



NORTH CAROLINA Department of Transportation



Module 5 – Safety, Education and Compliance

Safety and Education Unit

10/01/2020 New Grantee / Director Training

Safety and Education Unit & ITRE

Meet Your Team

- Ryan Brumfield – Innovations and Data Branch Manager 919/707-4674 rbrumfield@ncdot.gov
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Institute For Research and Education (ITRE) – NC State University

- Jeremy Scott – Research Associate – ITRE 919/515-8624 jscott@ncsu.edu
- Jonah Freedman – Research Assistant – ITRE 919/515-8622 jfreedman@ncsu.edu

Safety and Education Unit Areas of Responsibility

- Education and Technical Support
- Compliance Oversight – State and Federal
- **S**ystem **S**afety **P**lan (SSP) Tri-Annual Reviews
- Drug and Alcohol Program Management Compliance Oversight
- **P**ublic **T**ransportation **A**gency **S**afety **P**lan (PTASP)
- Driver Minimum Training Standards Compliance
- Enterprise Asset Management – Formerly AssetWORKS
- Vehicle Preventative Maintenance Compliance
- Accessible Lift Preventative Maintenance Compliance
- Incident Review and Follow-Up
- Transit Asset Management (TAM)

Education and Technical Support

- The Division coordinates/provides recurring safety related trainings in locations convenient to both the eastern and western parts of North Carolina. These include:
 - Passenger Assistance Sensitivity and Safety (PASS certification),
 - Safety and Security
 - New Directors/Grantees
 - Developing an Emergency Action Plan
 - Drug and Alcohol Program Manager/Reasonable Suspicion
 - Annual Public Transportation Training Conference
- These trainings are designed to assist transit systems with meeting the required guidelines of various FTA approved federal grants.

Compliance – State and Federal

- The Integrated Mobility Division's Safety and Education unit is responsible for ensuring the federal and state financial assistance received is being used to provide a safe public transportation network for all North Carolinians. The S & E unit performs approximately twenty-three to twenty-six system safety reviews statewide each year. During these reviews, the safety specialist performs a review of vehicle operator employees driving records, vehicle pre & post trip vehicle operations, required minimum training records, and on-the-job transit vehicle driver evaluations. The safety specialist also reviews locally adopted emergency action, fire, preventive maintenance, drug and alcohol, security and continuity of operations plans.



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Module 5 - Safety, Education and Compliance

System Safety Plan Review – (SSP)

Shirley Mikkelsen

System Safety Plan – SSP

- State Oversight is **FTA mandated**, to ensure compliance with federal and state requirements, (MAP-21), FTA Circular 5010.1E Grant Management Requirements; 49 CFR 37.161; 49 CFR 18.32(d) (4); and NCDOT/IMD State Management Plan).
- The division monitors local project activity, including system safety and security on a routine basis.
- The review format follows the Federal Transit Administration (FTA) Triennial Review process and examines the grantees performance and adherence to current federal and state guidance.
- The Integrated Mobility Division currently uses the System Safety Plan (SSP).
- **Usually conducted every three years.**
- The SSP review **process will take approximately 90 days from the date of notification to closure of the SSP Review Process.** Exceptions will be made on a case by case basis, depending on circumstances. This timeframe allows for review of the System Safety Plan, training, inspection, document review and closure process.

PRE-SSP Review Activity

- ❖ Select mutually agreed upon date for on-site SSP review.
- ❖ Safety and Security Official (SSO) [emails 'Notification of SSP Review' approximately 3-4 weeks prior to on-site SSP review.](#)
 - Attachments: **Questionnaire**, Ride Check: Driver Evaluation Form, Vehicle Inspection Form and **Sample SSP**.
- ❖ [Subrecipient forwards to the SSO via email \(no less than three weeks prior to on-site review\):](#)
 1. The completed Questionnaire; and
 2. Copy of current board approved SSP (to include the six core elements below).
 1. Emergency Action Plan, 2. Fire Prevention Plan, 3. Preventive Maintenance Plan, 4. Drug & Alcohol Policy, 5. Security Plan, and 6. Continuity of Operations Plan
- ❖ **NOTE:** Subrecipient is advised not to send updated SSP (as a result of the SSP review recommendations and findings) to governing board for approval until PTD first reviews SSP so any additional recommended changes can be incorporated prior to sending to the governing board for approval.

SSP Review Activities

When **arriving at transit system the SSO conducts a pre- entrance meeting and upon completion of the on-site review an exit briefing** to explain the System Safety Plan Review process, explain the general guidelines on introduction procedures and in-brief process.

The **accountable executive/director/coordinator or appointed designee must attend both meetings** (pre- entrance and exit briefings).

SSO will be conducting a System Safety Plan (SSP) Review to evaluate your system for compliance with federal and state guidelines.

The goal during the on-site SSP Review is not to disrupt the transit system service. The only issues that may disrupt service are vehicle and/or personnel safety concerns.

- The **site-visit review will take approximately (1-2 days)** and at the conclusion of the visit, you will be briefed on the results to include deficiencies, observations, or possible best practices.
- **Each category inspected will be graded using one of these ratings:**
 - (ND) No Deficiency noted
 - (D) Deficiency; an area was found to be noncompliant
 - (N/A) Items in this category do not apply to your system but may still be covered
 - (N/R) Items in this area are not rated but are still asked for informational purposes only.
 - (B) Best Practice

- **Records:** During this review, **we will review (but not limited to) the following documentation:**
 - a. Vehicle Maintenance Records (electronic and hard copy)- 20–50 %
 - b. Vehicle Pre/Post-Trip Documentation (last 90-days)
 - c. Employee Driver's License
 - d. Employee Training Records-20–50 %
 - e. Training Documentation
 - f. System Safety Plan
 - g. Drug and Alcohol Policy

- **Driver Evaluations:** SSO will ride along with two (2) drivers to assess their performance and adherence to required guidance. Noted deficiencies will be discussed with the transportation director.

