

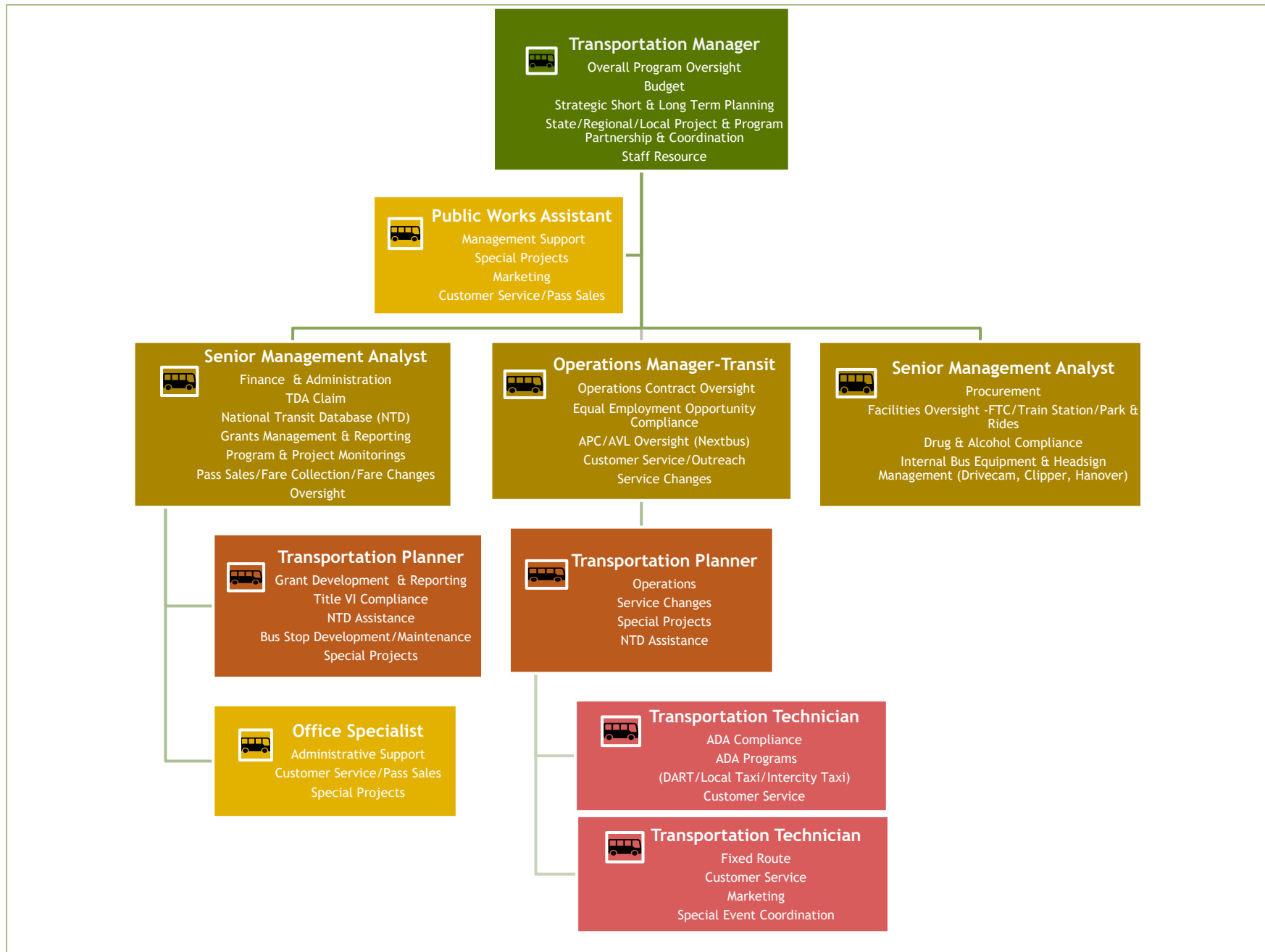
## **Appendix – A**

**FAST Organization Chart**

**MV Organization Chart**

# City of Fairfield Transportation Division Organizational Chart

## January 2020





**Appendix – B**  
**City of Fairfield Employee Safety Information Form**  
**MV Unusual Incident Report**

## City of Fairfield Employee Safety Information Form

Description of Unsafe Condition or Practice \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Causes or Other Contributing Factors \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Employee's Suggestion for Improving Safety \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Has this matter been reported to the area supervisor? Yes \_\_\_\_\_ No \_\_\_\_\_

Employee Name (optional) \_\_\_\_\_

Department \_\_\_\_\_ Date \_\_\_\_\_

Employees are advised that use of this form or other reports of unsafe conditions or practices are protected by law. It would be illegal for the employer to take any action against an employee in reprisal for exercising rights to participate in communications involving safety.

The employer will investigate any report or question as required by the Injury and Illness Prevention Program Standard (8 CCR§3203) and advise the employee who provided the information or the workers in the area of the employer's response.

Submit this form to the Risk Manager, Human Resources Department



**Appendix – C**  
**Employees Report of Injury**  
**Supervisors Report of Injury**



## Workers' Compensation Claim Form (DWC 1) & Notice of Potential Eligibility *Formulario de Reclamo de Compensación de Trabajadores (DWC 1) y Notificación de Posible Elegibilidad*

If you are injured or become ill, either physically or mentally, because of your job, including injuries resulting from a workplace crime, you may be entitled to workers' compensation benefits. Use the attached form to file a workers' compensation claim with your employer. **You should read all of the information below.** Keep this sheet and all other papers for your records. You may be eligible for some or all of the benefits listed depending on the nature of your claim. If you file a claim, the claims administrator, who is responsible for handling your claim, must notify you within 14 days whether your claim is accepted or whether additional investigation is needed.

To file a claim, complete the "Employee" section of the form, keep one copy and give the rest to your employer. Do this right away to avoid problems with your claim. In some cases, benefits will not start until you inform your employer about your injury by filing a claim form. Describe your injury completely. Include every part of your body affected by the injury. If you mail the form to your employer, use first-class or certified mail. If you buy a return receipt, you will be able to prove that the claim form was mailed and when it was delivered. Within one working day after you file the claim form, your employer must complete the "Employer" section, give you a dated copy, keep one copy, and send one to the claims administrator.

**Medical Care:** Your claims administrator will pay for all reasonable and necessary medical care for your work injury or illness. Medical benefits are subject to approval and may include treatment by a doctor, hospital services, physical therapy, lab tests, x-rays, medicines, equipment and travel costs. Your claims administrator will pay the costs of approved medical services directly so you should never see a bill. There are limits on chiropractic, physical therapy, and other occupational therapy visits.

**The Primary Treating Physician (PTP)** is the doctor with the overall responsibility for treatment of your injury or illness.

- If you previously designated your personal physician or a medical group, you may see your personal physician or the medical group after you are injured.
- If your employer is using a medical provider network (MPN) or Health Care Organization (HCO), in most cases, you will be treated in the MPN or HCO unless you predesignated your personal physician or a medical group. An MPN is a group of health care providers who provide treatment to workers injured on the job. You should receive information from your employer if you are covered by an HCO or a MPN. Contact your employer for more information.
- If your employer is not using an MPN or HCO, in most cases, the claims administrator can choose the doctor who first treats you unless you predesignated your personal physician or a medical group.
- If your employer has not put up a poster describing your rights to workers' compensation, you may be able to be treated by your personal physician right after you are injured.

Within one working day after you file a claim form, your employer or the claims administrator must authorize up to \$10,000 in treatment for your injury, consistent with the applicable treating guidelines until the claim is accepted or rejected. If the employer or claims administrator does not authorize treatment right away, talk to your supervisor, someone else in management, or the claims administrator. Ask for treatment to be authorized right now, while waiting for a decision on your claim. If the employer or claims administrator will not authorize treatment, use your own health insurance to get medical care. Your health insurer will seek reimbursement from the claims administrator. If you do not have health insurance, there are doctors, clinics or hospitals that will treat you without immediate payment. They will seek reimbursement from the claims administrator.

### **Switching to a Different Doctor as Your PTP:**

- If you are being treated in a Medical Provider Network (MPN), you may switch to other doctors within the MPN after the first visit.
- If you are being treated in a Health Care Organization (HCO), you may switch at least one time to another doctor within the HCO. You may switch to a doctor outside the HCO 90 or 180 days after your injury is reported to your employer (depending on whether you are covered by employer-provided health insurance).
- If you are not being treated in an MPN or HCO and did not predesignate, you may switch to a new doctor one time during the first 30 days after your injury is reported to your employer. Contact the claims administrator to switch doctors. After 30 days, you may switch to a doctor of your choice if

Si Ud. se lesiona o se enferma, ya sea físicamente o mentalmente, debido a su trabajo, incluyendo lesiones que resulten de un crimen en el lugar de trabajo, es posible que Ud. tenga derecho a beneficios de compensación de trabajadores. Utilice el formulario adjunto para presentar un reclamo de compensación de trabajadores con su empleador. **Ud. debe leer toda la información a continuación.** Guarde esta hoja y todos los demás documentos para sus archivos. Es posible que usted reúna los requisitos para todos los beneficios, o parte de éstos, que se enumeran dependiendo de la índole de su reclamo. Si usted presenta un reclamo, el administrador de reclamos, quien es responsable por el manejo de su reclamo, debe notificarle dentro de 14 días si se acepta su reclamo o si se necesita investigación adicional.

Para presentar un reclamo, llene la sección del formulario designada para el "Empleado," guarde una copia, y déle el resto a su empleador. Haga esto de inmediato para evitar problemas con su reclamo. En algunos casos, los beneficios no se iniciarán hasta que usted le informe a su empleador acerca de su lesión mediante la presentación de un formulario de reclamo. Describa su lesión por completo. Incluya cada parte de su cuerpo afectada por la lesión. Si usted le envía por correo el formulario a su empleador, utilice primera clase o correo certificado. Si usted compra un acuse de recibo, usted podrá demostrar que el formulario de reclamo fue enviado por correo y cuando fue entregado. Dentro de un día laboral después de presentar el formulario de reclamo, su empleador debe completar la sección designada para el "Empleador," le dará a Ud. una copia fechada, guardará una copia, y enviará una al administrador de reclamos.

**Atención Médica:** Su administrador de reclamos pagará por toda la atención médica razonable y necesaria para su lesión o enfermedad relacionada con el trabajo. Los beneficios médicos están sujetos a la aprobación y pueden incluir tratamiento por parte de un médico, los servicios de hospital, la terapia física, los análisis de laboratorio, las medicinas, equipos y gastos de viaje. Su administrador de reclamos pagará directamente los costos de los servicios médicos aprobados de manera que usted nunca verá una factura. Hay límites en terapia quiropráctica, física y otras visitas de terapia ocupacional.

**El Médico Primario que le Atiende (Primary Treating Physician- PTP)** es el médico con la responsabilidad total para tratar su lesión o enfermedad.

- Si usted designó previamente a su médico personal o a un grupo médico, usted podrá ver a su médico personal o grupo médico después de lesionarse.
- Si su empleador está utilizando una red de proveedores médicos (*Medical Provider Network- MPN*) o una Organización de Cuidado Médico (*Health Care Organization- HCO*), en la mayoría de los casos, usted será tratado en la *MPN* o *HCO* a menos que usted hizo una designación previa de su médico personal o grupo médico. Una *MPN* es un grupo de proveedores de asistencia médica quien da tratamiento a los trabajadores lesionados en el trabajo. Usted debe recibir información de su empleador si su tratamiento es cubierto por una *HCO* o una *MPN*. Hable con su empleador para más información.
- Si su empleador no está utilizando una *MPN* o *HCO*, en la mayoría de los casos, el administrador de reclamos puede elegir el médico que lo atiende primero a menos de que usted hizo una designación previa de su médico personal o grupo médico.
- Si su empleador no ha colocado un cartel describiendo sus derechos para la compensación de trabajadores, Ud. puede ser tratado por su médico personal inmediatamente después de lesionarse.

Dentro de un día laboral después de que Ud. Presente un formulario de reclamo, su empleador o el administrador de reclamos debe autorizar hasta \$10000 en tratamiento para su lesión, de acuerdo con las pautas de tratamiento aplicables, hasta que el reclamo sea aceptado o rechazado. Si el empleador o administrador de reclamos no autoriza el tratamiento de inmediato, hable con su supervisor, alguien más en la gerencia, o con el administrador de reclamos. Pida que el tratamiento sea autorizado ya mismo, mientras espera una decisión sobre su reclamo. Si el empleador o administrador de reclamos no autoriza el tratamiento, utilice su propio seguro médico para recibir atención médica. Su compañía de seguro médico buscará reembolso del administrador de reclamos. Si usted no tiene seguro médico, hay médicos, clínicas u hospitales que lo tratarán sin pago inmediato. Ellos buscarán reembolso del administrador de reclamos.

### **Cambiando a otro Médico Primario o PTP:**

- Si usted está recibiendo tratamiento en una Red de Proveedores Médicos



your employer or the claims administrator has not created or selected an MPN.

**Disclosure of Medical Records:** After you make a claim for workers' compensation benefits, your medical records will not have the same level of privacy that you usually expect. If you don't agree to voluntarily release medical records, a workers' compensation judge may decide what records will be released. If you request privacy, the judge may "seal" (keep private) certain medical records.

**Problems with Medical Care and Medical Reports:** At some point during your claim, you might disagree with your PTP about what treatment is necessary. If this happens, you can switch to other doctors as described above. If you cannot reach agreement with another doctor, the steps to take depend on whether you are receiving care in an MPN, HCO, or neither. For more information, see "Learn More About Workers' Compensation," below.

If the claims administrator denies treatment recommended by your PTP, you may request independent medical review (IMR) using the request form included with the claims administrator's written decision to deny treatment. The IMR process is similar to the group health IMR process, and takes approximately 40 (or fewer) days to arrive at a determination so that appropriate treatment can be given. Your attorney or your physician may assist you in the IMR process. IMR is not available to resolve disputes over matters other than the medical necessity of a particular treatment requested by your physician.

If you disagree with your PTP on matters other than treatment, such as the cause of your injury or how severe the injury is, you can switch to other doctors as described above. If you cannot reach agreement with another doctor, notify the claims administrator in writing as soon as possible. In some cases, you risk losing the right to challenge your PTP's opinion unless you do this promptly. If you do not have an attorney, the claims administrator must send you instructions on how to be seen by a doctor called a qualified medical evaluator (QME) to help resolve the dispute. If you have an attorney, the claims administrator may try to reach agreement with your attorney on a doctor called an agreed medical evaluator (AME). If the claims administrator disagrees with your PTP on matters other than treatment, the claims administrator can require you to be seen by a QME or AME.

