Process**

*Describe the Safety Risk Management process, including:*

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment*

Safety management is at the core of everything done at First Transit. All employees are responsible for performing their jobs in a safe manner, which includes identifying safety risks and participating in developing and implementing effective mitigation techniques. The process for managing hazards, from identification through corrective action and closure, is illustrated by the following flowchart.



As described earlier, a corporate structure exists to address all safety concerns. To ensure safety at the local levels, each location is required to form a Safety Solutions Team (SST), Accident Review Committee (ARC), and a Local Client Liaison Committee. To ensure consistency at each location, **SOP's #803; #803a; Safety Solutions Team**, and **SOP #702 – Accident Review Committee** describe the procedures which are to be followed in creating and operating a Safety Solutions Team and Accident Review Committee.

These groups are responsible for reviewing safety related accidents and incidents to determine culpability; identify the causes associated with each event; and develop mitigation measures to reduce the risk of the events occurring in the future. Having these groups at each location provides a way for employees to report safety risks in a timely manner and to teams that understand the conditions associated with each specific location. Additionally, the opportunity exists for more timely, appropriate, and effective mitigation measures.

Several tools are used by the Region Safety Managers, Region Safety Directors and the Senior Director of Safety to monitor the local risks and risk management. Among them are Safety Data Reports which outline the monthly and Year to Date safety performance statistics. Also used is a Target & Goal Worksheet to track and analyze the data collected and to target reactive and proactive performance improvement measures.



## **Safety Hazard Identification**

This process is a vital component in First Transit's efforts to reduce safety risks and improve overall delivery of service. Safety Hazard Identification data from internal sources such as employee reporting, customer feedback, maintenance records; and external sources such as the Federal Transit Administration and local oversight authority is used to implement immediate corrective actions and to proactively identify hazards and potential consequences before they cause future accidents or incidents.

The objective of hazard identification is to identify those conditions that can cause an accident or create an unsafe condition and determine possible consequences if the unsafe condition is not corrected. First Transit routinely analyzes records from our operation and external sources as they become available to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

First Transit also takes an additional proactive step with its **SOP #208 – Safety Validation of Change** to identify hazards and consequences **PRIOR** to implementing any changes to operations.

First Transit relies on employees to assist in the hazard identification and resolution process. Working with the location safety personnel and through a structured process, employees help:

- Identify Critical Factors in Mitigation of safety risk
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance (when needed)
- Audit for Compliance

Several tools exist for hazard identification. Among them are:

- **SOP #802 and #802a - Daily Safety & Health Walkthrough and Checklist**
  - A routine safety and health check walkthrough to promptly identify hazardous conditions at our facilities and notify employees of the hazards identified and mitigation measures to help protect them from personal injury.
- **SOP #804 - Positive Check-In Procedures & Reasonable Suspicion**
  - Positive Check-In procedures are to ensure our operators reporting to work are fit-for-duty.
- **SOP #900 – Facility Hazard Recognition Manual**
  - This Hazard Recognition Manual is intended to be a tool for recognizing potential hazards that may be present at First Transit facilities. Although it does not represent all conditions that could exist, the photos and narrative provide:
    - A reference guide for conducting safety inspections at a facility, and
    - A training document to educate and train employees to conduct effective safety inspections.
- **Vehicle Maintenance Risk Assessment**
  - All employees who perform maintenance and repairs to vehicles within transit centers and bus yards or on road calls complete a risk assessment using **SOP #503a – Vehicle Maintenance Risk Assessment Form** prior to performing any work on a vehicle.



- The Risk Assessment process, **SOP #503 – Vehicle Maintenance Risk Assessment**, requires employees about to perform a maintenance task to confirm they possess the training, skills, knowledge, abilities, tools, and equipment to safely perform the task at hand. The assessment includes determining the following.
  - Are You Properly Trained to Perform the Task?
  - If Task Requires Lifting, Are Lifts Secured, Are Jack Stands Used Correctly?
  - Are You Wearing the Appropriate Personal Protective Equipment (PPE)?
  - Have You Performed the Proper Lock-Out/Tag-Out (LOTO) procedures?
  - Are You Aware of the Potential Risks of Performing this Repair?
- If the answer is “NO” to any of the above assessments the technician is to immediately contact their manager.
- **Pre-Survey Job Hazard Analysis**
  - Prior to beginning a job hazard analysis, a pre-survey of the working conditions, using **SOP #503b – Pre-Survey Job Hazard Analysis Form**, under which the job is performed is conducted to evaluate the general conditions. A few of the potential hazards being considered include:
    1. Are there tripping hazards in the job vicinity?
    2. Is the lighting adequate for work conditions?
    3. Are there explosive hazards associated with the job?
    4. Are there electrical hazards associated with the job?
    5. Are tools associated with the job in good condition?
    6. Is the noise level excessive (below 85-dba)?
  - **Facility Parking Risk Management Assessment**
    - Inadequate turning areas, blind corners, uneven walking surfaces can all cause collisions or employee injury in parking areas. **SOP #901 - Facility Parking Risk Assessment** will help identify and prevent these types of collisions for both buses and personal vehicles.
    - The Location Manager must ensure compliance with all provisions of this SOP.
    - The risk of each facility is assessed as follows:
      - Annually
      - Unscheduled – Whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises
      - Start-up locations – Before operating out of the new location.
      - **SOP #901a – Facility Parking Risk Assessment Guide**, and
      - **SOP #901b – Facility Parking Risk Assessment Form** are tools to help with this assessment.

## **Accident/Incident Hazard Identification**

Procedures exist and are followed regarding resolution of accidents and incidents and capturing data. Although this information is used proactively, First Transit takes advantage of these opportunities to determine which, if any hazards existed that may have contributed to the accident or incident and develop mitigation measures to reduce the risk of a recurrence.

