

LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY

1362 Rutan Court, Suite 100

Livermore, CA 94551

BOARD OF DIRECTORS MEETING

BOARD MEMBERS

**BOB WOERNER – CHAIR
SCOTT HAGGERTY
KARLA BROWN
BOB COOMBER**

**JERRY PENTIN – VICE CHAIR
DAVID HAUBERT
MELISSA HERNANDEZ**

Agenda Questions: Please call the Executive Director at (925) 455-7564 or send an email to frontdesk@lavta.org

Documents received after publication of the Agenda and considered by the Board of Directors in its deliberation will be available for inspection only via electronic document transfer, due to the COVID-19 outbreak. See the COVID-19 provisions outlined below. Please call or email the Executive Director during normal business hours if you require access to any such documents.

TELECONFERENCE

DECEMBER 7, 2020 – 4:00 PM

**CORONAVIRUS DISEASE (COVID-19) ADVISORY
AND MEETING PROCEDURE**

On June 5, 2020 (updated June 18, 2020), the Health Officer of Alameda County issued an Order that will continue to be in effect until it is rescinded, superseded, or amended in writing by the Health Officer. The Order directed that all individuals living in the county to shelter at their place of residence except that they may leave to provide or receive certain essential services or engage in certain essential activities and work for essential businesses and governmental services.

Under the Governor's Executive Order N-29-20, this meeting may utilize teleconferencing. As a precaution to protect the health and safety of staff, officials, and the general public. Councilmembers will not be physically in attendance, but will be available via video conference.

The administrative office of Livermore Amador Valley Transit Authority (LAVTA) is currently closed to the public and will remain closed for the duration of the Board of Directors (BOD) meeting. Consequently, there will be no physical location for members of the public to participate in the meeting. We encourage members of the public to shelter in place and access the meeting online using the web-video communication application, Zoom. Zoom participants will have the opportunity to speak during Public Comment.

If you are submitting public comment via email, please do so by 1:00 p.m. on Monday, December 7, 2020 to frontdesk@lavta.org. Please include "Public Comment 12/7/2020" and the agenda item in the subject line. In the body of the email please include your name. Public comments submitted will be read during Public Comment and will be subject to the regular three-minute time restriction.

This Board of Directors meeting will be conducted on the web-video communication platform, Zoom. In order to view and/or participate in this meeting, members of the public will need to download Zoom from its website, www.zoom.us.

It is recommended that anyone wishing to participate in the meeting complete the download process before the start of the meeting.

There will be zero tolerance for any person addressing the Board making profane, offensive and disruptive remarks, or engaging in loud, boisterous, or other disorderly conduct, that disrupts the orderly conduct of the public meeting.

How to listen and view meeting video:

- From a PC, Mac, iPad, iPhone or Android device click the link below:
<https://zoom.us/j/86715841855>
Passcode: BOD1362Mtg
- To supplement a PC, Mac, tablet or device without audio, please also join by phone:
Dial: 1 (669) 900-6833
Webinar ID: 867 1584 1855
Passcode: 761222

To comment by video conference, click the “Raise Your Hand” button to request to speak when Public Comment is being taken on the Agenda item. You will then be unmuted when it is your turn to make your comment for up to 3 minutes. After the allotted time, you will be muted.

- Livestream online at: [Livermore Amador Valley Transit Authority YouTube Channel](#)

No option to make Public Comment on YouTube live stream.

How to listen only to the meeting:

- For audio access to the meeting by telephone, use the dial-in information below:
Dial: 1 (669) 900-6833
Webinar ID: 867 1584 1855
Passcode: 761222

*Please note to submit public comment via telephone dial *9 on your dial pad. The meeting’s host will be informed that you would like to speak. If you are chosen, you will be notified that your request has been approved and you will be allowed to speak. You will then be unmuted when it is your turn to make your comment for up to 3 minutes. After the allotted time, you will be muted.*

To submit written comments:

- Provide public written comments prior to the meeting by email, to frontdesk@lavta.org

If you are submitting public comment via email, please do so by 1:00 p.m. on Monday, December 7, 2020 to frontdesk@lavta.org. Please include “Public Comment 12/7/2020” and the agenda item to which your comment applies in the subject line. In the body of the email please include your name. Public comments submitted will be read during Public Comment and will be subject to the regular three-minute time restriction.

1. Call to Order

2. Roll Call of Members

3. Meeting Open to Public

- Members of the audience may address the Board of Directors on any matter within the general subject matter jurisdiction of the LAVTA Board of Directors.
- Unless members of the audience submit speaker forms before the start of the meeting requesting to address the board on specific items on the agenda, all comments must be made during this item of business. Speaker cards are available at the entrance to the meeting room and should be submitted to the Board secretary.
- Public comments should not exceed three (3) minutes.
- Items are placed on the Agenda by the Chairman of the Board of Directors, the Executive Director, or by any three members of the Board of Directors. Agendas are published 72 hours prior to the meeting.
- No action may be taken on matters raised that are not on the Agenda.
- For the sake of brevity, all questions from the public, Board and Staff will be directed through the Chair.

4. November Tri-Valley Accessible Advisory Committee Minutes

5. Consent Agenda

Recommend approval of all items on Consent Agenda as follows:

A. Minutes of the November 2, 2020 Board of Directors meeting.

B. Treasurer's Report for October 2020

Recommendation: Staff recommends that the Board of Directors approve the LAVTA Treasurer's Report for October 2020.

C. Solicit Public Input on COVID Related Service Reductions

Recommendation: The Projects and Services Committee recommends that the Board of Directors open a public comment period regarding emergency service changes that have been implemented as a result of reduced ridership attributable to the COVID-19 pandemic.

6. Public Transportation Agency Safety Plan

Recommendation: Approve the SMS and PTASP and designate a Chief Safety Officer as required by the Federal Transit Administration and adopt Resolution 32-2020. Approve the revised job description in order to streamline the current operations oversight duties of the Director of Operations and Innovation with the additional safety oversight responsibilities of the Chief Safety Officer.

7. Evaluation of Paratransit Services

Recommendation: Authorize Executive Director to continue discussions and draft an MOU

with the Central Contra Costa Transit Authority (CCCTA) to be considered by the LAVTA Board of Directors that establishes an 18-month pilot project to integrate paratransit programs with Central Contra Costa Transit Authority.

8. Executive Director's Report

9. Matters Initiated by the Board of Directors

- Items may be placed on the agenda at the request of three members of the Board.

10. Recognition of Outgoing Board Members

11. Next Meeting Date is Scheduled for: January 4, 2021

12. Adjournment

Please refrain from wearing scented products (perfume, cologne, after-shave, etc.) to these meetings, as there may be people in attendance susceptible to environmental illnesses.

I hereby certify that this agenda was posted 72 hours in advance of the noted meeting.

/s/ Jennifer Suda

LAVTA, Executive Assistant

12/4/2020

Date

On request, the Livermore Amador Valley Transit Authority will provide written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, including auxiliary aids or services, to enable individuals with disabilities to participate in public meetings. A written request, including name of the person, mailing address, phone number and brief description of the requested materials and preferred alternative format or auxiliary aid or service should be sent at least seven (7) days before the meeting. Requests should be sent to:

*Executive Director
Livermore Amador Valley Transit Authority
1362 Rutan Court, Suite 100
Livermore, CA 94551
Fax: 925.443.1375
Email: frontdesk@lavta.org*

AGENDA

ITEM 4

LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
1362 Rutan Court, Suite 100
Livermore, CA 94551

Tri-Valley Accessible Advisory Committee

DATE: Wednesday, November 4, 2020

PLACE: Zoom Teleconference

TIME: 3:30 p.m.

DRAFT MINUTES

1. Call to Order

The TAAC Chair Herb Hastings called the meeting to order at 3:32 pm.

Members Present:

David Weir	City of Livermore
Judith LaMarre	City of Livermore
Michael Balero	City of Livermore – Alternate
Shawn Costello	City of Dublin
Connie Mack,	City of Dublin
Donna Singer	City of Dublin – Alternate
Herb Hastings	County of Alameda
Kulwant Singh	County of Alameda – Alternate
Amy Mauldin	Social Services Member
Rachel Prater	Social Services Member
Diana Houghtaling	Social Services Member
Shay Roberson	Social Services Member – Alternate
Esther Waltz	PAPCO Representative

Staff Present:

Toan Tran	LAVTA
Kadri Kulm	LAVTA
Jennifer Suda	LAVTA
Clifton Crabtree	MTM
Christian Pereira	MV

2. **Roll Call**
Costello/ Waltz
3. **Approval of Agenda and Modifications in necessary**
Waltz/Costello
4. **Citizens' Forum: An opportunity for members of the audience to comment on a subject not listed on the agenda (under state law, no action may be taken at this meeting)**
None.
5. **Minutes of the September 2, 2020 meetings of the Committee**
Approved.
Weir/Waltz
6. **Fares Update**
Staff updated the committee that given the current environment and the economic impact of the pandemic LAVTA is postponing the fare increases that were initially scheduled for January 1, 2021 by one year to January 1, 2022.
7. **Paratransit Operations and Maintenance RFP Update**
Staff informed the committee that the responses/proposals for LAVTA's Paratransit O&M RFP have been received and reviewed, and the interviews with the proposers have been conducted. LAVTA is currently in the process of selecting a new contractor.
8. **PAPCO Report**
The report will be provided at the next TAAC meeting.
9. **Service Updates and Concerns**
Staff informed the committee of the one-seat regional ADA-paratransit ride program, which is led by County Connection, is now live. With this program the riders will not have to transfer between vehicles when going to County Connection LINK service area.

The members discussed face coverings' requirement onboard fixed route and Dial-A-Ride vehicles. Staff said that drivers have disposable masks available for passengers without face coverings.
10. **Adjournment**
Meeting adjourned at 4:12 pm

AGENDA

ITEM 5A

MINUTES OF THE NOVEMBER 2, 2020 ZOOM TELECONFERENCE
LAVTA BOARD OF DIRECTORS MEETING

1. Call to Order and Pledge of Allegiance

Meeting was called to order by Board Chair Bob Woerner at 4:02pm.

Board Chair Bob Woerner informed the public that LAVTA's meeting is being conducted according to the COVID-19 rules that are detailed at the beginning of the agenda explaining why this is a Zoom teleconference and stated the Pledge of Allegiance will be dispensed.

2. Roll Call of Members

Members Present

David Haubert – City of Dublin

Melissa Hernandez – City of Dublin

Scott Haggerty – County of Alameda

Jerry Pentin – City of Pleasanton

Karla Brown – City of Pleasanton

Bob Woerner – City of Livermore

Bob Coomber – City of Livermore

3. Meeting Open to Public

No comments.

4. September Tri-Valley Accessible Advisory Committee Minutes

Chair Herb Hastings of the Tri-Valley Accessible Advisory Committee (TAAC) reported on the minutes of the September 2, 2020 TAAC Zoom teleconference meeting. Discussed at the TAAC meeting was Paratransit Operations and Maintenance RFP, One Seat Regional Ride Pilot Program, East Bay Regional Center and COVID-19, Shared Autonomous Vehicle (SAV) update, Para-Taxi Debit Card Pilot Program update, and service updates and concerns. Herb Hastings noted TAAC Members didn't have issues or concerns at this meeting.

Chair Bob Woerner requested Staff to inform how to sign-up to ride the SAV. Executive Director Michael Tree explained that the customer would sign-up by going to the SAV webpage and click on a link that will take the customer to a software program that allows them to reserve a date and time. LAVTA is hopeful SAV rides will start on November 6, 2020. Herb Hastings requested what the SAV service range is. Chair Bob Woerner directed Herb Hastings to contact LAVTA Staff regarding his request.

5. Consent Agenda

Recommend approval of all items on Consent Agenda as follows:

A. Minutes of the September 14, 2020 Board of Directors meeting.

U B. Treasurer's Report for August 2020 and September 2020

The Board of Directors approved the LAVTA Treasurer's Report for August 2020 and September 2020.

C. Adoption of Updated Conflict of Interest Code

The Board of Directors approved and reviewed the attached conflict of Interest Code, including Appendix of Designated Officials and Employees, which has been updated to reflect LAVTA's current staffing and organization. Resolution 30-2020.

D. Staff Proposed Revision to Adopted Fare Increase Timeline

The Board of Directors approved a revised implementation date for two fare increase categories previously approved for implementation on January 1, 2021 and recommends that the Board delay the implementation of these proposed changes to January 1, 2022.

E. Revised Resolution in Support of Participation in the Metropolitan Transportation Commission's Clipper START! Pilot Program

The Board of Directors authorized the Executive Director to provide the Metropolitan Transportation Commission (MTC) with a revised resolution indicating LAVTA's desire to participate in MTC's Clipper START! pilot program. Resolution 31-2020.

Approved: Brown/Haggerty

Aye: Pentin, Woerner, Brown, Haggerty, Coomber, Haubert, Hernandez

No: None

Abstain: None

Absent: None

6. Fiscal Year 2020 Comprehensive Annual Financial Report (CAFR)

David Alvey of Maze and Associates highlighted select pages of the FY2020 Draft Comprehensive Annual Financial Report (CAFR) noting that there were no findings. David Alvey informed that there were no new accounting standards or government accounting standards for pronouncements that came into effect this year and explained in March GASB gave a one year extension on all GASB, due to COVID-19.

The item was discussed by the Board of Directors, staff, and the presenter. Director Scott Haggerty asked how long LAVTA keeps auditors and how long the current auditor has been on contract with us. Staff informed auditors are kept three years and believe there are four option years. Staff also informed they believe LAVTA went out to bid in 2017, so this would be the last of contract years and next year would be an option year. Staff noted that option years on this contract would come to the Board for approval. David Alvey explained that it is written in Government code starting in 2015 that every six years the audit partner must be taken off regardless and they comply with that.

The Board of Directors accepted the Comprehensive Annual Financial Report (CAFR), and direct staff to submit the CAFR to the Government Finance Officers Association (GFOA) for award.

Approved: Pentin/Haggerty

Aye: Pentin, Woerner, Brown, Haggerty, Coomber, Haubert, Hernandez
No: None
Abstain: None
Absent: None

7. Set Board of Director Meeting Dates for 2021

The Board of Directors adopted the above meeting calendar for 2021.

Approved: Haggerty/Coomber
Aye: Pentin, Woerner, Brown, Haggerty, Coomber, Haubert, Hernandez
No: None
Abstain: None
Absent: None

8. Executive Director's Report

Executive Director Michael Tree informed that most of the Executive Director's Report was discussed at the Projects and Services Committee meeting. Executive Director Michael Tree noted that LAVTA fare collection resumed on October 1, 2020 and that ridership is around 1,350 fixed route and 45 Paratransit rides per day. Executive Director Michael Tree explained LAVTA works hard to have passengers use masks on our buses, we disinfect every night, and during the day disinfect high touch areas. LAVTA has four Public Service Announcements (PSA) on KKIQ regarding health safety measures LAVTA implemented. Executive Director Michael Tree acknowledge receiving The Transit Agency of the Year Award at the APTA ceremony and the good work the agency Staff and Board are doing. Executive Director Michael Tree announced that starting on November 16, 2020 LAVTA anticipates giving rides to the public on LAVTAs SAV and we are looking at a next generation of autonomous vehicles that currently have operating speeds of 25-30 mph. Lastly, Executive Director Michael Tree provided a brief update on the Pleasanton Corridor Enhancement Project.

The item was discussed by the Board of Directors and staff. Director Scott Haggerty inquired how much the next generation autonomous vehicle costs and if LAVTA is ready to submit a grant to the Air District. Executive Director Michael Tree informed that the next generation autonomous vehicles cost around \$300,000 per unit and that LAVTA has a business plan for the grant submission.

9. Adjourn to CLOSED SESSION

Meeting adjourned to closed session at 4:17pm

**10. Closed Session pursuant to Government Code Section 54957(b):
PUBLIC EMPLOYEE PERFORMANCE EVALUATION
Title: Executive Director**

**11. Closed Session pursuant to Government Code Section 54957.6
CONFERENCE WITH LABOR NEGOTIATOR
Agency Representative: Michael Conneran, Legal Counsel
Unrepresented Employee: Executive Director**

12. Reconvene to OPEN SESSION

Meeting reconvened at 4:54pm.

Legal Counsel Michael Conneran stated no reportable actions were taken, but due to WebEx technical difficulties requested a new closed session to continue discussions.

Meeting adjourned a second time to closed session at 4:56pm.

Meeting reconvened a second time at 5:11pm.

Legal Counsel Michael Conneran stated the Board of Directors met in closed session concerning the evaluation and contract negotiations with the Executive Director and has now returned to open session to consider any modifications to his employment contract.

13. Consideration of Amendment to Employment Agreement with Executive Director Michael Tree

Director Scott Haggerty informed that the Board discussed Executive Director Michael Tree's ability to run LAVTA and the accolades he has brought to our agency in the last few years like the latest Northern America Transit Association of the Year award. Director Scott Haggerty explained that in most circumstances Executive Director Michael Tree would be due a raise for his latest achievement, but Executive Director Michael Tree would like to forgo a raise this year for the ability to run the agency during COVID-19.

The Board of Directors approved an amendment to Michael Tree's employment contract to be extended by one year through December 1, 2023 and that he be provided with a \$10,000 professional development allowance.

Approved: Haggerty/Coomber

Aye: Pentin, Woerner, Brown, Haggerty, Coomber, Haubert, Hernandez

No: None

Abstain: None

Absent: None

14. Matters Initiated by the Board of Directors

None.

15. Next Meeting Date is Scheduled for: December 7, 2020

16. Adjournment

Meeting adjourned at 5:21 pm.

AGENDA

ITEM 5B

LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY

STAFF REPORT

SUBJECT: Treasurer's Report for October 2020

FROM: Tamara Edwards, Director of Finance

DATE: December 7, 2020

Action Requested

Approval of the LAVTA Treasurer's Report for October 2020.

Discussion

Cash accounts:

Our petty cash account (101) has a balance of \$200, and our ticket sales change account (102) continues with a balance of \$240 (these two accounts should not change).

General checking account activity (105):

Beginning balance October 1, 2020	\$7,449,977.04
Payments made	\$1,203,465.67
Deposits made	\$2,097,404.89
Ending balance October 31, 2020	\$8,343,916.26

Farebox account activity (106):

Beginning balance October 1, 2020	\$199,086.99
Deposits made	\$21,073.60
Ending balance October 31, 2020	\$220,160.59

LAIF investment account activity (135):

Beginning balance October 1, 2020	\$5,934,406.58
Q1 FY21 Interest	\$12,642.96
Ending balance October 31, 2020	\$5,947,049.54

Operating Expenditures Summary:

As this is the fourth month of the fiscal year, in order to stay on target for the budget this year expenses (at least the ones that occur on a monthly basis) should not be higher than 33%. The agency is at 29.05% overall.

Operating Revenues Summary:

While expenses are at 29.05%, revenues are at 30.4%, providing for a healthy cashflow.

Recommendation

Staff recommends that the Board of Directors approve the LAVTA Treasurer's Report for October 2020.

Attachments:

1. October 2020 Treasurer's Report

Approved: _____

**LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
BALANCE SHEET
FOR THE PERIOD ENDING:
October 31, 2020**

ASSETS:

101 PETTY CASH	200	
102 TICKET SALES CHANGE	240	
105 CASH - GENERAL CHECKING	8,343,916	
106 CASH - FIXED ROUTE ACCOUNT	220,160	
107 Clipper Cash	93,460	
108 Rail	3,019,290	
109 BOC	46	
120 ACCOUNTS RECEIVABLE	323,447	
135 INVESTMENTS - LAIF	5,976,300	
150 PREPAID EXPENSES	(339)	
160 OPEB ASSET	802,201	
165 DEFFERED OUTFLOW-Pension Related	588,141	
166 DEFFERED OUTFLOW-OPEB	64,410	
170 INVESTMENTS HELD AT CALTIP	0	
111 NET PROPERTY COSTS	63,949,337	
TOTAL ASSETS		83,380,809

LIABILITIES:

205 ACCOUNTS PAYABLE	226,371	
211 PRE-PAID REVENUE	2,035,665	
21101 Clipper to be distributed	(11,297)	
22000 FEDERAL INCOME TAXES PAYABLE	34	
22010 STATE INCOME TAX	(10)	
22020 FICA MEDICARE	(112)	
22050 PERS HEALTH PAYABLE	0	
22040 PERS RETIREMENT PAYABLE	(330)	
22030 SDI TAXES PAYABLE	0	
22070 AMERICAN FIDELITY INSURANCE PAYABLE	571	
22090 WORKERS' COMPENSATION PAYABLE	9,355	
22100 PERS-457	0	
22110 Direct Deposit Clearing	0	
23101 Net Pension Liability	1,212,136	
23105 Deferred Inflow- OPEB Related	203,209	
23104 Deferred Inflow- Pension Related	81,681	
23103 INSURANCE CLAIMS PAYABLE	95,072	
23102 UNEMPLOYMENT RESERVE	(397)	
TOTAL LIABILITIES		3,851,949

FUND BALANCE:

301 FUND RESERVE	(7,734,299)	
304 GRANTS, DONATIONS, PAID-IN CAPITAL	77,154,817	
30401 SALE OF BUSES & EQUIPMENT	84,491	
FUND BALANCE	10,023,851	
TOTAL FUND BALANCE		79,528,860
TOTAL LIABILITIES & FUND BALANCE		83,380,809

**LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
REVENUE REPORT
FOR THE PERIOD ENDING:
October 31, 2020**

ACCOUNT	DESCRIPTION	BUDGET	CURRENT MONTH	YEAR TO DATE	BALANCE AVAILABLE	PERCENT BUDGET EXPENDED
4010100	Fixed Route Passenger Fares	340,455	29,344	29,739	310,716	8.7%
4020000	Business Park Revenues	72,020	0	40,011	32,009	55.6%
4020500	Special Contract Fares	218,288	20,005	20,005	198,283	9.2%
4020500	Special Contract Fares - Paratransit	30,000	0	0	30,000	0.0%
4010200	Paratransit Passenger Fares	93,750	2,782	3,237	90,514	3.5%
4060100	Concessions	20,820	7,712	7,712	13,108	37.0%
4060300	Advertising Revenue	30,000	0	6,096	23,904	20.3%
4070400	Miscellaneous Revenue-Interest	25,000	12,643	12,643	12,357	50.6%
4070300	Non transportation revenue	86,052	10,328	32,876	53,176	38.2%
4090100	Local Transportation revenue	538,506	0	1,720,818	(1,182,312)	319.6%
4099100	TDA Article 4.0 - Fixed Route	6,041,384	957,390	957,390	5,083,994	15.8%
4099500	TDA Article 4.0-BART	58,163	8,003	22,390	35,773	38.5%
4099200	TDA Article 4.5 - Paratransit	87,527	12,698	21,666	65,861	24.8%
4099600	Bridge Toll- RM2, RM1	348,502	0	0	348,502	0.0%
4110100	STA Funds-Paratransit	66,305	0	0	66,305	0.0%
4110500	STA Funds- Fixed Route BART	415,450	0	0	415,450	0.0%
4110100	STA Funds-pop	793,498	0	0	793,498	0.0%
4110100	STA Funds- rev	208,552	0	0	208,552	0.0%
4110100	STA Block	888,731	0	0	888,731	0.0%
4110100	STA Funds- Lifeline	38,281	0	0	38,281	0.0%
4110100	Caltrans	250,000	0	0	250,000	0.0%
4130000	FTA Section CARES Act	5,000,000	533,740	1,726,432	3,273,568	100.0%
4130000	FTA Section 5307 ADA Paratransit	412,325	0	0	412,325	0.0%
4130000	FTA TPI	88,000	0	0	88,000	100.0%
4640500	Measure B Gap	23,859	43,431	43,431	(19,572)	100.0%
4640500	Measure B Express Bus	-	0	0	-	100.0%
4640100	Measure B Paratransit Funds-Fixed Route	559,135	102,835	193,295	365,840	34.6%
4640100	Measure B Paratransit Funds-Paratransit	103,034	18,956	35,631	67,403	34.6%
4640200	Measure BB Paratransit Funds-Fixed Route	413,424	76,297	143,103	270,321	34.6%
4640200	Measure BB Paratransit Funds-Paratransit	202,370	37,347	70,049	132,321	34.6%
RAIL		0	0	210,800		
TOTAL REVENUE		17,453,431	1,873,512	5,297,323	12,366,908	30.4%

**LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
OPERATING EXPENDITURES
FOR THE PERIOD ENDING:
October 31, 2020**

		BUDGET	CURRENT MONTH	YEAR TO DATE	BALANCE AVAILABLE	PERCENT BUDGET EXPENDED
501 02	Salaries and Wages	\$1,670,376	\$118,697	\$535,743	\$1,134,633	32.07%
502 00	Personnel Benefits	\$999,960	\$57,454	\$328,273	\$671,687	32.83%
503 00	Professional Services	\$1,148,380	\$66,537	\$145,561	\$1,002,819	12.68%
503 05	Non-Vehicle Maintenance	\$825,443	\$64,395	\$330,107	\$495,336	39.99%
503 99	Communications	\$5,500	\$202	\$253	\$5,247	4.60%
504 01	Fuel and Lubricants	\$1,021,500	\$25,297	\$116,036	\$905,464	11.36%
504 03	Non contracted vehicle maintenance	\$3,000	\$0	\$4,572	(\$1,572)	152.40%
504 99	Office/Operating Supplies	\$56,030	\$8,370	\$11,865	\$44,165	21.18%
504 99	Printing	\$67,000	\$9,405	\$11,379	\$55,621	16.98%
505 00	Utilities	\$351,235	\$21,921	\$73,846	\$277,389	21.02%
506 00	Insurance	\$682,703	(\$885)	\$556,548	\$126,155	81.52%
507 99	Taxes and Fees	\$277,000	\$4,107	\$15,515	\$261,485	5.60%
508 01	Purchased Transportation Fixed Route	\$8,755,092	\$649,376	\$2,663,562	\$6,091,531	30.42%
2-508 02	Purchased Transportation Paratransit	\$1,314,813	\$66,729	\$247,935	\$1,066,878	18.86%
508 03	Purchased Transportation WOD	\$76,026	\$4,862	\$7,055	\$68,971	9.28%
509 00	Miscellaneous	\$179,477	\$12,326	\$41,351	\$138,126	23.04%
509 02	Professional Development	\$39,500	\$765	\$2,261	\$37,239	5.72%
509 08	Advertising	\$60,000	\$0	\$1,200	\$58,800	2.00%
TOTAL		\$17,533,035	\$1,109,559	\$5,093,061	\$12,439,974	29.05%

LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
CAPITAL REVENUE AND EXPENDITURE REPORT (Page 1 of 2)
FOR THE PERIOD ENDING:
October 31, 2020

ACCOUNT	DESCRIPTION	BUDGET	CURRENT MONTH	YEAR TO DATE	BALANCE AVAILABLE	PERCENT BUDGET EXPENDED
REVENUE DETAILS						
4090594	TDA (office and facility equip)	199,000	0	0	199,000	0.00%
4090194	TDA Shop repairs and replacement	100,000	0	0	100,000	0.00%
4091794	Bus stop improvements	416,000	0	0	416,000	0.00%
4090994	Radio Upgrade	6,700	0	0	6,700	0.00%
4090794	TDA Transit Center Improvements	110,000	0	0	110,000	0.00%
409??94	TDA (Transit Capital)	100,000	0	0	100,000	0.00%
4092094	TDA (Major component rehab)	410,000	0	0	410,000	0.00%
4091294	TDA Doolan Tower Upgrade	30,000	0	0	30,000	0.00%
4091691	SAV BAAQMD	168,194	0	0	168,194	0.00%
4090691	CIP Shelters	1,277,410	0			
4090694	TDA TSP	66,000	0	0	66,000	0.00%
409xx94	Bus add ons	266,000	0	0	266,000	0.00%
4090294	TDA Atlantis	350,000	0	0	350,000	0.00%
409xx94	TDA Real Time APC	200,000	0	0	200,000	0.00%
409xx91	TVTC TSP	1,140,000	0			
4111700	SGR shelters and stops	80,640	0	0	80,640	0.00%
4110500	Prop 1B office and facility	200,962	0	0	200,962	0.00%
411	Prop 1B Transit Center	20,000	0	0	20,000	0.00%
411	Dublin Parking garage	20,000,000	0	0	20,000,000	0.00%
41306	TSP	100,000	91,180	91,180	8,820	91.18%
41315	FTA farebox		0	0	0	#DIV/0!
41320	FTA Hybrid battery packs	800,000	0	0	800,000	0.00%
	FTA Transit Center	440,000	0			0.00%
TOTAL REVENUE		26,480,906	91,180	91,180	23,532,316	0.34%

LIVERMORE AMADOR VALLEY TRANSIT AUTHORITY
CAPITAL REVENUE AND EXPENDITURE REPORT (Page 2 of 2)
FOR THE PERIOD ENDING:
October 31, 2020

ACCOUNT	DESCRIPTON	BUDGET	CURRENT MONTH	YEAR TO DATE	BALANCE AVAILABLE	PERCENT BUDGET EXPENDED
EXPENDITURE DETAILS						
CAPITAL PROGRAM - COST CENTER 07						
5550207	Atlantis Facility	350,000	25,193	44,454	305,546	12.70%
5550107	Shop Repairs and replacement	300,962	(25,944)	0	300,962	0.00%
5551607	SAV	168,194	0	9,775	158,419	5.81%
5550407	BRT	168,194	3,119	3,119	165,075	1.85%
555xx07	Bus Add ons	266,000	0	0	266,000	0.00%
555xx07	Real time APC	200,000	0	0	200,000	0.00%
5550507	Office and Facility Equipment	199,000	0	0	199,000	0.00%
5550607	TSP upgrade	1,206,000	80,452	440,428	765,572	36.52%
5550907	Radio upgrade	6,700	(10,444)	11,200	(4,500)	167.16%
5551007	Transit Center Upgrades and Improvements	570,000	0	0	570,000	0.00%
5551207	Doolan Tower upgrade	30,000	0	0	30,000	0.00%
555xx07	Dublin Parking Garage	20,000,000	0	0	20,000,000	0.00%
5551707	Bus Shelters and Stops	1,774,050	7,810	466,151	1,307,899	26.28%
5551907	COVID Supplies	21,343	25,944	47,286	(25,943)	221.55%
5552007	Major component rehab	1,210,000	0	0	1,210,000	0.00%
555??07	Transit Capital	100,000	0	25,215	74,785	25.22%
TOTAL CAPITAL EXPENDITURES		26,570,443	106,130	1,047,628	25,522,815	3.94%
FUND BALANCE (CAPITAL)		-89537.00	(14,950)	(956,448)		
FUND BALANCE (CAPTIAL & OPERATING)		-172,141.00	725,896	(848,594)		

California State Treasurer

Fiona Ma, CPA



Local Agency Investment Fund
P.O. Box 942809
Sacramento, CA 94209-0001
(916) 653-3001

November 12, 2020

[LAIF Home](#)
[PMIA Average Monthly Yields](#)

LIVERMORE/AMADOR VALLEY TRANSIT
AUTHORITY
GENERAL MANAGER
1362 RUTAN COURT, SUITE 100
LIVERMORE, CA 94550

[Tran Type Definitions](#)

Account Number: 80-01-002

October 2020 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Web Confirm Number	Authorized Caller	Amount
10/15/2020	10/14/2020	QRD	1657155	N/A	SYSTEM	12,642.96

Account Summary

Total Deposit:	12,642.96	Beginning Balance:	5,953,886.48
Total Withdrawal:	0.00	Ending Balance:	5,966,529.44

REPORT.: Nov 18 20 Wednesday
RUN....: Nov 18 20 Time: 13:14
Run By.: Daniel Zepeda

LAVTA
Month End Cash Disbursements Report
Prior Period Report for 10-20 BANK ACCOUNT 105

PAGE: 001
ID #: PY-CD
CTL.: WHE

Period	Check Number	Check Date	Vendor # (Name)	Disc. Terms	Gross Amount	Disc Amount	Net Amount	Check Description
10-20	022292	10/12/20	CAS01 (LAVTA)		4,090.00	.00	4,090.00	Automatic Generated Check
	022293	10/16/20	AEC01 (AECOM TECHNICAL SERVICES INC		9,383.05	.00	9,383.05	Automatic Generated Check
	022294	10/16/20	AIM01 (AIM TO PLEASE JANITORIAL SER		38,627.95	.00	38,627.95	Automatic Generated Check
	022295	10/16/20	AMP01 (AMP PRINTING INC.)		8,844.88	.00	8,844.88	Automatic Generated Check
	022296	10/16/20	BAY08 (BAY CITY ELECTRIC WORKS)		2,127.30	.00	2,127.30	Automatic Generated Check
	022297	10/16/20	EME01 (BRIGHTVIEW LANDSCAPE SERVICE		1,263.00	.00	1,263.00	Automatic Generated Check
	022298	10/16/20	FAS02 (FASTENAL)		1,626.89	.00	1,626.89	Automatic Generated Check
	022299	10/16/20	HAN01 (HANSON BRIDGETT MARCUS)		4,605.50	.00	4,605.50	Automatic Generated Check
	022300	10/16/20	LYF01 (LYFT, INC)		1,957.09	.00	1,957.09	Automatic Generated Check
	022301	10/16/20	MAP01 (MAPISTRY)		6,722.00	.00	6,722.00	Automatic Generated Check
	022302	10/16/20	PAC11 (PACIFIC ENVIROMENTAL SERV)		240.00	.00	240.00	Automatic Generated Check
	022303	10/16/20	SCF01 (SC FUELS)		12,785.80	.00	12,785.80	Automatic Generated Check
	022304	10/16/20	SOL01 (SOLUTIONS FOR TRANSIT)		2,083.33	.00	2,083.33	Automatic Generated Check
	022305	10/16/20	TEL01 (TPx COMMUNICATIONS)		2,720.75	.00	2,720.75	Automatic Generated Check
	022306	10/16/20	TX228 (DEBORAH BUTLER)		85.05	.00	85.05	Automatic Generated Check
	022307	10/16/20	ZIL01 (ZILLA CORPORATION)		6,373.96	.00	6,373.96	Automatic Generated Check
	022308	10/30/20	A&M01 (LEO LAM INC)		355.43	.00	355.43	Automatic Generated Check
	022309	10/30/20	AIM01 (AIM TO PLEASE JANITORIAL SER		715.00	.00	715.00	Automatic Generated Check
	022310	10/30/20	ART01 (ART'S SECURITY LOCKSMITH)		805.24	.00	805.24	Automatic Generated Check
	022311	10/30/20	ATT02 (AT&T)		404.01	.00	404.01	Automatic Generated Check
	022312	10/30/20	ATT03 (AT&T)		946.26	.00	946.26	Automatic Generated Check
	022313	10/30/20	AVI01 (AMADOR VALLEY INDUSTRIES)		517.66	.00	517.66	Automatic Generated Check
	022314	10/30/20	CIT06 (CITY OF LIVERMORE SEWER)		260.30	.00	260.30	Automatic Generated Check
	022315	10/30/20	COR01 (CORBIN WILLITS SYSTEMS)		264.12	.00	264.12	Automatic Generated Check
	022316	10/30/20	CTE01 (CENTER FOR TRANSPORTATION &		37,550.00	.00	37,550.00	Automatic Generated Check
	022317	10/30/20	DIR01 (DIRECT TV)		14.00	.00	14.00	Automatic Generated Check
	022318	10/30/20	EME01 (BRIGHTVIEW LANDSCAPE SERVICE		168.99	.00	168.99	Automatic Generated Check
	022319	10/30/20	FAS02 (FASTENAL)		3,054.28	.00	3,054.28	Automatic Generated Check
	022320	10/30/20	FED01 (FedEx)		193.86	.00	193.86	Automatic Generated Check
	022321	10/30/20	GRA01 (GRANDFLOW INC)		351.34	.00	351.34	Automatic Generated Check
	022322	10/30/20	GTT01 (GLOBAL TRAFFIC TECHNOLOGIES		80,400.00	.00	80,400.00	Automatic Generated Check
	022323	10/30/20	HAN01 (HANSON BRIDGETT MARCUS)		2,864.50	.00	2,864.50	Automatic Generated Check
	022324	10/30/20	HER05 (MELISSA HERNANDEZ STRAH)		600.00	.00	600.00	Automatic Generated Check
	022325	10/30/20	HOT01 (HOTSYPACIFIC)		721.93	.00	721.93	Automatic Generated Check
	022326	10/30/20	JTH01 (J. THAYER COMPANY)		185.09	.00	185.09	Automatic Generated Check
	022327	10/30/20	KIM02 (KIMLEY-HORN AND ASSOC, INC)		25,192.55	.00	25,192.55	Automatic Generated Check
	022328	10/30/20	LYF01 (LYFT, INC)		1,949.43	.00	1,949.43	Automatic Generated Check
	022329	10/30/20	OFF01 (OFFICE DEPOT)		71.38	.00	71.38	Automatic Generated Check
	022330	10/30/20	PAC16 (PACIFIC COAST TRANE)		2,242.53	.00	2,242.53	Automatic Generated Check
	022331	10/30/20	PLA02 (PLANETERIA MEDIA LLC)		325.00	.00	325.00	Automatic Generated Check
	022332	10/30/20	SCF01 (SC FUELS)		13,318.65	.00	13,318.65	Automatic Generated Check
	022333	10/30/20	TX205 (MUHAMMAD ALI)		178.20	.00	178.20	Automatic Generated Check
	022334	10/30/20	TX212 (LINDA WAHLE)		95.18	.00	95.18	Automatic Generated Check
	H10682	10/01/20	BAN03 (BANKCARD CENTER)		(376.24)	.00	(376.24)	BAN03, AUG-20 BOW CC STAT
	H10683	10/01/20	BAN03 (BANKCARD CENTER)		376.24	.00	376.24	BAN03, AUG-20 BOW CC STAT
	H10684	10/01/20	PER03 (CAL PUB EMP RETIRE SYSTM)		(770.33)	.00	(770.33)	PER03, OCT-20 HEALTH INSU
	H10685	10/01/20	PER03 (CAL PUB EMP RETIRE SYSTM)		770.33	.00	770.33	PER03, OCT-20 HEALTH INSU
	H10686	10/01/20	A&M01 (LEO LAM INC)		(755.63)	.00	(755.63)	A&M01, 162872, MP510 FLOO
	H10687	10/01/20	A&M01 (LEO LAM INC)		755.63	.00	755.63	A&M01, 162872, MP510 FLOO
	H10688	10/01/20	COR01 (CORBIN WILLITS SYSTEMS)		(15.00)	.00	(15.00)	COR01, C009151, SEPT-20 S
	H10689	10/01/20	COR01 (CORBIN WILLITS SYSTEMS)		15.00	.00	15.00	COR01, C009151, SEPT-20 S
	H10690	10/01/20	SHI02 (SHI INTERNATIONAL CORP)		(1,500.00)	.00	(1,500.00)	SHI02, B12207243, MP493 E
	H10691	10/01/20	SHI02 (SHI INTERNATIONAL CORP)		1,500.00	.00	1,500.00	SHI02, B12207243, MP493 E
	H10692	10/15/20	STA01 (STATE COMPENSATION FUND)		1,395.33	.00	1,395.33	STA01, SEPT-20 WORKER'S C
	H10693	10/15/20	STA01 (STATE COMPENSATION FUND)		1,395.33	.00	1,395.33	STA01, OCT-20 WORKER'S CO
	H10694	10/15/20	VER01 (VERIZON WIRELESS)		1,786.72	.00	1,786.72	VER01, 9861341215, 7/23-8
	H10695	10/15/20	VER01 (VERIZON WIRELESS)		1,629.93	.00	1,629.93	VER01, 9863420212, 8/23-9
	H10696	10/15/20	TRA04 (TOAN TRAN)		66.00	.00	66.00	TRA04, SUNLINE TRANSIT TR
	H10697	10/09/20	UBE01 (UBER)		468.53	.00	468.53	UBE01, AUG-20 BILLING - G
	H10698	10/05/20	NEL01 (NELSON\NYGAARD CONSULTING AS		1,827.93	.00	1,827.93	NEL01, 78339, AUG-20 LAVT
	H10699	10/05/20	OAK01 (OAKS BUSINESS PK OWNERS)		3,378.00	.00	3,378.00	OAK01, 4TH QTR BUSINESS P
	H10700	10/05/20	RIC03 (RICHARD MILLER)		2,137.00	.00	2,137.00	RIC03, 2020-101, MP548 EM
	H10701	10/01/20	STA13 (STAPLES CREDIT PLAN)		264.50	.00	264.50	STA13, SEPT-20 CC STATEME
	H10702	10/01/20	MER01 (MERCHANT SERVICES)		25.41	.00	25.41	MER01, SEPT-20 MOA CC STA
	H10703	10/01/20	MER01 (MERCHANT SERVICES)		45.41	.00	45.41	MER01, SEPT-20 TRANSIT CE
	H10704	10/11/20	PAC01 (AT&T)		351.43	.00	351.43	PAC01, ACCT #436-951-0106,
	H10705	10/06/20	PAC01 (AT&T)		339.25	.00	339.25	PAC01, ACCT #925-243-9029,
	H10706	10/07/20	PAC01 (AT&T)		33.03	.00	33.03	PAC01, ACCT #232-351-6260,
	H10707	10/06/20	PAC01 (AT&T)		183.67	.00	183.67	PAC01, ACCT #925-245-0576
	H10708	10/10/20	MTM01 (MEDICAL TRANSPORTATION MANAG		57,712.85	.00	57,712.85	MTM01, AUG-20 MONTHLY SER
	H10709	10/10/20	MVT01 (MV TRANSPORTATION, INC.)		15,431.11	.00	15,431.11	MVT01, AUG-20 FIXED ROUTE
	H10710	10/05/20	TX228 (DEBORAH BUTLER)		65.88	.00	65.88	TX228, PARATAXI REIMBURSE
	H10711	10/02/20	AME06 (AMERICAN FIDELITY ASSURANCE		970.80	.00	970.80	AME06, OCT-20 FLEXIBLE SP
	H10712	10/07/20	AME06 (AMERICAN FIDELITY ASSURANCE		674.58	.00	674.58	AME06, SEPT-20 SUPPLEMENT
	H10713	10/02/20	AME06 (AMERICAN FIDELITY ASSURANCE		970.80	.00	970.80	AME06, SEPT-20 FLEXIBLE S
	H10714	10/05/20	AME06 (AMERICAN FIDELITY ASSURANCE		674.58	.00	674.58	AME06, AUG-20 SUPPLEMENTA
	H10715	10/02/20	AME06 (AMERICAN FIDELITY ASSURANCE		970.80	.00	970.80	AME06, AUG-20 FLEXIBLE SP
	H10716	10/02/20	AME06 (AMERICAN FIDELITY ASSURANCE		970.80	.00	970.80	AME06, JULY-20 FLEXIBLE S
	H10717	10/02/20	AME06 (AMERICAN FIDELITY ASSURANCE		674.58	.00	674.58	AME06, JULY-20 SUPPLEMENT
	H10718	10/05/20	VSP01 (VSP)		587.98	.00	587.98	VSP01, OCT-20 VISION INSU
	H10719	10/02/20	MUT01 (MUTUAL OF OMAHA)		1,188.34	.00	1,188.34	MUT01, OCT-20 LIFE & LTD
	H10720	10/02/20	DEL05 (ALLIED ADMIN/DELTA DENTAL)		2,471.52	.00	2,471.52	DEL05, OCT-20 DENTAL INSU
	H10721	10/02/20	DEL05 (ALLIED ADMIN/DELTA DENTAL)		2,350.50	.00	2,350.50	DEL05, NOV-20 DENTAL INSU
	H10722	10/02/20	MUT01 (MUTUAL OF OMAHA)		1,188.34	.00	1,188.34	MUT01, SEPT-20 LIFE & LTD
	H10723	10/09/20	DIR02 (DIRECT DEPOSIT OF PAYROLL CH		44,551.59	.00	44,551.59	DIR02, PR DIRECT DEPOSIT
	H10724	10/09/20	EMP01 (EMPLOYMENT DEVEL DEPT)		3,106.30	.00	3,106.30	EMP01, STATE TAX 9/19/20-
	H10725	10/09/20	EFT01 (ELECTRONIC FUND TRANSFERS)		8,882.71	.00	8,882.71	EFT01, FEDERAL TAX 9/19/2
	H10726	10/09/20	PER01 (PERS)		3,900.38	.00	3,900.38	PER01, PERS CLASSIC CONTR
	H10727	10/09/20	PER01 (PERS)		4,459.69	.00	4,459.69	PER01, PERS NEW CONTRIBUT
	H10728	10/09/20	PER04 (CALPERS RETIREMENT SYSTEM)		2,110.07	.00	2,110.07	PER04, PERS 457 CONTRIBUT
	H10729	10/16/20	TAX67 (CHRISTEL RAGER)		192.10	.00	192.10	TAX67, PARATAXI REIMBURSE

REPORT.: Nov 18 20 Wednesday
RUN....: Nov 18 20 Time: 13:14
Run By.: Daniel Zepeda

LAVTA
Month End Cash Disbursements Report
Prior Period Report for 10-20 BANK ACCOUNT 105

PAGE: 002
ID #: PY-CD
CTL.: WHE

Period	Check Number	Check Date	Vendor # (Name)	Disc. Terms	Gross Amount	Disc Amount	Net Amount	Check Description
10-20	H10730	10/16/20	TAX07 (ASMA SYEDA)		10.52	.00	10.52	TAX07, PARATAXI REIMBURSE
	H10731	10/20/20	STA13 (STAPLES CREDIT PLAN)		79.19	.00	79.19	STA13, OCT-20 CC STATEMEN
	H10732	10/23/20	DIR02 (DIRECT DEPOSIT OF PAYROLL CH		55,269.51	.00	55,269.51	DIR02, PR DIRECT DEPOSIT
	H10733	10/23/20	EFT01 (ELECTRONIC FUND TRASFERS)		12,950.57	.00	12,950.57	EFT01, FEDERAL TAX 10/3/2
	H10734	10/23/20	EMP01 (EMPLOYMENT DEVEL DEPT)		4,171.84	.00	4,171.84	EMP01, STATE TAX 10/3/20-
	H10735	10/23/20	PER01 (PERS)		3,900.38	.00	3,900.38	PER01, PERS CLASSIC CONTR
	H10736	10/23/20	PER01 (PERS)		4,459.69	.00	4,459.69	PER01, PERS NEW CONTRIBUT
	H10737	10/23/20	PER04 (CALPERS RETIREMENT SYSTEM)		2,112.61	.00	2,112.61	PER04, PERS 457 CONTRIBUT
	H10738	10/23/20	STA04 (STATE BOARD OF)		1,054.00	.00	1,054.00	STA04, 2020 QTR 3 STORAGE
	H10739	10/23/20	STA05 (STATE BOARD OF EQUAL)		691.00	.00	691.00	STA05, 2020 QTR 3 EXEMPT
	H10740	10/20/20	PER03 (CAL PUB EMP RETIRE SYSTM)		36,354.51	.00	36,354.51	PER03, NOV-20 HEALTH INSU
	H10741	10/20/20	MUT01 (MUTUAL OF OMAHA)		1,188.34	.00	1,188.34	MUT01, NOV-20 LIFE & LTD
	H10742	10/30/20	MVT01 (MV TRANSPORTATION, INC.)		300,000.00	.00	300,000.00	MVT01, 110286, OCT-20 MV
	H10743	10/26/20	BRO03 (KARLA SUE BROWN)		100.00	.00	100.00	BRO03, JULY-20 BOD STIPEN
	H10744	10/26/20	COO03 (BOB COOMBER)		50.00	.00	50.00	COO03, JULY-20 BOD STIPEN
	H10745	10/26/20	HAG01 (SCOTT HAGGERTY)		100.00	.00	100.00	HAG01, JULY-20 BOD STIPEN
	H10746	10/26/20	HAU01 (DAVID HAUBERT)		100.00	.00	100.00	HAU01, JULY-20 BOD STIPEN
	H10747	10/26/20	PEN01 (JERRY PENTIN)		100.00	.00	100.00	PEN01, JULY-20 BOD STIPEN
	H10748	10/26/20	WOE01 (ROBERT L. WOERNER)		200.00	.00	200.00	WOE01, JULY-20 BOD STIPEN
	H10749	10/26/20	BRO03 (KARLA SUE BROWN)		200.00	.00	200.00	BRO03, AUG-20 BOD STIPEND
	H10750	10/26/20	COO03 (BOB COOMBER)		50.00	.00	50.00	COO03, AUG-20 BOD STIPEND
	H10751	10/26/20	HAG01 (SCOTT HAGGERTY)		200.00	.00	200.00	HAG01, AUG-20 BOD STIPEND
	H10752	10/26/20	HAU01 (DAVID HAUBERT)		200.00	.00	200.00	HAU01, AUG-20 BOD STIPEND
	H10753	10/26/20	PEN01 (JERRY PENTIN)		200.00	.00	200.00	PEN01, AUG-20 BOD STIPEND
	H10754	10/26/20	WOE01 (ROBERT L. WOERNER)		200.00	.00	200.00	WOE01, AUG-20 BOD STIPEND
	H10755	10/26/20	BRO03 (KARLA SUE BROWN)		100.00	.00	100.00	BRO03, SEPT-20 BOD STIPEN
	H10756	10/26/20	COO03 (BOB COOMBER)		100.00	.00	100.00	COO03, SEPT-20 BOD STIPEN
	H10757	10/26/20	HAG01 (SCOTT HAGGERTY)		100.00	.00	100.00	HAG01, SEPT-20 BOD STIPEN
	H10758	10/26/20	HAU01 (DAVID HAUBERT)		100.00	.00	100.00	HAU01, SEPT-20 BOD STIPEN
	H10759	10/26/20	PEN01 (JERRY PENTIN)		200.00	.00	200.00	PEN01, SEPT-20 BOD STIPEN
	H10760	10/26/20	WOE01 (ROBERT L. WOERNER)		100.00	.00	100.00	WOE01, SEPT-20 BOD STIPEN
	H10761	10/30/20	BRO03 (KARLA SUE BROWN)		100.00	.00	100.00	BRO03, OCT-20 BOD STIPEND
	H10762	10/30/20	COO03 (BOB COOMBER)		50.00	.00	50.00	COO03, OCT-20 BOD STIPEND
	H10763	10/30/20	HAG01 (SCOTT HAGGERTY)		100.00	.00	100.00	HAG01, OCT-20 BOD STIPEND
	H10764	10/30/20	HAU01 (DAVID HAUBERT)		100.00	.00	100.00	HAU01, OCT-20 BOD STIPEND
	H10765	10/30/20	PEN01 (JERRY PENTIN)		100.00	.00	100.00	PEN01, OCT-20 BOD STIPEND
	H10766	10/30/20	WOE01 (ROBERT L. WOERNER)		100.00	.00	100.00	WOE01, OCT-20 BOD STIPEND
	H10767	10/30/20	NEL01 (NELSON\NYGAARD CONSULTING AS		1,151.81	.00	1,151.81	NEL01, 78511, SEPT-20 LAV
	H10768	10/30/20	NEL01 (NELSON\NYGAARD CONSULTING AS		3,227.60	.00	3,227.60	NEL01, 78195, JULY-20 LAV
	H10769	10/30/20	UBE01 (UBER)		487.00	.00	487.00	UBE01, SEPT-20 BILLING-GO
	H10770	10/26/20	EDW01 (TAMARA EDWARDS)		41.46	.00	41.46	EDW01, 10/21/20 EXPENSE R
	H10771	10/29/20	BAN03 (BANKCARD CENTER)		9,305.48	.00	9,305.48	BAN03, SEPT-20 BOW CC STA
	H10772	10/05/20	CAL15 (CALTRONICS BUSINESS SYS)		75.44	.00	75.44	CAL15, 3084675, BIZHUB 7/
	H10773	10/05/20	CAL15 (CALTRONICS BUSINESS SYS)		172.99	.00	172.99	CAL15, 3103580, BIZHUB 8/
	H10774	10/30/20	CAL15 (CALTRONICS BUSINESS SYS)		101.14	.00	101.14	CAL15, 3121871, BIZHUB 9/
	H10775	10/15/20	MVT01 (MV TRANSPORTATION, INC.)		300,000.00	.00	300,000.00	MVT01, 110285, OCT-20 MV
	H10776	10/30/20	CIT07 (CITY OF LIVERMORE - WATER)		41.10	.00	41.10	CIT07, 138431-00, ATLANTI
	H10777	10/30/20	CIT07 (CITY OF LIVERMORE - WATER)		127.29	.00	127.29	CIT07, 139388-00, BUS WAS
	H10778	10/30/20	PAC02 (PACIFIC GAS AND ELECTRIC)		7,859.03	.00	7,859.03	PAC02, 5809326332-3, MOA
	H10779	10/30/20	PAC02 (PACIFIC GAS AND ELECTRIC)		1,475.27	.00	1,475.27	PAC02, 6062256368-6, ATLA
	H10780	10/30/20	PAC02 (PACIFIC GAS AND ELECTRIC)		1,410.29	.00	1,410.29	PAC02, 7264840356-5, BUS
	H10781	10/30/20	PAC02 (PACIFIC GAS AND ELECTRIC)		123.69	.00	123.69	PAC02, 7649646868-7, DOOL
	H10782	10/30/20	PAC02 (PACIFIC GAS AND ELECTRIC)		188.45	.00	188.45	PAC02, 9007202117-4, MOA
	H10783	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		705.38	.00	705.38	CAL04, 9098655555, MOA WA
	H10784	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		904.90	.00	904.90	CAL04, 0198655555, BUS WA
	H10785	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		51.63	.00	51.63	CAL04, 2575555555, TC FIR
	H10786	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		68.84	.00	68.84	CAL04, 4755555555, MOA FI
	H10787	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		68.84	.00	68.84	CAL04, 5755555555, CONTRA
	H10788	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		32.70	.00	32.70	CAL04, 3616555555, TC WAT
	H10789	10/30/20	CAL04 (CALIFORNIA WATER SERVICE)		687.93	.00	687.93	CAL04, 4616555555, TC IRR
	H10790	10/30/20	EVE01 (EVERYTHING BRANDED USA INC.)		3,250.00	.00	3,250.00	EVE01, INV-046198, MP585

Total for Bank Account 105 -----> 1,203,465.67 .00 1,203,465.67

Grand Total of all Bank Accounts -----> 1,203,465.67 .00 1,203,465.67

Period	Vendor # (Name)	Invoice Number	Invoice Date	Due Date	Disc. Terms	Gross Amount	Description
10-20	A&M01 (LEO LAM INC)	163384	10/23/20	11/22/20	A	355.43	A&M01, 163384, MP571 SIGNS FOR SANTA RITA SH
		162872CORH	10/01/20	10/31/20	A	755.63	A&M01, 162872, MP510 FLOOR DECAL-CORRECTION
		162872REVH	10/01/20	10/31/20	A	755.63	A&M01, 162872, MP510 FLOOR DECALS-REVERSAL
		Vendor's Total ----->				355.43	
10-20	AEC01 (AECOM TECHNICAL SERVICES IN200414937		10/07/20	11/06/20	A	9383.05	AEC01, 412000414937, 8/22-9/25/20 REG BUS PL
10-20	AIM01 (AIM TO PLEASE JANITORIAL SE	1074	08/12/20	09/11/20	A	11796.75	AIM01, 1074, JULY-20 BUS STOP CLEANING SERVI
		1075	09/08/20	10/08/20	A	11796.75	AIM01, 1075, AUG-20 BUS STOP CLEANING SERVIC
		1076	10/07/20	11/06/20	A	11796.75	AIM01, 1076, SEPT-20 BUS STOP CLEANING SERVI
		1077	10/13/20	11/12/20	A	715.00	AIM01, 1077, MP596 POWERWASH-13 BUS STOPS
	62-SEP-20		10/13/20	11/12/20	A	3237.70	AIM01, SEPT-20 MONTHLY JANITORIAL SERVICE
		Vendor's Total ----->				39342.95	
10-20	AME06 (AMERICAN FIDELITY ASSURANCE	FSA07-20H	07/03/20	08/02/20	A	970.80	AME06, JULY-20 FLEXIBLE SPENDING ACCOUNTS
		FSA08-20H	08/04/20	09/03/20	A	970.80	AME06, AUG-20 FLEXIBLE SPENDING ACCOUNTS
		FSA09-20H	09/04/20	10/04/20	A	970.80	AME06, SEPT-20 FLEXIBLE SPENDING ACCOUNTS
		FSA10-20H	10/02/20	11/01/20	A	970.80	AME06, OCT-20 FLEXIBLE SPENDING ACCOUNTS
		SUPP07-20H	07/01/20	07/31/20	A	674.58	AME06, JULY-20 SUPPLEMENTAL INSURANCE
		SUPP08-20H	08/01/20	08/31/20	A	674.58	AME06, AUG-20 SUPPLEMENTAL INSURANCE
		SUPP09-20H	09/01/20	10/01/20	A	674.58	AME06, SEPT-20 SUPPLEMENTAL INSURANCE
		Vendor's Total ----->				5906.94	
10-20	AMP01 (AMP PRINTING INC.)	95655	10/06/20	11/05/20	A	8844.88	AMP01, 95655, MP533 TRANSIT AGENCY OF THE YR
10-20	ART01 (ART'S SECURITY LOCKSMITH)	82916	09/02/20	10/02/20	A	431.45	ART01, 82916, MP499 REKEY ATLANTIS FACILITY
		83002	09/14/20	10/14/20	A	253.79	ART01, 83002, MP509 ATLANTIS KEYS & SERVICE
		83045	09/23/20	10/23/20	A	120.00	ART01, 83045, MP582 REKEY RUTAN GENERAL MGR
		Vendor's Total ----->				805.24	
10-20	ATT02 (AT&T)	15466012	10/13/20	11/12/20	A	404.01	ATT02, 15466012, PAYER #9391035694, 9/13-10/
10-20	ATT03 (AT&T)	715577506	10/19/20	11/18/20	A	946.26	ATT03, 2715577506, OCT-20 INTERNET PRI
10-20	AVI01 (AMADOR VALLEY INDUSTRIES)	847215	09/30/20	10/30/20	A	517.66	AVI01, 847215, SEPT-20 GARBAGE PICK UP SERVI
10-20	BAN03 (BANKCARD CENTER)	AUG-2020CH	10/01/20	10/31/20	A	376.24	BAN03, AUG-20 BOW CC STATEMENT-CORRECTION
		AUG-2020RH	10/01/20	10/31/20	A	376.24	BAN03, AUG-20 BOW CC STATEMENT-REVERSALS
		SEPT-2020H	09/28/20	10/28/20	A	9305.48	BAN03, SEPT-20 BOW CC STATEMENT
		Vendor's Total ----->				9305.48	
10-20	BAY08 (BAY CITY ELECTRIC WORKS)	W231006	09/30/20	10/30/20	A	2127.30	BAY08, W231006, MP488 2020 ANNUAL INSPECT &
10-20	BRO03 (KARLA SUE BROWN)	AUG-2020H	08/30/20	09/29/20	A	200.00	BRO03, AUG-20 BOD STIPEND
		OCT-2020H	10/30/20	11/29/20	A	100.00	BRO03, OCT-20 BOD STIPEND
		JULY-2020H	07/31/20	08/30/20	A	100.00	BRO03, JULY-20 BOD STIPEND
		SEPT-2020H	09/30/20	10/30/20	A	100.00	BRO03, SEPT-20 BOD STIPEND
		Vendor's Total ----->				500.00	
10-20	CAL04 (CALIFORNIA WATER SERVICE)	198091820H	09/18/20	10/18/20	A	904.90	CAL04, 0198655555, BUS WASH 8/19/20-9/16/20
		257092920H	09/29/20	10/29/20	A	51.63	CAL04, 2575555555, TC FIRE 10/1/20-10/31/20
		361093020H	09/30/20	10/30/20	A	32.70	CAL04, 3616555555, TC WATER 8/29/20-9/29/20
		461093020H	09/30/20	10/30/20	A	687.93	CAL04, 4616555555, TC IRRG 8/29/20-9/29/20
		475092920H	09/29/20	10/29/20	A	68.84	CAL04, 4755555555, MOA FIRE 10/1/20-10/31/20
		575092920H	09/29/20	10/29/20	A	68.84	CAL04, 5755555555, CONTRACTOR FIRE 10/1-10/3
		909091720H	09/17/20	10/17/20	A	705.38	CAL04, 9098655555, MOA WATER 8/19/20-9/16/20
		Vendor's Total ----->				2520.22	
10-20	CAL15 (CALTRONICS BUSINESS SYS)	3084675H	08/14/20	09/13/20	A	75.44	CAL15, 3084675, BIZHUB 7/16/20-8/15/20
		3103580H	09/16/20	10/16/20	A	172.99	CAL15, 3103580, BIZHUB 8/16/20-9/15/20
		3121871H	10/16/20	11/15/20	A	101.14	CAL15, 3121871, BIZHUB 9/16/20-10/15/20
		Vendor's Total ----->				349.57	
10-20	CAS01 (LAVTA)	100-DAYS	10/07/20	11/06/20	A	4090.00	CAS01, 100 DAYS PREVENTABLE ACCIDENTS-REWARD
10-20	CIT06 (CITY OF LIVERMORE SEWER)	BW102020	10/20/20	11/19/20	A	43.04	CIT06, 138143-00, BUS WASH 9/15/20-10/20/20
		TC101320	10/13/20	11/12/20	A	34.34	CIT06, 133389-00, TRANSIT CENTER 9/8/20-10/1

Period	Vendor # (Name)	Invoice Number	Invoice Date	Due Date	Disc. Terms	Gross Amount	Description
10-20	CIT06 (CITY OF LIVERMORE SEWER)	MOA102020	10/20/20	11/19/20	A	182.92	CIT06, 133294-00, MOA SEWER 9/15/20-10/20/20
			Vendor's Total ----->			260.30	
10-20	CIT07 (CITY OF LIVERMORE - WATER)	388100620H	10/06/20	11/05/20	A	127.29	CIT07, 139388-00, BUS WASH 9/1/20-10/6/20
		431100620H	10/06/20	11/05/20	A	41.10	CIT07, 138431-00, ATLANTIS IRRG. 9/1/20-10/6
			Vendor's Total ----->			168.39	
10-20	COO03 (BOB COOMBER)	AUG-2020H	08/30/20	09/29/20	A	50.00	COO03, AUG-20 BOD STIPEND
		OCT-2020H	10/30/20	11/29/20	A	50.00	COO03, OCT-20 BOD STIPEND
		JULY-2020H	07/31/20	08/30/20	A	50.00	COO03, JULY-20 BOD STIPEND
		SEPT-2020H	09/30/20	10/30/20	A	100.00	COO03, SEPT-20 BOD STIPEND
			Vendor's Total ----->			250.00	
10-20	COR01 (CORBIN WILLITS SYSTEMS)	C010151	10/15/20	11/14/20	A	264.12	COR01, C010151, OCT-20 SERVICE
		C009151COH	10/01/20	10/31/20	A	15.00	COR01, C009151, SEPT-20 SERVICE RAIL-CORRECT
		C009151REH	10/01/20	10/31/20	A	15.00	COR01, C009151, SEPT-20 SERVICE RAIL-REVERSA
			Vendor's Total ----->			264.12	
10-20	CTE01 (CENTER FOR TRANSPORTATION & SEPT-2020	N0917/20	10/17/20		A	37550.00	CTE01, SEPT-20, PO #7503 LAVTA ON-CALL ZEB C
10-20	DEL05 (ALLIED ADMIN/DELTA DENTAL)	NOV-2020H	09/25/20	10/25/20	A	2350.50	DEL05, NOV-20 DENTAL INSURANCE
		OCT-2020H	08/25/20	09/24/20	A	2471.52	DEL05, OCT-20 DENTAL INSURANCE
			Vendor's Total ----->			4822.02	
10-20	DIR01 (DIRECT TV)	96X201011	10/11/20	11/10/20	A	14.00	DIR01, 025118596X201011, OCT-20 SERVICE
10-20	DIR02 (DIRECT DEPOSIT OF PAYROLL C	20201002H	10/09/20	11/08/20	A	44551.59	DIR02, PR DIRECT DEPOSIT 9/19/20-10/2/2020
		20201016H	10/23/20	11/22/20	A	55269.51	DIR02, PR DIRECT DEPOSIT 10/3/20-10/16/20
			Vendor's Total ----->			99821.10	
10-20	EDW01 (TAMARA EDWARDS)	10-21EXPH	10/21/20	11/20/20	A	41.46	EDW01, 10/21/20 EXPENSE REIMBURSE-FOOD FOR C
10-20	EFT01 (ELECTRONIC FUND TRANFERS)	20201002H	10/09/20	11/08/20	A	8882.71	EFT01, FEDERAL TAX 9/19/20-10/2/20
		20201016H	10/23/20	11/22/20	A	12950.57	EFT01, FEDERAL TAX 10/3/20-10/16/20
			Vendor's Total ----->			21833.28	
10-20	EME01 (BRIGHTVIEW LANDSCAPE SERVIC	7018807	10/01/20	10/31/20	A	1263.00	EME01, 7018807, OCT-20 LANDSCAPING SERVICE
		7053982	10/21/20	11/20/20	A	168.99	EME01, 7053982, MP600 ATLANTIS IRRG. REPAIRS
			Vendor's Total ----->			1431.99	
10-20	EMP01 (EMPLOYMENT DEVEL DEPT)	20201002H	10/09/20	11/08/20	A	3106.30	EMP01, STATE TAX 9/19/20-10/2/20
		20201016H	10/23/20	11/22/20	A	4171.84	EMP01, STATE TAX 10/3/20-10/16/20
			Vendor's Total ----->			7278.14	
10-20	EVE01 (EVERYTHING BRANDED USA INC.INV046198H		10/16/20	11/15/20	A	3250.00	EVE01, INV-046198, MP585 BACKPACKS-AGENCY OF
10-20	FAS02 (FASTENAL)	LIV107700	09/16/20	10/16/20	A	95.27	FAS02, CALIV107700, MP532 5/8 x 3 1/2 WEDGE
		LIV107835	09/22/20	10/22/20	A	95.27	FAS02, CALIV107835, MP541 5/8 x 3 1/2 WEDGE
		LIV107920	09/29/20	10/29/20	A	1436.35	FAS02, CALIV107920, MP544 9/28/2020 SUPPLIES
		LIV108012	10/01/20	10/31/20	A	2763.28	FAS02, CALIV108012, MP551 FTSTUD-104 QTY BRT
		LIV108092	10/05/20	11/04/20	A	148.10	FAS02, CALIV108092, MP581 WEDGE ANCHORS 60 Q
		LIV108171	10/08/20	11/07/20	A	71.45	FAS02, CALIV108171, MP565 WEDGE ANCHORS 60 Q
		LIV108279	10/14/20	11/13/20	A	71.45	FAS02, CALIV108279, MP578 WEDGE ANCHORS 60 Q
			Vendor's Total ----->			4681.17	
10-20	FED01 (FedEx)	715351297	10/16/20	11/15/20	A	193.86	FED01, 7-153-51297, OCT-20 STATEMENT
10-20	GRA01 (GRANDFLOW INC)	152015	10/13/20	11/12/20	A	351.34	GRA01, 152015, MP605 RAIL AP CHECK STOCK-250
10-20	GTT01 (GLOBAL TRAFFIC TECHNOLOGIES	54802	09/15/20	10/15/20	A	80400.00	GTT01, 54802, PO #7495 OPTICOM INTERSECTION
10-20	HAG01 (SCOTT HAGGERTY)	AUG-2020H	08/30/20	09/29/20	A	200.00	HAG01, AUG-20 BOD STIPEND
		OCT-2020H	10/30/20	11/29/20	A	100.00	HAG01, OCT-20 BOD STIPEND

LAVTA
 Month End Payable Activity Report
 Prior Period Report for 10-20

Period	Vendor # (Name)	Invoice Number	Invoice Date	Due Date	Disc. Terms	Gross Amount	Description
10-20	HAG01 (SCOTT HAGGERTY)	JULY-2020H SEPT-2020H	07/31/20 09/30/20	08/30/20 10/30/20	A A	100.00 100.00	HAG01, JULY-20 BOD STIPEND HAG01, SEPT-20 BOD STIPEND
		Vendor's Total ----->				500.00	
10-20	HAN01 (HANSON BRIDGETT MARCUS)	1275009 1276794 1276795	09/22/20 10/15/20 10/15/20	10/22/20 11/14/20 11/14/20	A A A	4605.50 1204.50 1660.00	HAN01, 1275009, AUG-20 ADMIN LEGAL FEES HAN01, 1276794, SEPT-20 CONTRACT LEGAL FEES HAN01, 1276795, SEPT-20 ADMIN LEGAL FEES
		Vendor's Total ----->				7470.00	
10-20	HAU01 (DAVID HAUBERT)	AUG-2020H OCT-2020H JULY-2020H SEPT-2020H	08/30/20 10/30/20 07/31/20 09/30/20	09/29/20 11/29/20 08/30/20 10/30/20	A A A A	200.00 100.00 100.00 100.00	HAU01, AUG-20 BOD STIPEND HAU01, OCT-20 BOD STIPEND HAU01, JULY-20 BOD STIPEND HAU01, SEPT-20 BOD STIPEND
		Vendor's Total ----->				500.00	
10-20	HER05 (MELISSA HERNANDEZ STRAH)	AUG-2020 OCT-2020 JULY-2020 SEPT-2020	08/30/20 10/30/20 07/31/20 09/30/20	09/29/20 11/29/20 08/30/20 10/30/20	A A A A	200.00 100.00 100.00 200.00	HER05, AUG-20 BOD STIPEND HER05, OCT-20 BOD STIPEND HER05, JULY-20 BOD STIPEND HER05, SEPT-20 BOD STIPEND
		Vendor's Total ----->				600.00	
10-20	HOT01 (HOTSYPACIFIC)	70138	10/16/20	11/15/20	A	721.93	HOT01, 70138, MF592 BUS WASH SERVICE CALL 10
10-20	JTH01 (J. THAYER COMPANY)	1484195-0	10/20/20	11/19/20	A	185.09	JTH01, 1484195-0, 10/20/20 PRINTING PAPER
10-20	KIM02 (KIMLEY-HORN AND ASSOC, INC)	17284914	09/30/20	10/30/20	A	25192.55	KIM02, 17284914, TASK 4 LAVTA'S ATLANTIS FAC
10-20	LYF01 (LYFT, INC)	66707 66708 68799 68800	08/31/20 08/31/20 09/30/20 09/30/20	09/30/20 09/30/20 10/30/20 10/30/20	A A A A	5.00 1944.43 1914.73 42.36	LYF01, 66707, AUG-20 CODE: GOSANRAMON LYF01, 66708, AUG-20 CODE: GOTRIVALLEY LYF01, 68799, SEPT-20 CODES: GODUBLIN & GOTR LYF01, 68800, SEPT-20 CODE: GOSANRAMON
		Vendor's Total ----->				3906.52	
10-20	MAP01 (MAPISTRY)	INV-3496	10/07/20	11/06/20	A	6722.00	MAP01, INV-3496, PO #7517 STORMWATER ANNUAL
10-20	MER01 (MERCHANT SERVICES)	TC093020H MOA093020H	10/01/20 10/01/20	10/31/20 10/31/20	A A	45.41 25.41	MER01, SEPT-20 TRANSIT CENTER CC STATEMENT MER01, SEPT-20 MOA CC STATEMENT
		Vendor's Total ----->				70.82	
10-20	MTM01 (MEDICAL TRANSPORTATION MANA)	AUG-2020H	09/03/20	10/03/20	A	57712.85	MTM01, AUG-20 MONTHLY SERVICE
10-20	MUT01 (MUTUAL OF OMAHA)	NOV-2020H OCT-2020H SEPT-2020H	10/14/20 09/15/20 08/14/20	11/13/20 10/15/20 09/13/20	A A A	1188.34 1188.34 1188.34	MUT01, NOV-20 LIFE & LTD INSURANCE MUT01, OCT-20 LIFE & LTD INSURANCE MUT01, SEPT-20 LIFE & LTD INSURANCE
		Vendor's Total ----->				3565.02	
10-20	MVT01 (MV TRANSPORTATION, INC.)	110285H 110286H AUG-2020H	10/03/20 10/06/20 09/03/20	11/02/20 11/05/20 10/03/20	A A A	300000.00 300000.00 15431.11	MVT01, 110285, OCT-20 MV 1ST INSTALL PAYMENT MVT01, 110286, OCT-20 MV 2ND INSTALL PAYMENT MVT01, AUG-20 FIXED ROUTE MONTHLY SERVICE
		Vendor's Total ----->				615431.11	
10-20	NEL01 (NELSON\NYGAARD CONSULTING A	78195H 78339H 78511H	08/25/20 09/25/20 10/27/20	09/24/20 10/25/20 11/26/20	A A A	3227.60 1827.93 1151.81	NEL01, 78195, JULY-20 LAVTA SRTP/LRTP, 7/1-7 NEL01, 78339, AUG-20 LAVTA SRTP/LRTP 8/1-8/2 NEL01, 78511, SEPT-20 LAVTA SRTP/LRTP, 8/29-
		Vendor's Total ----->				6207.34	
10-20	OAK01 (OAKS BUSINESS PK OWNERS)	4QTR-2020H	10/01/20	10/31/20	A	3378.00	OAK01, 4TH QTR BUSINESS PARK DUES 2020-FY21
10-20	OFF01 (OFFICE DEPOT)	506959001	10/23/20	11/22/20	A	71.38	OFF01, 132506959001, 10/22/20 OFFICE SUPPLIE
10-20	PAC01 (AT&T)	ATT 09/20H ATT090720H ATT091120H ATT091320H	09/13/20 09/07/20 09/11/20 09/13/20	10/13/20 10/07/20 10/11/20 10/13/20	A A A A	183.67 33.03 351.43 339.25	PAC01, ACCT #925-245-0576, 9/13/20-10/12/20 PAC01, ACCT #232-351-6260, CONTRACTOR FIRE 9/7 PAC01, ACCT #436-951-0106, ATLANTIS T1 9/11-10 PAC01, ACCT #925-243-9029, ATLANTIS ALARM 9/13
		Vendor's Total ----->				907.38	

REPORT.: Nov 18 20 Wednesday
 RUN....: Nov 18 20 Time: 13:15
 Run By.: Daniel Zepeda

LAVTA
 Month End Payable Activity Report
 Prior Period Report for 10-20

PAGE: 004
 ID #: PY-AC
 CTL.: WHE

Period	Vendor # (Name)	Invoice Number	Invoice Date	Due Date	Disc. Terms	Gross Amount	Description
10-20	PAC02 (PACIFIC GAS AND ELECTRIC)	580100620H	10/06/20	11/05/20	A	7859.03	PAC02, 5809326332-3, MOA ELECTRIC 8/31-9/29/
		606100220H	10/02/20	11/01/20	A	1475.27	PAC02, 6062256368-6, ATLANTIS 8/27/20-9/27/2
		726092520H	09/25/20	10/25/20	A	1410.29	PAC02, 7264840356-5, BUS STOPS 8/20/20-9/20/
		764091720H	09/17/20	10/17/20	A	123.69	PAC02, 7649646868-7, DOOLAN TWR 8/12/20-9/10
		900091320H	09/13/20	10/13/20	A	188.45	PAC02, 9007202117-4, MOA GAS 8/13/20-9/11/20
		Vendor's Total ----->				11056.73	
10-20	PAC11 (PACIFIC ENVIROMENTAL SERV)	1942	10/04/20	11/03/20	A	120.00	PAC11, 1942, SEPT-20 RUTAN MONTHLY SERVICE
		1943	10/04/20	11/03/20	A	120.00	PAC11, 1943, SEPT-20 ATLANTIS MONTHLY SERVIC
		Vendor's Total ----->				240.00	
10-20	PAC16 (PACIFIC COAST TRANE)	S104280	09/30/20	10/30/20	A	1698.40	PAC16, S104280, MP591 HVAC CLEANING SERV CAL
		S104388	10/15/20	11/14/20	A	544.13	PAC16, S104388, MP579 REPLACE HVAC AIR FILTE
		Vendor's Total ----->				2242.53	
10-20	PEN01 (JERRY PENTIN)	AUG-2020H	08/30/20	09/29/20	A	200.00	PEN01, AUG-20 BOD STIPEND
		OCT-2020H	10/30/20	11/29/20	A	100.00	PEN01, OCT-20 BOD STIPEND
		JULY-2020H	07/31/20	08/30/20	A	100.00	PEN01, JULY-20 BOD STIPEND
		SEPT-2020H	09/30/20	10/30/20	A	200.00	PEN01, SEPT-20 BOD STIPEND
		Vendor's Total ----->				600.00	
10-20	PER01 (PERS)	20201002CH	10/09/20	11/08/20	A	3900.38	PER01, PERS CLASSIC CONTRIBUTIONS 9/19-10/2/
		20201002NH	10/09/20	11/08/20	A	4459.69	PER01, PERS NEW CONTRIBUTIONS 9/19/20-10/2/2
		20201016CH	10/23/20	11/22/20	A	3900.38	PER01, PERS CLASSIC CONTRIBUTION 10/3/20-10/
		20201016NH	10/23/20	11/22/20	A	4459.69	PER01, PERS NEW CONTRIBUTION 10/3/20-10/16/2
		Vendor's Total ----->				16720.14	
10-20	PER03 (CAL PUB EMP RETIRE SYSTM)	NOV-2020H	10/14/20	11/13/20	A	36354.51	PER03, NOV-20 HEALTH INSURANCE
		OCT-2020CH	10/01/20	10/31/20	A	770.33	PER03, OCT-20 HEALTH INSURANCE-RAIL CORRECTI
		OCT-2020RH	10/01/20	10/31/20	A	770.33	PER03, OCT-20 HEALTH INSURANCE-RAIL REVERSAL
		Vendor's Total ----->				36354.51	
10-20	PER04 (CALPERS RETIREMENT SYSTEM)	20201002H	10/09/20	11/08/20	A	2110.07	PER04, PERS 457 CONTRIBUTIONS 9/19/20-10/2/2
		20201016H	10/23/20	11/22/20	A	2112.61	PER04, PERS 457 CONTRIBUTION 10/3/20-10/16/2
		Vendor's Total ----->				4222.68	
10-20	PLA02 (PLANETERIA MEDIA LLC)	17872	10/15/20	11/14/20	A	325.00	PLA02, 17872, WEB HOSTING OCT-20
10-20	RIC03 (RICHARD MILLER)	2020-101H	08/26/20	09/25/20	A	2137.00	RIC03, 2020-101, MP548 EMERGENCY SUPPORT:VPN
10-20	SCF01 (SC FUELS)	4428476	10/02/20	11/01/20	A	12785.80	SCF01, 4428476, 10/2/20 FUEL DELIVERY
		4443527	10/20/20	11/19/20	A	13318.65	SCF01, 4443527, 10/20/20 FUEL DELIVERY
		Vendor's Total ----->				26104.45	
10-20	SHI02 (SHI INTERNATIONAL CORP)	B1220724CH	10/01/20	10/31/20	A	1500.00	SHI02, B12207243, MP493 ESET VIRUS-CORRECTIO
		B1220724RH	10/01/20	10/31/20	A	1500.00	SHI02, B12207243, MP493 ESET VIRUS-REVERSAL
		Vendor's Total ----->				.00	
10-20	SOL01 (SOLUTIONS FOR TRANSIT)	20-1005LA	10/05/20	11/04/20	A	2083.33	SOL01, 20-1005LAVTA, SEPT-20 CLIPPER ANALYSI
10-20	STA01 (STATE COMPENSATION FUND)	OCT-2020H	09/21/20	10/21/20	A	1395.33	STA01, OCT-20 WORKER'S COMP PREMIUM
		SEPT-2020H	08/21/20	09/20/20	A	1395.33	STA01, SEPT-20 WORKER'S COMP PREMIUM
		Vendor's Total ----->				2790.66	
10-20	STA04 (STATE BOARD OF)	QTR3-2020H	10/23/20	11/22/20	A	1054.00	STA04, 2020 QTR 3 STORAGE TANK MAINTENANCE T
10-20	STA05 (STATE BOARD OF EQUAL)	QTR3-2020H	10/23/20	11/22/20	A	691.00	STA05, 2020 QTR 3 EXEMPT BUS OPERATOR FUEL T
10-20	STA13 (STAPLES CREDIT PLAN)	OCT-2020H	10/09/20	11/08/20	A	79.19	STA13, OCT-20 CC STATEMENT
		SEPT-2020H	09/08/20	10/08/20	A	264.50	STA13, SEPT-20 CC STATEMENT
		Vendor's Total ----->				343.69	
10-20	TAX07 (ASMA SYEDA)	10-6-20H	10/15/20	11/14/20	A	10.52	TAX07, PARATAXI REIMBURSE 10/6/20

REPORT.: Nov 18 20 Wednesday
 RUN....: Nov 18 20 Time: 13:15
 Run By.: Daniel Zepeda

LAVTA
 Month End Payable Activity Report
 Prior Period Report for 10-20

PAGE: 005
 ID #: PY-AC
 CTL.: WHE

Period	Vendor # (Name)	Invoice Number	Invoice Date	Due Date	Disc. Terms	Gross Amount	Description
10-20	TAX67 (CHRISTEL RAGER)	0901-0929H	10/15/20	11/14/20	A	192.10	TAX67, PARATAXI REIMBURSE 9/1/20-9/29/20
10-20	TEL01 (TPx COMMUNICATIONS)	134943351	09/30/20	10/30/20	A	2720.75	TEL01, 134943351-0, 10/1/20-10/31/20 SERVICE
10-20	TRA04 (TOAN TRAN)	10-15-20PH	10/15/20	11/14/20	A	66.00	TRA04, SUNLINE TRANSIT TRIP PER DIEM 10/15/2
10-20	TX205 (MUHAMMAD ALI)	0805-0928	10/30/20	11/29/20	A	178.20	TX205, PARATAXI REIMBURSE 8/5/20-9/28/20
10-20	TX212 (LINDA WAHLE)	0901-0930	10/30/20	11/29/20	A	95.18	TX212, PARATAXI REIMBURSE 9/1/20-9/30/20
10-20	TX228 (DEBORAH BUTLER)	0815-1009	10/15/20	11/14/20	A	85.05	TX228, PARATAXI REIMBURSE 8/15/20-10/9/20
		0822-0828H	10/05/20	11/04/20	A	65.88	TX228, PARATAXI REIMBURSE 8/22/20-8/28/20
		Vendor's Total ----->				150.93	
10-20	UBE01 (UBER)	AUG-2020H	09/01/20	10/01/20	A	468.53	UBE01, AUG-20 BILLING - GO DUBLIN
		SEPT-2020H	09/30/20	10/30/20	A	487.00	UBE01, SEPT-20 BILLING-GO DUBLIN
		Vendor's Total ----->				955.53	
10-20	VER01 (VERIZON WIRELESS)	861341215H	08/22/20	09/21/20	A	1786.72	VER01, 9861341215, 7/23-8/22/20 CELL & WIFI
		863420212H	09/22/20	10/22/20	A	1629.93	VER01, 9863420212, 8/23-9/22/20 CELL & WIFI
		Vendor's Total ----->				3416.65	
10-20	VSP01 (VSP)	OCT-2020H	09/20/20	10/20/20	A	587.98	VSP01, OCT-20 VISION INSURANCE
10-20	WOE01 (ROBERT L. WOERNER)	AUG-2020H	08/30/20	09/29/20	A	200.00	WOE01, AUG-20 BOD STIPEND
		OCT-2020H	10/30/20	11/29/20	A	100.00	WOE01, OCT-20 BOD STIPEND
		JULY-2020H	07/31/20	08/30/20	A	200.00	WOE01, JULY-20 BOD STIPEND
		SEPT-2020H	09/30/20	10/30/20	A	100.00	WOE01, SEPT-20 BOD STIPEND
		Vendor's Total ----->				600.00	
10-20	ZIL01 (ZILLA CORPORATION)	30297	10/07/20	11/06/20	A	6373.96	ZIL01, 30297, NEW BUS STOP SIGN POLES 10/7/2
		Total of Purchases ->				1203465.67	

AGENDA

ITEM 5C

STAFF REPORT

SUBJECT: Solicit Public Input on COVID Related Service Reductions

FROM: Tony McCaulay, Director of Planning and Marketing

DATE: December 7, 2020

Action Requested

The Projects and Services Committee recommends that the Board of Directors open a public comment period regarding emergency service changes that have been implemented as a result of reduced ridership attributable to the COVID-19 pandemic.

