



**Moving Public Transportation  
Into the Future**

# **Safety Officer & Accountable Executive Training**

Hickory, NC  
June 21-22, 2016



Kinston, NC  
June 23-24, 2016



# Introductions



# Agenda

## Day 1

- ◆ Background
  - Federal Transit Administration (FTA)
  - NCDOT
  - Safety Management Systems (SMS)
- ◆ Accountable Executive
- ◆ Safety Officer/Manager
  - Leadership and Administration
  - Operations
  - Maintenance
  - Personnel Management
  - Training and Development



# Agenda

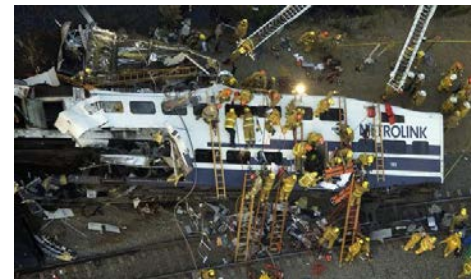
## Day 2

- ◆ Safety Initiatives
- ◆ Security
- ◆ Emergency Preparedness
- ◆ Safety and Security Plan Requirements

# Background

## Role of FTA in Safety and Security and Emergency Preparedness

- ◆ MAP-21
- ◆ FAST Act





# Safety Management Systems (SMS)

- ◆ Concept taken from airline industry
- ◆ FTA adapted for transit in MAP-21
- ◆ Bus Safety Program
- ◆ Scalable to any size system
- ◆ Strategically applies resources to risk
- ◆ Agency-wide, collaborative approach



# Safety Management Systems (SMS)

- ◆ Safety regulatory framework
  - Organization wide safety policy
  - Formal method of identifying hazards
  - Controlling their potential consequences
  - Continually assessing safety risk
  - Promoting effective employee safety reporting



# Safety Management Systems (SMS)

## SMS Components:

- ◆ Safety Management Policy
- ◆ Safety Risk Management
- ◆ Safety Assurance
- ◆ Safety Promotion





# Accountable Executive

- ◆ Ultimately responsible for safety management
- ◆ Implements and manages SMS
- ◆ Supports safety throughout organization
- ◆ Creates a culture of safety
- ◆ Ensures budget reflects support of safety



# Accountable Executive (cont.)

- ◆ Analysis of safety data, performance measures, reviews
- ◆ Manages policies and procedures and adjusts accordingly
- ◆ Makes long term decisions that may effect safety (procurement, service design, policy etc.)
- ◆ Works with Board to ensure safety culture
- ◆ Works closely with Safety Officer/Manager (in some systems could be same person)

# LEADERSHIP & ADMINISTRATION

## ◆ Overview:

- Leadership and Administration area includes:
  - Management Commitment
  - Mission, Vision, and Strategies
  - Organizational Structure
  - Employee Relations
  - Contractor Oversight



