

MOUNTAIN MOBILITY

Buncombe County's Community Transportation Program



PASSENGER, VEHICLE AND SYSTEM

SAFETY PROGRAM PLAN



Adoption Date: July 20, 2004
Revised April, 2010

SECTION 1 – DRIVER/EMPLOYEE SELECTION

Operations Employee Requirements

General Requirements

The following requirements apply to operations employees who serve in the operation of Mountain Mobility services, including drivers, dispatchers, child transportation aides, fleet manager, and trainer. The term "driver" shall include any employee authorized to drive a transit vehicle. Training may be required of other Mountain Mobility employees if/as required by state and federal regulations. Buncombe County will conduct whatever investigations are necessary to ascertain compliance with these requirements on all employees prior to employment.

- a. All employees shall have a criminal background check in Buncombe County and in any other county in which the employee resides if they do not live in Buncombe County.
- b. Drivers and child transportation aides who transport children to day care centers shall be fingerprinted and have a local criminal background check.
- c. All drivers shall have a valid Class B license or other designated license as required by the Division of Motor Vehicles for the operation of equipment used in services, including Commercial Drivers License if so required.
- d. All drivers shall have at least two (2) years of driving experience, and all employees shall be at least eighteen (18) years of age or older.
- e. No driver shall have more than four (4) accrued points for motor vehicle violations pursuant to Section 20-16 of the North Carolina General Statutes (available upon request) during the two (2) years immediately preceding their hire date, and at no time during their employment shall they accrue more than four (4) points for motor vehicle violations pursuant to Section 20-16 of the North Carolina General Statutes.
- f. No driver shall have committed, been convicted of, or pleaded guilty or no contest to any crime involving the driving of a vehicle resulting in the death of any person.
- g. No driver shall have been convicted of or pleaded guilty or no contest to driving under the influence of alcohol or a controlled substance during the three (3) years immediately preceding their hire date.
- h. No driver shall have at any time been convicted of or pleaded guilty or no contest to a charge of driving under the influence of alcohol or a controlled substance while operating a public conveyance.
- i. No driver shall have been convicted of or pleaded guilty or no contest to any other type of crime which would compromise the safety of any passenger.
- j. No driver shall have been convicted of or pleaded guilty or no contest to any crime involving neglect, abuse, or moral turpitude, or who is a habitually excessive user of alcohol or who illegally uses narcotic or other impairing drugs, or who is mentally or emotionally impaired to an extent that may be injurious to any passenger.

- k. All drivers shall pass applicable drug and alcohol tests, including pre-employment, reasonable cause, return to duty, post accident, and random testing, as mandated by Buncombe County and/or the Federal Transit Administration (FTA) or as required by other local, state, and/or federal regulations.

Compliance with Motor Carrier Safety Regulations

Buncombe County complies with regulations established by the U.S. Department of Transportation, Federal Highway Administration governing motor carrier drivers involved in intercity and interstate transportation of passengers. The rules establish minimum qualifications for persons who drive motor vehicles as, for, or on behalf of motor carriers. The rules also establish minimum duties of motor carriers with respect to the qualifications of their drivers. An overview of "Motor Carrier Safety Regulations" is provided in Attachment F. The overview also addresses applicability and compliance of Mountain Mobility drivers.

MOUNTAIN MOBILITY JOB DESCRIPTIONS FOR SAFETY SENSITIVE PERSONNEL/REVIEW DATES

- 1. TRANSIT DRIVERS- CONTINUOUSLY REVIEWED**
- 2. TRANSIT DISPATCHER- CONTINUOUSLY REVIEWED**
- 3. FLEET MANAGER- CONTINUOUSLY REVIEWED**
- 4. SAFETY MANAGER/TRANSIT TRAINER- CONTINUOUSLY REVIEWED**
- 5. OPERATIONS MANAGER- CONTINUOUSLY REVIEWED**
- 6. MOBILITY MANAGER- CONTINUOUSLY REVIEWED**
- 7. ADMINISTRATOR- CONTINUOUSLY REVIEWED**

1. TRANSIT DRIVER JOB DESCRIPTION

The transit driver job involves the safe operation of a transit vehicle; assisting passengers from door to door; securing wheelchairs and other assistive devices properly and securely; and completing information on a driver schedule/manifest with required trip information. Employees will undergo an initial training period and receive annual refresher training. Training provided includes, but is not limited to first aid; adult and infant CPR; emergency treatment plans; vehicle training including inspections, communications equipment, securement of child restraint devices; defensive driving; passenger relations; safety; anti-drug and alcohol misuse education programs; and sensitivity training. Drivers are assigned daily schedules to provide service in accordance with established procedures.

EXAMPLES OF WORK:

The transit driver operates a specialized vehicle to provide transportation to individuals to get to appointments and to access health care or other community services. Mobile communication equipment will be utilized to maintain correspondence between the Mountain Mobility base and the vehicle. If applicable, this job may include work associated with attending to children on vehicles.

KNOWLEDGE, SKILLS AND ABILITIES:

The ideal candidate should have a working knowledge of geographical layout of Buncombe County as to location of streets, important buildings, and other destinations. The ideal candidate should also have working knowledge of the operation of mobile radio equipment. Transit drivers must have the ability to bend, stoop, pull and get in and out of vehicle frequently.

DESIRABLE EXPERIENCE AND TRAINING:

The ideal candidate must possess a valid license as required for the operation of vehicles used in service; must have at least two years' driving experience and be at least eighteen years of age.

ADDITIONAL INFORMATION:

Prior to being hired, potential employees must adhere to pre-employment screening processes such as a drug screening and the authorization of a criminal background check. Once hired the employee must commit to following FTA mandated laws and regulations.

2. TRANSIT DISPATCHER JOB DESCRIPTION

Work involves receiving incoming calls related to the dispatch and control of vehicles and providing accurate and timely transmittal of information regarding schedules and services, including possible emergencies, accidents, and incidents. Work involves using a computerized routing and scheduling software program to monitor vehicles and trips. After an initial, supervised training period, employees are assigned a shift to receive calls and dispatch vehicles in accordance with established procedures. Employee must use considerable independent judgment and initiative, including responses in emergency situations, and must be properly acquainted with service requirements and responsibilities. Assists with overall office operations.

EXAMPLES OF WORK:

Operates a specialized communication system. Uses telephone and computer programs.

KNOWLEDGE, SKILLS AND ABILITIES:

Working knowledge of geographical layout of the county as to location of streets, important buildings, and other destinations. Working knowledge of the operation of communication equipment. General knowledge of computer systems and ability to learn routing and scheduling software program. General knowledge of related communication commission regulations.

DESIRABLE EXPERIENCE AND TRAINING:

Some experience in clerical or communication work. Graduation from high school; or an equivalent combination of experience and training. Must be at least eighteen years of age or older; must have no criminal record. Drug-Free Workplace.

ADDITIONAL INFORMATION:

Prior to being hired, potential employees must adhere to pre-employment screening processes such as a drug screening and the authorization of a criminal background check. Once hired the employee must commit to following FTA mandated laws and regulations.

3. FLEET MANAGER JOB DESCRIPTION

Work involves the provision of or arrangement for transit fleet management in accordance with NCDOT and FTA requirements or regulations. Specific fleet management responsibilities include, but are not limited to, preventative maintenance, corrective maintenance, and warranty maintenance. Work involves using computerized programs to monitor vehicles, trips, maintenance, and other operational statistics, review of inspection reports, evaluation of vehicle fleet for performance, and scheduling vehicle maintenance, vehicle body repairs, repairs to communication equipment, etc., as well as follow-up evaluations and documentation. Employee must use considerable independent judgment and initiative, and must be properly acquainted with service requirements and responsibilities.

EXAMPLES OF WORK:

Provides or arranges coordination with vehicles manufacturers or 3rd party maintenance providers to ensure all Mountain Mobility vehicles meet or exceed recommended maintenance standards. Employee uses communication system, telephone, and computer programs to coordinate maintenance efforts.

KNOWLEDGE, SKILLS AND ABILITIES:

Working knowledge of geographical layout of the county as to location of streets, important buildings, and other destinations. Experience in training in applicable subject areas. Knowledge of vehicle maintenance and repairs and ability to coordinate maintenance and repair with outside vendors. Working knowledge of the operation of communication equipment. General knowledge of computer systems and ability to learn routing and scheduling software program and spreadsheets. General knowledge of related communication commission regulations.

DESIRABLE EXPERIENCE AND TRAINING:

Must be licensed and hold all certificates necessary for training, or be able to obtain such within six months of employment. Experience with vehicle maintenance and repair. Some experience in clerical work. Graduation from high school; or an equivalent combination of experience and training. Must be at least eighteen years of age or older; must have no criminal record. Drug-Free Workplace.

ADDITIONAL INFORMATION:

Prior to being hired, potential employees must adhere to pre-employment screening processes such as a drug screening and the authorization of a criminal background check. Once hired the employee must commit to following FTA mandated laws and regulations.

4. SAFETY MANAGER/TRANSIT TRAINER JOB DESCRIPTION

Work involves the provision of or arrangement for transit training in accordance with NCDOT and FTA requirements or regulations. Specific training responsibilities include, but are not limited to, the safe operation of a transit vehicle; securing wheelchairs and other assistive devices; completion of manifest and other required documentation; adult and infant CPR; emergency treatment plans; vehicle training including inspections, communications equipment, securement of child restraint devices; defensive driving; passenger relations; safety; anti-drug and alcohol misuse education programs; and sensitivity training. Work involves conducting on-road planned and random evaluation of driver performance and quality monitoring. Work involves follow-up evaluations and ongoing documentation related to training activities. Employee must use considerable independent judgment and initiative, and must be properly acquainted with service requirements and responsibilities.

EXAMPLES OF WORK:

Provides or arranges for training for new hires, retraining, and recertification as applicable. Uses communication system. Uses telephone and computer programs.

KNOWLEDGE, SKILLS AND ABILITIES:

Working knowledge of geographical layout of the county as to location of streets, important buildings, and other destinations. Experience in training in applicable subject areas. Working knowledge of the operation of communication equipment. General knowledge of computer systems and ability to learn routing and scheduling software program and spreadsheets. General knowledge of related communication commission regulations.

DESIRABLE EXPERIENCE AND TRAINING:

Must be licensed and hold all certificates necessary for training, or be able to obtain such within six months of employment. Some experience in clerical work. Graduation from high school; or an equivalent combination of experience and training. Must be at least eighteen years of age or older; must have no criminal record. Drug-Free Workplace. Federal drug and alcohol testing performed.

ADDITIONAL INFORMATION:

Prior to being hired, potential employees must adhere to pre-employment screening processes such as a drug screening and the authorization of a criminal background check. Once hired the employee must commit to following FTA mandated laws and regulations.

5. OPERATIONS MANAGER JOB DESCRIPTION

- Performs technical, administrative, and professional work involving Mountain Mobility operations and services.
- Work involves initiating and executing programs and activities in assigned areas. Includes coordination of state and federal grant programs and activities.
- Direct supervision of all Mountain Mobility's operations employees including drivers, dispatchers, fleet manager, and safety manager/transit trainer.
- Direct supervision of Mountain Mobility's scheduling department to ensure logical and efficient routes are being built while maintaining quality customer service.
- Direct supervision of Mountain Mobility's FTA mandated substance abuse management and compliance program.
- Indirect supervision of remaining administrative staff while the administrator is present. Direct supervision of remaining administrative staff while the administrator is absent.
- Supervision may also be exercised over subordinate technical personnel on an assigned project.
- Assists in providing liaison communications with agencies, passengers, the community, and County officials and staff.
- Responsible for preparing reports and other documents as needed.
- Assists with development and enforcement of applicable regulations, policies and procedures.
- Assists in coordinating the overall components of Mountain Mobility and promotes and publicizes the transportation system.

- Conducts public meetings and prepares public presentations.
- Assists in the implementation of general planning projects.
- Maintains records and prepares periodic and special reports. Prepares charts, maps, graphs, and other illustrative material for meetings.
- Assists in documenting information related to state and federal grant programs and activities.
- Uses communication system, telephone and computer programs.
- Manages multiple tasks simultaneously.
- Assists and performs related work as required.

DESIRABLE EXPERIENCE AND TRAINING:

Considerable knowledge of governmental programs, laws, grants and services pertinent to rural and urban planning. General knowledge of management techniques, research techniques, and reporting methods. Experienced in transit planning, management and operations. Ability to express ideas effectively orally and in writing. Ability to establish and maintain effective working relationships as necessitated by work assignment. General knowledge of geographical layout of the county as to location of streets, important buildings, and other destinations. Requires flexibility to work alternate schedules as needed.

Graduation from a four-year college or university with major course work in planning or a related field, or an equivalent combination of experience and training.

6. MOBILITY MANAGER JOB DESCRIPTION

- Provides lead worker responsibilities associated with administrative staff and daily responsibilities, including:
 - Oversight management of the CTP's computerized routing and scheduling system, other software, hardware, back-up systems and services, including computerized tape drivers, answering machines, etc.;
 - Assistance in providing or arranging for the provision of training to County staff and employees of providers related to customer services, sensitivity training and awareness, etc.;
 - Coordination and arrangements for meetings, conferences, or workshops;
 - Reporting facility or equipment maintenance needs;
- Makes decisions related to the mobility of passengers served through the Community Transportation Program (CTP) to ensure that the most efficient and effective mode of transportation is identified and offered by the CTP.
- Receives and processes service complaints or concerns and assists in making recommendations for improvements. Maintains records and prepares responses for service concerns and complaints to ensure they are addressed in a responsible and corrective manner.
- Coordinates activities with other transportation systems and regional non-emergency medical transportation representatives related to the coordination of out-of-county transportation needs.
- Provides administrative responsibilities associated with intake, eligibility, certification, authorization, and registration of clients and passengers served through the Community

Transportation Program (CTP). Maintains and submits database records used for state and other reporting purposes.

- Interprets and explains program policies and procedures and disseminates information to the general public. Answers inquiries related to transportation services.
- Distributes tickets purchased for fares and processes revenues according to established procedures.
- Processes transportation forms for children and updates emergency information on passengers at least every six-months. Disseminates information as necessary.
- Assists with provider performance assessments and compliance activities, including observation of vehicles, drivers, equipment, etc. Assists in monitoring standards and specifications for ongoing compliance.
- Participates in the planning, development, and implementation of services offered through the CTP.
- Maintains departmental files and records; compiles and prepares reports and other data from such records.
- Attends meetings and training opportunities as appropriate, available, or required.
- Performs related work as required.

DESIRABLE EXPERIENCE AND TRAINING:

Considerable experience in transportation or a related field. Graduation from high school supplemented by considerable experience in administrative work, including office management; computer capabilities and knowledge of record-keeping requirements of government-funded programs; or an equivalent combination of experience and training.

7. ADMINISTRATOR JOB DESCRIPTION:

- Assists in the overall direction of the County's Community Transportation Program (CTP) in accordance with federal, state, and local policies and procedures.
- Provides daily, on-site direction for and supervision of the activities of County employees engaged in the performance of duties at Mountain Mobility.
- Performs various personnel management duties which include evaluating subordinate's performance and reviewing their performance appraisals; granting annual and other leave; and consulting with supervisors concerning disciplinary problems of subordinates
- Oversees program development for the CTP, including the restructure of existing programs and services and the development and implementation of new programs and services. Makes contacts with potential contracting agencies to develop new service contracts, etc.
- Works with County staff and system operations staff to ensure good relationships and communication between staff members, agencies, and clients served.
- Monitors performance of operations, including contract assessments, daily observations, contractual compliance, drug and alcohol program requirements, etc.; participates in assessments of Mountain Mobility by contracting agencies and organizations.
- Provides staff support and services to the Buncombe County Transportation Advisory Board and Board of Commissioners.
- Assists in the coordination of planning and implementation requirements of Buncombe County's Community Transportation Improvement Plan.

- Assists in research, analysis, and preparation of policies, procedures, recommendations, reports, presentations, marketing, etc., regarding transportation programs and services.
- Prepares reports on driver training, employee development, accidents, incidents, and other statistical information related to the CTP as required by federal, state, and local agencies.
- Confers with County Administration and with appropriate department and unit heads concerning transportation-related issues.
- Assists in the preparation of annual budget for the department and monitoring of expenditures of the department.
- Attends meetings, training sessions, etc., to maintain current knowledge of the transportation industry; keeps County informed of changes.
- Performs related work as required.

DESIRABLE EXPERIENCE AND TRAINING:

Considerable experience in transportation planning. Graduation from a four-year college or university with major course work in business administration, public administration, or a related field; or an equivalent combination of experience and training.

MOUNTAIN MOBILITY PROCEDURES FOR SELECTING A SAFE DRIVER

When hiring vehicle operators, Mountain Mobility requires driver candidates undergo the following:

- Completed Employment Application
- Successful Completion of Interview Process
- Reference Check if Needed
- Completion of Pre-employment Personnel Forms
 - Forms Must Reflect the Truth of Employment and Personal History
- Submission of driving record (five years)
 - Driving Record must be free of major offenses
- Pre-employment drug testing
 - Must pass

MOUNTAIN MOBILITY PROCEDURES FOR TRAINING A SAFE DRIVER

(REFER TO SECTION 2 FOR A DETAILED DESCRIPTION OF TRAINING PROGRAM)

- Basic training in driver skills
- Defensive driving skills training
- ADA Requirement Training (Wheelchair Lift and Securement)
- Bloodborne Pathogens/Exposure Control Plan
- Emergency Procedure Training (Evacuating)
- Illegal Drug Use
- First Aid and CPR Certification
- Customer Sensitivity Training
- Refresher driver training (if applicable)

MOUNTAIN MOBILITY PRE-EMPLOYMENT PERSONNEL FORMS

***THE FOLLOWING FORMS MUST BE COMPLETED PRIOR TO OFFICIALLY HIRING AN APPLICANT. COPIES ARE FOUND WITHIN THE FOLLOWING SECTION OF THE MOUNTAIN MOBILITY SSPP.**

- 1. AUTHORIZATION FOR BACKGROUND CHECK**
- 2. CERTIFICATION OF NO DRUG AND ALCOHOL TESTING BY PREVIOUS DOT-REGULATED EMPLOYER**
- 3. REQUEST/CONSENT FORM FOR THE RELEASE OF INFORMATION FROM PREVIOUS DOT-REGULATED EMPLOYERS FOR DRUG AND ALCOHOL TESTING INFORMATION – 49 CFR PART 40 DRUG AND ALCOHOL TESTING**
- 4. CONVICTION DISCLOSURE FORM**
- 5. SUBSTANCE ABUSE TESTING ACKNOWLEDGEMENT FORM**
- 6. SUBSTANCE ABUSE PROFESSIONAL ACKNOWLEDGEMENT FORM**
- 7. TRANSIT DRIVER'S DISCLOSURE FORM**

ADDITIONAL PERSONNEL FORMS REQUIRED BY MOUNTAIN MOBILITY

***THESE FORMS ARE COMPLETED AT THE CULMINATION OF INTRODUCTORY TRAINING COURSES AND ARE FOUND IN ALL PERSONNEL FILES. COPIES ARE NOT INCLUDED IN THE MOUNTAIN MOBILITY SSPP.**

- 1. SUBSTANCE ABUSE POLICY AND TRAINING ACKNOWLEDGEMENT**
- 2. CONFIDENTIALITY POLICY**
- 3. HARASSMENT POLICY**
- 4. HEPATITIS B VACCINATION**
- 5. MOTOR FUEL PURCHASE POLICY CERTIFICATION**
- 6. NEW EMPLOYEE INFORMATION**
- 7. TRANSPORTATION POLICIES AND PROCEDURES MANUAL ACKNOWLEDGEMENT FORM**
- 8. ACKNOWLEDGEMENT OF BLOODBORNE PATHOGENS TRAINING**
- 9. PASSENGER ASSISTANCE POLICY**
- 10. POSEY BELT TRAINING AND ACKNOWLEDGEMENT FORM**
- 11. WHEELCHAIR TRAINING AND ACKNOWLEDGMENT FORM**
- 12. CHILD CAR SEAT POLICY**
- 13. ATTENDANCE POLICY AND POINT SYSTEM AGREEMENT**



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MOUNTAIN MOBILITY
Buncombe County's Community Transportation System

Authorization for Background Check

I authorize Mountain Mobility and its designated agents to do a diligent and complete criminal background check on me in order to verify that I have no convictions for violence, drugs, sexual offenses, or any other convictions that would prohibit my employment with Mountain Mobility. I also authorize Mountain Mobility to do a complete reference check on my previous employers.

As part of the background check, and if required in the performance of duties with Mountain Mobility, I understand that I may be fingerprinted and that those fingerprints will be sent to the appropriate enforcement agencies for processing.

Signature: _____

Date: _____

Printed Name: _____



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MOUNTAIN MOBILITY

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Certification of No Drug and Alcohol Testing **By Previous DOT-Regulated Employers**

I understand that FTA regulations 49 CFR Part 40.25 require Buncombe County/Mountain Mobility to request information from DOT-regulated employers who have employed me during any period during the two years before the date of my application or transfer to Mountain Mobility.

I hereby certify that I have not been employed by any company or organization that was subject to DOT-regulated drug or alcohol testing requirements during any period during the past two years prior to my application date with Buncombe County/Mountain Mobility.

I further certify that I have not tested positive or refused to test on any pre-employment drug or alcohol test administered by an employer to which I applied, but did not obtain, safety-sensitive transportation work covered by DOT agency drug and alcohol testing rules during the past two years.

Signature: _____

Date: _____

Printed Name: _____



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MOUNTAIN MOBILITY

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Request/Consent Form for the Release of Information from Previous DOT-Regulated Employers for Drug and Alcohol Testing Information—49 CFR Part 40 Drug and Alcohol Testing

Section I. To be completed by the new employer, signed by the employee, and transmitted to the previous employer:

Employee Printed or Typed Name: _____

Employee SS or ID Number: _____

I hereby authorize release of information from my Department of Transportation regulated drug and alcohol testing records by my previous employer, listed in *Section I-B*, to the employer listed in *Section I-A*. This release is in accordance with DOT Regulation 49 CFR Part 40, Section 40.25. I understand that information to be released in *Section II-A* by my previous employer, is limited to the following DOT-regulated testing items:

1. Alcohol tests with a result of 0.04 or higher;
2. Verified positive drug tests;
3. Refusals to be tested;
4. Other violations of DOT agency drug and alcohol testing regulations;
5. Information obtained from previous employers of a drug and alcohol rule violation;
6. Documentation, if any, of completion of the return-to-duty process following a rule violation.

Employee Signature: _____ Date: _____

I-A.

New Employer Name: _____

Address: _____

Phone #: _____ Fax #: _____

Designated Employer Representative: _____

I-B.

Previous Employer Name: _____

Address: _____

Phone #: _____

Designated Employer Representative (if known): _____

Section II. To be completed by the previous employer and transmitted by mail or fax to the new employer:

II-A. In the two years prior to the date of the employee's signature (in Section I), for DOT-regulated testing ~

1. Did the employee have alcohol tests with a result of 0.04 or higher? YES ___ NO ___
2. Did the employee have verified positive drug tests? YES ___ NO ___
3. Did the employee refuse to be tested? YES ___ NO ___
4. Did the employee have other violations of DOT agency drug and alcohol testing regulations? YES ___ NO ___
5. Did a previous employer report a drug and alcohol rule violation to you? YES ___ NO ___
6. If you answered "yes" to any of the above items, did the employee complete the return-to-duty process? N/A ___ YES ___ NO ___

NOTE: If you answered "yes" to item 5, you must provide the previous employer's report. If you answered "yes" to item 6, you must also transmit the appropriate return-to-duty documentation (e.g., SAP report(s), follow-up testing record).

II-B.

Name of person providing information in *Section II-A*: _____

Title: _____

Phone #: _____



Date: _____

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MOUNTAIN MOBILITY
Buncombe County's Community Transportation System

Conviction Disclosure Form

Due to the sensitive nature of our business, Mountain Mobility is obligated to hire employees who are free from certain criminal convictions. As part of the application process, applicants are required to disclose in writing, any offense which he/she has been convicted of. Please answer all of the following questions below with either a yes or a no. Failure to disclose information, or any significant misstatement of the applicant's criminal history, shall disqualify any applicant from employment with Mountain Mobility.

1. Have you ever accrued more than four (4) driver license points for motor vehicle violations pursuant to North Carolina General Statutes Section 20-16(c) during the two years immediately preceding the date of your application?
Yes _____ **No** _____
2. Have you ever been convicted of, pleaded guilty or no contest to any crime involving the driving of a vehicle resulting in the death of any person
Yes _____ **No** _____
3. Have you ever been convicted of, pleaded guilty or no contest to a charge of operating a motor vehicle while under the influence of alcohol or a controlled substance during the three years immediately preceding the date of your application?
Yes _____ **No** _____
4. Have you ever been convicted of, pleaded guilty or no contest to a charge of operating a motor vehicle while under the influence of alcohol or a controlled substance while operating a public conveyance?
Yes _____ **No** _____
5. Have you ever been convicted of, pleaded guilty or no contest to any type of crime which would compromise the safety of a passenger (e.g., violence, robbery, embezzlement, personal injury or death, etc.)?
Yes _____ **No** _____
6. Have you ever been required to register as a sex offender under the laws of North Carolina or any other State?
Yes _____ **No** _____
7. Have you ever been convicted of or pleaded guilty or no contest to any crime involving neglect, abuse, or moral turpitude?
Yes _____ **No** _____

***Failure to disclose or falsifying this information
will result in the immediate disqualification of your application.***

Signature: _____

Date: _____

Printed Name: _____



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MOUNTAIN MOBILITY

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Substance Abuse Testing Acknowledgement Form

I understand that the Federal Transit Administration (FTA) regulations (49 CFR Part 655.41) require that all applicants for employment in safety-sensitive positions must be given pre-employment urine drug tests. An employee may not be hired or assigned to the safety-sensitive function unless they pass the pre-employment drug test. I understand that a positive pre-employment drug test will result in disqualification of my application.

Safety-sensitive positions include, but are not necessarily limited to: (1) Drivers; (2) Dispatchers; (3) Safety Trainers and (4) In-House Maintenance Personnel.

I further understand that if hired by Mountain Mobility, I will be subject to other drug and alcohol testing requirements under FTA regulations (49 CFR Part 655.21) and Buncombe County's Substance Abuse Policy. Tests will be conducted in the following circumstances: (1) Pre-employment; (2) Post-Accident; (3) Reasonable Suspicion; (4) Random; and (5) Return to Duty/Follow-Up.

I further understand that when a drug test is administered, as required under FTA regulations (49 CFR Part 655.21), the controlled substances that I will be tested for are: (1) marijuana; (2) cocaine; (3) opiates; (4) amphetamines and (5) phencyclidine (PCP).

In no way does passing or failing this test guarantee a right to employment with Mountain Mobility.

Signature: _____

Date: _____

Printed Name: _____

***Your application will be considered incomplete
if this notice is not signed and dated.***



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Substance Abuse Professional Acknowledgement Form **(FTA Regulations 49 CFR Part 655.16)**

49 CFR Part 655.62 requires employers to refer all safety sensitive employees who test positive or have a confirmed alcohol test of 0.04 or greater to a Substance Abuse Professional (SAP) for evaluation and treatment.

Mountain Mobility management will provide any of its employees with that need with the name, address and phone number of the Substance Abuse Professional.

Mountain Mobility is not responsible for any cost associated with that rehabilitation and treatment.

ACKNOWLEDGEMENT

I acknowledge receipt of information regarding substance abuse professional evaluations. I understand that Mountain Mobility is not responsible for any costs associated with rehabilitation and treatment that I undergo as a result of recommendations made by the substance abuse professional.

Signature: _____

Date: _____

Printed Name: _____

Transit Driver's Disclosure Form

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Effective September 13, 1997, all motor vehicle records are subject to the Federal Driver's Privacy Protection ACT (FDPPA) and General Statute (GS) 20-43.1. The FDPPA and GS 20-43.1 require that information in the Division of Motor Vehicle Record (MVR) be closed to the public. Personal Information from these records may be released to individuals or organizations that qualify under one of the fourteen exceptions listed on the back of this form. These exceptions are summarized statements of permissible uses.

.....

Name of Driver: _____

DL# _____ State if DL#: _____ Phone# _____

Address of Driver: _____

By signing this form, you are granting the company access to your personal information under exception number 13 of the FDPPA and GS 20-43.1.

Name of Company: _____

Signature of Driver: _____

Today's Date: _____

.....

My on this document acknowledges that I understand that improper release of information and/or false representation to gain information from DMV's records is prohibited and is subjected to civil action.

Name of Company: _____

Name of Contact/requester: _____

Date: _____ Phone#: _____

Signature of Contact Person: _____

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PASSENGER, VEHICLE AND SYSTEM

SAFETY PROGRAM PLAN



Adoption Date: July 20, 2004
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SECTION 2 – DRIVER AND EMPLOYEE TRAINING

Employee Requirements

Employee Professionalism and Performance

All employees must maintain a pleasant, courteous, professional demeanor at all times. Complaints of rudeness or unprofessional behavior will not be tolerated. Buncombe County reserves the right to remove any employee from any job if the employee's performance is detracting from the quality or efficiency of the service or for violation of policies established by Buncombe County.

Responsibility of Employees

- A. County employees are expected to keep a neat, well-groomed appearance while on duty.
- B. County employees are expected to be at work on time. In emergency cases you must notify your Supervisor immediately if you shall arrive late.
- C. County employees are expected to conduct themselves in a business-like manner, avoiding loud behavior or discussing personal problems within hearing range of visitors.
- D. County employees are responsible for their personal obligations and must handle them privately. Do not permit personal obligations to extend into business premises.
- E. Utilize materials and equipment with care, caution, and economy. Follow the procedures which you have learned step-by-step.
- F. Strive to perform your job duties more effectively each day. Learn more about your work and how to improve it by asking questions and by reading related materials. Ideas for suggested improvements are encouraged to be brought to your immediate supervisor and/or through the County Suggestion Program.
- G. County employees are part of the public relations image for Buncombe County. Be pleasant and helpful to visitors. Employees are servants of the people and should project a professional courteous and helpful attitude to all visitors and callers.
- H. County employees are expected to perform ethically.
- I. Resolve any problems and conflicts by going to the person to whom you are responsible. Departmental problems should remain in the department and not become general gossip.

(Excerpt from Buncombe County Personnel Ordinance.)

Gifts and Favors

- A. No official or employee of the County shall accept any gift, whether in the form of a service, a loan, a thing of value, or a promise from any person, firm, or corporation that,

in the employee's knowledge, is interested directly or indirectly in any manner whatsoever in business dealings with the County.

- B. No official or employee shall accept any gift, favor, or thing of value that may tend to influence that employee in the discharge of duties.
- C. No official or employee shall grant any improper favor, service, or thing of value in the discharge of duties.

Conflict of Interest

No manager, department head, supervisor or any employee may use their position, or the knowledge gained therein, in such a manner that a conflict between Buncombe County's interests and their personal interests should arise. Both the fact and the appearance of the conflicting interests are to be avoided.

Harassment Policy

Buncombe County expressly forbids harassment of employees because of age, race, sex, color, religion, handicap, national origin or political affiliation. Even in mild form, such harassment constitutes unacceptable personal conduct, and is subject to disciplinary action. More serious instances of harassment shall carry more serious penalties, up to and including dismissal. Sexual harassment of employees by supervisors or co-workers is forbidden in any form.

Harassment is behavior based on age, race, sex, color, religion, handicap, national origin, or political affiliation that offends another employee. Sexual harassment is defined by federal guidelines as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when one or more of the following occur:

- a. Submission to such conduct is made, either explicitly or implicitly, a term or a condition of an individual's employment,
- b. Submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or
- c. Such conduct has the purpose or the effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

An employee who believes he or she may have a complaint of harassment may pursue four alternative complaint procedures. If the complaint concerns allegations of sexual harassment, in order to be pursued, it is required by federal law to be filed within 180 days of the time of the alleged incident.

The following alternatives shall apply:

Alternative 1. The employee should tell the person who is offending him/her that the behavior is offensive and should stop. (Because offensive behavior often is not intended as harassment, letting the individual know that the behavior is offensive and instructing him/her to stop shall often resolve the problem.)

Alternative 2. The employee should notify his or her immediate supervisor of the situation. The immediate supervisor is responsible for investigating the situation and taking corrective action.

Alternative 3. If the complaint of harassment is against the immediate supervisor, the employee should report the situation to the department head. The department head is responsible for investigating the situation and taking corrective action. If the allegation is against the department head, the complaint should be reported to the Personnel Director, who shall then assume responsibility for investigating the situation and recommending appropriate corrective action to the County Manager.

Alternative 4. If at any point in the process the employee prefers to do so, he/she may report the situation to the Assistant County Manager, County Manager, or Personnel Director, who shall then assume immediate responsibility for investigating the situation and recommending appropriate corrective action to the County Manager.

Dress Standards

Mountain Mobility has established a singularly restrictive dress standard for operations personnel. All operations personnel are required to wear slacks or nice jeans, and a shirt bearing County identification/logo. Operations personnel shall be furnished two (2) shirts when hired. Socks or stockings must be worn. Shoes should not have open toes or heels more than two inches high. Sandals are not allowed. All employees shall appear neat and professional at all times.

All drivers shall wear name tags when performing transportation services. All staff shall wear name tags when attending public meetings. Name tags are available through management.

Employee Meetings and Training

All employees are subject to mandatory and optional meetings and training programs. Management will notify all employees of dates and attendance requirements.

Performance and Evaluations

Driver Ride Checks and Road Observations

All drivers shall be subject to ride checks and road observations without advance notice. Ride checks and road observations may be performed as needed for a variety of reasons including, but not limited to: to ensure that a driver is following laws, safety guidelines, and/or is using defensive driving practices; to ensure that a driver is following policy and/or other operating procedures; to monitor recordkeeping practices to ensure that paperwork is completed accurately

throughout the route; and to observe passenger behavior, route structure, or other service-related issues. Ride checks and road observations are conducted by the transit trainer/safety manager. During ride checks, the transit trainer/safety manager rides along on a driver's route as it is being performed. The driver may or may not be informed about ride checks in advance. During a road observation, the transit trainer/safety manager may follow the driver in a separate vehicle or may observe the driver from an observation point. Upon completion of a ride check or road observation, the transit trainer/safety manager will review any performance or service-related issues with the driver. Depending on the findings of a ride check or road observations, a driver may be required to improve performance or make other corrective actions in order to continue employment with Mountain Mobility.

All new operations employees will receive a ride check or road observation every 45 day throughout their first six months of employment with Mountain Mobility. All operations employees who have surpassed the 6 month probationary period will receive a ride check or road observation on an annual basis.

Performance Evaluation Process

At the completion of a new operations employee's first six months their performance will be evaluated by examining the results of their 45 day ride checks or road observations. This evaluation is conducted to ensure the employee is performing satisfactorily and to ensure the employee has achieved the level of knowledge, skills, and abilities necessary to perform their assigned responsibilities. At that time it will be determined if more training is needed to satisfy Mountain Mobility's performance requirements.

All tenured operations employees will be evaluated annually through the review of their annual ride check or road observation. At that time it will be determined if more training is needed to satisfy Mountain Mobility's performance requirements.

Employees also may undergo an informal review process at any time the transit trainer/safety manager or Operations Manager feels it is necessary due to unsatisfactory performance, including but not limited to complaints on the employee, inaccurate or fraudulent paperwork, motor vehicle or other violations of law, unauthorized use of County property or equipment, violation of any policy or procedure, and/or as the result of any accident or incident involving the employee.

At the completion of a ride check or road observation a completed evaluation form will be personally reviewed and signed by the employee, transit trainer/safety manager, and operations manager. The evaluation form will be stored in the employees training and personnel files.

**TRAINING PROGRAMS FOR DRIVERS
AND OTHER SAFETY SENSITIVE EMPLOYEES [*FTA/NCDOT MINIMUMS]**

- 1) Payroll, Personnel, & Attendance
- 2) Introduction & Orientation to Employee Manual
- 3) Passenger Sensitivity
- 4) Service Description & Passenger Guidelines
- 5) Harassment Policy
- 6) Workplace Violence Prevention
- 7) Hazardous Material Safety
- 8) Bloodborne Pathogens Exposure Control Plan*
- 9) Substance Abuse Policy*
- 10) Passenger Relations Policy
- 11) Aging Population
- 12) Special Needs Population
- 13) Americans with Disabilities Act*
- 14) Coach Operations*
- 15) Wheelchair Securement
 - a) Posey Belt Training
 - b) Elevated Training Pad
- 16) Lift Vehicle
 - b) Loading, Securement, and Unloading
 - a) Manual Lift Deployment
- 17) Transportation of Children
 - a) Infant and Child Restraints
- 18) Daily Vehicle Inspection
- 19) Radio Procedures and Vehicle Fuel Policy
- 20) Defensive Driving- Smith System Seminar*
- 21) Safe Driving Programs
 - a) Time & Distance
 - b) Railroad Crossings
 - c) Winter Snow & Inclement Weather
 - d) Distracted Driving
 - e) Vehicle Recovery Driving
- 22) Emergency Procedures*
 - a) Van Evacuation
 - b) Fire Extinguisher
 - c) Traffic Warning Triangles
 - d) Accident Response & Reporting
- 23) First Aid
- 24) CPR
- 25) Transit System Safety and Security
- 26) Electronic Manifest & GPS Mapping Device
- 27) Behind-the-Wheel Training
- 28) Vehicle Obstacle Course
- 29) Field Orientation
- 30) Cadet Training
- 31) Forms: Workman Compensation, Personnel History, Safety Points, Ready for Service



MOUNTAIN MOBILITY TRAINING SECTION

Buncombe County's Community Transportation System

BASIC DRIVER CLASS 96 HOURS – 31 LESSON PLANS

LESSON PLAN PREPARATION GUIDE

Step 1: Planning the Lesson

- **Instructional Materials**
 - PowerPoint presentation
 - Instructor notes
 - Other materials
- **Instructional Objectives**
 - Complete required topics
 - Complete optional topics
 - [Number] of participants
 - Active participation
 - Quiz or short evaluation
 - Ensure feedback
- **Guest Speakers/Presenters with Topics/Responsibilities**

Step 2: Presenting the Lesson

- Lesson Introduction
- Learning Objectives/Outcomes
- Planned Activities
- Discussion/Participant Interaction

Step 3: Evaluating Instruction

- Lesson
- Evaluation
- Comments

Step 4: References

- Standard
- Publications
- Reference Resource

Lesson Plan #1
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Payroll, Personnel & Attendance (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: I

This standard provides in written form the continuing instruction that a new temporary employee with Buncombe County will experience to begin employment.

INSTRUCTIONAL MATERIALS

1. BUNCOMBE COUNTY PERSONNEL AND FINANCE DOCUMENTS
2. MOUNTAIN MOBILITY POLICY AND PROCEDURES MANUAL
3. OFFICE SUPPLIES: CLIPBOARD, PEN, PENCIL, MARKER, PAD, TRAINING FILE AND MAILBOX
4. CLASSROOM: LECTURE STAND, CHAIRS, DESKTOP COMPUTER, TV, VCR, DVD PLAYER, PROJECTION SCREEN, DRY ERASE BOARD & MARKERS, CORKBOARD AND FILE CABINET

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN RELATE INFORMATION HOW TO BEGIN AS A NEW COUNTY TEMPORARY EMPLOYEE

SPEAKER(S)

1. COUNTY PERSONNEL CLERK
2. SAFETY TRAINER
3. OPERATIONS MANGER/TRAINING DIRECTOR
4. ADMINISTRATOR (CONTINGENT ON AVAILABILITY)

LESSON INTRODUCTION

1. THIS TRAINING IS A BRIEFING ON NEW EMPLOYEE WELCOME AND THEIR INITIAL QUESTIONS OR CONCERNS

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. PRODUCE COUNTY PHOTOGRAPH IDENTIFICATION WITH LANYARD/POCKET CLIPS
4. ENTERTAIN CLASS QUESTIONS/COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #2
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Introduction & Orientation to Manual (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: I-VIII.

This standard provides in written manual form (divided into sections and attachments) a policy and procedure for use by employees. It opens with a Mission statement and closes with Definitions & Acronyms use.

INSTRUCTIONAL MATERIALS

1. TRAINER'S MASTER TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. STUDENT/CADET DRIVERS ISSUED COPY OF P & P TRANSPORTATION MANUAL

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE INTRODUCTION AND ORIENTATION OF THEIR WRITTEN EMPLOYEE PERSONNEL MANUAL

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE ISSUED PERSONNEL MANUAL WILL ENABLE A STUDENT TO KEEP AND REFER TO IT AS A DEPENDABLE EMPLOYEE GUIDE

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. ISSUE STUDENT MANUALS FOR THEIR RETENTION
4. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #3
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Passenger Sensitivity (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:N.

This standard explains the fragile passenger/client population transported daily and the need for drivers to be sensitive in nature, both verbally and physically, with same.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. *MV TRANSPORTATION 'SENSITIVITY'* VIDEO
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE SENSITIVE NATURE OF WORKING WITH A DISABLED OR ELDERLY CLIENT/RIDER POPULATION

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE DESCRIPTIONS OF CLIENT/RIDER POPULATION INCLUDES THEIR PHYSICAL, MENTAL, AND SOCIAL ABILITIES, AND ALSO THE TIERED CATEGORIES OF TRANSPORTATION CARE PROVIDED FOR EACH ONE

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #4
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Service Description & Passenger Guidelines (1.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: II-III.

This standard provides the service description, community service routes, and passenger rights, behavior & responsibilities, as well as, complaints, comments & suggestion concerns.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. *STARTS* SERVICE VIDEO
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE LIMITATIONS AND ALLOWANCES OF SERVICE DESCRIPTION AND PASSENGER GUIDELINES

SPEAKER(S)

1. SAFETY TRAINER
2. ELIGIBILITY MANAGER

LESSON INTRODUCTION

1. TRAINING ON PASSENGER SERVICE GUIDELINES OF BUNCOMBE COUNTY WILL REVEAL RESTRICTIONS TO CERTAIN AREAS, DESTINATIONS, AND TRIPS DEPENDING ON ELIGIBILITY AND AVAILABILITY

CLASS PLANS

1. TRAINER LECTURE
2. MANAGER LECTURE
3. DISPLAY WRITTEN MANUAL
4. VIDEO PRESENTATION
5. DISPERSE HANDOUTS
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #5
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Harassment Policy (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: IV.

This standard expressly forbids harassment because of age, race, sex, color, religion, handicap, national origin or political affiliation.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HARASSMENT POLICY GOVERNING EMPLOYEES

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE HARASSMENT POLICY BEGINS BY DESCRIBING UNACCEPTABLE PERSONAL CONDUCT. SEXUAL HARASSMENT IS DEFINED BY FEDERAL GUIDELINES AS UNWELCOME SEXUAL ADVANCES

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #6
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Workplace Violence Prevention (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:L:SSP.

This standard describes the important adherence to the Employee Guideline Safety Policy concerning Workplace Violence: Prevention, Response and Recovery as required by FTA.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HARASSMENT AND EMPLOYEE SAFETY POLICIES

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW DRIVERS SHALL ADHERE TO WORKPLACE SAFETY POLICIES FOR VIOLENCE PREVENTION INCLUDE: SELF-CONTROL, COMMUNICATING, DIFFUSING, AND REPORTING.

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #7
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Hazardous Material Safety (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:L:SSP.

This standard describes the hazardous material program and hazardous identification resolution process in the employee workspace.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. *MATERIAL SAFETY DATA SHEETS*
5. *EMERGENCY RESPONSE GUIDEBOOK*

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE BY WHICH HAZARDS ARE IDENTIFIED THAT COULD POTENTIALLY IMPACT THE OPERATING SYSTEM ALONG WITH THE LOCATION OF THE 'RIGHT TO KNOW CENTER' CONTAINING THE EFFECTIVE *MATERIAL SAFETY DATA SHEETS*

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON DRIVER'S COMPLIANCE WITH ALL APPLICABLE REQUIREMENTS OF THE NATIONAL ENVIRONMENTAL ACT OF 1969, AND OTHER LAWS OR ORDERS, PROTECT THEM

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
3. DISPERSE HANDOUTS
4. TOUR 'RIGHT TO KNOW STATION' SHOWING HUMAN AND ENVIRONMENTAL PROTECTIONS
5. REVIEW COPY OF *EMERGENCY RESPONSE GUIDEBOOK*
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #8
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Bloodborne Pathogens Exposure Control Plan (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:D.

This standard is committed to providing a safe and healthy work environment for all staff by eliminating or minimizing occupational exposure to bloodborne pathogens.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. BLOOD PATHOGEN EXPOSURE CLEAN-UP KIT

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE ELEMENTS OF THE COUNTY EXPOSURE CONTROL PLAN INCLUDING CLEANUP

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE BLOODBORNE PATHOGEN EXPOSURE CONTROL PLAN, INCLUDING CLEANUP, INVOLVES: RISK ASSESSMENT, UNIVERSAL PRECAUTIONS, ENGINEERING AND WORK PRACTICE CONTROLS, PERSONAL PROTECTIVE EQUIPMENT, AND HOUSEKEEPING

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL WITH EXPOSURE CONTROL PLAN FROM *OSHA* STANDARD
3. VIDEO PRESENTATION
3. DISPERSE HANDOUTS
4. DESCRIBE UNIVERSAL PRECAUTIONS AND MATERIALS
4. SHOW CLEAN-UP KIT CONTENTS
5. DEMONSTRATE PERSONAL PROTECTIVE EQUIPMENT
6. TOUR BLOOD PATHOGENS HOUSEKEEPING STATIONS
7. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #9
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Substance Abuse Policy (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:M.

This standard describes the purpose of the Substance Abuse and Anti-drug & Alcohol Misuse Education Programs as effort to prevent substance abuse by safety-sensitive employees.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE SUBSTANCE ABUSE POLICY INCLUDING: TESTING REQUIREMENTS & PROCEDURES, AND EDUCATION & TRAINING PREVENTION

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON BUNCOMBE COUNTY'S SUBSTANCE ABUSE POLICY FOR SAFETY-SENSITIVE EMPLOYEES SATISFYS THE TRUST ITS CITIZENS HAVE IN ITS TRANSPORTATION SERVICES BY KEEPING ITS WORKPLACE FREE OF DRUG ABUSE AND ALCOHOL MISUSE

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL INCLUDING COUNTY POLICY BY RESOLUTION
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #10
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Passenger Relations Policy (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:E.

This standard prepares drivers to provide door-to-door transportation service to all passengers including limited package carry.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *SNAPP / PASS / EASTER SEALS*

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE WHICH EXPLAINS A PASSENGER IS THE MOST IMPORTANT PERSON IN OUR BUSINESS, AND OUR JOB IS TO HANDLE THEIR REQUIREMENTS SO PLEASANTLY AND HELPFULLY THEY WILL RIDE AGAIN

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THREE BASIC SKILLS THAT A TRANSIT DRIVER MUST PRACTICE IN PROFESSIONAL PASSENGER RELATIONS ARE: SAFE, RELIABLE AND EXPERT SERVICE, BEING COURTEOUS AND PATIENT, AND AVOIDING ARGUMENTS

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #11
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Aging Population (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:F.

This standard prepares drivers to assist in rural transit systems working with older seniors and recognize the normal versus abnormal aging process.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *NATIONAL ELDERCARE INSTITUTE 'GATE KEEPERS PROGRAM'*

INSTRUCTIONAL OBJECTIVES

EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE IMPORTANCE OF SPECIAL TRANSPORTATION FOR THE ELDERLY, AND HOW TO CONTEND WITH WHAT IS DESCRIBED AS NORMAL VERSUS ABNORMAL AGING, AND HOW TO HELP ALL RIDERS USE THE VAN COMMUNITY RESOURCE

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE FACT THAT PEOPLE ARE LIVING LONGER THAN EVER INDICATES NEW NEED FOR INCREASED TRANSPORTATION. PARTICIPATION IN THE NATIONAL '*GATE KEEPERS PROGRAM*' ALSO LETS OUR DRIVERS MONITOR REGULAR PASSENGER HEALTH CONDITIONS

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #12
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Special Needs Population (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:E.

This standard prepares drivers to assist in rural transit systems to accommodate passengers using special personal assist devices, either privately owned, or provided by this transit service.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *SNAPP / PASS / EASTER SEALS*

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HOW A TRANSIT DRIVER CAN EFFECTIVELY ASSIST PASSENGERS SUFFERING CHRONIC PAIN, USING PERSONNEL ASSISTANCE DEVICES, THOSE HAVING VISUAL, HEARING OR SPEECH IMPAIRMENTS, OR EVEN THOSE PRESENTING DEVELOPMENTAL DISABILITIES

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON COMMON SIGNS OF IMPAIRMENT AND OTHER DISABLING CONDITIONS CAN MAKE IT EASIER TO RECOGNIZE A CONDITION THAT LIMITS ONES MAJOR LIFE ACTIVITIES AND SUBJECT THEM TO THE NEED OF PUBLIC PARA-TRANSIT SERVICE

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #13
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: American with Disabilities Act (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:E.

This standard prepares drivers to provide safe and respectful assistance to passengers with disabilities in compliance with Americans with Disabilities Act of 1990.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *SNAPP / PASS / EASTER SEALS*

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE ABOUT THE AMERICANS WITH DISABILITIES ACT (ADA) AND HOW TO PROVIDE ACCESSIBLE PUBLIC TRANSPORTATION PURSUANT TO IT

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW PAST CITIZENS WITH DISABILITIES HAD INADEQUATE ACCESS TO TRANSPORTATION SERVICES REVEAL HOW SIMPLE CHANGES ALLOW THESE INDIVIDUALS TO NOW USE STANDARD PUBLIC ACCOMODATIONS

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #14
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Coach Operations: Passengers with Disabilities (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: III,V:H.

This standard prepares drivers to use the lift-van transit vehicle to provide personal customer service in compliance with Americans with Disabilities Act.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *EASTER SEALS*

INSTRUCTIONAL OBJECTIVES

THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THEIR OBLIGATION TO PROVIDE LEGALLY MANDATED TRANSPORTATION OPPORTUNITIES, AS WELL AS, PROFICIENT LIFT OPERATION FOR WHEELCHAIR PASSENGERS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON TRANSIT VANS AS PASSENGER SERVICE FOR THE DISABLED IS SIMILAR TO OTHER PUBLIC TRANSPORTATION METHODS AS A FEDERAL PROTECTED RIGHT FOR SERVICE

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #15
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Wheelchair Securement (3.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: III,V:E,H.

This standard prepares drivers to transport passengers who use common or motorized wheelchairs, and eligible motorized scooters.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *NC MOTOR VEHICLE LAW / SURE-LOK, INC.*
5. ELEVATED TRAINING PAD
6. COMMON WHEELCHAIR
7. SURE-LOK FLOOR RESTRAINTS
8. POSEY (NYLON WEB) RESTRAINING BELT

INSTRUCTIONAL OBJECTIVES

THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF PROPER SECUREMENT SYSTEMS FOR WHEELCHAIRS AND SCOOTERS AS: USING A 4-POINT WHEELCHAIR-TO-VEHICLE FLOOR ANCHOR, PLACING AN OCCUPANT-TO-VEHICLE SHOULDER/LAP BELT COMBINATION, AND OFFERING POSEY BELT USE

INSTRUCTIONAL TOPICS

- POSEY BELT TRAINING
- ELEVATED TRAINING PAD

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW A DISABLE RIDER CAN BE LEGALLY AND SAFELY SECURED IS ACCOMPLISHED BY DESCRIBING ON-BOARD EQUIPMENT SUCH AS: WHEELCHAIR FLOOR ANCHORS, LAP & SHOULDER SEATBELTS, AND RECOMMENDED POSEY BELTS

Continue Lesson Plan #15: Wheelchair Securement

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER DEMONSTRATION ON: ELEVATED TRAINING PAD, CLASSROOM FLOOR, AND BASE DRIVEWAY OF: WHEELCHAIR MOVEMENT, FLOOR RESTRAINTS, POSEY BELT USE, AND BUILDING AND RAMP TRAVERSE
7. STUDENT PRACTICE AND PROFICIENCY ON: ELEVATED TRAINING PAD, CLASSROOM FLOOR, AND BASE DRIVEWAY OF: WHEELCHAIR MOVEMENT, FLOOR RESTRAINTS, POSEY BELT USE, AND BUILDING AND RAMP TRAVERSE
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAM TO LEAD TO CERTIFICATION
2. DEMONSTRATE PRACTICAL PROFICIENCY COMPLETES CERTIFICATION

Lesson Plan #16
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Lift Operation (3.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: III,V:H.

This standard prepares drivers to load, secure, and unload a van, including use of the manual lift.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *BRAUN CORPORATION*
5. COMMON WHEELCHAIR
6. TRANSIT LIFT-VAN WITH FLOOR ANCHOR AND TRACKS

INSTRUCTIONAL OBJECTIVES

THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF SAFE WHEELCHAIR/VEHICLE LIFT OPERATION

INSTRUCTIONAL TOPICS

- VEHICLE LOADING, SECUREMENT, AND UNLOADING
- MANUAL WHEELCHAIR LIFT DEPLOYMENT

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON A LIFT-VAN USES THE REAR WHEELCHAIR LIFT, FLOOR ANCHORS, AND SOMETIMES THE MANUAL LIFT TOOL

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER DEMONSTRATION OF LIFT OPERATION AND WHEELCHAIR MOVEMENT
7. STUDENT PRACTICE AND PROFICIENCY OF LIFT OPERATION AND WHEELCHAIR MOVEMENT
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAM TO LEAD TO CERTIFICATION
2. DEMONSTRATE PRACTICAL PROFICIENCY COMPLETES CERTIFICATION

Lesson Plan #17
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Transportation of Children (3.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:G.

This standard encompasses child passenger transportation assistance, including car seats.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SHOW SUPPLEMENTAL GUIDES: *MOTOR VEHICLE LAW/ SCENERA & VOYAGER* MANUALS
5. SYSTEM-ISSUED CONVERTIBLE CHILD/INFANT SEAT AND SEPARATE CHILD BOOSTER SEAT
6. FLEET VAN

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF WHEN AND HOW TO TRANSPORT CHILDREN IN A TRANSIT VAN QUICKLY AND EFFICIENTLY USING SYSTEM PROVIDED SEATS

INSTRUCTIONAL TOPICS

- TRANSPORTATION OF CHILDREN
- USE OF INFANT AND CHILD RESTRAINTS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON INFANT AND CAR SEATS IS TO TRANSPORT CHILDREN AS PASSENGERS OR GUESTS

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER CLASSROOM AND VAN DEMONSTRATION OF PROPER SEAT(S) INSTALLATION
7. STUDENT CLASSROOM AND FLEET VAN PRACTICE AND PROFICIENCY OF SEAT(S) INSTALLATION
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #18
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Daily Vehicle Inspection (DVI) (2.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:H.

This standard is to comply with Federal mandated rules of lifetime van maintenance.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. *STARTS* INSPECTION VIDEO
3. HANDOUTS
4. SUPPLEMENTAL GUIDES - *MOUNTAIN MOBILITY 'DAILY VEHICLE INSPECTION'* PADS
5. FLEET VAN

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HOW AND WHY TO CONDUCT A LEGALLY MANDATED PRE-TRIP INSPECTION OF A PUBLIC PASSENGER CARRYING VEHICLE USING A PRESCRIBED FORM

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE '*DAILY VEHICLE INSPECTION*' FORM IS A TOOL TO HELP THE DRIVER QUICKLY AND EFFECTIVELY ACCOMPLISH A LEGAL INSPECTION AND DOCUMENT REPAIRS

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. COMPLETE DVI PRACTICE PADS IN CLASS AND SHOW OFFICE ROUTING
7. DEMONSTRATE PRACTICAL VEHICLE INSPECTION ON FLEET VAN WITH ADDITIONAL PRACTICE PADS
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #19
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Radio Procedures and Vehicle Fuel Policy (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:H.

This standard enables the driver to communicate clearly over the systems telecommunication network, and to comply with secure and accountable fuel purchases.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS- *MOUNTAIN MOBILITY 'GAS SHEET'*
4. SUPPLEMENTAL GUIDES - *MOUNTAIN MOBILITY 'DAILY VEHICLE INSPECTION' PADS*
5. NUMBERED FLEET GAS CARD AND MATCHING VAN-NUMBERED KEY FOB

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE ON HOW AND WHEN TO COMMUNICATE THROUGHTOUT THE DAY BY RADIO AND TELEPHONE SERVICE TO THE DISPATCH CENTER, AND HOW TO COMPLETE A VAN REFUELING AT RESTRICTED COMMERCIAL SERVICES.

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON RADIO COMMUNICATIONS IS NECESSARY FOR THE CONFIRMATION OF ADD-ON AND REMOVAL OF THE ELECTRONIC MANIFEST TRIPS, AND IT IS ALSO EMERGENCY VOICE COMMUNICATION. SEPARATELY, THE PRIORITY SERVICE THE TRANSIT VANS PROVIDE DAILY, AS WELL AS, *BUNCOMBE COUNTY Y EMERGENCY OPERATIONS PLAN* EVACUATION USE, REQUIRE A MANDATORY DAILY RE-FUELING

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. COMPLETE PRACTICE GAS SHEET WITH CREDIT CARD & KEY FOB AND SHOW OFFICE ROUTING
7. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #20
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Defensive Driving: *Smith System Seminar*@ (7.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:A.

This standard teaches the ‘*Space Cushion System*’ of driving which gives every driver the maximum amount of driving information soon enough to make proper driving decisions.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS- GUIDE CARDS
4. SUPPLEMENTAL GUIDES - *SMITH SYSTEM* BOOKLETS WITH ATTACHMENTS
5. FLEET VAN
6. 40 ORANGE TRAFFIC CONES AND 1 *D.O.T.* ORANGE & WHITE TRAFFIC BARREL (OPTIONAL)
7. HAND TRUCK & GLOVES

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE *SMITH SYSTEM* WHICH TEACHES A POSITIVE APPROACH TO PROTECTING DRIVERS FROM UNSAFE ACTIONS OF OTHER MOTORISTS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING SHOWS ALL TRAFFIC IS MERELY A GROUP OF INDIVIDUAL DRIVERS MANIPULATING THEIR VEHICLES ON COMMON STREETS – IT IS THEIR SPACE AND SPEED THAT CAUSES DANGER

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. COMPLETE *SMITH SYSTEM* SPECIALIZED INSTRUCTION INCLUDING: PRACTICAL FAMILARIZATION, DEMONSTATION, AND EVALUATION DRIVES WITH SEPARATE BACKING AND FOLLOWING TECHNIQUES
7. PRACTICAL DRIVING ON CONE COURSE IN (SOUTH) EMPTY FLEET VAN PARKING PAD
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION LEADS TO CERTIFICATION
2. DEMONSTRATE PRACTICAL PROFICIENCY COMPLETES CERTIFICATION

Lesson Plan #21
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Safe Driving Program (2.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:A.

This standard uses reviews of nationally approved driving courses to address local obstacles.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *EVOC*

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE ACCEPTING THE IDEA THAT GENERALLY MANEUVERING A VEHICLE IS NOT ENOUGH TO PREVENT ACCIDENTS - ANTICIPATION CAN

INSTRUCTIONAL TOPICS

1. TIME & DISTANCE
2. RAILROAD CROSSINGS
3. WINTER SNOW & INCLEMENT WEATHER
4. DISTRACTED DRIVING
5. VEHICLE RECOVERY DRIVING

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING TO BE A DEFENSIVE DRIVER WILL ENABLE YOU TO KEEP OUT OF KNOWN SITUATIONS WHERE IT WILL LIKELY TO TAKE EMERGENCY ACTION TO AVOID A COLLISION

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION

Lesson Plan #22
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Emergency Procedures (2.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:B.

This standard describes general guidelines regarding emergency situations that might arise.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HOW TO HANDLE ACCIDENTS, INCIDENTS, ILLNESS, FIRES, EVACUATIONS, BREAKDOWNS/TOWING, AND EMERGENCY FUEL SHORTAGES

INSTRUCTIONAL TOPICS

1. VAN EVACUATION
2. FIRE EXTINGUISHER
3. TRAFFIC WARNING TRIANGLES
4. ACCIDENT RESPONSE & REPORTING PACKET

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW TO RESPOND EFFECTIVELY IN THE EVENT OF AN EMERGENCY GIVES A DRIVER CONFIDENCE TO ACT WITH SKILL AND SUCCESS IN MOST ANY TRANSIT ACCIDENT OR INCIDENT

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #23
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: First Aid (2.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:C.

This standard teaches a nationally approved first aid certification course to employees.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *RED CROSS*
5. VAN-ISSUE FIRST AID KITS
6. CUSHIONED FLOOR MATS
7. ADDITIONAL FIRST AID BANDAGE / SPLINT SUPPLIES (OPTIONAL)

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE ON HOW TO RESPOND TO WORKPLACE EMERGENCIES WITH BASIC FIRST SKILL TO COMPLY TO STANDARDS OF ‘*CHECK, CALL, CARE*’

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON BASIC FIRST AID IN THE EVENT OF A MEDICAL EMERGENCY CAN GIVE ANY DRIVER THE CONFIDENCE TO HANDLE WITH SKILL AND SUCCESS MOST ANY TRANSIT ACCIDENT OR INCIDENT

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER DEMONSTRATES HANDS-ON FIRST AID CARE
7. STUDENT PRACTICES HANDS-ON FIRST AID CARE
8. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAM TO LEAD TO CERTIFICATION
2. DEMONSTRATE PRACTICAL PROFICIENCY COMPLETES CERTIFICATION

Lesson Plan #24
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Adult, Child, Infant CPR with Adult AED (5.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:C.

This standard teaches a nationally approved CPR certification course to employees

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. SUPPLEMENTAL GUIDES: *RED CROSS / AMERICAN HEART ASSOCIATION*
5. CPR ADULT AND INFANT TRAINING MANIKIN
6. CPR ADULT AND INFANT TRAINING FACE MASKS AND LUNGS
7. CUSHIONED FLOOR MATS
8. CLEANING SUPPLIES AND MASK WASHING CONTAINERS

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE ON HOW TO RESPOND TO WORKPLACE EMERGENCIES WITH CPR/AED SKILLS TO COMPLY STANDARDS OF 'CHECK, CALL, CARE'

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON CPR USE IN THE EVENT OF A MEDICAL EMERGENCY CAN GIVE ANY DRIVER THE CONFIDENCE TO HANDLE WITH SKILL AND SUCCESS MOST ANY TRANSIT ILLNESS OR INJURY

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION WITH MANIKINS
4. SHOW SUPPLEMENTAL GUIDES
5. TRAINER DEMONSTRATES PRACTICAL CPR CARE
6. STUDENT PRACTICES PRACTICAL CPR CARE
7. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAM TO LEADS TO CERTIFICATION
2. DEMONSTRATE PRACTICAL PROFICIENCY COMPLETES CERTIFICATION

Lesson Plan #25
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Transit System Safety & Security (1.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:L:SSP

This standard reviews the safety and security concerns in the County's operations under the Passenger, Vehicle, and System Program (SSP).

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF DISASTER READINESS, AS RECOMMENDED BY HOMELAND SECURITY, FOR ACTIVITIES FOR PREVENTION AND MITIGATION OF CRISIS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

IN THE EVEN OF A STATE OF EMERGENCY AND DISASTER IN BUNCOMBE COUNTY, *MOUNTAIN MOBILITY* IS AVAILABLE TO PROVIDE EMERGENCY TRANASPORTATION

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION: *FTA / ADA / DHS / OSHA*
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #26
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Electronic Manifest & GPS Mapping *Ranger* @ (4.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:I

This standard reviews the reading and completing of driver manifests/schedules, map reading and fare collection procedures using the *Ranger* Electronic Manifest & GPS Mapping System.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. VIDEO(S)
3. HANDOUTS
4. *RANGER* TRAINING MODULE
5. LINKED DESK-TOP OFFICE COMPUTER
6. *RANGER* EQUIPPED FLEET VAN

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF THE USE AND NOMENCLATURE OF THE *RANGER* ELECTRONIC MANIFEST & GPS MAPPING SYSTEM AND ITS LOCAL TRANSIT USE

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE *RANGER* REPLACES THE PAPER MANIFEST AND MAP BOOK. HOWEVER, SERVICE TO PASSENGERS SUPERCEDES EQUIPMENT ISSUES AND MUST DEPEND ON DRIVER JUDGEMENT

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER DEMONSTRATES *RANGER* TRAINING MODULE
7. STUDENT PRACTICES WITH *RANGER* TRAINING MODULE
8. TRAINER DEMONSTRATES *RANGER* VAN-INSTALLED MODULE
9. WITH TRAINER OBSERVING, STUDENTS PRACTICE *RANGER* VAN-INSTALLED MODULE

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #27
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Behind-the-Wheel Training [BTW] (8.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:N.

This standard provides general information and description of the student driver's Behind-the-Wheel [BTW] driving and passenger service with veteran employee.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. FLEET VAN
3. BTW REPORT FORMS AND FOLDERS

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE KNOWLEDGE OF HOW TO APPLY CLASSROOM SKILLS TO ROAD OPERATIONS

SPEAKER(S)

1. SAFETY TRAINER
2. OPERATIONS MANAGER
2. BTW TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE NEW EMPLOYEE RESPONSIBILITIES CONCLUDE WITH PRACTICAL DRIVING

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. ENTERTAIN STAFF QUESTIONS AND CONCERNS
4. ENTERTAIN CLASS QUESTIONS AND COMMENTS
5. ASSIGN A MINIMUM OF **THREE (3)** TRIP DAYS

EVALUATIONS

- 1) WRITTEN BTW TRAINING DRIVER'S REPORT:
 - a) BTW REPORT EVALUATION FORMS- **3**
 - b) VEHICLE INSPECTION FORM- **1**
 - c) SECUREMENT CHECKLIST FORM- **1**
- 2) STUDENT AS CADET DRIVER SUCCESSFUL DEMONSTRATES:
 - a) BTW OPERATION
 - b) VEHICLE INSPECTION
 - c) MOBILITY DEVICE SECUREMENT

Lesson Plan #28
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Vehicle Obstacle Course (4.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:A.

This standard provides opportunity for practice and observation of student driving on a slow-speed measured obstacle course

INSTRUCTIONAL MATERIALS

1. FLEET VAN
2. ORANGE CONES
4. ORANGE & WHITE BARREL
5. CLIPBOARD, MARKING SPRAY & CRAYON
6. YARDSTICK AND RULER

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE INFORMATION ON HOW TO MANUEVER ON CLOSED-COURSE A TRANSIT VAN AT “IDLE” SPEED, ACCURATELY AND DELIBERATELY, SIMULATING STOPS

SPEAKER(S)

1. SAFETY TRAINER
2. FELLOW CADET DRIVER

LESSON INTRODUCTION

1. TRAINING ON A CONE-COURSE DRIVING PAD WILL REPLICATE THE DIFFICULTY MANUEVERING A LARGE TRANSIT VAN IN CLOSE PARKING LOT AND DRIVEWAY STOPS

CLASS PLANS

1. DRIVE CONE COURSES
2. MEASURE CONE MOVEMENT AND VAN PROXIMITY
3. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #29
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Field Orientation (2.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:N.

This standard provides specific information and description of difficult service route stops.

INSTRUCTIONAL MATERIALS

1. FLEET VAN

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF DIFFICULT SERVICE STOPS PURSUANT TO ANECDOTAL OR DOCUMENTED DRIVER AND MANAGEMENT IDENTIFICATION

SPEAKER(S)

1. SAFETY TRAINER
2. FELLOW CADET DRIVERS

LESSON INTRODUCTION

1. TRAINING ON AND PREPARATION FOR DIFFICULT MANIFEST-MAPPED STOPS CAN BE AUGMENTED BY DRIVING TO KNOWN LOCATIONS AND EXECUTING PRACTICE STOPS

CLASS PLANS

1. INSTRUCT CADET DRIVER ON REPEATED, MULTIPLE, OR CONGESTED SERVICE STOPS
2. ENTERTAIN CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. DEMONSTRATE PRACTICAL PROFICIENCY

Lesson Plan #30
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Cadet Training 8.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:N.

This standard provides opportunity for general practice in application of service by co-driving a day's route with fellow students in the role of Cadet driver.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. COURSE SUPPLEMENTS, GUIDES, AND ATTACHMENTS
3. FLEET VAN

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE KNOWLEDGE OF EITHER SUCCESSFUL, OR DIFFICULT, SERVICE ROUTE AFTER CO-DRIVING WITH FELLOW CADET DRIVERS

SPEAKER(S)

1. TRAINER
2. OPERATIONS MANAGER/TRAINING DIRECTOR
3. FLEET MANAGER
4. DISPATCHER
5. FELLOW CADET DRIVER

LESSON INTRODUCTION

1. TRAINING ON EMPLOYEE DRIVER JOB MOVES FROM CLASSROOM TO PRACTICE ROUTE

CLASS PLANS

1. MANAGER ORIENTATION; EITHER WRITTEN, OR ORAL
2. COMPLETE AND ROUTE WRITTEN DAILY TRIP SUMMARY
3. ENTERTAIN CLASS CADET, TRAINER OR STAFF QUESTIONS AND COMMENTS

EVALUATIONS

1. DEMONSTRATE PRACTICAL PROFICIENCY
2. COMPLETE ACCURATE DAILY TRIP SUMMARY

Lesson Plan #31
Mountain Mobility Basic Driver Training Program (96 hours)

Topic: Workman Compensation, Personnel History Files, Safety Points and Ready for Service Release Forms (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: I-VIII.

This standard completes the Basic Driver Class and allows driving as a Probationary Employee after acknowledgment by signing of manual, policy and procedure documents.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL
2. ANY RELEVANT CLASS MATERIAL

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE INFORMATION FROM THE PREVIOUS 30 LESSONS THAT ALLOW DRIVING AS PROBATIONARY EMPLOYEE

SPEAKER(S)

1. SAFETY TRAINER
2. OPERATIONS MANAGER/TRAINING DIRECTOR

LESSON INTRODUCTION

1. TRAINING ON THE COMPLETION OF SERVICE RULE FORMS TO TRANSFER FROM CADET DRIVER TO PROBATIONARY EMPLOYEE

CLASS PLANS

1. TRAINER DISPERSAL
2. CADET COMPLETION
3. OPERATION MANAGER/TRAINER DIRECTOR RECEIPT & ACCEPTANCE
4. ENTERTAIN CLASS CADET, SAFETY TRAINER, OR MANAGER QUESTIONS AND COMMENTS

EVALUATIONS

1. COMPLETION OF ISSUED DOCUMENTS BINDING PROBATIONARY EMPLOYEE TO *MOUNTAIN MOBILITY* POLICY AND PROCEDURES



MOUNTAIN MOBILITY TRAINING SECTION

Buncombe County's Community Transportation System

ANNUAL REFRESHER DRIVER CLASS **14 HOURS – 11 LESSON PLANS**

LESSON PLAN PREPARATION GUIDE

Step 1: Planning the Lesson

- **Instructional Materials**
 - PowerPoint presentation
 - Instructor notes
 - Other materials
- **Instructional Objectives**
 - Complete required topics
 - Complete optional topics
 - [Number] of participants
 - Active participation
 - Quiz or short evaluation
 - Ensure feedback
- **Guest Speakers/Presenters with Topics/Responsibilities**

Step 2: Presenting the Lesson

- Lesson Introduction
- Learning Objectives/Outcomes
- Planned Activities
- Discussion/Participant Interaction

Step 3: Evaluating Instruction

- Lesson
- Evaluation
- Comments

Step 4: References

- Standard
- Publications
- Reference Resource



2010 SCHEDULED MANDATORY ANNUAL REFRESHER TRAINING COURSES

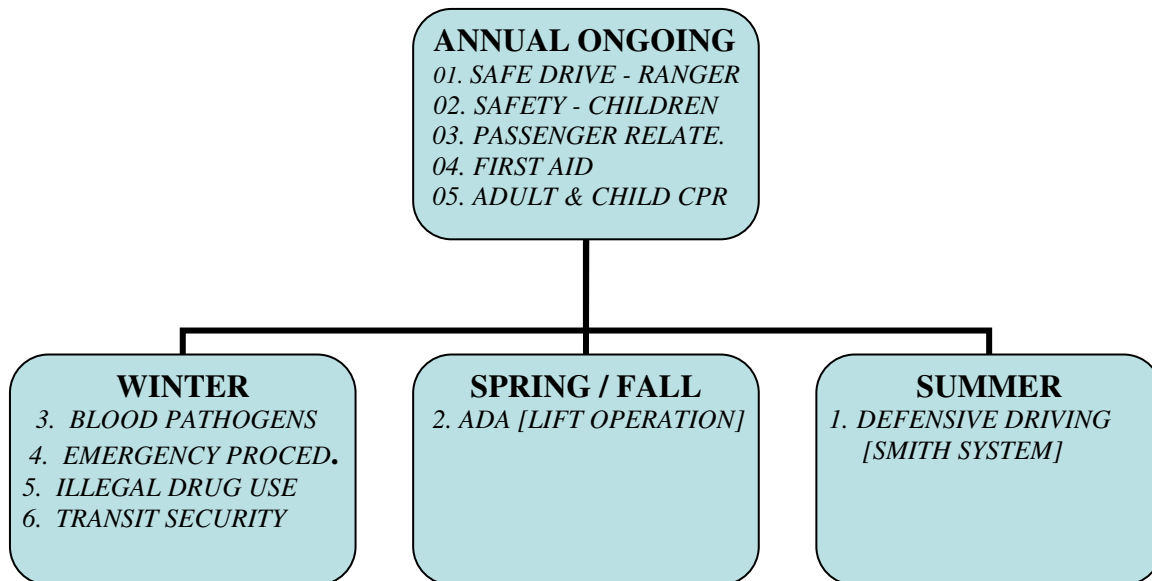
FEDERAL TRANSIT ADMINISTRATION MINIMUM TRAINING STANDARDS

1. Defensive Driving [Smith System]
2. Americans with Disabilities Act
3. Bloodborne Pathogens
4. Emergency Procedures for Vehicle Operators
5. Illegal Drug Use
6. Transit Security

BUNCOMBE COUNTY COMMUNITY TRANSPORTATION SERVICE

01. Safe Driving: Ranger@
02. Safety: Transportation of Children
03. Passenger Relations
04. First Aid
05. Adult and Infant CPR

14- HOUR ANNUAL REFRESHER TRAINING COURSES BY QUARTER



Lesson Plan #1
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Defensive Driving Review (4.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:A.

This standard teaches the *Space Cushion System* of driving which gives every driver the maximum amount of driving information soon enough to make proper driving decisions.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL- **UPDATED**
2. VIDEO(S) – [BACKING, CITY DRIVING, INTERSECTIONS, MOMENT OF IMPACT] - **CURRENT**
3. HANDOUTS - GUIDE CARDS - **REPLACEMENT**
4. SUPPLEMENTAL GUIDES - **LATEST**
5. FLEET VAN - **NEW**
6. 40 ORANGE TRAFFIC CONES AND 1 D.O.T. ORANGE & WHITE TRAFFIC BARREL (OPTIONAL)
7. HAND TRUCK & GLOVES

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF THE *SMITH SYSTEM* WHICH TEACHES A POSITIVE APPROACH TO PROTECTING DRIVERS FROM UNSAFE MOTORISTS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING SHOWING ALL TRAFFIC IS STILL A GROUP OF DRIVERS MANIPULATING THEIR VEHICLES ON COMMON STREETS, AND THEIR SPACE AND SPEED ARE DANGEROUS, IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. COMPLETE *SMITH SYSTEM* SPECIALIZED PRACTICAL INSTRUCTION
7. PRACTICAL DRIVING ON CONE COURSE IN (SOUTH) EMPTY FLEET VAN PARKING PAD
8. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY

Lesson Plan #2
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: American with Disabilities Act Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:E.

This standard prepares drivers to provide safe and respectful assistance to passengers with disabilities in compliance with Americans with Disabilities Act of 1990.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL- **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS - **REPLACEMENT**
4. SUPPLEMENTAL GUIDES: SNAPP / PASS / EASTER SEALS – **LATEST**

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE ABOUT THE AMERICANS WITH DISABILITIES ACT (ADA) AND HOW TO PROVIDE ACCESSIBLE PUBLIC TRANSPORTATION PURSUANT TO IT

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW PAST CITIZENS WITH DISABILITIES HAD INADEQUATE ACCESS TO TRANSPORTATION SERVICES, AND HOW SIMPLE CHANGES ALLOWED THESE INDIVIDUALS TO NOW USE STANDARD PUBLIC ACCOMODATIONS, IS VALID AND REQUIRED

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION

Lesson Plan #3
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Bloodborne Pathogens Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:D.

This standard is committed to providing a safe and healthy work environment for all staff by eliminating, or minimizing, occupational exposure to bloodborne pathogens.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS -**REPLACEMENT**
4. BLOOD PATHOGEN EXPOSURE CLEAN-UP KIT- **ISSUE**

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF THE ELEMENTS OF THE COUNTY EXPOSURE CONTROL PLAN INCLUDING CLEANUP

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE BLOODBORNE PATHOGEN EXPOSURE CONTROL PLAN, INCLUDING CLEANUP, INVOLVES: RISK ASSESSMENT, UNIVERSAL PRECAUTIONS, ENGINEERING AND WORK PRACTICE CONTROLS, PERSONAL PROTECTIVE EQUIPMENT, AND HOUSEKEEPING, IS VALID AND REQUIRED

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL WITH EXPOSURE CONTROL PLAN FROM OSHA STANDARD
3. VIDEO PRESENTATION
3. DISPERSE HANDOUTS
4. DESCRIBE UNIVERSAL PRECAUTIONS AND MATERIALS
4. SHOW CLEAN-UP KIT CONTENTS
5. DEMONSTRATE PERSONAL PROTECTIVE EQUIPMENT
6. TOUR BLOOD PATHOGENS HOUSEKEEPING STATIONS
7. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION

Lesson Plan #4
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Emergency Procedures for Vehicle Operators Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:B.

This standard describes general guidelines regarding emergency situations that might arise.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS - **REPLACEMENT**
4. SUPPLEMENTAL GUIDES - **LATEST**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF HOW TO HANDLE ACCIDENTS, INCIDENTS, ILLNESS, FIRES, EVACUATIONS, BREAKDOWNS AND CRITICAL FUEL SHORTAGES

INSTRUCTIONAL TOPICS

1. VAN EVACUATION
2. FIRE EXTINGUISHER
3. TRAFFIC WARNING TRIANGLES
4. ACCIDENT RESPONSE & REPORTING PACKET

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON HOW TO RESPOND IN THE EVENT OF AN EMERGENCY, GIVING A DRIVER CONFIDENCE IN THEIR SKILL AND SUCCESS IN MOST TRANSIT ACCIDENTS OR INCIDENTS IS, VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY

Lesson Plan #5
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Illegal Drug Use Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:M.

This standard describes the purpose of the Substance Abuse and Anti-drug & Alcohol Misuse Education Programs as effort to prevent substance abuse by safety-sensitive employees.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS - **REPLACEMENT**

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF THE SUBSTANCE ABUSE POLICY, INCLUDING: TESTING REQUIREMENTS & PROCEDURES, AND EDUCATION & TRAINING PREVENTION

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON BUNCOMBE COUNTY'S SUBSTANCE ABUSE POLICY FOR SAFETY-SENSITIVE EMPLOYEES SATISFYS THE TRUST ITS CITIZENS HAVE IN ITS TRANSPORTATION SERVICES, BY KEEPING ITS WORKPLACE FREE OF DRUGS AND ALCOHOL MISUSE IS, VALID AND REQUIRED

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL INCLUDING COUNTY POLICY BY RESOLUTION
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION

Lesson Plan #6
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Transit Security Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:L:SSP

This standard reviews the safety and security concerns in the County's operations under the Passenger, Vehicle, and System Program (SSP).

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS -**REPLACEMENT**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF DISASTER READINESS, AS RECOMMENDED BY HOMELAND SECURITY, FOR ACTIVITIES FOR PREVENTION AND MITIGATION OF CRISIS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

IN THE EVEN OF A STATE OF EMERGENCY AND DISASTER IN BUNCOMBE COUNTY, MOUNTAIN MOBILITY IS AVAILABLE TO PROVIDE EMERGENCYTRANASPORTATION IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION – *FTA, ADA, DHS, OSHA*
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY

[End FTA Minimum Training Standards]

Lesson Plan #01
Mountain Mobility Annual Refresher Training Program (14 hours)

Topic: Safety Driving - Ranger@ Operation Review (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V: I, L :SSP

This standard reviews the reading and completing of driver manifests/schedules, map reading and fare collection procedures using the *Ranger* Electronic Manifest & GPS Mapping system.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS – **REPLACEMENT**
4. SUPPLEMENTAL GUIDES - **LATEST**
4. *RANGER* EQUIPPED FLEET VAN- **NEW**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF THE USE AND NOMENCLATURE OF THE *RANGER* ELECTRONIC MANIFEST & GPS MAPPING SYSTEM AND ITS LOCAL USE

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THE *RANGER* HAS REPLACED THE PAPER MANIFEST. SERVICE TO PASSENGERS THAT SUPERCEDE EQUIPMENT ISSUES, AND DEPENDS ON DRIVER JUDGEMENT, IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. DRIVERS OPERATE *RANGER* VAN-INSTALLED MODULE WHILE TRAINER OBSERVES
7. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

- 1 INCLUDE TOPIC QUESTION(S) IN INSERVICE CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY

Lesson Plan #02
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Safety - Transportation of Children Review (.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:G.

This standard encompasses child passenger transportation assistance, including car seats.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS - **REPLACEMENT**
4. ISSUED CHILD/INFANT SEAT AND SEPARATE CHILD BOOSTER SEAT- **DEMONSTATION MODEL**
6. FLEET VAN - **NEW**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE OF WHEN AND HOW TO TRANSPORT CHILDREN IN TRANSIT QUICKLY AND EFFICIENTLY USING PROVIDED SEATS

INSTRUCTIONAL TOPICS

- TRANSPORTATION OF CHILDREN
- USE OF INFANT AND CHILD RESTRAINTS

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON INFANT AND CAR SEATS, TO TRANSPORT CHILDREN AS PASSENGERS OR GUESTS, LEGALLY AND SAFELY, IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. TRAINER AND STUDENT CLASSROOM AND VAN DEMONSTRATION OF PROPER SEAT(S) USE
8. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN INSERVICE CUMMULATIVE EXAMINATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY

Lesson Plan #03
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: Passenger Relations Review (1.0 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:E.

This standard prepares drivers to provide door-to-door transportation service to all Passengers, including limited package carry.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL – **UPDATED**
2. VIDEO(S) - **CURRENT**
3. HANDOUTS - **REPLACEMENT**
4. SUPPLEMENTAL GUIDES: EASTER SEALS – **LATEST**

INSTRUCTIONAL OBJECTIVES

1. EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE WHICH EXPLAINS A PASSENGER IS THE MOST IMPORTANT PERSON IN OUR BUSINESS, AND OUR JOB IS TO HANDLE THEIR REQUIREMENTS SO PLEASANTLY AND HELPFULLY THEY WILL RIDE AGAIN

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON THREE BASIC SKILLS THAT A TRANSIT DRIVER MUST PRACTICE IN PROFESSIONAL PASSENGER RELATIONS: SAFE, RELIABLE AND EXPERT SERVICE, BEING COURTEOUS AND PATIENT, AND AVOIDING ARGUMENTS, IS VALID AND REQUIRED

CLASS PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. DISPERSE HANDOUTS
5. SHOW SUPPLEMENTAL GUIDES
6. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDE TOPIC QUESTION(S) IN CUMMULATIVE INSERVICE EXAMINATION

Lesson Plan #04
Mountain Mobility Annual Refresher Driver Training Program (14 hours)

Topic: First Aid Review (1.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:C.

This standard teaches a nationally approved first aid certification course to employees.

