



108 S. Main Street  
Alturas, CA 96101  
(530) 233-6410 Phone

Meets First Tuesday  
even-numbered months  
after MCTC meeting  
or about 2:00 p.m.

Board of Directors

John Dederick  
Chairman  
City Representative

Kathie Rhoads  
Vice Chair  
County Supervisor  
District III

Bobby Ray  
Director  
City Representative

Elizabeth Cavasso  
Director  
County Supervisor  
District IV

Danny Parker  
Director  
City at Large Member

Jim Wills  
Director  
County at Large Member

Ned Coe  
Alternate  
County Supervisor  
District I

Cheryl Nelson  
Alternate  
City Councilman

Staff

Debbie Pedersen  
Executive Director

Niki Lemke  
Chief Fiscal Officer

Cindy Imbach  
Sr. Transportation Planner

Michelle Cox  
Assistant Secretary 2

# AGENDA

## REGULAR MEETING

JUNE 2, 2020

### SAGE STAGE CONFERENCE ROOM

200 W North Street  
Alturas, CA 96101

**Teleconference Number (712) 451-0647**  
**Access Code 113785**

Following the MCTC meeting at or about 2:00 p.m.

**1. Call to Order –**

a. Roll Call

**2. Public Forum -** Citizens may address the Commission with matters that are related directly to Commission responsibilities. If any matters call for action by the Commission, they will be placed on subsequent agendas. Because the Chairman may limit speakers to five (5) minutes each, citizens are encouraged to contact the Chairman or staff for assistance before the meeting.

**3. Confirm Agenda**

**Action**

**4. Consent Agenda**

**Action**

- a. Approve the minutes from the 04/21/20 MTA Regular Meeting.
- b. Financial Transactions 03/01/20 through 04/30/20.
- c. YTD expenditures through 04/30/20.

**5. Regular Business**

**Information/Action**

- a. Update regarding deliver service and Coronavirus Aid, Relief, and Economic Security Act (CARES). Ratify authorizing the Executive Director to sign Amendments to the contract with First Transit, Inc.
- b. Consider adopting Resolution 19-01b Final Fiscal Year 2019/20 Budget
- c. Consider adopting First Transit’s Safety Plan.
- d. Consider approving the Fiscal Year 2019/20 Fixed Asset Inventory and Asset Disposition.
- e. Consider adopting an Americans Disability Act Complaint Procedure.

**6. Staff Updates and Calendar of Events**

**Information**

- a. Staff updates
- b. Calendar of Events

**7. Adjourn until next regular MTA meeting,** scheduled for August 4, 2020, (Tuesday) at Sage Stage, 108 S. Main Street, Alturas, CA, at about 1:15 p.m., following the MCTC meeting.

<b>Report to Modoc Transportation Agency Board Members</b>	
Subject <b>Consent Agenda</b>	Meeting Date <b>June 2, 2020</b>
Presented by <b>MTA Staff</b>	Agenda Item <b>4</b>

Consent Agenda - Note: Attachments shown in **bold** type

- a. Approve minutes from the **04/21/19 MTA Regular Meeting**
- b. **Financial Transactions – 03/01/2020 through 04/30/20**

Summary of incidental expenditures

<b>Vendor</b>	<b>Transaction</b>	<b>Amount</b>	<b>Explanation</b>
None			

- c. **Year to Date revenue and expenditure (through 04/30/20) report.**



MODOC TRANSPORTATION AGENCY

108 South Main, Alturas, CA 96101  
Phone (530) 233-6410

**MINUTES**  
**Regular Meeting**  
**April 21, 2020**

**Board Members Present**

John Dederick, Chair  
Kathie Rhoads, Vice Chair  
Elizabeth Cavasso  
Bobby Ray  
Danny Parker

Representative, City of Alturas  
Board of Supervisors, District III, Modoc County  
Board of Supervisors District IV, Modoc County  
Representative, City of Alturas  
City At-Large Member

**Board Members Absent**

Jim Wills  
Ned Coe (Alternate)  
Cheryl Nelson (Alternate)

County At-Large Member  
Board of Supervisors, District 1, Modoc County  
Councilmember, City of Alturas

**Staff Present**

Debbie Pedersen  
Niki Lemke  
Michelle Cox

Executive Director  
Chief Fiscal Officer  
Assistant Secretary 2

**Public Present**

None

1. **Call to Order** – Chair Dederick called the teleconference meeting to order at 2:09p.m. in the Sage Stage Conference Room, 108 S. Main Street, Alturas, CA.
  - a. Roll call was taken.
2. **Public Forum** –There were no public comments.
3. **Confirm Agenda** –Motion by Board Member Parker to confirm agenda, seconded by Board Member Ray. Roll call was taken, all present. All Ayes; motion carried.
4. **Consent Agenda**
  - a. Approve minutes from 02/12/20 MTA Regular Meeting.
  - b. Financial Transactions 01/01/20 through 02/29/20.

Summary of Incidental Expenditures:

Vendor	Transaction	Amount	Explanation
Singleton Auman PC	3035	\$7,100.00	Financial Audit for FY 2018/19
Perry's Automotive	3045	\$1,367.93	T17 Schedule A / T21 Schedule A

- c. Year-To-Date revenue and expenditure report through 02/29/20.

d. System Information and Statistics

1) Sage Stage Operations Report – Performance statistics (below) are accurate although unaudited.

<i>Month</i>	<b>Passenger Trips</b>			<b>Miles</b>			<b>Fares</b>		
	<b>2020</b>	<b>2019</b>	<b>Change</b>	<b>2020</b>	<b>2019</b>	<b>Change</b>	<b>2020</b>	<b>2019</b>	<b>Change</b>
<i>Jan</i>	1,133	1,231	↓ 8.0%	10,116	10,693	↓ 5.4%	\$4,303	\$4,049	↑ 6.3%
<i>Feb</i>	1,041	1,109	↓ 6.1%	9,088	7,499	↑ 21.2%	\$3,017	\$2,840	↑ 6.2%
<i>Mar</i>	808	1,234	↓ 34.5%	6,432	10,516	↓ 38.8%	\$1,654	\$5,052	↓ 67.3%

2) Revenue Service Miles compared to Fuel Cost

<i>Month</i>	<b>Miles</b>			<b>Fuel Cost</b>			<b>Fuel Cost per Mile</b>		
	<b>2020</b>	<b>2019</b>	<b>2018</b>	<b>2020</b>	<b>2019</b>	<b>2018</b>	<b>2020</b>	<b>2019</b>	<b>2018</b>
<i>Jan</i>	10,116	10,693	10,157	\$2,666	\$2,656	\$2,750	.26¢	.25¢	.27¢
<i>Feb</i>	9,088	7,499	8,251	\$2,364	\$1,828	\$2,164	.26¢	.24¢	.26¢
<i>Mar</i>	6,432	10,516	9,505	\$2,757	\$2,757	\$2,461	.22¢	.26¢	.26¢

3) Ridership - US 395 intercity route by county of origin or destination (O/D) – Operates between Alturas, Susanville, and Reno on reservation basis three (3) times per week on Mondays, Wednesdays & Fridays.

<i>Month</i>	<b>Modoc O/D</b>		<b>Lassen O/D</b>		<b>Total Route Ridership</b>	
	<b>2020</b>	<b>2019</b>	<b>2020</b>	<b>2019</b>	<b>2020</b>	<b>2019</b>
<i>Jan</i>	37	53	49	46	86	99
<i>Feb</i>	28	23	47	35	75	58
<i>Mar</i>	9	48	22	70	31	118

Motion by Board Member Cavasso to approve consent agenda items a through d above, seconded by Board Member Ray. Roll call was taken, all present. All Ayes; motion carried.

5. Regular Business

a. Update regarding delivery service.

Executive Director, Debbie Pedersen reported the delivery service got off to a start. Business has picked up we are now averaging about two to six deliveries a day. Federal funding will be available soon to help with the cost of driver’s salaries.

**b. Consider adopting Resolution 20-01 Fiscal Year 2020/21 Budget.**

Chief Fiscal Officer, Niki Lemke explained the two major increases in the 2020/21 budget. Purchased Transportation through First Transit is increased as part of the new multiyear contract. Vehicle maintenance and repair has increased due to several buses needing extra repairs last year.

Motion by Board Member Ray to adopt Resolution 20-01 Fiscal Year 2020/21 Budget, seconded by Board Member Cavasso. Roll call was taken, all present. All Ayes; motion carried.

**c. Consider approval of the 2020 Title VI Plan update.**

Executive Director, Debbie Pedersen explained the minor changes to the 2020 Title VI Plan. New percentages were calculated, and dates have been changed.

Motion by Board Member Cavasso to approve the 2020 Title VI Plan update, seconded by Board Member Rhoads. Roll call was taken, all present. All Ayes; motion carried.

**6. System Update, Communications, and Calendar**

**a. Staff updates**

There were no staff updates presented.

**b. Other Information**

Calendar – consider future dates and events of interest:

05/25/20 Memorial Day Holiday – MCTC office is closed – No Sage Stage Services

**7. Adjournment**

Motion to adjourn by Board Member Rhoads at 2:20p.m.; seconded by Board Member Ray. Roll call was taken, all present. All Ayes, motion carried. The next regular meeting will be Tuesday, June 2, 2020, in the Alturas City Council Chambers, 200 W. North Street, Alturas at 2:15 p.m. or soon thereafter.

Submitted by,

Michelle Cox  
Assistant Secretary 2

**Modoc Transportation Agency**  
**Transactions by Account**  
As of April 30, 2020

Date	Num	Name	Amount	Balance
<b>LAIF-8025001 (\$620K)</b>				<b>632,005.59</b>
04/30/2020		LAIF Transfer	-0.02	632,005.57
04/30/2020	1637111	Interest	3,180.77	635,186.34
Total LAIF-8025001 (\$620K)			3,180.75	635,186.34
<b>Plumas Operating MTA-0477</b>				<b>187,225.30</b>
<b>Reserve - LTF / LCTOP Exchange</b>				<b>19,421.00</b>
Total Reserve - LTF / LCTOP Exchange				19,421.00
<b>Reserve - Vehicles</b>				<b>23,175.00</b>
Total Reserve - Vehicles				23,175.00
<b>Reserve - Building Improvements</b>				<b>11,218.26</b>
Total Reserve - Building Improvements				11,218.26
<b>Plumas Operating MTA-0477 - Other</b>				<b>133,411.04</b>
03/02/2020		Farebox	152.50	133,563.54
03/03/2020		Farebox	218.00	133,781.54
03/03/2020	3065	City Of Alturas	-82.88	133,698.66
03/03/2020	3066	Ed Staub & Sons	-2,363.38	131,335.28
03/03/2020	3067	First Transit, Inc.	-19,428.62	111,906.66
03/03/2020	3068	Les Schwab Tires	-32.00	111,874.66
03/03/2020	30320	Basys Processing, Inc.	-181.77	111,692.89
03/03/2020		Farebox	20.00	111,712.89
03/03/2020	3069	Waste Management	-27.85	111,685.04
03/03/2020		Farebox	20.00	111,705.04
03/04/2020		Farebox	84.50	111,789.54
03/04/2020		Farebox	33.00	111,822.54
03/04/2020	3071	EDI Media	-150.00	111,672.54
03/05/2020	3070	Overhead Door Company of Klamath Falls	-530.00	111,142.54
03/05/2020		Farebox	20.00	111,162.54
03/05/2020		Farebox	89.49	111,252.03
03/05/2020	30520	Four Corner's Market	-42.88	111,209.15
03/05/2020		Farebox	35.00	111,244.15
03/05/2020		Farebox	40.00	111,284.15
03/05/2020		Farebox	26.00	111,310.15
03/05/2020	30521	Amazon	-9.42	111,300.73
03/05/2020	30522	Amazon	-50.97	111,249.76
03/05/2020	30523	Amazon	-17.89	111,231.87
03/05/2020	30524	Amazon	-19.34	111,212.53
03/05/2020	30525	Amazon	-8.67	111,203.86
03/05/2020	30526	TCE Communications	-49.68	111,154.18
03/06/2020		Farebox	30.00	111,184.18
03/06/2020		Farebox	117.37	111,301.55
03/09/2020		Farebox	173.98	111,475.53
03/09/2020	3072	Frontier Communications	-105.94	111,369.59

## Modoc Transportation Agency Transactions by Account As of April 30, 2020

Date	Num	Name	Amount	Balance
03/09/2020	3073	Les Schwab Tires	-32.00	111,337.59
03/09/2020	3074	Pepsi-Cola Bottling Company	-39.99	111,297.60
03/09/2020	3075	Larranaga Trucking & Construction	-2,450.00	108,847.60
03/09/2020		Farebox	114.00	108,961.60
03/10/2020		Farebox	90.00	109,051.60
03/10/2020		Farebox	76.00	109,127.60
03/11/2020	3076	Ray Morgan Company	-122.40	109,005.20
03/11/2020		Farebox	32.00	109,037.20
03/11/2020	3077	Perry's Automotive	-23.92	109,013.28
03/11/2020		Farebox	25.00	109,038.28
03/13/2020		Farebox	77.05	109,115.33
03/13/2020		Farebox	153.99	109,269.32
03/17/2020		Farebox	21.00	109,290.32
03/17/2020	3078	Apex Technology Management, Inc.	-1,227.00	108,063.32
03/17/2020	31720	Four Corner's Market	-4.98	108,058.34
03/17/2020	31721	Four Seasons Supply	-13.90	108,044.44
03/17/2020	3079	Frontier Communications	-108.10	107,936.34
03/18/2020		Farebox	36.10	107,972.44
03/19/2020	31920	Wal Mart	-91.30	107,881.14
03/19/2020		Farebox	22.00	107,903.14
03/20/2020		Farebox	71.05	107,974.19
03/23/2020	3080	Fredrick Janitorial	-275.00	107,699.19
03/23/2020		Farebox	60.00	107,759.19
03/23/2020		AP Tech	423.00	108,182.19
03/24/2020		Farebox	22.00	108,204.19
03/25/2020	3081	Ed Staub & Sons	-214.78	107,989.41
03/25/2020	3082	Perry's Automotive	-666.10	107,323.31
03/25/2020	3083	Verizon Wireless	-178.10	107,145.21
03/26/2020	32620	Four Seasons Supply	-35.15	107,110.06
03/31/2020	33120	Best Buy	-182.31	106,927.75
03/31/2020	3084	Pacific Power	-495.80	106,431.95
03/31/2020		Interest	7.26	106,439.21
04/01/2020	3085	Apex Technology Management, Inc.	-1,227.00	105,212.21
04/01/2020	3096	First Transit, Inc.	-15,102.33	90,109.88
04/02/2020	40220	Tnet Broadband Internet, LLC	-48.00	90,061.88
04/02/2020	3086	Modoc County Record	-239.63	89,822.25
04/02/2020	3087	Ed Staub & Sons	-1,463.89	88,358.36
04/02/2020	3088	Modoc County Transportation Commission	-16,297.77	72,060.59
04/03/2020	40320	TCE Communications	-49.61	72,010.98
04/07/2020	40321	Basys Processing, Inc.	-80.40	71,930.58
04/07/2020	3089	City Of Alturas	-82.88	71,847.70
04/07/2020	3090	EDI Media	-150.00	71,697.70

