2022-737

Public Transportation Agency Safety Plan (PTASP)

Gainesville Regional Transit System MAN-SMS-101
Gainesville, Florida

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10/2022

Contents

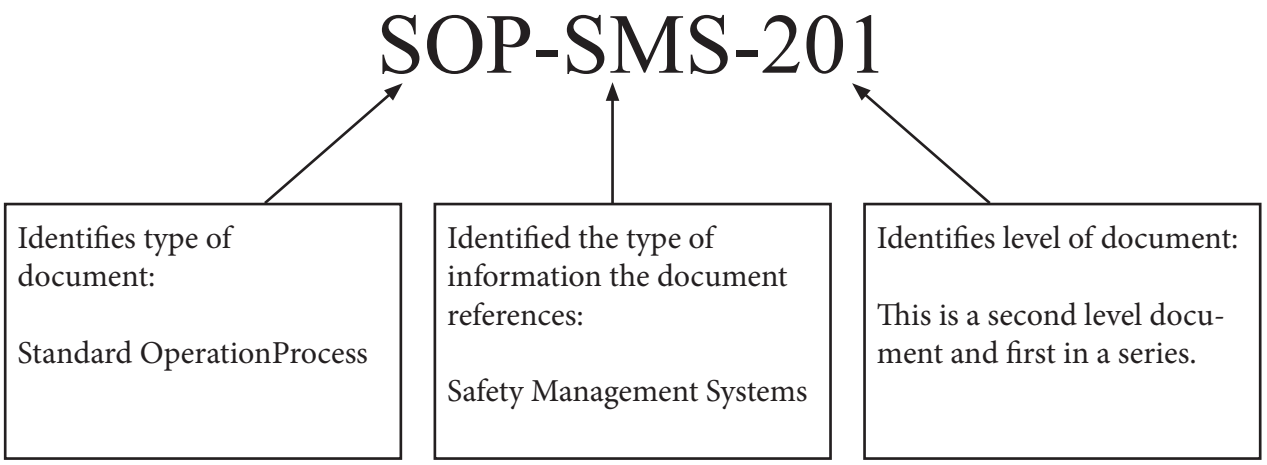
Establishment 4
Documentation Hierarchy 4
Signature Page 5
Records of Revision 5
Master List of Updates 5
Certification 6
List of Acronyms 7
Definitions 7
1. Safety Management System Introduction 9
2. Safety Responsibilities 11
2.1 Roles and Responsibilities 12
3. Safety Policy 15
Values and guiding principles...16
4. Safety Culture Policy 18
5. Employee Safety and Near-Miss Reporting 20
5.1 Process and Procedure 20
Non-Punitive Safety Hazard & Near Miss Reporting 21
6. Risk & Hazard Identification and Assessment 22
6.1 Risk Management 22
6.2 Hazard Managemen 22
6.3 Hazard Process Overview 22
6.4 Hazard Identification 24
6.5 Safety Department Hazard Logs 25
6.6 Corrective Action Plan (CAP) 25
6.7 Hazard Analysis Matrix 26
6.8 Hazard Severity 27
6.9 Hazard Probability 27
6.10 Hazard Ratings 28
6.11 Hazard Resolution and Elimination 28
6.12 Hazard Tracking 29
6.13 Safety Management System (SMS) 29
7. Accident/ Incident/ Occurrence Investigation & Reporting 29
7.1 Incidents/Accidents & Near Miss Forms 32
7.2 Determinations of Discipline 33
7.3 RE-TRAINING 33
7.4 NTD Reporting Threshold 37
7.5 FDOT Reporting of Accidents involving 5310 Funded Vehicles 38
7.6 Corrective Action 39
7.7 Near-Miss 39
7.8 Hazard and Near-Miss Reporting 40
8. SMS Communication 40
8.1 Internal Communication 40
8.2 External Communication 41
9. Training, Awareness & Competencies 41
9.1 Competencies 42

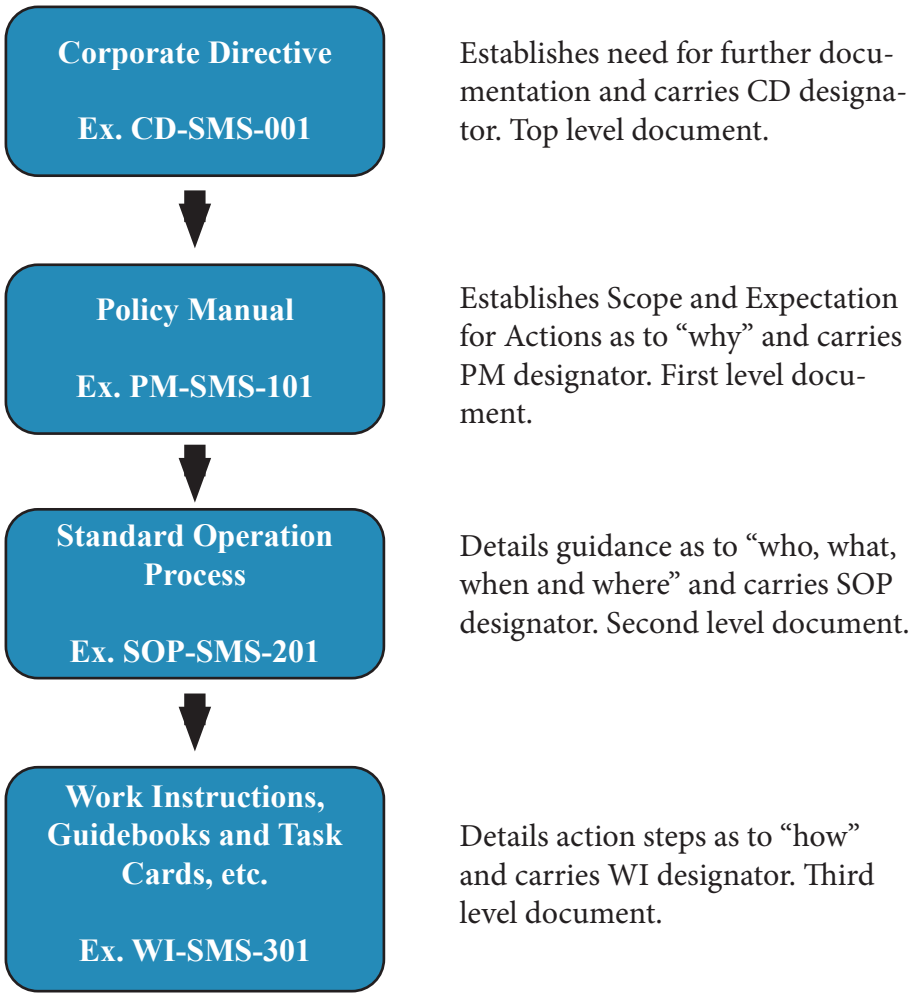
9.2 SMS Required Training Matrix 43
10. Information Management 43
11. SMS Assessment 44
11.1 Assessment Period 44
12. Emergency Response Planning 45
12.1 Emergency Response Planning ...46
12.2 CONCEPT OF OPERATION...46
13. Hazard Security Program Plan 46
14. Operator Selection, Qualification, Training & Testing 47
14.1 Initial Driver Training and Testing 49
14.2 Driver Safety Training and Testing 50
14.3 Medical Exams for Bus Transit System Drivers 50
14.4 Operating and Driving Requirements 51
15. Maintenance Plan 53
15.1 Pre trip/ Post trip 53
15.2 Preventive Maintenance 54
15.3 Contractor/Lessee Oversight Procedures 55
15.4 Contractor/Lessee Maintenance Plan 55
15.5 Contractor/ Lessee Preventive Maintenance 55
15.6 Bus Safety Inspections and Safety/Security Inspections and Reviews 56
15.7 Information Management 57
15.8 Material Handling 57
15.9 Material Safety Data Sheets 57
Warranty:..... .57
On Site Fueling:.. ..... .57
Appendixes
Appendix A (Intranet Hazard Reporting) 59
Appendix B (Hazard Report) 61
Appendix C (Corrective Action Plan) 63
Appendix D (Incident Report) 65
Appendix E (Accident Report) 67
Appendix F (Near Miss Report) 68
Appendix G (SMS Self-Inspection) 70
Appendix H (Records Management) 78
Appendix I (Vehicle Standards & Procurement Criteria) 78
Appendix J (Pandemic Plan) 83
Appendix K (Frontline Worker Certification Signatures) 100

Establishment

This manual is developed and written per the RTS – Establishment of Safety Management Systems

Documentation Hierarchy





Signature Page

Below is the contract organization accountable manager and SMS Safety & Security approval for this Safety Management System (SMS) manual. Electronic verification of approvals is maintained within Safety & Security Department.

Contract Organization	Location	Manager (Name & Title)	SMS Manager (Name & Title)
Gainesville Regional Transit System	34 SE 13th Road, Gainesville, FL 32601	Jason Bunce, Safety and Security Officer	Jason Bunce, Safety and Security Officer

Records of Revision

Manual Holder: Electronically published
Manual Number: MAN-SMS-101
Note: Retain this record in the manual and update at every revision change or on cycle, whichever comes first.

Revision Number	Dated	Date Filed	Filed By
Original	01-01-2020	07-20-2020	Jason Bunce
102	02-10-2021	02-25-2021	Jason Bunce
103	12-01-2021	12-31-2021	Jason Bunce

Master List of Updates

The below noted updates are incorporated into this manual:

Section	Update Details
Original	Not Applicable - Original
102	Performance Targets
103	Performance Targets & New Maintenance Manager

Certification

BUS TRANSIT SYSTEM

ANNUAL SAFETY CERTIFICATION AND ADOPTION

Date: 01/4/2022
Name: City of Gainesville — Regional Transit System
dba RTS

Address: 34 SE 13th Road, Gainesville, FL 32601

In accordance with FTA 49 CFR, Part 673, Final Rule, the bus system named above hereby adopts and certifies to the following:

1. The adoption of the RTS Safety Management System for fiscal year 2022.
2. Compliance with adopted standards of the Public Transportation Agency Safety Plan (PTASP), for calendar year 2022.
3. Performance of safety inspections on all buses operated in accordance with Rule 14-90.009, for calendar year 2022.

Signature: _____
Name: Cynthia Curry
Title: Interim City Manager, City of Gainesville

Signature: _____
Name: Jesus Gomez
Title: Transit Director, City of Gainesville — Regional Transit System

List of Acronyms

The following acronyms apply to all related information in this manual.

ACC/INC: Accident/Incident
ALARP: As Low as Reasonably Practicable
CAP: Corrective Action Plan
CFR: Code of Federal Regulations
CSSO: Chief Safety & Security Officer
EPRP: Emergency Preparedness Response Plan
FDOT: Florida Department of Transportation
FHR: Final Hazard Rating
FTA: Federal Transportation Administration
IHR: Initial Hazard Rating
NTD: Nation Transit Database
NTSB: National Transportation Safety Board
OHA: Operational Hazard Analysis
OSHA: Occupational Safety and Health Administration
PAR: Preventive Action Request
PHA: Preliminary Hazard Analysis
PTASP: Public Transit Agency Safety Plan (replaces SSPP)
SA: Safety Assurance
SMS: Safety Management System
SOP: Standard Operating Procedure
SRM: Safety Risk Management
SSO: State Safety Oversight
SSP: System Security Plan
SSPP: System Safety Program Plan (replaced by PTASP)
SSRC: Safety and Security Management Review Committee
TSA: Transportation Safety Administration
TVA: Threat and Vulnerability Assessment

Definitions

The following definitions apply to all related information in this manual.

Accident — an event that involves any of the following: Loss of life, serious injury to a person, collision involving a transit vehicle, an evacuation for life safety reasons.

Accident/Incident/ Occurrence Report — A report filed regarding an event.

As Low as Reasonably Practicable — A condition where a risk/hazard has been mitigated to its lowest manageable level.

Disposition Period — The period of time between knowledge of an incident and the when the employee is found culpable or not.

Event — an accident, incident or occurrence.

Hazard — a potential source of danger.

Hazard Report — A report filed regarding a hazard identified in the workplace.

Incident — an event that involves any of the following: Personal injury that is not serious, one or more injuries requiring medical transport, damage to the facilities, equipment or infrastructure that disrupts the operations of the agency.

Investigation — a formal inquiry or systematic study.

Near Miss — a narrowly avoided collision or other accident.

Near Miss Report — A report filed from a narrowly avoided collision or other accident.

Occurrence — an event without any personal injury in which any damage to facilities, equipment, facilities or infrastructure does not disrupt operations.

Physical Property Damage — Damage sustained to a building or items on the grounds of real estate.

Risk — a situation involving exposure to danger.

Risk Assessment — A systematic study or examination/assessment of a risk.

Root Cause — The exact cause of an incident or accident where had the root cause found not be present, the accident or incident would not have happened.

Safety — the condition of being protected from or unlikely to cause danger, risk, or injury.

Safety Management System — A business-like approach to managing safety in the workplace.

Training — the action of teaching a person or animal a particular skill or type of behavior.

1. Safety Management System Introduction

Reference: Safety Management System (SMS)

Purpose: This manual describes the Safety Management System supporting operation of RTS.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

General: This manual establishes the SMS policies for all employees of RTS.

Issue and Update. This manual will be reviewed and updated, as applicable, annually beginning on date of issuance. Immediate changes to this manual may be authorized by RTS in the form of a signed SMS Manual Immediate Change Memo. RTS will communicate immediate changes to all concerned through email and bulletin board postings.

Scope: RTS SMS has been established consistent with business needs and regulatory impetus. The SMS is designed to identify, assess, track, control, minimize and resolve hazards. RTS SMS will be used as a means of preventing injuries, incidents, system disruption, accidents, environmental damage and other losses.

RTS Objectives:

- Reduce risks to transit safety, employee, and environmental risks by better managing RTS safety risks and setting goals to eliminate or reduce risks.
- Communication of safety risks to employees and their roles and responsibilities related to risks.
- Increase awareness of safety issues at all levels of the company organization, thereby providing a better framework/structure for management to play a leadership role in addressing safety concerns.
- Continuous improvement of contract organization SMS and risk controls.
- Compliance with all applicable state and federal regulations.
- Foster a culture of change management so that safety issues are identified and risks are eliminated or reduced in the planning process and delays or other impediments to business goals are avoided.

Safety Performance Targets							
Targets below are compiled after reviewing the previous year of RTS safety performance. Data Based off 100,000 VRM.							
Mode of Transit Service	**Fatalities**	**Fatalities (per 100 thousand VRM)**	**Injuries (total)**	**Injuries (per 100 thousand VRM)**	**Safety Events (total)**	**Safety Events (per 100 thousand VRM)**	**System Reliability (VRM/failures)**
Fixed Route Bus Actual 2021	0	0	5	0.1	17	0.4	6.5
Fixed Route Bus Targets for 2022	0	0	2	0.05	22	0.6	14

System Description:

Directly Operated by the City of Gainesville, Regional Transit System (RTS) provides fixed-route bus service and contracted complementary paratransit services connecting the City of Gainesville, the University of Florida (UF) campus, Santa Fe College, and unincorporated parts of Alachua County. During weekdays, RTS operates 39 total routes throughout the City of Gainesville, with 13 routes serving the UF campus, which is host to more than 54,000 students. RTS ranks among the top 100 agencies for ridership in the United States based 2013 National Transit Database information. RTS ranks as the top transit agency in Florida in ridership compared to population size. Over the last five years, RTS has had over 9 million passenger trips per year. RTS are the only transit agency to be awarded the Florida Public Transportation Association (FPTA) Outstanding System of the Year (2008 and 2015). RTS employs 301.5 staff — 233 operations, 46 maintenance workers, and 22 general administration staff. RTS operates all of its services out of a 16.34-acre facility located just southeast of downtown Gainesville.

Services Provided and Jurisdiction:

RTS provides non-emergency transportation (NET) services for state and federal programs, consistent with the requirements of various FDOT and FTA grant requirements.

System Profile (3/01/2020):

Total Number of drivers: 215
Full-time: 215
Part-time: 0
Volunteers: 0
Number of operational buses: 134
Buses W/C accessible: 134
Number of Type I buses (>22' length): 0 Type II buses (<22' length): 11

Dispatch Location(s): 34 SE 13th Road, Gainesville, FL 32601

Maintenance Locations: 34 SE 13th Road, Gainesville, FL 32601

Community Transportation Coordinator (CTC): Yes: __ No: X
CTC Operator: Yes: __ No: X
CTC Name: MV Contact Transportation: Gary Luke, General Manager

2. Safety Responsibilities

Reference: Safety Management System.

Purpose: To establish accountabilities for safety operations.

Responsibilities: Established in this section.

General: To establish accountability for safety.

Organizational Levels and Roles: RTS Organizational Roles:

- **CEO/Accountable Executive:** Provides strategic direction for safety policy, risk mitigation, safety assurance and promotion.
- **Chief Safety Officer:** Provides leadership in the operation and performance of SMS, develops and implements innovative strategies that foster continuous SMS improvement in a manner that supports departmental, customer and corporate business plans, goals and objectives.
- **Director of Operations:** Communicates and enables safety policy related to SMS. Promotes operational safety, environmental responsibility and employee health and safety on and off the job.
- **Director of Maintenance:** Manages function related to all maintenance activities.
- **Facilities Manager:** Manages function related to site level facilities activities.
- **Safety Manager:** Manages functions related to Environmental Health and Safety (EHS) and operational safety.
- **SMS Manager:** Serves as the focal point of contact for SMS activities.
- **SMS Teams/Councils:** Safety Council: The council is the driving force for ensuring that reported safety items are appropriately addressed, concluded, tested, and that the originator of the report is notified of requisite action.

All Personnel:

- Conduct work in the safest manner possible in accordance with approved site procedure, policies and in a manner that enhances their own/other employees' health and safety.
- Promotes risk reduction, participates openly in safety related events investigations and immediately report workplace hazards and make suggestion for control of reported hazards.
- Contribute to the overall success of the SMS program at the site level.

RTS SMS Contacts

Name	Role	Contact Information
Jesus Gomez	CEO/Accountable Executive	(352) 393-7860
Jason Bunce	Chief Safety Officer/Safety Manager/SMS Manager	(352) 393-7843
Roy Darnold	Director of Operations	(352) 393-7839
Jason Garrett	Director of Maintenance	(352) 393-7840
Kenneth Kirkpatrick	Facilities Manager	(352) 393-7815

2.1 Roles and Responsibilities

Accountable Executive Role and Responsibilities:

The RTS Director is designated the Accountable Executive for the SMS. The Director is accountable for ensuring that the SMS is effectively implemented and resourced throughout RTS, and for ensuring action is taken, as necessary, to address any degradation in safety performance at RTS.

Chief Safety Officer Role and Responsibilities:

The Director has designated the Safety & Security Officer (SSO) as the SMS Executive. The SSO is responsible for:

- Facilitating full implementation of the SMS across RTS;
- Advocating for a safety culture;
- Conducting strategic planning for the SMS;
- Managing and updating SMS processes based on experiences and lessons learned;
- Reviewing and updating this *SMS and Implementation Plan* and *PTASP* at least annually;
- Providing additional guidance material (as required) to further strengthen and clarify the SMS processes;
- Managing the Safety Risk Management (SRM) and Safety Assurance (SA) processes and outputs;
- Facilitating coordination of SRM, evaluations and investigations, and controls with special attention to cross-organizational impacts;
- Monitoring the safety performance of RTS operations and activities through formal data collection and analysis;
- Tracking safety-critical issues and corrective actions to conclusion, using appropriate tracking systems;
- Leading and facilitating hazard analyses through workshops with appropriate subject matter experts;
- Leading internal safety audits with support from appropriate RTS divisions;
- Developing and coordinating the provision of the data and dashboards for tracking and monitoring safety performance; and

- Developing and maintaining safety training requirements and matrix.