# Management Commitment

## Starts at the Top...

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

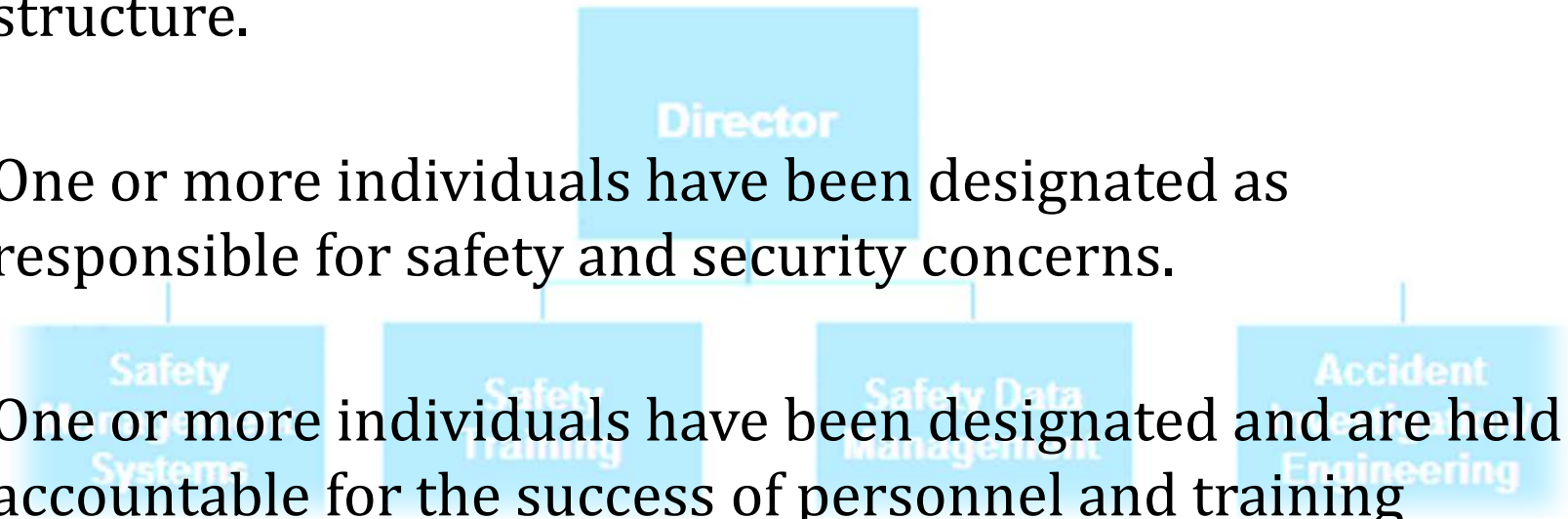


# Mission, Values, and Strategies

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

# Organizational Structure

- ◆ There is up-to-date documentation of the organizational structure.
- ◆ One or more individuals have been designated as responsible for safety and security concerns.
- ◆ One or more individuals have been designated and are held accountable for the success of personnel and training programs.
- ◆ The organization has a formal structure which defines chain of command and functional responsibilities.





# Employee Relations

- ◆ The relationship between management and employees is effective and open to communication on organizational issues in reference to safety and security.
- ◆ Front line employees are involved in the development of safety, security, or emergency preparedness protocols.



# Contractor Oversight

- ◆ If the organization contracts for services, the formal or informal relationship between the organization and contractors includes concerns about training, safety, and security, and monitoring of same.
- ◆ If the organization contracts for services, it conducts periodic audits of contractor training and safety and security to ensure compliance.
- ◆ If the organization has contracted out any part of its safety sensitive function, it ensures the contractor has an FTA/FMCSA compliant drug and alcohol program.



# TRANSIT OPERATIONS

## Overview:

- ◆ Transit Operations area includes:
  - Service Design and Delivery
  - Vehicle Procurement
  - Operational Policies and Procedures
  - Scheduling, Dispatching and Communications
  - Passenger Relations and Standards



# Service Design and Delivery

## Fixed Route

- ◆ Vehicle Assignment – route characteristics, passenger loads, passenger needs
- ◆ Schedules – efficient, safe and reliable, include adequate driver breaks, relief drivers
- ◆ Route – hazard identification, efficiency, timing, environment
- ◆ Stops – evaluation, location, safety, performance

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# Service Design and Delivery Standards (cont'd)

## Demand Response Service

- ◆ Scheduling – efficient, productive, reliable, safe
- ◆ Origins/Destinations – evaluate for safety, efficiency
- ◆ Service Design – door through door, door to door, curb to curb – impacts on policy and procedures, customer needs, efficiency and risk
- ◆ ADA Compliance

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## Service Design and Delivery Standards (cont'd)

- ◆ If the organization has experienced safety and security incidents related to service design concerns, it has reacted to help mitigate safety and security risk in the future based on these incidents.
- ◆ The organization has ensured that enough time is allotted between driver check in with Dispatch and scheduled pull-out time for drivers to complete a comprehensive and compliant pre-trip inspection.