**Modoc Transportation Agency**  
**Transactions by Account**  
As of April 30, 2020

Date	Num	Name	Amount	Balance
04/07/2020	3091	Frontier Communications	-105.94	71,591.76
04/07/2020	3092	Les Schwab Tires	-32.00	71,559.76
04/07/2020	3093	Pepsi-Cola Bottling Company	-39.99	71,519.77
04/07/2020	3094	Ray Morgan Company	-110.74	71,409.03
04/07/2020	3095	Waste Management	-64.48	71,344.55
04/09/2020		Farebox	18.00	71,362.55
04/14/2020	3097	Frontier Communications	-98.59	71,263.96
04/14/2020	3098	Les Schwab Tires	-64.00	71,199.96
04/14/2020	41420	Four Seasons Supply	-31.66	71,168.30
04/14/2020	41421	Amazon	-33.48	71,134.82
04/15/2020		MCTC	4,282.35	75,417.17
04/16/2020	3099	EDI Media	-150.00	75,267.17
04/16/2020		Farebox	36.00	75,303.17
04/21/2020	3100	Transit Marketing, LLC	-211.25	75,091.92
04/21/2020	3101	Modoc County Record	-39.00	75,052.92
04/21/2020	3102	Perry's Automotive	-400.00	74,652.92
04/23/2020	3103	Trillium Solutions	-560.00	74,092.92
04/24/2020		STAF / SGR	25,454.15	99,547.07
04/25/2020	42520	Tnet Broadband Internet, LLC	-48.00	99,499.07
04/27/2020	3104	Fredrick Janitorial	-275.00	99,224.07
04/28/2020	3105	City Of Alturas	-83.62	99,140.45
04/28/2020	3106	Pacific Power	-481.57	98,658.88
04/28/2020	3107	Verizon Wireless	-177.90	98,480.98
04/28/2020	3108	First Transit, Inc.	-3,179.35	95,301.63
04/30/2020		Lassen Transit Service Agency	7,500.00	102,801.63
04/30/2020		Interest	3.84	102,805.47
Total Plumas Operating MTA-0477 - Other			-30,605.57	102,805.47
Total Plumas Operating MTA-0477			-30,605.57	156,619.73
<b>Treasurer Operating MTA-650</b>				<b>0.00</b>
Total Treasurer Operating MTA-650				0.00
<b>TOTAL</b>			<b>-27,424.82</b>	<b>791,806.07</b>

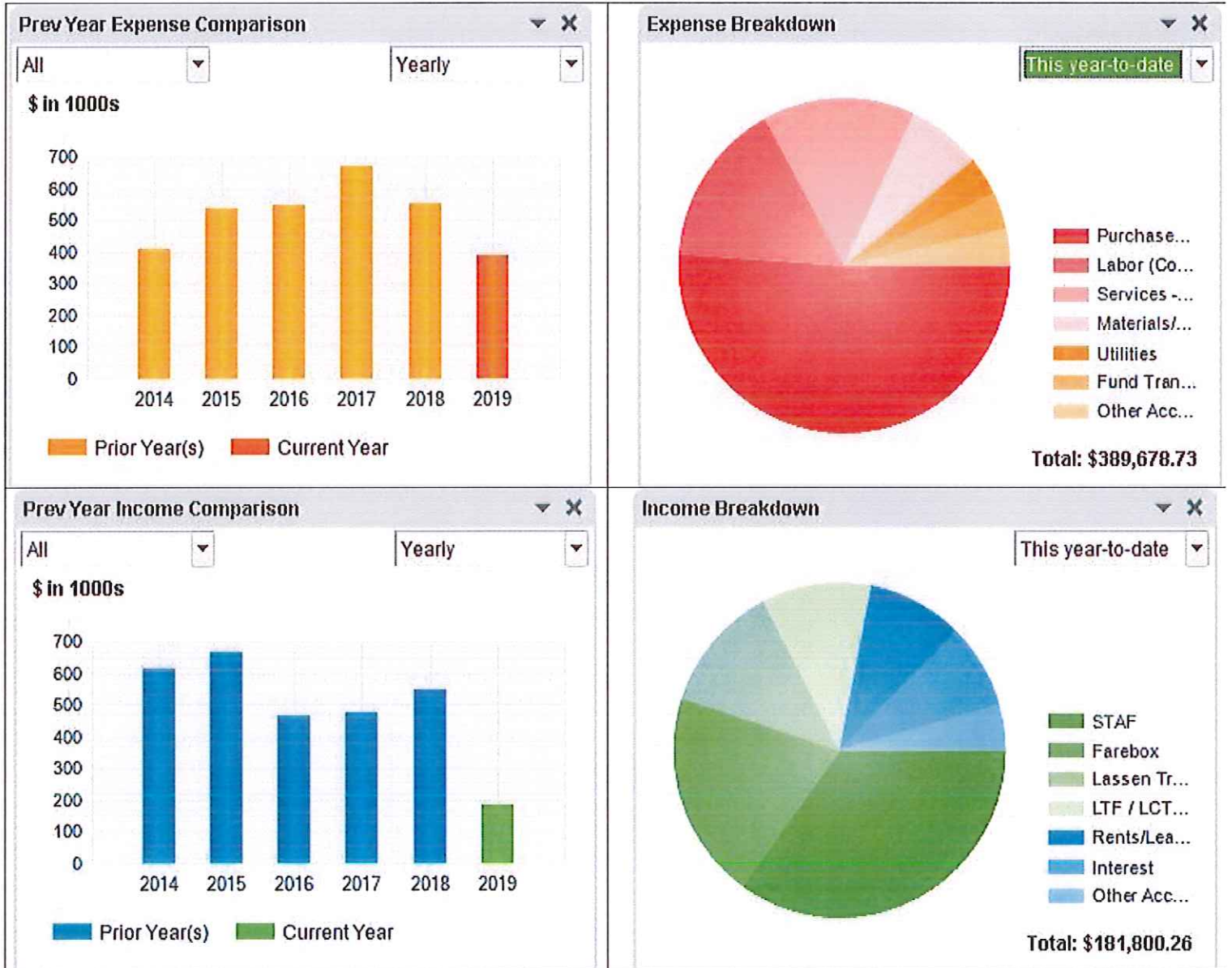


**Modoc Transportation Agency**  
**Profit & Loss**  
July 2019 through April 2020

	<u>Jul '19 - Apr 20</u>
<b>Ordinary Income/Expense</b>	
<b>Income</b>	
LTF / LCTOP Exchange	19,421.00
State of Good Repair	3,596.15
<b>Farebox</b>	
Dial A Ride Fares	9,702.16
Klamath Falls Fares	3,140.27
Redding Fares	2,867.38
Reno Fares	20,749.92
<b>Total Farebox</b>	<u>36,459.73</u>
Interest	14,888.90
Lassen Transit Service Agency	22,500.00
LTF	4,324.43
Rents/Leases	16,989.05
STAF	63,621.00
<b>Total Income</b>	181,800.26
<b>Expense</b>	
Fund Transfer - Year End	14,000.00
Building Maint / Improve	7,093.19
Insurance	2,000.00
Labor (Contract Admin)	62,020.55
Legal Notices	160.50
Marketing/Promotions	3,140.14
<b>Materials/Supplies Consumed</b>	
Fuel/Lubricants	25,166.83
Office Supplies	2,196.92
Shop & Bus Supplies	787.15
<b>Total Materials/Supplies Consumed</b>	<u>28,150.90</u>
Purchased Transportation	199,164.52
<b>Services - Prof./Specialized</b>	
Accounting / Auditor Services	7,100.00
IT Service & Support	4,813.00
Legal Services	132.50
Services - Other (Misc.)	4,030.11
<b>Vehicle Maintenance</b>	
T21	2,713.56
T14	6,166.21
T16	854.42
T17	14,455.30
T18	9,931.18
T19	1,212.61
T20	5,239.08
<b>Total Vehicle Maintenance</b>	<u>40,572.36</u>
<b>Total Services - Prof./Specialized</b>	56,647.97
Travel/Staff Training	250.00
Uniforms	449.25
Utilities	14,614.23
<b>Total Expense</b>	<u>387,691.25</u>
<b>Net Ordinary Income</b>	-205,890.99
<b>Net Income</b>	<u><u>-205,890.99</u></u>

# Modoc Transportation Agency

## Company Snapshots (As of 05-11-20)



<b>Report to Modoc Transportation Agency Board Members</b>	
Subject <b>Regular Business</b>	Meeting Date <b>June 2, 2020</b>
Presented by <b>MTA Staff</b>	Agenda Item <b>5</b>

**Items with attachments, shown in bold:**

**a. Update regarding delivery service**

Deliveries are being made to repeat customers and some new each week. Fuel costs were \$199 compared to April 2019 cost of \$3,232. We plan to continue the delivery services and not resume passenger services until the Emergency has been declared over.

Coronavirus Aid, Relief and Economic Security Act (CARES Act) Funding (covers 100% of costs) – two programs one for the Local Bus Service (5311) and another for the Intercity Services (5311f).

The 5311 CARES for the first apportionment (30% of the CARES) is \$60,594; we were informed that the 5311f CARES will be \$195,669. These amounts are for the first House funding; the House authorized an additional \$15.75 billion for public transit.

Our amended contract was approved by Caltrans May 20, 2020 which allows us to pay drivers' administrative leave from the time passenger services were suspended. Expediting the contract was necessary to obtain reimbursement. Staff recommends that MTA ratify the Executive Director to sign Amendments to the contract with First Transit, Inc.

**b. Consider adopting Resolution 19-01b Final Fiscal Year 2019/20 Budget.**

**c. Consider adopting First Transit's Safety Plan.**

First Transit's safety plan is primarily for the drivers, although the equipment and vehicles are owned by MTA. For consistency with their policies, staff recommends adoption of the Safety Plan.

**d. Consider approving the Fiscal Year 2019/20 Fixed Asset Inventory and Asset Disposition.**

**e. Consider adopting an American Disability Act Complaint Procedure.**

This procedure is required through the Federal Transit Administration grant funding that we receive to operate our transit services to comply with the American's with Disabilities Act (ADA). Staff is currently working on an ADA Plan that will be presented at the subsequent meeting.

**DEPARTMENT OF TRANSPORTATION**

DIVISION OF RAIL AND MASS TRANSPORTATION MS 39  
1120 N STREET  
P. O. BOX 942874  
SACRAMENTO, CA 94274-0001  
PHONE (916) 654-8811  
FAX (916) 654-9366  
TTY 711  
www.dot.ca.gov



*Making Conservation  
a California Way of Life.*

May 20, 2020

Debbie Pedersen  
Modoc Transportation Agency  
108 S. Main Street  
Alturas, CA 96101

Dear Ms. Pedersen:

As a recipient of Federal Transit Administration (FTA) Section 5311 funds, the California Department of Transportation (Caltrans) Division of Rail and Mass Transportation (DRMT) is responsible for providing project oversight to maintain compliance with federal statutes and regulations. Therefore, as a subrecipient of this funding, your agency must demonstrate to DRMT that all procurement and third-party contracting activities engaged by your agency comply with:

- 2 CFR Part 200 – Uniform administrative requirements, cost principles, and audit requirements for federal awards; and
- FTA Circular 4220.1F – Third Party Contracting Guidance.

DRMT FTA Programs Procurement Oversight Branch **approves** Modoc Transportation Agency's Amendment 1 with First Transit, Inc for the purpose of providing operations and management of Sage Stage Intercity Bus and Local Bus services in Modoc County. Reference number 526.

Amendment 1 is to modify the third-party contract to provide funding under the Federal Coronavirus Aid, Relief, and Economic Security (CARES) Act which is available for all operating expenses and other expenses to prevent, prepare for, and respond to COVID-19 that occurred on or after January 20, 2020 including the cost of administrative leave for transit workers whether employed by the Agency or Contractor.

Debbie Pedersen  
May 20, 2020  
Page 2

Please email a copy of the fully executed amendment to Sandra Munoz-Braidman at [sandra.munoz-braidman@dot.ca.gov](mailto:sandra.munoz-braidman@dot.ca.gov).

Third-party contracts, contract modifications, and exercising of optional periods of performance require DRMT approval prior to implementation. Subrecipient agencies implementing third-party contracts, contract modifications, or option years without prior approval risk being denied FTA reimbursement.

If you have questions regarding this procurement review, please contact me at the email address above. If you have questions regarding FTA 5311 Grant procedures and requirements, please contact your 5311 Program Liaison.

Sincerely,



FRANK NEVITT, Chief  
FTA Programs Procurement Oversight Branch  
Caltrans Division of Rail and Mass Transportation

C: Cayman Morgan, Department of Transportation, DRMT  
Sandra Munoz-Braidman, Department of Transportation, DRMT

## AGREEMENT BETWEEN MTA AND FIRST TRANSIT, INC.

### AMENDMENT #1

This AGREEMENT AMENDMENT #1, dated April 29, 2020, is necessary to maintain service and lost revenue due to the COVID 19 public health emergency expenditures beginning January 20, 2020 between the Modoc Transportation Agency, herein referred to as “MTA” and First Transit, Inc., herein referred to as “CONTRACTOR.”

It is mutually understood and agreed to as follows:

1. Title XII of Division B of the Coronavirus Aid, Relief, and Economic Security (CARES) Act authorized and appropriated funding to pay for operating expenses. CARES funding is administered through FTA grants.
2. CARES Act specifies that administrative leave for public transportation operations personnel is an eligible expense. Expenses under third-party contracts or maintenance services that incurred on or after January 20, 2020, including CONTRACTOR employees providing such service that are placed on administrative leave due to reduced service are eligible for federal reimbursement. These expenses are required to retain readiness or eligible maintenance expenses because service has been reduced.
3. Under authority of the Emergency Relief program terms and conditions of the Contract entered into by MTA and CONTRACTOR on June 4, 2019, are hereby amended to include maintenance and administrative leave for full time drivers due to reduced services of Sage Stage. MTA has determined that reduced service levels directed in response to the COVID 19 public health emergency threatens MTA and CONTRACTOR’S ability to retain readiness to resume regular service and quality levels upon the expiration of the emergency. Granting paid administrative leave to CONTRACTOR’S full time drivers that normally provide support to MTA to the extent the drivers have been idled due to service reductions are necessary to protect MTA and CONTRACTOR’S readiness.
4. These costs shall cover drivers salary and benefits costs as agreed to in the original contract dated June 4, 2019, protective personal equipment, continuing health coverage, additional cleaning costs, and capital improvements such as shields on buses. All provisions in the original contract remain unchanged.
5. All payments under the provisions of this Amendment are subject to audit and CONTRACTOR agrees to submit all related records to MTA, its agents, and state and federal authorities upon request.
6. MTA’S responsibility hereunder is subject to the availability of funds. Specifically, any payment is contingent upon final approval and receipt of CARES funding grant(s).

