

**MOTION:**

**SECOND:**

**RE:               ENDORSE THE POTOMAC AND RAPPAHANNOCK TRANSPORTATION COMMISSION  
PUBLIC TRANSPORTATION AGENCY SAFETY PLAN**

**ACTION:**

**WHEREAS**, the Federal Transit Administration (FTA) published a Public Transportation Agency Safety Plan (PLAN) Final Rule in July 2018 that requires public transportation systems that are recipients of federal financial assistance under the Urbanized Area Formula Program to develop safety plans; and

**WHEREAS**, the Plan must address requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan; and

**WHEREAS**, the Final Rule is applicable to Potomac and Rappahannock Transportation Commission ("PRTC" and "Commission") as a recipient of Urbanized Area Formula Program financial assistance; and

**WHEREAS**, PRTC's Plan meets all of the requirements of the Final Rule and has been reviewed by PRTC's legal counsel; and

**WHEREAS**, FTA requires PRTC to certify the Plan has been developed and will be implemented; and

**WHEREAS**, staff is recommending the Commission endorse the Plan and authorize staff to submit the required documentation to FTA.

**NOW, THEREFORE, BE IT RESOLVED** that the Potomac and Rappahannock Transportation Commission does hereby endorse the PRTC Public Transportation Agency Safety Plan and authorizes staff to submit the required documentation to FTA.

**Votes:**

**Ayes:**

**Abstain:**

**Nays:**

**Absent from Vote:**


**Alternate Present Not Voting:**


**Absent from Meeting:**



September 24, 2020

TO: Chair Franklin and PRTC Commissioners

FROM: Byren Lloyd   
Manager of Safety and Security

THROUGH: Robert A. Schneider, PhD   
Executive Director

SUBJECT: Endorse the Potomac and Rappahannock Transportation Commission Public Transportation Agency Safety Plan

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Recommendation:

Endorse the Potomac and Rappahannock Transportation Commission (PRTC) Public Transportation Agency Safety Plan, which is a newly enacted requirement of the Federal Transit Administration (FTA).

Background:

In July 2018, FTA published the Public Transportation Agency Safety Plan (the "Plan") Final Rule (49 C.F.R. Part 673), which requires all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307) to develop safety plans based on the Safety Management System approach to help ensure public transportation systems are safe nationwide. The Plan has the following elements:

- Documented processes and procedures for the Safety Management System, which includes safety management policy, safety risk management, safety assurance, and safety promotion
- Safety performance targets based on criteria established under the National Public Transportation Safety Plan
- Addresses requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan
- Documented process and timeline for conducting an annual review and update of the Plan

Chair Franklin and PRTC Commissioners

September 24, 2020

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Originally FTA required transit agencies to have a PLAN in place by July 20, 2020. Due to the COVID-19 pandemic, the deadline was extended to December 31, 2020. Additionally, FTA requires transit agencies to provide annual certification the Plan is in place and has been updated at least annually.

PRTC's Plan satisfies all of the requirements of the Final Rule and has been reviewed by legal counsel.

Fiscal Impact:

NA

## Potomac and Rappahannock Transportation Commission Public Transportation Agency Safety Plan

### 1. Transit Agency Information

<b>Transit Agency Name</b>	Potomac and Rappahannock Transportation Commission (PRTC)		
<b>Transit Agency Address</b>	14700 Potomac Mills Road, Woodbridge, Virginia 22192		
<b>Name and Title of Accountable Executive</b>	Robert A. Schneider, PhD, Executive Director		
<b>Name of Chief Safety Officer or SMS Executive</b>	Byren Lloyd, Manager of Safety and Security		
<b>Mode(s) of Service Covered by This Plan</b>	Fixed Route Bus and Paratransit	<b>5307, 5337, 5339</b>	
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	Fixed Route Bus and Paratransit		
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	Yes	No <b>X</b>	<b>Description of Arrangement(s)</b>
<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	NA		

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

<b>Name of Entity That Drafted This Plan</b>	PRTC and First Transit, Inc.	
<b>Signature by the Accountable Executive</b>	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
<b>Approval by the Board of Directors or an Equivalent Authority</b>	<b>Name of Individual/Entity That Approved This Plan</b>	<b>Date of Approval</b>
	PRTC Board of Commissioners	October 1, 2020

<b>Certification of Compliance</b>	<b>Relevant Documentation (title and location)</b>	
	RES 20-10-TBD, approving the Public Transportation Agency Safety Plan (PTASP), is maintained on file by the Clerk of the PRTC Board of Commissioners	
	<b>Name of Individual/Entity That Certified This Plan</b>	<b>Date of Certification</b>
	Potomac Rappahannock Transportation Board of Commissioners	September 3, 2020
	<b>Relevant Documentation (title and location)</b>	
	PRTC Resolution 20-10-TBD. This document is maintained on file by the Clerk of the PRTC Board of Commissioners.	

<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan.</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
Version 1	All pages	Original PTASP	October 1, 2020

<b>Annual Review and Update of the Public Transportation Agency Safety Plan (PTASP)</b>
<i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i>
The Manager of Safety and Security will conduct an annual review of the PTASP in conjunction with contracted operations manager(s) and the Safety and Security Group by July 1 of each year. The Executive Director (Accountable Executive) will review and approve any changes then present it to the PRTC Board of Commissioners for approval and adoption, as required.

### 3. Safety Performance Targets

Performance targets are based on the previous year's safety performance data. All modes of transit services are calculated together.