**Payment for Temporary Disability (Lost Wages):** If you can't work while you are recovering from a job injury or illness, you may receive temporary disability payments for a limited period. These payments may change or stop when your doctor says you are able to return to work. These benefits are tax-free. Temporary disability payments are two-thirds of your average weekly pay, within minimums and maximums set by state law. Payments are not made for the first three days you are off the job unless you are hospitalized overnight or cannot work for more than 14 days.

**Stay at Work or Return to Work:** Being injured does not mean you must stop working. If you can continue working, you should. If not, it is important to go back to work with your current employer as soon as you are medically able. Studies show that the longer you are off work, the harder it is to get back to your original job and wages. While you are recovering, your PTP, your employer (supervisors or others in management), the claims administrator, and your attorney (if you have one) will work with you to decide how you will stay at work or return to work and what work you will do. Actively communicate with your PTP, your employer, and the claims administrator about the work you did before you were injured, your medical condition and the kinds of work you can do now, and the kinds of work that your employer could make available to you.

**Payment for Permanent Disability:** If a doctor says you have not recovered completely from your injury and you will always be limited in the work you can do, you may receive additional payments. The amount will depend on the type of injury, extent of impairment, your age, occupation, date of injury, and your wages before you were injured.

**Supplemental Job Displacement Benefit (SJDB):** If you were injured on or after 1/1/04, and your injury results in a permanent disability and your employer does not offer regular, modified, or alternative work, you may qualify for a nontransferable voucher payable for retraining and/or skill enhancement. If you qualify, the claims administrator will pay the costs up to the maximum set by state law.

**Death Benefits:** If the injury or illness causes death, payments may be made to a

(Medical Provider Network- MPN), usted puede cambiar a otros médicos dentro de la MPN después de la primera visita.

- Si usted está recibiendo tratamiento en un Organización de Cuidado Médico (Healthcare Organization- HCO), es posible cambiar al menos una vez a otro médico dentro de la HCO. Usted puede cambiar a un médico fuera de la HCO 90 o 180 días después de que su lesión es reportada a su empleador (dependiendo de si usted está cubierto por un seguro médico proporcionado por su empleador).
- Si usted no está recibiendo tratamiento en una MPN o HCO y no hizo una designación previa, usted puede cambiar a un nuevo médico una vez durante los primeros 30 días después de que su lesión es reportada a su empleador. Póngase en contacto con el administrador de reclamos para cambiar de médico. Después de 30 días, puede cambiar a un médico de su elección si su empleador o el administrador de reclamos no ha creado o seleccionado una MPN.

**Divulgación de Expedientes Médicos:** Después de que Ud. presente un reclamo para beneficios de compensación de trabajadores, sus expedientes médicos no tendrán el mismo nivel de privacidad que usted normalmente espera. Si Ud. no está de acuerdo en divulgar voluntariamente los expedientes médicos, un juez de compensación de trabajadores posiblemente decida qué expedientes serán revelados. Si usted solicita privacidad, es posible que el juez "selle" (mantenga privados) ciertos expedientes médicos.

**Problemas con la Atención Médica y los Informes Médicos:** En algún momento durante su reclamo, podría estar en desacuerdo con su PTP sobre qué tratamiento es necesario. Si esto sucede, usted puede cambiar a otros médicos como se describe anteriormente. Si no puede llegar a un acuerdo con otro médico, los pasos a seguir dependen de si usted está recibiendo atención en una MPN, HCO o ninguna de las dos. Para más información, consulte la sección "Aprenda Más Sobre la Compensación de Trabajadores," a continuación.

Si el administrador de reclamos niega el tratamiento recomendado por su PTP, puede solicitar una revisión médica independiente (*Independent Medical Review-IMR*), utilizando el formulario de solicitud que se incluye con la decisión por escrito del administrador de reclamos negando el tratamiento. El proceso de la IMR es parecido al proceso de la IMR de un seguro médico colectivo, y tarda aproximadamente 40 (o menos) días para llegar a una determinación de manera que se pueda dar un tratamiento apropiado. Su abogado o su médico le pueden ayudar en el proceso de la IMR. La IMR no está disponible para resolver disputas sobre cuestiones aparte de la necesidad médica de un tratamiento particular solicitado por su médico.

Si no está de acuerdo con su PTP en cuestiones aparte del tratamiento, como la causa de su lesión o la gravedad de la lesión, usted puede cambiar a otros médicos como se describe anteriormente. Si no puede llegar a un acuerdo con otro médico, notifique al administrador de reclamos por escrito tan pronto como sea posible. En algunos casos, usted arriesga perder el derecho a objetar a la opinión de su PTP a menos que hace esto de inmediato. Si usted no tiene un abogado, el administrador de reclamos debe enviarle instrucciones para ser evaluado por un médico llamado un evaluador médico calificado (*Qualified Medical Evaluator-QME*) para ayudar a resolver la disputa. Si usted tiene un abogado, el administrador de reclamos puede tratar de llegar a un acuerdo con su abogado sobre un médico llamado un evaluador médico acordado (*Agreed Medical Evaluator- AME*). Si el administrador de reclamos no está de acuerdo con su PTP sobre asuntos aparte del tratamiento, el administrador de reclamos puede exigirle que sea atendido por un QME o AME.

**Pago por Incapacidad Temporal (Sueldos Perdidos):** Si Ud. no puede trabajar, mientras se está recuperando de una lesión o enfermedad relacionada con el trabajo, Ud. puede recibir pagos por incapacidad temporal por un periodo limitado. Estos pagos pueden cambiar o parar cuando su médico diga que Ud. está en condiciones de regresar a trabajar. Estos beneficios son libres de impuestos. Los pagos por incapacidad temporal son dos tercios de su pago semanal promedio, con cantidades mínimas y máximas establecidas por las leyes estatales. Los pagos no se hacen durante los primeros tres días en que Ud. no trabaje, a menos que Ud. sea hospitalizado una noche o no puede trabajar durante más de 14 días.

**Permanezca en el Trabajo o Regreso al Trabajo:** Estar lesionado no significa que usted debe dejar de trabajar. Si usted puede seguir trabajando, usted debe hacerlo. Si no es así, es importante regresar a trabajar con su empleador actual tan

spouse and other relatives or household members who were financially dependent on the deceased worker.

**It is illegal for your employer** to punish or fire you for having a job injury or illness, for filing a claim, or testifying in another person's workers' compensation case (Labor Code 132a). If proven, you may receive lost wages, job reinstatement, increased benefits, and costs and expenses up to limits set by the state.

**Resolving Problems or Disputes:** You have the right to disagree with decisions affecting your claim. If you have a disagreement, contact your employer or claims administrator first to see if you can resolve it. If you are not receiving benefits, you may be able to get State Disability Insurance (SDI) or unemployment insurance (UI) benefits. Call the state Employment Development Department at (800) 480-3287 or (866) 333-4606, or go to their website at [www.edd.ca.gov](http://www.edd.ca.gov).

**You Can Contact an Information & Assistance (I&A) Officer:** State I&A officers answer questions, help injured workers, provide forms, and help resolve problems. Some I&A officers hold workshops for injured workers. To obtain important information about the workers' compensation claims process and your rights and obligations, go to [www.dwc.ca.gov](http://www.dwc.ca.gov) or contact an I&A officer of the state Division of Workers' Compensation. You can also hear recorded information and a list of local I&A offices by calling (800) 736-7401.

**You can consult with an attorney.** Most attorneys offer one free consultation. If you decide to hire an attorney, his or her fee will be taken out of some of your benefits. For names of workers' compensation attorneys, call the State Bar of California at (415) 538-2120 or go to their website at [www.californiaspecialist.org](http://www.californiaspecialist.org).

**Learn More About Workers' Compensation:** For more information about the workers' compensation claims process, go to [www.dwc.ca.gov](http://www.dwc.ca.gov). At the website, you can access a useful booklet, "Workers' Compensation in California: A Guidebook for Injured Workers." You can also contact an Information & Assistance Officer (above), or hear recorded information by calling 1-800-736-7401.

pronto como usted pueda medicamente hacerlo. Los estudios demuestran que entre más tiempo esté fuera del trabajo, más difícil es regresar a su trabajo original y a sus salarios. Mientras se está recuperando, su *PTP*, su empleador (supervisores u otras personas en la gerencia), el administrador de reclamos, y su abogado (si tiene uno) trabajarán con usted para decidir cómo va a permanecer en el trabajo o regresar al trabajo y qué trabajo hará. Comuníquese de manera activa con su *PTP*, su empleador y el administrador de reclamos sobre el trabajo que hizo antes de lesionarse, su condición médica y los tipos de trabajo que usted puede hacer ahora y los tipos de trabajo que su empleador podría poner a su disposición.

**Pago por Incapacidad Permanente:** Si un médico dice que no se ha recuperado completamente de su lesión y siempre será limitado en el trabajo que puede hacer, es posible que Ud. reciba pagos adicionales. La cantidad dependerá de la clase de lesión, grado de deterioro, su edad, ocupación, fecha de la lesión y sus salarios antes de lesionarse.

**Beneficio Suplementario por Desplazamiento de Trabajo (Supplemental Job Displacement Benefit- SJDB):** Si Ud. se lesionó en o después del 1/1/04, y su lesión resulta en una incapacidad permanente y su empleador no ofrece un trabajo regular, modificado, o alternativo, usted podría cumplir los requisitos para recibir un vale no-transferible pagadero a una escuela para recibir un nuevo curso de reentrenamiento y/o mejorar su habilidad. Si Ud. cumple los requisitos, el administrador de reclamos pagará los gastos hasta un máximo establecido por las leyes estatales.

**Beneficios por Muerte:** Si la lesión o enfermedad causa la muerte, es posible que los pagos se hagan a un cónyuge y otros parientes o a las personas que viven en el hogar que dependían económicamente del trabajador difunto.

**Es ilegal que su empleador** le castigue o despidan por sufrir una lesión o enfermedad laboral, por presentar un reclamo o por testificar en el caso de compensación de trabajadores de otra persona. (Código Laboral, sección 132a.) De ser probado, usted puede recibir pagos por pérdida de sueldos, reposición del trabajo, aumento de beneficios y gastos hasta los límites establecidos por el estado.

**Resolviendo problemas o disputas:** Ud. tiene derecho a no estar de acuerdo con las decisiones que afecten su reclamo. Si Ud. tiene un desacuerdo, primero comuníquese con su empleador o administrador de reclamos para ver si usted puede resolverlo. Si usted no está recibiendo beneficios, es posible que Ud. pueda obtener beneficios del Seguro Estatal de Incapacidad (*State Disability Insurance- SDI*) o beneficios del desempleo (*Unemployment Insurance- UI*). Llame al Departamento del Desarrollo del Empleo estatal al (800) 480-3287 o (866) 333-4606, o visite su página Web en [www.edd.ca.gov](http://www.edd.ca.gov).

**Puede Contactar a un Oficial de Información y Asistencia (Information & Assistance- I&A):** Los Oficiales de Información y Asistencia (*I&A*) estatal contestan preguntas, ayudan a los trabajadores lesionados, proporcionan formularios y ayudan a resolver problemas. Algunos oficiales de *I&A* tienen talleres para trabajadores lesionados. Para obtener información importante sobre el proceso de la compensación de trabajadores y sus derechos y obligaciones, vaya a [www.dwc.ca.gov](http://www.dwc.ca.gov) o comuníquese con un oficial de información y asistencia de la División Estatal de Compensación de Trabajadores. También puede escuchar información grabada y una lista de las oficinas de *I&A* locales llamando al (800) 736-7401.

**Ud. puede consultar con un abogado.** La mayoría de los abogados ofrecen una consulta gratis. Si Ud. decide contratar a un abogado, los honorarios serán tomados de algunos de sus beneficios. Para obtener nombres de abogados de compensación de trabajadores, llame a la Asociación Estatal de Abogados de California (*State Bar*) al (415) 538-2120, o consulte su página Web en [www.californiaspecialist.org](http://www.californiaspecialist.org).

**Aprenda Más Sobre la Compensación de Trabajadores:** Para obtener más información sobre el proceso de reclamos del programa de compensación de trabajadores, vaya a [www.dwc.ca.gov](http://www.dwc.ca.gov). En la página Web, podrá acceder a un folleto útil, "Compensación del Trabajador de California: Una Guía para Trabajadores Lesionados." También puede contactar a un oficial de Información y Asistencia (arriba), o escuchar información grabada llamando al 1-800-736-7401.



**WORKERS' COMPENSATION CLAIM FORM (DWC 1)**

**PETITION DEL EMPLEADO PARA DE COMPENSACIÓN DEL TRABAJADOR (DWC 1)**

**Employee:** Complete the "Employee" section and give the form to your employer. Keep a copy and mark it "Employee's Temporary Receipt" until you receive the signed and dated copy from your employer. You may call the Division of Workers' Compensation and hear recorded information at **(800) 736-7401**. An explanation of workers' compensation benefits is included in the Notice of Potential Eligibility, which is the cover sheet of this form. Detach and save this notice for future reference.

You should also have received a pamphlet from your employer describing workers' compensation benefits and the procedures to obtain them. You may receive written notices from your employer or its claims administrator about your claim. If your claims administrator offers to send you notices electronically, and you agree to receive these notices only by email, please provide your email address below and check the appropriate box. If you later decide you want to receive the notices by mail, you must inform your employer in writing.

Any person who makes or causes to be made any knowingly false or fraudulent material statement or material representation for the purpose of obtaining or denying workers' compensation benefits or payments is guilty of a felony.

**Empleado:** Complete la sección "Empleado" y entregue la forma a su empleador. Quédese con la copia designada "Recibo Temporal del Empleado" hasta que Ud. reciba la copia firmada y fechada de su empleador. Ud. puede llamar a la División de Compensación al Trabajador al **(800) 736-7401** para oír información gravada. Una explicación de los beneficios de compensación de trabajadores está incluido en la Notificación de Posible Elegibilidad, que es la hoja de portada de esta forma. Separe y guarde esta notificación como referencia para el futuro.

Ud. también debería haber recibido de su empleador un folleto describiendo los beneficios de compensación al trabajador lesionado y los procedimientos para obtenerlos. Es posible que reciba notificaciones escritas de su empleador o de su administrador de reclamos sobre su reclamo. Si su administrador de reclamos ofrece enviarle notificaciones electrónicamente, y usted acepta recibir estas notificaciones solo por correo electrónico, por favor proporcione su dirección de correo electrónico abajo y marque la caja apropiada. Si usted decide después que quiere recibir las notificaciones por correo, usted debe de informar a su empleador por escrito.