NOTE: Service during the ride along will not be interrupted unless there is a safety issue, which will be corrected immediately when observed.

- **Exit Review:** SSO explains review process, reviews inspection results, the final report timeframe, and time allowed for corrective actions. It is recommended the Authorized Official attend the exit meeting since they are a key part of providing quality transportation service to the transit system's customers.

NOTE: None of ratings recorded during the site visit are final until all items are researched and confirmed. The official report will list the final ratings in each area.

POST SSP REVIEW

- **The Final Report:** Once all information is confirmed, the official 'Review Report of Findings and Corrective Actions' report (spreadsheet) and **formal letter of findings will be e-mailed to the transit director.**
- All **safety items must be corrected within 3-days** from date of observation and **all other findings** must be corrected within **30 days.**
- **After correcting all the findings, the transit director must submit to IMD, a copy of the completed 'System Safety Plan Review of Findings and Corrective Actions' report (spreadsheet) with corresponding corrective actions documented and dates closed for IMD's review and concurrence; and a copy of the final board approved SSP (including governing board signature of adoption and approval of the SSP and Drug and Alcohol Policy.**
- **NOTE:** Do not send the updated SSP (as a result of the SSP review findings and recommendations) to governing board for approval until you first send to the assigned SSO for review.
- If subrecipient is unable to meet the deadline with all remedial/corrective actions (ie., subrecipient can't get on the boards monthly agenda in time for the governing board's approval of the SSP) subrecipient can call SSO to discuss a possible extension.

Closure Process

If NCDOT IMD concurs that all noted deficiencies and recommendations have been met, a formal letter will be sent to the subrecipient **advising them of the closure of their SSP Review process** and attach the final Report of Findings and Corrective Actions (spreadsheet).

- If subrecipient does not hear back from the SSO regarding the closure of the subrecipient's SSP Review within a week after submitting their final 'Report of Findings and Corrective Actions' documentation, follow-up with the SSO.
- Once subrecipient receives both the NCDOT IMD formal letter of closure of the SSP review process from IMD for their transportation system and Report of Findings and Corrective Actions (spreadsheet,) **place a copy of both documents in front of the SSP.**

Questions & Answers





NORTH CAROLINA

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Module 5 - Safety, Education and Compliance

Drug and Alcohol Management

Eartle McNeill

Drug and Alcohol Management

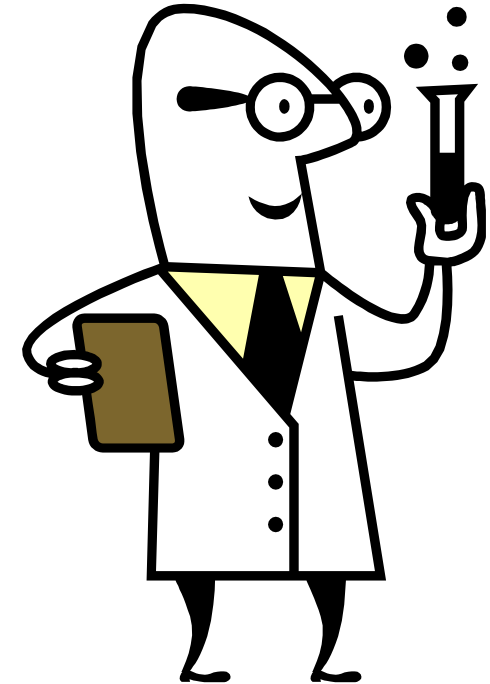
Drug and Alcohol Testing



Types of Drug and Alcohol Test

- Pre-Employment
- Post-Accident
- Random Testing
- Reasonable Suspicion
- Return-to-Duty
- Follow-Up

Each type should be defined in your Substance Abuse Policy.



Drug and Alcohol Testing

Who needs to be tested?

Safety-sensitive transportation employees (including self-employed individuals, contractors and volunteers as covered by DOT agency regulations), and service agents.

Who may collect urine specimens for DOT drug testing

- (a) Collectors meeting the requirements of this subpart are the only persons authorized to collect urine specimens for DOT drug testing.
- (b) A collector must meet training requirements of § 40.33.
- (c) As the immediate supervisor of an employee being tested, you may not act as the collector when that employee is tested, unless no other collector is available and you are permitted to do so under DOT agency drug and alcohol regulations.

Drug and Alcohol Testing

- Drug testing percentage has increased to 50% as of January 1, 2019.
- This increase was due to an increase in positive test results in the year ending 2017.
- After two consecutive years of testing at 50% testing, the FTA will look at the testing data and decide if they want to lower the testing percentage.
- Alcohol testing will remain at 10%.

