

# Public Transportation Agency Safety Plan

SMS

Votran

## Volusia County Public Transportation



January 5, 2022

Final

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## Section 1. Transit Agency Information

The Volusia County Council created Volusia County Public Transportation (Votran) in 1975. Votran provides transit services in Volusia County, Florida. The Volusia County Council consists of seven members, five elected by District, and two elected at large, who serve four year terms. The Volusia County Council is the policymaking board for the transit system. The Votran General Manager is responsible for the management and operations of Votran, and he reports to the County's Director of Community Services. Transit Management of Volusia County, Inc. employees report to the General Manager. The service area population for Volusia County is approximately 494,593.

Votran offers 27 fixed routes, ADA complementary paratransit (Gold Service), one flexible fixed route (NSB Flex), and a commuter vanpool service. Votran directly provides approximately 60% of all paratransit trips, and the remainder is contracted to five vendors: All Volusia Transportation, Med-One Shuttle, Medi Quick, King's Transport, and Little Wagon. Services operate 6:00 a.m. to 12:00 a.m. Monday through Saturday, and from 6:00 a.m. to 6:00 p.m. on Sunday. However, evening and weekend service is limited to the core Daytona Beach area. ADA complementary paratransit service is offered during the same days and hours of operation as the fixed-routes.

The basic adult fare on the fixed-route buses is \$1.75. A half fare of \$0.85 is offered during all hours of operation to adults aged 65 and older, persons with disabilities, Medicare cardholders, and youth between the ages of 7 and 18. The cost of a one-way Gold paratransit trip is \$3.00. Votran operates a fleet of 83 buses for fixed-route service. The fixed-route fleet includes 30- and 35-foot low floor buses. Peak service requirements are 67 buses for a spare ratio of 23%. Votran has plans in place for expanded service to utilize the excess spare buses. The fleet is also comprised of 76 Turtle-Top and Glaval cutaway buses used in the delivery of paratransit service; and 11 vans for the commuter vanpool program.

Votran's administrative, maintenance, and vehicle storage facilities are located in the Volusia County Mobility Management Center, 950 Big Tree Road, in South Daytona. Votran operates the Westside Maintenance Facility in Orange City, Transfer Plaza in Daytona Beach, and the beachside Intermodal Facility in Daytona Beach. There is FTA interest in all of Votran's facilities.

## General Information

Votran – Volusia County

Accountable Executive: Kelvin Miller, General Manager

Chief Safety Officer: Frank Alvarez, Safety, Training and Security Officer

### Address / Phone / Web

950 Big Tree Road, South Daytona, FL 2119

(386) 756.7496

[www.votran.org](http://www.votran.org)

Modes of Service: Fixed Route and Paratransit

FTA Funding Sources: FTA Section 5307, FTA Section 5339, FTA Section 5310

Modes of Service Directly Provided:

Fixed Route Bus                       Intercity Bus                       Bus Rapid Transit

Demand Response                       Complimentary Paratransit

VOTRAN Does not provide transit services on behalf of another transit agency or entity.

VOTRAN Provides transit service on behalf of the following transit agency(s) or entity(s)

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

|   |  |   |                    |
|---|--|---|--------------------|
| <b>Name of Entity That Drafted This Plan</b>  | Votran – Volusia County Public Transportation System   |   |                    |
| <b>Signature by the Accountable Executive</b>   | <b>Signature of Accountable Executive</b>  | <b>Date of Signature</b>  |                    |
|   | General Manager  |   |                    |
| <b>Approval by the Board of Directors or an Equivalent Authority</b>  | <b>Name of Individual/Entity That Approved This Plan</b>   | <b>Date of Approval</b>   |                    |
|   | Volusia County Council   | 5/19/2020   |                    |
|   | <b>Relevant Documentation (title and location)</b>   |   |                    |
|   | County Council Agenda Item <a href="https://vcservices.vcgov.org/agenda/agenda-minutes.asp">https://vcservices.vcgov.org/agenda/agenda-minutes.asp</a> |   |                    |
| <b>Certification of Compliance</b>  | <b>Name of Individual/Entity That Certified This Plan</b>  | <b>Date of Certification</b>  |                    |
|   | General Manager  | 8/16/20   |                    |
|   | <b>Relevant Documentation (title and location)</b>   |   |                    |
|   | PTASP/SMS Document located in General Manager Office   |   |                    |
| <b>Version Number and Updates</b> <i>(Record the complete history of successive versions of this plan).</i>   |  |   |                    |
| <b>Version Number</b>   | <b>Section/Pages Affected</b>  | <b>Reason for Change</b>  | <b>Date Issued</b> |
| 1   | Entire Plan Document   | Initial Plan Document   | 04/06/2020         |
| 2   | Page 6 and Page 7  | Change in Management  | 08/16/2020         |
| 3   | Page 7 and Page 8 & 9  | Updated Version / Updated Targets   | 9/10/2021          |
| 4   | Page 7 and Page 8 & 9  | Updated Version / Updated Targets – Minor Updates – Minor updates are not provided for board approval / Major updates are submitted for board approval. | 1/3/2022           |
| <b>Annual Review and Update of the Public Transportation Agency Safety Plan</b>   |  |   |                    |
| <i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i>  |  |   |                    |
| Votran's Public Transportation Agency Plan (PTASP) will be updated annually in January of each year. The process will include a review by all departments, updating information and changes in personnel / duties, and submittal to the General Manager for final approval. |  |   |                    |

The Accountable Executive confirms that Votran's PTASP addresses all applicable requirements and standards as set forth in: 1. FTA's Public Transportation Safety Program and, 2. The National Public Transportation Safety Plan, 3. PTASP documents must be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction. A transit agency must maintain these documents for a minimum of three years after they are created.

### Section 3. Safety Performance Targets

The following Performance Targets are aligned with the National Public Transportation Safety Plan supporting the 4 measures; Fatalities, Injuries, Safety Events & System Reliability.

1. Fatalities (total number of reportable fatalities and rate per total vehicle revenue miles by mode) - A death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes. Reported in National Transit Database (NTD) data sheet S&S-40
2. Injuries (total number of reportable injuries and rate per total vehicle revenue miles by mode) – Injury is defined as any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene. Reported in National Transit Database (NTD) data sheet S&S-40 for major event and SS-50 for non-major event
3. Safety Events (total number of reportable events and rate per total vehicle revenue miles by mode) - Safety Event is defined as a collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or OSONOC occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established National Transit Database (NTD) thresholds. Reported in National Transit Database (NTD) data sheet S&S-40 for major event and SS-50 for non-major event
4. System Reliability/Major Mechanical Failure (mean distance between *major mechanical failures* by mode) - Major mechanical failure is defined as a failure of some mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns. Reported in National Transit Database (NTD) data sheet S-20

*(See appendix 3 for NTD FY 2020 non-rail mode safety and security quick reference guide)*

In order to establish a baseline for safety performance measures a trend analysis of system fatalities, injuries, safety events, and system reliability was performed for FY2017-FY2019 to provide grounded metrics for future comparison and continuous improvement in setting safety performance targets.

| Mode of Transit Service | Vehicle Revenue Mile (VRM) | Fatalities Total | Fatalities (Per 100k VRM) | Injuries (Total) | Injuries (Per 100k VRM) | Safety Events (Total) | Safety Events (Per 100k VRM) | System Reliability (Total Mech. Failures) | System Reliability (per 100k VRM) |
|-------------------------|----------------------------|------------------|---------------------------|------------------|-------------------------|-----------------------|------------------------------|---|-----------------------------------|
| FY20 FR                 | 3,173,832                  | 0                | 0                         | 30               | .94                     | 19                    | .59                          | 445                                       | 14.0                              |
| FY20 DR                 | 1,364,529                  | 0                | 0                         | 2                | .14                     | 3                     | .21                          | 84  | 6.15                              |
| <b>TOTAL</b>            | <b>4,538,361</b>           | <b>0</b>         | <b>0</b>                  | <b>32</b>        | <b>.70</b>              | <b>22</b>             | <b>.48</b>                   | <b>529</b>                                | <b>11.65</b>                      |
| FY21 FR                 | 3,094,328                  | 1                | 0.32                      | 12               | .38                     | 4                     | .12                          | 488                                       | 15.77                             |
| FY21 DR                 | 1,986,640                  | 0                | 0                         | 1                | 0.5                     | 0                     | 0                            | 96  | 4.83                              |



| TOTAL  | 5,080,968                  | 1                | 0.1                       | 13               | .25                     | 4                     | .07                          | 584                                       | 11.49                             |
|--|----------------------------|------------------|---------------------------|------------------|-------------------------|-----------------------|------------------------------|---|-----------------------------------|
| <p><b>Safety Performance Targets</b></p> <p><i>Votran has developed Safety Performance Targets in compliance with the National Public Transportation Safety Plan (NSP) – §673.11(a)(3) requirements.</i></p> |                            |                  |                           |                  |                         |                       |                              |   |                                   |
| Mode of Transit Service  | Vehicle Revenue Mile (VRM) | Fatalities Total | Fatalities (Per 100k VRM) | Injuries (Total) | Injuries (Per 100k VRM) | Safety Events (Total) | Safety Events (Per 100k VRM) | System Reliability (Total Mech. Failures) | System Reliability (per 100k VRM) |
| FY22 FR  | 2,784,895                  | 0                | 0                         | 11               | .39                     | 3                     | 0.10                         | 439                                       | 15.76                             |
| FY22 DR  | 1,787,976                  | 0                | 0                         | 0                | 0                       | 0                     | 0                            | 86  | 4.80                              |
| TOTAL  | 4,572,871                  | 0                | 0                         | 11               | .24                     | 3                     | 0.06                         | 525                                       | 11.48                             |
| Mode of Transit Service  | Vehicle Revenue Mile (VRM) | Fatalities Total | Fatalities (Per 100k VRM) | Injuries (Total) | Injuries (Per 100k VRM) | Safety Events (Total) | Safety Events (Per 100k VRM) | System Reliability (Total Mech. Failures) | System Reliability (per 100k VRM) |
| FY23 FR  | 2,645,650                  | 0                | 0                         | 11               | .39                     | 3                     | 0.10                         | 439                                       | 15.76                             |
| FY23 DR  | 1,787,976                  | 0                | 0                         | 0                | 0                       | 0                     | 0                            | 86  | 4.80                              |
| TOTAL  | 4,433,626                  | 0                | 0                         | 11               | .24                     | 3                     | 0.06                         | 525                                       | 11.48                             |