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 (VRM/Failures)
Fixed-Route and Paratransit	0	0	12	0.25	185	3.8	7,500

#### 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.*

Performance targets will be provided to the National Capital Region Transportation Planning Board (TPB). PRTC staff participates in the TPB Technical Sub-Committee where performance measures for both asset management and safety are agreed upon.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	NA	NA
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	National Capital Region Transportation Planning Board	August 24, 2020

#### 4. Safety Management Policy

##### Safety Management Policy Statement

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

**Company policy:** Safety is a core value at PRTC and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the general public. PRTC is committed to the following safety objectives:

- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, including managers and supervisors.
- Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through PRTC's Employee Safety Reporting Program (ESRP)
- Providing appropriate management involvement and the necessary resources to establish an effective ESRP that will encourage employees to communicate and report any unsafe working conditions, hazards, or at-risk behavior through the ESRP.

- Identifying hazardous and unsafe work conditions and analyzing data from the ESRP. After thoroughly analyzing provided data, under the leadership of the Manager of Safety and Security, the safety and security group will develop processes and procedures to mitigate safety risks to an acceptable level.
- Establishing safety performance targets that are realistic, measurable, and data driven. Continually improve our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

PRTC will employ, on or before November 1, 2020, an agency-wide safety concept, “**Stay Alert**”. The purpose of Stay Alert is to reduce collisions, injuries, and provide a safe workplace. As part of this process, employees of all levels will be encouraged to initiate reports of safety hazards or any unsafe condition. When a report about a safety concern is filed, it will be promptly investigated by the Safety and Security Group, a timeline of events will be created, and a follow-up with the reporting employee regarding the resolution of the report will be done. A monthly report containing safety issues reported, investigation details, and resolutions will be provided to the Executive Safety Committee.

PRTC will not retaliate against any employee or contractor 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 regulations or laws.

To ensure that each employee understands and performs their job functions in the Stay Alert manner, the **Stay Alert Principals** will be issued to each employee and refresher training will be conducted on an annual basis.

The Stay Alert Principles provide the basic fundamentals about working safely in our workplace and in our vehicles. All PRTC employees and contractor employees are expected to adopt these principles and put them into practice every day. Together, a safe work environment which is free from injury to each other and our passengers is created.

All employees will be trained and instructed to stop work immediately and advise management of issues preventing them from working safely and what would be required to perform the task safely.

The Stay Alert 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 harm to the environment.
  - Record and report all hazards and unsafe acts
- **Perform all necessary safety checks and risk assessments of the work area, projects and job activity before any work begins.**
  - Speak to management before work is started if unsure of the required safety and risk assessments.
- **Follow all safety procedures and instructions.**
  - If these are not understood, speak to management before work begins.
- **Keep work area clean and neat at all times.**
  - Unclean and messy areas could cause injury to the employee or their coworkers or guests.

- **Wear personal protective 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.
- **Adjust and repair only the work equipment that you are authorized to do so and have been provided proper training on.**
  - 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).
- **Use the ESRP to submit suggestions to prevent accidents and injuries in the workplace**
  - Note suggestions made and discuss with management.

Additionally, PRTC has setup the following committees, groups, and expectations for all employees:

**Executive Safety Committee:** Consist of the Executive Director, Manager of Safety and Security, and Department Directors. This group is accountable for preventing workplace incidents. The Executive Safety Committee will provide top-level support to safety program initiatives. The group will consider all employee suggestions for achieving a safer and healthier workplace. The committee will also keep all employees informed about workplace safety and health hazards, and it will regularly review the agency's safety and health programs/plans.

**Safety and Security Group:** The safety and security group includes agency and contracted services management and employee representatives from each department. The group is responsible for recommending safety and health improvements in the workplace. The agency's Safety and Security Group is responsible for assisting with training employees in safe work practices. The group is also responsible for identifying hazards and unsafe work practices, removing obstacles to incident prevention and helping the organization evaluate the accident and illness prevention program(s).

**Employees:** All employees are expected to participate in safety and health program activities including the following: reporting hazards, unsafe work practices, and accidents immediately to their supervisors, wearing required PPE, and participating in, and supporting, safety committee activities.

PRTC believes that working safely promotes work place safety, productivity, and quality of working environment for all employees. Prevention of safety incidents such as vehicle collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, ensuring employees receive 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, employees, and the public.



SIGNED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

EXECUTIVE DIRECTOR

### **Safety Management Policy Communication**

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

The two-way communication between management and employees on health and safety issues is essential to an injury-free, productive workplace. The following system of communication is designed to facilitate a continuous flow of safety related information between management and employees that is easily understood and consists of the following items:

- PRTC's Manager of Safety and Security conducts an orientation for new employee that includes a discussion of safety, security, and health policies and procedures.
- PRTC's Manager of Safety and Security will conduct or coordinate additional workplace safety and health training annually and on an as needed basis.
- Quarterly safety meetings with staff, conducted by the Executive Director and/or the Manager of Safety and Security.
- Posting and distributing safety information on digital message boards and via email to all staff.
- The ESRP should be used to report safety hazards and concerns. Alternatively, employees could use the suggestion box to report concerns if they wanted to remain anonymous.

### **Communication of Safety Concerns**

The PRTC Safety and Security Group is at the center of the safety communication process and is responsible for compiling safety reports to include the following:

- Accident and injury data for the previous month
- Security incident data
- Safety and security audit data and recommendations
- Safety and Security Group meeting minutes
- Near miss and hazard reporting
- Reported safety concerns, the resulting investigation and resolutions

This group reports directly to the Executive Safety Committee providing updates on safety issues and priorities and hazard management through written reports and in-person meetings. The Safety and Security Group also meets with the service contractor management staff, which includes Operations, Maintenance, Safety Managers, and General Manager to collaborate and discuss safety issues or concerns. All approved solutions and recommendations are communicated back to staff during departmental meetings, digital messaging boards, via email, and during quarterly meetings.

PRTC's Manager of Safety and Security and the Quality Assurance team participates in the service contractor's Safety Solutions Team (SST) meetings to discuss safety issues and priorities, hazard management, and to communicate safety-related information across all departments.