Toda aquella persona que a propósito haga o cause que se produzca cualquier declaración o representación material falsa o fraudulenta con el fin de obtener o negar beneficios o pagos de compensación a trabajadores lesionados es culpable de un crimen mayor "felonia".

**Employee—complete this section and see note above**

**Empleado—complete esta sección y note la notación arriba.**

1. Name. *Nombre.* \_\_\_\_\_ Today's Date. *Fecha de Hoy.* \_\_\_\_\_
  2. Home Address. *Dirección Residencial.* \_\_\_\_\_
  3. City. *Ciudad.* \_\_\_\_\_ State. *Estado.* \_\_\_\_\_ Zip. *Código Postal.* \_\_\_\_\_
  4. Date of Injury. *Fecha de la lesión (accidente).* \_\_\_\_\_ Time of Injury. *Hora en que ocurrió.* \_\_\_\_\_ a.m. \_\_\_\_\_ p.m.
  5. Address and description of where injury happened. *Dirección/lugar dónde ocurrió el accidente.* \_\_\_\_\_
  6. Describe injury and part of body affected. *Describe la lesión y parte del cuerpo afectada.* \_\_\_\_\_
  7. Social Security Number. *Número de Seguro Social del Empleado.* \_\_\_\_\_
  8. ☐ Check if you agree to receive notices about your claim by email only. ☐ Marque si usted acepta recibir notificaciones sobre su reclamo solo por correo electrónico. Employee's e-mail. \_\_\_\_\_ Correo electrónico del empleado. \_\_\_\_\_
- You will receive benefit notices by regular mail if you do not choose, or your claims administrator does not offer, an electronic service option. *Usted recibirá notificaciones de beneficios por correo ordinario si usted no escoge, o su administrador de reclamos no le ofrece, una opción de servicio electrónico.*
9. Signature of employee. *Firma del empleado.* \_\_\_\_\_

**Employer—complete this section and see note below. Empleador—complete esta sección y note la notación abajo.**

10. Name of employer. *Nombre del empleador.* \_\_\_\_\_
11. Address. *Dirección.* \_\_\_\_\_
12. Date employer first knew of injury. *Fecha en que el empleador supo por primera vez de la lesión o accidente.* \_\_\_\_\_
13. Date claim form was provided to employee. *Fecha en que se le entregó al empleado la petición.* \_\_\_\_\_
14. Date employer received claim form. *Fecha en que el empleado devolvió la petición al empleador.* \_\_\_\_\_
15. Name and address of insurance carrier or adjusting agency. *Nombre y dirección de la compañía de seguros o agencia administradora de seguros.* \_\_\_\_\_
16. Insurance Policy Number. *El número de la póliza de Seguro.* \_\_\_\_\_
17. Signature of employer representative. *Firma del representante del empleador.* \_\_\_\_\_
18. Title. *Título.* \_\_\_\_\_ 19. Telephone. *Teléfono.* \_\_\_\_\_

**Employer:** You are required to date this form and provide copies to your insurer or claims administrator and to the employee, dependent or representative who filed the claim within **one working day** of receipt of the form from the employee.

SIGNING THIS FORM IS NOT AN ADMISSION OF LIABILITY

**Empleador:** Se requiere que Ud. feche esta forma y que provéa copias a su compañía de seguros, administrador de reclamos, o dependiente/representante de reclamos y al empleado que hayan presentado esta petición dentro del plazo de **un día hábil** desde el momento de haber sido recibida la forma del empleado.

EL FIRMAR ESTA FORMA NO SIGNIFICA ADMISION DE RESPONSABILIDAD

☐ Employer copy/Copia del Empleador ☐ Employee copy/Copia del Empleado ☐ Claims Administrator/Administrador de Reclamos ☐ Temporary Receipt/Recibo del Empleado

# Supervisor Report Of Accident/Injury

## Part 1 – Report (All boxes MUST be completed)

Name:		<input type="checkbox"/> Female <input type="checkbox"/> Male		Date of Hire:	
SSN:		Phone:		Date of Birth:	
Address:		City:		State/Zip:	
Job Title:		Department:		Location Code:	
Date of Injury/Illness:			Date of Knowledge:		
Time of Day: <input type="checkbox"/> AM <input type="checkbox"/> PM		Time Began Work: <input type="checkbox"/> AM <input type="checkbox"/> PM		Employment Status: <input type="checkbox"/> Reg, Full-Time <input type="checkbox"/> Part-Time <input type="checkbox"/> Temporary <input type="checkbox"/> Seasonal	
Gross Wages/Salary:		Employee Usually Works:			
\$	per	hours per day,	days per week,	total weekly hours	
Was a claim form provided? <input type="checkbox"/> Yes <input type="checkbox"/> No		Date Provided:		<input type="checkbox"/> Check here if the employee is still off work	
Was the employee unable to work on any day after injury? <input type="checkbox"/> Yes <input type="checkbox"/> No			Last Day Worked:		
Has employee returned to work? <input type="checkbox"/> Yes <input type="checkbox"/> No		Date Returned:		Medical treatment requested? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If medical treatment was received, name and address of physician:					
If hospitalized, name and address of hospital:					
Where did the accident or exposure occur? (address, city and county)					
Was injury on employer premises? <input type="checkbox"/> Yes <input type="checkbox"/> No		Was anyone else injured? <input type="checkbox"/> Yes <input type="checkbox"/> No			
What was the employee doing when injured? (be specific-identify tools, equipment, materials or chemicals employee was using)					
Specify parts of body injured:( i.e. burn to left arm, strain to back, etc.)					
Please list Names of Witnesses below: (be specific and accurate)				<input type="checkbox"/> Check here if there are witnesses	
Does the employee have outside employment/activities? (if yes, please explain below)				<input type="checkbox"/> Yes <input type="checkbox"/> No	
How did the accident or exposure occur? (Below describe fully the events that led up to and resulted in injury or occupational disease, tell what happened. Please use separate sheet if necessary.)					

I certify that I, as a supervisor of this employee, personally investigated this accident, and have completed this form.

Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_

# Supervisor Report Of Accident/Injury

## Part II – Supervisor Analysis (All boxes must be completed)

Statements of Witnesses: (be specific and accurate, please use separate sheet if necessary)

Was unsafe mechanical/physical/environmental conditions present at time of injury? (if yes, please explain below)

☐ Yes ☐ No

Object or substance that directly injured employee (e.g. the machine employee struck against or which struck him; the vapor or poison inhaled or swallowed; the chemical that irritated his skin; in cases of strains, the object the employee was lifting, pulling, etc.):

Was an unsafe act by the injured or another person a cause or contributing factor to the injury? (be specific)

☐ Yes ☐ No

Was another person(s) responsible for the accident? (If yes, who and how?)

☐ Yes ☐ No

Was a Code of Safe Practice Violated? (If yes, which one?)

☐ Yes ☐ No

Does the Code of Safe Practices need to be amended to cover this type of injury/illness?

☐ Yes ☐ No

Was personal protective equipment used by the injured employee?

☐ Yes ☐ No

Would the use of personal protective equipment have prevented this injury?

☐ Yes ☐ No

What steps have been taken to prevent a similar accident?: (an explanation MUST be provided below)

I certify that I, as a supervisor of this employee, personally investigated this accident, and have completed this form.

Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_

**Appendix – D**  
**City of Fairfield Monthly Safety Audit Form**  
**MV Monthly Safety Audit Form**

# Fairfield Transportation Center

## Facility Safety Audit

FOR THE QUARTER OF :      1st      2nd      3rd      4th      Year: \_\_\_\_\_

SAFETY MANAGEMENT PRACTICES	Yes	No	N/A	Comments
New Monthly Safety Message Posted				
Safety Topic covered in Staff Meeting				
Review of Monthly Facility Audit from prior month with Staff				
Newly Hired Employees given Safety Orientation of Office Safety Process				
<b>BUILDING SAFETY</b>				
Fire Extinguisher    - Checked Date and in Working Order				
Fire Alarm    - Clean and Clear of dirt and debris				
Flash lights - Check in working order				
First Aid Station - Check supplies				
MSDS Book Up to Date? In visible location? Staff aware of location?				
Cleaning and/or hazardous products properly stored?				
Are exits properly marked?				
Are evacuation maps posted in conspicuous area?				
Are employees aware of designated assembly?				
Entry and Exit Doors in working order, clear view through doors for safety				
Exterior lights functioning properly?				
Walkways - Clear of boxes, trip hazards and debris				
Elevator - Clean, clear of graffiti and in good working order				
Are stairwells and stairways clear with serviceable handrails & treads				
Trash not overflowing and discarded routinely				
Staff Parking Area free of debris / in good repair and free of trip hazards				
<b>CITY OFFICE (FAST/Engineering) ADMIN AREAS</b>				
All office floor areas and hallways clean and free of clutter?				
Electrical cords properly used?				
Restrooms are clean, orderly, and stocked?				
Plumbing fixtures functioning properly?				
Desks, tables and chairs serviceable, functional and free of hazards?				
<b>LUNCH ROOM</b>				

[illegible]





GM Monthly Facility Audit

LOCATION:	DATE:
-----------	-------

SAFETY MANAGEMENT PRACTICES	Yes	No	N/A	Comments
Maintains MVT standardized Accident Log updated and current				
Performs New Hires 45/75 day assessments as required				
Division's instructors (class and BTW) are properly ICP certified				
Division utilizes the standard MVT training program (AVATAR)				
Division follows minimum training program requirements (hours, protocols, materials, etc.)				
Division manages DriveCam Program per DC Program Management Plan				
> # Vehicles Out Of Service				
> # Vehicles Overdue for Download				
> # DC events overdue for coaching/retraining				
Division follows disciplinary requirements outlined in Handbook/CBA				
Safety Meetings attendance tracked and documented on Form SF-6 and filed				
Drivers retrained per Safety Retraining Policy (Policy #12)				
<b>Exterior</b>				
Are exterior lights functioning properly?				
Landscaping well maintained				
Trash not overflowing from dumpster				
Park lot free of debris				
Park lot in good repair and free of trip hazards				
Building and fencing free of graffiti				
Does fuel island have spill kit (if applicable)				
Is fuel island free of leaks (if applicable)				
Fuel hose hung properly (if applicable)				
Fuel nozzle trigger lock removed (if applicable)				
<b>Vehicles</b>				
Exterior of vehicle clean (wheels, windows ect)				
Interior free of trash, debris and graffiti				
DVIs properly filled out				
Current insurance and registration located in vehicle				
<b>Maintenance Area</b>				
Is Facility clean?				
Is the maintenance floor clear of free oil spills or slick spots?				
Are maintenance personnel wearing safety glasses?				
Is proper footwear being worn?				
Are all machinery fitted with proper guards?				
Electrical cords intact and free of cuts/repair?				
Electrical Panels / Breaker Boxes have unobstructed access				
Electrical Panels / Breaker Boxes have not been modified and have no uncovered openings.				
Inventory stored properly and organized				
Are hoses rolled up when not in use?				
Are Lockout/Tagout procedures in place?				
Is waste area clean and orderly?				
Are aerosol cans stored in fire proof cabinets?				
Are oily rags disposed of in their proper container (covered metal waste cans)?				
Are safety glasses for visitors provided in accessible an area?				
Are all facility/shop lights operational and functional?				
Are exits properly marked?				

Is first aid kit properly stocked?				
Eyewash installed and inspected monthly				
Electrical panel area free of clutter (3x3)				
Are facility / shop areas free of "trip & falls" hazards?				
Are all storage drums covered and labeled?				
Are all air / water hoses clean, free of defects and properly stored?				
Are all drop lights clean, serviceable, and properly stored?				
Is signage permanently mounted?				
Are locker room floors free of debris and uniforms?				
Are there accurate "Days without an Injury" and "Days without Incident" signs posted?				
Is proper personal protective equipment (PPE) used by employees in the shop areas?				



**Appendix – E**  
**City of Fairfield Individual Employee Training Document**  
**MV Training Syllabus**



# CLS: CLASSROOM TRAINING HOURS AND CONTRACT/OTHER ADDITIONAL TRAINING HOURS DAYS 1-3

*This form tracks the student's classroom hours as required by M V Transportation.*

*The local operation may add courses and hours if needed. Use this one sheet for all of the classroom training.*

MV REQUIRED TOPICS	Completed /Date	MVT Hours	Additional Hour s	TOTAL HOURS
1. Welcome To MV Transportation		40 mins		
EMPLOYEE HANDBOOK		60 mins		
2. The Katherine McClary Story		15 mins		
3. The MV Transportation Professional		20 mins		
4. Hazards Communication		20 mins		
5. Drugs and Alcohol		60 mins		
6. Fatigue Management		25 mins		
7. Wellness		15 mins		
8. Whistleblower		15 mins		-
9. Sexual Harassment		25 mins		
10. Bloodborne Pathogens		20 min		
11. NIT Security		25 mins		
12. Map Reading		30 mins		
13. On The Road		30 mins		
14. The Basics of Safety		45 mins		
15. LLLC - Defensive Driving		30 mins		
16. Introduction to the Bus		30 mins		
17. Pre-Trip Inspections		60 mins		
18. Reference Points		30 mins		
19. DriveCam		15 mins		
20. Following Distance		30 mins		
21. Backing Basics		20 mins		
22. Intersections		20 mins		
23. Changing Lanes		30 mins		
24. Railroad Crossings		20 mins		
25. Pedestrian and Bicycle Awareness		25 mins		
26. Special Conditions		45 mins		
27. Accident and Emergency Procedures		30 mins		
28. Federal Regulations		30 mins		
29. Introduction To ADA		15 min s		
30. ADA Sensitivity		30 mins		
31. ADA Lifts/Securement		45 mins		
Platinum Connection Customer Service		4 HOURS		
Mastery Test	P   F			
CONTRACT/OTHER ADDITIONAL TOPICS COVERED (LIST TOPICS)				

Student Signature \_\_\_\_\_ Trainer Signature \_\_\_\_\_

REVISED - Transit 44.2018

*White Copy - stays in the book in the student's personnel file. Yellow copy - tear off and give to student for his other reference.*

# NEW TRANSIT OPERATOR DEVELOPMENT TRAINING SYLLABUS

## WEEK ONE

### DAY ONE

CLS	40	6.84	1. Welcome Lo MY Transportation
CLS	1S		The Katherine McClary Story
CLS	60		Employee Handbook
CLS	20		3. The MV Transportation Professional
CLS	20		4. Hazards Communication
CLS	60		5. Drugs and Alcohol Policies & Procedures
CLS	30		16 Introduction To The Bus
CLS	60		17 . Pre- Trip and Post-Trip Inspections
CLS	70		18 . Mirrors and Reference Points
CLS	45		14 . The Basics of Safety
CLS	30		15 . LLLC - Defensive Driving