System vehicle revenue miles (VRM) for FY22 are projected to be lower than the previous year FY21 due to covid and / or service reductions. Total fatalities are projected to be zero (0) for FY22. Total reportable injuries are projected to reduce by a total of 1 from previous fiscal year. Total number of reportable safety events are projected to reduce by a total of 1 from previous fiscal year. Total reportable major mechanical failures is projected to reduce by 10% from previous fiscal year to improve system reliability.

System vehicle revenue miles (VRM) for FY 23 are projected to be lower than the previous year FY22 due to covid and / or additional service reductions. However DR miles stayed the same as trip levels are rising. Total fatalities are projected to be zero (0) for FY23. Total reportable injuries are projected to reduce by a total of 1 from previous fiscal year. Total number of reportable safety events are projected to reduce by a total of 1 from previous fiscal year. Total reportable major mechanical failures is projected to reduce by 10% from previous fiscal year to improve system reliability.

The FY 23 targets remain the same for FY 22. Data will be finalized and updated following the end of FY 2022.

| FY 2023 Performance Targets Summary  |
|--|
| FY 23 Fatalities - Keep fatalities at zero (0) in all modes                                      |
| FY 23 Injuries - Reduce number of reportable injuries by 10% from FY21 in all modes              |
| FY 23 Safety Events - Reduce number of reportable safety events from FY21 by 10% in all modes    |
| FY 23 System Reliability - Reduce number of road calls per 100,000 by 10% from FY21 in all modes |

**Safety Performance Target Coordination**

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

Votran shares safety performance targets with the River to Sea Transportation Planning Organization (R2CTPO) and the Florida Department of Transportation (FDOT) annually as part of our continued coordination of transit data. Votran also coordinates with these agencies to the maximum extent possible in the selection of safety performance targets as required under §673.15(a) and §673.15(b) respectively. This data also includes Transit Asset Management Plan (TAM) updates and anticipated capital replacement schedules.

| Targets Transmitted to the State                                 | State Entity Name  | Date Targets Transmitted |
|--|--|--------------------------|
|  | Florida Department of Transportation                       | January 5, 2022          |
| Targets Transmitted to the Metropolitan Planning Organization(s) | Metropolitan Planning Organization Name                    | Date Targets Transmitted |
|  | River to Sea Transportation Planning Organization (R2CTPO) | January 5, 2022          |
|  |  |                          |

## Section 4. Safety Management Policy

### Safety Management Policy Statement

Votran – Volusia County Public Transit System strives to provide safe, dependable, environmentally-sound, and innovative transportation options to every member of the community. The Public Transportation Agency Safety Plan (PTASP) has been developed to integrate safety into all Votran system operations. By using the procedures contained in the PTASP, Votran can continue to improve the safety and security of Votran’s operation and services.

This PTASP describes the policies, procedures, and requirements to be followed by management, maintenance, and operations personnel to provide a safe environment for Votran employees, customers, and the general public. The goal of this program is to eliminate the human and fiscal cost of avoidable personal injury and vehicle accidents.

Each department has a responsibility under the PTASP. The Department Director and supervisors shall provide the continuing support necessary to achieve the PTASP objectives. A key to the success of this effort is for employees to be aware that they are accountable for safely performing the requirements of their position. The success of the program also depends on all employees actively identifying potential hazards and making a commitment to the safety of others.

Votran must be aware that decisions and actions often affect the safety of those in other operations. By following the processes described in the PTASP, Votran will continue to improve performance and the safety of the system while creating a culture of safety.

Votran’s 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 Votran's 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--to eliminate or mitigate the safety risks of the consequences of hazards resulting from Votran operations or activities to a point which is consistent with an 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** safety performance against realistic and data-driven safety performance indicators and safety performance targets;
- **Continually improve** 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 operations are delivered, meeting established safety performance standards.

Votran's Goals for Safety are established as follows:

- Design, construct, test, and operate a transportation system that achieves an optimum level of safety, exceeding the safety performance of other transit systems of a similar size in the United States.
- Identify and evaluate, then eliminate or control hazards to employees, customers, and the public.

- Meet or exceed all government and industry occupational health and safety standards and practices.
- Maximize the safety of future operations by affecting the design and procurement processes.

The objectives of the PTASP are the means to achieving its goals. They also provide a method of evaluating the effectiveness of Votran’s safety efforts. The PTASP objectives are:

- Integrate safety management and hazard control practices within each of Votran’s departments.
- Assign responsibilities for developing, updating, complying with, and enforcing safety policies, procedures, and requirements.
- Verify compliance with Votran’s safety policies, procedures, and requirements through performance evaluations, accident/incident trends, and internal audits.
- Investigate all accidents/incidents, including identifying and documenting the causes for the purpose of implementing corrective action to prevent a recurrence.
- Increase investigation and systematic documentation of near misses.
- Identify, analyze and resolve safety hazards in a timely manner.
- Minimize system modifications during the operational phase by establishing and utilizing safety controls at system design and procurement phases.
- Ensure that system modifications do not create new hazards.
- Train employees and supervisors on the safety components of their job functions.

Votran takes these commitments seriously as the lives of Votran riders, employees and the general public depend on Votran’s ability to operate in a culture of safety.

---

Accountable Executive

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Date

## Safety Management Policy Communication

Votran realizes the importance of ensuring its employees and riders are aware of safety management policies and procedures to effectively manage the system's day to day operations. To do this, Votran relies on several forms of effective communication.

Employee Communication: Votran is constantly evaluating existing policies and procedures to verify their effectiveness. To do this, Votran management seeks input from all staff, to determine if change is necessary based on trends, data analysis, operational changes or new assets. Several methods are used to communicate policy and/or procedure changes, including:

- Employee memorandum through paycheck, daily manifest of work orders, and agency meetings
- Electronic Bulletin Board notices
- Employee email notifications
- Departmental meetings

New policies and procedures are incorporated into orientation training for new employees as well.

Depending on the importance of the policy or procedure change, an acknowledgement signature is required of each employee verifying their understanding of the change.

Communicating with Riders: If a rider policy is changed or added, Votran notifies riders through the following methods:

- Notice posted on vehicle and facilities including effective date and who to contact for more information
- Changes to digital and printed rider guidance including schedules and ride guides as appropriate
- Public Meetings
- Website and Social Media
- Any services that are impacted by policies changes will include outreach as required by Federal Guidance.

## Authorities, Accountabilities, and Responsibilities

As mentioned in the Safety Policy Statement, the ultimate authority for the success of this PTASP falls to the Accountable Executive (AE). The Chief Safety Officer (CSO), the administration and management team, as well as employees fulfilling their commitment to safety on a day-to-day basis support the AE.

Accountable Executive (AE): The Accountable Executive will determine, based on feedback from senior staff, the level of Safety Management System principals to maintain to ensure a safe work environment, rider experience and community safety. Votran's AE is committed to providing employees with the tools and training needed to be successful and safe in their roles with Votran. The AE will continually strive to create a culture of safety among the employees, and Votran expects each employee to play a role in maintaining a safe workplace.

Votran's AE will be responsible for developing an annual transportation budget to provide the necessary funding to support training for new hires and experienced staff while also maintaining assets in a State of Good Repair (SGR) and/or replacing it, if it is no longer able to function as originally intended.

The current Accountable Executive, is also the General Manager and is responsible for implementation and changes to this Plan.

Chief Safety Officer (CSO): Votran has concluded one CSO will be sufficient to manage the day to day adherence to the Safety Plan and, while in this role, report directly to the AE. As CSO, this individual will monitor safety and security throughout the organization including sub-contractors. All departments have been notified of the CSO's role and the established reporting requirements relating to safety-related matters.

Votran's CSO will be responsible for the following:

- Developing and maintaining SMS documentation;
- Directing hazard identification and safety risk assessment;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive on SMS implementation progress; and
- Planning safety management training.

## Role of Staff to Develop and Manage Safety Management Systems (SMS)

### Accountable Executive (AE)

The Accountable Executive (AE), who also serves as General Manager, will work with the Chief Safety Officer (CSO) and Administrative staff to adjust the PTASP as needed based on staff feedback, trends, and data analysis. The AE is vested with the primary responsibility for the activities of the transit system and overall safety performance. The AE fulfills these responsibilities by providing the resources necessary to achieve PTASP goals and objectives by exercising the approval authority for system modifications as warranted. The AE also sets the agenda and facilitates the cooperative decision making of the management team.