Under the direction of the Executive Director, the Manager of Safety and Security has the authority to require corrective actions be implemented to mitigate or correct conditions determined to be unsafe or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of vehicles. All such instances will be reviewed with the Executive Director in a timely manner.

PRTC has an in-depth safety review process that is used for the identification of potential hazards, assessment of risks, and the readiness and effectiveness of risk control measures. The Safety Review Process ensures the safety for employees, customers, and the general public.

Safety Review Process	
<u>Category</u>	<u>Description</u>
Scope of Safety Reviews	Agency receives a review every quarter.
Review Format	Focused on in-service and facility safety review, which includes a balance of safety policies and procedures compliance assurance, as well as, identifying specific risks and monitoring overall safety performance.
Findings and Follow-Up	<p>Action plans are developed in conjunction with the safety and security committees and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked to completion.</p> <div data-bbox="855 1323 1281 1619"> <p><b>Strong</b></p> <p><b>Highly Effective</b></p> <p><b>Some Improvement Needed</b></p> <p><b>Much Improvement Needed</b></p> </div>
Escalation Process	All review/audit results will be escalated to the Executive Safety Committee.
Results	Results and action items are shared with the agency management and operators' contractor management, and PRTC Commission, as warranted

Executive Safety Committee meetings are routinely held to provide an opportunity for each Department Director to share their concerns and progress in the area of safety. Recommendations are considered and necessary changes are implemented. All safety and security complaints are addressed as soon as possible.

Safety meetings are conducted in the following formats:

Executive Safety Committee (ESC) Meetings:

- Conducted on a monthly basis
- Consists of Executive Director, Manager of Safety and Security, Department Directors
- Discussions include safety performance, trend analysis, program oversight

Safety and Security Group Meetings:

- Conducted on a monthly basis
- Consists of representatives of all departments within the agency
- Discussions include safety performance, trend analysis, standard operating procedures (SOPs), training requirements, audits, and safety oversight

Safety Solutions Team Meetings:

- Conducted on a monthly basis
- Consists of contracted management for operations, safety and training, and maintenance, Road Supervisors, PRTC Quality Assurance staff, and the Manager of Safety and Security.
- Discussions include review of accidents, incidents, training, and safety awareness.

Agency All-Hands Safety and Security Meetings:

- Conducted on a quarterly basis
- Consists of all agency staff
- Discussions include review of safety concerns, training, and safety and security awareness.

***Employee Safety Reporting Program***

**Overview**

PRTC requires employees to report safety and security accidents and incidents with the exception of accidents or incidents that involve only very minor injuries such as small superficial cuts, non-extensive bruises and do not require first aid or medical attention. However, PRTC encourages employees to report all accidents and incidents no matter how minor they may seem. Accidents or incidents that involve more severe injuries are to be reported immediately.

Employees are required to report any of the following:

- Fatalities
- Injury to the head, skull and/or face
- Damage to any of the senses (e.g. partial or complete loss of hearing, sight etc.)
- Incapacitation or dislocation of limbs that hinder functionality and movement (including paralysis and amputation)
- Injury to the skin (e.g. severe burns, bruises or cuts)
- Blows or injuries to the spine, back and/or ribs
- Poisoning
- Contamination from hazardous substances or transmission of diseases

- Any other injury that requires medical attention or hospitalization

Employees are required to report occurrences that may not have involved injuries or victims, but could be potentially dangerous in that respect if repeated. These include, but are not limited to:

- Explosions
- Slippery surfaces
- Water or gas leaks
- Inadequate insulation of electric circuits
- Collapses of walls, ceilings etc.
- Breaking of window glasses or frames
- Unsafe acts by employees, guests, or customers
- Suspicious activity

**Procedure:**

**Employees**

- Any employee that witnesses or is involved in an accident, unsafe activity, or any dangerous incident, must immediately report it to their direct Supervisor. The employee's Supervisor must report the incident to the Manager of Safety and Security and Human Resource (HR) department.
- Any employee injured must properly report the incident. See Attachment A "Procedure for Reporting Workplace Injuries" and "In the Event of a Workplace Injury".

**Managers**

- Once an employee reports an accident or incident to management, an investigation will be conducted by HR and the Manager of Safety and Security.
- Depending on the incident, official forms may have to be completed and submitted.
- The accident/incident and any sustained injuries must be recorded in the accident/incident database, by the Manager of Safety and Security
- After the investigation of the employee's report is complete, the immediate supervisor, HR Department, or the Manager of Safety and Security will provide the employee with feedback.

**Disciplinary Actions:**

All employees are required to comply and are responsible for reporting all safety hazards that may affect the integrity of the agency's safety.

PRTC may take disciplinary action in accordance with the PRTC Personnel Policy, Chapter XIII, Rules of Conduct if an employee violates the policy. Review Chapter XIII for more information. Consideration may be given to lessening or waiving disciplinary action for employees who self-report policy violations. Examples of policies related to safety include, but are not limited to:

- Neglect or carelessness in observation of PRTC or departmental safety rules or disregard of common safety practices (such as improper driving, etc.)
- Creating or contributing to unsanitary conditions or unsafe conditions
- Failure to report any work related personal injury, auto, or equipment damage to one's immediate supervisor as soon as possible
- Failure to use or wear proper safety equipment as required (such as seat belts in staff cars)
- Reporting for work while intoxicated, or under the influence of intoxicants or drugs
- Reckless driving of vehicles and/or reckless operation of equipment while on PRTC business.