There are five (5) main areas reviewed in this Hazard Identification process:

### **1. Environment**

- a. Weather
- b. Road Surface Condition
- c. Visibility

### **2. Transit Service Characteristics and Agency Policies**

- a. Incentives for Safe Driving





- b. Equipment Maintenance Policies
- c. Stop Intervals
- d. Route Design
- e. Driver Scheduling
- f. Passenger Demand Schedules

### **3. Operator**

- a. Experience
- b. Physical Ability
- c. Personality
- d. Psychological Condition
- e. Physical Condition

### **4. Road Layout**

- a. Width
- b. Speed Limit
- c. Geometric Design
- d. Traffic Volume
- e. Capacity
- f. Parking
- g. Adjacent Lane Use
- h. Street Lighting
- i. Pedestrian Volume

### **5. Hazard Identification – Accident Prevention/Resolution**

- 1st: Identify the Hazard
- 2nd: Remove the Hazard
- 3rd: When the Hazard cannot be removed, Train for the Hazard as a “known condition”

#### **▪ On-Board Video Technology**

- **SOP #704 – On-Board Video Technology** provides a summary of the on-board video system and Company standards that all First Transit employees must follow when operating a company or customer vehicle equipped with onboard video technology.
- This technology is a valuable resource and another tool that helps First Transit instill positive driving behaviors by providing opportunities to view recorded driving events, driver history and company trends.
- The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

Information learned from this identification process is used to improve training and reduce or eliminate the underlying causes.

### **Safety Risk Assessment**

Once the hazard has been identified, they are categorized into the following severity levels. The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.



**Category 1 – Catastrophic:** operating conditions are such that human error, design deficiencies, element, subsystem or component failure, or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

**Category 2 – Critical:** operating conditions are such that human error, subsystem or component failure, or procedural deficiencies may cause severe injury, severe occupational illness, or major system damage and require immediate corrective action.

**Category 3 – Marginal:** operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

**Category 4 – Negligible:** operating conditions are such that human error, subsystem, or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to determine the likelihood of it occurring. Likelihood of occurrence is determined based on the analysis of transit system operating experience, evaluation of First Transit safety data, the analysis of reliability and failure data, and/or from historical safety data from other passenger bus systems. The following chart describes the likelihood of occurrence categories.

Likelihood of Occurrence of a Hazard			
Description	Level of Likelihood of Occurrence	Frequency for Specific Item	Selected Frequency for Fleet or Inventory
Frequent	A	Likely to occur frequently	Continuously experienced
Probable	B	Will occur several times in the life of the item	Will occur frequently in the system
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times in the system
Remote	D	Unlikely but possible to occur in life of an item	Unlikely but can be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur but possible

Identified hazards are placed into the following Risk Assessment Matrix to enable the decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Category 1	Severity Category 2	Severity Category 3	Severity Category 4
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D





Improbable (E)

1E

2E

3E

4E

Based on company policy and the analysis of historical data, First Transit has made the following determinations regarding risk acceptance.

Hazard Risk Index	Criteria by Index
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable (Management decision)
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with Management Review
4C, 4D, 4E	Acceptable without Management Review

### **Safety Risk Mitigation**

#### ***Mitigation Determination***

After the assessment has been completed, the follow-up actions will be implemented as follows.

- **Unacceptable**: The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.
- **Undesirable**: A hazard at this level of risk must be mitigated unless the Location General Manager and Location Safety Manager issue a documented decision to manage the hazard until resources are available for full mitigation.
- **Acceptable with review**: The Location General Manager and Location Safety Manager must determine if the hazard is adequately controlled or mitigated as is.
- **Acceptable without review**: The hazard does not need to be reviewed by the management team and does not require further mitigation or control.

#### ***Mitigation of safety risk***

Mitigation of safety risk consists of reducing the risk to the lowest practical level. Not all safety risks can be eliminated completely. Resolution of hazards will utilize the results of the risk assessment process. The objectives of the mitigation of safety risk process are to:

1. Identify areas where mitigation of safety risk requires a change in the system design, installation of safety devices or development of special procedures.
2. Verify that hazards involving interfaces between two or more systems have been resolved.
3. Verify that the resolution of a hazard in one system does not create a new hazard in another system.

The SST, who was identified earlier in this plan as the team responsible for local safety review, uses the following methodologies to assure that system safety objectives are implemented through design and operations, and hazards are eliminated or controlled:

1. Design to eliminate or minimize hazard severity. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities
2. Hazards that cannot reasonably be eliminated or controlled through design are controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices.



3. Provisions are made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
4. When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices are used (to the extent practicable) to alert persons to the hazard.
5. Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety and warning devices, procedures and training are used to control the hazard.
6. Precautionary notation is standardized, and safety-critical issues require training and certification of personnel

### ***Mitigation of Safety Risk Management and Tracking***

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The mitigation of safety risk process is managed through the “**Safety Toolbox**”, which is an online tool used by management, from Road Supervisors to Executive Management, to record the occurrence of safety-related events, review safety critical data, and track corrective actions as necessary.

The Safety Toolbox is a powerful tool to help understand the work area’s safety environment. This includes:

- Understanding and improving observations of safety critical behaviors
- Reviewing recorded debriefs to ensure that the “BeSafe” process is in place and working.
- Reviewing findings from BeSafe tours and determine if tasks/actions have been closed out

The Safety Toolbox includes information regarding:

- BeSafe (BeSafe Debriefs, BeSafe Tours, BeSafe Touchpoints)
  - Debrief meetings conducted in order to assure quality.
  - Safety Critical Behavior is the main focus of touchpoints; and shared and discussed during debrief meetings.
- Contacts (e.g. Near Misses, Hazard reports, Commendation, Safety Issue)
  - **Near Misses.** Reporting an event that occurred and could have caused injury.
  - **Hazard Reports.** Reporting an event that occurred and could have caused injury.
  - **Commendation.** A report of commendable safety actions/conduct performed by a colleague within the business.
  - **Safety issues.** A report on any safety issue that has a specific cause – i.e. maintenance, housekeeping, environment and behavior etc.
- Safety Leadership Activities (e.g. Participate in safety meetings, risk assessment, section observation)
  - **Participation in a Safety meeting.** Actively leading or participating in the location in-service safety meeting.
  - **Intersection observation or risk assessment.** Risk assessment or driver observations conducted at nearby intersections, and delivery of positive reinforcement or coaching as indicated.
  - **Rail section observation or risk assessment.** Risk assessment or driver observations conducted at rail crossing(s), and delivery of positive reinforcement or coaching as indicated.
  - **Planned general inspections.** A systematic inspection where a location is forewarned.
  - **High interest driver.** A report of a driver's performance that has indicated a level of risk taking through observations, review scores, and skills evaluations.