Background

LAVTA's Public Hearing Policies and Procedures, approved by the LAVTA Board in December 2008 (Attachment 1), sets forth specific circumstances under which a public input process should be conducted as a result of service or fare changes. Typically, any service change affecting more than 25 percent of the daily miles of service operated on a route would trigger the necessity of a public input process.

The policy provides exceptions for minor changes in fares or service or for emergency service changes expected to last less than 180 days. If the changes ultimately continue to remain in effect for more than 180 days, they are then subject to the requirement for a public input process. LAVTA's service reductions implemented as a result of the COVID-19 pandemic have now been in place for more than 180 days.

Discussion

Shortly after Alameda County's Shelter in Place Order went into effect in mid-March, staff developed five levels of service reductions that might be implemented as a result of impacts related to COVID-19. Those service levels are described in Attachment 2. In early April, Service Level 3 was implemented and has remained in effect since that time. In August, two standby overload buses were added, one each at the East Dublin/Pleasanton BART Station and one at the downtown Livermore Transit Center. These buses are activated into service whenever passenger loads create social distancing challenges on an in-service bus.

Given the current status of the pandemic, staff does not foresee any major changes to the current service levels for several months at a minimum, barring any significant changes. Ridership has held steady for several months, Las Positas College has decided that the entire school year will be by remote learning and there are no plans for middle or high schools to resume in person classes in the near future. Additional standby overload buses may be put in service if warranted.

A transition to Service Level 4 would likely only be triggered by either a significant reduction in retail activity or other restrictions imposed by the county health officer.

Next Steps

Staff proposes that the public comment period commence upon Board action on December 7 and continue through Friday January 8, 2021. During the public comment period, LAVTA Staff will publish a notice regarding the nature of the public input process in the Pleasanton Weekly and The Independent. Staff will also solicit passenger input via the following channels: a press release, signage on all buses and posts on the wheelsbus.com website and social media channels.

Input received during the public input process will be summarized and presented to the Projects and Services Committee in January and to the full Board at their February 1 meeting. Any staff recommendations resulting from the public input process will also be presented to the committee.

Recommendation

The Projects and Services Committee recommends that the Board of Directors open a public comment period regarding emergency service changes that have been implemented as a result of reduced ridership attributable to the COVID-19 pandemic.

Attachments:

1. LAVTA's Public Hearing Policies and Procedures
2. LAVTA's Five-Level COVID Related Service Impact Plan

Approved: _____

ATTACHMENT 1: LAVTA'S PUBLIC PARTICIPATION PLAN**PUBLIC HEARING POLICIES AND PROCEDURES****Adopted December 1, 2008****I. BACKGROUND**

The Livermore Amador Valley Transit Authority (LAVTA) is required by Federal law to establish a policy which describes a process to solicit and consider public comment prior to raising fares or implementing a major reduction of transit services.

II. LAVTA POLICY

1. It shall be LAVTA's policy that public comments be solicited prior to:

- (i) Any permanent change which increases fares on LAVTA's/WHEELS fixed route service.
- (ii) Any permanent change which increases fares on LAVTA's Dial-A-Ride paratransit service.
- (iii) A twenty-five percent (25%) or more reduction of the number of daily transit revenue vehicles of a route; i.e., the total number of miles operated by all vehicles in revenue service for a particular day of the week on an individual route.
- (iv) A twenty-five percent (25%) or more reduction of the number of transit route miles of a route; i.e., the total mileage covered during the one round trip by a vehicle in revenue service on a particular route.
- (v) Proposed introduction of a new route.

2. It shall be LAVTA's policy that the following are ordinarily exempt from the requirement of public comment and public hearing:

- (i) A minor change in fare or service. Examples would be temporarily reduced or promotional fares, minor reroutes or minor temporary reroutes due to street construction or minor schedule changes.
- (ii) Experimental or emergency service or fare changes expected to exist fewer than 180 days and standard seasonal variation in service. If these changes ultimately continue to remain in effect for more than 180 days, they will be the subject of public comment and public hearing.

III. PROCEDURES**1. PRIOR COMMITTEE CONSIDERATION**

All public hearings are to be called by a LAVTA Committee or the Board of Directors. However, when authorized by the Chair, the Executive Director may call a public hearing that is required by law or by District policy when doing so would move the process forward in a timely manner.

ATTACHMENT 1: LAVTA'S PUBLIC PARTICIPATION PLAN

As a general rule, no hearing will be called until the subject of the hearing has been reviewed by the Operations Committee. In particular with regard to the proposed implementation of a new or revised route, LAVTA staff will recommend to the Operations Committee, as well as to Board Members from affected cities that do not serve on the Operations Committee, the specific element(s) in the Public Outreach Toolbox (see attachment) to use for the public hearing.

The Operations Committee report to the Board should identify the subject of the hearing, explain what objectives are sought to be achieved by the proposal which will be considered at the hearing and indicate whether the hearing is legally required prior to Board action on the subject. The report shall also address whether there is a particular sector of the public that needs to be involved. However, if time does not permit prior committee consideration, the Executive Director may refer the matter directly to the Board.

2. PUBLIC NOTIFICATION

When required, the public comment process will generally begin with the publishing of a notice 30 calendar days in advance of the public hearing date in the local newspaper of general distribution. Shorter notice may be given when permitted by law and when financial, operational, or scheduling considerations make it infeasible to provide 30 days advance notice. At a minimum, the notice must be published at least 10 days prior to the hearing. LAVTA will also post the notice publicizing the hearing on its website.

If specific groups or neighborhoods would be affected by a proposed change, LAVTA shall use best efforts to publish the notice in newspapers, if any, oriented to such groups or neighborhoods and to otherwise publicize the hearing to reach such groups or neighborhoods.

This notice will set a specific place, date and time for one or more public hearings. Written comments will also be accepted on the proposed changes until the opening of the public hearing.

3. SCHEDULING PUBLIC HEARING(S)

The public hearing(s) will be scheduled at a time, date and place designated in the public notice. The facility utilized for public hearings will be accessible to persons with disabilities. Special arrangements will be made for sight or hearing impaired persons if requested.

4. PROCEDURE FOR CONDUCTING PUBLIC HEARING

Forms will be available to attendees to register their presence and desire to speak. Public hearings will begin with a reading of the public notice, purpose and

ATTACHMENT 1: LAVTA'S PUBLIC PARTICIPATION PLAN

proposed action which necessitated the public hearing. After an explanation of the proposed action is completed, the public will be invited to offer their comment. Limitations may be established on the length of oral presentations in order to afford all members of the public a reasonable opportunity to speak. After all registered persons have commented, a final opportunity will be offered for any additional public comment. This offering will precede the close of the public hearing.

At the close of the public hearing, it will be announced where the item will next be heard, either before a committee or the Board. At the subsequent committee or Board meeting, the Executive Director will provide a report summarizing and responding to key comments made by the public.

5. ADDRESSING PUBLIC COMMENTS RECEIVED

All relevant comments received verbally or in writing at a public hearing, or as otherwise conveyed to LAVTA prior to the established deadline, will be entered into the public record of the comment process. Additionally, comments regarding route changes submitted by the public subsequent to the last service change shall be entered into the public record. Subsequent to the public comment period, staff will evaluate and analyze all relevant comments received and prepare a written summary report of significant issues raised during the public comment period for consideration by the LAVTA Board of Directors.

6. SUBSEQUENT BOARD CONSIDERATION AND ACTION

Consideration of and action on all fare increase or major changes in service held at a subsequent committee or Board meeting after the public hearing shall not require further published notice. Notice of the agenda of such committee or Board meeting shall be provided in accordance with regular LAVTA procedures.

LAVTA Five-Level COVID Related Service Impact Plan

Service Level 1: Regular service, no disruptions, schools closed

- All Wheels and Rapid buses operating on regular schedules
- Dial-a-Ride Paratransit, Para-taxi and GoDublin still available
- Supplemental school routes discontinued until school resumes

Service Level 2: Frequency reductions on Rapid Routes, other reductions

- Rapid Routes 10R and 30R will operate on a 30-minute frequency during hours when 15-minute frequency is normally offered
- Routes 20X and 580X will not operate due to extremely low ridership; alternate service available using Route 30R
- Route 2 will not operate due to extremely low ridership; alternate service available using LAVTA's Go Tri-Valley program
- Routes 53 and 54 continue to operate subject to continuation of ACE service
- Dial-a-Ride Paratransit, Para-taxi and Go Tri-Valley still available

Service Level 3: Weekend service schedules except for Rapid routes

- Rapid Routes 10R and 30R will continue to operate at the Service Level 2 frequencies, on a 30-minute frequency during hours when 15-minute frequency is normally offered
- Routes 1, 3, 8, 14 and 15 will operate on weekend schedules
- Route 2, 11, 20X, 70X and 580X will not operate
- All service after 11pm discontinued
- Routes 53 and 54 continue to operate subject to continuation of ACE service
- Dial-a-Ride Paratransit, Para-taxi and Go Tri-Valley still available

Service Level 4: Additional service frequency reductions

- No changes to service frequencies on Rapid Routes 10R and 30R
- Weekend service level continues on Routes 1 and 15
- Routes 3, 8 and 14 will operate during peak hours only
- Routes 2, 11, 20X, 70X and 580X continue to be suspended
- No service after 11pm continues
- Routes 53 and 54 continue to operate subject to continuation of ACE service
- Dial-a-Ride Paratransit, Para-taxi and Go Tri-Valley still available

Service Level 5: No service

- All service discontinued due to public health mandates or other circumstances beyond our control

AGENDA

ITEM 6

STAFF REPORT

SUBJECT: Public Transportation Agency Safety Plan

FROM: Toan Tran, Director of Operations and Innovation

DATE: December 7, 2020

Actions Requested

Approve LAVTA Safety Management System (SMS) and adopt the Public Transportation Agency Safety Plan (PTASP) as required by the Federal Transit Administration. Approve the revised job description for Director of Operations and Innovation.

Background

The Federal Transit Administration (FTA) requires that public transportation systems receiving federal funds develop a Public Transportation Agency Safety Plan that includes the processes and procedures to implement a Safety Management System. An SMS is a comprehensive approach to bringing management and labor together to control risk better, detect and correct safety problems earlier, and measure safety performance more precisely. The rule (49 CFR Part 673) went into effect on July 19, 2019 with a compliance date of December 31, 2020.

The PTASP is based on the SMS approach, which includes four key pillars:

1. Safety Management Policy
2. Safety Risk Management
3. Safety Assurance
4. Safety Promotion

The PTASP is a required document that must be updated and submitted to the FTA annually. It formalizes and codifies LAVTA existing safety practices in one comprehensive document.

The FTA PTASP final rule also requires that the agency designate a Chief Safety Officer who will report directly to the Executive Director/Accountable Executive.

Discussion

A presentation will be provided by staff to go into the PTASP and SMS in more detail. For your information, only Exhibits 1-2 of 6.5 *PTASP Exhibits* and 6.4 *PTASP Report* will require board approval.

Recommendation

Approve the SMS and PTASP and designate a Chief Safety Officer as required by the Federal Transit Administration and adopt Resolution 32-2020. Approve the revised job description in order to streamline the current operations oversight duties of the Director of Operations and Innovation with the additional safety oversight responsibilities of the Chief Safety Officer.

Attachments:

1. PTASP Presentation
2. PTASP Resolution
3. PTASP Report
4. PTASP Exhibit 1-10
5. Revised Job Description for Director of Operations and Innovation

Approved: _____

Public Transportation Agency Safety Plan (PTASP)

**December 7, 2020
Board of Directors Meeting**

wheelsbus.com

Livermore Amador Valley
TRANSIT AUTHORITY



Background

- FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule in July 2018
- PTASP Rule requires Transit Agencies to develop safety plans that include Safety Management Systems (SMS) with processes and procedures
- Plan certified by December 31, 2020

Objectives of PTASP

- Implement SMS in a manner that meets LAVTA's safety performance targets and objectives.
- Establish meeting or committee structure necessary for LAVTA to ensure that safety information moves up, down, and across the agency.
- Meet or exceed federal and state requirements in all areas of safety.
- Enforce procedures and requirements that integrate safety into decision-making and operations

Four Pillars of a Safety Management System



Safety Management
Policy

Risk
Management

Safety
Assurance

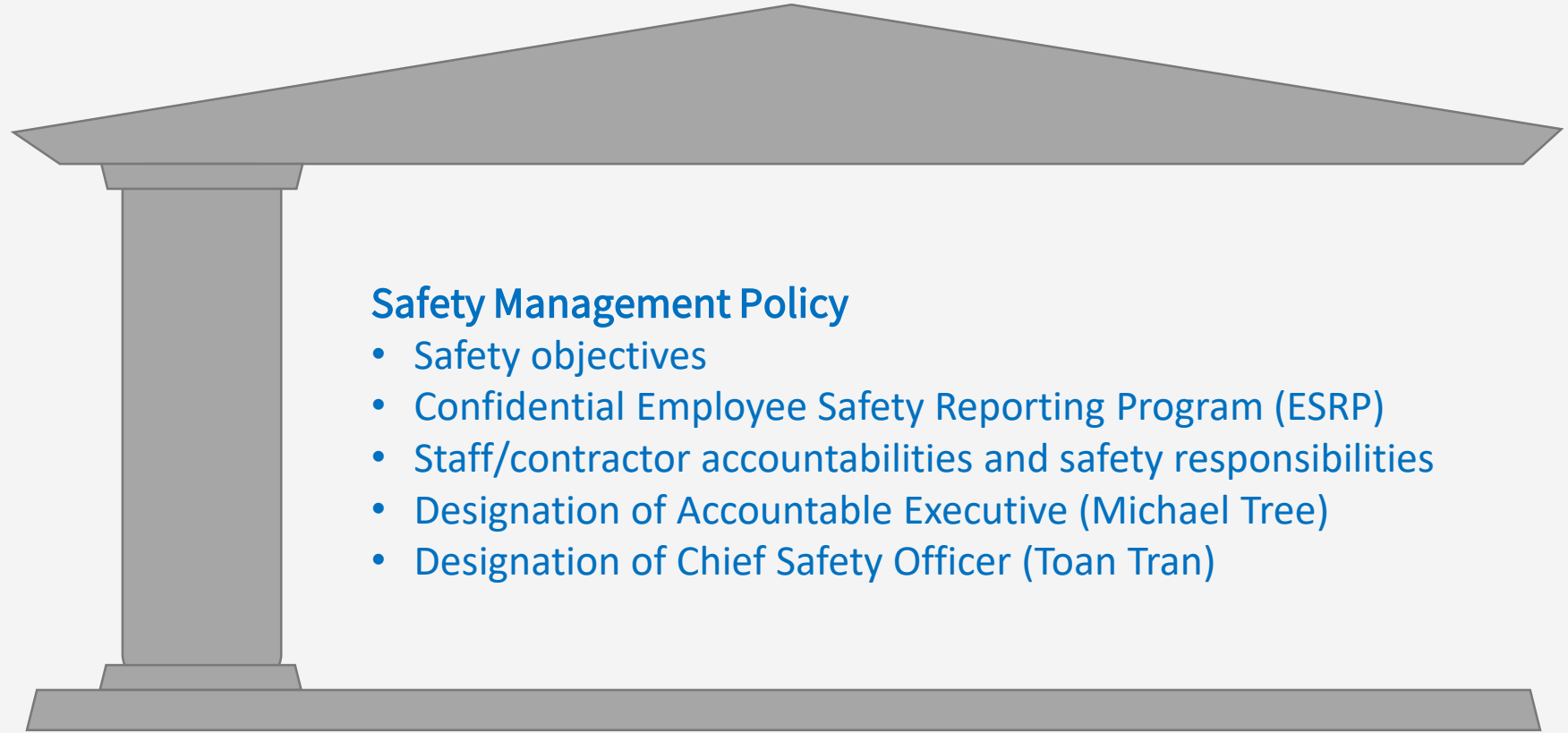
Safety
Promotion

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Livermore Amador Valley
TRANSIT AUTHORITY



Four Pillars of a Safety Management System



Safety Management Policy

- Safety objectives
- Confidential Employee Safety Reporting Program (ESRP)
- Staff/contractor accountabilities and safety responsibilities
- Designation of Accountable Executive (Michael Tree)
- Designation of Chief Safety Officer (Toan Tran)

Four Pillars of a Safety Management System



Safety Risk Management

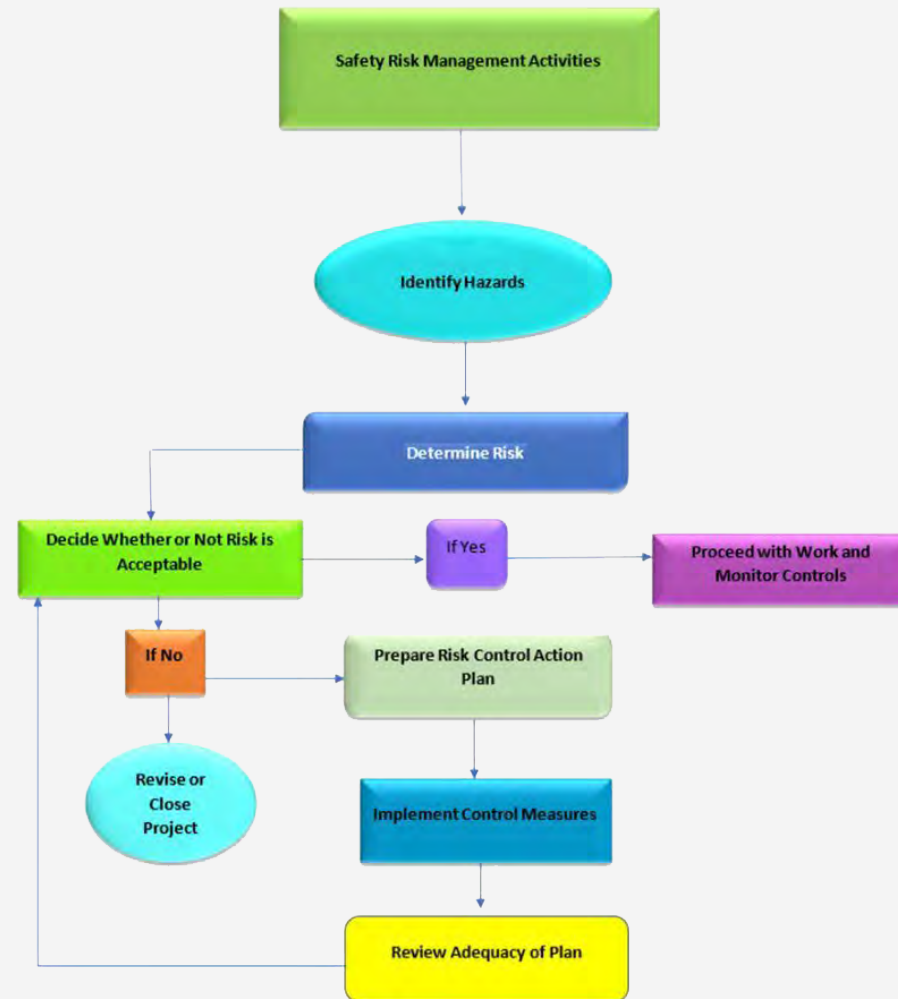
Frequency	Severity			
	1 Catastrophic	2 Critical	3 Marginal	4 Negligible
A – Frequent	1/A	2/A	3/A	4/A
B – Probable	1/B	2/B	3/B	4/B
C – Occasional	1/C	2/C	3/C	4/C
D – Remote	1/D	2/D	3/D	4/D
E – Improbable	1/E	2/E	3/E	4/E

HAZARD RESOLUTION TABLE

Severity / Frequency	Resolution
1/A 1/B 1/C 2/A 2/B 3/A	Unacceptable—correction required.
1/D 2/C 2/D 3/B 3/C	Unacceptable—correction may be required after review by CEO.
1/E 2/E 3/D 3/E 4/A 4/B	Acceptable—with review by CEO.
4/C 4/D 4/E	Acceptable—without review.

Safety Committee will use a Risk Assessment Matrix to help determine mitigation and get ahead of risks

Safety Risk Management Flow Chart



Four Pillars of a Safety Management System

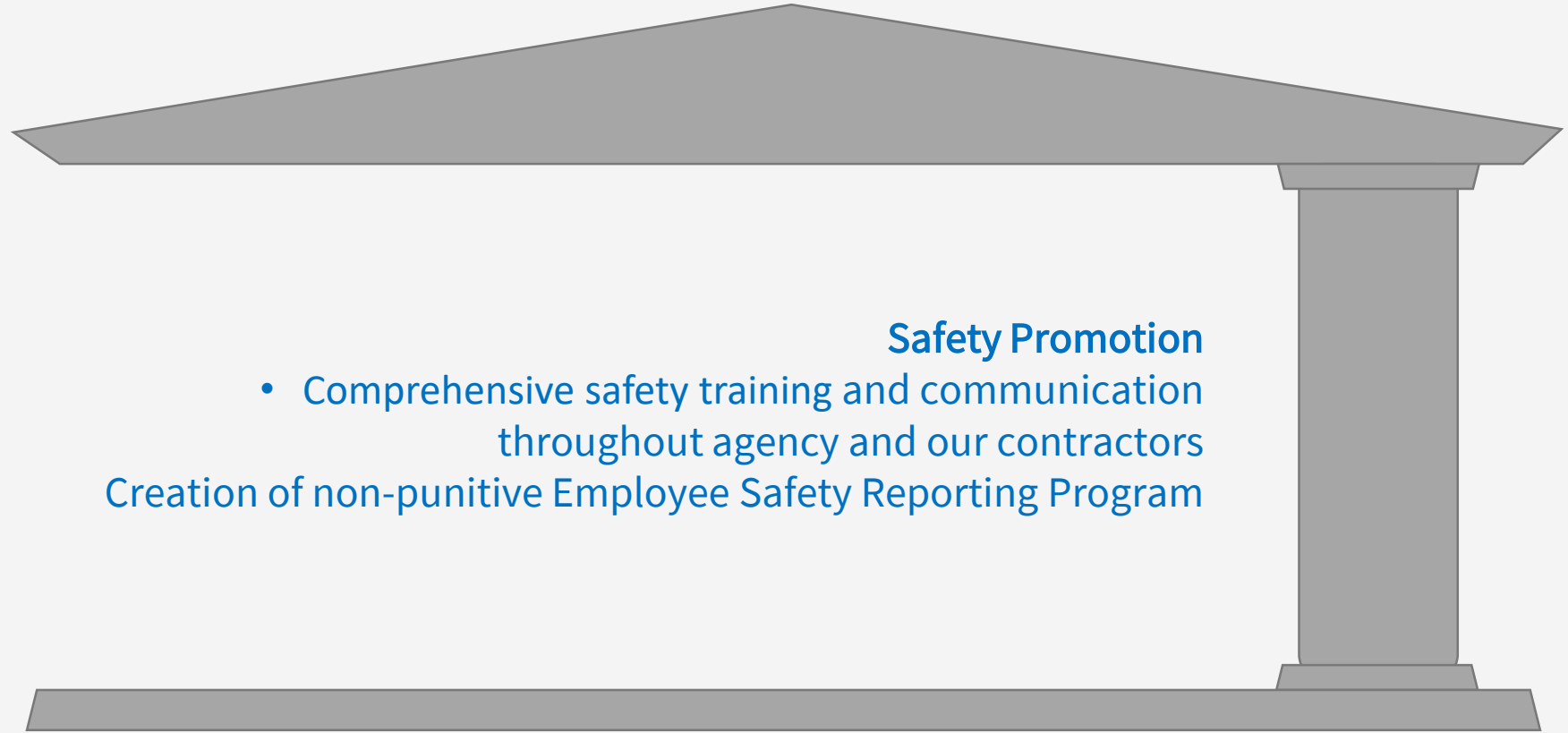


Safety Assurance

Mode of Transit Service	Fatalities (total)	Average Annual Fatalities (per 100 thousand VRM)	Injuries (total)	Average Annual Injuries (per 100 thousand VRM)	Safety Events (total)	Average Annual Safety Events (per 100 thousand VRM)	Average Annual System Reliability (VRM / failures)
Fixed Route Bus	0	0	1	0.01	7	0.08	17,145
ADA / Paratransit	0	0	0	0	0	0	40,486

Safety Performance Targets based on 5-year average (2015-2019)

Four Pillars of a Safety Management System



Safety Promotion

- Comprehensive safety training and communication throughout agency and our contractors
- Creation of non-punitive Employee Safety Reporting Program

Four Pillars of a Safety Management System



Safety Management
Policy

Risk
Management

Safety
Assurance

Safety
Promotion

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Livermore Amador Valley
TRANSIT AUTHORITY



Staff Recommendations

- Approve the SMS and PTASP and designate a Chief Safety Officer as required by the Federal Transit Administration and adopt Resolution 32-2020.
- Approve the revised job description in order to streamline the current operations oversight duties of the Director of Operations and Innovation with the additional safety oversight responsibilities of the Chief Safety Officer.

Questions?



RESOLUTION NO. 32-2020

**A RESOLUTION OF THE BOARD OF DIRECTORS OF THE LIVERMORE
AMADOR VALLEY TRANSIT AUTHORITY ADOPTING THE LAVTA PUBLIC
TRANSPORTATION AGENCY SAFETY PLAN**

WHEREAS the Federal Transit Administration (FTA) requires that public transportation systems receiving federal funds develop a Public Transportation Agency Safety Plan (PTASP) that includes the processes and procedures to implement a Safety Management System (SMS); and

WHEREAS the PTASP is a required document that must be updated and submitted to the FTA annually; and

WHEREAS the PTASP formalizes and codifies LAVTA existing safety practices in one comprehensive document; and

WHEREAS the Accountable Executive designates the Director of Operations and Innovation as LAVTA's Chief Safety Officer;

NOW, THEREFORE, IT IS HEREBY RESOLVED by the Board of Directors that the Livermore Amador Valley Transit Authority's Chief Safety Officer is authorized to submit LAVTA 2020 PTASP to the FTA for certification.

APPROVED AND PASSED this 7th day of December 2020.

Bob Woerner, Chair

ATTEST:

Michael Tree, Executive Director

Livermore Amador Valley **TRANSIT AUTHORITY**



Public Transportation Agency Safety Plan (PTASP)


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1. Transit Agency Information

Transit Agency Name	Livermore Amador Valley Transit Authority			
Transit Agency Address	1362 Rutan Court, Livermore, California. 94551			
Name and Title of Accountable Executive	Michael S. Tree, Executive Director			
Name of Chief Safety Officer or SMS Executive	Toan Tran, Director of Operations and Innovation			
Mode(s) of Service Covered by This Plan	Fixed Route Bus; Paratransit	List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5339	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Bus (contracted); Paratransit (contracted)			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes	No <input checked="" type="checkbox"/>	Description of Arrangement(s)	not applicable
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	not applicable			

2. Plan Development, Approval, and Updates

Name of Person Who Drafted This Plan	Michael S. Tree, Executive Director	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	 Executive Director	10/20/2020
Approval by the Board of Directors	LAVTA Board of Directors	Date of Approval
	Resolution 32-2020	12/7/2020
	Relevant Documentation A copy of LAVTA Resolution 32-2020, approving the PTASP, is maintained on file by the Director of Finance, LAVTA	
Addresses FTA 49 CFR Part 670	This PTASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan	

Version Number and Updates (History of successive versions of this plan)			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		New Document	12/7/2020

Annual Review and Update of the Public Transportation Agency Safety Plan (The process and timeline for conducting an annual review and update of the PTASP)
<p>This plan will be jointly reviewed and updated by the Chief Safety Officer and Accountable Executive by July 1 of each year. The Accountable Executive will review and approve any changes, signing the new PTASP, then forward to the LAVTA Board of Directors for review and approval.</p>

3. Safety Performance Targets

Safety Performance Targets							
<i>Annual safety performance targets below based on an average of the previous 5 years of LAVTA's safety performance data (2015 through 2019).</i>							
Mode of Transit Service	Fatalities (total)	Average Annual Fatalities (per 100 thousand VRM)	Injuries (total)	Average Annual Injuries (per 100 thousand VRM)	Safety Events (total)	Average Annual Safety Events (per 100 thousand VRM)	Average Annual System Reliability (VRM / failures)
Fixed Route Bus	0	0	1	0.01	7	0.08	17,145
ADA / Paratransit	0	0	0	0	0	0	40,486

Safety Performance Target Coordination		
<i>(How LAVTA coordinates with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets)</i>		
LAVTA's Accountable Executive will share our PTASP, including safety performance targets, with the Metropolitan Planning Organization (MPO) in our service area each year after its formal adoption by the LAVTA Board of Directors. LAVTA's Accountable Executive will also provide a copy of our formally adopted plan to the California Department of Transportation. LAVTA personnel are available to coordinate with the California Department of Transportation and the MPO in the selection of California and MPO safety performance targets upon request.		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	California Department of Transportation	12/8/2020
Targets Transmitted to the Metropolitan Planning Organization(s)	MPO Name	Date Targets Transmitted
	Metropolitan Transportation Commission (MTC)	12/8/2020

4. Safety Management Policy

Safety is a core value at LAVTA, and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public.

Responsibility/Accountability:

LAVTA's Safety Management Policy applies to employees (including contracted) and to every aspect of LAVTA's activities. A positive safety culture includes ownership by all employees to identify and correct any deficiencies at all levels.

LAVTA is committed to the following safety objectives:

- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, employees, and service contractors.
- Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through LAVTA's Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Providing appropriate management involvement and the necessary resources to establish an effective ESRP that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing data from the ESRP. (After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.)
- Establishing safety performance targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Working proactively towards identifying and reducing the existence of hazards and risks in the workplace and our system, LAVTA implemented a Safety Management System (SMS) to prevent accidents, reduce risk of injury, and minimize damage to property and equipment.

As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. LAVTA executives, employees, and contractors will take steps to prevent workplace incidents and injuries, provide support of safety initiatives, and encourage employee communication in order to achieve a safer, healthier workplace. I hold executives, employees, and contractors accountable for safety performance.

The SMS is managed under my authority by the Chief Safety Officer who reports directly to me. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the Executive Director/CEO.



Michael Tree, LAVTA Executive Director and Accountable Executive

Safety Management Policy Communication

(How the safety management policy is communicated throughout LAVTA and to contractors)

The Chief Safety Officer, who leads LAVTA's SMS activities, introduced staff to SMS principles in December 2020. The Safety Management Policy Statement was distributed to employees and contractor staff as well as posted on bulletin boards at headquarters and in the operations and maintenance break areas of the operating division (on-site contractor areas). LAVTA has incorporated review and distribution of the Safety Management Policy into new-hire and all-staff annual refresher trainings, and Safety Committee meetings with internal and contractor staff.

Authorities, Accountabilities, and Responsibilities

(For the development and management of the SMS)

Accountable Executive

The Executive Director serves as LAVTA's Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan:

- Controls and directs human and capital resources needed to develop and maintain the PTASP and SMS.
- Designates an adequately trained Chief Safety Officer who is a direct report.
- Ensures that LAVTA's SMS is effectively implemented.
- Ensures action is taken to address substandard performance in LAVTA's SMS.
- Assumes ultimate responsibility for carrying out LAVTA's PTASP and SMS.
- Maintains responsibility for carrying out the agency's Transit Asset Management Plan.

**Chief Safety Officer or
SMS Executive**

The Accountable Executive designates the Director of Operations and Innovation as LAVTA's Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:

- Develops LAVTA's PTASP and SMS policies and procedures.
- Ensures and oversees day-to-day implementation and operation of LAVTA's SMS for both agency and contractors.
- Manages LAVTA's ESRP.
- Chairs the LAVTA Safety Committee and
 - Coordinates the activities of the committee;
 - Establishes and maintains LAVTA's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and
 - Maintains and distributes minutes of committee meetings.
- Advises the Accountable Executive on SMS progress and status.
- Identifies any substandard performance in LAVTA's SMS and develops action plans for approval by the Accountable Executive.
- Ensures LAVTA policies are consistent with LAVTA's safety objectives.
- Provides Safety Risk Management (SRM) expertise and support for other LAVTA personnel who conduct and oversee Safety Assurance activities.

<p>Agency Executive Leadership and Contractor Management Staff</p>	<p>LAVTA Executive Leadership and Contractor Management Staff also have authorities and responsibilities for day-to-day SMS implementation and operation of LAVTA’s SMS under this plan. LAVTA Executive Leadership and Contractor Management Staff include:</p> <ul style="list-style-type: none"> • Director of Planning and Marketing (LAVTA), • Director of Finance, Human Resources and Procurement (LAVTA), • Operations/Safety/Maintenance managers and supervisors (contractor) <p>LAVTA Executive Leadership and Contractor Management personnel have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> • Participate as members of LAVTA’s Safety Committee (operations and maintenance staff will be rotated through the Safety Committee while other positions are permanent members). • Complete training on SMS and LAVTA’s PTASP elements. • Oversee day-to-day operations of the SMS in their departments. • Modify policies in their departments consistent with implementation of the SMS, as necessary. • Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.
<p>Key Staff and Activities</p>	<p>LAVTA uses the Safety Committee, as well as the monthly Drivers’ Meeting and monthly All-Staff Meeting, to support its SMS and safety programs, which includes active participation and compliance from contractors:</p> <ul style="list-style-type: none"> • Safety Committee (LAVTA/contractor): Any safety hazards reported will be jointly evaluated by the Safety Committee and the Chief Safety Officer during the bimonthly meeting. The Safety Committee members include the Chief Safety Officer (Director of Operations), Paratransit Planner, and contractor staff (General Manager, Safety Manager, Road Supervisor, Operator, and Mechanic), who will meet to review issues and make recommendations to improve safety. • Drivers’ Meetings (contractor): A permanent agenda item in all monthly Drivers’ Meetings is dedicated to safety. Safety issues are discussed and documented, and shared with the Safety Committee. • Monthly All-Staff Meetings (LAVTA): Hazard reports and mitigations will be shared, safety topics will be brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. Information discussed in these meetings will be documented.

<p>Contracted Staff Responsibilities</p>	<p>Contractors, at a minimum, are required to provide an equivalent level of safety reporting program standards and objectives as outlined in this policy and also implement a process to allow employees to report safety conditions and concerns to management. They may also have their own enhanced safety protocols for risk mitigation beyond what is required from LAVTA. LAVTA provides regularly scheduled oversight of the contractor's SMS through the described <i>Key Staff and Activities</i> above.</p>
<p>Employee Safety Reporting Program <i>(These are the processes and protections for employees (including contract) to report safety conditions to management)</i></p>	
<p>Our front-line employees are our best source of information for identifying hazards. Nobody knows more about the actual safety performance of the transit system than the employees who deliver the service.</p> <p>The Employee Safety Reporting Program (ESRP) is intended to help the Accountable Executive and other senior managers get important safety information from across the transit agency. It can be an agency's most important source of safety data.</p> <p>There are two types of safety reporting programs: mandatory and voluntary.</p> <ul style="list-style-type: none"> • Mandatory: Employees must report hazards that are compliance-based and address regulatory issues. Employees are required to immediately report every incident and accident. An employee's failure to report or provide truthful information of an unsafe hazard or act could result in disciplinary action. • Voluntary: Employees are strongly encouraged to report hazards and can report anonymously. Every employee is empowered to report any unsafe hazard / risk to their supervisor or senior management without fear of retribution or penalty. <p>Employees will have the option to report anonymously to maintain confidentiality. The ESRP is non-punitive and employees will not be disciplined for the act of reporting the Hazard or Near Miss. However, employees must report hazards that are compliance-based and address regulatory issues. Record falsification, Drug & Alcohol violations, grossly negligent behavior, and failure to report accidents/incidents and serious safety hazards are examples of employee behaviors that may result in disciplinary action.</p> <p>Forms of reporting can include submitting a completed SMS Hazard/Risk Report Form (Exhibit 2) or utilizing a centrally located Safety Suggestion Box in the driver's break room.</p> <p>The Hazard/Risk Report Form shall be completed immediately, so proactive measures can be taken as soon as possible. Depending on the perceived level of risk and severity, the report shall be submitted immediately or by the end of their shift.</p> <p>Input by employees into the ESRP can include safety concern reporting, operational system description, hazard identification, safety deficiencies, risk assessments, potential consequences of hazards, or recommended safety risk mitigations.</p> <p>Examples of reports may include the following:</p> <ul style="list-style-type: none"> • Safety hazards in the operating environment (for example, county road conditions) • Policies and procedures that aren't working as intended (for example, insufficient time to complete 	

pre-trip inspections)

- Events that senior managers might not otherwise know about (for example, near misses)
- Information about why a safety event occurred (for example, radio communication challenges contributed to an incident)

The information we receive through this source will help us resolve the reported hazard and notify the supervisor or senior management of changes that may need to be made to mitigate safety hazards in the future.

The Chief Safety Officer will lead the effort on collection, analysis, resolution, and monitoring of hazards and feedback entered through the ESRP. Safety reports collected by the contractor will be addressed in a timely matter, according to their severity, and shared with the Chief Safety Officer/Director of Operations in regularly scheduled meetings and as needed. The Chief Safety Officer will take the lead on the Safety Risk Management process, with inputs from subject-matter experts in operations and maintenance.

5. Safety Risk Management

Safety Risk Management (SRM) Process

(These are the methods/processes of identifying hazards and their consequences, associated safety risks, and mitigations/strategies to address these things once they've been assessed)

LAVTA uses the SRM process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to LAVTA's leadership. LAVTA's SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary. Our fixed route contractor's SRM process is documented in Exhibit 3. Our paratransit contractor's SRM process is documented in Exhibit 4.

LAVTA's Chief Safety Officer leads LAVTA's SRM process, working with LAVTA's Safety Committee (includes contractors; through regularly scheduled meetings listed in Section 4) to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The results of LAVTA's SRM process will be documented in our Safety Risk Register and referenced materials.

LAVTA's SRM process applies to all elements of our system including our operations, maintenance, facilities, vehicles, personnel recruitment, training, and supervision.

In carrying out the SRM process, LAVTA uses the following terms:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to LAVTA; or damage to the environment.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to LAVTA property or the environment.

Safety Hazard Identification

The safety hazard identification process offers LAVTA and its contractors the ability to identify hazards and potential consequences in the operation and maintenance of our system. Hazards can be identified through a variety of sources, including:

- ESRP;
- Review of vehicle camera footage;
- Review of monthly performance data and safety performance targets;

- Observations from supervisors (contractor);
- Maintenance reports (contractor);
- Comments from customers, passengers, and third parties, including LAVTA's transit insurance pool and vendors;
- Safety Committee, Drivers', and All-Staff Meetings (LAVTA/contractor);
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities (mandatory information source).

When a safety concern is observed by LAVTA's management or supervisory personnel or contractor management staff, whatever the source, it is reported to LAVTA's Chief Safety Officer. Procedures for reporting hazards to LAVTA's Chief Safety Officer are reviewed during All-Staff Meetings and in the Safety Committee meetings. LAVTA's Chief Safety Officer also receives employee reports from the ESRP, customer comments related to safety, and the dispatch daily Operations Log. LAVTA's Chief Safety Officer reviews these sources for hazards and documents them in LAVTA's Safety Risk Register.

LAVTA's Chief Safety Officer also may enter hazards into the Safety Risk Register based on their review of LAVTA's operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

LAVTA's Chief Safety Officer may conduct further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, LAVTA's Chief Safety Officer may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Contact other departments that may have association with or technical knowledge relevant to the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

LAVTA's Chief Safety Officer will then prepare an agenda to discuss identified hazards and consequences with the Safety Committee during bimonthly meetings. This agenda may include additional background on the hazards and consequences, such as the results of trend analyses, vehicle camera footage, vendor documentation, reports and observations, or information supplied by FTA or other oversight authorities.

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the SRM

process (with or without the full Safety Committee) for safety risk assessment and mitigation. This means that the Chief Safety Officer believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of Environmental Protection Agency or California environmental protection standards. Otherwise, the Safety Committee will prioritize hazards for further SRM activity.

Safety Risk Assessment

LAVTA assesses safety risk associated with identified safety hazards using its safety risk assessment process. This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

The Chief Safety Officer and Safety Committee (LAVTA/contractor) assess prioritized hazards using LAVTA's Safety Risk Matrix (Exhibit 5) and review the assessments and mitigation in the bimonthly meetings. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a *hazard rating*. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium, or Low, based on the likelihood of occurrence and severity of the outcome. For purposes of accepting risk:

- "High" hazard ratings will be considered unacceptable and require action from LAVTA to mitigate the safety risk,
- "Medium" hazard ratings will be considered undesirable and require LAVTA's Safety Committee to make a decision regarding their acceptability, and
- "Low" hazard ratings may be accepted by the Chief Safety Officer without additional review.

Using a categorization of High, Medium, or Low allows for hazards to be prioritized for mitigation based on their associated safety risk.

The Chief Safety Officer schedules safety risk assessment activities on the Safety Committee agenda and prepares a Safety Risk Assessment Package. This package is distributed at least one week in advance of the Safety Committee meeting. During the meeting, the Chief Safety Officer reviews the hazard and its consequence(s) and reviews available information distributed in the Safety Risk Assessment Package on severity and likelihood. The Chief Safety Officer may request support from members of the Safety Committee in obtaining additional information to support the safety risk assessment.

Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the LAVTA Safety Risk Assessment Matrix, with the Safety Committee. The Chief Safety Officer will document the Safety Committee's safety risk assessment, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. The Chief Safety Officer will maintain on file Safety Committee agendas, Safety Risk Assessment Packages, additional information collection, and completed Safety Risk Register sections for a period of three years from the date of generation.

Safety Risk Mitigation

LAVTA's Accountable Executive and Chief Safety Officer review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Safety Committee (after contractors have gone through their SRM processes documented in Exhibits 3 and 4). LAVTA can reduce safety risk by reducing the likelihood

and/or severity of potential consequences of hazards.

Prioritization of safety risk mitigations is based on the results of safety risk assessments. LAVTA's Chief Safety Officer tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Safety Committee and LAVTA staff upon request.

In the Safety Risk Register, LAVTA's Chief Safety Officer will also document any specific measures or activities, such as reviews, observations, or audits, that will be conducted to monitor the effectiveness of mitigations once implemented.

6. Safety Assurance

Through our Safety Assurance process, LAVTA and contractors:

- Evaluate our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk;
- Assess the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended;
- Investigate safety events to identify causal factors; and
- Analyze information from safety reporting, including data about safety failures, defects, or conditions.

Safety Performance Monitoring and Measurement

(Activities used to monitor the system for compliance with procedures for operations and maintenance)

LAVTA has many processes in place to monitor its entire transit system (including contractors) for compliance with operations and maintenance procedures on a quarterly and annual basis and as needed, including:

- Safety audits,
- Informal inspections,
- Regular review of onboard camera footage to assess drivers and specific incidents,
- Safety surveys,
- ESRP,
- Investigation of safety occurrences,
- Safety review prior to the launch or modification of any facet of service,
- Daily data gathering and monitoring of data related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

These activities are mirrored by the contractors and outlined in Exhibits 3 and 4. Results from the above processes from both contractors and internal staff are compared against recent performance trends quarterly and annually by the Chief Safety Officer to determine where action needs to be taken. The Chief Safety Officer enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee (LAVTA/contractor).

(Activities used to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended).

LAVTA monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. Contractors will monitor these (per Exhibits 3 and 4) and report back to LAVTA and the Safety Committee (LAVTA/contractor). The Chief Safety Officer maintains a list of safety risk mitigations in the Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

The Chief Safety Officer establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate director,

manager, or supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities. The Chief Safety Officer will endeavor to make use of existing LAVTA processes and activities before assigning new information collection activities.

LAVTA's Chief Safety Officer and Safety Committee (LAVTA/contractor) review the performance of individual safety risk mitigations during bimonthly Safety Committee meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Safety Committee will propose a course of action to modify the mitigation or take other action to manage the safety risk. Additionally, the system itself is being evaluated to ensure its effectiveness. The Chief Safety Officer will approve or modify this proposed course of action and oversee its execution.

LAVTA's Chief Safety Officer and Safety Committee also monitor LAVTA's operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

(Activities used to conduct investigations of safety events to identify causal and latent factors).

LAVTA maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event (see Safety Event Investigation Procedures Manual, Exhibit 6). These procedures also reflect all traffic safety reporting and investigation requirements established by California Department of Motor Vehicles.

The Chief Safety Officer maintains all documentation of LAVTA's and the contractors' investigation policies, processes, forms, checklists, activities, and results. Investigation reports are prepared and shared with the Safety Committee (LAVTA/contractor) for integration into their analysis of the event.

The Safety Committee determines whether:

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- Latent factor(s) (beyond human factors such as errors, violations, the condition of an individual, or lack of communication or coordination between individuals, equipment and infrastructure failures in vehicles or technological components, organizational or environmental elements, or elements outside of the agency's control) contributed to the safety event;
- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event;
- There are larger factors outside the control of the agency; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior, such as management elements, and agency/contractor policies and procedures.

(Activities used to monitor information reported through internal safety reporting programs).

The Chief Safety Officer and Safety Committee (LAVTA/contractor) routinely (bimonthly meetings) review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through LAVTA's SRM process.

The Chief Safety Officer and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning LAVTA's safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

7. Safety Promotion

Competencies and Training

(The safety training program is relayed and promoted to all agency employees and contractors directly responsible for safety)

LAVTA's comprehensive safety training program applies to all LAVTA employees and contractors directly responsible for safety, including:

- Bus vehicle operators,
- Dispatchers,
- Maintenance technicians,
- Managers and supervisors,
- Agency Leadership and Executive Management, and
- Chief Safety Officer and Accountable Executive.

LAVTA dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS. Contractors are required to conduct trainings and report status updates to LAVTA's Chief Safety Officer.

Basic training requirements for any employee or contractor operating LAVTA services, including frequencies and refresher training, are documented in the LAVTA Employee Handbook (Exhibit 7), MV Employee Handbook (Exhibit 8), Operator Requirements and Training Program (Exhibit 9) and/or Maintenance Safety Handbook (Exhibit 10).

Operations safety-related skill training (contractor) includes the following:

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus vehicle operator refresher training,
- Bus vehicle operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers.

Vehicle maintenance safety-related skill training (contractor) includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Accident investigation training for vehicle maintenance supervisors,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

LAVTA's Accountable Executive and Agency Leadership and Contractor Management staff must complete FTA's SMS Awareness online training and an executive session on safety management sponsored by LAVTA's transit insurance pool.

Safety Communication

(The processes and activities by which safety and safety performance information is communicated throughout the organization and to contractors)

LAVTA's Chief Safety Officer and Director of Finance (providing the human resources function) coordinate LAVTA's safety communication activities for the SMS. Contractors will, at a minimum, mirror LAVTA's frequency with which safety updates and performance information is communicated to employees and/or as required contractually at monthly meetings and report back to the Chief Safety Officer. LAVTA may also inquire and poll employee and contractor staff to ensure their awareness of the latest safety information shared. These activities focus on the three categories of communication activity established in 49 CFR Part 673:

- **Communicating safety and safety performance information throughout the agency:** LAVTA communicates information on safety and safety performance during monthly All-Staff Meetings. LAVTA also has a permanent agenda item in all monthly Drivers' Meetings (contractor) dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact LAVTA's service or safety performance, and updates regarding SMS implementation. LAVTA also requests information from drivers during these meetings, which is recorded in meeting minutes. Finally, LAVTA's Director of Finance, who oversees human resources, posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms (contractor areas), advertising safety messages and promoting awareness of safety issues.
- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:** As part of new-hire training, LAVTA distributes safety policies and procedures, included in the LAVTA Employee Handbook, to all employees. LAVTA and contractors provide training on these policies and procedures and discuss them during safety talks between supervisors and bus operators and vehicle technicians. Contractors will also communicate their own safety information and trainings as outlined in Exhibits 3, 4, 8, and 9 to staff. For newly emerging issues or safety events at the agency, LAVTA's Chief Safety Officer issues bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees. Contractors communicate this information to their employees, log, and report back to the Safety Committee (LAVTA/contractor).
- **Informing employees of safety actions taken in response to reports submitted through the ESRP:** LAVTA provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors. This information is also relayed to contractors so they can pass it on to their staff.

8. Additional Information

Supporting Documentation

(Used to implement and carry out the PTASP that are not included elsewhere in this document)

LAVTA will maintain documentation related to the implementation of its SMS; the programs, policies, and procedures used to carry out this PTASP; and the results from its SMS processes and activities for three years after creation. Please also see accompanying Exhibits. They will be available to the FTA or other Federal or oversight entity upon request.

9. Definitions of Terms Used in the Safety Plan

LAVTA incorporates all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
- **Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- **Event** means any Accident, Incident, or Occurrence.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
- **Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- **Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
- **Public Transportation Agency Safety Plan** means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.

- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
- **Safety Management System** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- **Safety performance target** means a performance target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- **Safety Risk Management** means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

10. Commonly Used Acronyms

Acronym	Word or Phase
ADA	American's with Disabilities Act of 1990
PTASP	Public Transportation Agency Safety Plan (Part 673)
CFR	Code of Federal Regulations
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
LAVTA	Livermore Amador Valley Transit Authority
MPO	Metropolitan Planning Organization
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management
U.S.C.	United States Code
VRM	Vehicle Revenue Miles

LAVTA PTASP Exhibits

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Livermore Amador Valley **TRANSIT AUTHORITY**



Safety Management System (SMS) Plan

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1. Safety Management Policy

Safety is a core value at LAVTA, and managing safety is a core business function. We will develop, implement, maintain, and continuously improve processes to ensure the safety of our customers, employees, and the public.

Responsibility/Accountability:

LAVTA's Safety Management Policy applies to employees (including contracted) and to every aspect of LAVTA's activities. A positive safety culture includes ownership by all employees to identify and correct any deficiencies at all levels.

LAVTA is committed to the following safety objectives:

- Communicating the purpose and benefits of the Safety Management System (SMS) to all staff, managers, supervisors, employees, and service contractors.
- Providing a culture of open reporting of all safety concerns, ensuring that no action will be taken against any employee who discloses a safety concern through LAVTA's Employee Safety Reporting Program (ESRP), unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Providing appropriate management involvement and the necessary resources to establish an effective ESRP that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing data from the ESRP. (After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.)
- Establishing safety performance targets that are realistic, measurable, and data driven. Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Working proactively towards identifying and reducing the existence of hazards and risks in the workplace and our system, LAVTA implemented a Safety Management System (SMS) to prevent accidents, reduce risk of injury, and minimize damage to property and equipment.

As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. LAVTA executives, employees, and contractors will take steps to prevent workplace incidents and injuries, provide support of safety initiatives, and encourage employee communication in order to achieve a safer, healthier workplace. I hold executives, employees, and contractors accountable for safety performance.

The SMS is managed under my authority by the Chief Safety Officer who reports directly to me. All levels of management and employees are accountable for the delivery of the highest level of safety performance, starting with the Executive Director/CEO.



Michael Tree, LAVTA Executive Director and Accountable Executive

Safety Management Policy Communication

(How the safety management policy is communicated throughout LAVTA and to contractors)

The Chief Safety Officer, who leads LAVTA's SMS activities, introduced staff to SMS principles in December 2020. The Safety Management Policy Statement was distributed to employees and contractor staff as well as posted on bulletin boards at headquarters and in the operations and maintenance break areas of the operating division (on-site contractor areas). LAVTA has incorporated review and distribution of the Safety Management Policy into new-hire and all-staff annual refresher trainings, and Safety Committee meetings with internal and contractor staff.

Authorities, Accountabilities, and Responsibilities

(For the development and management of the SMS)

Accountable Executive

The Executive Director serves as LAVTA's Accountable Executive with the following authorities, accountabilities, and responsibilities under this plan:

- Controls and directs human and capital resources needed to develop and maintain the PTASP and SMS.
- Designates an adequately trained Chief Safety Officer who is a direct report.
- Ensures that LAVTA's SMS is effectively implemented.
- Ensures action is taken to address substandard performance in LAVTA's SMS.
- Assumes ultimate responsibility for carrying out LAVTA's PTASP and SMS.
- Maintains responsibility for carrying out the agency's Transit Asset Management Plan.

**Chief Safety Officer or
SMS Executive**

The Accountable Executive designates the Director of Operations and Innovation as LAVTA's Chief Safety Officer. The Chief Safety Officer has the following authorities, accountabilities, and responsibilities under this plan:

- Develops LAVTA's PTASP and SMS policies and procedures.
- Ensures and oversees day-to-day implementation and operation of LAVTA's SMS for both agency and contractors.
- Manages LAVTA's ESRP.
- Chairs the LAVTA Safety Committee and
 - Coordinates the activities of the committee;
 - Establishes and maintains LAVTA's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and
 - Maintains and distributes minutes of committee meetings.
- Advises the Accountable Executive on SMS progress and status.
- Identifies any substandard performance in LAVTA's SMS and develops action plans for approval by the Accountable Executive.
- Ensures LAVTA policies are consistent with LAVTA's safety objectives.
- Provides Safety Risk Management (SRM) expertise and support for other LAVTA personnel who conduct and oversee Safety Assurance activities.

<p>Agency Executive Leadership and Contractor Management Staff</p>	<p>LAVTA Executive Leadership and Contractor Management Staff also have authorities and responsibilities for day-to-day SMS implementation and operation of LAVTA's SMS under this plan. LAVTA Executive Leadership and Contractor Management Staff include:</p> <ul style="list-style-type: none"> • Director of Planning and Marketing (LAVTA), • Director of Finance, Human Resources and Procurement (LAVTA), • Operations/Safety/Maintenance managers and supervisors (contractor) <p>LAVTA Executive Leadership and Contractor Management personnel have the following authorities, accountabilities, and responsibilities:</p> <ul style="list-style-type: none"> • Participate as members of LAVTA's Safety Committee (operations and maintenance staff will be rotated through the Safety Committee while other positions are permanent members). • Complete training on SMS and LAVTA's PTASP elements. • Oversee day-to-day operations of the SMS in their departments. • Modify policies in their departments consistent with implementation of the SMS, as necessary. • Provide subject matter expertise to support implementation of the SMS as requested by the Accountable Executive or the Chief Safety Officer, including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.
<p>Key Staff and Activities</p>	<p>LAVTA uses the Safety Committee, as well as the monthly Drivers' Meeting and quarterly All-Staff Meeting, to support its SMS and safety programs, which includes active participation and compliance from contractors:</p> <ul style="list-style-type: none"> • Safety Committee (LAVTA/contractor): Any safety hazards reported will be jointly evaluated by the Safety Committee and the Chief Safety Officer during the bimonthly meeting. The Safety Committee members include the Chief Safety Officer (Director of Operations), Paratransit Planner, and contractor staff (General Manager, Safety Manager, Road Supervisor, Operator, and Mechanic), who will meet to review issues and make recommendations to improve safety. • Drivers' Meetings (contractor): A permanent agenda item in all monthly Drivers' Meetings is dedicated to safety. Safety issues are discussed and documented, and shared with the Safety Committee. • Quarterly All-Staff Meetings (LAVTA): Hazard reports and mitigations will be shared, safety topics will be brought up for open discussion, further feedback solicited, and hazard self-reporting further encouraged. Information discussed in these meetings will be documented.

<p>Contracted Staff Responsibilities</p>	<p>Contractors, at a minimum, are required to provide an equivalent level of safety reporting program standards and objectives as outlined in this policy and also implement a process to allow employees to report safety conditions and concerns to management. They may also have their own enhanced safety protocols for risk mitigation beyond what is required from LAVTA. LAVTA provides regularly scheduled oversight of the contractor's SMS through the described <i>Key Staff and Activities</i> above.</p>
<p>Employee Safety Reporting Program <i>(These are the processes and protections for employees (including contract) to report safety conditions to management)</i></p>	
<p>Our front-line employees are our best source of information for identifying hazards. Nobody knows more about the actual safety performance of the transit system than the employees who deliver the service.</p> <p>The Employee Safety Reporting Program (ESRP) is intended to help the Accountable Executive and other senior managers get important safety information from across the transit agency. It can be an agency's most important source of safety data.</p> <p>There are two types of safety reporting programs: mandatory and voluntary.</p> <ul style="list-style-type: none"> • Mandatory: Employees must report hazards that are compliance-based and address regulatory issues. Employees are required to immediately report every incident and accident. An employee's failure to report or provide truthful information of an unsafe hazard or act could result in disciplinary action. • Voluntary: Employees are strongly encouraged to report hazards and can report anonymously. Every employee is empowered to report any unsafe hazard / risk to their supervisor or senior management without fear of retribution or penalty. <p>Employees will have the option to report anonymously to maintain confidentiality. The ESRP is non-punitive and employees will not be disciplined for the act of reporting the Hazard or Near Miss. However, employees must report hazards that are compliance-based and address regulatory issues. Record falsification, Drug & Alcohol violations, grossly negligent behavior, and failure to report accidents/incidents and serious safety hazards are examples of employee behaviors that may result in disciplinary action.</p> <p>Forms of reporting can include submitting a completed SMS Hazard/Risk Report Form (Exhibit 1) or utilizing a centrally located Safety Suggestion Box in the driver's break room.</p> <p>The Hazard/Risk Report Form shall be completed immediately, so proactive measures can be taken as soon as possible. Depending on the perceived level of risk and severity, the report shall be submitted immediately or by the end of their shift.</p> <p>Input by employees into the ESRP can include safety concern reporting, operational system description, hazard identification, safety deficiencies, risk assessments, potential consequences of hazards, or recommended safety risk mitigations.</p> <p>Examples of reports may include the following:</p> <ul style="list-style-type: none"> • Safety hazards in the operating environment (for example, county road conditions) • Policies and procedures that aren't working as intended (for example, insufficient time to complete 	

pre-trip inspections)

- Events that senior managers might not otherwise know about (for example, near misses)
- Information about why a safety event occurred (for example, radio communication challenges contributed to an incident)

The information we receive through this source will help us resolve the reported hazard and notify the supervisor or senior management of changes that may need to be made to mitigate safety hazards in the future.

The Chief Safety Officer will lead the effort on collection, analysis, resolution, and monitoring of hazards and feedback entered through the ESRP. Safety reports collected by the contractor will be addressed in a timely matter, according to their severity, and shared with the Chief Safety Officer/Director of Operations in regularly scheduled meetings and as needed. The Chief Safety Officer will take the lead on the Safety Risk Management process, with inputs from subject-matter experts in operations and maintenance.

2. Safety Risk Management

Safety Risk Management (SRM) Process

(These are the methods/processes of identifying hazards and their consequences, associated safety risks, and mitigations/strategies to address these things once they've been assessed)

LAVTA uses the SRM process as a primary method to ensure the safety of our operations, passengers, employees, vehicles, and facilities. It is a process whereby hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to LAVTA's leadership. LAVTA's SRM process allows us to carefully examine what could cause harm and determine whether we have taken sufficient precautions to minimize the harm, or if further mitigations are necessary. Our fixed route contractor's SRM process is documented in Exhibit 2. Our paratransit contractor's SRM process is documented in Exhibit 3.

LAVTA's Chief Safety Officer leads LAVTA's SRM process, working with LAVTA's Safety Committee (includes contractors; through regularly scheduled meetings listed in Section 4) to identify hazards and consequences, assess safety risk of potential consequences, and mitigate safety risk. The results of LAVTA's SRM process will be documented in our Safety Risk Register and referenced materials.

LAVTA's SRM process applies to all elements of our system including our operations, maintenance, facilities, vehicles, personnel recruitment, training, and supervision.

In carrying out the SRM process, LAVTA uses the following terms:

- **Event** – Any accident, incident, or occurrence.
- **Hazard** – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to LAVTA; or damage to the environment.
- **Risk** – Composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk Mitigation** – Method(s) to eliminate or reduce the effects of hazards.
- **Consequence** – An effect of a hazard involving injury, illness, death, or damage to LAVTA property or the environment.

Safety Hazard Identification

The safety hazard identification process offers LAVTA and its contractors the ability to identify hazards and potential consequences in the operation and maintenance of our system. Hazards can be identified through a variety of sources, including:

- ESRP;
- Review of vehicle camera footage;
- Review of monthly performance data and safety performance targets;

- Observations from supervisors (contractor);
- Maintenance reports (contractor);
- Comments from customers, passengers, and third parties, including LAVTA's transit insurance pool and vendors;
- Safety Committee, Drivers', and All-Staff Meetings (LAVTA/contractor);
- Results of audits and inspections of vehicles and facilities;
- Results of training assessments;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities (mandatory information source).

When a safety concern is observed by LAVTA's management or supervisory personnel or contractor management staff, whatever the source, it is reported to LAVTA's Chief Safety Officer. Procedures for reporting hazards to LAVTA's Chief Safety Officer are reviewed during All-Staff Meetings and in the Safety Committee meetings. LAVTA's Chief Safety Officer also receives employee reports from the ESRP, customer comments related to safety, and the dispatch daily Operations Log. LAVTA's Chief Safety Officer reviews these sources for hazards and documents them in LAVTA's Safety Risk Register.

LAVTA's Chief Safety Officer also may enter hazards into the Safety Risk Register based on their review of LAVTA's operations and maintenance, the results of audits and observations, and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

LAVTA's Chief Safety Officer may conduct further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, LAVTA's Chief Safety Officer may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard;
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary;
- Conduct interviews with employees in the area to gather potentially relevant information on the reported hazard;
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Contact other departments that may have association with or technical knowledge relevant to the reported hazard;
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

LAVTA's Chief Safety Officer will then prepare an agenda to discuss identified hazards and consequences with the Safety Committee during bimonthly meetings. This agenda may include additional background on the hazards and consequences, such as the results of trend analyses, vehicle camera footage, vendor documentation, reports and observations, or information supplied by FTA or other oversight authorities.

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the SRM

process (with or without the full Safety Committee) for safety risk assessment and mitigation. This means that the Chief Safety Officer believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of Environmental Protection Agency or California environmental protection standards. Otherwise, the Safety Committee will prioritize hazards for further SRM activity.

Safety Risk Assessment

LAVTA assesses safety risk associated with identified safety hazards using its safety risk assessment process. This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

The Chief Safety Officer and Safety Committee (LAVTA/contractor) assess prioritized hazards using LAVTA's Safety Risk Matrix (Exhibit 4) and review the assessments and mitigation in the monthly and quarterly meetings. This matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a *hazard rating*. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium, or Low, based on the likelihood of occurrence and severity of the outcome. For purposes of accepting risk:

- "High" hazard ratings will be considered unacceptable and require action from LAVTA to mitigate the safety risk,
- "Medium" hazard ratings will be considered undesirable and require LAVTA's Safety Committee to make a decision regarding their acceptability, and
- "Low" hazard ratings may be accepted by the Chief Safety Officer without additional review.

Using a categorization of High, Medium, or Low allows for hazards to be prioritized for mitigation based on their associated safety risk.

The Chief Safety Officer schedules safety risk assessment activities on the Safety Committee agenda and prepares a Safety Risk Assessment Package. This package is distributed at least one week in advance of the Safety Committee meeting. During the meeting, the Chief Safety Officer reviews the hazard and its consequence(s) and reviews available information distributed in the Safety Risk Assessment Package on severity and likelihood. The Chief Safety Officer may request support from members of the Safety Committee in obtaining additional information to support the safety risk assessment.

Once sufficient information has been obtained, the Chief Safety Officer will facilitate completion of relevant sections of the Safety Risk Register, using the LAVTA Safety Risk Assessment Matrix, with the Safety Committee. The Chief Safety Officer will document the Safety Committee's safety risk assessment, including hazard rating and mitigation options for each assessed safety hazard in the Safety Risk Register. The Chief Safety Officer will maintain on file Safety Committee agendas, Safety Risk Assessment Packages, additional information collection, and completed Safety Risk Register sections for a period of three years from the date of generation.

Safety Risk Mitigation

LAVTA's Accountable Executive and Chief Safety Officer review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Safety Committee (after contractors have gone through their SRM processes documented in Exhibits 2 and 3). LAVTA can reduce safety risk by reducing the likelihood

and/or severity of potential consequences of hazards.

Prioritization of safety risk mitigations is based on the results of safety risk assessments. LAVTA's Chief Safety Officer tracks and updates safety risk mitigation information in the Safety Risk Register and makes the Register available to the Safety Committee during bimonthly meetings and to LAVTA staff upon request.

In the Safety Risk Register, LAVTA's Chief Safety Officer will also document any specific measures or activities, such as reviews, observations, or audits, that will be conducted to monitor the effectiveness of mitigations once implemented.

3. Safety Assurance

Through our Safety Assurance process, LAVTA and contractors:

- Evaluate our compliance with operations and maintenance procedures to determine whether our existing rules and procedures are sufficient to control our safety risk;
- Assess the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended;
- Investigate safety events to identify causal factors; and
- Analyze information from safety reporting, including data about safety failures, defects, or conditions.

Safety Performance Monitoring and Measurement

(Activities used to monitor the system for compliance with procedures for operations and maintenance)

LAVTA has many processes in place to monitor its entire transit system (including contractors) for compliance with operations and maintenance procedures on a quarterly and annual basis and as needed, including:

- Safety audits,
- Informal inspections,
- Regular review of onboard camera footage to assess drivers and specific incidents,
- Safety surveys,
- ESRP,
- Investigation of safety occurrences,
- Safety review prior to the launch or modification of any facet of service,
- Daily data gathering and monitoring of data related to the delivery of service, and
- Regular vehicle inspections and preventative maintenance.

These activities are mirrored by the contractors and outlined in Exhibits 2 and 3. Results from the above processes from both contractors and internal staff are compared against recent performance trends quarterly and annually by the Chief Safety Officer to determine where action needs to be taken. The Chief Safety Officer enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee (LAVTA/contractor).

(Activities used to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended).

LAVTA monitors safety risk mitigations to determine if they have been implemented and are effective, appropriate, and working as intended. Contractors will monitor these (per Exhibits 2 and 3) and report back to LAVTA and the Safety Committee (LAVTA/contractor). The Chief Safety Officer maintains a list of safety risk mitigations in the Safety Risk Register. The mechanism for monitoring safety risk mitigations varies depending on the mitigation.

The Chief Safety Officer establishes one or more mechanisms for monitoring safety risk mitigations as part of the mitigation implementation process and assigns monitoring activities to the appropriate director,

manager, or supervisor. These monitoring mechanisms may include tracking a specific metric on daily, weekly, or monthly logs or reports; conducting job performance observations; or other activities. The Chief Safety Officer will endeavor to make use of existing LAVTA processes and activities before assigning new information collection activities.

LAVTA's Chief Safety Officer and Safety Committee (LAVTA/contractor) review the performance of individual safety risk mitigations during bimonthly Safety Committee meetings, based on the reporting schedule determined for each mitigation, and determine if a specific safety risk mitigation is not implemented or performing as intended. If the mitigation is not implemented or performing as intended, the Safety Committee will propose a course of action to modify the mitigation or take other action to manage the safety risk. Additionally, the system itself is being evaluated to ensure its effectiveness. The Chief Safety Officer will approve or modify this proposed course of action and oversee its execution.

LAVTA's Chief Safety Officer and Safety Committee also monitor LAVTA's operations on a large scale to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;
- Reviewing results of internal safety audits and inspections; and
- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

(Activities used to conduct investigations of safety events to identify causal and latent factors).

LAVTA maintains documented procedures for conducting safety investigations of events (accidents, incidents, and occurrences, as defined by FTA) to find causal and contributing factors and review the existing mitigations in place at the time of the event (see Safety Event Investigation Procedures Manual, Exhibit 5). These procedures also reflect all traffic safety reporting and investigation requirements established by California Department of Motor Vehicles.

The Chief Safety Officer maintains all documentation of LAVTA's and the contractors' investigation policies, processes, forms, checklists, activities, and results. Investigation reports are prepared and shared with the Safety Committee (LAVTA/contractor) for integration into their analysis of the event.

The Safety Committee determines whether:

- The accident was preventable or non-preventable;
- Personnel require discipline or retraining;
- Latent factor(s) (beyond human factors such as errors, violations, the condition of an individual, or lack of communication or coordination between individuals, equipment and infrastructure failures in vehicles or technological components, organizational or environmental elements, or elements outside of the agency's control) contributed to the safety event;
- The causal factor(s) indicate(s) that a safety hazard contributed to or was present during the event;
- There are larger factors outside the control of the agency; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior, such as management elements, and agency/contractor policies and procedures.

(Activities used to monitor information reported through internal safety reporting programs).

The Chief Safety Officer and Safety Committee (LAVTA/contractor) routinely (bimonthly meetings) review safety data captured in employee safety reports, safety meeting minutes, customer complaints, and other safety communication channels. When necessary, the Chief Safety Officer and Safety Committee ensure that the concerns are investigated or analyzed through LAVTA's SRM process.

The Chief Safety Officer and Safety Committee also review internal and external reviews, including audits and assessments, with findings concerning LAVTA's safety performance, compliance with operations and maintenance procedures, or the effectiveness of safety risk mitigations.

4. Safety Promotion

Competencies and Training

(The safety training program is relayed and promoted to all agency employees and contractors directly responsible for safety)

LAVTA's comprehensive safety training program applies to all LAVTA employees and contractors directly responsible for safety, including:

- Bus vehicle operators,
- Dispatchers,
- Maintenance technicians,
- Managers and supervisors,
- Agency Leadership and Executive Management, and
- Chief Safety Officer and Accountable Executive.

LAVTA dedicates resources to conduct a comprehensive safety training program, as well as training on SMS roles and responsibilities. The scope of the safety training, including annual refresher training, is appropriate to each employee's individual safety-related job responsibilities and their role in the SMS. Contractors are required to conduct trainings and report status updates to LAVTA's Chief Safety Officer.

Basic training requirements for any employee or contractor operating LAVTA services, including frequencies and refresher training, are documented in the LAVTA Employee Handbook (Exhibit 6), MV Employee Handbook (Exhibit 7), Operator Requirements and Training Program (Exhibit 8) and/or Maintenance Safety Handbook (Exhibit 9).

Operations safety-related skill training (contractor) includes the following:

- New-hire bus vehicle operator classroom and hands-on skill training,
- Bus vehicle operator refresher training,
- Bus vehicle operator retraining (recertification or return to work),
- Classroom and on-the-job training for dispatchers,
- Classroom and on-the-job training for operations supervisors and managers, and
- Accident investigation training for operations supervisors and managers.

Vehicle maintenance safety-related skill training (contractor) includes the following:

- Ongoing vehicle maintenance technician skill training,
- Ongoing skill training for vehicle maintenance supervisors,
- Accident investigation training for vehicle maintenance supervisors,
- Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
- Training provided by vendors.

LAVTA's Accountable Executive and Agency Leadership and Contractor Management staff must complete FTA's SMS Awareness online training and an executive session on safety management sponsored by LAVTA's transit insurance pool.

Safety Communication

(The processes and activities by which safety and safety performance information is communicated throughout the organization and to contractors)

LAVTA's Chief Safety Officer and Director of Finance (providing the human resources function) coordinate LAVTA's safety communication activities for the SMS. Contractors will, at a minimum, mirror LAVTA's frequency with which safety updates and performance information is communicated to employees and/or as required contractually at monthly meetings and report back to the Chief Safety Officer. LAVTA may also inquire and poll employee and contractor staff to ensure their awareness of the latest safety information shared. These activities focus on the three categories of communication activity established in 49 CFR Part 673:

- **Communicating safety and safety performance information throughout the agency:** LAVTA communicates information on safety and safety performance in its quarterly newsletter and during quarterly All-Staff Meetings. LAVTA also has a permanent agenda item in all monthly Drivers' Meetings (contractor) dedicated to safety. Information typically conveyed during these meetings includes safety performance statistics, lessons learned from recent occurrences, upcoming events that may impact LAVTA's service or safety performance, and updates regarding SMS implementation. LAVTA also requests information from drivers during these meetings, which is recorded in meeting minutes. Finally, LAVTA's Director of Finance, who oversees human resources, posts safety bulletins and flyers on the bulletin boards located in all bus operator and maintenance technician break rooms (contractor areas), advertising safety messages and promoting awareness of safety issues.
- **Communicating information on hazards and safety risks relevant to employees' roles and responsibilities throughout the agency:** As part of new-hire training, LAVTA distributes safety policies and procedures, included in the LAVTA Employee Handbook, to all employees. LAVTA and contractors provide training on these policies and procedures and discuss them during safety talks between supervisors and bus operators and vehicle technicians. Contractors will also communicate their own safety information and trainings as outlined in Exhibits 2, 3, 7, and 8 to staff. For newly emerging issues or safety events at the agency, LAVTA's Chief Safety Officer issues bulletins or messages to employees that are reinforced by supervisors in one-on-one or group discussions with employees. Contractors communicate this information to their employees, log, and report back to the Safety Committee (LAVTA/contractor).
- **Informing employees of safety actions taken in response to reports submitted through the ESRP:** LAVTA provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, including handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors. This information is also relayed to contractors so they can pass it on to their staff.