### **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).*

<b>Accountable Executive</b> (PRTC's Executive Director)	<ul style="list-style-type: none"> <li>• Responsible for the agency's PTASP compliance and implementation</li> <li>• Responsible for the agency's Transit Asset Management (TAM) plan</li> <li>• Decision-making about resources (e.g. staff and funds) to support asset management, SMS activities, and capital investments</li> <li>• Signing SMS implementation planning documents</li> <li>• Endorsing SMS implementation team membership</li> </ul>
<b>Chief Safety Officer or SMS Executive</b> (PRTC's Manager of Safety and Security)	<ul style="list-style-type: none"> <li>• Direct line of communication and reporting of safety and security incidents to the Executive Director</li> <li>• Responsible for conducting the PTASP annual review</li> <li>• Developing and maintaining SMS documentation</li> <li>• Directing hazard identification and safety risk assessment</li> <li>• Monitoring safety risk mitigation activities</li> <li>• Providing safety performance reports</li> <li>• Briefing the Board of Commissioners on SMS implementation progress as necessary</li> <li>• Conducting or coordinating safety management training for employees</li> </ul>
<b>Agency Leadership and Executive Management</b>	<ul style="list-style-type: none"> <li>• Complete training on SMS and PRTC's 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 including investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness</li> </ul>

<b>Key Staff</b>	<ul style="list-style-type: none"> <li>• Responsible for the day-to-day safety and security monitoring</li> <li>• Support the development, implementation, and day-to-day operation of the agency's SMS</li> <li>• Participates in Safety Assessments</li> </ul>
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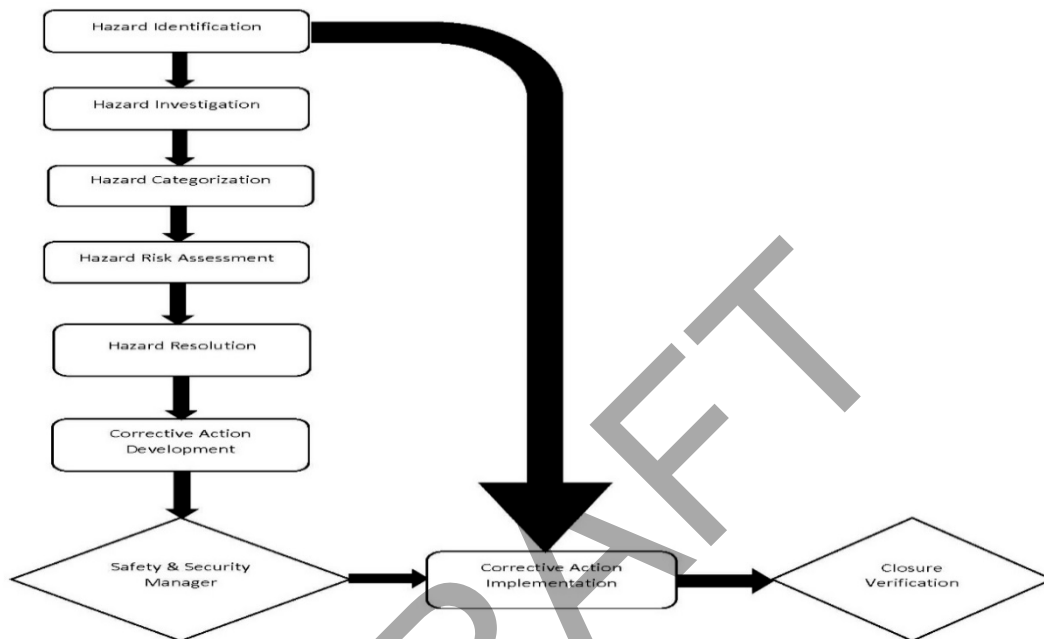
## 5. Safety Risk Management

### **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

All employees are responsible for performing their duties 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.



## Safety

### Hazard Identification

Identification of hazards will be accomplished through a cooperative effort between management, supervisors, and employees. Responsibility and accountability for effective hazard identification will be placed on all employees, at all levels. The process employed will include:

1. Daily observations by PRTC and service contractor staff.
2. Monthly inspections of the shops, yards, storage areas, equipment, and office areas.
3. Periodically analyzing road and traffic conditions.
4. Weekly inspections of safe driving, pre/post trip inspections, and maintenance records conducted.
5. Quarterly inspections of shops, yards, storage areas, equipment, office areas, safe driving trends and maintenance records performed by PRTC's Manager of Safety and Security.



6. Each department representative in the agency's Safety and Security Group, is responsible for conducting regular audits of their departments to ensure that their departments are free from safety hazards.

This process is a vital component in PRTC's efforts to reduce safety risks, maintaining a safe working environment for employees, and improve overall delivery of service. 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.

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

- Identify Critical Factors in Hazard Resolution
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance, as needed
- Audit for Compliance

#### **Safety Risk Assessment**

Once a hazard has been identified, it is categorized into the severity levels listed below. 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 and office conditions are such that human error, design deficiencies, subsystem or component failure, or procedural deficiencies may cause death or major system loss and requires immediate termination of the unsafe activity or operation.

**Category 2 – Critical:** operating and office 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 requires immediate corrective action.

**Category 3 – Marginal:** operating and office 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 and office conditions are such that human error, subsystem, or component failure or procedural deficiencies may result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to determine the probability of it occurring. Probability is determined based on the analysis of the agency's transit system and office operating experience, evaluation of PRTC safety data, the analysis of reliability and failure data, and/or from historical safety data from other similar agencies. The following chart describes the probability categories.



Probability of Occurrence of a Hazard			
Description	Probability Level	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 (e.g., schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Catastrophic	Severity Critical	Severity Marginal	Severity Negligible
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 historical data, the following are the 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 bus and office operations 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 PRTC's Executive Director and Manager of Safety and Security issue a documented decision to manage the hazard until resources are available for full mitigation.
- **Acceptable with review:** The Executive Director and Manager of Safety and Security 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.

### ***Hazard Resolution/Mitigation***

Safety hazard resolution or mitigation 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 hazard resolution process are to:

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

PRTC 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.