# Vehicle Procurement

- ◆ The organization researches its vehicle needs by an analysis of the safety and security implications of ridership, routes, type of service, and budget.
- ◆ In its development of specifications, the organization takes into consideration safety and security issues such as seating configuration, lift placement, and number of unblocked door exits and emergency window exits for use in evacuating the vehicle in a fire or other life threatening incident.
- ◆ The system evaluates communications equipment placement and driver interaction requirements. Policies and procedures commensurate with equipment.
- ◆ The organization makes and documents delivery inspections of vehicles with an eye to safety and security concerns, such as steel body structure of the bus, lift / securement workability, exit portals operability, and road worthiness including braking system.



# Operational Policies and Procedures

- ◆ There is training on the organization's operations policies as they pertain to all staff of the organization.
- ◆ Drivers are required to use their seat belts at all times when operating a transit vehicle.
- ◆ The organization takes into consideration safety and security concerns when assigning pieces of work to frontline employees, including employee experience, skill level and aptitude, employee fatigue concerns, and other factors as may be appropriate.
- ◆ The organization has a formal operations policy document or driver handbook covering all front line operational safety and security activities which include vehicle inspection, breakdown, and securing procedures, passenger assistance procedures, emergency procedures for fire and evacuation, hazardous driving condition procedures and distracted driving (cell phones). A record of employee sign off for receipt of these documents is maintained.



# Scheduling, Dispatching & Communications

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



# Passenger Relations and Standards

- ◆ The organization actively uses a mechanism for documenting, tracking and responding to safety and security related complaints from passengers or other members of the public.
- ◆ There are passenger assistance policies that define the specific types of assistance that are provided and not provided to passengers, including parameters of demand response service such as curb-to-curb or door-to-door.
- ◆ The organization has a policy regarding child safety seats and the transporting of young children.
- ◆ The organization has a customer service policy governing passenger behavior or other issues in reference to safety and security and this policy encompasses personal oxygen tank storage, service animals, levels of driver assistance, restricted type and amount of items passengers can bring on board, restricted passenger activities on vehicle, and the right of the organization to refuse passenger service based on behavior or other issues.





# MAINTENANCE & TECHNOLOGY

- ◆ Maintenance and Technology area includes:
  - Maintenance Planning
  - Maintenance Procedures
  - Maintenance Documentation
  - Hazardous Materials Program
  - Equipment and Technology



# Maintenance Planning

- ◆ Manufacturer warranty work completed
- ◆ Bus maintenance plan includes preventive and corrective maintenance.
- ◆ Vehicles are regularly and systematically inspected and maintained in accordance with a maintenance plan and with the bus manufacturers' recommendations and requirements.
- ◆ A recording and tracking system is used to schedule inspections and maintenance intervals and includes date or mileage when services are due.
- ◆ Maintenance performance measures used to evaluate maintenance effectiveness over time.



# Maintenance Procedures

- ◆ Transit vehicles are kept clean and the outward appearance is one that reflects the organization's commitment to the safety and security of its passengers and customers.
- ◆ There are lines of communication that allow maintenance personnel and drivers to share their expertise in maintaining the operational safety of the vehicle fleet.
- ◆ Drivers always perform effective pre-trip vehicle inspections and these inspections are documented.

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## Maintenance Procedures (cont'd)

- ◆ Deficiencies noted in pre-trip inspections are repaired in a timely manner and properly reviewed by management.
- ◆ Wheelchair lifts, securement devices and other accessibility features of transit vehicles are tested on a daily basis and the organization ensures there are no recurring patterns of lift failures or related problems.
- ◆ The organization utilizes a formal preventive maintenance checklist.
- ◆ The organization utilizes a system to identify and document vehicle defects requiring corrective maintenance.



# Maintenance Documentation

- ◆ Vehicle inspection forms including driver daily pre-trip inspections and mechanic inspections are kept on file.
- ◆ All preventive maintenance is documented, including work orders, purchase orders, and/or invoices related to a particular piece of scheduled maintenance work, and kept on file.
- ◆ All corrective maintenance is documented, including work orders, purchase orders, and/or invoices related to a particular piece of corrective maintenance work, and kept on file.
- ◆ Separate and distinct hard copy records are kept for each vehicle in an individual vehicle file covering all maintenance activities relative to that vehicle.