**IN WITNESS WHEREOF**, the parties have caused this AGREEMENT to be executed on the day and year first above written.

**MODOC TRANSPORTATION AGENCY:**

\_\_\_\_\_ Date: \_\_\_\_\_, 2020

Debbie Pedersen, Executive Director

**FIRST TRANSIT:**

\_\_\_\_\_ Date: \_\_\_\_\_, 2020

Bradley A. Thomas, President

\_\_\_\_\_

Federal Tax I.D. Number

**MODOC TRANSPORTATION AGENCY**  
**Revised RESOLUTION No. 19-01b**  
**Fiscal Year (FY) 2019/20 Final Budget**

WHEREAS, the Modoc Transportation Agency (MTA) is responsible for adopting an annual Budget each fiscal year (FY) that identifies anticipated revenues and expenditures; and

WHEREAS, the MCTC apportioned the FY 19/20 Transportation Development Act (TDA) funds on April 2, 2019 in the Findings of Apportionment and MCTC Resolution 19-03 LTF And STAF Allocation Instructions to claimants MCTC planning & administration, the Modoc Transportation Agency/Transit Operations, the Modoc County Road Department and the City of Alturas; and

WHEREAS, the MTA FY 2019/20 Budget, as shown in Attachment A, includes revenues from TDA, Federal Transit Assistance, CARES Act, State Transit Bonds (Prop 1B CTAF), Lassen County Transportation Commission, Sub-Leases/Rents, fare revenue, and grant sources identified in Resolution 19-05 Authorized Signatories for Plans and Programs; and

WHEREAS, the MTA FY 2019/20 Budget, as shown in Attachment A, identifies estimated expenditures to administer the revenue from the Agency grants and programs; and

WHEREAS, the MTA authorizes the Executive Director or Chairman to modify line item amounts within the budget for daily operations so long as the overall revenues and expenditures are in accordance with amounts shown in Attachment A, and with a subsequent approval by MTA.

NOW, THEREFORE, BE IT RESOLVED that the Modoc Transportation Agency hereby adopts this FY 2019/20 Budget (\$611,278)

PASSED AND ADOPTED this 2<sup>nd</sup> day of June, 2020 by the following vote:

AYES: Board Members:

NOES:

ABSENT: Board Members:

ATTEST:

\_\_\_\_\_  
John Dederick, Chairman

\_\_\_\_\_  
Debbie Pedersen, Executive Director  
Modoc Transportation Agency



**Modoc Transportation Agency  
FY 2019/20 Budget  
19-01b - Attachment A**

<b>Adopted 6/2/20 (19-01b) DRAFT</b>				
<b>REVENUES</b>	Operating	Capital Expense	19/20-A Budget	Difference
Facility Sub-Lease - AP Tech Drug & Alcohol	\$ 22,104		\$ 22,104	\$ -
LTF - Sales Tax Revenue Estimate - (FY 19/20)	\$ 85,825	\$ 23,175	\$ 100,000	\$ 9,000
STAF - Estimate FY (19/20)	\$ 72,000		\$ 102,032	\$ (30,032)
LCTOP Exchange w/Tehama County		\$ 19,421	\$ -	\$ 19,421
State of Good Repair - Reserve (19/20)		\$ 14,215	\$ 14,215	\$ -
MTA				\$ -
Local Gov Collaborative - LTSA Reno Route	\$ 30,000		\$ 30,000	\$ -
FTA 5311 Operating Assistance (18/19 Grant)	\$ 55,488		\$ 55,488	\$ -
FTA 5311 Operating Assistance - CoVID Reimb	\$ 70,840		\$ -	\$ 70,840
FTA 5311(f) Intercity Routes (19/20 Grant)	\$ 102,163		\$ 143,853	\$ (41,690)
FTA 5311(f) Intercity Routes - CoVID Reimb	\$ 76,047		\$ -	\$ 76,047
Rural Transit Assistance Program (19/20)	\$ -		\$ 1,500	\$ (1,500)
Farebox	\$ 40,000		\$ 60,000	\$ (20,000)
<b>Total Revenues</b>	\$ 554,467	\$ 56,811	\$ 529,192	\$ 82,086
		<b>611,278</b>	<b>611,278</b>	<b>611,278</b>
<b>EXPENSES</b>			19/20-A Budget	Difference
Fuel	\$ 37,000		\$ 37,000	\$ -
Insurance (Building & Liability)	\$ 2,500		\$ 2,500	\$ -
Legal Notices	\$ 1,000		\$ 1,000	\$ -
Marketing / Public Information	\$ 4,500		\$ 4,500	\$ -
Professional / Specialized				\$ -
Accounting / Auditor Services	\$ 7,500		\$ 7,500	\$ -
IT Service & Support ( <i>IT Monthly</i> )	\$ 8,000		\$ 8,000	\$ -
Legal Services	\$ 4,000		\$ 4,000	\$ -
Miscellaneous Services	\$ 5,000		\$ 5,000	\$ -
Purchased Transportation	\$ 250,000		\$ 220,000	\$ 30,000
Supplies Consumed				\$ -
Office Supplies	\$ 5,000		\$ 5,000	\$ -
Vehicle & Shop Supplies	\$ 2,000		\$ 2,000	\$ -
Salaries / Labor	\$ 145,000		\$ 145,000	\$ -
Travel / Staff Training / Memberships	\$ 1,000		\$ 3,000	\$ (2,000)
Uniforms	\$ 1,000		\$ 500	\$ 500
Utilities	\$ 18,500		\$ 18,500	\$ -
Vehicle Maintenance & Repair	\$ 55,842		\$ 44,852	\$ 10,990
<b>CAPITAL &amp; RESERVE</b>				\$ -
Transit Property & Vehicle - Reserve		\$ 56,811	\$ 14,215	\$ 42,596
Building Improvements - Reserve	\$ 6,625		\$ 6,625	\$ -
				\$ -
<b>Total Expenses</b>	\$ 554,467	\$ 56,811	\$ 529,192	\$ 82,086
		<b>611,278</b>	<b>611,278</b>	<b>611,278</b>



# First Transit Agency Safety Plan

## 1. Transit Agency Information

<b>Transit Agency Name</b>	First Transit		
<b>Transit Agency Address</b>	600 Vine Street, Ste. 1400 Cincinnati, Ohio, U.S. 45202		
<b>Name and Title of Accountable Executive</b>	David Perez, Vice President of Safety – First Transit		
<b>Name of Chief Safety Officer or SMS Executive</b>	Paul Meredith, Senior Director of Safety		
<b>Mode(s) of Service Covered by This Plan</b>	Transit Bus	<b>List All FTA Funding Types (e.g., 5307, 5310, 5311)</b>	
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	<p>First Transit is a business unit of First Group America, the U.S. based North American Operating Unit of FirstGroup plc (First Group), a United Kingdom-based passenger transportation company. First Group is the U.K.'s largest bus operator, with a fleet of more than 9,000 vehicles, and also one of the U.K.'s leading train operators.</p> <p>First Transit services the U.S. transportation industry through two unique service approaches: <u>Transit Contracting</u>, and <u>Transit Management</u>. With these two service approaches, First Transit has participated on assignments of all types, sizes and scopes throughout the world.</p> <p><b><u>Transit Contracting</u></b> provides the design, implementation and operation of flexible, cost-effective transportation systems throughout the United States. Transit Contracting provides a turnkey or tailored service approach that supplies all or most components of operations including equipment, facilities, staffing, management and so forth. Such operational experience encompasses dial-a-ride, shared-ride taxi, services for the elderly and persons with disabilities, airport shuttle, commuter express, and fixed route service.</p> <p><b><u>Transit Management Services</u></b> provides resident teams to manage public transit systems in various locations throughout the United States. Our approach to excellence combined with our teams' experience has yielded unmatched operating results and awards in the industry.</p> <p>First Transit offers a unique six-part approach to our <b><u>Safety Management System (SMS)</u></b></p> <ul style="list-style-type: none"> <li>• Location Management Team (General Manager, Safety Manager)</li> <li>• Region Staff (Region Safety Manager, Region Safety Director, Region Maintenance Director &amp; Region Vice President)</li> </ul>		



	<ul style="list-style-type: none"> <li>• Senior Director of Safety</li> <li>• Vice President of Safety</li> <li>• Vice President of Maintenance</li> <li>• President</li> </ul> <p>A <b>Resident Management Team</b> is assigned to each location consisting of, in part, a Location General Manager (LGM) and a Location Safety Manager (LSM).</p> <ul style="list-style-type: none"> <li>• The LGM participates fully with the client to ensure the operation is running effectively and acts as mediator when safety related problems arise. The LGM is also responsible for ensuring implementation of the National Safety Program.</li> <li>• The LSM routinely is in contact with the operation and is responsible for ensuring their locations have the current safety programs in place; auditing local safety efforts; reviewing all accident and injury claims; reviewing performance statistics; and coordinating corporate assets to address specific deficiencies found on the local level.</li> </ul> <p>Our <b>Region Staff</b> consists of a Region Safety Manager, Region Safety Director, Region Maintenance Director, Region Director of Operations, Region Vice Presidents.</p> <ul style="list-style-type: none"> <li>• The Region Maintenance Director, The Region Director of Operations and Region Vice Presidents are responsible for the oversight of all First Transit locations within the region. They provide direction and assistance to location managers, including P&amp;L, budgets, and personnel.</li> <li>• The Region Safety Manager and Region Safety Director ensures management services are provided according to local governing board policies, as well as maintaining quality and client satisfaction, and their locations have the current safety programs in place.</li> </ul> <p>The <b>Vice President of Safety</b> provides oversight for each individual region of First Transit. This person works with each Region Safety Manager and Region Director of Safety to ensure First Transit is in compliance with all FTA and DOT regulations.</p> <p>The <b>Vice President of Maintenance</b> provides technical assistance, training, and “best practices” information to all of First Transit’s managed systems.</p> <p>The <b>President of First Transit</b> works closely with the Vice President of Safety - First Transit and Vice President of Maintenance. All safety processes are reviewed and approved before any decision regarding safety is approved.</p>			
<p><b>Does the agency provide transit services on behalf of another transit agency or entity?</b></p>	<p>Yes X</p>	<p>No</p>	<p><b>Description of Arrangement(s)</b></p>	<p>FGA operates 335 contracts throughout North America to provide fixed-route and paratransit public bus service for state transportation departments and administrations; transit agencies; and universities.</p>



<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	
---	--

## 2. Plan Development, Approval, and Updates

<b>Name of Entity That Drafted This Plan</b> <i>(Location Code)</i>	First Transit: <i>(Place Location Code here)</i>	
<b>Signature by the Accountable Executive</b> <i>(Location General Manager)</i>	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
	<i>(Location General Manager Signature Here)</i>	
<b>Approval by the Board of Directors or an Equivalent Authority</b> <i>(Local Contract Authority)</i>	<b>Name of Individual/Entity That Approved This Plan</b>	<b>Date of Approval</b>
	<b>Relevant Documentation (title and location)</b>	
<b>Certification of Compliance</b>	<b>Name of Individual/Entity That Certified This Plan</b>	<b>Date of Certification</b>
	<i>(Client Approver)</i>	
	<b>Relevant Documentation (title and location)</b>	
	<i>(First Transit Safety Plan and other Client Documentation)</i>	



<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan.</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
Original	All pages are original version	First Official version of Safety Plan	May 2019

<b>Annual Review and Update of the Public Transportation Agency Safety Plan</b>
<i>Describe the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.</i>
At First Transit, review of safety practices is an ongoing process, not one limited to scheduled reviews. As policies/procedures and training techniques change throughout the year they are updated and communicated throughout the organization. All changes are reviewed and approved by the Senior Director of Safety and the Vice President of Safety – First Transit.
Prior to the beginning of each fiscal year, First Transit’s Safety Plan is reviewed by Executive management and revised based on the safety data collected and analyzed, and changes to policies and procedures made throughout the year. The revised plan is then disseminated to all First Transit locations for implementation.

### 3. Safety Performance Targets

<b>Safety Performance Targets</b>							
<i>Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.</i>							
<b>Mode of Transit Service</b>	<b>Fatalities</b>	<b>Injuries</b>	<b>Safety Events</b>	<b>System Reliability</b>	<b>Other (Client Required, if any)</b>	<b>Other (Client Required, if any)</b>	<b>Other (Client Required, if any)</b>
<b>Fixed-Route</b>							
<b>Demand Response</b>							



**Safety Performance Target Coordination**

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

N/A

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	N/A	N/A
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	N/A	N/A
	N/A	N/A

#### 4. Safety Management Policy

**Safety Management Policy Statement**

*Include the written statement of safety management policy, incorporating safety objectives.*

At First Transit, safety is more than a policy statement. Management believes that working safely promotes quality, productivity, and profitability. Prevention of collisions and personal injuries is of critical importance to everyone. Management is committed to providing a safe workplace, the proper training, protective equipment, and a work environment conducive to safe practices and policies.

All employees are required to perform their duties safely and with concern for the safety of our passengers, other employees and the public. **First Transit will not perform any service, nor transport or use a product, unless it can be done safely.**

First Transit employs a company-wide safety concept, “**BeSafe**”. The main purpose of BeSafe is to reduce collisions and injuries by increasing the communications between employees and managers about safety related issues. As part of this process, employees of all levels are encouraged to initiate reports of any near miss, route and security hazards, or any unsafe condition. When a report about a safety or security concern is filed, it is investigated, which includes follow-up with the reporting employee regarding the resolution of the report.

First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person’s suspected violation of Company policies or guidelines, or any alleged violations of federal, state or local laws.

To ensure that each employee understands and performs their job functions in the BeSafe manner, the **BeSafe Handbook**, is issued to each employee and sized to fit in the safety lanyard or vest, which each employee must wear while on duty.



The **BeSafe Principles** provide the basic truths and fundamentals about working safely in our workplace and on our vehicles. All First Transit employees are expected to adopt these principles and put them into practice. Together a safe work environment is created, free from injury to each other and our passengers.

The motto for the BeSafe Principles is: “**Think Safe, Act Safe, BeSafe.**” This motto is each employee’s instruction to work safely at all times.

**If an employee feels they cannot perform a task safely, they don’t perform the task.** The employee has been trained and encouraged to stop work and immediately advise management of issues preventing them from working safely and what would be required to perform the task safely.