### Chief Safety Officer (CSO)

For purposes of managing the SMS and PTASP, the CSO will report directly to the AE to determine strategy, policy, and goals for maintaining safety and security for passengers, employees, and the general public. The CSO will monitor day to day operations and work with staff to identify and mitigate risk through evaluation, feedback, and data analysis.

### Managers and Key Staff

Votran managers and key staff will be responsible for maintaining high standards of safety, customer service, and security. The Employee Safety Reporting Program (ESRP) will define the employees' role to identify and mitigate risk through open communication to managers and superiors including the CSO and AE. Administrative staff will be instrumental in ensuring action is taken to reduce risk and the whole system is continuously monitored to ensure actions are effective and appropriate.

### Supervisors

Supervisors are responsible for the safety performance of all personnel and equipment under their supervision. They are responsible for the initial investigation of all accidents and incidents, and for

reporting these accidents and incidents to the Human Resources, Risk Management and Transportation Operations Department.

## Employees

All Votran personnel are responsible for performing their work safely and for following established safety-related rules, procedures, and work practices. This includes reporting all accidents, incidents, and hazards to their supervisor per established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

Votran staff will be involved with updates, modifications and implementation of the PTASP. Each staff member brings a valued perspective to the development of policies and procedures he or she will be expected to implement. Every opportunity will be given for employees and riders to provide input to increasing safety at Votran. Those opportunities include monthly safety meetings, annual employee meetings and training, department meetings, customer and employee surveys and an open-door policy with access to all management staff.

## Employee Safety Reporting Program (ESRP)

As stated in the Safety Management Policy Statement, Votran is determined to provide a safe working environment for its employees, riders and the general public. To ensure success, Votran has developed an ESRP to enable employees to report any risk or perceived risk to a supervisor, CSO, or member of administration that is non-punitive. The ESRP is designed to allow employees to report safety conditions to senior management without fear of disciplinary action or termination for reporting unsafe conditions and safety hazards. However; any observable unsafe, high-risk, hazardous behavior or actions taken by employees is not protected under the ESRP and may result in disciplinary action up to and including termination.

The ESRP allows each employee to report detailed information and observations whether they are a driver in service, maintenance staff, or other on-duty employee. This program dovetails with other methods currently in place to proactively identify hazards or threats. Those methods include but are not limited to the following:

- Pre/Post Trip Inspections
- Preventive Maintenance Inspections
- Employee Evaluations
- Facility Maintenance Plan
- Service Evaluation and Planning Program
- Training Program
- Rider and Public Complaint/Compliment Process
- Safety and Employee Meetings
- Incident/Accident Policies
- Safety Committee
- GM Luncheons
- GM Open Door Policy

## Hazard Reporting Process

Votran has developed a Hazard Report Form referred to as a Loss Prevention Investigation Report used to identify and provide information about hazards observed by employees while on-duty. The form identifies vital information to assist employees in determining an action to mitigate the threat or hazard. This form is not meant to replace accident forms currently being used, but instead used in conjunction with the accident forms. It is proactive reporting method to identify a perceived threat or hazard, potentially endangering employees, riders or the general public. The form serves a dual role as an incident, illness, and near miss report. The Loss Prevention Investigation Report form is located in Appendix 2 of this Plan.

**Effective July 20, 2020 all Votran employees will receive one hour of training on the procedures associated with the Loss Prevention Investigation Report. The training will cover the following areas:**

- Locations of blank Loss Prevention Investigation Report
- When to use a Loss Prevention Investigation Report
- Capturing critical information on the form
- Notification process depending on the hazard
- Proper assessment of the reported hazard
- Supervisor and CSO role in completing the form
- Follow-up process to determine effectiveness of mitigation

The following process is used as part of the Employee safety Reporting Program (ESRP).

### Immediate Action Required

If you have identified a hazard which you perceive to be a risk to yourself, fellow employees, passengers, or the public you must report it immediately to the on-duty supervisor/dispatcher. Once reported you must determine if immediate action is necessary to prevent additional risk. If so, communicate to supervisor before taking action if time allows. Once action has been taken to mitigate the potential harm to yourself, others or property advise a supervisor of the results of your actions. Once you are able, complete the Loss Prevention Investigation Report with complete information and give to supervisor on-duty.

### Delayed Action Required

If an employee determines immediate action is not necessary and delayed action is appropriate a full report must be completed using the Loss Prevention Investigation Report and submitted to the on-duty supervisor.

### Role of Supervisor

The on-duty supervisor is responsible for advising the employee on immediate action or delayed action to mitigate a hazard. The supervisor must then review the Loss Prevention Investigation Report to ensure all information is included adding additional information from their perspective. Once the form is complete it must be reviewed by the CSO to determine action necessary, investigate root cause of hazard and follow-up.

The CSO is responsible for determining the status of each hazard reported. In some cases hazards may be identified and are not able to be resolved but actions are taken to reduce the risk of the hazard. It is



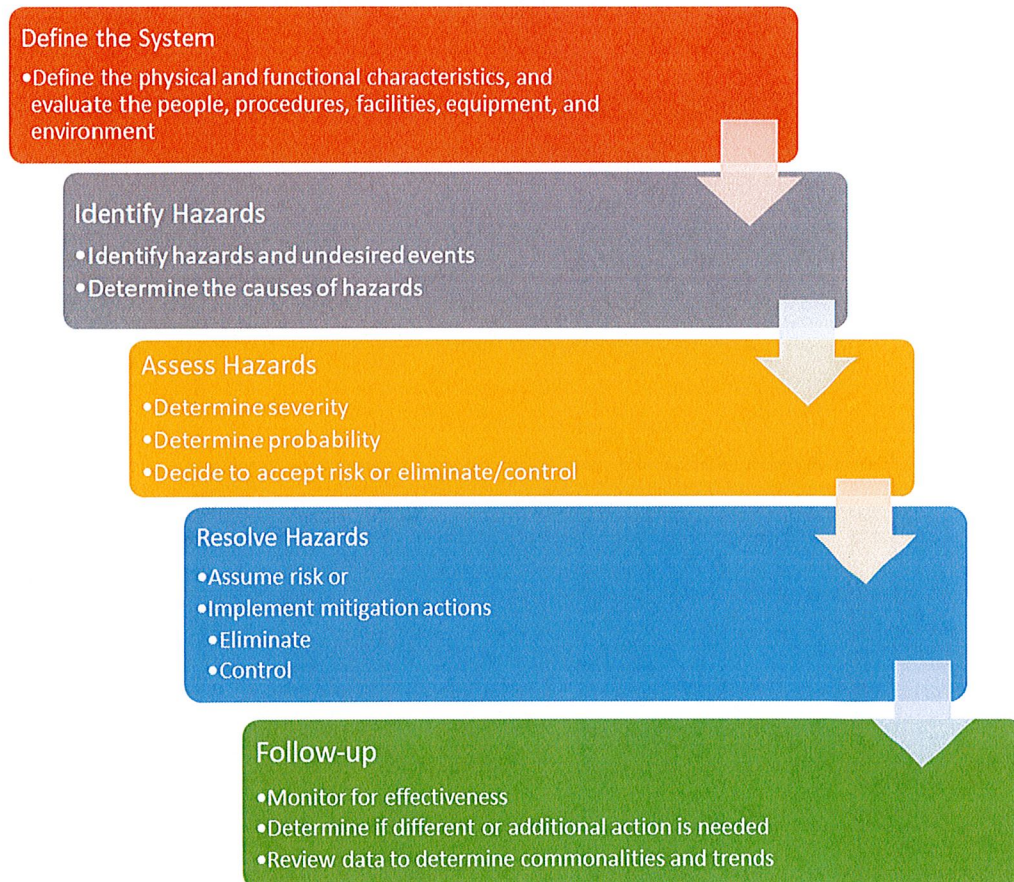
Votran’s goal to eliminate all identified hazards if possible. Some hazards may require continuous monitoring to ensure the hazard does not elevate to an action level.

All hazard reports will be documented and integrated into current performance measures and data collection. The CSO will track each hazard to completion and recommend policy or procedural changes if needed as a result of the hazard mitigation.

### Votran Responsibility

Votran takes every hazard report seriously and investigates each one to determine if it’s an isolated case, or emerging trend requiring evaluation of policies and procedures or service modifications. Employees reporting hazards will not face disciplinary action unless that employee contributed to the hazard. Votran wants to encourage all employees to report any hazard or threat they observe and help make the Votran system as safe as possible for its employees, riders, and the general public. Employees may report the hazard to their immediate supervisor or go directly to the CSO to submit and discuss their report.

The following process chart illustrates the steps taken as part of the hazard identification process through the Employee Safety Reporting Program (ESRP).



## Section 5. Safety Risk Management

Votran provides training to all personnel in the identification of hazards and security threat while also providing tools to enable personnel to report these risks. Once the risk has been identified, the necessary response and response time are determined. The response may include further investigation or monitoring, action(s) to mitigate the hazard or security threat and follow-up assessment to ensure action taken is appropriate and effective.