5. Plan Approval and Updates

Name of Person Who Drafted This Plan	Michael S. Tree, Executive Director	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	 Executive Director	10/20/2020
Approval by the Board of Directors	LAVTA Board of Directors	Date of Approval
	Resolution 32-2020	12/7/2020
	Relevant Documentation	
	A copy of LAVTA Resolution 32-2020, approving the Public Transportation Agency Safety Plan (PTASP) and LAVTA's SMS, is maintained on file by the Director of Finance, LAVTA	

Version Number and Updates <i>(History of successive versions of this plan)</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		New Document	12/7/2020

Annual Review and Update of the Public Transportation Agency Safety Plan <i>(The process and timeline for conducting an annual review and update of the PTASP)</i>
<p>This plan will be jointly reviewed and updated by the Chief Safety Officer and Accountable Executive by July 1 of each year. The Accountable Executive will review and approve any changes, signing the new PTASP, then forward to the LAVTA Board of Directors for review and approval.</p>

6. Definitions of Terms Used in the Safety Plan

LAVTA incorporates all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

- **Accident** means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
- **Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan, in accordance with 49 U.S.C. 5326.
- **Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
- **Event** means any Accident, Incident, or Occurrence.
- **Hazard** means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Incident** means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.
- **Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk.
- **National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
- **Occurrence** means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
- **Operator** of a public transportation system means a provider of public transportation as defined under 49 U.S.C. 5302.
- **Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
- **Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.
- **Public Transportation Agency Safety Plan** means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673.

- **Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.
- **Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.
- **Safety Assurance** means processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
- **Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
- **Safety Management System** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.
- **Safety performance target** means a performance target related to safety management activities.
- **Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
- **Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.
- **Safety Risk Management** means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.
- **Serious injury** means any injury which: (1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date when the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface.
- **Transit agency** means an operator of a public transportation system.
- **Transit Asset Management Plan** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

7. Commonly Used Acronyms

Acronym	Word or Phase
ADA	American's with Disabilities Act of 1990
PTASP	Public Transportation Agency Safety Plan (Part 673)
CFR	Code of Federal Regulations
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
LAVTA	Livermore Amador Valley Transit Authority
MPO	Metropolitan Planning Organization
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
SMS	Safety Management System
SRM	Safety Risk Management
U.S.C.	United States Code
VRM	Vehicle Revenue Miles

Livermore Amador Valley
TRANSIT AUTHORITY

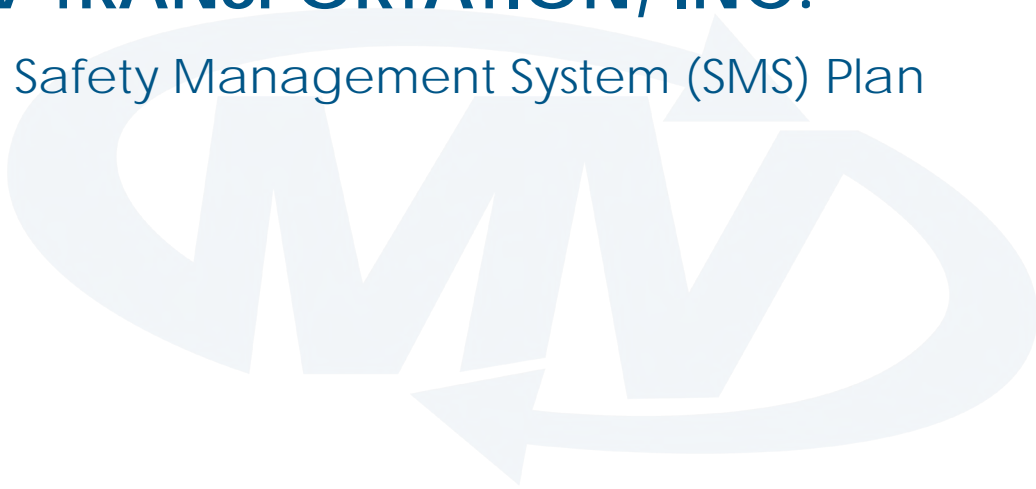


LAVTA SMS Hazard/Risk Report Form

This report concerns:	<input type="checkbox"/> Hazard <input type="checkbox"/> Risk <input type="checkbox"/> Near Miss <input type="checkbox"/> Other		
Hazard Type:	<input type="checkbox"/> Policy/Procedure <input type="checkbox"/> Operational <input type="checkbox"/> Environmental <input type="checkbox"/> Equipment/Design <input type="checkbox"/> Training		
REPORTED BY:	<input type="checkbox"/> Employee <input type="checkbox"/> Customer/Passenger <input type="checkbox"/> Other:	ie: PD or FD	
NAME:		LOCATION:	
Description of Safety Concern:			
PHOTOS:		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Severity Analysis: According to Severity Matrix	<input type="checkbox"/> 1 Catastrophic <input type="checkbox"/> 2 Critical <input type="checkbox"/> 3 Marginal <input type="checkbox"/> 4 Negligible		
Recommended Safety Risk Mitigation:			
Supervisor/Safety Manager Comments/Actions:			
Supervisor/Safety Manager:			

MV TRANSPORTATION, INC.

Safety Management System (SMS) Plan



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1. Safety Management Policy

Safety Management System (SMS) Policy Statement

MV Transportation, Inc. is committed to providing the highest level of safety for the public, our employees and contractors. Satisfying our customers' special needs with 100% regulatory compliance and the lowest possible risk is our first operational priority. We will never increase our risk of accident or injury to solve operational problems in the course of providing the *Best Customer Experience*.

To meet that commitment, MV Transportation has adopted the [Safety Management System \(SMS\)](#) and developed safety policies and activities in support of an effective SMS. This plan is based on the four components of SMS: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

Every employee and contractor are directed and empowered to administer the SMS and its specific activities for the prevention, control, and resolution of unsafe conditions and actions. The primary objectives of this SMS plan are to proactively identify and mitigate safety hazards and risks, promote a positive safety culture, and maintain regulatory compliance.

Our safety objectives are to:

- Ensure that effective safety management systems and processes are integrated into all of our activities.
- Designate an individual responsible for the safety function who reports directly to the Chief Executive Officer of the company and authorize that individual to develop and implement programs to promote safety.
- Ensure all employees and contractors are aware that safety is their primary responsibility and they are held accountable for delivering the highest level of safety in their daily work activities.
- Clearly define the safety accountabilities and responsibilities to all employees and contractors, including the responsibility of managers and supervisors to develop, implement, and enforce safety rules and procedures in their respective work areas.
- Provide all employees and contractors with appropriate safety information and skills training; ensure employee and contractor competence in all safety matters related to their position with the company.
- Develop and embrace a positive safety culture in all of our activities that recognizes the importance and value of effective safety management and acknowledges that safety is the number one operating value in everything we do.
- Ensure a culture of open reporting of all safety hazards, ensuring that no action will be taken against any employee who discloses a safety concern through the proper chain of command, unless such disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.

- Promote and maintain a positive safety culture with positive recognition and reinforcement of safe behaviors.
- Ensure that all equipment, systems and services meet our safety performance standards through periodic audits and inspections.
- Establish performance metrics and measures of our safety performance against our safety performance indicators and safety performance targets.
- Continually develop and improve our safety processes through actively monitoring, measuring, and reviewing our performance against our objectives and targets.
- Conduct safety and management reviews to improve our safety performance and ensure that relevant and corrective actions are taken.
- Comply with all state and federal regulatory requirements and standards.

Signed:



Thomas Egan, Chief Executive Officer

Date: 10-28-2019

1.1 Commitment to Safety Statement

Providing the highest level of safety for all MV Transportation employees, passengers, and the communities we serve is our core operating value. Safety is at the forefront of delivering the *Best Customer Experience* and is the first of our key components of successful performance.

Doing work safely must be the foundation of all operational activities. Safety standards will never be compromised, subordinated or diminished by any other goal. Safety is the process that drives all functions and activities and is at the center of everything we do at MV Transportation.

MV Transportation is committed to being the safest organization possible and is committed to an incident and injury free workplace and security excellence. We will review and continually improve our practices to continuously drive improvements in safety, health, environmental, and security performance.

Accountability is fundamental to our mission. Every individual at MV is responsible for working and acting safely and embracing safety as a lifestyle. Compliance with this Commitment, applicable laws, and other requirements is the responsibility of every employee and contractor acting on our behalf.

Safety leadership is a core responsibility of management and is the company's most important management value. Managers at all levels will set the standard in our industry, from the Chief Executive Officer to the first-level supervisor.

Every employee is responsible to:

- Promote and maintain a safe work environment for all personnel and our passengers.
- Act consistently to influence safe behaviors and eliminate unsafe behaviors, actions and decisions.
- Go above and beyond the minimum safety standards of his / her job.
- Directly participate in all aspects of our safety program.
- Abide by all applicable safety rules and regulations.
- Work with management to decrease our exposure to risk.
- Immediately report all incidents/accidents and hazards.
- Complete all assigned safety training programs to continuously enhance safety skillset.
- Intervene in an activity if it is observed that its being conducted with an unacceptable level of risk.
- Encourage and reinforce the safe behaviors of others.
- Resolve circumstances responsibly that require corrective action.
- Insist upon an unwavering commitment to safety.

MV leadership is committed to supporting this statement with the resources and accountability necessary to achieve safety excellence.



Tom Egan
Chief Executive Officer



Mark Collins
President and Chief Operating Officer

Contractor Management

It is the responsibility of MV Transportation to ensure that contractor work practices meet established safety standards of the agency and any and all federal, state, and local regulations and requirements. (Safety Policy S-10).

MV Transportation will monitor contractor compliance through scheduled and unscheduled safety audits of equipment, work sites and practices, regulatory compliance, and required records. Significant violations, especially in areas of safety, will be addressed by the appropriate management person, and may include termination of the contract or other legal action.

1.2 Safety Management System Development

This Safety Management System (SMS) plan was developed to outline our systematic procedures, practices, and policies for managing risks and hazards. Additional plan elements are available as references to support the information outlined in this document.

Key definitions of our process throughout our Safety Risk Management includes the following:

- A **hazard** is a condition or object with the potential of causing injuries to personnel, damage to equipment or structures, loss of material, or reduction of ability to perform a prescribed function. The potential for harm is defined as **safety risk**. It refers to the chance that people, equipment, or the environment could be harmed by the consequences of a hazard.
- What is done to address and reduce that risk is **mitigation**.
- **Consequence** means an effect of a hazard, involving injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
- **Event** means any accident, incident, or occurrence.

This SMS plan will be reviewed periodically to continuously improve in our mitigation of safety risk. We will review and continuously improve our practices to drive continuous improvement. Effectiveness at the site level will be determined at least annually through the Safety Director audit. Reviews may occur more frequently.

This plan outlines the SMS activities for all employees and contractors employed by MV Transportation. Additional manuals and procedures should be referenced for more in-depth procedural detail. We will work with the transit agency at the site-location level to ensure these activities are also featured in their Agency Safety Plan.

1.3 Operations and Maintenance Procedures

It is the policy of MV Transportation that company operations and all personnel will comply with all applicable requirements federal and state safety regulations (Safety Policy S-10).

The system will be monitored for compliance with and sufficiency of operations and maintenance procedures. Non-compliance will be addressed through training, coaching, and management oversight, among other approaches. Non-compliance may result in disciplinary action, in

accordance with our policies and procedures. Insufficient procedures will be addressed through the Safety Risk Management process outlined in this plan. Any task that cannot be done safely should not be attempted until it can be done safely.

It is the responsibility of the operator to perform thorough Daily Vehicle Inspections (DVI) and submit those reports to dispatch personnel. It is the responsibility of the mechanics to review and repair all defects before the vehicle goes back into service. The procedure is listed out in greater detail in our Maintenance Manual. Monthly audits of facilities including yard and surrounding areas will also be conducted to verify OSHA compliance and hazard identification, mitigation and resolution.

A vehicle with a safety defect is reported immediately by the operator. The vehicle shall be removed from service and not returned until repaired or replaced as soon as possible. In cases when the defect prevents the vehicle from being safely driven back to the garage, it is towed using a contracted service.

No operator or other authorized employee is asked, required, or permitted to drive a vehicle with a known major safety defect and is required to wear a safety vest as well as any other appropriate PPE.

As outlined in our Maintenance Manual, it is the responsibility of the maintenance manager to provide the general manager with a detailed account of the day's vehicle status and maintenance activities. The maintenance manager shall ensure the operations manager is kept up-to-date on all daily meetings and reports.

It is the policy of MV Transportation that maintenance managers are responsible to ensure all fleet vehicles are systematically inspected, maintained, and repaired. The preventative maintenance intervals shall conform to the OEM service specifications, FTA standards, and contractual requirements. (MP-03-02 – Preventative Maintenance). All reasonable maintenance services are to be conducted in accordance with OEM standards. (MP-03-10 – Seasonal Maintenance).

Please refer to the Maintenance Shop Safety Manual and Maintenance Manual for further detail outlining policies and procedures, as well as our Safety Vest Policy S-46 and Yard Safety Procedures.

Safety in Design, Acquisition and Procurement

Operational safety and passenger safety are the highest priorities when defining vehicle and facility design requirements. Design criteria are established to ensure the equipment meets or exceeds all safety, flammability and environmental requirements and meets all state and federal standards and regulations. MV Transportation's Procurement Department owns the procurement process and works closely with all impacted departments.

Conditions covered in the Contract Specifications include verification of compliance, commencing with the design phase and periodic inspections and testing during the construction phase performed by qualified consultants. A thorough inspection and system testing is performed before the equipment is conditionally accepted.

The Procurement Group works in conjunction with the maintenance, safety, and operations department when purchasing personal protective equipment for employees, controlling

chemicals and other hazards in the workplace, mandating safety requirements in specific contracts and requiring compliance from specific vendors and clients with MV Transportation's safety requirements.

1.4 Employment and Recruitment Selection

MV Transportation follows industry practices when hiring employees and contractors, including employment, criminal background, and MVR reports as required. Our hiring practices are compliant with FTA regulations on pre-employment / new hire testing and onboarding.

1.5 Drug and Alcohol Program

The Drug and Alcohol Program Manager is responsible for administering the corporate program. The location Designated Employer Representative (DER) are responsible for location program compliance. The policies and procedures conform to the drug and alcohol regulations of the United States Department of Transportation's (DOT), Federal Transit Administration (FTA) and/or the Federal Motor Carrier Safety Association (FMCSA), based on the service environment that the agency and contract operates under. The policy identifies that employees are subject to testing and includes the testing requirements, prohibited behavior, consequences of positive results and resources for employee assistance and rehabilitation.

MV Transportation is committed to a Drug and Alcohol free workplace through a Zero Tolerance policy. Participation by covered employees in MV Transportation's prohibited drug use and alcohol misuse program is a condition of employment. Supervisors must not permit a safety-sensitive employee to perform his/her job function if the employee has violated any provision of the Policy. Our Drug and Alcohol-Free policy extends to contractor personnel in safety-sensitive positions.

1.6 Workplace Violence Program

MV Transportation is firmly committed to providing a workplace free from acts of violence or threats of violence. In keeping with this commitment, the Company has established a policy strictly prohibiting any employee from threatening or committing an act of violence in the workplace, while on duty, while on company related business, or while operating any vehicle or equipment owned or leased by the Company.

Assistance is needed from all employees to achieve a workplace secure and free from violence. MV is committed to a "zero tolerance" policy and compliance with this policy in respect to workplace violence is every employee's responsibility. Any and all incidents involving an act or threat of violence must be reported immediately to the employee's supervisor or the Human Resources department. Any employee may do so without fear of retaliation of any kind. After the incident is reported to a supervisor, he/she will report the matter to the Human Resources department, who will conduct an investigation and take appropriate action.

Any employee who engages in or contributes to violent or threatening behavior may be subject to disciplinary action, up to and including termination.

1.7 Fitness for Duty

Fitness for duty is determined by Human Resources and Safety Management. It is the policy of MV Transportation that all drivers are professionals that manage fatigue and come to work well rested and prepared to provide a full measure of safe and reliable customer service (Safety Policy S-18).

All employees that take medical leave must provide a return to work release from his/her health care provider prior to returning to work. The return to work statement should be submitted to the Leaves Manager in the Benefits department.

Employees returning to work after 30 days or more break in service will be required to undergo a background check, return-to-work physical and drug test, as permitted or required by applicable federal or state law which includes but is not limited to regulations and requirements set forth by the DOT, FTA, FMCSA, OSHA and ADA.

1.8 Policies and Procedures Review

All policies and procedures require periodic reviews for applicability and accuracy. Policies and procedures include a revision date to ensure that all copies of the document are current. Specific policies and procedures are reviewed by department managers with the assistance of the Human Resources Department. Changes to policies and procedures will be made at the corporate level after a thorough review has been performed.

The contractor's safety policies and procedures will also be reviewed periodically for accuracy and compatibility with MV Transportation policies and procedures.

To submit a request for revision, individuals must complete a Change Request. Details of the request must include the policy or procedure, description of the requested process change, any known impact, and implementation efforts.

1.9 Employee Safety Reporting Program (ESRP)

Our front line employees are our best source of information for identifying hazards. Nobody knows more about the actual safety performance of the transit system than the employees who deliver the service.

The Employee Safety Reporting Program (ESRP) is intended to help the Accountable Executive and other senior managers get important safety information from across the transit agency. It can be an agency's most important source of safety data.

There are two types of safety reporting programs: mandatory and voluntary.

- **Mandatory:** Employees must report hazards that are compliance-based and address regulatory issues. Employees are required to immediately report every incident and accident. An employee's failure to report or provide false information of an unsafe hazard or act could result in disciplinary action.
- **Voluntary:** Employees are strongly encouraged to report hazards and can report anonymously. Every employee is empowered to report any unsafe hazard / risk to their supervisor or senior management without fear of retribution or penalty.

Employees will have the option to report anonymously to maintain confidentiality. The ESRP is non-punitive and employees will not be disciplined for the act of reporting the Hazard or Near Miss. However, employees must report hazards that are compliance-based and address regulatory issues. Record falsification, Drug & Alcohol violations, gross negligent behavior, and failure to report accidents/incidents and serious safety hazards are examples of employee behaviors that may result in disciplinary action.

Forms of reporting can include submitting a completed SMS Hazard/Risk Report Form (found in the Appendix) or utilizing a centrally located Safety Suggestion Box at the division location. The transit agency may also have an additional form of Employee Safety Reporting.

The Hazard/Risk Report Form shall be completed immediately, so proactive measures can be taken as soon as possible. Depending on the perceived level of risk and severity, the report shall be submitted immediately or by the end of their shift.

Input by employees into the ESRP can include safety concern reporting, operational system description, hazard identification, safety deficiencies, risk assessments, potential consequences of hazards, or recommended safety risk mitigations.

Examples of reports may include the following;

- Safety hazards in the operating environment (for example, county road conditions)
- Policies and procedures that aren't working as intended (for example, insufficient time to complete pre-trip inspections)
- Events that senior managers might not otherwise know about (for example, near misses)
- Information about why a safety event occurred (for example, radio communication challenges contributed to an incident)

The information we receive through this source will help us resolve the reported hazard and notify the supervisor or senior management of changes that may need to be made to mitigate safety hazards in the future.

The Safety Department will lead the effort on collection, analysis, resolution, and monitoring of hazards and feedback entered through the ESRP. The Safety Department will take the lead on the Safety Risk Management process, with inputs from subject-matter experts in operations and maintenance.

Information collected through our ESRP will feed into our hazard identification and analysis process. Please reference that section of the plan for further information on mitigation, resolution, and communication.

1.10 Authorities, Accountabilities & Responsibilities

Safety accountabilities and responsibilities span from corporate organizational roles to contract management and front-line employees. All employees are responsible for safe operations, as outlined in our Commitment to Safety statement.

The **CEO** provides strategic direction and has the responsibility for providing the leadership and resources to carry out the Safety Management System plan.

Agency Leadership and Executive Management are tasked and authorized with making sure that the organization safety policies and procedures are followed and communicated to their direct reports, general managers, managers and front-line supervisors. They will provide positive leadership and direction in maintaining the safety policy as a major priority in all operations. This group is responsible for providing resources to acquire and maintain safety and health equipment, devices and programs. They will support safety standards and behaviors ensuring that steps are made to identify and mitigate hazard and risk.

The **Safety Leadership team**, including the Chief Safety Officer, VP of Safety, or Director of Safety, has the authority and responsibility for making sure the safety policies and procedures are adhered by and promoted by senior management, department supervisors and managers, area safety directors and key safety team members. The Safety Leadership team will stay informed of law changes or updates concerning employee safety and record keeping and will amend safety policies as required. This group will conduct periodic reviews of safety standards to remain current with federal and state requirements. They will provide guidance in maintaining a high standard of safety training programs and assist in analyzing safety data to identify future mitigation strategies. The Directors of Safety will conduct an annual audit to ensure compliance with Federal, State and Local rules and regulations as well as company policies and procedures.

Key Staff, including Department Supervisors, Managers and all other employees, are tasked with following all company safety policies to include, but not limited to, FTA, FMCSA, USDOT, ADA safety regulations. Managers and Supervisors are responsible for staying current on all internal and external safety training. They are also responsible with reporting or responding to accidents, injuries, near misses, unsafe working conditions and potential hazards within their scope of influence. Supervisors and Managers will evaluate employee performance ensuring each employee's safe behavior and work methods and coach, retrain and discipline as required. They will conduct monthly facility audits to ensure compliance. They are also responsible for promoting the ESRP and reviewing and resolving all submissions responsibility.

In addition to the above overview of safety roles and responsibilities by group, the following highlights the site-specific roles and responsibilities. This is in addition to the responsibilities listed out in our Commitment to Safety (page 4) and SMS plan objectives (page 2).

General Manager: Ultimate responsibility for the safety performance of the location and authorizes activities to support an effective SMS.

Operations Manager: Responsible for promoting operational safety and adhering to our policies and procedures.

Safety and Training Manager: Responsible for the day-to-day implementation and operation of the SMS.

Maintenance Manager: Responsible for OSHA compliance and site-specific maintenance activities.

Trainers / Instructors: Responsible for ensuring that we are training every employee to proficiency in accordance with our performance standards.

Supervisors: Responsible for playing an active role in SMS activities, including sufficient road observations and identifying potential safety hazards with recommended solutions.

Location Safety Committee: Responsible for ensuring that reported safety items are reviewed and addressed, as well as discussing proactive measures to mitigate future risk.

1.11 Emergency Management Integration and Procedures

Every site location is to maintain an updated Emergency Action Plan (Safety Policy S-21). The purpose of the Emergency Action Plan is to assist employees and management in making quality decisions during times of crisis, and to comply with regulatory standards for Emergency Action Plans.

The Facility Emergency Action Plan will be reviewed and updated annually. Certain practice drills are to be planned and carried out for preparedness during emergency scenarios.

The Emergency Action Plan is available on our intranet site and should be printed and stored in the division.

1.12 SMS Documentation and Records

Processes that require documentation or forms to support an effective SMS are listed out in this plan within the corresponding section.

Site locations that are subject to the PTASP Final Rule will be required to maintain documentation and recordkeeping for a minimum of 3 years.

2. Safety Risk Management

The FTA defines Safety Risk Management as a process within the agency's Public Transportation Agency Plan for identifying hazards and analyzing, assessing, and mitigating the safety risk.

Through risk identification and assessment, a determination is made of the probability and severity of potential losses. Safety and loss control programs are developed to modify and eliminate or reduce the risks of these exposures.

2.1 Accident and Incident Reporting and Response

It is the policy of MV Transportation to minimize injury, damages, pain and suffering for people involved in vehicular mishaps involving MV vehicles, to promptly respond, report and to thoroughly investigate these occurrences. (Safety Policy S-32)

All incidents, including near misses and minor events, should be reported as soon as possible – whether or not the incident did or could have resulted in personnel injuries, illnesses, or property damage.

The incidents shall be immediately reported from the scene. Operator at scene shall immediately contact Dispatch and provide incident details.

When possible, it is the responsibility of the General Manager to make sure that a manager or supervisor responds to the accident to ensure care for our driver and equipment, secure the incident site, preserve evidence, review of accident investigation and proper review of company liability.

The initial accident/incident claim line information sheet should be completed with details to convey to our claims hotline.

Accident and incident response procedures will vary depending on the severity of an incident (“major” vs. “minor” definition thresholds outlined in Safety Policy S-32). All employees, supervisors and managers should be knowledgeable on response procedures outlined in Risk Management SAF-001 Accident Procedures guideline and High Priority Event notification procedures.

The General Manager and Safety Manager are responsible for ensuring a timely investigation and report is completed.

Reports are reviewed by the department manager, who determines preventability (Safety Policy S-1). Reports may also be reviewed by Risk Management and the Director of Safety. Additional actions and activities may be requested from the Risk Management department or Regional Director of Safety.

Copies of the accident/incident reports and a summary are kept for review and reporting as necessary.

Work Injuries

Work injuries include any injury, occupational disease, or disability that arises out of, or in the course of, any work-related activity and requires first aid or medical treatment. Worker’s compensation OSHA-related injuries are considered work injuries for the purpose of this policy.

Injuries should be reported by the injured employee or a witness to dispatch or his/her immediate supervisor as soon as possible. If the injured employee needs medical attention, the appropriate response by coworkers (dispatch, supervisor, manager) is to:

- Assess the injury.
- Call 911 if necessary.
- Begin emergency medical treatment, if willing and able.

- Continue treatment until emergency responders arrive.
- Inform Management or Director of Safety.
- Complete a written report as soon as possible.

The injured employee must complete an Employee Injury Report for the Human Resources and Safety department as soon as possible. In compliance with OSHA regulations, all reportable employee injuries will be recorded by a representative from the Safety department and a summary will be posted from February 1 to April each year for employee review.

The Supervisor will conduct an investigation to determine the root cause of the incident surrounding the injury (Safety Policy S-30). The Supervisor will issue a written report for review by Risk Management, Regional Manager - Maintenance, General Manager and Area Safety Director. Recommendations may be issued and will follow normal channels of communication. Investigative resources will include the Employee Injury Report, eyewitness accounts, employee interviews, equipment testing, and any other reasonable means to determine root causes. Injury reports will be kept on file for future analysis.

Accident and Incident Investigation

It is the policy of MV Transportation to investigate all incidents/injuries, to identify causes, and to correct deficiencies, if any (Safety Policy S-1). Effective incident investigation is an essential step towards making improvements in the system or process that can prevent future incidents from similar causes. It is the key to correcting and improving unsafe behavior in the workplace.

Identifying all factors that came into play to cause an incident, accident, or injury, and getting down to the root cause, is the only way to ensure proper steps will be taken to prevent a recurrence. This includes examining driving and work procedures and revising them if found faulty; and identifying violations of MV, OSHA, DOT, FTA, or other procedures, rules or regulations. (Safety Policy S-32)

After corrective actions have been identified and put in place, the management team or Regional Safety Director will follow-up to ensure that corrective actions remain in place and have effectively corrected incident causes.

2.2 Safety Hazard Identification and Analysis

Hazards identifications could be submitted directly, or could be derived from trends or other data analyses.

Hazards can be identified through a variety of sources, including;

1. Reviews
2. Observations
3. Investigations
4. ESRP
5. Passenger feedback

When a hazard has been identified, it will be tracked in a Safety Risk Register log, using the FTA template provided. This includes the description of the risk, rating of the risk, the action to address it, and how we are going to monitor that action for its effectiveness.

The hazard will be rated with an “as reported” risk assessment ranking, which will be followed up for a re-evaluation after a mitigation strategy has been implemented.

Reviews

- DriveCam scored or coachable events – driver specific or aggregated trends of at-risk behaviors
- Monthly performance or quarterly reviews of both leading and lagging indicators

Observations

- Road observations and ride checks
- Mystery rider program (if applicable at the site location)
- Customer/passenger comments
- Third-party notifications

Audits and Inspections

- Monthly facility inspection
- Daily walk-through
- Pull-out procedures
- New driver assessments (Safety Policy S-37)
- Refresher training (Safety Policy S-12)
- Annual safety director audit
- Maintenance audit

Investigations

- Accident and incident investigation
- Injury root cause investigation

Hazard Analysis

Once a hazard has been identified, it must then be analyzed. Analysis may include a description of the hazard, supporting results documents, photos, and/or suggestions for resolution. Unless a hazard can be eliminated, it's safety risk must then be managed. We analyze this in terms of how likely it is to happen (probability or frequency) and how bad it could be (severity). Hazard Probability Categories and Hazard Resolution Matrix, see [Attachment A](#), and then by determining the best method for remediation. Near Miss reporting will be collected through Dash Camera Systems, as well as encouraged through the ESRP. If not captured through a Dash Camera System, Near Miss reporting can be completed on the Hazard Risk Form and reported to the location Safety Manager or Supervisor.

2.3 Evaluation, Mitigation and Communication of Safety Risk

The last step is to develop possible mitigation strategies that address identified safety risks. In evaluating safety risks, identifying what is being done now vs. what can be done in the future is an important consideration.

The review must identify facts, establish root causes, and suggest methods for mitigating or preventing recurrence.

Statistics from accident and incidents are tracked and compared to performance measures and targets to identify where mitigations may or may not be effective.

The identified hazards are reviewed and assessed, and a priority is set based on severity of risk using the Hazard Resolution Matrix.

The Location Safety Committee plays an important part of hazard reduction and hazard resolution. The committee should provide inputs/ideas to ensure a safe work environment is established and maintained. (Safety Policy S-39).

Hazard Resolution and Communication

When the safety hazard and analysis has been completed, the location supervisor or manager who will then coordinate efforts with essential personnel to resolve the hazard in a timely manner. In cases where an immediate threat to safety exists, work will be immediately suspended by the location management while the hazard is addressed and mitigated.

Many hazards can be resolved through more than one means, but the general process for determining the best method should be by considering engineering controls, administrative work practices, or employee actions.

Communication of resolution and status of SMS activities is listed out in section 4 of this plan.

3. Safety Assurance

The FTA defines Safety Risk Management as a series of processes within a transit agency's Safety Management System that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Assurance subcomponents includes:

1. Safety Performance and Monitoring and Measurement
2. Management of Change
3. Continuous Improvement

3.1 Safety Performance and Monitoring and Measurement

Data is constantly collected through the transit agency's Safety Assurance activities. This will include both leading and lagging indicators.

Leading indicators are used to anticipate and prevent injuries and accidents. This data source can include information collected from road observations, ride checks, mobile blitzes, or the ESRP. Our behavior-based indicators, as measured by DriveCam or another safety monitoring technology, is one of our best indicators for future success, as it measures the unsafe behaviors present in our operation.

Our lagging indicators measures what has happened, including accidents and injuries. This metric allows you to analyze historical information, as well as view in real-time if your risk mitigation plans are reducing the accidents and injuries.

Safety performance indicators will help measure inputs, outputs, outcomes, or impacts. It is a signal or early warning sign.

Safety performance targets are quantifiable and is the expected change over a period of time.

Daily monitoring will be conducted through inspections, observations, and evaluations.

Safety Performance Targets are spelled out in the PTASP addendum of this plan.

Mitigation Monitoring

The Mitigation Monitoring plan helps ensure safety performance monitoring and measurement activities are performed to confirm that mitigations are effective, appropriate, and fully implemented.

A Mitigation Monitoring plan may include the selected safety risk mitigation, the indicators or targets, description of how it will be monitored, timeframe, responsibility, and updates.

While the Mitigation Monitoring plan addresses the mitigation and monitoring activities, the Corrective Action Plan documents the corrective action and helps address short-term defects or compliance issues. The Corrective Action Plan is intended to eliminate the behavior that caused the event, while Mitigation Monitoring is to continuously monitor the hazard.

The Mitigation Monitoring process is owned by the location's management team, with assistance from the Regional Safety Director. The Mitigation Monitoring process requires periodic reviews to ensure that the risk level is being mitigated and reduction of the frequency of the hazard is taking place.

A periodic audit of contractor safety plans, Safety Data Sheets, and Personal Protective Equipment requirements will be conducted by the Safety Team and the General Manager.

3.2 Management of Change

Our operating environment has many areas that can and will be subject to a change. Prior to implementation of a proposed change, an assessment will be performed by using the Hazard/Risk

Report form to determine if the change will impact safety performance or if there are any new hazards that will be present.

If a new hazard is identified, it is put through the SRM process and evaluated. A risk mitigation strategy will be created or modified to mitigate risk for that change. Once the change is made it will be monitored for effectiveness.

The size and scope of the change can vary from something small to something as large as new service or routes. Efforts will be made to assess if there is a possible impact to safety prior to operations taking place.

3.3 Continuous Improvement

The overall safety performance of the system and the performance of SMS activities will be continuously measured and evaluated to determine the effectiveness and appropriateness of risk mitigations.

The data and information that will be collected through Safety Assurance activities will tell us how we are doing and what areas we can improve on.

Insight through these sources may trigger more frequent reviews and a revised strategy to ensure that mitigations are effective.

Local management will work with the agency to determine frequency of meetings with the contractor management to review the SMS process.

4. Safety Promotion

4.1 Competencies & Training

It is the policy of MV Transportation that all employees will undergo new hire training based upon type of service and experience level. Mastery is verified through evaluations prior to being released to revenue service.

Job-specific training programs have been developed to enhance safety skills necessary for safe, secure, and reliable customer service. This includes training for operators, trainers, supervisors, maintenance staff, operations, and management personnel.

MV Transportation maintains a continuous safety communication campaign through the form of safety meetings (Safety Policy S-27). Every month, a fleet safety and injury prevention topic will be reviewed to refresh the fundamentals and key learning points. Annual refresher training on key areas will also be conducted along with periodic promotion of prevention activities.

Maintenance monthly training will focus on OSHA compliance for shop safety. The training complies with current state and federal standards and covers potential safety and health hazards as well as safe work practices and procedures to eliminate or minimize hazards.

Information concerning safety hazards or issues is provided to employees through new hire orientation, location safety committee meeting minutes, company-wide or departmental

meetings, Safety Team briefings, monthly safety meetings, bulletin board postings, memos, or other written communications.

All MV operators will receive refresher or remedial training, as necessary, throughout their employment with the Company (Safety Policy S-12). This can include, but is not limited to, defensive driving techniques, ADA and Wheelchair Securement activities, Fatigue Management, Pedestrian and Bicyclist awareness, as well as hands-on training. This training provides a procedure for evaluation job skills and determining subsequent retraining needs or employees who are returning to work after an extended leave, employees who have been involved in an accident and refresher skill training.

Training, retraining, proficiency checks, and safety meeting attendance will be recorded and documented.

Training records are kept by the department supervisors and managers and will include:

- Date of training
- Employee names
- Copies of training materials
- Training subject
- Location of training
- Name of trainer
- Signature of trainer and trainee

A training audit and training needs assessment will be conducted at least bi-annually, or as a result of activities that come out of the SRM process.

Safety Culture

Our Vision is to deliver the *Best Customer Experience* with industry-leading Safety, Reliability, and Innovation. Our fundamental safety belief is that Safety is a core business value and there is nothing more important than promoting and maintaining a safe operation.

Our Safety Culture Guide outlines the importance of implementing initiatives at the local level to promote a positive safety culture.

To foster a positive safety culture, supervisors and management should make every effort to demonstrate their commitment to safety, offering the highest level of respect and dignity and a genuine concern for the welfare of their workers. Supervisors and management will exhibit the behaviors they want to see as part of their location's safety culture.

Elements of our Safety Culture Guide include:

- Employee engagement and buy-in
- Accountability and ownership of employees
- Positive recognition
- Reinforcement of safe behaviors
- Safety award programs
- Administration of the Katherine McClary Safe Operator Award program
- Safety campaigns and blitzes
- Incentive and reward contests

Supervisors and managers will pay attention to, measure, and publicly acknowledge the desired behaviors and performance outcomes by workers. The purpose of this and other safety-related programs is to focus our employees on working safely, and then reward them for their success.

4.2 Safety Communication

Communication of the SMS

A variety of methods may be used to communicate the SMS plan, including updates or memos. Communication can include updates related to SMS concerns/issues, lessons learned, analysis, new requirements or tracking mechanisms, and/or roles and responsibilities.

It is the responsibility of the location management to train employees on how to identify and report hazards. Management and supervisors will encourage employees to report their safety concerns or hazards.

Safety actions that are taken in response to reports submitted through the ESRP will be communicated to employees during the safety meetings or posted in a common area.

Our Policy and Commitment to Safety statement will be distributed to all managers to be reviewed with all employees during initial onboarding. This will be reviewed at least annually to continuously promote a safe work environment and communicate our commitment to an incident and injury free workplace.

Our policies, procedures, written statements, and formalized plans that support our SMS activities are available to all managers through our intranet site.

Continuous Awareness and Safety Communication

Management and supervisors will facilitate in daily safety communication and planning engagement blitzes and campaigns accordingly.

Dispatchers will play an active role in this process by delivering safety radio announcements.

The Daily Safety Message will be printed and posted throughout the facility.

Material that supports the monthly fleet safety topic and/or injury prevention topic that is distributed from corporate will be displayed throughout the facility.

Additional means of communication includes:

<ul style="list-style-type: none">• New Hire Orientation Training• Operational Safety Calls• Safety Meetings• One-on-one dialogue between supervisors and employees• Safety Briefings/Toolbox Talks	<ul style="list-style-type: none">• Safety Bulletin Board• Safety Committees• Posters, Flyers, & Memos• E-mail Communications• Internal Websites• Video/TV Displays
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5. Supporting Resources

Maintenance, Facility & Fleet	Operator Safety	General Procedures & Regulatory Compliance
Maintenance Shop Safety Handbook	Employee Handbook	Code of Federal Regulations (CFR)
Vehicle Maintenance Plan (PM)	Safety Manual	Crime Prevention Environmental Design (CPTED)
Aerial Platform Certification	New Hire Orientation	Emergency Action Plan
Powered Industrial Truck (Forklift) Certification	Fitness for Duty Evaluation	Fire Prevention Plan
Clean Air Act (608,609)	Operations Policies and Procedures Handbook	HAZCOM Plan
Noise Protection	Recruiting and Hiring Practices	Hearing Conservation Program
Lock Out/Tag Out	Incident Management and Investigation	Heat Illness Prevention
Personal Protective Equipment	Safety Audits/Inspections	Lockout Tagout Program
Respiratory Protection	Safety Reports and Forms	Safety and Security Program
Welding, Cutting and Brazing Safety	Safety Communication TV Displays	System Safety Program Plan
OSHA 10-Hour	Wheelchair Certifications	System security and Emergency Preparedness Plan
OSHA 30- Hour	Defensive Driving Program	KMA Safe Driver Award Program
Heat Stress	Operator Refresher Training	Monthly Safety Meetings
Housekeeping	Safety Committees	Customer Service Training
HAZCOM	Safety Calendar – Weekly & Monthly Topics	Continuity of Operations Plan
Bloodborne Pathogens	Bi-monthly Safety Stand-down	

6. Plan Development

6.1 Approval and Updates

Name of Entity That Drafted This Plan	MV Transportation	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Relevant Documentation (title and location)	
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification
	Relevant Documentation (title and location)	

6.2 Version Updates

Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1		Creation	10/2019

6.3 Annual Audit and Review of Plan

Annual Audit & Review and Update of the Safety Management Systems Plan <i>Describe the process and timeline for conducting an annual review and update of the Safety Management Systems Plan.</i>



PTASP Addendum

Transit Agency Information

Transit Agency Name			
Transit Agency Address			
Name and Title of Accountable Executive			
Name of Chief Safety Officer or SMS Executive			
Mode(s) of Service Covered by This Plan		List All FTA Funding Types (e.g., 5307, 5310, 5311)	
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)			
Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Description of Arrangement(s)
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided			

Safety Performance

Safety Performance Targets

Safety Performance Targets						
Mode of Transit Service	Preventable Accidents per 100K miles	Employee Injuries (Rate)	Fatalities (Rate)	Safety Events (Rate)	System Reliability (Rate)	

Safety Performance Target Coordination

Safety Performance Target Coordination		
Targets transmitted to stakeholders	Name	Date Targets Transmitted





Attachment A

1 HAZARD PROBABILITY TABLE

Probability Level	Description
A – Frequent	Likely to occur frequently. Continually experienced in the fleet/inventory.
B – Probable	Likely to occur several times in life of an item. Likely to occur frequently in the fleet/inventory.
C – Occasional	Likely to occur sometime in life of an item. Likely to occur several times in the fleet/inventory.
D – Remote	Unlikely, but possible to occur in the life of an item. Reasonably expected in the fleet/inventory.
E – Improbable	So unlikely, occurrence is not expected. Unlikely to occur, but possible in the fleet/inventory.

2 RISK ASSESSMENT FREQUENCY/SEVERITY MATRIX

Frequency	Severity			
	1 Catastrophic	2 Critical	3 Marginal	4 Negligible
A – Frequent	1/A	2/A	3/A	4/A
B – Probable	1/B	2/B	3/B	4/B
C – Occasional	1/C	2/C	3/C	4/C
D – Remote	1/D	2/D	3/D	4/D
E – Improbable	1/E	2/E	3/E	4/E

3 HAZARD RESOLUTION TABLE

Severity / Frequency	Resolution
1/A 1/B 1/C 2/A 2/B 3/A	Unacceptable—correction required.
1/D 2/C 2/D 3/B 3/C	Unacceptable—correction may be required after review by CEO.
1/E 2/E 3/D 3/E 4/A 4/B	Acceptable—with review by CEO.
4/C 4/D 4/E	Acceptable—without review.

Attachment B

MV Transportation SMS Hazard/Risk Report Form			
This report concerns:	<input type="checkbox"/> Hazard <input type="checkbox"/> Risk <input type="checkbox"/> Near Miss <input type="checkbox"/> Other		
Hazard Type:	<input type="checkbox"/> Policy/Procedure <input type="checkbox"/> Operational <input type="checkbox"/> Environmental <input type="checkbox"/> Equipment/Design <input type="checkbox"/> Training		
REPORTED BY:	<input type="checkbox"/> Employee <input type="checkbox"/> Customer/Passenger <input type="checkbox"/> Other:	ie: PD or FD	
NAME:		LOCATION:	
Description of Safety Concern:			
PHOTOS:		<input type="checkbox"/> Yes <input type="checkbox"/> No	
Hazard Analysis: According to Hazard Severity Matrix		<input type="checkbox"/> 1 Catastrophic <input type="checkbox"/> 2 Critical <input type="checkbox"/> 3 Marginal <input type="checkbox"/> 4 Negligible	
Recommended Safety Risk Mitigation:			
Supervisor/Safety Manager Comments/Actions:			
Supervisor/Safety Manager:			

Hazard/Risk Resolution			
Is Hazard/Risk corrected "On the Spot"?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If the answer is "No" then proceed with the steps below:	
This report must be forwarded to the SAFETY DEPARTMENT; report is assigned to specific department(s) for hazard rectification; report is assigned a priority			
Priority:	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low		
Hazard/Risk/ Near Miss deficiency corrected?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Date closed if "Yes"	Date
If answer is NO, notify Safety department to begin continuing action for resolution, and send to the Safety Team or Staff for recommendations.			
List how the Hazard/Risk/Near Miss was resolved			
Date Resolved		Date	



Appendix

Please add any relevant contract documentation specific to plan.

FTA – MAP – 21 Safety Management System (SMS) Plan



April 17, 2019

Endorsements

CEO		Date
Chief Operating Officer		Date
Director of Risk Management		Date
Director of Maintenance		Date
Director of Safety Administration		Date

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Safety Management Policy

Message from Alaina

MTM and its affiliates have launched an internal Safety Culture Development program, which is designed to educate and instill a safety-first culture at all levels and parts of MTM using Federal Transit Administration (FTA)-suggested elements of safety. Employee compensation is aligned with safety performance. To embrace and support our commitment to safety, we put safety first for our customers, clients, and employees.



Safety takes a preeminent role in decision making before all other considerations. This Safety Management System Plan (Safety Plan) was developed to meet the Federal Transit Administration's new Safety Management System (SMS) guidelines and integrates SMS safety elements into all MTM locations and operations. Through the use of the procedures and processes detailed in this Plan, we will achieve a superior level of safety in our operations.

This Safety Plan establishes hazard resolution mechanisms to guide our managers in our safety processes and training initiatives, and it helps them identify and address hazards associated with our transportation services. It also ensures that we evaluate the effect that proposed changes will have on safety, and that we train employees properly on safety and create a culture of safety awareness.

MTM adheres to safety requirements during implementations, and our management teams provide the ongoing support to achieve our Safety Plan objectives. The success of this Plan depends on our employees understanding their responsibilities to meet the safety requirements of their positions and to support the overall safety culture. Its success also depends on employees prioritizing safety above all else and identifying potential hazards.

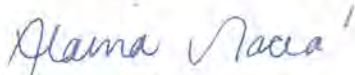
The Chief Operating Officer, Region Vice Presidents, Director of Safety Administration, Directors of Maintenance, General Managers, Maintenance Managers, and location Safety employees will implement and administer a comprehensive hazard identification and mitigation plan tailored after the established Military Standard 882- E, as outlined in this Safety Plan. This Plan will prevent, control, and resolve unsafe conditions/hazards that may occur while providing service to our clients. The Executive Safety Committee developed this Safety Plan, which applies to all MTM locations and employees.

By using this Safety Plan, MTM will achieve optimal safety and develop an effective safety culture to reduce at-risk behaviors. This proactive approach dictates that the organization, at all levels, remain actively engaged in the safety program.

As required by the Safety Plan, each MTM location will implement safety, health, and environmental controls and operating systems, procedures, and practices to maximize employee safety. All personnel will fulfill the safety requirements of their positions, and all supervisors and managers will enforce the safety requirements. Further, all personnel must support the implementation of the Safety Plan and provide support to achieve program goals.

We must appreciate the fact that our decisions and actions affect the safety of those in other areas of our operations. By following the processes described in the Safety Plan, we will improve our operational performance and safety. MTM is an industry leader in safety and customer service and places the safety and security of our customers and employees above all else.

Best regards,



Alaina Maciá
Chief Executive Officer

Safety Management Administrative Control Requirements

This Safety Plan that MTM and its affiliates have created communicates system safety goals and documents and defines the safety responsibilities, activities, and capabilities established to promote and improve system safety throughout all operations and services that MTM operates. It is designed to meet the new FTA MAP-21 SMS standards. The Safety Plan includes responsibility for monitoring compliance of our transportation operations and support activities, and for reinforcing safe work practices to identify risks and reduce accidents and incidents.

The Safety Plan describes how accountability for system safety is integrated and shared throughout the organization. It establishes mechanisms to address the safety implications of system modifications prior to making changes. It also provides a systematic method to identify and resolve hazards in an expedient and cost-effective manner, while maintaining the safest possible operating environment. Further, the Safety Plan provides the background, organizational structure, management processes, and descriptions of the operational facilities, systems, and personnel responsible to provide safe and reliable operations and maintenance. Finally, the Safety Plan identifies the relationship and responsibilities between MTM and the State, Federal, and local agencies and organizations impact our system safety. It is the primary mechanism to achieve internal and external safety and regulatory requirements.

The Safety Plan requires that all transit-related activities include hazard and risk identification and control throughout the planning, development, modification, operation, maintenance, and disposition of all systems, equipment, facilities, and other properties throughout their life cycle. The policy, goals, and objectives of the Safety Plan apply to all MTM personnel, including all hired subcontractors. All employees and hired subcontractors must adhere to safe work practices when in contact with passengers, other employees, private property, and the general public.

Purpose

The purpose of the Safety Plan is to establish formal mechanisms to:

- Establish system-wide processes to identify and analyze hazards and risks associated with MTM's operations to implement preventive actions to eliminate, control, or minimize their impacts by applying the SMS elements
- Establish Safety Management System responsibilities, which are primarily hazard identification and analysis, and ensure that tasks are assigned, understood, documented, and tracked in an organized and useful manner
- Implement system safety policies and procedures that can be measured, audited, and evaluated to determine the effectiveness of the Safety Management System. These include hazard and risk management activities and processes
- Satisfy Federal, State, and local requirements

The Safety Plan is used to prevent injuries, accidents and incidents, environmental damage, and other losses. The Safety Plan focuses on identifying hazards, assessing the levels of risk, and developing resolutions prior to the occurrence of an accident/incident, injury, illness, environmental damage, or other loss. As this hazard and risk identification and resolution process makes up the core of the Safety Management System, MTM will implement this process for every phase of our Safety Program, from conception through operation, and finally through disposition. The result of this process includes procedures and policies related to other subordinate and supportive aspects of the Safety Management System, such as safety certification of newly acquired facilities, rolling stock, and operations.

The effectiveness of the Safety Management System, this Safety Plan, and the hazard and risk identification and elimination processes described herein is evaluated through internal reviews of the day-to-day operations and activities. The internal reviews are used as a tool to modify safety-critical elements and system safety processes on a continuing basis, in turn optimizing operational safety and performance. The reviews are conducted according to industry standard practices and applicable regulations and requirements.

Scope

The Safety Management System and this Safety Plan apply to MTM's Program in its entirety, including all employees affecting, or affected by, its operations and services throughout all design, construction, testing, operations, maintenance, and disposition phases. It is not possible to address all the specific safety-related responsibilities of personnel and departments in a Plan of this type. Relevant documents such as rulebooks, standard operating procedures, plans, and other procedures are referenced and should be reviewed to achieve a complete understanding of the Safety Management System.

Goals

MTM is committed to ensuring that our operations and equipment are safe, and that its employees and subcontractors engage in safe work practices at all times. MTM has established a zero-tolerance policy for non-compliance with the Safety Plan and considers public, employee, and passenger safety to be a paramount consideration in all decisions. The ultimate goal of the Safety Management System is to achieve the highest level of safety for all of our clients, customers, employees, subcontractors, and the general public. This Safety Plan provides direction to all employees and contractors who are involved in activities that provide or support MTM's operations and services, and ensures a constant review of our records and practices through quality assurance activities, internal safety reviews, investigations, and daily oversight. The goals of the Safety Management System are to:

- Enable employees and contractors to identify, eliminate, minimize, and/or control hazards and their associated risks
- Promote and apply the SMS safety process elements to all our safety processes
- Promote a high level of safety awareness among employees, managers, and contractor personnel

- Operate a fiscally responsible program, using good business principles that make safety a management and work performance indicator that is just as important as productivity and work quality
- Provide safe, secure, and reliable service that protects employees and passengers and minimizes property damage to vehicles, facilities, and the environment
- Create a level of safety throughout MTM's operations that exceeds that of other transit companies
- Comply with the applicable requirements of regulatory agencies as well as all Federal, State, and local requirements
- Work with State, County, City, Metropolitan Planning Organizations, and other parties to examine transportation corridors, consider land use, economic activity, population patterns, and connections among these elements and transportation
- Maximize the safety of future operations through the design and procurement process.
- Foster the development of a system wide safety program and safety culture

The MTM Region Vice Presidents and Directors of Safety Administration and Maintenance have primary responsibility for monitoring the goals established by the Safety Plan. Progress toward meeting stated goals is continually evaluated through an internal safety review process.

Safety Performance Targets and Indicators

MTM has established the following performance indicators to monitor the ongoing success of its Safety Management System.

- Zero preventable accidents
- Zero employee injuries (non-lost time or lost time)
- 95% or greater on-time performance
- Zero missed trips
- 100% on-time preventive maintenance service

Departments and Departmental Safety Goals

Contact Centers

The contact centers' main functions are to manage trip intake entry for members. The Customer Care Representatives (CCRs) and Support Representatives (SRs) work in contact centers across the country and use phones, chat, or methods of self-service actions. The CCRs and SRs enter information on the members' trips into various online systems such as AS400, Reveal, and forms.



Safety issues in the contact center range from physically walking into buildings, obstructions in hallways, and areas with water that could make floors slippery. Tripping, slipping, and falling are the biggest concerns. There are smaller concerns, including not closing file cabinets and tripping or running into open drawers.

Safety Goals for Contact Centers

1. Zero preventable accidents
2. Zero employee injuries (non-lost time and lost time)

Safety Plan for Contact Centers

- Working with facilities to ensure parking lots are safe (salted, paved with no holes, clearly lighted)
- Walking through centers daily to ensure all obstructions, including wires, boxes, and papers, are cleared off the floor and pathways
- Ensuring all employees are trained on best safety practices to use office furniture and equipment

Finance and Accounting

MTM's Finance and Accounting team establishes and executes financial and tax strategy, and enforces policies for all financial activities. The team includes accounts payable and receivable, payroll, treasury, general accounting, financial reporting and analysis, budgeting and forecasting, pricing, data analytics, and financial audit. The Finance Department is accountable for accurately reporting all monthly statistics related to accidents and incidents. Visibility into past performance creates a culture of accountability and motivates employees to improve.

Safety Goals for Finance and Accounting

1. Zero preventable accidents
2. Zero employee injuries (non-lost time and lost time)

Safety Plan for Finance and Accounting

- Walking through office area daily to ensure all obstructions, including wires, boxes, and papers, are cleared off the floor and pathways
- Ensuring all employees are trained on best safety practices to use office furniture and equipment

Governance

MTM's Program Governance team consists of the Project Management team, which includes Business Implementation and Business Process Management; Quality Operations, which includes Quality Evaluations through Automated Voice Analytics, Complaint & Incident/Accident Management, and Credentialing; and Compliance, which includes Internal Audit and Review, Compliance, and Investigation.

The Business Implementation team is the primary point of contact in managing projects. The team manages all implementation activities surrounding new products, new clients, existing client expansions, and contract terminations. Business Implementation supports internal business initiatives, such as the Reveal software rollout, Salesforce development, protocol management, annual Operations Manual updates, and other process changes that impact multiple departments. Their goal is to ensure accountability and clear direction on the execution of project rollouts.

The Business Process Management team manages the processes for evaluating, prioritizing, and monitoring projects, initiatives, and opportunities across all areas of MTM. MTM's Quality Operations & Compliance departments oversee and monitor operations to ensure clients, providers, medical facilities, and members receive the highest quality services achievable. They track and trend complaints and satisfaction; monitor calls and report on quality outcomes; facilitates client audits and corrective action plans; perform internal audits of processes and procedures; maintain and review policies and procedures; and conduct investigations. Investigations may include examining suspected fraud and abuse. They also review member appeals and liquidated damages and ensure contract compliance. Further, they oversee both member and transportation provider credentialing; lead MTM's URAC (Utilization Review Accreditation Committee) Core Standard accreditation; and manage MTM's Compliance Program, which monitors performance metrics and program improvements.

Program Governance implements client programs and monitors compliance with CMS and the contracts. It monitors transportation providers and drivers to ensure they meet both client and MTM credentialing standards. These standards include clean background checks, clean driving records, adequate insurance, and up-to date licenses, and quality training to provide non-emergency medical transportation (NEMT). Vehicles must be titled and safety inspected. Additionally, Program Governance investigates and reports on complaints, incidents/accidents, and monitors on-time performance, vendor no-shows, and vendor turnbacks. The department works with its partners in the field to address issue root cause.



Safety Goals for Governance

1. Analyzing and trending 100% of complaints compared to the prior year
2. Validating and monitoring provider, driver, and vehicle credentialing checked each day
3. Monitoring provider performance to ensure compliance with contract requirements and Federal, State, and local laws and regulations completed monthly
4. Conducting internal audit activities to ensure accountability to procedures, processes, and metrics conducted quarterly

Safety Plan for Governance

- Working with the People and Culture Department to manage the Compliance Hotline
- Immediately addressing reports of safety concerns

Information Technology

IT manages the technology used throughout MTM. This includes the individual devices (e.g., laptops, tablets, monitors, etc.) and the applications on those devices, as well as the servers, networks, and software in MTM data centers and partner data centers. The IT team acquires, installs, and maintains equipment and designs, develops, and maintains many of the applications used throughout MTM. Most IT staff are in MTM's locations in Lake Saint Louis and Maryville, Missouri, and Overland Park, Kansas, but there are also IT employees in other MTM offices across the country and a few work-at-home employees. The main MTM data center is in St. Louis, with a backup facility in Houston, Texas. Safety issues in IT include movements at the office, lifting/carrying equipment, and repetitive stress issues. Injuries resulting from falling, straining, and repetitive work at computers are most concerning.

Safety Goals for Information Technology

1. Zero preventable accidents
2. Zero employee injuries (non-lost time and lost time)

Safety Plan for Information Technology

- Working with facilities to ensure parking lots are safe (salted, paved with no holes, clearly lighted)
- Walking through office areas daily to ensure all obstructions, including wires, boxes, and papers, are cleared off the floor and pathways
- Ensuring all employees are trained on best safety practices to use office furniture and equipment

Logistics Operations

The Logistics Operations Department oversees NEMT recruitment and performance. With over 1,500 transportation providers nationwide, Logistics manages the availability of transportation and successful completion of trips. MTM's transportation providers report all accidents/incidents through MTM's Quality line and e-mail. The Quality and Logistics Management departments then follow up as needed on any issues.

Safety Goals for Logistics Operations

1. Zero preventable accidents
2. Zero employee injuries (non-lost time and lost time)
3. 95% or greater on-time performance
4. Zero missed trips

Safety Plan for Logistics Operations

- Working with facilities to ensure parking lots are safe (salted, paved with no holes, clearly lighted)
- Walking through office areas daily to ensure all obstructions, including wires, boxes, and papers, are cleared off the floor and pathways
- Ensuring all employees are trained on best safety practices to use office furniture and equipment

Legal and Risk Management

The Legal Department/Risk Management oversees all legal and external matters, including accidents, incidents, litigation, investigations, compliance, mergers and acquisitions, personnel matters, and contract matters. The basic mission of the department is to build a strategic system to manage staff, technology, vendors, and internal resources; to manage claims and company-wide risk issues; and to track performance data and measure efficiency. The mission of Legal / Risk Management includes:

- Financial Management, Vendor Management, Cross functional Alignment, and Technology and Process Support
- Service Delivery and Alternative Support Models, Organizational Design, Support and Management, Communications, and Data Analytics
- Regulatory Compliance, Information Governance and Records Management, and Strategic Planning

Safety Goals for Legal and Risk Management

1. Zero workers compensation injuries
2. Zero wheelchair passenger injuries resulting from (a) improper securement of the wheelchair in the van; or (b) improper securement of the passenger in the wheelchair with seatbelt or other fastening device.

Safety Plan for Legal and Risk Management

- For Vendor Management, developing strong safety metrics for credentialing and approval of vendor drivers and vehicles
- Establishing stringent criteria for criminal background checks and motor vehicle driver records
- Approving or disapproving drivers on these criteria metrics

Maintenance

The Maintenance Department maintains MTM's rolling stock, maintenance shops, and grounds at MTM facilities and provides maintenance for the vehicles it operates. The department maintains and tracks maintenance schedules for all vehicles MTM operates and manages repairs and part replacements. Some facilities operate 24 hours a day and perform most of their maintenance activities at night when more of the fleet is off the road.

Safety Goals for Maintenance

1. Clean shops to reduce hazards and injuries such as slips and falls
2. OSHA compliance training for all shop employees
3. 100% on-time preventive maintenance service
4. Well-maintained vehicles that reduce safety issues

Safety Plan for Maintenance

- Providing hazard awareness training for 100% of maintenance employees
- Emphasizing shop cleanliness during training and employee performance reviews
- Fixing items that could cause potential injury to drivers or passengers
- Following proper preventive maintenance program
- Ensuring vehicles are in safe working order prior to them going out on route

Marketing

Marketing works to identify and source potentially successful products and services for the marketplace we operate in and then promote these products. We promote our services through social media, online venues, search optimization, drip campaigns, tradeshow, trade group participation, public relations, and events. Marketing also supports business acquisition through the Request for Proposal (RFP) process. The RFP team scans the marketplace for RFPs that fit MTM's guardrails, and then works with subject matter experts to prepare detailed and compliant responses that highlight our company's competitive advantaged.

The team also supports internal communication efforts through Core, the company's intranet, quarterly Vision presentations for employees, and other communications. This function is important as it ensures that all employees understand that safety is core to our mission, vision, and values.

Safety Goals for Marketing

1. Zero employee injuries (non-lost time and lost time)
2. One or more safety posts on Core each month
3. One or more safety recognitions each month
4. One or more safety presentations at industry events each year
5. One more publication of safety article in trade publication each year

Safety Plan for Marketing

- Using internal and external communication to emphasize our focus on safety
- Recognizing and highlighting employees who embody the safety culture that we are building
- Becoming a thought leader for safety by presenting on safety at tradeshow, posting safety blogs on our website, and publishing safety articles in trade publications. This will reinforce our safety message and attract like-minded individuals that want to work for a company with a strong safety culture.

Operations

The Operations Department runs the day-to-day operations in the company and oversees MTM sites where we conduct business for our clients. MTM provides non-emergency medical transportation services and transit operations for FTA recipients that provide public transportation services for paratransit and fixed route operations. MTM conducts business operations in 31 states and the District of Columbia.

Operations personnel are located at the MTM headquarters at the Maryville, Missouri site and work remotely in assigned areas of the country. Local Operations leadership is also onsite at the locations we provide the transportation services for hands on control of the services MTM provides.

Safety Goals for Operations

The Operations department safety goals align with company safety goals and include the following:

1. Zero preventable accidents
2. Zero employee injuries (non-lost time and lost time)
3. 95% or greater on-time performance
4. Zero missed trips
5. 100% on-time preventive maintenance service
6. Superior customer service and safe handling of all passengers

Safety Plan for Operations

- Working with facilities to ensure parking lots are safe (salted, paved with no holes, clearly lighted)
- Walking through office areas daily to ensure all obstructions, including wires, boxes, and papers, are cleared off the floor and pathways
- Ensuring all employees are trained on best safety practices to use office furniture and equipment
- Ensure that all operations employees follow safety policies and procedures

People and Culture

As teams under the People & Culture Department, both Human Resources and Training support MTM's safety goal. People & Culture strives to create a safe work environment by raising awareness and taking action on safety opportunities. We believe in consistent communication, education, and training to raise awareness and impact our safety performance. Throughout various HR and Training initiatives, our teams integrate safety into our practices. We have developed and conducted LEAD Training to educate leaders on use of emergency preparedness, and we support the delivery of TAPTCO training. Further, safety and emergency preparedness are topics included in all employee onboarding agendas.

Safety Goals for People and Culture

1. Annual compliance training received by 100% of new and existing employees, including general safety best practices, active shooter training, and identifying workplace safety hazards
2. Using the #SafetyFirst email burst to track and correct all reported workplace hazards in partnership with the Facilities Department, such as worn rugs, wire hangings, burned out lights, slippery floor conditions, spills, and other unsafe workplace condition
3. Educating the organization on safe workplace practices and policies that address both physical and emotional safety, through LEAD training, regular educational communications, annual compliance trainings, and general safety best practices



Safety Plan for People and Culture

- Partnering with the Facilities department to address safety hazards
- Educating employees on safe workplace practices and policies, both physical and emotional safety
- Tracking of all OSHA reportable accidents and days lost due to accidents

Reveal

Reveal is a MTM software program that provides a scheduling and tracking solution for MTM's operations. It allows MTM to provide our transit clients with a software solution for paratransit and fixed route services that competes favorably with other companies' software.

Safety Goals for Reveal

- Zero preventable incidents
- Zero employee injuries (non-lost time and lost time)

Safety Plan for Reveal

- At least two employees will be at the office and available if any incident occurs to ensure we do not lose any employee to any type of incident
- All cords will be kept under desks to avoid tripping hazards All areas will be kept clean and tidy to avoid slipping hazards in the office and kitchen areas
- Reveal will use its technology in as many as MTM locations as possible to increase on-time performance and prevent missed trips

Safety Department

The MTM Safety Department is responsible for communicating system safety goals to all of MTM. It designs policies that define the safety responsibilities, activities, and capabilities established to improve our system safety throughout all operations and services that MTM operates. In addition, the Safety Department is responsible for meeting the new FTA MAP-21 SMS standards. They monitor compliance of transportation operations and support activities, and reinforce safe work practices aimed at identifying risks and reducing accidents and incidents.

The Safety Department, in cooperation with other departments of MTM, ensures that accountability for system safety is shared throughout the organization and establishes mechanisms for ensuring the safety implications of system modifications are adequately addressed. In conjunction with Risk Management, they are responsible for identifying and helping other departments resolve hazards in an expedient and cost effective manner, while helping MTM maintain the safest possible operating environment for MTM's contracted services.

The Safety Department manages MTM's safety functions such as compliance with federal, state, and local regulations, and overseeing safety requirements for our contracts and clients we serve. Responsibilities include hazard management, accident investigation, safety certifications and safety training. The Safety Department Director of Safety Administration is the company's SMS subject matter representative. The Safety Department is responsible for developing our SMS implementation processes for MTM, coordinating with key staff to support SMS implementation, facilitating the development of SMS processes and activities, procuring technical resources for SMS implementation, communicating SMS implementation progress and challenges, and socializing SMS activities with other executives and staff.

Safety Department SMS Goals

- Identify SMS implementation roles and responsibilities for the appropriate staff in conjunction with the MTM Executive Safety Committee
- Help senior management designate key staff who will support SMS implementation
- Ensure that key staff receive SMS training
- Develop an SMS implementation plan with the MTM Executive Safety Committee, and communicate it throughout MTM
- Brief the stakeholders, Executive Safety Committee and planning partners on SMS and on this Safety Plan
- Help the Executive Safety Committee develop and implement the SMS implementation plan

Safety Performance Goals for Safety Department

- Zero preventable accidents
- Zero employee injuries (non-lost time or lost time)
- 95% or greater on-time performance

- Zero missed trips
- 100% on-time preventive maintenance service

Safety Plan for Safety Department

- Provide guidance and oversight to other departments in the event of an accident or injury

Elements of the Safety Management System Plan (SMS)

Introduction and Elements of the Program

The Federal Transit Administration's (FTA) mandate "Moving Ahead in the 21st Century" (MAP-21) recommendations require that a Safety Plan be developed for all transit agencies that must comply with the FTA statute element guidelines under the FTA's Bus Safety Management Program, which is supported and outlined by the American Public Transportation Association (APTA). MAP-21's Safety Management System (SMS) outlines requirements that must be met by all FTA funded bus transit systems operating in the United States. Since MTM provides public transportation for transit agencies in the United States, we created this Plan for our company safety guidelines to meet or exceed the new SMS requirements.

Safety management systems and their plans have four primary elements, which are described below.

Element #1: Safety Policy

Establishes senior management's commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet safety goals

- Establishes management commitment to safety performance through SMS
- Establishes clear safety objectives and commitment to manage to those objectives
- Defines methods, processes, and organizational structure needed to meet safety goals
- Establishes transparency in management of safety
- Fully documented policy and processes
- Employee reporting and resolution system
- Accountability of management and employees
- Builds upon the processes and procedures that already exist
- Facilitates cross-organizational communication and cooperation

Element #2: Safety Risk Management (SRM)

Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk

- A formal process within the SMS composed of:

- Describing the system
 - Identifying the hazards
 - Assessing the risk
 - Analyzing the risk
 - Controlling the risk
- The SRM process may be embedded in the processes used to provide the product/service

Element #3: Safety Assurance (SA)

Evaluates the continued effectiveness of implemented risk control strategies; supports the identification of new hazards

- SMS process management functions that systematically provide confidence that organizational outputs meet or exceed safety requirements
- AVS SMS has a dual safety assurance focus:
 - AVS organizations
 - Product/service providers
- Ensures compliance with SMS requirements and FAA orders, standards, policies, and directives
 - Information Acquisition
 - Audits and evaluations
 - Employee reporting
 - Data Analysis
 - System Assessment
- Provides insight and analysis regarding methods/opportunities for improving safety and minimizing risk
- Existing assurance functions will continue to evaluate and improve service

Element #4: Safety Promotion

Includes training, communication, and other actions to create a positive safety culture within all levels of the workforce

- Safety promotion activities within the SMS framework include:
 - Providing SMS training
 - Advocating/strengthening a positive safety culture
 - System and safety communication and awareness
 - Matching competency requirements to system requirements
 - Disseminating safety lessons learned
- Everyone has a role in promoting safety

These four supporting elements are comprised in different areas of this document in the order they are listed above. As an example, Safety Risk Management is covered in the next section of the document.

Safety Risk Management

Safety Risk Management uses hazard identification and hazard resolution to assess the needs of the organization and to mitigate risk. Hazard identification, analysis and resolution (i.e., Hazard Management) is the process used to identify, analyze and mitigate hazards associated with the design, construction, testing, startup, and operation of MTM's operations and services to ensure the safety of patrons, employees, and the general public. All hazards are categorized by severity and probability of occurrence, analyzed for potential impact, and resolved by design, procedures, warning devices, or other methods so that they fall within the prescribed level of risk acceptable to MTM.

Overview

The hazard management process is designed to proactively identify, eliminate, and control hazards before losses occur. It serves as the cornerstone of the Safety Management System and is based on a methodology that involves:

- MTM employees' understanding of its systems and functions and how these systems and functions relate to and interface with client operations and services
- Identifying the critical elements and steps (i.e., inspections, modifications, reviews, analyses, tests, etc.) that are necessary to achieve the desired level of safety
- Establishing processes and management controls to ensure identified critical elements and steps are consistently carried out
- Monitoring compliance with the processes established through safety data analysis, management reports, observations, internal audits, inspections, reviews of documentation, and other means
- Improving the processes by reviewing effectiveness of management controls in achieving the desired level of safety (i.e., through internal safety audits) and then modifying safety critical elements and processes on a continuing basis

Hazard Management Process – Activities and Methodologies

A hazard is any condition or set of conditions, internal or external to the system or system operation which, when activated, can cause injury, illness, death, or damage including loss of equipment or property or severe environmental damage. MTM ensures all of its personnel and contractors use acceptable hazard identification, analysis, and resolution methods as they pertain to the delivery of our clients' operations and services.

Hazard Identification and Analysis

The objective of the hazard identification and resolution process is to identify and define as many credible hazardous conditions as possible and to eliminate or control these conditions or associated activities prior to their causing or contributing to an accident/incident, injury, death

or other major loss or undesired event. This proactive approach stresses the thorough evaluation of systems and proposed modifications from a safety perspective before losses occur. The hazard identification and resolution process applies to all operations and services of MTM, with special emphasis placed on the initial stages of the design process for new equipment and new start projects, including applying the hazard identification and resolution process prior to implementing modifications of existing facilities, systems, or rolling stock. This is due to the large impact these activities often have on the system. Emphasis is also placed on the processes used for employee screening, hiring, and training, as these are key to preventing accidents.

Elimination and control of hazards requires a evaluating the cause and consequence of a hazard, eliminating or controlling the hazard, and implementing and monitoring hazard mitigations. All employees are responsible for identifying, reporting, and, when possible, eliminating and controlling hazards that they encounter. MTM identifies and reports hazards to our clients, including passenger complaints.

The hazard analysis process attempts to determine the factors that led to the hazard, likely or potential outcomes, and the impacts these outcomes will have on the system. This includes evaluation of the risks and priority associated with the hazard. Once these are evaluated, we take action to mitigate, control, or eliminate the hazard and its associated risks. Hazard management attempts to reduce the severity of accidents/incidents by introducing protective devices and equipment, procedures, and/or system modifications that reduce the amount of human and property damage in an accident/incident event.

Methods of Hazard Identification

Methods to identify hazards include conducting system inspections, audits, and regulatory inspections; evaluating reported hazards and complaints received from employees, customers, and contractors; reviewing accidents/incidents and system failure reports and conducting in depth investigations to identify causes; and conducting inductive and deductive hazard identification and analysis. While identifying every hazard within a system is impossible, the implementation of one or all of the aforementioned methods can greatly increase an agency's ability to identify, and eliminate or control hazards.

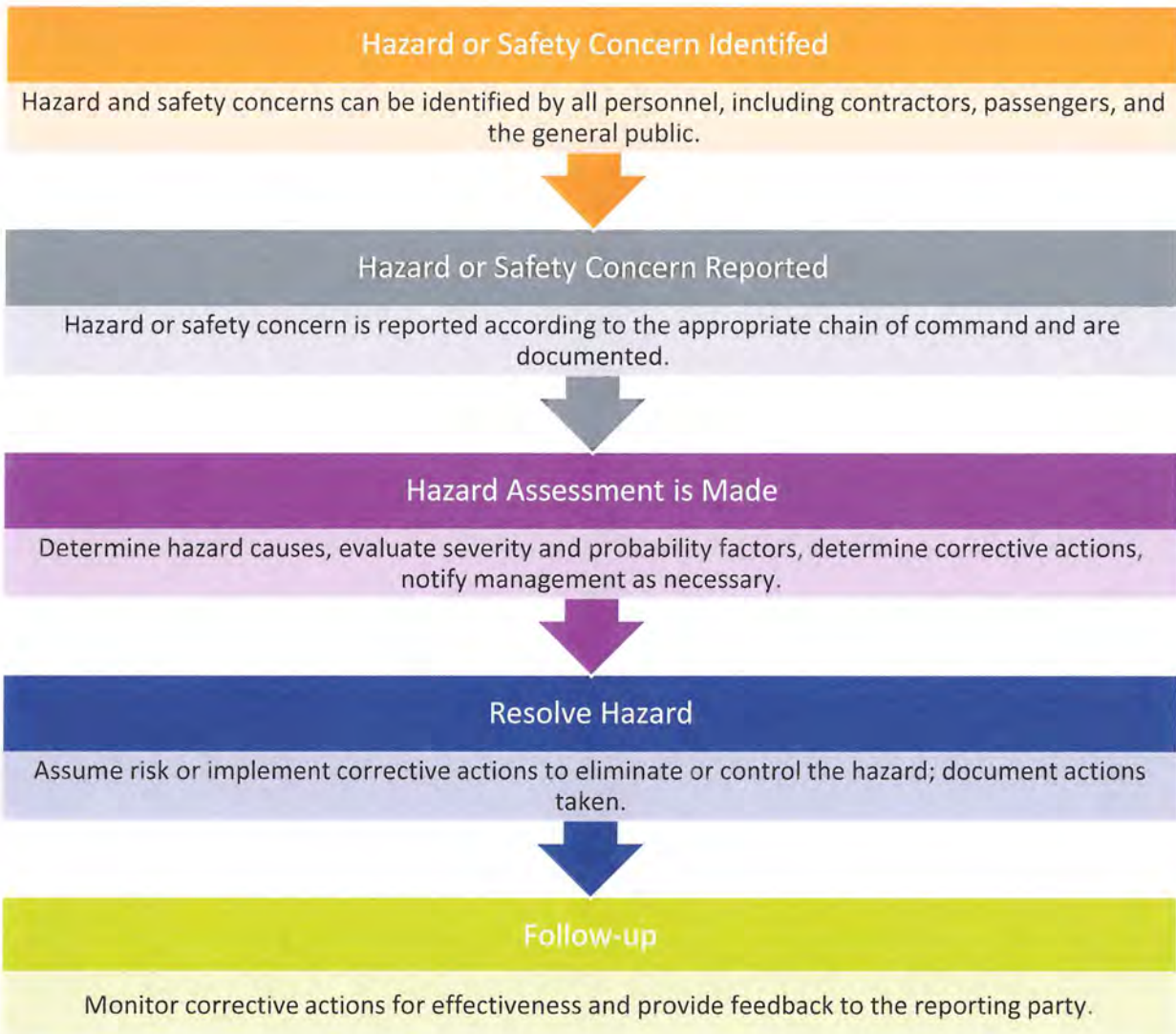
Through the implementation of this Safety Management Systems Plan, MTM has established a formal process for hazard identification and analysis through self-identification. This is done either through employees or through management techniques such as inspections and audits, or reviews of daily operating reports to identify trends. Conducting inspections and audits includes conducting site surveys and personnel interviews to evaluate employee work practices and work environments. The inspection portion of this method is used daily by all personnel during the performance of their job duties and requires an attentive eye or the use of safety checklists. Evaluating employee, customer, and location reports of hazards requires more in-depth activities, including conducting a site survey or performing interviews.

MTM personnel must identify and report hazards or potential hazards and secure the hazard area until it can be properly controlled or eliminated. Identified hazards will be reported immediately, according to the chain of command, either verbally or by using the MTM Hazard Identification Program Reporting Form, to the employee's direct supervisor, department management, and/or MTM's Safety Manager or General Manager. Hazards may also be reported to the MTM Safety Committee. The employee and his/her direct supervisor are required to formally document the hazard or safety concern. All reports are investigated, and hazards and deficiencies are corrected or resolved.

SMS encourages all employees to become safety officers and does not allow for discipline to any employees for reporting hazards, unsafe acts and unsafe conditions. All reporting of unsafe acts and unsafe conditions is recognized as a proactive safety measure by our MTM employees.

If a hazard or safety concern is so severe that it cannot be addressed by reporting to a supervisor or to a dispatcher, MTM's General Manager is notified. While MTM's staff and Safety Committee may continue to develop acceptable corrective actions, the General Manager, Safety Manager, Director of Safety Administration, and Region Vice President are responsible for the safety of each MTM location. The Region Vice President and Director of Safety Administration have final authority and approval of the corrective actions that will be taken or if the risk presented by the hazard is acceptable.