In addition, the SSO is responsible for advising RTS leadership on safety related issues.

Safety Specialist Role and Responsibilities:

The Safety Specialist is responsible for the safety of all RTS operations and implementing the SMS within the Operations, Support, Maintenance Divisions and Information Technologies Department.

The Safety Specialist will:

- Assist in the full implementation of the SMS across RTS;
- Advocate for and promote a safety culture;
- Manage and update SMS processes based on experiences and lessons learned;
- Monitoring the safety performance of RTS operations and activities through formal data collection and analysis;
- Track safety-critical issues and corrective actions to conclusion, using appropriate tracking systems;
- Assist in the review and update of this *SMS and Implementation Plan* and *PTASP* at least annually
- Oversee and assist the Operations, Support and Maintenance departments and Information Technology to establish and maintain clear and unambiguous lines of authority and responsibility for ensuring safety measures and procedures are in place for meeting safety performance targets;
- Require that all relevant safety-related information be communicated and used in decision making;
- Leading and facilitating hazard analyses through workshops with appropriate subject matter experts;
- Lead internal safety audits with support from appropriate RTS divisions;
- Develop and coordinate the provision of the data and dashboards for tracking and monitoring safety performance; and
- Develop and maintain safety training requirements and matrix.

Directors, Managers Roles and Responsibilities:

All directors and managers are accountable and responsible for:

- Upholding and promoting safety policies, safety risk management, safety assurance, and safety training and communication protocols;
- Developing safety performance measures and targets;
- Fostering a strong safety culture within their department;
- Allocating the appropriate staffing resources necessary to become compliant with and maintain compliance with the SMS requirements;
- Identifying the necessary funds to meet the safety performance requirements and incorporate them into budgeting plans, prioritizing and allocating expenditures according to safety risk;
- Implementing the safety risk management, safety assurance, and safety training and communication protocols of their department;
- Safety performance within their functional areas;
- Ensuring procedures are consistent with the SMS;
- Determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact RTS safety performance;
- Ensuring that all employees are trained in SMS;
- Supporting and requiring employees within their department to participate in safety training activities;
- Integrating SRM into existing processes;
- Requiring that all relevant safety information is communicated and used in decision-making;
- Ensuring that all system changes are coordinated, documented and go through the SRM & SA processes; and
- Cooperating with and providing support for evaluations and audits conducted.

Supervisor Role and Responsibilities:

All Supervisors are accountable and responsible for:

- The safety performance of all personnel and equipment under their supervision;
- Implementing and maintaining safety-related control measures/mitigations;
- Familiarizing employees with the safety requirements and hazards associated with the work to be performed;
- Responding to identified hazards that may impact safety performance;
- Reporting all mishaps and incidents to the SSO;
- Sharing lessons learned from incidents; and
- Implementing and adhering to SMS procedures and processes within their span of control.

RTS Employee Responsibilities:

All RTS employees are responsible for:

- Becoming familiar with the safety procedures for their assigned work activity;
- Performing their work safely;
- Following procedures and rules;
- Calling attention to hazards that may impact safety performance; and
- Reporting mishaps and incidents to their supervisor, in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

Safety Committees:

RTS will implement and use multiple safety committees to review and evaluate safety related processes, activities, and issues. The following safety committees will be established during the implementation of the SMS.

- **Executive Safety Committees** — This represents key staff and has the capability to employ multiple disciplines at RTS while also having access to higher level budgeted solutions. Meetings are held monthly.
- **Safety & Security Review Committee (SSRC)** — the purpose of this committee is to bring management, employees, and employee representatives, together to achieve and maintain a safe, healthful workplace. Meetings are held monthly and may include program reviews, injury reviews, and reviews of employee concerns.

3. Safety Policy

References: Safety Management System.

Purpose: To establish SMS Safety Policy.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: SMS Safety Policy Statement:
The management of safety is one of our core business functions. RTS is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Transit Director. The SMS Program is managed under the authority by the Transit Safety & Security Officer.

RTS commitment is to:

- **Support** the management of safety through the provision of appropriate resources, that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the attention to the results of the other management systems of the organization;

- **Integrate** the management of safety among the primary responsibilities of all managers and employees;
- **Clearly define** for all staff, managers and employees alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our Safety Management System;
- **Establish and operate** hazard identification and analysis, and safety risk evaluation activities, including an Employee Safety Reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
- **Ensure** that no action will be taken against any employee who discloses a safety concern through the Employee Safety Reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- **Comply with,** and wherever possible exceed, legislative and regulatory requirements and standards;
- **Ensure** that sufficient skilled and trained human resources are available to implement safety management processes;
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- **Establish and measure** our safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- **Continually improve** our safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and
- **Ensure** externally supplied systems and services to support our operations are delivered meeting our safety performance standards.

Values and guiding principles

- Integrity, Trust, Teamwork, Respect, Customer Focus
- Commitment to Safety
- Commitment to Continuous Improvement
- Commitment to Compliance

X

Jesus Gomez
Transit Director, Regional Transit System

As RTS Senior Leaders, we have reviewed and endorse the RTS Transit Agency Safety Plan. We also understand that we have the authority and responsibility for day to day implementation and operation of our Safety Management System (SMS).

X _____

Roy Darnold
Transit Operations Manager, Regional Transit System

X _____

Jason Garrett
Transit Maintenance Manager, Regional Transit System

X _____

Jason Bunce
Transit Safety & Security Officer, Regional Transit System

4. Safety Culture Policy

Reference: Safety Management System.

Purpose: This policy identifies the RTS philosophy and process required to establish and maintain an appropriate safety/just culture that supports our SMS through proactive risk identification and event management, considering human factors and a balanced guiding principle on employee disposition following an event.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General Safety Culture Policy: RTS is committed to creating and sustaining a safety culture environment that supports our SMS and recognizes that a number of principles enable the development and sustainment of a positive safety culture including:

- Recognition that fair and equitable treatment of all employees encourages sharing of safety-related information.
- Creating and sustaining an environment that actively seeks out risks and supports hazard and event reporting, to include near misses.
- Recognition that inappropriate disciplinary measures can suppress open reporting of risks.
- Creating and sustaining an environment where there is an understanding that human errors will occur.
- Creating and sustaining an environment that promotes openness and learning from events. At RTS there is an expectation that all employees actively promote safety in everything they do.

  This includes two explicit duties that are the responsibility of all employees:

  - ♦ To report any hazard, near-miss, unsafe condition or incident that occurs, or is otherwise known about.
  - ♦ To openly participate in any investigation that may arise as a result of any reported hazard, near-miss or event that occurs.

RTS recognizes that employee actions that contribute to hazards and events may be the result of a wide spectrum of behaviors. These include unintentional error, engaging in at-risk behavior (i.e., moving away from desired behavior, not recognizing risks involved or reckless behavior; i.e., an unacceptable choice that knowingly puts an employee, customer or product in harm's way).

The RTS policy regarding these behaviors is as follows:

- Unintentional errors will be investigated and feedback given.
- At-Risk behavior will usually warrant a verbal or written record of first counseling.
- Reckless behavior (and some circumstances of at-risk behavior) will usually warrant more significant positive counseling/corrective action steps to be taken.

RTS is committed to creating an open and fair safety culture with RTS that supports our SMS. As we implement this policy, we pledge that our first response to any event will be to investigate fairly the circumstances involved.

X

Jesus Gomez
Transit Director, Regional Transit System

5. Employee Safety and Near-Miss Reporting

Reference: Safety Management System.

Purpose: The purpose of this program is to ensure that all near-miss incidents (including minor incidents) are reported, recorded and investigated. Reporting and sharing information with relevant parties creates an opportunity to answer the questions of what happened, why and then to use this insight to determine how to prevent a re-occurrence. Following the steps outlined in this program will:

- Promote an open, learning culture in regards to workplace safety;
- Employ a systematic approach for all administration, maintenance employees and operators to;
- Report near miss incidents;
- Encourage an opportunity to gain understanding and insight from an incident's analysis;
- Utilize that knowledge to prevent or reduce future risk of re-occurrence; and
- Support management's goal of establishing a reporting culture with an aim to identify and control;
- Hazards, reduce risk and prevent harmful incidents. To establish the scope of Near-Miss reporting for the SMS.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: The RTS SMS requires proactive reporting of safety hazards or safety concerns on the part of all employees in order to maintain a proactive position on risk. Employees will serve as Safety Ambassadors by working safely, complying with requirements and serving as an example to others.

> Under no circumstance will employees be retaliated against for the act of reporting safety-related information. As long as the individual reporting the event is not in complete negligence and caused the event to occur due to their negligence.

The RTS SMS contains both proactive and reactive means of reporting safety hazards and near-miss events. The information derived from proactive reports can provide significant insights into potential risk(s) and furthermore, allows for the continuous improvement of RTS's SMS. While post-event accident/incident investigations reveal information about safety hazards, we cannot rely solely on reactive data to expose risk.

5.1 Process and Procedure:

When an employee becomes aware of a hazard or near-miss, they shall submit a report within eight (8) business hours or at end of shift (whichever comes first) using one of the following methods:

1. Submit online: Go to RTS Intranet/Safety Tab/Safety Concerns and fill out the required fields (See Appendix A)
2. Submit paper form: Submit Hazard report to supervision/management or place in safety reporting drop box. Supervision/management is then required to forward to Safety & Security or Training Departments.

3. Employees may also submit via phone: By utilizing the Track-It Safety Reporting QR code.

Once we have the report it will be assigned to the Safety department and they will address the risk or hazard and initiate a corrective action plan for the hazard in Track-It. The process will be tracked through Track-It software to also gather data on the hazards and risks that employees are reporting monthly, quarterly, and annually to ensure we are progressing in reducing the number of hazards and risks. https://www.trackittransit.com/sms-stack

> When filing anonymous reports, there is limited ability to provide follow-up communication as the reporter is unknown. Additionally, it is difficult to apply necessary risk mitigation strategies if the reporter does provide enough information for follow-on activities.
> Therefore, it is recommended that reporters utilize the non-anonymous hazard reporting form.

Non-Punitive Safety Hazard & Near Miss Reporting

RTS is committed to the safest operation possible. Therefore, it is imperative that we have uninhibited reporting of all safety hazards, near misses, concerns and/or suggestions that in any way affect the safety of our operation.

Every employee at RTS has the responsibility and right to report near misses, safety hazards or perceived hazards, concerns and/or suggestions that may affect the integrity of our operation to their supervisor or to the Safety & Security Officer. RTS has the responsibility to provide every employee the opportunity to report those hazards and concerns and to do so with confidentiality and without fear of reprisal.

The purpose of this program is to ensure all near miss incidents (including minor incidents) are reported, recorded and investigated. Reporting and sharing information with relevant parties creates an opportunity to answer the questions of what happened. We gain understanding and insight from an incident's analysis then utilize that knowledge to predict, prevent or mitigate future risk of re-occurrence. This proactive approach will promote an open, learning and just culture in regard to workplace safety.

RTS will not initiate disciplinary proceedings against an employee who discloses a safety hazard or perceived hazard, safety concern and/or suggestion involving safety. However, the non-reprisal policy does not apply to defined accidents/incidents, willful violations of law, RTS policy, or any event where there was intentional disregard for safety. This also does not apply to any event or condition that involves criminal activity, substance abuse, controlled substances, alcohol or intentional falsification. In such cases, RTS reserves the right to take disciplinary actions as appropriate.

RTS also reserves the right to take appropriate action in the event that a report indicates: willful violations of law or RTS policy, intentional disregard for safety, or any event or condition that involves criminal activity, substance abuse, controlled substances, alcohol or intentional falsification by an individual other than the reporting individual.

We urge every employee to use this program to help us provide the highest level of safety for our employees and customers. Every employee who submits a report will be provided feedback on the final outcome regarding his/her report.
The identity of the person reporting will be confidential and only known by the Safety Department or reports may be made anonymously if you so desire.

6. Risk & Hazard Identification and Assessment

Reference: Safety Management System.

Purpose: To establish risk assessment policy and protocol.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: The second component of an SMS is Risk Management; describing how RTS identifies, evaluates, tracks and mitigates hazards/risks in the organization and on the transit system. The processes undertaken by the authority are provided in sufficient detail to be effectively undertaken. Acceptable risk levels, performance targets and mitigation measures are established.

6.1 Risk Management:

The management of identified hazards is a vital component of the RTS Safety Management System. A hazard is defined as a condition or set of conditions, internal or external to the RTS system, which, when activated, could cause injury, death, damage or loss of equipment or property. An unacceptable hazard is a condition that may endanger human life, property or result in system loss. This includes harm to passengers, employees, contractors, equipment, and to the general public. These hazardous conditions must be mitigated or eliminated. Hazards are identified in several different internal and external sources. Hazards may be observed in the operating environment, through procedures, during system modifications and capital projects, accidents, extensions or operational changes. The Hazard Management Program applies to all RTS employees and obligates everyone to constantly observe hazards in their work areas and report them to the Safety & Security Officer or to their supervisor and/or manager. The overall hazard management program incorporates a system-wide hazard identification process, including activities for:

a. Identification
b. Investigation
c. Evaluation and analysis
d. Mitigatation or elimination
e. Tracking
f. Ongoing reporting to FDOT, SSO, and RTS management relating to hazard management activities and status.

6.2 Hazard Management:

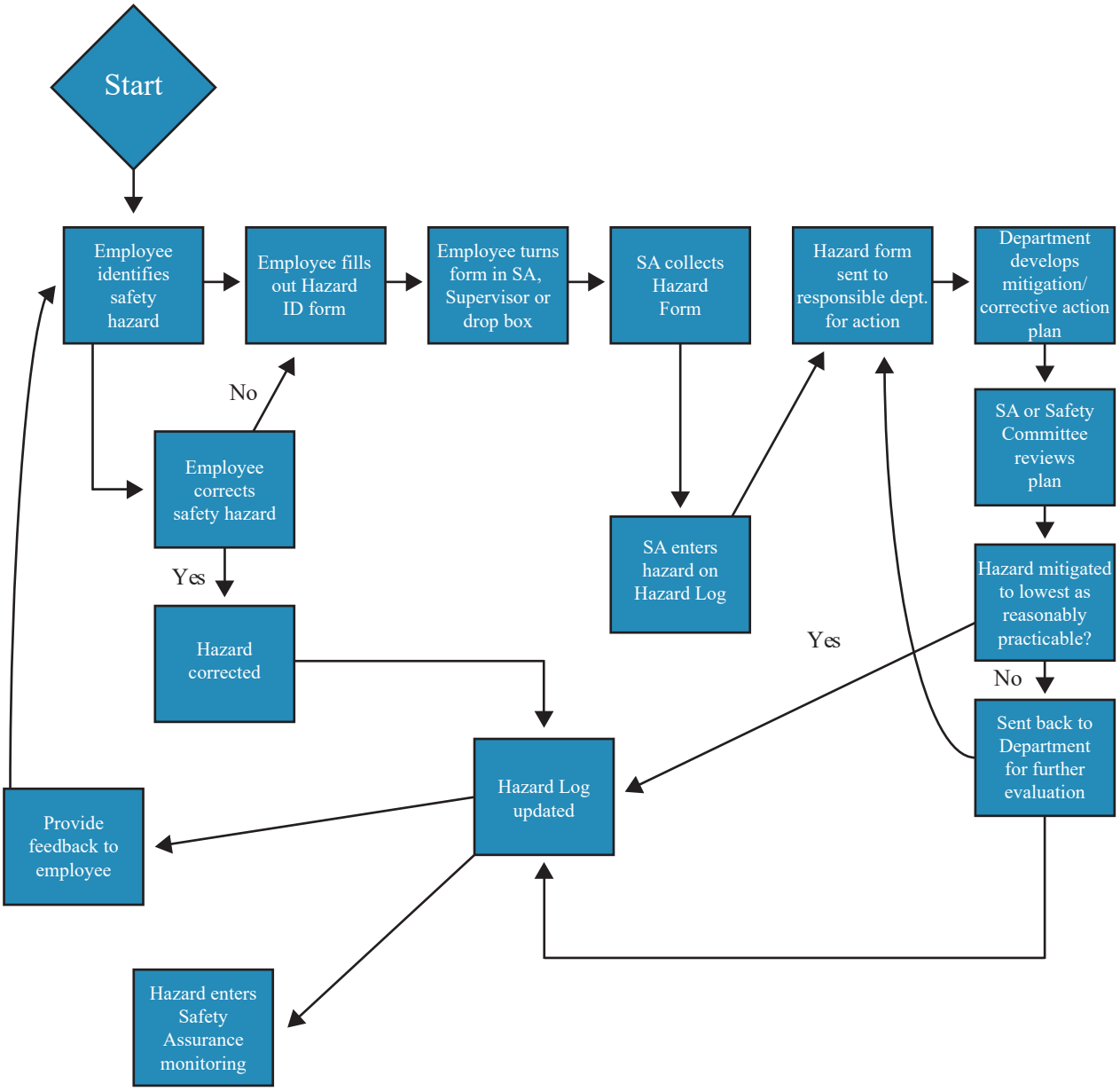
RTS department managers play a key role in the hazard management process and ensure that the process has been fully integrated within their departments. Managers also ensure the following elements of the hazard management process are present in their departments:

a. Ensure employees have the ability to report hazards to management in person or through the use of a hazard identification form;
b. Ensure hazards are placed on a hazard log for tracking and documentation;
c. Represent management or select designee to represent management on the safety committee;
d. Ensure each hazard has been assigned to a specific individual/points of contact (POC);
e. Ensure employees receive appropriate hazard management training.

6.3 Hazard Process Overview:

The following lays out an overall description of how hazards are identified, evaluated, analyzed, controlled or eliminated, tracked and reported to RTS senior management and FDOT State Safety Oversight.

a. All employees are expected and encouraged to participate in safety program activities including reporting hazards, reporting unsafe work practices, near misses, and accidents, immediately to their supervisor or a safety representative.
b. The Safety & Security Officer is the primary points of contact (POC) for the hazard management process.
c. Safety & Security, to include Training Department, has oversight of the identification, evaluation, and analysis of hazards.
d. The Safety Department will enter identified hazards into the Hazard Log and forward the hazard report to the responsible department. The responsible department, Safety Department, and/or the Safety Committee assigns a hazard rating.
e. The responsible department identifies a point of contact or owner of the hazard, places this information on the Hazard Log for tracking purposes and is responsible for developing a (CAP) Corrective Action Plan (if applicable) for the unacceptable and undesirable hazard.
f. CAP's may also be identified as a result of an incident or investigation.
g. Safety Committee members also participate in the evaluation and control or elimination of the hazard.
h. Hazards must be mitigated at the lowest level practicable. However, when a hazard is identified as having a mitigation that involves multiple departments, or requires cost or changes beyond the Safety Committee or department abilities or budgets, the hazard will be elevated to the Safety and Security Review Committee (SSRC). The SSRC represents key department directors and has the capability to employ multiple disciplines at RTS while also having access to higher level budgeted solutions.
i. Recommendations/results from contractor or internal audit, testing, industrial or environmental sampling results requiring corrective actions will be placed in the Hazard Log for follow up and possible need for retesting for compliance with Safety or environmental requirements.