### DAY

### 6.58

CLS	15		19 . DriveCam
CLS	20		22. Intersections
CLS	30		20 . Following Distance
CLS	20		21 . Backing Basics
CLS	25		6 . Fatigue Management
CLS	30		23 . Changing Lanes, merging, Passing
CLS	20		24 . Railroad Crossings
CLS	25		25 Pedestrians and Bicyclists
CLS	30		28 . Federal Regulations
CLS	15		7 . Wellness
CLS	15		8. Whistle Blower
CLS	25		9. Sexual Harassment
CLS	20		10 . Bloodborne Pathogens
CLS	30		13 On The Road
CLS	45		26 Special Conditions
CLS	30		27 . Accidents and Emergencies

### DAY THREE

### 6.91

CLS	2<10		Platinum Connection Customer Service
CLS	15		29 . Intro to ADA
CLS	30		30 . ADA Sensitivity
CLS	45		31 . Lift Operations/Securement
CLS	25		11 . Warning Signs
CLS	30		12 . Map Reading
CLS	30		Mastery Test

### DAY FOUR

### 8.0

PDS	60		Pre-Trip and Post-Trip Inspections
PDS	30		Mirrors and Reference Points
OHS	60		Pre-Trip and Post-Trip Inspections
OBS	30		Mirrors and Reference Points
BTW	180		Closed Course
UBS	10		Closed Course,

### DAY FIVE 8.0

PDS	45		Pre-Trip and Post-Trip Inspections
PDS	15		Mirrors and Reference Points
UBS	45		Pre-Trip and Post-Trip Inspections
OBS	15		Mirrors and Reference Points BTW
	180		Closed Course
OBS	180		Closed Course

## WEEK TWO

### DAY SIX

### 6.0

PDS	60		Pre-Trip and Post-Trip Inspections
OBS	60		Pre-Trip and Post-Trip Inspections
BTW	120		On-the-road, subjects above, safe driving
OBS	120		On-the-road, subjects above, safe driving

### DAY SEVEN

### 6.0

PDS	30		Lift Operations
PDS	30		Securement Systems
OBS	30		Lift Operations
OBS	30		Securement Systems
BTW	120		On-the-road, subjects above, safe driving
OBS	120		On-the-road, subjects above, safe driving

### DAY EIGHT

### 7.0

BTW	228		On-the-road, safe driving skills
OBS	228		On-the-road, safe driving skills

### DAY NINE

### 7.0

BTW	228		On-the-road, Safe Driving & Routes
OBS	228		On-the-road, Safe Driving & Routes

### DAY TEN

### 7.0

BTW	228		On-the-road, Safe Driving & Routes
OBS	228		On-the-road, Safe Driving & Routes

## WEEK THREE

### DAY ELEVEN

### 7.0

BTW	228		On-the-road, Paddles, Fare Box
ORS	228		On-the-road, Paddles, Fare Box

### DAY TWELVE

### 7.0

BTW	228		On-the-road, Paddles, Fare Box
OBS	228		On-the-road, Paddles, Fare Box

### DAY THIRTEEN 7.0

BTW	120		On-the-road, BTW Review
OBS	120		On-the-road, BTW Review
BTW	60		On-The-road, BTW FINAL
OBS	60		On-The-road, BTW FINAL

### DAY FOURTEEN 8.0

CDT	480		Cadet driving with passengers
-----	-----	--	-------------------------------

### DAY FIFTEEN

### 8.0

CDT	420		Cadet driving with passengers
CDT	60		Final Driving Evaluation

## 45 AND 75 DAY REVIEW

### DAY 45 OF SERVICE

60		On-the-road Ride Check,
----	--	-------------------------

### DAY 75 OF SERVICE

60		On-the-road Ride Check
----	--	------------------------

### Key

### TOTAL HOURS

CLS	CLASSROOM	20.33
PDS	PRE-DRIVING SKILLS	4.5
OBS	OBSERVATION	36.0
BTW	BEHIND THE WHEEL	31.5
CDT	CADETTEING	16.0

108.33

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**Appendix – F**  
**MV Training Record and Driver Skills Evaluation**





## MV TRANSPORTATION, INC. CORPORATE POLICY STATEMENT

*General policies of MV Transportation, Inc. are issued from time to time and are designed to provide general guidance to company managers in the conduct of the business. Policies may, from time to time, become dated or may no longer apply. In the event of questions, the policy should be referred to the General Counsel for interpretation. In the event a policy conflicts with the law, regulation or the terms of a contract with a customer, the policy will be subordinate to such law, regulation or contract term. Policies are only effective on the written approval of the Chief Executive Officer, and the endorsement of the Bridges Committee.*

<b>Policy #</b>	<b>Safety Policy S-12</b>
<b>SUBJECT</b>	<b>Driver Refresher Training</b>
<b>POLICY</b>	<p>All MV operators will receive refresher or remedial training, as necessary, throughout their employment with the Company. This training will be conducted as outlined below and documented in local personnel files and training records using the Driver Refresher Training Report Form.</p> <p>Only qualified personnel (General Managers, Operations Supervisors, Safety Managers, or Driver Instructors/BTWs) will administer driver refresher training courses. Under no circumstances will any driver be allowed to return to driving duties unless they demonstrate full proficiency in all applicable driving performance tasks</p> <ol style="list-style-type: none"> <li>I. Refresher or Remedial training is mandatory under the following conditions: <ol style="list-style-type: none"> <li>A. <u>Return To Work (from inactive status)</u> – Required when a driver/operator returns from “inactive” status (from a period of 30 days or more). In these cases, the driver must receive a one-day/8 hours “general purpose” refresher training designed to remind the driver of the general standards and defensive driving guidelines in effect at MVT and to ensure his/her proficiency.</li> <li>B. <u>Post Accident / For cause</u> – Required after every “preventable” accident, or whenever mandated by management for retraining / corrective purposes.</li> <li>C. <u>Seasonal</u> – Required annually at all divisions operating in seasonal adverse weather environments (i.e.: Winter driving, onset of adverse weather, etc.).</li> <li>D. <u>Biannually</u> – At a minimum of every two years, each driver/operator shall receive a “general purpose” refresher training designed to</li> </ol> </li> </ol>

	<p>remind the driver's of MVT driving standards and validate the driver's proficiency with MVT defensive driving requirements.</p> <p>II. Course content:</p> <p>A. <b><u>Return To Work:</u></b> This refresher is mandatory for any driver who has been away from work for 30 days or more (sick leave, family leave, furlough, worker's compensation, etc.). Reviewing the most up-to-date videos and the behind-the-wheel assessment are important components of this type of refresher. <u>Minimum</u> content is as follows:</p> <ol style="list-style-type: none"> <li>1. <b><u>Safety standards review (Classroom):</u></b> This training will include a thorough general review of our safety standards and defensive driving guidelines. This is accomplished through review of the applicable portions of the Driver Training School Curriculum and the applicable safety videos.</li> <li>2. <b><u>"Behind The Wheel" (BTW) Road Check:</u></b> The Road-Check portion of the Return-to-Work Refresher is probably the most critical part of the refresher, as it offers the driver the hands-on opportunity to re-establish his or her familiarity with our standards, and with the maneuverability and dimensions of the bus. If the driver has developed any unsafe driving behaviors/habits, the instructor will also be able to identify what driving deficiencies are present, and correct them before certifying the refresher as "satisfactory." The BTW portion will include a minimum of 30 miles or two hours, and cover city (urban), secondary, and freeway driving environments, with emphasis on city and freeway driving.</li> </ol> <p>The time involved for completion of this refresher is variable. The driver must demonstrate his ability to perform <u>all</u> of the required tasks <u>to standard</u>. Particular attention will be given to the following areas:</p> <ol style="list-style-type: none"> <li>a) Pre/Post trip inspections</li> <li>b) Brake release procedures (Air brake vehicles)</li> <li>c) Gear selection &amp; transmission use</li> <li>d) Proper Scanning Habits</li> <li>e) Turns &amp; Intersections</li> <li>f) Merging &amp; Lane changes</li> <li>g) Backing</li> <li>h) Speed Control</li> <li>i) Following Distance</li> <li>j) Use of Brakes</li> <li>k) Railroad Crossings</li> <li>l) Lift Operations</li> <li>m) Wheelchair Securement</li> </ol>
--	---

Individual Divisions are free to also include any topics/material pertinent to local driving conditions (for example, driving in heavy traffic, mountain terrain, etc.).

- B. **Post-Accident / For Cause Remedial Training:** This training is mandatory for any driver who has received a "preventable" rating for an accident/incident.

Because (by definition) the driver could have avoided the accident/incident, but failed to do so, it is imperative that the driver receives this remedial training as soon as possible, in order to prevent another similar occurrence. Therefore, the post-accident remedial training must be scheduled and given within 10 days following the formal accident rating.

Before the refresher commences, the investigating supervisor will review the accident report with the individual who will conduct the training (i.e.: a driver instructor or BTW instructor), discuss the accident's cause(s) and contributing factors, and what specific driving standards were not applied correctly. They should then tailor the remedial training to correct the driving deficiencies and standards that contributed to the accident.

This training will include a review of the appropriate materials / videos, and behind-the-wheel training.

The amount of time needed for a post-accident refresher is variable, and it will depend on the driver's ability to perform the appropriate tasks to standard. **The driver must demonstrate his / her ability to perform all of the required tasks to standard before being allowed back to driving duties.**

For instance, if the supervisor has determined that the driver did not perform a right turn correctly, the appropriate videos might include material on effective seeing habits, proper positioning of the vehicle, reference points, lane choice. The items highlighted on the refresher report would include "Positioning of the bus for turn," "Use of Mirrors," "Speed," "Proper Use of Signals," "Ability to Judge Bus Size," "Use of Horns," "Aggressive in Traffic," "Aware of Hazards." The driver instructor would then proceed with the behind-the-wheel training with a clear understanding of what driving deficiencies may need correcting, and ensure that the driver is able to perform the appropriate tasks to standard.

	<p>Currently, under normal circumstances, it is our practice to keep the driver in-service pending the outcome of the accident investigation. However, if Division or Regional management feels the driver involved in the accident poses an imminent danger or threat to the safe operation of a bus (due to a serious driving deficiency or, possibly, a physical or mental impairment), do not hesitate to place the driver out-of-service until it has been determined that the driver is qualified to drive safely.</p> <p>C. <b><u>Seasonal Refreshers:</u></b> These refreshers are conducted in preparation of operations during certain periods of the year. At a minimum, this refresher will be given in the fall, before the beginning of winter season, to all division's drivers, and includes refresher topics appropriate for the region, imminent weather, environmental, and traffic conditions. The training will include topics/material appropriate for the season in question, using existing safety videos and lesson modules from the standard Driver Training School.</p> <p>D. <b><u>Bi-Annual Refresher:</u></b> This is a mandatory bi-annual (every two years) general defensive driving refresher. All in-service drivers will attend this refresher every two years to ensure they are using appropriate defensive driving habits/techniques (have not become complacent) and will follow the same content requirements of the "Return To Work" refresher listed in "A" above.</p>	
<b>Effective Date</b>		
<b>Review Date</b>		
<b>RELATED TOPICS</b>		
<b>FORMS</b>		
<b>BRIDGES ENDORSEMENT</b>	Jack Hempstead	Date: 6/2/09
<b>APPROVED BY</b>		Date:



# Fairfield and Suisun Transit

## Public Transportation Agency Safety Plan (PTASP)



Issue Draft Date: July 7, 2020

# PTASP

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# **Fairfield and Suisun Transit Safety Plan (PTASP)**

## ***Version 0, Issued***

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### **1.0 Public Transportation Agency Safety Plan (PTASP) Rule Overview**

On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Rule that requires certain transit operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop a PTASP (Plan) that include the processes and procedures to implement a Safety Management System (SMS).

- The Rule 49 CFR Part 673 became effective on July 19, 2019.
- FTA published a Dear Colleague letter on July 19, 2019, to alert the transit industry of the July 20, 2020 safety compliance deadline.

The PTASP must include all applicable requirements of Part 673. The PTASP must be signed by the CEO/General Manager of the transit agency and approved by the transit agency's Board of Directors. Transit agency also must certify they have a PTASP in place meeting the requirements of the rule by July 20, 2020. The PTASP must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 U.S.C. § 5307).

FTA has adopted the principles and methods of SMS as the basis for enhancing the safety of public transportation in the United States.

### **2.0 Transit Agency Information**

The transit services of the City of Fairfield and City of Suisun City were consolidated in 1989 and became Fairfield/Suisun Transit Services (FTS) and was changed to Fairfield and Suisun Transit, better known as FAST in 2008. FAST's Administration office is located at 2000 Cadenasso Drive, Fairfield, CA 94533, with buses and maintenance housed at the City of Fairfield Corporation Yard, located at 420 Gregory Street, Fairfield, CA 94533. FAST is a division of the City of Fairfield Public Works Department. FAST administrative staff consist of ten (10) employees; Transportation Manager, Public Works Assistant, Senior Management Analyst (2), Operations Manager, Transportation Planner (2), Office Specialist and Transportation Technician (2). FAST's Organization Chart is attached as Appendix – A.

FAST is governed by the City of Fairfield City Council which is comprised of a mayor and four council members elected at large. The Council meetings are held twice a

month as per established schedule. The agenda and meeting minutes are documented and distributed to the Council members and the general public.

Diane Feinstein is the Interim Transportation Manager of FAST who reports to the Public Works Director and has been assigned as the Accountable Executive for the PTASP/SMS. The Accountable Executive is responsible for the management of PTASP/SMS and the agency's Transit Asset Management Plan. Amber Villarreal Transit Operations Manager who reports to the Transportation Manager has been assigned as the Safety Management Systems (SMS) Executive for the PTASP/SMS.