The Region Operations Manager's or Director of Safety Administration's decision is formally documented, and the results of employee reports are communicated back to the employee. MTM's hazard reporting process is depicted in the diagram below.



It is the responsibility of all employees to identify and report hazards and unsafe conditions. However, while MTM Safety Managers and Safety Supervisors work in or travel through various facilities and properties, they may identify hazards or unsafe conditions. As this occurs, if the hazard or unsafe condition cannot be immediately eliminated or controlled, the Safety Supervisor reports the hazard to the General Manager for resolution.

MTM also identifies hazards through reviewing accidents/incidents and system failure reports and conducting in-depth investigations to identify causes. Although MTM strives to prevent these problems, they can be used to improve the work environment and eliminate hazards. MTM conducts comprehensive investigations of these types of events, which determine their underlying causes and identifies hazards not readily identifiable during daily operations or through inspections, audits, or through employee, customer, or contractor reports. Once identified, the hazards are eliminated or controlled and tracked through a hazard identification log.

Hazard Categorization and Risk Management

Once hazards have been identified, MTM evaluates them to determine the level of risk or impact they may have on the system. Generally, the greater the probability of a hazard to cause injury or loss, the greater the risk is, and the greater the need to resolve the hazard. The severity of the consequences the hazard may present must be taken into consideration when evaluating the level of risk associated with the hazard. MTM assesses levels of risk and to determine what action(s) must be taken to correct and document hazards and their associated risks for each location. This assessment system is based on the US Military's MIL-STD-882E and is a qualitative calculation based on largely subjective judgments used to determine the risk associated with each hazard and the urgency for implementing corrective measures to eliminate or reduce risk. The risk assessment system has been incorporated into formal system safety analysis and enables decision makers to understand the risk involved in accepting a hazard in relation to the cost (schedule, dollars, operations, etc.) to reduce the hazard to an acceptable level.

Risk assessment includes evaluating hazard severity (categorizing the hazard) and evaluating hazard probability. Factors considered in this analysis include impact to project schedule and impact on the public's perception of safety on the system in the community.

Hazard Severity

Hazard severity is a subjective determination of the worst case that could result from human error, design inadequacies, component failure, or malfunction. Each level of severity is attributed both physical description (i.e., fatality, injury, property damage, etc.) and monetary value. The levels of severity are as follows:

- **Category 1, Catastrophic** – Could result in death, permanent total disability, loss exceeding \$1 million, or irreversible severe environmental damage that violates law or regulation
- **Category 2, Critical** – Could result in permanent total disability, injuries or occupational illnesses that may result in hospitalization of two or more persons, loss exceeding \$200,000, but less than \$1 million, or reversible environmental damage that violates law or regulation
- **Category 3, Marginal** – Could result in injury or occupational illness resulting in one or more lost workdays, loss exceeding \$10,000, but less than \$200,000, or mitigatable environmental damage without violation of law or regulation where restoration activities can be accomplished
- **Category 4, Negligible** – Could result in injury or illness not resulting in a lost work day, loss exceeding \$2,000, but less than \$10,000, or minimal environmental damage not violating law or regulation

Hazard Probability

Hazard probability is described quantitatively in potential occurrences per units of time, miles, trips/runs, or passengers carried. A hazard probability may be derived from the analysis of transit system operating experience, evaluation of each location safety data, or from historical safety data from other transit contracts that MTM operates. The probability levels are defined as follows (probability level definitions were derived from Military Standard 882E):

- A = Frequent: Likely to occur frequently to an individual item. Continuously experience in the system. Mean Time Between Events (MTBE) is less than 1,000 operating hours.
- B = Probable: Will occur several times in the life of an item. Will occur frequently in the system. MTBE is equal to or greater than 1,000 operating hours and less than 100,000 operating hours.
- C = Occasional: Likely to occur sometime in the life of an item. Will occur several times in the system. MTBE is equal to or greater than 100,000 operating hours and less than 1,000,000 operating hours.
- D = Remote: Unlikely, but possible to occur in the lifetime of an item. Unlikely, but can be expected to occur at some time in the system. MTBE is greater than 1,000,000 operating hours and less than 100,000,000 operating hours.
- E = Unlikely: So unlikely to occur, it can be assumed occurrence may not be experience. Unlikely, but possible to occur in system. MTBE is greater than 100,000,000 hours.

Hazard risk classification combines the hazard severity and probability into a single risk index. The hazard risk index values are used by grouping hazards into categories, which can be used to generate specific actions such as mandatory reporting of the most severe hazards to management for action. The table below provides the hazard risk matrix used for MTM to determine the actions taken in response to reported hazards.

Hazard Risk Matrix				
Probability of Occurrence	Severity of Occurrence			
	Category 1 Catastrophic	Category 2 Critical	Category 3 Marginal	Category 4 Negligible
A – Frequent	1A	2A	3A	4A
B – Probable	1B	2B	3B	4B
C – Occasional	1C	2C	3C	4C
D – Remote	1D	2D	3D	4D
E – Unlikely	1E	2E	3E	4E
Hazard Risk Index		Criteria by Index		
1A, 1B, 1C, 2A, 2B, 3A		Unacceptable		
1D, 2C, 2D, 3B, 3C		Undesirable – Management Decision Required		
1E, 2E, 3D, 3E, 4A, 4B		Acceptable With Management Review		
4C, 4D, 4E		Acceptable Without Review		

Hazard and Risk Resolution

Hazard and risk resolution is the corrective action taken in response to the hazard identification and risk assessment process. Both time and resource restrictions determine the level of resolution that can be accomplished. When possible, the MTM department in which the hazard exists works with the location site MTM Safety Manager to develop and implement the approved corrective action Plans. Both the MTM Safety Manager and the applicable MTM department track the corrective actions until the hazard is eliminated or controlled.

The goal is to first eliminate the hazard (if possible), and to then reduce its risks if it cannot be eliminated. If the risk cannot be eliminated or reduced, or if it is impossible or impractical to eliminate the hazard, the MTM General Manager may choose to accept the risk for all hazards related to MTM's operations. In these cases, we ensure compliance with all applicable rules, procedures, policies, and regulatory requirements. If the General Manager accepts the risk, it must be approved by the Chief Operating Officer or the Director of Safety Administration and applicable Region Vice President.

MTM resolves hazards by either engineering or management controls. Engineering controls are changes that are made to the system to eliminate hazards or to mitigate their risks. An example may be building a separate storage facility for hazardous chemicals or installing a protective barrier around rotating machinery. Management controls are changes made to the organization itself. An example may be posting signs or changing procedures to limit employee exposure to the hazard.

MTM uses the following order of precedence to eliminate or control hazards and their associated risks. A combination of several or all of the following may be used, depending on the nature and extent of the hazard:

- **Design for Minimum Risk.** Design will attempt to eliminate hazards. If an identified hazard cannot be eliminated, its associated risk will be reduced to an acceptable level through design selection. This may be constrained by time, money, manpower, or other limitations.
- **Incorporate Safety Devices.** If the hazard cannot be eliminated or its risk controlled to an acceptable level, safety design features or devices will be used to reduce risk to an acceptable level.
- **Provide Warning Devices.** If neither design, nor safety features, nor devices can reduce the risk to an acceptable level, warning devices will be used to detect the condition and produce an adequate warning signal to alert individuals to the hazard. Warning signals and their operation will be designed to minimize the probability of individuals reacting incorrectly to the signals and will be standardized and similar.
- **Develop Special Procedures and Training.** If the hazard cannot be eliminated through design or its associated risk adequately controlled through design selection, safety features/devices, such as personal protective equipment (PPE) or warning devices, will be used, followed by approved procedures and training. This is the least effective method of hazard resolution.

MTM reevaluates the control method after its implementation to determine and verify its effectiveness. If the hazard has been eliminated or controlled, or if level of risk presented by the hazard is deemed to be acceptable, the MTM Safety Manager will document this decision and notify all affected parties.

Minimum Requirements for Notification of Unacceptable Hazardous Conditions and Corrective Action Plans

Each MTM location must notify the MTM Director of Safety Administration of all unacceptable hazardous conditions. At a minimum, the Director of Safety Administration must be notified of:

- Malfunctions of safety critical systems that could result in a catastrophic or single-point failure
- Broken or missing safety-critical equipment, infrastructure, or systems that could result, or have resulted in, employee or passenger injury or damage to client or MTM property
- All complaints and safety-related comments that cannot be resolved locally and require support from the MTM support team

The local Safety Manager will investigate all reported hazards to identify root causes. The Director of Safety Administration will work with the MTM Safety Manager and all necessary departments and personnel to develop and implement corrective action plans to eliminate or control the hazardous condition. Corrective actions developed by each MTM location must be submitted to the Director of Safety Administration and their Region Vice President for review and approval prior to their implementation.

Safety Data Acquisition and Analysis

MTM gathers and analyzes safety program data through MTM's Cetaris Fleet Assistant fleet maintenance software database and other company databases. We use this software to monitor and evaluate the effectiveness of each location maintenance safety program and identify areas that may require additional attention; to measure MTM's progress in meeting safety-related performance targets; and to meet reporting requirements. Data that MTM analyzes includes employee injury and illness data, vehicle accident data, and operator and supervisor reports. MTM is required to notify our corporate team and insurance reporting hotline (through National Interstate Insurance reporting) of all accidents/incidents that have occurred, including the type and severity of each accident.

The MTM General Manager and Safety Manager track reported hazards through the MTM Hazard Identification Log, which is used for trend analysis, enabling the identification and resolution of potential system-wide hazards or deficiencies. The Hazard Identification Program Log stores, maintains, and tracks the corrective actions and the status of identified and reported hazards, and internal and external safety review findings. The Log also serves as a management tool and repository for past and future safety hazards identified MTM, passengers, and outside agencies such as the FTA. MTM uses the data included in the Log to generate reports that enable management to monitor safety performance over time.

MTM provides the data necessary for our clients to make its monthly reports to the National Transit Database (NTD) in accordance with NTD reporting criteria. These reports provide information pertaining to the different types of accidents/incidents, the total number of accidents/incidents, and the frequency rates of accidents/incidents. MTM may also track employee accident/incident trends through the OSHA 300 injury/illness log to determine high hazard work areas or job classifications, employee training and re-training needs, or to determine the levels of disciplinary action required following an accident/incident. Data is also gathered regarding workers' compensation claims and costs and is used for insurance purposes.

Vehicle maintenance and equipment failure data is gathered by MTM to ensure that preventative maintenance is being conducted on time and to evaluate equipment quality and warranty period performance. Equipment that fails within the time frame of the warranty period can be replaced at limited or no cost under the provisions of the warranty. Information pertaining to equipment that repeatedly fails or that requires high maintenance costs provides management with reasoning necessary for discontinuing its use and selecting different equipment or a different equipment manufacturer.

Once gathered, identified hazards are linked to the Hazard Management Process and used to correct, track, and report identified hazardous work areas and job classifications. Areas and job classifications that have high accident/incident, injury, and illness rates will typically contain hazardous conditions that cause or contribute to the accidents/incidents, injuries, and illnesses. These identified hazards will be investigated to find the root cause and causal factors. Recommendations will be provided to eliminate, mitigate, or control the hazards.

Safety Assurance



MTM monitors safety through data analysis and our internal Safety Auditing Program, which has many components, including performance targets and indicators, a hazard management program, and an emergency management plan.

To assure safety MTM identifies and determines the causes and implications of sub-standard performance and eliminates or mitigates these causes. Safety Assurance activities include:

- Investigating accidents and incidents to identify root causes
- Developing and maintaining formal activities to assess and control safety risks
- Monitoring and auditing operational and maintenance processes, including those of contracted service providers
- Monitoring the effectiveness of corrective action plans
- Managing processes that enable employees to report hazards
- Maintaining formal activities to identify service changes
- Implementing processes to maintain safety performance
- Eliminating or modifying safety risk controls that are no longer needed

Safety Performance Monitoring

MTM's process for monitoring the performance of its Safety Management System for each of its locations begins with regularly monitoring progress toward achieving performance targets and indicators. On a monthly basis, MTM collects and analyzes program data to determine if performance targets are being met. Summary statistics are presented to MTM's corporate management team that highlight areas where targets are being missed and surpassed. All instances in which targets are not being met are discussed to determine the reasons and implement corrective actions.

Safety performance is also monitored through an Internal Safety Auditing (ISA) Program designed to measure the ongoing effectiveness of the Safety Plan and determine the extent to which departments, personnel, and contractors are fulfilling their responsibilities under the Plan. It is the objective of the ISA Program to verify on an ongoing basis that safety processes have been developed and implemented in accordance with the Safety Plan and Safety Management System throughout MTM's operations. It is also the objective of the ISA Program to assess the effectiveness of the safety processes; to identify process deficiencies, potential hazards, and system risks; to verify that prior corrective actions are being tracked for closure and to evaluate their effectiveness; and to recommend system safety improvements. Any sub-contractor-provided services may be added and included in the program. The ISA Program encompasses the review and evaluation of the following:

- **Policy Statement** – An annual review of the Policy Statement is completed to ensure consistency with the most current practices and management objectives for each of our location contract programs. The policy statement must describe the authority that establishes the Safety Plan and must be signed by the CEO or Chief Operating Officer.
- **Purpose, Scope, Goals, and Objectives** – An annual review of the Safety Plan and Safety Management System is completed to ensure the purpose of the Plan is defined and is consistent with the most current management goals. Goals must be identified to ensure that the Safety Plan fulfills its purpose. Objectives must be identified to monitor and assess the achievement of goals.
- **Performance Targets and Indicators** – Performance Targets and Indicators are reviewed annually to determine performance and revised as necessary to strive towards continual performance improvements. Stated management responsibilities must also be identified.
- **Management Structure** – Every two years, a review of the Safety Plan is completed to ensure it presents the most current management and organizational structure, including organizational charts, scope of services, physical characteristics, and operations and maintenance aspects. It includes:
 - Verification that the Chief Operating Officer and Director of Safety Administration retain full authority for implementing a Safety Management System for all locations, and sufficient resources to implement the System are being allocated

- Verification that each location General Manager and has authority to support the implementation of the Safety Management System equivalent to that of other Managers and Senior Leaders
- Verification that the Safety Plan has been approved and adopted by each of our clients
- Review of stated safety functions and how they are integrated throughout each locations operations and services.
- **Safety Plan Review and Modification** –An annual review of the Safety Plan is completed to ensure it meets applicable regulatory requirements and remains consistent with the National Safety Plan as issued by FTA. It also includes verifying that MTM has processes in place to ensure the Safety Plan for transit remains a controlled document, but is also easily accessible to all personnel and subcontractors working for MTM. The annual review includes verification that only the most recent controlled copies of the Safety Plan have been issued and are being used.
- **Plan Implementation** – Entails a review of the activities conducted by the MTM location to implement and administer the Safety Plan and Safety Management System for the respective locations, including the activities, tasks, and responsibilities of each MTM location under the Safety Management System. This includes a review of all tasks performed by position and management accountability to implement and administer the Safety Plan, as well as all supporting procedures, policies, and documents.
- **Hazard Management Program** – Entails thorough review of the process for identifying, evaluating, controlling, and tracking hazards and risks including the development and management of corrective action Plans and their status. This includes the evaluation of processes used to implement the hazard management program throughout MTM's operations and services.
- **Management of Change** – Includes reviewing MTM configuration management processes, including those of each client contract, as they pertain to each location to verify their effectiveness. This includes reviewing processes for:
 - Making changes to location operating and maintenance rules and procedures affecting safety to ensure they remain applicable and correct, without introducing new hazards
 - Safety and Security Certification of new start projects, and major projects to extend, rehabilitate, or modify existing systems, or to procure or replace vehicles and equipment
 - Maintaining safety during System Modifications that do not require formal safety and security certification, but which have safety impacts
 - Procurement management to ensure safety principles are included to prevent the introduction of unsafe equipment and materials into MTM's operations and services
- **Safety Data Acquisition and Analysis** – Includes evaluation of the processes used to collect and analyze safety related data and the processes used to determine trends as they relate to system safety

- **Accident/Incident Reporting and Investigation** – Includes evaluation of the processes used to notify outside agencies of accidents involving each location including the NTSB, FTA, and OSHA (Each MTM location holds primary responsibility for making these notifications with support by the Director of Safety Administration), as well as the processes used to investigate and identify accident/incident causes, develop and implement corrective actions, and corrective actions with other outside entities as necessary
- **Emergency Management** – Includes reviewing emergency Plans and procedures to ensure applicability with MTM's operations and services, social behavior, and technologies, as well as emergency response agency implications and the effectiveness of processes for interdepartmental coordination
- **Facility and Equipment Maintenance Audits and Inspections** – Includes identifying facilities, equipment, and systems subject to regular safety related inspections and testing, and processes for reporting, documenting and tracking deficiencies, hazards, and corrective actions. This includes identifying and verifying established maintenance cycles and required documentation of maintenance performed on these systems and facilities, as well as inspections and audits of procedures and work practices to identify deficiencies, trends, and signs of sabotage, and the methods used to document and track deficiencies, hazards, and corrective actions
- **Training and Certification Review/Audits** – Includes review of MTM's training certification and re-certification programs, policies, procedures, and processes to ensure a comprehensive staff-training program exists for operations personnel and personnel directly responsible for safety and to ensure these programs are effective. It also includes verifying that an adequately trained Safety Supervisor conducts safety training
- **Hazardous Materials Program** – Includes the review of hazard communication programs and processes for chemical storage, procurement, SDS reviews, environmental management programs, and container labeling
- **Drug and Alcohol Program** – Includes the review of drug and alcohol policies to ensure consistency with State, Federal and Local regulations and management policies, as well as compliance with stated drug and alcohol policies

Internal Safety Audit Program

MTM, while fully involved in the operations and services of each contract, is responsible for overseeing the ISA Program to ensure that the Safety Plan is being implemented and continuously measured for effectiveness.

The results of each internal review/audit are provided in an Audit Report that lists a summary of the findings, details recommendations to correct open items, and provides an initial hazard analysis. Open findings are documented in the Action Plan Log of the audit, where all findings, recommendations, corrective actions, responsible departments and personnel, estimated closure dates, and status information are maintained. For each hazard and deficiency identified, a hazard risk assessment value is determined so the hazards and deficiencies can be prioritized for closure.

The MTM Region Vice Presidents and Director of Safety Administration plan a safety audit schedule to those locations scheduled for a review. At least seven days of notice is given to each location detailing the specific dates and times of the internal safety review along with a request for specific documentation to be evaluated during the review.

Accident/Incident Notification, Reporting and Investigation

MTM's Safety Management System is a proactive method of improving safety designed to identify and eliminate hazards before they can cause or contribute to accidents and incidents, rather than the traditional approach of reacting after accidents and incidents occur. Under this framework, the occurrence of an accident or incident can be viewed as a failure of the System. When implemented fully, the Safety Management System acts as an accident prevention program. While it is the goal to provide accident free service, this goal is not easily achievable in the public transit environment where the delivery of service is affected by numerous outside and uncontrollable factors. When accidents and incidents occur, MTM investigates to identify root causes and contributing factors so future events can be prevented. Effective accident/incident reporting and investigation is a key component of the Safety Assurance processes.

MTM conducts a formal, objective investigation of all accidents and incidents involving people or property, regardless of origin, the operator(s) involved, or the responsible party. As part of accident investigation procedures, MTM maintains accurate accident and incident data, including:

Accident/Incident Type		
Backing	Left Turn	Right Turn
Merging	Intersection	Fixed Object
Sideswipe	Hit in Rear	Passenger Fall
Rear-end	Passenger Behavior	Wheelchair Securement

- National Transit Database (NTD) Reportable Accidents, including events that are related to or affect revenue service, or affect persons engaged with the transit system and meets one or more of the following reporting thresholds:
 - Fatality, including suicides (Deaths resulting from illness or other natural causes are not reportable)
 - Immediate transport away from the scene for medical attention (1 or more persons)
 - Each person immediately transported away from the scene for medical attention, whether or not they appear to be injured, should be reported as an injury
 - Illnesses requiring transport for medical attention are not reportable.
 - Transport can be by any means (EMS, supervisor, etc.)

- Estimated property damage equal to or exceeding \$25,000, including all property involved, including damage to private vehicles, if applicable
- An evacuation for life safety reasons (A life safety event is one that presents an imminent danger to all people in or on transit property)
- NTD Reportable Incidents include:
 - Collisions (must meet a reporting threshold as described above)
 - Fires (must meet a reporting threshold as described above)
 - Hazardous material spills (must meet a reporting threshold as described above and require specialized clean-up)
 - Acts of God (must meet a reporting threshold as described above)
 - System Security Events (must meet a reporting threshold as described above), including the following and other miscellaneous security incidents:
 - Suspicious Packages
 - Bomb Threat/Bombing
 - Chemical, Biological, Radiological, Nuclear Release
 - Burglary
 - Vandalism
 - Hijacking
 - Arson
 - Sabotage
 - Cyber Security Events
 - Personal Security Events (must meet a reporting threshold as described above), including the following and other safety occurrences:
 - Homicide
 - Assault
 - Rape
 - Suicide/Attempted Suicide
 - Robbery
 - Larceny / Theft
- Whether or not the accident was preventable or non-preventable.
- Number, type and severity of injuries.
- Who was injured (i.e., passengers, employees, public).
- Damage estimates and final repair costs.

Notification Responsibilities

Once notified of an accident or incident, the MTM Location Dispatcher gathers as much information as possible regarding the event and immediately notifies applicable emergency response units (i.e., Emergency Medical Services (EMS), State and Local Police, Fire Department, and other emergency response agencies as necessary). The Dispatcher also notifies the MTM General Manager, Operations Manager, Road Supervisors, the Safety Manager, and other individuals as directed by the Operations Manager or General Manager. The General Managers and Dispatchers follow MTM's Standard Operating Procedures (SOP) for collisions (accidents) and incident reporting.

Accident/Incident Investigation

MTM thoroughly investigates all accidents/incidents and near misses and maintains applicable records, including corrective action plans developed as a result of investigation findings. This may include working with local and State Police during the investigation. The degree of the investigation and the parties involved depend on the type and extent of the accident or incident.

MTM encourages all employees to report near misses. The reporting of near misses by employees is non-punitive and is seen as a proactive way to prevent future accidents. In fact, we verbally recognize our employees for reporting near misses. MTM is authorized to conduct the investigation of the accident/incident in the most expedient manner possible. This includes the impounding, receiving, and examination of evidence related to the accident/incident. MTM also maintains the integrity of the evidence and the chain of custody. In fulfilling this responsibility, we may use secure facilities and assistance from the local and State Police forces. At no time will the investigation interfere with rescue operations.

MTM strives to identify the causes and contributing factors to the accident/incident and take immediate corrective actions to ensure that the same or similar type of accident/incident does not occur. It is critical that the accident/incident investigation process maintain a strong link to the hazard and risk identification and resolution process.

Hazards identified as a result of the investigation are evaluated according to the hazard identification and resolution process previously detailed in this Plan. Hazard resolutions are incorporated into procedures, designs, construction, modifications, and procurements to prevent further accidents/incidents of a similar nature.

Accident/Incident Investigation Report

MTM prepares and submits the Accident Report and, if required, a detailed Comprehensive Report of the accident/incident investigation.

Post Accident/Incident Investigation Activities

Because the primary reason for conducting an accident/incident investigation is to determine accident/incident causes and to prevent reoccurrences, it is critical to ensure that approved corrective actions are not only implemented, but also monitored to ensure and measure their effectiveness. All accident/incident information, including investigation reports, witness statements, photographs, corrective action Plans, and disciplinary action taken against an operator or employee as a result of the accident/incident, are documented and maintained by MTM. All accident/incident investigation findings including root causes and hazards identified during the investigation are linked and fully evaluated and managed through our accident reporting and investigation process.

Safety Validation of Change

Effectively evaluating and managing the impacts of changes on the transit system is essential to ensuring ongoing safety performance. MTM has developed formal processes to identify and evaluate changes in the organization before they occur to ensure system safety is maintained. This includes ensuring that all changes and modifications made to MTM's client systems, operations, services, facilities, equipment, vehicles, and other properties, as well as changes made to policies, plans, rules, procedures, and other documentation that may impact or be effected by the Safety Management System are systematically planned for, evaluated, approved by appropriate parties, and documented.

This safety validation of change process, which is also referred to as our configuration management process, is designed to ensure operational compliance with approved technical criteria and requirements, as well as to evaluate and control safety risks. Configuration management of documents involves controlling changes and modifications made to documents including, but not limited to policies, procedures, guidelines, rulebooks, training materials, drawings, schematics, manuals, catalogues, bulletins, notices, general orders, pamphlets, information related to replacement parts and components, or other technical data. Configuration management of facilities, systems, vehicles, and equipment begins during development of the final design and extends through construction, start-up, and operations, concluding with deactivation of the facility, system, vehicle, or equipment.

This configuration management process establishes a method for formally reviewing and approving proposed modifications to ensure the modification will be (1) compliant with applicable State, Federal, and local regulations; (2) will be compatible with and consistent throughout all existing policies, procedures, and rules; (3) will not reduce the safety and hazard controls already in place; and (4) will not introduce new hazards to the system. MTM administers this process for all client operations and services. This includes creating and maintaining operating, maintenance, and training materials to support the operations and maintenance of our clients' operations, unless our client specifies different procedures.

Configuration Management of Documents

It is the responsibility of all personnel whose duties entail the authoring and/or revising of documents affecting or affected by the Safety Program to thoroughly evaluate proposed changes to these documents to ensure changes meet the requirements of the review process. If the proposed changes do not meet one or more of the four requirements, they cannot be made.

Once a safety change has been thoroughly evaluated and made to a document, it is the responsibility of that document's authoring or controlling party to disseminate the revised document to the applicable personnel. It is also the responsibility of the authoring or controlling party to notify the applicable personnel at MTM of what other documents have been changed or must now be revised as a result of the change or modification.

Configuration management activities as they pertain to the Safety Program have not been assigned to a specific department within MTM, but are instead carried out by each of the individual departments within MTM and by the applicable management individuals responsible for and involved in the Safety Program. It is the responsibility of all personnel involved with the location's operations and services to not only implement the configuration management practices detailed by this Safety Plan, but to maintain up-to-date files or document libraries of all of the documents pertaining to the operation and services provided by MTM pertaining to their location. All personnel must remain cognizant and up to date regarding the rules, regulations, procedures, and/or policies related to their job responsibilities. MTM must maintain a central electronic and hardcopy library of documentation for the company and at the corresponding location.

Rules and Procedures Reviews

In order to provide safe and reliable service to its customers, MTM annually reviews and revises its operating and maintenance rules and procedures. We also review rules and procedures when accident/incident investigations determine the need for a change; in response to system modifications or changes including new system and equipment procurements; in response to changing Federal, State and local regulations and requirements; and as a result of findings generated through the ISA Program or audits performed by external agencies. We perform these reviews to ensure existing safety requirements are met; to verify that proposed changes do not create new hazards or present additional risks to the system; to ensure the effectiveness of existing safety controls will not be reduced; and that risks to personnel, passengers, contractors, equipment, facilities, and other properties or the environment will not be increased.

Rules and procedures subject to the review process include location operator training documents and standard operating procedures (SOP); vehicle, system, and facility maintenance manuals and procedures; training materials and programs; People and Culture policies and procedures; and safety programs, plans, and procedures. As a national contract service provider based in St. Louis, Missouri, MTM's establishes national procedures and adapted them to local conditions and requirements. MTM's Chief Operating Officer, Region Vice Presidents, Directors of Safety Administration, and Directors of Maintenance oversee this process, including how it is implemented for all locations. Disciplinary action is taken to ensure compliance with safety rules and procedures through our safety points policy that is detailed in the employee handbook.

Safety Certification

The Federal Transit Administration (FTA) requires that a formal Safety Certification Program be implemented for projects that receive funding from the FTA which is applicable for many of our transit clients. Safety certification is a multiphase process designed to verify that all planned safety activities are completed and properly documented prior to revenue operations or the start of services related to an contract acquisition, new service contract, or system modification; safety requirements included in contract specifications are properly interpreted,

designed, and incorporated into the project; safety related plans, procedures, and training materials related to the project are reviewed for consistency and compatibility with upgrades, changes, or modifications made throughout the project; and, new documentation is developed and approved prior to the start of revenue service.

The safety certification process includes hazard identification, analysis, and mitigation across the functions of our operations, safety, and maintenance safety areas. The process ensures that safety concerns and hazards are adequately addressed prior to the initiation of passenger operations for new projects and major projects to extend, rehabilitate, or modify the existing system, take over a new service contract, and replace vehicles and equipment. The process also applies to all other projects determined by MTM to be of sufficient significance to require formal safety certification. MTM has not needed to use this process up to the time of writing of this document.

The Safety Process begins with the identification of system safety requirements, including those detailed in technical specifications and design criteria applicable to the project. Hazard analyses, fault tree analyses, failure modes and effects analyses, and other safety and security assessment documents developed by the MTM and/or its subcontractors as part of the project are the primary means for determining implementation of safety design criteria. These analyses also verify that safety requirements have been implemented; identified hazards, threats and vulnerabilities have been mitigated; and verification methods (inspections, analyses, tests, etc.) have been used to demonstrate compliance.

Certifiable elements are next identified and include all project elements that can affect the system safety of passengers, employees, clients, subcontractors, emergency responders, or the general public. They can be broadly classified as (1) Facilities and Equipment, (2) Systems, (3) Integrated Test Requirements, and (4) Operational Requirements. Completion of activities in these areas provides assurance through documented evidence that the project conforms to all specified safety requirements. The certifiable elements for a project are defined by reviewing the project design criteria manual, project management Plan (PMP), and technical specifications, as well as past and similar projects.

The Safety Certification Process also includes the review of audits, inspections, and tests where the safety and security of customers and/or employees, equipment, or facilities could be affected by the improper or incorrect construction or manufacture of system elements. These audits, inspections, and tests cover facilities and system elements and may include inspections, qualification tests, performance tests, and acceptance tests. MTM developed the tests to verify the integration and compatibility of equipment, facilities, and operation/maintenance procedures to function together under normal, abnormal, and emergency situations. This includes verifying the environmental constraints and capabilities of the system and facilities that we will be providing to our clients.

Certifiable elements in each construction package are certified independently once all sub-element and sub-item submittals are received, reviewed, approved by the construction staff,

and verified. Any open items that remain in effect with operational restrictions are documented and attached to the certificate. These restriction(s) must be resolved and approved by the Director of Safety Administration or the Chief Operating Officer and our respective client.

Managing Safety in System Modifications

MTM's processes for reviewing system changes and modifications as they pertain to each location have been developed to ensure that proposed modifications and changes are compliant with all applicable State, Federal, and local regulations; are compatible with existing systems; will not reduce the safety and hazard controls already in place on the system; and will not introduce new hazards to the system. The review and approval process applies to:

- Changes in safety-critical processes or functions
- New construction projects or modifications to existing facilities, which are limited in scope and do not require formal safety and security certification
- Equipment acquisitions or modifications/overhauls of existing equipment
- Proposed system expansions including new routes or operating territories

The MTM Director of Safety Administration approves the System Modification Review and Process and that it is carried out during each phase of the project, beginning with the preliminary review process. The Director of Safety Administration also ensures the proposed change or modification is evaluated by qualified personnel to determine its effect on MTM's systems and the pertaining client operations. This requires reviewing applicable regulations, conducting site visits, reviewing specifications, and performing analyses, including preliminary hazard analyses, and/or fault tree analyses. These types of analyses may require the efforts of multiple departments and personnel, or the outside support and expertise of subcontracted personnel. Once changes are complete, personnel in the area in which the change occurred are responsible for monitoring and evaluating the effects the modification has had on the system or operation. All system changes must be thoroughly documented.

Managing Safety in Procurement

The procurement and implementation of new services, equipment, and other materials directly impacts the safety of our operations and services. It is necessary to ensure that the procurement process takes into account and evaluates safety risks prior to a new procurement being made. The procurement process attempts to ensure that services, equipment, and other procured materials will not degrade the safety of any of MTM operations and services. These requirements are met by including safety requirements in technical specifications and contracts; evaluating impacts on our operations and services in accordance with the hazard identification and resolution process; requesting Safety Data Sheets (SDSs) for new chemicals in accordance with the hazardous materials program; requesting and analyzing insurance requirements; requiring the submittal of certificates of compliance stating that all work has been performed in compliance with the technical specifications; evaluating replacement parts and sub-components; and monitoring performance.

When procuring services, equipment, and other materials, MTM's goal is to meet or exceed all Federal, State, and local requirements and keep our clients apprised of the process.

For most MTM locations, the client procures the buses and some of the durable maintenance equipment. MTM is typically responsible for procuring supervisor cars, uniforms, parts, fluids, and other materials to support operations and maintenance, and rents the maintenance facility and procures the utilities for the facility. MTM meets or exceeds client requirements related to the parts and fluids that are used on the buses to ensure equipment longevity. MTM also typically procures the maintenance and scheduling software used in many of the transit systems we operate.

During emergencies, the procurement of services, equipment, or materials may be necessary to maintain safety as well as MTM's client operations and services. These situations are considered emergency conditions and as such special procedures are enacted to respond to and control the event. Examples of emergency conditions or events, which may require the emergency procurement of services, equipment, or materials, include severe weather conditions, emergency response and recovery activities related to accidents/incidents, equipment failures and malfunctions, employee strikes or work stoppages, or any other reason that may create an immediate threat to public health, welfare, or safety.

In all cases, the procurement process is conducted according to company policies and procedures and the Hazard Management Program that is described in this document. All decisions regarding the procurement process are made with regards to safety and the effects and impacts the procurement will have on the safety of MTM's operations and services. Every effort is made to ensure the procurement of new services and equipment will not diminish the effectiveness of current safety processes or hazard controls, or create new or additional hazards within the system. All parties involved with or affected by the procurement are notified and continually informed regarding the procurement.

Maintenance and Inspection Programs for Vehicles, Systems and Infrastructure

Maintenance and inspection programs are necessary to maintain MTM's vehicles, equipment, systems and infrastructure in a state of good repair. Failure to administer such programs could result not only in a degradation of service, but a degradation of safety. MTM monitors and audits maintenance and inspection programs to measure safety program performance and ensure system safety is maintained. MTM has a robust maintenance program and will adhere to all scheduled maintenance timelines.

MTM is usually responsible for maintaining buses, maintenance equipment, and the maintenance facilities of our contracted services. The maintenance program is based on preventive maintenance, non-scheduled maintenance, and campaigns to improve fleet safety and reliability. This includes client operations, rolling stock, communications systems,

equipment, and facilities. All maintenance work is performed according to MTM's applicable preventive maintenance schedules, procedures, and/or manufacture recommendations.

Maintenance and inspections are also conducted as a result of accidents/incidents, employee or passenger complaints or notifications, warranty work, and/or safety analyses and hazard reports. Maintenance procedures are maintained in our maintenance facilities. The following summarizes key standards and procedures related to the maintenance safety compliance assessment and inspection processes of MTM:



- **Pre-trip Inspections.** All vehicle operators must perform pre-trip inspections of their vehicles prior to entering revenue service. All vehicle defects identified by the operator are noted on the applicable pre-trip inspection card and reported to maintenance personnel. If a vehicle has a defect or is damaged to the extent that the operator feels that it is unsafe for service, he/she must notify the Dispatch and MTM maintenance so that the vehicle can be repaired or replaced. If vehicles are safe for service, they are operated and all non-safety/security related defects will be corrected as soon as possible. Maintenance personnel maintain a record of all operator defect reports using the DVIR books, which are maintained for each bus.
- **Vehicle Accident/Incident Repairs.** All accidents/incidents involving vehicles are reported to Dispatch upon identification. Vehicles damaged as a result of an accident/incident are removed from revenue service, evaluated by maintenance personnel, and repaired as soon as possible, depending upon the degree of damage.
- **Preventive Maintenance.** Scheduled maintenance activities include, but may not be limited to, preventive maintenance programs tied to vehicle mileage, manufacturer recommendations, or industry standards. MTM established preventive maintenance programs for all MTM vehicles and the programs to identify and eliminate potential problems prior to the need for performing corrective maintenance, which can often be much more costly.

MTM Maintenance Supervisors monitor maintenance activities and ensure that required inspections and repairs are conducted according to schedules and procedures. Maintenance Supervisors also ensure that all repairs are made and documented according to local, State, and Federal regulations. In addition, MTM's operations, maintenance, and safety staff perform daily facility and equipment inspections as part of their normal duties to ensure the system remains safe and reliable. The MTM General Manager also conducts monthly inspections of the maintenance facility. Stations and stops owned and operated by outside parties are maintained by their respective owners.

The General Manager or the local management team may perform detailed facility and equipment inspections of our property and/or review inspection procedures, checklists, findings, and corrective actions developed and implemented. MTM inspects preventive maintenance records to identify hazards and verify the accuracy of inspection and testing data and methods. Audits and inspections may include interviews with MTM employees, reviews of procedures and records, first-hand observations of operating and maintenance activities, and visual examinations and measurements of vehicles, systems, and equipment.



MTM General Managers and Supervisors immediately notify their location's employees of any hazard identified in the workplace and of action to take to eliminate and/or control these hazards. It is the responsibility of the MTM department in which the hazard was identified to notify all other MTM departments and personnel that may be affected by or exposed to the hazard. It is also the responsibility of the MTM department in which the inspection took place to implement and monitor the success of proposed recommendations and corrective actions and to follow the Hazard Management Program as required by this Plan.

Inspection results, reports, recommendations and corrective actions, and follow-up activities taken as a result of the inspection are documented and maintained in the Hazard Identification Program Log. Work orders are generated to resolve identified issues, and the responsible maintenance divisions or contractors are notified.

The maintenance and inspection program functions as a component of the ISA Program and is directly linked to the Hazard Management Program. All findings are documented, evaluated, and prioritized for closure in accordance with the Hazard Management Program. Written checklists may be used to support the inspection process. Written reports are prepared detailing inspection findings, corrective actions, responsible parties for implementing the corrective actions, and estimated closure dates. Follow-up inspections are conducted to ensure action was taken.

Emergency Planning and Response

Effective emergency preparedness, response, coordination, and training are essential elements to minimizing losses during accidents or the occurrence of an emergency or disastrous event. The objective of emergency preparedness and planning is to ensure fast and efficient response to emergencies to minimize risk to the safety and health of passengers, employees, and

emergency response personnel, and to avoid unnecessary property loss. To meet this objective, MTM has a written comprehensive Emergency Response Plan (ERP), which establishes the roles and responsibilities to be carried out by our locations and by various emergency response agencies during emergencies. The ERP is supplemented by emergency operating rules. These documents should be referenced to gain a complete understanding of the responsibilities and policies regarding emergency preparedness, response, coordination, and training. During emergencies it is the policy of the MTM ERP to:

- Provide the most effective and timely response to any emergency or disaster to ensure the safety of the general public, passengers, and employees
- Provide for the immediate needs of individuals involved in the emergency and to ensure that all passengers, bystanders, and employees receive care and treatment
- Ensure that the highest practical level of service for all passengers is maintained by providing alternate or temporary service while striving to restore normal service and equipment in line with Emergency Support Function 1 - Transportation
- Coordinate with Federal, State, and local authorities to make available additional or alternative transit service as deemed necessary to support response efforts of these authorities. This response will be consistent with the federally initiated National Incident Management System (NIMS) and Incident Command System (ICS) adopted by Federal, State, and local agencies
- Ensure that customers, the public, and the media are presented with timely, accurate, and easily understandable information including information regarding service changes, disruptions, or re-routing
- Ensure protection and preservation of MTM and client assets
- Coordinate debris removal and cleanup activities with local, State, and Federal agencies. The Environmental Protection Agency (EPA) will be contacted for incidents resulting in environmental impacts
- Conduct incident damage assessments to determine the resources necessary for recovery and the services that can be restored
- Assist in any subsequent accident/incident investigation process conducted by Federal, State, or local authorities or agencies with regulatory authority including the NTSB, FTA, TSA, FBI, or other agencies
- Document and maintain records of all disasters or emergencies

Through our clients, administrative authority is given for the provision of transit and commuter transportation services, for the implementation of safety, security, and emergency preparedness requirements. This includes internal mobilization of personnel, resources, and additional services as deemed necessary by our clients or as directed by emergency responders and law enforcement agencies.

During an emergency or disaster involving personnel, and/or passengers, all personnel located at the scene of the emergency are under the authority of the Incident Commander (Fire, Police, etc.) and then under the authority of the MTM Operations Manager or Road Supervisor. These authorities will manage the incident consistent with NIMS/ICS.

Preparedness

MTM prepares for emergencies and disasters through training personnel and conducting tabletop and functional exercises, emergency drills, and individual unit drills, depending on our client requirements. Emergency drills demonstrate that personnel understand and carry out their individual roles and responsibilities during an emergency and are familiar with the requirements, equipment, and layout.

Discussion based exercises such as tabletop drills are conducted to prepare MTM and client personnel and participating agencies for emergencies. The purpose of these drills is to ensure everyone understands their roles and responsibilities during an emergency and to check that procedures are up-to-date with accurate information.

Functional exercises, such as full-scale exercises and emergency drills, are conducted to ensure that individuals clearly understand the step they must perform during an emergency. Typical drills include operators assisting passengers in deboarding; crowd control during an emergency; and Dispatcher personnel responding to operator-initiated emergency call-ins. These drills may also include personnel from external law enforcement agencies.

Response

The response phase of emergency management puts the planned emergency activities, responsibilities, and agreements into effect. The EPP, EOPs, SOPs, and interagency agreements in place have been written to ensure that when an emergency or disaster occurs, MTM management personnel and first response agencies and organizations will break down their areas of responsibility into manageable units, assess what has happened, what can be done, and what is needed. Response efforts focus on the preservation of lives concurrent with incident stabilization activities. These activities are conducted consistent with NIMS/ICS and often require teamwork with other State and local emergency response agencies.

Recovery

The recovery phase of emergency management includes the restoration of normal services and conditions and the assessment and documentation of emergency response operations. Depending on the nature and severity of the event and its aftermath, restoration of normal services and conditions depend upon other recovery activities.

Notification

It is the responsibility of MTM personnel and our clients to understand the requirements for proper notification when an emergency or disaster occurs involving the service we provide. To minimize and control the threat to health, life, and property, all appropriate parties are notified as quickly as possible to ensure a timely response to the disaster or emergency.

Interagency Agreement

Interagency or inter-department agreements may be necessary to ensure that all parts of our organization understand their roles and responsibilities during disasters and emergencies. These agreements identify the roles and responsibilities of each organization, the chain of authority, and necessary contact information.

Training of Personnel

Emergency Management Training may be conducted through training drills and tabletop exercises. Emergency response procedures are distributed to MTM location personnel and other stakeholders as part of the training program and by MTM departmental supervision based on the employee's scope of responsibility.

Environmental Management Program

Improper labeling, storage, and handling of hazardous materials can result in consequences that endanger the lives of employees, contractors, passengers, and the public, but also endanger our facilities, properties, equipment, systems and operations, surrounding public properties, and the environment. An effective environmental management program that addresses the procurement, use, and disposal of hazardous materials is essential to eliminating or reducing these consequences. All activities involving hazardous materials comply with applicable Federal, State, and local environmental protection laws and regulations, including those of the Clean Water Act, Clean Air Act, Resource Conservation and Recovery Act, and Comprehensive Environmental Response and Compensation and Liability Act.

MTM has established procedures pertaining to the disposal of hazardous materials/wastes related to hazardous material spills and/or releases. These procedures define personnel and department responsibilities when responding to emergency events involving hazardous materials/wastes, as well as responsibilities for the accumulation, recycling, and disposal of these materials. Appropriate procedures are followed when handling contaminated liquid waste; spent engine fluids such as engine oil, transmission fluid, hydraulic fluid, and antifreeze; caustic waste; non-hazardous liquid waste; spent oil filters; fluorescent light tubes and batteries; and scrap tires.

Safety Promotion



To promote safety, MTM provides employees with formal safety training, a formal means of communicating safety information, and a means for employees to report safety concerns.

MTM communicates safety information to employees through our MTM Employee Handbook, Injury and Illness Prevention Plan, and in this Safety Plan. The purpose of these documents is to ensure that employees are aware of Safety Management System requirements, that appropriate personnel in the organization convey safety critical information to all employees, and to explain why safety actions are taken and why procedures are introduced or changed. Under this program, communication with employees is made through daily safety messages that are posted on employee bulletin boards and through radio announcements, as well as through monthly safety meetings, training, and day-to-day operations.

Safety Plan Training and Implementation Tasks and Activities

All MTM employees have roles and responsibilities under the Safety Management System. As required by the Safety Policy established by this Plan, which has been approved and adopted by our CEO, all employees are responsible and accountable for fulfilling and complying with the safety requirements of their positions, for supporting the implementation of the Safety Plan, for receiving supplemental training, and for providing support necessary to achieve program goals.



The lines of authority for implementing the Safety Plan begin with each location management staff, who are supported by executive management and empowered and authorized to design, implement, train, and administer a comprehensive, integrated SMS to support our transit services.

The General Manager at each location identifies and addresses safety concerns, tracks and verifies implementation of recommendations and corrective actions, and reports the status of SMS to the MTM Executive Safety Committee and the Director of Safety Administration. Each location General Manager, serving as the SMS Manager for their location, is authorized to lead the development, implementation, training, and maintenance of any other Plans, policies, procedures, and processes to support and implement the Safety Plan.

The matrix below depicts the roles and responsibilities of MTM personnel and other stakeholders as they pertain to the Safety Program. As used in the matrix, the following notations are defined as:

- P = Primary Task Responsibility. The identified participant is responsible for the preparation of the specified documentation.
- S = Secondary or Support Responsibility. The identified participant is to provide the necessary support to accomplish and document the task.
- R = Review/Comment Responsibility. The identified participant may review and provide comment on the task or requirement.
- A = Approval Responsibility. The identified participant is to review, comment and subsequently approve the task or requirement.

Safety Responsibilities Matrix								
Task / Activity	MTM Exec. Team	Dir. of Safety Admin.	General Manager	Safety Manager	Maintenance Mgr.	Safety Committee	Operations	Maintenance
Management Commitment / Policy	A	P	S	S	S	P	S	S
Summary Section	A	S	P	S	S	R	S	S
Authority	A	P	P	P	P	R	S	S
Purpose	A	S	P	S	S	R	S	S
Goals & Objectives	A	P	P	P	P	S	S	S
Scope	A	P	P	P	P	S	S	S
Safety Plan Control & Revisions	A	S	P	S	S	R	R	R
Operations & Maintenance Safety	A	S	P	S	S	P	P	P
Maintenance of Equipment	A	S	P	S	S	P	P	P
Facilities & Systems Description	A	R	P	R	R	R	R	R
Organizational Structure	A	P	S	S	S	R	R	R
Inter-company coordination	A	P	P	P	P	R	R	R
Safety Committee	A	S	P	S	S	P	P	P
Hazard Management (ID, Analysis, & Resolution)	A	S	P	S	S	P	P	P
Equipment and System Design	A	S	P	S	S	R	R	R
Safety Certification Program	A	S	P	S	S	S	S	S
Configuration Management	A	P	P	P	P	P	P	P
Accident/Incident Investigation	A	S	P	S	S	P	P	P
Safety Inspections	A	S	P	S	S	P	P	P

Safety Responsibilities Matrix								
Task / Activity	MTM Exec. Team	Dir. of Safety Admin.	General Manager	Safety Manager	Maintenance Mgr.	Safety Committee	Operations	Maintenance
Facilities Inspections	A	S	P	S	S	P	P	P
Equipment Inspections	A	S	P	S	S	P	P	P
Operations Safety	A	S	P	S	S	P	P	P
Emergency Ops. Response Procedures	A	P	S	S	S	P	P	P
Emergency Exercises & Drills	A	S	P	S	S	P	P	P
Operational Documents	A	S	S	S	S	P	P	P
Rules & Procedures Review	A	S	S	S	S	P	P	P
Occupational Safety & Health Program	A	S	S	S	S	P	S	S
Industrial Hygiene Program (client program, if applicable)	A	P	S	S	S	P	S	S
Hazardous Materials Program	A	S	S	S	S	P	S	S
Personal Protective Equipment Program	A	S	S	S	S	P	S	S
Sub-contractor Safety Program (if applicable)	A	P	P	S	S	P	S	S
Safety Data Acquisition, Analysis & Reporting	A	P	P	S	S	P	P	P
Reports	A	P	P	S	S	S	S	S
Training	A	P	P	S	S	P	P	P
Environmental Protection Program	A	P	S	S	S	P	P	P
Internal Safety Review Program	A	P	P	S	S	P	S	S
Drug & Alcohol Abuse Program/Policy	A	P	S	S	S	P	P	P
Internal Audits	A	P	S	S	S	S	S	S

Index of Supporting Documents

The following documents have been identified to support the implementation of the Safety Plan and SMS for MTM:

- MTM Hazard Identification Reporting Form
- MTM Hazard Identification Log
- MTM Injury and Illness Prevention Plan (IIPP)
- MTM Employee Handbook
- MTM Employee Safety Manual

Safety Communication and Outreach

MTM's primary means of communicating safety information to employees, passengers, and the public is through Safety Messages and Safety Alerts sent via email and correspondence through Workday, our internal employee People and Culture system, and through location messages. MTM communicates safety information to our employees by posting safety notices and bulletins to employee bulletin boards, through regular radio announcements, monthly Safety Committee Meetings, day-to-day management oversight, and through MTM's employee training program. MTM has established a comprehensive Injury and Illness Prevention Program and this Safety Plan that detail the company's processes and requirements for maintaining workplace safety and security, including Occupational Safety and Health Administration (OSHA) program requirements. This is also covered in our MTM Employee Safety Manual.

Workplace Safety Program

To meet contractual and state requirements, MTM has implemented a thorough pre-hire employee-screening program to ensure only qualified applicants are hired. In addition, MTM has established training programs entailing in class activities, curriculums, manuals, lesson plans, field exercises, drills, computer-based training, written and video communications, and testing for vehicle operators, maintenance personnel, and front-line employees. We developed the training programs to address safety topics and concerns, which employees may face during their daily duties. Categories of safety-related work that requires training and certification include:

- New Employee Orientation and Training Programs that emphasize:
 - Hazard Communications Training
 - Personal Protective Equipment Training
 - Blood Borne Pathogens
 - Drug and Alcohol Abuse Policy
 - Hazard identification and resolution training
 - Safety Management System Training
 - State or Federally mandated training
 - Injury and illness prevention training
 - First Aid and CPR Training
 - ADA Laws and Regulations Compliance
 - Ergonomics Training
 - Accident/Incident/Near Miss Reporting
- Operator Training and Certification - TAPTCO operator training program, which includes Bus Operator Rules and Procedures (contract specific) and Supervisor Training
- Maintenance Training, including Bus Maintenance
- Facility, Systems, and Equipment Maintenance
- Safety Rules and Compliance Program
- Security and Emergency Preparedness, which includes Emergency Operating Procedure Training, Emergency Response Training, and NIMS/ICS training (contract specific)

The training programs received by an employee depend on his/her job classification and responsibilities. The training programs may include on-the-job training that is monitored by a Supervisor or mentor. Training efforts begin at the initial stages of employment and are continued periodically throughout an employee's career to maintain certifications and ensure the employee is capable of performing his/her duties in a safe and efficient manner.

Employee Safety Training

A comprehensive employee/bus operator training program is essential to the successful operation of our clients' operations. Training programs developed by MTM and associated vendors will be used to as the core training materials for staff. Safety policies are covered in the TAPTCO (Transit and Paratransit Company) transit operator training materials and our employee handbook and are issued to all perspective operators, as part of the training process. Documentation verifying that each bus operator has received the training outlined in our training will be retained and verified. All employees that work in safety sensitive positions will receive, at a minimum, instruction in the following areas:

- The requirements of the Safety Plan and the four FTA MAP-21 SMS elements as it relates to transit employees
- The requirements of all Federal, State and Local law, codes, ordinances, and regulations as it relates to their positions
- The safe operation of in-service vehicles and associated equipment, including our Defensive Driving Course (we teach LLLC defensive driving), On-Road Training and Wheelchair Lift Operation Training (to include the operation of the lift if applicable). MTM's New Operator Training Program from TAPTCO must be 96 hours minimum instruction with a minimum of 56 hours of training instruction in vehicles
- How to identify potential vehicle hazards through pre-operational and post-operational Daily Vehicle Inspections
- The procedures for handling and reporting in-service vehicle accidents and incidents involving clients and the general public
- The procedures for handling and reporting roadside emergencies including Emergency Evacuation Training
- The proper documentation of activity within the system
- Passenger Assistance Techniques and Sensitivity Training concepts (PASS)
- Bloodborne Pathogen Training
- Lockout Tagout Training
- Hazard Communication Training
- Ergonomics Training
- Emergency Response and Emergency Preparedness Training
- Emergency Response drills and simulations in conjunction with our clients and local emergency responders as applicable
- Security Awareness Training from the National Transit Institute (NTI)

Training will be conducted through a combination of classroom and practical testing by a qualified instructor who will evaluate the student's competency. Upon completion of all training requirements, each prospective employee will have their qualifications evaluated and certified by the location MTM Safety Manager or Safety Supervisor, prior to their first assignment operating in the system. A current copy of all certifications for instructors and operators will be maintained by MTM and the individual service provider and available for audit upon request.

MTM will conduct scheduled refresher training, to review all subjects covered in the initial training, on how to avoid unsafe situations or practices. A Training Attendance Report on all refresher or remedial training that is provided to safety sensitive employees will be documented.

Drug and Alcohol Program

MTM has a zero tolerance policy for drugs and alcohol. The company's program has been reviewed and approved by the FTA and is administered by a third party, Foley. As required by federal guidelines, MTM's drug and alcohol testing policy is compliant with 49 CFR Part 40 and 655 as amended, and the Federal Drug Free Workplace Act. It also:

- Defines the responsibilities of personnel
- Identifies the circumstances under which an employee may be tested for alcohol and/or drugs
- Includes the dangerous effects of controlled substances and the consequences of violating the policy
- Informs employees of the education and treatment program (rehabilitation program), which is available to employees requiring treatment or those who seek treatment voluntarily
- Requires that all safety sensitive employees submit to random drug and alcohol testing
- Requires that all safety sensitive employees who have been absent from work for more than 90 calendar days submit to a drug and alcohol test and have a verified negative drug test result before returning to safety sensitive functions
- Requires that safety sensitive employees submit to drug and alcohol testing as a result of being involved in an accident/incident that meet the FTA threshold for post-accident testing. Supervisors trained in post-accident procedures determine if an employee must submit to a post-accident drug and alcohol test

MTM's Zero Tolerance Drug and Alcohol Policy is available to all employees via the MTM company intranet or by contacting Supervisors, Managers, or the People and Culture (HR) Department.

Hazardous Materials and Communication Program

Proper labeling, storage, handling of hazardous materials is critical to maintaining safety throughout MTM's operations and services. Materials not labeled properly have the potential of being used and stored in combination with other incompatible materials, the results of which

can be catastrophic. MTM is required to administer a hazardous materials program that applies to all employees and departments that buy, store, handle, and/or use hazardous materials. It is the responsibility of MTM under the hazardous materials program to remain cognizant of the hazards and precautions associated with the hazardous materials bought, stored, handled, and/or used in the operation and maintenance of our services. Fulfillment of this responsibility is accomplished through:

- Training programs
- Review and distribution of SDSs
- Review of container labeling
- The development of specification and procurement requirements
- The development of hazardous substances lists

MTM is also required to have and properly administer a procedure for reporting hazardous material accidents/incidents. MTM ensures that all personnel are informed regarding the hazards that may be encountered in their work areas prior to the start of their initial assignments. These hazards include those presented by hazardous materials and substances. MTM's department managers and supervisors determine the training requirements necessary to ensure employees can perform their duties in a safe and efficient manner. This training included a discussion of the hazards presented by hazardous materials and substances, and the precautions and controls that must be taken or implemented to ensure safety when buying, storing, handling, and/or using the materials. Training is also provided to personnel who perform work on pipes and vessels, as well as to employees who perform hazardous or non-routine tasks, such as performing confined space entries. To facilitate the identification of training needs, site-specific hazardous substances lists are developed and maintained to track the quantities and locations of hazardous substances within the department.

MTM maintains a formal process for reviewing and approving all chemicals or hazardous materials maintained by its department(s) in which the material is stored, handled, or used, prior to their purchase. SDSs for all chemicals and hazardous materials are easily accessible to all employees and the work area.

Safety Plan Review and Modification

As MTM's operations and services expand and change, so do the safety requirements associated with these operations and services. This Safety Plan is considered a living document that is reviewed and updated annually to ensure it remains up to date and consistent with our operating, maintenance, management, and administrative rules, procedures, policies, and documents. The Safety Plan is also reviewed to evaluate all tasks and to identify new tasks that may be required as MTM operations and services improve and expand; to refine and improve tasks descriptions and activities as necessary; and to identify those responsible for accomplishing newly added safety-related tasks.

The Safety Plan is influenced through input received from employees, contractors, passengers, the general public, emergency response agencies, and other State, Federal, and local regulatory agencies. Feedback is both welcomed and encouraged.

The Executive Safety Committee is ultimately responsible for initiating, developing, issuing changes, and gaining all approvals for the Safety Plan. However, other stakeholders such as the MTM Executive Team may recommend changes at any time. Personnel, including MTM employees, may submit proposed changes to their respective managers and supervisors or directly to the Director of Safety Administration. If the Executive Safety Committee agrees the change is warranted, the change is incorporated into the annual review and revision cycle.

Safety Plan Dissemination

Controlled copies of this Safety Plan are disseminated to each MTM location. The locations are responsible for reviewing and ensuring they possess of the most current Safety Plan and are also responsible for disseminating the Safety Plan to their employees.

Glossary

Accountability	What an individual is required to achieve, directly or through those to whom the individual has delegated responsibility, with regard to the operation of the Safety Management System
Accountable Executive	An individual identified within the organization, with ultimate responsibility and accountability for the implementation and maintenance of the organization's Safety Management System
Corrective Action Plan	A plan developed to describe the actions to minimize control, correct, or eliminate hazards, which identifies the schedule and responsible parties for implementing these actions
Hazard	Any condition or set of conditions, internal or external to the system or system operation which, when activated, can cause injury, illness, death, or damage, including loss of equipment or property, or severe environmental damage
Hazard Analysis	Formal activities performed to analyze potential consequence(s) of hazards during operations related to provision of services.
Hazard Identification	Formal activities performed to identify hazards during operations related to provision of services
ISA	Internal Safety Audit or Safety Audit
Location	Each MTM site or division that provides service operations. We use this term and the term division to describe each of our MTM locations.
Management System	An organizational structure and resources that support data-based, strategic decision making by an organization's senior management
Passenger	A person who is on board, boarding, or alighting from a transit vehicle for the purpose of travel
Responsibility	Functions and duties that describe the purpose of what an individual is required to do, with regard to the operation of the Safety Management System
Risk Control	Activities and resources to reduce or eliminate the effects of hazards
Safety	The state in which the potential of harm to persons or property damage during operations related to provision of services is reduced to and maintained at an acceptable level through a continuing process of hazard identification and safety risk management. Also referred to as meaning "freedom from risk."
Safety Assurance	Processes within the Safety Management System that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information
Safety Culture Process	A company safety program and safety process that consists of 4 key SMS elements from the FTA that help ensure the company maintains a safe organization that protects its employees and customers who use our services
Safety Deficiency	A condition that is a source of hazards and/or allows the perpetuation of hazards in time

Safety Management System (SMS)	The formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk.
Safety Objective	A high-level, global, generic and non-quantifiable statement regarding conceptual safety achievements sought to be accomplished by an organization regarding its safety performance
Safety Performance	An organization's safety effectiveness and efficiency, as defined by safety indicators performance and safety performance targets, measured against the organization's safety objectives
Safety Performance Indicator	A data-based, quantifiable parameter used for monitoring and assessing safety performance
Safety Performance Monitoring	Activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets
Safety Performance Target	A Planned or intended, quantifiable improvement for safety performance indicator over a given period
Safety Policy	The public transportation system's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regards to safety
Safety Promotion	A combination of training and communication of safety information to support the implementation and operation of the Safety Management System in the organization
Safety Risk	The assessment, expressed in terms of predicted probability and severity, of the consequence(s) of a hazard taking as reference the worst foreseeable, but credible, situation
Safety Risk Evaluation	Refers to formal activities performed to determine safety risk probability and severity characteristics, such as the probability and severity of potential consequence(s) of hazards, and to assess the tolerability of such consequence(s)
Safety Risk Management	A process within the Safety Management System composed of describing the system, identifying the hazards, and analyzing, assessing and controlling risk
Safety Risk Mitigation	Formal activities to control the probability and/or severity of the potential consequence(s) of hazards during operations related to provision of services
Safety Risk Probability	The likelihood that a consequence might occur, taking as reference the worst foreseeable, but credible, condition
Safety Risk Severity	The anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable, but credible, condition
System Safety	The application of operating, technical and management techniques and principles to the safety aspects of a system throughout its life to reduce hazards to the lowest practical level through the most effective use of available resources

Revision Record

[illegible]

HAZARD PROBABILITY TABLE

Probability Level	Description
A – Frequent	Likely to occur frequently. Continually experienced in the fleet/inventory.
B – Probable	Likely to occur several times in life of an item. Likely to occur frequently in the fleet/inventory.
C – Occasional	Likely to occur sometime in life of an item. Likely to occur several times in the fleet/inventory.
D – Remote	Unlikely, but possible to occur in the life of an item. Reasonably expected in the fleet/inventory.
E – Improbable	So unlikely, occurrence is not expected. Unlikely to occur, but possible in the fleet/inventory.

RISK ASSESSMENT FREQUENCY/SEVERITY MATRIX

Frequency	Severity			
	1 Catastrophic	2 Critical	3 Marginal	4 Negligible
A – Frequent	1/A	2/A	3/A	4/A
B – Probable	1/B	2/B	3/B	4/B
C – Occasional	1/C	2/C	3/C	4/C
D – Remote	1/D	2/D	3/D	4/D
E – Improbable	1/E	2/E	3/E	4/E

HAZARD RESOLUTION TABLE

Severity / Frequency	Resolution
1/A 1/B 1/C 2/A 2/B 3/A	Unacceptable—correction required.
1/D 2/C 2/D 3/B 3/C	Unacceptable—correction may be required after review by CEO.
1/E 2/E 3/D 3/E 4/A 4/B	Acceptable—with review by CEO.
4/C 4/D 4/E	Acceptable—without review.

SAFETY EVENT INVESTIGATION/REPORTING PROCEDURES MANUAL

Revised November 1, 2020

This SOP establishes procedures for the investigation and documentation of all safety event involving LAVTA services. This document complies with the requirements of Title 49, Code of Federal Regulations Section 673 and National Transit Database reporting criteria, which require Safety to investigate bus safety-events including collisions, fires, evacuations, and other safety occurrences otherwise not classified.

RESPONSIBILITY

These procedures apply to employees (including contracted) that are involved in the investigation of safety events, including but not limited to the Chief Safety Officer and SMS administrators (such as System Safety Manager). For the purpose of this manual, the principal incident investigators will be referred to as Transportation Safety Specialists (TSS).

DEFINITIONS

Reportable Safety-event: Any collision, derailment, or explosion involving a LAVTA bus or any other loss-causing event that results in a fatality or injury to a passenger or employee, or the emergency evacuation of persons (Ref. NTSB 49CFR540, modified)

Safety-Event Classification: The type of safety event is identified as the first reportable event in sequence.

Classification protocol: If a bus collides with another vehicle and then catches on fire, for example, the safety-event is classified as a collision. On the other hand, if a bus catches on fire then collides with another object, the safety-event is classified as a fire. In other words, the safety event will be classified according to the first event that occurred.

First Knowledge: An official notification from the employee, police, paramedics, hospital, or employee's family of the seriousness of an injury.

Fatality: Anyone involved in a safety event, as defined by this SOP, who dies within 30 days of incident-related injuries shall be considered a "fatality." If an incident is evaluated to be suicide/attempted suicide, the TSS shall note that on the final report. Any such classification of fatality as suicide/attempted suicide will be made in conjunction with the Medical Examiner and Police Department (Police Department - only classify homicide).

Collision: A safety event involving undesired/unplanned contact between an LAVTA vehicle and another vehicle, person, object, or animal.

High-Visibility Safety Event: A safety event, regardless of type and/or severity that generates widespread publicity and may warrant a formal investigation.

Injury Safety Event (not serious): A safety event that causes any person involved in the safety event to require either medical treatment at the scene of the accident or to be transported to a medical facility for treatment.

Injury Safety Event (serious): All safety-events in which (1) a pedestrian, customer on the LAVTA vehicle, or occupant(s) of another vehicle sustains serious or potentially life-threatening injuries, as determined by on-site Emergency Medical Services (EMS) personnel, and (2) is subsequently transported and admitted to a medical

facility.

Intersection: A place where two roads or highways meet. The space which is bounded by the far limit lines of each road.

NTD – National Transit Database.

NTD Reportable Accident: A safety event which meets the reporting requirements of the National Transit Database Reporting Manual

PROCEDURES

NOTIFICATION OF SYSTEM SAFETY

Whenever there is a safety event involving a LAVTA motor coach, Operators and other employees shall immediately notify dispatch and Operations Management. If a TSS is unavailable, dispatch shall attempt to contact the System Safety Manager and then the Chief Safety Officer.

The TSS or System Safety Manager shall assume responsibility for the investigation.

INVESTIGATION PROCESS

REQUIRED REPORTING TO THE SCENE

The TSS shall report mandatorily to any major safety event such as:

1. Fatality;
2. Person under a bus;
3. Multiple serious injuries involving transport to the hospital;
4. Catastrophic damage to a LAVTA vehicle;
5. Collision involving multiple non-LAVTA vehicles and major damage or injuries.

DOES NOT REQUIRE REPORTING TO THE SCENE

The TSS may elect not to report to a safety event, which may be NTD reportable but do not involve any of the criteria necessary for reporting to the scene. Clearing of a scene depends on the type and seriousness of the Safety Event. For example:

6. If fatality, the Medical Examiner will clear the scene
7. If a serious injury or crime, law enforcement having jurisdiction, usually local PD, will clear the scene.
8. If a fire on the surface right-of-way or subway station, local FD will clear the scene.
9. If minor Safety Event, such as a non-injury hit-and-run collision with no police response, the Road Supervisor may clear the scene

From time to time, for minor bus Safety Events, the Road Supervisor should be able to clear the scene before the arrival of Safety personnel provided that he or she takes photographs and marks the vehicle locations with chalk or crayon allowing Safety personnel to complete their required investigation at a later time.

WHEN REPORTING TO THE SCENE

When reporting to a major, high-visible accident scene, the TSS should collect the following information:

- a. Names, addresses, and phone numbers of witnesses;
- b. The number of injuries including fatalities (Injuries are defined as those requiring immediate transport to a medical facility.);
- c. Names, age, sex, addresses, and phone numbers, if possible, of injured parties, including fatalities;
- d. Driver's license and insurance information from drivers of other involved vehicles;
- e. License plate numbers from other involved vehicles and their description;
- f. Names and agencies of emergency personnel on scene;
- g. Witness statements;
- h. Statement of operator(s), if possible;
- i. If the operator is available for interview, ask questions about the operator's level of fatigue, sleeping patterns, use of prescription and nonprescription medication, and use of alcohol;
- j. Photograph the safety event scene and involved vehicles, in accordance with the attached checklist (See Appendix, B);
- k. Develop a safety-event scene sketch, which identifies by measurement the location of important items, including but not limited to vehicles, road marks, rail marks, debris, and victims;
- l. Contact Ops to request on-board video surveillance retrieval;
- m. Verify that video surveillance retrieval has occurred;
- n. Arrange for appropriate storage of any evidence obtained at the scene;
- o. Notify Bus Vehicle Maintenance to secure the vehicle pending inspection by police and System Safety personnel.

OFF-SCENE INVESTIGATION

When collecting information off scene and throughout the investigation, the TSS shall collect and review the following:

- Obtain copies of Police Department, Fire Department, and/or Medical Examiner report(s);
- Obtain copies of Operator and Inspector's accident reports;
- Obtain Vehicle Condition Reports from Vehicle;
- Obtain Vehicle Repair Estimates;
- Determine if FTA post-accident substance testing was completed;
- During the post-safety event interview, enquire about the Operator's use of drugs, including illegal, prescription, over the counter, and/or alcohol;
- Based upon the operator's responses to interview questions and his/her appearance, determine whether the operator may have been impaired by fatigue, illness, medication, or alcohol;
- Obtain information on condition of injured person(s), if possible;
- Review of applicable rules, procedures, and training material to determine if the Operator's performance was within established rules and practices;
- Review field sketches, diagrams, and safety-event scene photos, with specific attention to road marks, skids, marks on rails, evidence of derailment location, evidence of emergency brake application;
- Check track gauge in case of derailment;
- Consult with other TSS's and the System Safety Manager concerning skid-speed analysis for rubber-tire vehicles;
- Consult with Fleet Engineering concerning emergency-brake application and stopping distances;
- Obtain reports of brake-efficiency testing from Bus Maintenance;
- Using safety database software, review accidents previously occurring at the same location and determine what corrective actions LAVTA may have implemented.
- Determine the most probable and contributory causes, including, but not limited to, fatigue, work schedule, hours of service, drug/alcohol use, mechanical failure, rule or regulatory violation, and procedural

violation

MAJOR REPORT CONTENTS

System Safety Manager shall develop a comprehensive report for the Chief Safety Officer and Accountable Executive:

- Transit Safe (or Intelix and NTD Report Numbers on the cover sheet
- Description of the Incident;
- Safety event Scene Sketch;
- Safety event Scene Photographs and Vehicle Photographs;
- Number and severity of injuries/fatalities;
- Estimates of Property Damage;
- Relevant Investigation Steps taken by System Safety;
- Results and Findings of System Safety's Investigation;
- Identification of Most Probable Cause;
- Identification of Contributory Causes;
- Recommendations, if any, to prevent re-occurrence;
- Statement of Confidentiality and Attorney-Client Privilege.

DRAFT REPORTS

Within thirty (30) calendar days, the investigating TSS will forward a draft of the final report along with the complete hard-copy file to the System Safety Manager. The System Safety Manager will review and make any appropriate changes, within five calendar days, and return the draft, with comments, to the TSS for revision. As soon as the revisions are made, the TSS will submit the revised report to the System Safety Manager. Once the System Safety Manager is satisfied with the report, he/she will submit it to the Chief Safety Officer, who will, in turn, submit the report to the Accountable Executive.

NATIONAL TRANSIT DATABASE

As soon as possible and no later than 30 days after a reportable safety event, the System Safety Manager or designee will make an entry into NTD for a safety event meeting the NTD reporting criteria (NTD Safety & Security Reporting Manual). The System Safety Manager or designee will save a PDF copy of the NTD S&S 40 report and provide that PDF to the TSS for safety event investigation file. The TSS will include the NTD report in the investigation file and the NTD number on the title of the major minor-event report.

APPENDICES & REFERENCES

Title 49 CFR 673 (PTASP and SMS)

NTD Safety and Security Reporting Manual

Employee Handbook

Livermore Amador Valley Transit Authority

Revised 01/06/2020

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Introductory Statement

Welcome! As an employee of Livermore Amador Valley Transit Authority (the Authority), you are an important member of a team effort. We hope that you will find your position with the Authority rewarding, challenging, and productive.

Because our success depends upon the dedication of our employees, we look to you and the other employees to contribute to the success of the Authority.

This employee handbook is intended to explain the terms and conditions of employment of all full- and part-time employees and supervisors. Written employment contracts between Livermore Amador Valley Transit Authority and some individuals may supersede some of the provisions of this handbook.

This handbook summarizes the policies and practices in effect at the time of publication. This handbook supersedes all previously issued handbooks and any policy or benefit statements or memoranda that are inconsistent with the policies described here. Any conflict between this Handbook and Board adopted Policies will be governed by Board adopted policies. Your supervisor or manager will be happy to answer any questions you may have or you may contact the Director of Finance, who is responsible for Human Resources/Personnel functions for the Authority.

Equal Employment Opportunity

Livermore Amador Valley Transit Authority is an equal opportunity employer and makes employment decisions on the basis of merit. We want to have the best available persons in every job. Authority policy prohibits unlawful discrimination based on race, color, creed, sex (including pregnancy, childbirth, breastfeeding, and related medical conditions), sex stereotyping, gender, religion (including religious dress and grooming practices), marital status, registered domestic partner status, age, national origin or ancestry (including language use restrictions and possession of a driver's license issued to persons unable to prove their presence in the United States is authorized under federal law [Vehicle Code section 12801.9]), physical or mental disability, medical condition including genetic characteristics, sexual orientation, gender identity (including transgender identity and transitioning), gender expression, family care or medical leave status, military or veteran status, marital status, domestic partner status, or any other consideration made unlawful by federal, state, or local laws. It also prohibits unlawful discrimination based on the perception that anyone has any of those characteristics, or is associated with a person who has or is perceived as having any of those characteristics. All such discrimination is **unlawful**.

The Authority is committed to compliance with all applicable laws providing equal employment opportunities. This commitment applies to **all** persons involved in Authority operations and prohibits unlawful discrimination by any employee of the Authority, including supervisors and coworkers.

To comply with applicable laws ensuring equal employment opportunities to qualified individuals with a disability, the Authority will make reasonable accommodations for the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or an employee unless undue hardship would result.

Any applicant or employee who requires an accommodation in order to perform the essential functions of the job should contact the Director of Finance and request such an accommodation. The individual with the disability should specify what accommodation he or she needs to perform the job. The Authority then will conduct an interactive process to identify the barriers that interfere with the equal opportunity of the applicant or employee to perform his or her job. The Authority will identify possible accommodations, if any, that will help eliminate the limitation. If the accommodation is reasonable and will not impose an undue hardship, the Authority will make the accommodation.

If you believe you have been subjected to any form of unlawful discrimination, submit a complaint to your supervisor or the Director of Finance. Your complaint should be specific and should include the names of the individuals involved and the names of any witnesses. If you need assistance with your complaint, or if you prefer to make a complaint in person, contact the Director of Finance. The Authority will immediately undertake an effective, thorough, and objective investigation and attempt to resolve the situation.

If the Authority determines that unlawful discrimination has occurred, effective remedial action will be taken commensurate with the severity of the offense. Appropriate action also will be taken to deter any future discrimination. The Authority will not retaliate against you for filing a complaint and will not knowingly permit retaliation by management employees or your coworkers.

Right to Revise

This employee handbook contains the employment policies and practices of Livermore Amador Valley Transit Authority in effect at the time of publication. All previously issued handbooks and any inconsistent policy statements or memoranda are superseded.

Livermore Amador Valley Transit Authority reserves the right to revise, modify, delete, or add to any and all policies, procedures, work rules, or benefits stated in this handbook or in any other document. However, any such changes must be in writing and must be signed by the Executive Director of Livermore Amador Valley Transit Authority.

Any written changes to this handbook will be distributed to all employees so that employees will be aware of the new policies or procedures. No oral statements or representations can in any way alter the provisions of this handbook.

This handbook represents the Board adopted policies and LAVTA's best practices and may be revised from time to time.

Harassment, Discrimination, and Retaliation Policy & Complaint Procedure (adopted by BOD 04/06/09)

I. PURPOSE OF POLICY

This policy establishes a strong commitment by the Livermore Amador Valley Transit Authority (hereinafter referred to as "LAVTA") to:

- (i) Prohibit harassment in employment;
- (ii) Inform all employees, officers and officials of LAVTA that harassment is illegal;
- (iii) Ensure that unprofessional behavior that creates a hostile work environment will not be tolerated;
- (iv) Set forth a procedure for investigating and resolving internal complaints of harassment.

II. POLICY

It is LAVTA's policy to provide a workplace free of unlawful and improper harassment, discrimination, and retaliation. LAVTA's policy prohibiting harassment applies to all persons involved in the operation of LAVTA. LAVTA prohibits harassment, disrespectful or unprofessional conduct by any employee of LAVTA, including supervisors, managers and co-workers. LAVTA's anti-harassment policy also applies to vendors, customers, independent contractors, unpaid interns, volunteers, persons providing services pursuant to a contract and other persons with whom you come into contact while working. Harassment or discrimination on the basis of race, religious creed (including religious dress and grooming practices), color, national origin (including language use restrictions and possession of a driver's license issued to persons unable to prove their presence in the United States is authorized under federal law [Vehicle Code section 12801.9]), ancestry, physical or mental disability, medical condition, genetic information/characteristics, marital status, sex (including pregnancy, childbirth, breastfeeding, and related medical conditions), gender, gender identity/gender expression/transgender (including whether or not you are transitioning or have transitioned), sexual orientation, age, military or veteran status, or any other basis protected by federal, state, or local law will not be tolerated.

III. DISCIPLINARY ACTION

- (i) Appropriate disciplinary action up to and including termination, will be instituted for violation of this policy;
- (ii) Any retaliation against a person for filing a harassment charge or making a harassment complaint will be cause for appropriate disciplinary action, up to and including termination.

IV. DEFINITION OF "HARASSMENT"

A. "Harassment" includes, but is not limited to:

- (1) Verbal Harassment: For example, epithets, derogatory jokes or comments, or slurs or unwanted sexual advances, invitations, comments, posts or messages on the basis of any status protected by law. This shall include inappropriate sex oriented comments and stories, or appearance, including dress or physical features, or race oriented stories.
- (2) Physical Harassment: For example, assault, unwanted touching, intentionally impeding or blocking normal movement, or any physical interference with normal work or movement because of sex, race or any other protected basis.. This could include conduct in the form of pinching, grabbing, patting, propositioning, leering or making explicit or implied job threats or promises in return for submission to physical acts.
- (3) Visual Forms of Harassment: For example, derogatory and/or sexually-oriented posters, photography, notices, bulletins, cartoons, or drawings on the basis of any status protected by law.
- (4) Sexual Favors: Threats and demands to submit to sexual requests or sexual advances as a condition of continued employment, or to avoid some other loss and offers of employment benefits in return for sexual favors

Sexual harassment does not need to be motivated by sexual desire to be unlawful or to violate this policy. For example, hostile acts toward an employee because of his/her gender can amount to sexual harassment, regardless of whether the treatment is motivated by sexual desire.