6.4 Hazard Identification:

Identification of hazards is the responsibility of all RTS employees and contractors. The continuous identification, monitoring, and elimination of hazards is key to an effective system safety program. Hazard identification methods include, but are not limited to the following:

a. Observation, inspection, and interaction of all RTS employees.
b. Reports from safety committee members, passengers, customer service, etc.
c. Evaluation of accidents, incidents and near misses, to include data trends and projections.
d. Preliminary Hazard Analysis (PHA) of a design or new construction.
e. Safety certification, system integration testing, pre-revenue testing, system modification, configuration management verification, and inspection processes.
f. Operation Hazard Analysis (OHA) of revenue operations.
g. Internal and external safety audits, inspections, observations, defects, findings, observations, violations, and reviews.

Examples of observed hazards may include:

a. An uneven sidewalk joint that could cause a trip and fall.
b. Opening in a section of corridor fencing which allows access of a trespasser.
c. A forklift that has an oil or hydraulic leak.
d. Ice formation on stairway.
e. Missing fire extinguisher.

6.5 Safety Department Hazard Logs:

The Safety Department is responsible for the maintenance of Safety Department Hazard Logs. They ensure that all hazards meeting defined criteria are entered into the Safety Department Hazard Logs. Hazard rating can be assigned by the Safety Department, department POC that owns the hazard or the Safety Committee. The following are specific hazards that are identified and mitigated at the management level:

a. Unacceptable hazards (High Hazards).
b. Hazards identified from audits from outside agency's (FDOT SSO, FTA, and OSHA).
c. Hazards identified from accident investigations.
d. Hazards where corrective action will cost more than $25,000.
e. Serious or high hazards on local department hazard log over 180 days.
f. When warranted by the Safety Department.

The RTS hazard logs are managed by the Safety & Security Officer. Hazards identified by an employee to his/her supervisor may be resolved by the employee and supervisor, if able. In any case, the supervisor will forward the hazard to a safety representative for entry into the Hazard Log and routing. Safety will forward the hazard report to the responsible department for review. The department representative, or the Safety committee can assign an initial hazard rating (IHR) and place the hazard on the Hazard Log to be tracked.

6.6 Corrective Action Plan (CAP):

Corrective action plans are utilized within RTS for hazards that meet certain criteria. The hazards identified in the section above require the usage of a corrective action plan. In the following instances, corrective action plans must receive prior approval by the SSO Manager before corrective action plans may be carried out: (See Appendix C)

a. Unacceptable hazards (High Hazards).
b. Audit findings from regulatory agencies resulting in non-conformance (FDOT, FTA, FRA, OSHA).
c. Accident investigations requiring corrective action.

Corrective Action Plan's must contain, at a minimum:

a. A person of responsibility for the corrective action.
b. A proposed completion date.
c. Plan approval when applicable.

Corrective Action Plan Development:

Corrective action plans are developed by department managers/designee in conjunction with the Safety Department and associated Safety Committee. Safety Administrators ensure that the CAP process is followed and properly tracked until it is closed. Corrective action plans may be tracked on hazard logs or CAP plans. RTS utilizes the Track-It software to conduct the CAP and then it is tracked through the stages of progression.

6.7 Hazard Analysis Matrix:

RTS's hazard analysis matrix shown below, provides the ability to assign hazards a specific hazard rating based on a combination of severity and probability. Hazards may be rated as HIGH, SERIOUS, MEDIUM, LOW, and ELIMINATED.

PROBABILITY TABLE

Likelihood	Meaning	Value
Frequent	Likely to occur/ has occurred frequently	5
Occasional	Likely to occur/ has occurred sometimes	4
Remote	Unlikely to occur/ has occurred rarely, but possible	3
Improbable	Very unlikely to occur or no known occurrences	2
Extremely Improbable	Almost inconceivable that this will ever occur	1

SEVERITY TABLE

Value	Severity	Meaning
A	Catastrophic	Deaths (not including suicide or death by natural causes); equipment destroyed
B	Hazardous	A large reduction in safety margins; serious injury — fracture, severe bleeding, paralysis, brain injury; major equipment damage
C	Moderate	A significant reduction in safety margins; injury — bruising, abrasions, bleeding, sprains (ambulance transport)
D	Minor	Nuisance; operating limitations; minor incident; minor injury — bruising, abrasion (no ambulance transport)
E	Negligible	

RISK RESOLUTION TABLE

		Risk Severity				
		A	B	C	D	E
	Risk Probability	Catastrophic	Hazardous	Moderate	Minor	Negligible
5	Frequent	5A	5B	5C	5D	5E
4	Occasional	4A	4B	4C	4D	4E
3	Remote	3A	3B	3C	3D	3E
2	Improbable	2A	2B	2C	2D	2E
1	Extremely Improbable	1A	1B	1C	1D	1E

Resolution Requirements

High	Unacceptable	Correction required
Serious	Undesirable	Correction may be required, decision by management
Medium	Acceptable with review	With review and documentation by management
Low	Acceptable	Without review
Eliminated	Acceptable	No action needed

6.8 Hazard Severity

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards are as follows:

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.

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.

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.

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 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.

6.9 Hazard Probability

The probability of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system. Generally, hazard probability is described qualitatively in potential occurrences per units of time, miles, trips/runs or passengers carried. A hazard probability may be derived from the analysis of transit system operating experience.

6.10 Hazard Ratings

RTS has adopted a system for assessing the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This assessment system has been incorporated into the formal system safety analysis which enables the Safety Administrators or safety committees, as 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. The Hazard Matrix identifies the hazard risk index (HRI) based upon hazard category and probability and the criteria for defining further actions based upon the index.

HIGH risk hazards that receive an unacceptable initial hazard analysis made by management, safety committee or the safety administrator, receive immediate attention/control. A high hazard rating requires corrective action. Hazards that receive a high hazard rating will be addressed by the appropriate Safety & Security Officer and Safety Committee.

SERIOUS hazards that are undesirable may require corrective action and decisions by management. Hazards that receive a serious hazard rating will remain on the hazard logs no more than 90 days without an approved corrective action plan.

MEDIUM hazards may be acceptable with review by management. Events from a medium hazard are less likely to occur and are less severe in nature.

LOW hazards do not require review and are acceptable.

ELIMINATED hazard is no longer present.

6.11 Hazard Resolution and Elimination

Hazard resolution is defined as the analysis and subsequent actions taken to reduce the hazard to the lowest level practical and the risk associated with an identified hazard. Hazard resolution is not synonymous with hazard elimination. In a transit environment, there are some hazards, which are impossible to eliminate and others, which are highly impractical, to eliminate. Reduction of risk to the lowest practical level can be accomplished in a variety of ways from protective and warning devices to special procedures:

1. Design out or design to minimize hazard severity. To the extent permitted by cost and practicality, identified hazards will be eliminated or controlled by the design of equipment, systems and facilities.
2. Hazards that cannot reasonably be eliminated or controlled through design will be controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices. Provisions will be made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.

3. When design and safety devices cannot reasonably, nor effectively, eliminate or control an identified hazard, safety warning devices will be used (to the extent practicable) to alert persons to the hazards.
4. Where it is impossible to reasonably eliminate or adequately control a hazard through design of the use of safety warning devices, procedures and training will be used to control the hazard.

6.12 Hazard Tracking

Each CAP developed for serious or high hazards, from investigations or deficiencies will be submitted to the SSO as required, for initial review and approval. The CAP form will be assigned a tracking number and placed on the Hazard Log with its identified hazard. Upon completion of the corrective action, the Safety department will submit it to the Safety Committee for adoption. The completed CAP is formally adopted by receiving the Safety Committee's approval. The Hazard Log will then be updated to show the status of the identified hazard with its CAP to "CLOSED".

The SSO will monitor all Corrective Action Plans with the use of the Hazard Log and will provide Chief Safety Officer (CSO) with an updated Hazard Log monthly.

Internally, the Safety department will coordinate with the appropriate department to develop a Corrective Action Plan (CAP) and fill out a CAP form for the identified hazard. The CAP form will be assigned a tracking number and placed on the Hazard Log with the corresponding hazards for tracking purposes.

For hazards that receive a medium or low rating, the use of a corrective action is optional depending on the complexity and ability to correct the identified hazard; i.e. clearing shrubs or trimming branches of a tree. The SSO will coordinate with the CSO to determine if a CAP is necessary for medium or low hazards.

6.13 Safety Management System (SMS)

Under the SMS, employees are asked to be aware of their surroundings, processes, or work areas and to observe and report all hazardous conditions or potentially hazardous conditions to their supervisor. Along with their supervisor, the employee should work to mitigate those hazards. Prevention of hazardous conditions prior to an injury or equipment damage occurring is the goal of the SMS. Compliance with regulatory standards is the primary goal of maintaining ongoing certifications. Annually, the Safety & Security Officer as well as Training will audit RTS and determine compliance. Each hazard is evaluated and assessed as to the potential injury or equipment damage that could occur if a mishap or injury took place. An initial hazard rating (IHR) is assigned to each hazard. Corrective action that is implemented and hazard mitigation will reduce the hazard frequency or severity and thus reduce the final hazard rating (FHR). The Risk Assessment Matrix is used to evaluate hazards. Hazards rated with a High or Serious FHR must be mitigated and reduced to an acceptable level.

7. Accident/ Incident/ Occurrence Investigation & Reporting

Reference: Safety Management System

Purpose: To establish the scope of event reporting for the RTS SMS.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: Initial internal incident/accident notification is initiated by the Control Center electronically via e-mail through the emergency notification list according to RTS policies and procedures.

This chapter defines what is considered an accident. It also outlines the actions to be taken by employees in the event of an incident/accident related to RTS vehicles, passengers, employees or property in the course of doing business.

The definition of a vehicle <u>accident</u> is an event involving any of the following: (Collision report)

- Loss of life
- Serious injury to a person (In addition to collision report, an incident form also required, to document injury)
- Collision involving a transit vehicle
- An evacuation for life safety reasons

The definition of an <u>incident</u> is an event involving any of the following: (incident report required)

- Personal injury that is not serious
- One or more non-serious injuries requiring medical transport
- Damage to the facilities equipment or infrastructure that disrupts the operations of the agency

The definition of an <u>occurrence</u> is an event involving any of the following: (Incident report required)

- An event without any personal injury in which any damage to facilities, equipment, or infrastructure does not disrupt operations

The definition of a <u>serious injury</u> is an event involving any of the following:

- Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received. (Use best judgment at the scene of accident)
- Results in a fracture of any bone
- Causes severe hemorrhages, nerve, muscle, or tendon damage
- Involves any internal organ; or involves any second- or third-degree burns

The definition of <u>disrupting operations</u> is an event:

- 49 CFR Part 673 states: “Could be any interference with normal transit service.” RTS will use “missed service” as the threshold to determine whether or not service has been disrupted; so that our determinations remain consistent.

Operator Post-Accident Immediate Actions:

- Remain calm and assess the situation.
- Secure the vehicle (set brake, place in neutral & turn on 4-way hazards).

- Contact Dispatch (i.e. 1088 to Dispatch with a CODE ONE).
- Provide dispatch with your exact location, description of accident, number and type of injuries.
- Secure the scene (DO NOT move the vehicle unless directed by emergency responders or Safety Officer/Supervisor. Put out the triangles, assist passengers with first-aid if warranted).
- Ask passengers to fill out comment/courtesy cards and obtain witness statements, if available.
- Obtain facts about the other vehicles involved and begin filling out incident/accident paperwork
- DO NOT discuss the accident with anyone other than law enforcement or the RTS accident investigator/Supervisor.
- DO NOT make any statements concerning liability. Give only information requested by law enforcement
- Under no circumstances should an Operator leave the scene of an accident prior to the arrival of law enforcement unless directed to do so by a supervisor or accident investigator.

Accident Investigator Responsibilities:

- Respond to radio call from call center.
- Secure the scene & determine what resources you will need (i.e. EMS, PD, etc.).
- Isolate the employee.
- View/pull video, if able (video hard drive or SD card).
- The first safety staff or supervisor on the scene will be the primary accident investigator. Provide first-aid if warranted, take photos (minimum of 10; including all 4 sides of vehicles, license plate # and VIN #), collect witness cards/comment cards, interview witnesses, review video and begin incident/accident paperwork.
- Determine if FTA Drug & Alcohol test is required.

Minor Accident-Exchange of Information

Protect Your Identity!

Give out and collect ONLY the following information:

- Name and phone number.
- Vehicle's make, model, year, color and VIN.
- The name of your insurance company and policy number.
- DO NOT allow your driver's license or registration to be photographed.
- DO NOT provide your address or contact information to other drivers, passengers, or witnesses.

ALL documents may be used in litigation, make sure they are legible, completed in full, and submitted to the Safety Department.

The RTS Safety Department will notify Risk Management within 8 hours of any workplace accident resulting in the following:

- Fatalities (including heart attacks)
- Admittance to the hospital
- Amputations
- Heat, chemical or electrical burns
- Electrical shocks
- Bone fractures
- Any loss of consciousness in the workplace
- Severe Hemorrhage
- Sight impairment

7.1 Incidents/Accidents & Near Miss Forms

Incident: Appendix D

Accident: Appendix E

Near Miss: Appendix F

ALL documents may be used in litigation, make sure they are legible, completed in full, and submitted to the Safety Department on time!

As with any investigation, time is of the essence, therefore, investigations should proceed as soon as practical to avoid potentially losing valuable information. Only trained investigators are to conduct investigations and under no circumstance may an investigator examine his/her own work area incident/accident.

Preliminary Accident Reports: ***(Preliminary accident reports will be sent as soon as possible after the accident, but not later than the end of their shift, after clearing the accident scene).*** All reports will be scanned & sent to the Safety & Security Officer. Required documents include employee and investigator preliminary reports, pictures, customer courtesy/comment cards or witness statements, police report, Declination of Medical Treatment, drug and alcohol tests (if required) and any other available information.

Preliminary Incident Reports: ***(Preliminary incident reports will be sent as soon as possible after the incident, but not later than the end of the employee's shift. Investigator incident reports will be sent as soon as possible, but not later than the end of their shift.)*** All reports will be scanned & sent to the Safety & Security Officer. Required documents include employee and investigator preliminary incident reports, pictures, customer courtesy/comment cards or witness statements, police report and any other available information.

Incident/Accident Final Draft: Should be completed and turned in to Risk Management and the City's Claims Adjuster within 3 days of the preventable incident/accident. The Safety Department will be responsible for submitting the final report.

7.2 Determinations of Discipline

While most transit accidents occur within a limited geographic area where a trained supervisor or company official can respond in person in a timely fashion, FTA recognizes that some employers operate across very large areas, and may have Operators who are involved in incidents that take place at locations significantly farther away from a supervisor/company official. In these instances, FTA allows the supervisor/company official to make their determination remotely, using the best tools available. This may include discussing the event with the Operator, any witnesses, and available law enforcement personnel.

Preventable incidents/accidents will not fall under the rules for regular Progressive Disciplinary Processes. Each preventable incident/accident will not be held against the employee after 1,825 calendar days has passed (i.e. if an employee receives a preventable incident/accident on June 1, 2019, it will not be effective after June 1, 2024).

7.3 RE-TRAINING

Involvement in any preventable incident/accident regardless of severity, which does not result in termination, will result in the employee being retrained in the deficient area. Retraining will occur prior to returning to revenue service or full duty.

REGIONAL TRANSIT SYSTEM
INCIDENT REPORT

DATE	TIME	NAME(S) OF EMPLOYEE(S) INVOLVED IN THE INCIDENT

LOCATION (HUNDRED BLOCK, QUADRANT, STREET NAME, CROSS STREET, LANDMARK)

VEHICLE#	ROUTE	DIR. OF TRAV	#PASSENGERS	# COURTESY CARDS

WEATHER: CLEAR - FOG - RAIN - SNOW - WINDY

LIGHTING: DARK - DAWN - DAYLIGHT - DUSK

STATE THE DETAILS OF THE INCIDENT CLEARLY. CONTINUE ON PAGE 2 IF NEEDED:

REPORTING EMPLOYEE'S NAME	REPORTING EMPLOYEE'S SIGNATURE

COMPLETE THE BACK OF THIS REPORT ALSO

FORM REVISED 30 JAN 2018 Page 1

REGIONAL TRANSIT SYSTEM
SUPERVISOR'S INCIDENT REPORT

INJURIES (CHECK APPROPRIATE BLOCKS, ATTACH ADDITIONAL PAGES IF NECESSARY):

BUS PAS	OTH VEH	PED	EMP	N A M E, A D D R E S S, & P H O N E #	HOSP NAME

FOR PASSENGER ACCIDENTS ONLY (CHECK APPROPRIATE BLOCKS):

PASSENGER WAS -	☐ -BOARDING	☐ -ALIGHTING	☐ -ON BOARD	☐ -AT FRONT DOOR	☐ -AT REAR DOOR
PASSENGER WAS -	☐ -STRUCK BY FRONT DOOR	☐ -STRUCK BY REAR DOOR			
PASSENGER FELL WITHIN BUS -	☐ -IN THE AISLE	☐ -ALIGHTING FRON FRONT DOOR	☐ -ALIGHTING FROM REAR DOOR		
PASSENGER FELL OUTSIDE BUS -	☐ -BOARDING AT FRONT DOOR	☐ -BOARDING AT REAR DOOR	☐ -FEET FM BUS		
AT TIME OF INCIDENT BUS WAS -	☐ -TURNING	☐ -STOPPING	☐ -STARTING	☐ - RUNNING STRAIGHT	☐ -STOPPED

INCIDENT DETAILS CONTINUED. ATTACH ADDITIONAL PAGES IF NEEDED:

CITY OF GAINESVILLE
EMPLOYEE NOTICE

PAGE 1 of 1	DATE FORM PREPARED: 1a) XX/XX/XX	DATE INFRACTION OCCURRED: 1b) XX/XX/XX	TIME INFRACTION OCCURRED: 2) X:XXam

EMPLOYEE'S NAME	EMPLOYEE ID NUMBER	DEPARTMENT: RTS
3) Operator Name	4) 12345	5) NUMBER: 680 UNIT: 6830

This notice is given to remind you to be more careful in your work and conduct, helping you avoid further disciplinary action.

"NATURE OF INFRACTION"

- ☐ ATTENDANCE
- ☒ SAFETY
- ☒ DEPARTMENT RULES
- ☐ CONDUCT
- ☐ WORK QUALITY
- ☐ WORK PERFORMANCE
- ☐ OTHER

6)

COMMENTS:

Violation of the City of Gainesville Personnel Policies and Procedures, Policy E-3, Rule(s) 23 & 30.

Rule 23 states, "Carelessness which affects the safety of personnel, equipment, tools, or property or causes materials, parts, or equipment to be damaged or scrapped.

Rule 30 states, "Violating a safety rule or safety practice".

7)

ACTION TAKEN

Employee will receive refresher safety training before returning to revenue service or full duty.

8)

RECORD SECTION

HAS EMPLOYEE BEEN WARNED BEFORE ABOUT THIS OFFENSE? ☐ YES ☐ NO 9)	ORAL WARNING ☐ DATE 10a)	WRITTEN WARNING ☐ DATE 10b)	EMPLOYEE NOTICE ☐ DATE 11)

REMARKS

Continued violations of this nature will result in progressive disciplinary action, up to and including dismissal.

12

ROUTING ORIGINAL TO: EMPLOYEE	PREPARED BY: (SUPERVISOR SIGNATURE) 13a)	SUPERVISOR'S NAME (PRINTED) 13b) Jason Bunce	
	APPROVED BY: (DIVISION) 14)	APPROVED BY: (DEPARTMENT) 15)	
COPIES TO: HUMAN RESOURCES DEPARTMENT	REVIEWED WITH HR/OD? 16) ☐ YES ☐ NO	DATE OF REVIEW WITH HR/OD: 17) XX/XX/XX	
	SIGNATURE OF EMPLOYEE ACKNOWLEDGING RECEIPT 18)		DATE DISCUSSED WITH EMPLOYEE 19)

7.4 NTD Reporting Threshold:

Non-Rail and Ferry Modes	Non-Rail and Ferry Modes
Fatalities • confirmed within 30 days • includes suicides **Injuries:** Immediate transport away from the scene for medical attention (1 or more persons). **Estimated property damage equal to or exceeding $25,000.**	**Collisions that** • meet an injury, fatality, property damage, or evacuation theshold; • involve transit revenue roadway vehicles and the towing away of any behicles (transit or non-transit) from the scene; • include suicides or attempted suicides that involve contact with a transit vehicle; or • do not involve a transit revenue vehicle but meet a threshold. **Evacuations** include • evacuation of a transit facility or vehicle for life-safety reason.