### Safety Hazard Identification:

Votran used a document called Potential Sources of Hazard Information for Bus Transit Operations Version 1 (September 2019) as guidance for safety hazard identification. The Federal Transit Administration (FTA) prepared this document to help transit agencies identify potential sources of hazards for analysis through the Safety Risk Management (SRM) process. SRM works within the agency's Safety Management System (SMS) to help agencies to assess and mitigate safety risks.

Source: <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-programs/safety/public-transportation-agency-safety-program/134116/potential-sources-hazard-information-bus-transit-operations.pdf>

Hazard and security threats are identified through different methods of monitoring the system. This includes system, employee and asset assessments conducted daily and on an incremental basis. The management staff in maintenance and operations departments engage in a process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. The agency conducts the following routine and random evaluations of the system in the following departments:

#### Personnel

Each employee is evaluated annually to ensure they are performing their job to the expectations of the Agency. As part of their orientation process, the employee is provided training and tools to perform their job while not receiving permanent status until completing 90 days of employment. During the 90-day period, the employee is evaluated to determine if they are properly prepared to perform their job.

Additional observations of the employee are conducted throughout the year through feedback from one-on-one meetings with supervisors of some aspect of their job function. If, through observation and feedback or annual evaluation, it is determined the employee's performance does not meet expectations or training standards, remedial training will be provided and additional evaluations will take place to ensure remedial training was effective.

#### Assets

Rolling stock, facilities and equipment are monitored through a vigorous preventive maintenance plan aimed at identifying hazards and deficiencies as part of daily and scheduled inspections. Operations and Maintenance Departments coordinate the preventive maintenance program, including daily Vehicle Inspection Reports, incremental and annual inspections for facilities and equipment. The maintenance department reviews floor plan specifications for new bus purchases and inspects vehicles at the

manufacturer to ensure no new hazards will be introduced that will impact Votran's Safety Performance.

### Transit Asset Management

In order to meet Votran's goal of achieving business benefits derived from an asset management approach that focuses on customer service improvements, increased productivity and cost containment, optimized resource allocation, and improvement in communications to stakeholders and consumers the following objectives have been established in an Transit Asset Management Plan (TAM):

- Establishes an inventory of current Votran assets;
- Documents the current condition of the assets;
- Lists procedures in place to maintain the assets in a State of Good Repair (SGR) as defined by FTA; and
- Presents best practices guidelines for continuing fleet operation while maintaining effective transit asset management.

Votran updates the FTA required Transit Asset Management (TAM) Plan annually with data relevant to each asset to include a condition assessment, miles (with rolling stock and non-revenue vehicles) and age as to whether the asset is in a State of Good Repair (SGR). Votran defines State of Good Repair (SOGR) as "the condition of an asset where the asset, at a minimum, is capable of delivering the required performance safely and reliably for a predetermined period of time". State of Good Repair may include short or long term, full or partial replacement/rehabilitation based on Votran's needs. Critical to the safety and performance of a public transportation system is the condition of its capital assets—most notably, its equipment, rolling stock, infrastructure, and facilities. The TAM Plan allows Votran management to collect and use asset condition data, set targets, and develop informed strategies to prioritize investments to meet their state of good repair goals.

The following are three specific elements of the connection between Votran's Safety Plan and Transit Asset Management Plan:

1. Votran asset condition assessments will direct and inform Votran's SMS of assets that are in poor condition and pose a risk that might negatively affect performance, reliability, or quality of service.
2. Votran's SMS will provide valuable input to the TAM Plan and assist in evaluating investment strategies and the prioritization of fleet, facilities and equipment rehabilitation and replacement.
3. Votran's Accountable Executive is ultimately responsible for risk management and safety assurance under Votran's SMS and has a focused decision-making role in the TAM Plan and investment prioritization understanding the relationship between safety and asset management.

### System

As part of Votran's safety management system monitoring, the agency uses service safety evaluations when responding to an event like an accident or incident. Existing routes are examined for areas of improved safety when a safety incident or event occurs. New routes are strategically developed with safety being the first priority and passenger access second. Votran route planners plan and test all

routes before activating the route for revenue service. All routes are reviewed periodically to determine if environmental hazards may exist requiring modification to the route, schedule or vehicle.

All front-line staff have been trained to note any changes to service which may be considered a hazard or security threat and through the ESRP, notify their supervisors immediately or upon return to Votran depending on the severity of the hazard.

## Hazard Identification Procedure

Any employee seeing something through inspection or observation they deem to be a hazard are instructed to immediately report that hazard to the immediate supervisor regardless of the perceived level of threat. Depending on the situation, either the immediate supervisor or the employee will complete a Loss Prevention Investigation Form and submit it to the CSO.

If the hazard requires immediate mitigation, the employee will be instructed on steps to take to reduce the risk which may or may not alleviate the risk completely. Additional actions may be taken once the immediate risk mitigation has been taken. Some hazards may not pose an immediate risk but are still reported and the CSO will be responsible for risk assessment, investigation and mitigation strategy.

In some cases, a passenger or member of the general public may call Votran with a complaint about a front-line employee which may rise to the level of hazardous behavior or actions. Votran currently documents all customer complaints/compliments and takes appropriate action to investigate any complaints. Complaints deemed hazardous will trigger immediate action by on-duty supervisors.

Loss Prevention Identification Forms will be located on all vehicles along with standard safety kits for accident and incident reporting, with all Customer Service Representatives (CSR)'s, Dispatch, Operations, and Maintenance Departments. A copy of the form is located in Appendix 2.

The Loss Prevention Investigation Form will require the employee to briefly describe the hazard noting date, time of day, location, and other pertinent information. The form includes a section for the CSO or immediate supervisor to document immediate action taken to reduce risk, a risk assessment chart prioritizing the risk, and a section for additional follow-up action. All forms will be processed by the CSO and summarized periodically for trend analysis and include in safety performance measures.

## Safety Risk Assessment

All Votran staff have been provided with training appropriate for their positions within the organization. Votran expects its employees to respond to hazards or threats with professional judgement as sometimes there might not be time to contact a supervisor to prevent an emergency event. In cases where the hazard can be reported without immediate risk, the employee will make an initial assessment of the risk as part of their report. Information collected from accident reports, safety reporting program, observations, reviews, and investigation is used to rate the risk; this allows the agency to prioritize its risk based on severity.

| Risk Assessment Matrix  |                  |              |              |                |
|-------------------------|------------------|--------------|--------------|----------------|
| Likelihood/<br>Severity | Catastrophic (1) | Critical (2) | Marginal (3) | Negligible (4) |
| Frequent (A)            | HIGH             | HIGH         | HIGH         | MEDIUM         |
| Probable (B)            | HIGH             | HIGH         | MEDIUM       | MEDIUM         |
| Occasional (C)          | HIGH             | MEDIUM       | MEDIUM       | LOW            |
| Remote (D)              | MEDIUM           | MEDIUM       | LOW          | LOW            |
| Improbable (E)          | LOW              | LOW          | LOW          | LOW            |

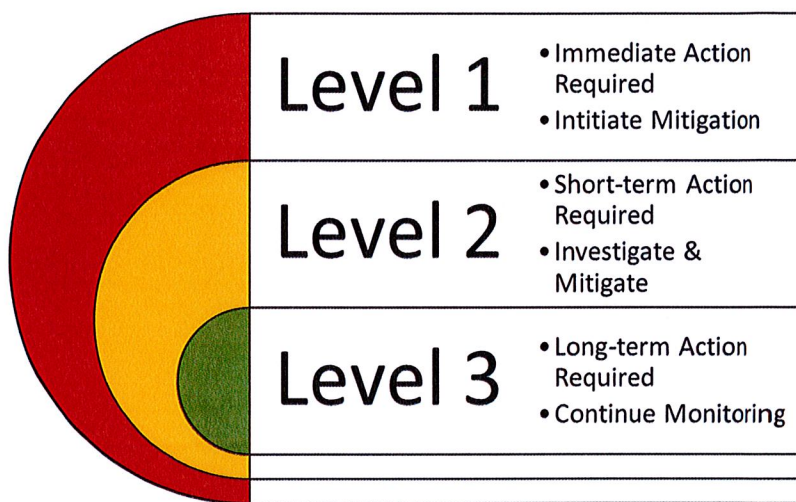
| Safety Risk Index/ Level | Criteria by Index   |
|--------------------------|---|
| <b>HIGH- Level 1</b>     | <u>Unacceptable – Action Required:</u><br>Safety risk must be mitigated or eliminated.  |
| <b>MEDIUM- Level 2</b>   | <u>Undesirable – Management Decision:</u><br>Executive management must decide whether to accept safety risk with monitoring or require additional action. |
| <b>LOW- Level 3</b>      | <u>Acceptable with Review:</u><br>Safety risk is acceptable pending management review.  |

Once received by the CSO, the initial risk assessment may be amended requiring immediate, short, or long-term response.

**Level 1 - Immediate:** A deficiency, threat or hazard requiring immediate attention to mitigate risk either temporarily until further action can be taken or complete mitigation.

**Level 2 - Short Term:** Action is needed within seven days to mitigate an identified deficiency, threat or hazard. The deficiency, threat or hazard does not pose immediate danger but if no action is taken could elevate to an immediate level risk.

**Level 3 - Long Term:** A deficiency, threat or hazard has been identified but does not pose a threat currently but could at a later time. Continued monitoring and awareness are required.