FAST provides fixed route bus service (MB) throughout the cities of Fairfield and Suisun City, California. FAST also provides express bus service (CB) under contract to the Solano Transportation Authority (STA) serving the Pleasant Hill BART Station via I-680 and the Del Norte BART Station via I-80. Both BART stations are located in Contra Costa County. The express bus route that serves Pleasant Hill BART travels the I-680/I-80 corridor with stops in the cities of Benicia, Fairfield, Vacaville, Dixon, Davis, and Sacramento. The express bus route that serves the El Cerrito del Norte BART travels the I-80, serving the Fairfield and Suisun City. Solano County Transit (SolTrans) express bus service operated under contract to STA, Napa Valley Transportation Authority (The Vine) and City of Rio Vista Transit (Delta Breeze) also connect with FAST service at the Fairfield Transportation Center (FTC) located adjacent to FAST's Administrative offices. FAST operated express service connects with BART, Central Contra Costa Transit Authority (County Connection) and Livermore Amador Valley Transit Authority (LAVTA) at Pleasant Hill BART; BART, AC Transit and Golden Gate Transit at Del Norte BART; and with City of Vacaville Transit (City Coach) in Vacaville; Unitrans and YoloBus in Davis and Sacramento Regional Transit in Sacramento. All FAST service is purchased transportation (PT), with MV Transportation as the current contractor. FAST transports about 900,000 passenger trips a year. FAST also operates DART paratransit service (DR) throughout the local service area of Fairfield and Suisun City, providing over 21,000 trips per year. FAST's operating budget in FY2019 was \$11.6 million and is funded through a combination of fare-box revenues, sales tax, state and federal sources. Today it operates a fleet of 48 buses on 8 local fixed routes and two express routes and 12 buses for DART paratransit.

PTASP Rule applies to all large and small transit systems that receive Urbanized Area Formula Program funds and all rail transit operators, regardless of FTA funding source. Fairfield and Suisun Transit is a recipient of state and federal grants. These state and federal formula dollars are typically used for operations, are sometimes flexible for use in both operations and capital and are often restricted to capital only. The following table provides information about the Grant Name, Source, Project Type and Service Type at FAST.

Grant Name	Source	Project Type	Service Type
<b>FTA 5307 Urbanized Area Formula Grants</b>	Federal Transit Administration, US Dept. of Transportation	Operations Capital	Local Intercity Paratransit
<b>FTA Section 5339 Bus and Bus Facilities</b>	Federal Transit Administration, US Dept. of Transportation	Capital	Local Intercity
<b>State Transit Assistance, State of Good Repair (SGR)</b>	Caltrans	Capital	Local Intercity
<b>Low Carbon Transit Operations Program (LCTOP)</b>	Caltrans/ Metropolitan Transportation Commission (MTC)	Capital	Local Paratransit
<b>Transportation Development Act (TDA) Funds -LTF</b>	State Sales Tax/ MTC	Operations Capital	Local, Intercity, Paratransit
<b>TDA- State Transit Assistance (STA) Funds</b>	State Sales Tax on Motor Fuel / MTC	Operations Capital	Local
<b>Regional Measure #2 Funds</b>	MTC	Operations	Intercity
<b>TIRCP</b>	Caltrans	Capital	Intercity Local
<b>Public Transportation Modernization, Improvement and Service Enhancement Account</b>	Caltrans	Capital	Local Intercity
<b>Transit and Intercity Rail Capital Program</b>	Caltrans	Capital	Intercity Local Paratransit

### 3.0 Plan Development, Approval, and Update

FAST is a small bus transit agency with fewer than 100 buses and has decided to develop its own PTASP and has informed the State Safety entity (Caltrans) of its decision on February 10, 2020. Consequently, FAST has developed this PTASP (Plan) to comply with 49 C.F.R Part 673 requirements. This regulation requires that the Plan must be developed based on the four (4) principles or pillars of the Safety Management Systems (SMS). SMS is defined as the formal, **top-down**, organization-wide, data-driven approach to **managing** safety risk and assuring the effectiveness of safety mitigations. It includes systematic policies, procedures, and practices for the **management** of safety risk. The four principles or pillars of SMS are: (1) Safety Management Policy; (2) Safety Risk Management; (3) Safety Assurance; and (4) Safety Promotion. The following page provides a pictorial view of the four pillars of SMS.



This Plan will be signed by the Accountable Executive and approved by the City Council. The Certification of Compliance will be provided on or before July 20, 2020. Thereafter, each year before July 20<sup>th</sup>, this Plan will be reviewed, and any changes or updates needed will be circulated through the agency review and approval process for adoption. If no changes are required, it will be documented accordingly and noted during the annual self-certification process on or before July 20<sup>th</sup>. The Transit Operations Manager is responsible for the development, update, and organizing annual compliance audits of this Plan.

### 3.1 Version Number and Update

Version #	Section/Pages Affected	Reason for Change	Date Issued
1		New Document	July 7, 2020

\_\_\_\_\_  
Diane Feinstein – Accountable Executive  
Interim Transportation Manager

\_\_\_\_\_  
Date

**Approval by the City Council per Resolution No.** \_\_\_\_\_

\_\_\_\_\_  
Date

## 4.0 Safety Performance Targets

Based on the past three years data the Safety Performance Targets for 2019 has been calculated. The Safety Performance Targets for FAST for the year 2019 is expected to stay within 1% +/- of previous three years data pertaining to fatalities, injuries, safety events, and system reliability.

FAST Data for 2019

Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM/failures)
Fixed Route Service (MBPT)	0	0	1	0.14	1	0.14	6295
Commuter Service (CBPT)	0	0	0	0	0	0	12102
DART/Paratransit (DRPT)	0	0	2	1.02	2	1.02	97726

Below is the past three (3) years (2016, 2017, 2018) data of FAST fatalities, injuries, and safety events.

FAST Data for 2016

Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM/failures)
Fixed Route Service (MBPT)	0	0	3	0.41	3	0.41	9397
Commuter Service (CBPT)	0	0	2	0.21	2	0.21	18898
DART/Paratransit (DRPT)	0	0	1	0.43	1	0.43	32985

## FAST Data for 2017

Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM/failures)
Fixed Route Service (MBPT)	0	0	0	0	0	0	4074
Commuter Service (CBPT)	0	0	0	0	0	0	8874
DART/Paratransit (DRPT)	0	0	0	0	0	0	47296

## FAST Data for 2018

Mode of Transit Service	Fatalities (total)	Fatalities (per 100 thousand VRM)	Injuries (total)	Injuries (per 100 thousand VRM)	Safety Events (total)	Safety Events (per 100 thousand VRM)	System Reliability (VRM/failures)
Fixed Route Service (MBPT)	0	0	6	0.86	0	0	3493
Commuter Service (CBPT)	0	0	6	0.59	6	0.59	8074
DART/Paratransit (DRPT)	0	0	1	0.44	1	0.44	16408

### 4.1 Safety Performance Target Coordination

FAST will conduct coordination meetings with the State Department of Transportation – Caltrans; and Metropolitan Planning Organization(s) (MPO) – MTC in the selection of State and MPO safety performance targets.

Targets Transmitted to the State	State Entity	Date Targets Transmitted
	<b>Caltrans</b> (Transmitted to Safety Management System contact: Brian Travis: brian.travis@dot.ca.gov)	Upon approval of plan and annually by September 30
Targets Transmitted to the Metropolitan Planning Organization(s) - MPO	MPO	Date Targets Transmitted
	<b>MTC</b> Transmitted to Transit Asset Management contact: Shruti Hari: shari@bayareametro.gov)	Upon approval of plan and annually by September 30

## 5.0 Safety Management Policy

The Safety Management Policy is one of the four principles or pillars of SMS. The management of safety is a top priority and core value of FAST. This Plan has been developed as a means of integrating safety into bus operations, bus maintenance, transit centers and the administration facility. We are committed to implementing, maintaining, and constantly improving processes to ensure that all our operational and maintenance activities are supported by an appropriate allocation of organizational resources and aimed at achieving the highest level of transit safety performance. All levels of management and all front-line employees are accountable for the delivery of this highest level of safety performance, starting with the Transportation Manager, Transit Operations Manager & City Council.

FAST is committed to:

- **Support** the management of safety by providing appropriate resources to support an organizational culture that fosters safe operational practices, encourages effective safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the agency.
- **Integrate** the management of safety as an explicit responsibility of all managers, supervisors, and employees.
- **Clearly** define for all managers and employees their accountabilities and responsibilities for the delivery of safe transit services and the performance of this Plan.
- **Establish and Operate** a safety reporting program/process as a fundamental tool in support of agency's hazard identification and safety risk evaluation activities to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point that is **as low as reasonably practicable (ALARP)**.
- **Ensure** (i) that no action will be taken against any employee who discloses a safety concern through the safety reporting program/procedure, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures; (ii) that sufficiently trained and skilled personnel are available & assigned to implement this Plan its processes & activities; (iii) that all agency's staff are formally provided with adequate and appropriate safety management information, are competent in Plan's activities, and are assigned only safety related tasks commensurate with their skills; and (iv) that contracted services that support our agency's mission are meeting our safety performance standards.
- **Comply** with and, wherever possible, exceed any applicable legislative and regulatory requirements and standards.
- **Ensure** that sufficiently trained and skilled staff 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.



- **Ensure** externally supplied systems and services to support operations are delivered meeting our safety performance standards.
- **Establish and Measure** our agency's safety performance against realistic safety performance indicators and safety performance targets.
- **Continually Improve** our agency's safety performance through management processes that ensure relevant safety action is taken in a timely fashion and is effective when carried out.

The Plan has been approved by the Transportation Manager and the City Council. The Transportation Manager has delegated authority to the Transit Operations Manager for the implementation of this Plan.

This safety policy supports FAST's mission, vision, and values of safety within the organization. By following the processes described in this Plan, FAST will have continuing opportunities to improve overall safety performance of this agency.

### **Conditions that protect a reporting employee from discipline or enforcement**

**action:** FAST's service contractor MV Transportation will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person's suspected violation of company policies or guidelines, or any alleged violations of federal, state, or local laws.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

### **Possible Disciplinary Actions**

MV Transportation uses a tiered approach to determine possible disciplinary actions.

Infractions that lead to disciplinary action are categorized into four categories:

- Class 1- Dischargeable offenses, the most serious and unacceptable behavior
- Class 2- Serious violations of the MV Transportation performance code
- Class 3- Secondary violations of the MV Transportation performance code
- Class 4- Lesser violations of the MV Transportation performance code that may result in disciplinary action depending on the circumstances or repeated violations

Examples of **Class 1 Dischargeable Offenses** include:

- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety: some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
  - Failure to properly secure mobility devices
  - Cell phone use while operating a company vehicle
  - Striking a pedestrian
  - Colliding into the rear of another vehicle or stationary object
  - Running a red light or stop sign

- Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft
- Unauthorized use or removal of company/client property or vehicle
- Violence/fighting/threats
- Harassment
- Insubordination
- Security
- Sleeping on the job
- Destruction of property
- Failure to return to work
- Leaving bus or passengers

Examples of **Class 2 Infractions**, considered to be serious violations of the MV Transportation performance code include:

- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a high visibility safety vest, reflective safety vest, or company issued high visibility uniform shirt according to company policies
- Failure to wear safety glasses in compliance with PPE directives
- Failure to wear company assigned shoe grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advanced approval of the company
- Failure to operate a company vehicle according to assigned route or timetable
- Failure of any operator, safety sensitive employee, or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a company vehicle
- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering, or assisting any person to enter, or attempt to enter a company location or restricted area without proper authority

Examples of **Class 3 Infractions**, considered to be secondary violations of the MV Transportation performance code, include:

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report
- Posting, circulating, or distributing written or printed material during working times and in working areas
- Failure to adhere to the company reverse parking policy for company vehicles and personal vehicles
- Use of a company-owned radio or cell phone for non-company business during working time
- Failure of any operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a company vehicle

Examples of **Class 4 Infractions**, considered to be lesser violations of the MV Transportation performance code that may result in disciplinary action depending on the circumstances or repeated violations, include:

- Failure to comply with the dress code, uniform policy, cleanliness, personal hygiene, personal grooming habits, or other requirements established by the client or company
- Reporting for duty in an improper uniform, presenting an untidy, unkempt or dirty appearance of person or uniform, or improperly displaying uniform articles, company emblem, or authorized pins and badges
- Parking a personal vehicle in a restricted area at a company location
- Neglect of job duties and responsibilities, or lack of application or effort on the job
- Incompetence or failure to meet reasonable standards of efficiency or effectiveness
- Failure to provide MV Transportation with a current address or telephone number
- Failure to inform MV Transportation of changes in status of dependents for insurance coverage
- Littering the employee lounge area, restrooms, or any other company property
- Failure to read notices and bulletins and not making an effort to stay informed

### **Applying Disciplinary Actions**

Although employment may be terminated at-will by either employee or MV Transportation at any time in accordance with applicable law, without following any formal system of discipline or warning, MV Transportation may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty.

## **Facilities**

FAST maintenance and administration employees are encouraged to report anything believed to be a hazardous condition or practice that may cause injury to people, property, or the environment. In addition, employees are encouraged to share any suggestions to improve safety in the workplace. All injuries, accidents and near misses must be reported.

- **Report of Unsafe/Unhealthy Working Condition**

Employees use the Employee Safety Information form to report any safety concerns. Forms are available at centralized locations at all worksites. Employees may choose to identify themselves by name or to provide an anonymous report. The program functions as follows:

- 1) Employee completes the Employee Safety Information form and gives the form to their supervisor, the Transit Operations Manager (Administration and transit centers) or Director of Maintenance (vehicle maintenance) in person or via inter-office mail. The appropriate manager reviews the report, meets with the employee if necessary, and has authority to take immediate and appropriate action to correct the hazardous conditions or unsafe work practices and procedures, and to establish rules of safety as soon as they are identified.
- 2) For hazards that cannot be immediately corrected due to reasons such as the availability of needed equipment, materials and/or personnel; time for delivery, installation, modification, or construction; training periods; etc., protection shall be provided in the interim to employees who need it while correction of hazard is proceeding.
- 3) The Transit Operations Manager or Director of Maintenance notes any corrective action or the reason for no action taken on the Employee Safety Information form and submits a copy to the employee.
- 4) The Transit Operations Manager or Director of Maintenance records the hazard information in FAST's Systems Hazards electronic database. The reported information is shared with the Health and Safety Committee, where the information is reviewed, addressed, and documented.
- 5) The Transit Operations Manager or Director of Maintenance saves the Employee Safety Information form in a binder.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911.

- **Employee Suggestion Box**

Maintenance and administration employees may also report any suggestions through an Employee Suggestion Box. Employees may choose to identify themselves by name or to provide an anonymous suggestion. The program functions as follows:

- 1) The employee completes the Suggestion form located next to the Suggestion Box and places the form in the Suggestion Box.

- 2) Suggestions are reviewed quarterly by the Transit Operations Manager.
- 3) The Transit Operations Manager distributes suggestions to Transportation Manager and Director of Maintenance for review.
- 4) If there is a hazard or safety concern reported, the Transit Operations Manager records the information in FAST's Systems Hazards electronic database. The reported information is shared with the Safety Solutions Team, where the information is reviewed, addressed, and documented.

If an employee's suggestion is chosen to be implemented and acted upon, the employee receives recognition for their suggestion.

**Conditions that protect a reporting employee from discipline or enforcement action:**

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.