Major Event Thresholds

Fatality

Agencies must always report safety and security events that result in fatalities. For NTD purposes, a fatality is a death due to:

- collision (including suicides),
- derailment,
- fire,
- hazardous material spill,
- acts of God
- system or personal security event (including suicides), or
- other safety event.

Fatalities that occur because of illnesses or other natural causes (including individuals who are found deceased) are not reportable. For example, if a passenger suffers a fatal heart attack in a transit facility or vehicle, the event is not reportable to the NTD.

An agency must report a fatality due to a reportable safety and security event if it is confirmed within 30 days of the event. If an agency receives confirmation within 30 days of an event that a person reported as an injury has died due to the event, the agency reports a fatality rather than an injury. This may mean the agency has to update the submitted major event report.

Injury

For both non-rail and rail modes, any damage or harm to persons that requires immediate medical attention away from the scene because of a reportable event must be reported as an injury. Agencies

must report each person transported away from the scene for medical attention as an injury, whether or not the person appears to be injured.

For **rail mode events**, in addition to injuries requiring transport from the scene, injuries defined as **serious** are automatically reportable. Individuals with serious injuries may or may not have been transported away from the scene for medical attention. A serious injury is one that:

- requires hospitalization for more that 48 hours within 7 days of the event;
- results in a fracture of any bone (except simple fractures of fingers, toes, or nose);
- causes severe hemorrhages, or nerve, muscle, or tendon damage;
- involves an internal organ; or
- involves second- or third-degree burns, or any burns affecting more than five percent of the body surface.

For **Non-Rail Events or Rail-Mode Non-Serious Injuries** (defined below), if an individual seeks medical care several hours after an event or in the days following an event, that individual is not reportable as an injury.

A reportable injury requires that the individual receive medical attention at a location other than the location at which the event occurred. This distinction served to exclude minor first-aid or other minor medical assistance received at the scene. However, as noted above, this criterion does not pertain to Serious Injuries (rail modes) (defined below).

- **Serious injury:** Does not require transport away from the scene of the event. However, requires hospitalization for more than 48 hours within 7 days of the event; results in a fracture of any bone (except simple fractures of fingers, toes, or nose); causes severe hemorrhages, or nerve, muscle, or tendon damage; involves an internal organ; or involves second- or third-degree burns, or any burns affecting more than five percent of the body surface.
- **Non-serious injury:** When person receives immediate medical attention away from the event and does not meet a threshold for serious injury.

When a person receives immediate medical attention away from the event, that individual may seek medical attention through any means of vehicular transport, including transit vehicle, an ambulance, another emergency, or a private vehicle. However, the injury is not reportable if the person seeks medical attention by foot.

Not all events that result in immediate transport for medical attention are reported on the major event report. One exception is for Other Safety Events, which are events that are NOT collisions, fires, security events, hazardous material spills, acts of God, or derailments. These events include slips, trips, falls, smoke events, fumes, and electric shock. Agencies only report these events when they meet EITHER the fatality, evacuation, or property damage threshold OR results in tow or more injured persons. Other Safety Events that result in a person immediately transported from the scene for medical attention but do not trigger any other major reporting thresholds are reported on the Non-Major Summary Report.

Agencies do not report illnesses that require transport away from the scene for medical attention if the illness is unrelated to a safety and security event. For example, a passenger suffering a seizure or a heart attack would not count as an injury. However, a transit operator suffering the same condition is included as an injury if the condition results in a collision.

7.5 FDOT Reporting of Accidents involving 5310 Funded Vehicles:

RTS is required to notify their FDOT district office within 24 hours of any accident involving a 5310 funded vehicle in which FDOT is the lien holder. The following information is required:

1. Date of the accident.
2. Confirmation that Gainesville Regional Transit System conducted an accident investigation in accordance with your Safety Management System (SMS). This would include any additional training that may be needed as a result of this accident.
3. A copy of the accident report.

7.6 Corrective Action

Safety Department Review: The Safety department reviews all accident and incident reports. The Safety department will also initiate an investigation to determine causal or contributing factors for all events. Findings from the investigation that identify unacceptable hazards, will require a corrective action plan and will be placed on the Hazard Log. The Safety department will then forward findings to the appropriate departments to develop a corrective action plan (CAP) and fill out a CAP form for the identified hazard. The CAP form will be assigned a number and placed on hazard log with the corresponding hazard for tracking purposes. The Safety office will assist departments as needed with CAP's. The CAP form will be entered into Track-It to handle more efficiently.

The corrective action plan will contain:

a. Action to be taken.
b. Proposed completion date.
c. Individual or department responsible for implementation.

Investigations are a methodical search into an event where information relating to factors that may have caused or contributed to the event are discovered. The SMS uses a structured investigative process where evidence, contributing factors and root cause is recorded in the RTS SMS Report so that follow-on mitigating actions may be tracked.

A complete investigation is comprised of the following three stages being completed:

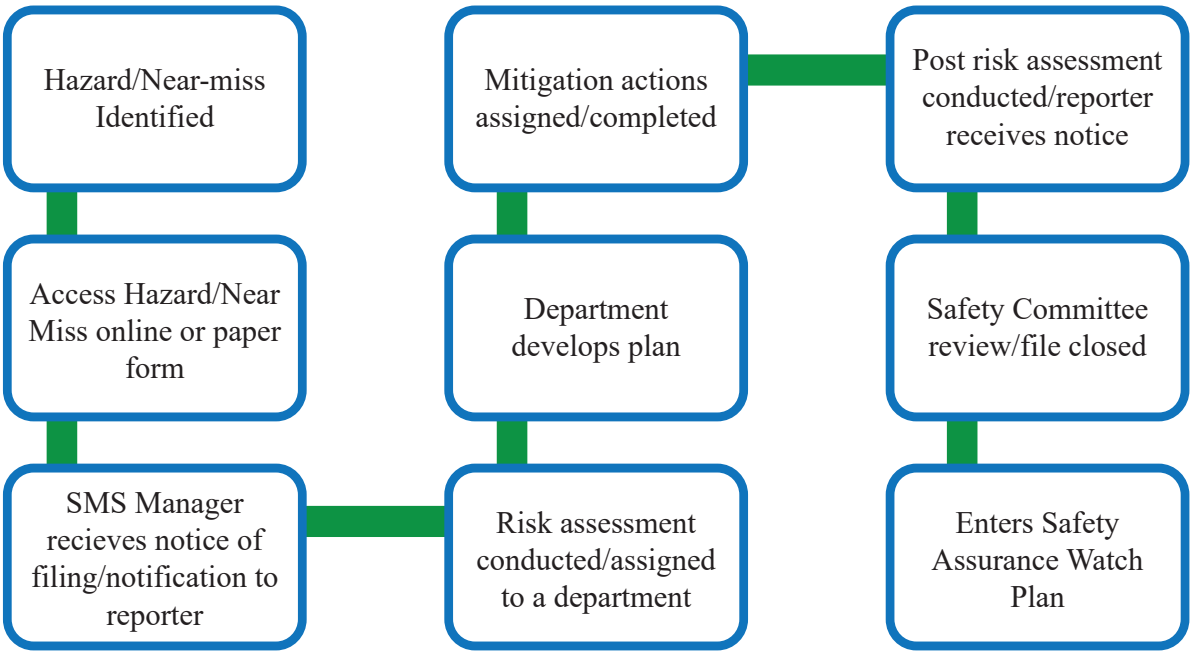
1. Investigation and interview stage: All relevant information is found.
2. Root Cause Stage: Contributing factors and root cause is determined and information is recorded in RTS Supervisor/ Safety Investigation Form.
3. Preventative strategies recommendations are prepared and recorded in SMS Report.

7.7 Near-Miss:

In order to promote the continuous safety performance improvement of the SMS, RTS will promptly and thoroughly investigate events that result in safety of transit risk, product, service, and employee safety risk. Near-miss incidents are investigated if it is not readily determined the root cause of the near-miss.

For near-miss reports, a full investigation may not be required. In this case, the SMS Manager, will determine the level of investigation appropriate to effectively address the report.

7.8 Hazard and Near-Miss Reporting



8. SMS Communication

Reference: Safety Management System

Purpose: To articulate a SMS communication strategy designed to establish regular SMS – related communications at all levels of the organization.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

General: The RTS SMS will use a variety of methods to communicate issues important to the operation of the SMS. This strategy will complement existing safety communication channels to make organization personnel aware of SMS-related safety issues and their roles and responsibilities related to those issues.

Effective communication is an essential requirement to ensure and demonstrate closed-loop communication (lessons-learned) from the SMS as a part of the continuous improvement of the SMS including:

- Ensuring that all staff are appropriately aware of the SMS
- Conveying SMS lessons/information
- Explaining why SMS related activities are introduced or changed
- Conveying SMS activity updates
- Educating personnel on procedure for hazard and near-miss reporting
- Promotion of the company's safety objectives, targets and culture

SMS communications methods vary, but will comprise both internal/external communication and awareness.

8.1 Internal Communication:

Internal communication/awareness may be accomplished through the use of:

- Notice boards
- Intranet postings
- Regular safety meetings and/or training sessions
- Telephone or email communications

8.2 External Communication:

RTS has determined that significant risks identified through the operation of the SMS will not be communicated to the general public unless required by federal, state or local regulations. Information regarding general SMS operation and specific risks identified will be communicated to the appropriate governing body as required only.

The head of Marketing or designee is responsible for media communications regarding SMS issues and in consultation with HR/legal departments where appropriate.
SMS site communication will consist of ad hoc and regularly established activities designed to communicate and reinforce SMS policy and related elements to all employees, to include:

- The importance of conformance and the potential consequences of non-conformance with SMS policy, processes or procedures.
- Individual roles and responsibilities in achieving conformance with the SMS process. The risks associated with work activities revealed from SMS data.
- Relevant output from management SMS reviews Local/site reported hazards/near-misses and incidents.
- Enterprise hazards/near-misses and incidents of note and relevance.
- Changing SMS requirements.
- SMS performance data.
- Key results of internal/external assessments and audits.
- Other information needed to support the SMS.

RTS is responsible for communicating events and safety information to all employees, as appropriate, utilizing authorized communication processes.

9. Training, Awareness & Competencies

Reference: Safety Management System.

Purpose: To establish a corporate-level approach which ensures that all employees have the appropriate level of knowledge about the RTS SMS and how the policies, processes and procedures affect how they perform their duties. This aspect of the SMS is a requirement for establishing initial competency and for on-going competence building. Additionally, this is a method for demonstration of the SMS and its contribution to safety culture development.

Responsibilities: See Chapter 2, Safety Responsibilities.

General: RTS will appropriately train employees at each relevant function and level so that they are aware of:

- The SMS Safety Policy.
- The SMS Safety Culture Policy.

- The SMS manual.
- The importance of conformance with the SMS.
- Individual roles and responsibilities specific to the SMS (Safety Accountabilities).
- General hazard reporting requirements of the SMS.
- General risk assessment procedure of the SMS.
- General accident/incident or near-miss reporting and investigation requirements.
- General responsibilities with respect to the SMS emergency preparedness and response plan.

RTS's SMS training takes into account different levels of responsibility and risk to ensure that there is an appropriate awareness among employees and managers as to what their role responsibilities are. In accordance with the above policy objectives, RTS will provide SMS training as follows:

- Senior Leaders/Accountable Managers/Senior Managers: Awareness of SMS roles and responsibilities, safety policy, safety culture policy, SMS requirements, related DOT/FTA regulations, management commitment and responsibilities, and safety performance monitoring responsibilities.
- Managers and Supervisors: SMS policy, SMS processes management, management commitment and responsibilities, hazard identification and risk management, safety performance monitoring responsibilities.
- Front-line personnel: SMS overview, safety policy, safety culture policy, safety reporting, hazard identification and risk assessment procedure, accident/incident investigation process.

9.1 Competencies:

Front-line employees and management competence within the SMS operations will be assured through continuous communication and involvement in the SMS as follows:

Employees shall be:

- Involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate.
- Consulted where there are workplace changes that occur as a result of SMS-related activities.
- Be represented in SMS matters at their location.
- Informed as to who their site safety council representatives are.
- Informed of significant issues arising from the operation of the SMS at their site; including lessons-learned from hazards, near-miss reports and accident/incident investigation findings.

Employee involvement shall be accomplished by:

- Submission of hazard reports.
- Involvement in risk assessment results and post-event investigation findings implementation.
- Participation in site safety performance monitoring.
- Participation in SMS assessments.

- Involvement in site safety councils.

Managers shall:

- Be involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate.
- Coordinate workplace changes that need to occur as a result of SMS-related activities.
- Lead resolution of SMS matters at their site/department.
- Direct their site safety council representatives in ad hoc and regular safety performance reviews.
- Coordinate resolution of significant issues arising from the operation of the SMS at their location, including lessons-learned from hazards, near-miss reports, and implementation of accident/incident investigation findings.
- Lead monthly site/department safety performance monitoring activities.

9.2 SMS Required Training Matrix:

SMS Function/Role	Required Training
RTS Leadership	SMS Orientation SMS Awareness (online course) Safety Assurance (E-learning)
Directors & Key Personnel	SMS Orientation SMS Awareness (online course) Safety Assurance (E-learning) SMS principles for transit (recommended)
SMS Managers	SMS Orientation Effective Event Investigation SMS Awareness (online course) Safety Assurance (E-learning) SMS principles for transit
Safety Committee Member	SMS Orientation Introduction to RTS
All Personnel	SMS Orientation Introduction to RTS

10. Information Management

Reference: Safety Management System.

Purpose: To establish the information management processes for the RTS SMS.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: For operation of the SMS, RTS establishes a process to respond to the requirement for information management to assist with the establishment and verification of the effectiveness of the SMS.

The SMS information management requirements in this chapter pertain to:

- Oversight of the RTS intranet site related to SMS
- Oversight/updates to the RTS SMS
- Oversight/updates to SMS manuals and other related documentation
- Oversight of SMS information generated through the routine monitoring of the SMS and associated operations

Operating an SMS generates a significant amount of data, documents, and reports. Proper management and record-keeping of such data is crucial for sustaining an effective SMS. Effective safety analysis is wholly dependent upon the availability and competent use of the safety data. Cross-functional safety data integration is a cornerstone of SMS achievement.

All SMS related records are maintained in such a way that they are:

- Legible, identifiable, and traceable to the activity, product, or service involved.
- Protected against damage, deterioration, and loss.
- Readily retrievable when required for internal review and/or audits from external organizations.

11. SMS Assessment

Reference: Safety Management System.

Purpose: To establish SMS assessment policy.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: This chapter provides the guidelines for evaluating the implementation, performance monitoring, and continuous improvement of the RTS SMS.

Assessments focus on the integrity of the organization's SMS, and periodically assesses the overall level of safety and the effectiveness of the safety performance monitoring functions of the SMS. SMS assessments are intended to measure effectiveness of the site/organization's safety management functions and activities and will ensure that the structure of the SMS is sound regarding oversight, procedural compliance, hazard identification, risk assessment, level of competency, and training.

Specifically, the SMS assessment process will examine:

- Overall effective SMS integration.
- Assignment of roles and responsibilities for SMS.
- Staff performance and accountability for safety.
- Management commitment and employee involvement.
- Compliance with SMS hazard/risk assessment process.
- Effectiveness of safety performance targets and indicators.
- Evidence of SMS continuous.
- Adequacy of employee training for SMS roles.
- Human and organization factors are addressed.

11.1 Assessment Period:

Assessment periods are 2-5 days given the size of the location and are conducted annually per site.

Scoring Criteria:

Level 1 – Present

Foundational components of a functional SMS are present.

Level 2 – Suitable

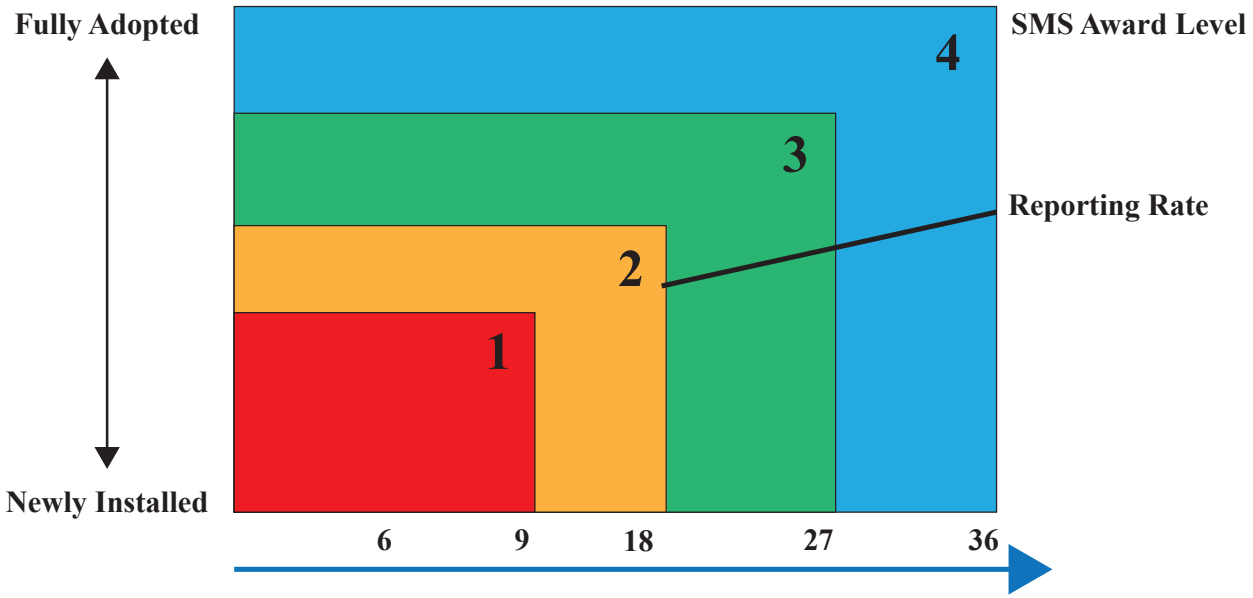
Components are suitable given the size and complexity of the organization written for and are capable of delivering the desired outcome.

Level 3 – Operating

There is evidence that the components and subsequent processes and procedures are being used properly.

Level 4 – Effective

There is objective evidence through safety performance monitoring that the program is reducing the risk footprint of the organization.



Record Retention: Copies of all assessment records are maintained in RTS-Network files V:drive and the agency's Safety and Security Office for a minimum period of 24 months.

12. Emergency Response Planning

Reference: Safety Management System

Purpose: To establish a plan for responding to an accident.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

General: RTS SMS requires proactive response to transit related incidents and accidents on the part of all employees.

Plan Review: Emergency Response Plan should be reviewed annually and after the occurrence of significant events. Certain practice drills are to be carried out every two years for emergency scenarios.

Response/Drill Critique: Emergency responses or drills are carried out by corporate Safety and Security personnel and the results thereof are recorded and shared in the interest of continuous improvement.