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT.**
3. SUPPLEMENTAL GUIDES: *RED CROSS* - **LATEST**
4. VAN-ISSUE FIRST AID KITS - **NEW**
5. CUSHIONED FLOOR MATS - **STORED**
6. ADDITIONAL FIRST AID BANDAGE / SPLINT SUPPLIES (OPTIONAL) -**RESUPPLY**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE ON HOW TO RESPOND TO ACTUAL EMERGENCIES WITH FIRST AID SKILLS TO COMPLY TO STANDARDS OF ‘*CHECK, CALL, CARE*’

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON BASIC FIRST AID IN THE EVENT OF A MEDICAL EMERGENCY, GIVING ANY DRIVER THE CONFIDENCE TO HANDLE WITH SKILL AND SUCCESS MOST ANY TRANSIT ACCIDENT OR INCIDENT, IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION
4. SUPPLEMENTAL GUIDES
5. TRAINER DEMONSTRATES HANDS-ON FIRST AID CARE
6. STUDENT PRACTICES HANDS-ON FIRST AID CARE
7. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDING TOPIC QUESTION(S) IN INSERVICE CUMMULATIVE EXAM LEADS TO RE-CERTIFICATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY TO COMPLETE RE-CERTIFICATION

Lesson Plan #05
Mountain Mobility Annual Refresher Training Program (14 hours)

Topic: Adult, Child, Infant CPR Review (3.5 Hr.)

Overview of the Standard: Buncombe County Community Services Plan as Administered in Mountain Mobility Policy and Procedures Manual: V:C.

This standard teaches a nationally approved CPR certification course to employees

INSTRUCTIONAL MATERIALS

1. TRANSPORTATION POLICIES AND PROCEDURES MANUAL - **UPDATED**
2. VIDEO(S) - **CURRENT**
3. SUPPLEMENTAL GUIDES: *RED CROSS / AMERICAN HEART ASSOCIATION* - **LATEST**
4. CPR ADULT AND INFANT TRAINING MANIKIN - **SANITIZE**
5. CPR ADULT AND INFANT TRAINING FACE MASKS AND LUNGS - **SANITIZE**
6. CUSHIONED FLOOR MATS - **STORED**
7. CLEANING SUPPLIES AND MASK WASHING CONTAINERS - **PURCHASE**

INSTRUCTIONAL OBJECTIVES

1. THE EMPLOYEE CAN DESCRIBE RECALLED KNOWLEDGE TO RESPOND TO WORKPLACE EMERGENCIES WITH CPR/AED SKILLS TO COMPLY STANDARDS OF ‘*CHECK, CALL, CARE*’

SPEAKER(S)

1. SAFETY TRAINER

LESSON INTRODUCTION

1. TRAINING ON CPR IN THE EVENT OF MEDICAL EMERGENCY, GIVING A DRIVER CONFIDENCE TO HANDLE WITH SKILL AND SUCCESS MOST ANY TRANSIT ILLNESS OR INJURY, IS VALID AND REQUIRED

LESSON PLANS

1. TRAINER LECTURE
2. DISPLAY WRITTEN MANUAL
3. VIDEO PRESENTATION WITH MANIKINS
4. PRESENT SUPPLEMENTAL GUIDES
5. TRAINER DEMONSTRATES PRACTICAL CPR CARE
6. STUDENT PRACTICES PRACTICAL CPR CARE
7. ENTERTAIN RENEWED CLASS QUESTIONS AND COMMENTS

EVALUATIONS

1. INCLUDING TOPIC QUESTION(S) IN INSERVICE CUMMULATIVE EXAM LEADS TO RE-CERTIFICATION
2. DEMONSTRATE PRACTICAL RETRAINING PROFICIENCY TO COMPLETE RE-CERTIFICATION

[End Buncombe County Transportation Service Standards]



MOUNTAIN MOBILITY TRAINING SECTION

Buncombe County's Community Transportation System

REMEDIAL / PERIODIC / TEMPORARY TRAINING CLASS HOURS – LESSON PLANS TBA

LESSON PLAN PREPARATION GUIDE

Step 1: Planning the Lesson

- **Instructional Materials**
 - PowerPoint presentation
 - Instructor notes
 - Other materials
- **Instructional Objectives**
 - Complete required topics
 - Complete optional topics
 - [Number] of participants
 - Active participation
 - Quiz or short evaluation
 - Ensure feedback
- **Guest Speakers/Presenters with Topics/Responsibilities**

Step 2: Presenting the Lesson

- Lesson Introduction
- Learning Objectives/Outcomes
- Planned Activities
- Discussion/Participant Interaction

Step 3: Evaluating Instruction

- Lesson
- Evaluation
- Comments

Step 4: References

- Standard
- Publications
- Reference Resource



MOUNTAIN MOBILITY TRAINING SECTION

Buncombe County's Community Transportation System

MOUNTAIN MOBILITY BEHIND-THE-WHEEL (BTW) TRAINING DAYS SCHEDULE: TRAINER AND CADET RESPONSIBILITIES

The BTW Trainer's evaluation is crucial and indicates when the Cadet Driver has comprehended their duties and can be released, or needs more time to complete their training. This is determined by Demonstration, Coaching, and Observation.

DAY #1: TRAINER DRIVES - CADET OBSERVES.

- The BTW Trainer should concentrate on explanation and narration.
- Trainer will be provided with the Cadet's completed Classroom agenda.
- The Trainer and the Cadet should come in early to map-out the day's route using the computer Map Quest, grid Map book, or County Road Guide.
- The Trainer will conduct and explain a pre-trip Driver's Vehicle Inspection (DVI), including a proper radio check call. Final equipment adjustments, especially lift operability, should be made before leaving van base.
- Trainers insure Manifest preparation, add-on sheets, fare reconciliations, gas logs, and other attached pages will be completed.
- Route orientation, highway direction, and county road travel, with crossroad or reference locations, will be discussed.
- The Trainer will demonstrate the *first* wheelchair lift and securement; during others the Cadet will *assist* with lift, wheelchair and Sur-Lok hooks.
- Trainer will demonstrate proper child and infant seat installation
- Trainer will explain fuel-purchase and pump procedures.
- Trainer will demonstrate and encourage door-to-door passenger service.

Day #2: TRAINER AND CADET SHARE DRIVING -TRAINER COACHES

- Trainer and Cadet alternate driving, but Trainer completes manifest to allow Cadet to concentrate on safe vehicle operation using Smith System. Session will not include artificial addition of stressors by Trainer.
- Trainer's focus is on re-assurance through the pre-trip inspection, customer service, and monitoring radio traffic – coaching and suggestion as needed. Behind the wheel, the Cadet will describe and assist with routing.
- To familiarize the Cadet with county orientation, routes traveled should be regular and traditional - without shortcuts.
- When available, Cadet does *full* wheelchair or child seat securement.

DAY #3: CADETS PERFORMS - TRAINER OBSERVES ONLY

- **Cadet completes all operations without assistance. Trainer will interrupt only in emergencies or for apparent policy violations.**
- **Cadet will be shown route alternates and how to navigate side roads.**
- **The BTW Trainer or the Cadet will not sacrifice safety for schedule.**

Come in, look at the manifest, and make any drastic changes with the dispatcher complete DVI and leave. We generate a lot of paper work, but there is a repetition to it that generates successful completion. Acknowledge that the scheduling department cannot look at every schedule, so a driver will use common sense to complete difficult route. A driver will experience road observations or driver's inspections and are responsible personally for any traffic ticket you get since there is not expectation or allowance for it. Efficiency does not just mean on-time, but a safe and helpful trip. Experience road observations but if you get a traffic ticket you are not made to do it.

DEFENSIVE DRIVING REQUIREMENTS

DEFENSIVE DRIVING

Defensive driving is being continually alert to possible accident hazards around your vehicle and taking action to avoid these hazards. Driving defensively will prevent accidents in spite of the incorrect and/or unexpected actions of others and/or adverse weather conditions.

Simply knowing how to maneuver your vehicle is not enough to prevent accidents. When you drive defensively, you take control of the driving situation. When you drive non-defensively, you let the driving situation control you. It is far more important to drive defensively than to take the legal right of way. Drivers are expected to adhere to all applicable traffic laws. Even when by law you are in the right, people can be injured or even killed. At the very least, you and your passengers will be inconvenienced by the time needed to investigate an accident and fill out the necessary paper work. *A defensive driver will not get into a situation where it may be necessary to take an emergency action to avoid an accident.*

QUALITIES OF A GOOD DEFENSIVE DRIVER

A good defensive driver must have the following qualities:

You must be an exceptional driver. You need to know how to maneuver the vehicle you are driving to avoid possible accident situations. The better you know how your vehicle maneuvers, the more time you can spend spotting potential accident situations.

You must understand the vehicle you are driving. Each vehicle is slightly different. It is important that you familiarize yourself with the vehicle during the pre-trip inspection and during the first few blocks of driving.

You must be physically and mentally prepared to operate a vehicle, spot hazards quickly, and continually adjust your driving to avoid hazards.

A defensive driver must also maintain a good defensive driving attitude. Defensive driving begins with your attitude. A driver with a good defensive driving attitude will:

- leave personal problems at home
- be rested and alert
- avoid the use of alcohol and drugs
- look after his/her health

A defensive driver must also maintain a good defensive driving attitude. Defensive driving begins with your *attitude*. A driver with a good defensive driving attitude will:

- Always assume and prepare for the worst.

- Realize the importance of always being physically and mentally well-prepared for driving.
- Understand that the responsibility for avoiding an accident rests in his/her hands.
- Not allow him or her to become upset to the point that it affects their driving.
- Assume that almost all accidents are preventable.

Do not worry about proving who is in the right or who is in the wrong but be more concerned about preventing the accident.

MAIN CAUSES OF ACCIDENTS

There are three main causes of accidents:

Other Drivers and Pedestrians. You have little control over the actions of others.

Your Vehicle. You can control the conditions of your vehicle by doing a proper pre-trip inspection and reporting any problems.

You. *You cannot control all the factors that might cause an accident; however, you can control yourself and your vehicle. To be a defensive driver you need to be aware of your own abilities and the limits and capabilities of your vehicle. You need to anticipate potential accident situations and then take a defensive, not an emergency action to avoid the hazards.*

SAFETY ZONE

In order to avoid hazards, you need to maintain your safety zone. The safety zone is the area around your vehicle which you want to keep clear of hazards. The safety zone consists of the area in front of the vehicle which is determined by proper following distance, 15 feet to each side of the vehicle, and the area of the rear of the vehicle which is determined by the proper following distance of the vehicle to the rear. Therefore, the length of the safety zone is affected by the speed of the vehicle and the vehicles around it and by weather conditions.

Maintaining your safety zone requires you to consider alternative actions when hazards arise. At all times you must:

SEE

Identify the potential accident hazard. Ask yourself "What is the worst thing that can happen in this situation?"

Predict what kinds of accidents could happen in the situation.

THINK

Decide what you will do when the worst thing happens or begins to happen, develop a plan of how you can avoid the accident.

DO

Execute your plan.

By following this formula you will be more able to control the driving situation.

EQUIPMENT AS A DEFENSIVE DRIVING TOOL

Many equipment items on your vehicle are defensive driving tools which you can use to keep the safety zone free of hazards. You must know how and when to use them. They include:

BRAKES - The most basic tool for avoiding a hazard.

MIRRORS - Enable you to check vehicles approaching from the rear on either side.

LIGHTS - Enable you to see better and be seen better by others.

TURN SIGNALS - Inform others of your intentions.

ACCELERATOR - Could be used to avoid a hazard but generally it is better to brake than accelerate.

HORN - Warns others of your presence but does not give you the right of way.

DEFROSTER, WINDSHIELD WIPERS AND WASHERS - Provide a clear windshield for good vision

THE MOST IMPORTANT FACTOR IN DEFENSIVE DRIVING IS YOU

You possess your own defensive driving tools which include:

- Your physical ability to spot a hazard, maneuver the vehicle away from it and warn others of it.
- Your knowledge of driving hazards and how to spot them.
- Your knowledge of the safety zone and how to maintain it.
- Your knowledge of the rules of the road.
- Your knowledge of the vehicle equipment.

- Your skill at maneuvering the vehicle.

BE A SUCCESSFUL DEFENSIVE DRIVER

Driving a vehicle is not an easy job. Defensive driving is critical to your success. Every day you will encounter possible accident hazards which you will need to avoid. As you learn to use the above mentioned guidelines and improve your skills, you will become a better defensive driver. You owe it to your passengers, but most importantly, you owe it to yourself to be a safe defensive driver.

PRE-TRIP INSPECTIONS

Before a driver places a vehicle in service, the following pre-check inspection steps will be completed:

Notice general condition. Look for fresh body damage or vehicle leaning to one side. Check the area around the vehicle for hazards to vehicle movement (people, other vehicles, objects, low hanging wires or limbs, etc.) Also, check to see if previously reported problems have been corrected.

Pre-Ignition Checks (Before the Engine is started)

Check that the parking brake is on and/or wheels are chocked.

Check the following:

- Engine oil level
- Coolant level in radiator and condition of hoses
- Power steering fluid level and hose condition (if so equipped)
- Windshield washer fluid level
- Battery fluid level, connections, and tie downs (battery may be located elsewhere)
- Check belts for tightness and excessive wear (alternator, water pump, air compressor), learn how much "give" the belts should have when adjusted right, and check each one.
- Leaks in the engine compartment (fuel, coolant, oil, power steering fluid, hydraulic fluid, battery fluid)
- Cracked, loose, or worn electrical wiring insulation.

Start Engine

- Make sure the parking brake is applied
- **Driver position** - the driver should be positioned to be within reach of all controls and in position for greatest visibility. Driver comfort should also be considered. If necessary, the seat should be adjusted to put the driver in the optimum position. This is the first pre-ignition step, as mirrors and seat belt adjustment depend on the driver's position.
- **Seat belt** - the driver must use the seat belt. The seat belt should be checked and adjusted to fit snugly across the hips.
- Put gearshift in neutral (or "park" if automatic).
- Start engine and listen for unusual noises.

Check Gauges during Warm-Up Period (3-5 Minutes)

- **OIL PRESSURE.** Should come up to normal operating range within seconds after engine is started.
- **AMMETER and/or VOLTMETER.** Should be in normal range(s).
- **COOLANT TEMPERATURE.** Should begin gradual rise to normal operating range.
- **ENGINE OIL TEMPERATURE.** Should begin gradual rise to normal operating range.
- **WARNING LIGHTS AND BUZZERS.** Oil, coolant, charging circuit warning lights should go off right away after engine is started.
- **FUEL GAUGE**

Check Condition of Controls

Check all of the following for looseness, sticking, damage, or improper setting:

- Steering wheel (not too much free play)
- Clutch (proper free travel)
- Accelerator (gas pedal)
- Brake controls - (foot, parking, retarder)
- Transmissions controls
- Horn

- Windshield wiper/washer
- Lights - headlights, dimmer switch, turn signals, 4-way flashers, clearance, identification, marker light switch(s), deceleration alert system (DAS)

Check Mirrors and Windshield

Inspect mirrors and windshield for cracks, dirt, illegal stickers or other obstructions to vision. Clean and adjust as necessary.

Mirrors should be adjusted for best visibility.

- Inside mirror - should be adjusted to give driver a view of entire vehicle interior and passengers.
- outside flat mirrors - should be adjusted so that driver can see rear tires at ground level in bottom of mirror and the rear bumper near the inside edge.
- Outside convex mirrors - should be adjusted to give maximum localized vision of both sides of the vehicle.

Mirrors must be adjusted after drivers have determined their final seating position because a change in driver position usually requires readjustment of mirrors.

Check Emergency Safety Equipment

The following items are safety related equipment. Check with your transit system about these and other items:

- Spare electrical fuses (3), unless vehicle has circuit breakers.
- First Aid Kit
- Three red reflective triangles.
- Properly charged and rated fire extinguisher.
- Chock block
- List of emergency phone numbers
- Accident reporting kit (packet)
- Flares
- Chains
- Blanket
- Water
- Communicable disease kit

Turn Off Engine and Check Lights

Make sure the parking brake is set, turn off the engine, and take the key with you. Turn on headlights (low beams) and four way flashers, and get out.

- Go to front of vehicle and check that low beams are on and both of the four-way flashers are working.
- Push dimmer switch and check that high beams work.
- Turn off headlights and four-way hazard warning flashers.
- Turn on parking, clearance, side-marker and identification lights.
- Turn on right turn signal, and start walk-around inspection.

Do Walk-Around Inspection

Interior

Always check the interior of the vehicle before driving to ensure rider safety. Aisles and stairwells must always be clear.

The following parts of the interior of your vehicle must be in safe working condition.

- each handhold and railing
- floor covering
- signaling devices
- emergency exit handles

The seats must be safe for riders. All seats must be securely fastened to the vehicle, unless specifically designed for seats that fold up.

Never drive with an open or locked emergency exit door. It is unlawful to lock the emergency exit with passengers on board. The "Emergency Exit" sign on an emergency door must be clearly visible. If there is a red emergency door light, it must work. Turn it on at night or any other time you use your outside lights.

You may lock some emergency roof hatches in a partly open position for fresh air. Do not leave them open as a regular practice. Keep in mind the vehicles higher clearance while driving with roof hatches open.

Exterior

As you check the outside of the vehicle, close any open emergency exits. Also, close any open access panels (for baggage, engine, etc.) before driving. Clean all lights, reflectors and glass as you proceed.

Left Front Side

Driver's door glass should be clean. Door latches or locks must work properly.

Left Front Wheel

- Condition of wheel and rim - missing, bent, or broken studs, clamps, or lugs, signs of misalignment, lock rings. (Welding repairs are not safe.)
- Condition of tires - properly inflated? Valve stem OK? No serious cuts, bulges, or tread wear? No fabric should show through the tread or sidewall. (Regrooved, recapped, or retreaded tires should be prohibited on front wheels of a vehicle.)
- Use wrench to test lug nuts

Left Front Suspension

- Condition of spring, spring hangers, shackles, u-bolts
- Shock absorber condition

Left Front Brake

- Condition of brake drum
- Condition of hoses

Front

Condition of front axle and suspension system, condition of windshield:

- Check for damage and clean if dirty
- Check windshield wiper arms for proper spring tension
- Check wiper blades for damage, "stiff" rubber, and securement

Lights and reflectors:

- Parking, clearance, turn signals and identification lights clean, operating and proper color (amber at front)
- Reflectors clean and proper color (amber at front)

Right Side

Check all items as done on left front. Rear of engine - not leaking and transmission - not leaking.

Right Rear

- Condition of wheels, rims -- no missing, bent, broken spacers, studs, clamps, lugs.
- Condition of tires -- properly inflated, valve stems OK, no serious cuts, bulges, tread wear, tires not rubbing each other or parts of the vehicle, and nothing stuck between them.
- Tires same size and type, e.g. not mixed radial and bias types and size.

Rear

- Lights and reflectors
- Rear clearance and identification lights clean, operating and proper color (red at rear)
- Reflectors clean and proper color (red at rear)
- License plate(s) clean and secured
- Splash guards OK
- Tail lights clean, operating, and proper color (red, yellow, or amber at rear)

Left Side

- Check all items as done on right side, plus:
- Battery - secure, fluid at proper level, cell caps and vents present and securely tightened and/or free of foreign material (except maintenance-free type), cables tight.

Check Signal Lights

Get in and turn off lights. Apply brake pedal and have helper check brake lights, as well as left and right turn signals.

Check Brakes

Test for hydraulic leaks. If vehicle has hydraulic brakes, pump the brake pedal three times. Then apply firm pressure to the pedal and hold for five seconds. The pedal should not move. If it does, there may be a leak or other problem. Get it fixed before driving.

Test parking brakes. Fasten seat belt. Allow vehicle to move slowly forward. Apply parking brake. If it doesn't stop vehicle it is faulty; get it fixed.

Check Wheelchair Lift Equipment

Wheelchair lift equipment should always be included during your daily inspections. Here is the procedure:

- Run the lift through one complete cycle to be sure that the lift is operable before attempting to pick up a passenger.
- Check for frayed or damaged lift cables.
- Carefully inspect the loading equipment. Look for hazardous protrusions, exposed edges, etc. Make sure that all such protrusions are adequately padded.
- Make sure that any loading apparatus inside the vehicle is secured to the vehicle to prevent movement during normal operation or in the event of an emergency stop, traffic accident, or vehicle overturn. A sufficient number of restraining belts should be in good working order and available to insure that all wheelchair passengers can be transported safely.

IF YOU FIND ANYTHING UNSAFE DURING THE PRE-TRIP INSPECTION, REPORT IT TO THE FLEET MANAGER OR YOUR SUPERVISOR. FEDERAL AND STATE LAWS PROHIBIT OPERATING AN UNSAFE VEHICLE.

FOLLOWING DISTANCE

When following other vehicles a safe distance must be maintained. Under normal conditions this is determined by the four second rule. **The four second rule means you should maintain a full four seconds of following distance between your vehicle and the vehicle ahead.** You can check this by watching the vehicle ahead of you pass a stationary object (a pole, sign, parked car, etc.) then count off four seconds (one thousand one, one thousand two, etc.) You should have time to count off the four seconds prior to reaching the same fixed object. In as much as rear end collisions are typically viewed as being avoidable, exercise caution to allow sufficient stopping distance under varied conditions. Reaction distance plus braking distance equals stopping distance. Reaction distance is the distance traveled from the time it takes you to remove your foot from the throttle to the brake. Braking distance is the distance traveled from the time the brake is applied until the vehicle comes to a complete stop. Stopping distance increases with:

- Wet roads.
- Passengers on vehicle.
- Ice, snow or gravel.
- Wet leaves.-
- Fatigue or illness of the driver.
- Impairment.

When streets are wet or slippery, drivers must adjust speed and following distances for road conditions, exercising a greater than normal level of caution. Brakes should be applied in such a manner as to avoid skids.

INTERSECTIONS

Except when climbing a grade, drivers crossing a signalized intersection where a stop is not required near side, and at other intersections the driver deems necessary will cover the brake up to the point he/she enters the intersection, then should replace his/her foot on the throttle or keep on the brake as appropriate. When approaching an intersection, a driver will make a traffic check to the front, then to the left, and to the right, and left again before entering the intersection.

PEDESTRIANS AND BICYCLISTS

A driver must slow down or come to a complete stop when pedestrians are crossing the street. A driver must always yield the right of way to all pedestrians and bicyclists.

DISTRACTING CONVERSATION

Conversation with passengers which distract the driver from safely operating the vehicle is prohibited.

STOPPING FOR PASSENGERS

The following procedure should be followed by all drivers when stopping to board and deboard passengers.

1. Turn on four way flasher lights to caution motorists.
2. Slow down gradually.
3. Pull into a driveway if available or as far to the right as safety allows, not hitting a curb or other stationary objects.
4. Make a full complete stop.
5. Place transmission in neutral (manual) or place transmission in park if automatic.
6. Pull (set) parking brakes.
7. Open door. (Never open doors while vehicle is in motion when stopping at bus stops.)
8. De-board/board passengers. Provide assistance to passengers.
9. Always wait for boarding passengers to get seated before moving the vehicle.

By following this procedure for stopping at bus stops we can serve our passengers in a safe manner.

ELDERLY AND DISABLED PASSENGERS

Special consideration should be given to elderly and disabled passengers. This help is one of the most appreciated customer services you can provide. When leaving the driver's seat to assist passengers, set the transmission appropriately, set the parking brake, and turn on the four-way hazard lights.

SEAT BELTS

In order to reduce the loss of control of the vehicle and reduce injuries in case of accident, drivers are required to use seat belts. Drivers (or the child monitor if one is required) shall visually check each passenger to make sure seat belts are fastened and/or that child restraint devices are properly secured.

SECURING A VEHICLE

Drivers are responsible for their assigned vehicle while on duty and will use good judgment when leaving a vehicle unattended for very short periods of time typically for a restroom stop. When temporarily leaving a vehicle, the driver must:

- Turn the front wheel into the edge of the road if the vehicle is facing downhill, or turn the front wheels in opposition to the edge of the road if the vehicle is facing uphill,
- Set the transmission appropriately,
- Turn on four-way hazard lights,
- Set parking brake,
- Shut off engine
- **Remove vehicle keys**, and
- Close front door from the outside unless passengers are on board in which case the front door will be left open.

A driver on duty must not leave his/her vehicle unattended for a prolonged period of time.

FOUR-WAY HAZARD LIGHTS

The four-way hazard lights will be used when:

- A vehicle is disabled or involved in an accident,
- Parking a vehicle and a driver cannot park completely off the roadway,
- Stopping at a railroad crossing,
- Using a wheelchair lift to load/unload passengers,
- Other stops and situations as appropriate.

BRAKES

Because a driver is responsible for the safety of his/her vehicle and passengers, and brakes are an important mechanical part of vehicle safety features, a driver is required to:

- Test the brakes for malfunctions within the first block or two after starting their daily route.
- Report immediately to the dispatcher any problems with the brakes. A driver must not operate a vehicle once he/she has determined that it is unsafe to do so because of malfunctioning brakes.
- Place the vehicle in “Park” when passengers are boarding or alighting and when doors are open.
- Use the parking brake to hold the vehicle for parking or whenever the driver leaves the driver's seat. In the event of service brake failure, the parking brake may be used to stop the vehicle.
- Don't fan or pump brakes, which cause excessive wear, an unsafe and rough ride, and reduced braking capability because of low air pressure. (This is not meant to restrict feathering of brakes on icy or snow-packed roads),
- Never use the rear door interlock brake to hold a vehicle motionless.

MIRRORS

Mirrors are to be adjusted before starting a trip. When a vehicle is relieved on a route, the mirrors are to be adjusted before proceeding. Outside left and right mirrors are to be used for turning maneuvers when pulling out from the side of the road and in addition, the right side mirror is to be used to observe boarding and alighting passengers. When making traffic lane changes, or entering traffic from a stop, be sure to check the blind spot in both mirrors. Mirrors are a very important defensive driving tool and are to be scanned every 8-10 seconds.

SCHOOL ZONES

Drivers will use extreme caution near schools and observe the 20 mph school zone speed limit. Drivers will also obey the signals of school crossing guards, school patrols and the flashing lights of school buses.

RAILROAD CROSSINGS

The following are the proper procedures for crossing a railroad track:

- Turn on the four-way flashers 100 feet before reaching the tracks.
- Stop the vehicle no closer than 15 feet and no further than 50 feet away from the track. The vehicle must stop behind the white line (if present) and not in the path of the crossing barrier.
- Look in both directions and listen for the approaching train.
- Multiple tracks require drivers to leave the four-way flashers on until all tracks have been cleared.
- Proceed only when the driver can do so safely and slowly over the tracks to avoid damage to the vehicle.
- Turn off the four-way flashers after the bus is past the tracks.

DISABLED VEHICLES

When a vehicle becomes disabled, the driver will observe the following procedures:

- Park the vehicle in a safe location and out of traffic lanes.
- Turn the front wheel in opposition to the edge of the road if the vehicle is facing uphill. Turn the front wheels onto the edge of the road if the vehicle is facing downhill.
- Place the transmission appropriately.
- Turn on four-way hazard lights.
- Shut off the engine.
- Set the parking brake.
- Remove vehicle keys.
- Help direct traffic around the vehicle if necessary.

BACKING

All employees must take extra precautions to ensure that while maneuvering a Mountain Mobility vehicle in a backing motion that they do so in a safe and logical manner.

Except for backing out of a parking stall, drivers should only back a vehicle when absolutely necessary. If it becomes necessary to back the vehicle while the vehicle is in service, a driver should use an adult “spotter”. Use of a “spotter” does not relieve the driver of the responsibility

to back the vehicle safely. Before backing, check carefully in all directions including the rear of the vehicle, turn on the four-way flashers, begin honking the horns (if the vehicle does not have a working back-up alarm) and continue to give short continuous beeps on the horn while in motion.

If at anytime the driver is unsure of the safeness of a potential backing action, they should exit the vehicle and examine the area in which they are attempting to back into. By doing so, the driver will then gain the proper judgment needed to make a safe decision.

At no time should a Mountain Mobility vehicle be backed onto a city street or road. All employees should make whatever necessary preparations to ensure that this type of backing does not occur.

Employees should use their best judgment in determining the use of safe backing maneuvers to ensure accidents and injuries do not occur. Improper and unsafe vehicle backing maneuvers could result disciplinary action and/or termination of employment.

TURNING

Right Turn

- Signal at least 200 feet prior to the turn.
- Set up enough right side clearance for the turn but not enough to allow a vehicle between edge of road and vehicle.
- Check the mirror for cars encroaching on right side.
- Be sure intersection is clear of cars and pedestrians before turning.
- Check traffic to the left, right and left again.
- Turn at speed appropriate to road, weather and traffic conditions.
- Avoid the "button hook" turn, i.e. swinging left before turn.
- Scan mirrors and intersection during turn.
- Follow vehicle through turn in right outside mirror.
- Maintain enough space on the right side so vehicle does not contact utility poles and signs, and so right rear dual wheels do not ride over the edge of the road.
- Release signal after completing the turn and straighten wheels.

Left Turn

- Signal at least 200 feet prior to the turn.
- Turn from the designated left turn lane or the lane nearest the center line. If there are two (2) left turn lanes, the outside left lane should be used.
- Be sure intersection is clear of cars and pedestrians.
- Keep the wheels straight until oncoming traffic is clear and the turn can be started.
- Turn at speed appropriate to road, weather and traffic conditions.
- Scan mirrors.
- Follow the vehicle through turn using left outside mirror.
- Release signal after completing turn and straighten wheels.

FLAMMABLE AND EXPLOSIVE MATERIAL ON VEHICLES

Federal Regulations state that no explosives or flammable materials may be carried in the passenger carrying space of any motor vehicle transporting passengers for hire.

Hazardous Driving Conditions

SLIPPERY ROAD SURFACES

It will take longer to stop and it will be harder to turn without skidding when the road is slippery. You must drive slower to be able to stop in the same distance as on a dry road. Wet roads can double stopping distance. Reduce speed by about 1/3 (e.g. slow from 55 to about 35 mph) on a wet road. On packed snow, reduce speed by 1/2...or more. If the surface is icy, reduce speed to a crawl. Do not use brake retarders on a slippery road surface. It will cause more skidding, not less.

Sometimes it is hard to know if the road is slippery. Here are some signs:

- **SHADED AREAS....**Shady parts of the road will remain icy and slippery long after open areas have melted.
- **BRIDGES....**When the temperature drops, bridges will freeze before the road will. Be especially careful when the temperature is close to 32 degrees F.
- **MELTING ICE....**Slight melting will make ice wet. Wet ice is much more slippery than ice that is not wet.

- **BLACK ICE....**Black ice is a thin layer that is clear enough that you can see the road underneath it. It makes the road look wet.

Any time the temperature is below freezing and the road looks wet, watch out for black ice.

- **VEHICLE ICING....**An easy way to check for ice is to open the window and feel the front of the mirror, mirror support, or antenna. If they are icy, the road surface is probably starting to ice up.
- **JUST AFTER RAIN BEGINS....**Right after it starts to rain, the water mixes with oil left on the road by vehicles. This makes the road very slippery. If the rain continues, it will wash the oil away.
- **HYDROPLANING....**In some weather, water or slush collect on the road. When this happens, your vehicle can hydroplane. It's like water skiing. The tires lose their contact with the road and have little or no traction. You may not be able to steer or brake. You can regain control by releasing the accelerator. This will slow your vehicle and let the wheels turn freely. If the vehicle is hydroplaning, do not use the brakes to slow down.

It does not take a lot of water to cause hydroplaning. Hydroplaning can occur at speeds as low as 30 mph if there is a lot of water. Hydroplaning is more likely if tire pressure is low or the tread is worn. (The grooves in a tire carry away the water; if they aren't deep they can't work well).

DRIVING AT NIGHT

You are at greater risk when you drive at night.

In the winter it gets dark early, and drivers can't see hazards as soon as in daylight, so they have less time to respond. Drivers caught by surprise are less able to avoid a crash.

Driver Vision - Drivers can't see as sharply at night or in dim light. Also, the eyes need time to adjust to seeing in dim light.

Glare - Drivers can be blinded for a short time by bright light. It takes time to recover from this blindness. All drivers face these risks when driving at night. The risks are greater for some drivers whose visual recovery time is higher than others. Visual recovery time is the time it takes a driver's night vision to return to normal after being blinded by bright lights. Listed below are some specific causes that make visual recovery time higher for some individuals than for others:

- Age -- recovery time increases as people get older
- High blood pressure
- Diabetes
- Other medical conditions

These drivers will need to take special care when driving at night.

Older drivers are especially bothered by glare. Even two seconds of glare blindness can be dangerous. A vehicle going 55 mph will travel more than half the distance of a football field during that time. Don't look directly at bright lights when driving. Look at the right side of the road. Watch the sidelines when someone coming toward you has very bright lights.

Other Drivers - There is an increased number of tired and intoxicated drivers on the road at night, so be on the alert for them and be prepared to respond.

Poor lighting - In the daytime there is usually enough light to see well. This is not true at night. Some areas may have bright street lights, but many areas will have poor lighting. On most rural roads you will probably have to depend entirely on your headlights.

Less light means you will not be able to see hazards as well or as quickly as in daytime. Road users who do not have lights are hard to see. There are many accidents that involve pedestrians, joggers, bicyclists, and animals.

Even when there are lights, the road scene can be confusing. Traffic signals and hazards can be hard to see against a background of signs, shop windows, and other lights. Drive slower when lighting is poor or confusing.

Headlights - At night your headlights will sometimes be the main source of light for you to see and for others to see you. You can't see nearly as much with your headlights as you can see in the daytime. With low beams you can see ahead about 250 feet and with high beams about 350-400 feet. You must adjust your speed to keep your stopping distance within your sight distance. This means going slow enough to be able to stop within the range of your headlights. Otherwise, by the time you see a hazard; you will not have time to stop. If you are using your high beams, make sure you dim them within 500 feet of another vehicle so they will not cause glare for other drivers.

Night driving can be more dangerous if you have problems with your headlights. Dirty headlights may give you only half the light they should, so keep them clean. If your lights fail you should:

- Try high and low beams (one may work).
- Pull safely off the roadway, and inform the passengers.
- Set up the emergency warning equipment (triangles, flares).
- Call the dispatcher for further instructions.

Turn Signals and Brake Lights - At night your turn signals and brake lights are even more important for telling other drivers what you intend to do. Make sure you have clean, working turn signals and brake lights.

Other lights - In order for you to be seen easily, the following must be clean and working properly:

- Reflectors.

- Clearance lights.
- Tail lights.

Windshield and Mirrors - It is more important at night than in the daytime to have clean windshields and mirrors. Bright lights at night can cause dirt on your windshield and mirrors to create a glare, blocking your view.

DRIVING THROUGH WATER

If unable to avoid driving through deep puddles or flowing water you should:

- Slow down.
- Place transmission in low gear.
- Increase engine RPM and cross the water.
- When out of the water, maintain light pressure on the brakes for a short distance to heat them up and dry them out.
- Make a test stop when safe to do so. Check behind to make sure no one is following, and then apply the brakes to be sure they work correctly.

What if, after entering deep water, you feel it is too dangerous to continue? If you see that the water is too deep to get through, and your judgment says you need to back out, keep the engine running at a fast idle by holding the accelerator pedal down as you brake. Once stopped, shift into reverse, checking to make sure it is clear behind you. Keep the engine running slightly faster than normal as you back out.

Whether you back out or drive through, drive slowly afterward and continue applying your brakes lightly for a few minutes to heat them up and dry them out. Test frequently to see if the brakes are dry enough to stop you quickly. Always check traffic behind to make sure it is safe to do so.

WINTER DRIVING

During pre-trip inspections pay extra attention to the following:

- Coolant level/antifreeze amount
- Defrosting/heating equipment
- Wipers/washers
- Tires
- Tire chains
- Lights/reflectors
- Windows/mirrors

- Hand holds/stops
- Exhaust system

Special Techniques for Safe Driving on Ice and Snow:

When first starting, get the feel of the road. Don't hurry.

Glare - Snow produces a glare which can adversely affect vision. The sun, shining on the snow, makes the problem worse. Keep a pair of sunglasses in your vehicle and use them.

Fog - Remember, with moisture on the ground (in the form of snow) you are apt to run into foggy conditions frequently. Fog, coupled with slippery conditions, requires slowing down, and more alertness and attention to maintaining a safe following distance. In fog, driving with lights on low beam improves your visibility and your vision. Watch the right edge of the roadway to assure your vehicle is positioned correctly.

Braking - Know how and when to brake. When possible, use the braking power of the engine by downshifting to a lower gear rather than by using the brakes. When you must brake, do not jam on the brakes--tap and release them in a pumping motion. Don't brake in the middle of a curve. If your vehicle goes into a skid, take your foot off the brake.

Skids - Don't panic. Don't over steer. Don't jam on the brakes. Remove your foot from the accelerator. For rear drive vehicles, turn the steering wheel in the direction of the skid: e.g., if the rear end of the vehicle is skidding toward the right, turn the steering wheel to the right. When you are able to regain steering control you may be able to resume braking by pumping the brakes lightly.

Traction - To regain traction and avoid skids -- start out slowly if parked on a slippery surface. If your wheels start spinning, let up on the accelerator until traction is returned. Before going up a hill, increase speed (within reason) to build up momentum to help you climb. Before going down a hill, especially a steep one, slow down by shifting into a lower gear. Use your brakes only with extreme caution when going down a slippery hill. Remember the points discussed earlier in this chapter under "slippery road surfaces."

Hills - When approaching, either ascending or descending, observe other vehicles on the hill and how they are reacting to conditions. Stay well behind the vehicle in front so that you can go around it if it becomes stuck. If other cars begin to slide, spin out, or have to back down the hill, wait until you have enough room to maneuver before going up the hill yourself.

By observing what other vehicles are doing, it may be apparent that the hill is just too slippery and dangerous. Contact your dispatcher and report the conditions.

If you get stuck - Use your judgment. The action you take when stuck depends on how badly you are stuck. Whatever you do, avoid spinning your wheels since this will aggravate the problem.

If the snow is deep, shovel the snow from in front and back of the wheels (both front and rear wheels). Also, shovel out as much snow from under the vehicle as you can.

If you have it, spread some salt or sand in front and in back of your driving wheels (or use traction mats if you have them).

You may need to call the dispatcher to get help. Until help arrives, you should set out flares or triangles to alert other traffic.

DON'T LET ANYONE STAND DIRECTLY BEHIND THE REAR WHEELS.

If you're using devices under the wheels for traction or if the wheels dig into the dirt or gravel, individuals behind the vehicle may be injured by rocks or objects thrown rearward by the spinning wheels.

If possible, try to keep the front wheels pointed straight ahead until the vehicle is moving. The rolling resistance of the front wheels is lessened when they are not trying to move sideways.

If your wheels keep spinning and the vehicle doesn't move, stop and let your tires cool. Tires heated from spinning will just dig deeper into ice and snow.

If nothing works, try to rock the vehicle out of the rut by alternatively shifting from reverse to drive (with automatic transmissions). Check your owner's manual to make sure such a procedure can be followed with your particular vehicle.

SNOW AND ICE REMOVAL

Don't wait until the last minute to load your vehicle with those items you'll need to combat snow or ice. Depending on local transit system policy, you may want to put the following into your vehicle so that they'll be readily available when you need them:

- A flashlight
- An ice scraper
- A brush to remove snow from the vehicle.
- Extra fuses for vehicle electrical systems (see your owner's manual for type).
- A rag to clean lights and windshield.
- A pair of work gloves and a small shovel.
- Battery booster cables.

Visibility is always critical. But, in cold, wintry weather many motorists take unwarranted chances by cleaning just a portion of the windshield and rear window when they have been iced over or by brushing off snow only from the windshield and rear window. Such laziness invites disaster, since they may be unable to see your vehicle clearly.

Snow Removal - If your vehicle is covered with snow, it is essential that all snow be removed from hood, glass surfaces, roof and lights before driving. When driving, vehicle movement and stops can result in snow sliding from the roof onto the windshield or rear window, obscuring visibility. Wind and the mere movement of the vehicle can have the same effect.

Ice scrapers should be used with care. When edges become burred or chipped, the scraper should be replaced. Use of a damaged scraper or trying to dig out encrusted ice with the point of the scraper can result in scratches to the glass and may even cause the glass to break because its strength has been weakened.

Recessed Wipers - People, who have windshield wipers that disappear into a recess below the windshield, when not in use, must be especially careful to keep such recesses free of obstructions during snowy or cold weather. If the vehicle is outside during a snowstorm, such recesses must be cleared of snow and ice before wiper use.

While driving in a snowstorm, it may be necessary to stop periodically and clear accumulated snow and ice from such recesses. In cold weather, even if there hasn't been snow, it's a good idea to check wiper blades before driving to make sure they operate properly. Should wiper arms or wipers be frozen fast, the wiper motors could be seriously damaged, a fuse may blow, or bits of the blade rubber may be torn loose making the wiper ineffective.

Remember: Most things break more easily in extreme cold.

SOME ADDITIONAL HINTS AND PRECAUTIONS

- Keeping your tires inflated properly will improve your traction.
- Observe traffic coming toward you and be prepared to take defensive action in the event of oncoming cars going into a skid.
- Always keep your gas tank at least half full.

DRIVING IN VERY HOT WEATHER

During pre-trip inspection, pay special attention to the following:

- Tires
- Engine Oil
- Engine Coolant
- Engine Belts
- Hoses

Tar in the road pavement frequently rises to the surface in very hot weather. Spots where tar "bleeds" to the surface are very slippery.

Go slow enough to prevent overheating. High speeds create more heat for tires and engine.

FIRES

Learn the causes of fire, how to prevent them, and what to do to extinguish them.

CAUSES OF FIRES:

The following are some causes of vehicle fires:

- **After accidents...**spilled fuel, improper use of flares.
- **Tires...**under inflated tires.
- **Electrical system...**short circuits due to damaged insulation, loose connections.
- **Fuel...**Driver smoking, improper fueling, loose fuel connections.

FIRE PREVENTION:

Pay attention to the following:

- **Pre-trip inspection...**makes a complete inspection.
- Make sure your gasoline tank cap fits securely.
- Keep the inside of your vehicle clean and free of debris.
- **In route awareness...**monitoring of instruments and gauges. Use the mirrors to look for signs of smoke from tires or other parts of the vehicle.
- **Cautions...**use normal caution in handling anything flammable.

FIRE FIGHTING:

Knowing how to fight fires is important. Fires have been made worse by drivers who didn't know what to do. Here are some procedures to follow:

- Activate the four-way flashers.
- Pull safely off the roadway. Park in an open area, away from buildings, trees, brush or other vehicles that might catch fire. Don't pull into a service station.
- Use your 2-way radio to notify the dispatcher of your problem and location (Do this while pulling off the roadway if you can safely do so).
- Evacuate the vehicle, moving passengers well away from the vehicle. **Note:** these evacuation procedures should be routinely practiced.
- **SHUT OFF THE MASTER ELECTRICAL SWITCH.**
- Set up emergency warning equipment (triangles, flares).

- Attempt to put out the fire. With an ENGINE FIRE, turn off the engine as soon as you can. Don't open the hood if you can avoid it. Shoot extinguisher through louvers, radiator, or from the underside of the vehicle.

Use the appropriate type extinguisher on electrical fires and burning liquids. Don't use water on an electrical fire (you could get shocked) or gasoline fire (it will just spread the flames).

A burning tire must be cooled. Lots of water may be required.

If you're not sure what to use, wait for qualified fire fighters.

EXTINGUISHING THE FIRE

Here are some rules to follow in putting out a fire:

- Know how the fire extinguisher works. Study the instructions BEFORE you need it and be sure it is in good working order at all times.
- When using the extinguisher, stay as far away from the fire as possible.
- Aim at the source or base of the fire, not up in the flames.
- Position yourself upwind. Let the wind carry the extinguisher to the fire rather than carrying the flames to you.
- Continue until whatever was burning has been cooled. Absence of smoke or flame does not mean the fire is completely out or cannot restart.
- Only try to extinguish a fire if you know what you are doing and it is safe to do so.

VEHICLE PROBLEMS

No matter how carefully you and the system mechanic check your vehicle; there is always the possibility of a breakdown when you are on the road. When the vehicle does break down or show a change in performance, the problem usually falls into one of four categories:

- Electrical
- Heating/cooling
- Chassis (wheels, axles, springs, shocks, frame, etc.)
- Power train (engine, transmission, differential, drive lines, etc.)

Indicators of Electrical Problems

The electrical system provides the ignition to keep the engine running as well as operating such accessories as lights and fans. Signs of a problem in the electrical system include:

- While engine is running, dash warning lights come on or gauges indicated unusual readings.
- Lights surge or fade (lights increase in brightness as you accelerate).
- Lights and signals do not come on at all.
- Engine doesn't turn over when you try to start the engine.
- Engine suddenly dies.
- Momentary loss of lights.
- Engine cranks but will not start.

Indicators of Engine Heating and Cooling System Problems

The heating and cooling system keeps the engine at the proper operating temperature. Failure of this system can result in the destruction of the engine. There are four signs of failure in this system:

- The vehicle does not heat or cool properly
- Gauges, lights, or buzzers warn of problems
- Vehicle is leaking water or coolant
- Steam is visible from the engine compartment

Indicators of Problems in the Chassis

The chassis, for present purposes, refers to the tires, bearings, axles, frame, shocks, springs, and brakes. These are some of the indicators of problems in the running gear:

- Rough ride
- Poor braking performance
- Unusual sounds and steering problems

Indicators of Engine Problems

Finally, there are the problems that can develop in the engine itself. Some of the indicators are:

- Overheating
- Rough running and/or heavy smoke
- Engine won't start or remain running

TIRE FAILURE

There are four important things that safe drivers do to handle tire failure safely:

- Be aware that a tire has failed
- Hold the steering wheel firmly
- Stay off the brake unless you're about to run into something. Immediately release the accelerator pedal until the vehicle has slowed down. Then pump brakes very gently and pull off the road and stop.
- After stopping check all tires.

The loud "bang" of a blowout is an easily recognized sign. Because it takes a few seconds for your vehicle to react, you might think it was some other vehicle. But any time you hear a tire blow, you'd be safest to assume it was yours.

If the vehicle thumps or vibrates heavily, it may be a sign that one of the tires has gone flat. With a rear tire, that may be the only sign you get.

If the steering feels "heavy" it is probably a sign that one of the front tires has failed. Sometimes, failure of a rear tire will cause the vehicle to slide back and forth or "fishtail."

GAS PEDAL STICKING

In the event that the gas pedal sticks:

- Pump the gas pedal with several quick jabs
- Neutralize the engine by placing the transmission in neutral
- Apply the brakes
- Pull safely off the roadway
- Shut off the engine
- Call the dispatcher

ENGINE FAILURE/VEHICLE STOPPED

If the carburetor has flooded while you are in traffic, follow these procedures:

- Hold the gas pedal to the floor
- Engage the starter for not more than 30 seconds
- Repeat step 1 and 2 a few times
- Wait 10 to 15 minutes, to let the starter cool, and try again.
- If it still doesn't start, call the dispatcher.

ENGINE FAILURE/VEHICLE MOVING

In case the engine fails while you are moving, use the following guideline:

- Shift the transmission into neutral
- Attempt to restart the engine
- Drive safely off the roadway if possible
- Activate the four-way flashers
- Call the dispatcher

SKID CONTROL AND RECOVERY

A skid happens whenever the tires lose their grip on the road. This is caused in one of four ways:

- **OVERBRAKING** - Braking too hard and locking up the wheels, and using the retarder when the road is slippery.
- **OVERSTEERING** - Turning the wheels more sharply than the vehicle can turn.
- **OVERACCELERATION** - Supplying too much power to the drive wheels, causing them to spin.
- **DRIVING TOO FAST** - Most serious skids result from driving too fast for road conditions.

By far the most common skid is one in which the rear wheels lose traction through excessive braking or acceleration. Skids caused by acceleration usually happen on ice or snow. This can be easily stopped by taking your foot off the accelerator. If it is very slippery, push the clutch in. Otherwise, the engine can keep the wheels from rolling freely and regaining traction.

Rear wheel braking skids occur when the rear drive wheels lock. Because locked wheels have less traction than rolling wheels, the rear wheels usually slide sideways in an attempt to "catch up" with the front wheels.

Do the following to correct a drive-wheel braking skid:

- **Release the accelerator pedal.**
- **Stop braking...**This will let the rear wheels roll again, and keep the rear wheels from sliding any further. If on ice, push in the clutch to let the wheels turn freely.
- **Turn quickly...**When a vehicle begins to slide sideways, quickly steer in the direction that the rear end is skidding. You must turn the wheel quickly.
- **Counter steer...**As the vehicle turns back on course it has a tendency to keep right on turning. Compensate by turning the steering wheel quickly the other way, or you may find yourself skidding in the opposite direction.

OTHER PASSENGER SAFETY PRECAUTIONS

Drivers and management, as necessary, retain the right to determine whether it is safe to approach passengers' homes in instances such as steep driveways, muddy or bumpy lanes and roads, etc. Weather can change situations making on-site decisions necessary. In some instances, it may be necessary for attendants and/or caregivers to provide additional assistance to assure passenger safety. In addition, the combined weight of a passenger and his/her wheelchair may require that either additional assistance for the driver may be necessary in order to safely move the passenger to and from the vehicle or the trip may have to be delayed until an assessment can determine whether Mountain Mobility or some other transportation service (e.g., ambulance) can safely provide the trip. Drivers and other staff are to not only exercise their best judgment in cases such as those described, but also use the utmost sensitivity toward all passengers.

Emergency Treatment Plan

Notwithstanding or limiting other requirements, service specifications, and standards or other approved policies and procedures that Mountain Mobility may institute, drivers shall follow the general guidelines in this section regarding emergency situations that may arise during the performance of transportation services.

During the registration/certification process, Mountain Mobility shall obtain and record information relative to serious or life-threatening medical conditions (seizures, allergies to foods, medications, etc.) of passengers who receive transportation services. (Age and/or physical or mental disabilities may not necessarily constitute a special medical condition.) Drivers shall be cognizant of such special medical conditions in the event of an accident, incident, or other emergency situation that may arise while the passenger is being transported.

Mountain Mobility will seek and obtain directives from the County's Director of Emergency Management Services on the proper use of radio channel for emergencies. The driver shall use radio equipment to contact the office to call for emergency medical services, to obtain any information available on the person's medical condition, to call an emergency contact person and/or agency, and/or to otherwise report the situation or obtain guidance on whether to proceed to the nearest hospital.

In the event of an accident, incident, or other emergency situation that occurs while the passenger is boarding, disembarking from, or riding on a vehicle, the driver should radio the dispatcher to report the emergency and request EMS assistance. The driver shall employ emergency first aid, CPR, bloodborne pathogens procedures, or other procedures as may be appropriate to the circumstance.

Mountain Mobility may be called upon to provide services or offer other assistance in the event of a disaster or homeland security event, or for disaster readiness initiatives. In such cases, Mountain Mobility resources and employees will be subject to the direction of the County's Director of Emergency Management Services or his designated representative.

PREPARATION FOR EMERGENCIES

An emergency can happen at any time. No driver can control weather conditions, vehicle breakdowns, other drivers' mistakes, or passenger's illness. However, the driver must be mentally prepared for all these possibilities.

Preparing yourself mentally is not automatic. You need to ask yourself specific questions that relate to the types of emergencies that you might encounter.

Professional drivers prepare themselves for the day by finding answers to the following questions:

- What is the weather forecast?
- Will the route require driving on dangerous roads?
- What will traffic be like?
- Will the vehicle be carrying an unusual number of passengers or different types of passengers than usual? (Your dispatcher may assist you with this information.)

In addition to information gathering, professional drivers need to regularly review how to handle emergencies by restudying the materials in this and other training programs, learning from their own experiences, and talking to other drivers about how they have dealt with various situations. Some systems have accident investigation reviews with the drivers which can be very helpful. Discussing near misses (when an accident almost happened) is also a good tool for prevention.

Remember, you must always wear a seat belt when operating your vehicle. This will help you maintain control of your vehicle in an emergency, and may prevent you from being injured. If you should be in an accident, wearing a seat belt increases the chance that you'll be able to respond to the needs of your passengers. **SEAT BELTS SAVE LIVES.**

ACCIDENT CAUSES

One of the types of emergencies you may have to deal with is traffic accidents. What are the most common causes of these accidents? The Interstate Commerce Commission, through a study of accidents, concluded that the causes of traffic accidents are as follows:

- Mechanical defects - 3 percent
- Condition of street or highway - 12 percent
- **Human failure or error - 85 percent**

Some people might argue that apparently some 15 percent of traffic accidents are caused by factors beyond the control of the driver. Further studies of accident reports reveal, however, that this is not necessarily true. Quite a large percentage of accidents ascribed to condition of street or highway are actually caused by failure of drivers to adjust their driving to hazardous street or highway conditions.

Also, quite a large percentage of accidents ascribed to mechanical defects are actually caused by failure of drivers to take into consideration known mechanical defects, or failure to see that proper repairs are made when mechanical defects are discovered.

Remember: If an accident results from a mechanical defect which you should have discovered during the pre-trip inspection, the accident is your fault!

Thus, many accident investigators today state that **95 percent to 99 percent** of all traffic accidents are due to **human failure or error**.

Unless thorough investigation shows circumstances beyond a driver's control, the following accidents are classified as preventable:

- Backing accidents
- Intersection accidents
- Pedestrian accidents
- Rear end collisions
- Traffic lane encroachment accidents
- Accidents resulting from mechanical conditions
- Accidents with parked vehicles
- Collision with stationary objects and non-collision accidents
- Unattended vehicle accidents
- Accidents blamed on adverse weather conditions
- Passenger activities

ACCIDENT PROCEDURES

When you're in an accident and not seriously hurt, you need to prevent further damage or injury as well as deal with the accident scene. The basic steps are:

- Never leave the scene of an accident.
- Try to get your vehicle to the side of the road, calling the dispatcher on the way to report your status.
- Put on your flashers.

- Set the parking brake.
- Tell your passengers you will be right with them after you protect the vehicle from being hit by setting out warning devices.
- Set out three reflective triangles to warn other traffic.
- Comfort passengers, assess injuries, and do any emergency care for which you are qualified.
- Get outside help if necessary.
- Collect information.

The three bi-reaction triangles shall be placed on the roadway as follows:

On multi-lane or undivided highway (with non-obstructed view):

One - 10' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

One - 100' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

One - 100' from the front of the disabled vehicle ...ON THE TRAFFIC SIDE.

On a curve in the road or behind any obstruction that prevents other drivers from seeing the vehicle within 500 feet:

One - 10' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

One - 100'- 500' from the rear of the disabled vehicle...around the curve in the road...ON THE TRAFFIC SIDE.

One - 100' from the front of the disabled vehicle...ON THE TRAFFIC SIDE.

On a one-way or divided highway:

One - 10' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

One - 100' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

One - 200' from the rear of the disabled vehicle...ON THE TRAFFIC SIDE.

In all cases, the first thing to consider is **passenger safety**.

When pulling the vehicle off the road, **the driver should try to leave room for passengers to get off the vehicle, paying particular attention to those in wheelchairs.**

If you must position the vehicle on a hill, remember the following wheel positions for maximum safety.

Uphill with curbing: front wheel to left, secured against curb. Chock block firmly placed behind a rear tire.

Uphill without curbing: front wheel to right. Chock block firmly placed behind tire.

Downhill with or without curbing: wheels to right. Chock block snugly in front of rear tire.

Once parked, the driver needs to decide **whether or not to evacuate the vehicle**. Ordinarily, passengers are safer if they remain on the vehicle; evacuated passengers may wander into the road and be hit by another vehicle. The driver maintains more control over what happens to the passengers if they remain on the vehicle. Passengers, however, must be evacuated under any of these circumstances:

- A fire or other condition (leaking fuel, for example) makes the vehicle unsafe. In the case of leaking fuel, tell the people not to smoke, and do not use your flares.
- The position or location of the vehicle is unsafe.
- The driver is instructed to do so by the dispatcher, police, or fire fighters.

Always, the driver must decide whether the **passengers will be safer on the vehicle or off**. If you need to evacuate the vehicle, the passengers should move to a safe location at least 100 feet from the vehicle. It is critical that you follow your system's policies and evacuation procedures. Practice using them in a simulated emergency often enough to become very familiar with them.

An accident is one of the worst things that can happen to any driver, but particularly to a transit driver who is responsible for the wellbeing of passengers. In addition to caring for the passengers and trying to protect the vehicle from additional damage, drivers must avoid saying or doing anything that might result in increased liability to the transit system.

PASSENGER INJURIES

- Look up and down the vehicle to see if there are any unconscious or injured passengers--look for bleeding, broken limbs, vomiting, poor breathing.
- Look for other signs, such as disorientation, confusion, or inability to respond to your questions. These signs may indicate shock or serious head injury.
- You may leave your vehicle and check others for injuries only after you have determined that there are no serious injuries on your vehicle.

When you contact your dispatcher give the following information:

- exact location of the vehicle
- extent of injuries
- if police, fire, or ambulance have been contacted

- number of passengers on board
- number of vehicles involved and estimate of extent of damage
- other information that might be required

ACCIDENT REPORTING PROCEDURES

Once you have responded to the accident by following the procedures described above, it will be necessary to obtain information and perform other actions to protect your passengers and your transit system.

Drivers will observe the following procedures in the event of an accident:

- Follow above procedures and ensure that the proper law enforcement agency and emergency services personnel have been contacted.
- Obtain names of passengers on your vehicle. Get an accurate count of your passengers.
- Note the time and specific location of the accident.
- Make no statements concerning liability. Answer questions asked by officials, but don't volunteer any other information.
- Provide information on insurance and other information necessary to fill out an accident report. The insurance card should be located in the glove box on your vehicle.
- Don't make any statements to the press or to bystanders. Avoid being photographed with your vehicle in an accident situation.
- Keep an eye out for details:
 - Is there any liquor, or beer bottles, or signs of drugs in the other vehicle(s)?
 - Are any of the people involved acting strangely?
 - Do you notice anything unusual about the scene or the vehicles involved?
 - As soon as possible, start taking notes. Describe what happened, and document all the information listed above. Add anything that might remotely be related to the accident. Drivers will be requested by their supervisor to complete an Employee Accident/Incident Report at some point during the accident review process.

If contacted by an attorney or any other official about the accident, refer him or her back to the proper transit system official.

Dispatchers will observe the following procedures:

- Obtain information necessary and call for EMS and law enforcement assistance at the scene.
- Instruct driver to follow accident procedures.
- Contact management staff (either the Operations Manager or System Administrator) and report the facts known about the accident.
- Call for wrecker service if necessary.
- Dispatch another van to transport non-injured passengers if applicable.

Management staff will:

- Notify the Buncombe County Safety Officer:
 - Office: 250-5480; Pager: 257-1131; Cell: 776-5480.
- Respond to the scene of each accident.
- Obtain all required information and complete an Accident Report. See Attachment J: Reporting Form for Accidents, Damage, and Incidents.
- Take pictures of the accident.
- Direct driver for drug and alcohol testing, if applicable.
- Ensure that the vehicle, property, and passengers are properly safeguarded.
- Have driver complete a written Employee Accident/Incident Statement that records their recollection of events, providing as much detail as possible.
- Obtain copy of law enforcement's accident report.
- Forward Accident Report, Employee Accident/Incident Statement and law enforcement report to the Buncombe County Safety Officer and the Buncombe County Risk Manager.
- Provide any additional information to the County as may be required, including Workers Compensation reports, photographs, or positive substance abuse tests.
- Take appropriate disciplinary action if needed.
- Record accident information for internal records and for NCDOT Quarterly Accidents and Incidents Reports.

INCIDENT REPORTING PROCEDURES

All incidents must be reported to the transit system. Incidents include, but are not limited to: a passenger who is sick, injured, or lost; an impounded vehicle; a hazardous material spill or discovery of a spill; any biochemical or bloodborne pathogen exposure or possible exposure incident; any worker injury; major property or equipment damage; injury by vehicle to a pet; any major power or utility problems that may last for an extended period of time that could affect operations; any police actions in or around the facility.

Drivers, dispatchers, and management staff will follow the Accident Reporting Procedures as applicable or required based on the incident reported.

PASSENGER ILLNESS

These situations are a true test of a driver's professionalism, common sense, and ability to act quickly under pressure. Following are some guidelines for you to follow in these situations.

After safely securing the vehicle, determine the nature of the passenger's illness. Possible sources of information include:

- The passenger (if he/she is conscious and able to talk).
- Any friend or relative of the passenger who is on the vehicle.
- Other passengers who may have observed what happened.
 - Your own observations: Is the passenger conscious? Is the passenger breathing properly? Has the passenger vomited? Are there any signs of injury, such as external bleeding or bruises?

You may wish to administer first aid or CPR, especially if this appears to be a life-threatening situation. You should follow the Mountain Mobility Exposure Control Policy where applicable.

Notify the dispatcher as soon as possible. At that point the dispatcher may alert medical authorities. Keep the ill passenger as comfortable as possible while waiting for help.

Conditions which may cause your passengers to become ill are: motion sickness, heart attacks and strokes.

Motion Sickness

The usual indications of motion sickness are:

- Nausea
- Profuse sweating
- Hyperventilation (dizziness caused by rapid breathing)

- Paleness
- Claustrophobia (feeling of being too closed in)

Unless there are unusual symptoms, motion sickness is rarely a serious problem and does not require medical attention. Your concern is to make the passenger more comfortable. However, you still should notify your dispatcher to protect yourself and the transit system.

Steps to make your passengers more comfortable:

- Have the passenger sit in the first seat on the right side. This helps reduce the claustrophobia and other symptoms because the passenger can see outside easily.
- Have the passenger breathe deeply and slowly. This will reduce the nausea and prevent the passenger from hyperventilating.
- Get the passenger to fresh air to reduce the feeling of nausea. Open the window next to the passenger or let him or her off the vehicle.

Heart Attacks and Strokes

While heart attacks and strokes are very different conditions, they frequently have similar symptoms and require the same actions from you. The common symptoms are:

- Disorientation
- Pain in arms or chest
- Pale, clammy skin
- Difficulty breathing

Often, the person experiencing a heart attack or stroke will deny having any problem. Nevertheless, it is best to play it safe, because there is the risk of serious injury or death if you don't.

- Contact the dispatcher for medical help immediately.
- Have the passenger relax and keep still.
- Make the passenger as comfortable as possible.
- Keep other passengers from crowding.
- Watch the passenger closely until help arrives.
- If the passenger loses consciousness and appears to have stopped breathing, administer CPR. **Only do this if you are trained and qualified to do so and your transit system policy permits it.**

Remember, a heart attack or stroke is a serious medical condition that requires professional help. As important as knowing what you can do to help is recognizing what you can't do.

General Guidelines on Passenger Illness and Injury

If there is any possibility that medical help may be needed, contact the dispatcher.

Keep the ill passenger as comfortable as possible. Use a blanket or coat to keep the passenger warm, loosen restrictive clothing, open a window for fresh air, or get water. Always protect against shock by comforting passengers and keeping them warm.

Calm the other passengers. Keep them away from the ill passenger and inform them when you expect to be under way. Reassure the ill passenger that help is on the way and that he/she is not causing undue inconvenience to the other passengers.

Never give a passenger medication, even aspirin. Even after the passenger appears to be better, observe the passenger and periodically ask how he/she is doing.

PASSENGER EVACUATION

To be successful, the evacuation process requires that you know what to do, how to do it and when to do it -- plus, fully understand the equipment on the vehicles you operate.

Communicating with Passengers and Helpers

Being well trained in how to deal with evacuation emergencies will make it easier for you to remain calm. **Remaining calm is crucial!**

Time and conditions permitting, tell the passengers in a **calm, clear and concise manner** that **there is an emergency**. An explanation of what they are required to do will help to prevent passenger hysteria. **Passengers should be advised that help is on the way**, but for their safety it is best they leave and/or be assisted from the vehicle. **Encourage passengers to adopt a "buddy" for shared support through the emergency**. Continued reassurance to passengers while performing your duties will also be helpful in forestalling any panic.

The use of able-bodied passengers or passersby must be done with great care. The ability to **remain calm and give clear and concise instructions to helpers** will help prevent unnecessary injuries. Placement of hands and feet and body position can be done by example. In other words, as you are positioning yourself, show your helper where they should be and as you position your hands and feet, you can show your helper what they should do. **Make it clear what commands will be used to start whatever you will be doing**. If you use 3 on count 3, your helper is better able to synchronize his or her actions with you, rather than just using "GO" or some other single command.

BE CALM!

STEPS OF THE EVACUATION PROCESS

In most instances evacuation can be reduced to the following steps:

- Release passengers from their passenger restraints or seat belts by unbuckling or cutting. (If passengers are in a wheelchair, do not waste time unbuckling or releasing the wheelchair)

securement system -- instead, first remove the passenger then if time permits recover the wheelchair).

- Move the passenger from the seat or wheelchair to floor level. (If passenger can walk, assist to a standing position.)
- Move passenger to the "best" usable exit. The term "best" is used since the nearest exit may not work (door is too narrow, lift platform may be blocking doorway, door may be jammed, etc.).
- Move passengers from floor level to ground level.
- Move passenger away from the vehicle to a safe location.
- Assist the passenger back into their wheelchair if wheelchair can be safely recovered and conditions permit.

You can perform some evacuation techniques safely with no assistance. Some techniques require the assistance of at least one other person. Narrow confines of most vehicles make it difficult for two people to work together. However, moving passengers from floor level to ground level and from there to safety may be more speedily and safely accomplished with help.

VEHICLE BREAKDOWN PROCEDURES

Follow the same steps you follow in an accident discussed earlier in this chapter. You will not have any injured passengers, but still need to keep them as comfortable as possible; always informing them of the reason for delay and what is being done to correct the problem. Keep the passengers on the vehicle unless they are to be transferred to another vehicle or will be in danger if they remain on board. The dispatcher will tell you when another vehicle will be sent to transport them to their destinations.

Road Call

A road call is defined as a vehicle which is disabled and requires a technician or the Fleet Manager to travel to the disabled vehicle and either performs safe repairs on the vehicle to allow the vehicle to continue service, or trade a vehicle for service and return the disabled vehicle back to the facility.

The following will be steps that will be followed to assure expedient dispatch of a staff member or technician and return of the service. A vehicle driver calls and states that either their vehicle is disabled or something is not operating properly on their vehicle.

- Dispatch will determine a protocol to refer to if there is an equipment malfunction on the vehicle. If the vehicle is totally disabled or the dispatcher has completed the protocol for the particular piece of equipment malfunctioning, i.e., wheelchair lift, then proceed to the next step.

- Attain a breakdown report and complete the form accurately.
- Submit the report to the Fleet Manager.
- The Fleet Manager will review the description of the problem and determine if a vehicle is needed or if repairs can be made efficiently.
- The Fleet Manager will immediately send a technician to the disabled vehicle to return the vehicle back into service.
- The Fleet Manager will either take a vehicle for the driver to complete their route or bring it back to the facility, or if time permits, repair the vehicle on scene and allow the driver to use that vehicle for service.
- The Fleet Manager will then develop a report that tracks the breakdowns. The breakdowns will be categorized by the following:
 - Power Train
 - Drive Train
 - Electrical system malfunction
 - Suspension and steering system
 - Brake system malfunction
 - Wheelchair lift malfunction
 - Accident
 - Preventable
 - Non preventable
- The Fleet Manager will determine if the cause of the breakdown was preventable or non preventable. If it was felt that this breakdown was preventable, and then the Fleet Manager will take steps to inform all who apply, in detail, that the breakdown was preventable, how it was preventable, and what steps are taken to assure that the same type of breakdown will be prevented in the future.

Towing

Towing will be required if the vehicle is disabled and cannot be appropriately repaired at the scene where it is disabled or if there are no technicians available to perform service on the disabled vehicle. In either case the Fleet Manager must be notified prior to any arrangement made for the vehicle to be towed, unless the Fleet Manager is unavailable. If the Fleet Manager is unavailable, then the decision will be made by the current supervisor, and arrangements will be made to tow the vehicle.

Only use properly authorized towing companies listed by management. All tows will be tracked and analyze reasons towed.

PASSENGER RELATIONS

PASSENGER ASSISTANCE POLICY

Drivers and child care aides will provide passenger assistance to all passengers. Except for deviated routes, drivers shall assist passengers door-to-door. Drivers are not permitted to enter a passenger's home for any reason, except in an extreme emergency. Drivers must render assistance to passengers who use the wheelchair lift. Drivers are also expected to render assistance while passengers board or disembark from vehicle and to passengers who need help getting seated and secured. Drivers must visually check to make sure all passengers have seat belts on before proceeding on the route.

Passengers are asked to be ready for pick up at least an hour before their appointment time. Passengers should wait at a main entrance or curbside. Mountain Mobility will not phone passengers to provide pick-up times or to alert a passenger of the vehicle's arrival. Passengers should board the van upon its arrival. Drivers will sound a short blow on the vehicle horn immediately upon arrival. If the passenger does not come out within five (5) minutes, the driver will knock on the passenger's door to notify them of their presence. Return trip pick-ups will be at the original drop-off location unless other arrangements are made in advance. Drivers are not allowed to enter private homes, apartments, doctors' offices, grocery stores, office buildings, etc.

While Mountain Mobility will encourage a passenger in a wheelchair to have a ramp from their house or porch to ground level, under no circumstances are drivers to assist wheelchair passengers up or down more than two (2) steps.

Guide animals are allowed on all vehicles.

Passengers are allowed to bring as many "grocery bag size" packages on the vehicle as they can carry themselves. Drivers shall assist passengers in unloading packages from the vehicle providing curb-to-curb service, and, if noted on the manifest, in carrying the packages to the door of their residence.

A PASSENGER

A passenger is the most important person in our business... in person, by phone or by mail.

A passenger is not dependent on us...we are dependent on him/her.

A passenger is not an interruption of our work...he/she is the purpose of it. We are not doing him/her a favor by serving... he/she is doing us a favor by giving us the opportunity to serve.

A passenger is not an outsider to our business...he/she is it.

A passenger is not a cold statistic...he/she is flesh and blood, a human being with feeling and emotions like you and me...and with biases and prejudices...likes and dislikes.

A **passenger** is not someone to argue with or match wits with...or even try to outsmart. No one ever won an argument with a passenger.

A **passenger** is a person who brings us wants. It is our job to handle his/her requirements so pleasantly and so helpfully that he/she will ride with us again and again.

BASIC PASSENGER RELATIONS SKILLS

There are three basic rules or skills that a transit vehicle driver must follow in practicing professional passenger relations. They are:

- **PROVIDE SAFE, RELIABLE, AND EXPERT SERVICE**
- **BE COURTEOUS AND PATIENT**
- **AVOID ARGUMENTS**

Provide safe, reliable and expert service. This means.....

- Depart on time and try to stay on schedule, but never at the expense of passenger safety and comfort.
- Drive safely and smoothly at all times
- Adjust temperature controls for the comfort of passengers whenever possible.
- Supply accurate information about the service.
- Answer questions politely and completely.
- When giving directions or other information - speak clearly, calmly and with respect.

Be courteous and patient.

- Use respectful language and tone of voice.
- Do not swear or call names. Avoid sarcasm.
- Never shout at or strike a passenger.
- Keep passengers informed.
- Never embarrass your passengers.

Avoid arguments.

- Remain polite.
- Avoid lengthy discussions about policy or your actions.
- Remember that it takes two people to have an argument.

DRIVER'S PERSONAL APPEARANCE AND HYGIENE

Many riders judge a transit system as much by the driver's personal appearance as they do by the quality of the transportation service. As a driver, your personal appearance and grooming should present a professional image. Your wearing apparel should be clean and in order. Some wrinkles or dust may be inevitable but you shouldn't look like you slept in your clothes! You should also take reasonable efforts to keep your hair combed and avoid unpleasant body odors or bad breath. Of course, passengers that don't practice good grooming and personal hygiene still expect you to do it because they consider you to be a professional.

DRIVER ATTITUDE AND DEMEANOR

Your attitude may very well determine just how pleasant, or unpleasant, a passenger's ride is going to be. Even though some passengers don't always show it, a nice smile and a pleasant "hello" or other friendly greeting is appreciated. It's possible that passengers have had a terrible day until they board your vehicle and you have the opportunity to be their first pleasant experience of the day.

PASSENGER COMPLAINTS

While some passenger's complaints are justified, it is important that ALL complaints be handled in a professional manner. Even if you as a driver cannot do anything about the complaints, it is imperative that you always remain courteous and polite. Even if you are right, you will not solve anything by arguing with a passenger. If you let passenger remarks escalate into a confrontation, you could end up having an accident down the road due to the stress created by the confrontation. Human nature may prompt you to verbally retaliate to rude remarks and comments but COMMON SENSE should dictate that safe driving is more important than getting in the last word.

Additional information is provided in the "Customer Service" training section.

EATING OR DRINKING ON THE VEHICLE

For safety reasons, neither you nor your passengers may eat or drink on the vehicle when it is in service. In some states, consumption of food and drink on transit vehicles is against the law. Even when it is not against the law, consumption of food and drink could be dangerous. If a passenger is permitted to eat or drink on a vehicle due to medical reasons, the daily manifest will include that information under the "Comments" section.

If any food or drink gets spilled on the vehicle, it could cause someone to get burned or wet and it could cause a passenger (or you) to slip and fall. If a passenger attempts to bring food or drink aboard for consumption on your vehicle, you have three options that can assist you in solving the problem. They are:

- Ask them to cover the drinks and wrap the food so it can be consumed after they disembark.

Or

- Ask them to throw the food away or disembark, consume the food and drink, and then wait for the next run.

Or

- Deny service and refuse to board them while they have food and drink.

PROHIBITED ACTIVITIES ON VEHICLES (SMOKING/CONCEALED WEAPONS)

Smoking of any tobacco product or other substance and the carrying of a lighted cigar, cigarette, or pipe at any time in a Mountain Mobility vehicle is prohibited. In most areas, smoking on transit vehicles is prohibited by law. It presents a health danger to passengers with respiratory problems and creates an unnecessary fire hazard. Improper use of smokeless tobacco products can result in slips and falls as well as unsanitary vehicles.

Concealed weapons are prohibited in the facility, in any Mountain Mobility vehicle, and on any employee or passenger served.

These policies shall apply to drivers, escorts, and passengers on a vehicle.

HANDLING PASSENGERS IN PAIN

Many elderly and/or disabled persons must live with pain on a daily basis. Even with medication, some persons still experience considerable pain. Since people in pain may be difficult to deal with, you must be very patient with them. A comfortable ride can greatly improve a passenger's attitude. For example, passengers with arthritis can receive considerable pain every time your vehicle hits a bump or chuckhole at a higher than necessary speed. Since some road bumps cannot be avoided, you should at least slow down before hitting them. Sometimes, arthritic passengers can minimize the effect of road bumps by avoiding seats over axles and carefully selecting seats close to the middle of the vehicle.

PASSENGER WITH PERSONAL ASSISTIVE DEVICES

Since many passengers in special and rural transit systems use personal assistive devices, there are some things about the passengers and their assistive devices that you should consider.

Crutches

There are underarm, forearm, and full arm crutches. Underarm crutches are usually constructed of wood or aluminum and are generally used for temporary disablements such as sprains and fractures. Usually if the disablement is more of a permanent nature, the crutch will be made of metal and designed to aid the user or completely support the user. Passengers who use crutches will usually have difficulty in achieving and maintaining their balance in standing and walking. Never attempt to assist passengers with crutches unless you advise them first. Remember, balance is already a problem for them and if you approach them unannounced, you could cause them to fall.

Canes

Passengers use canes for two purposes. Most canes are used to assist the passenger in standing and walking. However, white canes are used by the blind as "feelers" and generally not relied upon as a means of physical support. Canes and other personal assistive devices should be stored so that they do not interfere with any movement inside the vehicle. Passengers who use canes for balance usually require minimal assistance from the driver. If you find it necessary to assist such a passenger, do so from the side opposite the cane.

Walkers

Most people who use walkers do so as a substitute for crutches. Walkers tend to provide a more stable base than crutches and are usually necessary for the person to move about. Most walkers collapse easily for storage. Passengers using walkers may have a tendency to fall backwards and may need assistance in sitting down or standing up.

Braces and Artificial Limbs

There are two basic types of leg braces. One is a brace for the ankle which does not extend above the knee and keeps the wearer from dragging the toe. The other type, the knee brace, may be worn for the ankle and/or the knee and extend almost to the hip. It is designed to keep the wearer's knee locked for standing and walking. Passengers with braces will need more room to maneuver while trying to sit or stand. Brace wearers may also have a problem with balance.

Passengers with an arm prosthesis, or artificial arm, do not usually have a mobility problem because of the prosthesis. However, they may have problems paying fares, fastening seat belts, and holding on or maintaining balance.

Passengers with artificial legs will have mobility that is dependent on the level of amputation. For example, an amputee with one or both legs off below the knee generally will have few problems in walking with properly fitting prosthesis. Amputees with legs missing above the knee may require hand rails for stability when walking. They will also be slower using stairs or

ramps. An important point to remember about passengers with artificial legs is that their ability to walk well diminishes with the aging process.

Remember, amputees are missing some of the skin area through which the body dissipates heat. Accordingly, they may experience problems staying cool in hot weather.

BLIND AND VISUALLY IMPAIRED PASSENGERS

There are about 1 1/2 million legally blind persons and over 5 million visually impaired persons in the United States. Persons considered to be legally blind may carry one of two types of white canes. The white canes are generally not used as support but assist the blind in feeling their way. One cane is a rigid type while the other kind folds up for storage while the passenger is seated. Some simple but important techniques to use with blind and sight impaired passengers are:

If you must escort or lead the passenger to your vehicle, you should:

1. Remain on the side opposite the white cane and have them hold your arm.
2. Don't touch the passenger until you tell them who you are and what you intend to do.
3. Have them walk next to you and you should lead them by about half a step or half a pace. This way, if you forget to tell them the direction of travel or distance up or down (such as 6 inches, 8 inches, one foot, etc.) they will still be able to follow your lead by holding your arm.
4. If you must escort them through a narrow space, tell them ahead of time and drop your arm back so that they can walk almost directly behind you.
5. Call out all turns or other maneuvers well in advance, at least 20 feet.
6. Be sure to advise them of any changes, such as hard to soft ground or small steps to large steps.
7. You must be absolutely sure that the stop command will be immediately obeyed by the blind person during the escorting process. You may not have time to explain the potential hazards before giving the stop command.
8. Before boarding the person, take their hand and show them the top, bottom, and sides of the door opening as well as the seat and any possible hazards between the door and the seat.
9. If it is necessary to store the person's cane that cannot be folded, tell the person before you touch the cane and explain what you are going to do and why.
10. If the passenger uses a guide dog, it may be helpful for you to learn the name of the dog for future reference. While most guide dogs usually have a gentle nature, you should still avoid any sudden or abrupt movements toward the dog or the passenger.

11. When possible, visually impaired or blind persons should be seated against vehicle walls or in seats with arm rests. This helps them avoid falls during sudden vehicle movements, such as emergency braking or swerving of the vehicle.

12. Since most blind persons usually have an exceptional sense of hearing, it is not necessary to shout when communicating with them.

13. When possible, advise blind or visually impaired passengers about upcoming road problems such as chuckholes or railroad tracks.

DEAF/HEARING IMPAIRED PASSENGERS

There are over 14 million people in the United States that suffer from deafness or a significant hearing loss. While some passengers rely on hearing aids, you should remember that hearing aids amplify all noises, not just voices. Most deaf or hearing impaired passengers will communicate by lip reading with an oral response or by use of hand signs and finger spelling.

When communicating with deaf passengers that read lips, you should:

- Look directly at them so they can see your lips.
- Talk normally and don't exaggerate your speech or lip movements. (Note: accents, such as drawls, do not normally affect lip reading.)
- Speak with moderate speed, don't rush your words.
- Be prepared to repeat yourself. Even expert lip readers will only understand about 75 percent of what you say the first time.
- Get another person to talk to them if the lip reader has trouble reading your lips.

When communicating with persons using hand signals and finger spelling, you should:

- Remember that it takes practice to become skillful in using hand signals and finger spelling.
- Use a pad and pencil when necessary.
- Keep your messages as clear and simple as possible.
- Remember that not all hearing impaired persons can speak well.
- Never shout at a totally hearing impaired person. They can't hear you.

SPEECH IMPAIRED PASSENGERS

There are many different reasons for speech impairment or total loss of speech, including cancer and stroke. When possible, keep a pad and pencil available for the speech impaired. Some techniques for dealing with the speech impaired are:

- Do not lead them to believe that you understood what they said if, in reality, you did not understand.
- If you think you understood what they said, repeat it so that they can either confirm or deny what was said.
- Persons with speech impairments are used to not being understood, so don't hesitate to ask them to repeat the parts you didn't understand. They will appreciate your willingness to try to understand.
- Be patient with them. Almost any type of speech impairment will become aggravated if the person gets frustrated or uncomfortable.

DEVELOPMENTALLY DISABLED PASSENGERS

When dealing with persons who are developmentally disabled, the following points should be kept in mind.

- They may have a reduced ability to understand instructions.
- They may experience disorientation.
- They may become easily excited or agitated.
- New rules and routines of riding in the system may be difficult for them to adjust to.

When communicating with the developmentally disabled persons, remember:

- To repeat instructions if necessary.
- To be patient and caring. It demonstrates PROFESSIONALISM.
- To be firm, if they insist on wanting to do something that will endanger you, them or the other passengers.

PASSENGERS IN WHEELCHAIRS

If your system transports passengers who use wheelchairs, there are several points of information and guidelines you should know. They are:

- Always check the grips on the push handles. They should not be loose. If they are loose, you could lose control of the chair.
- ALWAYS treat the wheelchair as if the brakes didn't function at all.
- Any time wheelchair passengers attempt to stand, sit, or transfer, the wheelchair should be prevented from moving or tipping by some means **in addition to the brakes**.
- Never lift a wheelchair by its wheels. Lifting the chair by the wheels will cause it to spin and eject the occupant or damage the chair itself.
- When possible, do not restrain the wheelchair and its occupant with the same belt. By using the same belt, you could bring the full weight of the chair against the passenger in an emergency stop or accident, and cause serious or even fatal injuries to the occupant.
- Wherever possible, place yourself on the downhill side of the chair when going up or down curbs, steps, and ramps. This will minimize the risk of losing control of the passenger and the chair.
- Wear shoes with anti-slip soles to avoid any chance of slipping or falling and losing control of the chair.
- Use trained and qualified help in taking wheelchair passengers up or down multiple steps.
- Never attempt to lift a wheelchair by the foot rests when going up or down multiple steps. It takes only a minimal amount of lifting force to pull them off the chair.
- When negotiating a wheelchair up or down multiple steps, make sure your qualified assistant obtains a grip on the **frame** of the wheelchair.
- Before moving the chair up or down a vehicle ramp, make sure the ramp is securely attached to the vehicle.
- When boarding a wheelchair passenger on a lift, make sure:
 1. That access to the lift is clear.
 2. That the safety rail is securely in place.
 3. That the passenger's feet are clear of the toe guard flap.
 4. That the passenger keeps arms and hands in their lap.
 5. That there is sufficient room for the passenger to bend the neck to clear the top of the vehicle loading doorway. If the passenger's neck cannot be bent, the chair may have to be tilted to get safely aboard the vehicle from a lift.
 6. That they are boarded and then properly secured.

- Always secure a wheelchair if there is a passenger in it. Also, if you stow an empty wheelchair, make sure it is also secured from moving about, especially in an emergency braking situation or defensive maneuver.

PASSENGERS WITH EPILEPSY

While most persons with epilepsy are born with it, it can also be acquired as the result of a head injury. As a driver, you need to understand what happens to a person with epilepsy if they have a seizure. There are basically three kinds of seizures you are apt to encounter as a driver. They are:

Psychomotor Seizure

This is characterized by seemingly inappropriate or meaningless behavior. It can last anywhere from 2-5 minutes and may occur once a week, a month, or yearly. The person suffering the seizure may not remember the episode.