The CSO in coordination with staff will investigate each identified hazard, assess the risk, and take appropriate action to mitigate the risk. Additional mitigation may be needed based on follow-up monitoring to the action taken.

### Safety Risk Mitigation

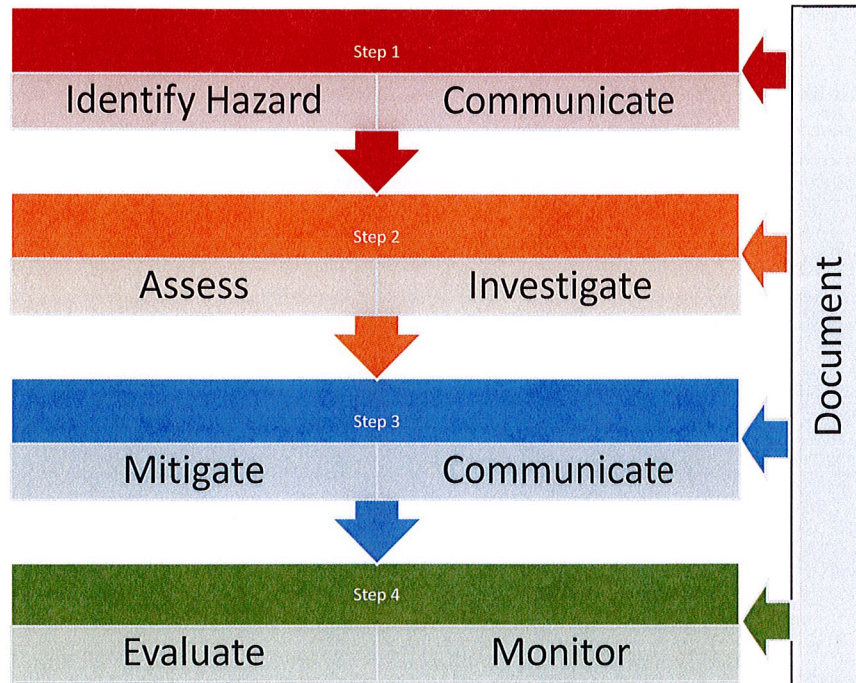
In response to all identified and assessed hazards, Votran will take steps to mitigate the hazard and reduce or eliminate the risk to employees, riders, and public. Mitigation strategies will be dependent on results of investigation into the elements contributing to the risks. The investigation may include more than one department and may include interviews outside of the transit system.

Actions to mitigate risk will include all employees, riders, and public who may be impacted by either the hazard or the actions to reduce or alleviate the risk. Votran will communicate actions to appropriate staff through methods appropriate risk assessment. In some cases, immediate communication through two-way communications (dispatch system, text burst, email, or web alert) may be necessary. In other cases, bulletin board notices or memorandum posting may be appropriate.

Once a risk mitigation strategy has been implemented Votran will monitor the actions to determine if full mitigation is possible and if not, is additional action necessary to alleviate the risk or is stepped up

monitoring necessary. Some risks may not be completely mitigated but awareness to the risk will be a top priority.

All actions taken to mitigate risk will be documented and linked to the initial deficiency, threat, or hazard identification step.



## Section 6. Safety Assurance Performance Monitoring and Measurement

Safety performance monitoring and measurement involves the continual monitoring of the transit agency's activities to understand safety performance. Through these efforts, Votran can determine whether it is meeting its safety objectives and safety performance targets, as well as the extent to which it is effectively implementing Safety Management Systems (SMS).

Votran is constantly striving to maintain the highest level of safety through its monitoring methods to include adherence to policies and procedures, safety and maintenance plans, and system and employee evaluation processes. These methods allow Votran to determine the need to make changes to improve policies, employee training and service delivery.

### Safety Committee

The safety committee is charged with overseeing procedures and processes that directly and indirectly affect the safe operation of Votran's bus and paratransit systems. The Safety Committee shall review and make recommendations for improvements in training for operators, field Supervisors, vehicle and facility maintenance. They shall review and provide recommendations for improvements in operations and maintenance procedures and practices to include road calls and pre-trip inspections of revenue service vehicles. Changes to the bus system's configuration shall be reviewed by the Safety Committee for information purposes and to make sure all affected areas remain in compliance with the PTASP and Configuration Management. The membership of the Safety Committee shall be represented by a



member of operations, safety and training, vehicle maintenance, planning, and customer service. The Accountable Executive (AE) shall oversee the Safety Committee and shall hear any disputes arising out of the Safety Committee findings and recommendations. The Safety Committee will meet and conduct inspections on a quarterly basis. The location of the meeting will rotate each quarter to ensure that each facility is properly represented. Facilities included in the Quarterly rotation schedule include the Mobility Management Center main office and maintenance facility, Intermodal Transfer Facility, West Side Facility, and the Transfer Plaza. The rotating schedule will allow the Safety Committee to perform audits and facilities inspections on each property and will help inspire changes concerning operations, vehicle maintenance, facilities maintenance as well as safety procedures and culture.

## Maintenance

**Maintenance Standards and Procedures.** Standards and procedures are included in the Votran Maintenance Plan. In general, maintenance procedures are designed to ensure that the maintenance recommendations of the manufacturer are met, maximum efficiency in performance and operation is obtained, and maximum bus life and condition are maintained. Daily bus inspections, an active Preventive Maintenance Program, and careful monitoring are included in procedures to ensure the safety of buses and adequacy of the Fleet Maintenance Plan.

**Operator Inspections.** All operators are required to perform a pre-trip and post-trip inspection to ensure that the vehicle is safe and in good operating condition. If any defects are noted by the operator, a Defect Slip is completed and, depending on the severity and extent of the defect, the vehicle may be repaired or taken out of service until a repair can be made. In the case of a defect that develops or is noted once a vehicle is in service, the operator is required to communicate the problem to Operations, who will then notify Maintenance.

**Daily Servicing and Inspections.** The Votran Maintenance Department inspects and services buses used in revenue service each day. The buses are fueled and washed, all fluids are checked, tires and lugs are checked, and the vehicle is inspected for any leaks or unusual noises. The Cleaners clean the bus interiors each day. When a defect is noted, it is reported to the Lead Mechanic or Supervisor on shift so that evaluation and, if necessary, a repair can be conducted.

**Mileage-Based Maintenance Inspections.** All buses receive preventive maintenance inspections (PMI) at designated mileage intervals. Mileages are determined by vehicle and subcomponent manufacturers and real-world experience. Oil sampling is performed periodically for both engines and transmissions. A description of the schedule and type of inspection and service performed for each bus series is included in the Votran Maintenance Plan.

**Maintenance Inspections of Contracted Providers.** Votran contracts for some paratransit operations. The contractor must ensure that all passenger vehicles and associated equipment are maintained in proper working condition. The contractor is required to implement a maintenance and safety program that includes a preventive maintenance schedule that complies with FTA requirements for preventive maintenance for vehicles. Further, contractors are required to maintain comprehensive maintenance records on each vehicle and send the information to Votran. In addition, on-site inspections are conducted at least quarterly to verify vehicle condition.

## Operations

### Facility Monitoring

Formal facility inspections of all Votran facilities and grounds are conducted by Votran Maintenance/Safety/Facilities quarterly using a facility checklist. The purpose of the inspections is to identify any unsafe or unhealthy conditions which may exist, and that may require maintenance or modification. Each facility is also visually inspected for compliance with OSHA and local fire codes.

Any guests to Votran's administration facility must check in through a secured process requiring check-in and validation of visit purpose. Employees are trained on procedures for visitors in the workplace and facility access is limited through security systems.

### Frequency

The Safety Committee conducts its safety inspections quarterly. Mechanics and Facilities Maintenance employees look for potential hazards with equipment whenever they are using that equipment. The vehicle hoists, chain pulls, and lifts in the vehicle maintenance shop are inspected annually by contractors. Preventive maintenance of equipment and facilities is performed in accordance with the manufacturer's recommended practice. Hazards are also identified by analyzing work accident trends, through Loss Prevention Investigation Forms submitted by employees. Forms are used by employees to report safety concerns and to make safety recommendations.

### Reporting

When deficiencies are noted during quarterly inspections, they are documented and reported to the director of the department in which the safety hazard is located. When safety hazards are noted by non-scheduled observation, they must be reported by the observer to a supervisor or CSO. Loss Prevention Investigation Forms are routed to the department, Chief Safety Officer or director best equipped to evaluate the concern and, when necessary, propose a resolution.

### Hazard Resolution

The primary purpose of facility inspections and hazard reporting is to identify conditions that could lead to accidents and losses. In view of this, it is crucial that all departments and employees be involved in the Facility Inspection and the Hazard Identification and Resolution processes. Hazard resolution is related to the severity of the hazard and the probability and severity of a negative consequence of the hazard.

### Follow-up

Corrective action for a confirmed hazard that has been identified by any established process is the responsibility of the director of the department area in which the hazard exists or the CSO. This includes arranging for the services of other Votran departments or outside parties, as necessary, to eliminate or control the hazard.

### Documentation

Hazards that have been identified, proposed resolutions, and corrective actions are recorded in hard copy by the Safety Committee and maintained by CSO

All front-line personnel are responsible for monitoring safety and security as part of their respective positions. If a hazard is identified through observation or interaction with customers or the general public, it is reported to the immediate supervisor as well as following Votran's hazard reporting process.