The following conditions protect a reporting employee from discipline or enforcement action:

- The employee's action or lack of action was not intended to cause damage to FAST's operations, equipment, or personnel.
- The employee's action or lack of action does not involve a criminal offense.
- The employee's behavior does not involve substance abuse or inappropriate use of controlled substances.
- The report does not contain falsified information.
- The event did not result in an accident/incident that qualified as reportable under State or Federal law.
- The event did not result in an identifiable release of a hazardous material.

## **5.1 Safety Management Policy Communication**

The safety management policy will be communicated throughout the agency through various processes such as:

- Workshops/training sessions - These will be conducted for both the City and Contractor management team. All Union representatives will be kept informed about this Plan. Once this Plan has been signed by the Transportation Manager and approved by the City Council, the Plan will be implemented throughout the entire transportation division of the City including all City and Contractor functions and will continue until each and every employee in the organization become familiar with their specific roles and responsibilities pertaining to PTASP/SMS.
- New Hire Safety Orientation – Through this program all new employees regardless of their classifications will be trained about their roles and

responsibilities pertaining to PTASP and the principles of SMS. Appendix E contains the Training Syllabus for new bus operators.

- The safety communication will continue using safety bulletin boards (updated monthly), bi-monthly toolbox/tailgate safety meetings and monthly safety committee meetings.
- In addition, annual safety audits/reviews of PTASP will be conducted to bring focus on the safety management communication aspect and the implementation status of PTASP and SMS principles.

## **5.2 Authorities, Accountabilities, and Responsibilities**

This Plan has assigned specific authorities, accountabilities, and responsibilities to the designated Accountable Executive; Transit Operations Manager, Agency Leadership/ Executive Management and Key Staff/Employees. Some of these assigned tasks pertaining to PTASP/SMS are described as below:

### **5.2.1 Accountable Executive**

The Transportation Manager is assigned as the Accountable Executive and some of the responsibilities include:

- Establishing and maintaining agency PTASP based on SMS principles.
- Ensuring safety concerns are considered and addressed in the agency's ongoing budget planning process.
- Ensuring transparency in safety priorities for the City Council and for the employees.
- Establishing guidance on the level of safety risk acceptable to the agency.
- Assuring safety policy is appropriately communicated throughout the agency.
- Decision making about resources (people & funds) to support TAM, PTASP/SMS, and capital investments.

### **5.2.2 Chief Safety Officer or SMS Executive**

The Transit Operations Manager is assigned as the Chief Safety Officer or SMS Executive and some of the responsibilities include:

- Developing, updating and maintaining PTASP/SMS.
- Developing and organizing annual audits of PTASP & SMS principles to ensure compliance with 49 CFR Part 673 requirements.
- Overseeing the hazard management program and facilitating hazard identification, safety risk analysis and assessment, and the development and completion of safety risk controls and corrective actions.
- Maintaining safety documentation.

- Planning and organizing safety training.
- Providing regular reports on safety performance.
- Briefing the Accountable Executive and City Council on PTASP/SMS implementation activities.

### **5.2.3 Agency Leadership/ Executive Management**

The Agency Leadership/Executive Management is comprised of the Transportation Manager and Transit Operations Manager, Fleet Manager for the City and General Manager, Safety and Training Manager and Operations Manager for the contractor. FAST and the Contractor organization charts are shown in Appendix – A. Some of the responsibilities include:

- Day-to-day implementing of the PTASP/SMS principles throughout their department/organization.
- Communicating safety accountability and responsibility from the front line employees to all the way to the top of their organization.
- Ensuring employees are following their working rules and procedures and following safety rules & regulations in performing their jobs. Also they are following their specific roles & responsibilities in the implementation of the PTASP and SMS principles.
- Ensuring that employees complying with the safety reporting program and are reporting unsafe conditions and hazards to their department management and those unsafe conditions and hazards are corrected in a timely manner.
- Ensuring that resources are sufficient to carry out employee training/certification and re-training as required by their job classifications.

### **5.2.4 Key Staff/Employees**

The agency key staff/employees include managers, supervisors, specialists, analysts, and other key employees who are performing highly technical work, are overseeing employees performing critical tasks and providing support in the implementation of PTASP & SMS principles throughout the agency. The key staff/employees' responsibilities include:

- Ensuring that employees are complying with the safety reporting program.
- Ensuring supervisors are conducting their toolbox safety meetings.
- Promoting safety in employee's respective area of responsibilities – That means zero accidents; absence of any safety concerns; perfect employee performance; and compliance with agency rules & procedures and regulatory requirements.
- Ensuring safety of passengers, employees, and the public.
- Responding to customer complaints and expectations for frequency, reliability, and convenience of service.

- Replacing and maintaining aging facilities, equipment, and infrastructure.
- Managing increasing demands for fixed route, commuter service and paratransit service.
- Developing and maintaining database software programs such as:
  - NextBus – AVL based program for vehicle tracking
  - Solutions for Transit – Data Collection Platform and Report Generation Service
  - Route Match – for Paratransit Scheduling
  - ReMix – for Route planning and scheduling
  - GFI – Fare payment collection and reporting
  - Clipper – Fare payment collection and reporting
 to gather pertinent data elements to develop Key Performance Indicators (KPI) reports and conduct useful statistical analyses to identify trends and system performance targets.
- Establishing clear lines of safety communication and holding accountability for safety performance.



## 6.0 Employee Safety Reporting Program

The purpose, description, and protections for employees to report unsafe conditions & hazards are described in the Employee Safety Reporting Program as below:

Purpose:

- a) To establish a system for FAST Employees to identify unsafe conditions or hazards at work and report them to their department management without fear of reprisal.
- b) To provide guidelines for facilitating the timely correction of unsafe conditions or hazards by FAST management.

Description:

- a) This program provides a method for FAST management to identify, evaluate, and correct or avoid unsafe conditions or hazards, procedural deficiencies, design inadequacies, equipment failures, near misses, etc., which adversely affect the safety of employees.
- b) The program also involves recommending corrective actions and resolutions of identified unsafe conditions or hazards and/or near misses.
- c) All employees have the obligation to report immediately any unsafe conditions or hazards and/or a near miss to their immediate supervisor /department manager and may do so without fear of reprisal. **The Safety Information Form (City) and Unusual Incident Report (MV)** is a means by which employees can report hazards or near misses. (See Appendix - B).
- d) Unsafe conditions or hazards may also be identified as a result of occupational injury or illness investigations and/or by accident investigations using the **Supervisor Report of Injury**. (See Appendix - C).
- e) Other means by which hazards may be identified are inspections, audits and/or observations made by the supervisors and/or management staff as referenced in agency's Safety Inspection Program. Regardless of how the hazard was originally identified, departments may use the **Monthly Safety Audit Form** to log and track all hazard near miss reports and record when the corrective actions are completed. (See Appendix - D).
- f) To assure that the contractor properly communicates safety incidents to the City the following protocols are in effect:
  - a. Incident Reported via the Contractor dispatch data entry in the Solutions for Transit Database.
  - b. Email is generated for immediate notification to FAST staff.

- c. Contractor emails the incident report to FAST and Maintenance Staff.
- d. Staff reviews report for hospital transport (for immediate NTD entry).
- e. Staff enters data into NTD as applicable.
- f. Staff enters into Accident/Incident Log and files report(s).
- g. Tracks Preventable and Non-Preventable nature of incidents.
- h. Confirms Monthly Report from Contractor reflects same data.
- i. Log work orders received by maintenance and invoice contractor.
- j. Revisit work order amounts to determine if NTD reporting thresholds are met requiring a change in how reported.

## 7.0 Safety Risk Management (SRM)

Safety Risk Management is one of the four principles or pillars of SMS. The safety hazard identification is the key component of safety risk management process.

### 7.1 Safety Hazard Identification

The hazard identification and analysis is the first step in the SRM process and is a key component of SRM. It involves two fundamental safety-related activities: Identifying and analyzing safety hazards; and assessing the risks associated with those hazards and mitigating them to reduce the potential or consequences of those hazards causing harm. Example: Unclear roadway signage/traffic may lead to erratic vehicle speeds; worn vehicle brake assembly may lead to a collision; narrow traffic lanes may lead to collisions with other vehicles, pedestrians, bicyclists, etc....

Most accidents occur either due to a safety deficiency or hazard, and the consequence is an injury or property damage or both. The definition of these terms are as follows:

**Safety Deficiency:** A system-wide condition that allows hazards to exist.

**Hazard:** Condition or object with the potential of causing injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function.

**Consequence:** Potential outcome(s) of the hazard.

Sample chart to determine Safety Deficiency, and/or Hazard, or Consequences:

Item	Safety Deficiency	Hazard	Consequence
Bus route operated in mixed traffic			
Employee fell while performing maintenance on vehicle roof			
Operators are allotted 5 minutes for pre-trip inspections			
Pedestrian struck at an intersection with no crosswalk			
Passenger got foot caught in accessibility lift/ramp			
Training manual contradicts established SOPs			

FAST desires to identify and address hazards before they cause problems. Many programs, procedures, and reporting forms are in place to assist with safety hazard identification. To assist in safety hazard identification at FAST, employees are trained that a hazard is a real or potential condition that can cause a consequence. If a hazard is identified through any of FAST's programs, procedures or reporting forms, potential consequences of the hazard are evaluated through the risk assessment process and the information is entered in FAST's Systems Hazards electronic database. The programs, procedures and reporting forms used for safety hazard identification include the following:

#### **7.1.1 Employee Safety Reporting Program**

Through the employee safety reporting program, employees are encouraged to report anything believed to be a hazardous condition or unsafe practice that may cause injury to people, property, or the environment. In addition, employees are encouraged to share any suggestions to improve safety in the workplace. All injuries, accidents and near misses are to be reported. Hazards identified through the employee safety reporting program and potential consequences of the hazards are documented.

##### **Operations**

Upon hire, each operations employee is provided the MV Transit Employee Handbook with information on the employee safety reporting program and a Unusual Incident Report pad. Additionally, employees learn about the Unusual Incident Report form at safety meetings when positive reinforcement and recognition is given to employees who demonstrate correct procedures and actions through Unusual Incident Report.

##### **Facilities**

Upon hire, maintenance and administration employees are provided information on the employee safety reporting program and Safety Management Policy Statement. Additionally, the Safety Management Policy Statement is reviewed and employees learn about the reporting forms available to them. Employees are also reminded quarterly about the Suggestion Box and Suggestion form when suggestion winners are recognized.

#### **7.1.2 Facility Inspections**

FAST management is responsible for overseeing periodic occupational and operational inspections of facilities and equipment to identify hazards on a proactive basis. Inspection types include safety/health inspections, facility inspections, and preventative equipment and vehicle inspections. Hazards identified through facility inspections and potential consequences of the hazards are recorded in the FTC Monthly Facility Safety Audit Form (Appendix D).

##### **Operations**

- **Daily Safety and Health Walkthrough and Checklist**

A routine safety and health check walkthrough is performed daily to promptly identify hazardous conditions at the facility and to notify employees of the hazards identified and mitigation measures to help protect employees from personal injury. Any

identified hazards, potential consequences of the hazards, and corrective action taken from the Daily Safety and Health Walkthrough are recorded in the Accident/Incident Log.

- **Facility Parking Risk Management Assessment**

Inadequate turning areas, blind corners, and uneven walking surfaces can all cause collisions or employee injury in parking areas. The risk of the facility is assessed as follows:

- Annually
- Unscheduled- whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises.
- Facility Parking Risk Assessment Guide and Facility Parking Risk Assessment Form are tools to help with this assessment.
- Any identified hazards, potential consequences of the hazards, and corrective action taken from the Facility Parking Risk Management
- Assessments are recorded.

## **Facilities**

- **Maintenance Plan**

FAST's Maintenance Plan outlines the schedule for preventative equipment and vehicle inspections. Any identified hazards, potential consequences of the hazards, and corrective action taken is recorded.

- **Injury and Illness Prevention Plan (IIPP)**

As documented in City of Fairfield's IIPP, a Hazard Assessment Checklist for the facility is completed annually. Any identified hazards, potential consequences of the hazards, and corrective action taken from the inspections are recorded.

- **Stormwater Prevention Plan (SWPP)**

As part of City of Fairfield's SWPP, weekly inspections are performed on the eye wash stations, fire extinguishers, spill covers, storm drains, sump, and sweeper. Any identified hazards, potential consequences of the hazards, and corrective action taken from the inspections are recorded.

### **7.1.3 Positive Check-In Procedures and Reasonable Suspicion**

Positive check-in procedures are to ensure operators reporting are fit-for-duty. MV Transportation provides dispatchers with positive check-in procedures and reasonable suspicion outlines to follow.

### **7.1.4 On-Board Video Technology**

On-Board Video Technology provides a summary of the onboard video system and company standards that all operations employees must follow when operating a company vehicle equipped with on-board video technology. This technology is a valuable resource that helps operations instill positive driving behaviors by providing opportunities to view recorded driving events, driver history, and company trends. The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining, and if necessary, disciplinary measures in accordance with the provisions of MV Transportation's Employee Handbook and applicable Collective Bargaining Agreements. Hazards

identified through on-board video technology and potential consequences of the hazards are recorded.

### **7.1.5 Incident Report and Initial Exposure Incident Report**

#### **Operations**

MV Contractor (Operations) employees document incidents that occur on the road, on the bus, or at the facility through an Accident/Incident Report. Accident/Incident Reports are for reporting any of the following that occurred: injury to employee, dispute between employees, dispute between operator/passenger, dispute between operator, motorist, dispute between passengers, operator/passenger victim of assault/theft, intoxicated passenger, passenger illness, vandalism/damage to bus, fire on bus, bus struck animal, witness report, dispute- fare/transfer, missed passenger, object struck bus, off route, other. Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to dispatch immediately. All other incidents and occurrences out of the norm, no matter how slight, are to be reported to dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, operators are to immediately contact dispatch.

If there is a hazard or safety concern reported, the information is recorded. FAST's Transportation Manager and Transit Operations Manager receives an e-mail immediately of each incident report and a monthly report on all operations Incident Reports. Any risk of operator assault is identified and mitigated through incident reporting.

#### **Facilities**

Maintenance and administration employees document incidents that occur on the road, on the bus, or at the facility through an Incident Report. Incident Reports are for reporting any of the following that occurred: employee injury, dispute between employees, property damage, environmental issue, other. If there is a hazard or safety concern reported, the information is recorded. Maintenance and administration employees document blood borne pathogen incidents that occur on the road, on the bus, or at the facility through an Initial Exposure Incident Report. If there is a hazard or safety concern reported, the information is recorded.