The BeSafe Principles include:

- **Prevent injury to myself and others.**
  - Be aware of any hazardous condition or practice that may cause injury to people, damage to property, or the environment.
  - Use the BeSafe Handbook to record and report.
- **Perform all necessary safety checks and risk assessments of the work area and job to be performed before any work begins.**
  - Speak to management **before** work is started if unsure of the required safety and risk assessments.
- **Follow all safety procedures, signs and instructions.**
  - If these are not understood, speak to management before work begins.
- **Keep work area clean and tidy at all times.**
  - Untidy areas could cause injury to the employee or their colleagues and waste time and energy.
- **Wear protective clothing and equipment (PPE) as required.**
  - Keep PPE in good working order, wear it correctly and ask for a replacement if it becomes damaged or unfit for use.
- **Use only the correct tools and equipment authorized and trained to use for the job.**
  - Check that they are in good condition before use and use them safely.
- **Only adjust and repair any piece of work equipment trained on and authorized to do so.**
  - Never modify any equipment that changes the designed use of the equipment or alters a safety feature.
- **Assess any load and capability to move it before lifting.**
  - Get help with any heavy or awkward items and follow the correct lifting techniques.
- **Report all injuries, incidents and near misses to management.**
  - Seek help immediately and first aid (if necessary).
- **Tell management of any suggestions to prevent injuries in the workplace**
  - Note suggestions made and discuss with management.

The official policy that reflects First Transit’s commitment to safety is included as **Appendix A**.

### **Safety Management Policy Communication**

*Describe how the safety management policy is communicated throughout the agency’s organization. Include dates where applicable.*





**Communication of Local Safety Concerns**

The Location Safety Manager is at the center of the local safety communication process and is responsible for compiling safety reports to include the following:

- Accident and injury data for previous month
- Security incident data
- Safety and security audit data and recommendations
- Safety Solutions Team (SST) meeting minutes
- BeSafe near miss and hazard reporting

This person reports directly to the Location General Manager (LGM) and routinely meets formally with the LGM, one-on-one, to provide updates on safety issues, safety priorities, and hazard management. The Location Safety Manager (LSM) also meets informally with the LGM to provide updates on safety issues on an as-needed basis.

The Location Safety Manager also participates in the Safety Solutions Team (SST) meetings to discuss safety priorities, safety issues, and hazard management, and to communicate safety-related information across all departments.

- The LSM and the LGM have the authority to correct or suspend work for conditions determined to be unsafe, or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of vehicles, until the unsafe condition or hazard can be mitigated or corrected.

The Region Safety Managers also conduct regular internal reviews of local operations. They are to ensure that each location is audited at least every two to three years, with high risk locations audited annually for compliance using the risk-based **Location Safety Review**.

Location Safety Review	
Category	Description
Scope of Safety Reviews	First Transit locations are selected based upon risk-based criterion. Individual locations receive a review every 2-3 years
Risk-Based Selection Criterion	Locations selected based on declining 3-year reviews; sites with new location managers; high collision/injury Accident Frequency Rate (AFR); prior year failing score





Review Format	More narrow and focused audit template which includes a balance of compliance assurance as well as location-specific risks and safety performance.
Findings and Follow-Up	<p>Action plans are developed in conjunction with location staff and use a red/yellow/blue/green method to prioritize. All action items are entered, and incomplete action items are tracked within the <b>Safety Toolbox</b>.</p> <div data-bbox="867 621 1289 989" style="text-align: center;"> <p><b>Strong</b></p> <p><b>Highly Effective</b></p> <p><b>Some Improvement Needed</b></p> <p><b>Much Improvement Needed</b></p> </div>
Escalation Process	Items requiring escalation to Senior Director of Safety/Vice President of Safety – First Transit remain intact. Through the use of Safety Toolbox, unresolved actions are designed to escalate to the Location General Manager/Region Safety Manager.
Visibility	Review results and action items are routinely shared with the Location General Manager/Region Safety Manager/Executive Management. This is augmented by the escalation process for unresolved action items as noted above.

**Corporate Communication of Safety Concerns**

Executive Safety Meetings are routinely held where each department discusses their concerns and progress in the area of safety and safety related concerns. Recommendations are considered, and necessary changes implemented. All complaints by departments are addressed immediately.

Minutes from the Executive Safety meeting are distributed to and posted at each location. Action items are addressed at the following meeting.

Executive safety meetings are conducted in the following formats.

First Group Executive Safety Committee (ESC)

- Consists of President, COO, and Safety Vice President of each operating group



- Discussions include safety performance, trend analysis, program oversight

First Group Safety Council

- Consists of Vice Presidents of Safety for all operating divisions
- Discussions include safety performance, trend analysis, and safety oversight

First Group America Safety Council

- Consists of Safety Senior Directors and Safety Vice Presidents
- Discussions include safety performance, trend analysis, best practices, and program oversight

Performance Review Management (PRM)

- Consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, Region Director of Maintenance, Region Directors of Safety and Region Safety Managers
- Discussions include regions safety performance

Safety Advisory Committee

- Consists of a sampling of Location General Managers, Region Directors of Operations, Region Safety Directors and Region and Local Safety Managers
- Discussions include review of policy and procedures, training, and safety awareness



**Authorities, Accountabilities, and Responsibilities**

*Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).*

<b>Accountable Executive</b>	<i>(Location General Manager)</i>
<b>Chief Safety Officer or SMS Executive</b>	Paul Meredith, Senior Director of Safety
<b>Agency Leadership and Executive Management</b>	<i>(Local Transit Operation Management)</i>
<b>Key Staff</b>	Vice President of Safety – First Transit Senior Director of Safety Region Safety Director – East Region Region Safety Manager – East Region Region Safety Director – Central Region Region Safety Manager – Central Region Region Safety Director – West Region Region Safety Manager – West Region  <b><i>*(Location Safety Managers)*</i></b>



**Additional Accountability**

**(Local Staff Responsibility)**

To ensure safety responsibility and accountability throughout the organization from local operations to corporate management, First Transit uses the following **Safety Responsibility and Task Matrix**. Responsibilities are assigned at the local level.

The responsibilities and tasks are assigned to Maintenance, Operations, or Human Resources and the responsible person for each is identified for each First Transit location.

This process ensures that the pertinent safety items are covered, and that each person knows his or her areas of responsibility.

Safety Responsibility and Task Matrix					
Responsibilities and Tasks	OPS	MNT	HR	OTHER	Responsible Personnel
Establish annual safety objectives for submission to the GM at the beginning of each fiscal year					
Submit a report on the safety performance at the end of each fiscal period					
Submit the following: period operations and safety data; accident and incident reports; and site safety review results					
The LGM or their designee has the authority to direct that work or conditions have been determined to be unsafe or pose a hazard to customers, employees, contractor employees, the general public, or endangers the safe passage of buses be suspended or restricted until the unsafe condition or hazard can be mitigated or corrected					
Management of system safety, occupational health					



	and safety, accident and incident investigation, environmental protection and monitoring the implementation of the Safety Management System (SMS) Program Plan					
	Review of all safety aspects of departmental procedures including: First Transit policies/instructions; Standard Operating Procedures; HR policies; safety and health policies					
	SMS Review and Modification					
	Safety Solutions Team Meetings					
	Daily Safety & Health Walkthrough					
	Safety related reports to external agencies					
	Near miss and route hazard report investigations					
	Investigation of safety related trends					
	Coordination with United States and State Departments of Labor and Occupational Safety and Health Administration (OSHA)					
	Environmental Management Oversight					
	Hazard Management Process					
	Managing Safety Validation of Change Process					
	Safety Data Reporting					



	Investigations					
	Advise to update SOPs, Rules, and Emergency Plans					
	Emergency Response					
	Fire Protection					
	Shop Safety Hazardous Tools Inspections					
	Review Vehicle Maintenance and Failure Data					
	Perform Vehicle Maintenance Inspections/Audits					
	Training, Certification, Review, and Audit					
	Personal Protective Equipment Review					
	Hazardous Materials Management					
	Drug and Alcohol Abuse Program					
	Procurement					



### Employee Safety Reporting Program

*Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).*

First Transit is committed to conducting business with honesty and integrity. Employees are encouraged to speak up and raise questions and concerns promptly about any situation that may violate our safety protocols, policies and procedures, the laws, rules, and regulations that govern our business operations.

Employees are expected to tell others when witnessing unsafe work practices or conditions. When employees are not comfortable discussing these unsafe conditions with fellow employees, they are encouraged to discuss the situation with management or report it in writing.

However, where the matter is more serious, or the employee feels that management has not addressed the concern, or they are not comfortable reporting to their immediate manager, they can report it to the next level manager, or the Region Safety Manager or Human Resources Manager. Employees may also directly file a written or verbal complaint by calling the confidential Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534); contacting the Hotline intake site at [ethicsfirst.ethicspoint.com](http://ethicsfirst.ethicspoint.com); or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

**Retaliation against anyone who, in good faith, reports observations of unsafe or illegal activities; or who cooperates in any investigation of such report, is strictly prohibited and is not tolerated, regardless of the outcome of the complaint.**

In other words, employees are protected for speaking up in good faith under this Policy. Any manager, or co-worker who retaliates against a complaining employee or anyone involved in an investigation of a complaint is subject to discipline and/or termination.

Managers are charged with assuring that they and their staff comply with the whistleblower protections and that no retaliation occurs because of a reported safety related issue.

**Your road to reporting...**

- fraud
- security breaches
- discrimination or harassment
- misconduct
- financial irregularities
- violations of law, regulation or policy
- bribery
- dishonesty
- conflicts of interest
- safety violations
- workplace violence

**Report your concerns!**  
If you have concerns about these or any other issues, contact the Ethics Hotline. It's operated by an external company, not by FirstGroup, so you can confidentially report a concern and remain anonymous. The Hotline is open 24 hours a day, every day of the year.

**ETHICS HOTLINE: 3 ways to report**

CALL: **1-877-322-5534**  
VISIT: [www.ethicsfirst.ethicspoint.com](http://www.ethicsfirst.ethicspoint.com)  
EMAIL: [compliance@firstgroup.com](mailto:compliance@firstgroup.com)

**Take Action!**  
Got a QR reader? You can also report anonymously by using a smart device to scan the QR code. Visit the ethics page and anonymously file a report. Any Day. Any Time.



**Reporting Options**

**Near Miss and Hazard Reporting**

In the interest of employee and passenger safety, each First Transit employee is issued a “**Near Miss and Hazard Reporting**” pad for documenting and reporting safety, route, and security concerns; and is encouraged to report any near miss incidents and hazards.

If an employee is involved in a near miss or determines something they see to be a hazard, we ask for their help in reporting the event so we all may learn the lessons from it and perhaps prevent a collision or injury from occurring in the future.

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

**Hazard:** Anything that may cause harm in the near future

If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. Our managers then initiate conversations with employees about their observations of both safe and unsafe behaviors.

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

**SOP #806 – Near Miss & Hazard Reporting** describes the reporting process

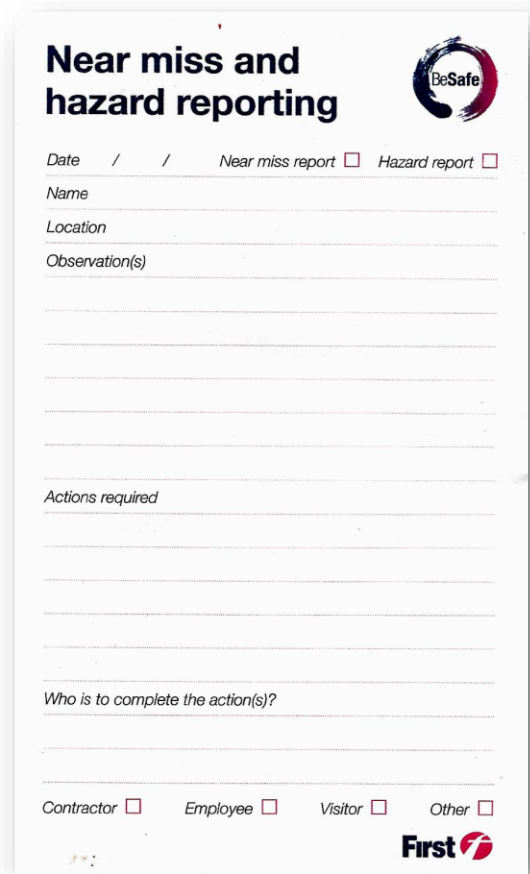
**Threatening or Suspicious Activity**

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her Supervisor or Manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG, (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

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

**Open-Door Policy**

A workplace where employees are treated with respect and one that is responsive to their concerns is important to each of us. At First Transit, we recognize that employees may have suggestions for improving our workplace, as well as complaints about the workplace. We feel that the most satisfactory solution to a







job-related problem or concern is usually reached through a prompt discussion with an employee's manager. Each employee is encouraged to do so.

If the matter cannot be resolved with one's immediate manager, the employee may:

- Speak with their Location General Manager or Region Safety Manager who will attempt to facilitate a solution.
- If an employee is unable to resolve the matter through the management chain of command in their location, the employee may choose to speak directly to anyone in division management or Human Resources.

First Transit's Open-Door Policy also allows employees to voice their concerns anonymously.

- If an employee would like to submit an anonymous concern, they may contact the Ethics and Compliance Toll-free Hotline at 1.877.3CALLFG, (1.877.322.5534), contacting the Hotline intake site at [ethicsfirst.ethicspoint.com](http://ethicsfirst.ethicspoint.com), or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

This Open-Door Policy applies to every employee not covered by a collective bargaining agreement. It also extends to contractors and subcontractors.

In situations involving discrimination or harassment, employees should follow the Complaint Procedure described in the Discrimination, Harassment and Retaliation Reporting Procedure section of their First Transit Employee Handbook without fear of reprisal and should not follow this Open-Door Policy complaint process.

In situations requiring immediate attention, an employee may bypass the chain of command, which begins with his or her manager, and contact any level of management or Human Resources directly, without fear of reprisal, and without the need to follow this Open-Door Policy complaint process.

- This may be done in person, by direct contact, phone call, letter, or email message or by utilizing the Ethics and Compliance Hotline. The Ethics and Compliance Hotline can be reached by calling 1.877.3CALLFG, (1.877.322.5534) or emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com).

### **Accidents/Incidents**

First Transit finds accidents and incidents to be a very serious matter and a valuable learning opportunity to improve safety. **SOP #700 – Accident & Safety Data Acquisition and Reporting**, and the supporting **SOP's, 700a – Auto and General Liability Claim Form; 700b – Courtesy Card; 700c – Operator Incident Report**; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

### **Accidents**

Accidents are considered to be any collision that occurs while an Operator is on duty. Operators are to report all accidents and collisions to Dispatch immediately upon occurrence. When reporting to Dispatch, the employee must state that he or she is reporting an accident and then answer any questions asked by Dispatch.

Additionally, **SOP #700c – Operator Incident Report** and **SOP #700a – Auto & General Liability Claim Form**, must be completed by the Operator involved and location management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report. To help ensure that this deadline is met, employees are paid to complete the form.



Employees who fail to report an accident may be subject to disciplinary action up to and including termination.

Employees must provide transit management with any additional accident information immediately upon request.

### ***Incidents***

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to Dispatch immediately; and require a **SOP #700a – Auto & General Liability Claim Form** to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to Dispatch upon return to the yard.