Questions & Answers





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Public Transportation Agency Safety Plan (PTASP)

Ross Dragon

Public Transportation Agency Safety Plan (PTASP)

- The PTASP rule completes the regulatory foundation of the Public Transportation Safety Program under 49 U.S.C. 5329 the precursor to 49 CFR Part 673 (PTASP)
- The rule implements an innovative approach to improving transit safety that is:
 - Founded on Safety Management System (SMS) principles and methods
 - Risk & Performance based
 - Flexible and Scalable
- Effective Date / Compliance Date
 - Effective on [July 19, 2019](#)
 - Agencies must **develop, certify, and implement PTASP** by [Dec 31, 2020](#).
- Applies to
 - Recipients or Subrecipients of Federal financial assistance under **5307 funds**
 - With **100 or fewer vehicles in revenue service during peak regular service** across all non-rail fixed route modes or in any one non-fixed route mode

PTASP Components / Requirements

Components

- SMS
- Safety Performance Targets (SPTs)
- Employee Reporting Program
- Comprehensive Training Program

Requirements

- Identified Accountable Executive (AE)
 - Has ultimate responsibility for carrying out the [PTASP](#)
 - Has ultimate responsibility for carrying out the [Transit Asset Management \(TAM\)](#)
 - ***49 U.S.C. 5326 and 49 CFR Part 625 (Transit Asset Management Plan)***
 - Has control or direction over the [human and capital resources](#) needed to develop and maintain both plans
- Identified Chief Safety Officer (CSO)
 - An adequately trained individual with authority and responsibility for daily implementation and operation of SMS
 - **Designated** as CSO/SMS Exec by AE
 - **Reports directly to AE**
 - May be Full or Part-time agency employee or contracted employee
 - May serve functions other than safety such Operations or Maintenance

PTASP Requirements (continued)

- Small Bus Agency (**≤ 100 revenue vehicles**)
 - State DOT must draft and certify PTASP (Current Version: **NCDOT-Public Transportation Agency Safety Plan-V3**)
 - Option to OPT OUT
- Large Bus Agency (**> 100 revenue vehicles**)
 - Must develop and implement their own PTASP
 - Must incorporate all elements of SMS into their plan
- Performance Targets
 - Include performance targets based on safety performance measures in the National Public Transportation Safety Plan (NSP)
 - Make safety performance target available to States and MPO
 - SPTs by Mode (7 requirements)
 - **Fatalities** - Total number / rate per total vehicle revenue miles (**VRM**)
 - **Injuries** - Total number / rate per total vehicle revenue miles
 - **Safety Events** – Total number / rate per total vehicle revenue miles
 - **System Reliability** – Mean Distance between major mechanical failure
- Documentation and Recordkeeping
 - **Must maintain records** related to their safety plan for **3 years**
 - Document **must be made available upon request** by FTA, other Federal entity or a State Safety Oversight Agency (SSOA)

PTASP SMS Components



ACTIONS

Safety Risk Management (SRM) and **Safety Assurance (SA)** are the key processes and activities for managing safety

ENABLERS

Safety Management Policy (SMP) and **Safety Promotion (SP)** provide the structure and supporting activities to make SRM and SA possible and sustainable

SMS Safety Management Policy (SMP)

Requirements

- Written statement with safety objectives
 - Must be written down
 - Safety Objectives – ***Must be part of the written statement of safety management policy***
 - Must be communicated throughout agency
- Employee Safety Reporting Program
 - Must establish and implement a process that allows all employees including relevant contract employees - to ***report safety conditions to senior management***
 - Must ***specify protections*** for employees who report safety conditions to senior management
 - Must describe ***employee behaviors*** that may result in disciplinary action – and therefore would not be covered by protections
 - ***Must inform employees of safety actions take in response to reports*** submitted through an employee safety reporting program
- Safety Management Policy Communication
 - Must demonstrate that the ***safety management policy is communicated throughout the agency's organization***
 - Examples: Posters, Videos, Meetings, Training Material, etc.
- Authorities, Accountabilities and Responsibilities
 - Must establish necessary ***authorities, accountabilities and responsibilities for the development and management of the transit agency's SMS***
 - Define
 - Authorities – What is the position authorized to do?
 - Accountabilities – What is the position accountable for, which cannot be delegated?
 - Responsibilities – What must the position do or oversee the accomplishment of?
 - Required Positions:
 - ***Accountable Executive / Chief Safety Officer or SMS Executive / Agency leadership & Executive Management / Key Staff***
 - May choose to document authorities, accountabilities and responsibilities in job or position descriptions, among other options



SMS Safety Risk Management (SRM)

Safety Risk Management means a process within a transit agency's PTASP for *identifying hazards and analyzing, assessing and mitigating safety risk*

- Safety Hazard Identification
 - Must establish how the agency will *identify hazards and consequences*
 - *Must consider FTA and oversight authority information*
- Safety Risk Assessment
 - Must assess likelihood and severity of the consequences of hazards
 - Must prioritize hazards based on the safety risk of their potential consequence
- Safety Risk Mitigation
 - Must *establish methods or processes to identify mitigations* or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences
 - When identifying and choosing mitigations, *consider mitigation monitoring needs*

SMS Safety Assurance (SA)

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

- Safety Performance Monitoring and Measurement
 - What does it look like? -- Methods to monitor / scope (focus and level) / What happens next (issues are identified)
- (1) Monitoring Operations and Maintenance Procedures
 - Must monitor system compliance with and sufficiency of operation and maintenance procedures
- (2) Monitoring Safety Risk Mitigations
 - Must monitor operations to identify safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended
- (3) Safety Event Investigation
 - Must conduct investigations of safety events to identify causal factors
 - Safety events include accidents, incidents, & occurrences
 - Investigation is important, *whether or not the event is considered preventable*
 - Source of safety data
- (4) Monitoring Internal Safety Reporting
 - Must monitor information reported through any internal safety reporting programs
 - May be an important source of safety data
 - Analysis of reports may lead to identification of hazards



SMS Safety Assurance (SA) (continued)

- Required for large agencies more than 100 revenue vehicles
- Management of Change Requirement
 - Evaluates proposed or future changes / Focused on non-safety changes
 - Must establish a process for **identifying and assessing changes** that **may introduce new hazards or impact** the transit agency's **safety performance**
 - Must **evaluate proposed changes** that may impact safety performance through the SRM
- Continuous Improvement
 - Must establish a **process to assess safety performance**
 - Must **develop and carry out**, under the direction of the AE, a **plan to address identified safety deficiencies**.