## 6. Safety Assurance

Safety Performance Monitoring and Measurement
<p>Through our Safety Assurance process, PRTC:</p> <ul style="list-style-type: none"> <li>• Evaluates compliance with operations and maintenance procedures to determine whether our existing policies and procedures are sufficient to control safety risk.</li> <li>• Assesses the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended.</li> <li>• Investigates safety events to identify causal factors.</li> <li>• Analyzes information from safety reporting, including data regarding safety failures, defects, and conditions.</li> </ul>
<p><i>Describe activities to monitor the system for compliance with procedures for operations and maintenance.</i></p>
<p>PRTC has multiple processes in place to monitor the entire transit system for compliance with operations and maintenance procedures, including:</p> <ul style="list-style-type: none"> <li>• Safety audits</li> <li>• Random inspections</li> <li>• Review of onboard service vehicle camera footage to assess operator performance and specific incidents</li> <li>• Safety surveys that are distributed to all staff</li> <li>• Investigation of safety event occurrences</li> <li>• Safety review prior to the launch of new service or modification of any existing service</li> <li>• Daily data gathering and monitoring of data related to the delivery of service</li> <li>• Regular vehicle inspections and preventative maintenance</li> </ul> <p>Results from the above processes are compared against recent performance trends, quarterly and annually by the Manager of Safety and Security to determine where corrective action may need to be taken. The Manager of Safety and Security enters any identified non-compliant or ineffective activities, including mitigations, into the Safety Risk Management process for re-evaluation by the Safety and Security Group.</p>
<p><i>Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.</i></p>
<p>PRTC's bus services contractor employs Road Supervisors, Dispatchers, and Instructors; all of whom are responsible for oversight of the daily operations, maintenance, and training. PRTC employs Quality Assurance staff who are responsible for monitoring the operations, maintenance, and safety conditions. All safety risks identified are reported to the Bus Service contractor's General Manager and PRTC's Manager of Safety and Security. Any risks that can be addressed at the time it is observed are corrected, but still reported. The Safety Solutions Team (SST), described in Section 5: Safety Risk Management of this plan, uses the following methodologies to ensure a proactive approach to safety at each location:</p> <ul style="list-style-type: none"> <li>• Routine hazard management</li> <li>• Accident and incident investigation</li> <li>• Safety data collection and analysis</li> <li>• Routine internal safety audits</li> </ul>

- 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 PRTC's Safety and Security Group, which includes representatives from each agency department. From this level, any identified risks and mitigations are shared with staff and management as a proactive means to reduce risks.

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

PRTC 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
- an employee is injured

Additionally, PRTC conducts the following safety assurance activities regularly and thoroughly, in order to identify casual factors:

- Safety audits and inspections, conducted monthly and quarterly
- Creation of meaningful safety data (such as safety performance targets)
- Employee safety performance monitoring through our Quality Assurance Monitoring program. See Attachment B Section "Monitor of Employees, Operations, and Service"
- Policies and procedures documentation review on an annual basis
- Goals and objectives monitoring

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

The Safety and Security Group routinely reviews all safety and hazard data, from various sources including:

- Customer Complaints
- Employee Reporting
- Operator and Road Supervisor Reports
- Contractor Reports

During this process the Safety and Security Group searches for repetitive events that might have safety implications. While assessing accident/incident reports the Safety and Security Group investigates trends to determine performance and root causes.

Other sources of safety information to support safety performance monitoring and measurement may include:

- Random inspections which focuses on the integrity of the organization's SMS and its supporting systems.
- All staff safety surveys that examine procedures or processes related to safety and security.

### Management of Change

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

PRTC employs a proactive process to evaluate the risk of any change proposed at all levels of the organization. The overall purpose of this process is to provide assurance that the proposed changes will not increase safety risks. The process is conducted prior to the changes being implemented.

Changes to organizational structure, the nature or extent of operations, or to facility or equipment assets 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.
- 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 the safety validation applied to any change proposal is proportional to the risks (safety, operational, and other) associated with its introduction. For example, a major change (**Category A**), such as a reorganization of staff roles and responsibilities or start-up of a new service or the opening of a new facility, requires a more rigorous safety validation than a minor change.

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

Additional responsibilities in the Safety Validation of Change process include:

- The Safety and Security Group provides safety expertise and/or support to those carrying out the safety validation.
- The Manager of Safety and Security:
  - Decides on the level of safety validation required (consulting with Department Directors as necessary) for Category A changes
  - Is consulted on any Category B change proposal
  - Reviews and approves each Department's safety validation of change process
  - Provides safety expertise and/or support to Department Directors

An electronic log of all proposed changes, whether approved or not, is maintained by the Manager of Safety and Security.

Communication of changes to policies and/or procedures regarding safety issues comes from the executive leadership. The Safety and Security Group supports and reinforces this effort by speaking

with staff members to make sure they fully understand the change and addressing any concerns they may have.

### **Continuous Improvement**

*Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.*

PRTC uses a 3-step approach for assessing safety performance.

- Monitor performance and progress
- Verify the safety program has been implemented and is operating correctly
- Correct deficiencies and identify opportunities to improve the safety program

#### **Monitor Performance and Progress**

- Develop and track lagging indicators of progress toward established safety goals, such as:
  - Number and severity of injuries and illnesses
  - Number of vehicle accidents
  - Number of employee hazardous exposures
  - Workers' compensation data, including claim counts, rates, and cost
- Develop and track leading indicators, such as:
  - Level of employee participation in program activities
  - Number of employee safety suggestions
  - Number of hazards, near misses, and first aid cases reported
  - Amount of time taken to respond to reports, complaints or concerns
  - Number and frequency of management conducted assessments
  - Number and severity of hazards identified during inspections
  - Number of employees who have completed required safety and health training
  - Number of work days it took to implement corrective actions after a workplace hazard has been identified or an incident occurs.
  - Timely completion of planned preventive maintenance activities
  - Employee opinions about program effectiveness obtained from a safety survey
  - Analyze performance indicators and evaluate progress over time.