Petit Mal Seizure

This is simply a staring spell similar to day dreaming and usually will last only a few seconds or less than a minute. These can happen hourly. This seizure may also be followed by a grand mal seizure.

Grand Mal Seizure

This seizure is characterized by a full body spasm or convulsion. It involves violent shaking of the entire body along with temporary unconsciousness, both lasting from 2 to 5 minutes. They can occur several times a day or as infrequently as once a year or longer. Sometimes, a person with epilepsy will experience what is called an aura which is generally followed by the seizure. The seizure can also be triggered by such things as heat, fatigue, or flickering or flashing lights. This seizure has the greatest potential for injury to the person with epilepsy and could present a problem for the driver. The Epilepsy Foundation of America makes the following recommendations for dealing with persons suffering a grand mal seizure:

- Clear the area around the person so that injuries are not incurred by rough or sharp objects. Cushion the head and remove eyeglasses.
- Do not attempt to restrain the person. The seizure must run its course.
- Contrary to some opinions, don't put anything in the person's mouth.
- Keep other passengers from crowding in.
- Remember, the person has expended a lot of energy during the seizures and may need to rest after the seizure.

- Notify the dispatcher by radio and tell any employee where you are and about the seizure.
- DO NOT CALL 911 unless further injury occurs as a result of the seizure.
- The dispatcher will contact management and/or call the rider's referring agency to determine whether the rider's agency and/or caregiver has further instructions.

CHILD TRANSPORTATION GUIDELINES

No person under the age of eight (8) will be authorized to ride without being accompanied by a responsible caretaker age eighteen (18) or older. All persons under the age of eighteen (18) shall be required to have an up-to-date Authorization for the Transportation of Children form on file with Mountain Mobility.

In addition, G.S. 110-91, effective January 1986, as amended, more particularly Rules .1001 through .1004, sets forth mandatory standards for the transportation of children to child care centers. These standards are applicable regardless of whether the center operates its own transportation program or whether it contracts with any outside provider (agency, coordinated, transit, school systems, taxi-cab company, volunteer network, etc.) to transport children to the center. Exceptions would be applicable in instances where vehicles utilized are exempt by federal or state law (e.g., school buses), as defined within the mandatory standards.

Notwithstanding or limiting other requirements, Mountain Mobility shall adhere to the following procedures and guidelines when transporting children who are between the ages of 0 to 8 and when transporting children with disabilities who are between the ages of 0 and 14:

- In addition to the driver, Mountain Mobility is required to meet the requirements for and employ sufficient child monitors when transporting children to/from child care centers and developmental day care centers for children. The number of required child monitors shall comply with the staff/child ratio requirements for child day care/developmental day care services in North Carolina. Mountain Mobility and Buncombe County Child Care Services will work cooperatively to determine and maintain compliance with mandatory standards.
- An appropriate child passenger restraint device (car seat) shall be used for each child as required under law. Each restraint device shall be of a type and installed in a manner approved by the Commissioner of Motor Vehicles. The number of children transported on one vehicle shall never exceed the number of seat belts available to secure car seats or each child.
- The driver (or the child monitor if one is required) shall be responsible for ensuring that the children are safely received at drop-off points. The driver (or the child monitor if one is required) shall be responsible for ensuring that all children are secured and remain in appropriate safety restraints. The driver (or the child monitor if one is required) shall be responsible for ensuring that the child's behavior does not disrupt the safe operation of the vehicle or the safety of other passengers. The driver (or the child monitor if one is required)

shall be responsible for ensuring that all children are received by a specified parent or other responsible designated person or agency.

- The driver shall be responsible for the safe operation of the vehicle and all equipment utilized thereon.
- Children shall not be left unattended in a vehicle.
- Children shall enter and leave the vehicle from the curbside unless the vehicle is in a protected parking area or driveway.
- On-board equipment (first-aid kits, fire extinguishers, etc.) shall be located in each vehicle and will be firmly mounted or otherwise secured. There shall be no loose, heavy objects in the passenger area of any vehicle. Under no circumstances shall items such as anti-freeze, oils, lubricants, etc., be carried on a vehicle that is transporting children.
- All doors shall be kept locked whenever the vehicle is in motion.
- Children shall not be allowed to be transported on trips or routes which require more than sixty (60) minutes of riding.
- Vehicle climate shall be maintained between 65 and 85 degrees Fahrenheit in the passenger compartment.
- All vehicles used to transport children in snow and ice shall be equipped with snow tires and/or chains.
- Except in emergency cases, all children shall be received at pick-up points and drop-off points by a parent or other responsible person as designated by the parent, guardian, or contracting agency. Children shall not be released to other persons not so designated in writing.
- In emergency cases, Mountain Mobility may accept verbal requests from a parent or guardian to provide alternate service to/from the residence of one of the designated responsible persons. Children shall not be released to other persons not so designated in writing by the parent or guardian.
- If a parent or the designated responsible person alternatively specified is not present to receive a child, the child shall be returned to the agency or facility from which the child was picked up. If no one is present at the agency/facility to receive the child, the child shall be referred and taken to the Department of Social Services and placed in Child Protective Services.
- Parents, guardians, and/or contracting agencies shall adhere to the guidelines and procedures established if transportation services for children are requested.
 - In accordance with Rule .1003, drivers and child monitors who transport children shall be fingerprinted and have a local criminal background check.

CHILD CAR SEAT POLICY

- This policy pertains to all children transported by Mountain Mobility and should be used as guideline for all Mountain Mobility employees when transporting children.
- An appropriate child passenger restraint device (car seat) shall be used for each child as required under law. Each restraint device shall be of a type and installed in a manner approved by the Commissioner of Motor Vehicles. The number of children transported on one vehicle shall never exceed the number of seat belts available to secure car seats or each child.
- Mountain Mobility drivers and child monitors are required to only transport children within child passenger restraint devices (car seats) provided by Mountain Mobility.
- No Mountain Mobility driver or Child monitor is to ever use a child passenger restraint device (car seat) provided by passengers, doctor's offices, day-care centers, etc.

MOUNTAIN MOBILITY

Buncombe County's Community Transportation Program



PASSENGER, VEHICLE AND SYSTEM **SAFETY PROGRAM PLAN**



Adoption Date: July 20, 2004
Revised April, 2010

SECTION 3 – SAFETY DATA ACQUISITION AND ANALYSIS

SAFETY PLAN POLICY

Safety is a shared responsibility between system management, employees and passengers.

At *Mountain Mobility*, Buncombe County's Community Transportation Program, safety is top priority. In June 2005, Buncombe County assumed direct responsibility of all components of the transportation system including operations and maintenance. Providing safe on-the-road services continues to be our goal. We agree that safety is a process, a way of thinking and acting about the environment within which we operate.

It is the policy of *Mountain Mobility* to provide a place of employment that is free from recognized hazards that could result in death or serious injury to employees, customers or the general public. It is the responsibility of each employee to report all incidents or unsafe conditions to their supervisor. Supervisors must immediately take necessary corrective action to prevent unsafe conditions.

It is also the policy of *Mountain Mobility* to require that safety training and the use of safe protective equipment and procedures are adhered to at all times. Individual employees are expected to perform their duties in a safe and responsible manner, as safe work behavior is a condition of employment.

Prohibited behaviors are behaviors that are in violation of the Safety Program Plan. Such behaviors include behaviors that threaten the safety of employees, customers and the general public. Other unacceptable behaviors include those that result in damage to system, employee or public property.

An employee who intentionally violates safety policy and procedures will be subject to appropriate disciplinary action, as determined by the findings of an investigation. Such discipline may include warnings, demotion, suspension or immediate dismissal. In addition, such actions may cause the employee to be held legally liable under State or Federal Law.

MOUNTAIN MOBILITY SAFETY SLOGAN

Safety - The Measure of Success

SAFETY PLAN PURPOSE

This Safety Program Plan shall serve as a guide in the process for preventing accidents and injuries to customers, employees and the general public. It lists resources for completing all of the necessary reports for accountability to safety in the Transportation Division.

This Safety Program Plan shall serve to comply with requirements that Community Transportation Systems which receive federal and/or state funds have an approved Safety Program Plan that promotes safe public transportation services as described in the aforementioned Resolution passed by the North Carolina Board of Transportation on September 5, 2002.

All *Mountain Mobility* staff are employees of the Buncombe County Planning and Development Department in the Transportation Division and shall adhere to the safety policies and procedures outlined in this Safety Program Plan and the *Transportation Policies and Procedures Manual* located in the Operations Manager's or System Administrator's office.

County employees also shall adhere to the Buncombe County Procedure for Reporting On-The-Job Injuries, the Buncombe County Accident Reporting Procedures, the County of Buncombe Vehicle Policy and the Procedures for Reporting Third-Party Non-Emergency Injuries While on County-Owned Properties located in the Buncombe County Personnel Ordinance file in the Operations Manager's or System Administrator's office.

SAFETY OBJECTIVES

Mountain Mobility's system safety objectives are to:

1. Ensure safety is addressed during system planning, design and construction
2. Provide analysis tools and methodologies to promote safe system operation through the identification of safety hazards and the implementation of technology, procedures, training, and safety devices to resolve these hazards

TRANSIT SYSTEM SAFETY PHILOSOPHY

NCDOT Safety Philosophy Statements

A Safety Philosophy is part of the North Carolina Department of Transportation (NCDOT) mission. North Carolina public transit systems can uphold this mission by acknowledging and implementing the NCDOT safety philosophy statements shown below:

- ❖ All accidents and injuries can be prevented.
- ❖ Management/supervisors are responsible, and will be held accountable, for preventing injuries and occupational illnesses.
- ❖ Occupational safety and health is part of every employee's total job performance.
- ❖ Working safely is a condition of employment.
- ❖ All workplace hazards can be safeguarded.
- ❖ Training employees to work safely is essential and is the responsibility of management/supervision.
- ❖ Preventing personal injuries and accidents is good business.

SYSTEM GOALS

As a public transportation provider in North Carolina, Mountain Mobility will utilize and uphold statewide safety goals. These goals include:

- ❖ Instilling a safety attitude and a safe work place/customer service environment
- ❖ Establishing a commitment to safety
- ❖ Developing and maintaining a comprehensive, structured safety program
- ❖ Developing and maintaining safety standards and procedures
- ❖ Providing formalized safety training
- ❖ Reducing accident and injury rates
- ❖ Selecting equipment that promotes and enhances safety
- ❖ Safeguarding hazards
- ❖ Making necessary changes in the system to uphold safety
- ❖ Increasing employee safety awareness
- ❖ Applying new research and development in safety efforts

Objectives for attaining and supporting the above goals and any other goals established to assure the safety of passengers and employees shall be determined annually based on the previous year's safety record and needs of the system, employees, and passengers.

SAFETY FUNCTIONS ACTION PLAN

Mountain Mobility's SSPP lists the actions that will be used in developing and carrying out a safety and emergency response program. When all aspects are implemented, the action plan will help Mountain Mobility to address emergency and fire prevention requirements that will protect people, property and the environment.

Safety Functions of the Safety Manager

- Provide training to all employees for their roles in all safety and emergency plans
- Conduct quarterly drills to exercise the emergency response plans
- Annually conduct emergency rescue from confined space drill
- Conduct all other actions required in the system safety plan to implement, develop and maintain an effective Emergency Response Plan

Safety Functions of the Fleet Manager

- Ensure operations personnel are trained in the proper procedures for chemical handling and storage procedures, potential ignition sources (such as motor oil and other automobile related fluids) and their control procedures, and the type of fire protection equipment or systems installed to prevent or control ignitions or fires.
- Ensure that personnel are properly trained and equipped to carry out safety and emergency plans.
- Express responsibility for the maintenance of equipment and systems installed to prevent or control ignitions or fires. The fleet manager is also responsible for the control of fuel source hazards. The manager should have written maintenance procedures available in the Fleet Manager's Office.

Overall System Fire Prevention Functions

- The entire facility should be protected by an automatic water sprinkler system. Inspection and maintenance procedures are maintained by the maintenance manager.
- If smoking is permitted, designated smoking areas are established and regulations are located on bulletin boards throughout the facility.
- If welding and hot work are done at the system facility, a fire prevention plan for welding and hot work should be included in the system safety program.
- The alarm systems are maintained by the facility manager who Mountain Mobility leases office space from. Each alarm should be tested monthly; supervisors should be notified before the test.

SAFETY RESPONSIBILITIES – SPECIFIC POSITIONS

Operations Manager

Under the direction of Mountain Mobility's Operations Manager there is:

- An active Safety Committee, consisting of the Transit Trainer/Safety Manager, Fleet Manager, and other designated persons, meeting on a scheduled basis.
- A thorough and effective Accident Investigation to include reporting and recording procedure, and a written report on actions taken to prevent recurrence of accidents, including action taken against individual violators of safety rules and practices.
- A training program for employees and supervisory personnel directly related to avoiding a possible injury or illness in the area of assigned operations.
- A periodic audit of all premises, equipment, and, materials so that recommendations can be developed to obtain compliance with established standards.
- A communications system established and maintained to ensure that all personnel responsible for safety matters are kept abreast of new standards or procedures published by the Department of Labor.
- Specific goals established for the safety program, with progress toward those goals measured on a monthly basis. Copies of monthly progress reports are forwarded to the Administrator/Director.

The seven steps Mountain Mobility will use to achieve its safety policy is through:

- A Safety Manual
- A Safety Manager
- A Safety Committee
- Employee Training and Supervision
- Employee Safety Meetings
- Accident Investigation
- Departmental Self-Inspection

Management

Management will demonstrate support for the safety program through every visible means, including:

- Providing a safe and healthful work place.
- Providing personal protective equipment as well as machine guards and safety devices commensurate with the state of the art.
- Reviewing accident records and accomplishments of the safety program with the Safety Committee.
- Evaluating effectiveness of the safety program.
- Participating directly and/or indirectly in safety activities as may be required to maintain the enthusiasm and interest off all concerned.
- Abiding by Safety rules and regulations when exposed to conditions governed by the rules.
- Directing that any flagrant disregard of safety rules and regulations by employees be grounds for dismissal as outlined in Personnel Policy.

Responsibility

Mountain Mobility's Operation Manager is directly responsible for all safety efforts in the organization. Enthusiasm and faith in the safety program must be such as to maintain the interest and support of all Department Heads and Supervisors. This attitude is reflected down through the Department Heads and Supervisors to the individual workers. The specific accident prevention duties include the following:

- Active participation and direction in the planning of details for accident prevention which will bring the best results for all employees. Expansion and adaptation of program and procedures to all departments within the organization.
- Demonstrated support of the program through personal participation and through approval of necessary expenditures for such items as personal protective equipment, mechanical guards, good lighting, good ventilation, and other physical improvements to the working environment, as well as expenditures for safety training materials, awards and incentives, etc.
- Continuing review of the effectiveness of accident prevention efforts in various sections and departments, with necessary follow-up and bolstering of efforts when required.

Being that Mountain Mobility's Operations Manager serves as the supervisor of all operations employees the following guidelines are applicable.

Mountain Mobility's Operations Manager is the key person in the scheme of loss control because of their close relationship with the employees and intimate knowledge of operating procedures.

Mountain Mobility's Operations Manager is charged with the responsibilities of quality and quantity of production within the department, and therefore is responsible for the work conduct of same. Mountain Mobility's Operations Manager will be afforded the necessary tools and knowledge to carry out their duties with efficiency and safety.

Mountain Mobility's Operations Manager will:

- Have a thorough knowledge of System Safety Policy.
- Provide instruction and training to workers so that they conduct their job in a safe manner. [(See Section II on Training New Employees)]
- Make daily inspections of the department to ensure that no unsafe conditions or unsafe practices exist.
- Initiate immediate corrective action where unsafe conditions or practices are found. When a capital expenditure is required to make necessary corrections, a written report shall be submitted to the System Administrator and the Safety Manager.
- Properly complete accident reports and investigate all accidents to determine what must be done to prevent recurrence of a similar accident.
- Be familiar with procedures that must be followed in case of an emergency.
- Enforce safety rules and regulations of the organization.
- Set a good example for safety by working in a safe manner and encouraging others to do so.

Safety Manager Responsibility

Implement and administer the safety program.

- Maintain records as necessary to comply with laws and objectives of the safety program. These records should include:
 - Copy of Report of Injury, illness or Accident
 - Supervisor's Accident Investigation Reports
 - Required OSHA forms
 - Minutes of all Safety Meetings
 - Safety Program status reports
- Submit status reports to Safety Committee
- Make periodic visits to all buildings/operations to assist and consult in developing safe work methods, accident investigations, training, and other technical assistance.
- Analyze accident reports and investigations weekly.
- Act as Chairperson of the Safety Committee.
- Promote "safety awareness" in all employees through stimulating educational training programs.
- Compliance with all OSHA, state and local laws, and established safety standards.
- Assist Operations Manager in all matters pertaining to safety.
- Maintain contact with available sources of topical safety information such as American Society of Safety Engineers, National Safety Council, NCALGESCO, NC Department of Labor, and NC Industrial Commission.
- Provide training programs for all operations employees.
- Represent management in the implementation of the Safety Policy.
- Recommend immediate corrective action in cases of hazardous operations.
- Submit a copy of Accident/Incident Reports to NCDOT/PTD Safety & Training Unit

Employees

To assist the employee in developing keen "safety awareness" the following responsibilities are assigned:

- To abide by the safety rules and regulations of the organization.
- To regard the safety of fellow workers at all times.
- To report any unsafe condition to the Supervisor.
- To contribute ideas and suggestions for improving the safety of conditions or procedures to the Supervisor.
- To use individual knowledge and influence to prevent accidents.
- To attend safety training sessions.
- To report accidents and injuries immediately.

RELATIONSHIP BETWEEN SYSTEM SAFETY AND SYSTEM OPERATIONS

Management of Unsafe Conditions

- Eliminate hazards by removing the machines, tool, method, material, or structure that is causing the hazard through appropriate means. Contacting officials of OSHA, or EPA, may be necessary for proper disposal.
- Control the hazard by enclosing or guarding the point of hazard at the source.
- Train personnel on steps to take when confronted by a hazardous condition and provide procedures to safely avoid the hazard.
- Provide and ensure the use of personal protective equipment to shield employees from the hazard.

At no time should protective devices or safety practices be set aside to get the job done faster and cheaper. The price paid for such indiscretion may greatly exceed the anticipated gain from the action.

Designated Safety Manager (*David Miller*)

The designated Safety Manager is the individual who is directly responsible for implementing the System Safety Program. It is the basic responsibility of the Safety Manager to plan and conduct safe operations. **It is also the duty and responsibility of Safety Manager to fully orient and instruct all employees in safe practices and procedures.** He or she is expected to be a member of the safety and Accident Review Committee and be in charge of collecting and disseminating safety data. The designated Safety Manager is specifically charged with the following responsibilities for the System Safety Program:

- Have full knowledge of all standard and emergency operating procedures;
- Perform safety audits of operations;
- Ensure that employees make safety a primary concern when on the job;
- Actively investigate all incidents and accidents;
- Prohibit unsafe conduct and conditions;
- Conduct safety meetings which are a vital part of safety atmosphere;
- Listen and act upon any safety concerns raised by employees; and
- Report to management any safety concerns or possible hazards.

Employees

It is the responsibility of each employee of Mountain Mobility to abide by all rules and regulations and to comply with all laws pertaining to safety and health in the workplace. Safety becomes a shared responsibility between management and the employee, and working safely is a condition of employment.

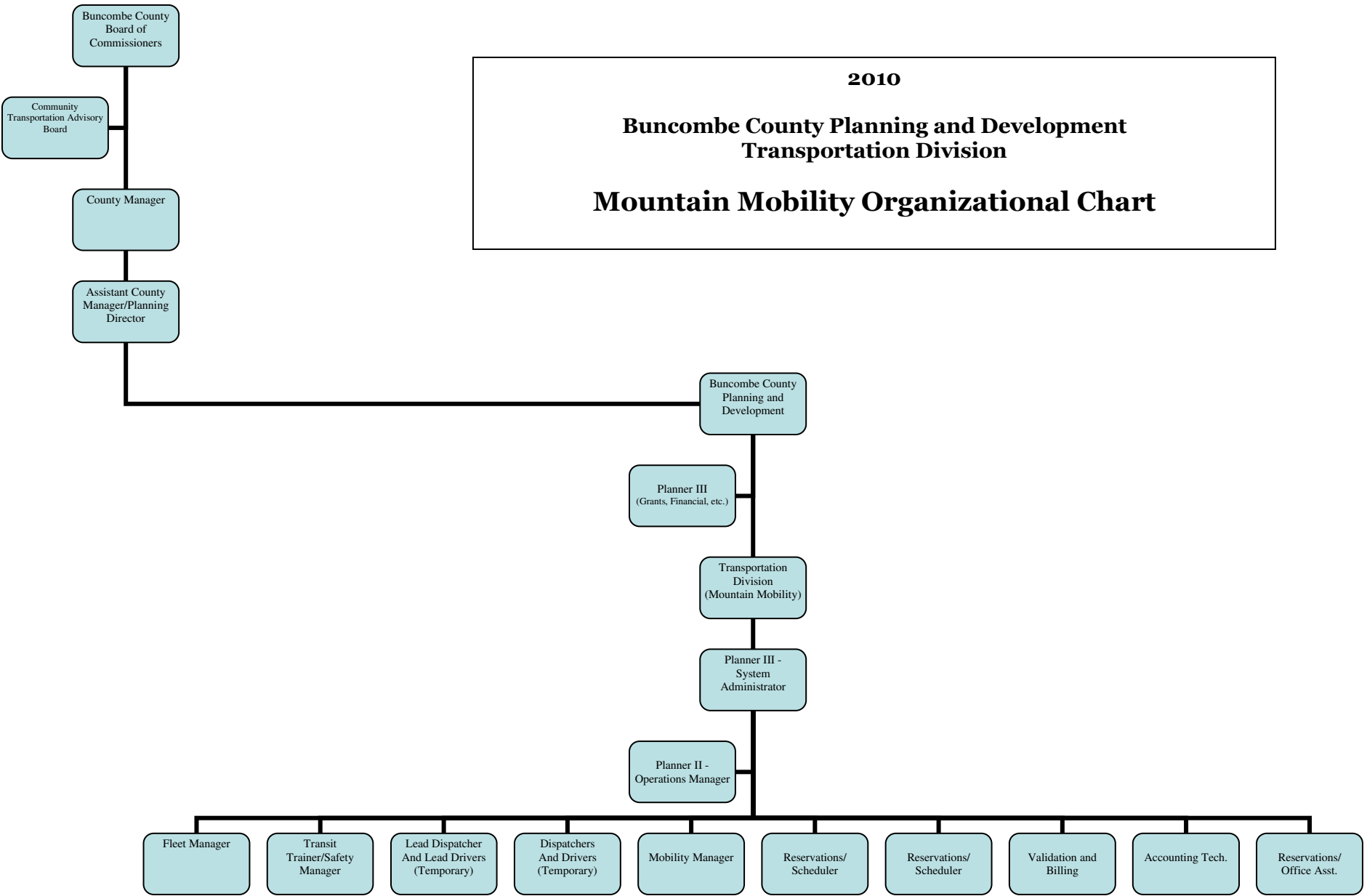
Employees are required to identify, report and correct unsafe conduct and conditions. Under (OSHA) 29 CFR part 1910; employees have the right to report any unsafe working conditions without being subjected to any retaliation whatsoever. Each employee must be an integral part of the MOUNTAIN MOBILITY SYSTEM SAFETY PROGRAM.

All Mountain Mobility employees are required to attend safety meetings. Safety meetings involve employees in the Safety Program and are very useful ways of training employees. Safety

meetings and committees are used to present information, discuss problems and new ideas and discuss recent accidents and injuries. Safety meetings and commitment shall include, but shall not be limited to, the following:

1. Wearing the prescribed uniform and safety shoes as required.
2. Reporting promptly and in writing, to your supervisor, all injuries and illnesses associated with the jobs.
3. Reporting, no matter how slight, all fires, accidental damage to property, hazardous material spills and other emergency occurrences to your supervisor.
4. Disposing of all hazardous materials in an acceptable and lawful manner.
5. Working under the influence of alcohol or illegal drugs is specifically forbidden. Use of prescription drugs, which may affect your alertness or work abilities, shall be reported to your supervisor (49 CFR parts 40, 653, and 654).
6. Taking care not to abuse tools and equipment, so these items will be in usable condition for as long as possible, as well as ensure they are in the best possible condition while being used.

2010
Buncombe County Planning and Development
Transportation Division
Mountain Mobility Organizational Chart



COMPUTER DATA ENTRY SAFETY PROCEDURES

The following actions can help to reduce muscle fatigue and tension while enabling maximum performance:

- Adjust seat height and backrest angle to fit the user in a seated position. Adjust footrest for proper height and angle.
- Screens should have adjustable height and tilt; screens should be arranged so that they are never higher than eye level for the users.
- Position documents roughly perpendicular to the line of sight using a document holder.
- Adjust keyboard to fit the operator. Keyboards should be detached in order to allow for positioning.
- Always use anti-glare screens.
- Users should maintain correct hand and wrist posture when entering data. Repetitive motion illness develops over an extended period of time. Learn work habits that reduce risks and be aware of early symptoms of the illness.
- A footstool may be used as a footrest for petite operators.
- Frequent work breaks should be taken after continuous work periods requiring more than five hours of screen viewing time, constant rapid muscular action, fixed positions on jobs that are highly repetitive.

OFFICE SAFETY PROCEDURES

The following suggestions can help to make your office environment a safe one:

- Don't place computers, calculators, or adding machines too close to the edge of the desk or other surfaces.
- Machines that tend to move during operation should be fastened down or secured with rubber feet or mats.
- Electric office machines should be equipped with three-prong electrical cords.
- Avoid stretching cords between desks or across aisles.
- Never store combustible office materials in HVAC closets or electrical rooms.
- Do not permit floor coverings to become tripping hazards.
- Keep floors clean. Clean up all spills on floors immediately. Pick up papers, pencils, clips and any objects that will cause tripping hazards.
- Place wastebaskets where they will not present a tripping hazard.
- Never stack anything so high as to obstruct vision. Make sure that stacks are not within 18 inches of ceiling sprinkler heads.
- Electrical cords and phone lines should be secured to prevent tripping hazards.
- Know where building emergency exits are located. These areas should not be used for storage.
- File drawers should be closed immediately after use so no one can run into or trip over them. Only one drawer should be opened at a time to prevent the cabinet from falling forward.
- Entryway steps should be marked with contrasting colors.
- Be sure all electrical equipment is grounded and the cord is in good condition. If a machine is shocking or smoking, unplug it and immediately report the defect.
- The use of portable electric, gas or other heating devices is prohibited.
- Be cautious as you approach doors that open in your direction.
- Slow your pace when approaching a blind corner in a hallway.
- Do not run in corridors.
- Office tables, chairs, and desks must be maintained in good condition and remain free from sharp corners, projecting edges wobbly legs, etc.
- Never use chairs, desks or other furniture as a makeshift ladder. Use a stepladder for climbing but do not use the top two steps.
- Do not lean forward in a roller chair to pick up an object.
- Keep the blades of paper cutters closed when not in use.
- Never run power cords under carpet or chair pads.

SAFE LIFTING PROCEDURES

Preserve your back health by using the following lifting strategies:

- Before lifting a load, think of other means of moving it using a device that can help you to pull, push or roll the load.
- Have firm footing and make sure the standing surface that you are on is not slippery.
- Determine the best way to hold the load using handles, gripping areas or special lifting tools. Get a firm grip on the load.
- Keep your back straight by tucking your chin in.
- Tighten your stomach muscles and lift with your legs.
- Lift the load slowly.
- Hold the load as close to the body as possible; be sure you position the load close to the body before lifting.
- Do not twist during your lift or when moving the load. Turn with your feet rather than your back.
- Set the load down gently, using your legs and keeping your back as straight as possible.
- Be sure your fingers are out of the way when putting the load down and when moving the load through tight spaces.
- Ask for help if you need it and use lifting tools and devices whenever they are available.

HAZARD IDENTIFICATION AND ANALYSIS METHODOLOGY

Hazard Assessment Matrix

The Hazard Identification/Resolution Process provides a mechanism by which hazards are identified, analyzed for potential impact on the operating system and resolved in a manner acceptable to management.

After the magnitude and likelihood of a possible accident due to apparent hazards have been assessed, the list will be prioritized into risk categories. As illustrated in the Hazard Assessment Matrix on the following page, the County Safety Officer along with Mountain Mobility's Transit Management will determine each hazard to be:

- unacceptable or undesirable (management decision required);
- acceptable with management review; or
- acceptable without management review.

The investigators (e.g. Fleet Manager and Safety Manager) will report back to management (e.g. Operations Manager) with a description of the hazard and a recommendation on how the potential hazard should be categorized. This assessment is to be recorded and become part of the systems Accident/Incident activities. In addition, investigators are to be prepared to discuss several alternative solutions to each safety problem and its associated costs. These procedures are established to expedite the process of implementing solutions.

The order of priority in finding solutions for potential hazards is: elimination of the hazard; control of the hazard; and acceptance of the hazard. Measures that may be recommended by management to counteract potential hazards may include:

- design changes;
- warning devices; and/or
- safety procedures.

When attempting to mitigate a potentially hazardous situation, management staff must conduct trade-off analyses that take into account safety issues and costs, potential losses and service impacts. For this reason, resolution strategies must be flexible to match an appropriate solution.

The *Material Safety Data Sheets (MSDS) for Hazardous Materials* are located in the main lobby of the **Mountain Mobility** office in the 'Right to Know Center' along with the 'Right to Know' informational guides.

HAZARD ASSESSMENT MATRIX

<i>Frequency of Occurrence</i>	Hazard Categories	
	Critical I	Marginal II
A Frequent	I A	II A
<i>B</i> Frequent	I B	II B

HAZARD RISK INDEX

I A	Unacceptable or Undesirable (Management Decision Necessary)
II A, I B	<i>Acceptable with Management Review</i>
II B	<i>Acceptable without Management Review</i>

ACCIDENT & INCIDENT REPORTING AND INVESTIGATION

All accidents, damage, or incidents, which occur in connection with the performance of services for Buncombe County, regardless of severity or location, shall be reported to the Buncombe County Risk Manager and to NCDOT Public Transportation Division. **Mountain Mobility** shall submit a written accident/damage/incident reporting form to the County within 24 hours of occurrence. Forms will be completed by the Operations Manager or System Administrator. On monthly reports to the County/CTAB, **Mountain Mobility** shall report all accidents and indicate if any collisions resulted in injury or property damage to an apparent extent of \$500 or more. **Mountain Mobility** shall repair all damage to vehicles within sixty (60) days of each occurrence. Each repair shall be made in a high quality manner, regardless of cause and regardless of the amount of damage.

As stated in *Mountain Mobility's Transportation Policies and Procedures Manual*, incidents, or client injuries, passenger falls or employee injuries must be reported immediately to the Dispatcher by radio or telephone and reports filed according to the Accident Procedures and Employee Injury Procedures no later than the end of shift. In most cases, employees must return to base after an initial accident or injury investigation to complete reports and be placed on Safety Leave. Failure to report an accident, work related injury, passenger fall or injury immediately by radio may lead to immediate dismissal from employment.

As stated in the *Accident Reporting Procedures and Vehicle Policy for Buncombe County*, any county employee injured on the job must report the injury/illness (arising out of the course of his/her employment) to the supervisor of his/her department immediately.

Mountain Mobility may, at its discretion, establish an Employee Safety Committee. Responsibilities of the Safety Committee may include reviewing system accidents and incidents, identifying safety concerns, and participating in decisions regarding safety awards and recognition.

FACILITIES INSPECTIONS

All facility inspections are conducted at the discretion of the Buncombe County Safety Officer, Buncombe County Permits and Inspections Department, and Buncombe County Physical Facilities Department.

During inspection, any potential Occupational Safety or Health Hazards shall be identified and documented by the Safety Officer. A copy of the completed Hazards Identification shall be conspicuously posted in the *Mountain Mobility* office and will also be reviewed with any new employee as a part of training.

A copy of the completed Hazards Identification must also be forwarded to the Operations Manager who will work with the Safety Officer for review action and follow-up inspection

Bloodborne Pathogen Exposure Control Plan

- **Policy Statement and Purpose**

Buncombe County/Mountain Mobility is committed to providing a safe and healthful work environment for our staff. In pursuit of this endeavor, the following exposure control plan is provided to eliminate or minimize occupational exposure to bloodborne pathogens in accordance with OSHA standard 29 CFR 1910.1030, “Occupational Exposure to Bloodborne Pathogens” and the “North Carolina Occupational Safety and Health Bloodborne Pathogens Standard.”

The Exposure Control Plan (Plan) will assist Mountain Mobility in implementing and ensuring compliance with the standard, thereby protecting employees, and will include:

- I. Program Administration
- II. Employee Exposure Determination and Task and Procedures Involving Risk
- III. Implementation of various methods of exposure control, including
 - a. Universal Precautions
 - b. Engineering and work practice controls
 - c. Personal protective equipment
 - d. Housekeeping
- IV. Hepatitis B vaccination
- V. Post-exposure evaluation and follow-up
- VI. Communication of hazards to employees and training
- VII. Procedures for evaluating circumstances surrounding an exposure incident
- VIII. Recordkeeping

The methods of implementation of these elements of standard are discussed in the following pages of the Plan.

PROGRAM ADMINISTRATION

The *Operations Manager* of Mountain Mobility is responsible for implementation of the Exposure Control Plan (Plan).

*Mountain Mobility employees who are determined to have occupational exposure to blood or **Other Potentially Infectious Materials** (OPIM) and all other employees must comply with the procedures and work practices outlined in the Plan.*

The *Buncombe County Safety Officer* will ensure that all required medical actions are performed and that appropriate employee health and OSHA records are maintained.

Mountain Mobility's Operations Manager or System Administrator is responsible for notifying the Buncombe County Safety Officer of any new or modified tasks and procedures that affect occupational exposure and new or revised employee positions that affect occupational exposure so that these changes may be incorporated into the Plan and training.

Mountain Mobility's Operations Manager or System Administrator will coordinate with the Buncombe County Safety Officer to establish employee training needs for all classifications, to coordinate employee training and documentation of training, to maintain records of employee Hepatitis B immunization, and to ensure investigation and documentation of circumstances of an employee exposure incident.

The *Safety Manager* of Mountain Mobility will ensure that all necessary personal protective equipment (PPE) and red bags as required by the standard are provided and maintained in each passenger vehicle and at the Mountain Mobility base.

EXPOSURE DETERMINATION

This policy pertains to Mountain Mobility's job classifications as follows:

- All Transit Drivers

The following is a list of job classifications in which some employees may have occupational exposure risk. It is understood that these employees would have very limited exposure to blood and **Other Potentially Infectious Materials (OPIM)**, and most likely only in extreme emergency situations. The amount of risk varies depending upon the circumstances surrounding tasks done by the employee.

- Fleet Manager
- Transit Trainer/Safety Manager
- Dispatchers
- Operations Manager
- Administration

Tasks and Procedures Involving Risk

The following is a list of tasks or procedures that may involve exposure to bloodborne pathogens.

1. Transporting and/or assisting people to and from various locations
2. Performing First Aid/CPR on people in emergency situations
3. Clean-up of blood or OPIM after an emergency situation has occurred

METHOD OF IMPLEMENTATION

Mountain Mobility will conduct semi-annual inspections and review routing conditions to assure that all exposure to Bloodborne Pathogens and OPIM is minimized and protective measures are put in place.

Spill kits and protective equipment, i.e., goggles, latex gloves, and smock, will be put in all vehicles that have been designated as moderate to high exposure to Bloodborne Pathogens and/or Other Potentially Infectious Materials.

The spill kits and equipment will be inspected on a daily basis as part of the driver's daily vehicle inspection report.

Universal Precautions

In order to protect our employees from the hazards of bloodborne pathogens, Buncombe County practices Universal Precautions (UP) in its regular daily activities. The concept of "Universal Precautions" presumes that the blood and certain body fluids of all individuals are considered potentially infected and must be handled accordingly.

Exposure Control Plan

Employees covered by the bloodborne pathogens standard receive an explanation of the Plan during their initial training session. The Plan is reviewed in their annual training update. A copy of the Plan is available for driver review in the Driver's Room. The Plan is also available in the Mountain Mobility Operations Manager's office, as well as the office of the Buncombe County Safety Officer.

Work Practices

Work practices will be used to prevent or minimize exposure to bloodborne pathogens. The specific work practices used are listed below:

- a) Hands must be washed thoroughly between each direct contact and after handling soiled or contaminated equipment or material;
- b) Hands and other skin surfaces must be washed immediately or as soon as feasible if contaminated with blood or OPIM;
- c) When washing is not feasible, an approved antibacterial hand cleanser may be substituted;
- d) Eating, drinking, smoking, applying cosmetics or lip balm, and handling contact lenses are prohibited in the work areas where there is reasonable likelihood of occupational exposure to bloodborne pathogens;

- e) Regulated medical waste is to be placed in red biohazard bags or a biohazard-labeled OSHA approved container;
 - 1. Employees are to notify the Operations Manager (via dispatch if observed while transporting passengers) if they observe that blood or OPIM are stored, handled or discarded inappropriately;
 - 2. The Operations Manager or any other member of Transit Management will notify the Buncombe County Safety Officer if they observe or receive reports that blood or OPIM are stored, handled, or discarded inappropriately.

When Transit Management identifies the need for changes in work practices,

- a) Transit Management and the Buncombe County Safety Officer will:
 - 1. Initiate corrective action if unsafe situations are observed.
 - 2. Solicit/encourage employee input about safety and safe practices.
 - 3. Review procedures.

Personal Protective Equipment

Personal Protective Equipment (PPE) is provided to employees at no cost to them. The Transit Trainer/Safety Manager is assigned to orient new employees and provide training in the use of appropriate PPE for tasks or procedures employees will perform.

Examples of types of PPE available to employees are as follows:

- a) Disposable gowns and aprons
- b) Disposable gloves including non-latex gloves and powder free gloves
- c) Disposable face shield, masks, eye shields
- d) Disposable shoe/feet covers
- e) Disposable CPR masks

PPE is located in each vehicle and other areas where blood or OPIM are likely encountered.

All employees using PPE must observe the following precautions:

- a) Wash hands or use an approved hand cleaner immediately or as soon as feasible after removal of gloves or other PPE;
- b) Remove PPE after completing a task or procedure, after it becomes contaminated, when it is torn or no longer able to provide protection, and before leaving the work area;
 - 1. Disposable PPE may be placed in the non-regulated trash unless if squeezed produces a drop of blood or if it is damp with infectious materials or caked with dried blood or OPIM that would flake off if handled. Place the latter in a red bag.

2. Reusable PPE such as resuscitation equipment and medical instruments are to be placed in basins designated for contaminated equipment.
- c) Wear appropriate gloves when it can be reasonably anticipated that there may be contact with blood or OPIM, and when handling or touching contaminated items or surfaces; replace gloves if torn, punctured, contaminated, or if their ability to function as a barrier is compromised;
 - d) Never wash or decontaminated disposable gloves for reuse;
 - e) Wear appropriate face and eye protection when splashes, sprays, splatters, or droplets of blood or OPIM pose a hazard to the eye, nose, or mouth;
 - f) Remove immediately or as soon as feasible any garment contaminated by blood or OPIM, in such a way as to avoid contact with the outer surface.

Employees are not to take PPE home for cleaning or laundering.

Housekeeping in Building and Vehicles

Vehicles are swept and cleaned daily by drivers and the exterior and interior are washed bi-weekly by supervised inmate staff.

Each work area is cleaned according to a schedule by contracted housekeeping staff.

Contaminated spills are contained and cleaned in a manner to prevent splashing or splattering.

Broken glassware that may be contaminated is picked up using mechanical means, such as a brush and dustpan.

Employees clean contaminated work surfaces when contaminated, as soon as feasible, or at the end of the workday.

Equipment that cannot be decontaminated is covered to prevent contamination.

Reusable equipment is cleaned to remove debris before decontamination. Employees use appropriate work practices.

Bins, pails, and sinks used to collect or clean contaminated articles are inspected, cleaned and decontaminated as soon as feasible after contamination or at the end of the workday.

Equipment used to clean and decontaminate reusable articles is maintained according to manufacturer's recommendations.

Regulated waste is placed in containers, which are constructed to contain all contents and prevent leakage, and closed prior to removal to prevent spillage or protrusion of contents during handling. Non-intact containers or red bags are placed into another container (as described above) before transport.

- a) The procedure for handling other regulated waste is:
1. Regulated waste cans are lined with disposable, leak-proof red bags.
 2. When these bags are filled level with the top of the container they are lifted from their container, closed, sealed, taken to the regulated waste storage area, and placed in a red bin.
 3. Employees who remove, close and transport bags of regulated waste are careful to avoid touching or handling the sides or bottom of bags.
 4. Waste containers are regularly inspected and are decontaminated upon visible decontamination by staff and cleaned by housekeeping staff according to schedule.
 5. Employees wear appropriate PPE. Gloves are always worn.

HEPATITIS B VACCINATION

Hepatitis B vaccination is offered to employees according to the guidelines and recommendations of the U.S. Public Health Service.

The Buncombe County Safety Officer will provide training to employees on Hepatitis B vaccinations addressing the safety, benefits, efficiency of administration, and availability.

Hepatitis B vaccination shall be made available after the employee has received the training in occupational exposure and within 10 working days of initial assignment to all employees who have occupational exposure unless the employee has previously received the complete Hepatitis B vaccination series, antibody testing has revealed that the employee is immune, or the vaccine is contraindicated for medical reasons.

Participating in a pre-screening program shall not be a prerequisite for receiving the Hepatitis B vaccination.

If the employee initially declines the Hepatitis B vaccination, but at a later date, while still covered under the standard, decides to accept the vaccination, the vaccination shall then be made available.

All employees who decline the Hepatitis vaccination shall sign a required waiver/declination indicating their refusal. The Operations Manager and Buncombe County Safety Officer shall maintain documentation of the employee's declination of the vaccination.

If the U.S. Public Health Service recommends a routine booster dose of Hepatitis B vaccine at a future date, such a booster shall be made available.

The Buncombe County Safety Officer will maintain a record of the employee's Hepatitis B immune status and/or vaccination status. These records are confidential and maintained separately from all employees' personnel file.

POST-EXPOSURE AND FOLLOW-UP

All exposure incidents shall be reported, investigated and documented. When an employee incurs an exposure incident, it shall be reported to the dispatch, who will forward the information on to the Operations Manager.

Exposure to blood or OPIM can occur during routine work tasks and during accidents and injuries that are not task related such as when an employee renders first aid or emergency care to a client or fellow employee.

Should an incident involving blood or OPIM occur, employees are to contact the Operations Manager (via dispatch or phone if transporting passenger) who will contact the Buncombe County Safety Officer immediately.

Any employee that responds to a first aid or incident under the following circumstances must report this incident. The Buncombe County Safety Officer will access and determine if an actual exposure occurred.

- a) Incident involves the presence of blood or bodily fluids;
- b) Incident occurs at the Mountain Mobility office during employee's workday;
- c) Incident occurs while the employee is representing Mountain Mobility in an official capacity

When the Buncombe County Safety Officer confirms an exposure, the employee is to follow the instructions of the Buncombe County Safety Officer regarding post-exposure medical evaluation.

For every exposure incident the following procedure applies:

- a) Employees will obtain on-the-job first aid.
- b) Employee will notify the Planner/Manager who will notify the Buncombe County Safety Officer.
- c) The Safety Officer will:
 - 1. Respond to employee report of exposure incident and counsel the employee in follow-up procedures.
 - 2. Complete the Buncombe County Exposure Report form including documentation of the routes of exposure and how the exposure occurred and other reports as required.
 - 3. Identify and document the source individual if identification is feasible.
 - 4. Follow-up with source individual by obtaining consent and making arrangements to have the source individual tested as soon as possible to determine HIV, HCV, and HBV infectivity, if infectivity is not already known, and ensure that the source individual's test results are conveyed to the health care professional providing evaluation of the exposure.
 - 5. Assure that the exposed employee is provided with the source individual's test results and with information about applicable disclosure laws and regulations concerning the identity and infectious status of the source individual (NC Statute regarding confidentiality).
 - 6. Ensure that if the employee does not give consent for HIV serological testing at the time blood is collected for baseline testing, the blood sample will be preserved by the laboratory for at least 90 days. If the exposed employee elects to have the baseline

- sample tested during this waiting period, the test will be performed as soon as feasible.
7. Ensure that the laboratory is given a copy of OSHA's bloodborne pathogen standard.
 8. Obtain a copy of the health care professional's Written Opinion and provide a copy to the employee within 15 days of the completion of the post-exposure evaluation. The written opinion shall be limited to whether the employee requires the Hepatitis B vaccine and whether the vaccine was administered and, whether the employee was informed of the results of the medical evaluation and has been told about any medical conditions resulting from the exposure that require treatment or follow-up evaluation.
 9. Ensure that the health care professional evaluating an employee after an exposure incident receives a copy of Buncombe County Transportation Division/Mountain Mobility Exposure Report that contains the following:
 - A description of the employee's job duties relevant to the exposure incident
 - Route(s) of exposure
 - Circumstances of exposure
 - If possible, results of the source individual's blood test
 - Relevant employee medical records, including vaccination status

COMMUNICATION OF HAZARDS TO EMPLOYEES AND TRAINING

The Transit Trainer/Safety Manager shall ensure that training is provided to the employees at the time of initial assignment to tasks where occupational exposure may occur, and that it shall be repeated within twelve months of the previous training. Training shall be provided at no cost to the employee and at a reasonable time and place. Training shall be tailored to the education and language level of the employee. The training will be interactive and cover the following elements:

- a) An accessible copy of the standard and an explanation of its contents;
- b) A discussion of the epidemiology and symptoms of bloodborne diseases;
- c) An explanation of the modes of transmission of bloodborne pathogens;
- d) Explanation of Mountain Mobility's Transportation Bloodborne Pathogen Exposure Control Plan, and a method for obtaining a copy;
- e) The recognition of tasks that may involve exposure;
- f) An explanation of the use and limitations of methods to reduce exposure, for example, work practices, and personal protective equipment;
- g) Information on the Hepatitis B vaccination, including efficacy, safety, method of administration, benefits, and that it will be offered free of charge;
- h) Information on the types, use, location, removal, handling, decontamination, and disposal of Personal Protective Equipment;
- i) Information on the appropriate actions to take and persons to contact in an emergency involving blood or OPIM;
- j) An explanation of the procedures to follow if an exposure incident occurs, including the method of reporting and medical follow-up;
- k) Information on the evaluation and follow-up required after an employee exposure incident.

The person conducting the training shall be knowledgeable in the subject matter. Employees who have received training on bloodborne pathogens in the twelve months preceding the effective date of this policy shall only receive training in provisions of the policy that were not covered.

Additional training shall be provided to employees when there are any changes to tasks or procedures affecting the employee's occupational exposure.

PROCEDURE FOR EVALUATING THE CIRCUMSTANCES SURROUNDING AN EXPOSURE INCIDENT

The *Buncombe County Safety officer along with the Operations Manager* will review the circumstances of all exposure incidents to determine:

- a) Work practices followed
- b) Protective equipment or clothing that was used at the time of the exposure incident
- c) Location of the incident
- d) Procedure being performed when the incident occurred
- e) Employee's training

They will then determine if changes and revisions need to be made in work place controls or procedures and complete the Mountain Mobility Review of Circumstances Surrounding Employee Exposure to blood or OPIM.

The *Buncombe County Safety Officer*:

- a) Ensures that the circumstances of the exposure are investigated;
- b) Ensures that appropriate changes are made in work practice if it is determined that changes need to be made;
- c) Maintains documentation of the review of circumstances and recommendations and ensures that the exposed employee is not identified in the documentation;
- d) Ensures that appropriate changes are made to the Plan if it is determined that revisions need to be made.

RECORDKEEPING

Training Records

Training records are completed for each employee upon conclusion of training. Copies of these documents will be included in the training files for Mountain Mobility employees. They are also required to be maintained for three years by Buncombe County's Safety Officer.

The training records include:

- a) The dates of the training sessions
- b) The contents or a summary of the training sessions
- c) The names and qualifications of the persons conducting the training
- d) The names and job titles of all persons attending the training sessions

Employee training records are provided upon request to the employee or the employee's authorized representative within 15 working days. Such requests should be addressed to the Buncombe County Safety Officer, 60 Court Plaza, Asheville, NC.

Medical Records

Medical records are maintained for each employee with occupational exposure in accordance with 29 CFR 1910.1020, "Access to Employee Exposure and Medical Records".

The Buncombe County Safety Officer is responsible for maintenance of the required medical records. These confidential records are kept in the office of the Buncombe County Safety Officer for at least the duration of employment plus 30 years.

Employee medical records are provided upon request to the employee or to anyone having written consent of the employee within 15 working. Such request should be made to the Buncombe County Safety Officer.

OSHA Recordkeeping

The Buncombe County Personnel Department is responsible for OSHA Recordkeeping Requirements (29 CFR 1904) and also maintains those records.

SAFETY TERMS AND DEFINITIONS

ACCIDENT

An unforeseen event or occurrence that results in death, injury, or property damage – *System Safety Program Training Participant’s Guide*

An incident involving a moving vehicle. Includes collisions with another vehicle, object or person (except suicides) and derailment/left roadway. This also includes Personal Casualties incidents on the vehicle and entering/exiting the vehicle. – *Federal Transit Administration (FTA) - Safety Management Information Statistics (1999 SAMIS Annual Report)(2000)* <http://transit-safety.volpe.dot.gov/publications/default.asp>

Occurrence in a sequence of events that produces unintended injury, death or property damage. Accident refers to the event, not the result of the event. – *National Safety Council (NSC), National Safety Council Statistics Glossary [online](Research & Statistics, 25 July 2000[15 March 2002])*; <http://www.nsc.org/lrs/glossary.htm>

HAZARD

Any real or potential condition that can cause injury, death or damage to or loss of equipment or property

- theoretical condition

- identified before an incident actually occurs

FTA - Implementation Guidelines for State Safety Oversight of Rail Fixed Guideway Systems (1996) <http://transit-safety.volpe.dot.gov/publications/default.asp>

INCIDENT

An unforeseen event or occurrence which does not necessarily result in death, injury, contact or property damage - *FTA - Implementation Guidelines for State Safety Oversight of Rail Fixed Guideway Systems (1996)*

<http://transit-safety.volpe.dot.gov/publications/default.asp>

Collisions, personal casualties, derailments/left roadway, fires, and property damage greater than \$1,000 associated with transit agency revenue vehicles and all transit facilities - *FTA - Safety Management Information Statistics (1993 SAMIS Annual Report) (1995)* <http://transit-safety.volpe.dot.gov/publications/default.asp>

RISK

Probability of an accident multiplied by the consequences of an accident (often in \$) - *System Safety Program Training Participant’s Guide*

Exposure or probable likelihood of a hazard (accident, crisis, emergency or disaster) occurring at a system. Risk is measured in terms of impact and vulnerability - *FTA - Critical Incident Management Guidelines (1998)*

<http://transit-safety.volpe.dot.gov/publications/default.asp>

SAFETY

Freedom from those conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment – *Military Standard 882-D*

Freedom from danger - *FTA - Implementation Guidelines for State Safety Oversight of Rail Fixed Guideway Systems (1996)*

<http://transit-safety.volpe.dot.gov/publications/default.asp>

SECURITY

Precautions taken to guard against crime, attack, sabotage, espionage, etc. – *The Learning Network, Inc., A-Z Dictionary [online](2000-2002[15 March 2002])*

<http://www.infoplease.com>

Freedom from intentional danger - *FTA - Implementation Guidelines for State Safety Oversight of Rail Fixed Guideway Systems (1996)*

<http://transit-safety.volpe.dot.gov/publications/default.asp>

SYSTEM SECURITY

All activities associated with providing security to transit patrons and securing transit property including supervision and clerical support. Includes patrolling revenue vehicles and passenger facilities during revenue operations; patrolling and controlling access to yards, buildings and structures; monitoring security devices; and, reporting security breaches – *US Department of Transportation, Bureau of Transportation Statistics, Transportation Expressions [online](1996[15 March 2002])*

<http://www.bts.gov/btsprod/expr/expsearch.html>

MOUNTAIN MOBILITY

Buncombe County's Community Transportation Program



PASSENGER, VEHICLE AND SYSTEM **SAFETY PROGRAM PLAN**



Adoption Date: July 20, 2004
Revised April, 2010

SECTION 4 – SUBSTANCE ABUSE PROGRAM

**SUBSTANCE ABUSE POLICY FOR
MOUNTAIN MOBILITY**

Policy Adopted: 11/21/1995, Resolution 95-11-11
Amendment 1: 12/15/1998, Resolution 98-12-5
Amendment 2: 08/01/2001, Resolution 01-12-08
Amendment 3: 03/01/2010, Resolution 10-08-02
Addendum 1: 10/1/2010, Resolution 10-19-10

**Amendment Adopted by the
Buncombe County Board of Commissioners**



Chairman, Board of Commissioners

1.0 POLICY

The County of Buncombe is entrusted with the health and safety of its citizens and is dedicated to providing safe, effective transportation services for citizens through Mountain Mobility. In keeping with this obligation and as a recipient of federal and state funds under the Federal Transit Act, as amended, it is the policy of the County of Buncombe to: (1) assure that safety-sensitive duties and responsibilities associated with the operation of Mountain Mobility are performed in a safe, productive, and healthy manner; (2) assure that workplace environments are free from the adverse effects of drug abuse and alcohol misuse; (3) prohibit the unlawful manufacture, distribution, dispensing, possession, or use of controlled substances or alcohol in the workplace, or reporting to work under the influence of any controlled substance or alcohol; and (4) encourage professional assistance anytime that personal problems, including alcohol or drug dependence, adversely affect the performance of assigned duties.

2.0 PURPOSE

The purpose of this policy is to assure worker fitness and to protect employees and the public from the risks posed by the use of prohibited drugs and the misuse of alcohol. This policy is intended to comply with all applicable federal regulations governing and requiring anti-drug and alcohol misuse programs in the workplace, including the following regulations:

Federal Agency	Regulations	Requirements
USDOT/Federal Transit Administration	49 CFR Part 655 - "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations"	Mandates breath alcohol testing and urine drug testing for employees performing safety-sensitive functions and prohibits performance of those functions if results are positive.
USDOT	49 CFR Part 40 - "Procedures for Transportation Workplace Drug and Alcohol Testing Programs"	Sets standards for the collection and testing of urine and breath specimens.
Federal Government	49 CFR Part 29 - "The Drug-Free Workplace Act of 1988"	Requires the establishment of drug-free workplace policies and the reporting of violations.

Note: Other than identifying titles, all provisions set forth in **bold face print** are consistent with the requirements specifically set forth in 49 CFR Part 653, Part 654, or Part 40, as amended. Provisions set forth in the Drug-Free Workplace Act are delineated in *italics*. All other provisions are set forth under the authority of the Board of Commissioners for the County of Buncombe as a recipient of FTA or other federal funds and shall establish minimum requirements for anti-drug and alcohol misuse programs affected by this policy statement.

3.0 APPLICABILITY

3.1 Safety-Sensitive Functions and Employees

A safety-sensitive function is any duty related to (1) the operation of a mass transit revenue service vehicle (whether or not the vehicle is in revenue service); (2) the operation of a nonrevenue service vehicle, when required to be operated by a holder of a Commercial Driver's license; (3) the control, dispatch, and/or movement of a revenue service vehicle; (4) the maintenance of a revenue service vehicle or equipment, unless such maintenance service is contracted out; and/or (5) security personnel who carry firearms in connection with their transportation duties.

This policy applies to any employee who performs any safety-sensitive function associated with the administration, operation, and/or management of Mountain Mobility, including paid full-time, part-time, and/or contract employees of the County of Buncombe and/or of any agency or contractor providing services that include safety-sensitive functions as described above. A list of positions with duties related to Mountain Mobility and any safety-sensitive functions applicable to those positions is included as Attachment A to this policy. All employees of the County of Buncombe and/or of any agency or contractor who perform safety-sensitive functions shall be hereinafter collectively referred to as "safety-sensitive employees."

3.2 Agencies and Contractors

Any agency or contractor whose employees are responsible for performing safety-sensitive functions associated with the administration, operation, or management of Mountain Mobility shall establish and implement an anti-drug and alcohol misuse program and policy statement consistent with federal regulations and requirements of this policy statement. All program and policy statements developed relative to Mountain Mobility shall be subject to review and approval by the County of Buncombe and any other state and/or federal agency or department that may have purview over such policy statements. The provisions of this policy shall incorporate all rules and regulations that are required by the FTA on the prevention of alcohol misuse and prohibited drug use in transit operations, including those presently in effect or as is or may be amended and become effective in the future, whether or not said rules and regulations are expressly set forth in this policy. The agency or contractor shall certify that its anti-drug and alcohol misuse program complies with FTA regulations and this policy and that the program and applicable training has been implemented by January 1, 1996, or by subsequent dates applicable for amended rules and regulations.

The agency or contractor shall comply with all applicable regulations and shall notify its safety-sensitive employees of the requirement for alcohol and drug testing under federal regulations. The agency or contractor shall provide applicable education and training to its safety-sensitive employees, shall maintain required records, and shall submit, in a timely manner and as specified by the County of Buncombe, all training reports, management reports summarizing the results of its anti-drug and alcohol misuse program, and other applicable reports and information to the County of Buncombe as required under the regulations and/or other applicable contractual agreements. The agency or contractor shall be monitored by the County of Buncombe for compliance with the regulations and with this policy statement. Unless otherwise provided, the agency or contractor shall bear implementation, training, testing, and any other costs incurred in order to comply with applicable federal regulations and this policy statement.

The agency or contractor shall inform each safety-sensitive employee if it implements an anti-drug and alcohol misuse program and testing that is not required by FTA regulations. The agency or contractor shall not impose requirements that are inconsistent with, contrary to, or otherwise conflict with the provisions of applicable federal regulations. If the agency or contractor prohibits other behaviors or conducts any testing under its own authority, the agency or contractor shall clearly identify such provisions in its policy.

The agency or contractor also shall cooperate to the fullest extent possible in providing to any federal, state, or local agency documentation on or information about its compliance with this policy and/or drug and alcohol testing requirements and regulations.

3.3 Dissemination of Policy

A copy of applicable regulatory requirements and this policy statement shall be provided to any agency or contractor whose employees are responsible for performing safety-sensitive functions associated with the administration, operation, or management of Mountain Mobility. An authorized representative for the agency or contractor shall sign a "Confirmation of Receipt" form acknowledging receipt of the regulations and this policy statement. **The agency or contractor shall distribute a copy of this policy and/or its policy as applicable to every safety-sensitive employee and their employee organizations as applicable.** Each safety-sensitive employee shall be requested to sign a statement confirming his/her receipt of the policy.

3.4 Proper Application of Policy Requirements

The County of Buncombe is dedicated to assuring fair and equitable application of this substance abuse policy. Therefore, all aspects of this policy shall be used and applied in an unbiased and impartial manner. Any employee who knowingly applies the requirements of this policy in an improper manner, or who is found to deliberately misuse the policy in regard to subordinates, shall be subject to disciplinary action, up to and including termination.

4.0 ILLEGAL USE OF PROHIBITED SUBSTANCES

"Illegal use" includes the use of any illegal drug, misuse of legally prescribed drugs, and use of illegally obtained prescription drugs. "Prohibited substances" addressed by this policy include the following:

4.1 Controlled Substances or Illegal Drugs

Prohibited substances shall include *any illegal drug or any substance identified in Schedules I through V of Section 202 of the Controlled Substance Act (21 U.S.C. 812), and as further defined by 21 CFR 1300.11 through 1300.15.* This includes, but is not limited to: marijuana, amphetamines, opiates, phencyclidine (PCP), and cocaine. **Safety-sensitive employees will be tested for marijuana, cocaine, amphetamines, opiates, and phencyclidine as described in this policy.**

4.2 Legal Drugs

The appropriate use of legally prescribed drugs and non-prescription medications is not prohibited. A legally prescribed drug means that an individual has a prescription or other written approval from a physician for the use of a drug in the course of medical treatment. However, prior to performing any safety-sensitive duties, a safety-sensitive employee shall supply a written statement from their physician or pharmacist indicating that their use of a prescribed drug or non-prescription medication will not affect their performance of safety-sensitive functions, if the drug or medication carries a warning label that indicates that mental functioning, motor skills, or judgement may be adversely affected.

4.3 Alcohol

The use of beverages or substances containing alcohol (including any medication, mouthwash, food, candy, or other substance) is prohibited to the degree that alcohol is present in the body while performing safety-sensitive duties. The concentration of alcohol is expressed in terms of grams of alcohol per 210 liters of breath as measured by an evidential breath testing device.

5.0 PROHIBITED CONDUCT

5.1 Manufacture, Distribution, Possession, and/or Use

All employees, regardless of whether safety-sensitive functions are performed, are prohibited from engaging in the unlawful manufacture, distribution, dispensing, possession, and/or use of prohibited substances in any building, premise, or vehicle that is owned, leased, or otherwise used while performing work. The use of any illegal drug, misuse of legally prescribed drugs, and use of illegally obtained prescription drugs is prohibited at all times. Any employee who violates this provision shall be subject to disciplinary action up to and including termination.

5.2 Intoxication/Under the Influence

A safety-sensitive employee who is reasonably suspected of being intoxicated, impaired, under the influence of a prohibited substance, or not fit for duty shall be suspended from performing safety-sensitive functions pending an investigation and verification of condition. **Safety-sensitive employees** found to be under the influence of prohibited substances or **who fail to pass a drug or alcohol test shall be removed from performing safety-sensitive functions immediately** and shall be subject to disciplinary action up to and including termination. **A drug or alcohol test is considered positive if the individual is found to have a quantifiable presence of a prohibited substance in the body above the minimum thresholds defined in 49 CFR Part 40, as amended.**

5.3 Alcohol and Drug Misuse

A safety-sensitive employee shall not report for duty or remain on duty if his/her ability to perform assigned safety-sensitive functions is adversely affected by alcohol or when his/her breath alcohol concentration is .04 or greater. A safety-sensitive employee shall not use alcohol while on duty, while performing safety-sensitive functions, or just before or just after performing a safety-sensitive function. A safety-sensitive employee shall not use alcohol within four hours prior to reporting for duty that requires the performance of a safety-sensitive function or during the hours that they are on call for duty that requires the performance of a safety-sensitive function.

All safety-sensitive employees are prohibited from reporting for duty or remaining on duty any time there is a quantifiable presence of a prohibited substance in the body above the minimum thresholds defined in 49 CFR Part 40, as amended. Violation of these provisions is prohibited and punishable by disciplinary action up to and including termination.

5.4 Compliance with Testing Requirements

Pursuant to 49 CFR Part 655, all safety-sensitive employees shall be subject to urine drug testing and breath alcohol testing as a condition of employment. Before performing a drug or alcohol test under this part, the safety-sensitive employee shall be notified that the test is being administered under this part. Any safety-sensitive employee who refuses to comply with a request for testing shall be immediately removed from duty, and their employment terminated.

Any safety-sensitive employee who is suspected of providing false information in connection with a test, or who is suspected of falsifying test results through tampering, contamination, adulteration, or substitution will be required to undergo an observed collection. Verification of falsifying test results will result in the employee's removal from duty and their employment terminated.

The types of conduct which can constitute a refusal to submit to a test include, but are not limited to: refusal to take the test, inability to provide sufficient quantities of breath or urine to be tested without a valid medical explanation, as well as a verbal declaration, obstructive behavior, or physical absence resulting in the inability to conduct the test. Drug tests can be performed any time a safety-sensitive employee is on duty. An alcohol test can be performed when the safety-sensitive employee is actually performing a safety-sensitive duty, just before, or just after the performance of a safety-sensitive duty.

5.5 Treatment Requirements

All safety-sensitive employees are encouraged to make use of the available resources for treatment for alcohol misuse and drug use problems. Unless otherwise provided, the cost of any treatment or rehabilitation services shall be paid for directly by the safety-sensitive employee or their insurance provider.

If a safety-sensitive employee refuses to be evaluated by a substance abuse professional or fails to comply with a treatment or after care program recommended by a substance abuse professional, employment shall be terminated.

5.6 Notification of Criminal Drug Convictions

All employees, regardless of whether safety-sensitive functions are performed, are required to notify supervisory personnel of any criminal drug statute conviction for a violation occurring in the workplace within five days after such conviction. Further, such violations shall be reported to the Federal Transit Administration by appropriate supervisory personnel within ten days of notification from the employee. Failure to comply with this provision shall result in disciplinary action, up to and including termination.

6.0 TESTING PROCEDURES

Analytical urine drug testing and breath testing for alcohol shall be conducted when circumstances warrant or as required by federal regulations. **Testing methods shall be consistent with 49 CFR Part 40, as amended. All safety-sensitive employees shall be subjected to testing as follows: (a) prior to employment; (b) on an unannounced, random basis; (c) for reasonable suspicion; (d) following an accident; (e) prior to returning to duty following the refusal to take a required test or prior to returning to duty following a positive drug or alcohol test; and (f) follow-up testing after returning to duty following a positive test.**

Drug and alcohol testing shall be conducted in a manner to assure a high degree of accuracy and reliability and shall be conducted using techniques, equipment, and laboratory facilities which have been certified under the U.S. Department of Health and Human Services (DHHS) “Mandatory Guidelines for Federal Workplace Drug Testing Programs,” as amended. All drug and alcohol testing for safety-sensitive employees and employer blind performance testing for quality assurance and control shall be conducted in accordance with the procedures set forth in 49 CFR Part 40, as amended. The procedures will be performed in a private, confidential manner and every effort will be made to protect the employee, the integrity of the drug testing procedure, and the validity of the test result. Observed collections shall be required as applicable under 49 CFR Part 40, as amended, and may be allowed in return-to-duty or follow-up testing.

The drugs that will be tested for shall include marijuana, cocaine, opiates, amphetamines, and phencyclidine (PCP). Urine specimens will be collected using the split specimen collection method described in 49 CFR Part 40. Each specimen will be accompanied by a DOT Chain of Custody and Control Form and identified using a unique identification number that attributes the specimen to the correct individual. An initial drug screen shall be conducted on the primary urine specimen. For those specimens that are not negative, a confirming Gas Chromatography/Mass Spectrometry (GC/MS) test will be performed. The drug test shall be considered positive if the amounts present are above the minimum thresholds established in 49 CFR Part 40, as amended.

The test results from the laboratory will be reported to a Medical Review Officer (MRO). A MRO is a licensed physician with detailed knowledge of substance abuse disorders and drug testing. The MRO also shall be knowledgeable about 49 CFR Part 40, as amended, DOT MRO Guidelines, and other applicable regulations. The MRO also must have received qualification training and continuing education that meet the requirements of 49 CFR Part 40, as amended. The MRO will review the test results to ensure the scientific validity of the test and to

determine whether there is a legitimate medical explanation for a confirmed positive test result. The MRO will contact the employee, notify the employee of the positive laboratory result, and provide the employee with an opportunity to explain the confirmed test result. The MRO will subsequently review the employee's medical history/medical records to determine if there is a legitimate medical explanation for a positive laboratory result. If no legitimate medical explanation is found, the test will be verified positive and reported to the project manager. If a legitimate explanation is found, the MRO will report the test result as negative.

The split specimen will be stored at the initial laboratory until the analysis of the primary specimen is completed. If the primary specimen is negative, the split will be discarded. If the primary is positive, the split will be retained for testing if so requested by the employee through the MRO.

Tests for breath alcohol concentration shall be conducted just before, during, or just after performing a safety-sensitive function. Initial screening tests shall be conducted utilizing either a non-evidential breath testing device or a National Highway Traffic Safety Administration (NHTSA)-approved evidential breath testing device (EBT). If the initial test indicates an alcohol concentration of .02 or greater, a second test shall be performed to confirm the results of the initial test. A NHTSA-approved EBT device shall be utilized to perform confirmation tests. All tests utilizing EBT devices shall be conducted by a trained breath alcohol technician (BAT). The EBT will identify each test by a unique sequential identification number. This number, time, and unit identifier will be provided on each EBT printout. The EBT printout along with an approved alcohol testing form will be used to document the test, the subsequent results, and to attribute the test to the correct employee. The test will be performed in a private, confidential manner as required by 49 CFR Part 40 as amended. The procedure will be followed as prescribed to protect the employee and to maintain the integrity of the alcohol testing procedures and validity of the test result.

A safety-sensitive employee who has a confirmed alcohol concentration of greater than 0.02 but less than 0.04 will be removed from his/her position for eight hours unless a retest results in a concentration of less than 0.02. The inability to perform safety-sensitive duties due to an alcohol test result of greater than 0.02 but less than 0.04 will be subject to disciplinary action up to and including termination. An alcohol concentration of 0.04 or greater will be considered a positive alcohol test and in violation of this policy and a violation of the requirements set forth in 49 CFR Part 654 for safety-sensitive employees.

Any safety-sensitive employee that has a confirmed positive drug or alcohol test will be removed from his/her position, informed of educational and rehabilitation programs available, and referred to a substance abuse professional for assessment. A positive drug test will result in disciplinary action up to and including termination.

Individual dignity, privacy, and confidentiality throughout the testing process shall be recognized. If at any time the integrity of the testing procedures or the validity of the test results is compromised, the test will be cancelled.

6.1 Employee-Requested Re-Testing

Any safety-sensitive employee who questions the results of a required drug test may request that a test be conducted on the remaining split sample of the urine specimen. The safety-sensitive employee's request must be made to the Medical Review Officer within 72 hours of notice of a verified positive test result of the original sample. Requests after 72 hours shall only be accepted if the delay was due to documentable facts that were beyond the control of the safety-sensitive employee.

Split-specimen testing that is requested by a safety-sensitive employee shall be conducted at a different DHHS-certified laboratory and shall be conducted on the split sample that was provided by the safety-sensitive employee at the same time as the original sample was collected. The method of collecting, storing, and testing the split sample shall be consistent with the procedures set forth in 49 CFR Part 40, as amended. Unless otherwise provided, the cost for testing the split sample shall be borne by the safety-sensitive employee.

6.2 Pre-Employment Testing

All persons applying for employment positions requiring the performance of safety-sensitive functions as a condition of employment shall undergo urine drug testing immediately following the offer of employment or transfer into a position requiring the performance of safety-sensitive functions. A negative drug test result shall be required prior to employment. Failure of a pre-employment drug test shall disqualify the applicant for employment for a period of at least 90 days. Prior to further consideration for employment of re-applicants, a negative drug test shall be required. A pre-employment/pre-transfer test will also be performed anytime an employee's status changes from an inactive status in a safety-sensitive position to an active status in a safety-sensitive position (i.e., return from Worker's Compensation, return from leave of absence, employee out of random pool for 90 days or more, etc.). If an offer of employment is made to a person who was employed by one or more DOT-regulated employers during any period during the two (2) years prior to the date of the employee's application or transfer, the prospective employee shall sign a consent form releasing test results, refusals, etc., from each employer. Failure to consent to the release of required information shall result in the withdrawal of the offer of employment or termination of employment if applicable.

6.3 Reasonable Suspicion Testing

All safety-sensitive employees shall be subject to a urine drug test and/or breath alcohol test when there are reasons to believe that a drug or alcohol use is adversely affecting job performance. The determination that reasonable suspicion testing is warranted shall be based on documented, objective facts and circumstances which are consistent with the short-term effects of substance abuse or alcohol misuse.

The following criterion will allow for a federal reasonable suspicion test to occur:

- (1) Specific contemporaneous, articulable observations concerning the appearance, behavior, speech, or body odors of the covered employee consistent with prohibited substance use or alcohol misuse.

Reasonable suspicion determinations must be made by a supervisor who is trained to detect the signs and symptoms of drug and alcohol use and who reasonably concludes based on documented facts that a safety-sensitive employee may be adversely affected or impaired in his/her work performance due to possible prohibited substance abuse or alcohol misuse.

6.4 Post-Accident Testing

All safety-sensitive employees shall be required to undergo a urine drug test and breath alcohol test if they are involved in an accident in a mass transit vehicle that results in a fatality. This includes the surviving safety-sensitive employee who was operating the vehicle and any other safety-sensitive employee whose performance could have contributed to the accident. In addition, post-accident tests shall be conducted if a non-fatal accident results in injuries requiring immediate transport to a medical treatment facility or one or more vehicles incur disabling damage. Post-accident tests after a non-fatal accident shall be mandatory unless the safety-sensitive employee(s) can be discounted completely as a contributing factor based on documented facts.

Following an accident, the safety-sensitive employees to be tested shall be tested as soon as possible, but not to exceed eight hours for alcohol testing and 32 hours for drug testing. If an alcohol test can not be performed within two hours, documentation shall set forth the reasons for the failure to conduct the test. Any safety-sensitive employee involved in an accident must refrain from alcohol use for eight hours following the accident or until he/she undergoes a post-accident alcohol test. Any safety-sensitive employee who leaves the scene of an accident without justifiable explanation prior to submission to drug and alcohol testing will be considered to have refused the test. Safety-sensitive employees tested under this provision will include not only the operations personnel, but also any other safety-sensitive employee whose performance could have contributed to the accident.

6.5 Random Testing

Safety-sensitive employees shall be subject to random drug and alcohol testing. The selection of safety-sensitive employees for random testing will be made using a scientifically valid method that ensures each safety-sensitive employee that they will have an equal chance of being selected each time selections are made. The random tests will be unannounced and spread throughout the year. Tests can be conducted at any time during an employee's shift (i.e., beginning, middle, or end). Employees are required to proceed immediately to the collection site upon notification of their random selection.

6.6 Return-to-Duty Testing

Any safety-sensitive employees who previously refused an alcohol or drug test or who tested positive for a drug or alcohol test must test negative (below .02 for alcohol and negative for drugs) on a return-to-duty test and be evaluated and released to duty by a substance abuse professional before returning to work. If the safety-sensitive employee is allowed to return to duty, he/she shall be required to properly follow any rehabilitation program prescribed by the substance abuse professional.

6.7 Follow-Up Testing

In addition to the random testing process described in Section 6.5, all safety-sensitive employees shall be required to undergo frequent, unannounced follow-up urine drug and/or breath alcohol testing following their return to duty. The follow-up testing shall be performed for a period of one to five years, with a minimum of six tests to be performed during the first year. The frequency and duration of the follow-up tests beyond the minimum will be determined by a qualified substance abuse professional.

6.8 Dilute Negative Testing Results

If the MRO reports that a safety-sensitive employee's negative drug test was dilute the employee will not be required to take another test immediately.

6.9 Refusals to Test

In accordance with 49 CFR Part 40, all safety-sensitive employees' drug and alcohol test results will be considered a refusal to test if the employee commits any of the following infractions:

- (1) Fail to appear for any test (except a pre-employment test) within a reasonable time, as determined by Mountain Mobility (i.e. in reference to 49 CFR Part 40.191(a) and 49 CFR Part 40.261(a)(1). Mountain Mobility considers 30 minutes from the time of notification to the arrival at the testing agency as a reasonable time-frame for drug and alcohol tests to occur. Safety-sensitive employees must remain consistent with applicable DOT agency regulations, after being directed to do so by the employer. In reference to 49 CFR Part 40.61(a) this includes the failure of an employee (including owner-operator) to appear for a test when contacted by a C/TPA.
- (2) Fail to remain at the testing site until the testing process is complete (i.e. in reference to 49 CFR Part 40.191(a)(2) and 49 CFR Part 40.261(a)(2)). In reference to 49 CFR Part 40.63(c) an employee who leaves the testing site before the testing process commences for a pre-employment test is not deemed to have refused a test.
- (3) Fail to provide a urine specimen for any drug test required by this part or DOT agency regulations (i.e. in reference to 40.191(a)(3)). In reference to 49 CFR Part 40.63(c) an employee who does not

- provide a urine specimen because he or she has left the testing site before the testing process commences for a pre-employment test is not deemed to have refused a test.
- (4) Fail to provide a breath specimen for any breath alcohol test required by this part or DOT agency regulations (i.e. in reference to 40.261(a)(3)). In reference to 49 CFR Part 40.63(c) an employee who does not provide a breath specimen because he or she has left the testing site before the testing process commences for a pre-employment test is not deemed to have refused a test.
 - (5) Fail to provide a sufficient amount of urine when directed, and it has been determined, through a required medical evaluation, there was no adequate medical explanation for the failure (i.e. in reference to 49 CFR Part 40.191(a)(5) and 49 CFR Part 40.193(d)(2)).
 - (6) Fail to provide a sufficient amount of breath when directed, and it has been determined, through a required medical evaluation, there was no adequate medical explanation for the failure (i.e. in reference to 49 CFR Part 40.261(a)(4) and 49 CFR Part 40.193(d)(2)).
 - (7) Fail to undergo a medical examination or evaluation (i.e. in reference to 49 CFR Part 40.191 (a)(7)), as directed by the MRO as part of the drug testing verification process, or directed by the DER under 49 CFR Part 40.193(d) of this part. In the case of a pre-employment drug test, the employee is deemed to have refused to test on this basis only if the pre-employment test is conducted following a contingent offer of employment.
 - (8) Fail to undergo a medical examination or evaluation (i.e. in reference to 49 CFR Part 40.261 (a)(5)), as directed by the MRO as part of the breath alcohol testing verification process, or directed by the DER under 49 CFR Part 40.193(d) of this part.
 - (9) Fail to cooperate with any part of the drug testing process (e.g. in reference to 40 CFR Part 40.191(a)(8) this includes refusing to empty pockets when so directed by the collector; behave in a confrontational way that disrupts the collection process, etc.).
 - (10) Fail to cooperate with any part of the breath alcohol testing process (e.g. in reference to 40 CFR Part 40.261(a)(7) this includes refusing to empty pockets when so directed by the collector; behave in a confrontational way that disrupts the collection process, etc.).
 - (11) Fail to permit the observation or monitoring of your provision of a specimen when being directly observed or monitored during a drug test (i.e. in reference to 49 CFR Part 40.67(i) and 40.69 (g)).
 - (12) Fail or decline to take a second test the employer or collector has directed to occur (i.e. in reference to 49 CFR Part 40.191(a)(6)).
 - (13) The MRO reports that a test result has been verified as being adulterated or substituted (i.e. in reference to 49 CFR Part 40.191(b)).
 - (14) Fail to sign the certification at Step 2 of the ATF (i.e. in reference to 40.261(a)(6), 49 CFR Part 40.241(g), and 40.251(d)).
 - (15) In accordance to 49 CFR Part 40.191(e) when an employee refuses to take a non-DOT drug test or to sign a non-DOT form he or she has not refused to take a DOT test. There are no consequences under DOT agency regulations for refusing to take a non-DOT drug test.
 - (16) In accordance to 49 CFR Part 40.261(d) when an employee refuses to take a non-DOT breath alcohol

test or to sign a non-DOT form he or she has not refused to take a DOT test. There are no consequences under DOT agency regulations for refusing to take a non-DOT breath alcohol test.

7.0 EMPLOYEE ASSESSMENT

Any safety-sensitive employee who refuses a test or who tests positive for the presence of illegal drugs or alcohol above the minimum thresholds set forth in 49 CFR Part 40, as amended, will be referred for evaluation by a substance abuse professional. The substance abuse professional shall be a licensed physician; or a licensed or certified psychologist, social worker, employee assistance professional; or an addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission or by the International Certification Reciprocity Consortium/Alcohol & Other Drug Abuse). All must have knowledge of and clinical experience in the diagnosis and treatment of alcohol and drug-related disorders. The substance abuse professional also shall be knowledgeable about 49 CFR Part 40, as amended, DOT Guidelines for substance abuse professionals, and other applicable regulations. The substance abuse professional also must have received qualification training and continuing education that meet the requirements of 49 CFR Part 40, as amended. The substance abuse professional shall evaluate each safety-sensitive employee to determine what assistance, if any, the safety-sensitive employee needs in resolving problems associated with prohibited drug use or alcohol misuse. If treatment or assistance is prescribed, the substance abuse professional shall not refer the employee to a private practice from which the substance abuse professional receives remuneration or in which the substance abuse professional has a financial interest. If a safety-sensitive employee is allowed to return-to-duty, he/she must properly follow the rehabilitation program prescribed by the substance abuse professional, must have negative return-to-duty drug and alcohol tests, and must be subject to announced follow-up testing for a period of one to five years.

Assessment by a substance abuse professional or participation in an employee rehabilitation and assistance program shall not shield a safety-sensitive employee from disciplinary action for performance-related infractions.

8.0 INFORMATION DISCLOSURE

All drug and alcohol testing records will be maintained in a secure manner so that disclosure of information to unauthorized persons does not occur. Information will only be released in the following circumstances:

- (1) to a third party only as directed by specific, written instruction of the employee;
- (2) to the decision-maker in a lawsuit, grievance, or other proceeding initiated by or on the behalf of the employee tested;
- (3) to a subsequent employer upon receipt of a written request from the employee;
- (4) to the National Transportation Safety Board during an accident investigation;
- (5) to the DOT or any DOT agency with regulatory authority over the employer or any of its employees, or to a State oversight agency authorized to oversee rail fixed-guideway systems;
- (6) to a representative of Buncombe County who, on behalf of the grantee, is required to certify FTA compliance with the drug and alcohol testing procedures of 49 CFR Part 40 as amended or Part 655; or
- (7) to the employee, upon written request.

9.0 EMPLOYEE AND SUPERVISOR TRAINING REQUIREMENTS

Prior to the performance of safety-sensitive functions and on an annual basis thereafter, **appropriate education, training, and informational materials shall be provided to, discussed with, and/or displayed for safety-sensitive employees as required under the federal regulations. Each safety-sensitive employee shall receive at least 60 minutes of education and training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, as well as manifestations and behavioral cues that may indicate the use of prohibited drugs. Each safety-sensitive employee also shall be provided with information concerning the effects of alcohol misuse on an individual's health, work, and personal life, as well as signs and symptoms of an alcohol problem and intervention methods.**

Any supervisor who will be determining when it is appropriate to administer reasonable suspicion drug or alcohol tests shall receive at least 60 minutes of training on the physical, behavioral, and performance indicators associated with the probable use of prohibited drugs and shall receive at least 60 additional minutes of education and training on the physical, behavioral, speech, and performance indicators associated with probable alcohol misuse. Supervisors shall receive said training prior to assuming responsibility for making reasonable suspicion determinations.

Education and training requirements for safety-sensitive employees are summarized in Attachment B. **Fact sheets providing information on the effects of drug use and alcohol misuse are provided in Attachment C.**

10.0 SYSTEM CONTACTS

Any questions regarding this policy or any other aspect of the County's anti-drug and alcohol misuse program shall be directed to the following person:

Name: Lori Hembree
Title: General Manager
Address: Buncombe County Transit Management, Inc.
2000 Riverside Drive, Suite 17
Asheville, NC 28804
Telephone Number: (828) 250-6750

Any agency or contractor whose employees are responsible for performing safety-sensitive functions associated with the administration, operation, or management of Mountain Mobility shall provide to the County a written certification of the name, address, telephone number, and the fax number for its Medical Review Officer and Substance Abuse Professional, which shall be incorporated into this policy by this reference thereto.