## Employee Hazard Reporting

### Loss Reports

Employees can fill out a Loss Prevention Investigation Report Form which is turned into the effected department and the CSO, and talk with a supervisor or the Operations Manager. They can also contact a Safety Committee member which is comprised of a cross section of Votran team members. Depending on the severity/risk of the hazard identified, immediate action may be taken, or the input will be brought to the Safety Committee for discussion. Feedback will be provided to the employee on what action, if any, will be taken. All employees follow the Employee Hazard Reporting Program Policy.

### Route/Operations Safety

Employees can fill out a Loss Prevention Investigation Report Form or discuss suggestions for making the system/route safer. Votran encourages employees to be advocates for safety while also suggesting methods of increasing performance. Management has an open-door policy and makes clear the importance of employee feedback; positive and negative.

## Safety Events

### Accident and Incident Reporting Process

All accidents and loss incidents are to be investigated. Votran's safe driving standards require professional safe performance of all operators. To ensure better than average safety performance, Votran employs the National Safety Council guidelines to determine if a collision or onboard incident could have been prevented. All personnel operating any Votran vehicle are held to this standard.

The Votran Operator's Manual includes procedures and responsibilities for accident/incident investigation. The combined manuals establish procedures for accident notification, response, and investigation.

Transit Operations coordinates with outside law enforcement agencies if they investigate an event. Administrative staff coordinates with outside insurance providers and provides support among Votran departments and independent investigation to manage Votran liability and claims.

Most accidents and incidents involving Votran are relatively minor in severity and are investigated by operations field supervision. Since most accidents involve buses, this section focuses on bus accidents. However, all non-bus accidents and incidents are also investigated.

### Notification

Bus Operators are to notify the operations system supervisor anytime a Votran vehicle might have been damaged, anytime a Votran vehicle and another vehicle come into contact, or anytime an instance occurs in where a customer may have been injured. An operations supervisor will be directed to the scene. Police and ambulance will be dispatched, if necessary.

## At-Scene Procedures

Bus operators will adhere to the following procedures defined in the Votran Operator's Manual:

- Assist the injured.
- If blocking traffic, set out reflective triangles.
- Do not move the coach unless required to do so by an Operations Supervisor, fire or police order, or impending danger from traffic.
- Obtain names, addresses, and phone numbers of all witnesses.
- Have all customers sign the customer list.
- Contact dispatch for supervisor support

Operations supervisors are responsible for conducting on-scene investigations of accidents and incidents. Depending on the severity and the nature of the event, various mechanisms will be used for preserving transient evidence. These may include digital photography, bus video, field sketches, other available video, interviews, and observations.

### Investigation

An attempt is made to complete the investigation of most accidents within three days. Operations supervisors are required to complete an Accident/Incident Report. Operators are required to complete an Accident Information Report. The Supervisor is required to file the report and attach all relevant back up documentation for use by the Director of Operations and the CSO.

A Report of Injury Form must be completed if an employee suffers an injury or illness as a result of an accident or incident.

## Accident Review Process

### Accident Review Committee

The Accident Review Committee is comprised of five members, which include 2 bus Operators, a Maintenance Employee and 2 Supervisors with the Safety Director as chairman. Accident reports and evidence are reviewed, analyzed and a determination of responsibility for an accident is confidentially made by each committee member.

Accidents and Incidents are classified as Preventable or Non-Preventable.

A preventable accident is one in which the employee failed to do everything reasonable to prevent it as defined by the National Safety Council.

A non-preventable accident is one in which the employee was clearly not at fault

Any employee who has been determined to have had a preventable accident is informed by letter, explaining the reason for the decision and the opportunity to appeal that decision in person at the next meeting of the Accident Review Committee (ARC).

It is the responsibility of an employee desiring to appeal to submit a letter of request to the Operations Manager, no later than ten days prior to the next ARC meeting. Failure to comply with the established time limits shall relinquish the employee's right to appeal. If the employee wishes to have Union representation it is their responsibility to make contact and arrangements.

An employee making the appeal to the committee explains the accident situation, presents any new evidence and answers questions the members may have. At the conclusion of the appeal, the committee again reviews the accident circumstances and votes on a decision, which is final.

The Accident Review Committee also reviews all on the job injury accidents resulting in lost time and or an incurred medical bill, as well as any safety issues, in efforts to reduce accident occurrences.

#### Hazard Resolution

The primary purpose of the Accident Investigation process is to determine the root cause(s) of accidents so that they may be prevented or mitigated in the future. To this end, it is crucial that all relevant departments be appropriately involved in the Process. A serious attempt is made to use lessons learned through the investigatory process to incorporate hazard resolutions into future procedures, designs, construction, modifications, training, and procurements.

#### Follow-up

Follow-up in the form of corrective actions is the responsibility of the employee's director. The responsibility may be delegated to the employee's manager, supervisor or CSO.

Any disciplinary action will be assessed using the Collective Bargaining Agreement procedures and/or the Administrative Handbook. Disciplinary consequences for accidents may include warnings, suspensions, and discharge.

#### Internal Reporting

The Operations Supervisor is responsible for ensuring that all accident reports are completed and filed in the appropriate office. Human Resources will advise on the history of the employee if a pattern of safety events is evident.

#### Documentation

Transit Operations and Human Resources and CSO maintain the accident investigation documentation.

### Continuous Improvement of Safety Performance

If Votran identifies safety deficiencies as part of its safety performance assessment, Votran will develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies. Through a series of performance measures relative to operations, maintenance, and safety, Votran can monitor the system's safety by identifying trends and gaps in policies, procedures, training, and monitoring efforts. The following performance measures are on a daily, monthly, and quarterly basis.

#### Maintenance

- **Preventive Maintenance On-time Inspection Percentage** – determines the effectiveness of the maintenance department to ensure all inspections are conducted per manufacturing and Votran mileage intervals.
- **Vehicles Removed From Revenue Service** – tracks vehicles removed from service due to a mechanical defect developed while in service requiring immediate service either on-site of failure or once returned to the facility.

- **Annual Vehicle Condition Assessment** – through annual inspection, determines on a scale of 1-5 the overall condition of the asset. This performance measure is also used in annual updates of Votran’s Transit Asset Management Plan.

#### Operations

- **Customer Complaints Per Month** – tracks all customer complaints to identify areas of deficiency with vehicle, driver or other Votran areas. Safety-related complaints are immediately routed to a supervisor on-duty or the CSO for investigation mitigation and response. Complaints may be a result of phone calls, website or Votran public forums.
- **On-time Performance** – serves as an indicator to issues with time management, environmental factors, scheduling, and vehicle and driver performance.
- **On-board Surveys** – conducted annually, allow Votran to receive rider feedback about bus operator performance, customer service, and vehicle safety.

#### Safety

- **Safety Performance Measure: Fatalities** (total number of reportable fatalities and rate per total vehicle revenue miles by mode)
- **Safety Performance Measure: Injuries** (total number of reportable injuries and rate per total vehicle revenue miles by mode)
- **Safety Performance Measure: Safety Events** (total number of reportable events and rate per total vehicle revenue miles by mode)
- **Safety Performance Measure: System Reliability** (mean distance between major mechanical failures by mode)

## 7. Safety Promotion

Communication of Votran safety and safety performance information is achieved primarily through Votran’s Safety Management Policy and includes:

- Information on hazards and safety risks relevant to employees’ roles and responsibilities, and
- Safety actions taken in response to reports submitted through an employee safety reporting program ESRP.

Votran has a comprehensive safety training program for all employees and sub-contractors directly responsible for safety. Votran’s Safety program includes appropriate training for employees at all levels in all departments.

## Operator Selection

### Hiring Practices

Selecting applicants best suited to excel at the Bus Operator job requirements is critical to safe transit operations. The transit Bus Operator is directly responsible for the safety of not only the passengers, but also the pedestrians, bicyclists, drivers, and all others who share the road with the transit vehicle.

Votran's hiring process includes the following components:

#### *Applications*

Applicants are sought through postings in traditional and culturally diverse media, referrals from current employees, posted in public facilities, local newspaper, Votran website and applications filed by prospective candidates when there are no positions available. The applications are screened by key personnel in Human Resources and Transit Operations.

#### *Interview*

After application reviews, applicants are then interviewed by a panel comprised of an Operations Supervisor, an Operator/Instructor, and an HR or other administrative staff person. The interview process is designed to evaluate a candidate's strengths in customer service, the ability to simultaneously perform tasks, conflict resolution, and the ability to perform well under temporal and interpersonal pressure.

#### *Driving Record*

To be eligible for hire, a candidate must submit an acceptable driving record that meets the minimum hiring requirements with Votran.

#### *Licensing*

To be eligible for hire, a candidate must be able to earn a CDL with a Passenger and Air Brake Endorsement.

#### *Criminal Background Check*

To be eligible for hire, a candidate must submit to a Criminal Background Check administered by the Florida Department of Elder Affairs, and other state and federal agencies. The results must meet all statutory and Votran standards for the Bus Operator position.

#### *Drug Testing*

To be eligible for hire, a candidate must produce a negative result for a pre-employment drug test.

#### *Physical Capacities Testing*

To be eligible for hire, a candidate must pass a position-specific physical capacities test.

## Training

There are formal training programs for Bus Operators, Maintenance employees and Operations employees. These include training classes, manuals, Votran Standard Operating Procedures, and on-the-job training.