SMS Safety Promotion (SP)

- Competencies and Training
 - Must ***establish and implement a comprehensive safety training program for all agency employees directly responsible for safety***
 - Must include relevant contractors
 - Must include refresher training
- Safety Communication
 - Must demonstrate that ***Safety and safety performance information*** is communicated throughout the agency's organization
 - Must include ***information on hazards and safety risk relevant to employees' roles responsibilities***
 - Must ***inform employees of safety actions taken in response to reports*** submitted through an employee safety reporting program
 - Must include relevant contractors

Resources / Regulations

- FTA PTASP Website: <https://www.transit.dot.gov/PTASP>
- Regulations:
 - TAM: 49 U.S.C. 5326 / 49 CFR Part 625
 - PTASP: 49 U.S.C. 5329 / 49 CFR Part 673
- Suggested Actions
 - In addition to regulations read NCDOT PTASP V3
 - Read Introduction to Safety Performance Indicators and Targets
 - Read Safety Performance Targets Guide
 - Enroll Transit Safety Institute (TSI) 1 hr. course: SMS Awareness

Questions & Answers





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Module 5 - Safety, Education and Compliance

Driver Minimum Training Standards and Reporting

Eartle McNeill and Ross Dragon

Driver Minimum Training Standards Compliance

- **Defensive Driving** – Required of ALL operators who drive vehicles in revenue service or carry passengers for any other trip purpose. Initial training must be a certified program or curriculum must be equal to an existing certified program. ***Training must be completed upon hire and annually.***
- **Americans with Disabilities Act (ADA)** – Shall include at a minimum the following training: Sensitivity, Passenger Assistance, Wheelchair Handling, Wheelchair Securement, Lift Inspection, Lift Operation (normal and emergency). ADA requires training to “proficiency”. ***Training must be completed upon hire and annually.***
- **Bloodborne Pathogens** – Shall follow the Occupational Safety and Health Administration guidelines for the training as listed in Standard 29 CFR 1910.1030(g)(2). The OSHA Standard spells out the content of the training. ***Training must be completed upon hire and annually.***

Driver Minimum Training Standards Compliance Cont.

- **Emergency Procedures** – Shall include all procedures required to report or react to an emergency by transit system staff including: Communication and notification procedures, Accident/Incident reporting procedures, Passenger handling procedures, Emergency vehicle and facility evacuation procedures and training, Driver and passenger security training, Emergency equipment usage (First Aid training and use of kit, Bloodborne Pathogens kit including use of the clean-up kit and system specific engineering controls, Emergency triangles, Fire extinguishers, Web/belt cutter). Participation in local or regional Emergency Management drills is strongly recommended. ***Training must be completed upon hire and annually.***
- **Ride Check / Driver Evaluations** – Newly hired drivers must have a Ride Check/Driver Evaluation before being allowed to operate a transit vehicle unsupervised in revenue service. All drivers must have an annual evaluation. Remedial training must be provided as needed in addition to the required annual training. ***Training must be completed upon hire and annually.***

Driver Minimum Training Standards Compliance Cont.

- * Records of qualifications and training performed for each individual trained must be kept on file for a minimum of five (5) years.

- **Minimum Training Standards Reporting Procedures**

- * Grantees must submit the following information to the Safety and Education Unit: Number of employees who received training by category/type.
- * A spreadsheet will be provided by the Safety and Education Unit for reporting training.
- * The report must be submitted no later than the 15th day of the month following the end of the quarter (Due Dates: Oct 15, Jan 15, Apr 15, Aug 15)
- * Submit the reports through the Quarterly Training Drop-Box in EBS.

Quarterly Training Report

Quarterly Driver & Employee Minimum Training Report FY 2020 Quarter 1 (Jul - Sep 2019)								
New Employee Training								
System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride Check Driver Eval	*Customer Service
Total number of New Individuals Trained this QTR			XX					
Refresher Employee Training								
System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride check Driver Eval	*Customer Service
Total number of Refresher Individuals Trained this QTR			XX					
Enter number of employees for each course by New Employee and Refresher Course categories								
*Customer Service may not be provided by all systems								

Quarterly Driver & Employee Minimum Training Report

FY 2020 Quarter 1 (Jul - Sep 2019)

Complete

New Employee Training

System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride Check Driver Eval	*Customer Service
Transit Name	01-08-19	2	2	2	2	2	2	2
Total number of New Individuals Trained this QTR		2						

Complete

Refresher Employee Training

System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride check Driver Eval	*Customer Service
Transit Name	01-09-19	14				14		
Total number of Refresher Individuals Trained this QTR		14						

Enter number of employees for each course by New Employee and Refresher Course categories

*Customer Service may not be provided by all systems

- Ensure the Fiscal Year/Quarter/Corresponding Months & year are annotated
- Annotated the number of **new employees** that attended training
- Please put total number of employees in box underneath
- Repeat for Refresher Training
- Annotated the number of **refresher training employees** that attended training
- Please put total number of employees in box underneath

Quarterly Driver & Employee Minimum Training Report FY 2020 Quarter 1 (Jul - Sep 2019)

New Employee Training

System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride Check Driver Eval	*Customer Service
Transit Name	01-08-19	2	2	2	2	2	2	2
Total number of New Individuals Trained this QTR		2						

Refresher Employee Training

System Name	Report Date dd/mm/yr	ADA	Bloodborne Pathogens	Defensive Driving	Emergency Procedures	Illegal Drug Use	Ride check Driver Eval	*Customer Service
Transit Name	01-09-19	14				14		
Total number of Refresher Individuals Trained this QTR		14						

Enter number of employees for each course by New Employee and Refresher Course categories

*Customer Service may not be provided by all systems

Qtr 1 Qtr 2 Qtr 3 Qtr 4

- Each Quarterly report is located on its own sheet in the bottom of the excel spreadsheet. Ensure the quarter and the months are correct.