Prohibited harassment is not just sexual harassment but harassment based on any protected category.

V. RESPONSIBILITIES

Each employee is responsible to ensure that his/her conduct or actions do not violate the law or this policy, and that he/she does not actively or passively condone any form of harassment.

Supervisors must refer all complaints involving harassment, discrimination, retaliation or other prohibited conduct to LAVTA's **Executive Director** so LAVTA can try to resolve the complaint.

VI. COMPLAINT PROCESS

A. Filing of Complaint

An employee or job applicant who believes he or she has been harassed,

discriminated, or retaliated against shall make a complaint to his or her supervisor or LAVTA's Executive Director or designee. If an employee believes he or she is being harassed by the Executive Director, he or she may make his or her complaint to the Director of Finance. If an employee believes he or she is being harassed by a Boardmember, he or she may make his or her complaint to the Chair of the Board. If an employee believes he or she is being harassed by the Chair of the Board, he or she may make his or her complaint to the Vice-Chair of the Board.

B. Investigation of Complaint

1. When LAVTA receives allegations of misconduct, it will immediately undertake a fair, timely, thorough and objective investigation of the allegations in accordance with all legal requirements. LAVTA will reach reasonable conclusions based on the evidence collected.

Complaints will be:

- Responded to in a timely manner
- Kept confidential to the extent possible
- Investigated impartially by qualified personnel in a timely manner
- Documented and tracked for reasonable progress
- Given appropriate options for remedial action and resolution
- Closed in a timely manner

(i)

2. Upon receipt of the complaint, the Executive Director or designee, or Director of Finance, or Chair of the Board, or Vice Chair of the Board shall carry out a confidential investigation of the complaint. The investigation may include interviews with:
 - a. The complainant;
 - b. The accused harasser;
 - c. Any other persons the investigator has reason to believe have relevant knowledge concerning the complaint.
3. Review factual information gathered during the investigation to determine whether the alleged conduct constitutes harassment; giving consideration to all factual information, the totality of the circumstances, including the nature of verbal, physical, visual or sexual conduct and the context in which the alleged incident occurred.
4. Report the results of the investigation and the determination as to whether harassment occurred to appropriate persons including the complainant, and to the Department Director.
5. If harassment occurred, appropriate and effective corrective and remedial action will be taken in accordance with the circumstances involved. LAVTA also will take appropriate action to deter future misconduct. The action will be commensurate with the severity of the offense. If the harasser is the Executive Director or Legal Counsel,

take a recommendation to the LAVTA Board of Directors for prompt and effective remedial action. If the harasser is a member of the Board, the Board will take prompt and effective remedial action.

6. Any employee determined by LAVTA to be responsible for harassment, discrimination, retaliation or other prohibited conduct will be subject to appropriate disciplinary action, up to, and including termination. Employees should also know that if they engage in unlawful harassment, they can be held personally liable for the misconduct.
7. Take reasonable steps to protect the victim and other potential victims from further harassment.
8. Take reasonable steps to protect the victim from any retaliation as a result of filing of the complaint.
9. Employees also should be aware that the Federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing investigate and prosecute complaints of prohibited harassment, discrimination and retaliation in employment. If an employee thinks he or she may have been harassed or discriminated against or that he or she has been retaliated against for resisting, complaining or participating in an investigation, the employee may file a complaint with the appropriate agency. The nearest office can be found by visiting the agency websites at www.dfeh.ca.gov and www.eeoc.gov.

VII. CONFIDENTIALITY

LAVTA will maintain confidentiality to the extent possible. However, LAVTA cannot promise complete confidentiality. LAVTA's duty to investigate and take corrective action may require the disclosure of information to individuals with a need to know. Every effort will be made to protect the privacy of the parties involved in the complaint. None of the documents and files pertaining to the complaint will be made available to the general public.

VIII. DISSEMINATION OF POLICY

All employees, officers and officials should be given copies of this policy, and this policy shall be posted in appropriate places.

Hiring

New Hires

The first six months of continuous employment at Livermore Amador Valley Transit Authority is considered an introductory period. During this time you will learn your responsibilities, get acquainted with fellow employees, and determine whether or not you are happy with your job. Your supervisor will closely monitor your performance.

Upon completion of the introductory period, Livermore Amador Valley Transit Authority will review your performance. If the Authority finds your performance satisfactory and decides to continue your employment, it will advise you of any improvements expected from you. At that time, you may express suggestions to improve the Authority's efficiency and operations.

Regular Employees

Regular employees are those who are hired to work on a regular schedule. Regular employees may be classified as full-time or part-time.

Full-Time Employees

Full-time employees are those who are scheduled for and do work 40 hours per week (2080 hours per year). Full-time employees are eligible for most employee benefits described in this handbook effective on the date of hire or the first of the month following hire date.

Part-Time Employees

Part-time employees are those who are scheduled for and do work fewer than 40 hours per week, but not fewer than 20 hours (1040 hours per year). Part-time employees are eligible for the Authority benefits as defined in the LAVTA Personnel Policy.

Temporary Employees

Temporary employees are those employed for short-term assignments. Short-term assignments generally are periods of three months or fewer; however, such assignments may be extended. Temporary employees are not eligible for employee benefits except those mandated by applicable law.

Job Duties

During the introductory period, your supervisor will explain your job responsibilities and the performance standards expected of you. Be aware that your job responsibilities may change at any time during your employment. From time to time, you may be asked to work on special projects, or to assist with other work necessary or important to the operation of your department or Livermore Amador Valley Transit Authority. Your cooperation and assistance in performing such additional work is expected.

Livermore Amador Valley Transit Authority reserves the right, at any time, with or without notice, to alter or change job responsibilities, reassign or transfer job positions, or assign additional job responsibilities.

Leaves of Absence

Paid Time Off (PTO)

All regular full time and part time employees are entitled to paid time off based upon their years of active service. Active service commences with an employee's first day of work and continues thereafter unless broken by an absence without pay, a leave of absence, or termination of employment. Temporary employees do not accrue paid time off.

Employees may carry over accrued PTO from one year to the next. Paid time off can accrue to a maximum of 346 hours. Once this cap is reached, all accrual of additional PTO shall cease until the balance falls below the maximum accrual limit. PTO accrual will recommence after the employee has used his or her PTO and the accrued PTO hours have dropped below the maximum balance.

Employees become eligible to take paid time off any time after the employee's first day of employment, as work schedules permit and subject to supervisory approval.

Employees may use accrued paid time off for any reason, including paid vacation leave, paid sick leave, medical and dental appointments, or any other type of paid time off. Employees will need to schedule time off with their supervisors.

On termination of employment, employees are paid all accrued but unused vacation through their last day worked at their base rate of pay at the time of termination.

Employees on unpaid leave do not accrue paid time off.

Paid time off will be accrued on the following basis for full-time employees:

Length of Service	PTO Accrued Each Pay Period
Beginning with the first day of service through the fifth year anniversary (without a break in service)	6.77 Hours
Following the fifth year	8.31Hours

Part-time employees accrue PTO on a pro-rata basis.

An employee may not use paid time off before its accrual. Employees will not be paid for any time in excess of accrued paid time off.

Required Use of PTO before Unpaid Leave

You are required to take accrued and unused Paid Time Off (PTO) before taking unpaid leave or having unpaid absences. Family and Medical Leave (under both state and federal law) is included in this requirement as permitted by law, unless the absence is pregnancy-related.

Employees who are absent because of their own disability may be eligible for State Disability Insurance (SDI) benefits. SDI payments do not begin until after you have been absent from work for 7 calendar days. If you have accrued PTO, PTO will be used for the first 7 days before SDI payments begin.

SDI benefits do not replace all of your usual wages. Your SDI benefits will be supplemented with any accrued and unused PTO.

If you are absent for a reason that qualifies you for Paid Family Leave (PFL) payments, you are required to first use any accrued and unused PTO, up to a maximum of two weeks in a 12-month period.

PFL benefits do not replace all of your usual wages. Your PFL benefits will be supplemented with any accrued and unused PTO.

Paid Sick Leave (Temporary Employees Only)

Temporary employees qualify to accrue paid sick leave upon the start of the temporary employee's employment. Temporary employees may take paid sick leave accrued under this policy if they have worked for the Livermore Amador Valley Transit Authority for at least 90 days.

Temporary employees accrue one hour of paid sick leave for every 30 hours of work performed. Employees may not accrue more than 48 hours or six regularly-scheduled workdays of paid sick leave, whichever is greater, at any given time. Employees who reach the applicable cap will cease to accrue further paid sick leave hours until paid sick leave is used, at which point the employee will continue to accrue additional paid sick leave up to the cap. Paid sick leave not used in a year otherwise carries over from year to year.

Temporary employees may take the greater of 24 hours or three regularly-scheduled workdays' worth of paid sick leave per year for any qualifying reason. Employees using paid sick leave must do so in minimum increments of two hours.

Paid sick leave may be used for the diagnosis, care (including preventative care), or treatment of an existing health condition of a temporary employee and certain family members of the employee. Employees who are the victim of domestic violence, sexual assault, or stalking also may use paid sick leave for treatment, assistance, and other purposes authorized by law.

If the need for sick leave is foreseeable, the employee must provide reasonable advance notice. If the leave is not foreseeable, the employee must provide notice of the leave as soon as practicable.

Accrued unused paid sick leave is not paid out upon termination. However, temporary employees separating from employment who are rehired within one year from the date of separation will have their previously accrued and unused paid sick days reinstated.

Personal Leave

A personal leave of absence without pay may be granted at the discretion of Livermore Amador Valley Transit Authority in accordance with the LAVTA HR Policy. Requests for personal leave should be limited to unusual circumstances requiring an absence of longer than two weeks. Approved personal absences of shorter duration are not normally treated as leaves, but rather as excused absences without pay.

Temporary Disability Leave

A medical leave of absence may be granted as an accommodation for non-work-related temporary medical disabilities with a doctor's written certificate of disability under the ADA or FEHA. Any disability leave will run concurrently with any medical leave to which the employee is entitled.

Employees should request any leave in writing as far in advance as possible. If you are granted a medical leave, Livermore Amador Valley Transit Authority will pay you PTO pay for the period of time equivalent to your accumulated PTO pay earned.

A medical leave begins on the first day your doctor certifies that you are unable to work, and the duration shall be consistent with applicable law, but in no event shall the leave extend past the date on which you become capable of performing the essential functions of your position, with or without accommodation. Your doctor must certify that you are able to return to work. Your supervisor will supply you with a form for your doctor to complete, showing the date you were disabled and the estimated date you will be able to return to work. An employee returning from a medical disability leave must present a doctor's certificate declaring fitness to return to work.

If returning from a non-work-related medical leave, you will be offered the same position you held at the time your leave began, if available. If your former position is not available, a comparable position will be offered. If neither the same nor a comparable position is available, your return to work will depend on job openings existing at the time of your scheduled return.

California workers' compensation laws govern work-related injuries and illnesses. California pregnancy disability laws govern leaves taken because of pregnancy, childbirth, and related medical conditions.

Pregnancy Disability Leave

An employee who is disabled by pregnancy, childbirth, or related conditions may take a pregnancy disability leave for the period of the actual disability of up to four months. An employee also is entitled to a reasonable accommodation for pregnancy, childbirth, or related

medical conditions if she so requests and provides LATVA with medical certification from her health care provider. Pregnancy disability leave may be taken intermittently, or on a reduced-hours schedule, as medically necessary. Pregnancy, childbirth, or related medical conditions will be treated like any other disability, and an employee on leave will be eligible for temporary disability benefits in the same amount and degree as any other employee on leave.

Any female employee planning to take pregnancy disability leave should advise her supervisor as early as possible. The individual should make an appointment with the Director of Finance to discuss the following conditions:

- Employees who need to take pregnancy disability must notify LAVTA of their request for leave as soon as they are aware of the need for leave. If the need for a pregnancy disability leave or transfer is foreseeable, employees must provide notification at least 30 days before the pregnancy disability leave or transfer is to begin. Employees must consult with the personnel manager regarding the scheduling of any planned medical treatment or supervision in order to minimize disruption to the operations of the Authority. Any such scheduling is subject to the approval of the employee's health care provider;
- If 30 days' advance notice is not possible, notice must be given as soon as practical;
- Requests for temporary transfers to a less strenuous or hazardous position or to less hazardous or strenuous job duties will be reasonably accommodated if the employee so requests, the transfer request is supported by proper medical certification, and the transfer can be reasonably accommodated;
- Pregnancy leave usually begins when ordered by the employee's physician. The employee must provide Livermore Amador Valley Transit Authority with a certification from a health care provider. The certification indicating disability should contain:
 - The date on which the employee became disabled due to pregnancy;
 - The probable duration of the period or periods of disability; and
 - A statement that, due to the disability, the employee is unable to perform one or more of the essential functions of her position without undue risk to herself, the successful completion of her pregnancy, or to other persons.
- Leave returns will be allowed only when the employee's physician sends a release;
- An employee may, at her option, substitute accrued PTO (if otherwise eligible to take the time) during a pregnancy disability leave; and
- Duration of the leave will be determined by the advice of the employee's physician, but employees disabled by pregnancy may take up to four months. Part-time employees are entitled to leave on a pro rata basis. The four months of leave includes any period of time for actual disability caused by the employee's pregnancy, childbirth, or related medical condition. This includes leave for severe morning sickness and for prenatal care. Pregnant women may be entitled to additional leave beyond four (4) months to accommodate a pregnancy-related disability if reasonable under the circumstances and not an undue hardship.
- Employees on pregnancy disability leave will be allowed to continue to participate in group health insurance coverage for up to a maximum of four months of disability leave (if such insurance was provided before the leave was taken) at the level and

under the conditions that coverage would have been provided if the employee had continued in employment continuously for the duration of the leave.

Leave does not need to be taken in one continuous period of time and may be taken intermittently, as needed. Leave may be taken in increments of one (1) hour.

Under most circumstances, upon submission of a medical certification that an employee is able to return to work from a pregnancy disability leave, an employee will be reinstated to her same position held at the time the leave began or to an equivalent position, if available. An employee returning from a pregnancy disability leave has no greater right to reinstatement than if the employee had been continuously employed.

Family Medical Leave

a. Leave Policy

Under the federal Family and Medical Leave Act ("FMLA") and the California Family Rights Act ("CFRA"), employees may take time off as provided in this policy, so long as (1) the employee has worked for the Authority for at least 12 months, and for at least 1,250 hours in the last 12 months.

b. Reasons for Leave

Eligible employees may take up to 12 weeks of unpaid Family and Medical Leave within any rolling 12-month period (measured backward from the date of the commencement of any Family and Medical Leave) and be restored to the same or a comparable position upon the employee's return from leave for any of the following reasons:

- (1) the birth of a child and to bond with or to care for such child;
- (2) the placement of a child with the employee for adoption or foster care and to bond with or to care for the newly-placed child;
- (3) to care for a spouse, domestic partner, child, or parent ("covered relation") with a serious health condition;
- (4) the employee's own serious health condition that renders him/her unable to perform an essential function of his/her position;
- (5) "qualifying exigency leave," where the employee's spouse, child, or parent is on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation, and leave is needed for certain qualifying exigencies, such as attending certain military events, addressing certain legal or financial arrangements, arranging for alternative childcare, attending post-deployment reintegration briefings or attending certain counseling sessions (qualifying exigency leave is not covered under the CFRA).

In addition, an eligible employee who is the spouse, parent, child, or next of kin of a covered servicemember may take up to 26 weeks of unpaid, job-protected FMLA

leave during a single 12-month period to care for a covered servicemember. A covered servicemember is a current member of the Armed Forces, including the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in an outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform his or her duties. This leave is called “military caregiver leave” and is not covered under the CFRA.

Military caregiver leave is a one-time benefit allowing 26 weeks of leave during a single 12-month period (although an employee may be entitled to more than one period of military caregiver leave if the leave is to care for a different covered servicemember or to care for the same servicemember with a subsequent serious injury or illness, except that no more than 26 workweeks of leave may be taken within any single 12-month period). The Authority will begin counting the 12-month period on the first day of leave taken to care for the injured or ill servicemember. During the 12-month period when military caregiver leave is used, an employee is limited to a combined total of 26 weeks of FMLA leave for any reason. If both spouses work for the Authority and are both eligible for FMLA leave, they are limited to a combined total of 26 workweeks of FMLA leave during a single 12-month period for military caregiver leave or a combination of qualifying exigency leave and military caregiver leave.

c. Time Off from Work Due to Employee’s Disability Due to Pregnancy/
Childbirth/Adoption

Time off from work because of disability due to pregnancy, childbirth, or adoption is counted as time used for FMLA leave, but is not counted as time used for CFRA leave. Pregnant employees may have the right to take up to four (4) months of Pregnancy Disability Leave (PDL) in addition to CFRA leave. Pregnant employees may be entitled to additional leave beyond four (4) months to accommodate a pregnancy-related disability if reasonable under the circumstances and not an undue hardship. Pregnant employees should consult with Human Resources regarding their individual situation. See policy on Pregnancy Disability Leave, above.

d. Notice of Leave

If the need for Family and Medical Leave is foreseeable, employee must give the Authority at least 30 days prior notice of the need for leave, preferably in writing. If this is not possible, employee must at least give notice as soon as practicable (generally within one (1) to two (2) business days of learning of the need for leave), and employee must comply with the Authority’s usual and customary notice and procedural requirements for requesting leave absent unusual circumstances. Failure to provide such notice may be grounds for delay of leave. Additionally, if the employee is planning a medical treatment, the employee must consult with the Authority first regarding the dates of such treatment. For foreseeable leave due to a qualifying exigency, notice must be provided as soon as practicable. Where the need for leave is not foreseeable, employee should notify the Authority as soon as possible and practical.

The employee’s notice must include sufficient information for the Authority to

determine if the leave qualifies for FMLA/CFRA protection and for the Authority to determine the expected timing and duration of the leave.

e. Certification of a Serious Health Condition

If the employee is requesting leave because of the employee's own or a covered relation's serious health condition, employee must provide appropriate medical certification from the relevant health care provider within 15 calendar days after employee requests leave, if practicable. If employee provides at least 30 days notice the medical certification should be provided before leave begins. Failure to provide requested medical certification in a timely manner may be grounds for delay of leave. The certification must include the name, address, phone and fax numbers of the health care provider and the type of medical practice, the approximate date on which the serious health condition began and its probable duration, a statement documenting the need for leave, and confirmation that, if the employee is the patient, employee is unable to perform one or more of the essential functions of the employee's job due to the serious health condition or, if a family member is the patient, confirmation that the family member is in need of care.

The Authority, at its expense, may require an examination by a second health care provider designated by the Authority, if it reasonably doubts the medical certification initially provided by the employee for the employee's own serious health condition. If the second health care provider's opinion conflicts with the original medical certification, the Authority, at its expense, may retain a third, mutually agreeable, health care provider to conduct an examination and provide a final and binding opinion.

The Authority may require subsequent medical recertification at the expiration of the employee's previous certification. Failure to provide requested recertification within 15 days, if such is practicable, may result in delay of further leave until it is provided.

f. Certification for a Qualifying Exigency

If the employee is requesting qualifying exigency leave, employee must provide appropriate certification within 15 calendar days after employee requests leave, if practicable. Failure to provide requested certification in a timely manner may be grounds for delay of leave. Employee must provide a copy of the military member's active duty orders or other documentation issued by the military that indicates that the military member is on active duty or call to active duty status in support of a contingency operation, and the dates of the member's active duty service.

Employee must also provide a signed statement of the facts regarding the qualifying exigency for which FMLA is requested, and provide the approximate date on which the qualifying exigency began or will begin, the beginning and end dates for the absence that is a single continuous period of leave (or, for intermittent or reduced schedule basis leave, an estimate of the frequency and duration of the qualifying exigency), and if the qualifying exigency involves meeting with a third party, provide appropriate contact information for any third party with whom you are meeting and a brief description of the purpose of the meeting.

g. Certification for Military Caregiver Leave

If employee is requesting leave to care for a covered service member with a serious injury or illness, employee must provide medical certification that the serious injury or illness was incurred in the line of duty on active duty in the Armed Forces.

h. Reporting While on Leave

If employee takes leave because of the employee's own serious health condition or to care for a covered family relation, employee must contact the Authority as directed regarding the status of the condition and the employee's intention to return to work. In addition, employee must give notice as soon as practicable (within two (2) business days if feasible) if the dates of leave change, are extended, or initially were unknown.

i. Leave is Unpaid

Family and Medical Leave is unpaid leave, although employee may be eligible for short-term or disability payments, paid family leave and/or workers' compensation benefits under those insurance plans. Employee may elect to substitute any accrued paid time off (e.g., PTO, administrative, etc.) for unpaid Family and Medical Leave. The use of paid leave is subject to the terms of the Authority's usual policies, procedures and restrictions applicable to that type of paid leave.

j. Medical and Other Benefits

For the first 12 weeks of an approved Family and Medical Leave, the Authority will maintain the employee's health benefits as if the employee continues to be actively employed. If paid leave is substituted for unpaid Family and Medical Leave, the Authority will deduct the employee's portion of the health plan premium as a regular payroll deduction. If the employee's leave is unpaid, employee must pay the employee's portion of the premium as directed by the Authority. Employee's health care coverage will cease if the employee's premium payment is more than 30 days late. If employee's payment is more than 30 days late, the Authority will send the employee a letter to this effect. If the Authority does not receive the Authority's co-payment within 15 days of that letter, the employee's coverage may cease. If employee elects not to return to work for at least 30 calendar days at the end of the leave period, the employee may be required to reimburse the Authority for the cost of the health benefit premiums paid by the Authority for maintaining coverage during the employee's unpaid leave.

During the unpaid portion of a family medical leave, PTO accrual will cease.

a. Intermittent and Reduced Schedule Leave

Leave because of a serious health condition, including pregnancy-related disabilities, or military caregiver leave, may be taken intermittently (in separate blocks of time due to a single health condition) or on a reduced-leave schedule (reducing the usual number of hours you work per workweek) if medically necessary. Qualifying exigency

leave may also be taken intermittently or on a reduced-leave schedule. Any leave taken for birth or placement of a child must be taken in blocks of at least two weeks (but employee is allowed two exceptions), and must be taken within one year of the birth or placement of the child with the employee.

If leave is unpaid, the Authority will reduce the employee's salary based on the amount of time actually worked. In addition, while the employee is on an intermittent or reduced leave schedule, the Authority may temporarily transfer the employee to an available alternative position that better accommodates employee's recurring leave and has equivalent pay and benefits.

b. Returning from Leave

If employee takes leave because of the employee's own serious health condition, (except if the employee is taking intermittent leave) employee is required to provide medical certification from employee's health care provider that states that employee is able to resume work and that addresses the employee's ability to perform the essential functions of the employee's job. Employees failing to provide the return-to-work medical certification form will not be permitted to resume work until it is provided.

Under most circumstances, an employee who returns from a Family and Medical Leave will be reinstated to his or her original job or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. However, an employee has no greater right to reinstatement than if she or he had been continuously employed rather than on leave. In addition, employees who do not return to work are not entitled to an accrual of seniority or employment benefits that may have occurred during a leave period.

c. Employer Requirements

The Authority must inform employees requesting leave whether they are eligible for Family and Medical leave. If they are, the notice must outline any additional information that is required and outline the employees' rights and responsibilities. If they are not eligible, the notice must give a reason for the ineligibility. It is unlawful for any employer to interfere with, restrain, or deny the existence of any right provided under the FMLA/CFRA, to discharge or discriminate against any person for opposing any practice made unlawful by the FMLA/CFRA or for involvement in any proceeding under or relating to the FMLA/CFRA. Employees may file a complaint with the U.S. Department of Labor or the California Department of Fair Employment and Housing, or employees may bring a private lawsuit to enforce the FMLA and the CFRA.

Jury Duty

Leave of absence with pay shall be granted to an employee who is called or required to serve as a juror. The employee must return to work on any day that they are excused from service. The employee shall be paid the difference between his/her full salary and any payment received for such duty, except travel pay.

Witnesses

Leave of absence with pay shall be granted to an employee while going to and from court and answering a subpoena as a witness. The employee shall be paid the difference between his/her full salary and any payment received for such duty except travel pay.

Military Leave

Military leave shall be granted in accordance with provisions of law. Employees entitled to military leave shall give the Executive Director an opportunity, within the limits of military regulations, to determine when such leave shall be taken.

Funeral Leave

When an employee participates in a funeral ceremony he/she may use Paid Time Off (PTO) to perform such duty. Time not worked because of such absence shall not affect general leave accrued.

Management Administrative Leave

Administrative Leave - In recognition that management employees in positions classified as exempt are required to work hours beyond their regular hours of work to fulfill their management responsibilities, each exempt management employee shall be credited with seven (7) days of administrative leave per year.

The seven (7) days of administrative leave will be credited to each exempt management employee during the first pay period in July of each succeeding year.

All managers with unused administrative leave as of June 30 will be paid for said leave in the final pay period of the fiscal year.

Exempt management employees hired during the year preceding July 1 shall receive a prorated administrative leave. Management employees leaving LAVTA prior to June 30 and who have unused Administrative Leave, will be credited on a prorated basis from July 1 to the termination date. If employee has used more than the prorated share, the final paycheck will be adjusted.

Exempt management employees are limited to the Executive Director and all employees in the Director Classification band.

Benefits

External Employee Education

Some employees may need to attend training programs, seminars, conferences, lectures, meetings, or other outside activities for the benefit of Livermore Amador Valley Transit Authority or the individual employees. Attendance at such activities, whether required by the Authority or requested by individual employees, requires the written approval of the Executive Director or designee. To obtain approval, any employee wishing to attend an activity must submit a written request to their supervisor detailing all relevant information, including date, hours, location, cost, expenses, and the nature, purpose, and justification for attendance. Attendance at any such event is subject to the following policies on reimbursement and compensation.

For attendance at events required or authorized by the Authority, customary and reasonable expenses will be reimbursed based on the Authority's Reimbursement Policy. Acceptable expenses generally include registration fees, materials, meals, transportation, and parking. Reimbursement policies regarding these expenses should be discussed with your supervisor in advance.

Employee attendance at authorized outside activities will be considered hours worked for non-exempt employees and will be compensated in accordance with normal payroll practices.

This policy does not apply to an employee's voluntary attendance, outside of normal working hours, at formal or informal educational sessions, even if such sessions generally may lead to improved job performance. While the Authority generally encourages all employees to improve their knowledge, job skills, and promotional qualifications, such activities do not qualify for reimbursement or compensation under this policy unless prior written approval is obtained as described previously.

Holidays

During each calendar year, Livermore Amador Valley Transit Authority observes the following paid holidays:

- January 1 (New Year's Day)
- Martin Luther King Jr.'s Birthday
- Presidents' Day
- Memorial Day
- July 4th (Independence Day)
- Labor Day
- Veterans' Day
- Thanksgiving Day

- Day After Thanksgiving
- Christmas Eve
- Christmas Day
- New Years Eve

When a holiday falls on a Saturday or Sunday, it is usually observed on the preceding Friday or the following Monday. However, Livermore Amador Valley Transit Authority may grant another day off in lieu of closing. Holiday observance will be announced in advance.

Each non-exempt employee's eligibility for holiday pay begins on date of hire. To be eligible for holiday pay, you must be regularly scheduled to work on the day on which the holiday is observed and must work your regularly scheduled working days immediately preceding and immediately following the holiday, unless an absence on either day is approved in advance by your supervisor. If you are required to work on a paid scheduled holiday you will receive straight time pay for the holiday hours in addition to the hours worked.

Insurance Benefits

Medical, Dental and Vision Insurance

Livermore Amador Valley Transit Authority provides a comprehensive medical, dental and vision insurance plan for eligible employees and their dependents. Regular full-time and part-time employees are eligible for medical insurance the first day of the month after date of hire. If an employee is hired on the first of the month, medical insurance is effective on date of hire. In the event of an increase in insurance premium rates, all employees may be required to contribute to the cost of increased premiums to retain coverage. Details about medical, dental and vision insurance coverage are available in separate publications available from the Finance Department. Payment for medical insurance is in accordance with the Authority's Personnel Policy.

Disability Insurance

Each employee contributes through payroll tax to California's state disability insurance programs. Disability insurance is mandated by the California Unemployment Insurance Code and administered by the Employment Development Department. Disability insurance is payable when you cannot work because of illness or injury not caused by employment at the Authority. An additional tax funds the state's Paid Family Leave program, and provides partial wage replacement for absences related to care of a family member, or bonding with a new child. Specific rules and regulations governing disability are available from the personnel manager.

Unemployment Compensation

Livermore Amador Valley Transit Authority contributes thousands of dollars each year to the

California Unemployment Insurance Fund on behalf of its employees.

Workers' Compensation

Livermore Amador Valley Transit Authority, in accordance with state law, provides insurance coverage for employees in case of work-related injury. The workers' compensation benefits provided to injured employees may include:

- Medical care;
- Cash benefits, tax free, to replace lost wages; and
- Assistance to help qualified injured employees return to suitable employment.

To ensure that you receive any workers' compensation benefits to which you may be entitled, you will need to:

- Immediately report any work-related injury to your supervisor;
- Seek medical treatment and follow-up care if required;
- Complete a written *Employee's Claim for Workers Compensation Benefits* (DWC Form 1) and return it to the Director of Finance; and
- Provide the Authority with a certification from your health care provider regarding the need for workers' compensation disability leave, as well as your eventual ability to return to work from the leave.

Upon submission of a medical certification that an employee is able to return to work after a workers' compensation leave, the employee under most circumstances will be reinstated to his or her same position held at the time the leave began, or to an equivalent position, if available. An employee returning from a workers' compensation leave has no greater right to reinstatement than if the employee had been continuously employed rather than on leave. For example, if the employee on workers' compensation leave would have been laid off had he or she not gone on leave, or if the employee's position has been eliminated or filled in order to avoid undermining the Authority's ability to operate safely and efficiently during the leave, and no equivalent or comparable positions are available, then the employee would not be entitled to reinstatement.

An employee's return depends on his or her qualifications for any existing openings. If, after returning from a workers' compensation disability leave, an employee is unable to perform the essential functions of his or her job because of a physical or mental disability, the Authority's obligations to the employee may include reasonable accommodation, as governed by the Americans with Disabilities Act.

Workers' Compensation and FMLA/CFRA

Employees who are ill or injured as a result of a work-related incident, and who are eligible for family and medical leave under state and federal law (Family Medical Leave Act (FMLA) and the California Family Rights Act (CFRA)), will be placed on FMLA/CFRA during the time they are disabled and not released to return to work. The leave under these laws runs

concurrently, and eligible employees will be on FMLA/CFRA for a maximum of 12 weeks in a 12-month period.

Retirement Plan

Livermore Amador Valley Transit Authority provides a comprehensive retirement plan under the California Public Employees Retirement System (CalPERS) plan for eligible employees in order to assist in planning for their retirement. For information regarding eligibility, contributions, benefits, and tax status, contact the Director of Finance. All eligible participants will receive an orientation to the CalPERS website which contains comprehensive data regarding the benefits available.

An optional 457 plan is also available for regular employees. The CalPERS Supplemental Income 457 Plan is an optional benefit in which employees may elect to participate. It is a voluntary savings program that allows you to defer any amount, up to the annual established limit, from your paycheck before you pay taxes on it. Please see the Director of Finance for details regarding the benefits of this plan.

Social Security

Social Security can be an important part of an employee's retirement benefit. Livermore Amador Valley Transit Authority pays a matching contribution to each employee's Social Security taxes for temporary employees or employees not eligible for CalPERS. Regular Authority employees eligible for the CalPERS plan should be aware that the earnings from this job are not covered under Social Security. Upon entry on duty, CalPERS covered employees will be provided with a Form SSA-1945 Statement Concerning Your Employment in a Job Not Covered by Social Security.

Management

Employee Property

An employee's personal property, including but not limited to packages, purses, and backpacks, may be inspected upon reasonable suspicion of unauthorized possession of Livermore Amador Valley Transit Authority property.

Employment of Relatives

General

Relatives of employees may be eligible for employment with Livermore Amador Valley Transit Authority only if individuals involved do not work in a direct supervisory relationship, or in job positions in which a conflict of interest could arise. The Authority defines "relatives" as spouses, registered domestic partners, children, siblings, parents, in-laws, and step-relatives. Present employees who marry or become registered domestic partners will be permitted to continue working in the job position held only if they do not work in a direct supervisory relationship with one another or in job positions involving conflict of interest.

Names and Addresses

Livermore Amador Valley Transit Authority is required by law to keep current all employees' names and addresses. Employees are responsible for notifying the Authority in the event of a name or address change.

Open-Door Policy

Suggestions for improving Livermore Amador Valley Transit Authority are always welcome. At some time, you may have a complaint, suggestion, or question about your job, your working conditions, or the treatment you are receiving. Your good-faith complaints, questions, and suggestions also are of concern to the Authority.

The Open-Door Policy, which we believe is important for both you and the Authority, cannot guarantee that every problem will be resolved to your satisfaction. However, Livermore Amador Valley Transit Authority values your observations and you should feel free to raise issues of concern, in good faith, without the fear of retaliation.

Performance Evaluations

Each employee will receive periodic performance reviews conducted by his or her supervisor. Your first performance evaluation will take place within the first six months upon completion of your introductory period. Subsequent performance evaluations will be conducted annually in June when merit increases are considered. The frequency of performance evaluations may vary depending upon length of service, job position, past performance, changes in job duties, or recurring performance problems.

Your performance evaluations may review factors such as your ability to meet scope, schedule and budget and the quality and quantity of the projects, assignments and work you perform, your knowledge of the job, your initiative, your work attitude, and your attitude toward others. The performance evaluations are intended to make you aware of your progress, areas for improvement, and objectives or goals for future work performance. Favorable performance evaluations do not guarantee increases in salary or promotions. Salary increases and promotions are solely within the discretion of Livermore Amador Valley Transit Authority and depend upon many factors in addition to performance. After the review, you will be required to sign the evaluation report simply to acknowledge that it has been presented to you, that you have discussed it with your supervisor, and that you are aware of its contents. Your signature does not indicate concurrence and you can add comments or documentation to the evaluation.

Personnel Records

You have a right to inspect certain documents in your personnel file, as provided by law, in the presence of an Authority representative at a mutually convenient time. No copies of documents in your file may be made, with the exception of documents that you have previously signed. You may add your comments to any disputed item in the file.

Livermore Amador Valley Transit Authority will restrict disclosure of your personnel file to authorized individuals within the Authority. Any request for information contained in personnel files must be directed to the Director of Finance. Only the Director of Finance is authorized to release information about current or former employees. Disclosure of personnel information to outside sources will be limited. However, Livermore Amador Valley Transit Authority will cooperate with requests from authorized law enforcement or local, state, or federal agencies conducting official investigations and as otherwise legally required.

Telecommuting

Telecommuting provides employees with an opportunity to work from an alternative work environment instead of in the primary location of the Authority. Livermore Amador Valley

Transit Authority retains the right in its sole discretion to designate positions that are appropriate for telecommuting and approve employees for telecommuting. Telecommuting must be pre-approved by an employee's supervisor. Telecommuting does not change the conditions of employment or required compliance with all Authority policies and procedures. The Authority reserves the right to change or terminate this policy at any time, without cause or advance notice. Telecommuting is a privilege and may not be appropriate for all employees. If an employee wishes to request the ability to Telecommute, s/he should contact his or her supervisor.

Telecommuting Safety

The Telecommuter is solely responsible for ensuring the safety of his or her alternative work environment. However, because the Authority is legally obligated to provide its employees with a workplace that is free from hazards that might cause serious harm or injury,

The Telecommuter shall be liable for any injuries that occur to third parties at or around the Telecommuter's alternative work environment.

Telecommuting Plan

All Telecommuters will be required to have an agreement in place with their supervisor that outlines the days and work hours (as applicable) of the Telecommuter; equipment the Telecommuter will need; how the Telecommuter will communicate with the Authority; use of support or administrative staff; and other appropriate information.

Hours of Work

Unless otherwise agreed, hours and days of work will not change. Employees agree to apply themselves during work hours. Telecommuting is not intended as a substitute for child care or care for another adult. If a child or adult needs care during work time, another responsible individual is expected to be present.

Attendance at Meetings

Telecommuters are expected to attend all required meetings.

Costs Associated with Telecommuting

The Authority shall not incur additional costs due to Telecommuting. The agreement with your supervisor will specify any costs the Authority will cover. All other expenses are the responsibility of the Telecommuter.

Use of Electronic Media

Livermore Amador Valley Transit Authority uses various forms of electronic communication including, but not limited to computers, e-mail, telephones, internet, cell phones, PDAs, etc. All electronic communications, including all software, databases, hardware, and digital files, remain the sole property of Livermore Amador Valley Transit Authority and are to be used for Authority business and only for occasional, incidental or rare personal use.

Electronic communication and media may not be used in any manner that would be discriminatory, harassing, or obscene, or for any other purpose that is illegal, against Authority policy, or not in the best interest of the Authority.

Employees who misuse electronic communications and engage in defamation, copyright or trademark infringement, misappropriation of trade secrets, discrimination, harassment, or related actions will be subject to discipline and/or immediate termination.

Employees may not install personal, pirated or unlicensed software on Authority computer systems; or any software not supported by the Authority's IT Analyst.

All electronic information created by any employee using any means of electronic communication is the property of Livermore Amador Valley Transit Authority and remains the property of Livermore Amador Valley Transit Authority. Personal passwords may be used for purposes of security, but the use of a personal password does not affect the Authority's ownership of the electronic information.

Livermore Amador Valley Transit Authority will override all personal passwords if necessary for any reason.

Livermore Amador Valley Transit Authority reserves the right to access and review electronic files, messages, mail, and other digital archives, and to monitor the use of electronic communications as necessary to ensure that no misuse or violation of Authority policy or any law occurs. Employees should understand that they have no right of privacy with respect to any messages or information created, collected, or maintained on the Authority's electronic communications, including personal information or messages.

Employees are not permitted to access the electronic communications of other employees or third parties unless directed to do so by Authority management.

No employee may install or use anonymous e-mail transmission programs or encryption of e-mail communications, except as specifically authorized by the Authority's IT Analyst.

Employees who use devices on which information may be received and/or stored, including but not limited to cell phones, cordless phones, portable computers, fax machines, and voice mail communications are required to use these methods in strict compliance with the trade secrets and confidential communication policy established by the Authority. These communications tools should not be used for communicating confidential or sensitive information or any trade secrets.

Access to the Internet, websites, and other types of Authority-paid computer access are to be used for Authority-related business. Any information about Livermore Amador Valley Transit Authority, its products or services, or other types of information that will appear in the electronic media about the Authority must be approved by the Director of Planning and Communications before the information is placed on an electronic information resource that is accessible to others.

Questions about access to electronic communications or issues relating to security should be addressed to the Authority's IT Analyst.

Authority Property

Bulletin Boards

Livermore Amador Valley Transit Authority maintains bulletin boards located the Administrative Office Break Room and at the Transit Center.

Bulletin boards are used to provide information to employees concerning official Authority business and legal notices. There will also be one bulletin board (or portion thereof) provided for informal staff use.

Employees may not post items on Authority bulletin boards unless the following conditions are met:

- Postings may be made by Authority employees only;
- Posted items will be dated and will be removed after expiration or within three months, whichever is later.

Cell Phone Usage

If an employee needs to make or receive a business phone call while driving, the employee should make sure the vehicle is stopped and that he or she is parked in a proper parking area for the call.

Employees who use hands-free telephones must keep business conversations brief while driving, and must stop the vehicle and park in a proper parking area if the conversation becomes involved, traffic is heavy, or road conditions are poor.

Writing, sending, or reading text-based communication – including text messaging, instant messaging, and e-mail – on a wireless device or cell phone while driving is also prohibited under this policy. Violating this policy is a violation of law beginning January 1, 2009.

Authority provided cellular telephones are for business purposes. They are not to be use for non-work related communications except when circumstances arise as described below.

Employees whose work necessitates a cell phone plan purchased by the Authority should restrict use to business. If an Authority provided cell phone is used for any personal use, the employee will be required on a monthly basis to review the detailed usage reports for phones and identify personal use (including calls and text messages) and to reimburse the Authority for a percentage of the monthly service charges plus any additional charges for minutes or message usage. If LAVTA requires you to travel on business, you are allowed one personal call per day.

Employees in possession of Authority cellular phones are required to take appropriate precautions to prevent theft and vandalism of all Authority equipment. Willful damage to Authority property is subject to replacement of the property at the employee's expense.

PERSONAL CELL PHONE USE:

Employees should obtain written departmental approval prior to using personal cellular phones for business purposes. Personal cell phone use for business should be limited to necessary and immediate business needs. It is the responsibility of the employee's department head to monitor cell phone use and approve the expense report for reimbursement. If the employee seeks reimbursement, Department Heads have the right to review, question, and limit reimbursement requests of employee's cell phone bills.

Employer Property

Desks, computers, vehicles, and other Authority-owned items are Livermore Amador Valley Transit Authority property and must be maintained according to Authority rules and regulations. They must be kept clean and are to be used only for work-related purposes. Livermore Amador Valley Transit Authority reserves the right to inspect all Authority property to ensure compliance with its rules and regulations, without notice to the employee and at any time, not necessarily in the employee's presence.

Authority voice mail and/or electronic mail (e-mail) are to be used for business purposes. Livermore Amador Valley Transit Authority reserves the right to monitor voice mail messages and e-mail messages to ensure compliance with this rule, without notice to the employee and at any time, not necessarily in the employee's presence.

Livermore Amador Valley Transit Authority may periodically need to assign and/or change "passwords" and personal codes for computer, e-mail, voicemail, etc. These communication technologies and related storage media and databases are to be used for Authority business and they remain the property of Livermore Amador Valley Transit Authority. Livermore Amador Valley Transit Authority reserves the right to keep a record of all passwords and codes used and/or may be able to override any such password system.

Prior authorization must be obtained before any Authority property may be removed from the premises.

For security reasons, employees should not leave personal belongings of value in the workplace. Suspicious personal items are subject to inspection and search, with or without notice, with or without the employee's prior consent.

Terminated employees should remove any personal items at the time they leave Livermore Amador Valley Transit Authority. Personal items left in the workplace are subject to disposal if not claimed at the time of an employee's termination.

Guests and Visitors

Visits from friends and family are to be kept to a minimum, in order to preserve an appropriate

work environment. It is extremely important that the impression left with Livermore Amador Valley Transit Authority visitors is that of a professional organization with the highest standards of conduct.

Emergencies in which children must be in the office for an extended length of time are to be kept to an absolute minimum – the Authority may not be used as a substitute for regular child care of employees' children. On those occasions when children are present, they should not be allowed to disrupt others in the office.

A child on the premises is the employee's responsibility and must be under employee's direct supervision at all times. If an employee's child is ill and on premises, the employee must present a doctor's note to their immediate supervisor indicating the child is not contagious. Only service animals will be allowed at work.

The Authority reserves its right in its sole discretion to deny such a request to have guests and visitors for reasons including, but not limited to, the requested guest or visitor has been disruptive in the past, there is a special event scheduled on the date(s) requested, or the work environment is not appropriate for the visitor or guest due to safety or other reasons.

Housekeeping

All employees are expected to keep their work areas clean and organized. People using common areas such as lunch rooms, locker rooms, and restrooms are expected to keep them sanitary. Please clean up after meals and dispose of trash properly.

Off-Duty Use of Facilities

Employees are prohibited from remaining on Livermore Amador Valley Transit Authority premises or making use of Authority facilities while not on duty.

Parking

Employees may park their vehicles in designated areas, if space permits. If space is unavailable, employees must park in permissible public areas in the vicinity of Livermore Amador Valley Transit Authority property. Employees may not use parking areas specifically designated for visitors or Authority vehicles. Livermore Amador Valley Transit Authority is not responsible for any loss or damage to employee vehicles or contents while parked on Authority property.

Surveillance Monitoring

Parking areas may be monitored with video or other surveillance for purposes of protecting Authority property only. This surveillance system is in no way intended to provide employees with personal security.

Smoking

Smoking is not allowed in any enclosed area of the facility. Smoking is not permitted within 20 feet of any entryway.

Employee Conduct

Business Conduct and Ethics

No employee may accept a substantial gift, meal, or gratuity from any customer, vendor, supplier, or other person doing business with Livermore Amador Valley Transit Authority because doing so may give the appearance of influencing business decisions, transactions or service. Non-substantial gifts (such as branded pens, etc.) may be accepted. If LAVTA is in a procurement process, no gift of any kind may be accepted from a potential vendor. A LAVTA employee who is designated in the Authority's conflict of interest code must report any gifts over \$50 (cumulative over the calendar year) from any single source, and may not accept gifts from any single source totaling more than \$420 in a calendar year if you are required to report receiving income or gifts from that source on your statement of economic interests. All other employees may not accept any gifts over \$50 cumulative over the calendar year from any single source.

Conducting Personal Business

Employees are to conduct only Livermore Amador Valley Transit Authority business while at work. Employees may not conduct personal business or business for another employer during their scheduled working hours.

Confidentiality

Each employee is responsible for safeguarding the confidential information obtained during employment.

In the course of your work, you may have access to confidential information regarding Livermore Amador Valley Transit Authority, its suppliers, its customers, or perhaps even fellow employees. Confidential information means all information, not generally known, belonging to, or otherwise relating to the business of the Authority or its clients, customers, vendors, affiliates or partners, regardless of the media or manner in which it is stored or conveyed, that the Authority has taken reasonable steps to protect from unauthorized use or disclosure. Confidential information includes but is not limited to trade secrets as well as other knowledge, information, and know-how; non-public intellectual property rights, including business plans and strategies; formulae; processes; designs; drawings; discoveries; improvements; ideas; conceptions; test data; compilations of data; and developments, whether or not patentable and whether or not copyrightable. You have a responsibility to prevent revealing or divulging any such information unless it is necessary for you to do so in the performance of your duties. Access to confidential information should be on a "need-to-know" basis and must be authorized by your supervisor. Any breach of this policy will not be tolerated and legal action may be taken by the Authority.

Nothing in this policy is intended to limit employees' right to discuss wages, terms or

conditions of employment with co-workers or with people outside of the organization.

Conflicts of Interest

All employees must avoid situations involving actual, potential or perceived conflict of interest. Personal or romantic involvement with a competitor, supplier, or subordinate employee of Livermore Amador Valley Transit Authority, which impairs an employee's ability to exercise good judgment on behalf of the Authority, creates an actual, potential, or perceived conflict of interest. Supervisor-subordinate romantic or personal relationships also can lead to supervisory problems, possible claims of sexual harassment, and morale problems.

Notice

An employee involved in any of the types of relationships or situations described in this policy should immediately and fully disclose the relevant circumstances to his or her immediate supervisor, for a determination about whether a potential or actual conflict exists. If an actual or potential conflict is determined, Livermore Amador Valley Transit Authority may take whatever corrective action appears appropriate according to the circumstances. Failure to disclose facts shall constitute grounds for disciplinary action.

Customer Relations

Employees are expected to be polite, courteous, prompt, and attentive to every customer. When an employee encounters an uncomfortable situation that he or she does not feel capable of handling, a supervisor should be called immediately.

Ours is a service business and all of us must remember that the customer always comes first. Our customers ultimately pay all of our wages. Remember, while the customer is not always right, the customer is never wrong.

Customers are to be treated courteously and given proper attention at all times. Never regard a customer's question or concern as an interruption or an annoyance. You must respond to inquiries from customers, whether in person or by telephone, promptly and professionally.

Never place a telephone caller on hold for an extended period. Direct incoming calls to the appropriate person and make sure the call is received.

Through your conduct, show your desire to assist the customer in obtaining the help he or she needs. If you are unable to help a customer, find someone who can.

All correspondence and documents, whether to customers or others, must be neatly prepared and error-free. Attention to accuracy and detail in all paperwork demonstrates your commitment to those with whom we do business.

Never argue with a customer. If a problem develops or if a customer remains dissatisfied, ask your supervisor or the Executive Director to intervene.

Dress Code and Other Personal Standards

Because each employee is a representative of the Authority in the eyes of the public, each employee must report to work properly groomed and wearing appropriate attire. Employees are expected every day to dress in the proper attire of business wear or business casual. On days when Board or Committee meetings are taking place, or where staff is meeting with VIP's, staff should be in business wear, not business casual.

Acceptable attire excludes ripped/torn clothing, T-shirts, tennis shoes, shorts, tank or halter tops, flip flops, and revealing attire. Employees who report to work inappropriately dressed may be asked to clock out and return in acceptable attire.

Drug and Alcohol Abuse

Livermore Amador Valley Transit Authority is concerned about the use of alcohol, illegal drugs, or controlled substances without a prescription as it affects the workplace. Use of these substances, whether on or off the job can detract from an employee's work performance, efficiency, safety, and health, and therefore seriously impair the employee's value to the Authority. In addition, the use or possession of these substances on the job constitutes a potential danger to the welfare and safety of other employees and exposes the Authority to the risks of property loss or damage, or injury to other persons.

Furthermore, the use of prescription drugs and/or over-the-counter drugs also may affect an employee's job performance and may seriously impair the employee's value to the Authority.

The following rules and standards of conduct apply to all employees either on Authority property or during the workday (including meals and rest periods). Behavior that violates Authority policy includes:

- Possession or use of an illegal drug or controlled substance without a prescription, or being under the influence of an illegal drug or controlled substance without a prescription while on the job;
- Driving a Authority vehicle while under the influence of alcohol; and
- Distribution, sale, or purchase of an illegal or controlled substance while on the job.

Violation of these rules and standards of conduct will not be tolerated. Livermore Amador Valley Transit Authority also may bring the matter to the attention of appropriate law enforcement authorities.

In order to enforce this policy, Livermore Amador Valley Transit Authority reserves the right to conduct searches of Authority property or employees and/or their personal property, and to implement other measures necessary to deter and detect abuse of this policy.

Any employee who is using prescription or over-the-counter drugs that may impair the employee's ability to safely perform the job, or affect the safety or well-being of others, must notify a supervisor of such use immediately before starting or resuming work. Employees are not required to tell their supervisors what drug they are using; they simply must inform their supervisors that they are using a prescription or over-the-counter drug covered by this policy.

Livermore Amador Valley Transit Authority will encourage and reasonably accommodate employees with alcohol or drug dependencies to seek treatment and/or rehabilitation. Employees desiring such assistance should request a treatment or rehabilitation leave. The Authority is not obligated, however, to continue to employ any person whose performance of essential job duties is impaired because of drug or alcohol use, nor is the Authority obligated to re-employ any person who has participated in treatment and/or rehabilitation if that person's job performance remains impaired as a result of dependency. Additionally, employees who are given the opportunity to seek treatment and/or rehabilitation, but fail to successfully overcome their dependency or problem, will not automatically be given a second opportunity to seek treatment and/or rehabilitation. This policy on treatment and rehabilitation is not intended to affect the Authority's treatment of employees who violate the regulations described previously. Rather, rehabilitation is an option for an employee who acknowledges a chemical dependency and voluntarily seeks treatment to end that dependency.

Please refer to the adopted Authority Drug and Alcohol Policy for additional details.

News Media Contacts

Employees may be approached for interviews or comments by the news media. Only contact people designated by the Executive Director may comment to news reporters on behalf of Livermore Amador Valley Transit Authority regarding Livermore Amador Valley Transit Authority policy or events relevant to Livermore Amador Valley Transit Authority. The Director of Planning and Communication must be notified of any interviews or comments made.

Off-Duty Conduct

While Livermore Amador Valley Transit Authority does not seek to interfere with the off-duty and personal conduct of its employees, certain types of off-duty conduct may interfere with the Authority's legitimate business interests. For this reason, employees are expected to conduct their personal affairs in a manner that does not adversely affect the Authority's or their own integrity, reputation or credibility. Illegal or immoral off-duty conduct by an employee that adversely affects the Authority's legitimate business interests or the employee's ability to perform his or her job will not be tolerated.

While employed by Livermore Amador Valley Transit Authority, employees are expected to devote their energies to their jobs with the Authority. The following types of employment elsewhere are strictly prohibited:

- Additional employment that conflicts with an employee's work schedule, duties, and responsibilities at the Authority;
- Additional employment that creates a conflict of interest or is incompatible with the employee's position with the Authority;
- Additional employment that impairs or has a detrimental effect on the employee's work performance with the Authority;
- Additional employment that requires the employee to conduct work or related activities on Authority property during the employer's working hours or using Authority facilities and/or equipment; and
- Additional employment that directly or indirectly competes with the business or the interests of the Authority.

Employees who wish to engage in additional employment that may create a real or apparent conflict of interest must submit a written request to Livermore Amador Valley Transit Authority explaining the details of the additional employment. If the additional employment is authorized, Livermore Amador Valley Transit Authority assumes no responsibility for it. Livermore Amador Valley Transit Authority shall not provide workers' compensation coverage or any other benefit for injuries occurring from or arising out of additional employment. Authorization to engage in additional employment can be revoked at any time.

Prohibited Conduct

The following conduct is prohibited and will not be tolerated by Livermore Amador Valley Transit Authority. This list of prohibited conduct is illustrative only; other types of conduct that threaten security, personal safety, employee welfare and Authority operations also may be prohibited.

- Falsifying employment records, employment information, or other Authority records;
- Recording the work time of another employee or allowing any other employee to record your work time, or falsifying any time sheet, either your own or another employee's;
- Theft and deliberate or careless damage or destruction of any Authority property, or the property of any employee or customer;
- Removing or borrowing Authority property without prior authorization;
- Unauthorized use of Authority equipment, time, materials, or facilities;
- Carrying firearms or any other dangerous weapons on Authority premises at any time;
- Engaging in criminal conduct during working time;
- Insubordination, including but not limited to failure or refusal to obey the lawful orders or instructions of a supervisor or member of management;
- Using abusive language toward a customer or client;

- Failing to notify a supervisor as soon as practicable when unable to report to work;
- Unreported absence of three consecutive scheduled workdays;
- Failing to obtain permission to leave work for any reason during normal working hours;
- Failing to observe working schedules, including rest and lunch periods;
- Failing to provide a physician's certificate when requested or required to do so;
- Sleeping or malingering on the job;
- Working overtime without authorization or refusing to work assigned overtime;
- Wearing disturbing, unprofessional or inappropriate styles of dress or hair while working;
- Violating any safety, health, security or Authority policy, rule, or procedure;
- Committing a fraudulent act or a breach of trust under any circumstances; and
- Committing or involvement in any act of unlawful harassment or discrimination of another individual.

Punctuality and Attendance

As an employee of Livermore Amador Valley Transit Authority, you are expected to be punctual and regular in attendance. Any tardiness or absence causes problems for your fellow employees and your supervisor. When you are absent or late, your assigned work must be performed by others.

Employees are expected to report to work as scheduled, on time, and prepared to start work. Employees also are expected to remain at work for their entire work schedule, except for meal periods, rest periods, or when required to leave on authorized Authority business. Late arrival, early departure, or other unanticipated and unapproved absences from scheduled hours are disruptive and must be avoided.

If you are unable to report for work on any particular day, you must under all but the most extenuating circumstances call your supervisor as soon as practicable, generally at least one hour before the time you are scheduled to begin working for that day. If you call less than one hour before your scheduled time to begin work and do not arrive in time for your assigned shift, you will be considered tardy for that day. In all cases of absence or tardiness, employees must provide their supervisor with an honest reason or explanation. Employees also must inform their supervisor of the expected duration of any absence. Excessive absenteeism or tardiness, whether excused or not, will not be tolerated.

If you fail to report for work without any notification to your supervisor and your absence continues for a period of three days Livermore Amador Valley Transit Authority will consider that you have voluntarily abandoned or quit your employment.

Wages

Advances

Livermore Amador Valley Transit Authority does not permit advances against paychecks or against unaccrued Paid Time Off (PTO).

Deductions for Exempt Employees

Employees paid on a “salary basis” regularly receive a predetermined amount of compensation each pay period. Subject to the exceptions listed below, exempt employees will receive full salary for any workweek in which they perform any work, regardless of the number of days or hours worked. Exempt employees may not be paid for any workweek in which they perform no work, subject to Livermore Amador Valley Transit Authority benefits programs and policies.

No deductions from salary may be made for time when work is not available, provided the exempt employee is ready, willing, and able to work. Deductions from pay are permissible when an exempt employee:

- Is absent from work for one or more full days for personal reasons other than sickness or disability;
- Is absent for one or more full days due to sickness or disability if the deduction is made in accordance with a bona fide plan, policy, or practice of providing compensation for salary lost due to illness; or
- Works less than a full week during the initial or final week of employment.

It is Authority policy to comply with these salary basis requirements. Therefore, Livermore Amador Valley Transit Authority prohibits all Authority managers from making any improper deductions from the salaries of exempt employees. The Authority wants employees to be aware of this policy and know that the Authority does not allow deductions that violate federal or state law.

If you believe that an improper deduction from your salary has been made, you should immediately report this information to your direct supervisor, or to the payroll department.

Reports of improper deductions will be investigated promptly. If it is determined that an improper deduction has occurred, you will be promptly reimbursed for any improper deduction made.

Reimbursement of Expenses

Livermore Amador Valley Transit Authority reimburses employees for business expenses in

accordance with the Authority's Expense Reimbursement Policy. Employees who have incurred business expenses must submit required receipts and the Expense Claim Form to the Finance Department within 60 days of the date the expenses were incurred. If you have any questions about the Authority's expense reimbursement policy, contact the Director of Finance.

Personal and/or vacation travel may be combined with business travel provided there is no additional cost to Livermore Amador Valley Transit Authority, and it meets with the approval of the Executive Director. Livermore Amador Valley Transit Authority credit cards are not to be used for personal expenses.

Makeup Time

Livermore Amador Valley Transit Authority allows the use of makeup time when non-exempt employees need time off to tend to personal obligations. Makeup time worked will not be paid at an overtime rate unless the employee works more than 11 hours in a workday or more than 40 hours in the workweek.

Employees may take time off and then make up the time later in the same workweek, or may work extra hours earlier in the same workweek to make up for time that will be taken off later in the workweek.

Makeup time requests must be signed and written and approved by your supervisor. Requests will be considered for approval based on the legitimate business needs of the Authority at the time the request is made.

All makeup time must be worked in the same workweek as the time taken off. The Authority's seven-day workweek is Saturday through Friday. Employees may not work more than 11 hours in a day or 40 hours in a workweek as a result of making up time that was or would be lost due to a personal obligation.

If you take time off and are unable to work the scheduled makeup time for any reason, the hours missed will be taken as PTO. During a pay period, if you work makeup time in advance of time you plan to take off, you must take that time off, even if you no longer need the time off for any reason.

An employee's use of makeup time is completely voluntary. Livermore Amador Valley Transit Authority does not encourage, discourage, or solicit the use of makeup time.

Overtime for Non-Exempt Employees

Employees may be required to work overtime as necessary. Only actual hours worked in a given workday or workweek can apply in calculating overtime. Livermore Amador Valley Transit Authority will attempt to distribute overtime evenly and accommodate individual

schedules. All overtime work must be previously authorized by a supervisor. Livermore Amador Valley Transit Authority provides compensation for all overtime hours worked by non-exempt employees in accordance with federal law as follows:

- All hours physically worked in excess of 40 hours in one workweek will be treated as overtime. A workday begins at 12:01 a.m. and ends at midnight 24 hours later. Workweeks begin each Saturday at 12:01 a.m;
- Compensation for hours in excess of 40 for the workweek shall be paid at a rate one and one-half times the employee's regular rate of pay;
-
- Exempt employees may have to work hours beyond their normal schedules as work demands require. No overtime compensation will be paid to exempt employees.

Pay for Mandatory Meetings/Training

Livermore Amador Valley Transit Authority will pay non-exempt employees for their attendance at meetings, lectures, and training programs under the following conditions:

- Attendance is mandatory;
- The meeting, course, or lecture is directly related to the employee's job; and
- The employee who is required to attend such meetings, lectures, or training programs will be notified of the necessity for such attendance by his or her supervisor.

Payment of Wages

Biweekly Payments

All employees of Livermore Amador Valley Transit Authority are paid every other Friday for work performed during the previous two-week pay period. If a regular payday falls on a holiday, employees will be paid on the last day worked before the holiday. Paychecks are normally available by 5:00 p.m. every other Friday at the Administration Offices located at 1362 Rutan Court, Suite 100, Livermore, CA. If you observe an error on your check, please report it immediately to your supervisor.

Automatic Deposit

Livermore Amador Valley Transit Authority offers automatic payroll deposit for employees. You may begin and stop automatic payroll deposit at any time. To begin automatic payroll deposit, you must complete a form (available from the payroll department) and return it to payroll at least 10 days before the pay period for which you would like the service to begin. You should carefully monitor your payroll deposit statements for the first two pay periods after the service begins.

To stop automatic payroll deposit, complete the form available from the payroll department and return it to payroll at least 10 days before the pay period for which you would like the service to end. You will receive a regular payroll check on the first pay period after the receipt of the form, provided it is received no later than 10 days before the end of the pay period.

Timekeeping Requirements

All non-exempt employees, with the exception of Interns and Customer Service Representatives, are required to use time sheets to record time worked for payroll purposes. Employees must record their own time at the start and at the end of each work period, including before and after the lunch break. Employees also must check out at the front desk whenever they leave the building. Any errors on your timesheet should be reported immediately to your supervisor. Time sheets must be signed by employee and supervisor and submitted to payroll by 5:00 p.m. on the Friday that marks the end of the pay period.

Interns and Customer Service Representatives are required to use a computer desk top time clock to record time worked for payroll purposes. Time sheets are printed and distributed on the Monday following the end of the pay period and must be signed by employee and supervisor and submitted to payroll with 24 hours.

Work Schedules

Livermore Amador Valley Transit Authority Administrative Offices are normally open for business between the hours of 8:30 a.m. and 5:00 p.m. Monday through Friday. Your supervisor will assign your individual work schedule. All employees are expected to be at their desks or workstations at the start of their scheduled shifts, ready to work.

The Authority also operates a Transit Center in Livermore, which provides customer service for passengers and the Community. The Transit Center is normally open for business between the hours of 5:00 a.m. and 7:00 p.m. Monday through Friday. Customer Service Representatives are assigned work schedules and exchanging work schedules with other employees is discouraged. However, if you need to exchange schedules, notify your supervisor, who may authorize an exchange if possible. Work schedule exchanges will not be approved for the mere convenience of an employee or if the exchange interferes with normal operations or results in excessive overtime.

The workweek begins at 12:01 a.m. Saturday and ends at midnight on the following Friday.

Safety and Health

Employees Who Are Requested to Drive

Employees who are required to drive an Authority vehicle or their own vehicles on Authority business will be required to show proof of current valid driving licenses and current effective insurance coverage before the first day of employment.

Livermore Amador Valley Transit Authority participates in a system that regularly checks state Department of Motor Vehicles (DMV) records of all employees who drive as part of their job.

Livermore Amador Valley Transit Authority retains the right to transfer to an alternative position, suspend, or terminate an employee whose license is revoked, or who fails to maintain personal automobile insurance coverage or who is uninsurable under the Authority's policy.

Employees who drive their own vehicles on Authority business will be reimbursed per mile at the current rate established by the Internal Revenue Service.

Ergonomics

Livermore Amador Valley Transit Authority is subject to Cal/OSHA ergonomics standards for minimizing workplace repetitive motion injuries. The Authority will make necessary adjustments to reduce exposure to ergonomic hazards through modifications to equipment and processes and employee training. The Authority encourages safe and proper work procedures and requires all employees to follow safety instructions and guidelines.

Livermore Amador Valley Transit Authority believes that reduction of ergonomic risk is instrumental in maintaining an environment of personal safety and well-being, and is essential to our business. We intend to provide appropriate resources to create a risk-free environment.

If you have any questions about ergonomics, please contact the Director of Finance.

Health and Safety

All employees are responsible for their own safety, as well as that of others in the workplace. To help us maintain a safe workplace, everyone must be safety-conscious at all times. Report all work-related injuries or illnesses immediately to your supervisor or to the human resources department. In compliance with California law, and to promote the concept of a safe workplace, Livermore Amador Valley Transit Authority maintains an Injury and Illness Prevention Program. The Injury and Illness Prevention Program is available for review by employees and/or employee representatives in the office of the Director of Finance.

In compliance with Proposition 65, Livermore Amador Valley Transit Authority will inform employees of any known exposure to a chemical known to cause cancer or reproductive toxicity.

Recreational Activities and Programs

Livermore Amador Valley Transit Authority or its insurer will not be liable for payment of workers' compensation benefits for any injury that arises out of an employee's voluntary participation in any off-duty recreational, social, or athletic activity that is not part of the employee's work-related duties.

Security

Livermore Amador Valley Transit Authority has developed guidelines to help maintain a secure workplace. Be aware of persons loitering for no apparent reason in parking areas, walkways, entrances and exits, and service areas. Report any suspicious persons or activities to security personnel. Secure your desk or office at the end of the day. When called away from your work area for an extended length of time, do not leave valuable and/or personal articles in or around your workstation that may be accessible. The security of facilities as well as the welfare of our employees depends upon the alertness and sensitivity of every individual to potential security risks. You should immediately notify your supervisor when unknown persons are acting in a suspicious manner in or around the facilities, or when keys, security passes, or identification badges are missing.

The Authority's workplace security program is described in detail in the Authority's System Safety Program Plan (SSPP).

Workplace Violence

Livermore Amador Valley Transit Authority has adopted the following workplace violence policy to ensure a safe working environment for all employees.

The Authority has a zero tolerance for acts of violence and threats of violence. Without exception, acts and threats of violence are not permitted. All such acts and threats, even those made in apparent jest, will be taken seriously, and will lead to discipline up to and including termination.

Possession of non-work related weapons on Authority premises and at Authority-sponsored events shall constitute a threat of violence.

It is every employee's responsibility to assist in establishing and maintaining a violence-free work environment. Therefore, each employee is expected and encouraged to report any incident which may be threatening to you or your co-workers or any event which you

reasonably believe is threatening or violent. You may report an incident to any supervisor or manager.

A threat includes, but is not limited to, any indication of intent to harm a person or damage Authority property. Threats may be direct or indirect, and they may be communicated verbally or nonverbally.

The Authority's workplace violence program is described in detail in the Authority's Injury and Illness Prevention Program (IIPP).

Allergies

1. Food Allergies.

A food allergy occurs when a person's immune system decides that a particular food is harmful. The person's immune system releases massive amounts of chemicals to protect the body. These chemicals trigger a cascade of allergic symptoms that can affect the respiratory system, gastrointestinal tract, skin, or cardiovascular system. Symptoms range from a tingling sensation in the mouth, swelling of the tongue and the throat, difficulty breathing, hives, vomiting, abdominal cramps, diarrhea, drop in blood pressure, to loss of consciousness and/or death. Symptoms typically appear within minutes after the person has eaten the food to which he or she is allergic, but may occur hours later.

Although a person can be allergic to any food, there are eight foods that account for 90% of all food allergy reactions. These are milk, eggs, peanuts, tree nuts, fish, shellfish, soy, and wheat. Currently, there are no medications that cure food allergies. **Strict avoidance of the allergy-causing food is the only way to avoid a reaction.**

A. Possible Accommodations

If a LAVTA employee suffers from such an allergy, he or she should **notify Human Resources immediately.** LAVTA will then implement accommodations to reduce the risk to the employee.

While implementing policies restricting certain foods is not fail-safe, it may help to reduce exposure. Accommodations *may* include:

- Posting signs at entrances to the building and in hallways, restrooms, waiting rooms and conference rooms. These signs will alert people that certain foods are restricted due to a severe food allergy.
- Sending memos to employees informing them that if a person has eaten the offending food, they must let others know so the proper precautions may be taken. Some allergic reactions have occurred when a person has contact with someone who has eaten an offending food.
- Sending occasional memos encouraging compliance with the policy.
- Enforcing the policy with consequences for violations.
- Allowing the employee to eat at his/her desk or in his/her office or allowing extra time during lunch so the employee may go home to eat.
- Permitting flexible scheduling so the employee with a food allergy may work when less people are present in the workplace to decrease possible exposure.

- Relocating the employee's workspace to reduce possibility of exposure to offending foods.
- Researching current airline policies regarding snacks served on the plane; some airlines do not serve peanut snacks.
- Allowing employees who travel for work to stay overnight in hotels with refrigerators in the rooms so they may bring their own food.
- Accommodating the need for recurrent medical intervention.
- Conduct a training session to educate employees on food allergies.
- Discuss the proper steps to take in an emergency situation, e.g., how to call 911.
- Discuss the signs and symptoms of an anaphylactic reaction, which may include a tingling sensation in the mouth, swelling of the tongue and the throat, difficulty breathing, hives, vomiting, abdominal cramps, diarrhea, dizziness, and loss of consciousness.
- Allow an employee to re-locate or re-schedule a meeting in a room that is inducing an allergy or sensitivity.
- Allow an employee the right to remove themselves from a harmful environment.
- Allow an employee to keep medication with him/her at all times.
- Note that an employee with a food allergy may wear a medical alert necklace or bracelet.

C. Procedure

Once the appropriate accommodations have been identified, employees will be notified as needed through signs posted in building, promotional materials and training.

Visitors will be informed of this policy through signs, and it will be explained to them by their host.

Employees who violate this policy may be subject to disciplinary action, up to and including termination.

2. Scent-free Workplace Policy.

A. Scented Products

Due to the health concerns arising from exposure to scented products, LAVTA has instituted a this policy to provide a scent-free environment for all employees and visitors.

Scented products can adversely affecting a person's health, causing some or all of the following symptoms:

- headaches
- dizziness, lightheadedness
- nausea
- fatigue
- weakness
- insomnia
- malaise
- confusion
- loss of appetite
- depression
- anxiety
- numbness

- upper respiratory symptoms
- shortness of breath
- watering eyes and runny nose
- difficulty with concentration
- skin irritation

Allergic and asthmatic patients, as well as those with other conditions, report that certain odors, even in the smallest amounts, can trigger an attack. The severity of these symptoms can vary. Some people report mild irritation while others are incapacitated and/or must give up many 'normal' activities in order to avoid exposure (such as going to public places). In addition, people suffering from food allergies may have an allergic reaction to non-food items that contain natural or food-based ingredients.

The use of scented products will not be allowed within the building at any time. In addition, all materials used for cleaning will be scent-free.

What types of products contain scents?

Scents are included in a very large range of products including:

- shampoo and conditioners
- hairsprays
- deodorants
- colognes and aftershaves
- fragrances and perfumes
- lotions and creams
- tissues and kleenex
- potpourri
- industrial and household chemicals
- soaps
- hand sanitizer
- cosmetics
- air fresheners and deodorizers
- oils
- candles
- diapers
- some types of garbage bags

It is important to remember some products which claim to be 'scent free' may have only masked the scent by use of an additional chemical.

A list of locally available scent-free products is available from Human Resources.

B. Natural Scents

Even natural scents can cause severe allergic reactions in people with environmental sensitivities or food allergies. Accordingly, employees are not permitted to bring flowers or flowering plants to the workplace. If an employee is sent flowers or a flowering plants at the workplace by someone else, he or she is to store them outside of the building or dispose of them immediately.

C. Procedure

Employees will be informed of this policy through signs posted in buildings, the policy manual, promotional materials and will receive orientation and training.

Visitors will be informed of this policy through signs and it will be explained to them by their host.

Employees who violate this policy may be subject to disciplinary action, up to and including termination.

Termination

Employee References

All requests for references must be directed to the Director of Finance. No other manager, supervisor, or employee is authorized to release references for current or former employees.

By policy, Livermore Amador Valley Transit Authority discloses only the dates of employment and the title of the last position held of former employees. If you authorize the disclosure in writing, Livermore Amador Valley Transit Authority also will inform prospective employers of other information as specifically designated in the disclosure authorization.

Reductions in Force

Under some circumstances, Livermore Amador Valley Transit Authority may need to restructure or reduce its workforce. If restructuring our operations or reducing the number of employees becomes necessary, the Authority will attempt to provide advance notice, if possible, to help prepare affected individuals. If possible, employees subject to layoff will be informed of the nature of the layoff and the foreseeable duration of the layoff, whether short-term or indefinite.

In determining which employees will be subject to layoff, Livermore Amador Valley Transit Authority will take into account, among other things, operation and requirements, the skill, productivity, ability, and past performance of those involved, and the employee's length of service.

Voluntary Resignation

Voluntary resignation results when an employee voluntarily quits his or her employment at Livermore Amador Valley Transit Authority by submitting a written and signed resignation letter, or fails to report to work for three consecutively scheduled workdays without notice to, or approval by, his or her supervisor. All Authority-owned property, including vehicles, keys, uniforms, identification badges, and credit cards, must be returned immediately upon termination of employment.

APPENDIX A

LAVTA Human Resources Policy (adopted by BOD 10/6/14)

1. GENERAL PROVISIONS

1.1 PURPOSE

The objective of these policies is to facilitate efficient service to the public and to provide a human resources management system within the Livermore Amador Valley Transit Authority (LAVTA) that deals with all employees in an equitable and uniform manner.

1.2 SCOPE

In cases where these policies conflict with agreements duly agreed upon between any employee and the Authority, the provisions of the agreement shall govern. In all other cases, these rules shall apply.

2. POLICIES AND PROCEDURES

2.1 APPLICATIONS FOR EMPLOYMENT

Application for employment shall be made in a manner prescribed by the Executive Director. Applications shall require information on specific job experience, education, and training, shall contain job-related information, and shall be signed and dated by the applicant.

2.1.1 No questions on any application or asked at an interview shall attempt to elicit information concerning race, age, color, creed, sex, sexual orientation, gender identity, genetic information, marital status, national origin, mental, physical or sensory disability, or religious affiliation for the purpose of discrimination.

2.1.2 All statements submitted on the application or attached resume may be subject to investigation and verification prior to appointment.

2.1.3 All job openings will be subject to a competitive process. The Executive Director or designee shall determine whether competition shall be limited to internal candidates or shall be opened to all qualified candidates. If competition includes outside candidates, the job opening will be advertised as appropriate to the position and in accordance with the LAVTA Human Resources Procedures Manual.

- 2.1.4 The Authority shall conform to all requirements under the Americans with Disability Act relating to application for employment and continued service with the Authority.

2.2 APPOINTMENT

- 2.2.1 All appointments to vacancies shall be made by the Executive Director or designee after considering the qualifications of the applicants.
- 2.2.2 Qualified Authority employees will be given due consideration for any available position upon application for the position.

2.3 ATTENDANCE

Employees shall be in attendance at their job in accordance with the rules regarding hours of work, holidays and leave of absence.

- 2.3.1 An employee shall not be absent from work for any reason other than those specified in this Human Resources Policy without making prior arrangements with the Executive Director or designee. Unless prior arrangements are made, an employee who, for any reason, fails to report to work, shall make a sincere effort to immediately notify the Executive Director or designee of the reason for being absent. If the absence continues beyond the first day, the employee shall notify the Executive Director or designee on a daily basis unless other arrangements have been made. *The Executive Director or designee may require a medical certificate from the employee's treating physician if the absence continues over three consecutive days.*
- 2.3.2 Any unauthorized absence of an employee may be cause for disciplinary action.

2.4 OVERTIME COMPENSATION

The payment of overtime compensation shall be in accordance with Federal Law. The Executive Director shall conduct a review of the responsibilities of each position and designate whether the position is exempt from overtime compensation provisions pursuant to the Code of Federal Regulations: Title 29: Part 541. Nonexempt employees who are required to work more than 40 hours in one week shall be entitled to overtime compensation for all hours so worked. Overtime is paid only for time worked, not time compensated. Therefore, overtime is not paid when time worked is less than 40 hours in the week but the employee receives PTO, holiday pay (as defined in paragraph 5.1.1), jury duty pay or similar pay for unworked hours and the paid time exceeds 40 hours. The overtime rate shall be computed at one and one-half times the employee's

regular rate of pay as calculated to the nearest one-tenth (1/10) of an hour. Employees shall be compensated for overtime worked by monetary payment, paid not later than the next payroll following the pay period in which the overtime was worked. All overtime shall be approved in writing by the Executive Director or designee.

2.5 HOURS OF WORK

The Administrative Office shall be open for the public between 8:30 a.m. and 5:00 p.m. each weekday, except on Authority holidays as per paragraph 5.1.1. The Transit Center shall be open for the public as determined by the Executive Director or designee in accordance with all agreements or other public considerations.

Employees will work per established full time (40 hours per week) or part-time schedule.

2.6 LAYOFF

The Executive Director may layoff employees for lack of work, budgetary restrictions, or due to other changes that take place. Layoffs will be made based on performance without regard for seniority. The employee will be given two (2) weeks notice, except in cases of emergency, before layoff takes place.

2.7 LEAVES OF ABSENCE

2.7.1 Personal Leaves:

2.7.2 The Executive Director or designee may grant a regular employee leave of absence without pay, not to exceed three (3) months, for personal leave.. No such leave shall be granted except in written form and upon written request of the employee setting forth the reason therefore. Upon expiration of a regularly approved leave of absence without pay, the employee shall be reinstated in the position held at the time leave was granted if such position is available; however, reinstatement is not guaranteed. Failure on the part of an employee on leave to report promptly at its expiration or within a reasonable time after notice to return to duty shall be cause for discipline. The Executive Director or designee may grant an employee in the introductory period,= leave of absence without pay for one (1) calendar week only.

a. Medical and Other Benefits

During an approved personal leave of absence without pay per paragraph 2.7.2, employee must pay the employee's portion of the premium as directed by the Authority. Employee's health care coverage will cease if the employee's

premium payment is more than 30 days late. If employee's payment is more than 30 days late, the Authority will send the employee a letter to this effect. If the Authority does not receive the Authority's co-payment within 15 days of that letter, the employee's coverage may cease. If employee elects not to return to work for at least 30 calendar days at the end of the leave period, the employee may be required to reimburse the Authority for the cost of the health benefit premiums paid by the Authority for maintaining coverage during the employee's unpaid leave.

During the unpaid leave, PTO accrual will cease.