The following are examples of incidents that must be reported:

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

If in doubt, immediately contact Dispatch.

Operators Witnessing an Accident shall notify Dispatch immediately, even though their vehicle may not be involved.

### ***Required Courtesy Cards***

In the event of an accident or an incident, Operators must distribute **SOP #700b – Courtesy Cards** then retrieve as many as possible from passengers and persons in the immediate area of the accident or incident who may have witnessed the event.

### ***Duty to Report Wrongdoing***

First Transit is committed to investigating all good faith claims of wrongdoing so that corrective action may be taken. To that purpose, First Transit encourages any employee, contractor or vendor to report wrongdoing or illegal acts to location management so long as they are not believed to be involved in the fraud, waste or abuse being reported. Management within First Transit ensures the matter is reported to Group Security and First Transit will investigate and take appropriate steps to correct the wrongdoing or potential violation.

Alternatively, reports may be made anonymously using the FGA Ethics & Compliance line at 1.877.3CALLFG, (1.877.322.5534) or by emailing [Compliance@firstgroup.com](mailto:Compliance@firstgroup.com). You may also contact the Healthcare Compliance Officer directly.

### ***Self-Reporting***

Self-reporting is also encouraged. Anyone who reports his/her own violation will receive due consideration regarding disciplinary action that may be taken.

### ***Duty to Report Law Enforcement Actions***

Employees are required to report any arrests, indictments or convictions to their immediate manager or Human Resources immediately, but no later than prior to the next scheduled work shift, to the extent permitted by applicable law. If the circumstances and the offense charged, in our judgment, present a



potential risk to the safety and/or security of our customers, employees, premises and/or property, such events may result in disciplinary or other appropriate action to the extent permitted by applicable law.

Operators and safety sensitive employees are required to report all Driving Under the Influence (DUI) or Driving While Intoxicated (DWI) related charges, vehicular collisions, and any moving violation citations received in any vehicle immediately if possible, but no later than prior to their next scheduled work shift, consistent with applicable law.

### **Possible Disciplinary Actions**

First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;

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

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

- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety; some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
  - Failure to properly secure mobility devices
  - Cell phone use while operating a company vehicle
  - Striking a pedestrian
  - Colliding into the rear of another vehicle or stationary object
  - Running a red light or stop sign
  - Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft
- Unauthorized Use or Removal of Company / Client Property or Vehicle
- Violence / Fighting / Threats
- Harassment
- Insubordination
- Security
- Sleeping on the Job
- Destruction of Property
- Failure to Return to Work
- Leaving Bus or Passengers
- Failure to Follow Sleeping Passenger Rules



Examples of **Class 2 Infractions** considered to be serious violations of the First Transit performance code include:

- Abusing or misusing sick leave
- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a High Visibility Safety Vest, Reflective Safety Vest, or Company issued High Visibility Uniform Shirt according to Company policies
- Failure to wear Safety Glasses in compliance with PPE directives
- Failure to wear Company Assigned Shoe Grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or Company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advance approval of the Company
- Failure to operate a Company vehicle according to assigned route or timetable
- Failure of any Operator, Safety Sensitive Employee or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a Company vehicle
- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering or assisting any person to enter, or attempt to enter a Company location or restricted areas without proper authority

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

- Failure to report defective equipment
- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report



- Posting, circulating or distributing written or printed material during working times and in working areas
- Failure to adhere to the Company Reverse Parking policy for Company vehicles and personal vehicles
- Use of a Company-owned radio or cell phone for non-Company business during working time
- Failure of any Operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a Company vehicle

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

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

**Applying Disciplinary Actions**

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

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart below describes how disciplinary actions are applied.

Class of Infraction	Discharge	Suspension	Written Warning
1	1st Offense	-----	-----
2	2nd Offense*	1st Offense	-----
3	3rd Offense*	2nd Offense*	1st Offense
4	4th Offense*	3rd Offense*	1st & 2nd Offense*

\*Within 12 months of first offense, 36 months for safety





Additionally, First Transit may use the following criteria to determine discipline specific to any type of traffic violation or preventable accident.

<b>Major Offenses</b>	<b>Action</b>
One violation	Discharge
<b>Serious Violations</b>	<b>Action</b>
One violation	Written warning
Two violations within any 36-month period	Discharge
<b>Moving Violations</b>	<b>Action</b>
Two violations within any 36-month period	Three-day Suspension
Three violations within any 36-month period	Discharge
Two violations within any 12-month period	Discharge
<b>Preventable Vehicle Accidents</b>	<b>Action</b>
One preventable accident	Written warning
Two preventable accidents within any 36-month period	Five-day Suspension
Three preventable accidents within any 36-month period	Discharge
Two preventable accidents within any 12-month period	Discharge

Details of First Transit’s reporting requirements, infractions of company policy, and disciplinary actions that may be taken are described in more detail in the **First Transit Employee Handbook**.

## 5. Safety Risk Management

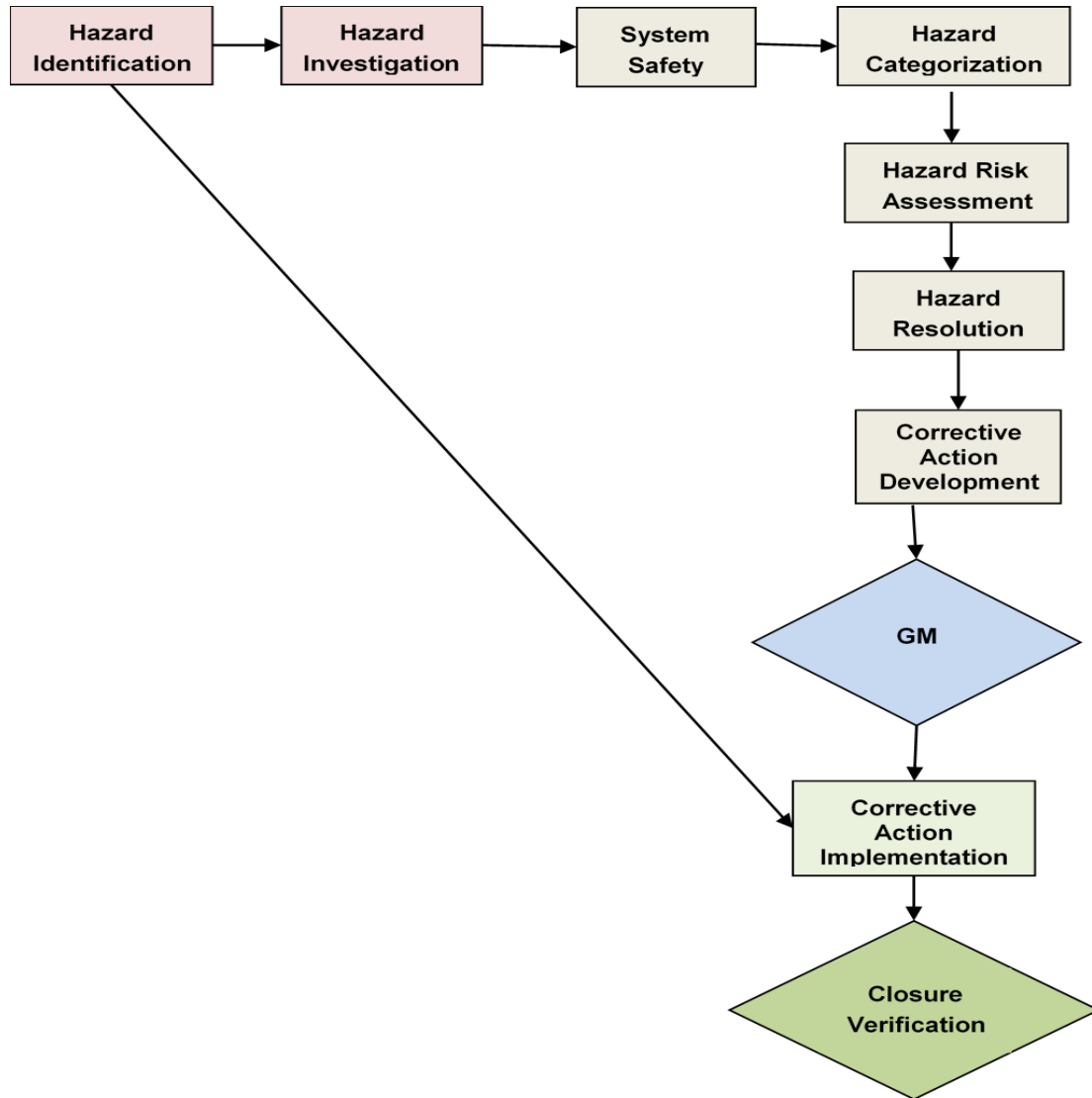
### Safety Risk Management Process

*Describe the Safety Risk Management process, including:*

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment*



Safety management is at the core of everything done at First Transit. All employees are responsible for performing their jobs in a safe manner, which includes identifying safety risks and participating in developing and implementing effective mitigation techniques. The process for managing hazards, from identification through corrective action and closure, is illustrated by the following flowchart.



As described earlier, a corporate structure exists to address all safety concerns. To ensure safety at the local levels, each location is required to form a Safety Solutions Team (SST), Accident Review Committee (ARC), and a Local Client Liaison Committee. To ensure consistency at each location, **SOP's #803; #803a; #803b Safety Solutions Team**, and **SOP #702 – Accident Review Committee** describe the procedures which are to be followed in creating and operating a Safety Solutions Team and Accident Review Committee.

These groups are responsible for reviewing safety related accidents and incidents to determine culpability; identify the causes associated with each event; and develop mitigation measures to reduce the risk of the events occurring in the future. Having these groups at each location provides a way for employees to report safety risks in a timely manner and to teams that understand the conditions associated with each specific location. Additionally, the opportunity exists for more timely, appropriate, and effective mitigation measures.



Several tools are used by the Region Safety Managers, Region Safety Directors and the Senior Director of Safety to monitor the local risks and risk management. Among them are Safety Data Reports which outline the monthly and Year to Date safety performance statistics. Also used is a Target & Goal Worksheet to track and analyze the data collected and to target reactive and proactive performance improvement measures.

### **Safety Hazard Identification**

This process is a vital component in First Transit's efforts to reduce safety risks and improve overall delivery of service. Safety Hazard Identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspection of established prevention processes are routinely performed.

There are five (5) main areas reviewed in Hazard Identification:

#### **1. Environment**

- a. Weather
- b. Road Surface Condition
- c. Visibility

#### **2. Transit Service Characteristics and Agency Policies**

- a. Incentives for Safe Driving
- b. Equipment Maintenance Policies
- c. Stop Intervals
- d. Route Design
- e. Driver Scheduling
- f. Passenger Demand Schedules

#### **3. Operator**

- a. Experience
- b. Physical Ability
- c. Personality
- d. Psychological Condition
- e. Physical Condition

#### **4. Road Layout**

- a. Width
- b. Speed Limit
- c. Geometric Design
- d. Traffic Volume
- e. Capacity
- f. Parking
- g. Adjacent Lane Use
- h. Street Lighting
- i. Pedestrian Volume

#### **5. Hazard Identification – Accident Prevention/Resolution**

- 1st: Identify the Hazard
- 2nd: Remove the Hazard
- 3rd: When the Hazard cannot be removed, Train for the Hazard as a "known condition"





First Transit relies on employees to assist in the hazard identification and resolution process. Working with the location safety personnel and through a structured process, employees help:

- Identify Critical Factors in Hazard Resolution
- Develop and Recommend an Action Plan
- Implement Action Plan
- Measure Performance Against Safety Objectives
- Monitor the Process
- Modify the Process
- Secure Outside Assistance (when needed)
- Audit for Compliance

Several tools exist for hazard identification. Among them are:

- **SOP #802 and #802a - Daily Safety & Health Walkthrough and Checklist**
  - A routine safety and health check walkthrough to promptly identify hazardous conditions at our facilities and notify employees of the hazards identified and mitigation measures to help protect them from personal injury.
- **SOP #804 - Positive Check-In Procedures & Reasonable Suspicion**
  - Positive Check-In procedures are to ensure our operators reporting to work are fit-for-duty.
- **SOP #900 – Facility Hazard Recognition Manual**
  - This Hazard Recognition Manual is intended to be a tool for recognizing potential hazards that may be present at First Transit facilities. Although it does not represent all conditions that could exist, the photos and narrative provide:
    - A reference guide for conducting safety inspections at a facility, and
    - A training document to educate and train employees to conduct effective safety inspections.
- **Vehicle Maintenance Risk Assessment**
  - All employees who perform maintenance and repairs to vehicles within transit centers and bus yards or on road calls complete a risk assessment using **SOP #503a – Vehicle Maintenance Risk Assessment Form** prior to performing any work on a vehicle.
  - The Risk Assessment process, **SOP #503 – Vehicle Maintenance Risk Assessment**, requires employees about to perform a maintenance task to confirm they possess the training, skills, knowledge, abilities, tools, and equipment to safely perform the task at hand. The assessment includes determining the following.
    - Are You Properly Trained to Perform the Task?
    - If Task Requires Lifting, Are Lifts Secured, Are Jack Stands Used Correctly?
    - Are You Wearing the Appropriate Personal Protective Equipment (PPE)?
    - Have You Performed the Proper Lock-Out/Tag-Out (LOTO) procedures?
    - Are You Aware of the Potential Risks of Performing this Repair?
  - If the answer is “NO” to any of the above assessments the technician is to immediately contact their manager.
- **Pre-Survey Job Hazard Analysis**
  - Prior to beginning a job hazard analysis, a pre-survey of the working conditions, using **SOP #503b – Pre-Survey Job Hazard Analysis Form**, under which the job is performed is conducted to evaluate the general conditions. A few of the potential hazards being considered include:



1. Are there tripping hazards in the job vicinity?
  2. Is the lighting adequate for work conditions?
  3. Are there explosive hazards associated with the job?
  4. Are there electrical hazards associated with the job?
  5. Are tools associated with the job in good condition?
  6. Is the noise level excessive (below 85-dba)?
- **Facility Parking Risk Management Assessment**
    - Inadequate turning areas, blind corners, uneven walking surfaces can all cause collisions or employee injury in parking areas. **SOP #501 - Facility Parking Risk Assessment** will help identify and prevent these types of collisions for both buses and personal vehicles.
    - The Location Manager must ensure compliance with all provisions of this SOP.
    - The risk of each facility is assessed as follows:
      - Annually
      - **Unscheduled** – Whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises
      - **Start-up locations** – Before operating out of the new location.
      - **SOP #501a – Facility Parking Risk Assessment Guide**, and
      - **SOP #501b – Facility Parking Risk Assessment Form** are tools to help with this assessment.
  - **On-Board Video Technology**
    - **SOP #704 – On-Board Video Technology** provides a summary of the on-board video system and Company standards that all First Transit employees must follow when operating a company or customer vehicle equipped with onboard video technology.
    - This technology is a valuable resource and another tool that helps First Transit instill positive driving behaviors by providing opportunities to view recorded driving events, driver history and company trends.
    - The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining and, if necessary, disciplinary measures in accordance with the provisions of the Employee Handbook and applicable Collective Bargaining Agreements.