Quarterly Driver & Employee Minimum Training Report FY 2020 Quarter 2 (Oct - Dec 2019)

Quarterly Driver & Employee Minimum Training Report FY 2020 Quarter 3 (Jan - Mar 2020)

Quarterly Driver & Employee Minimum Training Report FY 2020 Quarter 4 (Apr - Jun 2020)

- When you save this spreadsheet use the following naming structure:
[Transit Name]_FY2020 Qtr 1_Min Training Report
- Use this same sheet throughout the year. So, for the second quarter, use the Qtr 2 sheet, input your information then save as:
[Transit Name]_FY2020 Qtr 2_Min Training Report
- Do the same for the 3rd & 4th quarters. So at the end of the fiscal year, the 4th Quarter will be the last name and you should have 4 quarters of training information on one file.

Quarterly Training Report

- Reports are submitted no later than:
 - Qtr. 1(Jul-Sep): **Oct 15**
 - Qtr. 2(Oct-Dec): **Jan 15**
 - Qtr. 3(Jan-Mar): **Apr 15**
 - Qtr. 4(Apr-Jun): **Jul 15**
- Submitted through ***Quarterly Training Drop Box*** in EBS per procedures stated previously

Questions & Answers





NORTH CAROLINA Department of Transportation



Module 5 - Safety, Education and Compliance

Enterprise Asset Management (formerly AssetWORKS)

Kevin Edwards

Enterprise Asset Management - AssetWORKS

- EAM (AssetWORKS) is Maintained By ITRE (Institute For Transportation Research and Education)
- All Vehicles Funded With State and/or Federal Funds Must Be Entered
- New, Replacement and Disposed Vehicle Information Must Be Entered Within 30-Days of Date Received/Disposed
- Accessible Lift Information Must Be Entered as Either Meter 2 or Components as Recommended by ITRE
- Camera Information Should Be Enter as Components for easy maintenance tracking
- Camera Preventative Maintenance Data Should Be Entered for Compliance Tracking – Required Semi-Annually (Every 6 Months)
- Camera Lens Cleaning Should Be Completed Daily – No Data Entry Required

Vehicle Preventative Maintenance Compliance

- Service Data **Must** Be Entered Into AssetWORKS
- Service is REQUIRED at Manufacturers Minimum Service Intervals
- +/- 500 Mile Service Window or 10% of Service Interval, whichever is greater
- 80% On Time Service is Considered in Compliance
- Reports Are Generated Monthly
- Compliance is Calculated Quarterly
- Non-Compliance is Reported to Planning and Programing Unit
- Consistent Non-Compliance Can Result in Withheld Funding

Accessible Lift Preventative Maintenance Compliance

- Service Data **Must** Be Entered Into AssetWORKS
- Service is REQUIRED Every 750 Lift Cycles (no service window)
- 80% On Time Service is Considered in Compliance
- Reports Are Generated Monthly
- Compliance is Calculated Quarterly
- Non-Compliance is Reported to Planning and Programing Unit
- Consistent Non-Compliance Can Result in Withheld Funding

Questions & Answers





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Module 5 - Safety, Education and Compliance

Accident / Incident Reporting

Jonah Freeman - ITRE

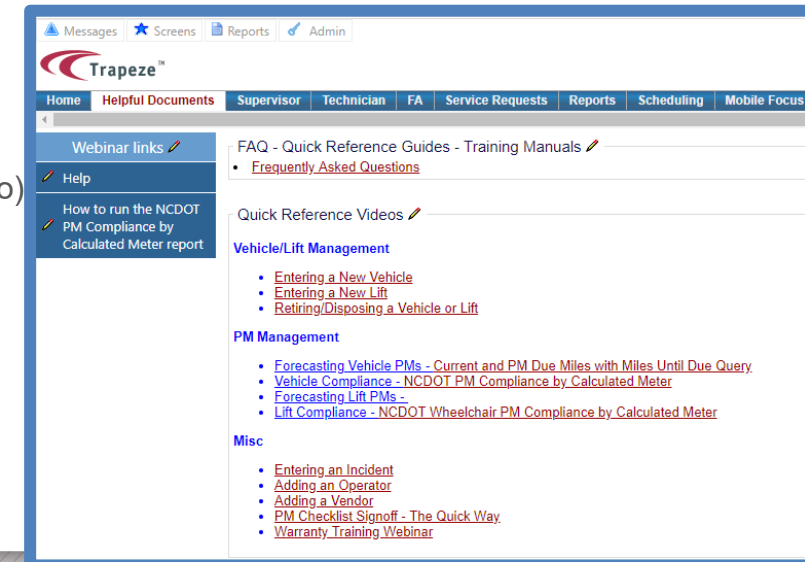
Accident / Incident Reports

- Definitions

- **Event** means any Accident, Incident, or Occurrence.
- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **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.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Major Mechanical System Failure** - 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. Can be found in: R-20, S-20

- AssetWORKS

- Entering Incidents Tutorial: Helpful Documents/ Under Misc. – Click Entering an Incident (Youtube video)
- Mandatory fields highlighted in yellow & must be completed to save report
- *****Completed Monthly*****
- Contacts : Jonah Freeman 919-515-8622 & Jeremy Scott 919-515-8624