#### **Verify the Program has been Implemented and is Operating Correctly**

Quarterly and annually, the Manager of Safety and Security will evaluate the program to ensure it is operating as intended, is effective in controlling identified hazards, and is making progress toward the established safety goals and objectives. The scope and frequency of the evaluations are subject to change, based on past performance measures and/or industry standards.

The Manager of Safety and Security will:

- Verify that the core elements of the program have been fully implemented
- Involve employees in all aspects of program evaluation, including:
  - reviewing information (such as incident reports)
  - establishing and tracking performance indicators



- identifying opportunities to improve the program
- Verify that the following key processes are in place and operating as intended:
  - Reporting injuries, illnesses, incidents, hazards, and concerns
  - Conducting workplace inspections and incident investigations
  - Tracking progress in controlling identified hazards and ensuring that hazard control measures remain effective
  - Collecting and reporting any data needed to monitor progress and performance
  - Review the results of compliance audits to confirm that program flaws are being identified and that actions are being taken that will prevent recurrence

#### **Correcting Defects and Identify Opportunities to Improve**

If a problem is identified in the safety program, managers, supervisors, and employees will take prompt action to correct the problem and prevent its recurrence.

If there are defects found, the following actions will be done to correct them:

- Proactively seek input from managers, employees, supervisors, and other stakeholders on how to improve the program.
- Determine whether changes in equipment, facilities, materials, key personnel, or work practices trigger any need for changes in the program.
- Determine whether the established performance indicators and goals are still relevant and, if not, make adjustments aimed at improving safety.
- Share results with employees and invite their input on how to further improve performance.
- Discuss experiences with other transportation agencies and share lessons learned.

## **7. Safety Promotion**

### **Competencies and Training**

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

PRTC's agency-wide safety training program applies to all employees, including contracted employees.

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

Administrative safety-related training requirements include:

Basic training requirements for PRTC and contractor employees, including frequencies and refresher training, are documented in PRTC's Safety Training Matrix and the service contractor's Employee Handbook.

PRTC administrative safety-related training includes the following:

- New-hire safety orientation, which includes providing all safety policies and attending a safety walkthrough of the building.
- Additionally, all new employees must take the following virtual and/or in-person safety courses within the first 90 days of their employment:

- Cyber Security
- Employee Safety Awareness
- Hazard Communication
- Job Safety Analysis

Operations safety-related skill training includes the following:

- New-hire bus vehicle operator classroom and hands-on skill training
- Bus vehicle operator refresher training
- Bus vehicle operator retraining (recertification or return to work)
- Classroom and on-the-job training for dispatchers
- 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:

- 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

PRTC's Executive Director, agency leadership, and executive management team shall complete FTA's SMS Awareness online training.

In addition to PRTC's formal employee training program, the following activities are also conducted to increase safety awareness:

#### **Safety Meetings**

- Monthly safety meetings are conducted with a focus on varying safety campaigns and on topics identified by the Safety and Security Group, the bus service contractor's regional safety management, and employees.
- Each meeting is to be a minimum of one (1) hour in length
- Attendance is mandatory for all bus service contractor operators, management, operational staff, and maintenance personnel.
- Quarterly safety and security meetings are conducted with safety topics, identified by the Executive Safety Committee, the Safety and Security Group, and employees.

#### **Safety Communication**

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

PRTC's Manager of Safety and Security, Human Resource Department, and the contracted Safety and Training Manager coordinates PRTC's safety communication activities for the SMS. PRTC's activities focus on the three categories of communication:

- **Communicating safety and safety performance information throughout the agency:** PRTC communicates information on safety and safety performance in its quarterly newsletter, on digital employee information screens located throughout the facilities, during monthly operations meetings, and during quarterly all-staff meetings. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact PRTC's service or safety performance, and



updates regarding SMS implementation. PRTC also requests information from all staff during these meetings, which is recorded in meeting minutes. Finally, PRTC's Human Resources Department and the Manager of Safety and Security regularly posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms, advertises safety messages and promotes 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, PRTC distributes safety policies and procedures to all employees. PRTC provides training on these policies and procedures and discusses them during safety discussions between supervisors, staff, bus operators, and vehicle maintenance technicians. For newly emerging issues or safety events at the agency, PRTC's Manager of Safety and Security issues 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 to the Safety Department:** PRTC provides targeted communications to inform employees of safety actions taken in response to reports submitted, including handouts and flyers, safety meetings, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

#### 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.*

PRTC will maintain documentation such as the PRTC Quality Assurance Monitoring Program, incident reports, employee surveys and other 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. The results from its SMS processes and activities will be available to the FTA and other Federal or oversight entities upon request.

#### Definitions of Special Terms Used in the Safety Plan

PRTC incorporates 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; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

- **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 sub-recipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or sub-recipient'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 (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** 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** 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** 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.

#### List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
AGM	Assistant General Manager
ESC	Executive Safety Committee
ESRP	Employee Safety Reporting Program
FTA	Federal Transportation Administration
HR	Human Resources
MPO	Metropolitan Transportation Organization
PPE	Personal Protective Equipment
PRTC	Potomac Rappahannock Transportation Commission
Acronym	Word or Phrase
PTASP	Public Transportation Agency Safety Plan
SMS	Safety Management System
SOP	Standard Operating Procedure
SST	Safety Solutions Team
TPB	Transportation Planning Board

## Attachment A



TO: PRTC and VRE Employees

FROM: Becky Merriner, Director of Human Resources

DATE: August 20, 2018

SUBJECT: NEW PROCEDURE FOR REPORTING WORK RELATED INJURIES

To assist injured employees with medical treatment following a work related incident, we are now offering nurse triage and reporting services through CompCare On-Call.