Potential changes to the response plan may be identified by the following methods:

- Review of accidents, incidents, and near-misses
- Risk assessment processes
- Appropriation request sign off process
- Internal evaluation
- External evaluation
- Assessments or audits

12.1 Emergency Response Planning

RTS PRIORITIES

The following represents the collective set of overarching priorities suggested by RTS for consideration. The combined effort of all City and County Departments will work collectively to ensure that as a community, these objectives are satisfied in the all hazards environment.

1. Ensure continuity of governance. Ensure and demonstrate to the public the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management opportunities.
2. Coordinate with critical partners. Maintain communications and interactions as necessary during a crisis, with critical partners and organizations, including the Federal government, State government, other local governments, private sector and non-profit organizations.
3. Maintain civil order and public safety. A) Protect people and property and the rule of law. B) Ensure basic civil rights, prevent crime and protect critical infrastructure.
4. Provide emergency services. Provide critical emergency services including: Emergency Management, Sheriff, Police, Fire, MEDIC and public safety communication services.
5. Maintain critical public infrastructure. Maintain critical public infrastructure, including but not limited to: water lines and plants; sanitary sewer; flood/storm water management; roads, transit and airport; emergency transportation; public safety buildings; and data centers.
6. Provide basic essential services. Ensure provision of basic essential services, including but not limited to: healthcare, water and sewer service, voice and data communications, IT services, transportation services, sanitation services, environmental protection, code enforcement/inspections, emergency housing, human services, and critical internal support functions.

The Transit Director, Operations Manager, Safety & Security Officer, Maintenance Manager and Customer Service Advocate are all points of contact for RTS Operations and emergency response and regulatory agencies.

12.2 CONCEPT OF OPERATION

Reference Continuity of Operations Plan (COOP)

13. Hazard Security Program Plan

Reference: Safety Management System.

Purpose: Hazard Security Program Plan (HSPP).

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities.

General: Reference HSPP.

In accordance with Rule 14-90, Gainesville Regional Transit System has adopted, and implemented a Hazard Security Program Plan (HSPP), which covers the security portion of the system safety program. The HSPP contains information about prevention, mitigation, preparedness, response, recovery, and associated organizational responsibilities.

The HSPP addresses the following hazard and security elements and requirements:

- Security policies, goals, and objectives
- Organization, roles, and responsibilities
- Emergency management processes and procedures for mitigation, preparedness, response, and recovery
- Procedures for investigation of events described under subsection 14-90.004(5), F.A.C.
- Procedures for the establishment of interfaces with emergency response organizations
- Procedures for inter-agency coordination with local law enforcement jurisdictions
- Requirements for private contract transit providers that engage in continuous or recurring transportation services for compensation as a result of a contractual agreement with the bus transit system.
- Procedures for HSPP maintenance and distribution.

The HSPP has been adopted separately from the SMS. Bus transit systems are prohibited by Section 119.071(3) (2), Florida Statutes, from publicly disclosing the HSPP, as applicable under any circumstance. The document is maintained in a secure location by the management and access to the document is restricted to select agency personnel and appropriate FDOT personnel exercising oversight in this area. On-site access to the HSPP is granted to regulatory authorities (FDOT, FTA, etc.) on an as-needed basis.

Select portions of the HSPP may be shared with employees depending on their job responsibilities.

14. Operator Selection, Qualification, Training & Testing

Reference: Safety Management System

Purpose: To establish a plan for selecting and training operators.

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

General: Gainesville Regional Transit System management is responsible for ensuring that the following minimum standards are met when hiring new drivers:

- Must possess a valid Class B Florida driving license with "P" endorsement or Class B temporary driving permit. Permit drivers are required to have a license prior to route training.
- Criminal background check (with local law enforcement and the Florida Department of Law Enforcement) and driving records check including, but not limited to, the following items:
  - ♦ Driving records

- ♦ Instant Social Security Number validations
- ♦ Instant identification of applicant's county of residence for the past seven years
- ♦ County felony criminal history checks for up to three counties per applicant and other criminal records checks
- ♦ Employment reference checks
- ♦ Personal reference check
- ♦ Workers' Compensation claims

- Complete employment application.
- Successful completion of pre-employment physical including an eye examination and drug screening test.
- Signed acknowledgment of receipt and agreement to comply with drug-free workplace policy.
- Signed acknowledgment of receipt and agreement to comply with SMS.
- Successful completion of required orientation, training and testing to demonstrate and ensure adequate skills and capabilities to safely operate each type of bus or bus combination before driving on a street or highway unsupervised.
- Signed acknowledgment of receipt and compliance with the following written operational and safety procedures ***before*** driving on a street or highway unsupervised:

  - ♦ Communication and handling of unsafe conditions, security threats, and emergencies.
  - ♦ Familiarization and operation of safety and emergency equipment, wheelchair lift equipment, and restraining devices.
  - ♦ Application and compliance with all applicable federal and state laws, rules and regulations.
  - ♦ Communications —Cellular and electronic devices policy
  - ♦ Drug free work place policy

- Drivers are required to write and submit a daily bus inspection report pursuant to Rule 14-90.006, F.A.C.
- Personnel licensed and authorized by the bus transit system to drive, move, or road test a bus in order to perform repairs or maintenance services when it has been determined that such temporary operation does not create unsafe operating conditions or create a hazard to public safety are not bound to the following two provisions:

  - ♦ Training and testing to demonstrate and ensure adequate skills and capabilities to safely operate each type of bus or bus combination before driving on a street or highway unsupervised.
  - ♦ Bus transit systems shall provide written operational and safety procedures to all bus drivers before driving on streets or highways unsupervised.

Noncompliance with any regulatory or agency-specific requirement may result in an employee administrative action up to and including termination of employment. It is the policy of Gainesville Regional Transit System to screen applicants to eliminate those that pose a safety or security threat to the agency or who would not be capable of carrying out agency safety and security policies.

All employees and drivers of Gainesville Regional Transit System are required to complete all training and testing requirements to demonstrate and ensure adequate skills and capabilities to safely operate each type of bus or bus combination before driving on a street or highway unsupervised.

A Certified Trainer is responsible for conducting and documenting all training and testing activities utilizing a certification process. Noncompliance with any regulatory or agency specific guideline or requirement may result in suspension or termination of employment. This section of the SMS discusses the training and testing programs to be administered by Human Resources or the Training Department

14.1 Initial Driver Training and Testing

Upon hire and prior to being placed into road service, all drivers are required to complete training and testing in the following areas:

1. Bus transit system safety and operational policies and procedures.
2. Operational bus and equipment inspections.
3. Bus equipment familiarization.
4. Radio procedures
5. Basic operations and maneuvering.
6. Boarding and alighting passengers.
7. Operation of wheelchair lift and other special equipment.
8. Defensive driving.
9. Passenger assistance and securement.
10. Handling of emergencies and security threats.
11. Security and threat awareness.
12. Driving conditions.
13. Use of electronic devices, consistent with RTS Electronic Device Policy.
14. Blood borne pathogens and other occupational exposure to health hazards.
15. Substance abuse policy.

In addition, new drivers are required to successfully undergo a road test with an experienced driver. A new-hire check-off list must be completed to ensure the employee has received all required Rule 14-90, FAC (and those identified in this SMS) training and information before going on the road by themselves.

After successful completion of each training and testing module, RTS is required to document the satisfactory completion of each of their employee's training and maintain the training records. Certificates of completion issued are to be maintained in the driver's file for a minimum of 4 years.

All newly hired employees are also provided instructional training in the following areas:

- **General rules:** General rules of the agency including employee conduct codes.
- **Customer service:** Covers expectations of employees when dealing with the public; includes instruction on how and to whom to report security incidents, and types of individuals or situations to be aware of and report.
- **Fare handling:** Covers fare collection procedures and provides instruction in dealing with fare disputes, conflict resolution, and notification of security personnel.
- **Radio procedures:** Provides instruction on radio procedure for both routine and emergency radio traffic. Includes instruction on reporting crimes, suspicious acts, and potentially hazardous situations.

14.2 Driver Safety Training and Testing:

RTS has developed and maintains an Operator Development Training Program that may be used for new hire training and testing of employees. This manual provides extensive coverage of all areas noted above.

On-Going/Refresher Training and Testing:
On-going/refresher training and testing sessions will be conducted a minimum of every year. The drivers are required to attend training and testing in all areas specified by Rule 14-90, at least once every two years. All training and testing activities are to be recorded and retained in files for a minimum of four years.

Remedial Training and Testing:
Gainesville Regional Transit System requires remedial training for drivers who have been involved in a preventable accident or have developed unsafe driving behavior or other driving problems. Other causes for remedial training may include persistent customer complaints, supervisor recommendations, or a result of ongoing evaluations. Depending on the circumstances, trained personnel will determine the appropriate remedial training and testing, the results of which will also be documented and retained in files.

NIMS Training:
The National Incident Management System (NIMS) provides a consistent nationwide template to enable all government, private-sector, and nongovernmental organizations to work together during domestic incidents (http://www.fema.gov/emergency/nims/). The NIMS system requires that transit agencies comply with a number of specific activities to ensure personnel who will be conducting activities in response to emergencies use the standard Incident Command System (ICS).
Gainesville Regional Transit System's Security Program Plan (SPP) requires that some management staff take available NIMS training to understand this requirement and to coordinate regularly with outside organizations to prepare for coordinated responses to incidents.

14.3 Medical Exams for Bus Transit System Drivers:

This section of the SMS establishes the medical examination qualification standards for use by RTS. RTS is adopting the FDOT medical examination qualification standards, consistent with Section 14-90.0041, FAC.

Medical examination requirements include a pre-employment examination for applicants, an examination at least once every two years for existing drivers, and a return to duty examination for any driver prior to returning to duty after having been off duty for 30 or more days due to an illness, medical condition, or injury.

- Medical examinations will be performed and recorded according to FDOT Form Number 725-030-11, Medical Examination Report for Bus Transit System Driver, Rev. 9/10, included in Appendix E.
- Medical examinations will be performed by a Doctor of Medicine or Osteopathy, Physician Assistant, or Advanced Registered Nurse Practitioner licensed or certified by the State of Florida. If medical examinations are performed by a Physician Assistant or Advanced Registered Nurse Practitioner, they must be performed under the supervision or review of a Doctor of Medicine or Osteopathy.

- An ophthalmologist or optometrist licensed by the State of Florida may perform as much of the medical examination as it pertains to visual acuity, field of vision, and color recognition.
- Upon completion of the medical examination, the examiner shall complete, sign, and date the medical examination form and maintain the original at his or her office.
- Upon completion of the medical examination, the examiner shall complete, sign, and date the medical examination certificate and provide a copy.
- Upon completion of the medical examination the driver shall provide their driver license number, signature, and date on the medical examination certificate.
- Completed and signed medical examination certificate for each bus driver, dated within the past 24 months, will be maintained on file for a minimum of four years from the date of the examination.
- RTS will not allow a driver to operate a transit bus without having on file a completed medical examination certificate dated within the past 24 months.

14.4 Operating and Driving Requirements:

RTS is responsible for overall compliance with all operating and driving requirements.

It is the responsibility of RTS to ensure that employees who perform driving and/or operational duties strictly adhere to the following requirements:

- Under no circumstances is an employee allowed to operate a vehicle without having the appropriate and valid driver's license in his or her possession.
- Employees are not permitted to drive a bus when his or her driver's license has been suspended, canceled, or revoked. An employee who receives a notice that his or her license to operate a motor vehicle has been suspended, canceled, or revoked is required to notify his or her supervisor of the contents of the notice immediately, if possible, otherwise no later than the end of the business day following the day he or she received the notice. Violation of this policy may result in disciplinary actions including termination of employment.
    - ♦ Gainesville Regional Transit System will annually check Motor Vehicle Records (MVR) for drivers for investigating information on license suspensions, revocations, accidents, traffic violations, unpaid summons, etc. Gainesville Regional Transit System may also check driver license status of each driver utilizing the Florida Department of Highway Safety and Motor Vehicles website - https://www6.hsmv.state.fl.us/DLCheck/main.jsp.
- Buses must be operated at all times in compliance with applicable traffic regulations, ordinances, and laws of the jurisdiction in which they are being operated.
- Rule 14-90, FAC defines "On Duty" and "Off Duty" status of drivers as follows -
    - ► "On Duty" means the status of the driver from the time he or she begins work, or is required to be in readiness to work, until the time the driver is relieved from work and all responsibility for performing work. "On Duty" includes all time spent by the driver as follows:
        - (a) Waiting to be dispatched at bus transit system terminals, facilities, or other private or public property, unless the driver has been completely relieved from duty by the bus transit system.
        - (b) Inspecting, servicing, or conditioning any vehicle.

- (c) Driving.
- (d) Remaining in readiness to operate a vehicle (stand-by).
- (e) Repairing, obtaining assistance, or remaining in attendance in or about a disabled vehicle.

► "Off-Duty" means any time the driver is not on duty, required to be in readiness to work, or under any responsibility to perform work. Such time shall not be counted towards the maximum allowed on-duty hours within a 24-hour period.

- Drivers are not permitted to drive more than 12 hours in a 24-hour period, or drive after having been on duty for 16 hours in a 24-hour period. A driver is not permitted to drive until the requirement of a minimum eight consecutive hours of off-duty time has been fulfilled. A driver's work period begins from the time he or she first reports for duty to his or her employer. A driver is permitted to exceed his or her regulated hours in order to reach a regularly established relief or dispatch point, provided the additional driving time does not exceed one hour.
- Drivers are not permitted to be on duty more than 72 hours in any period of seven consecutive days; however, any 24 consecutive hours of off duty time shall constitute the end of any such period of seven consecutive days. A driver who has reached the maximum 72 hours of on duty time during the seven consecutive days is required to have a minimum of 24 consecutive hours of off duty time prior to returning to on duty status.
- A driver is permitted to drive for more than the regulated hours for the safety and protection of the public when conditions such as adverse weather, disaster, security threat, a road or traffic condition, medical emergency, or an accident occur.
- Drivers are not permitted to drive a bus when his or her ability is impaired, or likely to be impaired, by fatigue, illness, or other causes, likely to create an unsafe condition.
- Drivers will not report for duty or operate any vehicle while under the influence of alcohol or any other substance, legal or illegal, that may impair driving ability. All employees are required to comply with agency's Substance Abuse Policy.
- Drivers are required to conduct daily vehicle inspections and reporting of all defects and deficiencies likely to affect safe operation or cause mechanical malfunctions.
- Drivers are required to immediately report any defect or deficiency that may affect safe operations or cause mechanical malfunctions. Any defect or deficiency found shall be properly documented on a Daily Vehicle Inspection (DVI) form and should be submitted to the Maintenance Department.
- Each maintenance department will review daily inspection reports and document corrective actions taken as a result of any deficiencies identified by daily inspections.
- A bus with any passenger doors in the open position will not be operated with passengers aboard. The doors will not be opened until the bus is stopped. A bus with any inoperable passenger door will not be operated with passengers aboard, except to move a bus to a safe location.
- Drivers will ensure that during darkness, interior lighting and lighting in step wells on buses shall be sufficient for passengers to enter and exit safely. Adherence to pre-trip inspection requirements help insure the ability of this requirement to be met.

- Passengers will not be permitted in the step wells of any bus while the bus is in motion, or to occupy an area forward of the standee line.
- Passengers will not be permitted to stand on buses not designed and constructed for that purpose.
- Buses will not be refueled in a closed building. No bus shall be fueled when passengers are being carried.
- Drivers are required to be properly secured to the driver's seat with a restraining belt at all times while the bus is in motion.
- Buses will not be left unattended with passengers aboard for longer than 15 minutes. The parking or holding brake device will be properly set at any time the bus is left unattended.
- Buses will not be left unattended in an unsafe condition with passengers aboard at any time.
- Drivers are prohibited from leaving keys in the vehicle for any reason at any time the bus is left unattended. Except during summer weather when clients are left on board while the driver exits to locate or deliver another client.
- Transit vehicles will not be used at any time for uses other than those that are authorized and permitted according to state and federal program requirements.

Noncompliance with these requirements may result in disciplinary actions, including termination of employment.

15. Maintenance Plan

Reference: Safety Management System

Purpose: To establish a vehicle maintenance program

Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

General: RTS provides a maintenance plan, RTS ensures that the maintenance program is consistent with Section 14-90.004(3)(h). The RTS vehicle maintenance program ensures that all buses operated, and all parts and accessories on such buses, including those specified in Section 14-90.007, FAC, and any additional parts and accessories which may affect safety of operation, including frame and frame assemblies, suspension systems, axles and attaching parts, wheels and rims, and steering systems, are regularly and systematically inspected, maintained, and lubricated to standards that meet or exceed the bus manufacturer's recommendations and requirements. RTS is responsible for ensuring that the Maintenance Plan is implemented and that all vehicles operated are regularly and systematically inspected, maintained, and lubricated according to the agency's Maintenance Plan and Preventative Maintenance Guidelines.

15.1 Pre trip/ Post trip:

System drivers are required to perform daily vehicle inspections prior to operating the assigned vehicle, during routes, and after all route schedules are completed. The pre-trip inspection includes an inspection of the following parts and devices to ascertain that they are in safe condition and in good working order:

- Service brakes

- Parking brakes
- Tires and wheels
- Steering
- Horn
- Lighting devices
- Windshield wipers
- Rear vision mirrors
- Passenger doors
- Exhaust system
- Equipment for transporting wheelchairs
- Safety, security, and emergency equipment
- Working speedometer

During the scheduled trips and at the end of the day, the operator will note any additional findings and submit the daily vehicle inspection forms. The process and forms to be utilized for daily vehicle inspections is included in the agency's preventative maintenance guidelines. The daily vehicle inspection forms must be complete with the operator's signature and a check in each box to document that the items are "OK" or a defect is noted in the comments section. If the driver finds any mechanical or other problems that could compromise the safety of the vehicle at any point, the drivers will immediately inform the Maintenance Department and the vehicle will not be scheduled for service until repaired. Failure to report deficiencies by drivers may result in an administrative action taken against the employee.

The Maintenance Department will review the daily inspections and document the corrective actions taken as a result of any deficiencies identified by the operator. Daily inspection records will be retained for a minimum of two weeks at the facility. Once defects are noted they will be prioritized and sorted into categories for repairs. Once a defect is noted on the inspection form and repaired, the documentation will be attached to the work/repair order and filed in the maintenance files.

15.2 Preventive Maintenance:

A preventative maintenance schedule is implemented to inspect for safety hazards and to maintain vehicles in a manner conforming to safety regulations. Gainesville Regional Transit System will perform scheduled preventive maintenance on all vehicles at every 6,000-mile interval following the sequence "A", -"B", -"A"-"C", "D", "E", and "F" according to the agency's maintenance plan. As preventative maintenance inspections are scheduled by projected mileage, the agency will allow ±500 mile deviations in mileage interval, so long as the actual mileage interval meets the manufacturer's recommended maintenance schedule Vehicles are scheduled in "A," "B," "C ", "D", "E" and "F" inspections. These will be performed at 6,000, 12,000, 24,000, 48,000, 96,000 and 192,000 miles throughout the useful life of the vehicle in the following the sequence:

A 6,000	B 12,000	A 18,000	C 24,000	A 30,000	B 36,000
A 6,000	D 48,000	A 54,000	B 60,000	A 66,000	C 72,000
A 78,000	B 84,000	A 90,000	E 96,000	A 102,000	B 108,000
A 114,000	C 120,000	A 126,000	B 132,000	A 138,000	D 144,000
A 150,000	B 156,000	A 162,000	C 168,000	A 174,000	B 180,000
A 186,000	F 192,000				

When a vehicle is due for an inspection, it will be taken out of service until the inspection is completed. This allows a series of repairs to be carried out while minimizing costs and optimizing the number of operational vehicles. If a vehicle is "down" for an extended period of time due to unavoidable circumstances, preventative maintenance will be temporarily suspended until the vehicle can be returned to service. However, the annual inspection will be conducted on all vehicles regardless of "up/down" status and/or mileage accrued.
Each vehicle will have a written record documenting preventive maintenance, regular maintenance, inspections, lubrication and repairs performed. Such records will be maintained for at least four years and include, at a minimum, the following information:

- Identification of the bus, the make, model, and license number or other means of positive identification and ownership.
- Date, mileage, description, and each type of inspection, maintenance, lubrication, or repair performed.
- If not owned by Gainesville Regional Transit System, the name of any person furnishing a bus.
- The name and address of any entity or contractor performing an inspection, maintenance, lubrication, or repair.