Incident Management

- REQUIRED
- OPTIONAL
- OPTIONAL

Incident ID 4282

Entered by

View details

Incident type ACCIDENT

Basic Info

StatusREPORTED

Date and time occurred09/16/2020 15:14

Priority

Incident category

Date and time reported09/16/2020 15:14

Date and time closed

WeatherCLEAR

OperatorTESTUSER

Reported byTESTNCDOT

Road ConditionDRY

Inspector employee ID

☐ Service impacted

☐ Offload required

Equipment IDJCATS-100

Responsibility

2016 FORD E-450 FORD BUS WITH WHEEL CHAI

Symptom

Consist ID

Parent incident ID

Open a new unrelated incident

Open a new incident related to this incident

More Info

Schedule ID

Trip ID

If interrupted how long and when will return to normal

1 HOUR - SERVICE RESUMED

Portion of run

Desc or Type of IncidentVEHICLE ACCIDENT

Notified

Stop ID

Marker ID

Segment ID

Offset

Line ID

Latitude

Longitude

Row #	Delete	Contact type	Employee ID	Name	Phone number
	<input type="checkbox"/>				

Status = "REPORTED"

"If service interrupted..."

Explain your side of the story

Present Details ⚠

Comments

[INSERT DESCRIPTION OF INCIDENT HERE]

Injury Info ⚠

Employee ID

Driver/Operator

Address

Address 2

Towed?

Veh Loc

Drug Test?

Cause

Transport Info

Status

Injury type ID

Type of person

EMPLOYEE
PASSENGER
POLICE

Case number

Injury/Fatal Info

Fatal #

Injury #

☐ Injuries only
☐ Fatal

Info for Primary Contact
at your agency

Accident Info ⚠

TransportedNO
NO ONE TRANSPORTED TO MEDICAL FACIL

Contributing cause

Cited by Law EnforceNO

Responsible agencyNO

PreventableNO

Location IDNCDOTNCDOT

Contact emailJFREEDM@NCSU.EDU

Phone #919-515-8622

Site@ CORNER OF NORTH AND WEST STREET

Injuries and fatalities

Row #	Delete	Severity	Person type	Name	Comment
	<input type="checkbox"/>				

Equipment ⚠

Vehicle involved in the incident

Populate equipment IDs from trip

Row #	Delete	Equipment ID	Year-manufacturer-model-meter	Caused by	Open service	Open work order	WO location ID	Service status	Work order status	Mileage at time of incident
1	<input type="checkbox"/>	JCATS-100	2016 FORD E-450==METERS: 1-1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	21664		OPEN	180000
	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