### Safety Risk Assessment

Once the hazard has been identified, they are categorized into the following severity levels. The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

**Category 1 – Catastrophic:** operating conditions are such that human error, design deficiencies, element, subsystem or component failure, or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.

**Category 2 – Critical:** operating conditions are such that human error, subsystem or component failure, or procedural deficiencies may cause severe injury, severe occupational illness, or major system damage and require immediate corrective action.

**Category 3 – Marginal:** operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.



**Category 4 – Negligible:** operating conditions are such that human error, subsystem, or component failure or procedural deficiencies will result in less than minor injury, occupational illness, or system damage.

The next step in assessing the hazard is to determine the probability of it occurring. Probability is determined based on the analysis of transit system operating experience, evaluation of First Transit safety data, the analysis of reliability and failure data, and/or from historical safety data from other passenger bus systems. The following chart describes the probability categories.

Probability of Occurrence of a Hazard			
Description	Probability Level	Frequency for Specific Item	Selected Frequency for Fleet or Inventory
Frequent	A	Likely to occur frequently	Continuously experienced
Probable	B	Will occur several times in the life of the item	Will occur frequently in the system
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times in the system
Remote	D	Unlikely but possible to occur in life of an item	Unlikely but can be expected to occur
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced	Unlikely to occur but possible

Identified hazards are placed into the following Risk Assessment Matrix to enable the decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Hazard Frequency	Severity Category 1	Severity Category 2	Severity Category 3	Severity Category 4
Frequent (A)	1A	2A	3A	4A
Probable (B)	1B	2B	3B	4B
Occasional (C)	1C	2C	3C	4C
Remote (D)	1D	2D	3D	4D
Improbable (E)	1E	2E	3E	4E

Based on company policy and the analysis of historical data, First Transit has made the following determinations regarding risk acceptance.

Hazard Risk Index	Criteria by Index
1A, 1B, 1C, 2A, 2B, 3A	Unacceptable
1D, 2C, 2D, 3B, 3C	Undesirable (Management decision)
1E, 2E, 3D, 3E, 4A, 4B	Acceptable with Management Review
4C, 4D, 4E	Acceptable without Management Review



## **Safety Risk Mitigation**

### ***Mitigation Determination***

After the assessment has been completed, the follow-up actions will be implemented as follows.

- **Unacceptable:** The hazard must be mitigated in the most expedient manner possible before normal service may resume. Interim corrective action may be required to mitigate the hazard to an acceptable level while the permanent resolution is in development.
- **Undesirable:** A hazard at this level of risk must be mitigated unless the Location General Manager and Location Safety Manager issue a documented decision to manage the hazard until resources are available for full mitigation.
- **Acceptable with review:** The Location General Manager and Location Safety Manager must determine if the hazard is adequately controlled or mitigated as is.
- **Acceptable without review:** The hazard does not need to be reviewed by the management team and does not require further mitigation or control.

### ***Hazard Resolution***

Safety hazard resolution or mitigation consists of reducing the risk to the lowest practical level. Not all safety risks can be eliminated completely. Resolution of hazards will utilize the results of the risk assessment process. The objectives of the hazard resolution process are to:

1. Identify areas where hazard resolution requires a change in the system design, installation of safety devices or development of special procedures.
2. Verify that hazards involving interfaces between two or more systems have been resolved.
3. Verify that the resolution of a hazard in one system does not create a new hazard in another system.

The SST, who was identified earlier in this plan as the team responsible for local safety review, uses the following methodologies to assure that system safety objectives are implemented through design and operations, and hazards are eliminated or controlled:

1. Design to eliminate or minimize hazard severity. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities
2. Hazards that cannot reasonably be eliminated or controlled through design are controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices.
3. Provisions are made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
4. When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices are used (to the extent practicable) to alert persons to the hazard.
5. Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety and warning devices, procedures and training are used to control the hazard.
6. Precautionary notation is standardized, and safety-critical issues require training and certification of personnel.



### ***Hazard Resolution Management and Tracking***

Resolution of identified hazards are managed by the Location General Manager and/or the Location Safety Manager. The hazard resolution process is managed through the “**Safety Toolbox**”, which is an online tool used by management, from Road Supervisors to Executive Management, to record the occurrence of safety-related events, review safety critical data, and track corrective actions as necessary.

The Safety Toolbox is a powerful tool to help understand the work area’s safety environment. This includes:

- Understanding and improving observations of safety critical behaviors
- Reviewing recorded debriefs to ensure that the “BeSafe” process is in place and working.
- Reviewing findings from BeSafe tours and determine if tasks/actions have been closed out

The Safety Toolbox includes information regarding:

- BeSafe (BeSafe Debriefs, BeSafe Tours, BeSafe Touchpoints)
  - Debrief meetings conducted in order to assure quality.
  - Safety Critical Behavior is the main focus of touchpoints; and shared and discussed during debrief meetings.
- Contacts (e.g. Near Misses, Hazard reports, Commendation, Safety Issue)
  - **Near Misses.** Reporting an event that occurred and could have caused injury.
  - **Hazard Reports.** Reporting an event that occurred and could have caused injury.
  - **Commendation.** A report of commendable safety actions/conduct performed by a colleague within the business.
  - **Safety issues.** A report on any safety issue that has a specific cause – i.e. maintenance, housekeeping, environment and behavior etc.
- Safety Leadership Activities (e.g. Participate in safety meetings, risk assessment, section observation)
  - **Participation in a Safety meeting.** Actively leading or participating in the location in-service safety meeting.
  - **Intersection observation or risk assessment.** Risk assessment or driver observations conducted at nearby intersections, and delivery of positive reinforcement or coaching as indicated.
  - **Rail section observation or risk assessment.** Risk assessment or driver observations conducted at rail crossing(s), and delivery of positive reinforcement or coaching as indicated.
  - **Planned general inspections.** A systematic inspection where a location is forewarned.
  - **High interest driver.** A report of a driver's performance that has indicated a level of risk taking through observations, review scores, and skills evaluations.

Additional documentation, such as corrective action plans, are developed for those hazards requiring complex and multifaceted resolutions.

## **6. Safety Assurance**

### **Safety Performance Monitoring and Measurement**

*Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.*





As discussed in Section 1 of this plan, First Transit employs a Resident Management Team at each operation location. This team consists of a Location General Manager and a Location Safety Manager, who oversee the safety of the operation.

Additionally, each location employs Street Supervisors, Dispatchers, and Instructors; all of whom are responsible for oversight of the daily operations and training. All safety risks identified are reported to the Location General Manager and Location Safety Manager. Any risks that can be addressed immediately are corrected but still reported. Each location also establishes a Safety Solutions Team (SST), described in Section 5: Safety Risk Management of this plan, which uses the following methodologies to ensure a proactive approach to safety at each location.

- Routine hazard management
- Accident and incident investigation
- Safety data collection and analysis
- Routine internal safety audits
- Facility, equipment, systems and vehicle inspections
- Routine proficiency checks for all vehicle operators and maintenance employees
- Compliance evaluations including onsite inspections
- Regularly communicating safety and hazard data to all employees

A higher level of oversight is conducted by Region management, which includes the Region Safety Manager, Region Safety Director, Region Maintenance Director, and the Region Vice President. From this level, any identified risks and mitigations are shared with other Region local operations as a proactive means to reduce risks.

The last “local level” review comes from the Vice President of Safety and the Vice President of Maintenance. These are corporate level positions that share the identified risks and mitigations throughout the organization as a proactive means to reduce risks. Additionally, the Vice President of Safety and Vice President of Maintenance assist executive level management in using this information to impact operational and budget decisions.

*Describe activities to conduct investigations of safety events to identify causal factors.*

First Transit has a “zero” tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is our number one goal.

Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

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

**SOP #700-Accident & Safety Data Acquisition** describes the data collection process including

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



**SOP #700** also describes the Operators and the Dispatchers responsibilities for protecting the customers and managing the scene.

The groups described in **SOP #702 – Accident Review Committee (ARC)**, and **SOP #803 – Safety Solutions Team (SST)**, review the data collected to determine if the accident/incident was preventable or non-preventable,(ARC); and identify measures to reduce the risk of the accident/incident occurring in the future (SST).

*Describe activities to monitor information reported through internal safety reporting programs.*

The Location Safety Manager (LSM) and/or Location General Manager (LGM) routinely reviews all location safety and hazard data, which includes searching for repetitive events that might have safety implications. When accident/incident reports and statistics indicate repetitive accidents/incidents, the LSM and LGM investigate to determine the root cause.

The following chart describes how the hazard data flows and is monitored by First Transit; from each operating location, to Region management, to corporate and parent company management.



Risk/Safety Data Flow								
Weekly Data Review								
Information Collected Daily	Location	Third Party Data Collected	Risk Dept	Safety Dept	Location			
<b>Collisions/ Injuries/ Workers Comp</b>	Incident Occurs, claim report created, then sent to Third Party Data Collector via website, phone, fax.	Report received from Location.	Information from Third Party Data Collector created as weekly report then sent to Region Safety.	Weekly reports are reviewed and distributed for weekly management oversight conference calls.	Review data with Senior Region Leadership during weekly teleconference.			
Period Data Review (e.g. Quarterly/Monthly)								
	Risk Dept	Shared Services Dept	Region Safety Managers	Shared Safety Services Dept				
<b>Collisions/ Injuries/ Workers Comp</b>	Send all raw risk data gathered from weekly reports to the Shared Safety Services Dept.	Reorganizes raw data regionally then distributes to Region Safety Dept.	Review period data and distribute to locations.	Develops company, region, and location specific performance measures and distributes through Target & Goal Spreadsheet.				





Period Data Analysis								
	Shared Services Dept	UK	Safety Dept	First Group Executive Safety Committee (ESC)	First Group Safety Council	First Group America Safety Council	Performance Review Management (PRM)	Safety Advisory Committee
<b>Collisions/ Injuries/ Workers Comp</b>	Final reports sent to UK and Directors of Safety for each business group.	Processes data; analyzes; creates reports; categorizes risk factors; and gathers commentary from First Group companies for trend analysis.	Processes data; analyzes; creates reports; categorizes risk factors; and creates commentary for trend analysis.	This committee consists of President, COO, and Safety Vice President of each operating group.  Discussions include safety performance, trend analysis, program oversight.	This committee consists of Vice Presidents of Safety for all operating divisions.  Discussions include safety performance, trend analysis, and safety oversight.	This committee consists of Safety Senior Directors and Safety Vice Presidents.  Discussions include safety performance, trend analysis, best practices, and program oversight.	This review consists of Senior Region Vice Presidents, Region Vice Presidents, Region Directors of Operations, and Region Safety Managers.  Discussions include regions safety performance.	This committee consists of Location General Managers, Region Directors of Operations, and Region and Local Safety Managers.  Discussions include review of policy and procedures, training, and safety awareness.



### Management of Change

Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

First Transit employs a proactive process, **SOP #208 – Safety Validation of Change**, that addresses the procedures to be followed to evaluate the risk of any changes proposed at all levels of the organization. The overall purpose of this process is to provide assurance that any proposed changes which impact operations will not increase safety risk; or where additional risk is identified, that controls are put in place **prior to the changes being implemented.**

Changes to organizational structure; the nature or extent of operations; or to facility or equipment assets; as well as mergers and acquisitions of new businesses are proactively managed through this process to avoid introducing or increasing safety risks.

- The resources required to complete the validation process, in terms of people, finance and materials is included in this validation process.
- The allocation of responsibilities considers the competence of the individuals that are required to carry out the safety validation roles.
- All employees who may be affected by the proposed changes are consulted as part of the process.

The extent and scope of safety validation applied to any change proposal is proportional to the risks (safety, operational, and other risks) associated with its introduction. *(For example, a major change, such as a reorganization of Region Executive roles and responsibilities or start-up of a large new bus operation, requires a more rigorous safety validation than a minor change.)*

In the case of smaller, less complex or well understood changes, the safety validation of change process may be implemented as part of normal operations, using existing organizational arrangements and meeting structures to deliver the required level of assurance.

The process is generally described in the following chart.

Safety Validation of Change Process			
Main Steps	Key Activities	Checklists & Guidance	Completed By
<b>1. Identify Proposal for Change</b>	<ul style="list-style-type: none"> <li>• Raise change proposal (including Capital Expenditure Approval)</li> <li>• Inform relevant functional Director(s) and Manager(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Complete <b>SOP #208a – Safety Validation of Change Form, Section A1</b></li> </ul>	Change proposer



<b>2. Determine Classification of Change Significance</b>	<ul style="list-style-type: none"> <li>Classify level of safety validation required</li> <li>Ensure the extent and scope of validation is proportional to the level of risk</li> </ul>	<ul style="list-style-type: none"> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b>, Section A2</li> </ul>	<b>Category A:</b> Group Safety Director  <b>Category B:</b> Divisional head of Safety <b>Category C:</b> Location head of Safety
<b>3. Allocate Roles &amp; Responsibilities</b>	<ul style="list-style-type: none"> <li>Formally allocate change sponsor and change authorizer</li> <li>Identify other required resources and roles for consultation</li> </ul>	<ul style="list-style-type: none"> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b>, Section A3</li> </ul>	Change proposer (with guidance)
<b>Submit Change Proposal Form</b>			Change proposer
<b>Decide whether safety validation should proceed</b>			Change proposer
<b>4. Prepare Safety Validation of Change Case</b>	<ul style="list-style-type: none"> <li>Prepare safety validation documentation</li> <li>Complete risk assessment of proposed change</li> <li>Submit for review</li> <li>Revise and finalize documentation</li> </ul>	<ul style="list-style-type: none"> <li>Complete risk assessment and document findings</li> <li>Complete Safety Validation of Change as described in <b>SOP #208 – Safety Validation of Change</b></li> <li>Complete <b>SOP #208a – Safety Validation of Change Form</b></li> </ul>	Change proposer
<b>Submit Safety Validation Checklist with supporting documentation</b>			Change proposer
<b>Approve and Implement, or Reject Change</b>			Change authorizer (or delegated representative)
<b>5. Monitoring and Review</b>	<ul style="list-style-type: none"> <li>Monitor implementation of change and safety performance</li> </ul>	<ul style="list-style-type: none"> <li>Check compliance as part of Region Safety Monitoring</li> <li>Review effectiveness</li> </ul>	Location Safety Manager  Corporate Safety Management



	<ul style="list-style-type: none"> <li>Review performance process</li> </ul>	of the process as part of Region oversight	Vice President of Safety - First Transit
--	--	--	--

Changes proposed at the Corporate level typically have an impact on the Region and Local levels. To ensure the risks associated with any change consider all levels of the organization, each level must complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Similarly, changes proposed at the Region level will typically have an impact on the Local level. Consequently, the Local level must also complete **SOP #208 – Safety Validation of Change** as part of the process to ensure specific safety concerns have been identified and addressed.