Additional documentation, such as corrective action plans, are developed for those hazards requiring complex and multifaceted resolutions.



## 7. Safety Assurance

### Safety Performance Monitoring and Measurement

*Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.*

As discussed in Section 1 of this plan, First Transit employs a Resident Management Team at each operation location. This team consists of a Location General Manager and a Location Safety Manager, who oversee the safety of the operation.

Additionally, each location employs Street Supervisors, Dispatchers, and Instructors; all of whom are responsible for oversight of the daily operations and training. All safety risks identified are reported to the Location General Manager and Location Safety Manager. Any risks that can be addressed immediately are corrected but still reported. Each location also establishes a Safety Solutions Team (SST), described in Section 5: Safety Risk Management of this plan, which uses the following methodologies to ensure a proactive approach to safety at each location.

- Routine hazard management
- Accident and incident investigation
- Safety data collection and analysis
- Routine internal safety audits
- Facility, equipment, systems and vehicle inspections
- Routine proficiency checks for all vehicle operators and maintenance employees
- Compliance evaluations including onsite inspections
- Regularly communicating safety and hazard data to all employees

A higher level of oversight is conducted by Region management, which includes the Region Safety Manager, Region Safety Director, Region Maintenance Director, and the Region Vice President. From this level, any identified risks and mitigations are shared with other Region local operations as a proactive means to reduce risks.

The last “local level” review comes from the Vice President of Safety and the Vice President of Maintenance. These are corporate level positions that share the identified risks and mitigations throughout the organization as a proactive means to reduce risks. Additionally, the Vice President of Safety and Vice President of Maintenance assist executive level management in using this information to impact operational and budget decisions.

*Describe activities to conduct investigations of safety events to identify causal factors.*

First Transit has a “zero” tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is our number one goal.



Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured
- a pedestrian was injured

**SOP #700-Accident & Safety Data Acquisition** describes the data collection process including

- Defining the Event & What to Do
- Accidents – Defining the Accident
- Rules that apply to an accident
- Operator Responsibility
- Accident Investigation Responsibilities

**SOP #700** also describes the Operators and the Dispatchers responsibilities for protecting the customers and managing the scene.

Pedestrian incidences are reviewed to determine if visibility impairments for the bus operator were a contributing factor for consideration of recommendations for vehicle retrofits for future procurement specifications.

Employee injuries resulting from an assault are reviewed to ensure that all available resources were utilized to avoid the occurrence. Resources would include physical barriers were provided by the client, and/or training of the bus operator in conflict resolution management practices.

The groups described in **SOP #702 – Accident Review Committee (ARC)**, and **SOP #803 – Safety Solutions Team (SST)**, review the data collected to determine if the accident/incident was preventable or non-preventable,(ARC); and identify measures to reduce the risk of the accident/incident occurring in the future (SST).

First Transit has developed the following SOPs to align with the Center for Disease Control & Prevention to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions relative to infectious diseases. **SOP #809 Infection Control & Response for H1N1 Influenza / MRSA / Corona Virus, SOP #809a – MRSA General Information, SOP #809b – H1N1 Flu General Information, SOP #809c – Coronavirus General Information, SOP#810 – Bus/Work Area Disinfecting.**

*Describe activities to monitor information reported through internal safety reporting programs.*

The Location Safety Manager (LSM) and/or Location General Manager (LGM) routinely reviews all location safety and hazard data, which includes searching for repetitive events that might have safety implications. When accident/incident reports and statistics indicate repetitive accidents/incidents, the LSM and LGM investigate to determine the root cause.

The following chart describes how the hazard data flows and is monitored by First Transit; from each operating location, to Region management, to corporate and parent company management.



Risk/Safety Data Flow								
Weekly Data Review								
Information Collected Daily	Location	Third Party Data Collected	Risk Dept	Safety Dept	Location			
Collisions/ Injuries/ Workers Comp	Incident Occurs, claim report created, then sent to Third Party Data Collector via website, phone, fax.	Report received from Location.	Information from Third Party Data Collector created as weekly report then sent to Region Safety.	Weekly reports are reviewed and distributed for weekly management oversight conference calls.	Review data with Senior Region Leadership during weekly teleconference.			
Period Data Review (e.g. Quarterly/Monthly)								
	Risk Dept	Shared Services Dept	Region Safety Managers	Shared Safety Services Dept				
Collisions/ Injuries/ Workers Comp	Send all raw risk data gathered from weekly reports to the Shared Safety Services Dept.	Reorganizes raw data regionally then distributes to Region Safety Dept.	Review period data and distribute to locations.	Develops company, region, and location specific performance measures and distributes through Target & Goal Spreadsheet.				



Period Data Analysis						
	First Transit Corporate Safety	First Group Executive Safety Committee (ESC)	First Group Safety Council	First Group America Safety Council	Performance Review Management (PRM)	Safety Advisory Committee
<b>Collisions/ Injuries/ Workers Comp</b>	Processes data; analyzes; creates reports; categorizes risk factors; and creates commentary for trend analysis. Final reports sent to Directors of Safety and Region Leadership.	This committee consists of President, COO, and Safety Vice President of each operating group.  Discussions include safety performance, trend analysis, program oversight.	This committee consists of Vice Presidents of Safety for all operating divisions.  Discussions include safety performance, trend analysis, and safety oversight.	This committee consists of Safety Senior Directors and Safety Vice Presidents.  Discussions include safety performance, trend analysis, best practices, and program oversight.	This review consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, and Region Safety Managers.  Discussions include regions safety performance.	This committee consists of Location General Managers, Region Directors of Operations, and Region and Local Safety Managers.  Discussions include review of policy and procedures, training, and safety awareness.

## Management of Change

*Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.*

First Transit employs a proactive process, **SOP #208 – Safety Validation of Change**, that addresses the procedures to be followed to evaluate the risk of any changes proposed at all levels of the organization. The overall purpose of this process is to provide assurance that any proposed changes which impact operations will not increase safety risk; or where additional risk is identified, that controls are put in place **prior to the changes being implemented**.