Questions & Answers





NORTH CAROLINA Department of Transportation

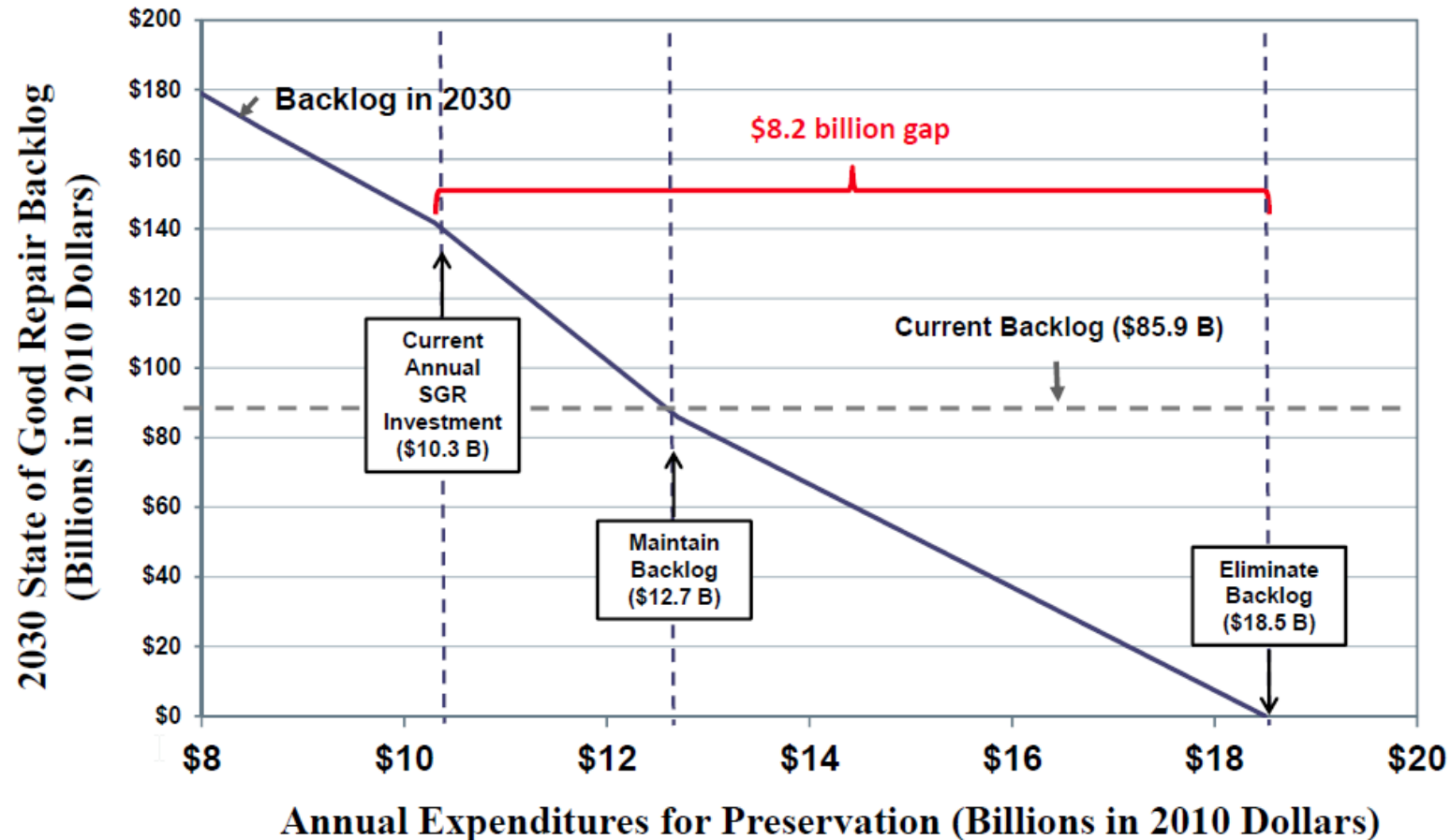


Public Transportation Division: NCDOT-Sponsored Group TAM Plan

Jonah Freedman

May 16, 2018

FTA State of Good Repair Backlog



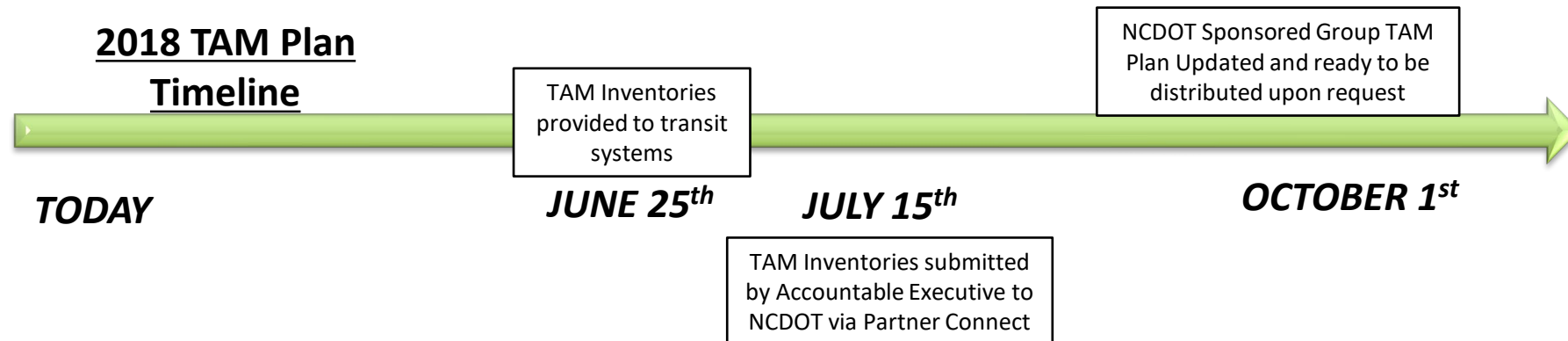
Group TAM Plan and Participation

The purpose of the group plan option is to reduce the planning and reporting burden on smaller transit agencies from having to develop individual plans and to report to FTA's National Transit Database (NTD) on their own.

Participation in this Group TAM Plan is optional but all non-participating agencies must develop their own plan for FTA.

Agencies that may participate in the Group TAM Plan include:

- § 5311 sub-recipient agencies of NCDOT
- § 5307 recipients with 100 or less vehicles



TAM Inventory

- Rolling Stock

Select System Name		ONLY ENTER REVENUE VEHICLES WITHOUT NCDOT HELD TITLES. (E.g. Locally owned/Urban Vehicles) SERVICE/SUPPORT VEHICLES ARE RECORDED IN THE EQUIPMENT TAB												
Agency Asset ID	Asset Class	Funding Source	Date of Purchase/Rental	VIN #	Model Year	Make (Chassis)	Model	Ambulatory Seats	Non-Ambulatory Seats	Seating	June 30th Odometer	Asset Owner	Age (Years)	Replacement Cost
CT-VEH-2	CU - Cutaway Bus	Local	1/1/2016	1FT55555555555555	2016	Ford	E450	15	2	15/2	50000	Agency	2	\$66,000.00
CT-VEH-3	VN - Van	Local	1/1/2015	1FT55555555555556	2015	Dodge	E-350 Econoline	9	2	9/2	30000	Agency	3	\$30,000.00

- Utilizes NTD Asset Classes
- Tracking all locally-owned or urban revenue vehicles- NOT vehicles with NCDOT liens
- Need entire existing inventory
- Does not include locally owned service/support vehicles (considered equipment as shown in next slide)

TAM Inventory

- Equipment

Select System Name		Document all equipment with a purchase price (>=) \$100 and with a useful life greater than 1 year. ALSO DOCUMENT ANY ACTIVE ASSET WITH A REPLACEMENT COST (>=) \$50,000 REGARDLESS OF WHEN THE ASSET WAS PURCHASED (EX. Service/Support Vehicle, Hydraulic Lift, Generator) DO NOT DOCUMENT: Cell Phones, Administrative Marketing Items							
Agency Asset ID	Asset Class	Claim ID	Funding Source	Date of Purchase/Rental	Description/Model	Asset Owner	Replacement Cost	Age (Years)	Useful Life Benchmark (years)
CT-VEH-SUP	Non Revenue/Service Automobile	3000055555	Local	1/1/2018	Silverado	Agency	\$35,000.00	0	
CT-OF-2	Office Equipment	3000066666	Local	1/1/2017	Desk	Agency	\$101.00	1	7
CT-TECH-2	Vehicle Technology	3000077777	Local	1/1/2017	Tablet	Agency	\$250.00	1	5