# Hazardous Materials Program

- ◆ If the organization uses and stores hazardous materials on site, it has implemented and maintains a written, comprehensive hazard communication program that includes provisions for container labeling, collection and availability of material safety data sheets (MSDS), and an employee training program.
- ◆ It maintains a formal inventory of on-site hazardous materials including type of material, where the material is stored, the condition of the storage area, and storage container suitability and labeling.
- ◆ It has a plan for reacting to an emergency involving hazardous material storage, such as a facility fire or toxic spill.

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## Hazardous Materials Program (cont'd)

- ◆ Material Safety Data Sheets (MSDS) are maintained for each hazardous chemical used by the organization that might present a physical or health hazard and these MSDS are readily accessible to employees when they are at their work areas.
- ◆ It has an approved plan for hazardous material disposal.
- ◆ It trains and informs employees regarding hazardous chemicals when they are initially assigned to a particular work area or when a new hazardous chemical is introduced.
- ◆ If the organization maintains underground fuel storage tanks on site these tanks are compliant with the Energy Policy Act of 2005, title XV subtitle B



# Equipment and Technology

- ◆ With a focus on safety and security response concerns, transit revenue vehicles are clearly and properly identified with numbers on their sides which are easily visible from ground level and, if appropriate, by a decal number on the roof which is large enough to be clearly visible from the air.
- ◆ Each transit revenue vehicle is equipped with basic safety equipment, including a fire extinguisher, bio-hazard kit, first aid kit, triangles, web cutter, and a flashlight.
- ◆ All basic safety equipment is accounted for as a part of the pre-trip inspection process.

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# Equipment and Technology Standards (cont'd)

- ◆ Web cutters are within reach of the driver from the driver's seat.
- ◆ If the organization operates any alternative fuel vehicles, it ensures that all employees are trained on and follow appropriate safety guidelines and protocols.
- ◆ If the organization has on-vehicle surveillance equipment, it is used as a tool for heightening safety and security.
- ◆ If the organization has on-vehicle GPS/AVL equipment, it is used as a tool for heightening safety and security.
- ◆ The organization has anti-virus software installed on all computers and / or computer networks.

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# Equipment and Technology Standards (cont'd)

- ◆ The organization regularly backs up its computer data and stores it in a safe and secure location.
- ◆ If the organization operates alternative fuel vehicles, it provides orientations for both internal staff and external first responders for directing activities involving an alternative fuel vehicle emergency event, such as a fire or accident causing alternative fuel release.
- ◆ If the organization operates alternative fuel vehicles, it ensures that all employees are trained on and follow standard and appropriate alternative fuel safety guidelines and protocols.
- ◆ If the organization operates alternative fuel vehicles, it ensures that the fuel storage system uses appropriate materials and installation design systems.



# PERSONNEL MANAGEMENT

- ◆ Personnel Management Critical area includes:
  - Personnel Policies and Procedures
  - Recruitment and Selection
  - Performance Monitoring
  - Drug and Alcohol Program
  - Workplace Wellness Programs



# Personnel Policies and Procedures

- ◆ The organization has a formal personnel policy document covering all personnel actions relative to transit employees including safety and security related issues and the organization has on record employee sign off for receipt of the policy.
- ◆ There are written job descriptions for drivers and other “safety-sensitive” personnel.
- ◆ Job descriptions generally address safety and security responsibilities for each job function category.
- ◆ Systems are in place for monitoring employees’ current employment status, licenses, certifications, and other important qualifications.



# Recruitment and Selection

- ◆ Criminal background checks are required of applicants for safety-sensitive positions.
- ◆ Medical examinations are required of drivers at hire and periodically thereafter.
- ◆ Systems are in place to determine appropriate qualifications for maintenance personnel based on skills, certifications, training, and experience.

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## Recruitment and Selection (cont'd)

- ◆ The organization verifies information provided on employment applications for safety-sensitive positions.
- ◆ Structured interview templates and / or other tools are used to interview and select drivers and other safety-sensitive employees.
- ◆ Copies of standard employment application forms, interview questionnaires, and other materials used in the selection and hiring process are kept on file.
- ◆ Driver license checks are conducted prior to selection of individuals for safety-sensitive positions and these checks are also done periodically throughout the employment tenure of safety-sensitive employees.