When a workplace injury occurs immediately notify your supervisor, who will provide you with a panel of physicians. Then call CompCare On-Call toll free at **1 (877) 234-0898**. If the supervisor is available, a Register Nurse (RN) will talk to the supervisor first, then to you. If a supervisor/manager is not available, you must call CompCare On-Call directly. The nurse will ask the supervisor to provide you with complete privacy during this call. Your personal medical information will be kept strictly confidential and will not be shared with the supervisor/manager.

You will have the opportunity to speak with a RN who will obtain a history of the injury and with you determine the best treatment option based on the symptoms reported by you. Recommendations can range from simple first aid to recommending you seek treatment by selecting a panel physician or emergency care. However, the ultimate decision regarding treatment is yours.

If you do not want to speak with a nurse, you must still call **1 (877) 234-0898** to report your injury. You will be provided with the option of reporting the injury without nurse assistance.

This service does not replace calling 9-1-1 when immediate medical attention is required.

CompCare On-Call is available 24 hours per day, 7 days per week, 365 days per year.

To summarize, following is the process for reporting a work related injury or illness:

- Immediately notify your supervisor when a work related incident occurs.
- The supervisor will provide you with a panel of physicians and have you sign an acknowledgement of receipt.
- Call toll free **1 (877) 234-0898** – 24 hours a day, 7 days a week, 365 days per year.
- You may speak to a medical professional (RN) and receive triage services when reporting the injury or report the injury to a customer service representative.





## STEP 1

**Injured employee immediately notifies supervisor of incident.**

*Empleado lesionado notifica a su supervisor del incidente.*

**If this is a life or limb threatening injury, immediately dial 9-1-1.**

*Si se trata de una lesión que amenaza la vida o una extremidad, llame inmediatamente al 9-1-1.*

## STEP 2

**Injured employee immediately calls CompCare On-Call.**

*Supervisor & empleado lesionado llamen inmediatamente a CompCare On-Call.*

**1-877-234-0898**

## STEP 3

**VMLIP CompCare On-Call gathers pertinent information and advises the injured employee on appropriate care.**

*CompCare On-Call recopila información pertinente y guía al empleado lesionado a atención adecuada.*

## STEP 4

**VMLIP CompCare On-Call immediately notifies the medical facility if the injured employee is seeking treatment.**

*CompCare On-Call inmediatamente notifica al centro médico si el empleado lesionado está por llegar y envía informes de incidente al empleador.amente al 9-1-1.*

### IMPORTANT:

If the employee is unable or unwilling to call CompCare On-Call, the supervisor must call to report the injury.

### IMPORTANTE:

Por favor llame a CompCare On-Call ante de procurar tratamiento para emergencias ue no constituyan una amenaza a la vida y antes de abandonar el lugar de trabajo cuando sea posible.



**Call 24-Hours**

*Llame las 24-Horas*

**1-877-234-0898**



[www.vmlins.org](http://www.vmlins.org) | 800-963-6800



## **Attachment B**

### **Quality Assurance Monitoring Plan**

#### **Monitoring of Contractor Training Activities**

##### **1. Classroom Training –**

- Consists of direct observation during the classroom instruction per training class.
- Emphasis will be on ensuring that instruction includes the use of current training materials, and instructions are presented in a concise and clearly understandable manner, and that each phase of instruction includes trainee evaluation and trainer feedback.
- Observations are conducted during various phases of the training. This will allow the entire program to be audited.
- Trainee testing materials are reviewed on a semi-annual basis to ensure that they are current.
- All deficiencies are recorded for future references and brought to the attention of management within one week of the audit's completion.
- Subsequent audits will include observation of any previously noted deficiencies with continuous follow-up until a resolution is reached.
- Deficiencies that are present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

##### **2. Bus Service Operating Procedures (BSOP) Training –**

- Consists of semi-annual review of BSOP training module material and written test questions and answers.
- Emphasis will be on ensuring that material is accurate, current and appropriate.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

##### **3. Vehicle Operations Training –**

- Consists of direct observation of operator training once per quarter. Emphasis will be on ensuring a consistent messages on safe operation of vehicles as well as comprehensive training in all aspects of vehicle operation including ,rider amenities and vehicle systems for each type of vehicle in PRTC's fleet.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the audit completion.
- Subsequent audits should include revaluation of any previously noted

deficiencies with continuous follow-up until a resolution is reached.

- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

4. **Route Training/Behind-the-wheel Training –**

- Consists of direct observation of route/behind-the-wheel training once per quarter.
- Emphasis will be on ensuring that instruction includes the use of current materials, and all instructions are presented in a concise and clear manner. Monitor the consistency of messages related to safe vehicle operation, vehicle systems and exposure to unusual travel conditions.
- Each phase of instruction includes trainee evaluation and trainer feedback.
- Consistency of training should also be considered with the goal that each trainer provides the same information to each trainee.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

5. **Refresher Training –**

- Verify the plan for periodic and regular refresher training (**8 Hour yearly refresher for all operations**) for existing operator and Operation staff through direct observation of incidents of such training and review of records that this plan is adhered to.
- Also ensures that a plan exists to address the need for episodic refresher training or re-training of existing employees on an as-needed basis.
- Audit will consist of the review of records of monthly training schedules, attendance at monthly contractor in-service meetings, and ensuring that information provided is current and consistent.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until a resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

6. **Safety Solutions Team–**

- QA Supervisor will serve or appoint another QA staff member to serve on contractor's safety/security team. QA representative is expected to attend all team meetings and participate fully, representing PRTC's interest in all



decisions.