Select System Name		Document all equipment with a purchase price (>=) \$100 and with a useful life greater than 1 year. ALSO DOCUMENT ANY ACTIVE ASSET WITH A REPLACEMENT COST (>=) \$50,000 REGARDLESS OF WHEN THE ASSET WAS PURCHASED (EX. Service/Support Vehicle, Hydraulic Lift, Generator) DO NOT DOCUMENT: Cell Phones, Administrative Marketing Items							
Agency Asset ID	Asset Class	Claim ID	Funding	Date of	Description/Model	Asset	Replacement Cost	Age	Useful Life Benchmark
CT-VEH-SUP	Non Revenue/Service Automobile	3000055555	Local	1/1/2018	Silverado	Agency	\$35,000.00	0	
CT-OF-2	Office Equipment	3000066666	Local	1/1/2017	Desk	Agency	\$101.00	1	7
CT-TECH-2	Vehicle Technology	3000077777	Local	1/1/2017	Tablet	Agency	\$250.00	1	5

FOR SERVICE/SUPPORT VEHICLES

VIN #	Model	Make	Ambulatory	Non-Ambulatory	Seating	June 30th
1FTFGFGFGFGFGGGF	2018	Chevrolet	4	0	4	500

Step 10: FOR SERVICE/SUPPORT VEH
Enter a Service/Support vehicle VIN number
for the Agency-Owned vehicle (if

FOR SERVICE/SUPPORT VEHICLES						
VIN #	Model Year	Make	Ambulatory Seats	Non-Ambulatory Seats	Seating	June 30th Odometer
1FTFGFGFGFGFGGGF	2018	Chevrolet	4	0	4	500

- Each equipment asset must include a EBS Claim ID.
- All **New (purchased after July 2016)** tangible assets used in the provision of transportation with **Replacement/Annual Rental Cost > \$100.00**
- Service/Support Vehicles are considered equipment under FTA guidelines
- All Equipment with a Replacement Cost > \$50,000 regardless of age.

TAM Inventory

- Facilities

Select System Name											
Agency Asset ID	Asset Class	Funding Source	Year Built	Date of Acquisition/Rental	Facility Address (Street, City, State, Zip)	Square Footage	Asset Owner	Shared Space (Yes or No)	Age (Years)	TERM Scale Condition	Replacement Cost/Annual Rent
CT-FAC-2	Administration	Local	2001	6/6/2001	101 Fake Street, Town, NC 00000	12,000	Agency	Yes	17	4	\$5,000,000.00



- NEW! Year Built, Square Footage, Shared Space (Yes or No)
- Agencies must give the address of each facility listed
- Each Agency must list their administrative facility
- Need entire existing inventory
- Facilities are given a condition rating based on the FTA TERM Scale (shown in next slide).

TAM Inventory

- TERM Scale Condition

Select System Name			
Administrative Facility			
ID	Component	Asset Quantity	Overall Condition Rating
A	Roof	1	4
B	Building Ext.	1	4
C	Elevator/Lift	1	N/A
D	Plumbing	1	4
E	Heating/Cooling	1	3
F	Fire Protection	1	3
G	Electrical	1	5
H	Site (Park & Ride Lot, Plot)	1	5
I	Fueling Station	1	N/A
J	Paving/Sidewalks	1	2
K	Surveillance	1	N/A
L	Fencing/Lighting	1	3
Value to enter into TERM Scale Condition =>			4

- Please Review these Ratings
- Condition ratings by component give an overall TERM Scale Condition
- Separate ratings for each facility recorded in the facilities tab

Maintenance Facility		
	Asset Quantity	Overall Condition Rating
	1	3
		1
		2
		3
		4
		5
		N/A
	1	
G	1	
H	1	
I	1	
J	1	
K	1	
L	1	
M	1	
Value to enter into TERM Scale Condition =>		Enter a value for each cell above

TAM Inventory

- Completion
- Contains summary data about the inventory
- Signature affirms participation in, and approval of, the NCDOT Sponsored Group TAM Plan

Select System Name			
4. COMPLETION AND CERTIFICATION OF TAM INVENTORY			
FY2018			
Summary	Record Counts	Total Cost (\$)	Average Age (Years)
Rolling Stock Count	7	\$1,050,000	2.0
Equipment Units Count	0	\$0	0.0
Facilities Count	5	\$36,000	6.8
Total Records	12	\$1,086,000	2.9
Accountable Executive Contact Information Full Name: Jon Doe Phone Number: 999-999-9999 Email Address: emailaddress@ncemail.gov			
I hereby certify that, to the best of my knowledge, the information in this TAM Inventory is accurate and complete. I also affirm my participation in and approval of, the NCDOT Sponsored Group TAM Plan.			
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>			
Signature of Accountable Executive			Date
PTD/ITRE Comments about the data			
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>			
Upload this original excel file and scanned .pdf version of this signed completion tab to Partner Connect.			

Questions & Answers



Virtual Training Series – Tentative Topics

- 10/1 – Compliance Pt. 2 (safety, drug and alcohol testing, driver training, etc.)
- 10/6 – Compliance Pt. 1 (proficiency reviews, reporting requirements, etc.)
- 10/8 – Procurement (guidance and key requirements)

Virtual Training Series – Tentative Topics

- 10/13 – Title VI (Title VI plans, ADA, public involvement, transportation equity)
- 10/15 – Service Planning, Data Analysis, and Measuring Success

Training Hub Link:

<https://connect.ncdot.gov/business/Transit/Pages/Training-Hub.aspx>