### **7.1.6 Incident Alert and Security Incident Report**

## **Operations**

The Incident Alert documents incidents that occur on FAST vehicles. The Incident Alert is for reporting employee injury, collision, passenger/third party injury, assault, injury to passengers with disabilities, security event, facility/property damage, media events, and other events. Any identified hazards, potential consequences of the hazards, and corrective action taken are recorded. Any risk of operator assault is identified and mitigated through Incident Alert reporting.

## **Facilities**

The Security Incident Report documents incidents that occur on FAST property. Security Incident Reports are for reporting any of the following that occurred: arson, aggravated assault, burglary, breaking or entering, forcible rape, homicide, larceny/theft, motor vehicle theft, robbery, alcohol/drunkenness, bomb threat, disorderly conduct, drunk driving, fighting, gambling, kidnapping, liquor law violations, narcotics, sexual offenses (indecent exposure), suspicious activity, trespassing, vagrancy/loitering, vandalism, weapons, fare evasion, lost child, medical assistance, public expectoration/urination, sleepers, suspicious activity, and vehicle towing. Any identified hazards, potential consequences of the hazards, and corrective action taken are recorded. Any risk of operator assault is identified and mitigated through Security Incident Reporting.

### **7.1.7 Accident Investigation**

#### **Operations**

Accidents are any collision that occurs while an operator is on duty. Operators are to report all accidents and collisions to dispatch immediately upon occurrence.

Operator Incident Report and Auto & General Liability Claim Form, must be completed by the operator involved and MV Transportation management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report.

Accident & Safety Data Acquisition and Reporting, and the supporting Auto and General Liability Claim Form; Operator Incident Report; ensure that the appropriate actions happen at the scene for the safety and security of MV Transportation passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future. Any identified hazards, potential consequences of the hazards, and corrective action taken from the accident investigation are recorded.

#### **Facilities**

All maintenance and administration employees are required to immediately report and document accidents, incidents, and occurrences. The Occupational Incident/Injury/Illness Investigation Report is used to investigate reported accidents,

incident, and occurrences. Root cause analysis is documented during the investigation. Any identified hazards, potential consequences of the hazards, and corrective action taken from the accident investigation are recorded.

#### **7.1.8 Data and Information Provided by Oversight Authority and Federal Transit Administration (FTA)**

FAST will monitor data and information provided by an oversight authority and FTA for any identified hazards and safety concerns. If the identified hazards and safety concerns are applicable to FAST, FAST will record the information.

It's important that all hazards to be reported utilizing the forms attached as Appendix – B. Examples of hazard identification through other sources may include: inspections, observations; safety investigations, accident reports, compliance reviews, committee reviews, industry data, FTA & NTSB reports, customer or public reports/complaints, and new projects related reports. All such hazards must be investigated, and their consequences be analyzed and corrective actions be taken to mitigate or eliminate safety deficiencies.



Conoco Phillips Marine in 2003 updated the Heinrich Ratio to include estimated near misses and estimated at-risk behaviors; as illustrated below.

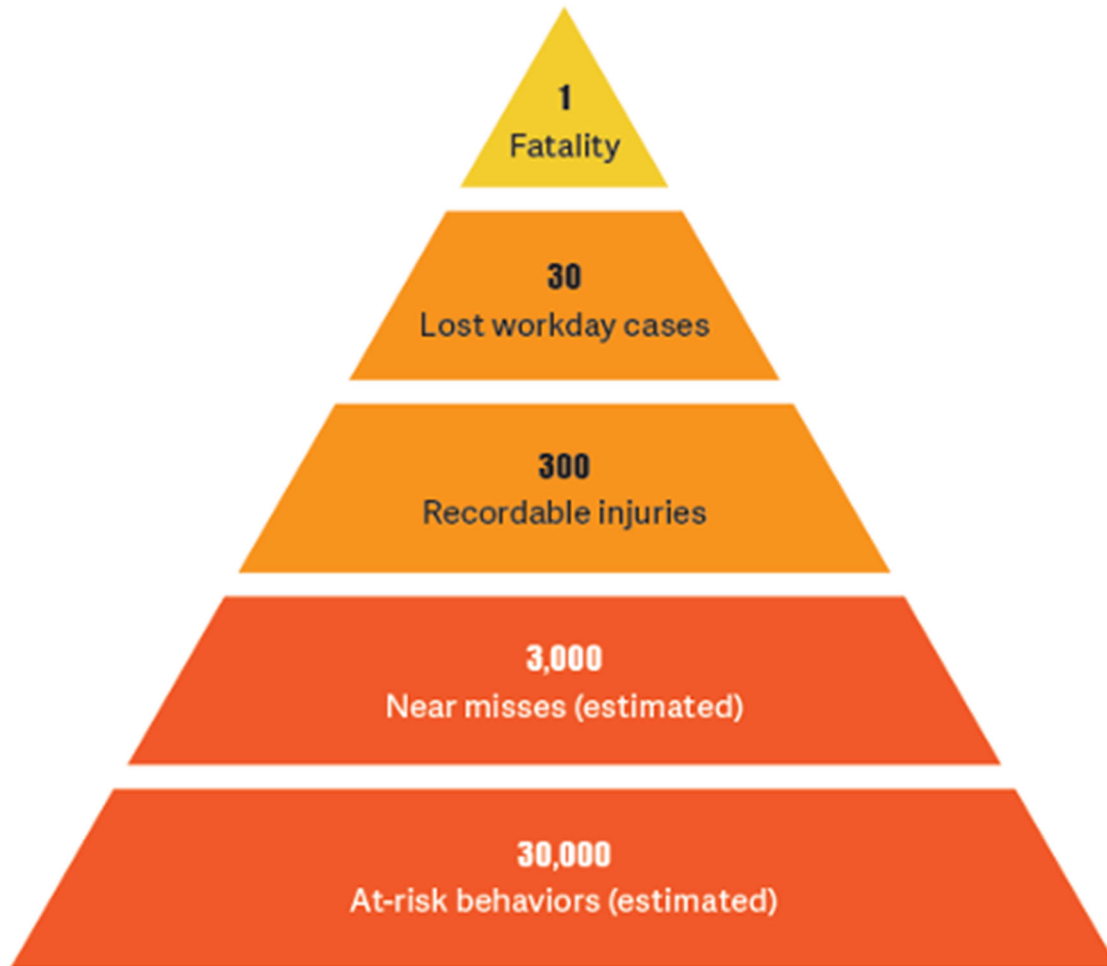


Figure 1: ConocoPhillips Marine Safety Pyramid, 2003

**7.2 Safety Risk Assessment:** It's the quantification expressed in terms of: predicted

probability and severity of the consequences of a hazard. The process involves analyzing the likelihood of a consequence occurring (probability) and evaluating the seriousness of a consequence, if it does occur (severity).

- **Safety Risk Probability** – It's the frequency or the likelihood of an occurrence in the life cycle of the system. Below is the Safety Risk Probability Table.

**Safety Risk Probability Table**

PROBABILITY LEVELS			
Description	Level	Specific Individual Item	Fleet or Inventory
Frequent	A	Likely to occur often in the life of an item	Continuously experienced
Probable	B	Will occur several times in the life of an item	Will occur frequently
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times
Remote	D	Unlikely, but possible to occur in the life of an item	Unlikely, but can reasonably be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item	Unlikely to occur, but possible
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

The measuring goes from A to F with A being frequent or likely to occur frequently and E being improbable or expected that this event will most likely never occur. The designation F is used when potential hazards are identified and later eliminated. (Note this table has been taken from the TSI Participant Guide – SMS Principles for Transit).

- **Safety Risk Severity** – It's an assessment of the damaging potential of the consequence. This must be done within the scope of worst-case but credible condition – not simply worst-case condition. Below is the Safety Risk Severity Table.

**Safety Risk Severity Table**

<b>SEVERITY CATEGORIES</b>		
<b>Description</b>	<b>Severity category</b>	<b>Mishap Result Criteria</b>
Catastrophic	1	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M
Critical	2	Could result in one or more of the following: permanent partial disability injuries or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding \$1M but less than \$10M
Marginal	3	Could result in one or more of the following: injuries or occupational illness resulting in one or more lost work day(s), reversible moderate environmental impact, or monetary loss equal to or exceeding \$100K but less than \$1M.
Negligible	4	Could result in one or more of the following: injuries or occupational illness not resulting in a lost work day, minimum environmental impact, or monetary loss less than \$100K.

The safety risk severity table includes four categories to denote the level of severity of the occurrence of a consequence, the meaning of each category, and the assignment of a value to each category using numbers. In this table, 1 is considered catastrophic meaning possible deaths and equipment destroyed and 4 is considered negligible or of little consequence with two levels in between. (Note this table has been taken from the TSI Participant Guide – SMS Principles for Transit).

**7.3 Safety Risk Mitigation:** It involves evaluating the risk based on the Safety Risk Matrix and recommending appropriate mitigations. This is achieved by combining the safety risk probability and severity into the safety risk index. This step allows to complete evaluation of the acceptability of the safety risk. This will also help prioritize

safety risks. The Safety Risk Matrix and Safety Risk Index are shown as below.

### Safety Risk Matrix

MIL-STD-882E	Safety Risk Assessment Matrix			
Severity Probability	Catastrophic	Critical	Marginal	Negligible
	1	2	3	4
A – Frequent	1A	2A	3A	4A
B – Probable	1B	2B	3B	4B
C – Occasional	1C	2C	3C	4C
D – Remote	1D	2D	3D	4D
E – Improbable	1E	2E	3E	4E
F – Eliminated				

### Safety Risk Index Ranking

1A, 1B, 1C, 2A, 2B	High	Unacceptable
1D, 2C, 3A, 3B	Serious	Undesirable – with management decision required
1E, 2D, 2E, 3C, 3D, 3E, 4A, 4B	Medium	Acceptable – with review by management
4C, 4D, 4E	Low	Acceptable – without review

The mitigations may include engineering controls or administrative controls or both. The engineering controls may include redesign or designing the hazard out, installing safety devices, interlocks or warning systems and the administrative controls may include writing new rules & procedures, training or use of Personal Protective Equipment (PPE). The risk must be mitigated if ranked as unacceptable. Those risks that have been mitigated, even those mitigated risks shown as acceptable status (green) must undergo regular and consistent monitoring to ensure the mitigation strategy is effective.

### Approach to Hazard Elimination and Mitigation

If the safety risk associated with an identified hazard requires correction, mitigation efforts will occur. Risk mitigation is a solution that reduces the likelihood and/or severity of consequences of the hazard. If mitigation is recommended, FAST uses a hierarchical approach to eliminate or reduce the safety risk associated with the hazard:

- 1) Design for minimum risk**
- 2) Use of safety devices**
- 3) Use of warning devices**
- 4) Provide special procedures and training**
- 5) Provide Personal Protective Equipment (PPE)**

### **Design for Minimum Risk**

When designing for minimum risk, there should be provisions in all designs to identify and eliminate hazards through appropriate safety and security design concepts. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities. Design provides mitigation to the lowest practical risk level for hazards not eliminated.

### **Use of Safety Devices**

After design, the use of fixed, automatic, or other protective safety devices may reduce remaining hazards to an acceptable risk level. These safety devices are critical system elements and will be inspected and maintained as such.

### **Use of Warning Devices**

When design and safety devices cannot effectively mitigate hazards, use of warning devices may provide timely detection of the activated hazard and generate adequate warning signals to alert persons of the hazard. Design of warning signals shall minimize the probability of incorrect reaction to the warning by employees or other individuals. These warning devices are critical system elements and will be inspected and maintained as such.

### **Provide Special Procedures and Training**

Where it is impossible to adequately mitigate hazards through design, safety devices, or warning devices, written procedures and training are used to either reduce the probability of the hazard occurring, reduce the severity of the hazard if it does occur, or both, so that an acceptable risk level is achieved.

### **Provide Personal Protective Equipment (PPE)**

When design, safety devices, warning devices, written procedures and training cannot effectively mitigate hazards; PPE may be used to achieve an acceptable risk level. The use of PPE ensures employees wear the proper protective clothing, gloves, safety glasses, ear protection, etc for the job.

The risk response strategy for a safety risk of high, serious, or medium level is presented to the Transportation Manager who may accept, modify, or reject the recommendation. Upon modification or rejection of the recommendation, appropriate staff will further analyze, determine strategy and recommend other actions until final

approval by the Transportation Manager. Referral of the approved risk response strategy is directed to the responsible department for implementation. After the risk response strategy is implemented, the safety risk is re-evaluated for acceptability or the need for further mitigation.

## 8.0 Safety Assurance

Safety Assurance is one of the four pillars of SMS. It ensures that processes within FAST's Safety Management System have been implemented and are effective in mitigating risks and that FAST meets or exceeds its safety objectives through the collection, analysis, and assessment of information. Safety assurance constantly interacts with SRM. It helps agency safety performance is in line with safety objectives and targets. It ensures safety mitigation activities are being implemented and they are appropriate and effective. It helps safety performance monitoring and measurement.

### Safety Performance Monitoring and Measurement

Safety performance monitoring and measurement include the following activities:

- **Monitor compliance with, and sufficiency of, FAST's procedures for operations and maintenance.** Biweekly meetings are conducted with the Contractor to review operations and discuss operational issues, policies and procedures. If revisions are needed, FAST works with Contractor staff to revise, review and submit for approval and forward to Operator. Revised policy and/or procedure will be added or adjusted in the FAST procedures book.
- **Monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.** FAST reviews all accidents and incidents reported via our Email Notification System. Contractor is required to enter into system which generates an email for immediate notification. Ongoing communications occur with the Contractor's Operations Manager, Safety Manager and Road Supervisors to address such issues. These items are also discussed during the Bi-Weekly meeting with contractor.
- **Monitor safety related information reported through internal reporting programs.** The notification system described above, as well as a review of the Incident Report is done upon receipt. FAST also reviews Safety Manager's log to ensure all incidents are reported.
- **Review Operator Chargeable versus Non-chargeable accidents.** Contractor does this per their policies. FAST reviews all accidents and requests follow up as to outcomes (driver counselled, retrained, suspended or terminated).
- **Review Operator Rule-book violations.** As part of contract oversight FAST uses a check list to ensure compliance in all areas of service delivery as outlined in the contract, including safety. Contractor is required to enforce rule book compliance by its operators.
- **Review Operator Training Program.** Approved Contractor Training Syllabus (Appendix E) and conduct drop ins on training sessions and attend Safety Meetings.