Changes to organizational structure; the nature or extent of operations; or to facility or equipment assets; as well as mergers and acquisitions of new businesses are proactively managed through this process to avoid introducing or increasing safety risks.

- The resources required to complete the validation process, in terms of people, finance and materials is included in this validation process.
- The allocation of responsibilities considers the competence of the individuals that are required to carry out the safety validation roles.
- All employees who may be affected by the proposed changes are consulted as part of the process.

The extent and scope of safety validation applied to any change proposal is proportional to the risks (safety, operational, and other risks) associated with its introduction. *(For example, a major change, such as a reorganization of Region Executive roles and responsibilities or start-up of a large new bus operation, requires a more rigorous safety validation than a minor change.)*

In the case of smaller, less complex or well understood changes, the safety validation of change process may be implemented as part of normal operations, using existing organizational arrangements and meeting structures to deliver the required level of assurance.

The process is generally described in the following chart.

Safety Validation of Change Process			
Main Steps	Key Activities	Checklists & Guidance	Completed By
<b>1. Identify Proposal for Change</b>	<ul style="list-style-type: none"> <li>• Raise change proposal (including Capital Expenditure Approval)</li> <li>• Inform relevant functional Director(s) and Manager(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Complete <b>SOP #208a – Safety Validation of Change Form</b>, Section A1</li> </ul>	Change proposer





<b>2. Determine Classification of Change Significance</b>	<ul style="list-style-type: none"> <li>Classify level of safety validation required</li> <li>Ensure the extent and scope of validation is proportional to the level of risk</li> </ul>	<ul style="list-style-type: none"> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b>, Section A2</li> </ul>	<b>Category A:</b> Group Safety Director  <b>Category B:</b> Divisional head of Safety <b>Category C:</b> Location head of Safety
<b>3. Allocate Roles &amp; Responsibilities</b>	<ul style="list-style-type: none"> <li>Formally allocate change sponsor and change authorizer</li> <li>Identify other required resources and roles for consultation</li> </ul>	<ul style="list-style-type: none"> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b>, Section A3</li> </ul>	Change proposer (with guidance)
<b>Submit Change Proposal Form</b>			Change proposer
<b>Decide whether safety validation should proceed</b>			Change proposer
<b>4. Prepare Safety Validation of Change Case</b>	<ul style="list-style-type: none"> <li>Prepare safety validation documentation</li> <li>Complete risk assessment of proposed change</li> <li>Submit for review</li> <li>Revise and finalize documentation</li> </ul>	<ul style="list-style-type: none"> <li>Complete risk assessment and document findings</li> <li>Complete Safety Validation of Change as described in <b>SOP #208 – Safety Validation of Change</b></li> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b></li> </ul>	Change proposer
<b>Submit Safety Validation Checklist with supporting documentation</b>			Change proposer
<b>Approve and Implement, or Reject Change</b>			Change authorizer (or delegated representative)
<b>5. Monitoring and Review</b>	<ul style="list-style-type: none"> <li>Monitor implementation of change and safety performance</li> </ul>	<ul style="list-style-type: none"> <li>Check compliance as part of Region Safety Monitoring</li> <li>Review effectiveness</li> </ul>	Location Safety Manager  Corporate Safety Management





			as part of Region oversight	Vice President of Safety - First Transit
<p>Changes proposed at the Corporate level typically have an impact on the Region and Local levels. To ensure the risks associated with any change consider all levels of the organization, each level must complete <b>SOP #208 – Safety Validation of Change</b> as part of the process to ensure specific safety concerns have been identified and addressed.</p> <p>Similarly, changes proposed at the Region level will typically have an impact on the Local level. Consequently, the Local level must also complete <b>SOP #208 – Safety Validation of Change</b> as part of the process to ensure specific safety concerns have been identified and addressed.</p> <p>Additional responsibilities in the Safety Validation of Change process include:</p> <ul style="list-style-type: none"><li>• The Region Safety Management team provides safety expertise/support to those carrying out the safety validation.</li><li>• The Senior Director of Safety:<ul style="list-style-type: none"><li>○ Reviews and approves each Region’s safety validation of change process</li><li>○ Decides on the level of safety validation required (consulting with other functional heads as necessary) for Category A changes</li><li>○ Is consulted on any Category B change proposal</li><li>○ Provides safety expertise/support to Region Safety Managers and Vice President of Safety – First Transit during safety validation activities as required.</li><li>○ Provides safety expertise/support to those carrying out the safety validation for Category A changes.</li></ul></li></ul> <p>An electronic log of all proposed changes, whether approved or not, are maintained by the Region Safety Director.</p> <p>Communication of changes to policies/procedures regarding safety issues comes from Executive Leadership. This information is then carried down through the Vice President of Safety – First Transit, Senior Director of Safety, Region Safety Directors, Region Safety Managers, Location General Managers, Location Safety Managers, and employees. Notification to the client is communicated through the Location General Manager.</p>				
<b>Continuous Improvement</b>				
<i>Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.</i>				
<p>The process described previously in this section for monitoring safety data incorporates continuous improvement. As safety risk is identified, then reported on, a determination is made as to whether the risk can be mitigated immediately or requires more time and resources.</p> <p>Risk mitigations that can address the safety concerns immediately are carried out but still reported. The reporting of these concerns includes the mitigation steps that have been taken. Monitoring of the risk continues to ensure that the mitigation strategy is effective.</p> <p>Section 5 of this plan, Safety Risk Management, describes the risk assessment and mitigation procedures used that determine how to proceed with improvement strategies that require more time and resources.</p>				



Which improvement strategies to implement for longer term issues is based on severity and likelihood of risk occurrence. Additionally, safety hazard identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspections of established prevention processes are routinely performed.

The Risk/Safety Data Flow Chart previously described in this section, illustrates how this information is shared throughout the organization.

## 8. Safety Promotion

### Competencies and Training

*Describe the safety training program for all agency employees and contractors directly responsible for safety.*

The education and training process at First Transit is a highly regimented and professionally developed program built around a curriculum featuring learning opportunities in two major domains:

- Knowledge (education)
- Skills (training)

Various delivery mechanisms such as classroom, multimedia presentations, closed course, observation and behind-the-wheel skills building are used to support the learning process. Learning is evaluated through written quizzes, driving tests and customer service skills evaluations.