2.7.3

Temporary Disability Leaves:

2.7.4

a. An unpaid medical leave of absence may be granted for temporary medical disabilities with a doctor's written certificate of disability if a leave is necessary to reasonably accommodate a workplace injury or a qualified disability under the Americans With Disabilities Act or the Fair Employment and Housing Act. Temporary disability leave runs concurrently with Family Medical Leave.

b. The duration of a disability leave under this section shall be consistent with applicable law, but in no event shall the leave extend past the date on which an employee becomes capable of performing the essential functions of his or her position, with or without reasonable accommodation.

c. If the disability leave is needed due to a work-related injury, all matters relating to an employee's leave rights, including compensation, benefits, substitution of paid leave, notice and certification requirements, and reinstatement shall be governed by the state workers' compensation laws.

d. Requests for leave should be made as far in advance as possible. Employees are required to use any unused accrued sick leave and vacation. Employees may also be eligible for State Disability Insurance (SDI) benefits. Use of sick leave, vacation leave or State Disability Insurance benefits does not extend the time period of the leave of absence.

2.7.5

Family Medical Leave Act

a. **Leave Policy**

Under the federal Family and Medical Leave Act (“FMLA”) and the California Family Rights Act (“CFRA”), employees may take time off as provided in this policy, so long as (1) the employee has worked for the Authority for at least 12 months, and for at least 1,250 hours in the last 12 months, (an employee returning from fulfilling his or her National Guard or Reserve military obligation will be credited with the hours of service that would have been performed but for the period of military service in determining the 1,250 hours of service).

b. Reasons for Leave

Eligible employees may take up to 12 weeks of unpaid Family and Medical Leave within any rolling 12-month period (measured backward from the date of the commencement of any Family and Medical Leave) and be restored to the same or a comparable position upon the employee’s return from leave for any of the following reasons:

- (1) the birth of a child and to bond with or to care for such child;
- (2) the placement of a child with the employee for adoption or foster care and to bond with or to care for the newly-placed child;
- (3) to care for a spouse, domestic partner, child, or parent (“covered relation”) with a serious health condition;
- (4) the employee’s own serious health condition that renders him/her unable to perform an essential function of his/her position;
- (5) “military exigency leave,” when there is a qualifying military exigency arising out of the fact that an employee’s spouse, domestic partner, child, or parent is on covered active duty (or has been notified of an impending call or order to covered active duty) in the National Guard, Reserves or regular Armed Forces. “Qualifying exigency” under the FMLA includes any activities listed in the applicable Department of Labor governing regulations. Qualifying exigencies include: (1) short-notice deployment; (2) military events and related activities; (3) childcare and school activities; (4) financial and legal arrangements; (5) counseling; (6) rest and recuperation; (7) post deployment activities; (8) parental leave; and (9) additional activities.

In addition, under the FMLA, “Military Caregiver Leave” may be requested to care for a spouse, domestic partner, son or daughter (of any age), parent, or next of kin who is a covered service member, and who has incurred a serious injury or illness in the line of duty while on active duty in the Armed Forces, including leave to care for covered veterans who are undergoing medical treatment, recuperation, or therapy for a serious injury or illness incurred or aggravated in the line of duty on active duty and that manifested before or after the veteran left active duty.

A “covered service member” under the FMLA Military Caregiver Leave is: a) a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness; or b) a covered veteran who is undergoing medical treatment, recuperation, or therapy for a serious injury or illness. “Covered veteran” means an individual who was a member of the Armed Forces (including a member of the National Guard or Reserves), and was discharged or released under conditions other than dishonorable at any time during the five-year period prior to the first date the eligible employee takes FMLA leave to care for the covered veteran

Provided all the conditions of this policy are met, an employee may take a maximum of 26 weeks of military caregiver leave in a single 12-month period, inclusive of the any leave the employee takes for family care, medical, or military exigency leave during that period. This 12-month period will be measured *forward* from the first day leave is taken, regardless of how the Company calculates the single 12-month period for other FMLA purposes.

Military Caregiver Leave may run concurrently with CFRA leave if the covered servicemember is a CFRA “covered relation” (i.e. your spouse, registered domestic partner, child (under age 18, unless incapable of self-care because of a mental or physical disability), or parent) and the covered servicemember suffers from a serious health condition under CFRA. If such conditions are not met, CFRA leave is not exhausted during military caregiver leave. In any event, CFRA leave lasts for a maximum of 12 weeks, and any military caregiver leave beyond that would be FMLA only.

Spouses who are both employed by the Company may take a maximum combined total of 26 weeks in the 12-month period for military caregiver leave and any other FMLA leave, including military exigency leave. However, no more than 12 weeks of this combined 26-week period may be taken for reasons other than to care for the service member.

c. Time Off from Work Due to Employee’s Disability Due to Pregnancy/
Childbirth/Adoption

Time off from work because of disability due to pregnancy, childbirth, or adoption is counted as time used for FMLA leave, but is not counted as time used for CFRA leave. Pregnant employees may have the right to take up to four (4) months of Pregnancy Disability Leave (PDL) in addition to CFRA leave. Pregnant employees may be entitled to additional leave beyond four (4) months to accommodate a pregnancy-related disability if reasonable under the circumstances and not an undue hardship. Pregnant employees should consult with Human Resources regarding their individual situation.

d. Notice of Leave

If the need for Family and Medical Leave is foreseeable, employee must give the Authority at least 30 days prior notice of the need for leave, preferably in writing. If this is not possible, employee must at least give notice as soon as practicable (generally within one (1) to two (2) business days of learning of the need for leave), and employee must comply with the Authority's usual and customary notice and procedural requirements for requesting leave absent unusual circumstances. Failure to provide such notice may be grounds for delay of leave. Additionally, if the employee is planning a medical treatment, the employee must consult with the Authority first regarding the dates of such treatment. For foreseeable leave due to a qualifying exigency, notice must be provided as soon as practicable. Where the need for leave is not foreseeable, employee should notify the Authority as soon as possible and practical.

The employee's notice must include sufficient information for the Authority to determine if the leave qualifies for FMLA/CFRA protection and for the Authority to determine the expected timing and duration of the leave.

e. Certification of a Serious Health Condition

If the employee is requesting leave because of the employee's own or a covered relation's serious health condition, employee must provide appropriate medical certification from the relevant health care provider within 15 calendar days after employee requests leave, if practicable. If employee provides at least 30 days notice the medical certification should be provided before leave begins. Failure to provide requested medical certification in a timely manner may be grounds for delay of leave. The certification must include the name, address, phone and fax numbers of the health care provider and the type of medical practice, the approximate date on which the serious health condition began and its probable duration, a statement documenting the need for leave, and confirmation that, if the employee is the patient, employee is unable to perform one or more of the essential functions of the employee's job due to the serious health condition or, if a family member is the patient, confirmation that the family member is in need of care.

The Authority, at its expense, may require an examination by a second health care provider designated by the Authority, if it reasonably doubts the medical certification initially provided by the employee for the employee's own serious health condition. If the second health care provider's opinion conflicts with the original medical certification, the Authority, at its expense, may retain a third, mutually agreeable, health care provider to conduct an examination and provide a final and binding opinion.

The Authority may require subsequent medical recertification at the expiration of the employee's previous certification. Failure to provide requested recertification within 15 days, if such is practicable, may result in delay of

further leave until it is provided.

f. Certification for a Qualifying Exigency

If the employee is requesting military exigency leave, employee must provide appropriate certification within 15 calendar days after employee requests leave, if practicable. Failure to provide requested certification in a timely manner may be grounds for delay of leave. Employee must provide a copy of the military member's active duty orders or other documentation issued by the military that indicates that the military member is on active duty or call to active duty status in support of a contingency operation, and the dates of the member's active duty service.

Employee must also provide a signed statement of the facts regarding the qualifying exigency for which FMLA is requested, and provide the approximate date on which the qualifying exigency began or will begin, the beginning and end dates for the absence that is a single continuous period of leave (or, for intermittent or reduced schedule basis leave, an estimate of the frequency and duration of the qualifying exigency), and if the qualifying exigency involves meeting with a third party, provide appropriate contact information for any third party with whom you are meeting and a brief description of the purpose of the meeting.

g. Certification for Military Caregiver Leave

If employee is requesting leave to care for a covered service member with a serious injury or illness, employee must provide medical certification that the serious injury or illness was incurred in the line of duty on active duty in the Armed Forces.

h. Reporting While on Leave

If employee takes leave because of the employee's own serious health condition or to care for a covered family relation, employee must contact the Authority as directed regarding the status of the condition and the employee's intention to return to work. In addition, employee must give notice as soon as practicable (within two (2) business days if feasible) if the dates of leave change, are extended, or initially were unknown.

i. Leave is Unpaid

Family and Medical Leave is unpaid leave, although employee may be eligible for short-term or disability payments, paid family leave and/or workers' compensation benefits under those insurance plans. Employee may elect to substitute any accrued paid time off (e.g., PTO, administrative, etc.) for unpaid

Family and Medical Leave. The use of paid leave is subject to the terms of the Authority's usual policies, procedures and restrictions applicable to that type of paid leave.

j. Medical and Other Benefits

For the first 12 weeks of an approved Family and Medical Leave, the Authority will maintain the employee's health benefits as if the employee continues to be actively employed. If paid leave is substituted for unpaid Family and Medical Leave, the Authority will deduct the employee's portion of the health plan premium as a regular payroll deduction. If the employee's leave is unpaid, employee must pay the employee's portion of the premium as directed by the Authority. Employee's health care coverage will cease if the employee's premium payment is more than 30 days late. If employee's payment is more than 30 days late, the Authority will send the employee a letter to this effect. If the Authority does not receive the Authority's co-payment within 15 days of that letter, the employee's coverage may cease. If employee elects not to return to work for at least 30 calendar days at the end of the leave period, the employee may be required to reimburse the Authority for the cost of the health benefit premiums paid by the Authority for maintaining coverage during the employee's unpaid leave.

During the unpaid portion of a family medical leave, PTO accrual will cease.

k. Intermittent and Reduced Schedule Leave

Leave because of a serious health condition, including pregnancy-related disabilities, or military caregiver leave, may be taken intermittently (in separate blocks of time due to a single health condition) or on a reduced-leave schedule (reducing the usual number of hours you work per workweek) if medically necessary. Qualifying exigency leave may also be taken intermittently or on a reduced-leave schedule. Any leave taken for birth or placement of a child must be taken in blocks of at least two weeks (but employee is allowed two exceptions), and must be taken within one year of the birth or placement of the child with the employee.

If leave is unpaid, the Authority will reduce the employee's salary based on the amount of time actually worked. In addition, while the employee is on an intermittent or reduced leave schedule, the Authority may temporarily transfer the employee to an available alternative position that better accommodates employee's recurring leave and has equivalent pay and benefits.

l. Returning from Leave

If employee takes leave because of the employee's own serious health condition, (except if the employee is taking intermittent leave) employee is required to provide medical certification from employee's health care provider that states that employee is able to resume work and that addresses the employee's ability to perform the essential functions of the employee's job. Employees failing to provide the return-to-work medical certification form will not be permitted to resume work until it is provided.

Under most circumstances, an employee who returns from a Family and Medical Leave will be reinstated to his or her original job or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. However, an employee has no greater right to reinstatement than if she or he had been continuously employed rather than on leave. In addition, employees who do not return to work are not entitled to an accrual of seniority or employment benefits that may have occurred during a leave period.

m. Employer Requirements

The Authority must inform employees requesting leave whether they are eligible for Family and Medical leave. If they are, the notice must outline any additional information that is required and outline the employees' rights and responsibilities. If they are not eligible, the notice must give a reason for the ineligibility. It is unlawful for any employer to interfere with, restrain, or deny the existence of any right provided under the FMLA/CFRA, to discharge or discriminate against any person for opposing any practice made unlawful by the FMLA/CFRA or for involvement in any proceeding under or relating to the FMLA/CFRA. Employees may file a complaint with the U.S. Department of Labor or the California Department of Fair Employment and Housing, or employees may bring a private lawsuit to enforce the FMLA and the CFRA.

- 2.7.6 Leave of absence with pay shall be granted to an employee who is called or required to serve as a juror. The employee must return to work on any day that they are excused from service. The employee shall be paid the difference between his/her full salary and any payment received for such duty, except travel pay.
- 2.7.7 Leave of absence with pay shall be granted to an employee while going to and from court and answering a subpoena as a witness. The employee shall be paid the difference between his/her full salary and any payment received for such duty except travel pay.
- 2.7.8 Military leave shall be granted in accordance with provisions of law. Employees entitled to military leave shall give the Executive Director

an opportunity, within the limits of military regulations, to determine when such leave shall be taken.

- 2.7.9 When an employee participates in a funeral ceremony he/she may use Paid Time Off (PTO) to perform such duty. Time not worked because of such absence shall not affect general leave accrued.

- 2.7.10 *Administrative Leave* - In recognition that management employees in positions classified as exempt are required to work hours beyond their regular hours of work to fulfill their management responsibilities, each exempt management employee shall be credited with seven (7) days of administrative leave per year.

The seven (7) days of administrative leave will be credited to each exempt management employee during the first pay period in July of each succeeding year.

All managers with unused administrative leave as of June 30 will be paid for said leave in the final pay period of the fiscal year.

Exempt management employees hired during the year preceding July 1 shall receive a prorated administrative leave. Management employees leaving LAVTA prior to June 30 and who have unused Administrative Leave, will be credited on a prorated basis from July 1 to the termination date. If employee has used more than the prorated share, the final paycheck will be adjusted.

Exempt management employees are limited to the Executive Director and all employees in the Director Classification band.

2.8 OUTSIDE EMPLOYMENT

- 2.9.1 Employees who plan to participate in any gainful occupation other than Authority service during off-duty time must have written permission to do so from the Executive Director or designee. The Authority retains the right to refuse permission to any employee for such outside employment whenever it appears to the Authority that such outside employment would interfere with the proper performance of the Authority's service for which the employee has been hired, or that such outside employment may place the employee in a position of conflict of interest, or would result in a poor public image for the Authority as determined by the Executive Director or designee.

- 2.9.2 In the event of illness or injury incurred in outside employment by members so employed or arising out of such employment, the Authority will in no way be responsible for compensation or any other benefits.
- 2.9.3 Use of Authority equipment is permitted only in the performance of Authority duties.
- 2.9.4 No employee shall solicit outside employment while on duty for the Authority, or use his/her Authority position as an aid for leverage to gain outside employment.

2.10 INTRODUCTORY PERIOD

Original appointment shall be subject to an introductory period of six (6) months actual service.

- 2.10.1 New employees will be provided with an orientation to the Authority and their positions. Every month during the introductory period, new employees will meet with their supervisor to discuss the employee's performance to date. At the time of the discussion serious performance deficiencies shall be documented in writing and an action plan agreed to.
- 2.10.2 Upon completion of the introductory period, the employee shall be given a written evaluation. If this evaluation shows that the employee has satisfactorily demonstrated the qualifications for the position, the employee shall gain regular status, and shall be informed in writing.
- 2.10.3 Employees not meeting performance requirements during the introductory period shall be notified of such action in writing by the Executive Director or designee at any time during the introductory period.
- 2.10.4 The introductory period may be extended once by the Executive Director for a period not to exceed ninety days, in order to further evaluate the performance of the employee.

2.11 TEMPORARY APPOINTMENTS

Appointments to Authority employment on other than an acting or regular basis shall be considered temporary. Such temporary appointments shall be allowed only as follows:

Temporary appointees shall serve at the discretion of the Executive Director or designee.

2.12 PROFESSIONAL DEVELOPMENT

2.12.1 Budgeted Authority funds may be used for attendance at professional development conferences, as approved by the Executive Director or designee.

2.12.2 Budgeted Authority funds may be used to meet the cost of registration and books for training requested by employee, provided that the program has been approved by the Executive Director or designee as being a benefit to the Authority. The Executive Director or designee, in considering a proposed training program, will require the employee to submit a Request for Authorization to Attend Training form and documentation which may as a minimum include:

- (1) An outline of program scope and purpose
- (2) An outline of specifics of the program to be undertaken
- (3) Proof of qualification for acceptance to the program
- (4) An outline of any leave from work required
- (5) A program expense budget
- (6) A demonstration that the Authority will accrue benefits from the training program equal to the Authority direct and indirect expense incurred; and
- (7) Any other information deemed to be necessary.

The Executive Director or designee shall make the final decision as to the approval of a requested training program based on the above-required prospectus.

2.12.3 Expenditure of Authority funds for academic courses shall be made after prior approval of the course by the Executive Director or designee. Employees shall furnish proof of a passing grade in the course to receive tuition reimbursement by the Authority. Degree programs are excluded from this policy.

Leave from work may be granted for attendance at these programs if:

- (1) This is the only time the training is available
- (2) It can be scheduled so as not to unduly jeopardize operations of the Authority.

3. GENERAL CONDUCT, DISCIPLINE, TERMINATION, AND APPEAL

3.1 CONDUCT

It shall be the responsibility of all employees to represent the Authority in a courteous, efficient, and helpful manner. The purpose of the Authority's disciplinary procedure is to advise the employee of less than satisfactory behavior or conduct, and to act as a corrective measure for improvement.

3.2 CAUSES FOR DISCIPLINARY ACTION

Employees may be subjected to disciplinary action. The following, among others, are causes which, if shown to the satisfaction of the Executive Director or designee to be related to work performance, are sufficient for disciplinary action:

- 3.2.1 Being under the influence of alcohol or illegal drugs during working hours. Bringing or consuming alcoholic beverages on LAVTA premises. Selling, using or possessing an illegal drug or controlled substance while on duty without a prescription. (See "LAVTA Substance and Alcohol Abuse Policy" for further restrictions.)
- 3.2.2 Failure to perform work as required.
- 3.2.3 Insubordination. Insubordination shall mean that the employee, having the ability to do a reasonable act, which he/she is directed to do by the Executive Director or designee, willfully fails or neglects to perform the directed act.
- 3.2.4 Breach of written disciplinary action.
- 3.2.5 Absence without leave or failure to report to work after a leave of absence has expired or after such leave of absence has been disapproved or revoked.
- 3.2.6 Being habitually absent or tardy for any reason.
- 3.2.7 Conviction of a criminal offense excluding certain infractions such as minor traffic violations.
- 3.2.8 Repeated garnishment of wages.
- 3.2.9 Using religious, political, or fraternal influence during working time.
- 3.2.10 Fraud in securing employment.

- 3.2.11 Disrespectful or discourteous conduct.
- 3.2.12 Misuse of Authority position, time, or property, including conducting personal business on Authority time and improper use of Authority equipment or credit card.
- 3.2.13 Unauthorized soliciting during work time.
- 3.2.14 Falsification of Authority records.
- 3.2.15 Theft, dishonesty, sexual harassment, discrimination or any other action which reduces the ability of the employee or the Authority to provide proper services.
Failure to submit to a medical examination or failure to appear at the designated time and place for such examination.

3.3 TYPES OF DISCIPLINARY ACTIONS

In most cases, the Authority employs progressive steps in its disciplinary program. However, in all cases disciplinary measures shall be commensurate with the offense. Disciplinary measures may include verbal warnings, written warnings, suspensions, demotions, disciplinary probation, and terminations. Each disciplinary action, regardless of severity or position of employee, must be documented and state the grounds and reasons for the action.

3.3.1 Verbal Warnings

Verbal warnings are a discussion with the employee regarding infractions of Authority rules or policies, including the nature of the violation, the expected behavior, and the discipline that will result if the infraction is repeated.

3.3.2 Written Warnings

Written warnings are a formal notice to the employee of a violation of Authority rules or policies. The written warning should describe the violation, cite any previous verbal or written warnings, and describe the expected behavior and the discipline that will result if the infraction is repeated.

3.3.3 Suspensions

Suspensions are unpaid, involuntary absences from work. Suspensions of five (5) days or more must be approved by the Executive Director or his/her designee. Employees suspended from Authority service shall

forfeit all rights, privileges, and salary or other fringe benefits while on such suspension.

3.3.4 Demotions

Demotions are a change from one position to another having lesser duties, responsibilities and salary. Demotions must be approved by the Executive Director or his/her designee.

3.3.5 Disciplinary Probations

Employees may be placed into a probationary status because of unsatisfactory work performance and/or because of work rule violations. Employees have a specific timeframe within which to correct the problem behavior or performance. Immediate termination may occur during the disciplinary probation period if problems continue, new problems arise or if declines in performance occur.

3.3.6 Termination

Termination is the involuntary separation of the employee for cause. Any termination must be approved by the Executive Director or his/her designee.

3.4 NOTICE OF DISCIPLINARY ACTION

Any disciplinary action that may result in suspension of five (5) or more days, demotion, or termination must be set forth in writing and provided to the employee at least five (5) days before the proposed effective date. Notice of the proposed disciplinary action must include the following information:

- (i) A description of the proposed action, its effective date, and the rule or policy violated;
- (ii) A description of the acts or omissions forming the basis for the proposed action;
- (iii) A statement that a copy of any available materials upon which the action is based is attached to the notice.
- (iv) A statement that the employee has a right to respond orally, by requesting a conference with the supervisor imposing the discipline, or in writing prior to the effective date of the disciplinary action

3.5 GRIEVANCE PROCEDURE

Authority employees, except employees in their probationary period, who have been demoted, suspended for five (5) or more days, or terminated are entitled to appeal the decision and receive a hearing from a neutral decision-maker.

- 3.5.1 A formal grievance shall be filed by the employee within five (5) working days of the effective date of any demotion, suspension for five (5) or more days, or termination. The formal grievance shall be filed with the Executive Director on a form prescribed by the Authority.
- 3.5.2 The Executive Director shall schedule a fair and impartial hearing within thirty (30) calendar days of the filing of the grievance. At the hearing, the employee may answer the charges against him or her, present any mitigating evidence, or otherwise respond to the disciplinary action. The Executive Director will issue his/her decision within ten (10) working days of the hearing. The Executive Director may overturn, affirm or modify the disciplinary action.
- 3.5.3 If the employee is not satisfied with the Executive Director's decision, he/she may appeal the decision within five days to the Board of Directors. The appeal must be filed within five (5) working days of the date of the Executive Director's decision. The appeal shall include a copy of the original grievance, the decision rendered by the Executive Director, and a statement of reasons for the appeal.
- 3.5.4 The Board shall employ a neutral third party to hear the appeal and to recommend action to the Board.
- 3.5.5 The Board may adopt, reject, or modify the recommendation of the Board-appointed neutral third party. The decision of the Board is the final action of the Authority and shall be final and binding on the parties.

3.6 RESIGNATION

An employee wishing to leave the service of the Authority in good standing will file with the Executive Director or his/her designee a written resignation stating the effective date and reason for leaving. The written resignation must be submitted at least two (2) weeks in advance for the employee to be considered to have resigned in good standing.

Upon the submittal of a written or verbal notice of resignation, the action of the employee may not be rescinded without the approval of the Executive Director. The decision of the Executive Director on the request of an employee to withdraw a notice of resignation shall be final.

Failure of an employee to resign in good standing or give notice of resignation

shall be entered in the employee's service record and may be cause for denying future employment with the Authority.

4. PERFORMANCE EVALUATIONS AND RATES OF PAY

- 4.1.1 Each regular employee shall receive an annual written performance evaluation during the month of June. As part of the performance evaluation, an overall rating of clearly outstanding, exceeds expectations, meets expectations, needs improvement, or unsatisfactory will be given.
- 4.1.2 Regular employees receiving "needs improvement" or "unsatisfactory" performance evaluations will be provided with a written action plan to improve performance and be scheduled for a follow up evaluation in six months.
- 4.1.3 New employees will be evaluated as described in paragraph 2.10.1 and 2.10.2.

4.2 RATES OF PAY

4.2.1 Pay for Performance Compensation Plan The following is a description of the basic tenets of the Authority's performance pay plan for its employees. This plan underscores the Authority's commitment to achieving results and providing the best service with the finest employees.

Market Surveys – As part of the annual budget approval process, salary ranges will be established in accordance with procedures in the Human Resources Manual, which includes adherence to the Executive Director Compensation Policy and an annual salary survey for all established positions within the Authority. The Survey will establish a market range and midpoint for positions within the Authority.

Control Points – For each classification band in the pay plan a "control point" is established. The control point is considered the midpoint of the salary range. The midpoint represents the value of each position within the internal organizational structure. The plan provides an opportunity for individuals to earn up to 15% above their control point for continued exceptional performance. Conversely, salaries of employees not meeting the Authority's performance standards may drop to 15% less than the control point.

Performance Zones – Each salary range shall be divided into four performance zones as follows:

Zone One (85% through 95% of control point): This portion of the

range is typically considered to be that into which a new employee is hired. However, where circumstances warrant, employees may be hired up to the control point.

Zone Two (96% through 104% of the control point): This is the portion of the salary range to which an employee may normally expect to progress. Most employees will achieve and maintain a salary within this portion of the range.

Zone Three (105% through 111% of the control point): Only those employees whose performance, over time, exceeds expectations will achieve and maintain a salary that falls within this portion of the range.

Zone Four (111% through 115% of the control point): Only those employees whose performance, over time, far exceeds expectations will achieve and maintain a salary that falls within this portion of the range

Comp-Ratio – As part of the administration of the pay plan, a comp-ratio shall be computed for each employee. The comp-ratio represents the relationship of each employee's current salary to the control point of his/her salary range. The comp-ratio is calculated by dividing the employee's current salary by the control point of his/her salary grade.

Merit Salary Increase – Merit salary increases may be considered on an annual basis and distributed by the Executive Director based upon the recommendation of the supervisor and the following general guidelines

- Increase amounts should differ significantly as performance levels increase.
- All other considerations being equal, employees in the lower performance zones of the salary range (below the control point) may receive larger percentage increases than those in higher performance zones (above the control point).
- No salary increase shall be awarded in instances where a performance rating is "Needs Improvement" or "Unsatisfactory."

In the month of June each year, employees will be eligible for individual salary adjustments effective July 1. Said increases shall be made based solely upon performance and in accordance with the guidelines above. No salary increase shall be made unless a performance appraisal has been made of the employee.

Performance Bonus – The Executive Director may recognize an employee's specific accomplishments by authorizing a performance bonus. In the case of employees who do not report directly to the Executive Director the supervisor may recommend to the Executive Director that a bonus be given. The

performance bonus may be authorized for significant project accomplishments or significant cost savings beyond the normal high expectations of the staff. All bonuses granted shall be in the form of a one-time payment. The total of all bonuses granted shall not exceed 2% of the annual gross payroll.

4.2.2 Salary Bands

The positions, with the exception of Executive Director, shall all be properly classified with respect to Fair Labor Standards Act (FLSA), and all positions appropriately assigned to the following Salary Bands.

Band 1 – Hourly

Band 2 - Support

Band 3 - Professional

Band 4 – Senior Professional

Band 5 – Manager

Band 6 - Director

4.2.3 Employees shall be paid salaries on the Friday following the end of the bi-weekly pay period.

5. BENEFITS

5.1 HOLIDAYS

5.1.1 Each full-time employee shall be entitled to the following paid holidays which are hereby declared to be official holidays of the Authority:

- | | | |
|----|-----------------------------|-----------------------------------|
| a) | New Year's Day | January 1 |
| b) | Martin Luther King, Jr. Day | 3 rd Mon. in January |
| c) | Washington's Birthday | 3 rd Mon. in February |
| d) | Memorial Day | Last Mon. in May |
| e) | Independence Day | July 4 |
| f) | Labor Day | 1 st Mon. in September |

- g) Veteran's Day November 11
- h) Thanksgiving Day 4th Thursday in Nov.
- i) Friday following Thanksgiving Day
- j) Christmas Eve December 24
- k) Christmas Day December 25
- l) New Year's Eve December 31

5.1.2 Any holiday falling on a Saturday shall be observed the preceding Friday. Holidays falling on a Sunday shall be observed the following Monday, unless that is already a designated holiday, in which case the holiday falling on a Sunday shall be observed on Friday.

5.2 PAID TIME OFF (PTO)

A plan for paid time off (PTO) shall be established for all employees regularly scheduled to work more than 1,040 hours on an annual basis, in lieu of traditional vacation leave, sick leave, bereavement leave, etc. PTO may be used for any leave purpose; however, its use shall be governed by the following sections.

Employees off work due to a disability, or on approved leave of absence as defined in Section 2.8, shall be required to use all PTO accrued prior to taking a leave of absence without pay. If an employee is eligible to receive disability benefits, PTO benefits will be coordinated with disability benefits to make up the difference between the disability benefit and the employee's monthly salary, until PTO benefits are exhausted.

5.2.1 There shall be two categories of PTO as outlined below:

- a) Scheduled PTO: Any PTO which can be reasonably forecast or anticipated, i.e. vacation, scheduled medical/dental appointments, extended weekends, personal leave, etc.
- b) Unscheduled PTO: Any leave that is genuinely of an unanticipated nature, i.e. sick leave, bereavement leave, etc.

5.2.2 Scheduled PTO requires the approval of the Executive Director or his/her designee prior to the absence. Scheduled leave exceeding three weeks requires the special approval of the Executive Director. The employee shall be given due regard in selecting a convenient time to take scheduled PTO, provided it is not in direct conflict with the best

interest of the Authority. A request for scheduled PTO should be submitted in accordance with established procedures. Every effort should be made to submit requests two weeks prior to the PTO.

The use of unscheduled PTO shall be reported on the employee's time card. Inappropriate or excessive use of unscheduled PTO may be grounds for disciplinary action.

5.2.3 "PTO Accrual": Depending on the status of the employee, the amount of PTO accrued shall be as follows:

- a) Full-Time Employees: Each full-time employee shall accrue PTO for each pay period of service, based on the years of service with the Authority. The accrual of PTO shall begin upon entry on duty at the Authority. The accrual shall be in accordance with the following schedule:

Length of Service	PTO Accrued Each Pay Period
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Beginning with the first day of service through the fifth year anniversary (without a break in service)	6.77 Hours
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Following the fifth year	8.31 Hours
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- b) Employees scheduled to work 20-40 Hours Per Week: For employees scheduled to work between 20 and 40 hours per week, the pro-rata share to be accrued will be the percentage of a regular 40 hour work week which they are scheduled to work, multiplied by the PTO accrued per month, as shown in Subsection a. above.

5.2.4 No employee shall accrue more than 346 hours of PTO. When an employee's unused PTO balance reaches this limit, all accrual of additional PTO shall cease until the balance falls below the maximum accrual limit.

5.2.5 Any employee separating from the Authority service who has accrued PTO shall be entitled to termination pay in lieu of such PTO. When separation is caused by death, payment shall be made to the employee's spouse or estate or, in applicable cases, as provided by the Probate Code of the State. Termination pay will be paid at the employee's current hourly rate at the time of termination, for any unused PTO.

5.3 WORKERS' COMPENSATION

The employer shall observe the State law with regard to Workers' Compensation.

5.4 RETIREMENT PLAN

Effective January 1, 2013, LAVTA established two tiers of retirement plan benefits.

Tier 1 – Defined as members of the State of California Public Employees' Retirement System (PERS) or reciprocal system, on or before December 31, 2012. The employee shall be covered under the 2% at age 55 plan of the State of California Public Employee's Retirement System, including the third level of benefits under the 1959 Survivor Benefit and final year compensation. Employee shall pay the employee's PERS contribution as a before tax deduction.

Tier 2 – Defined as members of the State of California Public Employees' Retirement System (PERS) on or after January , 2013. The employee shall be covered under the 2% at age 62 PERS plan, including the third level of benefits under the 1959 Survivor Benefit, and three year final compensation. Employee shall pay 50% of the total normal cost rate or the current contribution rate of similarly situated employees, whichever is greater.

5.5 HEALTH, DENTAL AND VISION CARE INSURANCE

Full-time employees shall, at the option of the employer, be provided family medical, dental, and vision insurance as described herein. Annuitants shall be provided medical insurance as described herein:

- 5.5.1 Full-time employees and annuitants will be provided the option to select eligible plans administered under the California Public Employees' Retirement System, Public Employees' Medical and Hospital Care Act.
- 5.5.2 The Authority's contribution for each employee or annuitant shall be the amount necessary to pay the cost of his/her enrollment, including the enrollment of his/her family members, in a health benefit plan up to a maximum of the full premium contribution for the highest premium HMO (PERSCare is not an HMO).
- 5.5.3 Employees and their eligible dependents shall be provided with a dental care plan. The Authority shall pay the premium for this dental care plan for both the employee and eligible dependents. The premium paid by

the Authority for regular part-time employees shall be prorated as defined in section 5.10 of this policy.

- 5.5.4 Employees and their eligible dependents shall be enrolled in a vision care plan. The premium for the vision care plan for both the employee and eligible dependents shall be paid by the Authority. The premium paid by the Authority for regular part-time employees shall be prorated.
- 5.5.5 It is the employee's responsibility to notify the Authority regarding any changes in dependent status.

5.6 DISABILITY INSURANCE

- 5.6.1 The Authority will contribute on behalf of each full-time employee the cost of premiums associated with the provision of long-term disability insurance with an elimination period of not more than sixty days. The insurance plan shall be selected and approved by the Board of Directors of the Authority. Specific benefits shall be defined in the plan documents.
- 5.6.2 Full time employees off work due to a disability will continue to receive health care benefits, as defined in Section 5.5, for up to six months following complete exhaustion of their leave accrual. At the end of six months employees on disability leave may continue coverage by paying the premium payments themselves through LAVTA.

5.7 LIFE ACCIDENTAL DEATH & DISMEMBERMENT

The Authority shall contribute an amount necessary to provide life insurance in an amount equal to one and one-half times the employee's current annual salary. This insurance shall include accidental death and dismemberment coverage.

5.8 TRANSIT PASS

In accordance with the LAVTA Employee Free Ride Policy, all employees and eligible family members/dependents, as defined in the Policy, are eligible to ride Wheels Fixed Route transit service at no cost. In addition, employees riding Dial-A-Ride Paratransit must be certified eligible for participation in the ADA paratransit program, in which case free rides on Dial-A-Ride will be available only for work related trips.

5.9 AUTOMOBILE ALLOWANCE

Employees who use their personal automobile for authorized office

business shall receive reimbursement at the applicable rate as established by the Internal Revenue Service. Alternatively, employees may use a LAVTA staff vehicle. When doing so, employees must comply with the requirements outlined in the Use of LAVTA Service Vehicle Policy.

5.10 PART-TIME EMPLOYEES

Employees employed on a regular schedule of more than 1,040 hours and less than 2,080 hours on an annual basis, shall receive prorated benefits as determined by the Executive Director.

Confirmation of Receipt

Confirmation of Receipt

I have received my copy of LAVTA's employee handbook. I understand and agree that it is my responsibility to read and familiarize myself with the policies and procedures contained in the handbook.

I understand that any and all policies or practices can be changed at any time by LAVTA. LAVTA reserves the right to change my hours, wages, and working conditions at any time. I understand and agree this employee handbook supersedes all prior agreements, understandings, and representations concerning my employment with LAVTA. I understand that any conflict between this Handbook and Board adopted Policies will be governed by Board adopted policies.

Employee's Signature _____

Date _____



MV Transportation Employee Handbook

Issue Date

January 1, 2018

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WELCOME TO MV TRANSPORTATION

As you begin your employment with MV Transportation, we welcome you to our organization and invite you to read and become familiar with the contents of this handbook. We believe you will find it full of helpful and valuable information about our policies and procedures. This handbook is designed to guide and assist you in performing to the best of your abilities, as well as developing and realizing your potential as one of our valued employees.

For over four decades, MV Transportation has been a leading provider of reliable and safe transportation. With your help, we are looking forward to continuing growth and prosperity as we find new and better ways to serve our customers' needs.

Please read this handbook carefully and retain it for future use. Familiarize yourself with its contents as soon as possible because it should answer many of your initial and ongoing questions about your employment. This handbook has been developed by MV Transportation to promote understanding, cooperation, and good communication. You are responsible for being familiar with the information included in the handbook. If you have any questions about any of the information, please ask your supervisor or Human Resources for explanation or clarification.

THIS HANDBOOK GENERALLY DESCRIBES SOME OF MV TRANSPORTATION'S CURRENT POLICIES AND PROCEDURES. **THIS HANDBOOK DOES NOT CONSTITUTE A CONTRACT OF EMPLOYMENT.** NOTHING IN THIS HANDBOOK SHALL BE CONSTRUED TO CONSTITUTE A CONTRACT, AND THE COMPANY HAS THE RIGHT, AT ITS DISCRETION, TO MODIFY THIS HANDBOOK AT ANY TIME, UNLESS OTHERWISE PROVIDED UNDER THE TERMS OF AN APPLICABLE COLLECTIVE BARGAINING AGREEMENT, ARBITRATION AGREEMENT, OR OTHER VALID CONTRACT. THIS HANDBOOK SUPERSEDES AND REPLACES ALL PRIOR HANDBOOKS. HOWEVER, IF YOU ARE COVERED BY A COLLECTIVE BARGAINING AGREEMENT ("CBA"), TO THE EXTENT THERE ARE ANY DISCREPANCIES BETWEEN THIS HANDBOOK AND THE CBA, THE CBA WILL CONTROL.

Once again, we welcome you to our family and wish you success as we turn to face the numerous challenges, opportunities, and potential rewards ahead.

A handwritten signature in dark ink, appearing to read 'Kevin Jones', is positioned above the printed name and title.

Kevin Jones
Chief Executive Officer

Mission Statement and Values

Mission Statement

We deliver innovative transportation solutions that provide freedom of movement, safety and a customer experience that is second to none.

Our Values

We are a people business and the word “RESPECT” best describes our commitment to service. To our passengers, YOU are the Company. As a MV employee, it is your responsibility to always protect our values. You have joined a very special Company that provides a very important service to our clients and customers. We stand for:

R espect	Let courtesy, warmth, empathy and kindness drive your behaviors
E thics	Simply put, do the right thing
S afety	Nothing is more important than safety
P rofitable Growth	Positive financial performance of our Company
E xcellence	Quality and integrity are our backbone
C elebration & Collaboration	It is all about teamwork and recognizing each other and our accomplishments
T alent & Innovation	We are the best at what we do and the service we provide

Purpose of Employee Handbook

This employee handbook has been drafted as a guideline for our employees. It describes the Company’s general philosophy and some of its current policies and procedures, but it is not intended to be all-inclusive. Unless otherwise provided under the terms of an applicable Collective Bargaining Agreement, arbitration agreement, or other valid contract, the Company reserves the right to amend, withdraw, supplement, or modify any terms or conditions of employment, at any time and for any reason, without prior notice, whether stated in the handbook or established through employment practices or other employment policies, except for the Company policy regarding at-will employment which may only be modified as described below.

While the Company will generally follow the guidelines stated in this handbook, you should understand that it does not constitute a contract between you and the Company. The Company may deviate from these guidelines where federal, state

or local law has specific requirements which the Company must adhere to or follow. This Handbook contains some of the authorized employment policies of the Company and supersedes any other versions. Please see your manager for a copy of this policy which is also available on Portal or Sharepoint.

Nature of Our Business

MV is a private contractor operating passenger transportation services for public and private agencies nationwide. We operate in a very competitive business environment; hence, we must operate safely, control our costs and provide outstanding customer and client service. We welcome your suggestions on how we can make improvements at our Company. Every MV employee plays a critical role in our success.

At-Will Employment

MV is an at-will employer. That means that employment may be terminated at any time by either the employee or the Company, with or without notice, for any lawful reason. This also means your terms and conditions of employment, including but not limited to termination, demotion, promotion, transfer, compensation, benefits, duties, hours, and location of work may be changed with or without cause or notice at the Company's sole discretion. The at-will employment relationship cannot be changed, and no employee of the Company is employed for any specific time period, unless he or she has or is covered by a written agreement signed by the CEO, CHRO or if otherwise required by law. No person other than the CEO or CHRO is authorized to enter into any employment agreement for a specified term with any employee.

Some of our employees are covered by a collective bargaining agreement. If you are covered by a collective bargaining agreement, your employment relationship, including the terms and conditions of your employment, is governed by that Agreement.

Equal Employment Opportunity

As a government contractor, MV's employment policy is to provide equal opportunity to all persons and to require affirmative action to ensure equality of opportunity in all aspects of employment. In furtherance of this policy, employment decisions shall be based on merit, qualifications, and competence. Except where required or permitted by law, employment practices shall not be influenced or affected by virtue of an applicant's or employee's race, color, creed, religion, sex, national origin, age, pregnancy, disability, veteran status, marital status, sexual orientation, gender identification, or any other characteristic protected by law. This policy statement governs all aspects of employment including but not limited to recruitment, selection, promotions, terminations, transfers, layoffs, compensation, training, benefits, and other terms and conditions of employment.

MV prohibits retaliation against applicants or employees who file discrimination charges with federal, state or local fair employment practice agencies, participate in investigations of such charges or an OFCCP proceeding, oppose unlawful employment practices, or assert any other rights protected by law.

MV's Equal Opportunity Policy is an essential part of the Company's overall commitment to attract, hire and develop a strong, talented and diverse work force.

Accommodations for Disabilities, Work Restrictions and Religion

MV takes affirmative steps to employ and advance qualified individuals with disabilities at all levels of employment. MV Transportation will make a reasonable accommodation for the known physical or mental limitations of otherwise qualified individuals with a disability and/or who are otherwise physically restricted in the job duties they can perform, unless the accommodation would impose an undue hardship and/or a direct threat to the health and/or safety of the individual or others would result. Reasonable accommodation means any change or adjustment to a job or work environment that permits an otherwise qualified applicant or employee with a disability or work-related restrictions to participate in the job application process or to perform the essential functions of a job. Individuals seeking accommodations must make the request to their supervisor and to the Human Resources Department. Supervisors or managers who are notified of a request for accommodation must immediately forward the request to the Human Resources Department.

MV Transportation will also attempt to make reasonable accommodations for employee observance of sincerely held religious beliefs. All requests for a religious accommodation should also be directed to the supervisor and the Human Resources Department. Supervisors or managers who are notified of a request for an accommodation must forward all requests for a religious accommodation to the Human Resources Department.

Once a request for an accommodation is received, the request will be analyzed in order to aid in the determination of a reasonable accommodation. This interactive process may require additional documentation and/or communications with or between the employee, management, and/or the Human Resources Department, including obtaining more information regarding the requested accommodation and/or the reason for the accommodation and an assessment of any and all restrictions, in order to evaluate possible accommodations and the feasibility of proposed accommodations. All requests for accommodations will be considered and resolved on a case by case basis in accordance with applicable law.

Disabled, Recently Separated, Other Protected, & Armed Forces Service Medal Veterans

MV's employment policy prohibits job discrimination and requires affirmative action to employ and advance disabled veterans, recently separated veterans (within three years of discharge or release from active duty), other protected veterans (veterans who served during a war or in a campaign or expedition for which a campaign badge has been authorized) and Armed Forces service medal veterans (veterans who, while on active duty, participated in a U.S. military operation for which an Armed Forces service medal was awarded).

Anti-Harassment/Anti-Discrimination Policy

All Company employees have a right to work in an environment free from all forms of unlawful discrimination and harassment. Consistent with the Company's respect for the rights and dignity of each employee, discrimination and harassment based on race, color, creed, religion, sex, national origin, age, pregnancy, disability, veteran status, marital status, sexual orientation, gender identification, or any other characteristic protected by applicable law, will not be tolerated. This includes harassment and discrimination by any MV employee, or a contractor, agent or third parties with whom MV employees interact during the course of their employment. All employees should be aware of the following:

1. Sexual harassment is strictly prohibited. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when: (a) submission to such conduct is made as either an explicit or implicit term or condition of employment; (b) submission to or rejection of such conduct is used as a basis for an employment decision affecting the harassed employee; or (c) such conduct has the purpose or effect of interfering with an employee's work performance or creates an intimidating, hostile, or offensive work environment pursuant to applicable law. Sexual harassment can specifically include but is not limited to: unwelcome sexual flirtations, advances, or propositions; requests for sexual favors; verbal abuse of a sexual nature, obscene language, off-color jokes, verbal commentary about an individual's body, sexual innuendo, and gossip about sexual relations; the display of derogatory or sexually suggestive pictures, posters, cartoons, drawings, or objects, or suggestive notes or letters; visual conduct such as leering or making gestures; sexually suggestive comments about an individual's body or body parts, or sexual degrading words to describe an individual; unwelcome touching of a sexual nature such as patting, pinching or brushing against another's body; any other physical or verbal conduct of a sexual nature by supervisors, fellow coworkers, or others in the workplace; sending offensive e-mails to coworkers with sexually suggestive comments or sexually degrading words; and viewing inappropriate materials such as pornography in the workplace or during work hours.

2. Harassment on the basis of any protected characteristic is strictly prohibited. In general, statements or physical conduct relating to a person's race, color, creed, religion, sex, national origin, age, pregnancy, disability, veteran status, marital status, sexual orientation, gender identification, or any other status which is protected by applicable law constitutes harassment when it:
 - a. has the purpose or effect of creating an intimidating, hostile, or offensive work environment;
 - b. has the purpose or effect of unreasonably interfering with an individual's work performance; or
 - c. otherwise adversely affects an individual's employment pursuant to applicable law.
3. Harassing conduct includes, but is not limited to: epithets, slurs, or negative stereotyping; threatening, intimidating, or hostile acts; and written or graphic material that denigrates or shows hostility or aversion toward an individual or group and that is placed on walls or elsewhere on the employer's premises or circulated in the workplace.
4. All supervisors are responsible for assuring that no employee is unlawfully discriminated against or subjected to conduct that constitutes sexual or any other form of harassment.
5. An individual found to have engaged in inappropriate conduct, including discrimination, sexual harassment, or any other form of unlawful harassment, will be disciplined as appropriate, up to and including discharge.
6. Any employee who believes that he or she has been the subject of inappropriate conduct, including discrimination, sexual harassment, or any other form of harassment, or who has observed any such conduct should, and is strongly encouraged, to immediately bring the matter to the attention of any supervisor, any executive or any human resources employee. Alternatively, you may contact the Open Door Hotline, 877-687-2338.
7. Any complaint of harassment or discrimination should include details of the incident(s) or conduct, names of individuals involved, and the names of any witnesses. Supervisors and managers should immediately refer all harassment complaints to Human Resources.
8. If at any time an employee feels their report of discrimination and/or harassment is not being properly addressed, they are free, and strongly encouraged, to make an additional report to any of the individuals or the Open Door Hotline identified above.

9. A prompt and thorough investigation of the alleged discrimination and/or harassment will be conducted, and appropriate corrective and/or disciplinary action will be taken, if warranted. Complaints will be treated as confidential to the extent possible.
10. Refusal to cooperate in an investigation of harassment or discrimination or initiating a complaint in bad faith is also prohibited and may result in disciplinary action, including termination.
11. The Company will not in any way retaliate against an employee, applicant, or former employee who, in good faith, makes a complaint or report of discrimination or harassment, or participates in the investigation of such a complaint or report. Retaliation against any individual for reporting a claim of harassment or cooperating in the investigation of same will not be tolerated. Retaliation includes any adverse employment action because the employee complained about or resisted harassment, discrimination, or retaliation, or has cooperated in an investigation.
12. Any employee who believes that he or she has been retaliated against should immediately report it using the reporting procedure described above. Any report of retaliation by the one accused of discrimination or harassment, or by any other employee, including supervisors or managers, will also be promptly and thoroughly investigated in accordance with the procedures outlined above. If a complaint of retaliation is substantiated, appropriate corrective and/or disciplinary action will be taken.

The contact information for the federal and state agencies that enforce the laws against unlawful discrimination and harassment in the states of California, Maine, Massachusetts, Rhode Island, and Vermont and for government contractors are listed in Appendix 1 to this Handbook. Please understand utilizing the Company's reporting procedures set forth above does not prevent you from filing a complaint with a federal or state agency.

Immigration Law Compliance

MV complies with the applicable immigration laws where it does business, including with the Immigration Reform and Control Act of 1986. MV is committed to employing only United States citizens and aliens who are authorized to work in the United States.

As a condition of employment, each new employee must properly complete, date, and sign the first section of the United States Citizenship and Immigration Services Form I-9. Newly rehired employees must also complete the form if they have not previously filed an I-9 with this organization, if their previous I-9 is more than three years old, or if their previous I-9 is no longer valid.

Open Door Policy

As a MV employee, you've joined an organization that places high value on customer service. That same high value is placed on employees. You will find your supervisor values you as an employee and is there to help guide and assist you in performing your role.

We challenge ourselves to take the initiative and be part of the solution. Anytime you have a suggestion or idea to make things better or a concern or complaint about the way things are done, discuss it with your supervisor or any member of management. Your input is a valuable part of our success.

We are committed to addressing workplace concerns and issues important to you. If a situation arises with your job, another employee, or customer that makes you uncomfortable, MV asks that you immediately bring it to our attention. If, for any reason, you do not want to discuss the situation with your supervisor or if you feel issues remain unresolved, you can contact another member of management or you can call our Open Door Hotline at 877-687-2338 or email us at employee.relations@mvtransit.com. You can also write to us at MV Transportation, 2711 N. Haskell Avenue, Ste 1500, LB-2, Dallas, TX 75204. Address your letter to the Chief Human Resources Officer.

You can be assured that such complaints will be investigated and that you will not be subject to any adverse action as a result of making a good faith complaint.

Introductory Period

The first ninety (90) days of employment are an introductory period. The period is an essential part of the training and evaluation process and is used to ensure that each employee's performance meets the required standards. An introductory period may be extended at the discretion of the supervisor. However, because employment at MV Transportation is "at-will", both during and after the Introductory Period, the Company has no obligation to retain you either during or after you have completed your introductory period unless otherwise required by applicable bargaining agreement or by law.

Employment Categories

Full-time

Full-time employees are those who are regularly scheduled to work at least 30 hours or more per week. Generally, regular, full-time employees may be eligible for some or all of the Company's benefit plans, subject to the terms, conditions, and limitations of each benefit plan/program. For purposes of determining benefits eligibility, the definition or standard for full-time may be different.

Part-time

Part-time employees are those who are regularly scheduled to work less than 30 hours per week. This generally includes casual, occasional and on-call drivers and other staff. While part-time employees receive all legally mandated benefits (such as workers' compensation and Social Security benefits), they are generally ineligible for many of the Company's other benefit plans/programs.

Temporary

Temporary employees are those who are hired as interim replacements, to temporarily supplement the work force or to assist in the completion of a specific project. Employment assignments in this category are of a limited duration. Employment beyond any initially stated period does not imply a change in employment status. Temporary employees retain such status unless and until notified of a change. The temporary employment relationship is an "at-will" relationship, regardless of whether an estimated duration of assignment exists. While temporary employees receive all legally mandated benefits (such as workers' compensation insurance and Social Security) they are generally ineligible for the Company's other benefit plans/programs.

Safety Sensitive Functions

While all employees are responsible for strictly adhering to all rules and policies affecting the safety of the workplace, our customers and employees, the following functions are considered to be "safety sensitive":

- Operating a revenue service vehicle, including when not in revenue service;
- Operating a non-revenue service vehicle, when required to be operated by a holder of a Commercial Driver's License;
- Controlling dispatch or movement of a revenue service vehicle;
- Maintaining (including repairs, overhaul and rebuilding) a revenue service vehicle or equipment used in revenue service

Thus, the following positions are "safety sensitive":

- Driver
- Mechanic and other maintenance personnel
- Reservationist (if performing safety sensitive functions)
- Dispatcher
- Road Supervisor
- Assistant, Maintenance, Operations, Safety or General Manager

Compensation and Payroll Practices

Wages and Benefits

Each location of the Company has a wage and benefit structure, which is subject to change. A printed summary is posted at each location setting forth the current wage and benefit information for your location and will be made available to you upon request. If you are covered by a collective bargaining agreement, it will describe the wages and benefits for members of the bargaining unit. Contact your General Manager or the Human Resources Department if you have any specific questions about your wages or benefits.

Payroll Status

Hourly employees

A hourly employee (whether full or part time) is paid for actual hours worked and is entitled to overtime pay in accordance with applicable state and federal laws.

Salaried employees

Salaried employees are generally not eligible for overtime pay and receive a weekly salary, regardless of the amount of hours they work that is paid every pay period.

Payroll Period & Pay Dates

For payroll purposes, the workday is defined as 12:01 a.m. to midnight and the workweek is defined as 12:01 a.m. Saturday to midnight the following Friday. Any type of paid time off is not counted as time worked for computing overtime.

Generally, payday is every other Friday unless otherwise required by bargaining agreement or state law. The specific pay dates for each division or location are posted on the employee bulletin board at that division or location. If a payday falls on a holiday, you will receive your payment on the preceding Thursday or the last business day before the holiday. Each payment covers work performed during the 14-day period ending the Saturday before payday. Direct deposit is available to all employees.

Time Recording

If you are an hourly employee, you must record the time you start work, the times you leave for and return from meal breaks, and the time you leave at the end of your working day. All employees are required to record time-off.

Hourly employees must accurately record all time worked and should not work any time that is not authorized by their supervisors. Do not start work early, finish work late, work during a meal break, or perform any other extra or overtime work unless you are directed to do so. If you have any questions about when or how many hours you are expected to work, contact your supervisor.

It is a violation of our policy for anyone to instruct or encourage another employee to work “off the clock,” to incorrectly report hours worked, or to alter another employee’s time records. If anyone directs or encourages you to work “off the clock,” incorrectly report your hours, or to alter another employee’s time records, you should report the incident immediately to your supervisor, any member of management, the Human Resources Department, or the Open Door Hotline at 877-687-2338.

When your employment begins, you will receive instructions on how to record your time. Your immediate supervisor or manager must authorize your time record.

Overtime

Hourly employees will be paid overtime *pay (generally, time and one-half their regular rate of pay)* for all hours worked in excess of 40 **hours** in one workweek and as otherwise required by applicable state, federal, or local law (including without limitation daily overtime **and double time as** required by state or local law). **Hours for which you are paid pursuant to the Company’s PTO, Vacation, Holiday Pay, or other applicable policies will not be used for purposes of calculating overtime. The Company prohibits “comp time” as a replacement for overtime pay for hourly employees.** All overtime work must be authorized in advance. Although employees will be paid for all hours worked, including any overtime, working overtime without prior authorization may result in disciplinary action.

Salaried employees are expected to work as much of each workday as is necessary to complete their job responsibilities. No overtime is provided to **salaried** employees, **unless required by applicable law.**

Reporting Errors

MV Transportation takes all reasonable steps to ensure that employees are properly classified, paid for all hours worked, receive the correct amount of pay in each pay check, and paid promptly. If a mistake does occur and is called to the Company’s attention, corrections will be made promptly. The Company has an internal complaint procedure for any employee who believes they have not been properly compensated. Employees who believe they have been erroneously compensated must immediately notify the Payroll or the Human Resources Department or utilize any other reporting procedure set forth in this handbook. The Human Resources department will share the results of its investigation with the employee and immediately take any necessary corrective action. Employees are free to utilize this reporting procedure without fear of reprisal or retaliation. An employee who believes they have been retaliated against for reporting a compensation error should immediately report such a belief to the Human Resources department or the Open Door Hotline at 877-687-2338.

Pay Adjustments

Operators and other division-based hourly jobs typically are considered for pay adjustments tied to an anniversary date or other due date and are effective on the first day of the pay period following the anniversary date and/or due date.

Operator Payroll Procedures

MV has adopted procedures that govern compensation for operators including rate of pay, hours of work, training time, non-revenue and revenue work. Please refer to the policy posted at your division for additional information.

Payroll Deductions

The law requires that the Company make certain deductions from every employee's compensation. Among these are applicable federal, state, and local income taxes. It is your responsibility to complete your W-4 form properly to ensure the proper amount of taxes are withheld.

The Company offers programs and benefits beyond those required by law. Eligible employees may voluntarily authorize deductions from their pay to cover the costs of participation in these plans/programs, such as health insurance or 401(k). Payroll deductions may also occur in other circumstances, such as court ordered garnishments, pre-authorized deductions for uniforms or voluntary written authorization.

Salaried employees' pay will not be "docked," or subject to deductions, in violation of salary pay rules issued by the United States Department of Labor and state government, as applicable; however, the Company may make deductions from employees' salaries in a way that is permitted under federal and state wage and hour rules. Employees will be reimbursed in full for any isolated, inadvertent, or improper deductions, as defined by law.

If concerns about any salary pay deductions arise, employees should discuss and resolve them with their supervisor or the Payroll Department or utilize any other reporting procedure set forth in this handbook.

Compensation for Meetings/Training/Drug Testing

Hourly employees will be paid their regular hourly rate for meetings, training and/or drug testing during regular work hours and a training rate for attendance occurring outside regular work hours. If an employee's job classification does not have a specified training rate, the training rate is the applicable minimum wage.

Travel Time

Unless applicable law provides otherwise, hourly employees are paid their regular hourly rate for travel that occurs during their regular work hours. For travel outside regular work hours, travel time is paid at the applicable minimum wage. The Company will follow all applicable state or federal laws in determining whether travel time is treated as hours worked.

Length of Service

An employee's start date, the date on which an employee began to receive wages, is considered their "date of hire". MV will bridge an employee's length of service if they voluntarily resigned, were in good standing when they resigned and return to the Company within 90 days of their resignation date.

What to Do If You Have Questions about Compensation and Payroll Practices

If you have any questions, concerns, comments, or complaints related to your compensation or the Company's payroll practices, please direct those comments to your supervisor, any executive, the Payroll department, or the Human Resources department. You may also contact the Open Door Hotline at 877-687-2338.

Hours of Work

Work Schedules

Work schedules for employees vary throughout the Company. Supervisors will advise employees of their individual work schedules. Staffing needs, operation demands, and client service requirements may require variations in the total hours that may be scheduled each day and week. The Company does not guarantee hours of work or schedules.

Rest and Meal Periods

The Company complies with federal and state legal requirements concerning meal and rest periods, and you will be provided with meal and rest periods in accordance with applicable law. If you have any questions concerning the meal and rest break requirements for the location at which you work, please contact the Human Resources Department.

Attendance and Punctuality

To maintain a productive work environment, the Company expects employees to be reliable and punctual in reporting for scheduled work. Absenteeism and tardiness place a burden on other employees and on the Company. All MV employees are required to report to work on time every day they are scheduled to work.

Salaried employees

If an employee is unable to report to work or will be reporting after a scheduled starting time for any reason, absent extenuating circumstances, the employee should personally call their supervisor. If their supervisor is unavailable a member of management or the Human Resources Department should be contacted. Messages should not be left with other employees. Absent extenuating circumstances, you must call in on any day you are scheduled to work and will not report to work.

Excessive absenteeism or tardiness may result in disciplinary action up to and including termination of employment. Each situation of absenteeism or tardiness will be evaluated on a case-by-case basis. Even one unexcused absence or tardiness may be considered excessive, depending upon the circumstances. Absent extenuating circumstances, an employee who fails to personally call their supervisor for two or more days to report absence will be considered to have abandoned and voluntarily terminated their employment.

Hourly Employees

The following applies to all non-introductory period employees and is based on a rolling twelve (12) month time period:

The policies outlined in this section do not limit the employee's and the Company's right to end the employment relationship at any time, for any reason not prohibited by law, with or without cause, and with or without notice unless otherwise required by the applicable bargaining agreement.

Excused Absence

Excused absences are approved requests for family medical leave (FMLA), kin care (if required by state law), personal leave, jury and/or witness duty, military, bereavement, pre-arranged vacation days or any other leave protected by law. Attendance points are not issued for excused absences.

Pre-arranged vacation days will be excused if:

- 1** - A MV "Request for Time Off" form is completed and approved by the Operations Manager, General Manager or Regional Vice President.
- 2** - These steps are completed per the division's advance notice policy.

Unexcused Absence

Absenteeism is measured in points. Employees are required to call in for each day of work missed. All employees who will be absent or tardy are required to notify their supervisor or dispatch at least one (1) hour prior to the start of their shift. Notwithstanding the situations described below, if an absence occurs, or an employee fails to call within the appropriate time, because of a FMLA qualified serious medical condition, the employee's absence will not count as a point.

- An unexcused absence, where the employee calls in at least one (1) hour prior to the start of his/her shift, is counted as one (1) point.
- Unexcused absences up to three (3) consecutive days are counted as one (1) point, provided proper notice is given. After day three (3), each day of absence is counted as one (1) point unless the employee provides a doctor's note excusing the absence for up to a total of ten (10) days. After ten (10) days, each day absent will be counted as one (1) point. Absences exceeding ten (10) days may be considered for a leave of absence.
- Calling in less than one (1) hour in advance of your start time to report an absence or tardy is counted as one and one-half (1 ½) points.
- Failure to call more than one (1) hour after the start of a scheduled shift for a scheduled shift (No Call/No Show) is counted as four (4) points.
- A failure to complete the entire shift is counted as one (1) point.
- Missing a required meeting is counted as one (1) point.

Tardiness

- Arriving to work up to 15 minutes after your scheduled reporting time either for shift start or returning from rest or meal breaks is one-half (1/2) point.
- Reporting to work more than 15 minutes after a scheduled reporting time either for shift start or returning from rest or meal breaks will be counted as one (1) point.
- If an employee is tardy for their shift, the shift may be re-assigned and the employee sent home.

Disciplinary Guidelines for Attendance

All non-exempt employees will be issued an Employee Attendance Report documenting each occurrence.

Violations of more than one component of the attendance policy, will receive a single point assessment of the highest value.

Employees are allowed a maximum of seven (7) points within a rolling 12-month period before a written warning is issued. Points are removed from the employee's record 12 months after they are issued. If an employee reaches ten (10) points within a rolling 12-month period, he/she will be terminated.

Clean Slate

If an employee goes "point free" for a consecutive six (6) month period, his/her attendance record will be wiped clean and any prior points will not be considered as a basis for disciplinary action.

Company Meeting Attendance

We require that all employees attend Company operations meetings, which include the monthly safety meetings. Failure to attend a mandatory Company meeting will result in one attendance point.

Attendance Policy for Non-Exempt Introductory Employees

MV expects new employees to demonstrate excellent attendance during their introductory period. Introductory period employees are permitted no more than one (1) point using the guidelines set above.

Attendance Policy for Exempt Employees

Due to the nature of exempt or salaried work, exempt employees are not subject to the Attendance/Tardiness Policy. Exempt employees are expected to maintain good attendance and complete all work assignments and meet the requirements of the position.

Job Abandonment

Unless otherwise prohibited by applicable law, an employee who does not report for three consecutive days' scheduled shifts and does not contact the Company during this time period will be considered to have voluntarily resigned his or her position.

Emergency Closings and Seasonal Work

Emergency conditions, such as severe weather, fire, flood, or earthquake, can disrupt Company operations and interfere with work schedules, as well as endanger employees' well-being. These extreme circumstances may require the closing down of operations partially, or business altogether. Time off due to emergency closings is generally unpaid.

Due to seasonal or holiday fluctuations of business, it is sometimes necessary to reduce hours below the normal level of hours worked. When this is necessary, such reductions will be based on certain factors, including but not limited to agency and client schedules, as well as driver seniority. Drivers should expect such slowdowns to include, but not be limited to, summers and seasonal holidays such as Thanksgiving or Christmas.

Employee Benefits

Health, Dental and Vision Insurance

Eligible, full-time employees are currently offered health, dental and vision insurance benefits as required by federal law and in accordance with the requirements of the plans. The details of those benefits, including eligibility requirements, are set forth in the plan documents themselves, and coverage and rates are subject to change periodically.

401(k)

Eligible, full-time employees may currently participate in the Company's 401(k) plan. The plan documents govern the terms of the plan. If you would like information concerning the Company's 401(k) plan, please contact the Human Resources Department.

Paid Time Off

Full-time employees are eligible to accrue Vacation or paid time off ("PTO"), subject to the applicable waiting period. Each location has its own accrual program for vacation or PTO. Please check with your manager or the division wage and benefit sheet for your vacation or PTO accrual rate and more specific information regarding the terms and conditions associated with the vacation or PTO program for your location. Vacation or PTO accrual is capped at 120 hours for hourly employees and 160 hours for salaried employees, unless otherwise regulated by state or other law. Unless prohibited by applicable law, vacation or PTO accrual will be suspended once the cap is reached, and accrual will begin again once vacation or PTO is used and the balance drops below the cap. Generally, employees should notify the division of the request to use vacation or PTO in accordance with the division's advance notice policy. In the absence of an advance notice policy, employees should provide as much notice as possible for planned absences and no less than one week's notice. In the event of unforeseeable circumstances, a shorter notice period may be acceptable. If a request for vacation or PTO is not approved and the employee is absent from work during that period, the employee is subject to discipline and may not be paid for that time off.

At the time of separation of employment, an employee will be paid all accrued and unused vacation or PTO, only if state or other applicable law requires that the Company pay the employee for accrued and unused vacation or PTO.

Vacation Cash-Out Policy

Drivers may cash out vacation pursuant to their division's cash out policy.

Paid Holidays

Full-time employees are eligible for paid holidays, subject to the applicable waiting period. The list of paid holidays and any applicable waiting period are posted at each facility. Holiday pay will only be paid to a non-exempt employee if the employee has worked his/her scheduled work day preceding the holiday and has worked his/her scheduled workday following the holiday.

If a paid holiday falls on an employee's day off or an employee is required to work on a holiday, the employee may receive an alternative day off or holiday pay, depending on the location's policy.

If a holiday falls during any unpaid time off (leave or vacation for example), the employee will not receive holiday pay.

Leave Policies

The Company provides all leaves required by applicable federal, state, or other applicable law, including the following types of employee leaves listed below. Any unpaid leave of absence in excess of 30 days may impact vacation accrual, healthcare benefits and length of service for seniority or bidding purposes. Please see your manager for a copy of this policy which is also available on Portal or Sharepoint.

In addition to the leaves listed below, many states have created other protected leaves. Please see your state addendum for information regarding additional leaves available under state law.

All applicable leaves run concurrently. For example, if an employee takes time off for a serious health condition that resulted from a work-related injury, the workers' compensation leave, state and federal family medical leave, if applicable, begin on the first day of absence.

Additional leaves of absence, other than those identified below, may be requested and will be considered on a case-by-case basis.

To the extent that any provision of this Leave Policy conflicts with any federal, state, or local law, the Company will follow all applicable laws irrespective of this policy and employees will be granted leave in accordance with all applicable laws. Where greater benefits than those described herein are required under applicable law, employees will receive those benefits.

IF YOU BELIEVE THAT YOU REQUIRE A LEAVE OF ABSENCE, PLEASE SEE YOUR STATE ADDENDUM AND CONTACT THE HUMAN RESOURCES DEPARTMENT AS SOON AS POSSIBLE FOR SPECIFIC INFORMATION REGARDING THE LEAVE POLICIES WHERE YOU ARE LOCATED. IF YOU BELIEVE YOU HAVE BEEN UNLAWFULLY DENIED LEAVE THAT YOU ARE ENTITLED TO UNDER APPLICABLE LAW, YOU MUST CONTACT THE

HUMAN RESOURCES DEPARTMENT OR UTILIZE ANY REPORTING PROCEDURE SET FORTH IN THIS HANDBOOK.

Workers' Compensation

MV purchases Workers' Compensation Insurance for employees who incur a work-related injury or illness. Any illness or injury to an employee, regardless of severity, that occurs while on the job must be reported. Any employee who has suffered a work related injury or illness has the right to make a workers' compensation claim. The employee may then be sent to a Company approved medical facility for treatment or examination, which may determine whether follow-up care is necessary. While on Workers' Compensation leave or while on a Temporary Modified Work assignment, employees shall conform to all applicable rules, policies and procedures. Employees will not be discriminated or retaliated against for presenting a Workers' Compensation claim, hiring a lawyer to represent the employee in the claim, commencing a proceeding before a worker's compensation board or commission, or testifying in such a proceeding.

Employees are required to fully cooperate with MV and MV's Workers' Compensation adjuster/administrator in the management of their claim. Failure to attend scheduled medical appointments without a reasonable basis may result in employee being sent home without pay pending an updated work status.

All employees who are involved in a workplace accident or incident resulting in property damage or any person being required to obtain medical attention will be subject to a drug and alcohol test (if allowable by state or other applicable law) and may be placed on unpaid "safety leave" until the results of the test are known.

Temporary modified work may be offered to those employees who have sustained a compensable workers' compensation injury and who have been released by an authorized health care provider to return to work with medical and/or physical restrictions. Temporary modified work may be assigned for up to 26 weeks per claim.

The Company may establish the temporary modified work day and work week based on the restrictions set forth by the authorized health care provider. Temporary modified work days shall not exceed 8 hours per day or 40 hours per week to ensure temporary modified duty employees do not work overtime.

Prior to acceptance of temporary modified work, the employee shall be furnished a written temporary modified work offer indicating the temporary modified work duties. Employees accepting this work shall receive their normal regular hourly rate of pay for the temporary modified work they perform. Please see your manager for a copy of this policy which is also available on Portal or Sharepoint.

Prior to returning to full-duty work, employees may, depending on circumstances or the nature of the injury, be subject to a return-to-work medical examination by a Company-approved doctor.

Reporting Employee Injuries or Illnesses

Employees are required to immediately report, as soon as possible, unless in the circumstances it would not be reasonable to do so, all on-the-job injuries and illnesses to their General Manager, Safety Manager, Dispatcher or immediate supervisor. Failure to timely report any incident, regardless of whether or not it results in injury or property damage, may result in disciplinary action up to and including termination. Please see our Safety Policy for more information on Incidents and Incident Reporting.

Family and Medical Leave

Employees have rights to family and medical leave under the Federal Family and Medical Leave Act of 1993. The Company provides Family and Medical Leave in accordance with both federal and any state or other applicable law.

Eligibility for Family and Medical Leave.

Employees who have worked at the Company for at least 12 months, who have worked at least 1,250 hours during the previous 12 months, and who work at a location where at least 50 employees are employed by the Company within 75 miles are eligible for Family and Medical Leave. Where the Company has assumed an existing contract, the time an employee has worked for a previous contractor is considered in this calculation.

Types of Family and Medical Leave Available.

State and federal laws allow Family and Medical Leave for various reasons. Because an employee's rights and obligations may vary depending upon the reason of the Family and Medical Leave, it is important to identify the reason for the leave. Family and Medical Leave is available for the following reasons:

- The birth, adoption, or foster care of an employee's child within 12 months following the birth or placement of the child ("Bonding Leave").
- To care for an immediate family member (spouse, registered domestic partner, child or domestic partner's child, or parent with a serious health condition) ("Family Care Leave").
- An employee's inability to work because of a serious health condition ("Serious Health Condition Leave"), as defined by law.
- A "qualifying exigency," as defined under the FMLA, for military operations arising out of a spouse's, child's or parent's Armed Forces (including the National Guard and Reserves) active duty or call to active duty in support of a "contingency operation" declared by the U.S. Secretary of Defense, President, or Congress, as required by law. ("Military Exigency Leave").

- To care for a spouse, child, parent, or next of kin (nearest blood relative) who is (a) an Armed Forces member (including the National Guard and Reserves) undergoing medical treatment, recuperation, or therapy, is otherwise in an outpatient status, or is otherwise on the temporary disability retired list with a serious injury or illness incurred or aggravated in the line of duty while on active duty that may render the individual medically unfit to perform his or her military duties, or (b) a person who, during the five (5) years prior to the treatment necessitating the leave, served in the active military, Naval, or Air Service, and who was discharged or released therefrom under conditions other than dishonorable (a "veteran" as defined by the Department of Veteran Affairs) and who has a serious injury or illness incurred or aggravated in the line of duty while on active duty that manifested itself before or after the member became a veteran ("Service Member Family Leave".)

How and When to Request Leave.

If you need Family and Medical Leave, you must provide the Company notice of the need for leave. To request foreseeable leave (such as following the birth of a child or for planned surgery), you should fill out an Application for Leave of Absence form, which is available from Human Resources at least 30 days in advance and submit the form to your Division Manager. When the need for leave is not foreseeable, you must give notice as soon as possible and, if possible, the notice should be in writing. Any request for leave should provide the Company with enough information to determine whether the leave qualifies as Family and Medical Leave.

Medical Certification Requirement.

If your leave is due to a serious health condition, either your own or a family member's, you will be required to furnish Medical Certification from a health care provider. Medical Certification forms are available from Human Resources. Failure to provide the required certification may result in the delay, denial, or cancellation of leave. If the certification shows that your absence does not qualify under the FMLA, the FMLA designation will be revoked retroactive to the first day of your leave and you may be subject to MV's attendance policy. The Company may require recertification during your leave.

At the Company's expense, the Company may also require a second or third medical opinion regarding your own serious health condition. Employees are expected to cooperate with the Company in obtaining additional medical opinions that the Company may require.

When leave is for planned medical treatment, you must try to schedule treatment so as not to unduly disrupt the Company's operation. Please contact the Human Resources department prior to scheduling planned medical treatment.

For *Military Exigency Leave*, employees are required to provide: (a) as much advance notice as is reasonable and practicable under the circumstances; (b) a copy of the covered military member's active duty orders when the employee requests leave; and (c) a completed Certification of Qualifying Exigency form within 15 calendar days, unless unusual circumstances exist to justify providing the form at a later date. Certification forms are available from the Human Resources department.

Absent unusual circumstances, failure to comply with these notice and certification requirements may result in a delay or denial of the leave. If you fail to return to work at your leave's expiration and have not obtained an extension of the leave, the Company may presume you do not plan to return to work and voluntarily terminate your employment.

Amount of Leave Available.

The maximum amount of FMLA Leave will be twelve (12) workweeks in any 12-month period when the leave is taken for: 1) Bonding Leave; 2) Family Care Leave; 3) Serious Health Condition Leave; and/or 4) Military Exigency Leave. However, if both spouses work for the Company and are eligible for leave under this policy, their leave may be limited to a combined total of 12 weeks if the leave is taken for Bonding Leave or Family Care Leave, under certain circumstances. A 12-month period begins on the date of your first use of FMLA Leave.

The maximum amount of Family and Medical Leave for an employee wishing to take Service Member Family Leave will be a combined leave total of twenty-six (26) workweeks in a 12-month period.

EXAMPLE: You take 12 workweeks off to bond with a newly adopted child. Later, in that same 12-month period, you wish to take time off from work to care for a spouse, child, parent or next of kin under the Service Member Family Leave provision of this policy. Because the law allows extra time off for Service Member Family Leave, you will be allowed to take this time off, so long and the total amount of leave does not exceed 26 workweeks.

If both spouses work for the Company and are eligible for leave under this policy, the spouses may be limited to a total of 26 workweeks off between the two when the leave is for Service Member Family Leave only or is for a combination of Service Member Family Leave, Bonding Leave and/or Family Care Leave.

Under some circumstances, you may take Family and Medical Leave intermittently – which means taking leave in blocks of time, or by reducing your normal weekly or daily work schedule.

How the Amount of Leave is Calculated.

The Company will calculate Family and Medical Leave on a "rolling 12-month basis." This means that the 12-month period is measured backwards from the date an employee uses any Family and Medical Leave. Each time an employee

takes Family and Medical leave, the remaining leave entitlement would be any balance of the 12-week annual entitlement (or 26 weeks, if applicable) that had not been used during the immediately preceding 12 months.

Benefit Continuation.

During Family and Medical Leave, your group health insurance will be maintained under the same conditions as if you were working. If you are on paid leave, your share of the premium, if any, will be deducted from your pay. If you are on unpaid leave, you must make the premium payments yourself on a monthly basis. If employee premium payments are more than 30 days late, insurance coverage may be terminated. You will be required to reimburse the Company for any premium payments you missed that the Company pays on your behalf.

You will not continue to accrue vacation or PTO while on unpaid Family and Medical Leave.

Reinstatement.

Under most circumstances, you will be reinstated to the same position held at the time of the leave or to an equivalent position with equivalent pay, benefits, and other employment terms and conditions. However, because the maximum entitlement under the FMLA is 12 weeks (or 26 weeks for Service Member Family Leave), this right to reinstatement will not apply to leaves that continue after the amount of leave you are entitled to is exhausted. Additionally, an employee has no greater right to reinstatement than if the employee had been continuously employed rather than on leave.

"Key employees," as defined by law, may be subject to reinstatement limitations in some circumstances. If you are a "key employee", you will be notified of the possible limitations on reinstatement at the time you request a leave.

Pay Status.

Family and Medical leave is generally unpaid leave. However, if you have any accrued PTO, you may be required to use that accrued time. Under these circumstances both the paid and unpaid leave count as Family and Medical Leave.

You may be eligible to receive benefits through State-sponsored, Company-sponsored, or some other wage-replacement benefit programs.

Fitness for Duty.

If you are taking medical leave due to your own serious health condition, you must provide a return to work release from your health care provider before you return to work. The return to work statement should be submitted to the Leaves Manager in the Benefits Department. Employees returning to work after 30 days or more break in service will be required to undergo a background check, return-

to-work physical and drug test, as permitted or required by applicable federal or state law which includes but is not limited to regulations and requirements set forth by the DOT, FTA, FMCA, OSHA and ADA.

Status Update.

While you are on leave, the Company may require you to periodically confirm your status and your intention to return to work. Any employee who decides while on leave that he or she will not be returning to work at the end of the leave should immediately inform the Company.

Fraudulent Use of Leave.

If the Company determines that an employee has obtained leave or continued to take leave under the state or federal family and medical leave laws based on fraudulent, dishonest or misleading conduct of any kind, the employee will be subject to immediate termination.

A Notice to Employees of Rights Under FMLA is attached to this policy, as Appendix 2.

Bereavement

If an employee wishes to take time off due to the death of an immediate family member, the employee should notify his or her supervisor immediately. Immediate family member is defined as spouse, domestic partner, child, domestic partner's child, sibling, parent (or person who raised you), grandparent or grandchild. Hourly employees may be granted unpaid time off of up to one week for bereavement leave. See your division or location for specific policies regarding bereavement leave. Salaried employees may take paid time off of up to three days (five days if air travel is required) for bereavement leave.

Jury Duty

A leave of absence will be granted if an employee is required to appear for jury duty. An employee must notify their supervisor immediately upon receipt of your selection notice. Exempt employees are entitled to full pay for each day of jury duty or service as a witness if they work anytime during the week of jury duty. If no work was performed during the week, the employee will not be compensated. Unless applicable law provides otherwise, non-exempt employees will not be compensated; however, the absence will be considered excused and the employee will continue to accrue other benefits, such as vacation or PTO. Employees may use any accrued vacation or PTO for the period of the jury duty leave. Employees are expected to report to work whenever the court schedule permits.