ATTACHMENT A

**POSITIONS WITH DUTIES RELATED TO MOUNTAIN MOBILITY
AND SAFETY-SENSITIVE FUNCTIONS APPLICABLE TO THOSE POSITIONS¹**

Position/Description (Full-Time and Part-Time)	Safety- Sensitive Functions	Employer
Operations Manager	If dispatcher or driver position/function is performed	Buncombe County Transit Management, Inc.
General Manager	If dispatcher or driver position/function is performed	
Dispatcher	Control, dispatch, and/or movement of a revenue service vehicle	
Driver	Operation of a mass transit revenue service vehicle	
Child Monitor	If dispatcher or driver position/function is performed	
Driver Trainer, Fleet Manager	If dispatcher or driver position/function is performed	
Maintenance Staff	Maintenance, if not contracted out	
Regional Transit Planner	No safety-sensitive functions are performed	Land-of-Sky Regional Council
Transportation Specialist/Mobility Manager	No safety-sensitive functions are performed	
Customer Service Reps.	No safety-sensitive functions are performed	
Planning Director	No safety-sensitive functions are performed	Buncombe County
Planner III	No safety-sensitive functions are performed	
County Garage Staff	No safety-sensitive functions are performed	

¹ This list may be changed as necessary to include all current employment positions and reflect the safety-sensitive status of all positions that may be affected by this policy statement.

ATTACHMENT B

SUMMARY OF EDUCATION AND TRAINING REQUIREMENTS

Anti-Drug Program

Who Must Be Educated/Trained	What Education/Training They Must Receive	Content
All safety-sensitive employees	Display and distribution of content information	Anti-drug informational material; community service hotline number for employee assistance
All safety-sensitive employees	Written notice about and copy of content information	Drug regulation; employer policy and procedures.
All safety-sensitive employees	60 minutes of training	Effects of drug use on personal health, safety, and work environment; manifestations and behavioral cues indicating drug use.
Supervisors making reasonable suspicion determinations	An additional 60 minutes of training	Indicators of probable drug use.

Alcohol Misuse Program

Who Must Be Educated/Trained	What Education/Training They Must Receive	Content
All safety-sensitive employees	Materials that include detailed discussion of content information	Contact person; safety-sensitive employee categories; period of workday when compliance is required; prohibited conduct; mandatory testing for safety-sensitive functions; testing circumstances, and procedures; consequences of alcohol misuse (.02+ concentration) and refusal of tests; information about effects of alcohol misuse on health, work, and personal life; signs and symptoms of alcohol misuse; intervention methods.
All safety-sensitive employees	Written notice of availability and copy of content information prior to start of testing	Alcohol regulation; employer policy and procedures.
Supervisors making reasonable suspicion determinations	At least 60 minutes of training	Indicators of probable alcohol misuse.

ATTACHMENT C

FACT SHEETS

Alcohol Fact Sheet

Alcohol is a socially acceptable drug that has been consumed throughout the world for centuries. It is considered a recreational beverage when consumed in moderation for enjoyment and relaxation during social gatherings. However, when consumed primarily for its physical and mood-altering effects, it is a substance of abuse. As a depressant, it slows down physical responses and progressively impairs mental functions.

Signs and Symptoms of Use

- Dulled mental processes
- Lack of coordination
- Odor of alcohol on breath
- Possible constricted pupils
- Sleepy or stuporous condition
- Slowed reaction rate
- Slurred speech

(Note: Except for the odor, these are general signs and symptoms of any depressant substance.)

Health Effects

The chronic consumption of alcohol (average of three servings per day of beer [12 ounces], whiskey [1 ounce], or wine [6 ounce glass]) over time may result in the following health hazards:

- Decreased sexual functioning
- Dependency (up to 10 percent of all people who drink alcohol become physically and/or mentally dependent on alcohol and can be termed "alcoholic")
- Fatal liver diseases
- Increased cancers of the mouth, tongue, pharynx, esophagus, rectum, breast, and malignant melanoma
- Kidney disease
- Pancreatitis
- Spontaneous abortion and neonatal mortality
- Ulcers
- Birth defects (up to 54 percent of all birth defects are alcohol related).

Amphetamine Fact Sheet

Amphetamines are central nervous system stimulants that speed up the mind and body. The physical sense of energy at lower doses and the mental exhilaration at higher doses are the reasons for their abuse. Although widely prescribed at one time for weight reduction and mood elevation, the legal use of amphetamines is now limited to a very narrow range of medical conditions. Most amphetamines that are abused are illegally manufactured in foreign countries and smuggled into the U.S. or clandestinely manufactured in crude laboratories.

Description

- Amphetamine is sold in counterfeit capsules or as white, flat, double-scored "mini-bennies." It is usually taken by mouth.
- Methamphetamine is often sold as a creamy white and granular powder or in lumps and is packaged in aluminum foil wraps or sealable plastic bags. Methamphetamine may be taken orally, injected, or snorted into the nose.
- Trade/street names include Biphedamine, Delcobese, Desotyn, Detedrine, Chetrol, Ritalin, Speed, Meth, Crank, Crystal, Monster, Black Beauties, and Rits.

Signs and Symptoms of Use

- Hyperexcitability, restlessness
- Dilated pupils
- Increased heart rate and blood pressure
- Heart palpitations and irregular beats
- Profuse sweating
- Rapid respiration
- Confusion
- Panic
- Talkativeness
- Inability to concentrate
- Heightened aggressive behavior.

Health Effects

- Regular use produces strong psychological dependence and increasing tolerance to drug.
- High doses may cause toxic psychosis resembling schizophrenia.
- Intoxication may induce a heart attack or stroke due to spiking of blood pressure.
- Chronic use may cause heart and brain damage due to severe constriction of capillary blood vessels.

Cocaine Fact Sheet

Cocaine is used medically as a local anesthetic. It is abused as a powerful physical and mental stimulant. The entire central nervous system is energized. Muscles are more tense, the heart beats faster and stronger, and the body burns more energy. The brain experiences an exhilaration caused by a large release of neurohormones associated with mood elevation.

Description

- The source of cocaine is the coca bush, grown almost exclusively in the mountainous regions of northern South America.
- Cocaine Hydrochloride—"snorting coke" is a white to creamy granular or lumpy powder that is chopped into a fine powder before use. It is snorted into the nose, rubbed on the gums, or injected in veins. The effect is felt within minutes and lasts 40 to 50 minutes per "line" (about 60 to 90 milligrams). Common paraphernalia include a single-edged razor blade and a small mirror or piece of smooth metal, a half straw or metal tube, and a small screw cap vial or folded paper packet containing the cocaine.
- Cocaine Base—a small crystalline rock about the size of a small pebble. It boils at a low temperature, is not soluble in water, and is up to 90 percent pure. It is heated in a glass pipe and the vapor is inhaled. The effect is felt within seven seconds. Common paraphernalia includes a "crack pipe" (a small glass smoking device for vaporizing the crack crystal) and a lighter, alcohol lamp, or small butane torch for heating.
- Trade/street names include Coke, Rock, Crack, Free Base, Flake, Snow, Smoke, and Blow.

Signs and Symptoms of Use

- Financial problems
- Frequent and extended absences from meetings or work assignment
- Increased physical activity and fatigue
- Isolation and withdrawal from friends and normal activities
- Secretive behaviors, frequent nonbusiness visitors, delivered packages, phone calls
- Unusual defensiveness, anxiety, agitation
- Wide mood swings
- Runny or irritated nose
- Difficulty in concentration
- Dilated pupils and visual impairment
- Restlessness
- Formication (sensation of bugs crawling on skin)
- High blood pressure, heart palpitations, and irregular rhythm
- Hallucinations
- Hyperexcitability and overreaction to stimulus
- Insomnia
- Paranoia and hallucinations
- Profuse sweating and dry mouth
- Talkativeness.

Cannabinoids (Marijuana) Fact Sheet

Marijuana is one of the most misunderstood and underestimated drugs of abuse. People use marijuana for the mildly tranquilizing and mood- and perception-altering effects it produces.

Description

- Usually sold in plastic sandwich bags, leaf marijuana will range in color from green to light tan. The leaves are usually dry and broken into small pieces. The seeds are oval with one slightly pointed end. Less prevalent, hashish is a compressed, sometimes tarlike substance ranging in color from pale yellow to black. It is usually sold in small chunks wrapped in aluminum foil. It may also be sold in an oily liquid.
- Marijuana has a distinctly pungent aroma resembling a combination of sweet alfalfa and incense.
- Cigarette papers, roach clip holders, and small pipes made of bone, brass, or glass are commonly found. Smoking "bongs" (large bore pipes for inhaling large volumes of smoke) can easily be made from soft drink cans and toilet paper rolls.
- Trade/street names include Marinol, THC, Pot, Grass, Joint, Reefer, Acapulco Gold, Sinsemilla, Thai Sticks, Hash, and Hash Oil.

Signs and Symptoms of Use

- Reddened eyes (often masked by eyedrops)
- Slowed speech
- Distinctive odor on clothing
- Lackadaisical "I don't care" attitude
- Chronic fatigue and lack of motivation
- Irritating cough, chronic sore throat.

Health Effects

General

- When marijuana is smoked, it is irritating to the lungs. Chronic smoking causes emphysema-like conditions.
- One joint causes the heart to race and be overworked. People with undiagnosed heart conditions are at risk.
- Marijuana is commonly contaminated with the fungus *Aspergillus*, which can cause serious respiratory tract and sinus infections.
- Marijuana smoking lowers the body's immune system response, making users more susceptible to infection. The U.S. government is actively researching a possible

- Erratic cognitive function
- Distortions in time estimation
- Long-term negative effects on mental function known as "acute brain syndrome," which is characterized by disorders in memory, cognitive function, sleep patterns, and physical condition.

Acute Effects

- Aggressive urges
- Anxiety
- Confusion
- Fearfulness
- Hallucinations
- Heavy sedation
- Immobility
- Mental dependency
- Panic
- Paranoid reaction
- Unpleasant distortions in body image.

Workplace Issues

- The active chemical, THC, stores in body fat and slowly releases over time. Marijuana smoking has a long-term effect on performance.
- A 500 to 800 percent increase in THC concentration in the past several years makes smoking three to five joints a week today equivalent to 15 to 40 joints a week in 1978.
- Combining alcohol or other depressant drugs and marijuana can produce a multiplied effect, increasing the impairing effect of both the depressant and marijuana.

Opiates (Narcotics) Fact Sheet

Opiates (also called narcotics) are drugs that alleviate pain, depress body functions and reactions, and, when taken in large doses, cause a strong euphoric feeling.

Description

- Natural and natural derivatives—opium, morphine, codeine, and heroin
- Synthetics—meperidine (Demerol), oxymorphone (Numorphan), and oxycodone (Percodan)
- May be taken in pill form, smoked, or injected, depending upon the type of narcotic used.
- Trade/street names include Smack, Horse, Emma, Big D, Dollies, Juice, Syrup, and China White.

Signs and Symptoms of Use

- Mood changes
- Impaired mental functioning and alertness
- Constricted pupils
- Depression and apathy
- Impaired coordination
- Physical fatigue and drowsiness
- Nausea, vomiting, and constipation
- Impaired respiration.

Health Effects

- IV needle users have a high risk for contracting hepatitis and AIDS due to the sharing of needles.
- Narcotics increase pain tolerance. As a result, people could more severely injure themselves or fail to seek medical attention after an accident due to the lack of pain sensitivity.
- Narcotics' effects are multiplied when used in combination with other depressant drugs and alcohol, causing increased risk for an overdose.

Social Issues

- There are over 500,000 heroin addicts in the U.S., most of whom are IV needle users.
- An even greater number of medicinal narcotic-dependent persons obtain their narcotics through prescriptions.

Phencyclidine (PCP) Fact Sheet

Phencyclidine (PCP) was originally developed as an anesthetic, but the adverse side effects prevented its use except as a large animal tranquilizer. Phencyclidine acts as both a depressant and a hallucinogen, and sometimes as a stimulant. It is abused primarily for its variety of mood-altering effects. Low doses produce sedation and euphoric mood changes. The mood can change rapidly from sedation to excitation and agitation. Larger doses may produce a coma-like condition with muscle rigidity and a blank stare with the eyelids half closed. Sudden noises or physical shocks may cause a "freak out" in which the person has abnormal strength, extremely violent behavior, and an inability to speak or comprehend communication.

Description

- PCP is sold as a creamy, granular powder and is often packaged in one-inch square aluminum foil or folded paper "packets."
- It may be mixed with marijuana or tobacco and smoked. It is sometimes combined with procaine, a local anesthetic, and sold as imitation cocaine.
- Trade/street names include Angel Dust, Dust, and Hog.

Signs and Symptoms of Use

- Impaired coordination
- Severe confusion and agitation
- Extreme mood shifts
- Muscle rigidity
- Nystagmus (jerky eye movements)
- Dilated pupils
- Profuse sweating
- Rapid heartbeat
- Dizziness.

Health Effects

- The potential for accidents and overdose emergencies is high due to the extreme mental effects combined with the anesthetic effect on the body.
- PCP is potentiated by other depressant drugs, including alcohol, increasing the likelihood of an overdose reaction.
- Misdiagnosing the hallucinations as LSD induced, and then treating with Thorazine, can cause a fatal reaction.
- Use can cause irreversible memory loss, personality changes, and thought disorders.
- There are four phases to PCP abuse. The first phase is acute toxicity. It can last up to three days and can include combativeness, catatonia, convulsions, and coma. Distortions of size, shape, and distance perception are common. The second phase, which

ADDENDUM 1

DRUG AND ALCOHOL POLICY ADDENDUM EFFECTIVE: OCTOBER 1, 2010

The Department of Transportation has amended certain parts of 49 CFR Part 40, and therefore, the Substance Abuse Policy for Mountain Mobility is amended as follows:

1. Testing for MDMA (Ecstasy) will be added to the amphetamine test panel.
2. Initial testing for heroin will be mandatory for all opiate positives.
3. Cutoff levels for drugs will be consistent with 49 CFR Part 40, as amended.
4. The following terms have been revised:
 - a. **Adulterated specimen:** A specimen that has been altered, as evidenced by test results showing either a substance that is not a normal constituent for that type of specimen or showing an abnormal concentration of an endogenous substance.
 - b. **Confirmatory drug test:** A second analytical procedure performed on different aliquot of the original specimen to identify and quantify the presence of a specific drug or drug metabolite.
 - c. **Initial drug test (Screening drug test):** The test used to differentiate a negative specimen from one that requires further testing for drugs or drug metabolites.
 - d. **Initial specimen validity test:** The first test used to determine if a urine specimen is adulterated, diluted, substituted, or invalid.
 - e. **Invalid drug test:** The result reported by an HHS-certified laboratory in accordance with the criteria established by HHS Mandatory Guidelines when a positive, negative, adulterated, or substituted result cannot be established for specific drug or specimen validity test.
 - f. **Laboratory:** Any U.S. laboratory certified by HHS under the National Laboratory Certification Program as meeting the minimum standards of Subpart C of the HHS Mandatory Guidelines for Federal Workplace Drug Testing Programs; or, in the case of foreign laboratories, a laboratory approved for participation by DOT under this part.
 - g. **Limit of Detection (LOD):** The lowest concentration at which a measurement can be identified, but (for quantitative assays) the concentration cannot be accurately calculated.
 - h. **Limit of Quantitation:** For quantitative assays, the lowest concentration at which the identity and concentration of the measurement can be accurately established.

- h. **Limit of Quantitation:** For quantitative assays, the lowest concentration at which the identity and concentration of the measurement can be accurately established.
- i. **Negative result:** The result reported by an HHS-certified laboratory to an MRO when a specimen contains no drug or the concentration of the drug is less than the cutoff concentration of the drug or drug class and the specimen is a valid specimen.
- j. **Positive result:** The result reported by an HHS-certified laboratory when a specimen contains a drug or drug metabolite equal to or greater than the cutoff concentrations.
- k. **Reconfirmed:** The result reported for a split specimen when the second laboratory is able to corroborate the original result reported for the primary specimen.
- l. **Rejected for testing:** The result reported by an HHS-certified laboratory when no tests are performed for specimen because of a fatal flaw or a correctable flaw that is not corrected.
- m. **Split specimen collection:** A collection in which the urine collected is divided into two separate specimen bottles, the primary specimen (bottle A) and the split specimen (bottle B)

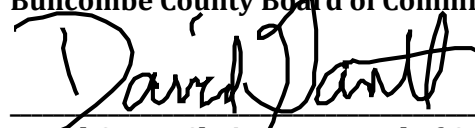
Addendum Authorization Date:

September 21, 2010

Authorized By:

Buncombe County Board of Commissioners

Signature:



David Gantt, Chairman, Board of Commissioners

MOUNTAIN MOBILITY

Buncombe County's Community Transportation Program



PASSENGER, VEHICLE AND SYSTEM

SAFETY PROGRAM PLAN



Adoption Date: July 20, 2004

Revised April, 2010

Updated June, 2011

SECTION 5 – VEHICLE MAINTENANCE PLAN

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VEHICLE MAINTENANCE PLAN

A transit system must always retain records that indicate that vehicles have been properly inspected and maintained. All vehicle records shall be maintained for the life of the vehicle and retained for an additional three years. The County and/or CTAB reserves the right to inspect vehicles, equipment, and records associated with vehicles and equipment at any time in order to ensure proper maintenance and safe operating conditions.

A. Vehicle Maintenance

Mountain Mobility shall maintain all vehicles at a minimum in accordance with standards and schedules established by the vehicle manufacturer, including both preventive maintenance and corrective maintenance programs, and/or in accordance with the state's preventive maintenance guidelines at a minimum (available upon request). Where duplicate standards exist, **Mountain Mobility** shall be required to maintain vehicles in accordance with the stricter standards. **Mountain Mobility** shall use its best efforts to schedule maintenance at times that do not interfere with normal passenger service.

Daily Inspections

Daily inspections shall include, but not be limited to, (a) physical damage report; (b) exterior checks (wipers, mirrors, tires, lights, cleanliness, etc.); (c) interior checks (seat belts, accessibility and securement equipment, emergency and safety equipment (i.e. web cutters, blood borne pathogens kit, etc.), horn, lights, heating/air conditioning, brakes, cleanliness, vehicle registration and inspection, etc.); and (d) engine checks (oil, battery, radiator, wiper wash, belts, hoses, etc.). For passenger comfort, the heating and air-conditioning units on all vehicles must be kept in proper working order. Vehicles failing the daily inspection will not be used in service until the reason for failure is corrected. All practices, materials supplies, and equipment shall comply with the Federal Occupational Safety and Health Act, as well as any applicable federal, state and/or local safety or environmental codes. The inspection categories detailed above are listed on all required daily vehicle inspection forms.

Every driver must complete a pre-vehicle inspection prior to operating any vehicle and a post vehicle inspection prior to concluding their shift, or at anytime they have finished driving that vehicle for the day. All safety defects and body damage must be noted. Failure to do so may hold that employee responsible for any accident related damage. Periodic inspections will be made at random times requesting either one or all vehicle inspection sheets. Failure to comply with this requirement will result in the suspension or termination of the employees involved. Anytime an accident happens or a collision between the vehicle and any other object occurs, a vehicle inspection must be completed by the Fleet Manager and verified by a contracted vehicle repair facility.

All Daily Inspection Sheets (i.e. Post-trip Sheet, Pre-trip Sheet, etc.) conducted by Transit Drivers must be completed fully, signed, and submitted to the Fleet Manager at the end of their assigned shift. The Fleet Manager will review the submitted Inspection Sheets the

following day to guarantee detected vehicle problems go unnoticed and are repaired immediately. If a vehicle problem is documented within a Daily Inspection Sheet the Fleet Manager will take that particular vehicle out of service until it can be repaired. Repairs will be scheduled within 48 hours of the problem being detected. If the repairs cannot occur within 48 hours of detection due to unforeseen delays the Fleet Manager will document on the Daily Inspection Sheet the reasoning for postponement.

The Fleet Manager will document on the Daily Inspection Sheet the date and time of when a problem is detected, reviewed by Fleet Management, as well as when it was repaired. Daily Inspection Sheets portraying vehicle problems and their repairs will be filed along with the appropriate vehicle repair invoices within the individual vehicle maintenance records located in the Fleet Manager's Office. All other Daily Inspections Sheets will be maintained in the individual vehicle maintenance records located in the Fleet Manager's Office, but will be stored in a file labeled "Regular DVI's". All Daily Inspection Sheets will be maintained throughout the life of the vehicle. After vehicles have met their useful life and have been disposed, their Daily Inspection Sheets will be stored for an additional three (3) years.

Vehicle Preventive Maintenance

Vehicle preventive maintenance is a term used to describe the performance of regularly scheduled maintenance procedures to a vehicle to reduce the possibility of malfunctions. Mountain Mobility will maintain all vehicles and wheelchair lifts in the best possible operational conditions. This will be accomplished by adhering to and/or exceeding the vehicle manufacturer's recommended minimum maintenance requirements which is reflected in the following section of this plan.

All Vehicle Preventive Maintenance records are maintained in each individual vehicle maintenance file located in the Fleet Manager's Office. This information includes but is not limited to Inspection Sheet-Preventive Maintenance Guide and Checklist; Preventive Maintenance and Inspection Sheet; Preventive Maintenance Inspection Report; Wheelchair Lift Preventive Maintenance Schedule; Emergency Equipment on Vehicles and Usage information; and Preventive Maintenance vehicle repair records.

The following vehicle preventive maintenance schedule section details the minimum maintenance standards set forth by the appropriate vehicle manufacturers for each model and year contained within Mountain Mobility's fleet. As fleet vehicles meet their useful life and are replaced the preventive maintenance schedule will be updated by removing outdated information and adding current vehicle manufacturer preventive maintenance recommendations.

Vehicle Preventive Maintenance Schedule

2008-2011 Model Years

Time Specific

Monthly

- Check function of all interior and exterior lights.
- Check tires for wear and proper air pressure, including spare.
- Check engine oil fluid level
- Check windshield washer fluid

6 Months

- Check lap/shoulder belts and seat latches for wear and proper operation.
- Check that externally mounted spare tire is properly stowed (tight).
- Check power steering fluid level.
- Check washer spray, wiper operation, and clean all wiper blades (replace blades as necessary).
- Check parking brake for proper operation.
- Check and lubricate all hinges, latches, door check straps (see dealer) and outside locks.
- Check and lubricate upper and lower sliding door tracks, if equipped.
- Check and lubricate door rubber weather-strips.
- Check and clean body and door drain holes.
- Check safety warning lamps (brake, ABS, air bag, safety belts) for operation.
- Check engine cooling system level and strength.
- Check battery connections and clean if necessary.
- Check clutch fluid level, if equipped.

Mileage Specific

- 7,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 15,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 22,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 30,000 Change engine oil and replace oil filter. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Consult your dealer for particular requirements. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 37,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 45,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 52,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 60,000 Change engine oil and replace oil filter. Change automatic transmission fluid on all vehicles equipped with the TorqShift transmission. Consult your dealer for particular requirements. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace wheel bearing grease and grease seals on 4X2 front wheel bearings (if non-sealed bearings). Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat

shields. Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 67,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 75,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 82,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 90,000 Change engine oil and replace oil filter. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Consult your dealer for particular requirements. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Replace spark plugs. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect accessory drive belts. Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 97,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 105,000 Change engine oil and replace oil filter. Change manual transmission fluid. Replace cabin air filter, if equipped. Replace PCV valve on all light trucks less than 6,000 lbs. Gross Vehicle Weight (GVW) (except 3V engines). Change rear axle fluid only on vehicles equipped with DANA axles. Change

Motorcraft Premium Gold Engine Coolant. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 112,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 120,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Replace PCV valve on all light trucks under 6,000 lbs. Gross Vehicle Weight (GVW) (except 3V engines). Change automatic transmission fluid on all vehicles equipped with the TorqShift transmission. Consult your dealer for particular requirements. Replace wheel bearing grease and grease seals on 4X2 front wheel bearings (if non-sealed bearings). Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect accessory drive belts. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 127,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 135,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 142,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 150,000 Change engine oil and replace oil filter. Change Motorcraft Premium Gold Engine Coolant. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Change automatic transmission fluid and filter (filter not required on 6F35) (except vehicles equipped with the TorqShift transmission). Change manual transmission fluid. Change rear axle fluid on all rear wheel drive (RWD) vehicles. Change transfer case fluid. Change front differential fluid (4X4 only). Replace wheel bearings (if non-sealed bearings). Replace accessory drive belt(s) if not replaced in the last 100,000 miles. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect PCV valve for flow (3V engines). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

**2010 Model Year Dual-Fuel (CNG) Vehicles
And 2008 Model Year Dual-Fuel (Propane) Vehicles**

Time Specific

Monthly

- Check function of all interior and exterior lights.
- Check tires for wear and proper air pressure, including spare.
- Check engine oil fluid level
- Check windshield washer fluid

6 Months

- Check lap/shoulder belts and seat latches for wear and proper operation.
- Check that externally mounted spare tire is properly stowed (tight).
- Check power steering fluid level.
- Check washer spray, wiper operation, and clean all wiper blades (replace blades as necessary).
- Check parking brake for proper operation.
- Check and lubricate all hinges, latches, door check straps (see dealer) and outside locks.
- Check and lubricate upper and lower sliding door tracks, if equipped.
- Check and lubricate door rubber weather-strips.
- Check and clean body and door drain holes.
- Check safety warning lamps (brake, ABS, air bag, safety belts) for operation.

- Check engine cooling system level and strength.
- Check battery connections and clean if necessary.
- Check clutch fluid level, if equipped.

Mileage Specific

- 7,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 15,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
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- 37,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 45,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling

system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 52,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 60,000 Change engine oil and replace oil filter. Change automatic transmission fluid on all vehicles equipped with the TorqShift transmission. Consult your dealer for particular requirements. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace wheel bearing grease and grease seals on 4X2 front wheel bearings (if non-sealed bearings). Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 67,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 75,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 82,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 90,000 Change engine oil and replace oil filter. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Consult your dealer for particular requirements. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Replace spark plugs. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect accessory drive belts. Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 97,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 105,000 Change engine oil and replace oil filter. Change manual transmission fluid. Replace cabin air filter, if equipped. Replace PCV valve on all light trucks less than 6,000 lbs. Gross Vehicle Weight (GVW) (except 3V engines). Change rear axle fluid only on vehicles equipped with DANA axles. Change Motorcraft Premium Gold Engine Coolant. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 112,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 120,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Replace PCV valve on all light trucks under 6,000 lbs. Gross Vehicle Weight (GVW) (except 3V engines). Change automatic transmission fluid on all vehicles equipped with the TorqShift transmission. Consult your dealer for particular requirements. Replace wheel bearing grease and grease seals on 4X2 front wheel bearings (if non-sealed bearings). Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines &

hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect accessory drive belts. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

- 127,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 135,000 Change engine oil and replace oil filter. Replace cabin air filter, if equipped. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect automatic transmission fluid level (if equipped with an under hood dipstick). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 142,500 Change engine oil and replace oil filter. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).
- 150,000 Change engine oil and replace oil filter. Change Motorcraft Premium Gold Engine Coolant. Replace cabin air filter, if equipped. Replace climate-controlled seat filter (if equipped). Replace engine air filter. Replace fuel filter. Change automatic transmission fluid and filter (filter not required on 6F35) (except vehicles equipped with the TorqShift transmission). Change manual transmission fluid. Change rear axle fluid on all rear wheel drive (RWD) vehicles. Change transfer case fluid. Change front differential fluid (4X4 only). Replace wheel bearings (if non-sealed bearings). Replace accessory drive belt(s) if not replaced in the last 100,000 miles. Inspect steering linkage, ball joints, suspension tie rod ends, driveshaft, and U-joints (lubricate if equipped with Zerk fittings). Inspect engine cooling system and hoses. Inspect brake pads/shoes/rotors/drums, brake lines & hoses, and parking brake system. Inspect half shaft boots (if equipped). Inspect exhaust system and heat shields. Inspect PCV valve for flow (3V engines). Inspect and lubricate 4X4 front axle shaft U-joints. Rotate tires, inspect tires for wear and measure tread depth. Inspect wheels and related components for abnormal noise, wear, looseness, or drag. Perform multi-point inspection (recommended).

B. Wheelchair Lift Preventive Maintenance

Mountain Mobility will perform wheelchair lift maintenance at scheduled intervals in accordance to the number of cycles recommended by the manufacturer. Mountain Mobility will also immediately repair any improperly operating or unsafe situations involving wheelchair lifts if/when necessary.

All wheelchair lift preventive maintenance records are maintained in each individual vehicle maintenance file located in the Fleet Manager's Office. This information includes but is not limited to: Wheelchair Lift Inspection Sheet-Preventive Maintenance Guide and Checklist; Wheelchair Lift Preventive Maintenance and Inspection Sheet; Preventive Maintenance Inspection Report; Wheelchair Lift Preventive Maintenance Schedule; and Preventive Maintenance wheelchair lift repair records.

The following wheelchair lift preventive maintenance schedule section details the required maintenance standards set forth by the appropriate wheelchair lift manufacturers for each model and year contained within Mountain Mobility's fleet. As fleet vehicles meet their useful life and are replaced, the wheelchair lift preventive maintenance schedule will be updated by removing outdated information and adding current wheelchair lift manufacturer preventive maintenance recommendations.

Wheelchair Lift Preventive Maintenance Schedule

All listed inspection, lubrication, and maintenance procedures will be repeated at "750 cycle" intervals following the "4500 Cycles" maintenance. These intervals are a general guideline for scheduling maintenance procedures and will vary according to lift use and conditions. Lifts exposed to severe conditions (weather, environment, contamination, heavy usage, etc.) may require inspection and maintenance procedures to be performed more often than specified.

2007 Braun Millennium Models

Maintenance after 750 Cycles

- Outer barrier hinge pivot points (2): Apply Light Oil – See Lubrication Diagram
- Outer barrier latch (pivot/slide points): Apply Light Oil – See Lubrication Diagram
- Outer barrier latch lever pivot points: Apply Light Oil – See Lubrication Diagram
- Lift-Tite latches (tower pivot points – 2): Apply Light Oil – See Lubrication Diagram
- Lift-Tite latch gas (dampening) spring pivot points (2 springs – 4 points): Apply Light Oil – See Lubrication Diagram
- Inspect Lift-Tite latches and gas springs for wear or damage (bent, deformed or misaligned) positive securement (lock nuts/external snap rings) and proper operation. Resecure, replace damaged parts or otherwise correct as needed. Note: Apply light grease to Lift-Tite latch tower pivot point if replacing latch.
- Inspect outer barrier for proper operation, correct or replace damaged parts

- Inspect outer barrier latch for proper operation, positive securement, and detached or missing spring, correct or replace damaged parts and/or relubricate – See Lubrication Diagram
- Inspect lift for wear, damage, or any abnormal condition, correct as needed
- Inspect lift for rattles, correct as needed

Maintenance after 1500 Cycles

- Perform all procedures listed in previous section.
- Platform pivot pin bearings (2): Apply Light Oil – See Lubrication Diagram
- Platform fold axles: Apply Light Oil – See Lubrication Diagram
- Inner roll stop (IB) lever bearings (2): Apply Light Oil – See Lubrication Diagram
- Inner roll stop (IB) lever slot (2): Apply Light Oil – See Lubrication Diagram
- Rotating pivot slide arm pivot pins (2): Apply Light Oil – See Lubrication Diagram
- Parallel arm pivot bearings (16): Apply Light Oil – See Lubrication Diagram
- Handrail pivot bearings (4): Apply Light Oil – See Lubrication Diagram
- Hydraulic cylinder bushings (8): Apply Light Oil – See Lubrication Diagram
- Inspect Lift-Tite latch rollers for wear of damage, positive securement and proper operation (2). Correct, replace defective parts and/or lubricate
- Inspect inner roll stop (IB) for: Wear or damage; Proper operation. Roll stop should just rest on top surface of the base plate; Positive securement (both ends). Resecure, replace or correct as needed. See platform Angle instructions and Microswitch Adjustment Instructions.
- Inspect handrail components for wear or damage, and for proper operation. Replace defective parts.
- Inspect microswitches for securement and proper adjustment. Resecure, replace or adjust as needed. See Microswitch Adjustment Instructions
- Make lift operates smoothly. Realign towers and vertical arms. Lubricate or correct as needed.
- Inspect Internal snap rings: Handrail pivot pins (2 per pin), Platform slide/rotate pivot pins (2 per pin); Platform fold axles (1 per axle); Inner roll stop (IB) lever bracket pins (1 per pin); Lift-Tite latch gas (dampening) spring (2 per spring). Resecure or replace if needed.
- Inspect platform fold axles and bearings for wear or damage and positive securement. Replace defective parts and resecure as needed. Apply light oil.
- Remove pump module cover and inspect: Hydraulic hoses, fittings and connections for wear or leaks; Harness cables, wires, terminals and connections for securement or damage; Relays, fuses, power switch and lights for securement or damage. Resecure, replace or correct as needed.

Maintenance after 4500 Cycles

- Inspect cotter pins on platform pivot pin (2). Resecure, replace or correct as needed
- Hydraulic Fluid (Pump) – Check level. Note: Fluid should be changed if there is visible contamination. Inspect the hydraulic system (cylinder, hoses, fittings, seals, etc.) for leaks if fluid level is low. Use Dextron III hydraulic fluid. Check fluid level with

platform lowered fully and roll stop unloaded fully. Fill to within ½” of the bottom of the 1 ½” fill tube (neck).

- Inspect cylinders, fittings and hydraulics connections for wear, damage or leaks. Tighten, repair or replace if needed.
- Inspect outer barrier cylinder hose assembly (hose, fasteners, connections, etc.) for wear, damage or leakage. Tighten, repair or replace if needed.
- Inspect parallel arms, bushings and pivot pins for visible wear or damage: Replace is needed.
- Inspect parallel arm pivot pin mounting bolts (8): Tighten or replace if needed.
- Inspect platform pivot pins, bushings and vertical arms for wear, damage and positive securement: Replace damaged parts and resecure as needed. Apply light grease during reassembly procedures.
- Inspect inner/outer fold arms, saddle, saddle support and associated pivot pins and bearings for visible wear or damage: Replace if needed.
- Inspect gas springs (cylinders) for wear or damage, proper operation and positive securement (IB): Tighten, replace or correct as needed.
- Inspect saddle bearing (UHMW – 2): Apply Door-Ease or replace if needed. See Lubrication Diagram.
- Inspect rotating pivot slide arm UHMW slide bearings (buttons): Apply Door-Ease or replace if needed. See Lubrication Diagram.
- Inspect vertical arm plastic covers. Resecure or replace if needed
- Inspect power cable. Resecure, repair or replace if needed.
- Mounting: Check to see that the lift is securely anchored to the vehicle and there are no loose bolts, broken welds, or stress fractures.
- Decals and Antiskid: Replace decals if worn, missing or illegible. Replace antiskid if worn or missing.

Consecutive 750 Cycle Intervals

- Repeat all previously listed inspection, lubrication and maintenance procedures at 750 cycle intervals.

2008 and 2009 Braun Millennium And 2010 Braun Century Models

When servicing the lift at the recommended intervals clean the components and the surrounding area before applying lubricants. LPS2 General Purpose Penetrating Oil is recommended where light oil is referenced. Use of improper lubricants can attract dirt or other contaminants which could result in wear or damage to the components. Platform components exposed to contaminants when lowered to the ground may require extra attention.

Maintenance after 750 Cycles

- Outer barrier pivot points (2): Apply Light Oil – See Lubrication Diagram
- Outer barrier latch pivot points: Apply Light Oil – See Lubrication Diagram

- Outer barrier latch slot: Apply Light Grease to both sides of slot – See Lubrication Diagram
- Outer barrier lever bearings (2): Apply Light Oil – See Lubrication Diagram
- Lift-Tite latches (tower pivot points – 2): Apply Light Oil – See Lubrication Diagram
- Lift-Tite latch gas (dampening) spring pivot points (2 springs – 4 points): Apply Light Oil – See Lubrication Diagram
- Inspect Lift-Tite latches and gas springs for wear or damage (bent, deformed or misaligned) positive securement (lock nuts/external snap rings) and proper operation. Resecure, replace damaged parts or otherwise correct as needed. Note: Apply light grease to Lift-Tite latch tower pivot point if replacing latch.
- Inspect outer barrier for proper operation, correct or replace damaged parts
- Inspect outer barrier latch for proper operation, positive securement, and detached or missing spring. Correct or replace damaged parts and/or relubricate – See Lubrication Diagram
- Adjust fold pressure and outer barrier fold pressure. See Platfold Fold Pressure Adjustment and Outer Barrier Fold Pressure Adjustment

Maintenance after 1500 Cycles

- Inspect outer fold arm pins (2), axles (2) and bearings (8) for wear or damage and positive securement. Replace damaged parts and resecure as needed. Apply light oil.
- Remove pump module cover and inspect: Hydraulic hoses, fittings and connections for wear or leaks; Harness cables, wires, terminals and connections for securement or damage; Relays, fuses, power switch and lights for securement or damage. Resecure, replace or correct as needed.

Maintenance after 4500 Cycles

- Perform all procedures listed in previous section.
- Inspect cotter pins on platform pivot pin (2). Resecure, replace or correct as needed
- Hydraulic Fluid (Pump) – Check level. Note: Fluid should be changed if there is visible contamination. Inspect the hydraulic system (cylinder, hoses, fittings, seals, etc.) for leaks if fluid level is low. Use Braun 32840-QT (Exxon Unavis HVI 26) hydraulic fluid (do not mix with Dextron III or other hydraulic fluids). Check fluid level with platform lowered fully and roll stop unloaded fully. Fill to within ½” of the bottom of the 1 ½” fill tube (neck).
- Inspect cylinders, fittings and hydraulics connections for wear, damage or leaks. Tighten, repair or replace if needed.
- Inspect outer barrier cylinder hose assembly (hose, fasteners, connections, etc.) for wear, damage or leakage. Tighten, repair or replace if needed.
- Inspect parallel arms, bearings and pivot pins for visible wear or damage. Replace if needed.
- Inspect parallel arm pivot pin mounting bolts (8). Tighten or replace if needed.
- Inspect platform pivot pins, bearings and vertical arms for wear, damage and positive securement. Replace damaged parts and resecure as needed. Apply light grease during reassembly procedures.
- Inspect inner/outer fold arms, saddle, saddle support and associated pivot pins and bearings for visible wear or damage. Replace if needed.

- Inspect gas springs (cylinders – 4) for wear or damage, proper operation and positive securement. Tighten, replace or correct as needed.
- Inspect saddle bearing (UHMW – 2). Apply Door-Ease or replace if needed. See Lubrication Diagram.
- Inspect vertical arm plastic covers. Resecure or replace if needed
- Inspect power cable. Resecure, repair or replace if needed.
- Mounting: Check to see that the lift is securely anchored to the vehicle and there are no loose bolts, broken welds, or stress fractures.
- Decals and Antiskid: Replace decals if worn, missing or illegible. Replace antiskid if worn or missing.

Consecutive 750 Cycle Intervals

- Repeat all previously listed inspection, lubrication and maintenance procedures at 750 cycle intervals.

C. Vehicle and Wheelchair Lift Maintenance Record Keeping

All vehicle and wheelchair maintenance records will be compiled and maintained throughout the life of the vehicle. After vehicles have met their useful life and have been disposed their maintenance records will then be stored for an additional three (3) years.

Mountain Mobility shall maintain a comprehensive maintenance record, including a complete record of warranty or recall repairs performed on each vehicle. All maintenance information will be retained in an individual vehicle file. The Fleet Manager will establish arrangements for warranty service at the appropriate vehicle dealership.

All maintenance records (e.g. documents showing vehicle identity, maintenance and inspection dates, mileage, accident reports, preventive maintenance and vehicle service records, wheelchair lift repairs, etc.) shall be kept up to date and maintained in the Fleet Manager's Office.

D. Communication Equipment

The **Transit Trainer, Fleet Manager, or Operations Manager** shall train drivers and dispatchers on proper use and maintenance of communications equipment provided by the County for use on County-owned vehicles. Communications equipment shall include but are not limited to Mobile Data Terminals, Advanced Vehicle Locators, the radio base station and power supply, mobile radios (two channels plus Med-9), microphones, and antennas. Inventory, as well as service of the communications equipment, shall be maintained by the Fleet Manager. The County shall be responsible for costs associated with annual lease of repeater airtime, the purchase and installation of additional communication equipment for County-owned expansion vehicles, all charges associated with maintenance of all communications equipment, for the transfer of communication equipment from vehicles being replaced, and for the replacement of communications equipment that is lost or stolen. The Operations Manager shall seek and obtain directives from the County's Director of Emergency Management Services on the proper use of the Med 9 radio channel for emergencies. Professional tact and passenger confidentiality shall be maintained while utilizing communications equipment.

Mountain Mobility employees shall properly clean, utilize and maintain all communication equipment used in performing services. An inventory of County-owned equipment shall be maintained by **Mountain Mobility**, and the Fleet Manager shall be responsible for maintaining the inventory of communication equipment and shall replace any lost or stolen items.

E. Safety Equipment

The Fleet Manager shall be responsible for ensuring all safety equipment is properly maintained. If it is reported that emergency equipment is damaged or missing from a vehicle that vehicle will be removed from service until the damaged or missing item can be repaired or replaced.

Mountain Mobility Operations employees shall be responsible for ensuring all safety equipment is properly maintained and available on a daily or shift-by-shift basis.

Emergency equipment includes:

- A properly charged fire extinguisher
- Warning devices such as cones, triangles, and flares
- A first aid kit: Must be kept unexpired
- Extra fuses
- A flashlight with fresh batteries
- Blood Borne Pathogens Kits: Must be kept unexpired

To ensure a safe atmosphere while operating a Mountain Mobility vehicle in an official capacity Operations employees are required to perform the following:

- Check assigned vehicles emergency equipment to ensure it is in the right location and in working order.
- Look around inside the assigned vehicle to make sure it is clean. Clear out trash, debris, or loose items.
- Check any special accessibility equipment if the assigned vehicle is equipped.
- Examine wheelchair tie downs for sign of damage or excessive wear. Make sure tie downs can be properly secured to the floor.
- Check all wheelchair lifts and ramps by operating them through one complete cycle. Make sure the lift is functioning properly. If the lift is not functioning properly report the issue to the Fleet manager immediately.
- Make sure all doors and emergency exits are functional and unobstructed.

MOUNTAIN MOBILITY

Buncombe County's Community Transportation Program



PASSENGER, VEHICLE AND SYSTEM

SAFETY PROGRAM PLAN



Adoption Date: July 20, 2004
Revised April, 2010

SECTION 6 – SECURITY

Purpose

The overall purpose of Mountain Mobility's Security Program is to optimize -- within the constraints of time, cost, and operational effectiveness -- the level of protection afforded to Mountain Mobility's vehicles, equipment, facilities, passengers, employees, volunteers and contractors, and any other individuals who come into contact with the system both during normal operations and under emergency conditions.

The security of passengers and employees is paramount to promoting the objectives of FTA, NCDOT and their partner organizations in developing a Security Program. Mountain Mobility will take all reasonable and prudent actions to minimize the risk associated with intentional acts against passengers, employees and equipment/facilities. To further this objective, Mountain Mobility has developed security plans and procedures and emergency response plans and procedures. The plans have been coordinated with local law enforcement, emergency services and with other regional transit providers, which addresses the conduct of exercises in support of their emergency plans, and assessment of critical assets and measures to protect these assets.

Goals

The Security Program provides Mountain Mobility with a security and emergency preparedness capability that will:

1. The Security Program's number one goal is the protection and safety of system employees, passengers, vehicles and equipment.
2. Ensure that security and emergency preparedness are addressed during all phases of system operation, including the hiring and training of agency personnel; the procurement and maintenance of agency equipment; the development agency policies, rules, and procedures; and coordination with local public safety and community emergency planning agencies.
3. Promote analysis tools and methodologies to encourage safe system operation through the identification, evaluation and resolution of threats and vulnerabilities, and the on-going assessment of agency capabilities and readiness.
4. Create a culture that supports employee safety, equipment/facility protection and security and safe system operation (during normal and emergency conditions) through motivated compliance with agency rules and procedures and the appropriate use and operation of equipment.

Objectives

In this new environment, every threat cannot be identified and resolved, but Mountain Mobility can take steps to be more aware, to better protect passengers, employees, facilities and equipment, and to stand ready to support community needs in response to a major event. To this end, our Security Program has five objectives:

1. Achieve a level of security performance and emergency readiness that meets or exceeds our requirements
2. Increase and strengthen community involvement and participation in the safety and security of our system
3. Develop and implement a vulnerability assessment program, and based on the results of this program, establish a course of action for improving physical security measures and emergency response capabilities
4. Expand our training program for employees, volunteers and contractors to address security awareness and emergency management issues
5. Enhance our coordination with NCDOT/PTD regarding security and emergency preparedness issues.

PROGRAM GUIDELINES

Listed below are the actions taken to ensure that Mountain Mobility is in compliant with all FTA and NCDOT mandated regulatory requirements and polices.

1. The Security Plan will be reviewed annually and signed by the System Administrator.
2. Distribute Security Plan to key staff members including drivers, dispatchers, administration, and managers.
3. Post Security Plan on bulletin board so that all employees can read.
4. Conduct monthly briefings with employees to discuss security awareness.
5. Establish a plan to monitor facilities and vehicles on a regular basis.
6. Delegate and assign security responsibilities.
7. The System Administrator will be made aware of all security issues and will work with management to develop possible solutions.
8. Establish procedures to control access to secure areas and vehicle operations.
9. Facilities and vehicles are monitored by local law enforcement by the use of random patrols.
10. After normal hours of operation the facility and vehicles are secured and all external lights are turned on.
11. Brief all employees on required reporting procedures for reporting suspicious people, activities, packages, devices or vehicles.
12. Brief all employees on required actions to take to protect themselves and passengers in case of an explosion or evacuation when a suspicious package is identified.
13. Train all managers and supervisors in security incident management.
14. Develop procedures to respond to bomb threats or similar threats to include evacuation procedures, search procedures and notification of local authorities.
15. Develop safety and emergency response policies...brief all personnel.
16. Develop a policy on responding to passenger, vehicle or traffic emergencies.
17. Devise procedures to show appropriate degree of supportiveness for drivers when emergency situations occur.
18. Inform law enforcement and emergency response personnel of planned changes to system facilities, operations, etc.
19. Establish policy and procedures to coordinate training exercises with law enforcement and emergency service personnel.
20. Develop an Emergency Management Plan which is integrated with Regional Emergency Management Plans.
21. Establish Mutual Aid Agreement with regional public agencies such as local government, Fire and Police, etc...to coordinate actions during natural or other disasters.
22. Assign and brief roles/responsibilities employees have during various emergencies.

FTA'S TOP 20 SECURITY PROGRAM ACTION ITEMS FOR TRANSIT AGENCIES

The following Action items identify the most important elements that transit agencies should incorporate into their System Security Program Plans. These top twenty (20) items are based on good security practices identified through FTA's Security Assessments and Technical Assistance provided to the largest transit agencies. Specific information on these elements may be found in FTA's *Transit System Security Program Planning Guide*. FTA is working with transit agencies to encourage them to incorporate these practices into their programs.

Management and Accountability

1. Written security program and emergency management plans are established.
2. The security plan is updated to reflect anti-terrorist measures and any current conditions.
3. The security plan is an integrated system security program, including regional coordination with other agencies, security design criteria in procurements and organizational charts for incident command and management systems.
4. The security plan is signed, endorsed and approved by top management.
5. The security program is assigned to a senior level manager.
6. Security responsibilities are defined and delegated from management through to the front line employees.
7. All operations and maintenance supervisor, forepersons, and managers are held accountable for security issues under their control.

Security Problem Identification

8. A threat and vulnerability assessment resolution process is established and used.
9. Security sensitive intelligence information sharing is improved by joining InfracGuard, the FBI Regional Task Force and the Surface Transportation Intelligence Sharing & Analysis Center (SAC); security information is reported through the National Transit Database (NTD).

Employee Selection

10. Background investigations are conducted on all new front-line operations and maintenance employees (i.e., criminal history, motor vehicle records, and credit history).
11. Criteria for background investigations are established.

Training

12. Security orientation or awareness materials are provided to all front-line employees.
13. Ongoing training programs on safety, security and emergency procedures by work area are provided.
14. Public awareness materials are developed and distributed on a system wide basis.

Audits and Drills

15. Periodic audits of security policies and procedures are conducted.
16. Tabletop and functional drills are least once every six months and full-scale exercises, coordinated with regional emergency response providers, are performed at least annually.

Document Control

17. Access to documents of security critical systems and facilities are controlled.
18. Access to security sensitive documents is controlled.

Access Control

19. Background investigations are conducted on contractors or others who require access to security critical facilities, and ID badges are used for all visitors, employees and contractors to control access to key critical facilities.

Homeland Security

20. Protocols have been established to respond to the Office of Homeland Security Threat Advisory Levels.

Security Program

Security Program

The security of passengers and employees is paramount to promoting the objectives of Mountain Mobility. Transit providers must take all reasonable and prudent actions to minimize the risk associated with intentional acts against passengers, employees and equipment/facilities. To further this objective, Mountain Mobility has developed security plans and procedures and emergency response plans and procedures. The plans include interdepartmental, interagency, and regional coordination with other agencies, the conduct of exercises for their emergency plans, and assessment of critical assets and measures to protect these assets.

Roles and Responsibilities of Employees

This section explicitly defines the role of each employee in supporting Mountain Mobility's security goals:

- **System Administrator:** The System Administrator is accountable for the safety and security of the system and the effectiveness of emergency response. The System Administrator works together with all facets of the organization to determine security needs and actions.
- **Operations Manager:** The Operations Manager is responsible for the security and preparedness of the operations department, including employees, facilities, equipment, and services provided. These responsibilities include:
 - reviewing new security activities to determine how they impact the various areas of Mountain Mobility;
 - directing the Transit Trainer/Safety Manager in efforts to develop implementation strategies for security-related activities within Mountain Mobility;
 - determining and planning fiscal requirements of security activities; and
 - sharing security concerns and ideas for improvement.
- **Transit Trainer/Safety Manager:** The Transit Trainer/Safety Manager is responsible for the security and preparedness of Mountain Mobility, including employees, facilities, equipment, operations, and services. The Transit Trainer/Safety Manager is also responsible for conducting inspections and evaluating threats, vulnerabilities, and security concerns.
- **Safety-Sensitive Employees:** All safety-sensitive employees are responsible for working safely, securely, and for following established rules, procedures, policies, and safe work practices. All safety-sensitive employees are responsible for:
 - considering the security of passengers, vehicles, and facilities in the performance of all of their regular activities and
 - offering suggestions for the improved security of transportation passengers, vehicles, and facilities to the Operations Manager and the Transit Trainer/Safety Manager.
- **Administrative Staff:** All members of Mountain Mobility's administrative staff are responsible for working safely, securely, and for following established rules, procedures, policies, and safe work practices. All administrative employees are responsible for:
 - considering the security of passengers, vehicles, and facilities in the performance of all of their regular activities and

- offering suggestions for the improved security of transportation passengers, vehicles, and facilities to the Operations Manager and the Transit Trainer/Safety Manager.

Internal Security Audit Process

Mountain Mobility's Safety Manager will conduct an annual system security audit to assure that all security-related policies and procedures are being followed. The audit will follow the reporting form included in the latter portion of this section. In order to reduce threats and vulnerability the annual security audit will include an asset analysis, target or threat identification, vulnerability assessment, scenario analysis, consequence analysis, and countermeasure recommendations.

- **Asset Analysis:** Assets are broadly defined as people, information, and property. In public transportation, the people include passengers, employees, visitors, and contractors, vendors, nearby community members, and others who come into contact with system. Information includes operating and maintenance procedures, vehicle control and power systems, employee information, computer network configurations and passwords, and other proprietary information.

In reviewing assets, the Safety Manager will prioritize which among them has the greatest consequences for people and the ability of the system to sustain service. These assets may require higher or special protection from an attack.

- **Target or Threat identification:** A threat is any action with the potential to cause harm in the form of death, injury, destruction, disclosure, interruption of operations, or denial of services. System facility threats include a number of hostile actions that can be perpetrated by criminals, disgruntled employees, terrorists, and others.

Threat analysis defines the level or degree of the threats against a facility by evaluating the intent, motivation, and possible tactics of those who may carry them out. The process involves gathering historical data about hostile events and evaluating which information is relevant in assessing the threats against the facility.

- **Vulnerability Assessment:** Vulnerability is anything that can be taken advantage of to carry out a threat. This includes vulnerabilities in the design and construction of a facility, in its technological systems, and in the way a facility is operated (e.g., security procedures and practices or administrative and management controls). Vulnerability analysis identifies specific weaknesses with respect to how they may invite and permit a threat to be accomplished.

Vulnerabilities are commonly prioritized through the creation of scenarios that pair identified assets and threats. Using these scenarios, the Safety Manager can evaluate the effectiveness of their current policies, procedures, and physical protection capabilities to address consequences.

- **Scenario Analysis:** Scenario analysis requires an interpretive methodology that encourages role-playing by transportation personnel, emergency responders, and contractors to brainstorm ways to attack the system. By matching threats to critical assets, transportation

personnel can identify the capabilities required to support specific types of attacks. This activity promotes awareness and highlights those activities that can be preformed to recognize, prevent, and mitigate the consequences of attacks.

The FBI recommends that transportation systems focus on the top 10% of identified critical assets (at a minimum). Using these assets, transportation personnel should investigate the most likely threats, considering the range of attack objectives and methods that may be used (such as disruption of traffic, destruction of bridge or roadway, airborne contamination, hazardous materials accident, and threat or attack with explosives intended to disrupt or destroy). The system should also consider the range of perpetrators, such as political terrorists, radicals, right-wing extremists, disgruntled employees, disturbed copycats, and others.

When conducting the scenario analysis, the Safety Manager may choose to create chronological scenarios (event horizons) that emphasize the worst credible scenario as opposed to the worse case scenario. Experienced transportation personnel who have participated in transportation war-gaming recommend the investigation of worst-case scenarios. Results from this analysis are far more likely to produce recommendations appropriate for the size and operation of the system.

- **Consequence Analysis:** For each scenario, the Safety Manager will attempt to identify the costs and impacts using a standard risk level matrix, which supports the organization of consequences into categories of high, serious, and low.

Scenarios with vulnerabilities identified as high may require further investigation. Scenario-based analysis is not an exact science but rather an illustrative tool demonstrating potential consequences associated with low-probability to high-impact events. To determine the system's actual need for additional countermeasures, and to provide the rationale for allocating resources to these countermeasures, the Safety Manager should use the scenarios to pinpoint the vulnerable elements of the critical assets and make evaluations concerning the adequacy of current levels of protection. Examples of vulnerabilities that may be identified from scenario-based analysis include the following:

- accessibility of surrounding terrain and adjacent structures to unauthorized access (both human and vehicular);
- site layout and elements, including perimeter and parking that discourage access control, support forced or covert entry, and support strategic placement of explosives for maximum damage;
- location and access to incoming utilities (easy access for offenders);
- building construction with respect to blast resistance (tendency toward progressive collapse, fragmentation, or no redundancy in load bearing);
- sufficiency of lighting, locking controls, access controls, alarm systems, and venting systems to support facility control; and
- information technology (IT) and network ease-of-penetration.

- **Prioritized Listing of Vulnerabilities:** At the conclusion of the scenario-based analysis, the Safety Manager will have assembled a list of prioritized vulnerabilities for its top 10% critical assets. Typically, these vulnerabilities may be organized into the following categories:
 - lack of planning;
 - lack of coordination with local emergency responders;
 - lack of training and exercising; and
 - lack of physical security (access control, surveillance; blast mitigation, or chemical, biological, or radioactive agent protection).

These vulnerabilities should be documented in a confidential report for the System Administrator.

- **Developing Countermeasures:** Based on the results of the scenario analysis, the Safety Manager will identify countermeasures to reduce vulnerabilities. Effective countermeasures typically integrate mutually supporting elements.
 - Physical protective measures designed to reduce system asset vulnerability to explosives, ballistics attacks, cyber attacks, and the release of chemical, biological, radiological, or nuclear (CBRN) agents.
 - Procedural security measures, including procedures to detect and mitigate an act of terrorism or extreme violence and those employed in response to an incident that does occur.

In identifying these measures, the Safety Manager should be able to answer the following questions.

- What different countermeasures are available to protect an asset?
- What is the varying cost or effectiveness of alternative measures?

In many cases, there is a point beyond which adding countermeasures will raise costs without appreciably enhancing the protection afforded.

Emergency Plans

External Emergency Plan

Notification of Emergency

When notice has been received that an event has occurred or the potential of an event occurring, which has or may produce a large number of casualties, the following information should be obtained by the person receiving the information:

1. Name of person making notification and from what telephone number.
2. Location of emergency including address.
3. Estimated number of casualties.
4. Type of emergency (fire, explosion, plane crash, natural, weather related, etc.).
5. Time call received.
6. Estimated time of emergency event occurrence.

The person receiving the call shall then notify the System Administrator.

Activation of Emergency Action Plan

If the decision is made to implement the External Emergency Plan, the following actions shall be taken:

System Administrator Will:

1. Act under guidance of trained experts when available.
2. Organize the Emergency Action Plan.
3. Assess the situation and make appropriate decisions for passenger and employee safety as situation demands.
4. Be responsible for the notification of the “all clear”.
5. Provide information for media release.

INTERNAL EMERGENCY PLAN

Activation of Internal Emergency Plan

1. The Dispatcher should be notified promptly of any promptly of any emergency situation.
2. Dispatcher will call “911” to notify County Communications of situation giving as much information as possible.
3. The dispatcher will keep records of all incoming calls that involve the emergency and relay them to the System Administrator.
4. If the System Administrator implements evacuation, see Evacuation Plan.

System Administrator Will:

1. Initiate Emergency Action Plan if deemed necessary.
2. Provides a means to inform staff of the emergency and provide updates.
3. Provide the news media with information release.
4. Provide personnel to assist Emergency Operations.
5. Provide agencies with vehicle layouts and/or blueprints of the affected area.

Security and Emergency Preparedness Training

The purpose of training for security and emergency preparedness is to provide Mountain Mobility personnel with the specific knowledge necessary to perform the critical functions required in system plans and procedures. Training, in this regard, may be highly technical, geared specifically to the responsibilities of an individual employee to support the system during an emergency (e.g., procedures for powering up or down rail service, performing notification and incident reporting, or managing bus vehicle evacuations).

Other types of training may emphasize collaborative activities performed by transportation employees, in concert with local law enforcement, fire and emergency medical services, and other local agencies to support capabilities to accomplish group tasks. The goal of this type of emergency management training is to bring individuals, teams, and organizations to a state from which they can accomplish required activities quickly, efficiently, and effectively.

At Mountain Mobility, training for safety, security, and emergency preparedness is performed to ensure that:

- applicable management, operations, and maintenance rules, procedures, and plans are effectively documented and conveyed to those responsible for their implementation;
- manuals showing how to administer, operate, and maintain the system's safety and security equipment and facilities are understood by those responsible for their use;
- safety-related rules and procedures for management, operations, and maintenance personnel are documented and effectively implemented by all employees as required;
- emergency procedures have been developed, documented and are successfully implemented by all personnel as required;
- transportation personnel and local emergency responders understand the hazards of the transportation environment; and
- an adequate level of preparation is maintained for a possible emergency.

Employees will receive ongoing comprehensive training Mountain Mobility's security program and emergency preparedness policies and procedures. At a minimum, employees will receive refresher training annually.

DISASTER READINESS

In the event of the declaration of a state of emergency or disaster in Buncombe County, Mountain Mobility is available to provide transportation services needed to evacuate and/or transport persons in the area of the emergency or disaster. Mountain Mobility's entire fleet of standard vans and lift-equipped accessible vans will be available to render service.

The EMS Director or his authorized staff will contact someone within Mountain Mobility's transit management team (System Administrator, Operations Manager, or Mobility Manager) to notify of the need to utilize vehicles for emergency or disaster transportation services and action will be taken.

Mountain Mobility will serve under the direction of the EMS Director during the emergency of disaster. At the discretion of the EMS Director, fleet vehicles and equipment may be utilized by Mountain Mobility personnel or by EMS personnel.

The EMS Director and staff will assist Mountain Mobility by:

- a. Providing a roster of evacuation shelters;
- b. Providing information that may be necessary for reporting requirements if state and/or federal funds are utilized to provide services;
- c. Providing information regarding the utilization of the Med 9 radio frequency with respect to any type of emergency situation involving regular services provided through Mountain Mobility or those services provided during an emergency or disaster.
- d. Providing any necessary additional training or information to appropriate staff and volunteers beyond the general procedures outlines herein regarding their responsibilities in the event of an emergency or disaster.

Mountain Mobility drivers have the following training:

Defensive Driving and Vehicle Safety Training
American Red Cross Emergency First Aid
Adult/Infant CPR Training
Passenger Assistance Training
Security

All Vehicles are equipped with radios. Frequencies available are:

F1 469.250 mhz
F2 469.250 mhz
F3 Med 9 (468.250 mhz)

This information is on file in the System Administrator's office in a Memorandum of Understanding signed by the Emergency Management Services Director. It is updated as often as any revisions are made to staff and procedure.

OTHER EMERGENCY PROCEDURES

The following procedures should not be considered to be comprehensive for all emergency situations that may be encountered. When an emergency occurs, employees are urged to dial 911 and take whatever emergency action necessary.

Evacuation Procedures

If total evacuation of the building becomes necessary, implement the following procedures:

1. Management Staff will assist other staff and the general public in exiting the building to the parking lot.
2. Records should be locked up, if time permits.
3. Personnel will be advised when it is safe to re-enter the building. Employees will enter the building ten (10) minutes prior to the public being allowed access.

Fire

In the event a fire is detected within any part of this facility, proceed according to the following plan:

The person(s) discovering the fire will:

1. Sound the alarm and have someone call 911.
2. Management Staff will assist other staff and the general public in exiting the building to the parking lot.
3. After evacuation, everyone will meet in the parking lot for a head count.
4. Once out, no one will be allowed back in the building until released by fire department staff.
5. Management Staff will meet with emergency personnel with keys to the building and answer any questions.

Inclement Weather Contingency Plan Policy

Mountain Mobility will make every effort to ensure that service can be provided as requested, including the use of snow tires and/or chains, relocation of vehicles, alternate communications, etc. However, the safety of passengers and drivers will not be compromised. Therefore, Mountain Mobility reserves the right to contact any agency or passenger to revise, cancel, or reschedule trips in the event of adverse weather conditions. In the event of severe weather conditions, management staff may deem it necessary to cease operation of the system. In such cases, all agencies and passengers affected by the decision will be notified as quickly as possible.

Drivers will exercise their discretion and good judgment in cases where isolated hazardous road conditions exist at any time, regardless of other procedures outlined herein.

The System Administrator along with other Transit Management Team members will consult to determine if the weather conditions warrant a service delay or closing of operations. If Asheville Transit Services buses cease operations due to inclement weather, Transit Management will make a determination of whether Mountain Mobility will follow suit. In the event that any of these occur, the System Administrator will notify WLOS-TV and WWNC Radio.

Mountain Mobility staff will watch WLOS-TV, view the station's website, and listen to WWNC Radio for agency closings. Mountain Mobility will not provide service to any agency announcing its closing on those stations.

Late Openings/Early Dismissals

As otherwise may be applicable, any agency opening late or closing early must contact the scheduling office to reschedule transportation services on behalf of its clients who are transported by Mountain Mobility. Mountain Mobility will make every effort to accommodate the agency's request as possible considering previously scheduled services.

Each agency should designate one person to call Mountain Mobility with their Late Openings/Early Dismissals.

If the inclement weather occurs during the day the following policy will be effective:

1. Agencies will be called to advise that Mountain Mobility will be picking up passengers an hour or 2 hours earlier. Dispatch staff will call agencies.
2. Any demand response that is scheduled after the early closing decision has been made will be called by Mountain Mobility administrative staff and notified that the vans will not be picking up as scheduled. Staff will cancel all demand response trips.
3. Agencies are responsible for calling family members to make sure that a family member will be at home when the passenger will be dropped off early due to inclement weather closings.
4. Management staff will call Asheville Transit System to determine their schedule adjustments.

Interdepartmental/Interagency Coordination

The North Carolina Department of Human Resources and the North Carolina Department of Transportation promote maximum feasible coordination of transportation resources at the state and local level, consistent with the locally developed Community Transportation Services Plan (formerly called a Transportation Development Plan). Buncombe County's Community Transportation Services Plan was adopted by the Board of Commissioners in May 1999. A Transportation Memorandum of Understanding was signed by five "core agencies" of the community transportation program, including the Council on Aging, Buncombe County Health Center, Buncombe County Department of Social Services, Blue Ridge Center, and Vocational Rehabilitation. We are working with Blue Ridge Center (Western Highlands LME) to ensure that medical transportation services continue to be provided to clients affected by changes in the provision of mental health services.

In addition to these core agencies, other required and recommended organizations such as the Center for Independent Living, Job Link, and EMS, as well as transportation providers are represented on Buncombe County's Community Transportation Advisory Board (CTAB). The Board assists in the coordination and development of transportation services that will increase mobility options and choices for citizens and promotes the development of Buncombe County's Community Transportation Program, Mountain Mobility. In addition, the board also works with agencies, organizations, and units of local government to maintain a coordinated and effective approach to the delivery of transportation services in Buncombe County.

Configuration Management

The North Carolina Department of Transportation – Public Transportation Division requires Public Transportation Management System (PTMS) reports to be submitted on an annual basis in conjunction with its Community Transportation Program (CTP) grant applications. The PTMS inventories vehicles, other capital equipment such as radios, office equipment, etc., and facilities. The PTMS tracks changes in the configuration of vehicles, equipment, and facility renovations.

Specifications for any capital equipment developed locally (e.g., vehicles, office furniture, equipment, etc.) shall be reviewed for possible hazards, and proper measures shall be taken to eliminate or mitigate any potential hazards prior to the purchase of the item in question. Any changes in operating procedures or modification of equipment shall be documented for training purposes.

Procurement

Mountain Mobility purchases vehicles through the North Carolina Department of Transportation. Procedures for acquisition of vehicles and other capital equipment are established by the Public Transportation Division and are on file with that office. Any changes in the current system would be conducted by the Public Transportation Division.

Specifications for any capital equipment or supplies developed locally (e.g., vehicles, office furniture, equipment, etc.) shall be reviewed for possible hazards, and proper measures shall be taken to eliminate or mitigate any potential hazards prior to the purchase of the item in question. Any changes in operating procedures shall be documented for training purposes.

HOMELAND SECURITY

In the presence of a terrorist attack Mountain Mobility will abide by the local government actions provided by Buncombe County. The local government actions used in the event of a terrorist attack will coincide with the United State's Homeland Security Advisory System.






The Nation requires a Homeland Security Advisory System to provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to Federal, State, and local authorities and to the American people. Such a system would provide warnings in the form of a set of graduated "Threat Conditions" that would increase as the risk of the threat increases. At each Threat Condition, Federal departments and agencies would implement a corresponding set of "Protective Measures" to further reduce vulnerability or increase response capability during a period of heightened alert.

This system is intended to create a common vocabulary, context, and structure for an ongoing national discussion about the nature of the threats that confront the homeland and the appropriate measures that should be taken in response. It seeks to inform and facilitate decisions appropriate to different levels of government and to private citizens at home and at work.

Contact Emergency Management for Information:
emergencymanagementinfo@buncombecounty.org

The Homeland Security Advisory System

The Homeland Security Advisory System shall be binding on the executive branch and suggested, although voluntary, to other levels of government and the private sector. There are five Threat Conditions, each identified by a description and corresponding color. From lowest to highest, the levels and colors are:

Low		(Green)
Guarded		(Blue)
Elevated		(Yellow)
High		(Orange)
Severe		(Red)

In the event of terrorist threat, the criteria in which Buncombe County's local government actions will be decided upon are as followed:

The higher the Threat Condition the greater the risks of a terrorist attack. Risk includes both the probability of an attack occurring and its potential gravity. Threat Conditions shall be assigned by the Attorney General in consultation with the Assistant to the President for Homeland Security. Except in exigent circumstances, the Attorney General shall seek the views of the appropriate Homeland Security Principals or their subordinates, and other parties as appropriate, on the Threat Condition to be assigned. Threat Conditions may be assigned for the entire Nation, or they may be set for a particular geographic area or industrial sector. Assigned Threat Conditions shall be reviewed at regular intervals to determine whether adjustments are warranted.

For facilities, personnel, and operations inside the territorial United States, all Federal departments, agencies, and offices other than military facilities shall conform their existing threat advisory systems to this system and henceforth administer their systems consistent with the determination of the Attorney General with regard to the Threat Condition in effect.

The assignment of a Threat Condition shall prompt the implementation of an appropriate set of Protective Measures. Protective Measures are the specific steps an organization shall take to reduce its vulnerability or increase its ability to respond during a period of heightened alert. The authority to craft and implement Protective Measures rests with the Federal departments and agencies. It is recognized that departments and agencies may have several preplanned sets of responses to a particular Threat Condition to facilitate a rapid, appropriate, and tailored response. Department and agency heads are responsible for developing their own Protective Measures and other antiterrorism or self-protection and continuity plans, and resourcing, rehearsing, documenting, and maintaining these plans. Likewise, they retain the authority to respond, as necessary, to risks, threats, incidents, or events at facilities within the specific jurisdiction of their department or agency, and, as authorized by law, to direct agencies and industries to implement their own Protective Measures. They shall continue to be responsible for taking all appropriate proactive steps to reduce the vulnerability of their personnel and facilities to terrorist attack. Federal department and agency heads shall submit an annual written report to the President, through the Assistant to the President for Homeland Security, describing the steps they have taken to develop and implement appropriate Protective Measures for each Threat Condition. Governors, mayors, and the leaders of other organizations are encouraged to conduct a similar review of their organizations' Protective Measures.

The decision whether to publicly announce Threat Conditions shall be made on a case-by-case basis by the Attorney General in consultation with the Assistant to the President for Homeland Security. Every effort shall be made to share as much information regarding the threat as possible, consistent with the safety of the Nation. The Attorney General shall ensure, consistent with the safety of the Nation, that State and local government officials and law enforcement authorities are provided the most relevant and timely information. The Attorney General shall be responsible for identifying any other information developed in the threat assessment process that would be useful to State and local officials and others and conveying it to them as permitted consistent with the constraints of classification. The Attorney General shall establish a process and a system for conveying relevant information to Federal, State, and local government officials, law enforcement authorities, and the private sector expeditiously.

The Director of Central Intelligence and the Attorney General shall ensure that a continuous and timely flow of integrated threat assessments and reports is provided to the President, the Vice President, Assistant to the President and Chief of Staff, the Assistant to the President for Homeland

Security, and the Assistant to the President for National Security Affairs. Whenever possible and practicable, these integrated threat assessments and reports shall be reviewed and commented upon by the wider interagency community.

A decision on which Threat Condition to assign shall integrate a variety of considerations. This integration will rely on qualitative assessment, not quantitative calculation. Higher Threat Conditions indicate greater risk of a terrorist act, with risk including both probability and gravity. Despite best efforts, there can be no guarantee that, at any given Threat Condition, a terrorist attack will not occur. An initial and important factor is the quality of the threat information itself. The evaluation of this threat information shall include, but not be limited to, the following factors:

- To what degree is the threat information credible?
- To what degree is the threat information corroborated?
- To what degree is the threat specific and/or imminent?
- How grave are the potential consequences of the threat?

Local Government Actions

Low Condition (Green) is declared when there is a low risk of terrorist attacks.

Consider taking the following actions:

- Announce Threat Condition LOW.
- Conduct threat vulnerability assessment.
- Develop Mutual Aid agreements.
- Review and develop Emergency Operations and Emergency Response Plans.
- Ensure provisions for continuity of government.
- Conduct training, seminars, workshops, and exercises using the Emergency Operations Plans and business resumption plans.
- Conduct emergency preparedness training for citizens, employees and workers' families.
- Encourage response agencies (fire fighters, law enforcement, Emergency Medical Services, public works and elected officials) to take emergency management and American Red Cross First Aid and CPR training.
- Provide emergency preparedness information to employees.
- Establish local information sharing network to ensure proper agencies are receiving pertinent information.
- Conduct routine inventories of emergency supplies.
- Budget for physical security measures.

- Encourage programs for employee immunization and preventive health care.
- Encourage and assist employees to be prepared for personal, natural, technological, and homeland security emergencies.
- Review information protection measures to ensure proper security measures are being utilized for the collection, storage, and transmission of information.
- Review communications capabilities and upgrade to allow for efficient and effective communications.
- Ensure redundancy for cyber information systems.

Guarded Condition (Blue) is declared when there is a general risk of terrorist attacks.

Continue all precautions from lower Threat Conditions and consider taking the following actions:

- Announce Threat Condition GUARDED.
- Review communications plans and ensure the call-down procedures are current and accurate.
- Conduct tabletop, functional, or full-scale exercises to ensure response plans are operational and current.
- Ensure all emergency management and response functions are adequately staffed. Recruit and train volunteers to augment full time staff.
- Support the Neighborhood Watch, Community Emergency Response Team, Amateur Radio Emergency Service and other volunteer groups and programs.
- Report suspicious activities and call 9-1-1 for immediate response.
- Public Information Office, in coordination with other public safety agencies and public media, develop a system to routinely notify the public of terrorism related information. Educate the public on the threat warning levels.

Elevated Conditions (Yellow) is declared when there is a significant risk of terrorist attacks.

Continue all precautions from lower Threat Conditions and consider taking the following actions:

- Announce Threat Condition ELEVATED.
- Review physical security plans for critical facilities.
- Conduct physical inspection of buildings and parking areas for suspicious packages or articles left unattended.

- Train employees to recognize suspicious packages and activity in their area.
- Monitor current news including state and federal threat advisories.
- Keep the public informed on current threat conditions and advisories.
- Maintain and monitor communications and warning systems.
- Ensure all access to public buildings and other critical infrastructure is controlled and access is restricted through a secure identification process.
- Check personnel recall roster and recall process for accuracy.

High Condition (Orange) is declared when there is a high risk of terrorist attacks.

Continue all precautions from lower Threat Conditions and consider taking the following actions:

- Announce Threat Condition HIGH.
- Restrict or control access to government buildings, critical facilities, and infrastructure.
- Maintain a heightened sense of awareness while responding to, or working at incident scenes.
- Communicate and coordinate with local agencies to review roles and responsibilities.
- Activate Emergency Operations Center if warranted.
- Require identification, sign-in, and escorts as required.
- Restrict parking areas located close to buildings or critical facilities.
- Remove trash containers, dumpsters, and mailboxes located near government buildings and facilities.
- Identify any planned community events where a large attendance is anticipated. Consider recommendations to address the event as warranted by the current situation.
- Monitor intelligence data from state and local law enforcement agencies to aid in prevention and detection actions.
- Instruct employees to be especially watchful for suspicious packages and articles received through the mail service.
- Implement rumor control to avoid public panic.
- Enhance security at airports, dams, public utilities, and critical facilities.
- Ensure emergency vehicles are attended at all times, whenever possible, and properly secured when not attended.
- Secure and regularly inspect all buildings, vehicles, and parking and storage areas for intrusion.

- Conduct 100% verification of deliveries and restrict shipments.
- Supplement intelligence resources to elevate the early detection and reporting of terrorist related information.
- Implement Mutual Aid Agreements as needed.
- Cancel or delay unnecessary employee travel and leave.
- Provide 24/7 staffing as needed for detection, prevention, public information, continuity of government, continuity of operations, and other emergency management activities.

Severe Condition (Red) reflects a severe risk of terrorist attacks.

Continue all precautions from lower Threat Conditions and consider taking the following actions:

- Announce Threat Condition SEVERE
- Consider a local declaration to authorize activation of the local Emergency Management system.
- Deny unauthorized access to critical facilities and infrastructure. Continue 100% inspections of personnel, vehicles, and packages.
- Deploy assets and ensure physical security measures be afforded them at critical sites.
- Control access routes serving critical infrastructure facilities and evacuation routes.
- Assemble trained volunteers to include, but not limited to: Community Emergency Response Teams, Radio Amateur Civil Emergency Service, Amateur Radio Emergency Service, Salvation Army, Hearts with Hand, and the American Red Cross.
- Implement Mutual Aid Agreements as needed.
- Continue to assess the vulnerability of key assets and facilities and appropriate action to protect them.
- Activate the Emergency Operations Center.
- Establish Incident Command System / Unified Command System.
- Identify staging area(s) as needed.
- Coordinate release of information to the public and news media through a Public Information Officer.
- Place Emergency Services, Specialized Response Teams, and critical resources on standby.
- Consider the possibility of a secondary attack / device.
- Maintain a minimum staffing of essential employees.

PROCEDURES FOR HANDLING BOMB THREATS

The North Carolina Department of Crime Control and Public Safety describe the following “Bomb Threat Report” as the necessary procedures for handling bomb threats.

The “Bomb Treat Report” should be used any time a bomb threat takes place.
(Place this form under your telephone.)

Notification Procedures

1. As soon as you hang up the phone, call Dispatch and alert them that a bomb threat has been received. If the threat referred to a specific vehicle, be sure to provide that information to Dispatch.
2. After you contact Dispatch, contact your supervisor or any available manager.
3. Dispatch instructions:
 - a. Call 911 immediately and issue a Code 500 to all drivers.
 - b. Proceed with emergency notification of all personnel as needed.

BOMB THREAT TIPS

THE REAL BOMBER

1. Has an express knowledge of explosives and minerals used - knows what is in the bomb and knows the type of bomb.
2. Uses knowledgeable words, such as, Time Bomb, Pipe Bomb, Dynamite, Device, Case of C-4, Fertilizer, Fusing, etc.
3. Knows the location of the bomb and the exact time of detonation (normally does not give much time), "Time bomb is in the men's bathroom and will go off in 15 minutes."
4. Very articulate, intelligent sounding, skilled, stand-up type of person.
5. Context/Reasons: social, political, racial factors
6. Usually will not make a threat call, but rather has another person make the threat call.

HOAXER

1. Is usually not forthcoming with knowledge of explosives or the materials used.
2. Does not use knowledgeable words or terms.

3. Normally will not express where the bomb is located because there isn't one and will most likely not give a time, "There's a bomb in the building."
4. More of a cowardly type caller harasser, etc.
5. Controversial, very tense.
6. Makes the call him/herself.

REMEMBER:

Although the above are generalized differences, **ALL BOMB THREATS** should be taken seriously and handled accordingly by the appropriate personnel.

BOMB THREAT REPORT

QUESTIONS TO ASK CALLER:

1. Where is the bomb?
2. When is the bomb going to explode?
3. What does the bomb look like?
4. What kind of bomb is it?
5. Did you place the bomb?
6. Why?
7. What is your name?

CALLER'S VOICE:

- | | | |
|----------------------------------|--|--|
| <input type="checkbox"/> Calm | <input type="checkbox"/> Raspy | <input type="checkbox"/> Laughter |
| <input type="checkbox"/> Nasal | <input type="checkbox"/> Rapid | <input type="checkbox"/> Deep Breathing |
| <input type="checkbox"/> Angry | <input type="checkbox"/> Deep | <input type="checkbox"/> Crying |
| <input type="checkbox"/> Stutter | <input type="checkbox"/> Soft | <input type="checkbox"/> Cracking Voice |
| <input type="checkbox"/> Excited | <input type="checkbox"/> Ragged | <input type="checkbox"/> Normal |
| <input type="checkbox"/> Lisp | <input type="checkbox"/> Clearing Throat | <input type="checkbox"/> Distinct Accent |
| <input type="checkbox"/> Slow | <input type="checkbox"/> Loud | <input type="checkbox"/> Whispered |
| <input type="checkbox"/> Slurred | <input type="checkbox"/> Familiar | <input type="checkbox"/> Disguised |

If voice is familiar, who did it sound like?

BACKGROUND SOUNDS:

- Street Noises
- Factory Machinery
- Crockery
- Animal Noises
- Voices Clear
- PA System
- Static Music
- Local
- House Noises
- Long Distance
- Motor Noises
- Telephone Booth

THREAT LANGUAGE:

- Well Spoken (educated)
- Office Machinery
- Other
- Foul
- Taped
- Irrational Message
- Read

Description of caller: Male Female Race Age

Date of call: _____ **Time of call:** _____

Length of call: _____

Telephone number at which call was received: _____

EXACT WORDING OF THE THREAT CALL:

SIGNATURE OF PERSON RECEIVING CALL:

WORKPLACE SECURITY ASSESSMENT FORM

Facility (Worksite): _____

Location: _____

Date: _____

Inspection No.: _____

Describe the physical layout of the establishment. Indicate its location to other businesses or residences in the area and access to the street. _____

Number/gender of employees on-site between 10 p.m. and 5 a.m. _____

Describe nature and frequency of client/customer/passenger/other contact: _____

Yes No

Are cash transactions conducted with the public during working hours? If yes, How much cash is kept in the cash register or in another place accessible to a robber?

Yes No

Is there safe or lock-box on the premises into which cash is deposited?

What is the security history of the establishment and environs? _____

What physical security measures are present? _____

Yes No

Has security training been provided to employees? If so, has the training been effective?

Emergency Evacuation and Fire Prevention Plan Training

Date: _____ Location: _____

Instructor: _____ Title: _____

Emergency Evacuation Plan Elements to be Reviewed

- Emergency Escape Procedures
- Escape Route Assignments
- Special Procedures for Personnel to Operate Critical Equipment
- Procedures to Account for Employees
- Special Rescue and Medical Personnel
- Employee Training Programs

Fire Prevention Plan Elements to be Reviewed

- Major Workplace Fire Hazards**
- Fire Prevention Practices
- Fire Equipment Maintenance Personnel
- Means of Reporting Fires and other Emergencies
- Alarm Systems
- Personnel Responsible for Control of Fuel Source Hazards
- Proper Maintenance Procedures
- Proper Housekeeping

Other Elements to be Reviewed

- Names and Titles of Emergency and Fire Prevention Plan Coordinators
- Emergency and Fire Prevention Plan Availability

Employees Trained

Name/SS#	Work Location/Unit	Job Title	Signature

Instructor's Signature: _____

PUBLIC TRANSPORTATION EMERGENCY RESPONSE MUTUAL AID AGREEMENT

WHEREAS, the purpose of this pre-disaster agreement between the agencies is to provide for immediate assistance to protect life and property;

WHEREAS, this Agreement is authorized under **Mountain Mobility**; *which is activated only in the event of a proclamation of an emergency by the local and/or state government approving authority*;

WHEREAS, each agency that becomes a party to this Agreement shall be termed a Signatory Agency;

WHEREAS, a Signatory Agency asking for assistance from any other Signatory Agency will hereinafter be referred to as a Requesting Agency;

WHEREAS, the Signatory Agency agreeing to assist another Signatory Agency asking for assistance hereunder will hereinafter be referred to as a Responding Agency;

WHEREAS, it is necessary and desirable that this Agreement be executed for the exchange of mutual aid; with the intent to supplement not supplant agency personnel.

NOW, THEREFORE, it is hereby agreed by the parties hereto that:

1. Each Signatory Agency has authority hereunder to furnish available resources and services to a Requesting Agency to assist in the prevention, response, recovery and mitigation of proclaimed emergencies/disasters. Any such Responding Agency shall have complete and sole discretion to determine what resources and services are available for its response to any such request. The Responding Agency may limit its response to provision of personnel, equipment, and materials it has determined to be qualified, appropriate, and/or necessary to its response to a Requesting Agency. The Responding Agency shall have no responsibilities or incur any liabilities because it declines to provide resources and/or services to any individual or entity including any Signatory Agency.
2. Resources of the Responding Agency that are made available to the Requesting Agency shall, whenever possible, remain under the control and direction of the Responding Agency. The Requesting Agency shall coordinate the activities and resources of all Responding Agencies.
3. The Responding Agency shall retain the right to withdraw some or all of its resources at any time. Notice of any such intention to withdraw resources shall be communicated to the Requesting Agency's authorized representative not less than five (5) business days before actual withdrawal except the period for prior notice of intent to withdraw resources may be shortened, or completely dispensed with, under emergent circumstances.
4. The Requesting Agency shall be obligated to reimburse any Responding Agency at its usual and customary rates for its actual costs incurred in the provision of available resources and services in response to a request for assistance including, but not limited to, actual costs of labor, equipment, materials, and related expenses as well as for loss or damage to equipment. The Responding Agency shall submit an itemized invoice specifying all reimbursable costs to the Executive Head of the Requesting Agency within sixty (60) days after completion of work. Unless otherwise agreed, the Requesting Agency shall fully reimburse the Responding Agency for legitimate invoiced costs within ninety (90) days after its receipt of any such invoice.