#### **Instructors**

Successful new operator training starts with selecting and certifying good instructors.

##### **1. Classroom Instructors:**

The classroom instructor is responsible for facilitating the classroom portion of the Professional Operator Development Program. The classroom instructor will work closely with the Safety and/or Training Manager to ensure all training is conducted and completed according to First Transit, federal, state, local/contractual requirements. Classroom training may require the development of lesson plans.

##### **2. Behind-the-Wheel Instructor:**

The behind-the-wheel (BTW) Instructor is responsible for conducting skills course exercises and on the road instruction. The Professional Operator Development Program consists of interactive exercises where the participants learn important skills for decision making while out on the road. The BTW Instructor will work closely with the Safety and/or Training Manager to ensure all training is conducted and completed according to First Transit, federal, state, local/contractual requirements. Behind the wheel instruction may require the use of all or part of the Operator Competency Workbook to document a participant's progress

##### **3. Revenue instructors:**



The revenue instructor is responsible for conducting training on a live route, picking up passengers, securing mobility devices, collecting fares, etc. The revenue instructor will evaluate and coach a participant demonstrating his/her abilities to follow route/manifest instructions, provide proper and safe customer service, assist passengers with disabilities, properly secure mobility devices, and all other functions of the operator position at the location while safely controlling the vehicle in the service area. Revenue instructors First Transit Agency Safety Plan Page 38 of 51 September 2021 should spend most of their teaching and observation time working with the participant on operation of the service

**4. Level 4 Instructors:** The Level 4 instructor is responsible for conducting train the trainer workshops to certify/re-certify instructors. The master instructor will work closely with the Director of Training to ensure that locations are following the Instructor Certification Process, utilizing all materials contained in the Professional Operator Development Program and ensuring adherence to the training requirements set forth by First Transit in accordance with federal, state and local/contractual requirements

Training the Instructor is a process by which a Certified Instructor works with the selected New Instructor Candidate. During this time, the Certified Instructor conducts a review of all state laws, First Transit policies and procedures, local policies, and client-specified programs and requirements.

The Certified Instructor also provides a review of the Behind-the-Wheel Manual, Classroom Manual, and all First Transit video-based courses.

In addition to the above training, the New Instructor Candidate must complete the Instructor Development Curriculum, which includes the following three self-directed courses:

1. Facilitation Techniques
2. Coaching basics
3. Adult Learning

There are three types of Instructor Certification:

1. Temporary
2. Certified
3. Level 4

#### **1. Temporary**

Temporary certificates are issued at the local level. A temporary certificate is issued to a New Instructor Candidate upon successful completion of the New Instructor training program at his or her location, conducted by a certified trainer at that location. Certificates are issued throughout the year prior to the annual Train-the-Trainer program.

Temporary certificates are valid for one year, and one year only, from the date of issue. Temporary certification is accompanied by silver achievement emblems for Classroom, BTW or both.

To continue in the program, a New Instructor must obtain Gold Certification.

#### **2. Certified**

The Certified Instructor certificate is issued to a New Instructor who has successfully completed the annual Train-the-Trainer program, conducted by a Master Trainer. The annual Train-the-Trainer program combines all elements of the temporary certification, with the exception of the classroom evaluation. At the annual Train-the-Trainer program, Classroom Instructor Candidates are required to develop a lesson plan and give a presentation.



Prior to attending the annual Train-the-Trainer program, all New Instructors must complete the “Safety Leadership” course and pass the final exam with a grade of 90% or above.

The Senior Director of Safety is the only person authorized to approve and issue a Certified Instructor certificate with gold achievement emblems for Classroom, BTW, or both.

### **3. Level 4**

The Master Instructor Certification program ensures that First Transit Policies and Procedures are correctly implemented throughout the company.

Level 4 Instructor Certification is required for all area safety managers and above.

The Level 4 Instructor:

- Provides support to the Location General Manager and the Region Safety Manager,
- Is involved with training new Safety and Training Supervisors, and re-training current Safety and Training Supervisors if required,
- Conducts the annual Train-the-Trainer program for BTW and Classroom Instructor Certification
- Conducts Safety and Training audits in the region and reports the findings to the Region Safety Manager, if required.
  
- Conducts BeSafe Safety Leadership Training
  
- Conducts coaching sessions for managers and supervisors on BeSafe principles

### **Employee Training**

Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in “**BeSafe**” and “**Safe Work Methods**”, which are described later in this section.

“**BeSafe**” is our company-wide approach to safety management. This program takes our safety performance to the next level through behavioral change. “BeSafe” is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of “BeSafe”




The “BeSafe” concept is described in the following brochure.

### Near miss and hazard reporting

In the interest of keeping you, your colleagues and our passengers safe, it's your responsibility to report any near miss incidents and hazards.

Please record these in the 'Near miss and hazard reporting' pad and hand it in to the nearest supervisor / manager.



**Near miss:**  
An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health – a dangerous occurrence.

**Hazard:**  
Anything that may cause harm in the near future.

### Personal emergency details

In an emergency, please be aware of the following:

Name \_\_\_\_\_  
Home Tel. No. \_\_\_\_\_  
Mobile Tel. No. \_\_\_\_\_  
Emergency contact No. \_\_\_\_\_

Blood type \_\_\_\_\_  
Allergies \_\_\_\_\_  
Medical condition(s) \_\_\_\_\_

Please inform your HR department of any medical conditions that might prevent you from doing your job safely.

### Work environment

A positive, safe environment is important to our passengers, our staff and our business.


If you are concerned about anything at work, aware of a security issue or have suspicions about anything from bullying to fraud – report it.

**If it is an emergency**  
Tell the police. Then, tell your manager.


**If it is not an emergency**  
Tell your manager or Group Security, or use the confidential hotline or ethics portal.

**Confidential hotline**  
UK 0800 234 5291  
North America 877-322-5534  
Greyhound Operations Support Center 800-487-6996  
Panama 000-000-000-0000  
India 000-000-000-0000

**Make a report**  
[www.ethicsfirst.ethicspoint.com](http://www.ethicsfirst.ethicspoint.com)



**My Handbook**



### Be Safe What is it?

Be Safe is our Group-wide safety commitment, taking our safety performance to the next level through behavioural change.