For tracking purposes, a maintenance log will be kept containing vehicle ID, make and type of vehicle, year, model, special equipment, inspections, maintenance and lubrication intervals, and date or mileage when services are due.

15.3 Contractor/Lessee Oversight Procedures:

All contractors will be trained on, included in and will comply with this plan. When a contractor/lessee is responsible for maintaining RTS vehicles, the contractor must follow the RTS maintenance plan. The maintenance activities of the contractor will be monitored by performing annual vehicle inspections (quality assurance checks) and preventative maintenance audits on approximately 25% of the leased vehicles. (See example of inspection form below.) Periodic inspections of the contractor's facility by a designated representative are performed to ensure the conditions are adequate to meet their contractual obligations.

15.4 Contractor/Lessee Maintenance Plan:

The function of the maintenance plan is to provide a consistent systematic program to properly maintain and service vehicles to meet or exceed the manufacturer's recommended maintenance schedule. MV Transportation's vehicle maintenance program will ensure that all buses operated, and all parts and accessories on such buses, including those specified in Rule 14-90.007, F.A.C., and any additional parts and accessories which may affect safety of operation, including frame and frame assemblies, suspension systems, axles and attaching parts, wheels and rims, and steering systems, are regularly and systematically inspected, maintained, and lubricated to standards that meet or exceed the bus manufacturer's recommendations and requirements. The Maintenance Manager is responsible for ensuring that all vehicles operated are regularly and systematically inspected, maintained, and lubricated according to agency's Maintenance Plan and Preventative Maintenance Guidelines.

15.5 Contractor/ Lessee Preventive Maintenance:

A preventative maintenance schedule is implemented to inspect for safety hazards and to maintain vehicles in a manner conforming to safety regulations. MV Transportation will perform scheduled preventative maintenance on all vehicles at every 3,000-mile interval following the sequence "A"-"A"-"A"-"B"-"A"-"A"-"A"-"C"-"A"-"A"-"A"-"D", or every 90 days when the vehicle doesn't reach 3,000 miles. As preventative maintenance inspections are scheduled by projected mileage, the agency will allow ±300 mile deviations in mileage interval, so long as the actual mileage interval meets the manufacturer's recommended maintenance schedule. Inspection A will be performed every 3,000 miles, inspection B will be performed every 12,000 miles, and inspection C will be performed every 24,000 miles on each vehicle. MV Transportation's A inspection covers all sections required by Florida Rule 14-90 Safety Inspection. The first A inspection of the year will be marked as the required yearly safety inspection. When a vehicle is due for an inspection, it will be taken out of service until the inspection is completed. This allows a series of repairs to be carried out while minimizing costs and optimizing the number of operational vehicles. If a vehicle is "down" for an extended period of time due to unavoidable circumstances, preventative maintenance will not be scheduled. However, the annual inspection will be conducted on all vehicles regardless of "up/down" status and/or mileage accrued.

The Maintenance Manager will regularly perform Quality Control (QC)/Quality Assurance (QA) checks to ensure that the inspections and repairs, both in-house and contracted, are completed and documented properly. Each vehicle will have a written record documenting preventative maintenance, regular maintenance, inspections, lubrication and repairs performed. Such records will be maintained for at least five years and include, at a minimum, the following information:

- Identification of the bus, the make, model, and license number or other means of positive identification and ownership.
- Date, mileage, description, and each type of inspection, maintenance, lubrication, or repair performed.
- If not owned by MV Transportation, the name of any person furnishing a bus.
- The name and address of any entity or contractor performing an inspection, maintenance, lubrication, or repair.

For tracking purposes, a maintenance log will be kept containing vehicle ID, make and type of vehicle, year, model, special equipment, inspections, maintenance and lubrication intervals, and date or mileage when services are due.

15.6 Bus Safety Inspections and Safety/Security Inspections and Reviews:

RTS is responsible for the annual inspection of vehicles in accordance with Section 14.90.009. Inspections are completed by maintenance personnel or an ASE Master Certified Mechanic who is knowledgeable of and has mastered the methods, procedures, tools, and equipment used when performing an inspection. In addition, the inspectors used by subcontractors have had a least one year of training and/or experience as a mechanic or inspector in a vehicle maintenance program. Each year, RTS conducts their annual review to ensure complete inspections and properly documenting and maintain vehicle inspection reports.

RTS maintains records of these inspections, including reports and any corresponding corrective actions assigned to their contractors.

Gainesville Regional Transit System will work closely with regulatory agencies (FDOT, FTA, etc.) when external audit notifications are received and allocate resources, as necessary, to facilitate the audits.

15.7 Information Management:

The work order, also referred to as a repair order, is the backbone of any maintenance performance monitoring program. Information on all aspects of maintenance performance can be obtained from work orders. RTS maintenance utilizes fleet management software to enter work orders into a computerized management information system (MIS), which summarizes data and identifies recurring problems.

15.8 Material Handling:

RTS provides employees with instruction on safe handling, first aid treatment, emergency procedures, and proper clean up procedures of chemicals in the workplace. Also knowing the potential flammability, explosion, and reactivity of chemicals in the workplace are the rights of the employees under the Right-To-Know-Law.

15.9 Material Safety Data Sheets:

All chemicals, lubricants, cleaners etc., purchased must accompany a Material Safety Data Sheet (MSDS). An MSDS binder will be maintained and made available to the employee upon request. The binder will have a cover sheet index for quick reference in case of an emergency.

When a chemical is taken out of inventory the MSDS sheet will be taken out of the binders and placed in a dead file. All MSDS sheets must be kept on file for thirty years.

When purchasing products for different functions careful consideration will be taken as to the toxicity and flammability of chemicals used. Environmentally friendly products will be taken into consideration when purchasing products. Some include:

- Propylene-glycol antifreeze
- Re-refined motor oil
- Retread tires
- Water-based part cleaner and brake cleaner
- Reconditioned batteries

Warranty:

The fleet management software contains an inventory management system that provides information to initiate warranty claims. The warranty, recovery, warranty records, and annual summaries of warranty claims are submitted, received and will be maintained by the transit agency.

Warranty repairs will be identified by maintaining a list of items from the manufacturer that are under warranty and when the warranty expires. When a component fails it can be checked against the list for time and/or mileage to determine if it is still under warranty. Documentation of warranty repairs, claims, and a recovery program will be kept on file to guarantee the cost of the defects under warranty is paid by the equipment manufacturer and not the agency. All warranty claims will be pursued until the claim is settled.

On Site Fueling:

RTS will keep on file:

- The storage tank fuel inventory including tank water level.
- Monthly leak detection results.
- Monthly maintenance visual examinations.
- A copy of all test data results. Tightness, pressure and integrity.
- Repair, operation and maintenance records.
- Certificate of Financial Responsibility

Appendix

A. Intranet Safety/Hazard Reporting
B. Safety/Hazard Reporting
C. Corrective Action Plan (CAP) & Hazard Log
D. Incident Report
E. Accident Report
F. Near Miss Report
G. SMS Self-Inspection
H. Records Management
I. Vehicle Standards & Procurement Criteria
J. Pandemic Plan

Appendix A

Intranet Hazard Reporting utilizing Track-It SMS Software

1. Go to https://www.trackitmanager.com/RTS/Website/Incident/Event.aspx?id=MI_IncidentControl

Appendix B

Hazard Report

Track it Manager

One significant way employees can participate in a safety program is to report observed hazards, incidents, or accidents or near misses. The safety suggestion website facilitates the easy of reporting events, speeds up the process to ensure that all events receive the appropriate attention and investigation.

All reports are treated as strictly confidential. The reporter may remain anonymous if they choose. However, in many cases, more information may be required; it is preferred that the reporter identify themselves. In other cases, the employee may request feedback on what, if any, action was taken or planned. Employees who choose to remain anonymous will only receive feedback by means of a general notification or other normal communications.

NON-PUNITIVE REPORTING – In accordance with agency guidelines employees who report mishaps, risk exposures, safety hazards, incidents, or accidents will not be subject to disciplinary action by the agency.

Nevertheless, there are exceptions such as the following (which could create or worsen risk exposures):

- Accident or Incident that are reported which employees are required to report as part of the Standard Operating Procedure or other agency policies;
- Premeditated or intentional acts of violence against people or damage to equipment/property;
- Actions or decisions involving material negligence which, in the airport's judgment, no reasonably prudent employee of relevant training and experience would take; or
- Failure to report safety incident or risk exposures as required by agency operating procedures and/or this policy.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. Alternately, employees who make honest mistakes or misjudgments will not be subject to blame provided that they report such incidents in a proper fashion and timely.

Track it Manager

One significant way employees can participate in a safety program is to report observed hazards, incidents, or accidents or near misses. The safety suggestion website facilitates the easy of reporting events, speeds up the process to ensure that all events receive the appropriate attention and investigation.

All reports are treated as strictly confidential. The reporter may remain anonymous if they choose. However, in many cases, more information may be required; it is preferred that the reporter identify themselves. In other cases, the employee may request feedback on what, if any, action was taken or planned. Employees who choose to remain anonymous will only receive feedback by means of a general notification or other normal communications.

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Nevertheless, there are exceptions such as the following (which could create or worsen risk exposures):

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- Premeditated or intentional acts of violence against people or damage to equipment/property;
- Actions or decisions involving material negligence which, in the airport's judgment, no reasonably prudent employee of relevant training and experience would take; or
- Failure to report safety incident or risk exposures as required by agency operating procedures and/or this policy.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. Alternately, employees who make honest mistakes or misjudgments will not be subject to blame provided that they report such incidents in a proper fashion and timely.

Appendix C

Corrective Action Plan

☐ Non-Conformance Report# _____ ☐ Corrective Action Plan # _____ ☐ Preventive Action Plan # _____	Originator:

Current or Potential Category:

☐ RTS Performance Goals
☐ Quality
☐ Environmental Management
☐ Safety Management System
☐ Quality Performance Management
☐ Process/ Procedures

Issue was Identified by:

☐ Audit ☐ Incident Investigation ☐ Safety Committee ☐ Other

Description of Non – Conformance/ Safety Hazard (Initial Hazard Rating):

Assigned to:_____ Date assigned:_____

Signature:_____ Proposed Completion Date:_____

Corrective/ Preventive Action Plan:
(Required for safety hazards)

CAP Approved by: *Does corrective action reduce or eliminate exposure to hazard or correct the issue?*

_____ _____ _____

Print Name Signature Date

Hazard Risk Log - Utilize Risk Matrix Below

SR #	Hazard/Risk Description	Identified Date:	Identified By:	Impacts of Risk	Location	Ratings	Action Plan	Target Date	Status
EXMPL.. 001	Pulling off too quick	10/22/2019	Customer Service Dept.	Medium	Bus 577, Rt. 33	Likelihood - 4 Impact - serious Severity - C	Conduct re-fresher training for Operators. Show the # of claims we get from the hazard. Teach patience		Open

		Risk Severity				
		A	B	C	D	E
	Risk Probability	Catastrophic	Hazardous	Moderate	Minor	Negligible
5	Frequent	5A	5B	5C	5D	5E
4	Occasional	4A	4B	4C	4D	4E
3	Remote	3A	3B	3C	3D	3E
2	Improbable	2A	2B	2C	2D	2E
1	Extremely Improbable	1A	1B	1C	1D	1E

Resolution Requirements

High	Unacceptable	Correction required
Serious	Undesirable	Correction may be required, decision by management
Medium	Acceptable with review	With review and documentation by management
Low	Acceptable	Without review
Eliminated	Acceptable	No action needed

Appendix D

RTS Incident Form

REGIONAL TRANSIT SYSTEM
INCIDENT REPORT

DATE	TIME	NAME(S) OF EMPLOYEE(S) INVOLVED IN THE INCIDENT

LOCATION (HUNDRED BLOCK, QUADRANT, STREET NAME, CROSS STREET, LANDMARK)

VEHICLE#	ROUTE	DIR. OF TRAV	#PASSENGERS	# COURTESY CARDS

WEATHER: CLEAR - FOG - RAIN - SNOW - WINDY

LIGHTING: DARK - DAWN - DAYLIGHT - DUSK

STATE THE DETAILS OF THE INCIDENT CLEARLY. CONTINUE ON PAGE 2 IF NEEDED:

REPORTING EMPLOYEE'S NAME	REPORTING EMPLOYEE'S SIGNATURE

COMPLETE THE BACK OF THIS REPORT ALSO

FORM REVISED 30 JAN 2018 Page 1

REGIONAL TRANSIT SYSTEM
SUPERVISOR'S INCIDENT REPORT

INJURIES (CHECK APPROPRIATE BLOCKS, ATTACH ADDITIONAL PAGES IF NECESSARY):

BUS PAS	OTH VEH	PED	EMP	N A M E, A D D R E S S, & P H O N E #	HOSP NAME

FOR PASSENGER ACCIDENTS ONLY (CHECK APPROPRIATE BLOCKS):

PASSENGER WAS -	☐ -BOARDING	☐ -ALIGHTING	☐ -ON BOARD	☐ -AT FRONT DOOR	☐ -AT REAR DOOR
PASSENGER WAS -	☐ -STRUCK BY FRONT DOOR	☐ -STRUCK BY REAR DOOR			
PASSENGER FELL WITHIN BUS -	☐ -IN THE AISLE	☐ -ALIGHTING FRON FRONT DOOR	☐ -ALIGHTING FROM REAR DOOR		
PASSENGER FELL OUTSIDE BUS -	☐ -BOARDING AT FRONT DOOR	☐ -BOARDING AT REAR DOOR	☐ -FEET FM BUS		
AT TIME OF INCIDENT BUS WAS -	☐ -TURNING	☐ -STOPPING	☐ -STARTING	☐ - RUNNING STRAIGHT	☐ -STOPPED

INCIDENT DETAILS CONTINUED. ATTACH ADDITIONAL PAGES IF NEEDED:

Appendix E

Accident Investigation Report

This document will be replaced by utilizing tablets and Track-It SMS software

REGIONAL TRANSIT SYSTEM
INCIDENT REPORT

DATE	TIME	NAME(S) OF EMPLOYEE(S) INVOLVED IN THE INCIDENT

LOCATION (HUNDRED BLOCK, QUADRANT, STREET NAME, CROSS STREET, LANDMARK)

VEHICLE#	ROUTE	DIR. OF TRAV	#PASSENGERS	# COURTESY CARDS

WEATHER: CLEAR - FOG - RAIN - SNOW - WINDY

LIGHTING: DARK - DAWN - DAYLIGHT - DUSK

STATE THE DETAILS OF THE INCIDENT CLEARLY. CONTINUE ON PAGE 2 IF NEEDED:

REPORTING EMPLOYEE'S NAME	REPORTING EMPLOYEE'S SIGNATURE

COMPLETE THE BACK OF THIS REPORT ALSO

FORM REVISED 30 JAN 2018 Page 1

Appendix F

RTS Near Miss Form

Track it Manager

One significant way employees can participate in a safety program is to report observed hazards, incidents, or accidents or near misses. The safety suggestion website facilitates the easy of reporting events, speeds up the process to ensure that all events receive the appropriate attention and investigation.

All reports are treated as strictly confidential. The reporter may remain anonymous if they choose. However, in many cases, more information may be required; it is preferred that the reporter identify themselves. In other cases, the employee may request feedback on what, if any, action was taken or planned. Employees who choose to remain anonymous will only receive feedback by means of a general notification or other normal communications.

NON-PUNITIVE REPORTING – In accordance with agency guidelines employees who report mishaps, risk exposures, safety hazards, incidents, or accidents will not be subject to disciplinary action by the agency.

Nevertheless, there are exceptions such as the following (which could create or worsen risk exposures):

- Accident or Incident that are reported which employees are required to report as part of the Standard Operating Procedure or other agency policies;
- Premeditated or intentional acts of violence against people or damage to equipment/property;
- Actions or decisions involving material negligence which, in the airport's judgment, no reasonably prudent employee of relevant training and experience would take; or
- Failure to report safety incident or risk exposures as required by agency operating procedures and/or this policy.

Employees who act irresponsibly in one of these ways remain exposed to disciplinary action. Alternately, employees who make honest mistakes or misjudgments will not be subject to blame provided that they report such incidents in a proper fashion and timely.

Anonymous ☐

Name

Email

Phone

Request feedback ○ Yes ◉ No

Work Location

Type -Select Type-

Safety Issue/Suggestion

Where is it happening?

When is it happening?

What "benefit is expected" if suggestion is implemented?