5. Any dispute regarding reimbursable costs that is not resolved by agreement of the Requesting and Responding Agencies involved with that particular invoice shall be decided in writing by the authorized representative of the Requesting Agency. The decision of the Requesting Agency shall be final and conclusive unless, within ten (10) days from the date the Responding Agency receives its copy of that decision, the Responding Agency mails or otherwise furnishes a written appeal to the authorized representative of the Requesting Agency. In connection with any such appeal, the Responding Agency shall be afforded an opportunity to be heard and to offer evidence in support of its position. The decision of the authorized representative of the Requesting Agency shall be final subject to appeal to the *[name of local court]*.
6. All privileges, immunities, rights, duties, and benefits of officers and employees of the Responding Agency shall remain in effect while those officers and employees are performing functions and duties at the request of a Requesting Agency, unless otherwise provided by law. Employees of the Responding Agency shall remain employees of the Responding Agency while performing functions and duties at the request of a Requesting Agency.
7. The Requesting Agency shall indemnify and hold any Responding Agency, and its agents, employees, and/or officers, harmless from and shall process and defend at its own expense any and all claims, demands, suits, penalties, losses, damages, or costs of whatsoever kind or nature (hereafter "claims") brought against any Responding Agency arising out of or incident to the execution, performance, or failure to perform of or under this Agreement; provided, however, that if such claims are caused by or result from the concurrent negligence of (a) a Requesting Agency, its agents, employees, and/or officers; and (b) a Responding Agency, its agents, employees, and/or officers, this indemnity provision shall be valid and enforceable only to the extent of the negligence of the Requesting Agency, its agents, employees, and/or officers; and provided further that nothing herein shall require the Requesting Agency to hold harmless or defend a Responding Agency, its agents, employees, and/or officers, from any claims arising from the sole negligence of a Responding Agency, its agents, employees, and/or officers.
8. This Agreement shall be effective upon approval by two or more Signatory Agencies and shall remain in effect so long as two or more Signatory Agencies remain consenting parties to this Agreement.
9. Upon execution of this Agreement, a Signatory Agency shall send an original or a certified copy of the executed agreement to the North Carolina Department of Transportation, Public Transportation Division.
10. Any Signatory Agency to this Agreement may cancel its participation in this Agreement by giving written notice to the Signatory Agencies listed in this Agreement.
11. This Agreement is supplemental to, and not a substitute for, pre-existing mutual aid agreements and is not intended to restrict the right of any Signatory Agency to negotiate additional mutual aid agreements with a Signatory Agency or others.
12. This Agreement is for the benefit of the Signatory Agencies only and no other person or entity shall have any rights whatsoever under this Agreement as a third party beneficiary, or otherwise.



U.S. Department
of Transportation
**Federal Transit
Administration**

The Public Transportation System Security and Emergency Preparedness Planning Guide

U.S. Department of Transportation
Research and Special Programs Administration
John A. Volpe National Transportation Systems Center
Cambridge, Massachusetts 02142-1093

January 2003
Final Report



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13. ABSTRACT (Maximum 200 words) Recent events have focused renewed attention on the vulnerability of the nation's critical infrastructure to major events, including terrorism. The Public Transportation System Security and Emergency Preparedness Planning Guide has been prepared to support the activities of public transportation systems to plan for and respond to major security threats and emergencies. It emphasizes the importance of developing critical relationships, preparing strategies and policies, and setting training and funding priorities. It offers practical guidance for planning effectively, spending wisely, and making the public transportation infrastructure safer. This Guide builds on a previous Federal Transit Administration (FTA) publication, the <i>Transit System Security Program Planning Guide</i> . This earlier publication is available on the Guide CD-ROM. This Guide is based on research to identify practical steps that systems can take to be better prepared for all emergencies. These recommendations support the industry's commitment to prevent those events that can be prevented and to minimize the impact of those that cannot. Emphasizing balanced, common sense measures, this Guide helps transportation systems answer many questions.
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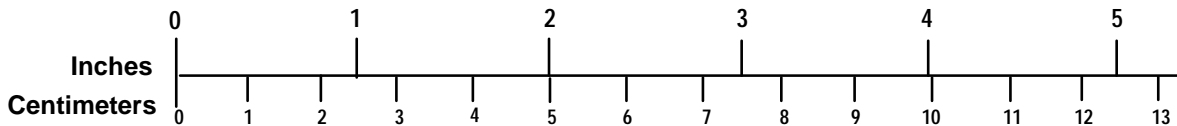
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ENGLISH TO METRIC

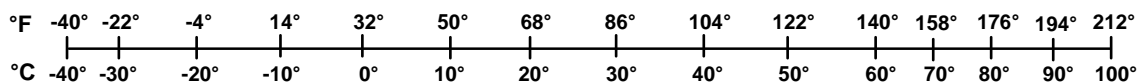
METRIC TO ENGLISH

<p>LENGTH (APPROXIMATE)</p> <p>1 inch (in) = 2.5 centimeters (cm)</p> <p>1 foot (ft) = 30 centimeters (cm)</p> <p>1 yard (yd) = 0.9 meter (m)</p> <p>1 mile (mi) = 1.6 kilometers (km)</p>	<p>LENGTH (APPROXIMATE)</p> <p>1 millimeter (mm) = 0.04 inch (in)</p> <p>1 centimeter (cm) = 0.4 inch (in)</p> <p>1 meter (m) = 3.3 feet (ft)</p> <p>1 meter (m) = 1.1 yards (yd)</p> <p>1 kilometer (km) = 0.6 mile (mi)</p>
<p>AREA (APPROXIMATE)</p> <p>1 square inch (sq in, in²) = 6.5 square centimeters (cm²)</p> <p>1 square foot (sq ft, ft²) = 0.09 square meter (m²)</p> <p>1 square yard (sq yd, yd²) = 0.8 square meter (m²)</p> <p>1 square mile (sq mi, mi²) = 2.6 square kilometers (km²)</p> <p>1 acre = 0.4 hectare (he) = 4,000 square meters (m²)</p>	<p>AREA (APPROXIMATE)</p> <p>1 square centimeter (cm²) = 0.16 square inch (sq in, in²)</p> <p>1 square meter (m²) = 1.2 square yards (sq yd, yd²)</p> <p>1 square kilometer (km²) = 0.4 square mile (sq mi, mi²)</p> <p>10,000 square meters (m²) = 1 hectare (ha) = 2.5 acres</p>
<p>MASS - WEIGHT (APPROXIMATE)</p> <p>1 ounce (oz) = 28 grams (gm)</p> <p>1 pound (lb) = 0.45 kilogram (kg)</p> <p>1 short ton = 2,000 pounds (lb) = 0.9 tonne (t)</p>	<p>MASS - WEIGHT (APPROXIMATE)</p> <p>1 gram (gm) = 0.036 ounce (oz)</p> <p>1 kilogram (kg) = 2.2 pounds (lb)</p> <p>1 tonne (t) = 1,000 kilograms (kg) = 1.1 short tons</p>
<p>VOLUME (APPROXIMATE)</p> <p>1 teaspoon (tsp) = 5 milliliters (ml)</p> <p>1 tablespoon (tbsp) = 15 milliliters (ml)</p> <p>1 fluid ounce (fl oz) = 30 milliliters (ml)</p> <p>1 cup (c) = 0.24 liter (l)</p> <p>1 pint (pt) = 0.47 liter (l)</p> <p>1 quart (qt) = 0.96 liter (l)</p> <p>1 gallon (gal) = 3.8 liters (l)</p> <p>1 cubic foot (cu ft, ft³) = 0.03 cubic meter (m³)</p> <p>1 cubic yard (cu yd, yd³) = 0.76 cubic meter (m³)</p>	<p>VOLUME (APPROXIMATE)</p> <p>1 milliliter (ml) = 0.03 fluid ounce (fl oz)</p> <p>1 liter (l) = 2.1 pints (pt)</p> <p>1 liter (l) = 1.06 quarts (qt)</p> <p>1 liter (l) = 0.26 gallon (gal)</p> <p>1 cubic meter (m³) = 36 cubic feet (cu ft, ft³)</p> <p>1 cubic meter (m³) = 1.3 cubic yards (cu yd, yd³)</p>
<p>TEMPERATURE (EXACT)</p> <p>$[(x-32)(5/9)]\text{ }^{\circ}\text{F} = y\text{ }^{\circ}\text{C}$</p>	<p>TEMPERATURE (EXACT)</p> <p>$[(9/5)y + 32]\text{ }^{\circ}\text{C} = x\text{ }^{\circ}\text{F}$</p>

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For more exact and or other conversion factors, see NIST Miscellaneous Publication 286, Units of Weights and Measures. Price \$2.50 SD Catalog No. C13 10286

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Acronyms

ARC	American Red Cross
ATTF	Anti-Terrorism Task Force
CFR	Code of Federal Regulations
CBRN	Chemical, Biological, Radiological and Nuclear
CDC	Centers for Disease Control and Prevention
CPTED	Crime Prevention through Environmental Design
CWA	Clean Water Act
DOE	U.S. Department of Energy
EMA	Emergency Management Agency
EOC	Emergency Operations Center
EOP	Emergency Operating Procedures
EPA	U.S. Environmental Protection Agency
ESFs	Emergency Support Functions
FBI	U.S. Federal Bureau of Investigation
FEMA	U.S. Federal Emergency Management Agency
FHWA	U.S. Federal Highway Administration
FRA	U.S. Federal Railroad Administration
FRERP	Federal Radiological Emergency Response Plan
FRP	Federal Response Plan
FTA	U.S. Federal Transit Administration
FTE	Full Time Equivalent
FY	Fiscal Year
GIS	Geographical Information System
HAZMAT	Hazardous Materials
IAP	Incident Action Plan
IC	Incident Commander
ICS	Incident Command System
LEPC	Local Emergency Planning Committee
MMRS	Metropolitan Medical Response Systems
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
NRC	Nuclear Regulatory Commission
OSC	On-Scene Coordinator
OSHA	U.S. Occupational Safety and Health Administration
SAR	Search and Rescue
SARA	Superfund Amendments and Reauthorization Act
SCP	Situation Crime Prevention
SEOC	State Emergency Operations Center
SEPP	Security and Emergency Preparedness Plan
SERC	State Emergency Response Commission
SOP	Standard Operating Procedures
SSPP	System Safety Program Plan
UC	Unified Command
USC	United States Code
WMD	Weapons of Mass Destruction

Preface

The events of September 11th emphasized the responsibilities placed on industry to keep the nation's communities safe and moving. Transit systems are inherently "open" environments. They are designed to move people quickly through an urban area, and, therefore, must provide unimpeded, easy access to passengers. In addition, they are intended to make low-cost transportation alternatives available to everyone, and, therefore, must have cost structures that support affordable transportation.

Over the past year, gains in protection and preparedness have required tremendous management initiative, interagency coordination, and financial investment. At many agencies, major projects and ongoing programs for maintenance and operational upgrades have been delayed or re-directed to provide the resources and personnel necessary to address security and preparedness requirements.

The industry's willingness to experiment with different alternatives; to share information; and to support federal, state, and local partners in homeland security has promoted rapid advancement in security and preparedness programs. Agencies have learned what works, and, just as importantly, what does not work, in their operating environments. Managers and executives have had to make difficult decisions regarding the trade-offs inherent in cost, mobility, and security, using increasingly sophisticated risk assessment processes.

Defending against terrorism is not new to industry. Since the early 1990s, the nation's 100 largest rail and bus properties, which combined move approximately 85 percent of all passengers who use public transportation, have been working to address the credible threat from terrorism. Well before the al-Qaeda attacks in this country, two decades of bombings and assaults in Europe, the Middle East, India, and Latin America demonstrated the inherent susceptibility of the public transportation infrastructure to a broad range of terrorist methods and weapons. These experiences informed the plans, training, and exercising which sustained industry preparedness throughout the 1990s.

For more than a decade, Federal Transit Administration (FTA) has supported industry programs for security and preparedness through training, research, guidelines and even regulation. Forty-nine CFR Part 659, which went into effect on January 1, 1998, requires all rail transit agencies to document their security and preparedness programs in System Security Program Plans, reviewed and approved by State Oversight Agencies. Ongoing FTA auditing of this requirement ensures that agency plans and procedures are up-to-date and address a range of contingencies.

Working with the U.S. Department of Transportation, Office of Intelligence and Security, FTA has also coordinated closely with national domestic preparedness programs, developed after the 1995 sarin release on a Tokyo subway killed 12 and sent thousands of others to local hospitals. The Defense Against Weapons of Mass Destruction Act of 1996 (more commonly known as the Nunn-Lugar-Domenici bill) initiated an ambitious program to provide training and equipment for first responders to deal with terrorist incidents, including those involving weapons of mass destruction (WMD), in 120 of the highest risk cities in the country. The presence of public transportation infrastructure was a defining characteristic in this initial assessment of risk, which has been expanded and amended to include a mixture of 157 cities and counties.

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Public transportation police and operations personnel have been active partners in these programs, and also have participated in the Land Transportation Antiterrorism Training Program developed cooperatively between U.S. DOT and the Federal Law Enforcement Training Center (FLETC). Combined, over the last 5 years, these programs provided the opportunity for transportation agencies to develop preliminary plans and programs for addressing terrorism and WMD. Community drilling and exercise programs have always been a significant component of public transportation emergency preparedness, and were continually emphasized prior to September 11.

Since the attacks in New York and Washington, FTA has continued to work closely with the public transportation industry. In response to new threats of terrorist activity, FTA launched a multipart transit security initiative. This program includes the following elements:

- ⇒ **Security assessments:** FTA deployed teams, comprised of experts in anti- and counter-terrorism, transit operations, and security and emergency planning, to assess security at 36 transit agencies. FTA chose the 36 agencies on the basis of their ridership, vulnerability, and the potential consequences of an attack. Each assessment includes a threat and vulnerability analysis, an evaluation of security and emergency plans, and a focused review of the agency's unified command structure with external emergency responders. FTA plans to extend the assessments to additional agencies after the first 36 assessments are complete.
- ⇒ **Emergency response planning:** FTA is providing technical assistance to the 60 largest transit agencies on security and emergency plans, and emergency response drills.
- ⇒ **Emergency response drills:** FTA offered transit agencies grants (up to \$50,000) for organizing and conducting emergency preparedness drills. FTA has awarded \$3.4 million to over 80 transit agencies through these grants.
- ⇒ **Security training – Connecting Communities Forums:** FTA is offering free emergency preparedness and security training to transit agencies and their local responders through its *Connecting Communities Forums*. These forums are being offered throughout the country and are designed to bring together small and medium-sized transit agency personnel with their local public safety agencies, including law enforcement, fire and emergency medical services, and specialized units for hazardous materials and explosives ordinance disposal. These forums provide participants with the opportunity to:
 - ⇒ network and coordinate with your local transit, police, fire, and emergency officials to share the latest techniques, strategies and best practices;
 - ⇒ understand the role of a transit agency in responding to emergency/disaster situations in your community;
 - ⇒ discuss how to activate alternative transportation methods within your community during a crisis;
 - ⇒ identify the elements, people, organizations, procedures, equipment and facilities needed for an effective emergency management program, as

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well as understand how the interaction of these elements affects the management of emergency situations;

- ⇒ discuss existing transit system emergency management, disaster recovery, and security plans;
 - ⇒ explore the interagency role in handling emergency response; and
 - ⇒ understand the roles and responsibilities of community officials, transit system personnel, emergency response personnel (police, fire, EMS, OEM, and hospital) and media during an emergency.
 - ⇒ Attendees will also receive a wealth of resources and visual guides to educate their agency's employees on the lessons learned from the forums.
- ⇒ **Security training – National Transit Institute:** In addition, through NTI, FTA created two courses specifically for the transit industry, to support suspicious activity/awareness training and to promote safe and effectiveness management of security reports and incidents. These courses, developed in cooperation with transit agencies, labor unions, and security professionals not only help a transit system “harden the target” relative to terrorism, but also will improve its overall security – helping to reduce all levels of crime. These courses are available through a variety of delivery mechanisms including direct deliveries and train-the-trainers.
- ⇒ The *System Security Awareness for Transit Employees* course is targeted directly at front-line employees and supervisors who have direct contact with the public or the vehicles and facilities used by the public. The course covers skill sets for observing, determining and reporting people and things that are suspicious or out-of-place. It encourages employees to use common sense when faced with various circumstances so operations can run safely, smoothly, and efficiently. A focus is also placed upon an employee's initial priorities at the scene of a threat or incident. The time needed to deliver the course content will range from two to four hours depending on the job functions of the class participants and the level of detail an agency wishes to cover.
 - ⇒ *Security Incident Management for Transit Supervisors* is a two-hour add-on course for road supervisors, dispatchers, foremen, and other front-line managers. The course addresses a transit front-line manager's fundamental responsibilities: communication, information gathering and analysis, hazard and risk identification, decision making, and plan implementation. Several scenario-based exercises allow students to solve problems and apply the skills presented in the programs.
- ⇒ **Research and development:** FTA increased the funding of its safety- and security-related technology research and has accelerated the deployment of the PROTECT system, a partnership with the Department of Energy to test and deploy chemical sensors in public transportation stations, tunnels and vehicles. The program is pursuing a systems approach to the problem of release detection and management, including modeling and simulation to identify the most effective application of sensor-based technology, communications systems, automated decision support systems, decontamination procedures and technology, training tools, and exercise and response planning. FTA has also initiated a unique research partnership with

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the Transportation Research Board (TRB) and the American Public Transportation Association (APTA) to support targeted, rapid response research to a range of policy issues identified by transit executive leadership.

- ⇒ **Memorandum of Understanding with TSA:** FTA has been working closely with TSA and the Office of Homeland Security (OHS), which may ultimately incorporate TSA as part of a new Department of Homeland Security. In this capacity, FTA is developing a Memoranda of Understanding to outline roles and responsibilities in the Federal strategy to protect the nation's critical transportation infrastructure.

- ⇒ **Transit System Protective Measures to Support Responses to the Homeland Security Advisory System (HSAS):** FTA is supporting the development of transit system protective measures to promote a consistent and effective transit industry response to threat conditions defined by the Department of Homeland Security (DHS). The FTA response model supplements the HSAS model with Black and Purple designations for further refine transit industry activities when an event is in progress and during the post-event recovery of transit services and facilities. The guidance document outlines protective measures in relation to the direction provided by DHS.



Foreword

Attention to security and emergency preparedness is a natural corollary to the public transportation industry's existing safety culture. Security and emergency preparedness programs protect both the community and the system. They keep the system operational and effective, even under adverse conditions.

The Public Transportation System Security and Emergency Preparedness Planning Guide builds on two previous Federal Transit Administration (FTA) publications. These are the Transit System Security Program Planning Guide¹ and the Transit Security Handbook². These earlier publications are available on the Guide CD-ROM.

This Guide is based on research to identify practical steps that systems can take to be better prepared for all emergencies. These recommendations support the industry's commitment to prevent those events that can be prevented and to minimize the impact of those that cannot. Emphasizing balanced, common sense measures, this Guide helps transportation systems answer many questions.

- ⇒ Who at my system should be responsible for security and emergency preparedness?
- ⇒ What is my system's current level of security and preparedness?
- ⇒ What additional threats should we consider for our operations?
- ⇒ What steps can we take to identify and prioritize action for mitigating and managing these threats?
- ⇒ How can we cooperate more effectively with law enforcement and other emergency responders?

Organization of Guide

This Guide is organized into eight sections and six appendices.

- ⇒ **Executive Overview** presents an overview of the Guide, highlighting key activities to be performed by public transportation systems to enhance prevention and to improve response capabilities. This section will be most useful to mid- and senior level managers who must evaluate the system's current level of preparedness and implement programs to address the impacts of changing threat conditions.
- ⇒ **Preparedness in a Diverse Industry** identifies the challenges of security and preparedness in the public transportation industry. It emphasizes the necessity of tailoring practices to address the diversity of operations and services provided by the more than 7,500 local systems receiving some form of federal assistance.

¹ Balog, John N., Anne N. Schwarz, and Bernard C. Doyle, *Transit System Security Program Planning Guide*, US Department of Transportation, Federal Transit Administration, November 1997.

² Boyd, M. Annabelle and M. Patricia Maier, *Transit Security Handbook*, US Department of Transportation, Federal Transit Administration, May 1998.

- ⇒ **Developing the Security and Emergency Preparedness Program (SEPP)** provides guidance on how transportation systems can develop internal security, incident management systems, and external plans for coordinating with local law enforcement, other local responders, local planning agencies, and state or federal agencies. While this section emphasizes planning for terrorism, basic principles and concepts are applicable to all emergency situations. This section also includes recommendations for applying the SEPP Planning Template on the Guide CD-ROM to create documentation for the system's program.
- ⇒ **Capabilities Assessment** supports the efforts of transportation systems to evaluate their current level of security and emergency preparedness. It provides a summary checklist for documenting findings, as well as recommendations for consideration by the team conducting the assessment.
- ⇒ **Reducing Threats and Vulnerabilities** describes the methodology used to conduct a threat and vulnerability assessment. It emphasizes techniques to support recommendations appropriate to the unique requirements of each system's operation.
- ⇒ **Procedures for New Threats** provides sample procedures and recommendations for managing threats in the new environment. It includes managing bomb threats; managing hoaxes and unusual or out-of-place packages and substances; responding to a possible chemical agent release; and managing the dissemination of information to the public.
- ⇒ **Training and Exercising** highlights those elements of existing public transportation training and supervisory programs that can be revised or updated to reflect new requirements resulting from heightened threat conditions. This section also describes those activities that can be performed to integrate the transportation system into community-based exercises, and to develop and conduct tabletops, drills, and full-scale exercises.
- ⇒ **Design and Technology Review** explains available design strategies and technologies to support improved public transportation security and to enhance both normal and emergency operations. This section concludes with a list of considerations appropriate to all transportation systems investigating technology procurements.
- ⇒ **Appendix A: Glossary of Terms** provides an explanation of terms used in this document.
- ⇒ **Appendix B: Federal Bureau of Investigation (FBI) Vulnerability Self-Assessment** provides the worksheets used by local law enforcement to identify potential targets for terrorist activity and to report these targets, as part of a jurisdictional assessment, to the FBI.
- ⇒ **Appendix C: Security Contacts for the Top 35 Transportation Systems** provides contact information for transportation police and security departments with experience in developing security and emergency preparedness programs.

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- ⇒ **Appendix D: Detailed Capabilities Assessment Worksheet** provides additional questions for consideration when conducting the capabilities assessment described in Section 4 of the Guide.
- ⇒ **Appendix E: Sample Emergency Grant Processing Guidelines** provides information that can be used to establish grants for emergency preparedness drills. The purpose, goals and objectives, requirements, and sample eligible expenses are outlined.
- ⇒ **Appendix F: A Memorandum of Understanding Between [Local Public Safety Agency] and the [Local Transit Agency]** provides a sample language for a Memorandum of Understanding to support coordinated emergency preparedness between the public transit system and emergency responder agencies in its surrounding community.

Public Transportation Security and Emergency Preparedness Guide CD-Rom

To supplement information provided in this Guide, a CD-ROM is included that contains over 200 documents, prepared by federal and state organizations, industry associations, law enforcement, emergency management organizations, and the military. These documents explain the roles and responsibilities of the 47 Federal agencies involved in homeland security and provide useful technical assistance on a range of security and emergency management subjects. Sample procedures and model plans for transportation operators are also included on the Guide CD-ROM. These tools, most of which can be downloaded as Microsoft Word files, encourage the ready transfer of lessons learned. The CD-ROM contains an interactive shell to support easy navigation of contents and display of materials.

Assumptions Used in Guide Development

This Guide was written using the following assumptions.

- ⇒ The Guide serves as a primary focus to provide a single resource to support security and preparedness planning in the transportation environment.
- ⇒ Executive Overview is directed towards an audience of management personnel who must understand the challenges, management principles, and potential transportation roles and responsibilities sufficient to guide planning efforts for major events, including WMD terrorism. The remainder of this Guide, including the CD-ROM, is directed at those personnel with responsibilities of developing, implementing, and evaluating policies, procedures, training, and exercises to support security and emergency preparedness.
- ⇒ This Guide presumes it is the responsibility of transportation operators to heighten their concern for critical infrastructure protection and be willing to improve and increase integration with the local community preparedness effort. This Guide does not answer questions concerning levels of involvement. Rather, this Guide describes how transportation personnel can identify resources, capabilities, and needs to actively seek improvement and integration into the community homeland security initiative.

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- ⇒ The majority of recommendations in this Guide build on existing safety, security, and emergency management practices in public transportation. Many transportation systems located in large urbanized areas have initiated comprehensive planning, technology, and training programs with resources and capabilities not available to smaller transportation operators. This Guide should provide these larger systems with useful tools to support their ongoing review of program implementation.
- ⇒ For smaller systems, with less experience in critical infrastructure protection, this Guide should provide an overview of key issues to consider. Templates, policies and procedures, located on the Guide CD-ROM, support implementation of tailored practices to enhance physical security and emergency preparedness.
- ⇒ The authors of this Guide recognize the special burdens placed on small and some medium systems in addressing heightened security concerns. In response to pressures that these systems may be under to develop documentation for security and emergency preparedness programs, tools and templates available on the CD-ROM support easy integration of standard practice and lessons learned into transportation procedures and rulebooks.
- ⇒ Without investing the time to read this Guide and to build partnerships with local law enforcement and other emergency responders, small and medium operators who use the CD-ROM templates will not receive their full benefit. These systems may run the risk of advertising a level of preparedness in their documentation that is not reinforced in training, exercising, and coordination with local responders.
- ⇒ The Guide emphasizes the capacity of the transportation system to communicate with first responders (fire fighters, police officers, and other federal, state, and local agency personnel) and build on those existing emergency management experiences and capabilities. Using established concepts, such as the Incident Command System (ICS) and all-hazards management, this Guide explains how transportation systems can improve coordination with their communities during emergencies, including those incidents involving weapons of mass destruction agents or devices.
- ⇒ This Guide draws on the existing body of open-source knowledge compiled by federal, state, and local agencies and practitioners, analysts, and transportation operations personnel regarding the management of WMD terrorism (much of which is included on the CD-ROM). Special emphasis has been placed on the results of studies and assessments detail lessons learned from the response to the September 11, 2001 attacks on the World Trade Center and the Pentagon.

1 Executive Overview

Recent events have focused renewed attention on the vulnerability of the nation's critical infrastructure to major events, including terrorism. This Guide has been prepared to support the activities of public transportation systems to plan for and respond to major security threats and emergencies. It emphasizes the importance of developing critical relationships, preparing strategies and policies, and setting training and funding priorities. It offers practical guidance for planning effectively, spending wisely, and making the public transportation infrastructure safer.

1.1 Building Vision

Major incidents, such as train accidents, fires, floods, violent crime, and terrorist attacks, have been an issue for public transportation since the first vehicles were placed into service more than a century ago. During these events, personnel from multiple disciplines and agencies must come together to manage the incident, performing such tasks as perimeter and traffic control; rescuing or evacuating passengers; supporting the transportation of emergency responders and equipment; managing victims and their families; controlling crowds; repairing facilities; communicating with the media; and restoring service.

Emergency management in public transportation is constantly evolving, incorporating lessons learned from major events, as well as facing new threats. Public transportation systems at the forefront of security and emergency management offer the vision illustrated in Table 1 to guide industry efforts for enhanced capabilities. This vision supports the industry's activity to manage current threats and reinforces a strong tradition of emergency operations.

Table 1: Program of Commitments

COMMIT to a program that enables the public transportation system to:

- ⇒ **PREVENT** incidents within its control and responsibility, effectively protect critical assets;
 - ⇒ **RESPOND** decisively to events that cannot be prevented, mitigate loss, and protect employees, passengers, and emergency responders;
 - ⇒ **SUPPORT** response to events that impact local communities, integrating equipment and capabilities seamlessly into the total effort; and
 - ⇒ **RECOVER** from major events, taking full advantage of available resources and programs.
-

In adopting this vision, planning is more of a process than a product. Planning identifies potential targets and risks, vulnerabilities to various forms of attack, crime, and natural disaster, and allows these targets to be hardened and the risks to be mitigated. It also allows for modifications and amendments to procedures and operations based on experience and lessons learned. Planning provides the agency

an opportunity to ensure redundancy in critical system operations, including personnel for all major functions. It supports a flexible approach that can be expanded or contracted based on available personnel, resources, capabilities, and needs.

1.2 Managing Uncertainty

Legendary Coach John Wooden's somber reminder that "failure to prepare is preparing to fail" applies to the challenge of preparing for terrorism and other major events in the transportation environment. During these events, response decisions must be executed very quickly to prevent additional harm.

The capability to perform effectively with uncertainty is the result of practice and self-assessment. Systems that know their own strengths and weaknesses, and have invested in developing core capabilities, skills, and knowledge, will be better off. Not only will they succeed in managing responses to terrorist attacks, but in handling all events with the potential to result in the loss of life and property.

Terrorism is a rare occurrence. Even more traditional emergencies, such as major accidents, hazardous material spills, natural or technological disasters, and riots happen infrequently. A bus or rail supervisor may experience only one of these events in his or her entire career.

Given this lack of frequency, it is difficult to expect competency in these highly charged situations. Yet, the consequences of poor decision-making in response to extraordinary events are grave. Unless adequate preparation is provided, transportation personnel may be unable to mobilize effectively to manage critical incidents on their systems and to support community response when most needed.

General advice, prepared by sources ranging from industry associations, to the Federal Transit Administration (FTA), and the Federal Bureau of Investigation (FBI), reinforces previous findings that security and emergency preparedness are not one-size-fits-all propositions. There is no universal cookbook-for-preparedness, and there are no assurances that even the most protected assets will not be targeted. However, within this framework of uncertainty, evidence does suggest that:

- ⇒ location makes a difference;
- ⇒ vigilance is critical; and
- ⇒ resource availability must be respected.

1.2.1 Location Makes a Difference

According to the FBI, what makes a specific facility or location attractive to a terrorist is not always easy to identify. Based on current intelligence, the FBI urges transportation systems serving communities with the following characteristics to consider themselves at a higher level of risk:

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- ⇒ availability of targets with symbolic meaning for the United States government or its culture and way of life;
- ⇒ availability of targets with precursor elements for major destruction (chemical or nuclear/radiological material);
- ⇒ availability of targets whose destruction would provide the potential terrorist element (PTE) with visibility and prestige;
- ⇒ availability of targets with the potential to significantly impact not only a single community, but also a state and the nation;
- ⇒ availability of high-value targets (e.g., high replacement costs, high commercial impacts of delay and destruction, high loss on US economy);
- ⇒ availability of major targets that provide relative ease of access (ability of PTE to ingress and egress with equipment and personnel required for attack); and
- ⇒ availability of targets that would produce mass casualties (in excess of 500 persons).

In a cooperative partnership with state and local law enforcement, the FBI has requested completion of vulnerability self-assessments emphasizing the above characteristics for each community. Appendix B contains the full vulnerability self-assessment supplied by the FBI, which is also included on the Guide CD-ROM. Using this worksheet, transportation systems should attempt to identify the specific vulnerabilities of their facilities. Based on the results of this assessment, the transportation organization may wish to share a copy with local law enforcement, or to include a representative from law enforcement in the assessment process, to support their understanding of the transportation function and role in the community.

Tools discussed in this Guide, including the Capabilities Assessment (Section 4) and the Threat and Vulnerability Assessment (Section 5), will help transportation personnel evaluate the specific requirements of their operations.

It should be noted that neither the FBI Vulnerability Self-Assessment, nor the additional tools provided in this Guide are definitive in their findings. Their use by law enforcement and industry professionals does not mean that a terrorist event cannot occur in a rural community or small or medium-sized city. It only means that, in the words of terrorism analyst Brian Jenkins, “attacks in such areas are less likely.” As he reports:

“Historically, the United States, although a comparatively violent country, has not suffered high levels of terrorist violence. Within the United States, six major metropolitan areas (New York, Miami, Washington, D.C., Chicago, San Francisco, and Los Angeles) account

for a majority of the terrorist incidents [including active investigations and interdictions].”³

1.2.2 Vigilance is the Best Defense

All sectors indicated that the most important threat reduction measure is vigilance on the part of the transportation system’s staff, their awareness of anything out of the ordinary, and their prompt communication of that information to the organization’s security team or management.

To this end, management should promote awareness and encourage familiarity with the spectrum of threats. Some questions to consider are listed below.

- ⇒ What types of weapons might be used against public transportation vehicles, operators or passengers?
- ⇒ How can system personnel recognize a chemical or biological incident?
- ⇒ What are special conditions that could be observed by operators, maintenance personnel, and passengers?
- ⇒ How can transportation staff and passengers be effective eyes and ears for the community?

Procedures, training, and reinforcement should be provided to all employees to make sure that they understand what constitutes an unusual event and what they should do upon observing one. Managers should be committed to developing internal procedures for handling reports of unusual activity or objects and should encourage their enforcement.

These procedures, when integrated into day-to-day operations, may have other benefits as well. Improved internal coordination and reports from the field may encourage better system housekeeping and more responsive maintenance practices for quality-of-life issues, such as burned-out light bulbs and over-grown shrubbery. To receive maximum benefit, consistency in the system’s approach to security and awareness is critical. It hurts the program when managers speak passionately about the importance of security and then fail to deliver support and encouragement to employees who report incidents meeting system criteria that are later revealed to be of little or no consequence.

1.2.3 Security Should be Responsive to Available Resources

Cost is a legitimate criterion in designing security and preparedness measures. Many of the security measures recommended by federal, state, and local systems have also been found to contribute to the

³ Jenkins, Brian Michael, *Protecting Public Surface Transportation Against Terrorism and Serious Crime: An Executive Overview*, Mineta Transportation Institute, MTI Report 01-14, October 2001, Page 2.

efficiency of public transportation operations (vehicle locating systems, multimodal communications), passenger safety (design and materials used in station and coach construction), and making systems more convenient and attractive to passengers (good lighting, clean interiors, timely information on system status, visible presence of staff), and to reducing ordinary crime [closed-circuit television (CCTV), high-profile and undercover patrolling].

Many of these measures involve only modest expenditure. For example, improving liaison with local police and other emergency responders, establishing crisis management plans, conducting exercises, and putting procedures in place for handling bomb threats and suspicious objects are not costly undertakings.

1.2.4 Other Recommendations

Other recommendations to transportation executives are included below.

- ⇒ **Develop a security and emergency preparedness program (SEPP) plan.** In many cases, this plan will bring together many of the system's existing activities, integrating them into an overall security and preparedness effort, rather than a disparate set of technologies and procedures. Use the CD-ROM templates and tools to support documentation of the plan, communication with employees, and coordination with local responders.
- ⇒ **Consider a security staff position.** If at all feasible, it is recommended that every transportation system assign security planning and preparedness assessment responsibilities to a single individual. Clear leadership in planning is critical.
- ⇒ **Take a balanced approach, commiserate with system resources and capabilities.** Threat levels and protection requirements vary with the size of the community and the features of the service area. Evaluate threats and vulnerabilities using realistic scenarios that identify those elements of service with the potential for mass casualty events. Preparation should focus on the most likely threats in order to insure that budgets and human capital are distributed appropriately. Transportation activities should be coordinated with each community's ongoing emergency planning effort and integrated into mutual aid agreements and the state emergency operations plan.
- ⇒ **Plan first, then spend.** Extreme spending in response to a recent crisis is not sustainable over the long-term. Security and emergency preparedness programs must be accountable for their return on investment. Managers must be careful not to initiate programs that will eventually fall into disrepair under a different set of threat conditions.

- ⇒ **Get involved.** A national effort is underway to address the many institutional issues that have challenged emergency preparedness programs for the last decade. Transportation organizations should work to be included in this process. Transportation organizations also offer valuable resources to support their communities. These resources should be identified and incorporated into the overall homeland security effort.
- ⇒ **Identify an adequate level of preparedness.** Every transportation system should set goals by which to assess its state of readiness. These goals will help establish benchmarks to determine how much preparedness is enough and establish funding and training priorities to meet that level. For example, transportation providers may play a special role in the sheltering or evacuation of communities and the management of medically vulnerable populations. In this case, emphasis should be placed on reviewing or developing plans and procedures to promote and assess readiness in this area.
- ⇒ **Emphasize readiness in system activities.** Role-playing in operator meetings and tabletop simulations, answering questions addressed to staff, and practicing drills and interagency exercises are vital to ensure that employees and local responders are familiar with plans and equipment and develop needed skills. Interacting through exercises also provides an opportunity for systems to develop working relationships and mutual trust.
- ⇒ **Develop robust emergency management plans based on an all-hazards approach.** When multiple systems that may or may not be familiar with one another respond to a disaster, their management teams need to be highly integrated to avoid confused, delayed, or redundant response efforts. An emerging paradigm of operational command, known as the incident command system (ICS), is now widely adopted by state and local response agencies. Transportation providers should ensure that they are able to access this system. Local law enforcement can be a valuable resource in explaining ICS and clarifying transportation roles and responsibilities.
- ⇒ **Plan for public reassurance.** A public affairs function can impact preparedness because it gathers, packages, and disseminates crucial information from the government to the public. The media play a critical role in both warning and informing the public. Terrorism broadcasts in real-time have powerful impacts on citizens. Providing accurate and timely information throughout a crisis can establish and maintain public trust in the government, calm anxieties, and instruct the public regarding actions they should and should not take. Recent experience has shown that inconsistent messages from different portions of government can

have significantly negative impacts. It is also vital that the chief executive and key staff members are available to the media to both inform and reassure the public with a clear and consistent message.

1.3 Investment in Security and Emergency Preparedness

It is important to recognize that security and emergency planning in public transportation includes not only the system, including its employees, facilities, passengers, and operations, but also those local agencies upon which the system relies for public safety support:

- ⇒ local responders (police, fire, emergency medical services, coroner, and local public health department);
- ⇒ planning organizations [local emergency management agency (EMA), local emergency planning committee (LEPC), and local government]; and
- ⇒ mutual aid partners and regional agencies (who provide critical support during an emergency and support coordinated planning activities).

As indicated in Figure 1, the level of activity required by the public transportation system for security and emergency planning typically has a direct correlation to:

- ⇒ the number of passengers moved by the system;
- ⇒ the number of fixed facilities operated by the system; and
- ⇒ the number of local jurisdictions within the system's service area.

Increasing numbers of passengers and facilities bring the potential for increased loss, which requires more sophisticated protection and preparedness capabilities. Transportation systems serving multiple jurisdictions must extend additional resources for coordination and incident response. This often requires the capacity to develop a Memoranda of Understanding and other formal agreements for mutual aid and support.

The relationships depicted in Figure 1 are reflected in the resources currently allocated to security by industry. Disproportionately, these resources are assigned to the (relatively) small number of systems that serve large urban areas.

- ⇒ Collectively, the nation's 75 largest public transportation systems devote just over 4 percent of their annual operating funds to security personnel and equipment. These systems serve the nation's top 50 cities, and move 85 percent of all passengers who use public transportation.⁴
- ⇒ Most of these systems provide fixed-route bus services; approximately 40 also have heavy, light, and/or commuter rail systems. All of these systems

⁴ As reported to the NTD for FY 2000, the 7 largest public transportation systems each provide in excess of a million passenger trips every day; the next 5 largest agencies provide in excess of 500,000 passenger trips. Each of the remaining top 35 agencies moves more than 100,000 passengers daily. Lastly, the remaining 40 systems, rounding out the top 75, provide between 50,000 and 100,000 daily trips.

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- provide paratransit service in accordance with the Americans with Disabilities Act (ADA) requirements and community agreements.
- ⇒ Heavy and commuter rail systems typically have their own sworn police departments or a dedicated unit of local law enforcement. In most instances, these operations are multimodal, so police responsibilities often extend to bus and paratransit operations. Appendix C provides a listing of transportation law enforcement and security contacts at these agencies.
 - ⇒ Of the remaining systems in the top 75, a few bus-only and bus-light rail operations have sworn transportation police. Many more have security departments that oversee contractual arrangements with local law enforcement or non-sworn security personnel for security support and fare enforcement.

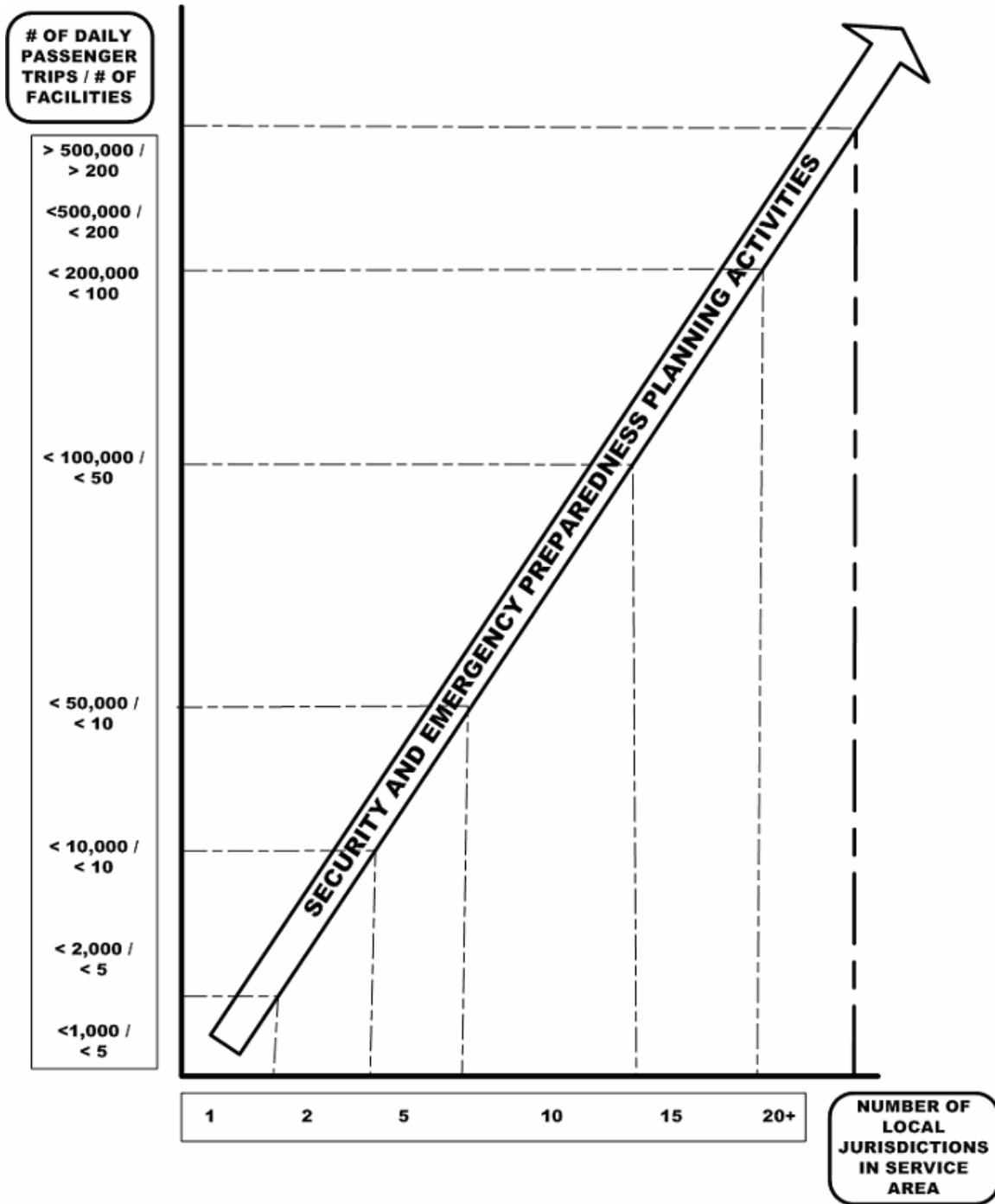


Figure 1: Requirements for Security and Emergency Preparedness

Tables 2 and 3 both illustrate valuable industry resources currently devoted to security.

Table 2: Industry Security Snapshot, Fiscal Year 2000

Category of Transportation System (by ridership)	% of Total U.S. Ridership, FY 2001	Total Annual Unlinked Passenger Trips	% of Annual Operating Expenses Spent on Security	Average Cost of Security per Rail Passenger Unlinked Trip	Average Cost of Security per Bus Passenger Unlinked Trip
Top 75 Transportation Systems	85 percent	8 billion	4.2%	\$0.18	\$0.04
Systems 76 to 150	7 percent	660 million	.05%		\$0.02
Systems 101 to 500	5 percent	450 million	.05%		<\$0.01
Remaining Systems (approx. 7,000)	3 percent	300 million	.03%		< \$0.01

Table 3: Law Enforcement or Security Personnel, Fiscal Year 2000

Category of Transportation System (by ridership)	% of Total US Ridership, FY 2001	Total Annual Unlinked Passenger Trips	Average Cost to Deploy a Full-time Law Enforcement Officer	Average Cost to Deploy a Full-time Security Guard	Security Personnel per Million Unlinked Passenger Trips
Top 75 Transportation Systems	85 percent	8 billion	\$70,000	\$50,000	1.28
Systems 76 to 150	7 percent	660 million	\$50,000	\$35,000	.04
Systems 101 to 500	5 percent	450 million			
Remaining Systems	3 percent	300 million			

- ⇒ Systems falling between 76 and 150 in terms of ridership provide between 50,000 and 10,000 passenger trips each weekday. Primarily, these trips are comprised of fixed-route and demand-response paratransit service. The larger systems in this category may have a designated security function to oversee a contract with local law enforcement or non-sworn security. In a few instances, these systems have dedicated units of local law enforcement. However, the majority of these systems rely on operator and supervisor training, security technology, and close coordination with local law enforcement to protect passengers and respond to incidents. These systems often emphasize the critical role played by operators and supervisors in

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maintaining controlled environments on their vehicles, as well as the legal responsibility of local law enforcement for the criminal offences occurring on the streets and sidewalks of its jurisdiction.

- ⇒ The nation's remaining operators (small motor bus, paratransit, and rural and community service), who collectively provide eight percent of all trips on public transportation, have no dedicated security personnel. Security is addressed as part of general safety; risk management, operations, or facilities maintenance. Some of these systems may have contracts with local law enforcement or private security for limited program support or special events. These systems typically have very limited resources for security considerations and limited experience in managing security-related threats. If an event should arise, these systems typically work closely with their primary clients to resolve the situation. A client list may include public transportation boards, community organizations, or regional programs.

This Guide recommends that, wherever possible, transportation personnel coordinate with their local partners to invest in strategies that promote integrated assessment of threat and response capabilities. The coordinated management of security and preparedness issues enhances the system's ability to protect critical assets from those events that can be prevented and mitigated.

Figure 2 (on the last page of this section) illustrates the elements of protection in the transportation environment.

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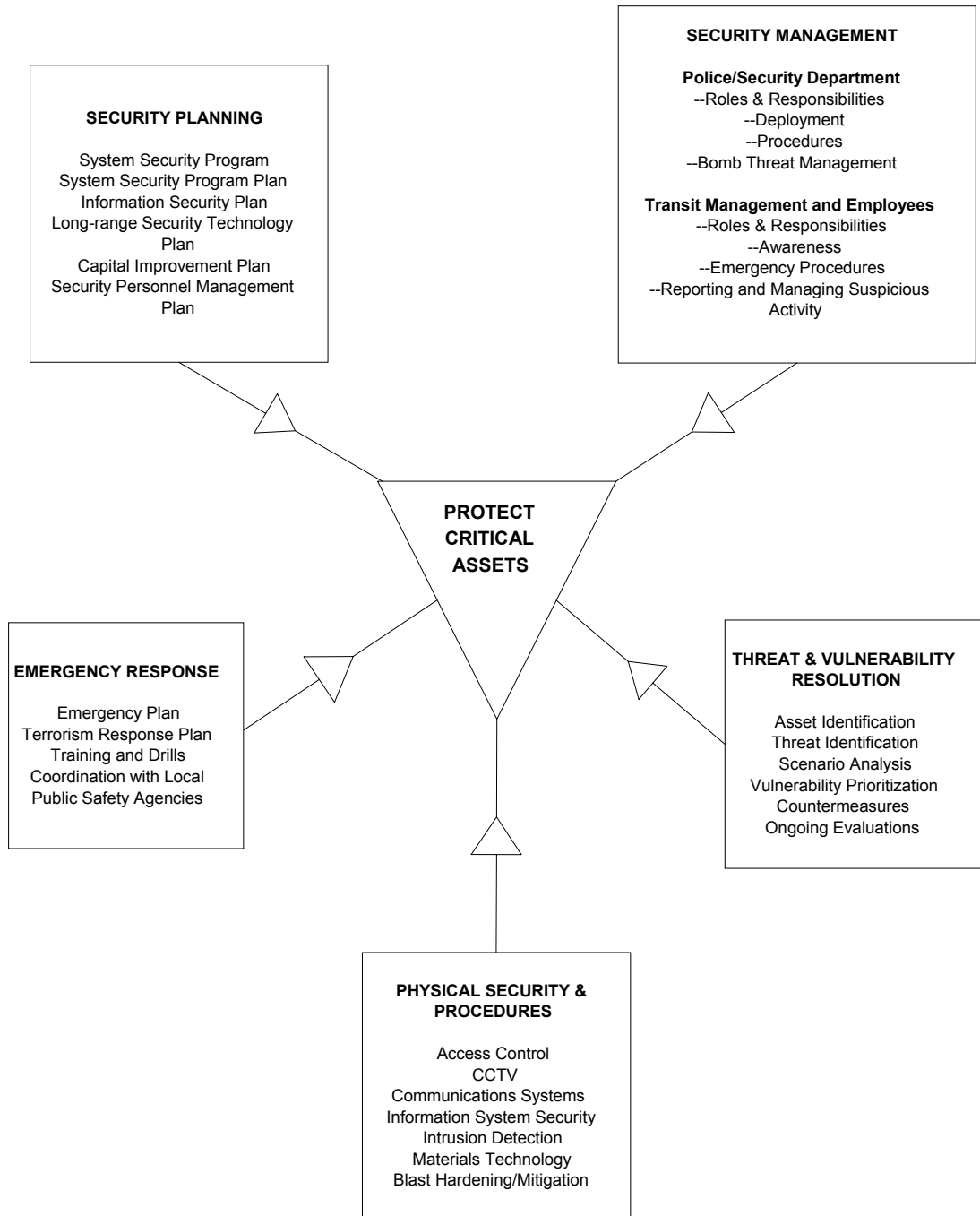


Figure 2: Elements of Protection

2 Security and Preparedness in a Diverse Industry

There are over 7,500 local public transportation systems in the United States today. The main challenge of the federal government is to encourage security and preparedness programs that will protect them all. This may seem like an impossible task when taking a closer look and comparing the many different systems across the country to each other. Each system has a unique way of carrying out security measures that best suit each particular system’s needs.

Table 4 illustrates the diversity of the nation’s public transportation network.

Table 4: US Public Transportation Inventory

INVENTORY	Motor Bus	Heavy Rail	Light Rail	Demand Response	Ferry Boat	Commuter Rail	TOTALS
Number of Systems	2,262	14	33	5,254	28	18	7,609
>1,000 Buses	10						
999>500 Buses	20						
499>200 Buses	38						
199>50 Buses	404						
<49 Buses	1,790						
Number of Employees	195,548	45,155	6,048	47,509	3,433	22,399	320,092
Number of Vehicles	75,754	10,301	1,205	32,899	124	4,907	125,190
Unlinked Passenger Trips	5.8 billion	2.7 billion	315 million	113 million	52 million	421 million	9.4 billion
Operating Expenses	\$11.1 billion	\$3.5 billion	\$600 million	\$1.3 billion	\$270 million	\$2.5 billion	\$19.3 billion
Average Fare	\$0.69	\$0.96	\$0.58	\$1.60	\$1.32	\$3.40	

2.1 Diversity in Public Transportation

Every day in the US, publicly funded transportation systems provide approximately 32 million passenger trips. These systems serve commuters, students, tourists, people of age, persons with disabilities, and others who rely on trains, buses, ferries, vans, and other accessible vehicles and facilities to reach their final destinations. The public transportation infrastructure is varied and dynamic, including:

- ⇒ the nation’s largest system, the Metropolitan Transportation Authority (MTA) New York City Transit (NYCT), which employs 40,000 professionals and transports over 8 million daily passengers, using one of the world’s largest networks of bus and rail vehicles and supporting infrastructure;

- ⇒ a medium to small sized bus system in the Midwest, serving a mixed rural-small urban regional area, and providing 7,000 daily passenger trips; and
- ⇒ a non-profit, demand-responsive system in the southwestern United States, with two vans and a car pool program, serving an isolated rural community with volunteer drivers, providing 30 daily passenger trips.

2.2 Existing Threat Management Process

The public transportation industry faces many threats, all of which have the potential for disrupting local communities, causing casualties, and damaging and destroying public and private property. At a national level, the industry will be affected by several major events each year; ranging from floods, earthquakes, hurricanes, tornados, major accidents, hazardous materials spills, fires, violent crime, and, potentially, terrorism.

Figure 3 provides common categories of threats and a typical evaluation matrix for determining the relative impacts of these threats, based upon the likelihood that the threat will result in an actual event and the expected severity of the consequences should that event occur. The Federal Emergency Management Agency (FEMA) and the Federal Bureau of Investigation (FBI) use this tool to support the activities of communities in developing threat mitigation programs and emergency plans.

Using this approach, a small operator in Ohio may determine that the threat of tornados is sufficient to justify a sky-watcher training program for key field personnel. A large provider in southern California may invest in the development of design criteria to enhance structural integrity and redundancy in power and communications to support earthquake resistance and rapid restoration of service. This evaluation process is iterative, ongoing, and responsive to new and emerging threats.

2.3 Implications for Terrorism

In this era of heightened concern regarding terrorism, transportation managers have good reason to attend to the security and preparedness of their operations. Threat assessments issued by the Federal Bureau of Investigation (FBI) have consistently placed public transportation at the top of the critical infrastructure protection agenda, along with airports, nuclear power plants, and major utility exchanges on the national power grid.

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CATEGORY	LIKELIHOOD OF OCCURRENCE	SEVERITY OF OCCURRENCE																															
HAZARD TYPE	(SEE BELOW)	(SEE BELOW)																															
NATURAL Drought Earthquake Flash flooding Flooding (river or tidal) High winds Hurricane Landslide Tornado Wildfire Winter storm TECHNOLOGICAL Dam failure Energy or fuel shortage Hazmat or oil spill (fixed site) Hazmat or oil spill (transport) Major structural fire Nuclear facility incident Water system failure SOCIETAL Civil unrest or riot Strike Civil panic or looting SECURITY Violent crime (Part I crime) Other crime (Part II crime) Bomb threats Chem-bio-nuclear agent threats Workplace violence Explosive device/detonation Chem-bio-nuclear device/release Other terrorism	<table border="1"> <thead> <tr> <th></th> <th colspan="4">Severity</th> </tr> <tr> <th>Likelihood</th> <th>Catastrophic</th> <th>Critical</th> <th>Marginal</th> <th>Negligible</th> </tr> </thead> <tbody> <tr> <th>Frequent</th> <td rowspan="2">High</td> <td rowspan="2">Serious</td> <td rowspan="2">Medium</td> <td rowspan="2">Low</td> </tr> <tr> <th>Probable</th> </tr> <tr> <th>Occasional</th> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <th>Remote</th> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <th>Improbable</th> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p><u>LIKELIHOOD OF OCCURRENCE</u></p> <p>Frequent: Event will occur Probable: Expect event to occur Occasional: Circumstances expected for that event; it may or may not occur Remote: Possible but unlikely Improbable: Event will not occur</p> <p><u>SEVERITY OF OCCURRENCE</u></p> <p>Catastrophic: Disastrous event Critical: Survivable but costly Marginal: Relatively inconsequential Negligible: Limited or no impact</p>		Severity				Likelihood	Catastrophic	Critical	Marginal	Negligible	Frequent	High	Serious	Medium	Low	Probable	Occasional					Remote					Improbable					
	Severity																																
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Frequent	High	Serious	Medium	Low																													
Probable																																	
Occasional																																	
Remote																																	
Improbable																																	

Figure 3: Common Threats and Evaluation Matrix

Acts of terrorism have many common characteristics both in the United States and other areas of the world. To guide the threat posture for the emergency planning

and response community, the International Association of Fire Chiefs (IAFC) provides the following observations regarding terrorist acts.⁵

- ⇒ All terrorist acts are crimes. Most involve violence or threats of violence.
- ⇒ Terrorists target civilians; where they work, live, and congregate.
- ⇒ Terrorist actions are designed to receive maximum publicity.
- ⇒ Terrorist actions are intended to produce effects beyond immediate physical damage, to instill fear and devastation in the civilian population.
- ⇒ Once a terrorist incident is underway, the success rate is nearly 75%. The presence of suicide bombers raises the success rate to over 95%.
- ⇒ Law enforcement, fire, rescue, and emergency management personnel may not be better trained or equipped than terrorists.
- ⇒ Terrorists will not have the same perspective as first responders regarding consequences of the initial event, and may attempt to exploit the vulnerability of first responders arriving on an emergency scene by using secondary devices or staging attacks involving other weapons. Worldwide, secondary devices will be deployed about 50% of the time.
- ⇒ The American public now expects that an extraordinary rescue effort will occur after any terrorist incident.
- ⇒ The tactics of terrorism are constantly changing, yet the basic objectives remain the same: to create fear and mistrust in government.
- ⇒ The events of September 11 established a new benchmark in sophistication of terrorist attacks, demonstrating advancing skills and willingness to kill thousands of people indiscriminately.
- ⇒ Responders should be prepared for terrorist incidents that escalate in scope and magnitude.
- ⇒ Terrorist acts are not accidents or disasters; they are intentional actions designed to inflict civilian casualties.

2.4 Meeting the Threat

For most transportation systems, addressing this threat requires activities designed to:

- ⇒ recognize and prevent potential security incidents and emergencies; and
- ⇒ enhance response capabilities.

At many systems, developing a security and preparedness program is a central component of these activities. The first step in creating this program is often to build consensus in two critical areas:

- ⇒ Where is the risk?
- ⇒ Whose responsibility is it?

⁵ *Enhancing Fire Service Response to Today's Terrorism Threat*,
<http://www.iafc.org/downloads/index.shtml>.

The first question focuses on the system's ownership of risk. Managers must understand which parts of its operation are at risk and why. By evaluating risk, managers are determining their needs to ensure that the organization does not spend valuable resources on unnecessary safeguards while, at the same time, exposing itself to unprotected loss.

Responsibility refers to conscious decisions about whether to deny, accept, or transfer risk. Responsibility and accountability for security should determine resource investment. At all times, managers should remember that no decision or avoidance of decision-making is still a decision.

2.5 System Security and Emergency Preparedness (SSEP)

System security and emergency preparedness (SSEP) offers a valuable tool to support the efforts of transportation managers to answer system security questions. System security is defined as:

the application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources

- ⇒ System security provides a structured methodology for analyzing threats and weighing the consequences of the cost of their resolution against the capabilities of the system to fund improvements.
- ⇒ This process builds on the transportation industry's strong safety culture, applying analysis techniques and management processes traditionally used for safety hazards to security threats and vulnerabilities.
- ⇒ System security identifies security and emergency preparedness measures that protect both the community and transportation employees, while keeping the system operational and effective, even under adverse conditions.
- ⇒ This process allows the system, whatever its size, service, or operating environment, to implement the most effective security and preparedness program possible within its available resources.

Within the context of this approach, emergency preparedness is a central feature of the program, ensuring the capability to mitigate and manage those events that cannot be prevented. Emergency preparedness is defined as:

a uniform basis for operating policies and procedures for mobilizing public transportation

System security promotes an integrated approach to protection, identifying how all system activities come together as part of an interdependent system that deters,

detects, assesses, and responds to threats. As indicated in the Figure 4, this process has the following components:

- ⇒ physical resources to delay and deter the adversary;
- ⇒ equipment installed to detect and assess alarms and support surveillance;
- ⇒ personnel used for security systems management, operations, and response;
- ⇒ procedures essential for system operation and effectiveness; and
- ⇒ training, exercising, and assessment to assure response capabilities.

2.6 Benefits of SEPP

Because security has historically been managed as part of day-to-day transportation operations, many systems may not recognize the benefits of preparing a formal security plan. Yet, the planning process:

- ⇒ provides a systematic vision for its security and preparedness activities;
- ⇒ enhances the system's ability to coordinate with local authorities;
- ⇒ supports development of best practices and technology programs; and
- ⇒ provides the basis for training and exercises.

In an era of heightened public concern and expectation, formal security planning ensures that the public transportation system is doing all that it can to leverage limited resources for physical protection and effective emergency response.

By investing time and money in security and preparedness efforts, transportation managers can reduce the likelihood of adverse effects on employees, passengers, and the environment, as well as help to avoid costly losses that would result from a major event. This program can also be a valuable tool for maintaining operational integrity.

Some of the benefits of implementing a SEPP include:

- ⇒ safeguarding employees, passengers, first responders, the community, and the environment;
- ⇒ reducing litigation risk, insurance costs, and theft;
- ⇒ reducing the risk of vandalism and sabotage by employees and non-employees;
- ⇒ improving relationships with local authorities and surrounding communities;
- ⇒ providing a mechanism for personnel control and accounting ; and
- ⇒ supporting effective crisis communications internally and with passengers.

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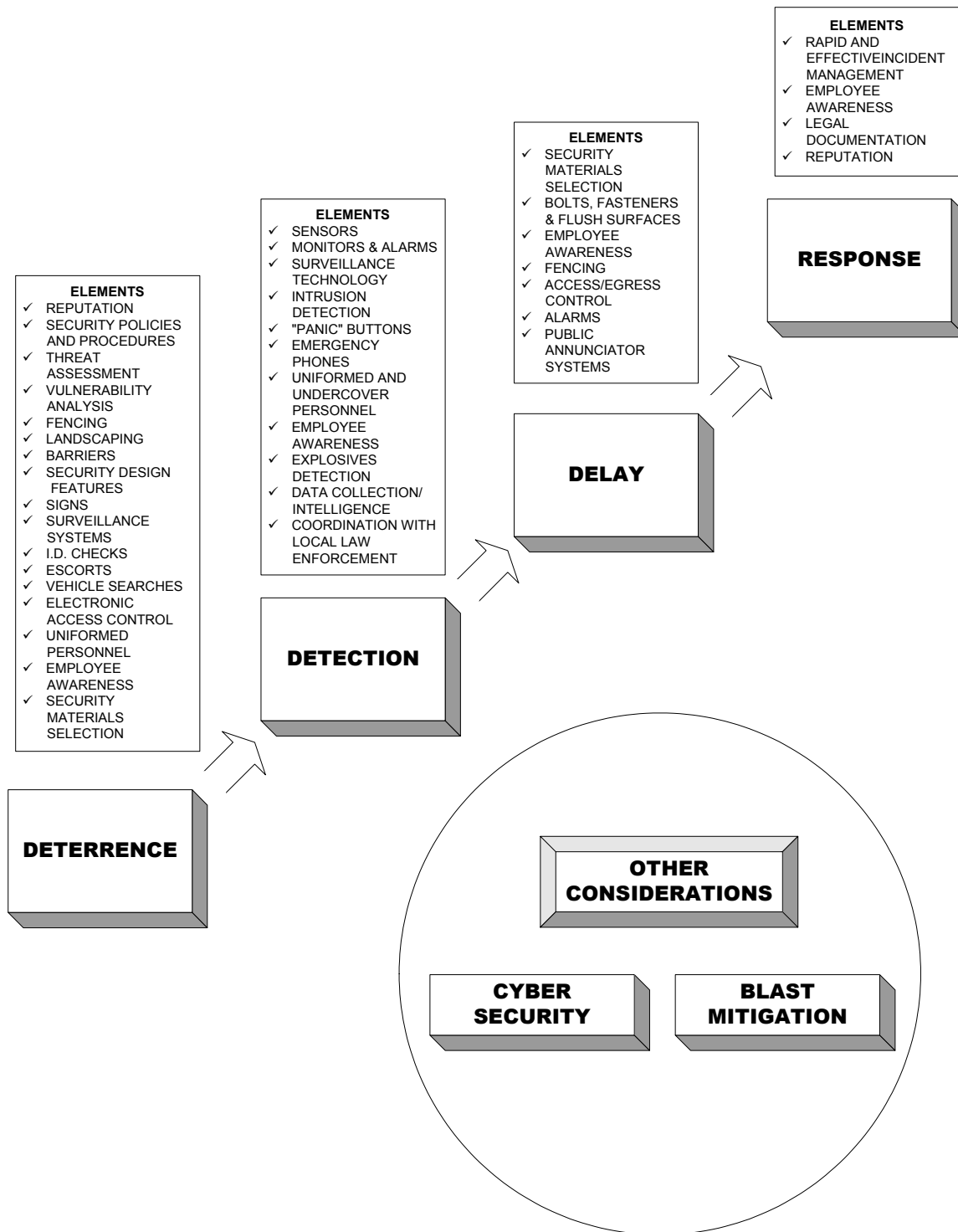


Figure 4: System Security Approach to Prevention and Response

2.7 Steps in the Program

For most systems, this program consists of the following seven steps, which are also depicted in Figure 5.

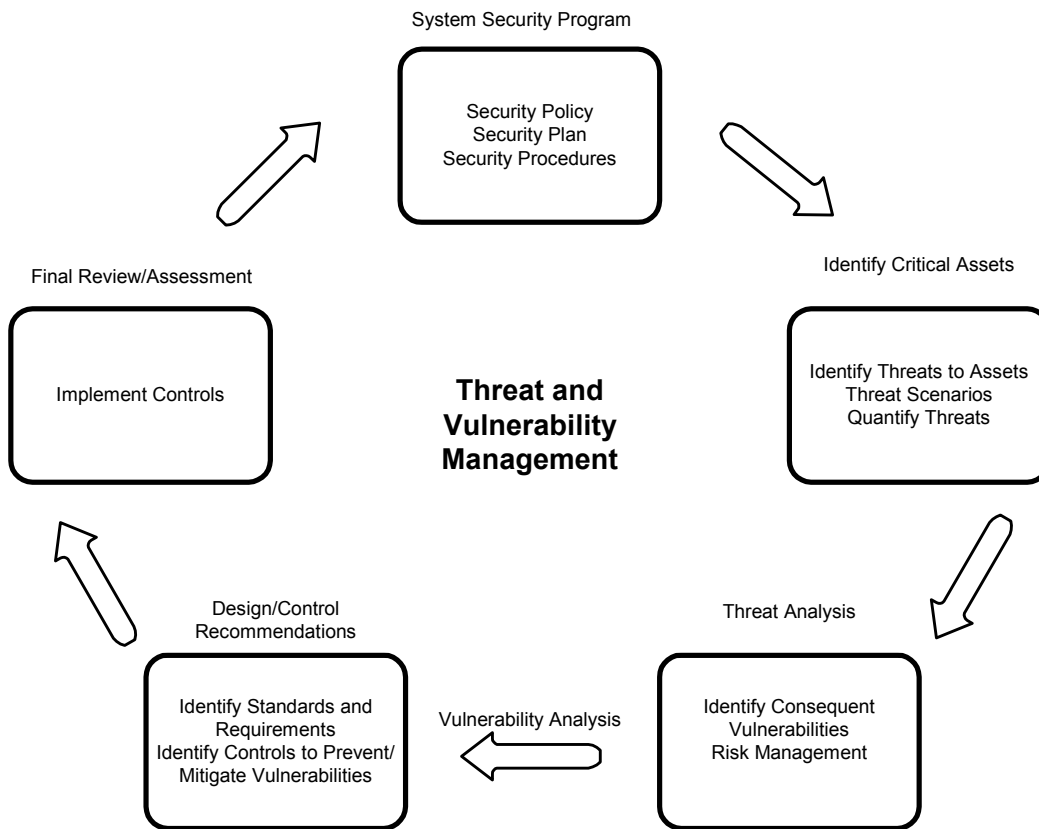


Figure 5: Steps in the System Security Methodology

- ⇒ **Step 1:** Designate an organizational capability to manage security issues for the system. For small systems, this assignment can be part-time for a single employee. For the nation's larger systems, dedicated transportation police perform this function.
- ⇒ **Step 2:** Create a Security and Emergency Preparedness Planning (SEPP) Team. For small systems, this can be the existing Bus/Vehicle Operators Committee or an Ad Hoc Committee, including representatives from systems served or contractors used to provide service. Larger systems may have several distinct committees (security planning, security operations, security breach review, as well as committees that focus on emergency management and coordination with local responders).
- ⇒ **Step 3:** Perform a SEPP capabilities assessment to develop a snapshot of the system's current level of readiness. If applicable, the system should also identify baseline security practices that are consistent across its operations or modes of service.

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Most transportation systems work closely with local public safety agencies, local planning organizations, and regional or mutual aid partners in creating their programs. Figure 6 demonstrates how these activities are coordinated at many systems.

Activity	Transportation Security Manager	Transportation Police/Security Department	Security & Emergency Preparedness Planning Team	Local Public Safety Agencies	Local Planning Agencies	Regional/Mutual Aid Agencies
Perform Capabilities Assessment	Lead Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role
Identify Assets	Lead Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role
Identify Threats	Lead Role	Support/Review Role	Support/Review Role	Lead Role	Support/Review Role	Support/Review Role
Identify Vulnerabilities (Perform Scenario Analysis; FBI Self-Assessment Worksheet)	Lead Role	Support/Review Role	Support/Review Role	Support/Review Role	No Likely Role	No Likely Role
Prioritize Vulnerabilities	Lead Role	Support/Review Role	Lead Role	Support/Review Role	No Likely Role	No Likely Role
Establish Physical Security Baseline	Lead Role	Support/Review Role	Lead Role	No Likely Role	No Likely Role	No Likely Role
Identify Other Measures	Lead Role	Support/Review Role	Lead Role	No Likely Role	No Likely Role	No Likely Role
Establish Preparedness Planning and Procedures	Lead Role	Support/Review Role	Support/Review Role	Lead Role	Lead Role	Lead Role
Conduct Training, Exercises, and Evaluation	Lead Role	Support/Review Role	Lead Role	Lead Role	Support/Review Role	Support/Review Role
Maintain Interagency Coordination	Lead Role	Support/Review Role	Lead Role	Lead Role	Support/Review Role	Support/Review Role
Update Plans and Training	Lead Role	Support/Review Role	Lead Role	Support/Review Role	No Likely Role	No Likely Role
Commit to Institutional Learning	Lead Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role	Support/Review Role

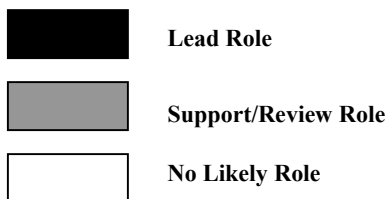


Figure 6: Coordination with Local Systems

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- ⇒ **Step 4:** Conduct a Threat and Vulnerability Assessment to identify critical assets, vulnerability to specific threats, based on the likelihood of occurrence and the severity of occurrence (given current security baselines and/or practices), and to develop passive and active counter-measures for addressing prioritized vulnerabilities.
- ⇒ **Step 5:** Develop a System Security and Emergency Preparedness Plan to describe system roles and responsibilities for these activities. Small systems may have one combined plan. Larger systems may have multiple plans (System Security Plan, Basic Emergency Plan and Incident Annexes, and Terrorism Response Plan). The Guide CD-ROM provides a complete template for this plan.
- ⇒ **Step 6:** Develop a work plan for implementing countermeasures. This may include, in the short-term, issuing bulletins to operators and meeting with local law enforcement. Long-term implementation measures include developing annual programs for exercising emergency notification and response procedures and developing a master plan for CCTV implementation at the system.
- ⇒ **Step 7:** Emphasize readiness in all system activities, including role-playing in operator meetings, tabletop simulations, what if exercises, tabletop simulations, drills, and interagency exercises are vital to ensure that transportation employees and local responders are familiar with plans and equipment and develop needed skills. Interacting through exercises also provides an opportunity for systems to develop working relationships and mutual trust.

3 Developing the Security and Emergency Preparedness Program (SEPP)

Creating a security and emergency preparedness program (SEPP) formalizes top management's commitment. Without clear management authority and written policies and procedures, the system's activities for security and emergency preparedness will remain vulnerable to misunderstandings and confusion in the field. Heightened public accountability also encourages prudent transportation management to commit its program in writing.

- ⇒ Documented programs are more credible to employees, local law enforcement and emergency planning agencies, ridership associations, and the media. A written plan issued under executive management signature conveys a level of professionalism and commitment appropriate to a system dedicated to the safe and secure transportation of passengers.
- ⇒ The process of documenting the program encourages the identification of opportunities for physical security enhancements, technology acquisition, operations improvements, and greater coordination within the system, with local law enforcement and/or other response agencies.
- ⇒ Review of the program also identifies weakness in current practices, provides a management tool to support revision of procedures, and enhances enforcement and implementation of the program.
- ⇒ A written plan can be used to train and simulate exercises with personnel, ensuring that employees understand what is required in a variety of situations.
- ⇒ A written plan can be shared with local response agencies, to increase their understanding of transportation operations and security priorities.
- ⇒ A written plan supports brainstorming and proactive identification of what could happen and how the system would ideally like to respond.
- ⇒ A written plan can be a priceless resource in an actual emergency.

Figure 7 identifies activities that can be performed by a transportation system to develop its SEPP.

3.1 Authority

At a particular transportation system, security and emergency preparedness management responsibility generally should be assigned to one person. The FTA highly recommends that a full-time person be designated to these responsibilities, however if circumstances don't allow for a full-time person an upper level management person should be in charge of this effort, even if he or she has other responsibilities.

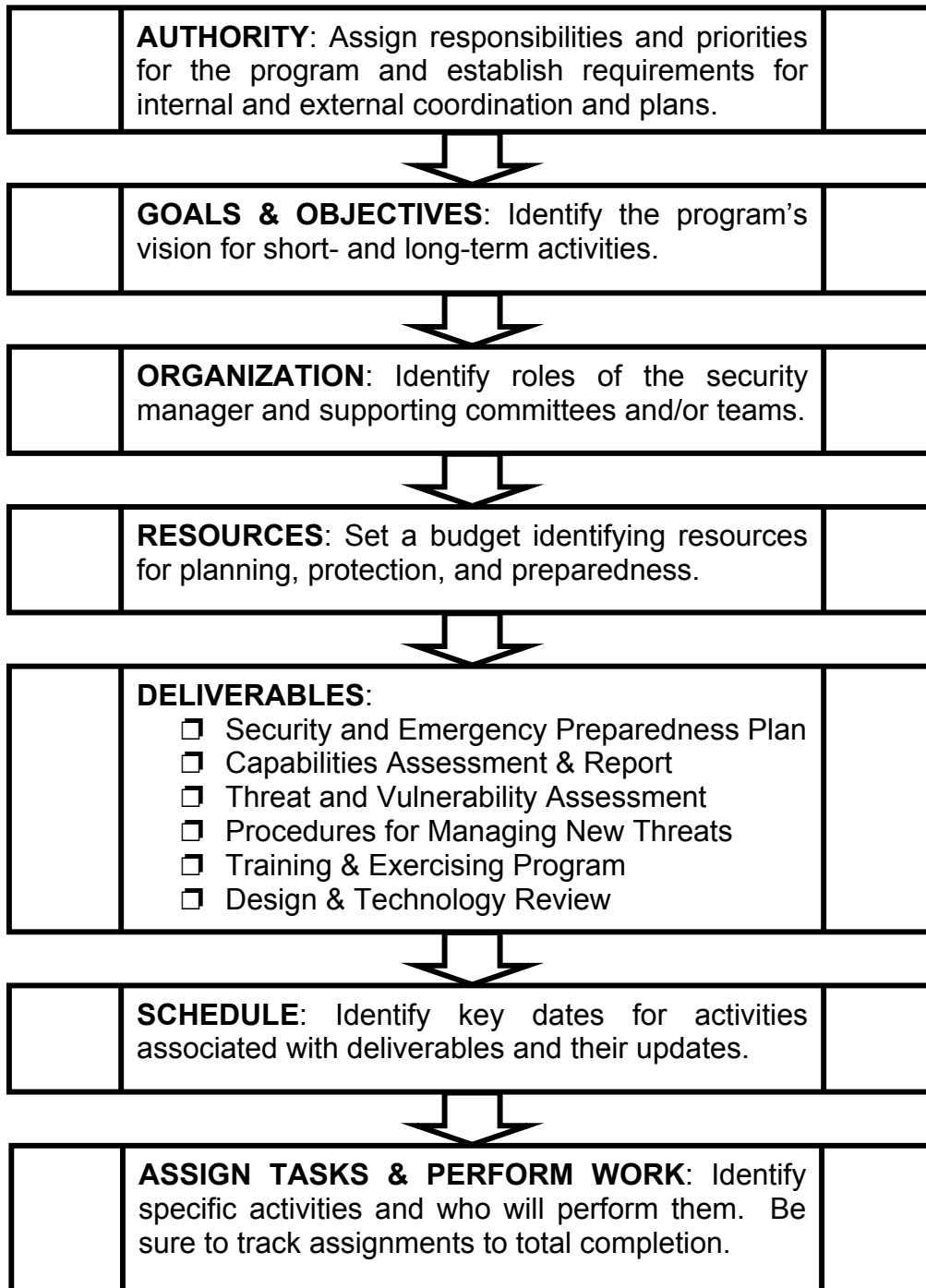


Figure 7: Activities to Develop the SEPP

The person assuming this role can coordinate a number of important functions, such as:

- ⇒ developing plans and policies;

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- ⇒ managing annual capabilities and threat and vulnerability assessments;
- ⇒ establishing relationships with law enforcement agencies and other responders;
- ⇒ developing and managing incident and unusual event reporting systems;
- ⇒ boosting employees' security awareness;
- ⇒ referring security breaches for investigation;
- ⇒ coordinating emergency response; and
- ⇒ periodically assessing the system's security program.

In recognition of system-to-system variations, this Guide uses the term **security manager** to refer to the person ultimately responsible for the SEPP at each transportation system. No single staffing recommendation is adequate for all transportation systems; each security program must be developed and evolve to address local conditions and resources.

- ⇒ Depending on the size and resources of the system, the security manager may be the Chief of Transportation Police or the Director of the system's Security Department, with in-house or contracted sworn and non-sworn personnel to support passenger, employee and facility protection, and emergency response.
- ⇒ For smaller operations, the Chief Operations Officer, the Director of Safety, the Risk Manager, or the Facilities Manager may incorporate these activities into their duties, supported by a committee comprised of operating and administrative personnel, coordinated with local law enforcement.
- ⇒ Rural and community transportation providers have tapped a wide range of personnel for this function, including part-time dispatchers with previous law enforcement experience, supervisors or operators who manage other system committees, or the human services liaison with the local community planning organization. An ad hoc committee or another type of planning team can also support this function.

In determining the appropriate designation of responsibility for security and emergency preparedness, the transportation system may wish to consider which function can best:

- ⇒ validate routine practices already in place for managing security incidents, accidents, and medical emergencies; working with hazardous materials; preparing for spills; and managing conflicts or disorderly conduct on-board vehicles;
- ⇒ expand existing employee management and supervision practices to more fully address security and emergency planning; and
- ⇒ consolidate these practices, to develop an integrated program, coordinated with local response and planning agencies.

Whatever organizational structure is established by the transportation system, this Guide recommends that the security manager:

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- ⇒ become a direct report to the system's executive director;
- ⇒ receives a separate budget line item for security activities;
- ⇒ receives clear authority for signing off on policies, procedures, construction projects, and plans; and
- ⇒ receives authority in overseeing the inclusion of security or emergency preparedness issues in the system's procurement and contracting process.

3.2 Goals and Objectives

The public transportation system can consider many possible goals for the program that should emphasize the major elements to be accomplished.

- ⇒ Develop a coordinated program to ensure that the transportation system, local emergency responders, and local planning agencies work together to identify vulnerabilities to acts of terrorism and other emergencies.
- ⇒ Encourage clear definition of security and emergency response roles and responsibilities, both within the transportation system and with local responders.
- ⇒ Support implementation of the Incident Command System (ICS) for major events occurring in the community.
- ⇒ Promote greater consistency in local, state, and federal requests for program funding, training, and exercising involving public transportation.
- ⇒ Identify and review the role of public transportation in community plans.
- ⇒ Develop an inventory of available equipment and resources that the transportation system can contribute to community emergencies.
- ⇒ Establish joint policies and procedures for evacuation and in-place protection in the event of contamination by chemical, biological, or radiological agents.
- ⇒ Identify how public transportation personnel should support scene management requirements at a major incident, including staging for mass casualties, search and rescue, and debris removal.
- ⇒ Identify how public transportation can support management of medically vulnerable populations during major emergencies.
- ⇒ Coordinate plans for special events in the community, such as fairs, concerts, and fireworks displays.

Objectives are specific measures required to implement goals. The public transportation system can consider many possible objectives for the program that should emphasize the more day-to-day elements to be accomplished.

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- ⇒ Ensure that all transportation system employees and contractors:
 - understand the requirements of the program;
 - make security and preparedness a primary concern while on the job;
 - cooperate fully with the system regarding any incident investigation; and
 - raise security and emergency preparedness concerns to management.
- ⇒ Review current system safety, security, and emergency policies, procedures, and plans. Identify needed improvements among these documents.
- ⇒ Develop and implement plans for addressing identified improvements.
- ⇒ Coordinate with local public safety, community emergency planning, and human services agencies to address security and emergency preparedness, including participation in formal meetings and committees.
- ⇒ Develop, disseminate, and incorporate procedures pertinent to system activities into training for security and emergency preparedness.
- ⇒ Provide adequate driver training and continuing instruction for all employees and contractors regarding security and emergency preparedness.
- ⇒ Ensure performance of at least one emergency exercise annually.
- ⇒ Add a permanent agenda item oriented toward security and emergency preparedness matters on all standing safety and risk management committees.
- ⇒ Ensure status reporting from operating, training, and human resource departments to determine the level of compliance with system security and emergency preparedness policies, rules, regulations, standards, codes, and procedures to identify changes or new challenges as a result of incidents or other operating experience.
- ⇒ Ensure that the system's current organizational committee structure provides sufficient opportunity to:
 - identify security conditions and problems at the system;
 - organize incident investigations;
 - develop and evaluate corrective actions;
 - develop strategies for addressing system security problems;
 - coordinate the sharing of security responsibilities and information; and
 - coordinate interaction with external agencies.

3.3 Organization

While it is often said that security is everyone's responsibility, developing a program organization that clearly identifies security responsibilities can be challenging. In meeting this challenge, transportation systems typically organize activities by transportation system management level and function within the program.

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These two approaches are discussed below. Sample organizational responsibilities are provided for both classification systems.

3.3.1 Management Level

By clarifying relationships between and among management levels within the system, a well-documented program supports the ability of the security manager to be proactive when addressing security and preparedness concerns. The security manager understands his or her role in the system and which management personnel have responsibility for approving, reviewing, and enforcing security policies and procedures.

3.3.1.1 Top Management

Top management is accountable for the safety and security of the system and the effectiveness of emergency response. Program responsibilities are typically identified for the executive director or general manager and the vice president or assistant general manager.

3.3.1.2 Division and Department Heads

Division and department heads are responsible for the security and preparedness of their divisions and departments, including employees, facilities, equipment, operations, and services provided. Additional responsibilities may include:

- ⇒ reviewing new security activities to determine how they impact the areas for which each manager is responsible;
- ⇒ developing implementation strategies for security-related activities to be assigned within the department safety and security action plans;
- ⇒ planning fiscal requirements of security activities; and
- ⇒ sharing security concerns and ideas for improvement.