# Performance Monitoring

- ◆ There is a formal process in place to evaluate safety and security related employee performance.
- ◆ There is documentation proving that required performance evaluations are completed and acted upon.
- ◆ Documented evaluations based on behind-the-wheel safety and security related performance are done at hire and at least annually thereafter for all drivers.

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## Performance Monitoring (cont'd)

- ◆ The organization employs periodic methodologies to monitor on-board driver safety and security performance, such as supervisory ride-alongs or ghost rider audits.
- ◆ The organization uses the supervisory tools of coaching, counseling, and discipline to improve transit employee performance in the safety and security arena.





# Drug and Alcohol Program

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

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## Drug and Alcohol Program (cont'd)

The following tests must meet requirements in 49 CFR part 655

- ◆ Pre-employment (drug only)
- ◆ Random drug and alcohol testing
- ◆ Post accident drug and alcohol testing
- ◆ Reasonable suspicion drug and alcohol testing
- ◆ Return-to-duty drug and alcohol testing

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## Drug and Alcohol Program (cont'd)

- ◆ Drug and alcohol record keeping is consistent with the requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
- ◆ There is documented evidence of all supervisory personnel having received reasonable suspicion training.
- ◆ There is documented evidence that all employees have received training on the effects of drug and alcohol use on safety sensitive transit operations.
- ◆ Drug and alcohol reporting is consistent with the requirements of 49CFR part 655 or other pertinent federal, state or local regulations.
- ◆ The organization has a methodology for minimizing the risk of safety sensitive employees inappropriately using prescription or over-the-counter medications.



# Workplace Wellness Programs

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

- ◆ Training and Development area includes:
  - Training Management
  - Driver Training
  - Agency-wide Training
  - Training Documentation

# Training Management

- ◆ The organization has a training plan that directs all employee training and development activities.
- ◆ The organization uses NCDOT's Training Toolkit to identify required training to be used.
- ◆ There are training curriculums / lesson plans, training schedules, and audio / video materials in place to support all in-house training efforts.
- ◆ The organization has an area either on- or off-site that can be used as a classroom facility for conducting training and this area contains appropriate audio and visual aids.

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## Training Management (cont'd)

- ◆ Organizational trainers have appropriate backgrounds and qualifications to effectively deliver training in their assigned areas.
- ◆ Full and / or part-time trainers receive train-the-trainer instruction on both classroom and line training responsibilities



# Driver Training

- ◆ Drivers receive formal defensive driving training and certification at hire and on a periodic basis thereafter as per NCDOT Training Toolkit.
- ◆ Drivers receive at hire and periodically thereafter specialized training on hazardous conditions specific to the geography of the region.
- ◆ Drivers receive at hire and periodically thereafter training on passenger assistance and sensitivity techniques for serving elderly and disabled passengers as per NCDOT Training Toolkit.
- ◆ Drivers receive at hire and periodically thereafter hands-on training on lift equipment and securement based on vehicle inventory as per NCDOT Training Toolkit.





# Driver Training (cont'd)

The following core and refresher training is required by NCDOT and can be found in the Training Toolkit:

- ◆ Emergency / crisis management training that includes handling accidents / incidents, vehicle fires and evacuation procedures, and violent or potentially violent perpetrators as per .
- ◆ Training on accident and incident reporting procedures.
- ◆ Training and certification on first aid / CPR or some training in basic triage response including clearing air passages, curbing bleeding, handling shock, and handling seizures.
- ◆ Training on blood borne pathogen control (bio-hazard) procedures

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# Driver Training (cont'd)

- ◆ Drivers receive a hands-on orientation on every vehicle prototype they may be required to operate.
- ◆ Drivers are trained at hire and periodically thereafter on appropriate pre-trip inspection techniques.
- ◆ The organization provides new-hire driver candidates with one-on-one coaching by experienced drivers to improve driving skills, develop uniformity in operating practices and ensure use of appropriate safety equipment.
- ◆ Drivers receive training in local geography, transit organization route structure, or map-reading skills, as appropriate to the type(s) of service the organization provides its customers.