The safety component of training is designed to make employees aware of the hazards associated with their jobs and the appropriate methods for controlling these hazards. The training is intended to

motivate employees to work safely. Trainings fall into three main categories: (1) Initial, (2) Periodic, and (3) Remedial or Refresher.

#### Initial Bus Operator Training

New Bus Operators receive an intensive 5 to 8 week training course that covers every aspect of their new job. Some components of the training are delivered in the classroom. The majority of learning occurs on the buses during off-route and on-route training. The training includes, but is not limited to, the following areas:

- Smith System Defensive Driving
- Bicycle and Pedestrian Awareness
- Orientation to Votran Bus System
- Basic Bus Maneuvers
- System Procedures
- Communication skills
- Customer Service
- Accessible Service
- Emergency Management
- Fleet Services
- Personal Safety
- Health/Injury Prevention
- Stress Management
- CDL Preparation
- On-route Training
- Road Rage / Work Place Violence
- Active Shooter
- Security Awareness / See It Say It Program
- Fatigue Awareness

On-route training provides real service experience with an Operator Instructor on the new operator's regularly scheduled work. The time the new employee operates the revenue route is increased daily. Each day the student receives a full review and debriefing from his or her instructor. Instructors communicate among one another regarding where additional training for new operators is required. Student rotation among the Operator Instructor group provides each student with experience across a variety of routes, vehicles, times of day, instructional styles, and driving conditions.

After the initial training, new Bus Operators receive additional support and training as needed.

#### Annual Training for All Bus Operators

Every year, each bus operator receives one full day of refresher and topical training. The training addresses, but is not limited to, the following topics:

- Fatigue Awareness
- Dealing With Difficult People
- Resolving Conflict
- Harassment
- Effectively Dealing With People of Differing Ages



- Proper Securement of Mobility Devices
- Defensive Driving Course
- Bloodborne Pathogens
- Safety/Security Update
- Injury Prevention
- Accessible Service Sensitivity
- PTASP

## Initial Operation Supervisor Training

Transit Operations Supervisors begin their career path, almost exclusively, as bus operators who first work in the position of temporary supervisor or dispatcher. A temporary supervisor performs many functions of the full supervisory position and receives training in, but not limited to, the following areas:

- Drug & Alcohol (Policy and procedures for all types of FTA-mandated testing)
- Accident Investigation (based on the TSI model)
- Emergency Procedures
- Security Procedures
- On-the-job Injury Claims
- Blood Borne Pathogens
- Data Entry and Recordkeeping
- Sexual Harassment
- Cultural Diversity
- Coaching/Criticism/Discipline
- Dispatch Operations
- Field Operations
- First Aid and Defibrillator
- Basic Writing
- Road Rage
- Conflict Resolution
- Right to Know
- Safe Place

## Injury and Illness Prevention Training

Injury and Illness Prevention Training is directed toward achieving a safe working environment for all employees and reducing the chance of occupational-related injuries and illnesses. The majority of training, targets employees working in the Maintenance and Facilities Maintenance Departments because these employees have the greatest exposure to occupational hazards. The program is based on applicable Federal, State, and local safety codes and regulations. Some areas addressed in training include:

- Handling Hazardous Materials (Right to Know)
- Slips, Trips, and Falls / Fall Protection
- Personal Protection Equipment
- Material Safety Data Sheets (MSDS) and Labels
- First Aid
- Advantage and Koni Portable Lift Safety
- Forklift Inspections and Safety
- Spotter Backing Out Vehicle from Shop Training
- Fueling Procedures Propane Leak-fire Procedures
- Tire Machine Safety Training
- Electric Chord Safety
- Bloodborne Pathogens
- Hazardous Materials Storage
- Spill Response

## Emergency Response Planning and Coordination

Details are contained in the Votran Emergency Action Plan and Evacuation Request Procedures.

## System Modification Design Review and Approval

### General Process

The Votran bus system is regularly modified in response to operational experience, the addition of new types of service, and changes in service design and levels. Votran's philosophy is to use appropriate new technologies to benefit the environment and the community it serves. The challenge is to review any proposed modification adequately before it is approved. Any proposed modification should be evaluated to ensure it is compatible with existing systems and does not introduce new hazards to the system or reduce the effectiveness of existing hazard controls.

Equipment modifications may be proposed by any employee of any department that uses the equipment. Changes may also occur from an analysis of reliability performance, historical data, and available improvements in equipment design and components.

### Modification Design Review

A review of any modification in equipment design shall be made by the director and managers of the department responsible for the equipment. It is an informal practice to include human resources and operations in the review regarding any change that might affect safety. The impact on the safety of all designs and specifications should be identified and evaluated before the change is approved. Some of the areas to be considered include but are not limited to:

- Hazardous Materials (handling and use)
- Motor Vehicle Safety
- Human Factor
- Occupational Health and Safety
- Materials Compatibility
- Fire Protection
- Lighting
- Braking systems
- Mirrors
- Warning Devices

Modifications must not be made before it is determined how they might affect the safety of the system, or any other systems. Other departments may evaluate a proposed change to determine its compatibility with other systems (e.g., hoists, fueling systems, communications systems). The evaluation may also include a review of applicable regulations, such as the Federal Motor Vehicle Safety Standards and Regulations and the U.S. Department of Labor's Occupational Safety and Health Act.

Testing may also be performed to evaluate the safety of a proposed modification. The testing of small changes may be minimal. For substantial modifications, extensive field testing, mock-ups, and structural evaluations may be employed.

### Modification Design Approval

Final approval is generally made by either the Director of Maintenance or the Assistant General Manager of Operations and Maintenance with concurrence of Chief Safety Officer (CSO) and the Accountable Executive (AE). When modifications are made by a bus manufacturer, the Director of Maintenance works with the manufacturer, and contractual changes may be made. If changes are substantial, additional training will be provided for maintenance and operation staff.

### Monitoring

Once a modification is put in place, feedback from the operating department is solicited to evaluate the performance of the modification. Unsolicited input from the operating department and its employees (end users) is also encouraged. Depending on the nature of the modification, Human Resources, Planning and the Safety Committee may be involved for input.

### Documentation

The Maintenance Department is responsible for documenting any vehicle or facilities modifications. Documentation may involve changing diagrams, schematics, manuals, service bulletins, service intervals, standard operating procedures, and Material Safety Data Sheets. Maintenance Supervisors are responsible for updating Safety Data Sheets based on input from product manufacturers.

### Routes

Route modifications are designed by the Scheduler. Planning may use a current Bus Operator to test routing and bus stop placement. This experience-based, real-world process is designed to protect the safety of the transit bus, transit passengers, other vehicles, and pedestrians.

The Scheduler informs the Operations Department and Safety Committee of any proposed route modifications. The Scheduler can request that the Committee evaluate a specific proposal, or the Committee can choose to evaluate any proposed modifications.

Transit operations management may request a route modification it believes will improve operations. It may also choose to evaluate a modification that has been proposed by another department. Input from individual Bus Operators is encouraged through the Loss Prevention Investigation Form, direct communication, and periodic surveying of Operators conducted by Schedulers.

Finally, the Scheduler maintains a cooperative working relationship with the appropriate planning and road departments of all municipal levels of government within which Votran operates.

## Additional Information

This PTASP was developed from information in other Votran documents, policies and procedures and manuals. Those documents are listed below:

- Votran Employee Handbook
- Vehicle Maintenance Plan
- Facility Maintenance Plan
- Training Manual

# Appendix 1

## Glossary

**Accident** means an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of rail transit vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

**Accident Review Committee** engages in the accident review process reviewing accident reports and evidence, and a determination of responsibility for an accident is confidentially made by each committee member. Accidents and Incidents are classified as Preventable or Non-Preventable

**Accountable Executive (AE), (typically the highest executive in the agency)** means a single, identifiable person who has ultimate responsibility for carrying out the Safety Management System of a public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

**Chief Safety Officer (CSO)** individual that manages the day to day adherence to the Safety Plan and, while in this role, report directly to the Accountable Executive (AE). As CSO, this individual will monitor safety and security throughout the organization including sub-contractors. All departments have been notified of the CSO's role and the established reporting requirements relating to safety-related matters.

**Employee Safety Reporting Program (ESRP)** program developed to enable employees to report any risk or perceived risk to a supervisor, CSO, or member of administration that is non-punitive. The ESRP is designed to allow employees to report safety conditions to senior management without fear of disciplinary action or termination for reporting unsafe conditions and safety hazards.

**Event** means an accident, incident, or occurrence.

**Fatality** means a death or suicide confirmed within 30 days of a reported event. Does not include deaths in or on transit property that are a result of illness or other natural causes. Reported in National Transit Database (NTD) data sheet S&S-40

**Florida Department of Transportation (FDOT)** the state department of transportation responsible for administering transit grant programs to eligible recipients.

**Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

**Incident** means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

**Injury** is defined as any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene. Reported in National Transit Database (NTD) data sheet S&S-40 for major event and SS-50 for non-major event.

**Major Mechanical Failures** is defined as a failure of some mechanical element of the revenue vehicle that prevents the vehicle from completing a scheduled revenue trip or from starting the next scheduled revenue trip because actual movement is limited or because of safety concerns. Reported in National Transit Database (NTD) data sheet S-20

**National Transit Database (NTD)** The NTD was set up by Congress in 1974 to be the repository of data about the financial, operating and asset conditions of American transit systems. The NTD is designed to support local, state and regional planning efforts and help governments and other decision-makers make multi-year comparisons and perform trend analyses.