Program responsibilities are typically identified for the following:

- ⇒ Director of Law Enforcement or Security;
- ⇒ Director of Transportation Development;
- ⇒ Director of Communications and Marketing;
- ⇒ Director of Finance;
- ⇒ Director of Rail Services;
- ⇒ Director of Bus Operations;
- ⇒ Director of Maintenance;
- ⇒ Director of Human Resources; and
- ⇒ Director of Legal Services.

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3.3.2 Managers

Other types of managers are responsible for the security and preparedness of their sections, including employees, facilities, equipment, operations, and services provided. They are also responsible for conducting inspections and evaluating threats, vulnerabilities, and security concerns. The security manager, system safety manager, facilities manager, and/or risk manager are typically responsible for developing and monitoring implementation of the SEPP and reporting to top management.

3.3.2.1 Supervisors

Supervisors are responsible for the security and preparedness of their units, including employees, facilities, equipment, operations, and services under their supervision. They are also responsible for conducting inspections and evaluating threats, vulnerabilities, and security concerns. Typical personnel include the following:

- ⇒ Rail Operations Supervisor,
- ⇒ Controller and Trainer;
- ⇒ Bus Operations Supervisor,
- ⇒ Dispatcher and Trainer; and
- ⇒ Rail and Bus Maintenance Supervisors.

3.3.2.2 Employees

Each employee is responsible for working safely, securely, and for following established rules, procedures, policies, and safe work practices. All employees are responsible for:

- ⇒ considering the security of passengers, vehicles, and facilities in the performance of all of their regular activities and
- ⇒ offering suggestions for the improved security of transportation passengers, vehicles, and facilities to their division or department head, the system security manager (SSM), or to members of appropriate committees.

Employee security program responsibilities are typically identified for:

- ⇒ Bus Operator;
- ⇒ Rail Operator;
- ⇒ Bus or Rail Maintainer or Mechanic;
- ⇒ Maintenance of Way Maintainer;
- ⇒ Claims Processor;
- ⇒ Revenue Collector;
- ⇒ Employee Coordinator; and
- ⇒ Environmental Program Coordinator

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3.3.2.3 Proactive Security Committee

This committee generally reports to top management through the chief operating officer or director of operations. The major task of this committee is to identify and resolve potential security risks that the transportation system may encounter. This is often accomplished by review and assessment of the following areas:

- ⇒ conduct system-wide security assessments to identify and to eliminate or lessen potential security concerns in existing facilities;
- ⇒ review of new facility designs to ensure that security principles have been incorporated into the design;
- ⇒ review of existing training programs and development of additional training programs, based on security needs identified by the committee;
- ⇒ review of existing and proposed security policies, rules, regulations, standards, codes, and procedures to identify and neutralize potential security problems;
- ⇒ identify organizational issues that may contribute to recurring security incidents or less effective responses to incidents;
- ⇒ promote security awareness through campaigns and security related events; and
- ⇒ assess response readiness by conducting simulation drills and readiness exercises.

3.3.2.4 Security Breach Review Committee

This committee also typically reports to top management through the chief operating officer or director of operations. This committee often consists of the same members as the proactive security committee, and additional representatives from outside agencies, such as local law enforcement and the public, whose presence the committee members feel would be useful. The major task of the committee is to identify security breaches and to review incidents to determine if the breach occurred because of:

Security Integration

Functions provided by the Proactive Security and Security Breach Committees are an integral part of public transportation agency system development and operations. These committees should not be isolated, but should be integrated into the agency's decision-making process (for example during the design review of a system modification). This will ensure that all security issues that affect or will affect system operations are evaluated from a security perspective.

- ⇒ inadequate or ineffective policies or procedures;
- ⇒ failure by employees to properly follow policies or procedures;
- ⇒ an identified, accepted risk;
- ⇒ unforeseen actions against the transportation system; or
- ⇒ some combination of the above.

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This committee has the authority to propose or recommend additions or changes to policies and procedures. It can further recommend specific courses of action to prevent or minimize security breaches of a similar nature.

3.3.2.5 Function within Program

Once management roles have been clarified, the program can establish the specific activities to be performed. A program matrix is often used to document this activity. This matrix can stand-alone but is recommended to be incorporated into the overall management matrix of the organization to insure that security is part of all management review and decisions. This matrix identifies tasks for the program by operating department, often specifying the level of responsibility using the following conventions:

- ⇒ **P, Primary Task Responsibility.** The identified participants are responsible for the preparation of the specified documentation.
- ⇒ **S, Secondary or Support Responsibility.** The identified participants are to provide support to accomplish and document the task.
- ⇒ **C, Comment Responsibility.** The identified participants are to review and provide comment on the task or requirement.
- ⇒ **A, Approval Responsibility.** The identified participants are to review, comment, and subsequently approve the task or requirement.

Table 5 presents a sample for consideration by transportation systems, organized according to the sections of the Security and Emergency Preparedness Plan contained on the Guide CD-ROM.

Table 5: Program Roles and Responsibilities Matrix

PARAGRAPH NUMBER	TASK OR ACTIVITY	TRANSPORTATION SYSTEM							
		Management	Operations	Maintenance	Security or Safety	Training	Engineering	Human Resources	Risk Management
1.0	System Security Program Introduction	A	A	C	P	C	C	C	C
1.1	Purpose of System Security Program Plan and Program	A	A	C	P	C	C	C	C
1.2	Goals, Objectives, & Tasks for the Program	A	A	C	P	C	C	C	C
1.3	Scope of Program	A	A	C	P	C	C	C	C
1.4	Security & Law Enforcement	A	A	C	P	C	C	C	C
1.5	Management Authority & Legal Aspects	A	A	C	P	C	C	C	C
1.6	Government Involvement	A	A	C	P	C	C	C	C

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Table 5: Program Roles and Responsibilities Matrix

PARAGRAPH NUMBER	TASK OR ACTIVITY	TRANSPORTATION SYSTEM							
		Management	Operations	Maintenance	Security or Safety	Training	Engineering	Human Resources	Risk Management
1.7	Security Definitions	A	A	C	P	C	C	C	C
2.0	System Description	C	C	C	P	C	C	C	C
2.1	Background & History of System	C	C	C	P	C	C	C	C
2.2	Organizational Structure	C	C	C	P	C	C	C	C
2.3	Human Resources	C	C	C	P	C	C	C	C
2.4	Passengers	C	C	C	P	C	C	C	C
2.5	Services or Operations	C	C	C	P	C	C	C	C
2.6	Operating Environment	C	C	C	P	C	C	C	C
2.7	Passenger, Vehicle, & System Safety program Plan	C	C	C	P	C	C	C	C
2.8	Current Security Conditions	A	A	C	P	C	C	C	C
2.9	Capabilities & Practices	A	A	C	P	C	C	C	C
3.0	Management of the System Security Plan	A	A	C	P				C
3.1	Responsibility for Mission Statement & System Security	A	A	C	P	C	C	C	C
3.2	Management of the Program	A	A	S	P	S	S	S	S
3.2.1	General Manager	A	C	S	S	S	S	S	S
3.2.2	Chief Operating Officer	A	A	S	S	S	S	S	S
3.2.3	System SSM	A	A	C	P	S	S	S	S
3.3	Division of Security Responsibilities	A	A	C	P	C	C	C	C
3.3.1	Job-specific Security Responsibilities	C	A	S	P	S	S	S	S
3.3.2	Operations Division Responsibilities	A	P	S	S	S	S	S	S
3.3.3	System SSM & Contract Law Enforcement	A	A	S	P	S	S	S	S
3.3.4	Proactive Security Committee	C	A	S	P	S	S	S	S
3.3.5	Security Breach Review Committee	C	A	S	P	S	S	S	S
4.0	System Security Program: Roles & Responsibilities	C	S	S	P	S	S	S	S
4.1	Planning	S	S	S	P	S	S	S	S
4.2	Proactive Measures	S	S	S	P	S	S	S	S
4.3	Training	S	S	S	P	S	S	S	S
4.4	Day-to-Day Activities	S	S	S	P	S	S	S	S
5.0	Security Program Threat & Vulnerability Identification, Assessment, & Resolution	C	P	P	P	C	P	S	C
5.1	Threat & Vulnerability Identification	C	P	C	P	S	S	S	C

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Table 5: Program Roles and Responsibilities Matrix

PARAGRAPH NUMBER	TASK OR ACTIVITY	TRANSPORTATION SYSTEM							
		Management	Operations	Maintenance	Security or Safety	Training	Engineering	Human Resources	Risk Management
5.1.1	Security Testing and Inspections	C	P	C	S	S	S	S	C
5.1.2	Data Collection	C	P	S	S	S	S	S	S
5.1.3	Reports	C	P	S	S	S	S	S	S
5.1.4	Security Information Flow	C	P	S	S	S	S	S	S
5.2	Threat & Vulnerability Assessment	C	C	S	P	S	S	S	S
5.2.1	Responsibility	C	C	S	P	S	S	S	S
5.2.2	Data Analysis	C	F	S	P	S	S	S	S
5.2.3	Frequency & Severity	C	C	S	P	S	S	S	S
5.3	Threat & Vulnerability Resolution	C	P	C	P	S	S	S	S
5.3.1	Emergency Response	A	A	S	P	S	S	S	S
5.3.2	Breach Investigation	A	A	S	P	S	S	S	S
5.3.3	Research and Improvements	A	A	S	P	S	S	S	S
5.3.4	Eliminate, Mitigate, or Accept	A	A	S	P	S	S	S	S
6.0	Implementation & Evaluation of System Security Program Plan	C	P	C	P	S	S	S	C
6.1	Implementation Goals & Objectives	C	P	C	P	S	S	S	C
6.2	Implementation Schedule	C	P	C	P		S	S	C
6.3	Evaluation	C	P	C	S	S	S	S	S
6.3.1	Internal Review – Management	C	C	C	P	S		S	
6.3.2	External Audits	S	P	S	S	S	S	S	S
7.0	Modification of the System Security Program Plan	S	P	S	S	S	S	S	S
7.1	Initiation	C	C	S	P	S	S	S	S
7.2	Review Process	C	P	S	P	S	S	S	S
7.3	Implement Modifications	P	P	S	P	S	S	S	S

3.4 Resources

To be effective, the program must have adequate resources to perform its identified activities. As indicated in Figure 8, program resources are commonly categorized as:

- ⇒ personnel;
- ⇒ budget; and
- ⇒ management support.

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3.4.1 Personnel

Who is available to perform program activities, including in-house personnel, contractors, local law enforcement personnel, other responders, and local emergency planning agencies and committees? Security and emergency preparedness is an agency-wide activity. Cross-training of personnel is critical to promote effective emergency response and increase security awareness.

3.4.2 Budget

How much money is available, both in the short and long term, to fund physical protection, training, and preparedness enhancements? Are additional funding sources available from federal, state, local, and/or private sources? Are expenses for emergency response accounted for by the agency?

3.4.3 Management Support

How much authority does the security manager have to develop and implement the program? Will supervisors enforce these plans and procedures?

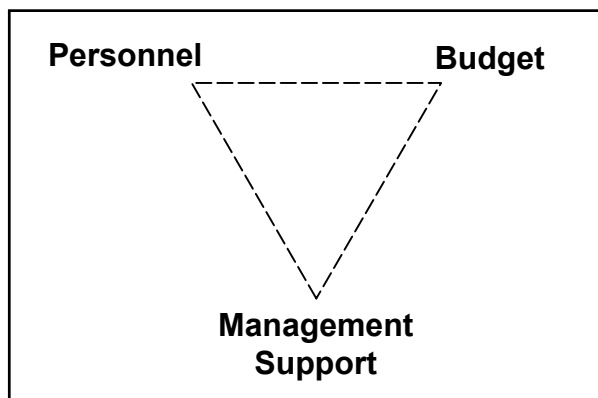


Figure 8: Resources for SEPP

Each transportation system should determine the resources available to develop and manage the program. This Guide recommends preparation of a budget for the program to clarify the resources allocated for activities and to support prioritization of activities.

3.5 Deliverables

The activity performed by the security manager and supporting personnel (whether a designated committee, internal transportation police or security department, contractor, or closer coordination with local law enforcement and fire services) requires an abundance of program resources. This Guide recommends that, whatever the size of the transportation system, the program needs to commit to the development of the following:

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- ⇒ Security and emergency preparedness plan (SEPP) to document the system’s program, organization, roles, and responsibilities. This may be supported by other emergency plans and procedures, emerging from coordination with the local community’s planning process.
- ⇒ Capabilities assessment and report to identify the system’s current activities for security and emergency preparedness and to make recommendations regarding the update or revision of existing plans, procedures, and training programs. See Section 4 of this Guide for more information.
- ⇒ Threat and vulnerability assessment to identify how heightened concerns over terrorism and other emergencies may create new risks for the operations and to recommend countermeasures for their resolution. See Section 5 of this Guide for more information.
- ⇒ Procedures for managing new threats to ensure that transportation personnel understand how to manage response to unusual events that may involve chemical, biological, radiological, or nuclear agents. See Section 6 of this Guide for more information.
- ⇒ Training and exercising to test and evaluate the system’s emergency response preparedness and to encourage coordination with local responders. See Section 7 of this Guide for more information.
- ⇒ Design and technology review to investigate design concepts and security equipment. Technology that may improve facility and vehicle protection is available. See Section 8 of this Guide for more information.



3.6 Schedule

The security manager should prepare a schedule to help ensure that all activities are identified, assigned, coordinated, and tracked. As a rule of thumb, most systems require 12 to 18 months to complete the initial deliverables specified above. Many systems, depending on their size, perform annual or biennial reviews and updates, which typically are completed over a 3-month period. When setting a schedule for program activities, this Guide encourages transportation systems to use the SMART mnemonic.

When developing schedules, it is important to remain realistic regarding the amount of time allocated for review, revision, and evaluation. This practice is critical when system activities will be coordinated with local law enforcement and emergency planning agencies, whose staff may have scheduled monthly meetings for review of submitted materials from local organizations.

3.7 Assign Tasks and Perform Work

Figure 9 identifies a standard project management configuration for documenting ownership of specific deliverables. Dark circles indicate primary responsibility whereas white circles indicate supporting responsibility. Assignments for project deliverables should be a two-way negotiation beginning with deliverable definition and delegation. The negotiation should end with acceptance by the designated personnel for the responsibility to complete the deliverable in the required time.

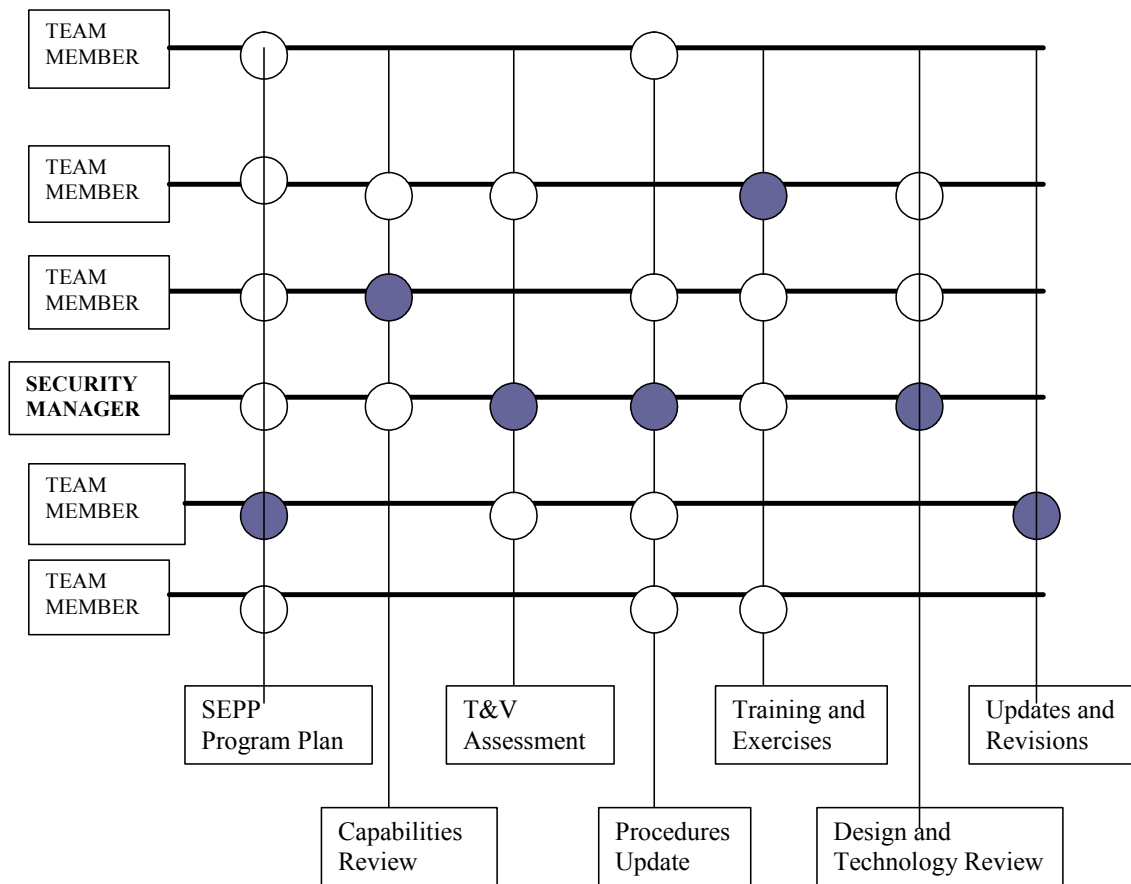


Figure 9: Sample Assignment Matrix

3.8 Preparing the SEPP

On the CD-ROM accompanying this Guide, there is a folder that contains a planning template that can be used by transportation personnel to create their system’s own SEPP. This template is not intended to be the end product for any transportation system. It should be customized to reflect local needs and issues, documenting actual activities performed by the system.

3.9 Comprehensiveness of the Plan

When completing the draft template, management and its supporting committees should examine the plan to ensure that it is comprehensive. SEPP plans should address all system activity for security and emergency preparedness. To meet this objective, make sure the plan adequately addresses the purpose, scope, responsibilities, and implementation involved with the plan.

Employee Considerations

During major emergency/disaster conditions one consistent and successful activity employers have discovered is that in order for their employees to report to, and remain at work, they must be comfortable that their families are safe and unharmed. Employers should develop plans and procedures that allow a designated agency representative(s) to locate employee family members so that indirect communication can be maintained. The agency should encourage employees to maintain and submit, for example, a *Family Member Locator Plan* that details contact information for family members and loved ones.

The agency's plan and/or procedures should provide policies on what and how information will be disseminated and collected. Each employee should be given a copy of the plan and policy and share this with his/her own family members.

3.9.1 Purpose

SEPP plans usually contain a statement, often at the beginning of the plan, describing the reason it is being established and any associated goals. This purpose provides a key motivator for the system and is often unique to the culture and operation of the service. It should be stated that the security plan is an integral portion of the safety plan and program.

3.9.2 Scope

SEPP plans should define the level of organization covered. Does it include planning, design, construction, and procurement, or only revenue-service? How extensively are human resources, passenger services, legal counsel, and risk management involved in the implementation of the plan? The plan should also include specific information about the personnel, equipment, facilities, and services being covered.

3.9.3 Responsibilities

SEPP plans assign appropriate responsibilities to operators, supervisors, managers, and department heads. For instance, management is responsible for general compliance in order to satisfy the requirements and goals of the plan. The human resource department is responsible for implementing specific penalties and disciplinary actions to ensure enforcement of the policy. Department supervisors may also need to take on this disciplinary role. These responsibilities must be clearly defined for effective implementation.

3.9.4 Implementation

SEPP plans should provide for implementation and ongoing evaluation. They should define the reports, inspections, training, committee meetings, and/or other activities to ensure that employees fully understand the system's security and emergency response procedures.

3.10 Clarity of the Plan

Management should examine the plan to see if it is clear, concise, and accurate. SEPPs should not require activities or commit to programs that are not feasible for the system or unfamiliar to employees. Plans should be clear, concise, and accurate.

- ⇒ The plan should be readable and its meaning should be clear. It must have the appropriate procedures and practices referenced.
- ⇒ The plan should not attempt to document and explain every security and emergency activity performed by employees. Rather, the plan should provide a security management tool that emphasizes processes, roles, responsibilities, and accountability. Specific procedures should be referenced, but not included.
- ⇒ Most security plans will be publicly available under the Freedom of Information Act (FOIA). In the event of a potential legal action or media inquiry, these plans must describe system operations. An incomplete or in-progress plan is far preferable to a plan that exaggerates security capabilities and requirements. Those who must implement the plan and earn additional respect and credibility for the security program will also appreciate accuracy.

3.11 From Plan to Procedure

Management should examine the relationship between the plan and its supporting procedures. SEPP plans should explain how the program will be managed and how general policies will be addressed by the system.

- ⇒ Procedures should detail how things are actually done. Procedures give plans their teeth and operating reality, but are not included as part of the plan (only referenced).
- ⇒ The system's rulebook, bulletins, notices, or special orders should consistently address the activity required in the SEPP plan.
- ⇒ In the event that few procedures are documented for the program, some employees may resist an effort to create them. But, what happens when they are not there? How will an off-peak emergency be managed if no one has contact names and phone numbers, or knows how to reach a specific agency (the coroner's office, for example) or a specialized vendor to make an immediate repair on a vital piece of security equipment?

3.12 Growth of the Plan

Management needs to examine the plan to make sure it can grow with the program. SEPP plans should remain open to change based on new risks and vulnerability, especially following an incident. Management of training exercises and actual incidents provides some of the greatest opportunities to improve processes, policies, and procedures. This offers a small window of opportunity to make changes while organizational inertia is temporarily suspended. Management should ensure that the plan takes advantage of these special conditions and circumstances.

3.13 Integrating the SEPP into Local Planning

Effective response does not happen by accident. It is the result of planning, training, exercising, and intra/interagency cooperation, coordination, and communication. Integration into the local community's emergency planning process is central to the success of the SEPP and to the preparedness of the system.

In the SEPP, the transportation system will have defined its internal processes for identifying security events, mitigating their consequences, and managing effective response. For some systems, the process of preparing the SEPP and documenting preparedness for security and other events may be sufficient planning. For other systems, the SEPP is but one in a series of plans that document the system's emergency response capabilities and performance requirements. Whatever the system's position and resources regarding the appropriate documentation of its emergency program, coordination with the local community is essential to successfully fulfill all SEPP functions. These include proactive planning, exercising and training, threat mitigation, consequence management planning and implementation, and an after action report.

Local, state, and federal emergency managers use an all-hazards approach in developing comprehensive preparedness, mitigation, response, and recovery plans for man-made and natural disasters. Planners set up basic disaster functions (i.e., rescue, sheltering, and medical care) and assign agencies and volunteer groups at the local, state, and federal levels to carry them out. Responders have the responsibility to implement these plans and to work within their legal authorities and capabilities to resolve critical incidents. The transportation system should be included in this process and reflect its activities as appropriate. For review and consideration, sample transportation emergency plans are included on the Guide CD-ROM.

The agencies in Figure 10 are considered key players in planning for and responding to WMD terrorism and other major emergencies.

3.13.1 Local Government

Local governments have primary responsibility in planning for and managing the consequences of a terrorist incident using available resources in the critical hours before state and federal assistance can

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arrive. Public transportation systems coordinate their emergency response functions through integration into this local planning effort.

Though local planning guidelines will direct initial response to acts of terrorism and other major events, these guidelines reflect requirements specified by state and federal agencies for incorporating additional resources to manage major events.

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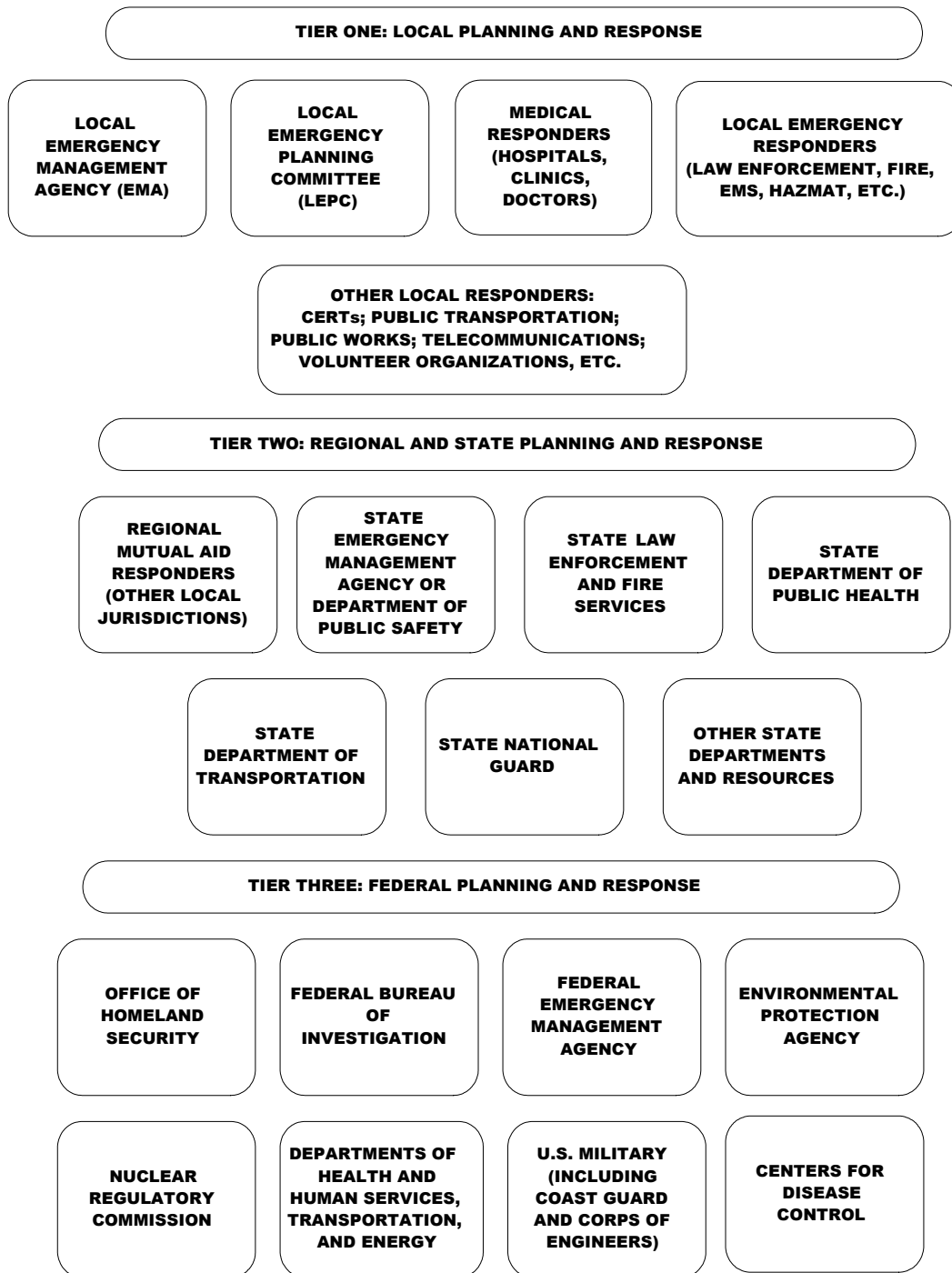


Figure 10: Agencies Involved in Planning

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Federal departments and agencies have developed plans and capabilities for an integrated federal response to terrorist incidents and other major emergencies. This response network is detailed in the Federal Response Plan (FRP), including its Terrorism Incident Annex. The FRP is managed by the Federal Emergency Management Agency (FEMA), and addresses the following federal regulations:

- ⇒ US Public Law 920, as amended (US Civil Defense Act);
- ⇒ US Public Law 93-288, as amended (Robert T. Stafford Act);
- ⇒ US Public Law 99-499, as amended (Superfund Amendment and Reauthorization Act [SARA] of 1986);
- ⇒ Federal regulations 10 CFR 70, 10 CFR 71, 10 CFR 73, 44 CFR 350, 49 CFR 171, 49 CFR 172, 49 CFR 173, 49 CFR 177;
- ⇒ NUREG-0654/FEMA REP-1, Revision 1 and related Guidance Memoranda;
- ⇒ FEMA REP-5: Guidance for Developing State, Tribal, and Local Radiological Emergency Response Planning and Preparedness for Transportation Accidents;
- ⇒ Federal Response Plan (for Public Law 93-288, as amended);
- ⇒ Federal Radiological Emergency Response Plan (FRERP), as amended; and
- ⇒ National Guard Regulation (AR) 500-1/National Guard Regulation (AF) 55-5.

Through these requirements, federal agencies have identified specific responsibilities to be carried out or required by state departments and government. This combined system has generated three primary sets of guidelines for local governments, promulgated by state governments in response to federal requirements. Public transportation systems, in their programs for local emergency response planning, must work within this established framework.

3.13.2 State Government Emergency Planning Program

State government programs typically require county-level emergency management, administered by county emergency management agencies (EMAs) or equivalent organizations, and may require or recommend municipal programs for urbanized areas meeting specific requirements. These state regulations also typically specify conditions to be met for receipt of state funds and resources in the event of an incident that overwhelms local resources. State requirements are usually coordinated with US Public Law 93-288 (Robert T. Stafford Act) and overseen by FEMA as requisites for the receipt for funding in the event of presidential declarations of disaster.

State requirements for emergency planning are typically detailed in the state emergency operations plan (EOP) that addresses state-wide activities to be performed in the event of occurrences that exceed the capabilities of local and regional resources. For planning purposes, these

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events typically include natural disasters, technological hazards, civil emergencies, and national security events.

Public transportation roles and responsibilities, typically identified in state EOPs and organized according to the ESF structure, appear in Figure 11.



TRANSPORTATION SERVICE	FRP ESFs	AGENCY
		
Community Evacuation & Shelter; Transport of Responders & Equipment	ESF #1 Transportation	Department of Transportation
Transport of Communications Equipment, Infrastructure, & Dispatchers	ESF #2 Communications	National Communication System
Damage Assessment, Emergency Repair, & Traffic Control	ESF #3 Public Works/ Engineering	Corps of Engineers
Transport of Equipment, Meals and the Provision of Shelter to Responders	ESF #4 Firefighting	Department of Agriculture/ Forest Service
Rosters of Mobility-impaired & Transit- dependent Residents, Public Information	ESF #5 Information/Planning	Federal Emergency Management Agency (FEMA)
First Aid Training, Vehicles to Support Victim Transport & Supplies, Managing School Children & Mobility-Impaired	ESF #6 Mass Care	American Red Cross
Vehicles; Towing Equipment; Generators and Other Essential Items	ESF #7 Resource Support	General Services Administration
N/A	ESF #8 Health/Medical Services	Health & Human Services and other Public Health Services
Metal Workers & Other Skilled or Specialized Labor or Equipment	ESF #9 Urban Search & Rescue	Federal Emergency Management Agency (FEMA)
Contractors for clean-up, Traffic Control	ESF #10 Hazardous Materials	Environmental Protection Agency
Vehicles for Transportation of Goods & Supplies	ESF #11 Food	Department of Agriculture
Fuel & Electricity	ESF #12 Energy	Department of Energy

Figure 11: Possible Transportation Responsibilities

Typical objectives for state EOPs include:

- ⇒ maximizing the protection of lives and property;
- ⇒ ensuring state and local capabilities are in place for emergencies;
- ⇒ ensuring that the government is able to survive and continue to provide essential services under adverse conditions;
- ⇒ supporting local units of government, as necessary;
- ⇒ describing standards regarding training and exercising activities, plan maintenance, and other preparedness activities; and
- ⇒ ensuring that all current state and federal government planning requirements are met, maintaining eligibility for receipt of federal funds and support.

Most state EOPs are divided into a basic plan and annexes. The basic plan focuses first and foremost on the assignment of emergency responsibilities and general operations policies. The annexes elaborate on the emergency responsibility assignments made in the basic plan and are of principal value to those within an agency or department who are responsible for carrying out such assignments. Annexes often mirror emergency support functions (ESFs) specified in the federal response plan.

3.13.3 Nuclear Regulatory Commission (NRC) Requirements

NRC requirements mandate a comprehensive emergency response and exercising program to protect public health and safety in communities that support nuclear reactors and commercial nuclear power plants. This program must address:

- ⇒ on-site emergency response and evacuation at the nuclear power plant; and
- ⇒ off-site response and evacuation for the community surrounding the nuclear power plant, including a plume emergency planning zone with a radius of 10 miles from the plant and an ingestion planning zone within a radius of 50 miles from the plant.

The Nuclear Regulatory Commission (NRC) approves on-site plans. Approval of off-site plans is coordinated between the NRC and FEMA. Both onsite and offsite plans must be approved for every nuclear plant to obtain and retain an operating license.

3.13.4 Emergency Planning and Community Right-to-Know Act (EPCRA)

The EPCRA is also known as Title III of the superfund amendments and reauthorization act (SARA) regulations that specify requirements for businesses and for federal, state, and local governments regarding emergency planning and community right-to-know (CRTK) reporting for hazardous chemicals. The CRTK provision in the EPCRA helped to increase awareness of chemicals in local communities and the releases of these toxins into the environment. Most State legislatures have also

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enacted CRTK laws that are consistent with federal law. As a result, states and communities, working with the industry, are better able to protect public health and the environment. Congress enacted the EPCRA regulations to benefit communities. The main goals of the law are:

- ⇒ to provide a basis for each community to develop and tailor a chemical emergency planning and response program to suit the community's needs and
- ⇒ to provide the public with a right-to-know attitude to identify, quantify, locate, and determine the physical and chemical properties of hazardous substances in the community.

Under the federal EPCRA law, local emergency planning committees (LEPCs) must be established for each community. The LEPC must develop an emergency response plan and review it at least annually thereafter. Section 321 of EPCRA states that nothing in EPCRA will preempt any state or local law. Thus, existing state law governs local emergency management planning as long as it meets the requirements of EPCRA. Most states have determined that planning by local emergency management jurisdictions will meet the requirements of EPCRA, if it integrates EPCRA requirements into the existing multi-hazard functional plan. A basic emergency management plan that addresses the following functions normally will fulfill the requirement for local emergency planning under Section 303 of EPCRA:

- ⇒ warning;
- ⇒ shelter and mass care;
- ⇒ evacuation;
- ⇒ emergency public information;
- ⇒ resource management; and
- ⇒ hazardous materials response.

In most situations, the LEPC does not develop a separate plan, but assists local governments in carrying out emergency planning related to hazardous materials. In this capacity, the LEPC provides an important resource useful to all local responders, ensuring that each local emergency response plan:

- ⇒ identifies facilities and transportation routes of extremely hazardous substances;
- ⇒ describes emergency response procedures, (onsite and offsite) for facilities and operations that manage hazardous materials;
- ⇒ designates a community emergency coordinator and facility coordinator(s) to implement the plan;
- ⇒ describes methods for determining the occurrence of a release, the probable affected area, and population; and performing release notification
- ⇒ describes community and industry emergency equipment, facilities, and the identity of persons responsible for them; and

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- ⇒ outlines evacuation plans;
- ⇒ describes a training program for emergency response personnel (including schedules); and
- ⇒ presents methods and schedules for exercising emergency response plans to emergency medical personnel, fire service, and law enforcement agencies.

3.13.5 Inter-organizational Emergency Memoranda of Understanding

Inter-organizational Memoranda of Understanding (MOUs) or Memoranda of Agreement (MOA) can serve as the basis of mutual acknowledgement of the local, state, region, and Federal resources that each organization may provide during emergency response and recovery efforts. MOUs can take many different forms including formal or written as well as oral agreements⁶. Public transportation systems developing or entering inter-organizational MOUs may choose to include the following elements:

- ⇒ A list of participating emergency response organizations, including contact information of approving officials
- ⇒ Definition of jurisdictional boundaries for primary responding organizations
- ⇒ Detailed definition of the chain of command and control, communication, and evacuation procedures and responsibilities to followed at the scene of the incident
- ⇒ A statement to address potential changes in protocols
- ⇒ Identification and description of equipment resources to be made available for incident response
- ⇒ Description of public transportation system personnel and their duties
- ⇒ Training and exercising responsibilities
- ⇒ Provisions for revision(s) to the MOU
- ⇒ Provision for the identification and documentation of costs to be tracked for potential reimbursement

⁶ Appendix F provides a sample Memorandum of Understanding between a public transportation agency and a local public safety agency.

4 Capabilities Assessment

There is growing recognition that, in order to be truly effective in the new threat environment, transportation systems should commit to the first directive of system security, which is to prevent first, then be prepared to respond.

Capabilities assessment provides an opportunity for the transportation system to take a step back from day-to-day operations, and to identify its security and emergency preparedness activities as part of a comprehensive program. In this assessment, the transportation system evaluates its existing capability to:

- ⇒ reduce the threat of crime and other intentional acts;
- ⇒ recognize, mitigate, and resolve incidents that occur in service and on system property;
- ⇒ protect passengers, employees, emergency responders, and the environment during emergency operations; and
- ⇒ support community response to a major event.

This activity also contributes three key elements the SEPP program:

- ⇒ an inventory of resources available to support response to an emergency event (either on the transportation system or in the surrounding community);
- ⇒ a list of roles and responsibilities for the transportation system in managing incidents on its own property and in supporting community response; and
- ⇒ notebooks for all major facilities containing critical information for on-scene responders.

The results are documented in a checklist or report delivered to top management, and used to guide both the threat and vulnerability assessment (discussed in Section 5 of this Guide) and the preparation of recommendations for activities to be performed in the SEPP plan. Table 6, at the end of this section, contains a summary findings checklist, followed by a detailed worksheet that can be used to guide the capabilities assessment.

4.1 Establish the Team

The system's security manager, supported by system security and/or preparedness committees, a consultant, or an ad hoc planning team, initiates the assessment by assembling a multidisciplinary team with sufficient expertise in transportation operations, security, and emergency response to yield a comprehensive approach without draining scarce resources of the system.

To solicit support from local response and planning agencies, the security manager should also consider inviting participation from local public safety agencies. In addition, team members may use existing relationships to seek public safety personnel review of relevant planning areas, such as security procedures for managing bomb threats, unusual events reports, and abandoned items or suspicious substances. The security manager may also consider giving a presentation regarding the team's activities to local law enforcement, fire and medical services, and the local EMA or LEPC.

Capabilities assessments can demonstrate to the local community that transportation management is genuinely concerned about security, emergency preparedness, accountability, and has the best interests of the community in mind when managing facilities and continuing service.

4.2 Program Review

Depending on the system's current level of security and emergency preparedness, the team may conduct its initial activities by reviewing existing plans and procedures or by documenting existing practices that may not be formally committed to writing. Whatever the system's status, the team should consider emphasizing the areas illustrated in Figure 12.

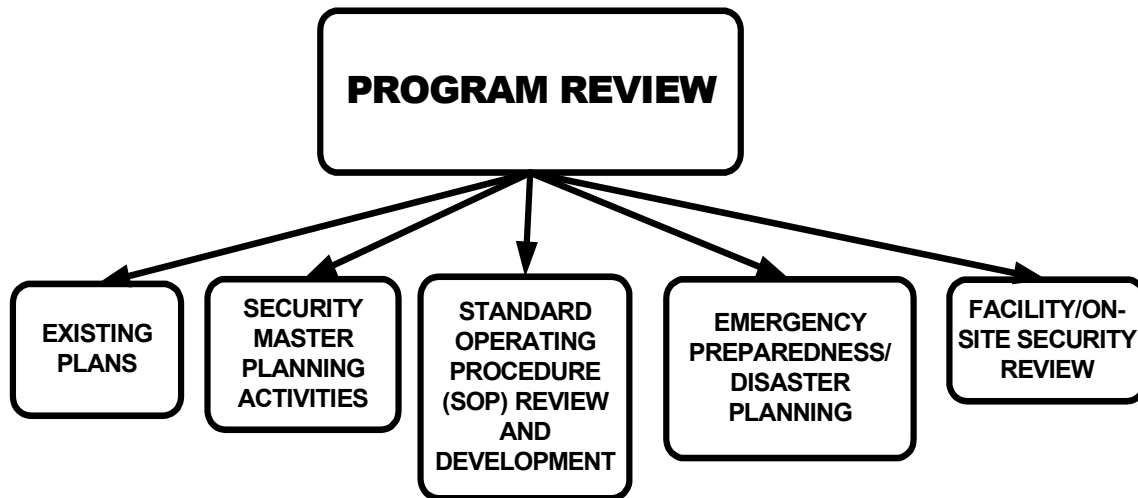


Figure 12: Capabilities Assessment Program Review

Once the team has been established, the real work of the assessment begins. This activity requires the team to:

- ⇒ identify all activities currently performed by the system to address security and emergency response issues and
- ⇒ display the system's physical security, management, training, and emergency response capabilities.

4.2.1 Existing Plans

The capabilities assessment typically begins by reviewing the system's existing plans for safety, security, and emergency response, if they are developed or available. These include:

- ⇒ System Safety Program Plan;
- ⇒ System Security Program Plan;
- ⇒ Safety and Security Certification Program Plan;
- ⇒ Emergency Operations Plan; and
- ⇒ Terrorism or Homeland Security Plan.

These plans should be reviewed for content addressing security and emergency preparedness activities. When conducting this assessment, the system may be in the process of developing its SEPP plan, so this activity provides an additional opportunity to review practices under consideration for the SEPP plan.

At the conclusion of this component of the assessment, the team should indicate in the assessment checklist the progress of the system's planning process, document the types of activities are documented in these plans, and clearly identify the system's planning assumptions regarding response to a major terrorist event on its property.

4.2.2 Security Master Planning

The program review generally considers the short and long term security design requirements currently in place, as they relate to facility infrastructure, policies and procedures, security operations, and existing security systems. These master planning elements typically include the following:

- ⇒ the system's physical security measures to delay and deter the potential offender and to ensure heightened awareness regarding potential threats and vulnerabilities;
- ⇒ the system's equipment and procedures in place to detect and assess unauthorized and/or unusual or unattended activities, packages, and substances;
- ⇒ the system's technology used for security systems management, operations, and response; and
- ⇒ the system's procedures essential for effective security system operation.

At the conclusion of this component of the assessment, the team should indicate in the assessment checklist what security equipment and procedures are currently in place at the system and general assessments regarding the level of procedural integration of this equipment into transportation operations.

4.2.3 Standard Operating Procedure (SOP) Review and Development

The program review also addresses the system's current process to ensure SOP development and documentation, including:

- ⇒ the system's policy regarding employee responsibilities for the identification and reporting of unusual conditions;
- ⇒ the provision of appropriate personnel and resources to ensure effective notification and management of these conditions, coordinating with local emergency responders as appropriate; and
- ⇒ the system's training, exercising, and assessment to initiate and maintain response capabilities and coordinate with local responders.

It is axiomatic in security that employees and contractors can serve as the eyes and ears of a system-wide security effort. Employees and contractors see much that occurs in and around the transportation operation and are in a good position to notice when something or someone seems out-of-place. Training and awareness measures can transform employees and contractors into a natural surveillance system.

Security managers may reinforce personnel training in security practices through bulletins, e-mailed security reminders, security tips posted on the system's intranet, advice and contact numbers in internal publications, and the distribution of security-related videos, pamphlets, wallet-cards, and posters. This activity should also be identified in the assessment.

Most transportation systems typically investigate unusual occurrences, reported incidents, and security breaches. Where appropriate, transportation management may refer such incidents to legal counsel for review. Any suspected illegal activity should be reported for referral to law enforcement. Criteria for these investigations should be identified in the assessment, and typically include:

- ⇒ doors not secured, holes in fence lines, indication of illegal entry;
- ⇒ unauthorized egress by personnel in restricted areas of the facility;
- ⇒ signs of vehicles in restricted areas along pipelines, fence lines, electrical substations, or remote plant security gates;
- ⇒ individual asking for technical information about the facility that could be used by an adversary to cause harm;
- ⇒ unexplained disruptions in service;
- ⇒ unexplained loss of parts and equipment;
- ⇒ unexplained illness of many transportation employees ; and
- ⇒ major cyber attack against internal process control systems.

At the conclusion of this component of the assessment, the team should indicate in the checklist whether policies and procedures have been developed to address particular security and preparedness topics and whether employees have received training on new procedures.

4.2.4 Emergency Preparedness and Disaster Planning

The program review also assesses system activity to review or develop response contingencies for security events that impact facility operations and personnel, resulting in emergencies. This activity also may address the review or development of procedures to protect life and assets, and to maintain continuity of business systems and operations in response to acts of terrorism and extreme violence. Efforts assessed might include developing contingency plans and procedures, creating comprehensive emergency plans, and providing training sessions to staff.

Emergency response and crisis management are natural functions that responsible security managers may perform for their systems. Proper crisis management may prevent an intrusion or attack from becoming a

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major incident. In the transportation industry, emergency response and crisis management functions are especially complicated and may require specialized knowledge on the part of responders. A few measures that managers may currently perform include activities to:

- ⇒ implement an emergency response plan that fits system needs and resources;
- ⇒ Provide employees with information regarding the well-being of family members;
- ⇒ account for employees and visitors during emergencies;
- ⇒ attempt to preserve evidence for later investigations; and
- ⇒ manage a crisis communication system for key personnel and security staff so that they can:
 - signal for help surreptitiously (with duress alarms, for example);
 - keep a small incident from escalating into a large one; and
 - easily contact other key staff members during a crisis (by any means, including intercoms, mobile and land-line telephones, e-mail, and two-way radios).

At the conclusion of this component of the assessment, the team should indicate emergency response and planning activities performed and identify, based on this activity, the likely roles and responsibilities assumed by the transportation system in supporting emergencies on its property and within the community.

A sample listing of activities that could be performed during emergencies includes:

- ⇒ emergency evacuation of citizens from affected area(s), coordinated with local law enforcement, the local Emergency Operations Center (EOC), the state Department of Transportation, and local highway, bridge and tunnel authorities;
- ⇒ identification and transportation of citizens with disabilities and those citizens dependent on public transportation who may be unable to reach an evacuation staging area;
- ⇒ evacuation of schools and day-care centers, and support for managing the reuniting of parents and children in the immediate aftermath of a major event;
- ⇒ temporary or in-place sheltering of evacuated citizens in air-conditioned or heated vehicles and stations;
- ⇒ transportation, in-facility transfer, or evacuation of hospitals, nursing homes, hospices, and other community and private facilities;
- ⇒ transportation of emergency workers and volunteers to and from an emergency staging site;
- ⇒ transportation of meals, goods, and supplies to an affected area for victims, emergency responders, or to support recovery operations;
- ⇒ provision of respite facilities and vehicles for emergency workers;

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- ⇒ communications support for emergency responders (using hand-held and on-board vehicle radios, alpha-numeric pagers and Palm Pilots, cell phones, transportation dispatch facilities, and transportation communications infrastructure);
- ⇒ identification of routes and schedules to support the safe transportation of emergency responders, public utilities, support personnel, and other essential responders to an incident site or staging area;
- ⇒ provision of vehicles and equipment to support emergency operations and incident stabilization;
- ⇒ provision of estimates and information regarding the application of available resources to the movement of people or supplies;
- ⇒ provision of skilled craftsmen and heavy equipment to support initial debris removal during search and rescue operations;
- ⇒ provision of fuel, parts, supplies, and mechanics to support the maintenance of emergency vehicles;
- ⇒ provision of damage assessments and emergency repairs; and
- ⇒ provision of public information on agency websites and using public relations facilities and capabilities.

Untested response capabilities for weapons of mass destruction, explored by several communities over the last five years as part of the Nunn-Lugar-Domenici Domestic Preparedness Program, include the following:

- ⇒ use of transportation sprinkler systems and water supplies to support mass decontamination;
- ⇒ use of vehicle wash and maintenance facilities to decontaminate emergency vehicles and equipment;
- ⇒ provision of vehicle support for warm zone operations with trained bus operators using personal protective equipment (PPE);
- ⇒ use of vehicles or facilities as temporary morgues;
- ⇒ use of on-scene vehicles to provide barriers, shields, and shelter for contaminated, or potentially contaminated, victims who must disrobe;
- ⇒ use of in-place, transportation system contracts with hazardous waste management companies to support site clean-up and decontamination;
- ⇒ use of transportation personnel with basic first-aid training to support emergency or secondary triage and tagging of victims;
- ⇒ use of transportation vehicles for mobile command posts and secondary backup communications centers; and
- ⇒ integration of automated station and vehicle announcements and passenger information displays with local and regional ITS technology to support centralized management of passenger, pedestrian, and vehicle management from the community's emergency operations center (EOC).

At the conclusion of this component of the assessment, the transportation system should also complete the worksheet displayed in Figure 13

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designed to communicate its response capabilities and resources to the local emergency planning community.

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<p>Facilities Provided by Transit System -- Please Check If Available:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Communications center <input type="checkbox"/> Evacuation shelter for _____ persons <input type="checkbox"/> Evacuation shelter for _____ persons <input type="checkbox"/> Evacuation shelter for _____ persons <input type="checkbox"/> Evacuation shelter for _____ persons <input type="checkbox"/> First aid and care center <input type="checkbox"/> Goods and supplies storage center <input type="checkbox"/> Other: _____ <p>Services Provided by Transit System -- Please Check If Available:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Surplus transportation for emergency response personnel <input type="checkbox"/> Shelter or respite facilities for emergency response personnel <input type="checkbox"/> Transport of emergency equipment and supplies <input type="checkbox"/> Evacuation assistance <input type="checkbox"/> Public information <input type="checkbox"/> Transportation of "medically fragile" populations <input type="checkbox"/> Communications support <input type="checkbox"/> Traffic control/roadblocks/barriers <input type="checkbox"/> Damage assessments and emergency repairs <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____ 	<p>Vehicles Provided by Transit System -- Please Complete Information on Available Vehicles:</p> <table border="1" style="width:100%; border-collapse: collapse; text-align: center;"> <thead> <tr> <th style="text-align: left;"><i>Vehicle Type</i></th> <th style="text-align: left;"><i>Number</i></th> <th style="text-align: left;"><i>Size/Capacity</i></th> <th style="text-align: left;"><i>Lift-Equipped</i></th> <th style="text-align: left;"><i>Heating/Air Conditioned</i></th> </tr> </thead> <tbody> <tr> <td style="text-align: left;"><u>Buses</u></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: left;"><u>Rail Cars</u></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: left;"><u>Other Passenger</u></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="text-align: left;"><u>Support Vehicles</u></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Equipment Provided by Transit System -- Please Check If Available:</p> <p><u>Communications:</u></p> <table style="width:100%;"> <tr> <td>____ 2-way radios</td> <td>____ Cellular Phones</td> </tr> <tr> <td>____ Hand-held radios</td> <td>____ Palm pilots</td> </tr> <tr> <td>____ Radio trunking capabilities</td> <td>____ Internet-based</td> </tr> <tr> <td>____ Automated dispatch</td> <td>____ Mobile data terminals</td> </tr> <tr> <td>____ Alpha-numeric pagers</td> <td>____ Other</td> </tr> </table> <p><u>Other:</u></p> <table style="width:100%;"> <tr> <td>____ Generators</td> <td>____ Towing Equipment</td> </tr> <tr> <td>____ Metal working</td> <td>____ Vehicle cleaning</td> </tr> <tr> <td>____ Fueling/maintenance facilities</td> <td>____ Other</td> </tr> </table>	<i>Vehicle Type</i>	<i>Number</i>	<i>Size/Capacity</i>	<i>Lift-Equipped</i>	<i>Heating/Air Conditioned</i>	<u>Buses</u>					<u>Rail Cars</u>					<u>Other Passenger</u>					<u>Support Vehicles</u>					____ 2-way radios	____ Cellular Phones	____ Hand-held radios	____ Palm pilots	____ Radio trunking capabilities	____ Internet-based	____ Automated dispatch	____ Mobile data terminals	____ Alpha-numeric pagers	____ Other	____ Generators	____ Towing Equipment	____ Metal working	____ Vehicle cleaning	____ Fueling/maintenance facilities	____ Other	<p>Personnel Provided by Transit System -- Please Check If Available:</p> <p><u>General</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Vehicle Operators <input type="checkbox"/> System Police <input type="checkbox"/> Non-sworn Security <input type="checkbox"/> Dispatch <input type="checkbox"/> Mechanics <input type="checkbox"/> Administrative <input type="checkbox"/> Other: _____ <p><u>Specialized</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> EMT or First Aid Trained <input type="checkbox"/> Management of Medically Vulnerable Populations <input type="checkbox"/> Damage assessment <input type="checkbox"/> Construction management or engineering <input type="checkbox"/> Other: _____ <p>Information Provided by System -- Please Check If Available:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Names and addresses of residents dependent upon public transportation services <input type="checkbox"/> Names and addresses of residents with mobility impairments <input type="checkbox"/> Names and addresses of school children routinely transported <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____
<i>Vehicle Type</i>	<i>Number</i>	<i>Size/Capacity</i>	<i>Lift-Equipped</i>	<i>Heating/Air Conditioned</i>																																							
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____ Fueling/maintenance facilities	____ Other																																										

Figure 13: Transportation System Resources

4.2.5 Facility or On-Site Security Review

The program review concludes with an assessment of ongoing activity to review the system's physical and procedural security systems and exposures. Findings from past and current threat and vulnerability assessment and design reviews may be of particular significance.

The conditions surrounding a security effort change constantly. Employees come and go, a facility's contents and layout may change, various threats wax and wane, and operations may vary. Even such mundane changes as significant growth of bushes or trees around a facility's exterior may affect the security plan (by shielding the view of any intruders). The assessment should document activities performed by managers to review their security measures periodically, as well as whenever facilities or other conditions change significantly. It may also be useful to system activity for the following:

- ⇒ update risk assessments and site surveys;
- ⇒ review the level of employee and contractor compliance with security procedures;
- ⇒ consider whether those procedures need modification; and
- ⇒ establish ongoing testing and maintenance of security systems (such as access control, intrusion detection, and video surveillance).

Figure 14 provides an example of the types of information typically collected during this phase of the assessment. This information can also support preparation of information folders or notebooks for each major facility. These materials can support emergency responders who may not be familiar with the site, and also enhance the system's capabilities to identify resources.

- ⇒ Location or address and nearby businesses and resources
- ⇒ Type of facility and typical uses by employees and passengers
- ⇒ Daytime or nighttime population
- ⇒ 24-hour points of contact
- ⇒ Voice, pager, beeper, and email information for facility
- ⇒ Unique hazards in facility (traction power, hazardous material storage, etc.)
- ⇒ Past threat history
- ⇒ Key dates for community
- ⇒ Floor plans and blue prints
- ⇒ Photos (ground level, aerial, key exits and entrances, proposed staging areas)
- ⇒ Heating, ventilation, air conditioning (HVAC) system characteristics
- ⇒ Blast analyses (if performed)
- ⇒ Procedures for controlling ventilation in response to toxic material release
- ⇒ Location of vents to street level and air out-take locations
- ⇒ Communications capabilities, accounting for radio dead spots and emergency phones
- ⇒ Location of equipment rooms and available power, water, and lighting (primary and backup)
- ⇒ Pre-designated emergency response support locations, including predetermined evacuation sites, command posts, and decontamination facilities
- ⇒ Evacuation plans

Figure 14: Characteristics of Transportation Sites

4.3 Documenting Results

At the completion of this assessment, the team should have an understanding of where the system is in terms of its current program. This understanding of the system's security and emergency preparedness capability can be documented in a memorandum, minutes from team meetings, or in a checklist, like the one provided in Table 6.

4.3.1 Note on Use

The checklist has been prepared to summarize issues for consideration by transportation personnel in reviewing the security and emergency preparedness of their current operations. Its objective is to help each system identify its current baseline regarding security and emergency preparedness activities. This checklist is generic and must be tailored by the system to its particular operation, facilities, personnel, and assessment of need. To support tailoring, this checklist provides four check boxes for responding to questions.

- ⇒ YES indicates the system performs the activity.

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- ⇒ NO indicates the system does not perform the activity, but perhaps should consider it.
- ⇒ N/A indicates the activity is not applicable to the operation, size, mode of service, or management of the system.
- ⇒ COMMENT indicates that the transportation system has made an observation or finding regarding that specific activity. Comments should be attached to the checklist using additional sheets of paper.

A detailed worksheet is located in Appendix D that provides additional information to determine the applicability of a particular checklist item to a system’s operation.

Table 6: Summary Findings – Capabilities Assessment

Section 1: Security Awareness & Threat Management			
1. Does your system check the Homeland Security Advisory Threat Condition (http://www.whitehouse.gov/homeland/)?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
2. Has your system performed a Terrorism Vulnerability Self-Assessment, as recommended by the Federal Bureau of Investigation (FBI), in cooperation with local law enforcement (see Appendix B)?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
3. Does your system receive threat information and warnings from local law enforcement, state agencies, or other systems regarding local threat levels?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
4. Do personnel at your system keep informed of major community activities and events?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Are personnel at your system aware of ongoing law enforcement concerns regarding specific communities or events that may be targeted for terrorist activity?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
6. Have system personnel been trained to challenge people who do not appear to belong in restricted areas or who do not have the appropriate identification displayed?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
7. Does the system have procedures in place for reporting these occurrences in a manner that supports appropriate evaluation and decision-making by supervisors and management?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
8. Does the system have procedures in place for reporting these occurrences in a manner that supports appropriate evaluation and decision-making by supervisors and management?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
9. Does your system have policies in place to ensure that security, operations or maintenance personnel routinely check unattended public or open areas, such as rest rooms, stairways, parking garages, and elevators for unusual, out-of-place, or abandoned items?			
<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

10. Has the system trained personnel on recognizing and reporting unusual, out-of-place, or unattended objects?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
11. Has your system reviewed its policies for managing these objects (i.e., identifying lost-and-found items and reporting suspicious objects to management for further review)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
12. Has your system incorporated security checks into policies for pre-trip inspections, vehicle cleaning, and vehicle fueling?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
13. Have appropriate personnel at your system received and reviewed security and emergency management materials from the FTA?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
14. Have appropriate personnel at your system received security or emergency management training from the FTA or another source?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Section 2: Security & Preparedness Planning

1. Has management accepted responsibility for security vulnerabilities during the design, engineering, construction, testing, start-up, and operation of the transportation system related to rehabilitations, extensions, and modifications?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
2. Has Executive Management endorsed a policy to ensure that security vulnerabilities are identified, communicated, and resolved through a process promoting accountability for decisions made?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
3. Does your system have clear and unambiguous lines of authority and responsibility for ensuring that security is addressed at all organizational levels within the operation (including contractors)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
4. Does your system have access to personnel with security management experience, knowledge, skills, and abilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Does your system ensure that resources are effectively allocated to address security considerations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
6. Is the protection of passengers, employees, contractors, emergency responders, and the general public a priority whenever activities are planned and performed at the system?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
7. Wherever possible, does your system guide design, engineering, and procurement activity with an agreed-upon set of security standards and requirements (including design criteria manuals, vehicle specifications, and contracting guidelines)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
8. Does your system routinely evaluate its capabilities to provide adequate assurance that the public and employees are protected from adverse consequences?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

9. Has your system committed to developing security mitigation measures to prevent and manage security vulnerabilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
10. Has your system appropriately documented its security measures in plans, procedures, training, and in project requirements, specifications, and contracts?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
11. Does your system have a formal system security program documented in a system security program plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
12. If yes, is the security plan current, reflecting current security operations and system configuration?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
13. If no, does your system have plans in place to develop a security plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
14. If no, prepare a brief list of all activities performed at your system that address security and preparedness concerns. (Include procedures for handling difficult people, workplace violence program, bomb threat management plan, procedures for identifying and reporting unusual occurrences, facility and vehicle evacuation and search procedures, coordination with local law enforcement, etc.)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Section 3: Security & Preparedness Management

1. Does your system have a police or security department to implement the security program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
If yes, please describe organization and existing capabilities of this department?				
Attach description.				
2. If no, does your system use adjunct security personnel to support security for administrative and non-revenue facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
1. If no, describe the activities performed by your system to coordinate security response with local law enforcement? Include MOUs and any reports that may be received regarding the occurrence of crime at the transportation system.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
Attach description.				
4. Does your system have specific plans for managing bomb threats, threats regarding the release chemical, biological or radioactive materials, and/or threats against specific individuals?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Does your system have specific plans to guide facility and vehicle evacuations and searches for unusual, out-of-place, or unattended packages?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
6. Does your system coordinate with local law enforcement to ensure timely and effective response to identify a potential explosive device or other hazardous material?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

7. Does your system coordinate its security activities with neighborhood watch programs, other community and business security programs, and school safety programs to support integrated and coordinated approaches to shared problems?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
8. Has your system reviewed its procedures for managing mail and deliveries to assess security considerations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
9. Are your employees trained to recognize and report threatening behavior and those activities that could be associated with the placement of an explosive device or the potential release of a hostile agent into the transportation environment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
10. Do your employees understand their roles and responsibilities for protecting passengers, other employees, and the general public from security threats?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
11. Have your employees received security-related training for dispute resolution and conflict management?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
12. Has your system developed a program to address workplace violence?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
13. Has your system provided local law enforcement and public safety organizations with transportation awareness training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Section 4: Threat & Vulnerability Assessment

1. Has your system ever conducted a formal threat and vulnerability assessment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
2. Does your system have a current listing of its critical assets?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
3. Does your system have a current description of physical and procedural security measures in place to protect these assets?				
4. Does your system have a current assessment of specific threats to its operation?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Has your system identified worst-case scenarios regarding security vulnerabilities to acts of terrorism and extreme violence?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
6. Has your system ever assessed its capabilities to identify and manage those activities that may indicate the release of a hostile agent in the transportation environment or placement of an explosive device?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
7. Does your system have a prioritized listing of current security vulnerabilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
8. Does your system have a current program in place to implement security measures that address these vulnerabilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

Section 5: Physical Security			
1. Does your system provide access control systems to protect administrative and non-revenue facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
2. Does your system require that employees wear badges or other forms of identification?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
3. Does your system have procedures in place to verify access authorization for visitors, contractors, and delivery personnel?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
4. Does your system have procedures to log non-routine entries (e.g., visitors, personnel during off-shift, and personnel not normally assigned) to administrative and non-revenue facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
5. Does your system have procedures to verify the identity of a visitor before issuing a badge, pass, or credential?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
6. Does your system have procedures to verify the access authorization of vehicles before they can be parked within 50 feet of administrative and non-revenue facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
7. Does your system have inventory control procedures for access badges, uniforms, and equipment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
8. Does your system have procedures for reporting stolen badges, uniforms, or equipment?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
9. Does your system issue advisories or bulletins regarding potential security threats?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
10. Does your system screen personnel and packages before providing access to secure facilities (control center, revenue collection facilities, etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
11. Does your system authorize the search of hand-carried items or packages entering or leaving a security area?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
12. Does your system provide perimeter controls for administrative and non-revenue facilities, including fencing, gates, motion-detected lighting systems, etc.?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
13. Does your system routinely patrol and/or inspect exterior security area perimeter barriers to verify integrity and detect unauthorized objects or conditions (e.g., excessive soil erosion under fence)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
14. Does your system follow pre-determined procedures to lock down and open administrative, non-revenue and passenger facilities each day?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment
15. Does your system have procedures to control the issuance of keys and combinations to locks and control panels?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

16. Are your administrative and non-revenue facilities protected with intrusion detection alarm systems?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
17. Are your administrative and non-revenue facilities covered by CCTV?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
18. Identify other security systems in place to protect your system’s administrative and non-revenue facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
19. Does your system use security technology to support monitoring and management of passengers in stations, terminals, and on vehicles (examples include CCTV, emergency telephones, designated passenger waiting areas; emergency alarms on buses, alarms and intercoms on trains, and public address systems in stations)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
20. If yes, please describe this technology.	Attach description.			
21. Has your system conducted blast hardening or mitigation as part of the station and administrative facility design or renovation process?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
22. Do vehicle barriers, blast barriers, or other perimeter controls that limit or deny direct vehicle access to critical assets protect your facilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
23. Please describe the security technology used by your police or security department (if applicable).	Attach description.			
Section 6: Emergency Response Capabilities				
1. Does your system have an emergency plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
2. Does your system have emergency operating procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
3. Does your system have an incident response plan for terrorism, as an appendix to the emergency plan or as a separate plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
4. Does your system coordinate with local public safety organizations on the development, implementation, and review of the emergency plan and procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Does your emergency plan specify use of the incident command system?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
6. Have your employees been trained in the emergency plan and procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
7. Does your system conduct routine simulation drills, tabletop exercises, and refresher training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
8. Does your system coordinate its drilling and training for emergency response with local public safety organizations?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Table 6: Summary Findings – Capabilities Assessment

9. Does your system conduct briefings of after-action reports to assess performance during the simulation drill or exercise and identify areas in need of improvement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
10. Have members of your system participated in domestic preparedness training programs sponsored by the federal government (FEMA, FBI, DOD, etc.)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
11. Has your system participated in capabilities assessment readiness (CAR) exercise programs supported by the local EMA?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

Section 7: Previous Experience

1. Has your system experienced an emergency in the last 12 months?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
2. If yes, were you satisfied with the system's level of response?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
3. Has your system received a bomb threat in the last 12 months?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
4. Has your system evacuated its facilities in the last 12 months as the result of a bomb threat?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment
5. Has your system conducted a physical search of a facility in response to a bomb threat?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	<input type="checkbox"/> Comment

5 Reducing Threat and Vulnerability

Threat and vulnerability assessment provides an analytical process to consider the likelihood that a specific threat will endanger the system. Using the results of the capabilities assessment (discussed in Section 4 of this Guide), the threat and vulnerability analysis can also identify activities to be performed to reduce risk of an attack and mitigate its consequences.

These assessments typically use a combination of quantitative and qualitative techniques to identify security requirements, including historical analysis of past events, intelligence assessments, physical surveys, and expert evaluation. When the risk of hostile acts is greater, these analysis methods may draw more heavily upon information from intelligence and law enforcement agencies regarding the capabilities and intentions of the aggressors. For example, recent experience with anthrax-tainted mail resulted in nation-wide dissemination of procedural changes for managing packages and letters, reflecting intelligence from the FBI and recommended practice from the Centers for Disease Control (CDC).

Effective threat and vulnerability assessments typically include five elements:

- ⇒ asset analysis;
- ⇒ target or threat identification;
- ⇒ vulnerability assessment;
- ⇒ consequence analysis (scenarios); and
- ⇒ countermeasure recommendation.

These elements and their inter-relationships are presented graphically in Figure 15.

5.1 Asset Analysis

In security terms, assets are broadly defined as people, information, and property. In public transportation, the people include passengers, employees, visitors, contractors, vendors, nearby community members, and others who come into contact with system. Information includes operating and maintenance procedures, vehicle control and power systems, employee information, computer network configurations and passwords, and other proprietary information. The range of property that a security effort might wish to protect is presented in Table 7.

In reviewing assets, the transportation system should prioritize which among them has the greatest consequences for people and the ability of the system to sustain service. These assets may require higher or special protection from an attack. In making this determination, the system may wish to consider:

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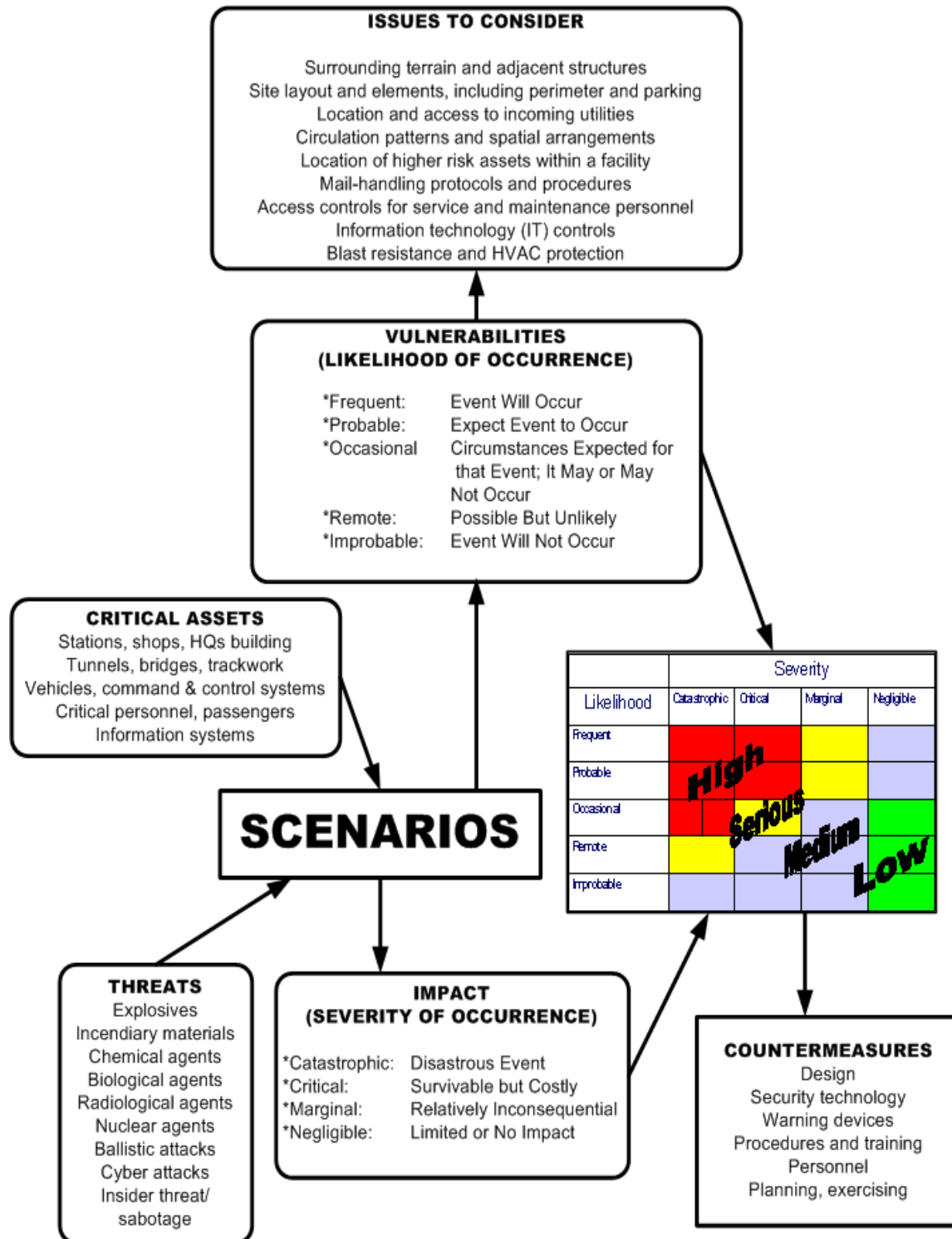


Figure 15: Threat and Vulnerability Process

Table 7: Transportation Assets

⇒ Passenger stations, stops and shelters	⇒ Switches, signals and interlockings
⇒ Tenant facilities in passenger stations	⇒ Grade crossings and automatic warning devices (gates, bells, flashers, and signs)
⇒ Passenger vehicles	⇒ Electrification Systems (3rd rail, overhead catenaries)
⇒ Structures (underground, at-grade and elevated)	⇒ Operations control centers
⇒ Passenger parking lots	⇒ Revenue collection facilities
⇒ Vehicle control systems	⇒ Vehicle storage facilities
⇒ Communications systems	⇒ Wayside support and maintenance facilities
⇒ Heavy maintenance facilities	⇒ Ancillary facilities and storage
⇒ Service and inspection facilities	⇒ Employee parking lots
⇒ Maintenance vehicles and equipment	⇒ Administrative facilities
⇒ Backup power systems	⇒ Transportation police/security facilities and communications systems
⇒ Fuel farms and generators	
⇒ Alternative fuel storage facilities	

- ⇒ the value of the asset, including current and replacement value;
- ⇒ the value of the asset to a potential adversary;
- ⇒ where the asset is located;
- ⇒ how, when, and by whom an asset is accessed and used; and
- ⇒ what is the impact, if these assets are lost, on passengers, employees, public safety organizations, the general public and the public transportation operation?

Based on current intelligence, the FBI urges transportation systems serving communities with the following characteristics to consider themselves at a higher level of risk:

- ⇒ availability of targets with symbolic meaning for the US government or the national culture and way of life;
- ⇒ availability of targets with precursor elements for major destruction (chemical, nuclear, or radiological material);
- ⇒ availability of targets whose destruction would provide the potential terrorist element (PTE) with visibility and prestige;
- ⇒ availability of targets with the potential to significantly impact not only a single community, but also a state and the nation;
- ⇒ availability of high-value targets (e.g., high replacement costs, high commercial impacts of delay and destruction, high loss on U.S. economy);
- ⇒ availability of major targets that provide relative ease of access (for ingress and egress with equipment and personnel required for attack); and
- ⇒ availability of targets that would produce mass casualties (in excess of 500 persons).

In a cooperative partnership with state and local law enforcement, the FBI has requested completion of vulnerability self-assessments, emphasizing the above characteristics for each community. Appendix B contains the full vulnerability

self-assessment supplied by the FBI, which is also included on the Guide CD-ROM.

Using this worksheet, transportation systems can identify which assets in their operations would produce the greatest losses to the system and the community. Based on the results of this assessment, the transportation organization may wish to share a copy with local law enforcement or to include a representative from law enforcement in the assessment process, to support their understanding of the transportation function and role in the community.

5.2 Threats, Vulnerabilities, and Consequences

Information regarding threats, vulnerabilities, and consequences is presented below.

5.2.1 Threats

A threat is any action with the potential to cause harm in the form of death, injury, destruction, disclosure, interruption of operations, or denial of services. System facility threats include a number of hostile actions that can be perpetrated by criminals, disgruntled employees, terrorists, and others.

Threat analysis defines the level or degree of the threats against a facility by evaluating the intent, motivation, and possible tactics of those who may carry them out. The process involves gathering historical data about hostile events and evaluating which information is relevant in assessing the threats against the facility. Some of the questions to be answered in a threat analysis are displayed below.

- ⇒ What factors about the system invite potential hostility?
- ⇒ How conspicuous is the transportation facility or vehicle?
- ⇒ What political event(s) may generate new hostilities?
- ⇒ Have facilities like this been targets in the past?

Possible methods of carrying out hostile actions in the transportation environment are depicted in Table 8. Historical examples are provided for reference and consideration, as well as the types of weapons typically used in these attacks.

5.2.2 Vulnerabilities

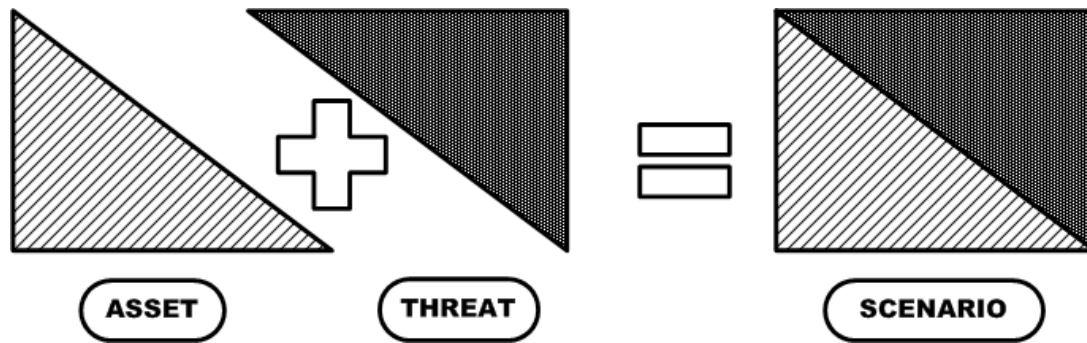
A vulnerability is anything that can be taken advantage of to carry out a threat. This includes vulnerabilities in the design and construction of a facility, in its technological systems, and in the way a facility is operated (e.g., security procedures and practices or administrative and management controls). Vulnerability analysis identifies specific weaknesses with respect to how they may invite and permit a threat to be accomplished.

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Table 8: Threats from Terrorism

Type of Attack	Historical Example	Type of Weapons
Explosive and Incendiary Devices	1995 GIA bombing of Paris Metro	Planted Devices
	HAMAS suicide bombs on Israeli buses (ongoing)	Suicide Bombs
	1998 bombings of U.S. embassies in Tanzania and Kenya	Vehicle Bomb
	2001 World Trade Center; 1990s abortion clinic bombings in GA; 1995 Oklahoma City Bombing	Proximity Bombs; Incendiary Deices; Secondary Devices
Exterior Attacks	2001 militant assaults on Indian-held mosques in Kashmir	Rocks and Clubs; Improvised Devices; Molotov cocktails
Stand-off Attacks	Tamil Tiger's July 2001 mortar attack & bombing of Sri Lanka's National Airport	Anti-tank rockets; Mortars
Ballistics Attacks	Long Island Railroad Shootings; Columbine High School	Pistols; Handguns; Submachine guns; Shotguns
Networked/ Inside Access:		Hand, power and thermal tools; Explosives
- Forced Entry	Amtrak <i>Sunset Limited</i> derailment	False credentials;
- Covert Entry		Stolen uniforms and identification badges
- Insider Compromise	1996 Tupac Amaru Revolutionary Movement taking of Japanese Ambassador's resident and 500 guests in Peru (access through disguise as waiters at the party)	False pretenses, cell operations
- Visual Surveillance		Binoculars;
- Acoustic/ Electronic Surveillance		Photographic Devices
		Listening Devices; Electronic-emanation surveillance equip.
Cyber Attack	Code Red Worm (2002)	Worms, Viruses, Denial of Service Programs
Chemical, Biological, Radiological, & Nuclear (CBRN) Agent Release	1995 Aum Shinrikyo Sarin Gas Release in Tokyo Subway	Chemical, biological, or radiological or nuclear aerosolized

Vulnerabilities are commonly prioritized through the creation of scenarios that pair identified assets and threats. Using these scenarios, transportation agencies can evaluate the effectiveness of their current policies, procedures, and physical protection capabilities to address consequences.



5.2.3 Scenario Analysis

Scenario analysis requires an interpretive methodology that encourages role-playing by transportation personnel, emergency responders, and contractors to brainstorm ways to attack the system. By matching threats to critical assets, transportation personnel can identify the capabilities required to support specific types of attacks. This activity promotes awareness and highlights those activities that can be preformed to recognize, prevent, and mitigate the consequences of attacks.

The FBI recommends that transportation systems focus on the top 10% of identified critical assets (at a minimum). Using these assets, transportation personnel should investigate the most likely threats, considering the range of attack objectives and methods that may be used (such as disruption of traffic, destruction of bridge or roadway, airborne contamination, hazardous materials accident, and threat or attack with explosives intended to disrupt or destroy). The system should also consider the range of perpetrators, such as political terrorists, radicals, right-wing extremists, disgruntled employees, disturbed copycats, and others.

When conducting the scenario analysis, the system may choose to create chronological scenarios (event horizons) that emphasize the worst credible scenario as opposed to the worse case scenario. Experienced transportation personnel, who have participated in transportation war-gaming, recommend the investigation of worst-case scenarios. Results from this analysis are far more likely to produce recommendations appropriate for the size and operation of the system. Based on this type of assessment, as indicated in Tables 9 and 10, the transportation system may determine certain scenarios as relevant to bus and rail service.

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Table 9: Relevant Bus Scenarios

Bus Assets	Most Probable Threats
Bus stations and/or terminals	<ul style="list-style-type: none"> ⇒ High-yield vehicle bomb near station ⇒ Lower-yield explosive device in station ⇒ Armed hijacking, hostage, or barricade situation in station ⇒ Chemical, biological, and nuclear release in station ⇒ Secondary explosive device directed at emergency responders
Bus vehicles	<ul style="list-style-type: none"> ⇒ Explosives placed on or under bus ⇒ Improvised explosive device (pipe or fire bomb) on bus ⇒ Chemical, biological, or nuclear release on bus ⇒ Armed assault, hostage, or barricade situation on bus ⇒ Secondary explosive device directed at emergency responders
Fuel storage facilities	<ul style="list-style-type: none"> ⇒ Explosives detonated in or near fuel facilities
Command Control Center	<ul style="list-style-type: none"> ⇒ Physical or information attack on train control system ⇒ Physical or information attack dispatch system ⇒ Armed assault, hostage, or barricade situation ⇒ Explosive device near or in Center ⇒ Sabotage of train control system

Table 10: Relevant Rail Scenarios

Rail Assets	Most Probable Threats
Stations	<ul style="list-style-type: none"> ⇒ High-yield vehicle bomb near stations ⇒ Lower-yield explosive device in station ⇒ Armed hijacking, hostage, or barricade situation in station ⇒ Chemical, biological, and nuclear release in station ⇒ Secondary explosive device directed at emergency responders
Track/signal	<ul style="list-style-type: none"> ⇒ Explosive detonated on track ⇒ Chemical, biological, nuclear release on track ⇒ Signal and/or rail tampering
Rail cars	<ul style="list-style-type: none"> ⇒ Explosives placed on or under rail car ⇒ Improvised explosive device (pipe/fire bomb) on rail car ⇒ Chemical, biological, nuclear release on rail car ⇒ Armed assault, hostage, or barricade situation on rail car ⇒ Secondary explosive device directed at emergency responders
Power substations	<ul style="list-style-type: none"> ⇒ Explosive detonated in or near substation
Command Control Centers	<ul style="list-style-type: none"> ⇒ Physical or information attack on train control system ⇒ Physical or information attack dispatch system ⇒ Armed assault, hostage, or barricade situation ⇒ Explosive device near or in Center ⇒ Sabotage of train control system

5.2.4 Consequences

For each scenario, the transportation system should attempt to identify the costs and impacts using a standard risk level matrix, which supports the organization of consequences into categories of high, serious, and low. Consequences are assessed both in terms of severity of impact and probability of loss for a given threat scenario, as presented in Figure 16.

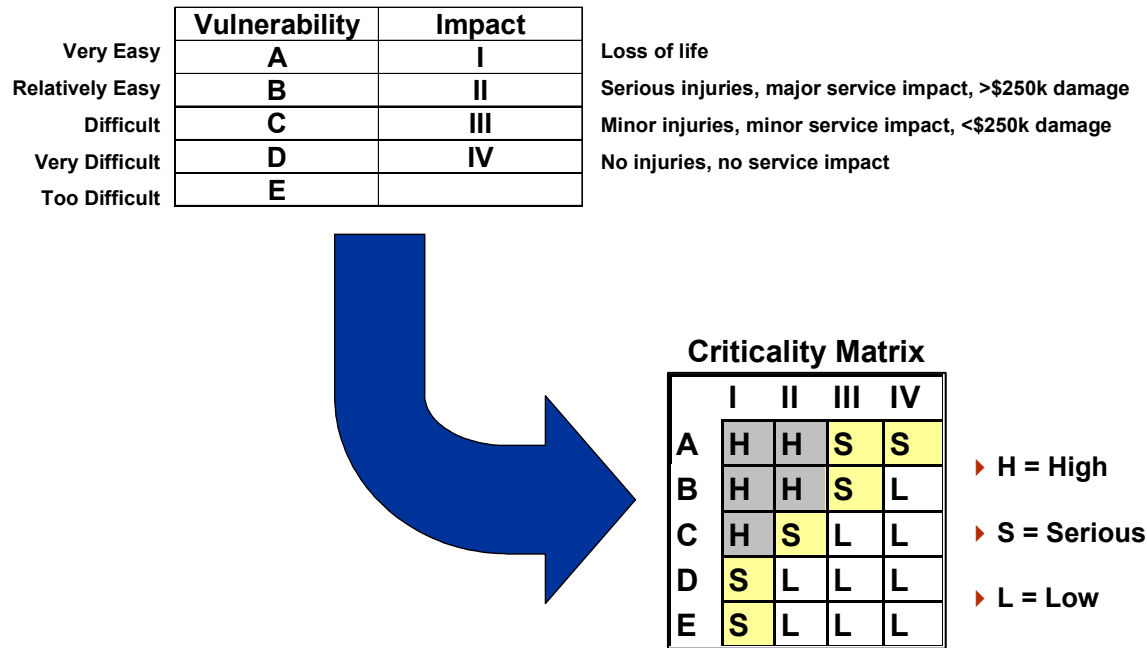


Figure 16: Scenario Evaluation Criteria

Scenarios with vulnerabilities identified as high may require further investigation. Scenario-based analysis is not an exact science but rather an illustrative tool demonstrating potential consequences associated with low-probability to high-impact events. To determine the system’s actual need for additional countermeasures, and to provide the rationale for allocating resources to these countermeasures, the system should use the scenarios to pinpoint the vulnerable elements of the critical assets and make evaluations concerning the adequacy of current levels of protection. Examples of vulnerabilities that may be identified from scenario-based analysis include the following:

- ⇒ accessibility of surrounding terrain and adjacent structures to unauthorized access (both human and vehicular);
- ⇒ site layout and elements, including perimeter and parking that discourage access control, support forced or covert entry, and support strategic placement of explosives for maximum damage;
- ⇒ location and access to incoming utilities (easy access for offenders);

- ⇒ building construction with respect to blast resistance (tendency toward progressive collapse, fragmentation, or no redundancy in load bearing);
- ⇒ sufficiency of lighting, locking controls, access controls, alarm systems, and venting systems to support facility control; and
- ⇒ information technology (IT) and network ease-of-penetration.