Administrative Leave

Unless prohibited by law, employees are required to report any life event that could potentially disqualify them from employment based on our Qualification standards. The employee may be placed on unpaid administrative leave until a final disposition has been provided by the appropriate authoritative agency.

Employee Performance and Conduct Policies

Performance Appraisals

Exempt employees and non-exempt staff employees will ordinarily be reviewed annually during a common review date of January 1. The appraisal will be discussed in a meeting between the employee and the supervisor. The supervisor and employee will review the job requirements, performance objectives, or other performance criteria. A performance rating will be assigned and an annual pay review may be provided.

Conflicts of Interest

Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. Our Code of Conduct outlines our policies regarding conflicts of interest.

Reference Checks

No employee may provide a reference check, letter of reference, verification of employment or disclose any performance or employee information to any outside party at any time on either a current or past employee. All requests for reference checks or verifications of employment must be forwarded to Human Resources at the Support Center. The Company only provides confirmation of employment, dates of employment and position held. No performance or termination information may be disclosed.

Outside Employment

An employee may hold a job with another organization as long as he or she satisfactorily performs his or her job responsibilities with the Company. Employees should consider the impact that outside employment, whether paid or voluntary, may have on their health and physical endurance. All employees will be judged by the same performance standards and will be subjected to the scheduled needs of our clients, regardless of any existing outside work requirements. In some divisions, operators are required to report hours worked as a driver for another employer on a daily basis. Under certain circumstances a log may be required. Your General Manager has more information.

Hiring of Relatives

MV Transportation is a family oriented company and encourages family and friends of employees to consider making MV their company too. However, relatives in the same area of the company may not supervise each other or direct each other's work. Exceptions to this policy must be approved by the Chief Human Resources Officer.

Anti-Fraternization Policy

In order to promote the efficient operation of the Company's business and to avoid misunderstanding, complaints of favoritism, other problems of supervision, security, and morale, and possible claims of sexual harassment, members of management and supervisors are forbidden to date or pursue romantic or sexual relationships with employees whom they supervise, directly or indirectly. Employees who violate this guideline will be subject to discipline, up to and including termination of employment.

Confidentiality and Proprietary Information

During the course of employment, employees may receive and have access to confidential information. All employees are expected to respect and maintain the confidentiality of employee and customer records, business records, data and other information not otherwise available to the public. Upon separation of employment, an employee must return all documents, records, or any property that belongs to the Company or is related to Company business. Any programs, writings, or other material developed by an employee as part of his or her work at the Company is property of the Company.

The protection of confidential business information during and after your employment is important to the interests and the success of this Company. Such confidential information includes, but is not limited to the following examples:

- Technological Data
- Operations Data: customer lists, trip sheets, financial & billing information, schedules, dispatch logs, policy or program manuals
- Marketing plans and strategies, or project plans or proposals
- Personnel or labor information such as names, titles, employee phone numbers, medical and benefit information, training materials or labor relations strategies

Nothing in this policy, however, should be construed to prohibit employees from discussing their terms and conditions of employment amongst themselves.

Electronic Data Systems Policy

The Company maintains a computer system, a voice-mail system and an e-mail system to assist employees in conducting Company business. These systems, including the equipment and data stored in the systems, are the exclusive property of the Company. As such, all messages created, sent, received or stored in these systems are and remain the property of the Company.

The Company's e-mail and computer systems and resources are not to be used for any non-business purposes, entertainment, personal communications and other personal use or any illegal, harassing, inappropriate, pornographic, libelous or obscene purpose during or outside work hours. The only exception is for limited personal uses, subject to the limitations and guidelines set forth in this Handbook and of the Internet, Newsgroup and Electronic Mail Policy. This policy allows for reasonable personal use of the internet during an employee's own time (non-working time), for example at the beginning of the day, during the lunch break and again at the end of the working day, and so long as it does not interfere with your work and/or the work of other employees. The Company's electronic data systems may not be used to solicit or proselytize for commercial ventures, religious or political causes, outside organizations, or other non-job-related solicitation.

Because the computer systems and resources remain Company property, employees should have no expectation of privacy with regard to these systems and resources. All computers and Company equipment are subject to search at any time. Additionally, MV reserves the right to discontinue an employee's access to any computer systems and resources at any time.

The Company reserves the right to access, read, review, and monitor all messages, images, programs, files, and content on the Company's email, voicemail, computer and internet systems, and employees should have no expectation of privacy in this regard. You are advised that any incidences of inappropriate use may result in disciplinary action up to and including termination of employment.

Examples of 'inappropriate usage' would be:

- visiting sites with sexual or offensive context
- transmitting, receiving, viewing, or storing words or images of a discriminatory or harassing nature or that are obscene, vulgar, derogatory, or inflammatory
- excessive personal use of the internet during working hours
- any usage, including, streaming radio, music and video, with legal implications such as copyright and performing rights
- any use that would violate any Company policy or rule or any federal, state, or local law

The above are illustrative examples, and are not intended to be exhaustive.

Employees are prohibited from downloading or uploading “executable” files, music, videos, or any software without advance written approval by the Director of Information Technology. Additionally, employees are prohibited from copying software without advance written approval by the Director of Information Technology.

Please see the Internet, Newsgroup and Electronic Mail Policy for more detail.

Software Code of Ethics

Unauthorized duplication of copyrighted computer software violates the law and is contrary to our organization’s standards of conduct. The Company prohibits all copying or pirating of software, and the use, duplication, or dissemination of copyrighted materials in violation of copyright laws is prohibited. The Company recognizes the following principles as a basis for preventing its occurrences:

- Employees are prohibited from making or using unauthorized software copies under any circumstances.
- Employees must comply with all license or purchase terms regulating the use of any software we acquire or use.
- Employees must comply with, and enforce, MV’s internal controls to prevent the making or using of unauthorized software copies, including effective measures to verify compliance with these standards and appropriate disciplinary measures for violation of these standards.

Social Media Policy

The Company respects the legal rights of its employees and understands that employees' time outside of work is their own. However, employees should be mindful that their social media activity, even if done off premises and while off-duty, could affect the Company's legitimate business interests. For example, the information posted could be the Company's confidential business information. In addition, some readers may mistakenly view you as a spokesperson for the Company. Consequently, social media activity is a legitimate and proper focus of Company policy.

This Social Media Policy (the "Policy") provides guidance on responsible social media activity by employees. This Policy does not and cannot cover every possible social media activity. If you are unsure how this Policy may apply to your social media activity, the Human Resources Department is here to help you. For purposes of this Policy, "social media activity" includes all types of posts and other communications on the Internet, including but not limited to, posts on social networking or affinity sites (such as Facebook, LinkedIn, and Tumblr); blogs and other on-line journals and diaries; bulletin boards and chat rooms; microblogging, such as Twitter; and posts of video or audio on media-sharing sites, such as

YouTube or Flickr. "Social media activity" also includes permitting, or failing to remove, posts by others where the employee can control the content of posts, such as on a personal page or blog.

Application:

This Policy applies to social media activity that relates in any way to the Company's business, employees, customers, vendors, or competitors or that identifies an employee's affiliation with the Company (other than as an incidental mention of place of employment in personal social media activity unrelated to the Company). This Policy applies to social media activity when on or off duty, while using the Company's or personal electronic resources, and whether or not the employee posts anonymously or using a pseudonym.

Guidelines:

The Company values its established brand reputation and good will relationships. These are important corporate assets. When you engage in social media activity that identifies you as a Company employee, or in any way relates to the Company, you should bear that in mind. Unless you have received prior authorization in writing from an authorized Company representative, you should not represent or suggest in any social media content that you are authorized to speak on the Company's behalf, or that the Company has reviewed or approved your content.

You may use the Company's electronic resources to engage in social media activity for non-business purposes during your own time (non-working time), so long as it does not interfere with your or your co-workers' job responsibilities, and complies fully with all Company policies. You may not maintain an open connection to, or stream, any social media site. Such non-business use is a privilege that may be withdrawn if abused.

Your social media activity is subject to all pertinent Company's policies, including, but not limited to the Code of Conduct, Equal Employment Opportunity, Confidentiality, Anti-Discrimination/Anti-Harassment Policy, and Electronic Data Systems Policy.

The Federal Trade Commission requires that endorsements be truthful and not deceptive. If your social media activity endorses the Company's products or services, i.e., expresses opinions, beliefs, findings or experiences concerning the Company's products or services, you must disclose your name and position with the Company.

You should not post content about the Company, management, co-workers, vendors, or customers that is vulgar, obscene, physically threatening, intimidating, defamatory, harassing, or a violation of the Company's policies against discrimination or harassment. You should not unlawfully disparage the

Company's products or services, or the products or services of its customers, vendors or competitors.

You should not use the Company's logo, trademark or proprietary graphics (collectively, "IP") for any commercial purpose, such as selling or advertising any product or service, without the Company's prior written consent. You should not use the Company's IP in a way which suggests that you are representing the Company or while engaging in conduct that violates Company policy.

You should not disclose, or post images or video of, any of the Company's trade secrets or confidential business information or of any confidential business processes.

You should not post images or video of the Company's employees, customers, vendors or competitors without their prior permission.

To reduce the risk of identity theft, stalking, and similar criminal conduct, you should not disclose personally identifying information (such as personal telephone numbers, Social Security numbers, the date of birth, credit or debit card numbers or financial account numbers) of the Company's employees, customers, vendors or competitors.

Consistent with applicable law, members of management should not gain unauthorized access to the restricted social media page of a subordinate. Any employee may reject, without fear of retaliation, any request from any other employee that, if accepted, would permit access to a restricted social media page - such as a friend or connection request.

Employees may not use their Company e-mail address to register for any social media account or site, or as an identifier needed to participate in any social media activity, except to engage in social media activity authorized by the Company and for the Company's business purposes. Employees may reference the Company as their employer and include contact information on social and professional networking sites only, such as LinkedIn and Facebook.

If you need clarification of any aspect of this policy, contact the Human Resources Department. You should report all violations of this policy to the Human Resources Department or utilize any reporting mechanism set forth in this handbook.

The Company will, in its discretion, review social media activity to the fullest extent permitted by applicable law.

Employees are solely responsible for their social media activity and will be held accountable for violating this Policy. Failure to comply with this Policy may lead to discipline, up to and including termination of employment, and if appropriate, the Company will pursue all available legal remedies. The Company also may report suspected unlawful conduct to appropriate law enforcement authorities.

The Company will not construe or apply this Policy in a manner that improperly interferes with or limits employees' rights under the National Labor Relations Act.

Workplace Violence

MV Transportation is firmly committed to providing a workplace free from acts of violence or threats of violence. In keeping with this commitment, the Company has established a policy strictly prohibiting any employee from threatening or committing an act of violence in the workplace, while on duty, while on company related business, or while operating any vehicle or equipment owned or leased by the Company.

Assistance is needed from all employees to achieve a workplace secure and free from violence. MV is committed to a “zero tolerance” policy and compliance with this policy in respect to workplace violence is every employee’s responsibility. Any and all incidents involving an act or threat of violence must be reported immediately to the employee’s supervisor or the Human Resources department. Any employee may do so without fear of retaliation of any kind. After the incident is reported to a supervisor, he/she will report the matter to the Human Resources department, who will conduct an investigation and take appropriate action.

Any employee who engages in or contributes to violent or threatening behavior may be subject to disciplinary action, up to and including termination.

Weapons Policy

The Company is committed to ensuring the safety of our employees, customers, clients, contractors, and visitors. In furtherance of this commitment, the Company maintains a weapons-free workplace (except as otherwise provided by law) and strictly enforces the prohibition of the use, carrying, or possession of deadly weapons or destructive devices while on the Company’s property and/or while performing related work or duties for the Company. Employees are also prohibited from keeping or storing weapons or destructive devices in their vehicles in parking areas, unless state law requires that employees be allowed to store or transport certain types of firearms in their own locked vehicles in Company parking areas.

Examples of deadly weapons or destructive devices: firearms, including but not limited to, handguns, rifles, pellet guns, and similar devices; knives with the exception of pocket knives; instruments capable of inflicting a heavy blow, including, but not limited to, nightsticks, clubs and similar devices; explosive devices, including but not limited to bombs, grenades, and similar devices and other devices whose primary purpose is the infliction of bodily harm.

Although some states license individuals to carry concealed firearms, the Company prohibits them on Company property or while participating in work-related duties for the Company. A violation of this policy is considered gross misconduct and will result in immediate discipline and/or termination.

Customers, clients, contractors, or other visitors who violate this policy will be asked to immediately leave the Company's premises and may be subject to arrest and prosecution by law enforcement officials for any criminal acts.

Discipline

Any violation of MV Transportation policies or any inappropriate or improper behavior or conduct may warrant disciplinary action. Although the employment relationship may be terminated at will by the employee or the Company, without following any formal system of discipline or warnings, the Company may, in its discretion use progressive discipline. The progressive discipline system is intended to give the employee advance notice, whenever possible, of problems with their conduct or performance to provide the employee with an opportunity to correct their actions. Normally, progressive discipline involves verbal counseling and one or more written warnings, before an employee is terminated. However, deviations from progressive discipline may occur when serious offenses occur or circumstances warrant alternative measures in the Company's sole discretion. If your employment is governed by a valid collective bargaining agreement, discipline will be governed by that agreement.

Work rules are needed to ensure the safety and well-being of all employees. The purpose of Work Rules is not to punish employees; instead, it is intended to inform employees regarding expectations and provide a framework for coaching and counseling. The Company reserves the right to skip steps in the disciplinary process whenever it determines circumstances warrant. Work Rules are divided into two groups of offenses:

1. *Minor Violations* will usually be addressed in a four-step process (although the Company need not follow this sequence):
 - First violation – Counseling session/verbal warning
 - Second violation- written warning
 - Third violation – Final warning and/or unpaid suspension
 - Fourth violation – Termination
2. *Major Violations* will warrant disciplinary action up to a final warning and/or unpaid suspension, or termination.

Minor Violations

The Company need not follow any particular sequence of discipline and may impose immediate suspension or discharge where circumstances warrant. Violations may be personally observed or reported, or observed via DriveCam and Other Video Systems or Electronic Systems, including GPS and mobile data terminals. Examples of minor violations include, but are not limited to, the following types of workplace behavior.

1. Failure to follow work policies, procedures or duties
2. Failure to follow personal appearance standards
3. Use of abusive or profane language
4. Use of personal radios while operating a Company vehicle.
5. Eating or drinking while operating a Company vehicle.
6. Violation of the Internet, Newsgroup and Electronic Mail Policy, not considered to be a major violation

Major Violations

Major violations will result in termination or other serious discipline. Violations may be personally observed or reported, or observed via DriveCam and Other Video Systems or Electronic Systems, including GPS and mobile data terminals. Examples of major violations include, but are not limited to, the following types of workplace behavior:

1. Reporting to work or working under the influence, possessing alcohol or illegal drugs in the workplace, or any violation of MV's Drug and Alcohol Policy
2. Deliberately damaging or abusing property
3. Carelessness or horseplay resulting in property damage in excess of \$5,000 or personal injury
4. Insubordination, including the refusal and/or failure to follow a directive, to perform assigned work, or to encourage others to do either
5. Violation of confidentiality and proprietary information policy
6. Harassment prohibited by Company policies

7. Violations of State, Federal, County or Municipal laws, regulations or requirements that would disqualify you from employment under MV's hiring criteria, with the exception of moving violations while driving which are governed by the MV Safety Point System. Employees are required to report such arrests and/or convictions within 24 hours.
8. Additional violations of the MV Safety Policy, Attendance Policy, Substance Abuse Policy Violations, or misuse of Company vehicles and/or equipment, including but not limited to:
 - Operating without a valid license appropriate for that vehicle, equipment or service.
 - Driving on a suspended license
 - Driving a commercial vehicle without a valid medical card
 - Transporting school children without proper school bus certification as required by applicable law
 - Un-insurability as a vehicle operator
 - Negligent use of a Company owned or provided vehicle or equipment
 - Unauthorized use of a Company owned or provided vehicle or equipment including transporting unauthorized passengers
 - Use of a personal cell phone while operating a Company vehicle
9. Falsification of any records, such as medical forms, time records or employment applications, or making false statements
10. Unprofessional or disorderly verbal or physical conduct directed towards coworkers, passengers, clients or any third party while acting as a representative of the Company.
11. Engaging in a romantic or sexual relationship with a passenger who is unable to provide meaningful consent.
12. Entering a passenger's home while in service or in Company uniform without a legitimate business purpose
13. Possession of weapons or explosives on Company premises
14. Conviction of driving under the influence, reckless driving or hit-and-run driving whether on or off the job, in a Company or private vehicle, for employees performing safety sensitive functions

15. Use of Company property or Company garages for personal vehicle repair
16. Failing to pass initial, ongoing or changed qualification standards
17. Dishonesty, theft, or improper handling of company assets or cash
18. Gross negligence

Vehicle Citations

In addition to any potential safety point assessments, vehicle citations are the responsibility of the employee. MV will not pay for parking tickets or citations issued to Company vehicles or employees on Company time unless required by law. It is the responsibility of the employee to obey all traffic laws and to operate a vehicle in a safe and legal manner.

Personal Appearance

When at work, employees are expected to present a professional appearance and to dress according to the requirements of their position.

Every employee is expected to practice daily hygiene and good grooming. Scents – whether artificial or natural – should not be distracting to other employees or our passengers.

Where required, employees must come to work in a clean, pressed uniform. Those who report for work inappropriately dressed will be sent home unpaid and directed to return to work in proper attire. For safety reasons, the following appearance standards also apply for all operators and safety sensitive positions:

- Leather, rubber soled shoes must be worn
- Long hair extending past the shoulders must be tied back
- Fingernails cannot exceed 1/2" past the tip of the fingers
- Dangling jewelry, including earrings, is not permitted

If the employee's shift needs to be covered by another employee, the employee may forfeit his/her entire days shift at the manager's or supervisor's discretion. If sent home, the employee will be issued an attendance occurrence noted as an absence.

Smoking

Smoking (both cigarette and e-cigarette) is expressly forbidden in or near Company vehicles at all times. This rule applies to everyone - employees, passengers, clients and the general public. It is also prohibited for any employee to smoke in any MV facility or garage. Employees wishing to smoke must do so on their own time and a minimum of 20 feet from a facility or bus.

Solicitation

MV prohibits:

- Solicitation and distribution of goods, services, or literature by non-employees on Company premises
- Solicitation by employees on Company premises when the person soliciting or the person being solicited is on working time (Working time is the time employees are expected to be working and does not include your scheduled meal or other authorized breaks.)
- Distribution of goods and/or literature by employees on Company premises in non-working areas during working time, as defined above
- Distribution of goods and/or literature by employees on Company premises in working areas

Note: A “working area” is an area, usually inside production areas or offices, where work is performed. It includes halls and aisles used in the course of employees’ work. It also may include outside areas like the yard. “Working area” generally does not include break rooms, cafeterias, employee parking lots and Company grounds or recreation areas.

Confidentiality of Information

MV treats employee information as confidential. MV will only release employee information upon 1) written authorization, 2) court order, 3) as necessary in accordance with business needs and to administer benefits, or 4) to meet other contractual or legal requirements.

Security Inspections

Employees should not have an expectation of privacy in Company equipment such as desks, lockers, and computers. Desks, lockers, computer and communications systems are the property of the Company and therefore can be inspected by any agent or representative of the Company at any time, either with or without prior notice. The Company has the right to inspect packages and persons on, entering and/or leaving Company property. Any employee who wishes to avoid inspection of any articles or materials should not bring such items onto the Company's premises.

Employee Personnel Files

MV Transportation retains the right not to provide an employee with any duplications or copies of any paperwork within his/her personnel file, unless otherwise provided by applicable law. Access to and documents from an employee's personnel file will be provided to employees as required by applicable law. Employees who are interested in reviewing the contents of their personnel file should complete the Personnel File Review Form and submit it to their Manager of Human Resources to schedule a mutually convenient time for an appointment.

To ensure that MV's personnel files are up-to-date and contain accurate, complete information, employees are asked to notify their supervisor or Human Resources of any changes that need to be made in any of the following categories:

- Name
- Telephone number
- Home address
- Individual to notify in case of an emergency

Safety and Incident Policies

Safety Hotline

Since the safety, health and welfare of our employees, passengers and public is our number one priority at MV, we have established an Employee Safety Hotline to report any safety problems or concerns. Our safety hotline number is **1 - 877 – MVSAFE - T (687-2338)**. Concerns including vehicle maintenance issues, unreported incidents, failure to secure wheelchairs, office safety issues, etc. should be reported to the Employee Safety Hotline. You are also expected to report any instances to your supervisor so your concerns can be immediately addressed.

Incident

Any occurrence, event or action (regardless of how minor) which does not follow Company procedures or presents a threat or problem to MV, its passengers, public or its employees is considered an incident. Any occurrence involving a passenger while under the care, custody and control of MV and its employees is considered an incident. Any contact between your vehicle and another person, vehicle or object is considered an incident whether or not there was damage or injury.

Incident Reporting

All incidents, regardless of how minor, must be immediately reported per MV's 'Incident Reporting' procedure. Failure to timely report any incident, regardless of whether or not it results in injury or property damage, may result in disciplinary action up to and including termination. **For workplace injuries, please refer to our 'Workers' Compensation' policy.**

Major Safety Incidents

For incident reporting purposes, a major incident is one involving a transit vehicle or occurring on MV property. This includes, but is not limited to:

- Fatality
- Pedestrian or cyclist incident/injury
- Passenger incident or injury involving a lift
- Passenger incident or injury while entering or exiting a vehicle
- Passenger incident or injury involving improperly securing a passenger
- Preventable roll-away incident
- MV Operator is cited for a major/serious moving violation (reckless driving, DUI)
- Any injury (including to the MV Operator) requiring immediate medical attention away from the scene
- Property damage of at least \$5,000
- Environmental spills
- Vehicle roll-over/lay-over
- Vehicle fire
- Incidents with Operator allegation of equipment or maintenance failure
- Events with potential for negative public relations and/or news media coverage
- Incidents where Operator drug and/or alcohol use may be involved
- Incidents where fault is in question
- Any use of a cellular telephone or electronic device while operating a company vehicle

Minor Safety Incidents

All other incidents that do not meet the definition of a “major” incident.

Subrogation of Incident or Injury Claims

Every employee is expected to protect MV's rights to subrogate for reimbursement of vehicle damages, Workers' Compensation payments and related costs, Medical and Dental Insurance payments and related costs, and other payments/costs which result from the negligence of third-parties. Employees must obtain concurrence from MV (Risk Management for Workers' Compensation claims or Human Resources for Medical/Dental claims) prior to signing any "release of liability" from any responsible third-party or third-party insurer.

Safety Investigation Leave

Any employee involved in a major incident will be placed on administrative leave while the incident is being investigated to determine root causes and preventability. Administrative leave is unpaid unless the incident is determined to be non-preventable. Employees may perform other non-safety sensitive functions if available and/or appropriate until final determination is made.

Electronic Systems

The company employs numerous technologies, including DriveCam, video systems, GPS and mobile data terminals in order to help ensure the safety of the driver and passengers, compliance with Federal, State and Local driving laws as well as regulations for both the driver and the motoring or pedestrian public. Any recording resulting from these technologies may be used as evidence in the investigation and may result in the issuing of appropriate disciplinary action.

Safety Point System

MV safety results are directly related to the actions and behaviors of our employees. At-risk behaviors lead to incidents and injuries. Therefore all MV safety sensitive employees are subject to a Safety Point Program rating which assesses cumulative points for at risk safety behaviors or actions.

Any work related incident, which involves an employee at MV will be investigated and may result in Safety Points being assigned.

If the incident is determined to have been "preventable" by the MV employee, then it will be considered a preventable incident. While an incident may not be legally considered your "fault", it will be treated as preventable, regardless of the cost to MV. Even minor damage incidents cost the Company money in terms of repairs, lost vehicle or driver time, staff time, etc. Any damage to a Company vehicle will automatically be assessed to the most recent employee who drove that vehicle and who failed to report it on a daily vehicle inspection sheet.

Preventability of Incidents and Injuries

The determination as to whether an incident could have been "preventable" will be made by the Division Safety Manager and General Manager. It is subject to review by the Area Safety Director and/or the Region Vice President. If there is a disagreement it will be given to the Vice President of Safety. The Chief Safety Officer has the final determination of preventability on all incidents.

Disciplinary Action

Any employee who has a preventable incident will be subject to re-training and/or discipline up to and including termination based on the safety point system.

Although most situations will be addressed by issuing safety points, MV reserves the right to impose discipline, up to and including termination, for any unsafe act, failure to follow safe work practices and/or procedures, or negligent operation of a Company vehicle regardless of the point assessment under the Safety Point System. Unsafe behaviors are also subject to disciplinary action regardless of whether they lead to injury. Such discipline must be approved by the Chief Safety Officer or a Company President.

Accruing Safety Points

DriveCam and Other Video Systems events/incidents will be assessed safety points based on the current version of the DriveCam and Other Video Systems Points Policy. DriveCam and Other Video Systems Points may result from both coached and auto-resolved events/incidents. DriveCam and Other Video Systems Points are included and considered when applying the following Maximum Allowable Safety Points section. The good-faith filing of a workers' compensation claim shall not accrue safety points or discipline

All preventable incidents will be assigned points in the following manner:

Failure to cycle wheelchair lift	One (1) point
Failure to do a proper vehicle inspection (DVI)	One (1) point
Driver unbelted or improperly belted when legally required	One (1) point
Failure to stop at a Railroad Crossing.....	One (1) point
Unsafe maneuver(s) or act(s)	Two (2) points
Conviction of a minor traffic violation	Two (2) points
Backing incident or collision.....	Three (3) points
Rear-end collision	Three (3) points
Failure to provide door-to-door service, to include failure to properly load/unload a passenger via the lift.....	Three (3) points

Preventable incident and/or collision up to \$15,000 in injuries or property damage	Four (4) points
Preventable incident or collision up to \$20,000 in injuries and/or property damage	Five (5) points
Preventable incident or collision in excess of \$20,000 in injuries and/or property damage	Six (6) points
Any preventable roll-away incident or collision regardless of damage amount	Six (6) points
Failure to properly secure/transport a mobility device	Six (6) points
Failure to properly secure/transport a paratransit passenger	Six (6) points
Failure to immediately report a citation or incident in a Vehicle while in Company service	Six (6) points
Tampering with, disabling, obstructing, abusing, disconnecting, or otherwise interfering with Drive Cam or other monitoring equipment	Six (6) points
Any use of a cellular telephone or electronic device while operating a vehicle in Company Service	Six (6) points
Conviction of a major traffic violation *	Six (6) points

() A major traffic violation is any citation, in either a personal or company vehicle, that involves any item listed under Major Safety Incidents and/or: (1) Driving while intoxicated or under the influence of alcohol or drugs; (2) Failure to stop and immediately report an incident in which you are involved; (3) Homicide, manslaughter, or assault arising out of the operation of a motor vehicle; (4) Driving while your license is suspended or revoked; (5) Reckless driving; (6) Possession of open container or alcoholic beverages; and/or (7) Speed contests, drag racing, or attempts to flee from an officer of the law, (8) leaving the scene of an accident.*

To be clear, and notwithstanding any other language in the Safety and Incidents Policy, an employee will not receive safety points or be otherwise disciplined simply because an incident results in an injury or a worker's compensation claim.

Maximum Allowable Safety Points

For introductory employees:

The occurrence of a preventable incident during the introductory period will result in termination. Receipt of four (4) or more points during the introductory period, outside of preventable incidents, will result in termination. In addition, receipt of two (2) separate safety point assessments during the introductory period will result in termination, regardless of the employee's total point count.

For non-introductory period employees:

In any rolling 18 month period of employment, receipt of six (6) or more points will result in termination. Any infraction which occurred more than eighteen months prior would no longer be included in the safety point count. In addition, receipt of three (3) separate safety point assessments in any rolling one year period will result in termination, regardless of the employee's total point count.

Safety Point Hearing

If an employee feels that he/she has been issued safety points improperly, a point count hearing may be requested. Point count hearing requests must be made within five (5) business days of the point assessment to your supervisor. The supervisor will contact the Area Safety Director to conduct the hearing within ten (10) business days of the request.

The hearing panel will consist of three of the following people: Vice President of Safety, Area Safety Director, General Manager, Assistant General Manager and/or Safety and Training Manager. The hearing will be chaired by the Vice President of Safety or the Area Safety Director. Decisions by the panel must be signed-off and approved by the Regional Vice President and the Chief Safety Officer to be binding.

Retraining

MV reserves the right to require an employee to attend retraining in addition to any discipline imposed. Failure to attend mandated re-training courses may result in disciplinary action up to and including termination.

All customer service related incidents which do not result in termination are subject to retraining from the MV customer service program (Ergometrics START program) or other approved Customer Service Training Module using the applicable section of the training that will apply to the incident. This must be accomplished within one week of the incident date.

All vehicle-related incidents which do not result in termination are subject to retraining using the approved Defensive Driving Training Programs. This must be accomplished within one week of the incident date.

Retraining may also be required based on an unacceptable onboard or field inspection.

MVR Records

All employees in safety sensitive positions who will operate a vehicle in Company service (either on a regular or occasional basis) must provide a copy of their Motor Vehicle Record (MVR). MVR's may also be checked during employment. Such employees must report to their supervisor a citation received in either a vehicle in Company service or personal vehicle within 24 hours. Failure to report a citation will result in immediate termination.

MV retains the right to access your MVR during employment. If an operations employee in a position requiring a driver's license has his/her license suspended, restricted or revoked, as a result of a vehicle citation, his/her employment may be terminated at the sole discretion of the company.

Statements at the Scene of an Incident

Under no circumstances is a MV Operator to discuss the circumstances of a vehicular incident occurring while in the course of his/her duties for MV or make any statement about the incident with anyone other than with police, MV division/safety personnel, MV Risk Management personnel, MV attorneys, and/or MV Third Party Claims Administrator personnel. Drivers are to give their names, addresses, telephone numbers, vehicle insurance, and driver's license information. Any further information can be obtained by contacting the General Manager or the Area Safety Director.

Leaving the Scene of an Incident or Injury

Under no circumstances is a MV Operator to leave the scene of an incident without first doing each of the following:

1. Immediately reporting the incident to the division.
2. Providing any and all claimants or other parties in the incident the personal and Company information required by law and needed to make a claim.
3. Obtaining all information regarding other vehicles and parties involved.
4. Obtaining authorization from the dispatcher to leave the incident scene.
5. Taking pictures of the vehicles involved and the incident scene as well as sketching out the scene of the incident on the incident diagram form.

Safety Inspections

All employees are subject to inspections to ensure safe, quality service for our passengers. Inspections will be done at random as well as scheduled times. Types of inspections include field inspections, on-board evaluations, vehicle inspection audits and facility inspections.

Wheelchair Lift Deployment

Under no circumstances is a MV employee to leave a wheelchair lift partially or completely in the down position outside of the vehicle while not physically there and able to alert any pedestrians to the potential danger. Under no circumstances is the vehicle to be driven unless the wheelchair lift is safely and properly stowed in its secure folded position.

Safety Meetings

Safety meetings are a critical component of our safety program and assist MV in managing contractual and refresher training requirements. All operations employees are required to attend a minimum of one safety meeting per month.

Return of Property

Employees must return all Company property at the time of termination, resignation or layoff, or immediately upon request. Where permitted by law, the Company may withhold from the employee's pay or final pay the cost of any items that are not returned. The Company may also take all action deemed appropriate to recover or protect its property.

Use of Personal Cell Phones and other Electronic Devices

The use of cell phones for personal calls during your working hours is discouraged and should be limited to break or meal periods. Where a client contract prohibits drivers from carrying personal cell phones, the use of personal cells phones is prohibited. Any use of a personal cell phone or other non company-issued electronic device, hands-free or not, during the operation of a company vehicle is prohibited.

Preparedness for Work and Alertness Management

It is the Operator's responsibility to report for duty well rested, with proper equipment and uniform and in sufficient time as required to perform his/her duties.

Professional operators must get adequate rest – ideally a minimum of eight hours – before coming to work. Every operator is responsible for coming to work well rested, as there is a significant risk of fatigue-related incidents. If an operator is not properly rested or is fatigued, they must report their condition to a supervisor or manager immediately.

APPENDIX 1

Federal and State Agencies

Local, state and federal employment discrimination agencies that enforce the laws against sexual harassment and discrimination in California, Maine, Massachusetts, Rhode Island, and Vermont and for government contractors can be contacted at the phone numbers and addresses listed below.

Federal

The Office of Federal Contract Compliance Programs (OFCCP)

U.S. Department of Labor
200 Constitution Avenue, N.W.
Washington, D.C. 20210
Phone (800) 397-6251
TTY (202) 6936-1337
OFCCP-Public@dol.gov

California

Department of Fair Employment and Housing

Sacramento District Office
2000 O Street, Suite 120
Sacramento, CA 95814
Phone (800) 884-1684
Fax (916) 323-6092

Equal Employment Opportunity Commission

901 Market Street, Suite 500
San Francisco, CA 94103
Phone (415) 356-5100

Maine

Main Human Rights Commission

51 State House Station
Augusta, ME 04333
Phone (207) 624-6050
Fax (207) 624-6063
TTY/TTD (888) 577-6690

Equal Employment Opportunity Commission, Area Office

John F. Kennedy Federal Building
Government Center, Room 475
Boston, MA 02203
Phone (617) 565-3200

Massachusetts

Massachusetts Commission Against Discrimination

1 Ashburton Place, Room 601	436 Dwight Street
Boston, MA 02108	Springfield, MA 01103
Phone (617) 994-6000	Phone (413) 739-2145

Equal Employment Opportunity Commission, Area Office

John F. Kennedy Federal Building
Government Center, Room 475
Boston, MA 02203
Phone (617) 565-3200

Rhode Island

Rhode Island Commission for Human Rights

180 Westminster Street
Providence, RI 02903
Phone (401) 222-2661

Equal Employment Opportunity Commission, Area Office

John F. Kennedy Federal Building
Government Center, Room 475
Boston, MA 02203
Phone (617) 565-3200

Vermont

Vermont Attorney General's Office

Civil Rights Unit
109 State Street
Montpelier, VT 05602
Phone (802) 828-3171

Equal Employment Opportunity Commission, Area Office

John F. Kennedy Federal Building
Government Center, Room 475
Boston, MA 02203
Phone (617) 565-3200

APPENDIX 2

EMPLOYEE RIGHTS AND RESPONSIBILITIES UNDER THE FAMILY AND MEDICAL LEAVE ACT

Basic Leave Entitlement

FMLA requires covered employers to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth;
- To care for the employee's child after birth, or placement for adoption or foster care;
- To care for the employee's spouse, son or daughter, or parent, who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employee's job.

Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

FMLA also includes a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered servicemember during a single 12-month period. A covered servicemember is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform his or her duties for which the servicemember is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Benefits and Protections

During FMLA leave, the employer must maintain the employee's health coverage under any "group health plan" on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees must be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms.

Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee's leave.

Eligibility Requirements

Employees are eligible if they have worked for a covered employer for at least one year, for 1,250 hours over the previous 12 months, and if at least 50 employees are employed by the employer within 75 miles.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

An employee does not need to use this leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the employer's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

Employees may choose or employers may require use of accrued paid leave while taking FMLA leave. In order to use paid leave for FMLA leave, employees must comply with the employer's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and generally must comply with an employer's normal call-in procedures.

Employees must provide sufficient information for the employer to determine if the leave may qualify for FMLA protection and the anticipated timing and duration of the leave. Sufficient information may include that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the employer if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Employer Responsibilities

Covered employers must inform employees requesting leave whether they are eligible under FMLA. If they are, the notice must specify any additional information required as well as the employees' rights and responsibilities. If they are not eligible, the employer must provide a reason for the ineligibility.

Covered employers must inform employees if leave will be designated as FMLA-protected and the amount of leave counted against the employee's leave entitlement. If the employer determines that the leave is not FMLA-protected, the employer must notify the employee.

Unlawful Acts by Employers

FMLA makes it unlawful for any employer to:

- Interfere with, restrain, or deny the exercise of any right provided under FMLA;
- Discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

Enforcement

An employee may file a complaint with the U.S. Department of Labor or may bring a private lawsuit against an employer.

FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

FMLA section 109 (29 U.S.C. § 2619) requires FMLA covered employers to post the text of this notice. Regulations 29 C.F.R. § 825.300(a) may require additional disclosure



For additional information:
1-866-4US-WAGE (1-866-487-9243) TTY: 1-877-889-5627
WWW.WAGEHOUR.DOL.GOV



RECEIPT AND ACKNOWLEDGEMENT

EMPLOYEE HANDBOOK ACKNOWLEDGEMENT FORM

I have received a copy of the September 2016 MV Employee Handbook, and I have reviewed and understand its provisions. If at any time I do not understand a policy in this Handbook or any other Company policy, I will seek clarification from my supervisor or the Human Resources Department. Unless otherwise provided under the terms of an applicable Collective Bargaining Agreement or other valid contract, I understand the Company is an 'at will' employer and, as such, employment with the company is not for a fixed term or definite period and may be terminated at the will of either party, with or without cause and without prior notice.

I understand that the Handbook states certain of the Company's policies and practices in effect on the date of publication. I UNDERSTAND THIS HANDBOOK DOES NOT CONSTITUTE A CONTRACT OF EMPLOYMENT. I UNDERSTAND THAT NOTHING CONTAINED IN THIS HANDBOOK MAY BE CONSTRUED AS CREATING A PROMISE OF FUTURE BENEFITS OR A BINDING CONTRACT WITH THE COMPANY FOR BENEFITS OR FOR ANY OTHER PURPOSE. Unless otherwise provided under the terms of an applicable Collective Bargaining Agreement, arbitration agreement, or other valid contract, I also understand that the Company's policies and procedures may be amended, supplemented, modified or terminated at any time, with or without notice.

Employee Signature

Date

Employee Name (please print)



MV Transportation Drug and Alcohol Policy

Issue Date
April 2018

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Drug and Alcohol Testing Core Values

Drug and alcohol abuse are the two most preventable behavioral disorders facing our society today. Drug abuse literally costs hundreds of billions of dollars alone in lost productivity, increased healthcare costs, accidents and theft. It is estimated that drug and alcohol abuse costs over a trillion dollars worldwide and growing.

MV Transportation, Inc. and its Subsidiaries are dedicated to providing safe, dependable, and economical service to its clients. MV Transportation's employees are our most valuable resource. It is our policy (1) to take appropriate action to assure that employees are not impaired in their ability to perform assigned duties in a safe, productive, and healthy manner; (2) to foster and maintain a drug and alcohol - free environment for all employees and patrons; (3) to prohibit the unlawful manufacture, distribution, dispensing, possession, or use of controlled substances; and (4) to encourage employees to voluntarily seek professional assistance whenever personal problems, including alcohol or drug use, may adversely affect their ability to perform their assigned duties.

Drug testing not only saves businesses money, but it also saves lives. This is the backdrop that MV Transportation's Drug and Alcohol Compliance Department works in to promote a safe and ethical drug testing program that will be the standard of the industry. MV Transportation's Compliance Department is always looking for ways to improve the everyday challenges by using state of the art software and easy to follow testing instructions and forms, and a comprehensive collection site inspection tutorial for supervisors.

To achieve these goals and to comply with all applicable Federal regulations governing workplace anti-drug programs in the transit industry, MV Transportation incorporates three integrated components:

- **Prevention through education and training**
- **Detection, deterrence and enforcement**
- **Treatment and opportunities for rehabilitation**

MV's purpose is to assure worker fitness for duty and to protect our employees, passengers, and the public from the risks posed using alcohol and prohibited drugs. MV is surrounded by an extraordinary Board of Directors, Executive Committee and professional staff who support and promote a safe and drug free environment in which we all live and work.

In accordance with the U.S. Department of Transportation and the
Federal Transit Administration Regulations
(49 CFR Parts 40, 655, and 382)
MV TRANSPORTATION, INC.

SUBSTANCE ABUSE POLICY

1.0 Policy

MV Transportation, Inc. and its Subsidiaries (MV Transportation) are dedicated to providing safe, dependable, and economical service to its clients. MV Transportation's employees are our most valuable resource. It is our policy (1) to take appropriate action to assure that employees are not impaired in their ability to perform assigned duties in a safe, productive, and healthy manner; (2) to foster and maintain a drug and alcohol - free environment for all employees and patrons; (3) to prohibit the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances; and (4) to encourage employees to voluntarily seek professional assistance whenever personal problems, including alcohol or drug use, may adversely affect their ability to perform their assigned duties.

To achieve the goal of a substance-free workplace, this policy incorporates three integrated components:

Prevention through education and training:

Education and training will communicate and clarify this policy to all employees, assist employees in recognizing substance abuse problems and in finding solutions to those problems.

Detection, deterrence and enforcement:

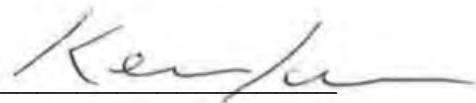
Federal regulations require that effective January 1, 1995, all safety - sensitive employees will be subject to reasonable suspicion, post accident, random, return to duty and follow up drug and alcohol testing. Applicants for safety sensitive positions will not be eligible for those positions unless they pass a pre-employment drug test.

As a "zero tolerance" employer, any positive drug or alcohol or refusal to tests will result in a termination of employment.

Treatment and opportunities for rehabilitation:

Alcohol and drug abuse are recognized as diseases that can be treated. MV Transportation promotes a voluntary rehabilitation program to encourage employees to seek professional assistance prior to testing positive for drugs or alcohol, without fear of discipline.

Approved: _____



Kevin Jones, CEO
MV Transportation, Inc. and its Subsidiaries

Date: April 1, 2018

2.0 Purpose

The purpose of this policy is to assure worker fitness for duty and to protect our employees, passengers, and the public from the risks posed by the use of alcohol and use of prohibited drugs (as defined below). This policy is also intended to comply with all applicable Federal regulations governing workplace anti-drug programs in the transportation industry.

The Federal Transit Administration (FTA) and the Federal Motor Carrier Safety Administration (FMCSA) of the U.S. Department of Transportation have enacted 49 CFR (Code of Federal Regulations) Parts 655 and 382, which mandate urine drug testing and breath alcohol testing for employees performing safety-sensitive functions. These regulations also prevent performance of safety-sensitive functions when there is a positive test result or a test refusal. The U.S. Department of Transportation (DOT) has also adopted the revised version of 49 CFR Part 40 as amended, which outlines procedures for transportation workplace drug and alcohol testing programs. This Policy incorporates these federal requirements for employees performing safety-sensitive functions, as well as other provisions.

In addition, DOT has published 49 CFR Part 29, implementing the Drug-Free Workplace Act of 1988, which requires the establishment of drug-free workplace policies and the reporting of certain drug-related offenses to the FTA. California passed a similar version of the federal law, the Drug-Free Workplace Act of 1990 (Gov't Code § 8350 et seq). This policy reiterates the requirements of the federal regulations; these requirements will be in *Italics*. Portions of this policy marked in **bold** are not necessarily FTA-mandated but reflect MV Transportation employment policy (this does not include policy headings).

If any provision of an existing MVT policy, rule or resolution is inconsistent or in conflict with any provision of this policy or the DOT/FTA rules, this policy and the DOT/ FTA rules shall take precedence; if any provision of this policy is inconsistent or in conflict with the DOT/ FTA rules the DOT/ FTA rules shall take precedence.

3.0 Applicability

3.1 Safety-Sensitive Employees

This policy applies to all safety-sensitive MV Transportation employees, including paid part time employees who perform or could be called upon to perform any transportation related safety-sensitive function, and this includes off-site lunch periods or breaks when an employee is scheduled to return to work.

A safety-sensitive function is any of the following duties:

- 1) The operation of a transportation revenue service vehicle even when the vehicle is not in revenue service.

- 2) The operation of a non-revenue service vehicle by an employee when the operation of such a vehicle requires the driver to hold a Commercial Drivers License (CDL).
- 3) Maintaining (including repairs, overhaul and rebuilding) a revenue service vehicle or equipment used in revenue service.
- 4) Controlling the movement of a revenue service vehicle and
- 5) Carrying a firearm for security purposes. (Not applicable to MVT)
- 6) Volunteers are considered a covered employee if; 1) they are required to hold a commercial driver's license to operate the vehicle; or 2) if the volunteer receives re-numeration in excess of their actual expenses incurred while engaged in the volunteer activity.

(For a description of job categories - See Exhibit B)

3.2 Contractors

Contractors who perform any of the safety-sensitive functions described in this policy for MVT will be subject to the same requirements as safety-sensitive MVT employees.

3.3 Non-Safety Sensitive Positions

All MVT employees are subject to the provisions of the Drug-Free Workplace Act of 1998. Visitors, vendors and contracted employees on MVT premises will not be permitted to conduct transportation business if found to be in violation of this policy.

4.0 Opportunities for Rehabilitation (MVT Policy)

To promote a drug and alcohol-free workplace, this policy includes a rehabilitation program that allows employees to voluntarily come forward to request rehabilitation.

4.1 Voluntary Rehabilitation (MVT Policy)

Any employee who has a drug and/or alcohol abuse problem and has not been selected for reasonable cause, random or post-accident testing or has not refused a drug or alcohol test may voluntarily refer her or himself to the General Manager or the Human Resource Department, who will refer the individual to the company's Employee Assistance Program and/or a Substance Abuse Counselor for a Non-DOT evaluation and treatment. Voluntary self-referral commits the employee to a therapeutic process. Confidentiality of the employee will be protected. The Counselor will evaluate the employee and make a specific recommendation regarding the appropriate treatment. When an employee voluntarily refers her or himself for treatment, the employee may be eligible for sick leave and disability benefits. Employees will be allowed to take accumulated vacation time or may be eligible for unpaid time off to participate in any prescribed rehabilitation program. Employees are encouraged to voluntarily seek professional substance abuse assistance before any substance use or dependence affects job performance.

4.2 While Undergoing Treatment (MVT Policy)

Any covered employee who admits to a drug and/or alcohol problem will immediately be removed from his/her safety-sensitive function and will not be allowed to perform such function until successful completion of a prescribed rehabilitation program is completed. The employee will be placed on an unpaid leave of absence for maximum of 30/60 days to allow time for completion of the treatment/rehabilitation program. Proof of completion must be provided in writing by a valid professional. The employee will be required to pass a Non-DOT drug and alcohol test before he/she can perform a safety-sensitive function.

*MV shall make every effort to place the employee back in his/her position upon returning to work. However, an employee's commitment to undergo rehabilitation treatment does not guarantee that the employee's job will be available upon return.

4.3 Cost of Rehabilitation (MVT Policy)

All associated costs for treatment are the sole responsibility of the employee.

4.4 Returning to Work after Treatment (MVT Policy)

All employees who successfully complete prescribed treatment and can return to work will be subject to unannounced Non-DOT follow-up testing as prescribed by doctor/counselor.

5.0 Prohibited Behavior and Conduct

"Prohibited substances" addressed by this policy include the following:

5.1 Prohibited Drug Use

FTA regulations specifically prohibit the use of the following illegal, prohibited substances and require testing for their presence under certain circumstances: Marijuana, Amphetamines, Opioids, Phencyclidine (PCP) and Cocaine ("Prohibited Drugs") - Safety-sensitive employees may be tested for prohibited drugs at any time while on duty or **on MVT property**.

5.2 Prohibited Alcohol Use

The consumption of beverages containing alcohol, or substances including any medication such that alcohol is present in the body while performing safety sensitive duties or transportation business, are prohibited. "Alcohol" means the intoxicating agent in beverage alcohol, ethyl alcohol or other low molecular weight alcohols including methyl or isopropyl alcohol. (The concentration of alcohol is expressed in terms of grams of alcohol per 210 liters of breath as measured by an evidential breath testing device.)

5.3 Legal Drugs (MVT Policy)

The appropriate use of legally prescribed drugs and non-prescription medications is not prohibited. However, the use of any substance which carries a warning label that indicates that mental functioning, motor skills, or judgment may be adversely affected **MUST** be reported to supervisory personnel. Medical advice should be sought, as appropriate, while taking such medication and before performing safety-sensitive duties.

Any time an employee comes forward about a medication that he/she is taking the information must be forwarded to the Director of the Compliance Department for clarification and review. The Compliance department will then consult with the Medical Review Officer (MRO) to determine if the medication is appropriate to take while performing a safety-sensitive function.

A legally prescribed drug means that the employee has a prescription or other written approval (in his/her name) from a physician for the use of a drug during medical treatment. The misuse of legal drugs while performing a safety-sensitive function is prohibited at all times.

If the MRO determines that the medication being taken is not appropriate to take while performing a safety-sensitive function the employee will remain off duty until the issue is cleared by the MRO.

To continue performing a safety-sensitive function the employee taking the medication will be required to provide the following:

A written letter from the prescribing physician stating the patient's name, the name of the substance, the period of authorization and a statement that the medication will not adversely affect the employee's performance to drive or perform his/her safety sensitive function and that the employee may continue to perform his/her safety-sensitive function while taking such medication. The letter must be signed and dated by the physician and the letter will be provided to the MRO for final approval.

6.0 Prohibited Conduct. Manufacture, Trafficking, Possession, and Use of Controlled Substances

The manufacture, distribution, dispensation, possession, or use of controlled substances in the workplace is prohibited. A "controlled substance" is any illegal drug or any substance identified in Schedules I through V of Section 202 of the Controlled Substances Act (21 U.S.C. § 812), and as further defined by 21 CFR 1300.11-1300.15. Any employee engaging in the manufacture, distribution, dispensation, possession or use of a controlled substance on MVT premises will be subject to disciplinary action, up to and including termination and/or will be required to complete a drug abuse assistance or rehabilitation program. Law enforcement shall be notified, as appropriate, where criminal activity is suspected.

6.1 Requirement to Submit to Drug and Alcohol Testing

MVT shall require every covered employee who performs a safety-sensitive function as described in the FTA regulations Part 655 and the FMCSA regulations Part 382 to submit to post-accident, random, and reasonable suspicion drug and alcohol test- and to a pre-employment drug test- as described in this policy. MVT shall not permit any employee who refuses to submit to such tests to perform or continue to perform any safety-sensitive functions.

6.2 Alcohol Use/Hours of Compliance

No safety-sensitive employee should report for duty or remain on duty when his or her ability to perform assigned functions is adversely affected by alcohol or when his or her breath alcohol concentration is 0.04 or greater. No employee shall use alcohol **while on duty** or while performing safety-sensitive functions. No employee shall have used alcohol within four hours prior to reporting for duty. After an accident, employees shall refrain from alcohol use for eight (8) hours or until an alcohol test has been administered, whichever occurs first.

No safety-sensitive employee shall use alcohol during the hours that they are on call. On call employees can acknowledge the use of alcohol at the time he/she is called to report to duty and the inability to perform his/her safety sensitive function.

6.3 Compliance with Testing Requirements

Any safety-sensitive employee who refuses to comply with a request for testing, who fails to remain readily available for post-accident testing, who provides false information in connection with a test, or who attempts to falsify test results through tampering, contamination, adulteration, or substitution, shall be removed from duty immediately. Refusal can include an inability to provide a specimen or breath alcohol sample without a valid medical explanation, as well as a verbal declaration, obstructive behavior, or physical absence resulting in the inability to conduct the test.

6.4 Refusal to Submit to a DOT Alcohol or Controlled Substance Test

As an employee, you have refused to take a drug or alcohol test if you:

- (1) Fail to appear for any test (excluding pre-employment) within a reasonable time, as determined by the employer, after being directed to do so by the employer.
- (2) Fail to remain at the testing site until the testing process is complete; Provided, that an employee who leaves the testing site before the testing process commences, for a pre-employment test it is not deemed to have refused to test; unless the testing cup was handed to the donor.
- (3) Fail to provide a urine or breath specimen for any drug or alcohol test required by Part 40 or DOT agency regulations.
- (4) In the case of a directly observed or monitored collection in a drug test, fail to permit the observation or monitoring of your provision of a specimen.
- (5) Fail to provide a sufficient amount of urine or breath when directed, and it has been determined, through a required medical evaluation, that there was no adequate medical explanation for the failure.

It is MVT's policy that any employee that does not provide a valid specimen during a collection for a test will remain off duty until the employee is cleared by the MRO that the employee had a valid medical reason.

- (6) Fail or declines to take a second test the employer or collector has directed you to take.
- (7) Fail to undergo a medical examination or evaluation, as directed by the MRO as part of the verification process, or as directed by the DER as part of the "shy bladder" or "shy lung" procedures.
- (8) Fail to cooperate with any part of the testing process (e.g., refuse to empty pockets or wash hands when so directed by the collector, behave in a confrontational way that disrupts the collection process).
- (9) If the MRO reports that there is verified adulterated or substituted test result.
- (10) Failure or refusal to sign Step 2 of the alcohol testing form.
- (11) Failure to follow the observer's instructions during an observed collection including instructions to raise your clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if you have any type of prosthetic or other device that could be used to interfere with the collection process.
- (12) Possess or wear a prosthetic or other device that could be used to interfere with the collection process.
- (13) Admit to the collector or MRO that you adulterated or substituted the specimen.

As an employee, if you refuse to take a drug and/or alcohol test, you incur the same consequences as testing positive and will be immediately removed from performing any safety-sensitive functions and referred to the Substance Abuse Professional.

6.5 Compliance with Treatment Requirements

All employees are encouraged to make use of the available resources for treatment for alcohol and substance abuse problems.

6.6 Notify MVT of Criminal Drug Conviction

Every employee must notify MVT of any criminal drug statute conviction for a violation occurring in the workplace within five days after such conviction. Failure to do so shall subject said employee to disciplinary action up to and including termination, or satisfactory participation in a rehabilitation program, at the employee's expense.

6.7 Improper Application of the Policy

MVT is dedicated to assuring fair and equitable application of this "Zero Tolerance" substance abuse policy. Therefore, supervisors and managers are required to use and apply all aspects of this policy in an unbiased and impartial manner.

7.0 Testing for Prohibited Substances

7.1 General

Testing shall be conducted in a manner to assure a high degree of accuracy and reliability and using techniques, equipment, and laboratory facilities which have been approved by the U.S. Department of Health and Human Services (DHHS). Testing for prohibited drugs and alcohol on safety-sensitive employees shall be conducted in accordance with the procedures set forth in 49 CFR Part 40 as amended. See attached Testing Procedures for detailed procedures on all required types of drug and alcohol testing.

Medical Review Officer (MRO)- All drug testing results shall be interpreted and evaluated by an MRO who meets all applicable requirements of Part 40, who shall be responsible for receiving laboratory results generated by an employer's drug testing program and has appropriate medical training to interpret and evaluate an individual confirmed positive test result. The MRO shall comply with the drug testing procedures set forth in 49 CFR Part 40. The MRO will not review alcohol test results. When a confirmed positive test is reported from the testing laboratory, it is the responsibility of the MRO to: (a) contact the employee and afford the employee the opportunity to discuss the test results with him/her; (b) review the individual's medical history, including any medical records and biomedical information provided; (c) determine whether there is a legitimate medical explanation for the result, including legally prescribed medication. The MRO shall not convey test results to MVT until the MRO has made a definite decision that the test result was positive or negative, or refusal to test. If the employee provides an adequate explanation, the MRO verifies the test as negative and no further action is taken. When the MRO reports the results of the verified positive test to MVT, the MRO will disclose the drug(s) for which there was a positive test. If the MRO declares a drug test to be invalid for any reason, the test is considered canceled, and neither positive nor negative. However, a re-collection under direct observation may be ordered by the MRO.

The Medical Review Officer conducting MRO services for MVT is Dr. Stephen Kracht, M.D., D.O. in Kansas City, MO.

7.2 Testing for Prohibited Drugs

MVT shall collect or have collected urine samples from safety-sensitive employees to test for Prohibited Drugs. An assigned Collection Site will split each urine sample collected into a primary and a split sample. (See testing procedures) The urine samples will be sent under seal, with required chain of custody forms, to a laboratory certified by the DHHS. Currently MV Transportation is under contract with Alere Toxicology in Gretna, LA for its initial testing and confirmation testing. An initial drug screen will be conducted on each primary specimen. For those specimens that are not negative, a confirmatory Gas Chromatography/Mass Spectrometry (GS/MS) test will be performed. The test will be considered positive if the amounts present are at or above the minimum thresholds established in 49 CFR Part 40 as amended, as set forth in the attached Exhibit A (Threshold Levels).

Split Specimen Testing- If the test result of the primary specimen is positive or a refusal to test due to adulteration or substitution, the employee may request the MRO to direct his/her split specimen be tested in a different DHHS-certified laboratory. The MRO shall honor such a request if it is made within 72 hours of the employee having been notified of a verified positive or refusal to test result. This does not delay MVT from taking any action consistent with this policy for positive tests and the employee will be removed immediately from any safety-sensitive functions regardless if he/she is having his/her split specimen tested by a different laboratory. However, if the split specimen (bottle B) produces a negative result, or for any reason the second portion is not available, the test is considered cancelled and no sanctions are imposed. However, a re-collection under direct observation may be ordered by the MRO.

Cancelled Test - A drug or alcohol test that has a problem identified that cannot be or has not been corrected, or which this part otherwise requires to be cancelled. A cancelled test is neither a positive nor a negative test.

7.3 Alcohol Testing

Tests for alcohol concentration on safety-sensitive employees will be conducted with a National Highway Traffic Safety Administration (NHTSA) -approved evidential breath testing device (EBT) operated by a trained breath alcohol technician (BAT). In order to maintain quality assurance, EBT's must be externally calibrated in accordance with the plan developed by the manufacturer of the device. If the initial test on an employee indicates an alcohol concentration of 0.02 or greater, a second test will be performed to confirm the results of the initial test. For summary of applicable alcohol threshold levels, see Exhibit A.

8.0 Types of Testing

49 CFR Parts 655 and 382 require the following types of testing for Prohibited Substances for safety-sensitive employees: Pre-employment or transfer, reasonable suspicion, post-accident, random.

8.1 Pre-employment, Transfer Testing or Return to Work Testing

All applicants for safety sensitive positions shall undergo urine drug testing prior to employment. Receipt by MVT of a verified negative test result from the MRO is required prior to performing ANY safety sensitive functions for the first time. If an applicant or employee's drug test is cancelled or negative-dilute the employee or applicant shall be required to immediately take another pre-employment drug test.

Existing employees who are being considered for transfer to a safety-sensitive position from a NON-safety-sensitive position will be required to undergo a DOT pre-employment drug test. Any existing safety-sensitive employee who is simply transferring to a different division for another safety-sensitive position is NOT required to undergo another DOT pre-employment drug test.

8.1.1 Non-Safety-Sensitive Positions

All applicants applying for non-safety-sensitive positions will have to take and pass a pre-employment NON-DOT urine drug test prior to being hired.

8.1.2 Return to Work after 30 Days (DOT-FMCSA Policy)

MVT has some contracts that are subject to the Federal Motor Carrier Safety Regulations and NOT FTA regulations. Therefore, if the employee has a commercial license and has been out for 30 days or more AND the employee has been taken out of the random testing pool, the covered employee will be required to take a DOT pre-employment drug test before he/she can perform his/her safety-sensitive position.

8.1.3 Return to Work after 90 Days (DOT-FTA Policy)

If a covered employee has not performed a safety-sensitive function for 90 consecutive calendar days regardless of the reason, AND the employee has been removed from random pool, the employee must take and pass a DOT Pre-Employment drug test (NOT a return-to-duty) before he/she can perform a safety-sensitive function.

8.1.4 Return to Work after 30 Days for Non-Regulated employees not subject to federal guidelines but perform driving duties that is considered sensitive work (MVT Policy)

It is MVT's policy that all non-covered drivers who drive an MV vehicle and has not performed his/her driving functions for 30 or more consecutive days (regardless of reason) the non-covered employee will be required to take and pass another Non-DOT Pre-Employment drug test before he/she can return to his/her driving position.

****For confirmation of regulation authority contact Drug & Alcohol Compliance Department****

8.1.5 Previous Employer Request Requirement

As an employer we are required to verify previous violations of DOT drug and alcohol regulations within the last two years of employment with a DOT regulated agency or employer.

An employer must obtain and review the information listed below from any DOT-regulated employer the employee performed safety-sensitive functions for in the previous two years. The information must be obtained and reviewed prior to the first time an employee performs safety-sensitive functions. If not feasible, the information should be obtained no later than thirty (30) days after the first time an employee performs safety-sensitive functions. The information obtained must include:

1. Information on the employee's alcohol test in which a breath alcohol concentration of 0.04 or greater was indicated.
2. Information on the employee's-controlled substance test in which a positive result was indicated.

3. Any refusal to submit to a required alcohol or controlled substance test. (including verified adulterated or substituted drug test results)
4. Other violations of DOT agency drug and alcohol testing regulations

As the applicant or employee if you have violated any of the DOT drug and alcohol regulations, you must also obtain documentation of your successful completion of the DOT return-to-duty requirements (including proof of follow-up tests administered).

Furthermore, all applicants will be asked whether he or she has tested positive, or refused to test, on any pre-employment drug or alcohol test administered by an employer to which the employee applied for but did not obtain safety-sensitive transportation work covered by DOT agency drug and alcohol testing rules during the past two years.

8.1.6 Pre-employment Breath Alcohol Testing

Although it is not MV Transportation's policy to test for alcohol on a pre-employment test, MVT does have contracts that require a breath alcohol test be conducted in addition to the required drug test. Divisions that are subject to this requirement will have to take a pre-employment breath alcohol test. Breath alcohol testing will be in accordance with DOT Part 40 and 655.42.

8.2 Reasonable Suspicion Testing

All safety-sensitive employees shall be subject to reasonable suspicion testing, to include appropriate urine and/or breath alcohol testing when there is reasonable suspicion to believe that a covered employee has used a prohibited drug and/or engaged in alcohol misuse. A reasonable suspicion referral for testing will be made based on specific, contemporaneous, articulable observations concerning the appearance, behavior, speech, or body odors of the covered employee. Reasonable suspicion tests for the presence of alcohol shall be authorized by observations made just prior, during or immediately after the period of the day in which the employee is required to be in compliance with the requirements of Part 655; and those alcohol tests shall only be conducted just before, during, or just after the performance of a safety-sensitive function. If an alcohol test is not administered within two hours following the determination to test the employee, the employer shall prepare and maintain on file a record stating the reasons the alcohol test was not promptly administered. If the alcohol test is not administered within eight hours following the determination, MVT shall cease attempts to administer an alcohol test and shall state in the record the reasons for not administering the test.

Reasonable suspicion determination will be made by a supervisor, or other company official who has had the required Reasonable Suspicion training to detect and document the signs and symptoms of probable drug use and alcohol use and who reasonably concludes that an employee may be impaired by of a prohibited substance.

Any employee who is required to take a Reasonable Suspicion test will remain off duty until a negative alcohol and drug test is received.

8.3 Post-Accident Testing

Fatal Accidents

As soon as practicable following an accident involving the loss of human life, MV Transportation will conduct drug and alcohol tests on each surviving covered employee operating the public transportation vehicle at the time of the accident. Post accident drug and alcohol testing of the operator is not required under this section if the covered employee is tested under the fatal accident testing requirements of the Federal Motor Carrier Safety Administration rule 49 CFR 382.303 (a)(1) or (b)(1). MV Transportation shall also test any other covered employee whose performance could have contributed to the accident as determined by investigating staff using the best information available at the time of the decision.

Non-Fatal Injury Accidents

As soon as practicable following an accident not involving the loss of human life in which a public transportation vehicle is involved, MV Transportation will drug and alcohol test each covered employee operating the public transportation vehicle at the time of the accident unless investigating staff determine, using the best information available at the time of the decision, that the covered employee's performance can be completely discounted as a contributing factor to the accident.

Accident means an occurrence associated with the operation of a vehicle, if as a result: (1) An individual dies; or (2) An individual suffers bodily injury and immediately receives medical treatment away from the scene of the accident; or (3) With respect to an occurrence in which the transit vehicle involved is a bus, electric bus, van, or automobile, one or more vehicles (including non-FTA funded vehicles) incurs disabling damage as the result of the occurrence and such vehicle or vehicles are transported away from the scene by a tow truck or other vehicle; or (4) With respect to an occurrence in which the public transportation vehicle involved is a rail car, trolley car, trolley bus, or vessel, the public transportation vehicle is removed from operation.

(For exact testing criteria -See Post Accident Testing Procedures Pg. 28)

MV Transportation shall also test any other covered employee whose performance could have contributed to the accident as determined by investigating staff using the best information available at the time of the decision.

MV Policy: When to conduct a NON-DOT Post accident/incident test

If the accident does not meet the FTA/FMCSA testing criteria, MVT will reserve the right to test any safety-sensitive employee after any accident/incident regardless of the severity of the accident/incident. Additionally, MVT will test any other safety-sensitive employee whose performance MVT determines could have contributed to the accident.

Under these circumstances it must be explained to the employee that the drug and alcohol tests will be done under M.V. Transportation authority and should be done on NON-DOT drug and alcohol chain of custody forms.

Any employee who takes a post accident test will remain off duty until a negative drug test and alcohol test result is received.

8.4 Random Testing

Employees performing safety-sensitive functions will be subject to unannounced, random drug and alcohol testing in accordance with FTA regulations. The random drug and alcohol testing rates will be, at a minimum, based on the current FTA and FMCSA requirements at all times. Each such employee shall have an equal chance at selection and shall remain in the pool even after being tested. The basis for random selection shall be by a scientifically valid random number generation method initiated by computer. The dates for administering unannounced testing of randomly-selected covered employees shall be spread reasonably throughout the calendar year, month, week, and all hours that safety-sensitive functions are performed. This ensures that employees would have a reasonable expectation that they might be called for a test on any day they are at work. A covered employee shall only be randomly tested for alcohol misuse while the employee is performing safety-sensitive functions; just before the employee is to perform safety-sensitive functions; or just after the employee has ceased performing such functions. A covered employee may be randomly tested for prohibited drug use anytime while on duty. The employee must proceed to the test site immediately after being notified that he or she has been selected for testing in the allotted time given.

9.0 Consequences

9.1 Positive Alcohol Test

- (a) A safety-sensitive employee who has a confirmed alcohol concentration of 0.02 or greater but less than 0.04 will be removed from his or her duties for eight hours unless a confirmation test results in a concentration measure of less than 0.02. (For a test result which is less than 0.04 no other action will be taken except that which is described in this paragraph.)
- (b) An alcohol concentration of 0.04 or greater or a test refusal will be considered a positive alcohol test. The employee will be immediately removed from duty and referred to a Substance Abuse Professional (SAP) **and terminated from employment.**

9.2 Positive Drug Test

The consequences of a positive drug test or a test refusal are as follows: the employee will immediately be removed from safety sensitive duties, referred to a Substance Abuse Professional **and terminated from employment.**

10.0 MRO Report of a Negative Dilute Specimen

If the MRO informs MVT that a negative drug test was dilute, the employee will be directed to take another test immediately. In some cases, the MRO may require the retest to be performed under "Direct Observation." Each employee directed to take another test, will be given the minimum possible advance notice that he or she must go to the collection site to take another test.

For any employee that is directed to take another test, the result of the second test – not that of the original test – becomes the test of record which MVT will rely on for purposes of this policy. Any employee who is directed to take another test and the employee declines to do so, shall be considered as a refusal to test for purposes of this policy and DOT agency regulations.

Dilute Specimen- A specimen with creatinine and specific gravity values that are lower than expected for human urine.

11.0 Substance Abuse Professional (SAP)

A SAP must meet all the credential, basic knowledge, qualification training, continuing education, and documentation requirements of 49 CFR Part 40, Subpart O, §40.281 (a-e). The SAP will evaluate the employee to determine what assistance the employee needs in resolving problems associated with prohibited substance abuse or alcohol misuse. The SAP will also determine whether an employee has successfully completed a program of rehabilitation.

MV Transportation uses:

American Substance Abuse Professionals, Inc. (ASAP)
Nationwide Network www.go2asap.com
1421 Clarkview Road, Suite 130, Baltimore, Maryland 21209
Contact: Nicole Hanratty, CEAP, SAP, C-DERT
888-792-2727 x177 Mention MV Transportation

This firm is a national company that contains a large network of qualified SAPs throughout the United States. Employees simply call the toll-free number and provide the SAP their city and zip code and the SAP will find them the qualified SAPs closest to their area.

12.0 Training and Education

All employees shall participate in a minimum one-hour training session designed to meet FTA requirements by learning about the effects and consequences of drug use on personal health, safety and the work environment. For those supervisors participating in reasonable suspicion determination testing, there will be at least two hours of training to explain the criteria for reasonable cause testing, including at least an hour on the physical, behavioral and performance indicators of probable drug use and another hour on the physical, behavioral, speech and performance indicators of probable alcohol misuse. Initial training sessions will be re-enforced with educational materials and meetings. Further, employees shall be provided with a community hot-line telephone number.

13.0 Employee Assistance Community Service Hot-Line

The Center for Substance Abuse Treatment maintains a toll-free Referral Helpline
800-662-HELP
National Mental Health Association
800-969-NMHA (6642)
National Domestic Violence Hotline
800-799-SAFE
National Suicide Hotline
800-SUICIDE (784-2433)
National Child Abuse Hotline
800-422-4453

14.0 Records, Confidentiality

A safety-sensitive employee is entitled, upon written request, to review and obtain copies of any records relating to the employee's drug and alcohol testing. MVT must maintain records of its substance abuse program in a secure location with controlled access.

15.0 System Contact

Any questions regarding this policy or any other aspect of MVT's Substance Abuse Management Program should be directed to the office of the following:

Name: Esther Avalos, Director of Drug & Alcohol Compliance
Address: 2711 N. Haskell Ave., Ste. 1500, LB-2, Dallas, TX 75204
Phone Number: 972-391-4616

16.0 Local Authority

Local Division General Managers and Safety Managers are the Designated Employer Representatives (DERs) and are authorized to receive test information from the MRO as well as confirmation test results from the qualified B.A.T.

17.0 Revisions to the Policy and Program

This policy and program are subject to revision in accordance with the Department of Transportation regulations, as amended.

18.0 Zero Tolerance Policy

MV Transportation's "Zero Tolerance" Policy means any covered employee that has a verified positive drug or alcohol test, or test refusal, will be immediately removed from his/her safety-sensitive position, referred to a Substance Abuse Professional (SAP), and **will be terminated.**

EXHIBIT A

Pursuant to the Federal Department of Transportation regulations, the following are the drugs to be tested for, and the threshold levels of each test which MV Transportation is required to accept:

Initial test analyte	Initial test cutoff 1	Confirmatory test analyte	Confirmatory test cutoff concentration
Marijuana metabolites (THCA) 2	50 ng/mL ³	THCA	15 ng/mL.
Cocaine metabolite (Benzoyllecgonine) ...	150 ng/mL ³	Benzoyllecgonine	100 ng/mL.
Codeine/	2000 ng/mL	Codeine	2000 ng/mL.
Morphine		Morphine	2000 ng/mL.
Hydrocodone/	300 ng/mL	Hydrocodone	100 ng/mL.
Hydromorphone		Hydromorphone	100 ng/mL.
Oxycodone/	100 ng/mL	Oxycodone	100 ng/mL.
Oxymorphone		Oxymorphone	100 ng/mL.
6-Acetylmorphine	10 ng/mL	6-Acetylmorphine	10 ng/mL.
Phencyclidine	25 ng/mL	Phencyclidine	25 ng/mL.
Amphetamine/	500 ng/mL	Amphetamine	250 ng/mL.
Methamphetamine		Methamphetamine	250 ng/mL.
MDMA 4/MDA 5	500 ng/mL	MDMA	250 ng/mL.
		MDA	250 ng/mL.

* (ng/mL) nanograms per milliliter

ALCOHOL

(Includes ethanol, methanol, isopropanol)

Breath Alcohol Concentration

(expressed in terms of grams of alcohol per 210 liters of breath)

Initial Screen

Under 0.02

Confirmatory

(given if 0.02 or greater on initial screen)

0.02 to less than .04 employee may not perform safety-sensitive function

EXHIBIT B

The following is a general list of safety-sensitive functions and the job categories of employees who are subject to the provisions of 49 CFR Par 655 and 382 at MV Transportation:

NOTE: This list is subject to change and revision.

49	Maintenance Training Manager	340	Lead Dispatcher	416	Safety Manager	550	Mechanic
87	Safety Assistant	345	Dispatcher	420	BTW Trainer	561	Mechanic A (specify Union Class)
112	Floating Class A Mechanic	346	Window Dispatcher	425	BTW Instructor	562	Mechanic B (specify Union Class)
113	Body Repairman	349	Scheduling Manager	450	Classroom Instructor	563	Mechanic C (specify Union Class)
300	General Manager	350	Scheduler	451	Classroom Trainer	564	Technician A Mechanic
301	General Manager 1	352	Scheduling Coordinator	470	Parts Manager	565	B Mechanic
302	General Manager 2	353	VA Coordinator	471	Assistant Parts Manager	566	Technician C Mechanic
303	General Manager 3	354	Operations Supervisor	475	Parts Clerk	567	Technician Apprentice
304	General Manager 4	355	Road Supervisor	500	Maintenance Manager	568	Technician
310	Division Manager	357	Where's My Ride Supervisor	510	Assistant Maintenance Manager	569	Mechanic Helper
315	Assistant Division Manager	359	Lead Supervisor	512	Maintenance Technician	570	Cleaners
320	Operations Manager	379	Lead Schedule/Dispatcher	514	Bus Stop Maintenance	571	Mechanic Helper
321	Shift Supervisor	399	Call Center Manager	515	Maintenance Clerk	572	Body Shop Technician
322	Assistant Operations Manager	400	Safety and Training Manager	516	Maintenance Supervisor	575	Service Worker
323	Operations supervisor	405	Training Manager	517	Service Employee	580	Utility Crew
330	Dispatch Manager	406	Training Supervisor	518	Advanced Service Employee	584	Station Supervisor
332	Reservations Manager	410	Safety Trainer	519	Entry Level Mechanic	590	Bus Aide
335	Dispatch Supervisor	411	Safety Training Supervisor	520	Shop Foreman	600	Driver Trainer
336	Drive Cam Supervisor	415	Assistant Safety Manager	530	Lead Mechanic	610	Driver

Any MVT employee who has a non-safety-sensitive position, but who may perform a safety sensitive function at any time while they are working will be subject to random testing and will be included in the DOT random testing pool.

Testing Procedures

Note: Testing and collection procedures will be conducted as set forth by 49 CFR Parts 40 (as amended) & 655 & 382. The information on the following pages is meant for general information only for MV Transportation employees. Any questions regarding reference to the regulations should be directed to the policy section of this handbook. A copy of 49 CFR Part 40 is available for review to each employee upon request to their local manager.

This is a “Zero Tolerance” policy and any reference to return to work after a positive test result does not apply to employees affected by this policy. The FTA does not mandate “Second Chance”.

Pre-Employment Testing

1. The FTA regulations require that all applicants for employment in safety-sensitive positions or individuals being transferred to safety-sensitive positions from NON-safety-sensitive positions must be given a pre-employment drug test.
2. Applicants may not be assigned to safety-sensitive functions unless they pass the drug test.
3. Applicants must be informed in writing of the testing requirements prior to conducting the test. **MVT will require applicant to sign a form acknowledging that they know that their urine will be tested for Cocaine, PCP, Amphetamines, Marijuana, and Opioids.**
4. Appropriate personnel at each location will schedule appointments for collection. The employee must be made aware that their placement into a safety sensitive position is contingent upon a negative test result.
5. It is the responsibility of the applicant to report to the collection site at the time and day scheduled.
6. Positive test results must be reviewed by the MRO.
7. Applicants are notified by the MRO of the laboratory results and are given an opportunity to discuss the results.
8. Applicants who test positive will not be hired into a safety-sensitive position.
9. An applicant whose pre-employment test results are negative will continue through the safety-sensitive hiring process.
10. Applicants will be asked whether he or she has tested positive or refused to test on a pre-employment drug or alcohol test while trying to obtain safety sensitive transportation work from an employer covered by DOT agency during the past two years. If applicant admits that he or she had a positive test or a refusal to test, MV will not allow the applicant to perform safety sensitive duties unless and until applicant provides documents showing the successful completion and release from a SAP.

Random Testing Procedures

The FTA regulations require random testing for prohibited drugs and alcohol for all safety-sensitive employees. Random testing identifies those who are using drugs or misusing alcohol but can use the predictability of other testing methods to escape detection. More importantly, it is widely believed that random testing serves as a strong deterrent against employees beginning or continuing prohibited drug use and misuse of alcohol at MVT. MV Transportation has developed procedures for notification and collection to best implement the requirements of the federal rules.

These procedures answer common questions regarding random testing: Who is tested? Why are only some individuals tested? When and how do the tests occur?

1. Random drug and alcohol testing applies only to safety-sensitive employees. Identification numbers for all safety-sensitive employees will be included in a selection pool.
2. Random drug and alcohol testing is accomplished by a scientifically valid, tamper-proof, computer-generated selection process. A random list for testing of employee numbers will be generated every month.
3. Employees are chosen in an unannounced, unpredictable manner. No employee will be removed from the random pool following the next selection, and every employee will continue to be subject to random selection throughout the year. Every employee in the random pool has an equal chance of being selected every time. Employees are only removed from the random pool when they are in rehabilitation programs, terminated or permanently transferred to a non-safety-sensitive position, or expected to be out for at least 90 days or more.
4. Random testing will be conducted on all shifts, all times of day, and all days of the week throughout the calendar year. No shift is exempt from testing.
5. Random drug testing may be conducted concurrently with random alcohol testing or at any time during an employee's shift. Random alcohol testing will be conducted just before the employee is scheduled to perform a safety-sensitive function, while the employee is performing safety-sensitive functions or just after the employee performs a safety-sensitive function. The employee must proceed to the test site immediately after being notified that he or she has been selected for testing in the allotted time given.
6. For both Maintenance and Operations (Drivers) the Divisional Manager in each location will be notified which employees have been selected for testing. Once an employee is notified of his/her selection, he/she must report immediately for the test. Failure to report after notification constitutes a refusal to test. (see procedures for random test notification)
7. Employees will be notified where to report for collection, when to stop work and report to the collection site and who will relieve them, if necessary.
8. The employee must submit to a drug and/or alcohol test. Failure to cooperate with the collection procedure in any way constitutes a refusal to test which has the same consequences as a positive test result.