It builds on our compliance with existing policies and safety management systems. Be Safe, whilst not ignoring unsafe acts, harnesses the power achieved where positive behaviour and habits are shown and recognised.

Be Safe is inclusive, collaborative and focuses on recognising and acknowledging safe behaviour and actions through positive reinforcement.

### Be Safe Our objectives

Be Safe has three clear objectives:

1. To make progress on our way to "Zero Harm".
2. To make safety a personal core value through behaviour change.
3. To improve business performance.

Everyone in FirstGroup takes ownership for safety in the workplace and encourages colleagues to do the same.

We have a personal stake in safety for ourselves, our colleagues and our customers.

By sharing the right attitude, skills and knowledge we will create the best safety environment to achieve our objectives and Be Safe.

### Be Safe principles

These principles all support our Group value of being Dedicated to Safety.

**Knowledge**

Our greatest efforts will be directed at the key safety behaviours that will help reduce incidents.

**Recognition**

Whilst not ignoring actions that undermine safety, the focus will be on acknowledging colleagues "doing it right" and positively reinforcing these actions.

**Openness**

Regular positive coaching interactions, or "touchpoints" will take place and communication at "debriefs" will be open and honest.

**Learning**

Reporting of incidents and near misses will be seen as learning opportunities to continuously improve workplace safety.

**Courage**

We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

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First Transit's “Safe Work Methods” is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

1. In training new hire employees
2. In leading supervisors in identifying root causes of workplace injuries
3. In retraining injured workers so that re-occurrences are avoided
4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The “Safe Work Methods” training curriculum includes:

- **New Hire Training**  
New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.



- PPE program including requirements for appropriate
  - Safety eyewear
  - Safety footwear
  - Safety hand wear
  - Hi-Vis vests
  - Disposal contaminated materials
- Risk Assessment and Injury Avoidance
  - Walking & Climbing
  - Lifting, Carrying, Holding, and Lowering Objects
  - Pushing, Pulling, & Twisting
  - Burns, Scalds
  - Exposed Fluids, Chemicals, Smoke
  - Cuts, Punctures, Abrasions, Lacerations
  - Mobility Device Lifts/Ramps

## **1. Requirements for Operator Training**

Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The Operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

### **Classroom Training**

The first part of Operator training at First Transit, classroom training, begins the process of instilling the safety culture into each Operator. Helping the student Operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.

- **Unit 1 - Introduction**
  - Welcome and Introduction
  - Title VI Civil Rights Act 1964
  - Employee Handbook
  - BeSafe - Making Safety Personal
  - Hazardous Communication
  - Bloodborne Pathogens
  - Busing on the Look Out
  - FT Safe Wheels
- **Unit II - Fundamentals**
  - Safe Work Methods
  - Basics of Safety
  - Managing Emergencies
  - Security Awareness
  - Map Reading
  - Communication Devices
  - Navigation and Fare Policies
  - Smith System
- **Unit III - The Operator**
  - Drug and Alcohol Awareness
  - Distracted Driving
  - Fatigue and Sleep Apnea Awareness





- DriveCam Orientation
- **Unit IV - Transporting Passengers with Disabilities**
  - Transporting Passengers with Disabilities
  - Interacting with Passengers
  - Diffusing Conflict
  - Passenger Care While Loading and Unloading
  - Mobility Aids and Devices
- **Unit V - Driving Fundamentals**
  - Driving Fundamentals I
  - Driving Fundamentals II
  - Roadway Types
  - Railroad Crossings

### **Behind-the-Wheel Training**

Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a Bus Operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student Operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The "Smith Driving System" principles are incorporated throughout the entire Behind-the-Wheel training phase.

- **Closed Course (Group Work)**
  - Vehicle Orientation
    - Pre-Trip Inspection
    - Seat Adjustment
    - Mirror Adjustment
    - Braking, Accelerating, and Transmission
    - Wheelchair Securement
  - Reference Points
    - Lane Position
    - Right Side / Left Side
    - Backing Point
    - Forward Stop
    - Pivot Points
    - Turning Points
  - Vehicle Control
    - Straight in Lane
    - Left Turn
    - Right Turn
    - Lane Changing - Moving Right or Left
- **One on One Instruction Behind the Wheel**
  - **Basic Road Work**
    - "Smith System"
    - Intersections
    - Service Stops



- Backing
- **Advanced Road Work**
  - "Smith System" Commentary Driving
  - Roadways
  - Expressway / Highway Driving
  - Intersections
  - Service Stops
- **Final Evaluation**

Upon completion of the training program, before an Operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.
- **Cadet Training**

Once a new Operator has been placed into service there is period of observation where an experienced Operator, Instructor, or Supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

## **2. Requirements for Maintenance Training**

Maintenance personnel are trained in shop safety, OSHA standards, and vehicle maintenance, in addition to receiving training in driving techniques and safety. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training.

Maintenance training includes:

- Introduction to First Transit policies & procedures
- Injury prevention and risk assessment
- Substance Abuse Policy
- Defensive Driving
- "Smith System"
- NTI - Security Awareness Warning Signs
- Shop Safety Handbook
- Maintenance Lift Safety
- DVI Procedures
- SafeWork Methods
- Wheel Torque Specifications
- Workplace Violence
- OSHA (R-T-K / MSDS / PPE Training)

## **3. Requirements for Staff Training**

Staff personnel are trained in Safety Leadership and "BeSafe" (described in item #1)

- **Safety Leadership**

This is an interactive CD-ROM course consisting of 5 CD's and leaders guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:

- Safety Leadership





- Accidents
- Behavior
- Leadership
- Supervisor Development
  - The Role of the Supervisor
  - Communication
  - Building Trust
  - Conflict Resolution
  - Performance Management
  - Decisions
- **Additional Safety Training**
  - Reasonable Suspicion
  - Supervisor's Report of Reasonable Suspicion
  - Code of Conduct
  - Customer Service
  - OSHA Requirements
  - Hazard Abatement FORM – CA Only

#### **4. Requirements for Continuing Training and Evaluations**

First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:

- road observations,
- ride along evaluations, and
- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

In addition to First Transit's formal employee training program, the following safety training is also conducted.