5.2.5 Prioritized Listing of Vulnerabilities

At the conclusion of the scenario-based analysis, the transportation system should have assembled a list of prioritized vulnerabilities for its top 10% critical assets. Typically, these vulnerabilities may be organized into the following categories:

- ⇒ lack of planning;
- ⇒ lack of coordination with local emergency responders;
- ⇒ lack of training and exercising; and
- ⇒ lack of physical security (access control, surveillance; blast mitigation, or chemical, biological, or radioactive agent protection).

These vulnerabilities should be documented in a confidential report or memorandum for the system's executive director.

5.2.6 Developing Countermeasures

Based on the results of the scenario analysis, the system can identify countermeasures to reduce vulnerabilities. Effective countermeasures typically integrate mutually supporting elements.

- ⇒ Physical protective measures designed to reduce system asset vulnerability to explosives, ballistics attacks, cyber attacks, and the release of chemical, biological, radiological, or nuclear (CBRN) agents.
- ⇒ Procedural security measures, including procedures to detect and mitigate an act of terrorism or extreme violence and those employed in response to an incident that does occur.

In identifying these measures, the system should be able to answer the following questions.

- ⇒ What different countermeasures are available to protect an asset?
- ⇒ What is the varying cost or effectiveness of alternative measures?

In many cases, there is a point beyond which adding countermeasures will raise costs without appreciably enhancing the protection afforded.

5.2.7 Rings of Protection

As illustrated in Figure 17, security tends to emphasize rings of protection, meaning that the most important or most vulnerable assets should be placed in the center of concentric levels of increasingly stringent security measures. For example, a transportation system's control center should not be placed right next to the building's reception area, rather, it should be located deeper within the building so that, to reach the control center, an intruder would have to penetrate numerous rings of protection, such as a fence at the property line, a locked exterior door, an alert receptionist, an elevator with key-controlled floor buttons, and a locked door to the control room.

Other prevention strategies involve cooperation with law enforcement agencies, security staff in other systems, and industry associations in order to share threat information. It is useful to know whether other transportation systems in an area have experienced threats, stolen uniforms or keys, or a particular type of criminal activity, in order to implement appropriate security measures. Table 11 provides a sample list of typical countermeasures from threat and vulnerability assessments.

In the assessment, the team may consider both passive and active strategies for identifying, managing, and resolving threats to the system's operation. Team members should provide appropriate expertise in both these strategies.

Passive strategies include all security and emergency response planning activity, outreach with local law enforcement, training, evacuation and business continuity and recovery plans, employee awareness, public information, and passenger training. Passive responses also include security design strategies, supported by crime prevention through environmental design (CPTED) and situational crime prevention (SCP) methods, such as landscaping, lighting, and physical barriers (planters or bollards).

Active strategies include security technology, such electronic access control, intrusion detection, closed circuit TV, digital recorders, emergency communications systems, and chemical agent or portable explosives detectors. Active systems also include personnel deployment. It is important to consider the entire lifecycle cost when evaluating security solutions. Technology options may require a substantial one-time investment, supported by fractional annual allocations for maintenance and vendor support contracts. Personnel solutions are generally more expensive. Figure 18 depicts active strategies in use on bus vehicles around the country.

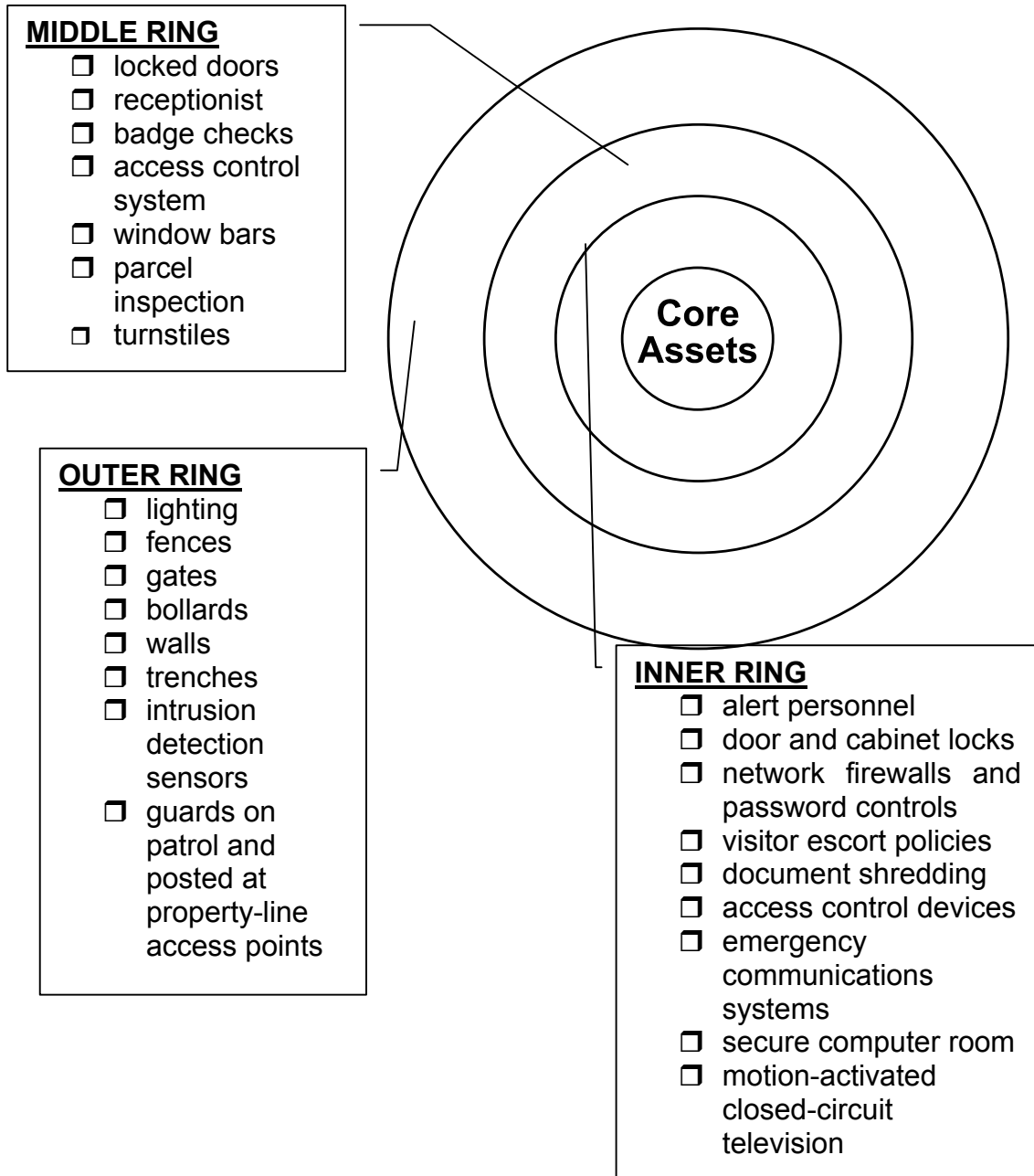


Figure 17: Sample Rings of Protection

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Table 11: Public Transportation Countermeasures

COUNTERMEASURES	Planning	Coordination with Local Responders	Training and Exercising	Access Control	Surveillance	Blast Mitigation	WMD Agent Protection
Identifying Unusual or Out-of-Place Activity	X		X	X	X		X
Security Screening and Inspection Procedures	X	X	X		X	X	X
Enhancing Access Control for Stations/Vehicles	X	X	X	X	X	X	
Securing Perimeters for Non-revenue Areas	X			X	X		
Denying Access to Authorized-only Areas	X		X	X	X		
Securing Vulnerable Areas (target hardening)	X			X	X	X	
Removing Obstacles to Clear Line-of-Sight	X			X	X		
Protecting Parking Lots	X			X	X		
Enhanced Access Control for Control Center	X			X	X		
Securing Critical Functions and Back-ups	X			X	X		
Promoting Visibility of Uniformed Staff	X			X	X		
Removing Spaces that Permit Concealment	X			X	X		X
Reinforcing Natural Surveillance	X			X	X		
Procedures for Vehicle and Station Evacuations	X	X	X			X	X
Coordination with Community Planning Efforts	X	X	X				X
Backing up Critical Computer Systems	X		X				
Revising Lost-and-Found Policies	X		X				X
Securing Tunnels and Elevated Structures	X		X	X	X	X	X
Elevating/securing Fresh Air Intakes	X			X			X
Protecting Incoming Utilities	X			X	X	X	X
Establishing Mail-handling Procedures	X		X		X		X
Identifying Appropriate Personal Protective Equipment and Training	X	X	X				X
Preparing Response Folders and Notebooks for Facilities and Vehicles	X	X	X		X	X	X
Familiarization Training for Local Emergency Response Agencies	X	X					X
Planning for Scene Management and Emergency Response	X	X				X	X

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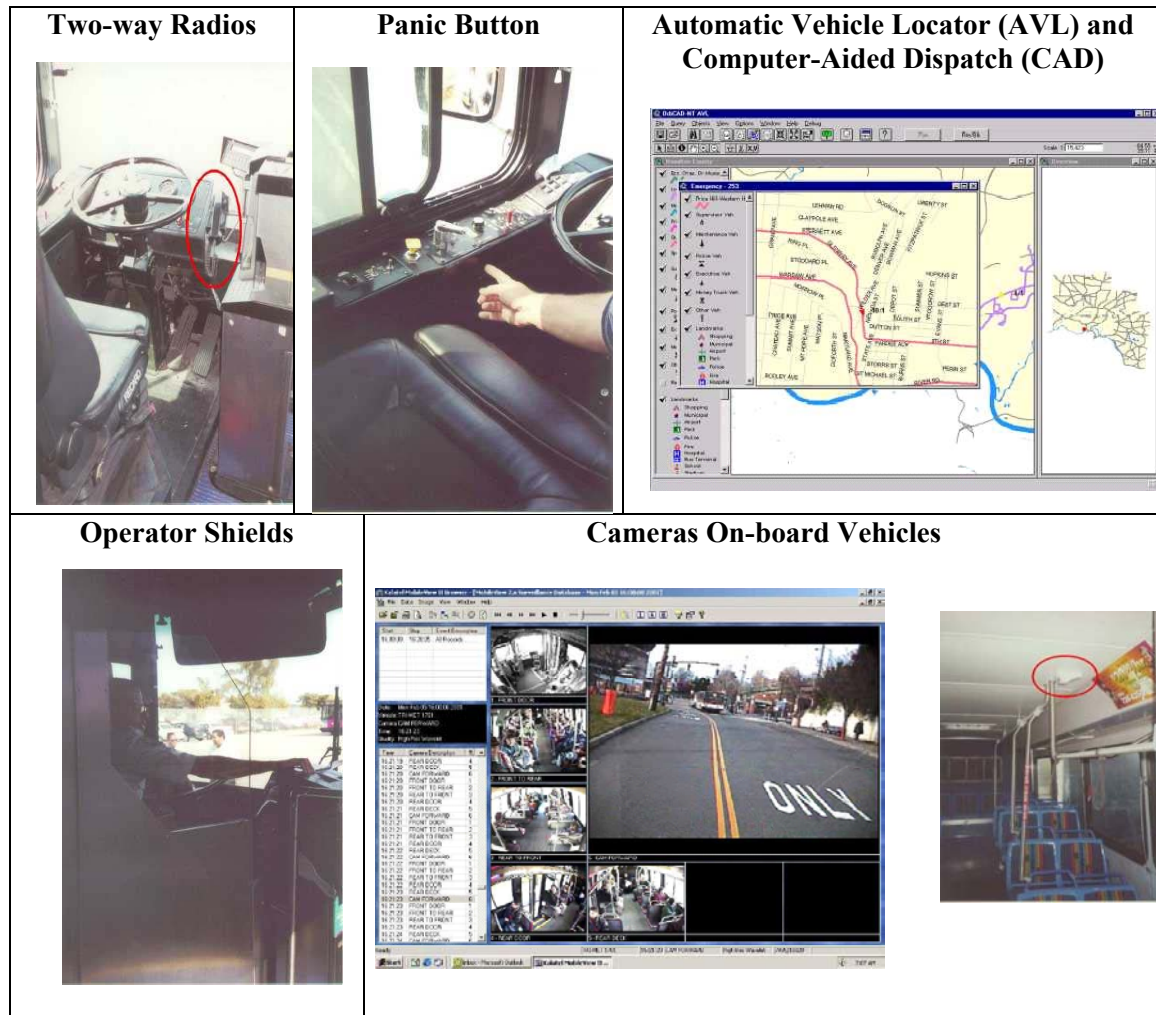


Figure 18: Active Security Strategies for Bus Vehicles

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6 Procedures for New Threats

This section provides recommendations for procedures in the transportation industry to manage new and heightened threats. The four procedures discussed in this section are as follows:

- ⇒ sample bomb threat procedures;
- ⇒ managing hoaxes and unusual or out-of-place objects;
- ⇒ response to calls of reports suspecting a chemical agent release; and
- ⇒ release of sensitive information to the public.

6.1 Sample Bomb Threat Procedures

The most popular method of making bomb threats is by telephone. It is important that as much information as possible be received from the caller. All bomb threats should be taken seriously. However, experience has shown that most anonymous threat calls are a hoax, intended to create an atmosphere of anxiety and panic in order to interrupt normal activities. Therefore, absent positive target identification (PTI) indicators or other credible information, an evacuation may not be considered appropriate.

6.1.1 Threats by Phone

All persons who could receive a telephone bomb threat should be taught how to handle the situation effectively. If a call is received, the following procedures should be followed.

- ⇒ Stay calm, be courteous, and do not display fear.
- ⇒ Activate a telephone recording unit, if available.
- ⇒ Listen carefully during or immediately after the conversation. Take notes of the exact time the call was received, the exact words of the caller, and all details such as the sex of the caller, his/her accent or attitude, background noises, and motive. Use a bomb threat checklist to record the details of the call.
- ⇒ Explain consequences of an explosion. Advise the caller that the station, building or facility may be occupied and the explosion could result in death or serious injury to many innocent people.
- ⇒ Keep the caller talking. The more the caller says, the more helpful the information may be during the threat evaluation phase. If the caller does not indicate the location of the bomb or the time of detonation, ask him/her what time it is to go off and where it is located.

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- ⇒ After the phone call, notify the appropriate supervisor. Do not discuss the call with anyone else unless authorized to do so or required by law. Follow proper procedures to “tag” call for further police investigation.

6.1.2 Threats by Mail

The following are instructions on how to handle bomb threats received by mail. The most likely recipients are mailroom personnel and administrative personnel.

- ⇒ Place all papers and envelopes associated with the threat in a bag or large envelope (clear plastic bag if possible). Pick up any bomb threat note only by the edge.
- ⇒ Do not handle the written threat any more than absolutely necessary.
- ⇒ Do not allow anyone else to touch the note unless specifically authorized by a security representative or senior management.

6.1.3 Manager’s Responsibility

In the case of a bomb threat, the appropriate manager should assess the seriousness of the threat using the following bomb threat assessment and bomb threat response guidelines. He/she should also, if appropriate, notify law enforcement authorities.

BOMB THREAT ASSESSMENT	
<p>Is the threat credible?</p> <p>Consider:</p> <ul style="list-style-type: none"> ⇒ time of day and day of week; ⇒ mode, telephone or mail; ⇒ identity of caller, male/female, young/old, drunk, foul language, disgruntled employee or patron; ⇒ specificity of the threat, time, location, type of explosive device; and ⇒ possibility of access to allow placing of the device. 	<p>Does the threat contain positive target identifications (PTIs)?</p> <p>Did the caller identify:</p> <ul style="list-style-type: none"> ⇒ time the bomb is to detonate; ⇒ target to be destroyed; ⇒ bomb’s construction, shape, or description; ⇒ bomb’s location; or ⇒ bomb threat response.

6.1.4 Executing the Response

- ⇒ Use a public service address announcement, telephone cascade, messenger, or other local notification plan.

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- ⇒ Determine who is to search and in what area. In general, employees should search their own area to determine if there are any suspicious objects. Those who are most familiar with the common areas should search them. All search activity should be predetermined and voluntary.

WHAT IS THE PROPER RESPONSE?	
Do not evacuate?	This may be an appropriate response if there have been a number of recent, publicized hoax bomb threats in the area; if the caller seemed to be drunk; if the caller was a young child; or if it is called in during a beautiful Friday afternoon about an hour or so before quitting time. This is especially true when no PTIs were provided in the bomb threat call.
Conduct a limited or general search of the facility?	Searches are usually the most appropriate choice and should generally be the chosen response, especially if no PTIs or only one PTI was given in the threat.
Order limited evacuation, general evacuation, or move to a safe haven?	Evacuations are usually ordered only when the call is judged to be serious, the threat credible; there is insufficient time to conduct a thorough search; and, the judgment is made that passengers and employees will be at less risk evacuating or moving to a safe haven than remaining in place and seeking cover. If two or more PTIs are given in the bomb threat call, an evacuation may be in order. <i>Evacuation areas should be searched, cleared and secured prior to use when possible.</i>

- ⇒ Notify public law enforcement and emergency services as appropriate; notify immediately if an unusual or out-of-place object is found.
- ⇒ If appropriate, determine who is to be evacuated and to what location.
- ⇒ If evacuation is ordered before a search is done, determine for how long. Consider available options if the weather is inclement. Consider possible effect on operations if evacuation occurs at or near a shift change.
- ⇒ Ensure that procedures are in place to account for all persons ordered to evacuate and determine that they have in fact evacuated and there is an orderly shutdown of operations. Be sure to evaluate evacuation site for secondary devices.
- ⇒ Coordinate with local authorities to determine if the area needs to be searched and who will determine that operations can resume and people can return to their workstations.

6.1.5 Search Plans

A predetermined search should be organized. It is not effective to delegate the search to the police alone because they are unfamiliar with

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the area and do not know which objects in the facility would look unusual or out of place. *The employees assisting in this search should be pre-designated volunteers and have had training in search techniques.*

The most effective search is possible when all employees are calmly told about the bomb threat and the reason for the search and are then asked to check their familiar areas for suspicious objects. Teams should be organized to search common areas. A search team leader should be designated and a notification protocol developed to report search results to the facilities manager. A plan should be developed to designate who is responsible for searching a specific area. For example, security personnel may search restrooms and outside areas, while maintenance staff may search LAN and electrical rooms.

The objective of the search activity is to search for and report unusual or out-of-place objects. There are several points to be stressed within search plans.

- ⇒ The search should be systematic (divide the facility into search areas), it should be thorough, and it should be done calmly. System personnel should also search on a voluntary basis. Identify the areas that are most accessible to outsiders and the areas that are most vulnerable. Search these first.
- ⇒ When searching a room, the room should first be searched from floor to waist height, then from waist height to eye level, and finally from eye level to ceiling. If the room has a false ceiling, the false ceiling should also be inspected.
- ⇒ No one should move, touch, or jar any unusual or out-of-place object or anything attached to it. The removal or disarming of a bomb must be left to law enforcement professionals.

6.1.5.1 No Bomb Found

If no bomb (or object) is found, the facilities manager should advise employees, police, and local management and return the operation to normal activity.

6.1.5.2 Unusual or Out-of-Place Object Found

If an unusual or out-of-place object is found, the search team coordinator and the station manager should do the following.

- ⇒ Stress again to personnel not to touch or move the object.
- ⇒ Evacuate personnel from the surrounding area.

- ⇒ Prevent re-entering of the evacuated area.
- ⇒ Inform the police to take charge of getting the object deactivated or removed.
- ⇒ After the object has been removed, finish searching to ensure that no other bombs have been placed.

6.1.5.3 After-Action Plan

An after-action report, including incorporation of lessons learned, should be prepared immediately after resolution of the event. A formal debriefing of the event should occur with key management personnel.

6.2 Managing Hoaxes and Unusual or Out-of-Place Objects

Figure 19 presents the scope of possible events that may occur on transportation property and in the community served by the system. These events range from threats and hoaxes to extended campaigns involving multiple attacks.

Analysis from the FBI indicates that the vast majority of threats and reported suspicious materials and packages will be revealed as common substances, lost or misplaced items, or normal occurrences in the transportation environment (train dust, cleanser residue, etc.). However, each of these events must be approached as a potential incident. Transportation personnel have a several possible actions available to them when responding to hoaxes and threats. Above all, the transportation system should invest in training personnel on the appropriate actions to take in these situations.

Safe investigation of reports and threats, proficient incident size-up, and effective communications and supervision will not only enhance the system's ability to recognize and manage an actual attack, but will also build confidence and provide an in-the-field training program. Debriefing of major threat report responses will further teach employees to proceed in a manner that best protects them, their fellow workers, and the system's passengers, facilities, and vehicles.

Transportation personnel should understand that, according to the FBI, hoaxes and threats should be expected to continue, and perhaps even escalate in frequency. The following guidelines may provide transportation personnel with useful advice when developing their programs, procedures, training, and exercise schedules.

- ⇒ Managing an actual hoax event should not be the first time a transportation employee is considering what should be done. Even obvious hoaxes relating to chemical, biological, radiological, and nuclear (CBRN) incidents have the potential to cause panic and generate negative publicity. These events require a much different response than bomb-threats, and only training, exercise, and technology can provide the necessary knowledge and awareness. Transportation systems should have plans and procedures in place for managing these events, so that employees will not be taken by surprise.

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- ⇒ These events often take the form of written and phone threats; suspicious packages with signs and notes; suspicious powders and liquids left on turnstiles and public transportation vehicles, on station floors or in trash cans or restrooms; abandoned spray canisters, gloves, or masks; and the use of mace and machine oil to replicate chemical and biological agent characteristics.

- ⇒ Whenever possible, transportation personnel should remain sensitive to the reality that hoaxes deplete limited community resources and, in extreme periods, challenge the capabilities of local responders to provide basic services. Do not call local responders or hazardous materials units as a default position.

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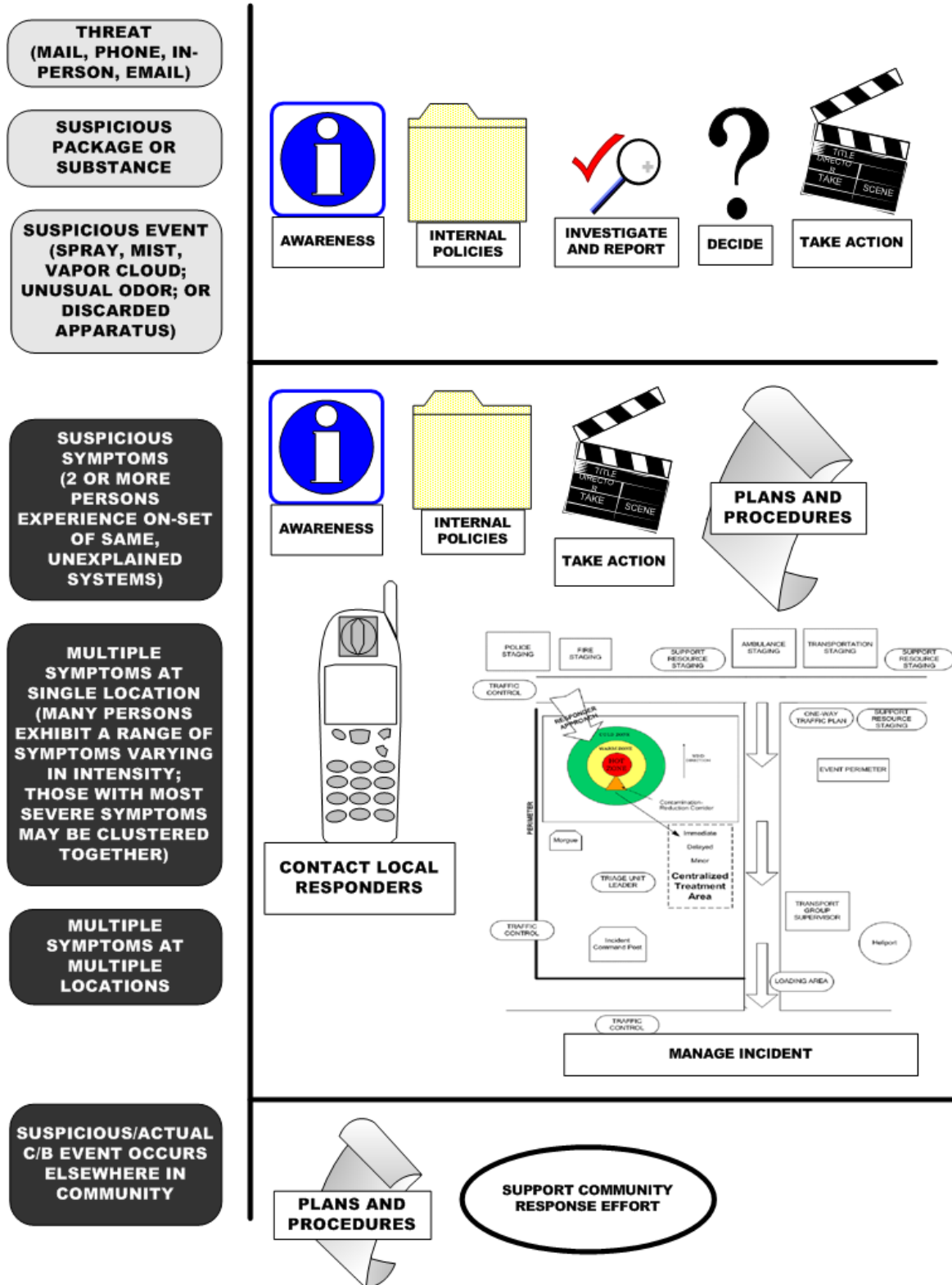


Figure 19: Response to Chemical and Biological Threats

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- ⇒ Develop procedures for taking threat calls and reviewing suspicious letters and packages received in the mail (building on the bomb threat procedures outlined above).
- ⇒ Transportation employees and the riding public will be the source of most reported suspicious substances and packages. In managing these reports, transportation personnel will be expected to:

- receive news of a suspicious substance or package in a calm and reassuring manner; investigate the report using safe practices and from a safe vantage point; coordinate with transportation supervisory and dispatch personnel regarding appropriate action, maintenance clean-up or collection; hazardous materials clean-up; notification of local responders; notification of local hazardous materials response unit; evacuation; or other resolution;
- have equipment pre-staged to cordon off areas and to collect the names of potentially affected passengers and personnel;
- maintain a strict posture regarding investigation and prosecution of perpetrators of hoaxes and threats (the USA PATRIOT ACT makes special provisions for threats against public transportation, dramatically increasing the seriousness of this activity and its legal consequences);
- have and use internal procedures for managing hoaxes and threats, and distinguish escalating patterns of activity that may portend actual attacks; and
- coordinate closely with local, state, and federal law

USA PATRIOT ACT

The Act outlaws terrorist attacks and other actions of violence against mass transportation systems. Offenders may be imprisoned for life or any term of years, if the conveyance is occupied at the time of the offense, or imprisoned for not more than twenty years in other cases, section 801. Under its provisions, it is a crime to willfully:

- wreck, derail, burn, or disable mass transit;
- place a biological agent or destructive device on mass transit recklessly or with the intent to endanger;
- burn or place a biological agent or destructive device in or near a mass transit facility knowing a conveyance is likely to be disabled;
- impair a mass transit signal system;
- interfere with a mass transit dispatcher, operator, or maintenance personnel in the performance of their duties recklessly or with the intent to endanger;
- act with the intent to kill or seriously injure someone on mass transit property;
- convey a false alarm concerning violations of the section;
- attempt to violate the section;
- threaten or conspire to violate the section when the violation involves interstate travel, communication, or transportation of materials or that involves a carrier engaged in or affecting interstate or foreign commerce, 18 U.S.C. 1993.

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enforcement officials to ensure that they remain in the loop regarding both emergency response planning and the identification of groups or individuals who are both motivated and capable of employing chemical or biological agents against civilians.

- ⇒ Both transportation and local response must have the capability to quickly and accurately determine the legitimacy of threats in order to dispel panic.
- ⇒ Hoaxes must be treated as actual events until proven otherwise, thus demanding the coordinated response of police, fire, and public health officials.
- ⇒ The incident command system (ICS) should be utilized in handling hoax events. Without properly defined command structures in the highly stressful, emotional, and confusing scenario of a CBRN scare, conflicting orders can lead to a rapid breakdown in procedure.
- ⇒ Hoaxes require a response by many local agencies, and often various federal agencies including the FBI and EPA, thus the pre-establishment of interpersonal relationships is recommended. Efficient and compatible interagency communication systems must be developed to facilitate cooperation.
- ⇒ Public communication protocols and a local media partnership should be established prior to the onset of an event. A spokesperson, whose job is to facilitate constant contact with the public, should be designated.
- ⇒ In more serious hoaxes, it may be necessary to have a chief executive and key staff available to the media in order to inform and reassure the public with a clear, consistent message. These emergency management relationships with the media should be established well before an event arises so that mutual trust is ensured.
- ⇒ With simple awareness campaigns, the public can be educated to recognize the difference between an obvious hoax and a potential threat.
- ⇒ Hoaxes should be seen as opportunities for surprise exercise. The response community needs to expect that terrorism in all forms will aim to catch victims off guard, and the more they practice under these conditions, the better.
- ⇒ Standard procedure can be developed that allows for systems to continue with an event, once it has been determined that there exists no real threat, as if they were conducting an interagency exercise. This will allow for full analyses of readiness and further develop the working relationships required to respond to future hoaxes and actual events with increased efficiency.

- ⇒ All hoaxes should have after-action reports conducted to define areas for improvement.

6.3 Response to Calls of Reports Suspecting a Chemical Agent Release

Transportation systems must now be prepared to respond to investigate a suspected chemical, biological, radiological, or nuclear (CBRN) agent release or dispersal device. This threat co-exists with the industry's ongoing concern regarding improvised explosive devices (IEDs), mass shootings, and flammable materials.

Until the CBRN event is confirmed, many dangers exist for those station managers, maintenance personnel, supervisors, transportation police, and other transportation employees who may be assigned to investigate an initial report. These personnel will already be stationed near but, not affected by, the scene.

In most cases, these incidents will involve an unknown substance, suspicious package, or report of a suspicious activity that can safely be investigated and resolved quickly, using elements specified in Procedure Two. However, it is possible that transportation personnel, approaching an incident site in a station or evacuation assembly area, may immediately be faced with mass casualties (e.g., trauma, chemically contaminated, and psychosomatic) as well as major scene control challenges.

Situational awareness, therefore, is critical to effective response. As transportation personnel near the scene, the extent of the incident should become apparent. The following actions should be used as a guide for approaching the scene of what appears to be a WMD event with multiple casualties.

- ⇒ Approach the scene from upwind and updrift. Ensure other responders do the same. Upwind distance for a possible chemical incident is at least 300 to 1,000 feet for an explosives related incident.
- ⇒ Be aware of the need for protection from possible contamination. If personal protective equipment (PPE) is available, and if transportation personnel are appropriately trained, put it on. Otherwise, observe upwind distance parameters.
- ⇒ From a safe vantage point, attempt to determine the exact location(s) of agent dissemination. Observe patterns or clusters in the severity of symptoms demonstrated by victims, and also observe where the ambulatory victims have assembled.
- ⇒ From a safe vantage point, attempt to establish communications with transportation personnel in the scene. These personnel may be contaminated, incapacitated, or unable to support response action. Obtain their status and location.

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- ⇒ Observe the scene and do not attempt rescue. Immediate and accurate field reports are the best way to help the victims and ensure the greatest good for the greatest number.
- ⇒ Look for the following:
 - exact location of incident;
 - nearest upwind street access;
 - estimated number of casualties;
 - signs and symptoms of casualties;
 - the presence of oily liquids, vapors, clouds, and mists;
 - unusual odors;
 - weather conditions;
 - other resources available to support immediate evacuation from the scene and initial decontamination (sprinkler system, nearby swimming pool or lake, dirt or sand, towels or cloth); and
 - information available on possible perpetrators, including physical descriptions, make and/or model of vehicles, or other identifying characteristics.
- ⇒ Report incident to transportation dispatch, summarizing what was observed.
- ⇒ As appropriate to internal system procedures, establish (or support already established) command. Transportation personnel are the on-scene authority figures immediately following the incident and will be integrated into the ICS established by local responders upon their arrival.
- ⇒ Control the scene by:
 - establishing an outer incident perimeter to provide safe ingress and egress for arriving responders;
 - isolating the hazard area and controlling walking casualties (using voice, bull horn, or public address system) to direct them upwind and upgrate from the incident site, but away from the evacuation site;
 - observing unusual activity (perpetrators may be nearby or could be among the injured); and
 - anticipating the potential for multiple hazard locations that may require re-defining outer (and inner) operational perimeters.
- ⇒ Reassure walking casualties, discouraging self-evacuation from a safe distance. Tell them that help is on the way.
- ⇒ Be aware of site security and check for snipers, secondary devices, suspicious packages, or other threats.
- ⇒ Monitor weather and wind. Remain upwind of the scene release.
- ⇒ Identify water supply or other decontamination materials in vicinity (sprinkler system, pool, pond, dirt, clean fabric, etc.).

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- ⇒ Identify staging areas:
 - if practical, position first arriving units and responders upwind and uphill;
 - direct other units to approach from upwind and uphill if possible;
 - avoid stacking units where they interfere with each other's evacuation route;
 - avoid line-of-sight staging with suspected explosive devices;
 - strictly enforce staging instructions;
 - consider having units back into position so that they can leave the scene efficiently, and
 - avoid vapor clouds, mist, and unknown liquids.
- ⇒ Maintain communications with dispatch. Notify dispatchers of any changes in weather conditions, available site resources, and condition of assembled victims.
- ⇒ Await other transportation personnel and first responders. Remember that the incident scene is also a crime scene and all precautions need to be taken to preserve evidence.

6.3.1 Responding to an Actual Chemical or Biological Agent Release

If investigation reveals a chemical or biological agent release in a transportation vehicle, station, or facility, the system requires a well-planned, integrated, and coordinated response. Some of the major issues that will require attention during management and control of a chemical terrorist incident include:

- ⇒ event recognition or agent detection;
- ⇒ reporting and notification;
- ⇒ isolation of agent release;
- ⇒ evacuation of scene (upwind, uphill, up-river) or shelter-in-place;
- ⇒ isolation of scene or perimeter control;
- ⇒ crowd control (near perimeter and at evacuation site);
- ⇒ status briefings and updates to arriving responders;
- ⇒ staging of emergency response vehicle to avoid contamination, yet hasten ability to reach evacuation site with hoses;
- ⇒ traffic rerouting, congestion, and control;
- ⇒ mass casualty decontamination, triage and medical management;
- ⇒ disposition of the deceased;
- ⇒ hospital casualty overload;
- ⇒ public fear;
- ⇒ public information dissemination;
- ⇒ spread of contamination;
- ⇒ safety and welfare of emergency responders;
- ⇒ evidence identification and preservation; and
- ⇒ suspect identification, arrest, and criminal prosecution.

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To assure its capabilities to respond effectively under these highly adverse conditions, the transportation system should perform the following steps.

- ⇒ Review the lessons learned from the Tokyo Sarin gas release and its impacts on both emergency response and transportation operations.
- ⇒ Perform a threat and vulnerability assessment to identify likely targets and current preparedness capabilities (described in Section 5 of this Guide).
- ⇒ Complete the FBI's Vulnerability Self-Assessment, and share significant findings with local law enforcement (described in Section 5 and included in Appendix B of this Guide).
- ⇒ Review the system's capabilities and current level of preparedness for emergency response (Appendix D contains a detailed worksheet to support this assessment).
- ⇒ Invest in the Incident Command System (ICS). Know how this system would be applied in a minor and major incident, and work closely with local responders to improve capabilities through planning, training, and exercising (on this site).
- ⇒ Understand the Unified Command Structure and its benefits to multi-agency incident response. Unified command provides all agencies with responsibility for the incident with an understanding of one another's priorities and restrictions.
- ⇒ Develop and revise emergency plans and procedures to address chemical and biological events, emphasizing the specific facility's needs and resources; a system by which to account for employees during emergencies; and a crisis communication system for key personnel and security staff so that they can (1) signal for help surreptitiously when necessary (e.g., with duress alarms), (2) keep a small incident from escalating into a large one, and (3) contact other key staff easily during a crisis (by means of intercoms, mobile and land-line telephones, email, and two-way radios).
- ⇒ Develop training and exercises to direct and assess management of actual attacks that are small in scale and generally produce fewer casualties than conventional bombs or attacks involving firearms.
- ⇒ Use Guidelines for Managing Suspected Chemical and Biological Agent Incidents in Rail Tunnel Systems as a resource for developing operating policies.⁷

⁷ Available from Argonne National Laboratory at 630-252-3235.

- ⇒ Use Emergency Preparedness for Transit Terrorism as a resource in developing policies, plans, and procedures for managing major incidents.⁸
- ⇒ Use guidelines prepared by the US Army Soldier and Biological Chemical Command (SBCCOM) for mass decontamination and mass casualty incident response.⁹
- ⇒ Understand the system's ventilation system, including the impacts of vehicle movement and vehicle HVAC systems on airflow.
- ⇒ Develop procedures for vehicle control, station ventilation, and station evacuation, ensuring that evacuation sites remain upwind from both the release site and the station ventilation system.
- ⇒ Understand public fear and how it can be assuaged both during response to an incident and in the aftermath of a successful attack or ongoing campaign.
- ⇒ Understand that persons affected by a chemical release may attempt to self evacuate to area hospitals and medical facilities, thus requiring notification of these institutions of the possible contaminated victims en route.

6.3.2 Support Community Response

The transportation system should be prepared to support emergency response to a major chemical or biological release occurring within its service area. Integration into emergency response planning and coordination with local responders, all activities required for the management of incidents on transportation property, will also serve to enhance the capabilities of the transportation organization to support the community during a major crisis, especially one involving WMD agents.

A key goal of the Emergency Plan is to establish Unified Command with local responders. Unified Command allows all agencies with geographical, legal, or functional responsibility to establish a common set of incident objectives and strategies, and a single plan for action. Using the Unified Command, the public transportation system coordinates with local police, fire, and Emergency Medical Services (EMS) personnel to ensure that:

- ⇒ one set of objectives is developed for the entire incident,
- ⇒ a collective approach is used to develop strategies to achieve incident goals,

⁸ Available at <http://www4.trb.org/trb/homepage.nsf/web/security>.

⁹ Available for download at <http://www2.sbccom.army.mil/hld>.

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- ⇒ information flow and coordination is improved between all jurisdictions and agencies involved in the incident,
- ⇒ all agencies with responsibility for the incident have an understanding of joint priorities and restrictions
- ⇒ each agency is fully aware of the plans, actions, and constraints of all others,
- ⇒ the combined efforts of all agencies are optimized, and
- ⇒ duplicate efforts are reduced or eliminated, thus reducing cost and chances for frustration and conflict.

6.4 Release of Sensitive Information to the Public

Publicly available information can appear in many forms, including annual reports, media releases, brochures and other promotional materials; Internet web sites and on-line documents; automated or personally-conveyed information; and public records.

The term sensitive information refers to any information that would allow a malicious actor to select, or gain information about, a target without the need to physically access it. The following questions will assist security professionals in reviewing sensitive information that has been, or could be, made publicly accessible.

- ⇒ Has the information been cleared and authorized for public release?
- ⇒ What impact could the information have if it was inadvertently transferred to an unintended audience?
- ⇒ Does the information provide details concerning security procedures and capabilities?
- ⇒ Does the information contain personnel information such as biographical data, addresses, etc.?
- ⇒ How could someone intent on causing harm misuse the information?
- ⇒ What instructions should be given to legitimate custodians of sensitive information with regard to disseminating the information to other parties, such as contractors?
- ⇒ Could this information be dangerous if it were used in conjunction with other publicly available information?

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- ⇒ Could someone use the information to target personnel, facilities, or operations?
- ⇒ Could the same or similar information be found elsewhere?
- ⇒ Does the information increase the attractiveness of a target?

Knowledge concerning the threat environment will assist transportation operators in deciding on the level of vigilance with which they review sensitive information. Risk from the public availability of sensitive information comes from both determined and opportunistic threats.

Table 12 identifies generic categories of sensitive information that, if released to the public domain, could place transportation elements at greater risk from determined threats. Transportation operators are encouraged to use these categories when evaluating the dissemination of potentially sensitive information.

Table 12: Categories of Potentially Sensitive Information

TYPE OF INFORMATION	EXAMPLES
Locations & Functions	
Critical assets ¹⁰	High capacity and redundant assets
Network topology maps	Intersections or congestion points
Exposed or unprotected assets	Bridge and over-surface assets
Unmanned assets	SCADA-controlled assets
Hazardous materials	Industrial chemicals or waste storage
Contingency gathering areas	Emergency meeting points and stations
Assessments	
Vulnerability or risk assessments	Security assessments
Hypothetical impact assessments	Environmental impact assessments
Assessments of drills or exercises	Contingency scenario debriefings
Facility limitations	Natural hazard high-risk limits
Facility capacities	Redundant capacities
Specific location or function ranked data	Quantitative comparisons of assets
Operations	
Physical and cyber security plans	Facility and IT security measures
Heightened risk operating procedures	Contingency protection measures

¹⁰ This term refers to the data, communications, energy, and operational systems or structures necessary to sustain business continuity.

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Table 12: Categories of Potentially Sensitive Information

TYPE OF INFORMATION	EXAMPLES
Hypothetical emergency scenarios	Operational stoppage scenarios
Emergency response procedures	Facility evacuation criteria
Business continuity plans	Details concerning shifts in production
High-risk operating procedures	Critical processes in production
Facility designs	Blueprints and photos
Operating manuals	Emergency power-down procedures
Meeting minutes	Highlights of recent security concerns
Interdependencies	
Personnel information	Addresses, contact information, etc.
Energy sources	Regular or backup energy sources
Communications assets and procedures	Repeating stations and radio protocols
Transportation methods	Routes use for hazmat transportation
Key suppliers	Safety equipment manufacturers
Key clients	Potential targets for disruption

7 Training and Exercising

This section outlines considerations for training and exercising programs to support core competencies in those areas essential for responsible decision-making and effective implementation of emergency response in the transportation environment.

Transit Safety & Security Program

The Federal Transit Administration and the Transportation Safety Institute's Safety and Security Division offer courses in Transit System Security, Effectively Managing Transit Emergencies, Transit Rail Incident Investigation, Response to Weapons of Mass Destruction, Threat Management & Response to Bus Hijacking, Emergency Response and Access to Alternative Fueled Vehicles, and Crime Prevention Through Environmental Design.

7.1 Principles of Training for Preparedness

When evaluating the transportation system's training and exercising needs, it is important to remember that:

- ⇒ training should reflect security and emergency plans and procedures; and
- ⇒ exercises are conducted to assess the quality of both the training and plans, and to provide valuable feedback in the planning process.

The purpose of training for security and emergency preparedness is to provide transportation system personnel with the specific knowledge necessary to perform the critical functions required in system plans and procedures. Training, in this regard, may be highly technical, geared specifically to the responsibilities of an individual employee to support the system during an emergency (e.g., procedures for powering up or down rail service, performing notification and incident reporting, or managing bus vehicle evacuations).

Other types of training may emphasize collaborative activities performed by transportation employees, in concert with local law enforcement, fire and emergency medical services, and other local agencies to support capabilities to accomplish group tasks. In emergency management, the goal of this type of training is to bring individuals, teams, and organizations to a state from which they can accomplish required activities quickly, efficiently, and effectively.

7.2 Existing Training Programs

Around the country, transportation systems of all sizes provide a wide range of training for their employees, contractors, and local public safety agencies. This training addresses many issues pivotal to effective security and preparedness, including basic awareness, reporting emergencies, managing conflicts, evacuating vehicles, and facilities and other safety and security activities.

In the transportation environment, training for safety, security, and emergency preparedness is performed to ensure that:

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- ⇒ applicable management, operations, and maintenance rules, procedures, and plans are effectively documented and conveyed to those responsible for their implementation;
- ⇒ manuals showing how to administer, operate, and maintain the system's safety and security equipment and facilities are understood by those responsible for their use;
- ⇒ safety-related rules and procedures for management, operations, and maintenance personnel are documented and effectively implemented by all employees as required;
- ⇒ emergency procedures have been developed, documented and are successfully implemented by all personnel as required, including public safety personnel (if appropriate);
- ⇒ transportation personnel and local emergency responders understand the hazards of the transportation environment; and
- ⇒ an adequate level of preparation is maintained for a possible emergency.

Training typically addresses rules, policies, and procedures, as well as many of the hazards in the transportation environment (e.g., live power, track and roadway safety, hazardous materials and alternate fuels, medical emergencies or blood-borne pathogen awareness, personal safety, and injury prevention). Some transportation systems have established an emergency response agency familiarization program that provides orientation for local law enforcement, fire personnel, and medical services regarding the transportation environment and its vehicles.

National Transit Institute

In addition to its Train-the-Trainer program and its commitment to provide training, education and clearinghouse services in support of public transportation, NTI recently developed the System Security Awareness for Transit Employees and Security Incident Management for Transit Supervisors courses to address the heightened need for interactive training for front-line personnel and supervisors.

Many transportation systems have also initiated basic security awareness or first responder awareness training, which emphasizes topics, such as:

- ⇒ understanding the specific threats from explosives, incendiary devices, and toxic materials (chemical, biological, or radiological agents) and the risks associated with them in an incident;
- ⇒ understanding the potential outcomes associated with an emergency created when explosives, incendiary devices, or toxic materials are present;
- ⇒ the ability to recognize the presence of these devices and materials;
- ⇒ the ability to identify the classes of chemical agents, if possible, using signs and symptoms;
- ⇒ the ability to reference laminated cards and other automated and manual checklists to support initial response activities and incident reporting; and
- ⇒ proper use of personal protective equipment, such as escape hoods and gas masks.

Public transportation systems that routinely work with hazardous materials have certain advantages in this regard, as they are already familiar with EPA regulations

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regarding hazardous materials spills, response plans, support training, and coordination programs with their local emergency planning committees (LEPCs) and state emergency response committees (SERCs).

In response to Occupational Safety and Health Administration (OSHA) or environmental requirements, transportation systems also have developed emergency plans for the evacuation of key infrastructure facilities and vehicles. These plans specify the recommended sequence of actions to be taken by transportation system personnel in the event of an emergency, including a security incident. Training provided for these plans may include recognition of the emergency, establishing proper notification procedures, and implementing an appropriate response to the emergency.

Many proactive transportation systems, deeply concerned by the Tokyo Sarin gas release, have supported the development of first response training for WMD incidents in their local communities and states, in partnership with other agencies (such as the International Association of Chiefs of Police), FTA's Transportation Safety Institute (TSI), the National Transit Institute (NTI) at Rutgers, and the Federal Law Enforcement Training Center (FLETC).

Federal Law Enforcement Training Center

FLETC's Security Specialties Division designs, develops and conducts training courses related to antiterrorism, bombs and explosives, counterterrorism, crisis management, patrol procedures, physical security, tactical applications and transportation security. The Division operates a specialized training facility to demonstrate and validate state-of-the-art hardware and procedures relating to antiterrorism and physical security.

Basic awareness and conflict management training, provided through the National Safety Council (NSC) and the Rural Transportation Assistance Program (RTAP), as well as partner programs in first aid and the management of passengers with disabilities and medically fragile passengers (with the American Red Cross, community groups and hospitals, and rider associations), have been developed to support a variety of transportation needs that also emphasize security and emergency preparedness capabilities in small and rural operations.

Transportation systems (particularly those without dedicated transportation police departments) may not yet have conducted formal needs assessments to identify training issues associated with terrorism and emergency preparedness, such as the following:

- ⇒ implementing the ICS in transportation emergencies;
- ⇒ coordinating incident command within an unified command structure;
- ⇒ critical incident protocols for joint partnership with local public safety agencies;
- ⇒ emergency planning for terrorism;
- ⇒ decontaminating passengers, employees, and equipment;

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- ⇒ managing mass casualties (coordination with emergency responders and hospitals);
- ⇒ community evacuations (procedures and legal issues);
- ⇒ managing public information; and
- ⇒ managing victims, affected families, impacted employees, and community need for information.


Wherever the transportation system may be in its training program, Table 13 provides a useful tool to assess the extent to which current training addresses key security and emergency preparedness issues. Completion of this table will also help to identify opportunities for including or expanding training on these topics, particularly in areas related to WMD terrorism.

7.3 Exercising for Preparedness

Emergency preparedness is a continuous process with the three integral functions of planning, training, and exercising. Each function is dependent upon the other two functions and should not be viewed in isolation. Figure 20 illustrates this relationship.

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Table 13: Preparedness Review of Training Programs

TYPE OF TRAINING	SECURITY AND EMERGENCY PREPAREDNESS CONSIDERATIONS															
	Awareness	Reporting an Incident	Coordination with Law Enforcement	Emergency & Security Procedures	Emergency First Aid	Station and Vehicle Evacuation	Managing Threats and Mail	Managing Suspicious Packages	WMD: Signs and Symptoms	Emergency Plan & EOC Activation	Threat & Vulnerability Assessment	Hazardous Materials Response	Evacuating the Medically Fragile	Protecting an Emergency Scene	Conflict Management	Debriefing
																
Initial																
Refresher																
Certification																
On-the-Road																
On-the-Rails																
Industrial Safety & Security																
Personal Emphasis Training (PET)																
Safety Meetings																
Safety Ride Checks																
Video & Interactive																
Familiarization																
Special Topic																
Safety/Security Committee																

✓ = Addresses Issue, Blank = Does Not Address Issue

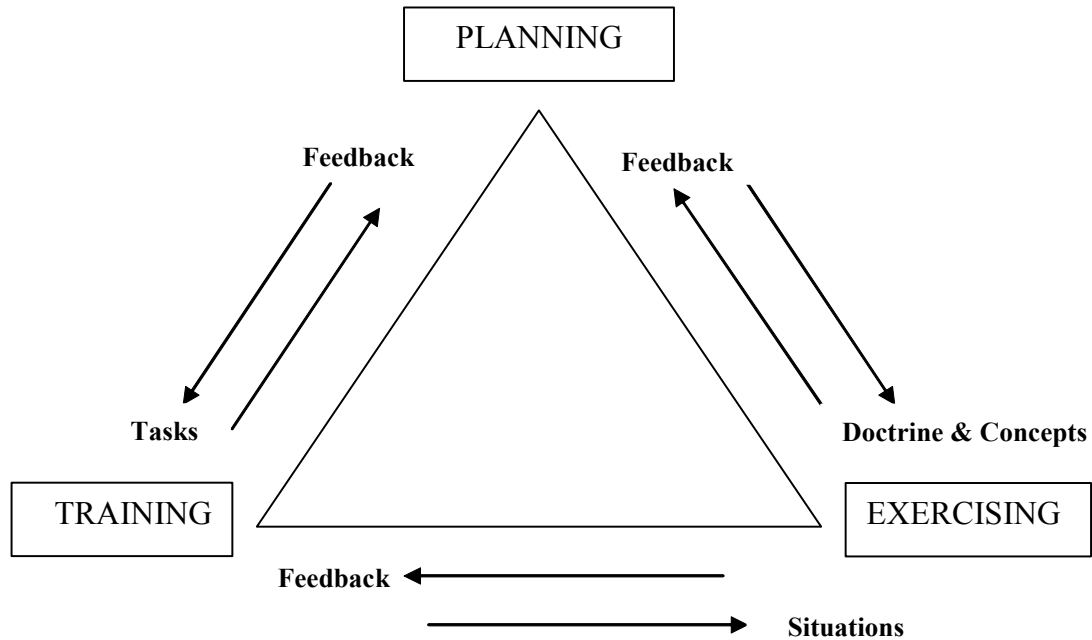


Figure 20: Planning, Training, and Exercising Inter-Relationships

Once plans and procedures have been developed and personnel have been trained to implement them, the transportation system is then ready to conduct an exercise to determine if the planning is adequate to satisfy anticipated needs and personnel are properly trained.

A comprehensive exercise program is one of the best means for assessing emergency plans and procedures, determining the readiness of emergency responders, resolving questions of coordination, clarifying roles and responsibilities and promoting awareness of potential threats and hazards. Exercises are the most practical, efficient, and cost effective method to prepare for disasters and crises. The aim for any transportation system should be to develop a progressive exercise program, a long-term approach in which exercises are planned, conducted, and evaluated as building blocks to competency in crisis management.

There are two primary benefits of such a program. First, transportation system personnel practice their emergency operating procedure roles and gain proficiency. Second, the coordination among transportation systems and local emergency response agencies is dramatically improved. It is common for emergency preparedness forces to be unfamiliar with the vehicles and facilities operated and maintained by the local transportation system. Likewise it is common for transportation system professionals to be unfamiliar with the procedures and equipment used by local law enforcement and fire and emergency medical services. These mutual benefits arise from exercising, evaluating the exercise (debriefing), and acting upon those lessons learned. An exercise has immense value when it leads to individual and/or collective improvement.

7.4 Building a Progressive Exercise Program

A progressive exercise program requires commitments from the transportation system and community public response agencies to plan and conduct increasingly more challenging exercises over a period of time. Implementation of such a program allows the collective community to achieve and maintain competency in executing the transportation and local emergency response plans.

There are five major types of exercises that comprise this program, each with a different purpose and requirements.

- ⇒ An orientation seminar is an informal discussion designed to familiarize participants with roles, plans, procedures, and resolve questions of coordination and assignment of responsibilities.
- ⇒ A tabletop exercise simulates an emergency situation in an informal, stress-free environment. It is designed to elicit discussion as participants examine and resolve problems based on existing crisis management plans.
- ⇒ A drill is a set of supervised activities that test, develop, or maintain skills in a single response procedure (e.g., communications, notification, lockdown, and fire) and the possible or probable interaction with local government agency functions (e.g., incident command posts, rescue squad entry, and police perimeter control) that will involve actual field response. Drills help prepare for more complex exercises in which several functions are simultaneous coordinated and tested.
- ⇒ A functional exercise is a fully simulated interactive exercise that tests one or more functions in a time-pressured realistic situation that focuses on policies, procedures, roles, and responsibilities.
- ⇒ A full-scale exercise evaluates the operational capability of emergency response management systems in an interactive manner. It includes the mobilization of emergency personnel and the resources required to demonstrate coordination and response capability. A full-scale exercise tests total response capability in a manner as closely resembling a real emergency as is possible.

Many systems prefer to start out on a small scale and move toward more sophisticated exercises. This process builds experience, confidence and success for the program, within both the transportation system and the local response community. FEMA, the Department of Justice, Office of Domestic Preparedness, and the National Response Team¹¹ (NRT) all recommend that systems work their way through a consistent and dedicated program, building from orientation

¹¹ A group of 14 Federal agencies, including the US DOT, FEMA, and EPA, responsible for coordinating federal planning, preparedness, and response actions related to oil discharges and hazardous substance releases.

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seminars and tabletops, to drills and functional exercises, and lastly, to full-scale exercises.

As part of its program for national preparedness and capabilities assessment, FEMA urges local communities to perform one full-scale exercise every three years, with tabletops and functional exercises conducted during off years. Most LEPCs perform one full-scale exercise every five years, though many are now working toward implementing a biennial exercise schedule.

Each transportation system should consider several factors in deciding the scope of its exercise program (particularly if initiating the first exercise).

- ⇒ How fixed are system emergency response plans and procedures? Have they ever been used in actual situations, or are they still in progress?
- ⇒ What is the nature and extent of risk posed by various threats located in or near the transportation system?
- ⇒ What are the existing response capabilities of the community?
- ⇒ What level of funding is available to support the exercise?
- ⇒ Is the system scheduled to participate in other exercises, tabletops, or drills within the next 6 to 12 months?

In answering these questions, the system can determine if it should take advantage of orientation seminars and tabletops to communicate emergency response concepts and planning principles to its personnel and familiarize local responders with the transportation environment; or if previous response experience and perceived need and opportunity suggest a more ambitious course.

7.5 Designing Exercises

The CD-ROM for this Guide contains several references on developing exercises. Scenarios, which provide the overall outline of how an exercise will be conducted, typically include an event narrative (to get all participants on the same page and set conditions), a major and detailed sequence of events, problems or messages, and expected actions. Scenarios also contain objectives and evaluation criteria to be used by the system to evaluate its performance and support debriefing and critiques. Some key issues to consider when planning exercises are presented below.

- ⇒ What are the highest priority natural, technological, or man-made hazards or threats to the system?
- ⇒ What physical or geographical components of the transportation operation are most vulnerable to these threats?
- ⇒ What agencies and personnel need to participate in an exercise?

⇒ What preparedness functions are most in need of rehearsal?

A realistic exercise scenario provides the best opportunity for a response organization to evaluate its emergency plan, training, and overall preparedness to operate under emergency conditions. There are several ways to incorporate realism into an exercise scenario. Extensive information regarding scenario development is also provided on the Guide CD-ROM. Table 14 provides some tips on how to develop an exercise.

Table 14: Exercise Development Checklist¹²

1. ASSESS TRAINING NEEDS	5. WRITE MAJOR DETAILED EVENTS
⇒ Analyze the threats and hazards	⇒ Plan exercise enhancements or props, maps, color cards, computers, radios, etc.
⇒ Determine suitable exercise types	⇒ Prepare evaluation plan and checklists
⇒ Assess capability	⇒ Nominate an evaluation team to determine how objectives will be evaluated and how actions by participants will be monitored and measured against plans and procedures
⇒ Conduct pre-exercise drills or rehearsals	
2. DEFINE THE SCOPE	6. IDENTIFY EXPECTED ACTIONS
⇒ Subject of exercise	⇒ Reference procedures, rules, plans, and training
⇒ Location of exercise	
⇒ Participants in exercise	7. PREPARE MESSAGES/PROBLEMS
⇒ Functions to be tested	⇒ Conduct pre-exercise briefings
	⇒ Plan post exercise actions
3. WRITE A STATEMENT OF PURPOSE	⇒ Issue final exercise report or after-action report
⇒ Prepare pre-exercise notification	
⇒ Obtain support from project team	8. TRACK EXERCISE-RELATED COSTS
⇒ Coordinate with participating personnel and organizations	⇒ Wages
⇒ Schedule the exercise and develop planning milestones	⇒ Materials and supplies
⇒ Coordinate logistics, such as facilities, equipment, and support	⇒ Contractors
⇒ Organize design and evaluation teams	⇒ Emergency services
4. DEFINE EXERCISE OBJECTIVES	
⇒ Verify the ability to respond to an emergency situation	
⇒ Validate train operator, controller, and field supervisor training	

¹² In 2002, the Federal Transit Administration (FTA) began issuing and administering grants for the performance of Emergency Preparedness Drills for the top 100 transit agencies. In FTA's Grant Processing Guidelines, exercise goals and objectives, drill requirements, and eligible expenses were identified. The "Fact Sheet" for the guidelines is in Appendix E.

7.6 Exercise Evaluation

The extent and depth of the evaluation should be based on the transportation system’s internal objectives, the participating agencies’ needs and resources, and any state and federal technical assistance that may be available. State guidelines for CAR reviews, several of which are included on the Guide CD-ROM, provide useful checklists for consideration. FEMA and EPA both have evaluation guides, also presented on the CD-ROM, to support this effort. A sample evaluation checklist for the exercise program is provided in Table 15.

Table 15: Checklist for Evaluating the Transportation Emergency Exercise Program
Attribute 1: The System Has Established an Emergency Management Exercises Program

1.1	Designated responsibility is identified to coordinate the development and implementation of emergency management exercises.
1.2	The designated staff with responsibility for coordinating the system’s Emergency Management Exercise Program has adequate access to top management and to required resources to conduct or participate in the exercises.
1.3	The designated staff coordinates closely with the local emergency planning community (EMA, LEPC) and local law enforcement to remain apprised of community exercises and to encourage system participation in those exercises.
1.4	The system seeks out technical assistance from various levels of government and private entities during the exercise planning.
1.5	Actual disaster or emergency operations experience is factored into exercise planning.
1.6	Results from the system’s capabilities assessment, vulnerability self-assessment, and ongoing threat and vulnerability assessment are factored into the exercise planning.
1.7	Identified corrective actions, lessons learned, and new technology and/or procedures are factored into exercise planning.

Attribute 2: The System Exercises its Emergency Plan and Procedures on an Annual Basis

2.1	The system sponsors and conducts a functional, full-scale, or tabletop exercise annually.
2.2	The system participates in one or more functional, full-scale, or tabletop exercise sponsored by Federal, State or local government department/agency annually.

Attribute 3: A multi-year exercise schedule is published and maintained.

3.1	The system incorporates regulatory required local, state, and federal-sponsored exercises into its schedule.
3.2	The schedule is updated and published at least semiannually.
3.3	The schedule is developed in consultation with local and state agencies.

Attribute 4: Exercises for System Support to Hazard-Specific Programs Comply With Necessary Regulatory Requirements

4.1	Radiological emergency preparedness (REP) exercises are conducted (if transportation support is provided).
4.2	Chemical stockpile emergency preparedness program (CSEPP) exercises are conducted (if transportation support is provided).

Table 15: Checklist for Evaluating the Transportation Emergency Exercise Program

4.3	Dam emergency action plan (EAP) exercises are conducted as required by the Federal Energy Regulatory Commission (FERC).
4.4	SARA Title III exercises are conducted (if transportation support is provided).
Attribute 5: The System Has Exercised its Emergency Plan and Supporting Procedures Using A WMD Terrorism Response Scenario in the Past Two Years	
5.1	The system has conducted or participated in a tabletop or functional exercise using a WMD terrorism scenario.
5.2	The system has conducted or participated in a full-scale exercise using a WMD terrorism scenario.
5.3	The system has participated in a state or federal tabletop or functional exercise using a WMD terrorism scenario.
5.4	The system has participated in a state or federal full-scale exercise using a WMD terrorism scenario within the past two years.
Attribute 6: The System's Emergency Management Exercise Program Contains an Evaluation Component	
6.1	The system's exercise evaluation methodology is based on clearly delineated evaluation principles.
6.2	The evaluation principles are formally documented, designed for easy use and implementation, and reviewed to ensure their ongoing validity.
Attribute 7: The System Utilizes A Corrective Action Program or Lessons Learned to Strengthen its Emergency Management Program	
7.1	The system has developed corrective action guidance documents.
7.2	Corrective action guidance is applicable to local agencies with emergency management responsibility.
7.3	The corrective action program uses the lessons learned from exercises and actual disasters to modify the EOP and associated SOPs, checklists, field operating guides, and training manuals.

For systems initiating this process, it may be useful to designate an experienced local responder or contractor as the exercise evaluator. This individual can review plans and procedures, support development of exercise objectives, and provide both a third-party assessment of performance and facilitate the group debriefing.

There are several key issues to consider when developing and evaluating exercises.

- ⇒ With regard to internal alerting, the system should demonstrate its capabilities to receive and process emergency calls and initiate emergency action. Twenty-four hour emergency contact information should be available for all key personnel. Sufficient personnel redundancy should be exercised to evaluate the agency's capabilities around-the-clock operations for the duration of an emergency when warranted.
- ⇒ In respect to the appraisal of a situation, decision-makers need to know the date, time and location of the incident. They also will want information about

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- injuries, signs and symptoms (if appropriate), weather conditions, terrain, and names of on-site personnel. A pre-printed response form should be used to assemble information to help determine the most appropriate action. System personnel should demonstrate their capability to perform an effective incident size-up and to define the critical issues of the incidents.
- ⇒ Transportation procedures should be sufficient to ensure identification of the person in charge, the chain of command, the on-scene authority, and any technical, maintenance or media-relations personnel requirements. Transportation personnel should demonstrate the capability to bring these resources to the scene, to determine who will seek further help, if required, and how these personnel will communicate with emergency responders (mobile telephone, radio, walkie-talkie, etc.).
 - ⇒ With respect to the use of on-scene tools, flow charts and checklists are valuable decision-making tools for condensing information. They should contain sufficient detail to ensure that all critical activities are covered. Letters of agreement and emergency response contracts should also be included. Transportation personnel should demonstrate their proficiency in using these materials.
 - ⇒ In regard to external alerting, the system should demonstrate its capability to notify fire and local law enforcement departments, emergency organizations, federal and state authorities, news media, and volunteer or off-duty workers.
 - ⇒ Concerning lead local responder's, the system should also identify its capabilities to recognize the agency that will lead in responding to an emergency and to integrate it into the ICS established by this agency.
 - ⇒ With contact lists, the system should demonstrate that it has an accurate, up-to-date telephone roster for emergencies that may include individuals within the organization, regulatory contacts, containment and cleanup equipment contractors, technical specialists, public health and environmental authorities, and the news media. For telephones not staffed 24 hours a day, the times they will be answered should be included.
 - ⇒ Concerning communications, the system should demonstrate the effective operation of the communications network to be used to support response, including operational procedures for the use of pagers, telephones and cell phones, public announcement systems, and radios and the different frequencies used by various response organizations. System personnel should identify radio links among those performing similar functions and specify those who are allowed to use radios or telephones. Some equipment must be spark-free to avoid explosion and fire hazards.
 - ⇒ With respect to logistics, system personnel should demonstrate their capabilities to get people and equipment to the site, including the procedures to be followed to ensure sufficient support during the crisis and how crews will be supplied for the duration of the incident.

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- ⇒ In relation to equipment and materials, the transportation system should have an equipment inventory identifying resources available to support emergency response. During exercises, transportation personnel should demonstrate their capabilities to identify and marshal appropriate resources based on the type of incident, the climate, scene access considerations, the speed of local law enforcement and fire services response, the availability of specialized contractors and prior agreements or contracts for services. Outside expertise, contractors, staff and equipment should be evaluated in advance. As appropriate, transportation personnel should know the calibrations and limitations of instruments used to identify and monitor substances.
- ⇒ When dealing with issues around protective equipment, transportation systems should have a clear policy on its use. Transportation personnel trained to use this equipment should demonstrate their capabilities to consider the circumstances at the scene including climate, season, visual conditions, restriction of movement, and need for decontamination to ensure that protective equipment will not hinder performance.
- ⇒ Transportation personnel should demonstrate their capabilities to establish their response organization, recognize roles of key personnel, and ensure the assignment of personnel with appropriate qualifications to appropriate duties at the scene.
- ⇒ If the system has a formal written, mutual aid agreement with another agency, then personnel should demonstrate their capabilities to notify and request this support. The extent of the assistance agreed to will be considered in the overall evaluation of participation in the exercise.
- ⇒ When coordinating with the news media, the transportation system should demonstrate its capabilities to support effective media relations and to coordinate with the media regarding the dissemination of information to help ensure public safety.

8 Design and Technology Review

This section provides an overview of security design and technology solutions and mitigation measures available to support improved transportation security and preparedness in the operational environment. The CD-ROM for this section provides an inventory of design and technology alternatives for consideration by transportation personnel.

Enhancing physical security in the transportation environment involves a unique combination of requirements driven by the identification of threats, the system's expectation for passenger protection and security, the opportunities for integration of design and technology measures, the financial and physical constraints of the facility, vehicle and operation, and the technology available for a specific security function.

Public transportation cannot be protected like commercial aviation. Trains, buses, and paratransit vehicles must remain readily accessible, convenient, and inexpensive for users. Passenger profiling (including the deployment of computer databases and networks), metal detectors, X-ray machines, explosive sniffers, hand searches, and armed guards, having become features of the landscape at airports, cannot be transferred easily to subway stations, bus stops, paratransit vehicles, automated guideway systems, ferries, and other surface transportation modes. The delays would be enormous, the costs prohibitive, and passengers would seek alternative transport options.

This does not mean that nothing can be done. On the contrary, transportation operators and security officials, in areas more susceptible to terrorist attacks, have developed some effective security countermeasures. Although no one can entirely prevent terrorist attacks, good security measures can make terrorist operations more difficult, increase terrorist detection and identification, keep casualties and disruptions to a minimum, reduce panic, and reassure alarmed passengers in a crisis. Good security measures also assure employees and passengers on a daily basis that the system is safe and secure.

8.1 Security by Design

When designing facilities and procuring vehicles, transportation systems address a multitude of considerations, including security. In today's environment, however, security has taken on new requirements that require facility design (architects) and transportation (planners and engineers) professionals to consider an enhanced range of threats, vulnerabilities, and countermeasures. Balanced assessments of physical design and technology support the development of facilities and transportation services that effectively address needs for accessibility, mobility, security, and emergency preparedness.

Physical design and security technology measures typically involve the use of barriers, ranging from fences and walls to electronic surveillance and intrusion detection devices, to prevent attacks on individuals and facilities and the theft or destruction of valuable items. Police and security personnel may be used to

monitor the barriers and control access to the facility through the barriers. Design, technology, and personnel security solutions can be integrated to deny terrorists what they seek. For terrorist organizations, attacks on protected facilities may generally:

- ⇒ require more personnel than attacks on less secure facilities;
- ⇒ require more sophisticated weaponry and tactics; and
- ⇒ result in more casualties (e.g., killed, wounded, or taken hostage).

Physical security measures may also have a positive psychological affect on personnel within the secure area, because the threat of violence is reduced, and the system's commitment to security is visibly demonstrated. Of course, security design and technology have impacts on the transportation organization in terms of the costs to design, install, and maintain these measures. The costs must be weighed against expected benefits and available resources.

8.2 Crime Prevention Through Environmental Design and Situational Crime Prevention

Situational Crime Prevention strategies have as their basic premise that the physical environment can be changed or managed to produce behavioral effects that will reduce the incidence and fear of crime – and the perceptions of fear – thereby improving in the quality of life, and enhancing profitability for patronage.

Like all situational crime prevention strategies, Crime Prevention Through Environmental Design (CPTED) has as one of its primary aims to reduce the opportunity for specific crimes to occur. Where CPTED differs from traditional target hardening strategies is that CPTED traditionally focuses on design techniques and use of a particular space. Its main goal is to create an environment that does not tolerate crime.

Situational Crime Prevention (SCP) strategies use CPTED design solutions and integrate them with management policy and legal or prosecution measures. For example, to resolve pay phone fraud at a major transportation terminal, an SCP solution would involve both surveillance and environmental controls, and the provision of “call trace” facilities to private telephone subscribers.

Both CPTED and SCP create physical and social conditions through environmental design in selected environments aimed at reducing both crime and the fear of crime. SCP typically addresses physical measures, modifies existing operating procedures, and addresses the specific nature of crime.

While CPTED is invaluable in the initial design of the transportation system environment, SCP offers many advantages during the operational life cycle of the system. As opposed to other methods of crime prevention strategies that may require many years to produce a reduction in crime (e.g., Operation Head Start that intervenes in lives of three- to four-year-olds), SCP efforts reduce crime relatively quickly after intervention. These preventive measures are focused on reducing opportunities for specific forms of crime. Solutions for a particular crime in a

particular situation, however, will not necessarily work in other situations for other types of crime. Therefore, identifying and designing appropriate measures based on an accurate understanding of the success of offenders is essential.

CPTED and SCP techniques stress the importance of including operations, maintenance, and security representatives during the design and procurement stages to aid in the specification, selection, installation, and acceptance of system components. The National Crime Prevention Institute, the American Society of Industrial Security, and the American Institute of Architects teach both strategies, emphasizing the designation, definition, and design of human space.

- ⇒ Designation – the purpose or intention of the space
- ⇒ Definition – the social, cultural, legal, and psychological ways that the space is defined
- ⇒ Design – the prescribed or intended behaviors of the space

Some major CPTED/SCP strategies are listed below.

- ⇒ Provide clear border definition of controlled space. The borders of the space can be defined by using physical objects, like fences, signs, symbols, distinctive wall colors, or pictures.
- ⇒ Provide clearly marked transition zones. Transition zones let people know when they are moving into the controlled space.
- ⇒ Relocation of gathering areas. Gathering places can be placed where they are easy to monitor and where access can be controlled.
- ⇒ Place safe activities in unsafe locations. Safe activities attract users and the system can monitor undesirable users. In essence, the activities will attract enough people, assuring that no undesirable behavior occurs without being seen.
- ⇒ Place unsafe activities in safe locations. Unsafe activities can be placed in locations that permit public view and access control.
- ⇒ Redesign the use of space to provide natural barriers. Conflicting activities can be located far apart, separated by a wall, building, or other activities.
- ⇒ Improve scheduling of space. Activities can be scheduled to reduce the likelihood of conflicts and to make it easier to control behaviors.
- ⇒ Redesign or revamp space to increase the perception of natural surveillance. The placement of windows, lines-of-sight, and walkways can increase the feeling of security by increasing the likelihood of surveillance, even without security cameras and other electronic monitoring devices.

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- ⇒ Overcome distance and isolation. Natural surveillance can be facilitated. For example, communications equipment, such as payphones, provide access to assistance. The placement of restrooms near entrances facilitates surveillance of people entering and exiting buildings.

Some CPTED/SCP planning principles and accompanying design strategies most often used in the transportation environment are listed below.

- ⇒ Plan for concentric security zones and space transitions. Site selection, building clusters, individual building placement and internal configuration of buildings should incorporate the principle of concentric circles of increasing security and overt transitioning between spaces. The outermost ring or perimeter should be the first line of defense and should contain the public activities. Continuing inward, greater security measures should be incorporated as one approaches private or high-risk areas. Prominent use of signage, architectural elements, and natural or human made barriers should be utilized to signify the transition from public to semi-private to private space. Clear border definition should be provided for the controlled space.
- ⇒ Implement natural surveillance. Legitimate users of the space, observers, or visitors to an area, and persons performing security functions for a space, should observe activities in their environment. Abnormal users should have the perception or reality that their behavior will be observed, while legitimate users feel secure knowing others are present. The prudent use of landscape materials should ensure clear sight lines at grade level and should not create areas of concealment or provide a climbing path to the upper levels of buildings. The use of glazing, the placement of amenities, the style of fencing materials and architectural elements should foster an open environment and eliminate areas of concealment.
- ⇒ Provide natural access control. Legitimate users of the space should be made to feel welcome and secure, while discouraging the entry of undesirable users. Access to the site, parking areas, and accompanying structures should be well defined and incorporate a welcome or sense of arrival. The main entrance to a site, parking area, or structure should be sufficiently sized to accommodate the normally expected ingress and egress demands. Supplemental entry and exit ways should be securable or have the ability to be closed off. Signage and natural barriers should inform legitimate users of the space of appropriate directions and the rules pertaining to the areas, eliminating excuses for a user's unacceptable behavior.
- ⇒ Dictate territorial behavior strategies. Utilize the physical design, signage, or other elements to reinforce the sense of proprietorship within an area. The design of a space should reflect the designated purpose and function of the space. Clearly defined defensible space will enhance the users' sense of ownership, while denying criminals the anonymity they seek. Physical design should support the activities of the legitimate users of the space. Design of architectural elements and amenities should not attract undesirable

behaviors, such as loitering. Consider the potential for conflicting activities in a space. Provide natural barriers for these conflicting activities.

- ⇒ Provide good lighting. Desired users of the space should encounter consistent, well-lit, clean spaces to enhance their feeling of safety. The designated purpose of lighting must be properly identified. If the purpose of lighting is to enhance the security of an area, it should be sufficient to support the principles of natural surveillance. The application of lighting should be uniform, consistent and contain overlapping zones of coverage. Special situations (e.g., CCTV surveillance, parking garages) will require further lighting analysis.

SCP techniques can be implemented during system design, renovation, and/or response to specific crimes. The following two tables are examples of SCP technique utilization by the Washington Metropolitan Area Transit Authority (WMATA) and New York City Transit.

WMATA designed its system for an open environment, optimizing employee and natural surveillance capabilities. The following table describes these features.

Table 16: Security by Design - WMATA

Area Addressed	Preventative Efforts
Supporting Columns	<ul style="list-style-type: none"> • Decreased number to reduce cover for criminals
Entrances, Exits, and Pathways	<ul style="list-style-type: none"> • Designed long and straight pathways, stairways, and escalators • Eliminated corners to reduce shadows and decrease transient occupation
Lighting and Maintenance	<ul style="list-style-type: none"> • Used recessed lighting to reduce shadows and enhance the environment • Excluded public bathrooms in design to eliminate undesirable activity • Recessed walls and bars installed in front to discourage graffiti • Placed litter bins on platforms • Implemented policy directing the cleaning of graffiti and repairing of vandalism within 24 hours of incident
Security Devices	<ul style="list-style-type: none"> • Installed CCTVs on the end of each platform, deterring criminals • Installed kiosks at entrances to platforms • Installed passenger-to-operator intercoms • Installed blue light boxes with emergency phones every 600 feet
WMATA Transit Police and Personnel	<ul style="list-style-type: none"> • Added formal surveillance of facility • Required to enforce all facility rules • Trained to report all maintenance problems

As a result of SCP's flexibility, techniques of implementation are also effective in response to specific crimes. Target hardening at NYCT stations in the 1980s provides an example of the many SCP techniques employed in response to specific crimes. Select NYCT stations were experiencing the following fare evasion problems:

- ⇒ Walking through unmanned "slam" gates to enter the paid-fare area;
- ⇒ "Backcocking," or turning back the arms of the turnstile, and squeezing through;
- ⇒ Vaulting over waist-high turnstiles or low fence railings; and
- ⇒ Using slugs at stations with antiquated mechanical turnstiles.

The following table describes the changes implemented at the 110th Street and Lexington Avenue station in the Harlem District of upper Manhattan.

Changes at NYCT 110th Street and Lexington Avenue Station
To reduce fare evasion, NYCT implemented the following changes: <ul style="list-style-type: none">• Installed floor-to-ceiling railings,• Replaced older token devices with modern electronic models, and• Installed clerk-controlled "high wheel" turnstiles.

8.3 Security Technology

Once it is decided to use security technology to enhance surveillance and access control, technology systems must be considered part of a total security system and design approach. Each mechanical technique has distinct technological and operational characteristics and environmental reactions, along with differing requirements for installation and maintenance. To determine which security technology is the most cost effective and appropriate, each transportation system should consider the following questions.

- ⇒ How will the system be used? Is the system designed to prevent unauthorized access or intrusion, or to provide support for investigation and apprehension of criminals? What are the protocols for responding to alarms? What resources are available to manage false alarms? What priorities are placed on the system as a deterrent to crime versus functionality as a vital, day-to-day component of the security program? Can multiple users benefit from the system? Can CCTV deployed on platforms support operations and dispatch, as well as the transportation security function? Each security situation is unique, which means that there are no packaged solutions.

- ⇒ What are the operational aspects of a required security system, and what is their priority? Clear identification and prioritization of need is an important first step when investigating security technology. Does the CCTV system need to record camera feeds? Does the system need to be monitored? How fast and clear must images be transmitted from a transportation station or parking lot to a centralized location? Transmission systems may be expensive or limit system functionality and capabilities. They should be thoroughly investigated. What are the requirements for backup systems in power and hardware? How are the alarms assessed for effectiveness (e.g., with CCTV, lights, horns, bells, or printed records)? Does the system have tamper alarms, self-tests, or lightning protection? Each security system requires careful forethought for implementation and operation.
- ⇒ What are the environmental impacts that affect the security system? Examples of such conditions are weather, water or moisture, vegetation, and corrosion from dust, acid rain, and/or salt. The transportation environment can be challenging for electronic equipment. Housings, accessories, protective cabinets, and shielding should be considered to extend performance and reduce maintenance requirements.

8.4 Considerations from the Department of Justice

As a consequence of the Murrah Federal Building bombing in Oklahoma City during April 1995, the US Department of Justice (DOJ) assessed the vulnerability of federal facilities across the country and issued a report recommending minimum standards for building security. The DOJ's recommendations included standards based upon risk levels for specific buildings determined on the basis of such criteria as daily population and amount of public contact and assessments by building security committees with representatives from each of the agencies in the building.

The following is a list of the risk levels determined using DOJ criteria.

- ⇒ Level V – Buildings with mission functions critical to national security (e.g., the Pentagon and the CIA Headquarters in Langley, VA). Tenant agencies secure the building according to their own security requirements.
- ⇒ Level IV – Buildings with 451 or more federal employees, high level of contact with the public, more than 150,000 square feet of space, and high-risk tenant agencies with highly sensitive records.
- ⇒ Level III – Buildings with 151 to 450 federal employees, moderate to high level of contact with the public, 80,000 to 150,000 square feet of space, and tenants that might include law enforcement agencies, government records.
- ⇒ Level II – Buildings with 11 to 150 Federal employees, moderate levels of public contact, 2,500 to 80,000 square feet of space, and tenants that have routine missions.

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- ⇒ Level I – Buildings with 10 or fewer federal employees, low levels of public contact or contact with only a small segment of the population, and 2,500 square feet of space or less.

Public transportation systems with multiple facilities of various types may want to evaluate them using a similar method to ensure that strategic and critical facilities are protected to the highest cost-effective level and others, at the other end of the spectrum, are accepted as they are and not protected.

For all levels of facilities, DOJ recommended that 52 minimum security standards, including:

- ⇒ perimeter security, such as the control of parking facilities, identification systems for parking, closed circuit television monitoring, lighting with power backup, and physical barriers;
- ⇒ entry security, such as adequate shipping and receiving procedures, access control (including security guard patrols and intrusion detection systems with central monitoring), and screening and monitoring at entrances and exits;
- ⇒ interior security, such as employee or visitor identification, access control of utility areas, emergency plans, and relocation of daycare centers;
- ⇒ security planning, such as intelligence sharing among law enforcement and security agencies, adequate training and standards for security guards (including qualifications for unarmed and armed guards), grouping agencies with similar security requirements and risk levels, administrative procedures to minimize risk of crime to employees; and
- ⇒ construction or renovation to reduce risks, such as installing Mylar film on exterior windows to prevent shattering, attention to blast standards, adequate construction standards, and street setbacks for **new facilities**.

Based upon the DOJ standards, a building rated Level V (the highest risk) should have:

- ⇒ a controlled parking facility with adequate lighting and all unauthorized vehicles parked in the facility being towed;
- ⇒ CCTV camera surveillance with time lapse recording;
- ⇒ lighting with emergency backup;
- ⇒ adequate procedures for shipping and receiving;
- ⇒ intrusion detection systems with central monitoring;
- ⇒ life safety, e.g., fire detection and suppression systems that satisfy current standards;
- ⇒ x-ray and magnetometer devices at public entrances and x-raying of all mail and packages;
- ⇒ high security locks;
- ⇒ photo identification for personnel;
- ⇒ visitor control and screening;
- ⇒ visitor identification accountability system;
- ⇒ personal identification issuing authority;

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- ⇒ controlled access to utility areas and emergency power for critical security systems;
- ⇒ adequate occupant emergency plans, updated annually, and tested periodically;
- ⇒ adequate intelligence sharing and control and common threat nomenclature;
- ⇒ adequate training of security personnel, including guards;
- ⇒ background security checks and/or security control procedures for service contract personnel; and
- ⇒ Mylar film on exterior windows with standards for new construction that include blast resistance and setbacks from the street.