Submit

Appendix G

SAFETY MANAGEMENT SYSTEM GAP ANALYSIS						
RTS SAFETY MANAGEMENT SYSTEM GAP ANALYSIS						
Component 1— Safety Policy and Objectives						
Element 1.1 — Management Commitment and Responsibility						
No.	Aspect to be analyzed or question to be answered	Answer	Status of implementation	Implementation Target Date	Reference Document	Action Required
1.1-1	Is there a safety policy in place?	YES ✓	Implemented		RTS SSPP PTASP	
		NO				
		PARTIALLY				
1.1-2	Does the safety policy reflect management's commitment of safety management?	YES ✓	Implemented			
		NO				
		PARTIALLY				
1.1-3	Is the safety policy appropriate to the size, nature and complexity of the organization?	YES ✓	Implemented			
		NO				
		PARTIALLY				
1.1-4	Is the safety policy relevant to Transit safety?	YES ✓	Implemented			
		NO				
		PARTIALLY				
1.1-5	Has the safety policy been signed by the accountable executive?	YES ✓	Implemented			
		NO				
		PARTIALLY				

1.1-6	Has the safety policy been communicated, with visible endorsement, throughout the organization?	YES ✓	Implemented			
		NO				
		PARTIALLY				
1.1-7	Is the safety policy being periodically reviewed to ensure that it remains relevant and appropriate to the organization?	YES✓	Implemented			
		NO				
		PARTIALLY				

Element 1.2 — Safety Accountabilities						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
1.2-1	Has RTS identified an accountable executive, irrespective of other functions, who shall have ultimate responsibility and accountability for the implementation and maintenance of SMS?	YES ✓ NO PARTIALLY	Implemented			
1.2-2	Does the accountable executive have full control of the financial and human resources?	YES ✓ NO PARTIALLY	Implemented			
1.2-3	Does the accountable executive have final authority over all activities of his organization?	Yes ✓ NO PARTIALLY	Implemented			

1.2-4	Has RTS identified and documented safety accountabilities of management as well as operational personnel, with respect to the SMS?	YES ✓ NO PARTIALLY	Implemented			
1.2-5	Is there a safety committee or review board for the purpose of reviewing SMS and safety performance?	YES ✓ NO PARTIALLY	Implemented			
1.2-6	Is the safety committee or review board being chaired by the accountable executive or by an appropriately assigned deputy?	YES ✓ NO PARTIALLY	Implemented			
1.2-7	Does the safety committee include relevant operational or departmental heads, as applicable?	YES ✓ NO PARTIALLY	Implemented			
Element 1.3 — Appointment of Key Safety Personnel						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of Implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
1.3-1	Has RTS appointed a qualified person to manage and oversee the day-to-day operations of SMS?	YES ✓ NO PARTIALLY	Implemented			
1.3-2	Does the qualified person have direct access or reporting to the accountable executive concerning the implementation and operation of SMS?	YES ✓ NO PARTIALLY	Implemented			

1.3-3	Does the manager responsible for administering the SMS hold other responsibilities that may conflict or impair his role as SMS manager?	YES NO ✓ PARTIALLY	Implemented			
1.3-4	Is the SMS manager's position as senior management lower or subservient to other operational or production positions?	YES ✓ NO PARTIALLY	Implemented			
Element 1.4 — Coordination of Emergency Response Planning						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of Implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
1.4-1	Does RTS have an emergency response/contingency plan?	YES ✓ NO PARTIALLY	Implemented			
1.4-2	Does the emergency/contingency plan address all possible or likely emergencies/crisis scenarios?	YES ✓ NO PARTIALLY	Implemented			
1.4-3	Does the ERP address the necessary coordination of its emergency response/contingency procedures?	YES ✓ NO PARTIALLY	Implemented			
1.4-4	Is there a procedure for periodic review of the ERP to ensure its continuing relevance and effectiveness?	YES ✓ NO PARTIALLY	Implemented			

Element 1.5 — SMS Documentation						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of Implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
1.5-1	Is there a top-level SMS document or exposition document which is approved by the accountable manager and accepted by the CAA?	YES ✓ NO PARTIALLY	Implemented			
1.5-2	Does the SMS documentation address the organization's SMS and its associated components and elements?	YES ✓ NO PARTIALLY	Implemented			
1.5-3	Is RTS SMS framework in alignment with the regulatory SMS framework?	YES ✓ NO PARTIALLY	Implemented			
1.5-4	Does RTS maintain a record of relevant supporting documentation pertinent to the implementation and operation of SMS?	YES ✓ NO PARTIALLY	Implemented			
1.5-5	Does RTS have an SMS implementation plan to establish its SMS implementation process, including specific tasks and their relevant implementation milestones?	YES ✓ NO PARTIALLY	Implemented			
1.5-6	Has the SMS implementation plan been endorsed by the accountable executive?	YES ✓ NO PARTIALLY	Implemented			

Component 2 — Safety Risk Management						
Element 2.1 — Hazard Identification						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of Implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
2.1-1	Is there a process for the reporting of voluntary hazards/threats by all employees?	YES ✓ NO PARTIALLY	Implemented			
2.1-2	Is the process of reporting voluntary hazards/threats simple, available to all personnel involved in safety-related duties and commensurate with the size of the service provider?	YES ✓ NO PARTIALLY	Implemented			
2.1-3	Is the accident/incident reporting simple, accessible to all personnel involved in safety-related duties and commensurate with the size of the service provider?	YES ✓ NO PARTIALLY	Implemented			
2.1-4	Does RTS have procedures for investigation of all reported incidents/accidents?	YES ✓ NO PARTIALLY	Implemented			

2.1-5	Are there procedures to ensure that hazards/threats identified or uncovered during incident/accident investigation processes are appropriately accounted for and integrated into the organization's hazard collection and risk mitigation procedure?	YES ✓ NO PARTIALLY	Implemented			
2.1-6	Are there procedures to review hazards/threats from relevant industry reports, for follow-up actions or risk evaluation where applicable?	YES ✓ NO PARTIALLY	Implemented			
Component 3 — Safety Assurance						
Element 3.1 — Safety Performance Monitoring and Measurement						
No.	**Aspect to be analyzed or question to be answered**	**Answer**	**Status of Implementation**	**Implementation Target Date**	**Reference Document**	**Action Required**
3.1-1	Are there identified safety performance indicators for measuring and monitoring and safety performance of the organization's activities?	YES ✓ NO PARTIALLY	Implemented			
3.1-2	Are the safety performance indicators relevant to the organization's safety policy as well as management's high-level safety objectives/goals?	YES ✓ NO PARTIALLY	Implemented			

3.1-3	Do the safety performance indicators include alert/target settings to define unacceptable performance regions and planned improvement goals?	YES ✓ NO PARTIALLY	Implemented			
3.1-4	Is there a procedure for corrective or follow-up action to be taken when targets are not achieved and alert levels are exceeded/breached?	YES ✓ NO PARTIALLY	Implemented			
3.1-5	Are the safety performance indicators being periodically reviewed?	YES ✓ NO PARTIALLY	Implemented			
Component 4 — Safety Promotion						
Element 4.1 — Training and Education						
4.1-1	Is there a program to provide SMS training/familiarization to personnel involved in the implementation or operation of the SMS?	YES ✓ NO PARTIALLY	Implemented			
4.1-2	Has the accountable executive undergone appropriate SMS familiarization, briefing or training?	YES ✓ NO PARTIALLY	Implemented			
4.1-3	Is the RTS SMS manual and related guidance material accessible or disseminated to all relevant personnel?	YES ✓ NO PARTIALLY	Implemented			

APPROVAL BY:

Signature of person responsible for Safety Management System	Printed Name	Date
Signature of Accountable Executive	Printed Name	Date

Appendix H

Records Management

RTS is responsible for implementing a record management program that includes maintenance, retention, distribution, and safe disposal of all safety and security records of the agency in compliance with state and federal regulations.

RTS annually reviews and updates the PTASP and HSP SMS and SPP as needed, to ensure compliance with Rule 14-90, FAC. Revisions and updates will be communicated with employees, contractors, and regulatory agencies as they occur or as deemed necessary by the management, depending on the nature of the revision or update. The HSPP is considered a confidential document and will be retained in a secure location by management.

Gainesville Regional Transit System will ensure the maintenance and retention of the following records for at least four years:

- Records of bus driver background checks and qualifications.
- Detailed descriptions of training administered and completed by each bus driver.
- A record of each bus driver's duty status which will include total days worked, on-duty hours, driving hours, and time of reporting on and off duty each day.
- Records of preventive maintenance, regular maintenance, inspections, lubrication, and repairs performed for each bus.
- Records of annual safety inspections and documentation of any required corrective actions.
- Completed and signed Medical Examination Certificate (FDOT Form 725-030-11) confirming that biennial medical examinations have been conducted for each driver.

In addition, RTS will retain records of daily bus inspections and any corrective action documentation for a minimum of two weeks.

Appendix I

Vehicle Equipment Standards & Procurement Criteria

Gainesville Regional Transit System will attempt to procure vehicles utilizing the Transit Research-Inspection-Procurement Services (TRIPS) program, formerly known as the Florida Vehicle Procurement Program (FVPP), and other State Programs strictly adhering to the vehicle equipment standards and procurement criteria specified in 14-90.007.

- All buses procured and operated meet the following minimum standards, as applicable:

a. The capability and strength to carry the maximum allowed load and not exceed the manufacturer's gross vehicle weight rating (GVWR), gross axle weighting, or tire rating.
b. Structural integrity that mitigates or minimizes the adverse effects of collisions.
c. Federal Motor Vehicle Safety Standards (FMVSS), 49 C.F.R. Part 571, Sections 102, 103, 104, 105, 108, 207, 209, 210, 217, 302, 403, and 404, October 1, 2008, hereby incorporated by reference.

- Proof of strength and structural integrity tests on new buses procured are submitted under the terms of the TRIPS vendor agreement with the Department.
- In addition, every bus operated by the agency are equipped as follows:
  - ► **Mirrors:** There shall be two exterior rear vision mirrors, one at each side. The mirrors shall be firmly attached to the outside of the bus and so located as to reflect to the driver a view of the highway to the rear along both sides of the vehicle. Each exterior rear vision mirror, on Type I buses shall have a minimum reflective surface of 50 square inches. Neither the mirror nor the mounting shall protrude farther than the widest part of the vehicle body except to the extent necessary to produce a field of view meeting or exceeding the requirements of this section. All Type I buses shall, in addition to the above requirements, be equipped with an inside rear vision mirror capable of giving the driver a clear view of seated and standing passengers. Buses having a passenger exit door that is located inconveniently for the driver's visual control shall be equipped with additional interior mirrors to enable the driver to view the passenger exit door. In lieu of interior mirrors, trailer buses and articulated buses may be equipped with closed circuit video systems or adult monitors in voice control with the driver.
  - ► **Wiring and Batteries:** Electrical wiring shall be maintained so as not to come in contact with moving parts, heated surfaces, or be subject to chafing or abrasion which may cause insulation to become worn. Every Type I bus manufactured on or after February 7, 1988, shall be equipped with a storage battery electrical power main disconnect switch. The disconnect switch shall be practicably located in an accessible location adjacent to or near to the battery and be legibly and permanently marked for identification. Every storage battery on a public-sector bus shall be mounted with proper restraint devices in a compartment which provides adequate ventilation and drainage.
  - ► **Brake Interlock Systems:** All Type I buses having a rear exit door shall be equipped with a rear exit door/brake interlock that automatically applies the brake upon driver activation of the rear exit door to the open position. Brake interlock application shall remain activated until deactivated by the driver and the rear exit door returns to the closed position. The rear exit door brake interlock on such buses shall be equipped with an identified override switch enabling emergency release of the brake interlock function. The override switch shall not be located within reach of the seated driver. Air pressure application to the brake during brake interlock operation, on buses equipped with rear exit door/brake interlock, shall be regulated at the equipment's original manufacturer's specifications.
  - ► **Standee Line and Warning**: Every bus designed and constructed to allow standees shall be plainly marked with a line of contrasting color at least two inches wide, or be equipped with some other means to indicate that all passengers are prohibited from occupying a space forward of a perpendicular plane drawn through the rear of the driver's seat and perpendicular to the longitudinal axis of the bus. A sign shall be posted

at or near the front of the bus stating that it is a violation for a bus to be operated with passengers occupying an area forward of the line.

- **Handrails and Stanchions:** Every bus designed and constructed to allow standees shall be equipped with overhead handrails for standee passengers. Overhead handrails shall be continuous, except for a gap at the rear exit door, and terminate into vertical stanchions or turn up into a ceiling fastener. Every Type I and Type II buses designed for carrying more than 16 passengers shall be equipped with handrails, stanchions, or bars at least 10 inches long and installed to permit safe on-board circulation, seating and standing assistance, and boarding and alighting by elderly and handicapped persons. Type I buses shall be equipped with a safety bar and panel directly behind each entry and exit step well.
- **Flooring, Steps, and Thresholds:** Flooring, steps, and thresholds on all buses shall have slip resistant surfaces without protruding or sharp edges, lips, or overhangs, in order to prevent tripping hazards. All step edges and thresholds shall have a band of color(s) running the full width of the step or edge which contrasts with the step tread and riser, either light-on-dark or dark-on-light.
- **Doors:** Power activated doors on all buses shall be equipped with a manual device designed to release door closing pressure.
- **Emergency Exits**: All buses shall have an emergency exit door, or in lieu thereof, shall be provided with emergency escape push-out windows. Each emergency escape window shall be in the form of a parallelogram with dimensions not less than 18" by 24", and each shall contain an area of not less than 432 square inches. There shall be a sufficient number of push-out or kick-out windows in each vehicle to provide a total escape area equivalent to 67 square inches per seat, including the driver's seat. No less than 40% of the total escape area shall be on one side of the vehicle. Emergency escape kick-out or push-out windows and emergency exit doors shall be conspicuously marked with a sign or light and shall always be kept in good working order so that they may be readily opened in an emergency. All such windows and doors shall not be obstructed either inside or outside so as to hinder escape. Buses equipped with an auxiliary door for emergency exit shall be equipped with an audible alarm and light indicating to the driver when a door is ajar or opened while the engine is running. Supplemental security locks operable by a key are prohibited on emergency exit doors unless these security locks are equipped and connected with an ignition interlock system or an audio visual alarm located in the driver's compartment. Any supplemental security lock system used on emergency exits shall be kept unlocked whenever a bus is in operation.
- **Tires and Wheels:** Tires shall be properly inflated in accordance with manufacturer's recommendations.
    i. No bus shall be operated with a tread groove pattern depth:
        1. Less than 4/32 (1/8) of an inch, measured at any point on a major tread groove for tires on the steering axle of all buses. The measurements shall not be made where tie bars, humps, or fillets are located.
        2. Less than 2/32 (1/16) of an inch, measured at any point on a major tread groove for all other tires of all buses. The measurements shall not be made where tie bars, humps, or fillets are located.
    ii. No bus shall be operated with recapped, re-grooved, or retreaded tires on the steering axle.

iii. Wheels shall be visibly free from cracks and distortions and shall not have missing, cracked, or broken mounting lugs.

- **Suspension:** The suspension system of all buses, including springs, air bags, and all other suspension parts, shall be free from cracks, leaks, or any other defect which may cause its impairment or failure to function properly.
- **Steering and Front Axle:** The steering system of all buses shall have no indication of leaks which would or may cause its impairment to function properly, and shall be free from cracks and excessive wear of components that may cause excessive free play or loose motion in the steering system or above normal effort in steering control.
- **Seat Belts:** Every bus shall be equipped with an adjustable driver's restraining belt in compliance with the requirements of FMVSS 209, "Seat Belt Assemblies" 49 C.F.R. 571.209 October 1, 2008, and FMVSS 210, "Seat Belt Assembly Anchorages" 49 C. F. R. 571.210 October 1,2008, hereby incorporated by reference.
- **Safety Equipment:** Every bus shall be equipped with one fully charged dry chemical or carbon dioxide fire extinguisher, having at least a 1A:BC rating and bearing the label of Underwriter's Laboratory, Inc. The fire extinguishers shall be maintained as follows:
  i. Each fire extinguisher shall be securely mounted on the bus in a conspicuous place or a clearly marked compartment and be readily accessible.
  ii. Each fire extinguisher shall be maintained in efficient operating condition and equipped with some means of determining if it is fully charged.
  iii. Every Type I bus shall be equipped with portable red reflector warning devices in compliance with Section 316.300, Florida Statutes.
- **Persons with Disabilities:** Buses used for the purpose of transporting individuals with disabilities shall meet the requirements set forth in 49 C.F.R. Part 38, October 1, 2008, hereby incorporated by reference, as well as the following:
  i. Installation of a wheelchair lift or ramp shall not cause the manufacturer's GVWR, gross axle weight rating, or tire rating to be exceeded.
  ii. Except in locations within 3 1/2 inches of the bus floor, all readily accessible exposed edges or other hazardous protrusions of parts of wheelchair lift assemblies or ramps that are located in the passenger compartment shall be padded with energy absorbing material to mitigate injury in normal use and in case of a collision. This requirement shall also apply to parts of the bus associated with the operation of the lift or ramp.
  iii. The controls for operating the lift shall be at a location where the bus driver or lift attendant has a full view, unobstructed by passengers, of the lift platform, its entrance and exit, and the wheelchair passenger, either directly or with partial assistance of mirrors. Lifts located entirely to the rear of the driver's seat shall not be operable from the driver's seat, but shall have an override control at the driver's position that can be activated to prevent the lift from being operated by the other controls (except for emergency manual operation upon power failure).
  iv. The installation of the wheelchair lift or ramp and its controls and the method of attachment in the bus body or chassis shall not diminish the structural integrity of the bus nor cause a hazardous imbalance of the bus. No part of the assembly, when installed and stowed, shall extend laterally beyond the normal side contour of the bus or vertically beyond the lowest part of the rim of the wheel closest to the lift.

v. Each wheelchair lift or ramp assembly shall be legibly and permanently marked by the manufacturer or installer with the following information:

1. The manufacturer's name and address.
2. The month and year of manufacture.
3. A certificate that the wheelchair lift or ramp securement devices, and their installation, conform to State of Florida requirements applicable to accessible buses.

► **Wheelchairs:** Wheelchair lifts, ramps, securement devices, and restraints shall be inspected and maintained as required by this rule chapter. Instructions for normal and emergency operation of the lift or ramp shall be carried or displayed in every bus.

Appendix J

Gainesville Regional Transit System

Pandemic Plan

Gainesville Regional Transit System

Pandemic Plan

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TABLE OF CONTENTS

Background on Pandemics 3
Pandemic Defined 3
World Health Organization Pandemic Phases 4
Pandemic Severity Index 6
Assumptions for Pandemic Planning 6
OSHA Worker Protection Strategies 7

Gainesville Regional Transit System Response Priorities 9
Communication/Education 9
Key Messages 9
Message vehicles 10
Surveillance of Employees 11
Surveillance of Pandemic 12
Containment 12
Disinfection Program 12
Social Distancing 12

Gainesville Regional Transit System Responsibilities 14
Employee Responsibilities 14
Supervisor Responsibilities 14
Management Responsibilities 14

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Gainesville Regional Transit System
Pandemic, Disease, & Influenza Plan

Background on Pandemics

Pandemic Defined

A pandemic is an epidemic of infectious disease that spreads over populations across a vast area or worldwide. According to the World Health Organization (WHO), the spread of a disease constitutes pandemic only when the disease is new to the human population, its agent infects humans causing serious illness, and the disease spreads easily and sustainably among humans. Influenza is the disease most likely to affect the United States in pandemic proportions. The following are some facts about an influenza pandemic.

- Three influenza pandemics have occurred in the 20th century -- in 1918, 1957 and 1967. The latest H1N1 pandemic was declared in May of 2009
- The World Health Organization (WHO) has predicted between 2 and 7.4 million people would die if a worldwide pandemic occurs.
- Influenza pandemics occur in waves. The time interval between the first and second waves could be three to nine months based on previous pandemics.
- A pandemic could result in absenteeism of up to half of the workforce for a two- to three-week period.
- As a pandemic progressed, domestic and international travel would be curtailed and supply chains strained.
- Governments could nationalize manufacturing facilities for essential disease-related products.

Influenza
Influenza is a family of viruses that affect birds and mammals. There are three strains of viruses that affect humans - A, B and C - each being determined by the amount of RNA and protein in them. The subtype of influenza can be defined by an H and N - a notation that refers to the configuration of the hemagglutinin and neuraminidase proteins in the virus. The 2009 swine flu outbreak was Influenza A, H1N1. The other flu virus to watch is Avian Influenza A (H5N1), 2019 Influenza COVID-19.

Symptoms
The most common symptoms of the flu are chills, fever, sore throat, muscle pains, severe headache, coughing, weakness and general discomfort. Influenza may produce nausea and vomiting, particularly in children, but these symptoms are more common in gastroenteritis (not related to influenza), which is sometimes called "stomach flu" or "24-hour flu".

Transmission
The flu is typically transmitted when an infected person coughs or sneezes, creating aerosols containing the virus. These droplets land on surfaces, which other people may touch. Infections then occur when a person touches his or her eye, mouth or nasal membranes. As the virus can be inactivated by soap, frequent hand washing reduces the risk of infection.

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World Health Organization Pandemic Phases

For the United States, The Health and Human Services Secretary recommends to the President the specific US pandemic response stage in coordination with the global alert phase. The Gainesville Regional Transit System (RTS) plan is developed based on these alert phases and should be considered flexible – able to expand and contract based on information received from various key sources. These key sources are: City of Gainesville Health Department, Alachua County Office of the Sheriff Division of Emergency Management, State of Florida Department of Health and Family Services, the Centers for Disease Control, and the US Department of Health and Human Services. Websites for various sources of information can be found in later in this document under Response Priorities.