#### **Safety Meetings**

- Twelve (12) safety meetings are issued to the locations annually with required topics identified by the location and region safety management
- Each meeting is to be a minimum of one (1) hour in length unless otherwise required by state, client or local regulations
- A required topic along with a safety campaign including posters and DVD is sent to each location for presentation to all employees
- Attendance is a condition of employment and is mandatory for all Operators, Management, Operational staff, and Maintenance personnel. *(Unless stated otherwise in the CBA.)*
  - Failure to attend all meetings will result in disciplinary actions up to and including termination.



- Client/Contract requirements may require safety meetings to be conducted on a more frequent basis than the First Transit minimum standards

### **Retraining**

First Transit has a “zero” tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is our number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

### **Safety Communication**

*Describe processes and activities to communicate safety and safety performance information throughout the organization.*

### **Safety Awareness Programs**

Establishing and maintaining a culture that demands safe behavior at all times is at the core of First Transit’s safety plan. This is done, in part, by providing a regular flow of positive information and recognizing those who are performing safely.

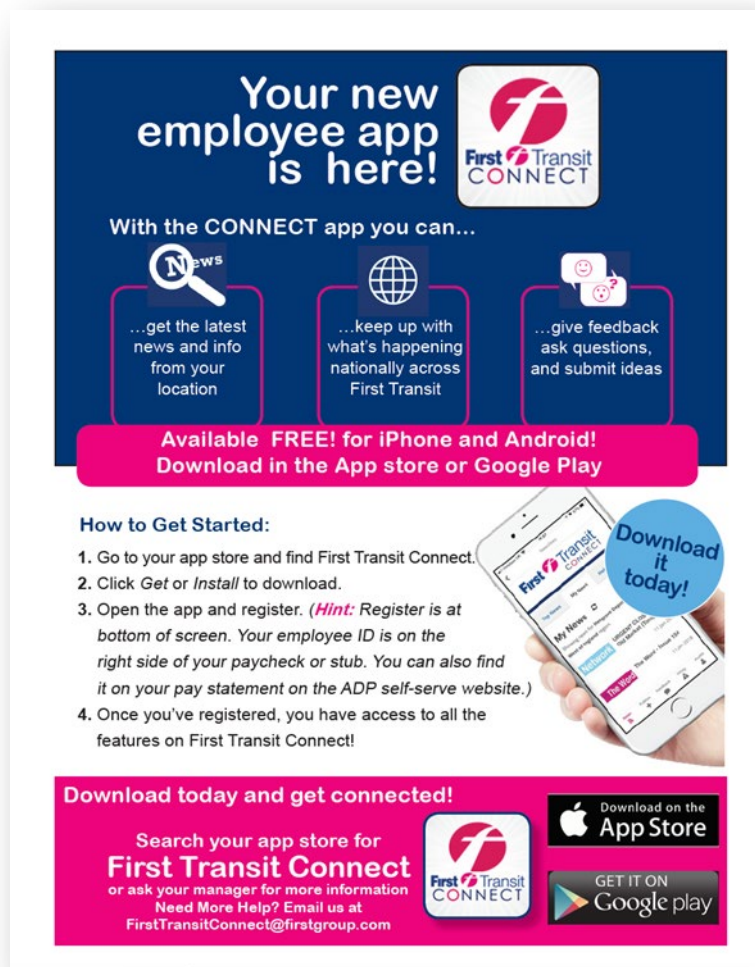
This is where our “**BeSafe**” program provides the structure and foundation for communicating safety messages and inspiring safe job performance at all levels. “BeSafe” takes safety to a more personal level. It is a company-wide commitment to safety, with the objective of continuous improvement by making safety a personal goal and incorporating behavioral change as a mitigation measure.

“BeSafe” focuses on positive change through routine personal “touchpoints” and coaching interactions between front-line employees and management. To reinforce the touchpoints, discussions and feedback sessions are conducted as needed.

This program inspires safe behavior among employees at all levels by;

- Generating system-wide participation in safety issues through positive reinforcement
- Encouraging all employees to “take ownership” for safety results
- Communicating safety policies, procedures and processes
- Engaging executives and managers at all levels, encouraging their active participation in safety management and communication
- Sharing safety results at the individual, project, region and national levels by celebrating success stories
  - **Individual Motivators – Individual Achievement Awards:** The “cultural carrot” to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
    - Annual Safe Driver Awards
- **A Safety Leadership Group - The Safety Solution Team (SST):**
  - SST
    - Review the safety concerns they have worked on and improvements that have been implemented
    - identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the location’s safety risk assessment process

- identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and
  - identifying safety deficiencies for purposes of continuous improvement.
  - Record and distribute SST meeting minutes o GM
  - Review “Daily Safety & Health Walkthrough” o GM and SST
  - Recognize individuals who have earned years of safe driving
  - Pins and Certificates
  - Include bullets from SST Meeting minutes
- **A Communication Tool:** “First Transit Connect” employee app, a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on “What Works”, Safety Happenings, and Safety Pep Rallies



**Your new employee app is here!**

With the **CONNECT** app you can...

- ...get the latest news and info from your location
- ...keep up with what's happening nationally across First Transit
- ...give feedback ask questions, and submit ideas

**Available FREE! for iPhone and Android!**  
Download in the App store or Google Play

**How to Get Started:**

1. Go to your app store and find First Transit Connect.
2. Click *Get* or *Install* to download.
3. Open the app and register. (*Hint: Register is at bottom of screen. Your employee ID is on the right side of your paycheck or stub. You can also find it on your pay statement on the ADP self-serve website.*)
4. Once you've registered, you have access to all the features on First Transit Connect!

**Download today and get connected!**

Search your app store for **First Transit Connect** or ask your manager for more information  
Need More Help? Email us at [FirstTransitConnect@firstgroup.com](mailto:FirstTransitConnect@firstgroup.com)

Download on the **App Store**

GET IT ON **Google play**

## Additional Information

### Supporting Documentation



*Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.*

Documentation related to the implementation of this SMS; the programs, policies, and procedures used to carry out this ASP; and the results from its SMS processes and activities will be maintained for three years after creation. They will be available to the FTA or other Federal or oversight entity upon request.