- All deficiencies noted from above monitoring efforts are to be recorded and reported monthly to PRTC's Quality Assurance and Special Projects Manager. Report should include types of deficiencies, number of deficiencies and status of remedial efforts or resolution.

### **Monitoring of Contractor Activities – Vehicle Related**

#### **1. Preventive Maintenance Audit –**

- Consists of a review of maintenance records to ensure that preventive maintenance is being performed in a timely and proper manner. Weekly PM report is submitted by the QA representative for the
- Monitor the daily vehicle roster for disabled bus. This will be conducted to monitor the length of time and frequency a unit is on the list.
- Additional review will occur on an as-needed basis. The additional reviews will be determined by recent experience and performance of maintenance staff. Need for auditing will be indicated by poor performance during one or more third-party audits, negative trends in MBSI, road calls or rider complaints, or other observed or reported conditions.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

#### **2. Third Party Maintenance Audits –**

- All deficiencies are reviewed with the maintenance manager and an action plan is developed to reduce the amount of deficiencies.

#### **3. Heating and Air Conditioning –**

- Consists of review of maintenance records to ensure that seasonal work is performed as dictated by weather conditions.
- Maintenance evaluations will be conducted weekly to verify the performance of the Maintenance department QC staff.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of management with continuous follow-up until resolution is reached.
- Extended or continued deficiencies should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

#### **4. Post-trip Audits –**

- Weekly direct observation of PM pull-in (**minimum of 5 buses**) of operator post-

trip and service lane practices to ensure that proper inspection procedures are being followed.

- Audits should include visual check of vehicle exteriors for cleanliness and/or damage. Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management with continuous Follow-up until resolution is reached.
- Extended or continued deficiencies should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

5. **Pre-Trip Audit –**

- Weekly direct observation of operator pre-trip procedures (**minimum of 5 buses**) during both AM and PM pull-outs to ensure that proper pre-trips are being performed including cycling wheelchair lift/ramp and checking bus kneeling, radio communications and also follow-up cleanliness observations.
- Operators to be observed should be chosen at random and a complete pull-out should be observed.

6. **Vehicle condition audit –**

- Consists of Weekly observation after AM or PM pull-in (**approximately 5 Buses**) to audit interior and exterior vehicle condition focusing on interior cleanliness, body damage, and wheel and back appearance and safety violations.
- All deficiencies noted from above monitoring efforts are to be recorded and reported monthly to PRTC's Quality Assurance and Special Projects Manager. Reports should include types of deficiencies, number of deficiencies and status of remedial efforts or resolution.

**Monitoring of Contractor Records**

1. **Certifications and Licenses –**

- Consists of reviewing record keeping practices. Management information system will be evaluated monthly to ensure that all records for all staff are kept current and that all necessary certifications and licenses for all operators/ mechanics are in good-standing.
- Includes direct observation of operator check-in procedures at least once per month.
- Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

2. **Department of Motor Vehicle Record and Criminal Background Checks –**

- Consists of ensuring that biannual review of all operators' DMV records is performed in a timely manner and review of a report evidencing that the contractor has reviewed the records and taken necessary actions.
- Any personnel actions occurring as a result of these checks should be noted as indication that checks occurred and records were reviewed. Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the completion of the audit.
- Subsequent audits should include observation of any previously noted deficiencies with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

**3. Contractor Ride Along Reviews –**

- Consists of monthly review that mandatory periodic ride along reviews of operators are being performed and recorded properly and fully in the management information system.
- To ensure that this ride along reviews occur in a timely manner monitoring staff may assist as requested by contractor. Any noted deficiencies are to be recorded for future reference and brought to the attention of contractor management within one week of the completion of the audit.
- Audits should include observation of any previously noted deficiencies and safety concerns with continuous follow-up until resolution is reached.
- Deficiencies present beyond a second audit should be brought to the attention of the Quality Assurance and Special Projects Manager for assistance with a resolution.

**Safety Monitoring of Employees, Operations, and Service**

**1. Monitor Service Checks –**

- Ride checks will be performed on a safety review basis. Point checks and follow checks (monitors following in a separate vehicle to observe operator behavior) will be performed on an as-needed basis as determined through received comment, planning requirements and other observed conditions.
- All service checks should include observation and reporting of operational conflicts, bus stop and shelter issues, Timing/schedule issues and any existing road safety hazards or other conditions that may be an operational concern.
- Service check results should be reported through the management information system after completion of each check with serious deficiencies brought to the attention of the Quality Assurance Supervisor for resolution with the contractor.
- NTD samples should be turned in to Quality Assurance and Special Projects Manager if performed manually or processed through the Trapeze software system if performed via hand-held device.

**2. Review and Assessment of Contract Deductions –**

- Consists of daily monitoring of management information system and properly assigning and assessing contract deductions to the contractor in accordance with

contract terms.

- Includes investigation of incidents to provide further detail and when necessary and coordination with contractor staff to ensure response is timely, adequate to the circumstances and fully covers the necessary remedial actions.
- Emphasis should also be placed on determining significant trends in types and frequency of infractions.

3. **Bus Assignments –**

- Consists of daily monitoring of records and to ensure that proper vehicle types are assigned.
- Monitor Omniride App. For proper assignment.
- Records are maintained by type and vehicle number on the number of mis-assigned vehicles each day.
- Bus assignment report will be provided to the Quality Assurance and Special Projects Manager on a monthly basis for review.

4. **Facility/Service area/Employee evaluation**

- Daily monitoring of the facility and service area for trash, down bus signs, damaged shelters, unattended vehicles, suspicious packages.
- Observing employee behavior (E.g.: Heaters left on, wiring strung across the floors.)
- OSHA violations, Safety doors securement and trip and fall hazards.
- Daily reports completed on the proper forms and entered into the Management database.
- All Security/safety concerns are reported to security and documented in the management database.