Additional responsibilities in the Safety Validation of Change process include:

- The Region Safety Management team provides safety expertise/support to those carrying out the safety validation.
- The Senior Director of Safety:
  - Reviews and approves each Region’s safety validation of change process
  - Decides on the level of safety validation required (consulting with other functional heads as necessary) for Category A changes
  - Is consulted on any Category B change proposal
  - Provides safety expertise/support to Region Safety Managers and Vice President of Safety – First Transit during safety validation activities as required.
  - Provides safety expertise/support to those carrying out the safety validation for Category A changes.

An electronic log of all proposed changes, whether approved or not, are maintained by the Region Safety Director.

Communication of changes to policies/procedures regarding safety issues comes from Executive Leadership. This information is then carried down through the Vice President of Safety – First Transit, Senior Director of Safety, Region Safety Directors, Region Safety Managers, Location General Managers, Location Safety Managers, and employees. Notification to the client is communicated through the Location General Manager.

**Continuous Improvement**

*Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.*

The process described previously in this section for monitoring safety data incorporates continuous improvement. As safety risk is identified, then reported on, a determination is made as to whether the risk can be mitigated immediately or requires more time and resources.

Risk mitigations that can address the safety concerns immediately are carried out but still reported. The reporting of these concerns includes the mitigation steps that have been taken. Monitoring of the risk continues to ensure that the mitigation strategy is effective.

Section 5 of this plan, Safety Risk Management, describes the risk assessment and mitigation procedures used that determine how to proceed with improvement strategies that require more time and resources.



Which improvement strategies to implement for longer term issues is based on severity and probability of risk occurrence. Additionally, safety hazard identification data is used to implement immediate corrective actions and to proactively identify hazards before they cause future accidents or incidents.

The objective of hazard identification is to distinguish those conditions that can cause an accident or create an unsafe condition. First Transit routinely analyzes records from our operation to identify accident causation based on history. Current traffic conditions are periodically analyzed, and management inspections of established prevention processes are routinely performed.

The Risk/Safety Data Flow Chart previously described in this section, illustrates how this information is shared throughout the organization.

## 7. Safety Promotion

### Competencies and Training

*Describe the safety training program for all agency employees and contractors directly responsible for safety.*

The education and training process at First Transit is a highly regimented and professionally developed program built around a curriculum featuring learning opportunities in two major domains:

- Knowledge (education)
- Skills (training)

Various delivery mechanisms such as classroom, multimedia presentations, closed course, observation and behind-the-wheel skills building are used to support the learning process. Learning is evaluated through written quizzes, driving tests and customer service skills evaluations.

#### **Instructors**

Successful new operator training starts with selecting and certifying good instructors.

#### **1. Classroom Instructor:**

The classroom instructor is responsible for facilitating the classroom portion of New Operator Training. Classroom training requires the development of lesson plans.

#### **2. Behind-the-Wheel Instructor:**

The Behind-the-Wheel (BTW) Instructor is responsible for conducting closed course exercises and behind the wheel instruction. The New Operator Training program consists of instructional DVDs, which are accompanied by facilitator guides and participant study guides. The BTW Instructor uses the Operator Proficiency Workbook to document each trainee's progress.

*\*New Instructor Candidates can obtain certification as both a Classroom Instructor and a Behind-the-Wheel Instructor.*

#### **3. Master:**

The Master Instructor, along with the Regional Director of Safety and Region Safety Manager(s), is responsible for training the Safety Supervisors. The Master Instructor is also responsible for the certification programs for Behind-the-Wheel and Classroom Instructors and the ongoing Train-the-Trainer workshops.



Training the Instructor is a process by which a Certified Instructor works with the selected New Instructor Candidate. During this time, the Certified Instructor conducts a review of all state laws, First Transit policies and procedures, local policies, and client-specified programs and requirements.

The Certified Instructor also provides a review of the Behind-the-Wheel Manual, Classroom Manual, and all First Transit video-based courses.

In addition to the above training, the New Instructor Candidate must complete the Instructor Development Curriculum, which includes the following three self-directed courses:

1. How to Train
2. Coaching the Adult Learner
3. Learning Basics

There are three types of Instructor Certification:

1. Temporary
2. Certified
3. Master

### **1. Temporary (Silver)**

Temporary certificates are issued at the local level. A temporary certificate is issued to a New Instructor Candidate upon successful completion of the New Instructor training program at his or her location, conducted by a certified trainer at that location. Certificates are issued throughout the year prior to the annual Train-the-Trainer program.

Temporary certificates are valid for one year, and one year only, from the date of issue. Temporary certification is accompanied by silver achievement emblems for Classroom, BTW or both.

To continue in the program, a New Instructor must obtain Gold Certification.

### **2. Certified (Gold)**

The Certified Instructor certificate is issued to a New Instructor who has successfully completed the annual Train-the-Trainer program, conducted by a Master Trainer. The annual Train-the-Trainer program combines all elements of the temporary certification, with the exception of the classroom evaluation. At the annual Train-the-Trainer program, Classroom Instructor Candidates are required to develop a lesson plan and give a presentation.

Prior to attending the annual Train-the-Trainer program, all New Instructors must complete the "Safety Leadership" course and pass the final exam with a grade of 90% or above.

The Senior Director of Safety is the only person authorized to approve and issue a Certified Instructor certificate with gold achievement emblems for Classroom, BTW, or both.

### **3. Master**

The Master Instructor Certification program ensures that First Transit Policies and Procedures are correctly implemented throughout the company.

Master Instructor Certification is required for all area safety managers and above.

The Master Instructor:

- Provides support to the Location General Manager and the Region Safety Manager,
- Is involved with training new Safety and Training Supervisors, and re-training current Safety and Training Supervisors if required,
- Conducts the annual Train-the-Trainer program for BTW and Classroom Instructor Certification





- Conducts Safety and Training audits in the region and reports the findings to the Region Safety Manager, if required.

### Employee Training

Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in “BeSafe” and “Safe Work Methods”, which are described later in this section.

“BeSafe” is our company-wide approach to safety management. This program takes our safety performance to the next level through behavioral change. “BeSafe” is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of “BeSafe”

The “BeSafe” concept is described in the following brochure.

#### Near miss and hazard reporting

In the interest of keeping you, your colleagues and our passengers safe, it's your responsibility to report any near miss incidents and hazards.

Please record these in the 'Near miss and hazard reporting' pad and hand it in to the nearest supervisor / manager.



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

**Hazard:**  
Anything that may cause harm in the near future.

#### Personal emergency details

In an emergency, please be aware of the following:

Name \_\_\_\_\_  
Home Tel. No. \_\_\_\_\_  
Mobile Tel. No. \_\_\_\_\_  
Emergency contact No. \_\_\_\_\_

Blood type \_\_\_\_\_  
Allergies \_\_\_\_\_  
Medical condition(s) \_\_\_\_\_

Please inform your HR department of any medical conditions that might prevent you from doing your job safely.

#### Work environment

A positive, safe environment is important to our passengers, our staff and our business.

If you are concerned about anything at work, aware of a security issue or have suspicions about anything from bullying to fraud – report it.

**If it is an emergency**  
Tell the police. Then, tell your manager.


**If it is not an emergency**  
Tell your manager or Group Security, or use the confidential hotline or ethics portal.

**Confidential hotline**  
UK 0808 234 5291  
North America 877-322-5534  
Greyhound Operations Support Center 800-487-6996  
Panama 000-000-000-0000  
India 000-000-000-0000

**Make a report**  
[www.ethicsfirst.ethicspoint.com](http://www.ethicsfirst.ethicspoint.com)



**My Handbook**



#### Be Safe What is it?

Be Safe is our Group-wide safety commitment, taking our safety performance to the next level through behavioural change.

It builds on our compliance with existing policies and safety management systems. Be Safe, whilst not ignoring unsafe acts, harnesses the power achieved where positive behaviour and habits are shown and recognised.

Be Safe is inclusive, collaborative and focuses on recognising and acknowledging safe behaviour and actions through positive reinforcement.

#### Be Safe Our objectives

Be Safe has three clear objectives:

1. To make progress on our way to “Zero Harm”.
2. To make safety a personal core value through behaviour change.
3. To improve business performance.

Everyone in FirstGroup takes ownership for safety in the workplace and encourages colleagues to do the same.

We have a personal stake in safety for ourselves, our colleagues and our customers.

By sharing the right attitude, skills and knowledge we will create the best safety environment to achieve our objectives and Be Safe.

#### Be Safe principles

These principles all support our Group value of being Dedicated to Safety.

**Knowledge**

Our greatest efforts will be directed at the key safety behaviours that will help reduce incidents.

**Openness**

Regular positive coaching interactions, or “touchpoints” will take place and communication at “debriefs” will be open and honest.

**Courage**

We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

**Recognition**

Whilst not ignoring actions that undermine safety, the focus will be on acknowledging colleagues “doing it right” and positively reinforcing these actions.

**Learning**

Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.



First Transit's "**Safe Work Methods**" is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

1. In training new hire employees
2. In leading supervisors in identifying root causes of workplace injuries
3. In retraining injured workers so that re-occurrences are avoided
4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The "Safe Work Methods" training curriculum includes:

- **New Hire Training**

New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.

- PPE program including requirements for appropriate
  - Safety eyewear
  - Safety footwear
  - Safety hand wear
  - Hi-Vis vests
  - Disposal contaminated materials
- Risk Assessment and Injury Avoidance
  - Walking & Climbing
  - Lifting, Carrying, Holding, and Lowering Objects
  - Pushing, Pulling, & Twisting
  - Burns, Scalds
  - Exposed Fluids, Chemicals, Smoke
  - Cuts, Punctures, Abrasions, Lacerations
  - Mobility Device Lifts/Ramps

## 1. Requirements for Operator Training

Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The Operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

### **Classroom Training**

The first part of Operator training at First Transit, classroom training, begins the process of instilling the safety culture into each Operator. Helping the student Operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.

- **Unit 1 - Introduction**

- Welcome and Introduction
- Title VI Civil Rights Act 1964
- Employee Handbook
- BeSafe - Making Safety Personal
- Hazardous Communication
- Bloodborne Pathogens





- **Unit II - Fundamentals**
  - Safe Work Methods
  - Basics of Safety
  - Managing Emergencies
  - Security Awareness
  - Map Reading
  - Communication Devices
  - Navigation and Fare Policies
  - Smith System
- **Unit III - The Operator**
  - Drug and Alcohol Awareness
  - Distracted Driving
  - Fatigue and Sleep Apnea Awareness
- **Unit IV - Transporting Passengers with Disabilities**
  - Transporting Passengers with Disabilities
  - Interacting with Passengers
  - Diffusing Conflict
  - Passenger Care While Loading and Unloading
  - Mobility Aids and Devices
- **Unit V - Driving Fundamentals**
  - Driving Fundamentals I
  - Driving Fundamentals II
  - Roadway Types
  - Railroad Crossings

### **Behind-the-Wheel Training**

Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a Bus Operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student Operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The “Smith Driving System” principles are incorporated throughout the entire Behind-the-Wheel training phase.

- **Closed Course (Group Work)**
  - Vehicle Orientation
    - Pre-Trip Inspection
    - Seat Adjustment
    - Mirror Adjustment
    - Braking, Accelerating, and Transmission
    - Wheelchair Securement
  - Reference Points
    - Lane Position
    - Right Side / Left Side
    - Backing Point
    - Forward Stop



- Pivot Points
- Turning Points
- Vehicle Control
  - Straight in Lane
  - Left Turn
  - Right Turn
  - Lane Changing - Moving Right or Left
- **One on One Instruction Behind the Wheel**
  - **Basic Road Work**
    - "Smith System"
    - Intersections
    - Service Stops
    - Backing
  - **Advanced Road Work**
    - "Smith System" Commentary Driving
    - Roadways
    - Expressway / Highway Driving
    - Intersections
    - Service Stops

- **Final Evaluation**

Upon completion of the training program, before an Operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.

- **Cadet Training**

Once a new Operator has been placed into service there is period of observation where an experienced Operator, Instructor, or Supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

## 2. Requirements for Maintenance Training

Maintenance personnel are trained in shop safety, OSHA standards, and vehicle maintenance, in addition to receiving training in driving techniques and safety. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training.

Maintenance training includes:

- Introduction to First Transit policies & procedures
- Injury prevention and risk assessment
- Substance Abuse Policy
- Defensive Driving
- "Smith System"
- NTI - Security Awareness Warning Signs
- Shop Safety Handbook
- Maintenance Lift Safety
- DVI Procedures
- SafeWork Methods
- Wheel Torque Specifications
- Workplace Violence
- OSHA (R-T-K / MSDS / PPE Training)



### **3. Requirements for Staff Training**

Staff personnel are trained in Safety Leadership and “BeSafe” (described in item #1)

- **Safety Leadership**

This is an interactive CD-ROM course consisting of 5 CD’s and leaders guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:

- Safety Leadership
  - Accidents
  - Behavior
  - Leadership
- Supervisor Development
  - The Role of the Supervisor
  - Communication
  - Building Trust
  - Conflict Resolution
  - Performance Management
  - Decisions

- **Additional Safety Training**

- Reasonable Suspicion
- Supervisor’s Report of Reasonable Suspicion
- Code of Conduct
- Customer Service
- OSHA Requirements
- Hazard Abatement FORM – CA Only

### **4. Requirements for Continuing Training and Evaluations**

First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:

- road observations,
- ride along evaluations, and
- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

In addition to First Transit’s formal employee training program, the following safety training is also conducted.



### **Safety Meetings**

- Twelve (12) safety meetings are issued to the locations annually with required topics identified by the location and region safety management
- Each meeting is to be a minimum of one (1) hour in length unless otherwise required by state, client or local regulations
- A required topic along with a safety campaign including posters and DVD is sent to each location for presentation to all employees
- Attendance is a condition of employment and is mandatory for all Operators, Management, Operational staff, and Maintenance personnel. *(Unless stated otherwise in the CBA.)*
  - Failure to attend all meetings will result in disciplinary actions up to and including termination.
- Client/Contract requirements may require safety meetings to be conducted on a more frequent basis than the First Transit minimum standards

### **Retraining**

First Transit has a “zero” tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is our number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

### **Safety Communication**

*Describe processes and activities to communicate safety and safety performance information throughout the organization.*

### **Safety Awareness Programs**

Establishing and maintaining a culture that demands safe behavior at all times is at the core of First Transit’s safety plan. This is done, in part, by providing a regular flow of positive information and recognizing those who are performing safely.

This is where our “**BeSafe**” program provides the structure and foundation for communicating safety messages and inspiring safe job performance at all levels. “BeSafe” takes safety to a more personal level. It is a company-wide commitment to safety, with the objective of continuous improvement by making safety a personal goal and incorporating behavioral change as a mitigation measure.