Numerous standard operating procedures (SOP's), in addition to those mentioned in this plan, have been developed and incorporated into the operating practices at each First Transit location.

The SOP's have been designed to create operational consistency, increase awareness of risks and hazards, and provide easily duplicated processes for identifying and mitigating the risks associated with providing transit service. Some of those SOP's are as follows.

- High Interest Driver SOP's #206; #206a; #206b; #206b1; #206c
- SOP #207 - Railroad Crossing Assessment
- SOP #502 – Sub-Contractors Working on Company Property
- Fire Prevention Plan SOP's #902; #902a; #902b; #902c; #902d
- Winter Safety – Snow Removal Action Plan SOP's #505; #505a; #505b; #505c
- Vehicle Fueling Spill Control SOP's #506; #506a; #506b; #506c; #506d
- SOP #507 - Pedestrian Visibility and Movement on Company Property
- SOP # 508 - Service Truck & Service Vehicle Visibility
- Emergency Action Plan SOP's #807; #807a; #807b; #807c
- First Transit Shop Safety Handbook
- Safety & Security Planning Manual

## Definitions of Special Terms Used in the Safety Plan

Term	Definition

## List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
<b>ARC</b>	Accident Review Committee
<b>BTW</b>	Behind-the-Wheel



<b>DOT</b>	Department of Transportation
<b>DUI</b>	Driving Under the Influence
<b>DWI</b>	Driving While Intoxicated
<b>ESC</b>	Executive Safety Committee
<b>FGA</b>	First Group America
<b>F.O.R.M.</b>	First Occupational Rehabilitation Management
<b>FTA</b>	Federal Transit Administration
<b>HR</b>	Human Resources
<b>LGM</b>	General Manager
<b>LOTO</b>	Lock-Out/Tag-Out
<b>LSM</b>	Location Safety Manager
<b>MNT</b>	Maintenance
<b>OPS</b>	Operations
<b>OSHA</b>	Occupational Safety & Health Administration
<b>PPE</b>	Personal Protective Equipment
<b>PRM</b>	Performance Review Management
<b>SMS</b>	Safety Management System
<b>SOP</b>	Standard Operating Procedure
<b>SRC</b>	Safety Resource Center
<b>SST</b>	Safety Solutions Team
<b>UK</b>	United Kingdom
<b>VP</b>	Vice President



## Appendix A: First Transit Safety Policy

### Safety Management Policy Statement

#### Introduction

Global in scale and local in approach, First Transit is an organization which combines a robust corporate structure with strong customer-centric, local operations. Throughout the company, our focus is conducting our business in a way that aligns with our core values:

- Committed to our customers
- Dedicated to Safety
- Supportive of Each Other
- Accountable for Performance
- Setting the Highest Standards

We believe these values to be essential components in our aim to achieve ZERO safety events, resulting in ZERO harm to our customers, our employees, our shareholders, and the environments in which we operate. First Transit's Safety Management System (SMS) encourages all First Transit employees to replace risky behaviors and thought processes that jeopardize safety in the workplace. Through the program, we are striving to build a cultural identity that is continually focused on safety. First Transit has adopted the core philosophy of, ***"Think Safe, Act Safe, BeSafe"***

#### Safety Management Policy

At the core of First Transit's mission is the commitment to protecting the safety and well-being of our passengers and employees. Our ***"Be Safe"*** program is the foundation of First Transit's Safety Management System (SMS) with three clear objectives:

1. To make progress on our way to "Zero Harm"
2. To make safety a personal core value through behavior change
3. To improve business performance

***"Be Safe"*** – the driving force behind First Transit's Safety Management Policy - focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement. All employees are empowered to report unsafe acts and working conditions without fear of reprisal.



## Safety Management Policy Statement

The guiding principles that drive First Transit's SMS program are:

- **Knowledge:** Our greatest efforts will be directed at the key safety behaviors that will help reduce incidents.
  - **Recognition:** While not ignoring actions that undermine safety, the focus will be on acknowledging colleagues "doing it right" and positively reinforcing these actions.
  - **Openness:** Regular positive coaching interactions, or "touchpoints" will take place and communication at "debriefs" will be open and honest.
  - **Learning:** Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.
- Courage:** We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

Performance improvement in all aspects of First Transit's operations is based on four key elements: *Leadership and Engagement*; *Risk Reduction*; *Safety Management*; and *Performance Management*. Each element includes safety as a top priority.

**Leadership and Engagement** depends upon honest and open communication from all employees; data collection from which critical decisions are formulated that impact daily, short term, and long-term operations; resource management; and future direction of First Transit.

**Risk Reduction** includes our comprehensive audit and inspection regime; hazard identification and reporting; continuous training and safety campaigns; employee safety evaluation reporting programs and procedures; employee and management observation of operations; and compliance assurance of FTA, DOT, and OSHA safety and operating requirements and recommendations.

**Safety Management** at First Transit has many forms; including Safety Solution Teams, Accident Review Committees, Local Client Liaison Committees at each local operation; the corporate Safety Department which gathers, analyzes, and communicates the safety information throughout the organization; and enforces policies and procedures to ensure all employees are conducting their business in the safest manner possible.





## Safety Management Policy Statement

**Performance Management**, the final key element, uses many Key Performance Indicators relating to safety to evaluate First Transit's progress toward Zero safety events. Daily reports; monthly location scorecards; the Critical Activity Record Entry program which captures and compares safety data monthly; major events calls, which alerts management in real time of safety events; and regular calls and meetings between mid-level and upper management to review safety concerns; are a sampling of the tools employed to ensure that safety is first and foremost in everything we do.

### Ongoing Company-Wide Commitment

As President of First Transit, I know our commitment and passion for safety runs far deeper than the words contained in this policy statement. While our roles may vary, everyone in our organization, from the highest levels of management to the employees on the street, has a responsibility for their own safety as well as the safety of colleagues and customers; and to perform the daily tasks of providing public transportation in as safe a manner as possible.

We at First Transit depend on every member of our team to do everything possible to protect our resources and environment from harm, now and into the future. We take great pride in this responsibility and our ability to meet these expectations.

Sincerely,

Bradley A. Thomas

President