# Agency-wide Training

- ◆ The organization utilizes, as appropriate, state and federally sponsored training programs, such as the National Transit Institute, the Transportation Safety Institute, CTAA or State and National RTAP resources. (listed in Training Toolkit)
- ◆ The organization utilizes, as appropriate, outside community-based training delivery resources.
- ◆ Schedulers and dispatchers receive specialized training on procedures, protocols, and software.

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## Agency-wide Training (cont'd)

- ◆ Drivers, dispatchers and supervisory staff receive training on radio use or other communication equipment.
- ◆ If maintenance is performed in house, every effort is made to provide skill development training for mechanics as is reasonable and possible.
- ◆ Safety and security related skills training is provided to all appropriate managers and supervisors.
- ◆ The organization provides core and periodic refresher training to safety sensitive employees and retraining based on performance issues.



# Training Documentation

- ◆ The organization keeps copies of all certificates and awards that employees receive which document their training or safety accomplishments.
- ◆ There are written records of all training classes that have taken place and these records include training objectives, trainers' names and qualifications, length of training, training mode, types of certifications or credentials and dates and signatures of both trainer and trainee.
- ◆ All on-the-job and behind-the-wheel training is formally documented with dates, times, information covered, and signatures of both trainer and trainee.

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## Training Documentation (cont'd)

- ◆ Hard copy records of all training an employee has received for the entire tenure of employment are kept in an individual employee file.



# SAFETY INITIATIVES

- ◆ Safety Initiatives area includes:
  - Safety Plans
  - Hazard identification and Reduction
  - Accident and Incident Handling
  - Insurance
  - Facility Safety
  - Safety Data Acquisition and Analysis



# Safety Plans

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





# Hazard Identification & Reduction

- ◆ The organization has a methodology to identify internal and external hazards including weather, hazardous materials, fire, and accidents and incidents.
- ◆ The organization has a formal or informal risk management program that identifies, analyzes and measures specific risks the agency may face and adapts methodologies to avoid, reduce, control, assume or transfer these specific risks.
- ◆ The organization holds regular safety meetings to promote safety awareness among drivers and other safety sensitive employees and these meetings are formally documented.

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## Hazard Identification & Reduction (cont'd)

- ◆ The organization has a committee or an individual that solicits information from employees on safety issues for the purpose of eliminating, reducing, shifting, or minimizing risk.



# Accidents and Incidents

The organization has a:

- ◆ Formal accident investigation and documentation process.
- ◆ Formal methodology for determining whether accidents or incidents are “preventable” or “non-preventable”.
- ◆ The organization records and documents all accidents and incidents and keeps all pertinent information on file.

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## Accidents & Incidents (cont'd)

- ◆ The organization has specific formal procedures and guidelines for employees to follow in reference to transit vehicle post-accident activities.
- ◆ The organization has specific formal procedures and guidelines for employees to follow in reference to transit passenger or employee incidents.



# Insurance

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



# Facility Safety

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

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## Facility Safety (cont'd)

- ◆ Transit facilities have posted building evacuation plans and exits are clearly marked.

If the organization performs maintenance in house:

- ◆ There is a program for ensuring shop safety for maintenance employees.
- ◆ There is protection on or around in-ground maintenance pits.
- ◆ Vehicle lifts / jack stands meet required safety standards.
- ◆ The maintenance shop is equipped with safety goggles, eye wash stations, first aid kits, and blood-borne pathogen kits

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## Facility Safety (cont'd)

- ◆ If the organization performs maintenance in house, “non-walk through” areas are clearly marked, including outside garage doors.
- ◆ If the organization performs maintenance in house, parts are appropriately and safely stored so they can be easily inventoried and do not present a danger to employees.
- ◆ If the organization performs maintenance in house, shop floor surfaces are kept clean of fluid residue so as not to present fire or slipping hazards.
- ◆ Electrical power sources are secured and electrical cords are stored when not in use.
- ◆ The workplace is clean, orderly, and safety-conscious.