“BeSafe” focuses on positive change through routine personal “touchpoints” and coaching interactions between front-line employees and management. To reinforce the touchpoints, discussions and feedback sessions are conducted as needed.

This program inspires safe behavior among employees at all levels by;

- Generating system-wide participation in safety issues through positive reinforcement
- Encouraging all employees to “take ownership” for safety results
- Communicating safety policies, procedures and processes



- Engaging executives and managers at all levels, encouraging their active participation in safety management and communication
- Sharing safety results at the individual, project, region and national levels by celebrating success stories
  - **Individual Motivators – Individual Achievement Awards:** The “cultural carrot” to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
    - Annual Safe Driver Awards
    - Safety Solutions Team Recognition

The graphic features a pink header bar. Below it are three logos: 'World Class SAFETY' with a starburst, 'First Transit SAFETY GEAR' with the First Transit logo, and 'Safety Solution Team' in a script font. The main text reads 'Safety Solutions Team Recognition Packet' and 'Identify and recognize your safety team members'. Below this are two images: a blue hooded jacket labeled 'SST Members Award Jacket' and a black bag labeled 'SST Member Attaché Kit' which includes an attaché case, padfolio, and pen. Below the images is a paragraph: 'Identify your SST members ALL the time. Does your location team wonder who your SST members are? The SST Team badge is a great way to make sure your SST members stand out. Order one of these personalized badges for each team member.' This is followed by two circular badges for 'Eric Edwards', 'Safety Solution Team', 'Member Since 2014'. At the bottom is a pink footer bar with the text: 'The Image Group is a FGA/First Transit Authorized Supplier Vendor #726135. Questions? Please call Judy Maiorana at 215.661.1011 x 2203 • www.theimagegroup.net.'

- **A Safety Leadership Group - The Safety Solution Team (SST):** Four to 10 location teammates dedicated to making safety “top-of-mind ” by identifying and resolving safety issues.
  - SST
    - Review the safety concerns they have worked on and improvements that have been implemented
    - Record and distribute SST meeting minutes
  - GM
    - Review “ Daily Safety & Health Walkthrough”
  - GM and SST
    - Recognize individuals who have earned years of safe driving
    - Pins and Certificates
    - Include bullets from SST Meeting minutes



- **A Communication Tool:** “First Transit Connect” employee app, a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on “What Works”, Safety Happenings, and Safety Pep Rallies

**Your new employee app is here!**

With the CONNECT app you can...

- ...get the latest news and info from your location
- ...keep up with what's happening nationally across First Transit
- ...give feedback, ask questions, and submit ideas

Available FREE! for iPhone and Android!  
Download in the App store or Google Play

**How to Get Started:**

1. Go to your app store and find First Transit Connect.
2. Click *Get* or *Install* to download.
3. Open the app and register. (*Hint: Register is at bottom of screen. Your employee ID is on the right side of your paycheck or stub. You can also find it on your pay statement on the ADP self-serve website.*)
4. Once you've registered, you have access to all the features on First Transit Connect!

Download today and get connected!

Search your app store for **First Transit Connect** or ask your manager for more information  
Need More Help? Email us at [FirstTransitConnect@firstgroup.com](mailto:FirstTransitConnect@firstgroup.com)

Download on the App Store  
GET IT ON Google play

Download it today!

## Additional Information

### Supporting Documentation

*Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.*

Numerous standard operating procedures (SOP's), in addition to those mentioned in this plan, have been developed and incorporated into the operating practices at each First Transit location.

The SOP's have been designed to create operational consistency, increase awareness of risks and hazards, and provide easily duplicated processes for identifying and mitigating the risks associated with providing transit service. Some of those SOP's are as follows.





- High Interest Driver SOP's #206; #206a; #206b; #206c; #206d
- SOP #207 - Railroad Crossing Assessment
- SOP #502 – Sub-Contractors Working on Company Property
- Fire Prevention Plan SOP's #504; #504a; #504b; #504c; #504d
- Winter Safety – Snow Removal Action Plan SOP's #505; #505a; #505b; #505c
- Vehicle Fueling Spill Control SOP's #506; #506a; #506b; #506c; #506d
- SOP #507 - Pedestrian Visibility and Movement on Company Property
- SOP # 508 - Service Truck & Service Vehicle Visibility
- Emergency Action Plan SOP's #806; #806a; #806b; #806c; #806d
- First Transit Shop Safety Handbook
- Safety & Security Planning Manual

### Definitions of Special Terms Used in the Safety Plan

Term	Definition

### List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
<b>ARC</b>	Accident Review Committee
<b>BTW</b>	Behind-the-Wheel
<b>DOT</b>	Department of Transportation
<b>DUI</b>	Driving Under the Influence
<b>DWI</b>	Driving While Intoxicated
<b>ESC</b>	Executive Safety Committee
<b>FGA</b>	First Group America
<b>F.O.R.M.</b>	First Occupational Rehabilitation Management



<b>FTA</b>	Federal Transit Administration
<b>HR</b>	Human Resources
<b>LGM</b>	General Manager
<b>LOTO</b>	Lock-Out/Tag-Out
<b>LSM</b>	Location Safety Manager
<b>MNT</b>	Maintenance
<b>OPS</b>	Operations
<b>OSHA</b>	Occupational Safety & Health Administration
<b>PPE</b>	Personal Protective Equipment
<b>PRM</b>	Performance Review Management
<b>SMS</b>	Safety Management System
<b>SOP</b>	Standard Operating Procedure
<b>SRC</b>	Safety Resource Center
<b>SST</b>	Safety Solutions Team
<b>UK</b>	United Kingdom
<b>VP</b>	Vice President





## **Appendix A: First Transit Safety Policy**

### **Safety Management Policy Statement**

#### **Introduction**

Global in scale and local in approach, First Transit is an organization which combines a robust corporate structure with strong customer-centric, local operations. Throughout the company, our focus is conducting our business in a way that aligns with our core values:

- Committed to our customers
- Dedicated to Safety
- Supportive of Each Other
- Accountable for Performance
- Setting the Highest Standards

We believe these values to be essential components in our aim to achieve ZERO safety events, resulting in ZERO harm to our customers, our employees, our shareholders, and the environments in which we operate. First Transit's Safety Management System (SMS) encourages all First Transit employees to replace risky behaviors and thought processes that jeopardize safety in the workplace. Through the program, we are striving to build a cultural identity that is continually focused on safety. First Transit has adopted the core philosophy of, ***"Think Safe, Act Safe, BeSafe"***

#### **Safety Management Policy**

At the core of First Transit's mission is the commitment to protecting the safety and well-being of our passengers and employees. Our ***"Be Safe"*** program is the foundation of First Transit's Safety Management System (SMS) with three clear objectives:

1. To make progress on our way to "Zero Harm"
2. To make safety a personal core value through behavior change
3. To improve business performance

***"Be Safe"*** – the driving force behind First Transit's Safety Management Policy - focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement. All employees are empowered to report unsafe acts and working conditions without fear of reprisal.



## Safety Management Policy Statement

The guiding principles that drive First Transit's SMS program are:

- **Knowledge:** Our greatest efforts will be directed at the key safety behaviors that will help reduce incidents.
  - **Recognition:** While not ignoring actions that undermine safety, the focus will be on acknowledging colleagues "doing it right" and positively reinforcing these actions.
  - **Openness:** Regular positive coaching interactions, or "touchpoints" will take place and communication at "debriefs" will be open and honest.
  - **Learning:** Reporting of incidents and near misses will be seen as learning opportunities to continuously improve work place safety.
- Courage:** We are all empowered to accept responsibility for our own safety and the safety of our colleagues and customers. If you assess something to be unsafe, you should have the courage to stop and find a safer way of doing things.

Performance improvement in all aspects of First Transit's operations is based on four key elements: *Leadership and Engagement; Risk Reduction; Safety Management; and Performance Management.* Each element includes safety as a top priority.

**Leadership and Engagement** depends upon honest and open communication from all employees; data collection from which critical decisions are formulated that impact daily, short term, and long-term operations; resource management; and future direction of First Transit.

**Risk Reduction** includes our comprehensive audit and inspection regime; hazard identification and reporting; continuous training and safety campaigns; employee safety evaluation reporting programs and procedures; employee and management observation of operations; and compliance assurance of FTA, DOT, and OSHA safety and operating requirements and recommendations.

**Safety Management** at First Transit has many forms; including Safety Solution Teams, Accident Review Committees, Local Client Liaison Committees at each local operation; the corporate Safety Department which gathers, analyzes, and communicates the safety information throughout the organization; and enforces policies and procedures to ensure all employees are conducting their business in the safest manner possible.



## **Safety Management Policy Statement**

**Performance Management**, the final key element, uses many Key Performance Indicators relating to safety to evaluate First Transit's progress toward Zero safety events. Daily reports; monthly location scorecards; the Critical Activity Record Entry program which captures and compares safety data monthly; major events calls, which alerts management in real time of safety events; and regular calls and meetings between mid-level and upper management to review safety concerns; are a sampling of the tools employed to ensure that safety is first and foremost in everything we do.

### **Ongoing Company-Wide Commitment**

As President of First Transit, I know our commitment and passion for safety runs far deeper than the words contained in this policy statement. While our roles may vary, everyone in our organization, from the highest levels of management to the employees on the street, has a responsibility for their own safety as well as the safety of colleagues and customers; and to perform the daily tasks of providing public transportation in as safe a manner as possible.

We at First Transit depend on every member of our team to do everything possible to protect our resources and environment from harm, now and into the future. We take great pride in this responsibility and our ability to meet these expectations.

Sincerely,

Bradley A. Thomas

President

**Modoc Transportation Agency  
Office Equipment List  
FY 2019/20  
(06/02/2020 Mtg)**

<i>In Use</i>	<i>Scrap</i>	<i>Donate Gov.</i>	<i>Date</i>	<i>Vendor</i>	<i>Description</i>	<i>Amount (Under \$5k)</i>	<i>Purchases</i>	<i>Sales / Scrap</i>
X			06/13/07	J. Thayer Company	Work Station Standup Desk	\$ 386.09		
X			06/28/10	J. Thayer Company	Sentry Fire Safe - FTA 5311 ARRA 09/10	\$ 742.58		
X			06/19/13	Merits Home Center	Refridgerator	\$ 1,799.00		
X			06/19/13	Merits Home Center	Fridgedair Dishwasher	\$ 599.00		
X			08/11/13	Computer Haven	Video Equipment (Computer Haven)	\$ 1,098.53		
X			08/06/13	Best Deal	FortiVoice - Telephone System (Best Deal)	\$ 4,745.68		
X			10/11/13	Wal Mart	Simplicity Flat Screen TV	\$ 698.00		
X			12/03/13	B & D Electric	Video Equipment	\$ 2,034.92		
X			08/21/13	Grainger Industrial	Tennsco Lockers (x2) - Garage/Shop	\$ 1,671.63		
X			08/21/14	Garage Organization	Gladiator Garage Works-Workbench/Cabinet	\$ 2,819.99		
X			03/20/14	Computer Haven	Video Equipment (Computer Haven)	\$ 642.85		
X			09/03/14	Dept. of Forestry	Conference Tables (x5)	\$ 2,300.00		
<b>Grand Total</b>						<b>\$ 19,538.27</b>	<b>\$ -</b>	<b>\$ -</b>



108 S. Main St., Alturas, CA 96101

## **Americans with Disability Act Discrimination Complaint Procedure**

**Complaint Policy:** Modoc Transportation Agency is committed to providing safe, reliable, and accessible transportation options for the community.

**If you have a complaint against Modoc Transportation Agency, alleging an ADA discrimination** – you may file a signed, written complaint up to one hundred and eighty (180) days from the date of the alleged discrimination. The complaint should include:

- ❖ Your name, mailing address, and preference for how to contact you (phone or email).
- ❖ How, when, where, and why you believe you were discriminated against. Include the location, names and contact information of any witnesses.
- ❖ Other information that you may deem significant.

You may use the form on the following page to submit the complaint information. If you need assistance, please contact:

**Modoc Transportation Agency  
ADA Coordinator  
108 S. Main St.  
Alturas, CA 96101  
(530) 233-6410**

Please provide your complaint in writing to Modoc Transportation Agency (address above). It is recommended that you use certified mail for tracking purposes.

Once a complaint is received, Modoc Transportation Agency will make every effort to address it in an expeditious and thorough manner. Modoc Transportation Agency shall send you a letter acknowledging receipt of the complaint within (7) seven days. Then, you may be asked to provide additional information in order for the complaint to be processed. After Modoc Transportation Agency has completed processing the complaint, a final written response letter will be sent to you.

If you are not satisfied with the outcome of the complaint, you have the right to:

- ❖ Appeal the decision within (7) seven calendar days of receipt of the final written response from Modoc Transportation Agency.
- ❖ File a complaint externally with the appropriate governing entity



108 S. Main St., Alturas, CA 96101

## ADA Discrimination Complaint Procedure

*\*For additional space to answer questions, please attach additional sheets of paper or use the back of this form.*

1. Complainant's Name: \_\_\_\_\_
2. Address: \_\_\_\_\_
3. City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
4. Preferred method of contact:  
Phone: \_\_\_\_\_ Optional Phone: \_\_\_\_\_  
Email: \_\_\_\_\_
5. Person discriminated against (if other than Complainant):  
Name: \_\_\_\_\_ Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
6. Date of the incident resulting in ADA discrimination: \_\_\_\_\_
7. Describe the ADA discrimination as clearly as possible: what happened and how you were discriminated against. Indicate names and their contact information of those involved (if available):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

8. Where did the incident happen: (location, bus route, driver's name, etc.)

---

---

---

9. Were there witnesses? Please provide their contact information:

Name: \_\_\_\_\_ Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Name: \_\_\_\_\_ Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

10. Did you file this complaint with another agency? \_\_\_\_\_ Yes \_\_\_\_\_ No

If you answered yes, please check each agency this complaint was filed with:

\_\_\_\_\_ Federal Agency \_\_\_\_\_ Federal Court \_\_\_\_\_ State Agency \_\_\_\_\_ State Court  
\_\_\_\_\_ Local Agency \_\_\_\_\_ Other (list: \_\_\_\_\_)

11. Provide information on the contact person for the agency you also filed the complaint with:

Name: \_\_\_\_\_ Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone: \_\_\_\_\_ Date Filed: \_\_\_\_\_

12. Sign the complaint in the space below. You may attach any written materials or other information that supports your complaint.

---

Complainant's Signature

---

Date

<b>Report to Modoc Transportation Agency Board Members</b>	
Subject <b>Staff Updates and Calendar of Events</b>	Meeting Date <b>June 2, 2020</b>
Presented by <b>MTA Staff</b>	Agenda Item <b>6</b>

a. Staff Updates

b. Calendar of Events – MTA Meetings

- August 4, 2020 (Annual Barbeque)
- October 6, 2020
- December 1, 2020

**Sage Stage Holiday Schedule**

- May 25, 2020 – Memorial Day Holiday – Driver holiday (no bus service)