By contrast, the standards for Level I (the lowest risk) facilities include:

- ⇒ adequate exterior lighting with power backup;
- ⇒ review of shipping and receiving procedures to determine vulnerabilities;
- ⇒ upgraded life safety systems;
- ⇒ high security locks;
- ⇒ emergency power for critical security systems;
- ⇒ occupant emergency plans and training;
- ⇒ intelligence sharing and control and common threat nomenclature;
- ⇒ security training for personnel and security guards;
- ⇒ background checks and/or security control procedures for contract personnel; and
- ⇒ review of current projects for blast standards and uniform standards for construction.

Specific DOJ recommendations are excerpted below for each facility risk level. “M” indicates that the minimum standard should be applied, as specified in guidelines maintained by the General Services Administration (GSA). “F” indicates that the standard should be established based on facility-specific evaluation. “G” indicates that the standard is desirable (though not required), and “N/A” indicates that the standard is “not applicable.”

DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
	I	II	III	IV	V
PERIMETER SECURITY					
<i>Parking</i>					
Control of facility parking	G	G	M	M	M
Control of adjacent parking	G	G	G	F	F
Avoid leases in which parking cannot be controlled	G	G	G	G	G
Leases should provide security control for adjacent parking	G	G	G	G	G
Post signs and arrange for towing unauthorized vehicles	F	F	M	M	M
ID system and procedures for authorized parking (placard, decal, card key, etc.)	G	G	M	M	M
Adequate lighting for parking areas	G	G	M	M	M
<i>Closed circuit television (CCTV) monitoring</i>					
CCTV surveillance cameras with time lapse video recording	G	F	F	M	M

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DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
Post signs advising of 24 hour video surveillance	G	F	F	M	M
Lighting					
Lighting with emergency power backup	M	M	M	M	M
Physical barriers					
Extend physical perimeter with concrete and/or steel barriers	N/A	N/A	G	F	F
Parking barriers	N/A	N/A	G	F	F

DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
ENTRY SECURITY	I	II	III	IV	V
Receiving/Shipping					
Review receiving/shipping procedures (current)	M	M	M	M	M
Implement receiving/shipping procedures (modified)	G	F	M	M	M
Access control					
Evaluate facility for security guard requirements	G	F	M	M	M
Security guard patrol	G	G	F	F	F
Intrusion detection system with central monitoring capability	G	F	M	M	M
Upgrade to current life safety standards (fire detection, fire suppression systems, etc.)	M	M	M	M	M
Entrances/Exits					
X-ray and magnetometer at public entrances	N/A	G	F	F	M
Require x-ray screening of all mail/packages	N/A	G	F	M	M
Peepholes	F	F	N/A	N/A	N/A
Intercom	F	F	N/A	N/A	N/A
Entry control with CCTV and door strikes	G	F	N/A	N/A	N/A
High security locks	M	M	M	M	M

DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
INTERIOR SECURITY	I	II	III	IV	V
Employee/Visitor identification					
Agency photo ID for all personnel displayed at all times	N/A	G	F	M	M
Visitor control/screening system	G	M	M	M	M
Visitor identification accountability system	N/A	G	F	M	M
Establish ID issuing authority	F	F	F	M	M
Utilities					
Prevent unauthorized access to utility areas	F	F	M	M	M
Provide emergency power to critical systems (alarm systems, radio communications, computer facilities, etc.)	M	M	M	M	M
Occupant emergency plans					
Examine occupant emergency plans (OEP) and contingency procedures based on threats	M	M	M	M	M
OEPs in place, updated annually, periodic testing exercise	M	M	M	M	M
Assign & train OEP officials (assignment based on largest tenant in facility)	M	M	M	M	M
Annual tenant training	M	M	M	M	M

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DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
Daycare centers					
Evaluate whether to locate daycare facilities in buildings with high threat activities	N/A	M	M	M	M
Compare feasibility of locating daycare in facilities outside locations	N/A	M	M	M	M

DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
SECURITY PLANNING	I	II	III	IV	V
Intelligence Sharing					
Establish law enforcement agency/security liaisons	M	M	M	M	M
Review/establish procedure for intelligence receipt and dissemination	M	M	M	M	M
Establish uniform security/threat nomenclature	M	M	M	M	M
Training					
Conduct annual security awareness training	M	M	M	M	M
Establish standardized unarmed guard qualifications/training requirements	M	M	M	M	M
Establish standardized armed guard qualifications/training requirements	M	M	M	M	M
Tenant assignment					
Co-locate agencies with similar security needs	G	G	G	G	G
Do not co-locate high/low risk agencies	G	G	G	G	G
Administrative procedures					
Establish flexible work schedule in high threat/high risk areas to minimize employee vulnerability to criminal activity	F	F	G	G	G
Arrange for employee parking in/near building after normal work hours	F	F	F	F	F
Conduct background security checks and/or establish security control procedures for service contract personnel	M	M	M	M	M

DOJ RECOMMENDATIONS	LEVEL OF SECURITY				
CONSTRUCTION/RENOVATION	I	II	III	IV	V
Install Mylar film on all exterior windows (shatter protection)	G	G	F	M	M
Review current projects for blast standards	M	M	M	M	M
Review/establish uniform standards for construction	M	M	M	M	M
Review/establish new design standards for blast resistance	F	F	M	M	M
Establish street setback for new construction	G	G	F	M	M

A full description of these standards is available in *Vulnerability Assessment of Federal Facilities*, Department of Justice, Washington, D.C., June 28, 1995.

8.5 Assessing Technology Options

Successful implementation of security technologies in the public transportation environment requires a process that addresses three key elements:

1. Needs assessment
2. Performance and cost evaluation
3. Training and maintenance considerations

Public transportation agency decision-makers responsible for security technology procurement and deployment – whether it is a single individual or a committee – should use a systems approach to technology selection no matter how simple or complex the process. The analysis of needs, performance, cost, training, and maintenance should consider all phases of project development, integration and testing when possible.

Using the goals and objectives developed through the application of Section 3 preparedness principles, the capability assessment in Section 4 and the assessment of threats and vulnerabilities based on strategies referenced in Sections 5 and 6, the public transit system should have a strong sense of its security technology needs. These activities will provide the public transportation system clear purposes for security technology deployment. The next step is to evaluate current technology performance and cost within the public transportation system's security need framework.

In response to the events of September 11, counter-terrorism technology is being developed at a pace that makes it difficult to assess the ability of new technologies to function as advertised and determine the relative value of different technologies. The absence of an independent testing organization for transportation systems (and others who must secure publicly accessible infrastructure) is a problem left unresolved by the President's Commission on Critical Infrastructure Protection (PCCIP) and successor organizations in the federal government.

Budgetary decisions by federal, state, and local governments to make capital funds available for security technology enhance this problem, since no strategic plans have been developed to ensure that transportation operators are getting the best tools they need for their resources. The DOJ guidelines described above remain the only widely accepted set of objectives for security planning. While extremely useful, these guidelines address federal buildings, and are not generally applicable to the deployment of security technology in the transportation environment.

8.5.1 Available Technologies

Many families of technologies are now being offered to support homeland security and emergency management.

- ⇒ Devices for gaining access control are primary devices for physical security, such as electronic access control systems, card reader technology, proximity technology, fingerprint systems, keyless

entry systems, telephone or keypad entry systems, and traditional lock-and-key technology. For non-revenue facilities, emphasis in this area generally focuses on integrating employee identification badges with parking lot and facility access control systems. For revenue areas, this technology strengthens the capability to protect restricted areas and deny access to those who do not belong. Biometric technologies (e.g., facial recognition devices) are rapidly advancing and now offer a number of devices that scan faces, fingerprints, retinas or other unique human identification characteristics. When integrated with CCTV, intrusion detection and facility management systems, biometric technology supports the smart monitoring of alarms and systems, reducing personnel costs and perhaps increasing overall system performance.

- ⇒ Intrusion detection sensors (IDS) are customarily used to detect an intruder crossing the boundary of a protected area. They can be deployed on the interior or exterior of a building and are designed to operate in a variety of harsh environmental conditions compatible with the transportation environment. The detection function must be performed with a minimum of unwanted alarms, such as those caused by wind, rain, ice, standing water, blowing debris, animals, and other sources.

- ⇒ CCTV surveillance establishes surveillance or visibility to enhance monitoring of areas, facilities, and transportation vehicles. Whether the CCTV system is being utilized for mobile surveillance or facility surveillance, many of the system components are similar (e.g., cameras, recording medium, etc.). The most obvious exception is the transmission medium, with the exception of wireless technology. Public transportation systems implement formal surveillance through CCTV to support efforts to deter those with criminal intent, reassure passengers that the area or vehicle is supervised, and identify offenders to help secure their conviction. The installation of passenger communication systems can extend the effectiveness of CCTV and of transportation personnel in responding to calls for advice or assistance. CCTV surveillance, whether on-board a transportation vehicle or at a system facility, can support implementation in a manner that creates a networked digital video system that simultaneously records digital video and indexes the date, time, and event effectively for archival storage.

- ⇒ Automatic vehicle location (AVL) systems determine the real-time positions of transportation vehicles using onboard computers, electronic tags, and a positioning system (e.g., global, sign post, or dead-reckoning). This information is then relayed to a central location. Public transportation systems around the country are currently using AVL as the basis for advanced two-way communication, including mobile data terminal systems.

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- ⇒ Mobile data terminal systems take AVL a step further and move the dispatcher and driver relationship into the digital age. Instead of just reporting the vehicle's position, mobile data terminal systems allow for real-time communication between the dispatcher and driver while allowing the driver to operate the vehicle. Currently, this equipment is being utilized primarily by the paratransit industry.
- ⇒ Silent alarm and emergency signals are key tools in protecting the safety of the bus driver and passengers, especially with today's heightened security needs. When integrated with a mobile data terminal and activated by the operator, the transportation or paratransit vehicle immediately transmits the emergency alert to the central dispatch center along with a current vehicle location derived from the on-board Global Positioning Satellite (GPS) system. Dispatch center personnel then pass this alert on to local law enforcement personnel, who can send the closest unit to the vehicle's location. This type of system often has special applicability for rural environments, where transportation vehicles may typically have long runs in secluded and sparsely populated areas.
- ⇒ Intelligent Transportation Systems (ITS) apply advanced communication, information and electronics technology to solve existing transportation problems. In its simplest form, ITS is a data and information sharing mechanism. Where feasible, ITS programs take a building block approach to technology. Using computer, telecommunication, aerospace, defense sensors, and other smart technologies, upgradeable, stand-alone systems can be deployed to provide near-term benefits. Integrating these building blocks will facilitate more comprehensive and effective systems in the future.
- ⇒ Scanner, sniffer, and sensor devices detect chemical and biological agents, nuclear materials, or even the presence of humans in a particular location. They also track the movement of people or things.
- ⇒ Data mining and related database information technology is used to compile, correlate and analyze existing or developed information to look for patterns and clues.
- ⇒ Information security technology is designed to support voice and data transmissions, networks, and electronic infrastructure to ensure that transportation systems are protected. Only authorized individuals are given access to critical facilities or areas of operations.

8.5.1.1 Considerations for Technology Evaluation

Experienced transportation system authorities have identified several critical elements in successfully evaluating and selecting security technology. The more approaches considered, the more successful a transportation system may become in acquiring both the type and amount of technology to make a difference.

Security budgets are always considerations, therefore decision-makers must be diligent in measuring the performance and cost of potential technology against the agency's needs. The considerations identified below can be included in the decision-makers strategy for technology assessment and address the final two elements in security technology evaluation and deployment.

- ⇒ Technology decisions should be made in the context of an overall strategic plan. Ideally, this should be the transportation system's strategic plan, integrated with the community's overall jurisdictional threat assessment and preparedness planning objectives for major facilities (if available and applicable). If such local plans do not exist, then the transportation system should consider creating a strategic plan to provide a context and framework against which to judge technology acquisitions. Veteran transportation managers recommend that, if there is no strategic plan for security technology, do not make any purchases. The negative consequences of poorly designed and ill-suited technology programs, which fall into disrepair, outweigh the potential for getting lucky. Failed technology purchases will become liabilities associated with the security program in future budget negotiations and will be difficult to overcome in the long term.
- ⇒ Develop a project budget that includes hardware and software estimates, as well as estimates for testing and integration of the technology, training staff, administering or contracting for maintenance, and upgrades. Without proper and extensive cost analysis, technology may present numerous "hidden" costs. Finally, costs for the ongoing use of the technology (i.e., staffing to support CCTV monitoring, or intrusion detection alarm response) should be considered.
- ⇒ When looking at a particular technology, evaluate multiple vendors. In the case of some technologies, there are relatively few vendors. In others, vendors are plentiful. Take the time to get to know a broad range of vendors and establish relationships with several of them. The development of vendor selection criteria can be useful and can be accomplished by contacting other transportation systems. The goal of developing the selection criteria is to assist in the evaluation of vendor bids.

- ⇒ Perform rigorous field-testing and observe demonstrations. Vendors make lots of claims about their products. However, each transportation system should test the technology against real-world applications. Experienced transportation system managers recommend field-testing several competing products in a formal evaluation to see which works the best. This process can be supplemented with recommendations from peers and agencies such as APTA and the Community Transportation Association of America (CTAA), which may have made similar acquisitions, and may be willing to share whatever research, literature and information about the product or technology used to support decisions.
- ⇒ If practical, ensure inter-operability with emergency communications channels and equipment. This is not always easy or even possible, but it does make response and day-to-day working relationships easier in the long run. The best case is to coordinate strategic plans and technology acquisitions with local public safety agencies in the transportation system's service area. Joint purchases of communications equipment and infrastructure should also be considered, as these may provide the most cost-effective and practical way to ensure interoperability.
- ⇒ Buy smart. Wherever possible, acquire technology that is scalable, upgradeable, expandable, flexible, and versatile. Seek to acquire products that can grow along with the transportation program without the need to be re-engineered to accommodate new tactics or even additional new technology.
- ⇒ Develop technology skills. Informed professionals make the best technology decisions. With technology permeating almost every area of transportation operations and security and emergency management, it is necessary to acquire some basic familiarity and skill. Experienced transportation system managers emphasize that, if those procuring security technology do not develop technology skills and expertise, they may be unable to effectively procure, develop, sustain, and implement security technology programs.
- ⇒ Create a trusted agent. Given that it would be virtually impossible for any single transportation operator to effectively test much of the sophisticated technologies that are newly available, consideration should be given to the creation of a trusted agent that is neutral and skilled. Various laboratories and engineering firms offer services to assess technology and support technology acquisitions.
- ⇒ Establish protocols and procedures for the performance of background investigations for contractors and to secure sensitive

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documents such as blueprints, security systems and technology information. Special care should be taken to ensure that confidential and secure information is not easily accessed through the development of user-access level protocols.

Appendix A: Glossary of Terms

Security and Emergency Preparedness Terms

Assets: People, information, and property for which the public transportation system is responsible as legal owner, employer, or service provider.

Assets (Critical): A sub-category of assets whose loss has the greatest consequences for people and the ability of the system to sustain service. These assets may require higher or special protection.

Capabilities Assessment: A formal evaluation, conducted by the public transportation system, to identify the status of its security and emergency preparedness activities. This activity enables the system to determine its existing capacity to:

- ⇒ Reduce the threat of crime and other intentional acts
- ⇒ Recognize, mitigate, and resolve incidents that occur in service and on system property
- ⇒ Protect passengers, employees, emergency responders, and the environment during emergency operations
- ⇒ Support community response to a major event.

Consequences: The severity of impact and probability of loss for a given threat scenario. Consequences may be measured in qualitative or quantitative terms.

Countermeasures: Those activities taken to reduce the likelihood that a specific threat will result in harm. Countermeasures typically include the deployment and training of personnel, the implementation of procedures, the design or retrofit of facilities and vehicles; the use of specialized equipment, the installation of alarms/warning devices and supporting monitoring systems; and communications systems and protocols.

Crime Prevention: The systematic study of the interrelationships among those who commit crime, the location where crime occurs, and the victims of crime to identify patterns, and develop operational and design/engineering strategies to reduce the likelihood of crime and public fear. Two central elements of crime prevention include:

- ⇒ Crime Prevention through Environmental Design (CPTED): Set of design principles used by law public safety professionals, architects and engineers, to limit the ability of the physical environment to support criminal activity and public fear.
- ⇒ Situational crime prevention (SCP): A set of management, policy, and legal/prosecution measures applied within a physical space to address specific categories of criminal occurrences. SCP is often described as the operational equivalent of CPTED design principles.

Disaster: An event, incident, or combination of incidents, not necessarily related to transit operations, that causes multiple injuries or widespread property damage on the system or in the public transportation system's service area.

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Emergency: A situation which is life threatening to passengers, employees, or other citizens, or which causes significant damage to any transit vehicle or facility that require assessment and repair, or which reduces the ability of the system to fulfill its mission within its service area.

Emergency Operations Center (EOC): Special policy and incident management area, activated under certain conditions and staffed by representatives from the transit system, including top management, to serve as an information coordination point during special events or emergencies, and to authorize decisions that require/affect the legal authority of the system.

Emergency Operating Procedure (EOP): Any transportation system procedure that details activities to be performed by transit employees when normal operations are not possible.

Emergency Preparedness: a uniform basis for operating policies and procedures for mobilizing public transportation system and other public safety resources to assure rapid, controlled, and predictable responses to various types of transportation and community emergencies.

Evacuation of Passengers: The controlled removal of passengers from a bus, train or other transit vehicle during an emergency situation.

Incident Command System (ICS): A standardized on-scene incident management concept designed specifically to allow responders to adopt an integrated organizational structure equal to the complexity and demands of any single incident or multiple incidents without being hindered by jurisdictional boundaries. Key terms include the following:

- ⇒ **Command/Incident Commander:** The Command Function of an Incident Command System (ICS) is responsible for directing and/or controlling resources by virtue of explicit legal, agency, or delegated authority. The individual responsible for the overall management of the response is called the Incident Commander. The Command Function sets objectives and priorities and defines the ICS organization for the particular response. Even if other positions are not assigned, the Incident Commander will always be designated.
- ⇒ **Command Post:** A location at the site of an incident designated as the place from which the incident will be managed and through which all activities and communications will be coordinated.
- ⇒ **Command Staff:** The IC may appoint a person or persons to be in charge of specific staff functions including the Public Information, Safety, and Liaison functions. The members of the Command Staff report directly to the Incident Commander and will support, advise, and keep the other key functional managers informed. The Incident Commander may appoint functional managers responsible for specific tasks (operations, planning, logistics, and finance and administration). These tasks remain the responsibility of the

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Incident Commander unless they are delegated to someone else. The tasks are as follows:

- Operations: Operations Staff direct tactical actions to meet incident objectives, administer staging areas, and identify and utilize resources.
 - Planning: Planning Staff collect, evaluate, and display incident information; prepare an incident action plan; evaluate options; plan for demobilization; and maintain documentation.
 - Logistics: Logistics Staff provide adequate service and support to meet incident or event needs, including supplies, first aid, food, communications, transportation, and vehicle maintenance.
 - Finance/Administration: Finance and Administration Staff track incident costs, personnel and equipment records, claims, and procurement contracts; and provide legal expertise.
- ⇒ **General Staff**: The group of incident management personnel comprised of: the Incident Commander or Unified Command, the Operations Section Chief, the Planning Section Chief, the Logistics Section Chief, and the Finance/Administration Section Chief.
- ⇒ **Incident Action Plan (IAP)**: Contains objectives reflecting the overall incident strategy and specific tactical actions and supporting information for the next operational period. The Plan may have a number of forms as attachments (e.g., safety plan).
- ⇒ **Operational Period**: The period of time scheduled for execution of a given set of operation actions as specified in the IAP. Operational Periods can be various lengths, usually not over 24 hours. The Operational Period coincides with the completion of one planning cycle.
- ⇒ **Unified Command**: A unified team that manages an incident by establishing a common set of incident objectives and strategies. This is accomplished without loss or abdication of agency or organizational authority, responsibility, or accountability.

Local Emergency Operations Plan: Plan developed by designated local emergency planning agencies to comply with State and/or local requirements. EOPs typically follow the general format specified by the Federal Emergency Management Agency (FEMA) in the Federal Response Plan, and often include a Basic Plan and supporting Annexes.

Local Emergency Planning Agencies: Includes those agencies of local government with authority to plan for, and manage the consequences of, a major emergency within their jurisdictional boundaries. The agencies vary by community, and often include: local Emergency Management Agencies (EMAs); Local Emergency Planning Committees (LEPCs); municipal Offices of Emergency Management (OEMs) and local Departments of Public Safety (DPS).

Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA): A formal written agreement between the public transportation system and a participating agency, or among multiple agencies and the transit system, which defines respective roles during emergency situations

Notification: The formal advising, by voice or in writing, of specific information about an incident by the process described in the emergency response procedure governing the incident.

Participating Agency: Any fire, law enforcement, medical, governmental, or humanitarian agency that participates in any portion of a public transportation system's emergency response.

Progressive Exercise Program: Comprised of five categories of activities for testing and evaluating the capabilities of transportation personnel to manage emergency situations using existing plans, procedures and equipment. The categories in a progressive exercise program build on each other, in both complexity and level of assessment provided for transportation management. They include:

- ⇒ An orientation seminar is an informal discussion designed to familiarize participants with roles, plans, procedures, and resolve questions of coordination and assignment of responsibilities.
- ⇒ A tabletop exercise simulates an emergency situation in an informal, stress-free environment. It is designed to elicit discussion as participants examine and resolve problems based on existing crisis management plans.
- ⇒ A drill is a set of supervised activities that test, develop, or maintain skills in a single response procedure (e.g., communications, notification, lockdown, and fire) and the possible or probable interaction with local government agency functions (e.g., incident command posts, rescue squad entry, and police perimeter control) that will involve actual field response. Drills help prepare for more complex exercises in which several functions are simultaneous coordinated and tested.
- ⇒ A functional exercise is a fully simulated interactive exercise that tests one or more functions in a time-pressured realistic situation that focuses on policies, procedures, roles, and responsibilities.
- ⇒ A full-scale exercise evaluates the operational capability of emergency response management systems in an interactive manner. It includes the mobilization of emergency personnel and the resources required to demonstrate coordination and response capability. A full-scale exercise tests total response capability in a manner as closely resembling a real emergency as is possible.

Safety: Freedom from danger.

Security: Freedom from intentional danger.

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Security Breach: An unforeseen event or occurrence that endangers life or property and may result in the loss of services or system equipment.

Security Incident: An unforeseen event or occurrence that does not necessarily result in death, injury, or significant property damage but may result in minor loss of revenue.

Security and Emergency Preparedness Plan: The formal plan that documents the transportation's system security program and also addressed the elements of that program that affect emergency preparedness for events resulting from intentional acts.

Security Threat: Any intentional action with the potential to cause harm in the form of death, injury, destruction, disclosure, interruption of operations, or denial of services.

System: A composite of people (employees, passengers, others), property (facilities and equipment), environment (physical, social, institutional), and procedures (standard operating, emergency operating, and training), which are integrated to perform a specific operational function in a specific environment.

System Security: The application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources.

System Security Management: An element of management that defines the system security requirements and ensures the planning, implementation, and accomplishments of system security tasks and activities.

System Security Program: The combined tasks and activities of system security management and system security analysis that enhance operational effectiveness by satisfying the security requirements in a timely and cost-effective manner through all phases of a system life cycle.

Threat and Vulnerability Assessment: An evaluation performed to consider the likelihood that a specific threat will endanger the system, and to prepare recommendations for the elimination or mitigation of all threats with attendant vulnerabilities that meet pre-determined thresholds. These assessments typically include both revenue and non-revenue operations. Critical elements of these assessments include:

- ⇒ **Threat Analysis:** Defines the level or degree of the threats against a specific facility by evaluating the intent, motivation, and possible tactics of those who may carry them out.
- ⇒ **Threat Probability:** The probability a threat will occur at a specific facility during its life cycle (typically quantified as 25 years). Threat probability may be expressed in quantitative or qualitative terms. An example of a qualitative threat-probability ranking system is as follows:

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- Frequent: Event will occur will occur within the system's lifecycle (25 years)
 - Probable: Expect event to occur within the system's lifecycle (25 years)
 - Occasional: Circumstances expected for that event; it may or may not occur within the system's lifecycle (25 years)
 - Remote: Possible but unlikely to occur within the system's lifecycle (25 years)
 - Improbable: Event will not occur within the system's lifecycle (25 years)
- ⇒ Threat Severity: A qualitative measure of the worst possible consequences of a specific threat in a specific facility:
- Category 1 - Catastrophic. May cause death or loss of a significant component of the transit system, or significant financial loss.
 - Category 2 - Critical. May cause severe injury, severe illness, major transit system damage, or major financial loss.
 - Category 3 - Marginal. May cause minor injury or transit system damage, or financial loss.
 - Category 4 - Negligible. Will not result in injury, system damage, or financial loss.
- ⇒ Threat Resolution: The analysis and subsequent action taken to reduce the risks associated with an identified threat to the lowest practical level.
- ⇒ Scenario analysis: An interpretive methodology that encourages role-playing by transportation personnel, emergency responders, and contractors to brainstorm ways to attack the system. This analysis uses the results of threat analysis, paired with the system's list of critical assets. Transportation personnel use this analysis to identify the capabilities required to support specific types of attacks. This activity promotes awareness and highlights those activities that can be preformed to recognize, prevent, and mitigate the consequences of attacks.
- ⇒ Vulnerability Analysis: The systematic identification of physical, operational and structural components within transportation facilities and vehicles that can be taken advantage of to carry out a threat. This includes vulnerabilities in the design and construction of a given transit facility or vehicle, in its technological systems, and in the way it is operated (e.g., security procedures and practices or administrative and management controls). Vulnerability analysis identifies specific weaknesses with respect to how they may invite and permit a threat to be accomplished.

Unsafe Condition or Act: Any condition or act which endangers life or property.

Public Transportation Terms

Public Transportation: Transportation by bus, or rail, or other conveyance, either publicly or privately owned, providing to the public general or special service (but not including school buses or charter or sightseeing service) on a regular and continuing basis. This term is also known as "mass transit," "public transit," and "transit."

Public Transportation System: A public entity responsible for administering and managing transit activities and services. Public transportation systems can directly operate transit service or contract out for all or part of the total service provided. Also known as "transit systems" and "public transit systems."

Other important terms include:

Fixed-Route: Service provided on a repetitive, fixed-schedule basis along a specific route with vehicles stopping to pick up and deliver passengers to specific locations; each fixed-route trip serves the same origins and destinations, unlike demand response. Includes route deviation service, where revenue vehicles deviate from fixed routes on a discretionary basis.

Intermodal: Those issues or activities which involve or affect more than one mode of transportation, including transportation connections, choices, cooperation and coordination of various modes. Also known as "multimodal."

Mode of Service: A system for carrying transit passengers described by specific right-of-way, technology and operational features. Typically includes the following:

- ⇒ Aerial Tramway: An electric system of aerial cables with suspended powerless passenger vehicles. The vehicles are propelled by separate cables attached to the vehicle suspension system and powered by engines or motors at a central location not on board the vehicle.
- ⇒ Automated Guideway: An electric railway (single or multi-car trains) comprised of guided transit vehicles that operate without transit personnel on-board. Service may be on a fixed schedule or in response to a passenger activated call button. Automated guideway transit includes personal rapid transit, group rapid transit and people mover systems.
- ⇒ Bus: A transit mode comprised of rubber tired passenger vehicles operating on fixed routes and schedules over roadways. Vehicles are powered by diesel, gasoline, battery, or alternative fuel engines contained within the vehicle.
- ⇒ Bus Rapid Transit: A type of bus service that operates on exclusive transitways, HOV lanes, expressways, or ordinary streets. A BRT system combines intelligent transportation systems technology, priority for transit, rapid and convenient fare collection, and integration with land use policy in order to substantially upgrade bus system performance.

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- ⇒ Cable Car: An electric railway with individually controlled transit vehicles attached to a moving cable located below the street surface and powered by engines or motors at a central location not on board the vehicle.
- ⇒ Commuter Rail: A transit mode that is an electric or diesel propelled railway for urban passenger train service consisting of local short distance travel operating between a central city and adjacent suburbs. Service must be operated on a regular basis by, or under contract with, a transit operator for the purpose of transporting passengers within urbanized areas, or between urbanized areas and outlying areas. Such rail service, using either locomotive hauled or self propelled railroad passenger cars, is generally characterized by multi-trip tickets, specific station to station fares, railroad employment practices and usually only one or two stations in the central business district.
- ⇒ Demand Response: A transit mode comprised of passenger cars, vans or Class C buses operating in response to calls from passengers or their agents to the transit operator, who then dispatches a vehicle to pick up the passengers and transport them to their destinations. A demand response operation is characterized by the following: (a) The vehicles do not operate over a fixed route or on a fixed schedule except, perhaps, on a temporary basis to satisfy a special need; and (b) typically, the vehicle may be dispatched to pick up several passengers at different pick-up points before taking them to their respective destinations and may even be interrupted en route to these destinations to pick up other passengers. The following types of operations fall under the above definitions provided they are not on a scheduled fixed route basis: many origins-many destinations, many origins-one destination, one origin-many destinations, and one origin-one destination. "Paratransit" is another name for "Demand Response" service.
- ⇒ Ferryboat: A transit mode comprised of vessels carrying passengers and/or vehicles over a body of water, and that are generally steam or diesel-powered.
- ⇒ Heavy Rail: A transit mode that is an electric railway with the capacity for a heavy volume of traffic. It is characterized by high speed and rapid acceleration passenger rail cars operating singly or in multi-car trains on fixed rails; separate rights-of-way from which all other vehicular and foot traffic are excluded; sophisticated signaling, and high platform loading.
- ⇒ Inclined Plane: A transit mode that is a railway operating over exclusive right-of-way on steep grades (slopes) with powerless vehicles propelled by moving cables attached to the vehicles and powered by engines or motors at a central location not on board the vehicle. Special tramway t vehicles have passenger seats that remain horizontal while the undercarriage (truck) is angled parallel to the slope.
- ⇒ Jitney: A transit mode comprised of passenger cars or vans operating on fixed routes (sometimes with minor deviations) as demand warrants without fixed schedules or fixed stops.

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- ⇒ **Light Rail:** Lightweight passenger rail cars operating singly (or in short, usually two-car, trains) on fixed rails in right-of-way that is not separated from other traffic for much of the way. Light rail vehicles are driven electrically with power being drawn from an overhead electric line via a trolley or a pantograph. Also known as "streetcar," "tramway," or "trolley car."
- ⇒ **Monorail:** A transit mode that is an electric railway of guided transit vehicles operating singly or in multi-car trains. The vehicles are suspended from or straddle a guideway formed by a single beam, rail, or tube.
- ⇒ **Trolleybus:** Electric rubber tired passenger vehicles, manually steered and operating singly on city streets. Vehicles are propelled by a motor drawing current through overhead wires via trolleys, from a central power source not on board the vehicle.

Public Transportation Infrastructure: All vehicles, equipment, right-of-way, routes, support equipment and facilities, and buildings and real estate belonging to or operated by the public transportation authority.

Public Transportation Operations Control Center: A public transportation system's central control and communications facility for dispatching operations. Separate control centers are typically be used for different modes (i.e., bus, rail and paratransit/demand-response operations). A few transit systems have co-located modal dispatching functions within a single control center.

Service Area: The geographic boundaries which define the legal and/or management commitment of a public transportation system to provide service to passengers.

Transit Operator: A transportation system employee who is certified by the system to drive or operate a transit vehicle in passenger service, and who must comply with the procedures and rules specified by the system.

Transit Supervisor: A transportation system manager who has specific responsibilities in an emergency situation. The term supervisor typically refers to either a Line Supervisor (Rail) or a Street Supervisor (Bus), defined by the emergency response procedure governing a specific incident.

Appendix B: Federal Bureau of Investigation (FBI) Terrorism Vulnerability Self-Assessment

This vulnerability self-assessment is intended to help the transportation organization determine its vulnerability to terrorism and to assist local law enforcement in assessing the overall vulnerability of the community. It provides a worksheet that can be customized to the transportation-specific organization. The worksheet is intended to be a general guide. It may not include all issues that would be considered in every specific operation. Therefore, it is imperative to consider the unique character of the transportation organization: its functions, its general public image, and its overall public visibility. Consider both who may work in the organization and what the organization does. Assess the symbolic value of the organization to the public.

Each worksheet section is ranked on a 20-point scale. Answering this self-assessment is a subjective process. The person that best knows the physical security and community value of the transportation organization should complete the worksheet.

There are no firm guidelines on how to score a category. The person selected to complete the self-assessment, based on the uniqueness of the transportation organization, can best determine the score. Since the questions are subjective, give a best estimate when scoring each question.

It is important to remember that the most important threat reduction measure is vigilance on the part of the transportation organization's staff, their awareness of anything out of the ordinary and their prompt communication of that information to the organization's security team or management.

This assessment follows exactly the same format as the community assessment performed by local law enforcement to assist in preventing criminal acts committed by terrorists. Based on the results of this assessment, the transportation organization may wish to share a copy with law enforcement, or to include their representative in the assessment process, to support their understanding of the transportation function and its role in the community.

This assessment should be conducted at least annually, and within the year if there is an increased threat of a terrorist event or whenever there is a significant change to the organization's facilities or activities.

Upon receipt of a high risk assessment, each law enforcement agency sheriff, chief of police, head, or his/her designated representative may forward that assessment, or other threat report, to the state Emergency Management Agency (or equivalent), to state law enforcement, or to the local FBI office.

The Assessment

To complete the assessment, circle the evaluated score on each scale for each question. Then total the scores and enter the total on the last page. Based on the total, use the score guide to assign an overall ranking to the transportation organization.

POTENTIAL TERRORIST INTENTIONS

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Are you aware of any terrorist threat to your organization?
- ⇒ Are you aware of a history of terrorist activity in your area or your specialty?
- ⇒ Are you aware of the level of capability of any suspected terrorist that you believe poses a threat to your organization?

SPECIFIC TARGETING

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Have you obtained current information from law enforcement or other sources that your organization has been targeted by terrorists?
- ⇒ What is the reliability of these information sources?
- ⇒ What is your organization’s public visibility?
- ⇒ Does the nature of your organization’s activity lead you to think it may be targeted?
- ⇒ Are there activities that indicate possible terrorist preparations in your area or specialty?

VISIBILITY OF YOUR FACILITY OR ACTIVITY WITHIN THE COMMUNITY

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Is your organization well known in the community?
- ⇒ Do you regularly receive media attention?
- ⇒ Is your organization nationally prominent in your field or industry?
- ⇒ Are your location and the nature of your activity known generally to the public?
- ⇒ Have you ever had an event or accident with potential health risks that attracted public attention to your facility?

ON-SITE HAZARDS

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Are hazardous materials, explosives or other dangerous items on your site?
- ⇒ Do you store or use biologic or chemical materials that have the potential to be used as a threat or weapon?
- ⇒ Do you store or use radioactive material at your site?
- ⇒ Do you have a system to control access to hazardous materials, explosives or any other dangerous materials at your site?
- ⇒ Can any products stored or used on your site be used as, or in the manufacture of a mass casualty weapon?
- ⇒ Can any products stored or used on your site cause extensive environmental damage?

POPULATION OF SITE, FACILITY, OR ACTIVITY

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do you have more than 250 people normally present at your site?
- ⇒ Do you have more than 1,000 people normally present at your site?
- ⇒ Do you have more than 5,000 people normally present at your site?
- ⇒ Do you hold events at your site that attracts large crowds?

POTENTIAL FOR MASS CASUALTIES

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do materials stored or used at your site have the potential to create mass casualties on-site?
- ⇒ Do materials stored or used at your site have the potential to create mass casualties within 1 mile of your site?
- ⇒ How many people live or work within one mile of your site? 500? 1,000? 2,000? 5,000? More than 5,000?

SECURITY ENVIRONMENT AND OVERALL VULNERABILITY TO AN ATTACK

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Does your organization have effective internal security procedures?
- ⇒ What is the law enforcement presence in your area?
- ⇒ What is the hardness, level of blast protection, etc. of your facilities?
- ⇒ How accessible (security presence, access control, id badges, metal detection buffer zones, fences, etc.) is your facility?
- ⇒ Are your assets and/or its potential recognized as a symbol?
- ⇒ What level of public access is necessary for you to function?
- ⇒ Can you control high-speed vehicle approaches to your facility?
- ⇒ Do you have access control to your parking area?
- ⇒ Do you conduct vehicle searches when entering facility grounds or parking areas?
- ⇒ Do you employ detection/monitoring systems (video surveillance, intrusion detection systems, etc.)?
- ⇒ Is your parking/delivery area adjacent to or near your facility?
- ⇒ Is your delivery area supervised during hours of normal business?
- ⇒ Is your delivery area access blocked during hours that your business is closed?
- ⇒ Do you have an on-site food service facility for employees and visitors?
- ⇒ Is access to the water supply for your facility protected?
- ⇒ Is access to the ventilation system for your facility protected?
- ⇒ Do you have a way to quickly shut down the water supply or ventilation system for your facility?

CRITICAL PRODUCTS OF SERVICES

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ What is the importance of your organization to the community?
- ⇒ Is your organization critical to the local population, economy or government?
- ⇒ Is your organization critical to the continuity of basic services?
- ⇒ Is your organization critical to state or national commerce?
- ⇒ What would be the social, economic or psychological ramifications of a terrorist attack against your organization?
- ⇒ What is the nature of your assets: hazardous materials, uniqueness, potential danger to others, etc?
- ⇒ How long would it take to restore your critical services/functions?

HIGH RISK PERSONNEL

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do you have personnel that are critical to the continuing function of state or local government, basic services, utilities infrastructure, the community, the economy, or of inherent value to your business or agency?
- ⇒ Do you have personnel that are critical for responding to a terrorist act?
- ⇒ What would be the effect of a terrorist act against these high-risk personnel?

ORGANIZATION COMMUNICATIONS

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

- ⇒ The following are issues to be considered in selecting your score.
- ⇒
- ⇒ Do you have a mass notification system (public address system, intercoms, alarms)?
- ⇒ Do you have a secure communications network that can be relied upon during a crisis?
- ⇒ Do you have a crisis response team?
- ⇒ Is your crisis response team trained?
- ⇒ Do you conduct regular exercises?
- ⇒ Do local/regional emergency responders participate in your exercises?
- ⇒ Does your Crisis Response Team have its own portable communications system?
- ⇒ Can your Crisis Response Team communicate directly with emergency responders?
- ⇒ Do you have an emergency law enforcement notification system such as a hot line, panic button or something similar?
- ⇒ Is your alarm system tied into the local law enforcement department or do you have an alarm service?
- ⇒ Are your systems tested regularly?

SECURITY AND RESPONSE

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Are your security forces' staffing and training levels adequate?
- ⇒ Do you have the capability to maintain a security presence in a high threat situation?
- ⇒ Are additional security personnel available if requested?
- ⇒ Are there affiliated agency/industry/organization support services available?
- ⇒ Do you have trained disaster response teams within the organization?
- ⇒ Do you have necessary specialty detection, monitoring, hazard assessment devices on hand and are they functional?
- ⇒ Are local/regional law enforcement forces adequate and can they respond rapidly?
- ⇒ Are local emergency responders familiar with your facility and its contents?
- ⇒ Do you keep records on who visits your facility and where they go within the facility?

POLICIES, PROCEDURES, AND PLANS

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do you have a current crisis response/disaster plan?
- ⇒ Does your plan include the types of crises you are most likely to encounter (e.g., fire, explosion, chemical release)?
- ⇒ Are your employees familiar with the plan?
- ⇒ Have you conducted crisis response and disaster drills and were they effective?
- ⇒ Have you identified the critical functions of your workplace and do you have a plan for continuation of operation during an emergency?

SECURITY EQUIPMENT

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do you have a security system and is it current technology?
- ⇒ Do you have an intrusion monitoring motion detector or an alarm system?
- ⇒ Do your systems have backup if power is cut or fails?

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- ⇒ Do you have security equipment that would detect leaks or ruptures of potentially hazardous materials?
- ⇒ Do you have personnel protective equipment for your emergency response team appropriate for the hazardous materials at your facility?
- ⇒ Is such equipment in working order and has it been inspected recently?

COMPUTER SECURITY, CYBER-CRIME, AND CYBER-TERRORISM

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Is your site dependent on information technology such as computers and networks to accomplish its daily business activities?
- ⇒ Is the information stored in your computer systems valuable?
- ⇒ Do you have back-up power available for your computer systems?
- ⇒ Do you make back-up copies of your data?
- ⇒ Is your back-up data securely stored?
- ⇒ Does your site have computers or networks connected to the Internet?
- ⇒ Have you experienced problems with computer security incidents, such as computer viruses, worms, web-site defacements and/or denial of service attacks in the past?
- ⇒ Do you have staff in place that are adequately trained and are available to monitor security warnings and take protective measures, such as loading system patches?
- ⇒ Do you have technology security tools in place such as firewalls, intrusion detection systems or anti-virus software to protect your computer systems?
- ⇒ Do you have a computer security policy, plan, and procedure that includes a computer security incident response team?

SUSPICIOUS MAIL AND PACKAGES

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Is the mail for your facility opened in a secured area or an area isolated from the majority of personnel?
- ⇒ Have the personnel who open mail received training on the recognition of suspicious mail and/or packages?
- ⇒ Do you have specific procedures on how to handle suspicious mail and/or packages, including possible facility evacuation?
- ⇒ Do you have a secure and contained location where any unusual or suspect deliveries or mail can be stored until proper authorities can evaluate the suspect items?

TELEPHONE, BOMB, AND OTHER TYPES OF THREATS

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Has your staff received training on how to handle bomb and other threat calls?
- ⇒ Does your staff have a checklist of questions to ask the caller in case of a bomb or other threatening call?
- ⇒ Does your facility have a plan on how to handle bomb and other threatening calls?
- ⇒ Does your bomb threat plan include a system whereby your personnel would search your facility to identify suspicious objects to point out to emergency response personnel?
- ⇒ Does your plan include a decision making process on whether to evacuate the facility?
- ⇒ Are personnel familiar with the plan? Have evacuation drills been conducted?
- ⇒ Is your plan coordinated with local law enforcement and the local phone company?

EMPLOYEE HEALTH AND THE POTENTIAL FOR BIO-TERRORISM

Low Vulnerability										High Vulnerability									
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20

The following are issues to be considered in selecting your score.

- ⇒ Do you have an occupational health safety program in place?
- ⇒ Do you have a health professional working at your facility?
- ⇒ Do you have a procedure in place to track the health of each employee and know if more than one employee has the same symptoms?
- ⇒ Do you monitor the health status of employees on sick status or absent otherwise?
- ⇒ Are employees encouraged to keep supervisors informed on any unusual health related event or condition?
- ⇒ Are employees required to report any unusual conditions or substances encountered in the course of their normal duties, such as strange substances or odors from packaging or mail?
- ⇒ Do employees know the proper procedures for emergency operation or shut-off of air handler, air circulating or ventilation systems?
- ⇒ Do you keep a current list of employees, home addresses and emergency contact information?
- ⇒ Do you have an emergency notification plan for employees (e.g. calling tree)?

TOTAL SCORE: _____		
SELF-ASSESSMENT EVALUATION		
20	LOW RISK	85
86	LOW CAUTION	170
171	HIGH CAUTION	255
256	HIGH RISK	340

If the total score for the transportation organization exceeds 256, and if local law enforcement has not been involved in the assessment, then the transportation system should notify them at once, including a copy of the assessment worksheet.

Remarks and Unusual or Significant Issues

Please list any important remarks that should be made concerning the self-assessment. Also, please list any unusual or significant findings that developed during your self-assessment. List significant hazardous materials that might be used as a terrorist weapon or any significant impact a terrorist act against your site may cause to the community.

Please attach an additional sheet if necessary.

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Security Contacts at the Top 35 Largest Public Transportation Systems

Appendix C: Security Contacts at the Top 35 Largest Public Transportation Systems

Metropolitan Transportation Authority

MTA New York City Transit

370 Jay Street
Brooklyn, NY 11201-3878
John Jimerson
(718) 243-4158
jojimer@nyct.com

MTA Long Island Rail Road

Jamaica Station Building
93-02 Sutphin Blvd.
Jamaica, NY 11435
James O'Donnell
(212) 878-1146
jodonnell@mtahq.org

MTA Metro-North Commuter Railroad

347 Madison Avenue
New York, NY 10017-3706
Mark Campbell
(212) 340-4913
campbell@mnr.org

MTA Long Island Bus

700 Commercial Avenue
Garden City, NY 11530
Barry Depperman
(516) 542-0100
bdepper@libus.org

MTA Staten Island Railway

60 Bay St. 5th Floor
Staten Island, NY 10301
Thomas Odessa
(718) 876-8271
sirtpd@mail.con2.com

Regional Transportation Authority

Chicago Transit Authority (CTA)

Merchandise Mart Plaza, P.O. Box 3555
Chicago, IL 60654-0555
Beatrice Cuello
(312) 432-8001
bcuello@transitchicago.com

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Security Contacts at the Top 35 Largest Public Transportation Systems

Northeast Illinois Regional Commuter Railroad Corporation

547 West Jackson Boulevard
Chicago, IL 60669
Frederick Leonard
(312) 322-8911
fleonard@metrarr.com

Pace Suburban Bus

550 West Algonquin Road
Arlington Heights, IL 60005-4412
Melinda Metzger
(847) 228-2302
melinda.metzger@pacebus.com

Los Angeles County Metropolitan Transportation Authority (LACMTA)

One Gateway Plaza
Los Angeles, CA 90012-2934
Dan Cowden
(213) 922-3643
cowdend@mta.net

Massachusetts Bay Transportation Authority

10 Park Plaza
Boston, MA 02116
William Fleming
(617) 222-1100
wflaming@mbta.com

Washington Metropolitan Area Transit Authority

600 - 5th Street, N.W.
Washington, DC 20005
Polly Hanson
(202) 962-2150
Phanson@wmata.com

Southeastern Pennsylvania Transportation Authority

1234 Market Street
Philadelphia, PA 19107-3780
Richard Evans
(215) 580-3640
revans@septa.org

San Francisco Municipal Railway

401 Van Ness Avenue, Suite 334
San Francisco, CA 94102
Robert Hertan
(415) 554-7115
robert_hertan@ci.sf.ca.us

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Security Contacts at the Top 35 Largest Public Transportation Systems

New Jersey Transit Corporation

NJ Newark Subway

One Penn Plaza East
Newark, NJ 07105-2248
Joseph Bober
(973) 378-6807
jobber@njtransit.com

NJ Hudson-Bergen

One Penn Plaza East
Newark, NJ 07105-2248
James Decataldo
(201) 209-2405
James.Decataldo@wgint.com

NJ Bus

One Penn Plaza East
Newark, NJ 07105-2248
Joseph Bober
(973) 378-6807
jobber@njtransit.com

NJ Commuter Rail

One Penn Plaza East
Newark, NJ 07105-2248
Joseph Bober
(973) 378-6807
jobber@njtransit.com

Metropolitan Atlanta Rapid Transit Authority

2424 Piedmont Road, N.E.
Atlanta, GA 30324-3324
Gene Wilson
(404) 848-4900
gwilson@itsmarta.com

New York City Department of Transportation

40 Worth Street, Room 1005
New York, NY 10013
Eduardo Cousillas
(718) 391-2809
ecousillas@nyct.com

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Mass Transit Administration of Maryland

6 St. Paul Street
Baltimore, MD 21202-1614
Douglas DeLeaver

(410) 454-7736
Ddeleaver@mdot.state.md.us

King County Department of Transportation

201 South Jackson Street, KSC-TR-0415
Seattle, WA 98104-3856
Carol Cummings
(206) 684-2760
carol.cummings@metrokc.gov

Metropolitan Transit Authority of Harris County, Texas

1201 Louisiana Avenue
Houston, TX 77208-1429
Tom Lambert
(713) 615-6409
tl02@ridemetro.org

Bay Area Rapid Transit District

800 Madison Street
Oakland, CA 94607-2688
Gary Gee
(510) 464-7022
ggee@bart.gov

Tri-County Metropolitan Transportation Dist. of Oregon

4012 Southeast 17th Street
Portland, OR 97202
Bob Nelson
(503) 962-4955
nelsonb@tri-met.org

Miami-Dade Transit Agency

111 N.W. 1st Street, 9th Floor
Miami, FL 33128-1999
Bonnie Todd
(305) 375-4240
btodd@co.miami-dade.fl.us

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San Diego Metropolitan Transit Development Board

San Diego Trolley

1255 Imperial Avenue, Suite 900
San Diego, CA 92101-7492
Bill Burke
(619) 595-4947
bburke@sdti.sdmts.com

San Diego Transit Corporation (SDTC)

PO Box 122511
100 16th Street
San Diego, CA 92112
Steve Blackwood
(619) 238-0100
steve.blackwood@sdmts.com

Port Authority of New York and New Jersey

1 PATH Plaza
6th Floor
Jersey City, NJ 07306
Martha Gulick
(201) 216-6258
mgulick@panynj.gov

Port Authority of Allegheny County

345 - 6th Avenue, 3rd Floor
Pittsburgh, PA 15222-2527
Bill McArdle
(412) 255-1350
wmcardle@portauthority.org

Regional Transportation District

1600 Blake Street
Denver, CO 80202-1399
David Genova
(303) 299-4038
david.genova@rtd-denver.com

Metropolitan Council – Metro Transit

560 - 6th Avenue North
Minneapolis, MN 55411-4398
Jack Nelson
(612) 349-7201
jack.nelson@metc.state.mn.us

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Security Contacts at the Top 35 Largest Public Transportation Systems

Milwaukee County Transit System

1942 North 17th Street
Milwaukee, WI 53205
Ronald Bollhoffer
(414) 343-1772
wackenhut@mcts.org

Dallas Area Rapid Transit Authority

1401 Pacific Avenue
Dallas, TX 75266-0163
Juan Rodriguez
(214) 749-5901
juanr@dart.org

Alameda-Contra Costa Transit District

1600 Franklin Street
Oakland, CA 94612
Bob Hughes
(510) 891-4811
bhughes@actransit.org

Department of Transportation Services

711 Kapiolani Boulevard, Suite 1200
Honolulu, HI 96813
Roger Morton
(808) 848-4508
rmorton@thebus.org

Greater Cleveland Regional Transit Authority

1240 W. 6th Street
Cleveland, OH 44113
John Joyce
(216) 771-4953
jjoyce@gcrta.org

Orange County Transportation Authority

550 South Main Street
Orange, CA 92863-1584
Dan Jarvis
(714) 265-4346
djarvis@octa.net

Santa Clara Valley Transportation Authority

3331 North 1st Street, Building C
San Jose, CA 95134-1906
Raymond Frank
(408) 321-7175
raymond.frank@vta.org

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Security Contacts at the Top 35 Largest Public Transportation Systems

Regional Transit Authority

6700 Plaza Drive
New Orleans, LA 70127-2677
Ruben Stephens
(504) 827-7920
rstephens@norta.com

Bi-State Development Agency

707 North First Street
St. Louis, MO 63102-2595
Willie McCuller
(314) 982-1507
wmcculler@bsda-transit.org

Regional Transportation Commission of Washoe County

2050 Villanova Drive
Po Box 30002
Reno, NV 89520-3002
David Jickling
(775) 335-1902
djickling@rtcwashoe.com

Via Metropolitan Transit

800 West Myrtle Street
P.O. Box 12489
San Antonio, TX 78212
David Martinez
(210) 362-2430
david.martinez@viainfo.net

Detroit Department of Transportation – People Mover

1301 East Warren Avenue
Detroit, MI 48207
Jerry Jones
(313) 833-7111
jerjon@ddot.ci.detroit.mi.us

Capital Metropolitan Transportation Authority

2910 East Fifth Street
Austin, TX 78702
Pamela Rivera
(512) 389-7471
pam.rivera@capmetro.org

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Security Contacts at the Top 35 Largest Public Transportation Systems

Connecticut Department of Transportation

2800 Berlin Turnpike
PO Box 317546
Newington, CT 06131-7546
Michael Morrison
(860) 594-3053
michael.morrison@po.state.ct.us

Other Contacts

Port Authority Transit Corporation

PA and NJ Administrative and Maintenance Facility
Lindenwold, NJ 08021
Thomas Biehler
(856) 963-7988
TBiehler@drpa.org

Niagara Frontier Transit Metro System, Inc.

181 Elicott Street
Buffalo, NY 14205
Joseph Riga
(716) 855-7666
joseph_riga@nfta.com

Northern Indiana Commuter Transportation District

33 East U. S. Highway 12
Chesterton, IN 46304-3514
Robert Byrd
(219) 926-5744
robert.byrd@nicted.com

San Mateo County Transit District

1250 San Carlos Avenue, P.O. Box 3006
San Mateo, CA 94070-1306
Steven Frew
(650) 508-7743
frews@samtrans.com

Southwest Ohio Regional Transit Authority

414 Walnut Street, Suite 408
Cincinnati, OH 45202-3913
William Desmond
(513) 632-7604
bdesmond@queencitymetro.com

Appendix D: Detailed Capabilities Assessment Worksheet

Prevention

⇒ Does the system check the Homeland Security Advisory Threat Condition every day (<http://www.whitehouse.gov/homeland/>)?

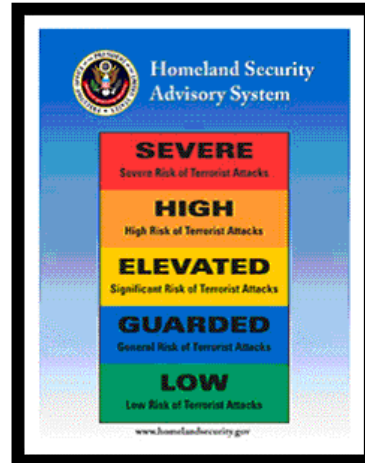
⇒ Does the system receive threat information and warnings from local law enforcement, state agencies, or other transportation systems regarding threat levels?

⇒ Do appropriate personnel at the system keep informed of major community activities and events?

⇒ Are appropriate personnel at the system aware of ongoing law enforcement concerns regarding specific communities or events that may be targeted for terrorist activity?

⇒ Does anyone representing the transportation system participate in the local or regional terrorism working group or other similar organization?

⇒ Has anyone at the transportation system established a direct relationship with the FBI field office and the FEMA regional office with jurisdiction for the system's service area?



Federal Transit Administration Threat Levels

FTA is supporting the development of transit system protective measures to promote a consistent and effective transit industry response to threat conditions defined by the Department of Homeland Security (DHS). The FTA response model supplements the HSAS model with Black and Purple designations for further refine transit industry activities when an event is in progress and during the post-event recovery of transit services and facilities. The guidance document outlines protective measures in relation to the direction provided by DHS.

Awareness

⇒ Have system personnel been trained to challenge people who appear not to belong in restricted areas or who are not displaying the appropriate identification?

⇒ Have system personnel been trained to recognize unusual, out-of-place, or unattended objects and to report them in a manner that supports appropriate evaluation and decision-making by supervisors and management?

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- ⇒ Does your system have policies in place to ensure that security, operations, or maintenance personnel routinely check unattended public or open areas, such as rest rooms, stairways, parking garages, and elevators for unattended objects?
- ⇒ Has your system incorporated security checks into policies for pre-trip inspections, vehicle cleaning, and vehicle fueling?
- ⇒ Has your system reviewed its policies for lost and found items in light of the changing threat environment?
- ⇒ Has your system developed a customer outreach program to provide passengers with instructions for reporting unusual, out-of-place activity or items?
- ⇒ Have personnel in your system been trained to:
 - identify characteristics of weapons of mass destruction (WMD) use in the transportation environment;
 - recognize specific signs and symptoms related to WMD agent release; and
 - conduct incident size-up to ensure that appropriate information is reported from the scene to dispatch?

Threat and Vulnerability Assessment

- ⇒ Has the system considered the potential for terrorist acts against its facilities and personnel?
- ⇒ Has the system identified the most likely locations for such acts?
- ⇒ Does the system have a prioritized listing of current security vulnerabilities?
- ⇒ Does the system have a current program in place to implement security and emergency preparedness measures that address these vulnerabilities?
- ⇒ Has the system conducted a formal assessment to identify and resolve major vulnerabilities, including the following:
 - accessibility of surrounding terrain and adjacent structures to unauthorized access (both human and vehicular);
 - site layout and elements, including perimeter and parking, that discourage access control, support forced or covert entry, or support strategic placement of explosives for maximum damage;
 - location of incoming utilities and air intake vents (easy access for offenders);
 - building construction with respect to blast resistance (tendency toward progressive collapse, fragmentation, and no redundancy in load bearing);
 - sufficiency of lighting, locking controls, access controls, alarm systems, and venting systems to support facility control;

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- availability of locations for hiding or planting devices or packages on platforms, in tunnels, near fueling, at off-hour vehicle storage facilities, and on passenger vehicles; and
 - information technology (IT) and network ease-of-penetration.
- ⇒ Has the system participated in local law enforcement jurisdictional threat and vulnerability assessments?
- ⇒ Has the system coordinated its threat and vulnerability assessment activities with local neighborhood watch programs?
- ⇒ Do businesses and vendors in or near the transportation system coordinate programs?
- ⇒ Have schools, hospitals, and other public service developed programs to support awareness? Do these programs extend to the transportation system?

Security and Emergency Preparedness Planning

- ⇒ Has the system reviewed its standard operating procedures (SOPs) for managing both internal emergencies and responding to community emergencies?
- ⇒ Has the transportation system committed to using the incident command system (ICS) to integrate its response activity into the larger community effort?
- ⇒ Has the transportation system committed to working with local and state public safety organizations to understand relevant terrorism response plans, SOPs, and the transportation system's role in them?
- ⇒ Has the system considered its role in community evacuation and in-place sheltering?
- ⇒ Has the system worked with the local emergency planning community to pre-determine evacuation routes and the transportation role in supporting evacuation or in-place sheltering?
- ⇒ Has the system made certain that its equipment and capabilities for supporting community response to a terrorist incident are accurately represented in community plans and resource inventory documentation?
- ⇒ Has the system initiated or completed internal planning efforts to ensure that:
- an emergency contact list is developed and current, and the responsibility for call-outs is clearly identified;
 - employees have been issued quick reference guidelines for reporting and managing emergency situations on the system;
 - pre-determined guidelines have been developed for managing threats against the system, including procedures for receiving and evaluating

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- telephonic and written threats, conducting searches, evacuating facilities, and initiating partial or full-service shut-downs;
- pre-determined staging areas have been identified for major sites served by the transportation system and identified as the most vulnerable to attack;
- security and emergency response planning, coordination, and training is formalized and documented;
- security and emergency response plans identify responsibilities of employees by function, employees are proficient in their responsibilities, and have received the appropriate training and exercising to carry out these responsibilities;
- security and emergency response planning includes preparedness for multiple, concurrent events;
- a system-wide service continuation, restoration, and recovery plan is in place, with responsibilities clearly identified;
- revisions to standard operating procedures (SOPs), new SOPs and updates (based on security and emergency response planning activities) have been developed for signatures and distribution to be incorporated into training;
- emergency drills and tabletop exercises are scheduled on a regular basis;
- coordination and training with outside agencies is occurring on a regular basis and the system is effectively integrated into the community's emergency management plans and activities;
- media relations and system information control procedures and policies are established (both internal and external to system);
- documentation of drills is maintained; drill critiques held; and recommendations are recorded and addressed with appropriate with follow-up;
- emergency procedures are reviewed by the transportation system on a regular basis and updated as needed;
- regular assessments of employee proficiency are conducted;
- procedures exist for an alternate operations control center in the event of the evacuation of a primary facility;
- support systems developed to provide post-incident support to customers and employees;
- regular functional testing and inspection of emergency support equipment and systems (e.g., emergency phones, CCTV, alarms, onboard and in-vehicle equipment, two-way radios, fans, pumps, generators, etc.) is performed;
- SOPs for HVAC operations in various emergency conditions have been reviewed;
- contingency plans for loss of electrical power and radio or phone communications have been developed; and
- pre-determined public address announcements for station platforms and on-board vehicles have been developed.

Incident Command System

- ⇒ Do transportation personnel understand the special tensions between crisis and consequence management during a security incident and recognize that the ICS provides an ongoing tool for managing this tension and establishing joint priorities?

ICS provides an important framework from which all responding agencies can work together. In any major incident, many local, state, and federal agencies may become involved. The challenge is to get the various agencies to work together in the most efficient and effective manner. The principles of ICS will enable state and local emergency response agencies to utilize common terminology, span of control, organizational flexibility, personnel accountability, comprehensive resource management, unified command, and incident action plans.

The transportation system should use ICS in order to support the system's ability to integrate with response activities.

- ⇒ Key definitions, terms, acronyms, roles, functions, and responsibilities used by the local community to describe ICS and its application to manage local response, and to integrate this response with state and federal assets as they arrive on the scene of a major threat or actual event.
- ⇒ Leadership and authority roles for crisis and consequence management at the local, state, and federal level, and how the transportation system remains aware of these different response levels and functions.
- ⇒ Key elements of the transportation system's situation and assumptions regarding its capabilities to identify, report, and manage a WMD incident on its property or to support response to an incident in the community (includes what resources, skills, and proficiencies transportation personnel do and do not have regarding WMD incidents, and what specialized functions must be provided by local, state, and federal agencies).
- ⇒ Key elements of the transportation system's situation and assumptions regarding its capabilities to recover from a WMD incident on its property or in the community, including expectations regarding the role of local, state, and federal resources to support recovery of costs incurred for personnel, equipment, damaged property, decontamination, structural damage, and other activities associated with both response and long term service restoration.
- ⇒ The community's approach to managing a major incident is often termed the concept of operations, which describes activities to support crisis and consequence management, and typically addresses many different areas of interest.
 - If there is a local incident site, an incident command post (ICP) will be established to manage emergency operations at that incident site. The local system with primary jurisdictional authority will designate the

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incident commander. The incident commander will direct and control responding resources and designate emergency operating areas.

- The crime scene boundary defines the crime scene. The crime scene may include the area referred to in technical operations as the red zone or working point. State, federal, or local law enforcement personnel may restrict access to the crime scene. Response activities within the crime scene may require special care in order to protect evidence.
- The hazmat boundary defines the hazmat site, which is referred to in hazmat operations as the hot zone and may be termed the isolation area or exclusion zone by other responders, and may include the hazmat upwind warm zone, utilized for contamination control and rescue staging. Depending on the spread of contaminants, the hazmat site may include some or the entire crime scene. Entry into the hazmat boundary is normally restricted to response personnel equipped with personal protective equipment and using decontamination procedures.
- The incident boundary includes the crime scene, the hazmat area, the cool zone or support zone used for incident support operations, such as resource staging or casualty collection, and areas where protective actions, such as shelter-in-place or evacuation, may be recommended or mandatory measures, such as a quarantine become imposed. Access to this area is normally controlled; if quarantine is implemented, egress may also be restricted.
- The incident commander and the community EOC have typically established a division of responsibilities. The incident commander will normally manage field operations at the incident site and in adjacent areas. The EOC will normally mobilize and provide local resources, disseminate emergency public information, organize and implement large-scale evacuation, coordinate care for casualties, coordinate shelter and mass care for evacuees, arrange mortuary support, and, if local resources are insufficient or inappropriate, request assistance from other jurisdictions of the state. Does the transportation system understand how its field and EOC operations will coordinate with the community response?
- As state and federal responders arrive, the response will transition from an incident command operation to a unified command arrangement. Does the transportation system understand its role in unified command?
- If there is no local incident site, which may be the case in incidents involving biological agents, consequence management activities will generally be directed and controlled from the local EOC. An incident commander may be designated. When state and federal response forces arrive, the EOC may be used as a unified command operations

center. Is the transportation system prepared to coordinate with and support this type of response effort?

Figure 21 displays a sample decontamination scene staging area schematic. Notice how the contamination reduction corridor is a limited access point to the hot zone. This is where emergency responders must remain extra careful to protect themselves and evidence from becoming contaminated.

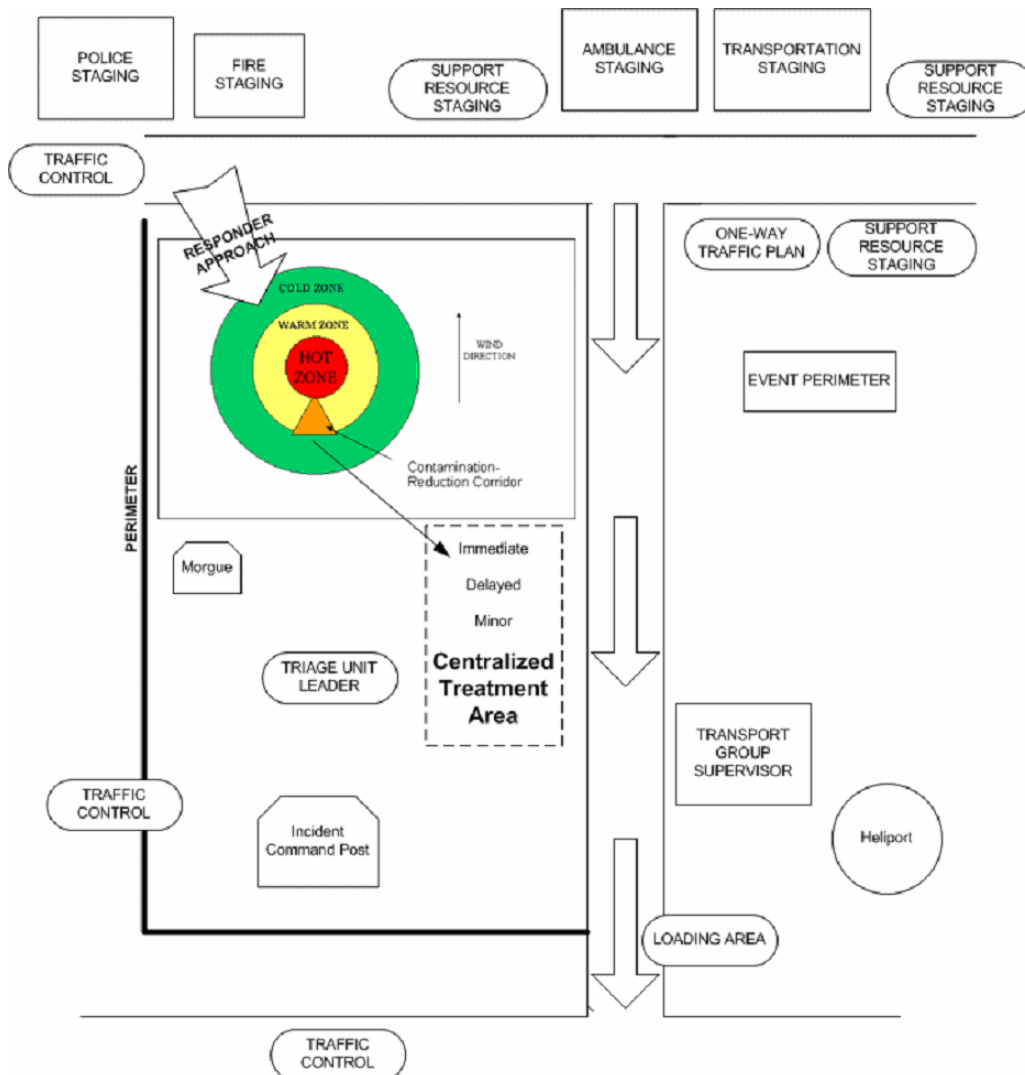


Figure 21: Sample Decontamination Scene Staging Area Schematic

Elements of Notification and Response

- ⇒ Has the system reviewed its current emergency procedures to:
 - ensure that notification procedures support dispatch of the correct responders with the appropriate equipment and that all responders are aware of potential hazards (structural issues, electrical issues, suspected chemical or toxic agent) prior to his/her arrival at the scene;
 - ensure timely activation of the transportation system emergency operations center (EOC) or other specially-equipped facility from which transportation management can exercise direction and control, coordinating necessary resources in an emergency situation;
 - identify roles and responsibilities for transportation personnel conducting field operations at the scene in specific terms, so that operators and supervisors understand the limits of their responsibilities, particularly in hazardous conditions;
 - use escape hoods or pre-staged gas masks to support facility evacuation (requires training and exercising for all personnel involved in the program);
 - revise evacuation and shutdown procedures to consider secondary attacks and other environmental hazards;
 - manage information requests from victims, families, and relatives (applying the NTSB guidelines for airplane crashes may be appropriate);
 - evaluate activities to ensure ongoing liaisons with local emergency responders;
 - ensure the safety and security of passengers after the incident;
 - manage medically vulnerable passengers in community and vehicle evacuations;
 - prioritize decision-making regarding the need for medication, treatment, and hospitalization;
 - restore service or create alternatives with heightened security or road, bridge, and tunnel restrictions; and
 - issue public information.

Other Considerations

Other considerations for planning are listed in the following outline.

- ⇒ Strategies and programs for initiating sustained relationships with local emergency planning organizations, ensuring that transportation systems are aware of the emergency management process in all phases.
 - Local communities must understand the resources and capabilities of transportation systems to support preparedness and response, as well as the hazards involved in operations based in the transportation environment.

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- Local responders must also recognize the ways in which community traffic management decisions may affect transportation operations, providing additional response challenges.
 - Public transportation systems must learn what roles they can or are expected to play in the community response effort and must ensure that their employees are trained to proficiency and ready to provide this service safely and effectively.
 - Enforcement issues must all be resolved. For example, the issuance of evacuation orders, the management of children and those with serious medical conditions, the support of people of age and those with mobility, sensory and/or cognitive disabilities, the institution of in-place sheltering in transportation facilities (in response to a hazardous materials or CBRN incident at the transportation system), and the use of transportation facilities as mass care shelters.
- ⇒ Strategies for overcoming friction and resistance from local public safety organizations, thus ensuring that transportation responders are not marginalized.
- Public transportation concerns regarding incident staging, traffic control, managing passenger and employee safety, and restoration of service must be acknowledged in the local response effort and addressed in the response.
 - The jurisdictional authority and safety concerns of the transportation system must be addressed in all emergency response and management activities.
- ⇒ Tools and techniques for supporting effective integration of the transportation system into new models and emerging structures for incident management at the local and state level.
- ⇒ Strategies for ensuring that local responders are aware of unique hazards associated with the transportation environment, transportation equipment, and alternative fuel vehicles;
- ⇒ Tools and systems to support strategic deployment of resources at the scene (to ensure availability, yet manage convergence and avoid premature commitment);
- Scene management techniques to resolve inherent conflicts among competing priorities and practical approaches for promoting life safety priorities while preserving (as much as possible) evidence at any scene that may have criminal origins.
 - Tools for tracking resource and personnel expenditures devoted to emergency response, in keeping with requirements necessary for

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reimbursement from FEMA, state and local agencies, FTA or other organizations, and for mutual aid partners and contractors.

- Available classroom and simulation training and techniques for effectively conveying scene check-in, management, staging logistics, and incident documentation requirements to transportation employees.

- ⇒ Recovery can be complicated by the presence of persistent agents, additional threats, extensive physical damages, and mass casualties. The community and the transportation system should consider their approaches to staffing and managing the operational periods required to stabilize the event and support long term recovery.

Figure 22 (on the last page of this section) shows sample operational shifts of ongoing management modes in comparison to emergency response modes immediately following a security-related incident. The transportation system should expect that response to a major incident will result in multiple operational periods, comprised initially of 12 hour shifts, then giving way to longer planning phases as the incident is brought under control.

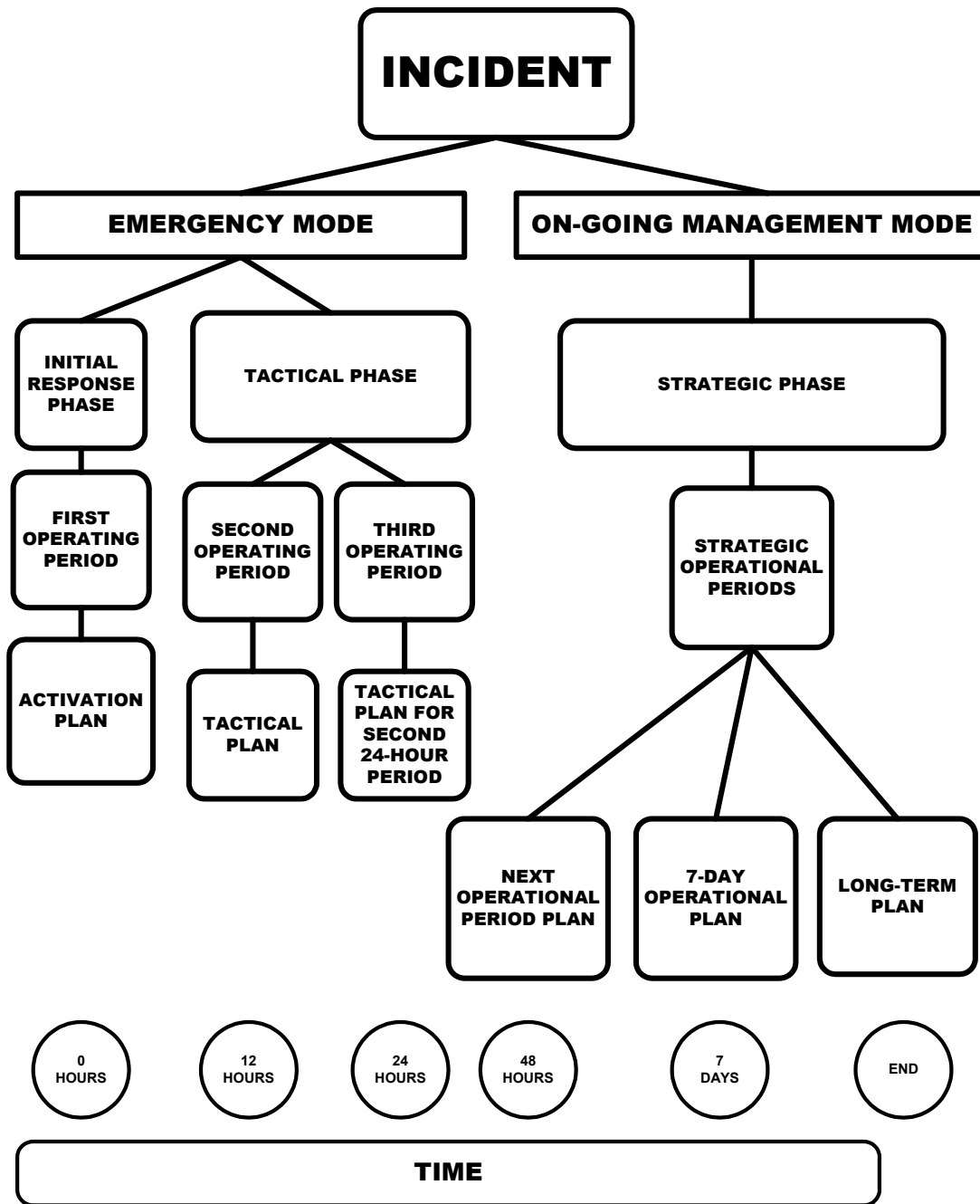


Figure 22: Sample Operational Shifts

Security and Emergency Preparedness Planning Guide
Sample Grant Processing Guidelines

Appendix E: Sample Grant Processing Guidelines

<p>WHAT: Security/Emergency Management Grants for Emergency Preparedness Drills</p>
<p>PURPOSE: To conduct emergency response drill(s) and exercise(s) designed to test and evaluate the transportation agency’s internal and external notification and response procedures and interagency communication and operations at the command post and incident scene. For transportation agencies conducting multiple exercises, at least one exercise should address a terrorist incident.</p>
<p>GOALS AND OBJECTIVES:</p> <p style="padding-left: 40px;">Testing effectiveness and ability of Emergency Management Plans at a minimum, this must include the items listed above in ‘Purpose.’ Examples of additional elements typically contained in an exercise include:</p> <ol style="list-style-type: none"> 1. Ability to work with regional and local emergency response personnel 2. Communications link with passengers 3. Identification of ICS components you are using 4. Assignment of personnel to critical functions 5. Protection of emergency scene e.g. power off, protection of personnel in right-of-way, etc. 6. Initiation of evacuation procedures 7. Coordination with other emergency responders 8. Identification of staging area for equipment and personnel 9. Notification to other supporting agencies 10. Mitigation and recovery
<p>REQUIREMENTS:</p> <p>Pre-Grant: Identify pre-grant requirements, i.e., description of the exercise scenario, goals and objectives and budget for each drill.</p> <p>Progress Reporting: Identify progress reporting requirements, i.e., the dates each drill was completed and the date the After-Action Plan was completed.</p> <p>After-Action Report: This Report should be required as a condition of the grant award.</p>
<p>PERIOD OF AVAILABILITY: Define a period of availability for receipt of funds</p>
<p>SAMPLE ELIGIBLE EXPENSES:</p> <ul style="list-style-type: none"> • Materials, supplies, rental equipment to conduct each drill • Consultant fees for technical assistance in the developing and evaluating the drills • Additional operating expenses that may be incurred, for example: alternative service provided due to service disruption • Emergency services agency expenses such as overtime wages and use of agency equipment and supplies • Wages related to the direct delivery of services in support of the drill
<p>INELIGIBLE EXPENSES:</p> <ul style="list-style-type: none"> • Any capital expenses
<p>REVIEW CRITERIA:</p> <ul style="list-style-type: none"> • Transportation agency should complete one full-scale drill at a minimum • Multiple drills including a tabletop exercise are encouraged • Interagency coordination with other first responders is critical • For metropolitan areas with more than one transit operator, transportation agencies are encouraged to submit one unified application • Cost should be proportionate to complexity of drills

Security and Emergency Preparedness Planning Guide

A Memorandum of Understanding between [Local Public Safety Agency] and the [Local Transit Agency]

Security and Emergency Preparedness Planning Guide

A Memorandum of Understanding between [Local Public Safety Agency] and the [Local Transit Agency]

Appendix F: A Memorandum of Understanding between [Local Public Safety Agency] and the [Local Transit Agency]

Purpose

This Memorandum of Understanding (MOU) is intended to document the intention of the [local transit agency] and [local public safety agency] to work together, on a continuing and lasting basis, toward maximum cooperation and mutual assistance in the areas of disaster response and emergency preparedness. To the maximum extent possible, the parties will develop joint programs for planning, training, conducting exercises, and responding to disasters impacting the [local transit agency] and/or [local public safety agency] or the community served by both agencies. Specifically, this MOU will address:

The development of a mutual aid agreement between the [local transit agency] and the [local public safety agency] in the event of disasters, natural or manmade, that overwhelm the capabilities of either;

The development of a joint exercise that requires the response of both entities in responding to disasters such as, but not limited to, an oil spill to the environment;

The development of a coordinated response in event of terrorist use of weapons of mass destruction within the [local transit agency] or community served by the [local public safety agency] and in accordance with the *Homeland Security Domestic Preparedness Program*.

Mutual Aid Agreement

The State of [name of state] authorizes the state and its political subdivisions to develop and enter into mutual aid agreements for reciprocal emergency aid in case of emergencies too extensive to be dealt with effectively unassisted.

It is in the best interest of the citizens of [name of community] for the [local public transit agency] to enter into such a mutual aid agreement with [local public safety agency] to provide for expeditious emergency assistance, resources permitting, in the event of a catastrophic event or natural disaster in the city and/or surrounding county.

The [local transit agency] desires to provide reciprocal assistance to [local public safety agency], resources permitting, in the event of a natural or man-made disaster.

Mutual Aid Agreements provide the mechanism that enhances and leverages existing capabilities.

The process for creating a Mutual Aid Agreement between the [local transit agency] and the [local public safety agency] begins with:

- ⇒ a working group will be established. This group will review current local, state, and federal laws to clearly identify any limitations to how each party will provide assistance during emergencies;

Security and Emergency Preparedness Planning Guide

A Memorandum of Understanding between [Local Public Safety Agency] and the [Local Transit Agency]

- ⇒ a draft agreement will be written (unless the law says otherwise) including the terms of the agreement, the participating parties, period of assistance, definitions of disasters or emergencies, and designating an authorized representative who can execute the agreement;
- ⇒ the agreement will identify available services and resources, with some specific reference to the type of resources that can and cannot be used. Limitations will be spelled out also, to ensure the resources are not exhausted;
- ⇒ the Agreement will identify exactly how to request assistance, for instance, the "trigger" for a request - a local emergency or disaster declaration;
- ⇒ the Agreement will explain how the agency will request and what the expected committed response would be;
- ⇒ the Agreement will identify who can make the request, and whether it should be written or oral. If possible a form will be developed clearly explaining what is needed and for what length of time;
- ⇒ the Agreement will define operational procedures and explain who will maintain control of the resources provided and who will provide required maintenance for any equipment made available;
- ⇒ the Agreement will make provisions for any food, housing, or communications support required for personnel who respond to an emergency or disaster; and
- ⇒ the Agreement will define reimbursable expenses, including personnel, material, and equipment costs and for replacing damaged or destroyed equipment.

Joint Oil Spill Exercise

The [local transit agency] and [local public safety agency] intend to test capabilities and limitations of both entities in responding to an oil spill into the environment during a joint exercise in FY 2003. An Exercise Planning Team comprising of representatives from [local public safety agency]; [local transit agency]; and the [city/county] Emergency Operations Center will:

- ⇒ define the type of exercise, develop an exercise scenario, and ensure active participation by [local transit agency] and [local public safety agency] response organizations;
- ⇒ identify a list of key entities who will have responsibility for developing, controlling, and participating in the exercise;
- ⇒ identify resources for developing and conducting the exercise;

Security and Emergency Preparedness Planning Guide

A Memorandum of Understanding between [Local Public Safety Agency] and the [Local Transit Agency]

- ⇒ establish a timeline for keeping such an approach on track;
- ⇒ conduct the exercise; and
- ⇒ review the lessons learned from the exercise and incorporate them into future response and exercise plans.

Domestic Preparedness

The [local transit agency] serves one of the 120 cities selected by the U.S. Department of Defense to receive extensive training to prepare the community for the potential of a terrorist attack using weapons of mass destruction. The U.S. Army Chemical and Biological Command [conducted/will conduct] this training during the period [identify date]. [Local public safety agency] participated in this training with the [local transit agency].

The [local transit agency] will continue to coordinate development of its Domestic Preparedness Program with [local public safety agency]. Specifically, the [local public safety agency] will:

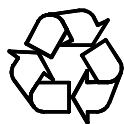
- ⇒ coordinate with the [local transit agency] on its plans for responding to terrorist use of weapons of mass destruction planning and operations;
- ⇒ encourage transit first responders to participate in training offered by the [local public safety agency];
- ⇒ invite [local transit agency] to participate in the development and conduct of the Biological Attack Tabletop Exercise and other follow-up exercises;
- ⇒ collaborate with [local transit agency] in the purchase of response, detection, and decontamination equipment for incidents involving terrorist use of nuclear, biological or chemical agents to ensure the right mix of equipment is available for responding to such incidents; and
- ⇒ provide reciprocal support, resources permitting, to the [local transit agency] in the event of an incident on an agency vehicle or in an agency facility.

Agreement Modification Process

Modifications to this agreement may be presented at anytime and shall be mutually agreed upon in writing after joint discussions involving both parties.

This Agreement shall become effective when executed by both parties and shall remain in effect for a period of five (5) years, and shall automatically be renewed for successive five (5) year periods unless terminated by either party upon sixty (60) days prior written notice.

IN WITNESS WHEREOF, the parties' authorized officers have executed this Agreement on the date first above written.



13. All rights and remedies provided in the Agreement are distinct and cumulative to any other right or remedy afforded by law or equity, and may be exercised independently, concurrently, or successively to such rights or remedies, and shall not be construed to be a limitation of any duties, obligations, rights and remedies of the parties hereto.

Mountain Mobility,

Date

Signatory System name

Signatory Agency Authorized Representative

Date

Designated Primary Contact for this Signatory Agency:

Office:

Contact:

Phone Number

Emergency 24 Hour Phone Number: _____

Approved As To Form

Office of the Attorney General

Date