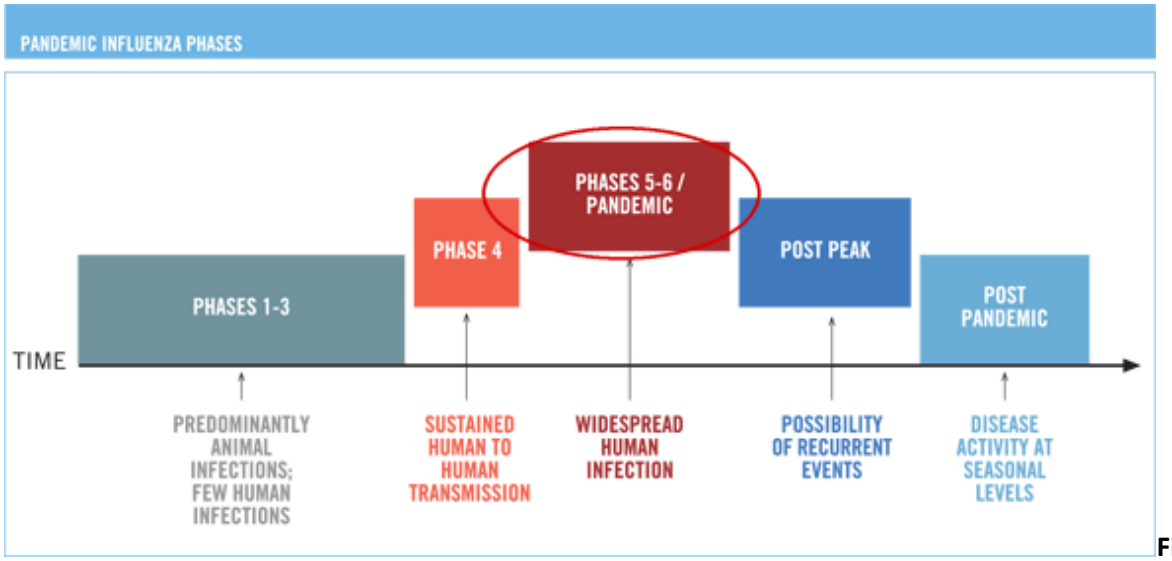

Figure 1

In nature, influenza viruses circulate continuously among animals, especially birds. Even though such viruses might theoretically develop into pandemic viruses, in **Phase 1** no viruses circulating among animals have been reported to cause infections in humans.

In **Phase 2** an animal influenza virus circulating among domesticated or wild animals is known to have caused infection in humans, and is therefore considered a potential pandemic threat.

In **Phase 3**, an animal or human-animal influenza virus has caused sporadic cases or small clusters of disease in people, but has not resulted in human-to-human transmission sufficient to sustain community- level outbreaks. Limited human-to-human transmission may occur under some circumstances, for example, when there is close contact between an infected person and an unprotected caregiver. However, limited transmission under such restricted circumstances does not indicate that the virus has gained the level of transmissibility among humans necessary to cause a pandemic.

Phase 4 is characterized by verified human-to-human transmission of an animal or human-animal influenza virus able to cause "community-level outbreaks." The ability to cause sustained disease outbreaks in a community marks a significant upwards shift in the risk for a pandemic. Phase 4 indicates a

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significant increase in risk of a pandemic but does not necessarily mean that a pandemic is a forgone conclusion.

Phase 5 is characterized by human-to-human spread of the virus into at least two countries in one WHO region. While most countries will not be affected at this stage, the declaration of Phase 5 is a strong signal that a pandemic is imminent and that the time to finalize the organization, communication, and implementation of the planned mitigation measures is short.

Phase 6, the pandemic phase, is characterized by community level outbreaks in at least one other country in a different WHO region in addition to the criteria defined in **Phase 5**. Designation of this phase will indicate that a global pandemic is under way.

During the **post-peak period**, pandemic disease levels in most countries with adequate surveillance will have dropped below peak observed levels. The post-peak period signifies that pandemic activity appears to be decreasing; however, it is uncertain if additional waves will occur and countries will need to be prepared for a second wave.

Previous pandemics have been characterized by waves of activity spread over months. Once disease activity drops initially, a critical communications task will be to keep employees informed about the possibility of another wave. Pandemic waves can be separated by months and an immediate “at-ease” signal to employees may be premature.

In the **post-pandemic period**, influenza disease activity will have returned to levels normally seen for seasonal influenza. It is expected that the pandemic virus will behave as a seasonal influenza A virus. At this stage, it is important to maintain surveillance and update pandemic preparedness and response plans accordingly. An intensive phase of recovery and evaluation may be required.

Source : http://www.who.int/csr/disease/avian_influenza/phase/en/

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Pandemic Severity Index

Established by the CDC, the Pandemic Severity Index (PSI) is a tool used in conjunction with the phases to describe the severity of the pandemic. It was based on the Saffir-Simpson Hurricane scale, but instead of measuring wind speed and storm surge, it is determined by the case fatality ratio, which is the ratio of fatalities to total confirmed cases. The WHO would only implement a PSI alert after phase 6 has been established in the US.

CDC Pandemic Severity Index Chart			
Category	**Case Fatality Ratio**	**Projected # of Deaths**	**Example(s)**
1	less than 0.1%	<90,000	seasonal flu 30,000 deaths
2	0.1% to 0.5%	90K – 450K	1956 **Asian Flu** (H2N2) 1968 **Hong Kong Flu** (H3N2) 1 – 1.5 million deaths
3	0.5% to 1%	450K – 900K	
4	1% to 2%	900K – 1.8M	
5	2% or higher	>1,800,000	1918 **Spanish flu** (Influenza A strain of H1N1) *20 – 100 million deaths*

Table 1

Assumptions for Pandemic Planning

Pandemics are unpredictable. While history offers useful benchmarks, there is no way to know the characteristics of a pandemic virus before it emerges. Nevertheless, we must make assumptions to facilitate planning efforts. Federal planning efforts assume the following:

1. Susceptibility to the pandemic influenza virus will be universal.

2. Efficient and sustained person-to-person transmission signals an imminent pandemic.

3. The clinical disease attack rate will likely be 30% or higher in the overall population during the pandemic. Illness rates will be highest among school-aged children (about 40%) and decline with age. Among working adults, an average of 20-30% will become ill during a community outbreak.

4. Some persons will become infected but not develop clinically significant symptoms. Asymptomatic or minimally symptomatic individuals can transmit infection and develop immunity to subsequent infection.

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5. Of those who become ill with influenza, 50% will seek outpatient medical care.

6. With the availability of effective antiviral drugs for treatment, this proportion may be higher in the next pandemic.

7. The number of hospitalizations and deaths will depend on the virulence of the pandemic virus. Estimates differ about 10-fold between more and less severe scenarios. Two scenarios are presented based on extrapolation of past pandemic experience (Table 1). Planning should include the more severe scenario.

8. Risk groups for severe and fatal infection cannot be predicted with certainty but are likely to include infants, the elderly, pregnant women, and persons with chronic medical conditions.

9. Rates of absenteeism will depend on the severity of the pandemic.

10. In a severe pandemic, absenteeism attributable to illness, the need to care for ill family members and fear of infection may reach 40% during the peak weeks of a community outbreak, with lower rates of absenteeism during the weeks before and after the peak.

11. Certain public health measures (closing schools, quarantining household contacts of infected individuals, "snow days") are likely to increase rates of absenteeism.

12. The typical incubation period (interval between infection and onset of symptoms) for influenza is approximately 2 days.

13. Persons who become ill may shed virus and can transmit infection for up to one day before the onset of illness. Viral shedding and the risk of transmission will be greatest during the first 2 days of illness. Children usually shed the greatest amount of virus and therefore are likely to post the greatest risk for transmission.

14. On average, infected persons will transmit infection to approximately two other people.

15. In an affected community, a pandemic outbreak will last about 8 to 12 weeks.

16. Multiple waves (periods during which community outbreaks occur across the country) of illness could occur with each wave lasting 2-3 months. Historically, the largest waves have occurred in the fall and winter, but the seasonality of a pandemic cannot be predicted with certainty.

Source: http://www.pandemicflu.gov/plan/pandplan.html

Risk Mitigation through SMS Process

These protection strategies are general protection measures that RTS or individuals can take to reduce employees' exposure to a virus. When one measure cannot be implemented or is not feasible, then another control could be used.

Engineering Controls – Making changes to the work environment to reduce work-related hazards

- Putting up barriers between customers and employees and making sneeze barriers for drivers on the buses
- Use hands-free controls for garbage cans, sinks or other frequently touched items

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Administrative controls – Modifying work schedules and tasks in ways that minimize their exposure.

- Communicate sick policy and work with employees who might be home caretaking or sick with the flu
- Discontinue or limit travel
- Minimize face to face contact by holding teleconferences, and more frequent use of e-mail
- Consider limiting customer service hours to reduce exposure
- Increase communication to employees and encourage employees to voice concerns

Work Practices – Procedures for safe and proper work that are used to reduce the duration, frequency or intensity of exposure to a hazard

- Providing resources to promote personal hygiene (tissues, hand sanitizer, hand soap etc.)
- Encourage workers to get vaccinated (when available)
- Train employees on influenza risk factors (cough etiquette, hand washing, and avoiding touching eyes, nose and mouth)
- Develop procedures to minimize exposure to customers
- Improve cleaning frequency of public areas and shared workspaces

Personal Protective Equipment (PPE) – Protective gear used to keep workers safe while performing their jobs

- For those trained employees, PPE will be available to limit exposure to airborne biological agents when cleaning buildings, equipment and buses.

  PPE must be…
  1. Properly fitted and sometimes re-fitted
  2. Conscientiously and properly worn
  3. Properly disposed of after use

- The wearing of respirators for the prevention of illness is not recommended unless a person has had a full medical evaluation to wear that respirator continuously for their work shift, they are clean shaven and have been fit tested.

Social Distancing – Strategies to reduce the frequency of contact between people. Generally referred to in mass gatherings, it can easily be applied to work related scenarios.

- Manage shift changes where there is a time or location difference in the inter-shift interaction
- Avoid meeting people face to face and arrange teleconferences or e-mail
- Discourage use or stagger times of use of lunchrooms and break rooms
- Avoid handshaking
- Set up systems where clients can order passes over the phone or arrange for limited customer contact times
- Limit training or events that bring employees together in large groups
- Encourage employees to limit contact with public off work time

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Gainesville Regional Transit System Response Priorities

In responding to a pandemic it is important to frame response based on priority, level of pandemic severity and possible local scenarios. The priorities of RTS have been established through the Incident Management Team (IMT) and guidance from Local Emergency Operations Center using federal guidelines.

Communication/Education

Lead Contact

- Director of Marketing

Departments/Persons involved in the planning

- Manager of Safety and Security
- Operations
- Maintenance
- Human Resources
- Employee Health Nurses

Source information

The following sources should be consulted before developing specific messages on pandemic stages and preventive actions. All messages sent by RTS should be consistent with these sources.

- Alachua health department
- http://alachua.floridahealth.gov/
- Alachua County Emergency Management (https://www.alachuacounty.us/depts/em/pages/em.aspx
- Florida Department of Health http://www.floridahealth.gov/
- The Centers for Disease Control (http://www.cdc.gov/h1nu/)
- US Department of Health and Human Services (http://www.hhs.gov/)

Key Messages

1. Train employees on influenza prevention measures
    a) Wash hands frequently with soap and water or with an alcohol-based hand sanitizer
    b) Cover your mouth and nose with a tissue when you cough or sneeze. Wash your hands afterthis.
    c) Put used tissues in a wastebasket immediately after using
    d) Cough or sneeze into your upper sleeve if you don't have a tissue
    e) Avoid touching your eyes, nose and mouth with your hands.
2. If experiencing flu-like symptoms – STAY HOME from work so as not to infect other employees.

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The CDC recommends that employees with influenza-like illness remain at home until at least 24 hours after they are free of fever (100° F or greater), or signs of a fever, without the use of fever-reducing medications. *(www.flu.gov)*

3. **Flu symptoms include, but are not limited to:**
    a) Headache
    b) Coughing
    c) Sore throat
    d) Runny or stuffy nose
    e) Fever
    f) Body Aches
    g) Chills
    h) Fatigue
    i) Nausea
    j) Sometimes vomiting or diarrhea
    k) Shortness of breath

4. **Message to public:**

    It is important to let the pubic know that RTS is aware and responding or taking precautions to prevent spreading the illness. Updates are important and depend on the situation. Suggestions on statement and information to include:

    a) RTS maintains a regular cleaning schedule for its buses to protect its employees and passengers from the spread of disease, including the 2009 H1N1 influenza virus and the 2019 CODIV-19 influenza virus. Vehicles are currently deep-cleaned regularly, year-round, and will undergo additional cleaning if necessary. In event of bodily fluids contaminating a bus, the bus is pulled back into the garage and immediately disinfected and cleaned

    b) Bus operators are encouraged to use hand sanitizing gel and to wipe down touch surfaces in the vehicle.

    c) Additional steps RTS is taking to protect its more than 50,000 daily riders and over 300 employees from contracting the flu include working closely with the Alachua County Health Department, educating employees about flu prevention and hygiene, and activating our internal Critical Incident Management Team. RTS has been preparing for several years to respond to emergency situations such as the pandemic flu.

    d) Communicate the steps passengers can take to prevent contracting the flu (see key message 1)

Messages on vehicles

Messages shall be delivered to employees through posted bulletins, newsletters and e-mail, depending on the timeliness of the print.

The public will be informed of RTS planning through the company's website or through local media outlets where appropriate. Other tools which should be included are VRU/ phone pre-recorded message, Facebook, Twitter, Rider Insider Member's email and/or postal mail.

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Surveillance of Employees

Lead Contact

- Employee Health Services/ Nurse

Departments involved in the planning

- Executive
- Human Resources
- Transportation
- Maintenance

Tracking employee absences

During times of pandemic, the specific illness of an employee is vitally important. The person who receives each call should ask why the employee is calling in sick or what his or her symptoms are. An employee has the right to refuse to divulge symptoms to another person, but according to 22.02 of the union contract, employees should state the "nature of their illness and (where) they will be convalescing".

Represented Employee Procedure

When a represented employee calls in to work, the person receiving the call shall ask the employee the reason for the absence and their symptoms and enter their absence into HASTUS immediately.

If the employee is exhibiting flu-like symptoms, they should be encouraged to stay home and limit contact with people and notified that they will be contacted by the Employee Health Nurse within the next day.

Workday and HASTUS Procedure

The absence should be recorded in Workday as "**Flu-20**" under *Reason*. In HASTUS, type **Flu** in the *Comment* section of the *Absences.*

Non Represented Employee Procedure

For Non-represented, if the employee is exhibiting flu-like symptoms, they should be encouraged to stay home and limit contact with people. They should return to work up to 24 hours after their fever breaks.

All follow-up information regarding an employee's absence should be forwarded to Director via e-mail. If e-mail is not available, then the information shall be phoned in to them.

Director – Jesus Gomez 352-393-7860 gomezjm@cityofgainesville.org

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Surveillance of Pandemic

Lead Contact

- Manager of Security and Safety
- Director of Operations

Departments involved in the planning

- Executive

The lead contacts will monitor the local, state and national spread of the pandemic to provide insights into potential timing, impact and trigger points. Any increase in spread or severity of illness shall be communicated to the (CIMT) for further activation of this plan.

Containment

Disinfection Program

The flu virus could be caused by upwards of 200 viruses that all produce similar flu-like symptoms. These viruses are transferred through contact with microbes.

When an infected person sneezes or coughs, surfaces within a radius of 3 feet are susceptible to microbes. The flu virus is contracted by exposure to these viral microbes. Unlike bacteria, viruses cannot live or reproduce outside the body.

The lifespan of a virus is estimated at anywhere between a few seconds and 48 hours. Viruses need certain conditions to survive and proliferate. Microbes need a minimum humidity for survival. The following actions should be taken in areas of high absence due to pandemic influenza:

- Office cleaning should be stepped up during the pandemic period.
- Filters of the air conditioning systems could be cleaned and anti-bacteria solution applied.
- Telephone sets in common areas should be cleaned daily.
- Anti-bacteria solutions should be applied to all common areas, counters, railings, washbasins, toilet bowls, and urinals daily.

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Social Distancing

If the Florida Department of Health suggests that employers encourage social distancing of employees, it may be required that employees practice social distancing. Some strategies that can be used are:

- Manage shift changes where there is a time or location difference in the inter-shift interaction
- Avoid meeting people face to face and arrange teleconferences or e-mail
- Discourage use or stagger times of use of lunchrooms and break rooms
- Avoid handshaking
- Set up systems where clients can order passes over the phone or arrange for limited customer contact times
- Limit training or events that bring employees together in large groups
- Encourage employees to limit contact with public off work time

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Gainesville Regional Transit System Responsibilities

RTS will follow all CDC guidelines and utilize the SMS process when mitigating the hazards in order to ensure the continuity of operations, the number one priority is to reduce the spread of the illness. This is the responsibility of all employees; not the actions of a limited few, to take measures to prevent the spread of an illness and to protect the public and other employees from exposure to the illness. The following guidelines have been established by the CDC and the Department of Homeland security for businesses to follow in the event of a pandemic.

Employee Responsibilities

All employees shall:

- Practice good hygiene by regularly washing their hands and limit contact of their hands to their eyes and mouth.
- Know the symptoms of the pandemic and closely monitor their health.
- STAY HOME when they are sick. Be alert for signs of fever or flu-like symptoms each day.
- Properly call into work, stating that they are experiencing flu-like symptoms – and where they are convalescing.
- Cooperate with the employee health nurse when monitoring their illness

Supervisor Responsibilities

All supervisors shall:

- Ensure all communications on pandemic planning are properly posted.
- Expect sick employees to be out for about 3 to 5 days in most cases, even if antiviral medications are used
- If an employee becomes ill at work, separate that employee from the other employees and ask him or her to go home promptly.
- If an employee becomes ill at work, inform fellow employees of their possible exposure in the workplace to influenza-like illness but do not share the name of the ill employee or his or her symptoms as required by the Americans with Disabilities Act (ADA).
- Plan for frequent cleaning of all commonly touched surfaces in the workplace, such as workstations, countertops, and doorknobs. (Normal cleaning agents are acceptable)
- Provide soap and water and alcohol-based hand sanitizers in the workplace. Ensure that adequate supplies are maintained.
- If feasible, place hand sanitizers in multiple locations or in conference rooms to encourage hand hygiene.

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Management Responsibilities

Transit management shall:

- Ensure timely and communications on pandemic status.
- Establish workable and up to date contingency plans and ensure employees are educated as to work prioritization.
- Closely monitor absentee rates in their department, communicate those rates to dependent departments and implement their plan when needed.
- Talk with companies that provide RTS with contract workers or essential supplies about the importance of sick workers staying home.
- Consider social distancing policies in the workplace should the pandemic severity increase.

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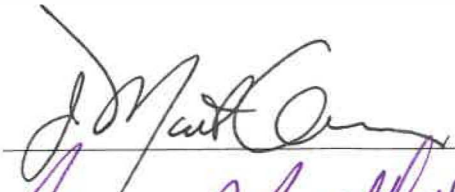
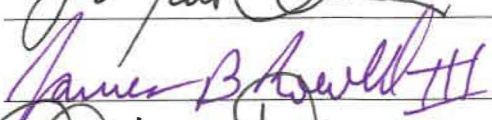
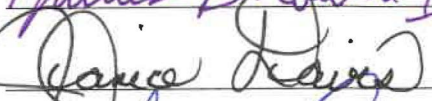
Appendix K

Frontline Worker Certification Signatures

Date: 10/12/2022

Name: Joel Montes de Oca Signature: 

Name: Chip Rowell Signature: 

Name: Janice Davis Signature: 

Name: Lajuan Jones Signature:

Name: _____ Signature: _____