- **Review Transit Supervisor Training Program.** Review is included in contract oversight check list. Modifications to program to be agendaized at bi weekly contractor meetings.
- **Review Accident Investigation Program.** Review is included in contract oversight check list. Modifications to program to be agendaized at bi weekly contractor meetings.
- **Review Operator Monthly Post Accident Review Committee process.** Review is included in contract oversight check list. Modifications to program to be agendaized at bi weekly contractor meetings.
- **Review operational data for Operators on-time performance.** Solutions for Transit reporting system has proven to be an effective tool. Each run is reviewed on a weekly basis for revenue hour/time entry adherence by driver – first pick up to last drop off and cross checked with our NextBus vehicle location software.
- **Review Fleet Maintenance Plan and if bus maintenance performed as per PMs.** Review monthly completed PM list.
- **Review data for mean distance between major mechanical failures.** Reviewed monthly.
- **Review Facilities Maintenance Plan and if maintenance performed as per PMs.**
- **Review State of Good Repair and Transit Asset Management Plan activities.**
- **Review employee safety reporting program.** Staff from Transportation and Fleet participate in the Safety Committee. Also part of the review process of safety reporting with Contractor's Safety Manager.
- **Review results of surveys/studies/tests, conducted to improve safety or reliability.** Utilize transportation news feeds from transportation focused organizations such as CalAct, California Transit Association, APTA, to collect information and investigate applicability to system. Determine implementation strategies and schedule accordingly.
- **Review efforts to follow through with FTA safety advisories, NTSB recommendations and peer review sessions/conferences and workshops.** Similar to above, FAST utilizes transportation news feeds from FTA, NTSB and other Transportation focused organizations such as CalAct, California Transit Association, APTA, to collect information and investigate applicability to system; then determine implementation strategies and schedule accordingly.
- **Check on the appropriateness and effectiveness of past mitigation strategies.** To be conducted as part of annual update of PTASP.
- **Review action items from safety inspection of facilities and six monthly inspections of Fuel Island areas.** This is part of the Safety Checklist items – and City Risk Manager also reviews the City portion. This is part of Bi-Weekly meetings.
- **Review record of new employee/new hire safety training.** CHP Safety Audit includes review of Drug and Alcohol Testing and Safety Training. FAST receives



the Audit report and communicates findings with Contractor and Fleet and verifies necessary corrective action is taken.

- **Review implementation of agency's Drug & Alcohol Program & post-accident testing.** Conducted through Annual MIS data reporting, including an annual audit of the process and testing procedures at the testing facility.
- **Review activities of Injury and Illness Prevention Program (IIPP).** Conducted as part of Safety Committee meetings.
- **Review training records of IIPP and PTASP/SMS.** Conducted as part of Safety Committee meetings See Appendix F for forms.
- **Review Development & implementation of PTASP/SMS.** Conducted annually
- **Review Annual Safety Audit/review process of PTASP/SMS.** Conducted annually.
- **Review FAST participation in emergency preparedness drills internally and/or with outside agencies, cities and counties.** A review has been conducted resulting in building better relationships with the cities , counties and other agencies within the FAST service area and improving the ability of FAST to be used as a resource in times of need.
- **Review safety goals, objectives/targets and safety performance indicators.** Performed quarterly with Contractor and Fleet Maintenance department.

### **Drive Cam Process**

Drive Cam is used to enhance operator safety. This applies to all employees who operate agency vehicles or perform work on behalf of the City. The purpose is to provide a standard to remediate improper driver behaviors. The goal is to proactively identify unsafe behaviors and improve them through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

All DriveCam events will be reviewed and evaluated for compliance with the policies and defensive driving standards. Drivers found acting in an improper and/or unsafe manner shall be coached towards behavior improvement and if necessary retrained and/or disciplined.

The heart of the Drive Cam program is the counseling and retraining process. In order to have a positive effect on driver behavior, events must be viewed and counseled daily, and corrective actions must be taken in a timely manner. A counseling session will be scheduled with the Operator at the very first opportunity. The event will be reviewed with Operator and explained how to prevent unsafe driving acts and perform safe driving acts using the Smith System and other defensive driving techniques received during his/her training. The operator will sign the DriveCam Event Log form and it will be filed in the operator's personnel file.

## Investigation of Safety Events to Identify Causal Factors

A safety event is any accident, incident, or occurrence. FAST conducts investigations of safety events to identify causal factors according to the following chart.

Safety Assurance Process	If yes, then...
<b>Safety Event Investigations</b>	
Causal factors identified?	Evaluate factors through Safety Risk Management
Information collected?	Use to monitor and measure through Safety Assurance Process

### Operations

FAST has a “zero” tolerance for preventable injuries and collisions.

Elimination of preventable injuries and collisions is the number one goal. Any injury, collision or incident that occurs is investigated to determine preventability or nonpreventability.

Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured

The data collection process includes:

- Defining the Event & What to Do
- Accidents– Defining the Accident
- “Five Cardinal Rules That Apply to an Accident”
- Operator Responsibility
- Dispatcher on Duty Accident Investigation Responsibility

Management reviews the data collected to determine if the accident/incident was preventable or non-preventable and to identify measures to reduce the risk of the accident/incident occurring in the future. When causal factors are identified through investigation, the hazards will be evaluated through the Safety Risk Management process. Information collected from investigations will be used to monitor and measure through other Safety Assurance processes.

### Facilities

All maintenance and administration employees are required to immediately report and document accidents, incidents, and occurrences. The Occupational

Incident/Injury/Illness Investigation Report is used to investigate reported accidents, incident, and occurrences. Root cause analysis is documented during the investigation. When causal factors are identified through investigation, the hazards will be evaluated through the Safety Risk Management process. Information collected from investigations will be used to monitor and measure through other Safety Assurance processes.

## 9.0 Safety Promotion

Safety Promotion is the remaining pillar of SMS to cover. Safety promotion is an important part of the safety management system, setting the tone for the PTASP/SMS and helping to establish and maintain a robust safety culture. Safety Promotion has two-components: (1) Safety Communication; and (2) Competencies and Training. Some of the key elements of Safety Communication, and Competencies & Training are shown as below:

**Safety Communication:** Ongoing safety communication is critical, and it should occur–up, down and across all levels. Any lessons learned should be communicated to all concerned. Management commitment to resolve safety concerns & hazards should be communicated on a regular basis. One of management's most important responsibilities under PTASP/SMS is to encourage and motivate employees to communicate openly, authentically and without concern for reprisal. Safety communication is the heart and soul of a successful PTASP/SMS. Ensure employees are aware of the PTASP/SMS. Convey safety critical information such accidents, injuries and reported hazards and their resolutions. Tools used to support safety communication include:

- Safety boards updated monthly
- Safety notices as needed
- Bi-monthly safety meetings
- Bi-monthly safety incentive programs
- Seminars and workshops
- New employee training and refresher training
- Intranet or social media
- Monthly safety committee meetings

**Competencies and Training:** The executive management is responsible and committed to ensure that all employees attend the training provided to understand their specific roles and responsibilities for the implementation of PTASP/SMS. All employees must acquire the competencies and knowledge for the consistent application of their skills as they relate to safety performance objectives. All employees, supervisors, managers, and senior management must have a good understanding of the following:

### **All Employees:**

- Understanding of safety performance targets
- Understanding of fundamental principles of PTASP/SMS
- Understanding of safety reporting program – Reporting unsafe conditions & hazards/near miss
- Understanding of their individual roles & responsibilities for PTASP/SMS

### **Managers and Supervisors**

- Understanding of Safety Risk Management
- Understanding of Safety Assurance
- Understanding of Safety Promotion
- Understanding of their individual roles & responsibilities for PTASP/SMS

**Senior Management:**

- Understanding of management commitment and support to all activities of PTASP/SMS.

## **Additional Information**

All relevant documents will be maintained for at least three years after they are created and will be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction.

### **The following documents informed the development of this PTASP.**

City of Fairfield Facility and Equipment Maintenance Plan February 2019

City of Fairfield Injury and Illness Prevention Program 2014

City of Fairfield Facility Safety Audit Form

City of Fairfield Facility Emergency Response Plan for Fairfield/Vacaville Train Station

City of Fairfield Facility Emergency Response Plan for Fairfield Transportation Center

MV Transportation Safety Management System Plan

MV Transportation Classroom Training Syllabus

MV Transportation Driver Skills Evaluation and Refresher Training Form

MV Transportation Safety Training Record

MV Transportation Report of Unusual Incident

MV Transportation 2020 Division Safety Action Plan

MV Transportation GM Monthly Facility Audit

MV Transportation Training Record

## **References:**

1. 49 Code of Federal Regulation Part 673
2. U.S. Department of Transportation, Federal Transit Administration, MAP-21
3. Military Standard 882E
4. Federal Transit Administration. SMS "Dear Colleague Letter". May 13, 2013
5. SMS Principles For Transit – Participant Guide – Federal Transit Administration
6. Employee Reporting Program – Fairfield and Suisun Transit – IIPP Program
7. FTA Workshop on PTASP

## Definitions of Special Terms Used in this Plan

**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.

**Accountability:** A statement of what an individual is required to achieve, directly or through those to whom the individual has delegated responsibility, with regard to the operation of the SMS.

**Accountable Executive:** A unique and identifiable individual within the organization with ultimate responsibility and accountability for the implementation and maintenance of the organization's PTASP/SMS.

**Consequence:** Potential outcome(s) of the hazard.

**Event:** Means any Accident, Incident, or Occurrence.

**Hazard:** Condition or object (always present) with the potential of causing injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function.

**Hazard Analysis:** Formal activities to analyze potential consequences of hazards during operations related to provision of services.

**Hazard Identification:** Formal activities to identify hazards during operations related to provision of services.

**Human Factors:** Refers to applied technology comprising principles that apply to equipment design, certification, training, operations, and maintenance, which seek safe interface between the human and other system components by proper consideration to human performance.

**Human Performance:** Human capabilities and limitations that have an impact on the effectiveness and efficiency of operations related to provision of services.

**Implementation Plan:** A road map describing how the service provider intends to close the existing gaps by meeting the objectives and expectations in the PTASP/SMS Framework.

**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.

**Management System:** Resources and an organizational structure that support data-based, strategic decision making by an organization's senior management.

**MAP- 21:** The Moving Ahead for Progress in the 21<sup>st</sup> Century Act.

**Near Miss:** An event witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence.

**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.

**Operational System Description:** Analysis of operations to gain an understanding of critical operational interactions to identify hazards, or those that have been identified, as well as to identify the mitigations in place to safeguard against the consequences of hazards.

**Process:** A systemic and principled series of activities directed to some end.

**The Reason Model:** The Reason Model is a simple, yet graphically powerful model developed by Professor James Reason of the University of Manchester in England. The Reason Model provided a means for understanding how a mass transportation service delivery system operates successfully or drifts into failure. According to the Reason Model, accidents require the coming together of a number of enabling factors – each one necessary, but in itself not sufficient to breach system defenses.

**Responsibility:** Functions and duties that describe the purpose of what an individual is required to do with regard to the operation of the PTASP/SMS.

**Safety:** The state in which the potential of harm to persons or property damage during operations related to provision of services is reduced to, and maintained, at an acceptable level through continuous hazard identification and safety risk management activities.

**Safety Assurance:** SMS process that comprises activities to ensure that initial mitigation of consequences implemented during Safety Risk Management work as expected.

**Safety Deficiency:** A condition that is a source of hazards and/or allows for the perpetuation of hazards in time.

**Safety Event:** 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 NTD thresholds.

**Safety Goal:** A high-level, global, generic, and non-quantifiable statement regarding conceptual safety achievements to be accomplished by an organization regarding its safety performance.

**Safety Management Policy:** Succinct statement reflecting organizational commitment regarding the management of safety, including a clear statement about the provision of resources for safety management and the safety reporting procedures.

**Safety Management System (SMS):** The formal, top-down, organization-wide, data-driven approach to managing safety risk and assuring the effectiveness of safety risk mitigations. It includes systematic policies, procedures, and practices for the management of safety risk.

**Safety Performance:** An organization's safety effectiveness and efficiency, as defined by safety performance indicators and safety performance targets, measured against the organization's safety goals.

**Safety Performance Indicator:** A data-based, quantifiable parameter used for monitoring and assessing safety performance.

**Safety Performance Monitoring:** Activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through combination of safety performance indicators and safety performance targets/objectives.

**Safety Performance Target/Objective:** A planned or intended, quantifiable improvement for safety performance indicator over a given period.

**Safety Program:** Implements in-practice strategic decisions regarding priorities in the allocation of resources for safe and efficient service delivery operations, i.e., SMS; generated, data-based strategic decisions are implemented in practice through safety programs.

**Safety Promotion:** A combination of training and communication of safety information to support the implementation and operation of a PTASP/SMS in an organization.

**Safety Reporting Program:** A reporting system that allows employees to report safety concerns and near misses/close calls in the interest of improving safety. The reporting can be done anonymously.

**Safety Risk:** The assessment, expressed in terms of predicted probability and severity, of the consequence(s) of a hazard taking as reference the worst foreseeable – but credible – situation.

**Safety Risk Evaluation:** Formal activities to determine safety risk probability and severity, i.e., the probability and severity of potential consequence(s) of hazards, and to assess the tolerability of such consequence(s).

**Safety Risk Management:** PTASP/SMS process that comprises activities aimed at identification of hazards in the operational environment and initial mitigation of their consequences.

**Safety Risk Mitigation:** Formal activities to control the probability or severity of the potential consequence(s) of hazards during operations related to provision of services.

**Safety Risk Probability:** The likelihood that the consequence might occur, taking as reference the worst foreseeable – but credible – condition.

**Safety Risk Severity:** The anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable – but credible – condition.

**Serious Injury:** Means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; (5) Involves second – or third-degree burns, or any burns affecting more than 5% of the body surface.

## **List of Acronyms Used in this Plan**

**ALARP** – As Low As Reasonably Practical

**APTA** – American Public Transportation Association

**CEO** – Chief Executive Officer

**CHP** – California Highway Patrol

**DOT** – Department of Transportation

**ESRP** – Employee Safety Reporting Program

**FTA** – Federal Transit Administration

**MPO** – Metropolitan Planning Organization

**PTASP** – Public Transportation Agency Safety Plan

**SMS** – Safety Management Systems

## **Supporting Documents/Appendices**

**Appendix – A: FAST Organization Chart and MV Organization Chart**

**Appendix – B: City of Fairfield Employee Safety Information Form and MV Unusual Incident Report**

**Appendix – C: Employees Report of Injury, Supervisors Report of Injury**

**Appendix – D: City of Fairfield Monthly Safety Audit Form and MV Monthly Safety Audit Form**

**Appendix – E: City of Fairfield Individual Employee Training Document and MV Training Syllabus**

**Appendix – F: MV Training record and Driver Skills Evaluation**