**OSONOC** Other Safety Occurrence Not Otherwise Classified

**The Public Transportation Agency Safety Plan (PTASP)** safety plan that integrates safety into all Votran system operations. The safety plan describes the policies, procedures, and requirements to be followed by management, maintenance, and operations personnel to provide a safe environment for employees, customers, and the general public. The goal of this program is to eliminate the human and fiscal cost of avoidable personal injury and vehicle accidents.

**Passenger** means a person other than an operator who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.

**River to Sea Transportation Planning Organization (R2CTPO)** The River to Sea Transportation Planning Organization (TPO) is the duly designated and constituted body responsible for carrying out the urban transportation planning and programming process for designated Metropolitan Planning Area (MPA). The TPO's Metropolitan Planning Area map below includes all of Volusia County and the developed areas of eastern Flagler County including Beverly Beach and Flagler Beach as well as portions of the cities of Palm Coast and Bunnell.

**Safety Assurance** means the process within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

**Safety Event** is defined as a collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or OSONOC occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established National Transit Database (NTD) thresholds. Reported in National Transit Database (NTD) data sheet S&S-40 for major event and SS-50 for non-major event

**Safety Committee** is charged with overseeing procedures and processes that directly and indirectly affect the safe operation of the Bus and Paratransit Systems. The Safety Committee shall review and make recommendations for improvements to system operations and maintenance by conducting quarterly inspections and audits of facilities, vehicles, operations, and maintenance personnel standard operating procedures, process, and practices.

**Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.

**Safety Management System (SMS)** means the formal, top-down, data-driven, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

**Safety objective** means a general goal or desired outcome related to safety.

**Safety performance** means an organization's safety effectiveness and efficiency, as defined by safety performance indicators and targets, measured against the organization's safety objectives.

**Safety performance indicator** refers to a data-driven, quantifiable parameter used for monitoring and assessing safety performance.

**Safety Performance Measure** is an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

**Safety performance monitoring** means activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets.

**Safety performance target** means a quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

**Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

**Safety risk** means the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.

**Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

**Safety Risk Management** means a process within a Rail Transit Agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.

**Safety risk mitigation** means the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.

**Safety risk probability** means the likelihood that a consequence might occur, taking as reference the worst foreseeable—but credible—condition.

**Safety risk severity** means the anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable—but credible—condition.

**Security Event** means an occurrence of a bomb threat, bombing, arson, hijacking, sabotage, cyber security event, assault, robbery, rape, burglary, suicide, attempted suicide (not involving a transit vehicle), larceny, theft, vandalism, homicide, CBR (chemical/biological/radiological) or nuclear release, or other event.

**Serious Injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within seven days from the date of the injury was received; (2) results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) causes severe hemorrhages, nerve, muscle, or tendon damage; (4) involves any internal organ; or (5) involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.

**State of Good Repair** means the condition in which a capital asset is able to operate at a full level of performance.

**System Reliability** is defined as the measurement of the mean distance between major mechanical failures in a transit system and usually measured by mode.

**Vehicle Revenue Miles (VRM)** Means the miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include:

- Layover / recovery time. Exclude:
- Deadhead;
- Operator training;
- Vehicle maintenance testing; and
- School bus and charter services.



## Appendix 2



### Loss Prevention Investigation Report Form

Ref: 1 Version: 1

|   |                       |
|---|-----------------------|
| <b>Hazard identified:</b>   |                       |
| <b>Conducted by:</b>  | <b>In attendance:</b> |
| <b>Location of Hazard:</b>  | <b>Date:</b>          |
|   |                       |
| What is the hazard?   |                       |
| What are the risks associated with the hazard?  |                       |
| People/person who may be affected by the hazard:  |                       |
| What has already been done to control the hazard?<br><i>(Note: leave this section blank if nothing has been done)</i>   |                       |
| Initial risk rating: <input type="checkbox"/> low <input type="checkbox"/> moderate <input type="checkbox"/> high <input type="checkbox"/> critical <input type="checkbox"/> catastrophic<br><i>(Note: further action needs to be taken if the initial risk rating for the hazard is higher than "low")</i>                                       |                       |
| What further action needs to be taken?<br><i>(eg. provide training, review of safe work procedure, provide manual task equipment, etc...)</i>   |                       |
| By when (date):   |                       |
| Residual risk rating: <input type="checkbox"/> low <input type="checkbox"/> moderate <input type="checkbox"/> high <input type="checkbox"/> critical <input type="checkbox"/> catastrophic<br><i>(Note: the residual risk rating should be "low" at this stage, if this is not the case, think of a more effective way to control the hazard)</i> |                       |
| Completion date:  | Completed by:         |

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## Appendix 3

### 2020 NTD Safety & Security Quick Reference Guide – Non-Rail Mode Reporting

**Reportable Event:** A safety or security event occurring: on transit right-of-way or infrastructure, at a transit revenue facility, at a maintenance facility, during a transit related maintenance activity, or involving a transit revenue vehicle. Excluded from this event reporting requirement are: events that occur off transit property where affected persons, vehicles, or objects come to rest on transit property after the event, OSHA events in administrative buildings, deaths that are a result of illness or other natural causes, other events (assault, robbery, non-transit vehicle collisions, etc.) occurring at bus stops or shelters that are not on transit-owned property (unless boarding/alighting at the time), collisions that occur while travelling to or from a transit-related maintenance activity, collisions involving a supervisor car, or other transit service vehicle operating on public roads.)

| S&S-40 Major Event Report   | S&S-50 Non-Major Monthly Summary  |
|---|---|
| <p><b>MAJOR THRESHOLDS</b></p> <p>An event meeting the reportable event definition AND meeting <u>one or more</u> of the following reporting thresholds:</p> <ul style="list-style-type: none"> <li>• A fatality confirmed within 30 days (including suicide)</li> <li>• An injury requiring transport away from the scene for medical attention for one or more persons (partial exception in the case of Other Safety Events)</li> <li>• Estimated property damage equal to or exceeding \$25,000</li> <li>• An evacuation for life safety reasons</li> <li>• Collisions involving transit roadway revenue vehicles that require towing away of a transit roadway vehicle or other non-transit roadway vehicle</li> </ul> <p>Reports are due within 30 days of the date of the event.</p>   | <p><b>NON-MAJOR THRESHOLDS</b></p> <p>Less severe Other Safety Occurrence Not Otherwise Classified (OSONOC) injuries meeting the reportable event definition that are NOT a result of a collision, evacuation, security event, hazmat spill, or Act of God; and non-major fires.</p> <p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <ul style="list-style-type: none"> <li>• Single injury event requiring transport away from the scene for medical attention (<i>do not report "minor" collisions on S&amp;S-50</i>)</li> </ul> <p>Fires:</p> <ul style="list-style-type: none"> <li>• Requiring suppression that do not meet a major incident reporting threshold <i>injury, fatality, evacuation, or property damage of \$25,000 or more.</i></li> </ul> <p>Reports due by the end of the following month (e.g., January data due by end of February).</p> |
| <p><b>EVENT TYPES</b></p> <ul style="list-style-type: none"> <li>• Collision (including suicide/attempted suicide)</li> <li>• Fire</li> <li>• Hazardous material spill (requires <i>specialized</i> clean-up)</li> <li>• Acts of God (nature)</li> <li>• System security: <ul style="list-style-type: none"> <li>○ Arson</li> <li>○ Bomb threat/bombing</li> <li>○ Burglary / Vandalism</li> <li>○ Chemical/biological/radiological/nuclear release</li> <li>○ Cyber security event</li> <li>○ Hijacking</li> <li>○ Sabotage</li> <li>○ Suspicious package</li> <li>○ Other security event (shots fired, projectiles, etc.)</li> </ul> </li> <li>• Personal Security: <ul style="list-style-type: none"> <li>○ Assault</li> <li>○ Homicide</li> <li>○ Suicide or Attempted Suicide (no transit vehicle involved)</li> <li>○ Robbery</li> <li>○ Larceny/theft</li> <li>○ Motor vehicle theft</li> <li>○ Rape</li> <li>○ Other personal security events (perpetrator tazing)</li> </ul> </li> <li>• Other Safety Occurrences Not Otherwise Classified (OSONOC) (two injuries and/or another threshold) <ul style="list-style-type: none"> <li>○ Miscellaneous events that meet a threshold</li> </ul> </li> </ul> | <p><b>EVENT TYPES</b></p> <p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <p>Injury due to:</p> <ul style="list-style-type: none"> <li>• Slip/Trip <ul style="list-style-type: none"> <li>○ Including person making contact with a non-moving transit vehicle</li> </ul> </li> <li>• Fall</li> <li>• Injury to maintenance workers</li> <li>• Boarding/alighting</li> <li>• Abrupt or evasive transit vehicle maneuvers</li> <li>• Mobility device (e.g. wheelchair) securement issues</li> <li>• Injury sustained on a mobility device lift</li> <li>• Stairs/elevator/escalator injury</li> </ul> <p>Fire:</p> <ul style="list-style-type: none"> <li>• Requires suppression but no major threshold is met <ul style="list-style-type: none"> <li>○ Small fire on in transit station</li> <li>○ Small engine fire on transit vehicle</li> </ul> </li> </ul>   |