## Facility Safety (cont'd)

- ◆ There is a process in place for ensuring office safety for administrative staff.
- ◆ The organization has a fire prevention and reaction plan and documents periodic fire hazard inspections.
- ◆ Appropriate fire extinguishers are mounted at locations throughout the organization's facilities and these extinguishers are adequately monitored and kept charged.



# Safety Data Acquisition & Analysis

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



# SECURITY INITIATIVES

- ◆ Security Initiatives area includes:
  - Security Plans
  - Threat and Vulnerability Assessment
  - Fare Handling Security
  - Facility Security
  - Security Awareness and Response
  - Security Data Acquisition and Analysis



# Security Plans

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



# Threat & Vulnerability Assessment

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



# Fare Handling Security

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



# Facility Security

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



# Facility Security (cont'd)

- ◆ The organization has either explored the possibility of purchasing surveillance equipment or has surveillance equipment in place in its transit facilities.
- ◆ The organization has a visitor control methodology as is reasonable and practical.
- ◆ The organization issues employee identification badges which employees are required to display at all times while on duty.
- ◆ The organization has developed formal protocols for employee reaction to telephoned or written bomb threats and bomb threat checklists are placed near telephones.
- ◆ The organization has a process for managing dangerous mail including suspicious packages or letters delivered to the agency.





# Security Awareness & Response

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



# Security Data Acquisition & Analysis

- ◆ Data totals of security related events are compiled and monitored over time.
- ◆ Security related data is analyzed for discernible trends and these trends are addressed to reduce organizational liabilities and vulnerabilities.
- ◆ The organization has a formal or informal methodology for recording and analyzing security related “near miss” information to reduce future security vulnerabilities.



# EMERGENCY PREPAREDNESS

- ◆ Emergency Preparedness area includes:
  - Emergency Planning
  - Incident Management
  - Coordination with First Responders
  - Drills, Simulations and Exercises

# Emergency Planning

- ◆ The organization has established an internal emergency notification protocol.
- ◆ The organization has an emergency preparedness plan, or an emergency management plan, appropriate to the size, location and scope of its operations, that is integrated with regional emergency management plans.
- ◆ Emergency preparedness procedures and protocols have been distributed to appropriate staff.



# Emergency Planning (cont'd)

The organization has:

- ◆ Specific procedures and guidelines for responding to the need to evacuate people from communities threatened by man-made or natural events as ordered by local emergency management.
- ◆ Specific procedures and guidelines for responding to the need for emergency system shut down and subsequent system start up.
- ◆ An emergency information dissemination policy that restricts employee media access and guides those key staff members in providing accurate verified information regarding what has happened, what the agency is doing about it, and how might it affect the community.



# Incident Management

- ◆ Managers and supervisors are trained in how to manage transit emergency incidents.
- ◆ The organization's managers and supervisors are National Incident Management System (NIMS) certified, including IS-100, IS-700, and IS-800.



# Coordination with First Responders

- ◆ The organization's management either presently participates in or has solicited for participation in Local Emergency Planning Committee (LEPC) meetings.
- ◆ The organization has established a working relationship with the local or regional emergency management process and has instituted a response mechanism in the event of a transit emergency or a community emergency requiring transit involvement.
- ◆ The organization has established a working relationship with local fire departments and law enforcement to improve safety, security, and emergency/incident preparedness response capabilities.



## Coordination with First Responders (cont'd)

- ◆ The organization has familiarized law enforcement and fire first responders with transit equipment facilitation and operations, including vehicle and facility entry, hazardous materials, equipment shut down, emergency dump valves and battery cut-off switches, and lift operation.
- ◆ Local fire department personnel conduct periodic training for the agency's drivers on fire extinguisher use and how to evacuate the vehicle when fire or fire risk is present.
- ◆ Local law enforcement conducts periodic training for the agency's drivers on how to react to violent and / or potentially violent passengers on buses.





# Drills, Simulations & Exercises

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



# Questions?

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