9. The employee is in a paid status throughout the random testing procedure. Employees will be removed from duty if the results are positive **and employee will be terminated.**
10. If both alcohol and drug tests are being given, the breath alcohol test will be performed first. Immediately thereafter, the urine sample will be collected for the drug test.
11. If there is a confirmed breath alcohol test of between .02% and .039% (inclusive), the employee will be relieved from duty immediately for a minimum of eight (8) hours.
12. If there is a confirmed positive breath alcohol test (.04% or above), the employee will be given the name of a Substance Abuse Professional (SAP) **and terminated.**

Procedures for Random Test Notification

1. The Human Resource Department triggers the selection list of the month's safety-sensitive employees to be scheduled for testing.
2. The local manager will review work schedules, including planned absences when known, to develop a best available time to perform the tests. The local manager will coordinate the testing schedule with the collector.
3. In developing testing times, the goal will be to minimize the impact in service. Testing will be conducted using the following priority periods:
 - Before work,
 - During split time,
 - After work/shift is completed
 - During work, with standby personnel relief.
4. During work, without relief (if no other time is possible).
5. Notification of Employees- The Human Resources Department triggers notification to each location's designated employer representative (DER) via electronic mail. The DER will notify each safety-sensitive employee selected and thus notified. Each employee who is selected is to report to the test site immediately

The employee cannot "go off sick" or on vacation or leave of absence after notification.

6. Collection site personnel shall report "unreasonable delays" to the local DER as employees are required to immediately report to the collection site following notification. Failing to report to the collection site within a reasonable allotted time constitutes a refusal to test.
7. The DER shall confirm with the Regional, Divisional, or Operations Manager that the employee was notified.
8. The DER shall notify the proper management official if an employee fails to report for testing after notification.
9. An employee who fails to report for testing shall be removed from duty immediately. If employee is determined to have "refused to test" he/she face the

same consequences as testing “positive” for drugs/alcohol and will be given the name and number of a SAP and **terminated from employment**.

Collection Procedures for All Tests

All collection procedures shall be performed in accordance with Part 40. Upon notification of a test under this policy;

1. The employee must report to the collection site immediately after notification.
2. The employee shall provide photo identification to collection site personnel. Supervisors will verify the identification of employees without photo identification and may photograph the employee if necessary.
3. The employee must comply with all collection procedures.
4. The employee must follow the directions of the collection staff to ensure that an unadulterated urine specimen is collected, and/or the breath alcohol test is completed.
5. The employee will be in a private enclosure and unobserved unless a direct observed collection is determined to be needed by the MRO, the local DER, or the collector.
6. The employee must supply at least 45 ml of urine (approx. 1 ½ oz). If the employee gives an inadequate amount of urine or if the employee is unable to give a sufficient urine sample collection site staff shall provide the individual with no more than 40oz of fluid to drink during a period of up to 3 hours. The employee will attempt to provide a complete sample using a fresh container. If the required amount is provided, the collection staff will continue with collection process. If the employee is still unable to provide an adequate specimen within three hours of the first unsuccessful attempt to provide the specimen, the collection staff must discontinue the collection, note the facts on the “remarks” line of the CCF, and immediately notify the DER.

Shy Bladder - The term “shy bladder” refers to a situation when the employee does not provide a sufficient amount of urine (45 ml) for a DOT required drug test. If an employee tells the collector, upon arrival at the collection site, that he or she cannot provide a specimen, the collector must still begin the collection procedure regardless of the reason given and direct the employee to make the attempt to provide the specimen.

The employee must be monitored during this time. If the employee leaves the collection site or refuses to make the attempt to provide a sufficient urine specimen, this is considered a refusal to submit to a test.

Failure to produce a sample of urine will result in an immediate referral for an evaluation from a licensed physician within 5 days who can determine in his or her reasonable judgment the safety-sensitive employee’s inability to provide an adequate amount of urine. If no medical reason is found substantiating an inadequate sample, the incident will be treated as a “refusal to test” and will carry the same consequences as a positive test result.

It is MVT's policy that any employee who does not provide a valid specimen during a collection for a test will remain off duty until the employee is cleared from the MRO that the employee had a valid medical reason.

7. If the employee fails to provide an adequate amount of breath for the breath alcohol test, a second attempt will be made. If the Employee, after multiple attempts, fails to produce a sample, the Breath Alcohol Technician (BAT) shall so note in the "Remarks" section of the breath alcohol testing form and immediately inform the DER. The DER will instruct the employee to obtain, as soon as possible but within 5 days after the attempted provision of breath, an evaluation from a licensed physician who is acceptable to the employer concerning the employee's medical ability to provide an adequate amount of breath.
8. Whenever there is reason to believe that an individual has altered or substituted the urine specimen, a second specimen shall be obtained as soon as possible under direct observation of a same gender observer. Reasons may include; temperature of the specimen out of normal range, bluing agent in the specimen.

Substituted Specimen- A specimen with creatinine and specific gravity values that are so diminished that they are not consistent with human urine.

Adulterated Specimen- A specimen that contains a substance that is not expected to be present in human urine, or contains a substance expected to be present but is at a concentration so high that it is not consistent with human urine.

9. If the breath alcohol screening is 0.02 or greater, the breath alcohol technician will wait at least 15 minutes and a maximum of 30 minutes before administering the confirmation test. Even if more than 30 minutes have passed the BAT will still conduct the confirmation test.
10. To ensure that the test results are attributed to the correct covered employee; both specimen bottles must be sealed and labeled in the presence of the donor. The labels must be printed with the same specimen identification number as the custody control form and are attached to the specimen bottles. The donor initials the labels on the vials verifying that the specimen is his or hers.

Reasonable Suspicion Testing Procedures

1. Supervisors and managers receive training to identify behaviors that might be indicators of drug use and/or alcohol misuse. Training includes the procedures for how to deal with employees suspected of drug use and/ or alcohol misuse.
2. If a supervisor observes an appearance, behavior, speech pattern, or body odor of the covered employee that might be indicative of drug use and/or alcohol misuse, he/she directs the employee to stop work and escorts the employee to an area to be questioned and observed in private.
3. The supervisor completes the Reasonable Suspicion Incident Report. The

supervisor must ensure that the employee does not continue to operate in a safety-sensitive function after identified for reasonable suspicion testing.

4. If there is a decision to test based on observable symptoms, the employee is ordered to submit to a drug and alcohol test and is escorted to the collection site.
5. The employee is on paid status until the test collection is completed. **Employee will remain off duty until a negative drug and alcohol test is received.** To the greatest extent possible, arrangements shall be made to have him/her transported home and employee should not be allowed to leave on his/her own recognizance.
6. If there is a confirmed breath alcohol test of between .02% and .039% (inclusive), the employee will be relieved from safety-sensitive duty immediately for a minimum of eight (8) hours. If there is a confirmed positive breath alcohol test (.04% or greater) and/or confirmed positive drug test, or refusal to test, the employee shall be provided the name and number of a SAP and the employee **will be terminated.**
7. If the employee's drug test is confirmed negative by the MRO and/or the BAT test is below 0.02 the employee will be allowed to return to work and will be paid for any time missed.

Post-Accident Testing Procedures

The FTA regulations require testing for prohibited drugs and alcohol in the case of certain public transportation accidents. Post-accident testing is mandatory for accidents where there is a loss of life and for other non-fatal accidents.

1. The supervisor ensures that all injured people receive proper medical care. Nothing in this section shall be construed to require the delay of necessary medical attention for the injured following an accident or to prohibit a covered employee from leaving the scene of an accident for the period necessary to obtain assistance in responding to the accident or to obtain necessary emergency medical care.
2. The supervisor determines whether the accident meets FTA criteria using MVT's "Post Accident Decision Checklist Form".
3. If the accident meets the FTA/DOT criteria a DOT post accident drug and alcohol test will be conducted immediately. The employee will be taken to the collection site and tested as soon as practicable following the accident. The employee should remain readily available for alcohol testing up to 8 hours and for drug testing up to 32 hours after the accident, including notifying his/her supervisor of his/her location or he/she may be deemed to have refused to submit to testing if he/she does not make him/herself readily available for testing.
4. **Once the tests have been completed the employee will remain off duty until a negative drug and alcohol test is received.**
5. If the employee is not tested within two hours for alcohol, the supervisor must document the reason for the delay, and if test is not conducted in 8 hours, the DER shall cease all further attempts and update the records as to the reason(s)

why the test was not completed. If the 32 hours have passed the DER shall cease all further attempts to complete the drug test.

6. If the employee refuses to be tested, or the breath alcohol test is .04 or greater, or if the drug test is confirmed positive, the employee is immediately removed from duty, the Sap will find them the qualified SAPs closest to their area and **will be terminated**.

Post -Accident Testing Criteria

It should be noted that a post-accident test is given because the incident meets the criteria listed below. It is NOT a probable cause or reasonable suspicion test. An accident (§ 655.4) is defined as an occurrence associated with the operation of a vehicle in which:

1. An individual dies.
2. An individual suffers a bodily injury and immediately receives medical treatment away from the scene of the accident.
3. With respect to an occurrence in which the public transportation vehicle involved is a bus, van or automobile, one or more vehicles incurs disabling damage as the result of the occurrence and is transported away from the scene by a tow truck or other vehicle. For purposes of this definition, “disabling damage” means damage which precludes departure of any vehicle from the scene of the occurrence in its usual manner in daylight after simple repairs.

(Inclusions) Disabling damage includes damage to vehicles that could have been operated but would have been further damaged if so operated.

(Exclusions) damage which can be remedied temporarily at the scene of the occurrence without special tools or parts, tire disablement without other damage even if no spare tire is available, or damage to headlights, tail-lights, turn signals, horn, or windshield wipers that makes them inoperative.

4. With respect to an occurrence in which the public transportation vehicle involved is a rail car, trolley car, trolley bus, or vessel, the public transportation vehicle is removed from operation.
5. The FTA has determined that “**LIFTS**” constitute equipment used in revenue service and their operation is essential to the operation of the vehicle and protection of public safety, their operation shall now be included in the accident definition.

To determine if a test should be administered under this section, always use MV Transportation’s “Post Accident Decision Checklist”. This form should be used for all accidents in determining whether a test will be done under DOT authority.

Prohibited Drugs and Alcohol Misuse

MVT is required to ensure that all covered employees receive at least 60 minutes of training and discussion on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use. The information below shall assist in providing statistics and examples of substance abuse in the work force and the signs and symptoms of such use.

A study conducted showed 75 percent of illicit drug users 18 and older are employed, which amounts to about 10 million U.S. workers. On a daily basis, based on 250 work days in a year, at least 42,000 Americans are coming to work stoned or are getting “high” while on the job.

Studies and statistics show that:

1. Every 23 minutes a death occurs as a result of a drug or alcohol related accident.
2. A typical abuser is:
 - a. Late to work 3 times more often
 - b. Requests twice as much time off
 - c. Is absent 2 1/2 times more than average
 - d. Uses 3 times as many sick benefits
 - e. Collects 5 times as much worker's comp
 - f. Has 300% higher medical costs/benefits

If these statistics haven't convinced you that the problem is serious, let's look at a few more.

A national survey once reported that:

1. 19% of all children over the age of 12 had used some type of illegal drug
2. 65% of 18 to 25-year olds had used some type of illegal drug
3. 30 to 40 million Americans stated they had used cocaine
4. By age 17, 70% of American teenagers had tried alcohol

As you can see, drug and alcohol abuse is a serious problem, having a major effect on all our lives. Even though you may not be abusing drugs or alcohol, you are affected by the results of drug and alcohol abuse in our society. You pay higher medical costs to help cover the costs for abusers who cannot afford the cost of treatment. You pay higher insurance costs to help fund the drug and alcohol abuse programs paid for by insurance companies. The material and services you buy cost more because of decreased worker productivity, as well as increased cost to employers.

This section is designed to provide you with a brief overview of the seriousness of using controlled substances and alcohol. It also provides education on the signs, symptoms and effects of the illicit drugs that you will be tested for. Your employer has taken great measures to assure you of a safe working environment. Please review this booklet in its entirety to educate yourself on drug and alcohol in the workplace. When you have completed reading this material, you will better understand the need for a drug-free workplace.

The drugs for which you will be subject to testing include:

- Amphetamine
- Cocaine
- Marijuana
- Opioids
- Phencyclidine (PCP)
- Alcohol (by evidential breath testing device only)

Facts about Amphetamines

Amphetamines (methamphetamine, MDMA-ecstasy) are central nervous system stimulants. They tend to make people “hyper” and “jumpy”. They can be taken either orally or injected. They are often used by people to stay awake and to counteract the effects of drowsiness. They are especially dangerous to take while performing safety-sensitive tasks or driving.

Ecstasy, MDMA (3,4 methylenedioxymethamphetamine), is a synthetic, psychoactive drug that is chemically similar to the stimulant methamphetamine and the hallucinogen mescaline. MDMA causes an increase in serotonin which plays an important role in the regulation of mood, sleep, pain, appetite, and other behaviors.

Some heavy MDMA users experience long lasting confusion, depression, and selective impairment of working memory and attention processes. Ecstasy users make extremely dangerous drivers. They can exhibit the same impairments as amphetamine, heroin, cocaine, and hallucinogen users.

Signs and Symptoms of Amphetamine Use

- ◆ Hypersensitivity
- ◆ Exhaustion
- ◆ Dilated Pupils
- ◆ Grinding teeth
- ◆ Loss of appetite and immediate weight loss
- ◆ Dry mouth
- ◆ Excessive talking

Effects on Person

- ◆ More likely to take risks
- ◆ Impaired judgement

Facts about Cocaine

Cocaine also stimulates the central nervous system. It gives the user an intense feeling of well-being, or euphoria, known as a “high”. The “high” will last for 10 to 60 minutes. A more potent form of the drug called “crack” cocaine is especially addicting and dangerous. Although it’s “high” lasts only about 5 to 8 minutes, “crack” cocaine can be addicting after only one use, and cause death the first time it is used. Cocaine can be injected, snorted, or free-based. Snorting is sniffing the drug up the nose, and free-basing is done by heating the drug and inhaling the vapors.

Signs and Symptoms of Cocaine Use

- ◆ Mood swings
- ◆ Weight Loss
- ◆ Restlessness: Difficulty sitting or standing in one place
- ◆ Depression
- ◆ Nose bleeds
- ◆ Irritable, angry, nervous, angers easily
- ◆ Bad breath
- ◆ Euphoric feeling
- ◆ Running nose, uncontrollable sniffing

Effects on Person

- ◆ Slowed reaction time
- ◆ Distorted vision and depth perception
- ◆ Slow to make decisions
- ◆ Unable to correctly measure time and distance

Facts about Marijuana

Marijuana is a depressant and mind-altering drug. Marijuana does not depress the central nervous system’s reaction, it works on the brain. Mind altering means it causes hallucinations. It can be eaten or smoked. Street names for marijuana are “dope”, “grass”, “joint”, “hash”, or “hooch”.

Tests have shown that people’s reflexes and thought processes are slower under the influence of marijuana. The effects of this drug are longer lasting than first thought. In fact, impairment can last more than 24 hours after using marijuana. The body actually stores the drug for days, weeks, and in some cases, months, depending on the frequency of use.

Signs and Symptoms of Marijuana Use

- ◆ Dilated pupils
- ◆ Slowed reflexes
- ◆ Giddiness
- ◆ Slowed thinking
- ◆ Moodiness
- ◆ Trance-like state
- ◆ Impaired vision
- ◆ Reduced feeling of pain
- ◆ Odor of burning
- ◆ Short-term memory loss
- ◆ Loss of concentration
- ◆ Unable to sleep after prolonged use

Signs To Look For

- ◆ Cigarette rolling paper
- ◆ Dried plant material, either crumbled or pressed
- ◆ Roach clip (device to hold joint)
- ◆ Hash pipe (very small pipe)

Facts about Opioids

Opioids are classified as a narcotic analgesic. They tend to have a sedating, calming effect, and act as a depressant to the central nervous system. Opioids are more commonly known as morphine, codeine, hydrocodone, hydromorphone, oxycodone, oxymorphone, and heroin. Street names for Opioids are “junk”, “smack”, “horse”, and “brown sugar”. Opioids are prescribed by doctors to relieve pain, they can either be taken orally, injected or smoked. Some common names for these semi-synthetic opioids include OxyContin®, Percodan®, Percocet®, Vicodin®, Lortab®, Norco®, Dilaudid®, Exalgo®.

When the drug is injected, the user feels an immediate “rush”, usually followed by a very relaxed and soothing feeling. However, some Opioids can cause very unpleasant side effects such as nervousness, nausea, and restlessness, and if taken in excess, may cause coma or death.

Signs and Symptoms of Opioid Use

- ◆ Mental confusion

- ◆ Slurred speech
- ◆ Unsteadiness
- ◆ Hostility
- ◆ Memory loss
- ◆ Drowsiness
- ◆ Excess talking
- ◆ Euphoria
- ◆ Depression
- ◆ Short attention span
- ◆ Cold, moist or bluish skin
- ◆ Reduced feeling of pain

Effects on Person

- ◆ Lack of concentration – Day dreaming
- ◆ Distorted sense of time and distance
- ◆ Distorted vision

Facts about Phencyclidine (PCP)

Phencyclidine, commonly called “Angel Dust”, is known as a dissociative anesthetic. Users of PCP may experience hallucinations and signs of intoxication. They may not be able to focus their attention or will experience confusion and lack of coordination.

Although PCP has immediate short-term effects, it is also known for its long-term effect of causing psychotic behavior often associated with violent acts. Other street names for PCP include “hog”, and “crystal”. PCP may be smoked, snorted or injected.

Signs and Symptoms of PCP Use

- ◆ Delusions
- ◆ Confusion
- ◆ Panic
- ◆ Increased blood pressure
- ◆ Anxiety
- ◆ Flashbacks

Effects on Person

- ◆ More likely to take risks
- ◆ Impaired coordination
- ◆ Aggressive actions

Facts about Alcohol

Alcohol is a socially acceptable drug that has been consumed throughout the world for centuries. It is considered a recreational beverage when consumed in moderation for enjoyment and relaxation during social gatherings. However, when consumed primarily for its physical and mood-altering effects, it is a substance of abuse. As a depressant, it slows down physical responses and progressively impairs mental functions.

Signs and Symptoms of Use

- ◆ Dulled mental processes
- ◆ Lack of coordination
- ◆ Odor of alcohol on breath
- ◆ Possible constricted pupils
- ◆ Sleepy or stuporous condition
- ◆ Slowed reaction rate
- ◆ Slurred speech

(Note: Except for the odor, these are general signs and symptoms of any depressant substance.)

Health Effects

The chronic consumption of alcohol (average of three servings per day of beer [12oz], whiskey [1oz], or wine [6oz glass] over time may result in the following health hazards:

- ◆ Decreased sexual functioning
- ◆ Dependency (up to 10% of all people who drink alcohol become physically and/or mentally dependent on alcohol and can be termed “alcoholic”)
- ◆ Fatal liver diseases
- ◆ Increased cancers of the mouth, tongue, pharynx, esophagus, rectum, breast, and malignant melanoma.
- ◆ Kidney disease, Pancreatitis, Ulcers
- ◆ Spontaneous abortion and neonatal mortality
- ◆ Birth defects (up to 54% of all birth defects are alcohol related).

Workplace Issues

- ◆ It takes one hour for the average person (150 pounds) to process one serving of an alcoholic beverage from the body.
- ◆ Impairment in coordination and judgment can be objectively measured with as little as two drinks in the body.
- ◆ A person who is legally intoxicated is 6 times more likely to have an accident than a sober person.



**ACKNOWLEDGEMENT
OF
EMPLOYER'S DRUG AND ALCOHOL TESTING POLICY**

I, _____, the undersigned, hereby
Print Full Name

acknowledge that I have received a copy of the anti-drug and alcohol misuse program policy mandated by the U.S. Department of Transportation, Federal Transit Administration for all covered employees who perform a safety-sensitive function. I understand this policy is required by 49 CFR Part 655, as amended, and has been duly adopted by the governing board of the employer. Any provisions contained herein which are not required by 49 CFR Part 655, as amended, that have been imposed solely on the authority of the employer are designated as such in the policy document.

I further understand that receipt of this policy constitutes a legal notification of the contents, and that it is my responsibility to become familiar with and adhere to all provisions contained therein. I will seek and get clarification for any compliance with all provisions contained in the policy. I also understand that compliance with all provisions contained in the policy is a condition of employment.

I further understand that the information contained in the approved policy dated April 1, 2018 is subject to change, and that any such changes, or addendum, shall be disseminated in a manner consistent with the provision of 49 CFR Part 655, as amended.

I hereby acknowledge that I have participated in and completed the required minimum 60 minutes of training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use in accordance with Part 655.14(b)(1) and in addition, to the training, this policy and handbook was reviewed.

I further acknowledge that I have been advised of the consequences for safety sensitive employees who violate the testing requirements.

Signature of Employee

Date

Print Name



Return to Work Less than 30 Days

Employee Name (Print): _____ Employee Number: _____

EE Job Title: _____ Division Name/#: _____

Safety Meetings Reviewed	Months Reviewed	Quiz Score %
	April 2020	_____
	May 2020	_____
	June 2020	_____
	July 2020	_____

Safety Meetings	_____	hours
Road Evaluation	_____	minutes (minimum of 30 minutes)
DriveCam 9+ Events Coaching and Counseling	_____	minutes
Total Time	_____	hours and _____ minutes

Driving Evaluation (must be a minimum of 30 minutes)

- Operator must watch videos and review applicable material for Safety Meetings which he/she has missed during their leave from MV Transportation.
- Operator must review and be coached on DC events with a score of 9+.
- Operator must demonstrate proficiency on all aspects of the road evaluation.

Note: Road Evaluation and all other applicable training documents to be attached to this record.

☐ As a MV Transportation Professional Operator Instructor/Supervisor, I recommend this student be release back into revenue service.

☐ This student has NOT satisfactorily demonstrated that he or she has mastered the required standards. As required this student must go through the 31-60 day training curriculum.

Trainee - By signing below, I acknowledge that I'm familiar with MV Transportation's safety programs and know what's expected of me in order to perform my job in a safe manner. I AM COMMITTED TO SAFETY!

Employee Signature

Date

Trainer - By signing below, I acknowledge that this employee has completed all required classroom training and passed a Road Evaluation.

Trainer Name (print)

Date

Trainer Signature



Return to Work 31-60 Days

Employee Name (Print): _____ Employee Number: _____

EE Job Title: _____ Division Name/#: _____

Classroom Training

Subject Matter	Time (Hours)	Module	Date Completed	Trainee Initials
Intersections	30 mins	16	_____	_____
Pedestrian & Bicyclists	30 min	25	_____	_____

Safety Meetings Reviewed	Months Reviewed	Quiz Score %
	April 2020	_____
	May 2020	_____
	June 2020	_____
	July 2020	_____

Total Classroom	_____ 1 _____	hour(s)
Safety Meetings	_____	hour(s)
DriveCam 9+ Events Coaching and Counseling	_____	minutes
Road Evaluation	_____	minutes (minimum of 30 mins)
Total Time	_____	hours and _____ minutes

Road Evaluation (must be a minimum of 30 minutes)

- Operator must complete classroom training.
- Operator must watch videos and review applicable material for Safety Meetings which he/she has missed during their leave from MV Transportation.
- Operator must review and be coached on DC events with a score of 9+.
- Students must demonstrate proficiency on all aspects of the road evaluation.

Note: Road Evaluation and all other applicable training documents to be attached to this record.

☐

As an MV Transportation Professional Operator Instructor/Supervisor, I recommend this student be released back into revenue service.

☐

This student has NOT satisfactorily demonstrated that he or she has mastered the required standards. As required this student must go through the 61-90 day training curriculum.

Trainee - By signing below, I acknowledge that I'm familiar with MV Transportation's Defensive Driving Program and prepared to go back into revenue service. I AM COMMITTED TO SAFETY!

Employee Signature

Date

Trainer - By signing below, I acknowledge that this employee has completed all required classroom training and passed a Road Evaluation.

Trainer Name (print)

Date

Trainer Signature



Return to Work 61-90 Days

Employee Name (Print): _____ Employee Number: _____

EE Job Title: _____ Division Name/#: _____

Classroom Training

Subject Matter	Time (Hours)	Module	Date Completed	Trainee Initials
LLC Defensive Driving	30 mins	15	_____	_____
Intersections	30 mins	16	_____	_____
Pedestrians & Bicyclists	30 mins	25	_____	_____
Mobility Device Securement	45 mins	31	_____	_____

Safety Meetings Reviewed

Months Reviewed

Quiz Score %

April 2020

May 2020

June 2020

July 2020

Total Classroom	_____ 2 _____	hour(s) and _____ 15 _____	minutes
Safety Meetings	_____	hour(s)	
DriveCam 9+ Events Coaching and Counseling	_____	minutes	
Road Evaluation (field)	_____	minutes (minimum of 30 minutes)	
Total Time	_____	hours and _____	minutes

Road Evaluation (must be a minimum of 30 minutes)

- Operator must complete classroom training.
- Operator must watch videos and review applicable material for Safety Meetings which he/she has missed during their leave from MV Transportation.
- Operator must review and be coached on DC events with a score of 9+.
- Operator must demonstrate proficiency on all aspects of the Road Evaluation.

Note: Road Evaluation and all other applicable training documents to be attached to this record.

☐

As an MV Transportation Professional Operator Instructor/Supervisor, I recommend this student be released back into revenue service.

☐

This student has NOT satisfactorily demonstrated that he or she has mastered the required standards. As required this student must go through the Like Service training curriculum.

Trainee - By signing below, I acknowledge that I'm familiar with MV Transportation's safety programs and know what's expected of me in order to perform my job in a safe manner. I AM COMMITED TO SAFETY!

Employee Signature

Date

Trainer - By signing below, I acknowledge that this employee has completed all required classroom training and passed a Road Evaluation.

Trainer Name (print)

Date

Trainer Signature



Return to Work - Safety Leadership – BTWs and Road Sups

Employee Name (Print): _____ Employee Number: _____

EE Job Title: _____ Division Name/#: _____

Classroom Training

Subject Matter	Time (Hours)	Module	Date Completed	Trainee Initials
LLC Defensive Driving	30 mins	15	_____	_____
Intersections	30 mins	16	_____	_____
Pedestrians & Bicyclists	30 mins	25	_____	_____
Road Supervisor Obs. Techs.	30 mins	pg. 8-11 & CD	_____	_____
Road Supervisor Obs. Techs.	15 mins	Test (pg. 11)	_____	_____

Safety Meetings Reviewed Months Reviewed Quiz Score %

April 2020	_____
May 2020	_____
June 2020	_____
July 2020	_____

Total Classroom	_____ hours and _____ minutes
Safety Meetings	_____ hour(s)
DriveCam Trend and Risky Driver Review	_____ minutes
Road Supervisor Observation Techniques – pg 8-11 & corresponding CD	_____ minutes
Road Supervisor Observation Techniques – Take Test (pg 11)	_____ minutes
Certificate Review (Reasonable Suspicion, BTW, Road Sup)	_____ minutes
Total Time	_____ hours and _____ minutes

- Employee must complete classroom training.
- Employee must watch videos and review applicable material for Safety Meetings which he/she has missed during their leave from MV Transportation.
- Employee must review DC trends and current priorities based off risky behaviors / risky operators.
- Employee must complete a refresh of performing a Road Evaluation, found in the Road Supervisor manual on pg 8 – 11.
- Employee must successfully pass test on performing a Road Evaluation, found in the Road Supervisor manual on pg 11.
- Employee must be up-to-date on certificates, including Reasonable Suspicion, Road Supervisor and BTW. If Road Sup or BTW certificate is more than 12 months old, schedule for retraining within 60 days of RTW.

Note: All other applicable training documents to be attached to this record.

- ☐ As an MV Transportation Professional Operator Supervisor/Manager, I recommend this student be released back into revenue service.
- ☐ This student has NOT satisfactorily demonstrated that he or she has mastered the required standards. As required this student must go through a more in-depth training curriculum with the Safety Manager and / or Safety Director.

Trainee - By signing below, I acknowledge that I'm familiar with MV Transportation's safety programs and know what's expected of me in order to perform my job in a safe manner. I AM COMMITTED TO SAFETY!

Employee Signature

Date

Manager - By signing below, I acknowledge that this employee has completed all required training and is up-to-date on certifications.

Manager Name (print)

Date

Manager Signature



Return to Work - Dispatchers

Employee Name (Print): _____ Employee Number: _____

EE Job Title: _____ Division Name/#: _____

Classroom Training

Subject Matter	Time	Date Completed	Trainee Initials
Technical Refresher Training (Dispatch Software, Forms, Scripts, etc.)	_____	_____	_____
Review Changes to Policies (Social Distancing, PPE, Fares, etc.)	_____	_____	_____
1 Hr of Customer Service Refresher Training	_____	_____	_____
Missed MVU Courses (Cybersecurity, etc.)	_____	_____	_____

Safety Meetings Reviewed	Months Reviewed	Quiz Score %
--------------------------	-----------------	--------------

	April 2020	_____
	May 2020	_____
	June 2020	_____
	July 2020	_____

Total Classroom	_____ hours and _____ minutes
Safety Meetings	_____ hour(s)
Total Time	_____ hours and _____ minutes

- Employee must watch videos and review applicable material for Safety Meetings which he/she has missed during their leave from MV Transportation.
- Employee must review and demonstrate proficiency in a technical refresher training, to include a refresher of dispatch software, review of forms and scripts, etc.
- Employee must review and be aware of all changes to policies, including but not limited to social distancing policies; number passengers per vehicle; PPE required by passengers or employees; fare collection; how to board a vehicle; any other changes that may have taken place.
- Employee must complete a 1-hour refresher of customer service training.
- Employee must be up-to-date on their Reasonable Suspicion certificate, if applicable.
- Employee must complete any missed courses in MV University, such as Cybersecurity training.

Note: All other applicable training documents to be attached to this record.

☐ As an MV Transportation Professional Operator Instructor/Supervisor/Manager, I recommend this student be released back to work.

☐ This student has NOT satisfactorily demonstrated that he or she has mastered the required standards. As required this student must go through more in-depth training curriculum with the manager.

Trainee - By signing below, I acknowledge that I'm familiar with MV Transportation's safety programs and know what's expected of me in order to perform my job in a safe manner. I AM COMMITTED TO SAFETY!

Employee Signature

Date

Manager - By signing below, I acknowledge that this employee has completed all required training and is up-to-date on certifications.

Manager Name (print)

Date

Manager Signature

Driver Name**POST ACCIDENT RETRAINING**

Classroom	Module #	Fixed Object	Pulled Out	Roll Away	Intersection	Pedestrian	Hit Other in Rear	Head On Collision	Cyclist	Sideswipe	Hit at RR Tracks	Hit in Rear	Backing	Hit While Stopped	Drowsy/Fatigue
The Katherine McClary Story	2		X		X	X			X						
MV Transportation Professional	3	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Fatigue Management	6						X								X
On the Road	13	X	X	X	X	X	X	X	X	X	X	X		X	X
The Basics of Safety	14	X	X	X	X	X	X	X	X	X	X	X	X	X	X
LLLC - Defensive Driving	15	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Mirrors & Reference Points	18	X	X		X	X	X	X	X		X		X		
Following Distance	20						X		X						
Backing Basics	21	X			X		X			X				X	
Intersections	22				X	X	X	X	X		X		X		
Changing Lanes, Merging & Passing	23		X		X	X	X	X		X				X	
Railroad Crossings	24						X	X	X	X	X				
Pedestrians	25		X		X										
Special Conditions	26					X		X							
LLLC															
Slips Trips and Falls		X													X
Distracted Driving		X	X		X	X	X		X	X	X				
Pedestrians/Cyclists															
Avoiding Fixed Objects		X	X		X										
Left Turns/Pedestrians															
Right Turns/Pedestrians															
BTW															
➤ BTW															
➤ Road Test Eval															

NOTES:

Employee Signature

Trainer Signature

Employee Signature

Trainer Signature



#44 LIVERMORE ANNUAL DRIVER RECERTIFICATIONS
2019

Employee Name (print): _____

Employee Number: _____ Division #: _____

Drivers Initials:

Date completed:

Subject:

W/C Recertification

Mirror Station

Pre-Trip Inspection

Air Brake Test

Right/Left Turns

Ride/Road Check

****Note:** Drivers must demonstrate proficiency on all aspects of the recertification subjects above

_____ This Driver has satisfactorily demonstrated that he/she has mastered the subjects listed

_____ This Driver has not passed some/all subjects listed above. Needs retraining.

By signing below, we acknowledge that the Driver has been trained and is familiar with the above noted subjects and meets the minimal requirements for this locations annual recertification process.

Drivers Signature

Date

Safety Manager

Operator Requirements and Training Program

Prior to Proposer starting revenue service, training shall be given to each of the Proposer's employees or subcontractors, as appropriate. Training must be performed by a certified Operator trainer. Operators must meet minimum qualifications outlined below.

Certified Operator Trainer

Certified Operator Trainer must have either a State of California Department of Education Instructor's Certificate or a Department of Transportation Instructor's Certificate.

Operator/Operator's Licenses

Operators must have Department of Motor Vehicles Class B or C Operators' licenses, as appropriate, with passenger endorsements current medical certificate (DL-51), and hold a current Verification of Transit Training (VTT) certificate.

Pull Notice Program

All persons operating LAVTA equipment shall be on the DMV Pull Notice Program. Any "Notice of Action" on a Operator's record shall be reviewed by the certified Operator trainer. Review of operators' commercial license records is mandatory.

New Bus Operator/Operator Training For Commercial Class B or C License

Those bus Operators without prior transit coach or charter coach driving must complete a training program that results in qualifying for a Class B or C, as appropriate License and training verification.

All State of California, California Highway Patrol, Department of Motor Vehicles, and Department of Transportation requirements shall be included in the new bus Operator training program.

No prospective or present employee of Proposer who tests positive on the drug/alcohol screening test shall be assigned to LAVTA service.

Training for Existing Certified Operator/Operators

Operators with an existing Class B certified license that have at least three months experience with transit coaches shall have minimum of sixteen (16) hours of training on the specific vehicles used in all of LAVTA's services. Those Operators without at least three months transit coach experience should have at least forty (40) hours of behind the wheel training on the specific vehicles in LAVTA service. Minimum training hours required shall be in non-revenue service.

Supplemental Training for All Operators

- All Operators, regardless of prior experience, must be given route specific training. At least sixteen (16) hours of actual driving for each route must be included.

- A minimum of four (4) hours of classroom instruction on the following: vehicle code, radio procedures, accident procedures, Operator vehicle and schedule assignments, and employee rules and regulations.
- A minimum of four (4) hours of classroom instruction of the following: fares, monthly pass sales, transfer use and procedures, regional transit information and other pertinent customer operating procedures. Operators shall obtain through training a good working knowledge of the regional public transit system. Operators shall be informed on an ongoing basis of transit service changes.
- A minimum of four (4) hours of classroom instruction of the following: customer courtesy and safety procedures and techniques for handling customer complaints and handling of Operator-passenger confrontations and sensitivity training.
- A one (1) hour plus orientation to LAVTA policies and requirements for operating performance including completed trips, on-time performance, and liquidated damages/performance bonuses.
- All Operators must receive and pass the eight hour minimum National Safety Council Defensive Driving Courses or equivalent.
- An additional eight hours of training shall be devoted to the operations of lift equipment and sensitive and courteous treatment of persons with disabilities. The lift training shall include instruction on the operation of lifts and securements, experience boarding and alighting individuals in wheelchairs under various conditions and empathy training to help operators gain insight into the special needs and specific obstacles persons with disabilities may encounter using public transportation. Note that all Operators, fixed route, Dial-A-Ride, and Demand Area Responsive Transit, undergo this training.
- Red Cross First Aid Training is an option which may be completed within fifteen (15) days after start of Operator's service.

Operators' Rules and Regulations

Uniforms/Appearance. Uniforms must be worn at all times when on duty.

Proposer shall provide and maintain clean, identical uniforms for all Operators and shall enforce dress and appearance requirements, also subject to approval of LAVTA. At a minimum, dress requirements shall include:

- Clean, identical (currently blue and white striped) shirts for all Operators.
- Clean, identical, dark solid color jackets or sweaters for all Operators for use during cold or rainy weather.
- Clean, identical, professionally made identification tags, including WHEELS logo and Operator name.
- WHEELS patch on the right sleeve of the shirt and jackets.
- Clean, dark solid color full-length pants/trousers, clean, dark, matching socks and clean, dark solid shoes for all male Operators.
- Clean, dark solid color full-length pants/trousers (or clean, dark solid skirts), and clean dark color shoes for all female Operators.
- Proposer may propose alternative summer uniforms for Operators subject to LAVTA approval.
- All shirts/blouses tails must be tucked into the Operators' pants/trousers (or skirts).

- Operators must have neatly groomed hair and maintain neat appearance. For safety reasons Operators with hair longer than shoulder length will be required to have it pulled back and secured.
- Proposers may specify equivalent alternate dress and appearance codes, subject to LAVTA's prior approval.

Operator Rules

- While in uniform, a Operator will not purchase, consume or be under the influence of any narcotic, intoxicant or harmful drug.
- A Operator will be responsible for keeping the vehicle clean and sanitary during his/her shift.
- Operators are responsible for immediately reporting any defects their assigned vehicle may have to the supervisor.
- Operators must conduct themselves and operate their assigned run in a safe vehicle and courteous manner at all times.
- Operators may use vehicles only in accordance with their assigned duties.
- Operators are responsible for displaying proper destination signs while in service.
- Operators providing service must travel over the prescribed routes and must maintain time schedules. If it becomes necessary to go off route, the employee will first immediately notify his/her supervisor via radio or phone to receive direction. No run will be cut short.
- Operators will report to the dispatchers any unusual occurrences observed on the road and any vandalism or damage to LAVTA property.
- Operators shall not accept gratuities.
- Operators may not talk on cell phones while their vehicle is in service or in motion.
- Operators may not eat or drink while operating their vehicle. Beverages must be in an approved container.

In-Service Training

- Operators should receive at least one (1) hour of pure safety training each month by a certified trainer. Proposer should be prepared to submit to LAVTA safety meeting topics and attendance lists.
- Proposer trainer shall conduct a one (1) hour evaluation check ride with each Operator at least once every three months. This is a minimum. Additionally, random follow-ups should be performed on all Operators. LAVTA should be provided with certification that ride checks have been performed.
- Proposer shall conduct a one (1) hour refresher training in proper use of wheelchair lift procedures and use of all wheelchair securement devices with each LAVTA fixed route, Dial-A-Ride, and Demand Area Responsive Transit service bus Operator at least once every six (6) months. All Operators should receive refresher sensitivity training annually. These are minimum training goals.
- Operators are to receive refresher presentations on a regular basis on emergency procedures and emergency preparedness so that they will be prepared to respond in a major disaster.

- Proposer shall require operator's attendance at a Planning and Marketing/Public Outreach meeting no less than once per quarter. These meetings may be monthly at LAVTA's discretion.

Safety

Operators shall conduct themselves with the highest regard for passenger safety and comfort, including but not limited to:

- Yield even though they may not have the right-of-way.
- Follow National Safety Council Defensive Driving Course practices.
- All information regarding any system accident is confidential. Employees will only speak to police or supervisory personnel regarding any such accident.
- Operators shall report unsafe conditions to the dispatcher or supervisor for immediate attention

Intelligent Transportation Systems Training Requirement

LAVTA owns and operates several pieces of technology which are designed to provide excellent customer service information to patrons and assist staff with the daily management of the system. Operators are a critical piece of this puzzle and Contractor shall ensure that all operators are properly trained in all pieces of technology currently (and in the future) in use. These systems have been listed and described in previous citations within this solicitation. Contractor shall conduct mandatory retraining of operators if deficiencies with use of technology are noted. Contractor shall also provide periodic retraining classes to re-fresh operators who may not use technology as frequently as others. Proposers who elect to use "approved equal" technology must train Operators on their use and ensure the use is as intended by the Proposer.

Physical Examinations

Proposer shall provide Proposer's Operators' medical examinations at Proposer's expense at a certified medical facility, and Proposer shall not permit any Operator who has not successfully passed such examination to operate a vehicle in any service included in this Agreement. Medical examinations must be sufficient to meet the medical requirements to qualify for a Class B or C, as appropriate, certificate issued by the California Department of Motor Vehicles. Operators must have in their possession when operating a vehicle a valid Class B or C, as appropriate license, current medical card (DL-51) with current medical form on file with DMV.

Additional Requirements

- LAVTA may revise operating procedures, fare policies, and employee's rules and regulations based on specific incidents or general policy development. LAVTA may request Proposer input, when necessary, to make changes to the operating procedures and rules and regulations included within this Agreement.
- Proposer shall supply LAVTA with a list of Operators who have completed the specified Operator training program for all LAVTA's routes. This list shall be updated at least monthly and as additional Operators are trained.
- A meeting of all affected personnel of the Proposer shall be held prior to system start-up or service changes when so requested by LAVTA. No more than four (4)

such meetings will be requested during any one (1) year period. LAVTA shall be permitted to attend these meetings if so requested by LAVTA.

- LAVTA shall be able to request that specific Operator(s) be replaced for failure to follow the Operator's Rules or LAVTA's Customer Service Policies: (Section 6 of this Attachment) or other reasonable cause.



Maintenance / Shop Safety Handbook

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INTRODUCTION

The Company makes every effort to maintain pleasant, safe working conditions and to prevent accidents and injuries. Machines and equipment are fitted with mechanical safeguards, and safety instructions are given through job training, inspections and safety posters.

The safety of each employee is important to the Company. While the overall responsibility for safety lies with the supervisors, all employees are requested to help prevent accidents by assuming individual responsibility in the use of safety equipment and by following instructions carefully. Any condition which is believed to be unsafe should be reported to the employee's supervisor. All personnel are asked to become familiar with the exits and the location of fire extinguisher equipment nearest their area of work.

All injuries, regardless of how minor they may appear, should be reported immediately to the employee's supervisor.

Occupational safety is a serious matter. Adherence to the established safety rules and practices is an extremely important component of accident prevention.

Therefore, the following Rules and Guidelines have been developed to help each employee to maintain safe working conditions.

GENERAL SAFETY RULES

These safety rules have been established for the protection of each employee. All employees are required to cooperate in observing these rules, and to assist in making the Division a safe and orderly place to work.

1. Do not endanger yourself or others. Report any hazardous conditions or practices that may cause injury to people, property, or the environment.
2. Never operate any machine or equipment unless you are specifically authorized to do so by your supervisor.
3. Do not operate defective equipment of any kind that may be personally or company owned. Do not use broken hand tools. Report defective or hazardous equipment to your supervisor.
4. Obtain full instructions from your supervisor before operating a machine with which you are not familiar.
5. Never start on any hazardous job without being completely familiar with the safety techniques that apply to it. Check with your supervisor if in doubt.
6. Make sure all safety attachments are in place and properly adjusted before operating any machine.
7. Do not operate any machine or equipment at unsafe speeds. Shut off equipment that is not in use.
8. Wear all protective garments and equipment necessary to be safe on the job. Wear proper safety shoes. Sandals or other open-toed or thin-soled shoes are not permitted. PPE must be worn/used properly at all times.
9. Do not wear loose or flowing clothing. Employees with long hair must take appropriate measures to prevent their hair from coming into contact with moving equipment or machinery.
10. Never repair, modify or adjust any machine or equipment unless you are specifically authorized to do so by your supervisor.
11. Never oil, clean, repair, or adjust any machine while it is in motion.
12. Never repair or adjust any electrically or power driven machine without observing prescribed lock out/tag out procedures.
13. Put tools and equipment away when they are not in use.
14. Make sure you can safely lift something before you move it. Get help with heavy or oversize items and always use proper lifting techniques. Ask for assistance.
15. Keep all aisles, stairways, and exits clear of skids, boxes, air hoses, equipment, and spillage.
16. Do not place equipment and materials so as to block emergency exit routes, fire boxes, sprinkler shutoffs, machine or electrical control panels, or fire extinguishers.
17. Stack all materials neatly; make sure piles are stable.
18. Keep your work area, machinery, and all company facilities that you use clean and neat.
19. Do not participate in horseplay, or tease or otherwise distract fellow workers. Do not run on company premises—always walk.
20. Power-truck operators must safeguard other workers at all times; power-truck operators must yield the right of way to pedestrians.

- 21. Never take chances. If you're unsure, ask your supervisor. Let good common sense be your guide.
- 22. Report all injuries, collisions, incidents and near misses to your supervisor
- 23. Follow procedures, signs and instructions
- 24. If you have suggestions for safety improvements, tell your supervisor or team leader.

EMPLOYEE RESPONSIBILITIES

Attitude and work practices go a long way toward creating a safe work environment and avoiding injuries to yourself and others. You have a responsibility to yourself and your co-workers to perform every assigned task in a safe manner. You also have a responsibility to help all new employees understand the importance of working safely, and you have the responsibility to report and correct any hazard or unsafe conditions.

Safety is everybody's business, and our safety requires the active participation of management, supervisors, and workers. No one group can do the job alone.

If you don't hold up your end, then the company's safety procedures, equipment, and training don't get used and accidents happen.

If you don't stay alert to, and report, accidents, near-misses, and unsafe acts and conditions that you experience or notice on the job, we may not know about them and won't be able to correct them and improve the prospects for everyone's safety.

The following is to review just what your safety responsibilities are so that you'll be able to help us all stay safe, healthy, and in compliance with the law.

General Hazards

There are two types of general hazards on the job: unsafe acts and unsafe conditions.

They are just what they sound like.

- Unsafe acts are things people do that ignore safety procedures and risk their own, or other peoples, health and safety. Examples of an unsafe act might include not wearing protective clothing, mixing reactive chemicals, using a machine without a guard, or tossing sharp tools around the work area.
- Unsafe conditions are machines, tools, protective equipment, or work area situations that don't comply with safety rules and practices and have to be fixed or corrected in order to protect the people who work here. Examples of an unsafe condition may include frayed electric cords, tools that spark, leaking chemical containers, and inadequate ventilation.

Remember, accidents and injuries can be prevented if proper safety and environmental standards and procedures are followed.

PROTECTING AGAINST INJURY

Eye Protection

Injuries to the eye are one of the most common industrial accidents and can be extremely serious. Don't take chances with your eyesight.

Face Shields & Goggles

Face shields must be worn in designated areas and for all grinding and wire wheel and cutoff wheel operations, even though these machines are equipped with shields and guards. A face shield must be worn by anyone using compressed air or liquids to clean parts.

Welding Goggles and Helmets

- Welding goggles with proper lenses that filter out the injurious radiant energy that is produced by oxyacetylene welding and cutting must be worn by the welder, his/her helper, and anyone who may be watching the operation.
- Welding helmets must be used when doing any arc welding. For heavy gas cutting, use goggles.
- Do not watch any welding or cutting without the proper shaded goggles or helmet.

Foot Protection

Strong, well-soled shoes should be worn by all employees. You will not be permitted to work with shoes which have worn-out soles or are of such construction or material that they are not suited for the work being done.

Hand Protection

- Wear proper gloves when handling hot, jagged, or sharp materials, wood, or acid.
- It is not advisable to wear rings, watches, or other jewelry during the performance of mechanical and/or electrical work.
- Gloves around moving machinery are dangerous and forbidden.
- Rubber gloves should be used by employees cleaning parts with cleaning solvents. (Solvents wash the protective skin oils away).
- Gauntlet gloves will be worn by welders when arc welding or cutting.

Respiratory Protection

Employees will wear a cartridge-type respirator when spray painting, fine sanding, sandblasting or working in the same area of someone doing this work, and in any other designated area.

Clothing and Other Protection

- Employees shall be suitably clothed for their work. Loose or torn clothing, neckties, dangling sleeves, gloves, suspenders, or unbuttoned jumpers must not be worn

when working around moving parts. Sleeves of all clothing must be rolled up or kept buttoned. Shirt-tails must be tucked inside the trousers

- Grease or oil-soaked clothing should not be worn. This is not only for appearances, but also for safety. Exchange soiled uniforms as soon as possible.
- Shop employees must wear shirts, long pants and safety footwear.
- Avoid wearing jewelry while on the job. Chains, rings, watches, and bracelets can get caught in machinery
- When vehicle fuel, cleaning solvents, or chemicals are spilled on clothing, wipe off immediately and, if excessive, change clothing.

HOUSEKEEPING: Every Employee's Responsibility

- Walks, aisles, exit, and stairways shall be kept clean and clear of debris at all times. If it is necessary to obstruct a passageway, barricades shall be erected. Access to fire equipment and electrical panels must be kept clear.
- Pick up dropped items immediately; even a paper clip, thumb tack, penny, or a small screw can cause a very dangerous fall.
- Nails should never be left protruding from boards or walls where they may cause personal injury. They should be bent flat or removed entirely.
- Tools, pieces of equipment, scrap and refuse shall be removed from the floors **immediately after completion of work.**
- Keep tools in chests, drawers, cabinets, or on convenient racks when not in use. Hooks on racks or cabinets should be inspected frequently and replaced as they become unsafe.
- Stored material should be piled securely and equally so the piles are not too heavy. Material should not project into aisles. Floors and storage racks must not be overlooked.
- Employees **must** wipe up all spillage **immediately** to prevent fires, falls, and slips. Industrial towels/rags, and oil absorbent compound should be used to soak up and wipe oil, grease, or other slippery spillage from the floor. Dirty towels/rags must be deposited in metal containers provided.
- Scrap boxes shall be provided for broken glass, metal, scrap, etc. Lighting - poor vision can cause nasty accidents. Report all necessary bulb replacement immediately. *Stairways and aisle ways must be well lighted.*
- Each employee is responsible for the neatness and "Orderliness" of his/her immediate work area.
- Report loose flooring, smooth step edges, loose handrails and holes to your supervisor as you notice them.

MACHINES

General Safety Rules

- Workers must wear safety goggles or face shields at all times when operating a machine.
- Never use hands to shift belts in motion.
- All shafting, wheels, gears, belts, and other moving parts of a machine for which guards have been provided must be kept guarded while the machine is operated. Never operate a machine from which the guard has been removed.
- Never start a machine until it is certain the piece to be worked on is firmly secured and everything is clear.
- Never leave a machine running unattended.
- A machine must never be operated by anyone except those who are properly authorized.
- Chucks are to be turned one full revolution by hand before power is applied. Make sure chuck wrench is removed.

Grinders and Buffers

- Clearance between wheel and work rest should not exceed 1/8". Do not try to change a work rest when wheel is in motion.
- Supervisors shall make periodic inspections of grinder Wheels, rests, guards, and glass shields.
- Never grind on the flat side of a wheel, and always take special care to avoid striking the side of the wheel with a heavy object.
- Never buff a piece of material from the lower half of the wheel because the piece may catch and pull your hands into the wheel.

Presses and Shearing Machines

- Press operators must use a stick or tool provided for the purpose of disengaging stuck work. Do not use fingers.
- Hammers and dies must be in good condition and properly fastened before using the machine.
- Always place a substantial timber under the hammer, shear, or punch when changing dies or making repairs. In all cases, block the treadle to prevent accidental tripping.

Drill Presses

- Oversized bits should not be ground down to fit smaller chucks. A proper adapter should be used.
- Small pieces of work must be clamped down to prevent their movement.

PORTABLE POWER TOOLS

General Rules

- Extension cords and air hoses must be kept clear of aisles and walkways as much as possible.
- All portable tools must have a safety switch on them which cuts off power if the tool is dropped.
- Ensure you only use appropriate attachments and accessories for the tool. All attachments, fittings, hoses and accessories must be properly rated for use on the tool (i.e.: sanding, cutting and grinding wheels).
- Do not remove manufacturer's guards.
- Use drill stops to prevent the drill from penetrating beyond the depth needed or into wires or conduit.
- All electrical tools must have a ground wire which must be connected to a ground when the tool is in use.
- Chuck keys or adjusting wrenches must not be attached to electrically or air operated power tools. They may be attached to the electrical cord or air hose 18" or more away from the tool. Power cord or air hose shall be disconnected when changing tools or bit.
- No fuses, automatic cutouts, switches, or other devices should be inserted in a grounding line.
- The continuity of the grounding circuit should be checked periodically.

Ladders

- Always make sure that both side rails of a ladder have secure footing. If there is danger of slipping, or if you have to climb fairly high, securely fasten the ladder or have someone hold it for you.
- Ladders should always be placed in position at the proper angle. The base of the ladder should be out 1/4" of the vertical distance to the point of support, unless braced, fastened, or held to prevent slipping.
- Do not place a ladder in front of a door which opens toward the ladder unless the door is opened, locked or guarded.
- Always face the ladder when ascending or descending. Take each step in order with both hands on the side rails. If material needs to be handled, use a rope.
- Do not use ladders with cracked rails or broken or missing rungs. Withdraw the ladder from service and mark as "Dangerous, Do Not Use", then send it to the shop for repair.
- Do not paint ladders except for the yearly inspection color code. Do not climb on shelving, supplies, or any other makeshift item to get into or up to something. Use a ladder!

Scaffolds

- Thoroughly inspect each scaffold component before using it to make certain there are not bad welds, boards, etc., which could impair its strength.
- Do not overload scaffolds.
- Make sure scaffold legs rest on a firm foundation. Use base plates when necessary. Keep scaffolding level.
- Planking should have at least 12" overlap. Cleats should be used to prevent planking from slipping. Toe boards and guardrails should be used to prevent materials and employees from falling.
- The area below scaffolding must be roped off and kept clear. Warning signs should be used.
- When a plank is used as a scaffold between two ladders or other elevated structures, the plank should be level and securely locked to prevent creeping.
- A rolling tower or scaffold must have brakes which lock the caster wheels as well as the swivel.
- When moving a rolling tower, make sure that sufficient help is used to assure proper direction and to prevent tipping. Each time a scaffold is moved, be sure that the wheels are reclamped.
- When the height of a scaffold exceeds three times the narrower base dimension, it should be guyed or fastened in some way to prevent tipping.
- Caution should be taken while working on the top of a bus. Care should be taken to watch footing.

MATERIAL HANDLING TOOLS

Hand Trucks

- Keep load as low and up front as possible.
- Make sure that the load is secure and does not obstruct vision.
- Never walk backwards with a hand truck.
- On an incline, keep the truck ahead of you when going down, and behind you when going up.

Forklift Operation

- All forklift operators must be properly trained and licensed/certified for the use of the forklift.
- Maintain safe speeds.
- Slow down at intersections, doorways, and blind corners. Use horn only when necessary.
- Never overload a truck so that the view is obstructed.
- Always have the truck in control so that an emergency stop can be made within the clear distance ahead.
- Always drive in the reverse position when going any great distance.
- The fork height should be at a safe position off the ground when in moving operation.
- Park the truck in designated areas only (never in aisles, doorways, or work areas) and lower forks to the ground.
- Never carry passengers.
- **Note:** See section on *Moving Vehicles* for additional information on operating moving vehicles.

Hoists*

- Defective ropes, chains, hooks, or any other defective part of the hoists must be promptly reported to the supervisor. Defective slings and hoisting appliances must not be used.
- Load limits shall be posted on each hoist.

Jacks*

- The use of jack stands is mandatory whenever a vehicle is off the ground.
- Defective jacks are not to be used. Unsafe jacks must be reported to the supervisor and sent in for repairs. At no time shall a jack be overloaded.
- When using a jack, always grip the handle firmly and keep your body and head clear of the handle.
- Remove all handles from jacks when not in use.

- When raising any part of a vehicle with jacks, secure the vehicle against movement with blocks and hand brake. When more than one jack is used, the lift should be even.
- Jacks, handles, crowbars, and blocking must be returned to their proper storage place as soon as they have served their purpose.
- Defective (splintered or rounded) blocking shall not be used.
- When maintaining a load in a raised position, relieve the strain on the jacks by lowering vehicle on jack stands.
- When- a man is working under a vehicle that is blocked up, men working on top of the bus must not work in a manner that may jar the vehicle off the blocks or jacks.
- **Caution:** No one should work under any vehicle unless supported by jack stands. Do not attempt to work under a vehicle without first blocking the wheels.

** Jacks, Hoists and Vehicle Lifts shall be inspected and recertified annually.*

Chains, Ropes, Cables, Slings, and Hooks

Particular care must be exercised when using these materials. Some precautions to be taken are:

- Never overload, twist, kink, or drag a chain, rope, cable, or sling.
- Never cross or fasten a chain or rope over sharp corners.
- Never apply sudden loads to any chain or rope.
- Never hammer a chain or hook into place.
- Never use a chain at small angles or allow a load to rest on a chain.
- Don't carry a load on the point of a hook.
- Don't tip or tumble loads with chains.
- Never use a chain with stretched or still links. Don't take chances when a chain or cable looks unsafe; notify the supervisor immediately.
- Never carry an unbalanced load.
- Chains shall be inspected annually and tagged showing maximum load capacity and date of last inspection.
- Bolts shall not be used to shorten or join chains. All chains shall have hooks and eyes.
- Wire rope should be lubricated at regular intervals to prevent rust and excessive wear.

HAND TOOLS

Employees should report all unsafe tools or lack of proper tools to their supervisor.

General Rules

- All tools should have proper sized, tight fitting handles which are free of splinters. Tools with cracked, missing, or loose handles should not be used. Taping or wiring of handles is not allowed.
- Pointed or sharp tools when in transit, or not in use, must be kept in toolboxes or holders which fully protect the edges or points.
- Do not use dull tools; keep them sharp.
- Never strike or pull sharp tools toward your body.
- Never apply excessive force in such a manner that would cause you injury if the resistance were suddenly released.

Shock Tools

Metal cold chisels, drifts, punches, hammers, wedges, and sledge hammers.

- If heads are mushroomed, do not use - have them redressed or safe-ended.
- Do not use a steel hammer on hardened metal surfaces.
- Do not attempt to re-temper or re-harden heat-treated tools - send them to the shop.
- When swinging a sledge hammer or axe, make sure you have a clear circle in which to swing. Warn nearby workers not to get in the way. Do not wear gloves when swinging a sledge hammer or an axe. A person holding a tool which is to be pounded on by other tools must use proper holding tongs or other devices to keep him/herself clear and safe.
- Copper or lead hammers must be used when striking tempered pins, castings, or tools. Never strike two hardened tools together.
- Whenever possible, hold a chisel in the hollow of the hand with the palm up. If the hammer glances, it will strike the soft palm instead of the knuckles.
- When chipping or shearing with a chisel, warn others in your area to wear their safety glasses.

Brittle Tools

Files and drills

- Must not be hammered on, bent, or used as a pry,
- Do not clean a file or a drill by striking it against a steel or hard object. Use a file card or wire brush to remove the metal shavings.

Pliers and Wrenches

- Use the correct wrench for the bolt or nut being worked on and make sure you have secure footing and a firm hold on the wrench before applying pressure. Pull wrench when possible, do not push.

- When using an adjustable wrench, pull when the adjustable jaw faces you. Push when fixed jaw faces you. This insures proper locking of the wrench onto the nut or pipe.
- Do not use wrenches or pliers as hammers. Do not use pliers as wrenches.
- Electricians must use properly insulated pliers.

Screwdrivers

- Do not use a screwdriver as a punch, wedge, pinch bar, or prybar.
- Do not use a screwdriver with rounded or bent tips.
- Electricians must use properly insulated screwdrivers.
- Do not apply a screwdriver to objects held in your hand.
- Always use the proper size screwdriver for the screw or bolt being used.

Proper Tool Maintenance

- Use a file instead of an abrasive wheel to repair a screwdriver tip. (The temper is maintained.)
- Shock tools - all edges of the striking heads of hammers and chisels and pins should be either dressed or safe-ended to prevent mushrooming or spalding.
- Employees should not use an unsafe tool at anytime. Employees are responsible for returning broken or damaged tools to the tool room for repairs.

SPECIFIC OPERATIONS

General Tire Work Rules

- Do not perform tire operations until you have been properly trained on the safe operating procedures
- Tires, rims, lock rings, and wheel nuts should be frequently inspected in service.
- Always store tires with the lock ringside of the wheel facing the wall.

Changing Tires

- Before attempting to loosen wheel nuts, note the wheel and lock ring condition. Remove the valve core to deflate any tire with a damaged rim or lock ring before taking the wheel nuts off.
- A damaged rim or lock ring may not be noticed on a rear tire until the tire is off the bus. In cases like this, turn the wheel so the lock ring faces away from you, then remove the valve core from the back side of the tire.
- There are many different types of wheels on our buses. Each wheel type has a different dish size or mounting. When changing a tire, take extreme care to make sure that the correct wheel and tire assembly is put back on.
- Vehicles must always be blocked or set so that they cannot be moved while a tire is changed.
- Never strain or fight a tire. Use only proper tire changing tools when repairing tires to avoid injury.
- Never inflate a tire that has run flat. Remove, inspect, and repair it if possible.
- Dual wheels - the inside tire must always be installed so the valve stem is easily accessible.
- Tires must only be inflated in an approved tire cage. When inflating tires, use a sufficient length of hose between the clip-on chuck and the inline valve to allow the employee to stand outside the trajectory.

Mounting and Dismounting Tires on Wheels

- NO mounting and/or dismounting of multi-piece rim wheels are to be performed by MV employees
- Do not attempt any tire repair work until you have read the wall chart on safe operating procedures for mounting and dismounting bus tires.
- Before assembly, wheels and lock rings should be thoroughly cleaned and inspected. Worn, cracked, or bent parts must not be used.
- Excessive pressure should not be exerted or unnecessary hammering done when removing or installing lock rings. Bent rims or lock rings will not fit properly.
- Never try to straighten or rebend a bent or distorted lock ring.
- When mounting tires, make sure that the lock ring is secure. Put the tire into the tire inflation cage or see that safety bar is securely fastened. Inflate until both bead rings make full contact with the rim; then allow the air to escape. Install valve core and fill

to proper pressure. Tap the lock ring as necessary to make it seat properly. **DO NOT** over inflate the tire.

Welding, Heating, or Cutting Operations

- No persons except those properly qualified shall use the gas or arc welding equipment.
- Approved welding goggles, gloves, and other safety equipment must be used. Clothing should be grease and oil free and be fastened at the neck, wrists, and ankles. Low cut shoes shall not be worn.
- All gas welding equipment must have safe hoses with "safety" valves located on the tank to prevent possible flashback. All hoses and regulators shall be free from grease and oil.
- Bystanders shall not be permitted to watch welding and cutting without protective equipment.
- Whenever welding at an elevated height, take precautions to prevent hot material or sparks from falling on people or on inflammable material.
- Whenever possible, barriers shall be used when arc welding is done to protect other workers from the ultra violet rays.
- Hot material must be marked "Hot" or allowed to cool before being left unguarded.
- Care must be taken when heating or burning pipes or tubes. The ends of the pipes must be directed away from fellow employees. Proper ventilation must be secured when brazing, soldering, cutting, or welding on any material metals which produce harmful gases. Fumes of hot metal or acid should be avoided as much as possible. Extreme caution must be exercised when electric welding to avoid accidental grounding of the electrode. When the arc welder is not in use, the main switch should be off.
- When welding is done in a confined place, an attendant shall be stationed at the arc welder switch.
- Welding shall be permitted only when proper precautions are taken.

Material Handling: Lifting and Carrying

- Do not attempt to lift a heavy load beyond your lifting capacity. Get help for heavy lifts and use hand trucks, cranes, jacks, drum dollies or other hoisting / material handling equipment whenever practicable or required.
- Lifting on a dare, testing strength, and similar horseplay are prohibited.

Proper methods of lifting heavy loads are:

- Consider the size, weight, and shape of the object to be carried. Never lift more than you can handle comfortably.
- Get the center of the weight as high as possible. If a sack, stand it up. If a box, stand it on a corner.
- Set your feet solidly for good balance and stability.
- Get as close to the object as possible. Bend the legs about 90 degrees at the knees. Do not fully squat; it will take twice as much effort to straighten up if you do.

- Keep the back as straight as possible. It does not have to be vertical, but it should not be bent.
- Get a firm grip on the object. Straighten the legs to lift the object, and at the same time, swing the back into a vertical position.
- If you have to turn, turn on your feet, not at your hips or shoulders.
- Never carry a load which obstructs the view ahead.
- Do not carry heavy loads in dark areas or where the footing is uncertain.
- Do not try to lift on oily or slippery floors. Use sand or other material to insure good footing, first.
- Always inspect materials for splinters, jagged edges, burrs, rough or slippery surfaces before handling.
- Keep fingers away from pinch points when setting materials down.
- Wear gloves when material is hazardous or rough.
- Handling Specific Shapes:
 - (1) Boxes, bags, and sacks - grasp at opposite top and bottom corners and draw a corner between the legs.
 - (2) Drums and barrels - two-man operation - make sure there is enough room to perform the upending or overturning operation. Working in cramped quarters can result in badly injured hands. Use a drum-dolly whenever possible.
 - (3) Long items such as pipes or ladders should be carried over the shoulder with the front end held as high as possible to prevent striking other employees. When necessary, two people should carry such items.

Material Handling: Hazardous Material

- Acids and Caustics
 - (1) Don't store acids or caustics in glass or other containers near heat or steam pipes, or in direct sunlight. Expansion in the containers due to the heat may cause a fire or explosion.
 - (2) Rubber gloves, aprons, boots, and a face shield shall be worn when handling acids or caustics.
 - (3) Drums or containers should be emptied by gravity only.
 - (4) Acid or caustic carboys should not be moved unless they are securely sealed and wired.
 - (5) Never pour water on top of acid. The acid should be added to water in small quantities.
 - (6) When acid gets on any part of the body, including the eyes, flush immediately with plenty of water.
- Gas Cylinders
 - (1) Compressed gas cylinders should be stored on end on a smooth floor and chained or fastened firmly against a wall post or other solid object.
 - (2) Do not store cylinders in or near heavy traffic areas.
 - (3) Gas cylinders must be rolled, not dragged, on the bottom edge when moved.
- Volatile Petroleum Products

- (1) The use of gasoline or diesel for cleaning parts is prohibited.
- (2) Smoking is prohibited in shops, around vehicles, near gas pumps, cans, tanks, or when near anyone pouring or working with gas or flammable material.
- (3) Never fill a tank on a vehicle when the motor is running.
- (4) Only approved safety cans are to be used for handling, storing, or transporting gasoline, kerosene, or diesel fuel.
- (5) Clean up spilled gasoline quickly. If gas gets into the drainage system, notify the Fire Dept. so sewers can be flushed. Gasoline vapors collect in low spots such as pits, sumps, and basements. Care should be taken to keep these areas ventilated when vapors are present.
- (6) Always keep alcohol, grease, gas, and oil in fireproof rooms except for a small working supply.
- (7) When dispensing flammable liquids with a transfer pump or faucet from a drum or a bus or car, use a ground wire and clamps to ground the drum to the vehicle being filled to prevent a static discharge from occurring.
- (8) Always keep the metal fuel nozzle of the hose in contact with tank while the fuel is flowing to prevent any static discharge from igniting vapors.

Moving Vehicles

- ONLY authorized personnel shall drive company vehicles.
- Do not carry passengers unless the conduct of the company's business demands it.
- When driving company owned vehicles on a street or highway, obey all rules of the road. Buses and miscellaneous vehicles are not to be moved except by those specifically authorized to do this work.
- No bus, van, or car shall be moved until it is determined that no one is working on the vehicle.
- Beep the horn loudly; then wait a few seconds before starting and moving the bus. Air pressure must be 100 PSI prior to moving vehicle equipped with air brakes.
- A complete safety stop must be made before a vehicle is moved by or through any door, post, wall or other objects which may obstruct your view. A warning signal shall be given before moving forward. Make sure garage doors are fully open before driving through.
- No buses are to be pushed with pickup trucks or trucks other than tow trucks. **At no time should you push a bus with another bus.** Always turn the ignition off when fueling.
- Whenever a driver leaves a vehicle, the engine must be stopped, the gears in neutral, the switches off, and the parking brake set. If it is necessary to leave the engine running to make repairs, the gears must be in neutral and the parking brake set.
- Before starting any vehicle, make sure the shift is in neutral and the parking brake is set.
- State law requires all buses to stop at all railroad crossings, unless the crossing is controlled by a traffic light or traffic officer.
- Obey all speed limits and drive according to the conditions of the road and weather.

Battery Safety

- Before attempting to lift a battery, make sure the battery handles are secure. If the battery is too bulky for one person to lift and carry, get help and/or use a battery cart.
- Do not wear rings or wrist watches when working around batteries. Safety glasses must be worn when working with batteries.
- Avoid getting battery corrosion or acid on the skin or in the eyes. Acid burns should be flushed immediately with water. After flushing, baking soda (sodium bicarbonate) should be placed on the affected skin.
- Open flames or smoking shall not be permitted in the battery area.
- Only the battery attendants or those assigned to work on batteries are allowed in the battery area. No one except authorized personnel shall be allowed to connect or disconnect a battery on charge.
- Batteries should only be charged in an area with proper ventilation. Batteries with loose or broken posts must not be used.
- When installing a battery, make sure all switches in the vehicle are off. Take care not to cross wires. **Disconnect ground cable first, and reconnect it last.**
- Never check a battery by arcing across posts with pliers or steel prods.
- When using jumper cables to start a vehicle, make sure of the polarity of both batteries (positive to positive, negative to vehicle frame) are matching when hooking up the cables.
- Batteries must be stored off the ground at all times (battery pallet is preferred)

Working In, On, Behind, or Under Vehicles

- Lock-out/Tag-Out steering wheel covers will be used at all times when working on a vehicle. No one shall work under a vehicle or on the motor of a vehicle without taking the necessary precautions to prevent the engine from being started and the vehicle from being accidentally moved.
- Disconnect the battery ground cables when working on the engine, transmission, starter, generator, or other parts where injury may occur if the engine is turned over.
- Engine exhaust pipes must be connected to the exhaust ventilating system when engine tune-ups or checks are made. No bus engine shall be run in the shops or garage for more than one minute without the exhaust system being connected, except when building air to move the bus out.
- Apply a battery cable guard (short piece of rubber hose over cable ends) when batteries are disconnected but not removed.
- Never use a torch or flame to thaw out frozen air tanks or lines.
- Use an electric heat gun or allow the bus to stand inside and thaw itself out.

Pressurized Fluids or Compressed Air

- When testing or working with diesel engine fuel injectors, keep fingers and hands away from oil stream and spray tip. The high velocity could penetrate the skin and cause blood poisoning.
- Compressed air shall never be directed toward the body or clothing. Forty pounds of pressure can kill.

- When blowing off dirt from material, always direct the force of air in such a manner as to avoid blowing the dirt on fellow workmen. If this is unavoidable, warn everyone away from the immediate vicinity.
- Air hose valves shall be turned off at the feeder line connection when air is not being used.
- Scuffling with compressed air is prohibited.
- If it is necessary to test tanks, cans, radiators, or other similar parts for leaks with compressed air, the pressure used must be of known, low, safe pressure with an air gauge and a properly adjusted reducer or safety valve in the air line.
- Proper air hose fittings should be used on all hose ends.
- Anyone cleaning engines, bus chassis, or parts with pressurized cleaning sprays must wear safety goggles, boots, and aprons. Use only OSHA approved gun with proper air pressure.

Painting

- Only use automotive paint products that allow the use of charcoal cartridge air respirators/purifiers and **do not** require “positive air flow / forced fresh air flow” respirators – information on proper PPE/respirator type is found on the product’s MSDS sheet.
- Painters shall wear properly rated cartridge type respirators when spray painting. Employees working in immediate vicinity shall wear them, also. There is to be no spraying during the movement of vehicles in and out of the spray room/areas.
- Paint limit – recommended 2 pints max (0.25gls) per day (approximately the quantity of 2 aerosol cans).
- Use only “Single Stage” paint (meaning the paint product does not require a separate clear coat application)
- Paint only in well ventilated areas or outdoors (if indoors, try to paint only at night or after-hours to limit exposure to other employees)
- Use only “low velocity” spray nozzles or aerosol cans
- Maximum paint area: Only perform in-house paint repairs if the area to be painted is not larger than 162 square inches (18” x 9”), or roughly the area that can be covered by two “adult male” hands.
- No painting shall be done on the inside of the bus while it is being sprayed on the outside.
- Electric wires are to be left alone by painter unless supervisor has determined that they are dead.
- Each worker must know the danger of lead poisoning existing in certain kinds of paint. The Industrial Commission recommends the following steps to be taken to avoid this danger.
 - Do not put fingers in the mouth or eat food while working.
 - Before eating and before leaving work, wash face, hands, and arms with soap, and thoroughly cleanse the nose and mouth: Do not eat lunch in the same room where lead paint is handled.
 - Do not go to work with an empty stomach.
 - Keep fingernails cut short and clean.

- Do not chew tobacco while at work.

Servicing and Cleaning Buses

- See "Moving Vehicles".
- Personnel who are servicing buses must wear shoes without metal cleats, so as not to damage the flooring.
- When checking water level, take extreme care when opening the filler spout, as follows:
 - Push pressure relief valve to release pressure.
 - Stand back and keep face away from opening when releasing filler cap. Report all caps and relief valves which do not work properly.
- When cleaning or servicing a bus, report all defects immediately to the supervisor.
- Use windshield wipers when driving a bus through a washer.
- Always wear proper PPE when cleaning/servicing buses (gloves / eye protection)

Electrical Equipment

- Only qualified workman shall work on live electrical lines. Never work on a live line unless absolutely necessary.
- When opening switches, cutouts, or clamps on a live line, use approved insulated tools.
- When connecting equipment to a live line, make the live connection last.

Light Bulbs

- When removing light bulbs which have become stuck in the socket, use bulb pliers, rag, or glove to avoid cuts if glass should break.
- Burned out bulbs must not be dropped or broken.,
- Burned out fluorescent tubes should only be replaced by authorized persons. The tubes should be put in the box provided so the trash man can easily dispose of them.

FIRE AND FIRE HAZARDS

Every ordinary fire depends upon three components for its existence: air, heat and fuel. Prevention of fires depends upon the elimination of one or more of these components.

Fire Fighting

When an employee discovers a fire, he/she should do the following two things:

- Turn in the alarm - regardless of the size of the fire. Do not attempt to fight a fire before turning in an alarm. The locations of city fire alarm boxes or other alarm equipment and/or telephone numbers should be memorized.
- Attempt to extinguish the fire after turning in the alarm by using the proper extinguisher.
 - Class A Extinguishers - use on wood, paper, rubber, and any ordinary combustibles of similar nature where a quench cooling effect is required.
 - Class B Extinguishers - flammable liquids, bases, and greases where an oxygen exclusion of flame interruption effect is essential.
 - Class C Extinguishers - electrical equipment and wiring where the di-electric conductivity of the extinguishing is of importance.
 - Class D Extinguishers -combustible metals.

In case of fire, all employees must:

- Stop work immediately upon hearing the fire signal.
- Listen for the location of the fire.
- Use proper fire extinguisher on the fire; don't use the wrong type of extinguisher on a fire.
- Avoid smoke inhalation.
- After a fire, return all firefighting equipment to its proper position or holder. If a seal on an extinguisher is broken, notify the supervisor. He will see that it is inspected and recharged.

General Fire Safety Rules

- Oil and oily waste rags shall be kept off the floor. Dirty rags and wiping towels shall be deposited in the approved self-closing metal containers.
- Flammable liquids shall be kept only in approved closed containers.
- Keep grease and oil and other flammable liquids in fireproof rooms except for small working supplies.
- Only vapor-proof lamps are to be used in the enclosures where volatile petroleum products are stored.
- Warning signs shall be posted at all entrances to fireproof rooms where flammable liquids are stored and all paint spray rooms.
- All vent and fill openings on gasoline storage tanks should be equipped with flameproof double screen fittings.
- Gasoline in a tank shall never be gauged by a metal stick. Always use wooden sticks.

- Gasoline must never be used as a cleaning solution for any reason. Never switch a flashlight on or off near a gasoline tank opening or whenever gasoline vapors are present.
- Open flames or hot objects are prohibited in the vicinity where oil or other flammable liquids are handled. "No Smoking" rules as applied to various divisions must be observed.
- Avoid static sparks when transferring gasoline or other volatile fluids from one container to another by bonding both containers.
- Fire doors and their mechanisms shall never be locked. Passageways to fire - fighting equipment must be kept open at all times.
- Employees shall familiarize themselves with the locations, types, and use of various fire extinguishers.
- After being used, fire extinguishers shall be checked, refilled, resealed and returned to their hangers promptly.
- Firefighting equipment must never be used for any other purposes. All possible fire hazards should be reported to the supervisor as soon as they are noticed.
- The nearest fire alarm station box and how to use it should be known by every worker.
- Lockers and tool chests shall be kept clean and free of flammable material. Oily clothes must be **hung** in ventilated lockers, **NOT** thrown on the bottom.
- Fire extinguishers shall be hydrostatically tested periodically (every five years).

BUS SECURITY

Bus security begins with you – your knowledge and your best judgment. Being able to define and identify security threats and incidents will help you distinguish between a prank and an actual emergency, and help you determine the appropriate course of action. Maintain a high level of awareness at all times. Monitor and observe people, events, activities and items around you and take careful note of irregular and/or suspicious behaviors or happenings. If it looks out of place, question it...

Look for people who:

- Are not where they are supposed to be (restricted or employee-only areas)
- Look lost and /or wandering around – especially at the bus yard, parking and maintenance areas
- Appear to be conducting surveillance (a bus maintenance facility is not a tourist attraction...)
- Cause disruptions or intentionally distracting behaviors
- Abandon an item and leave the area quickly
- Openly possess a weapon and /or prohibited or dangerous item(s) and/or
- Use a vehicle in a suspicious way (illegally parked against a building, erratic driving, following, etc.)

Look for items and/or devices that:

- Were abandoned by someone and left in the open
- Were abandoned and hidden/concealed
- Do not belong where they are located
- Appear to be suspicious or dangerous, such as a canister, tank, metal box, bottle, etc.
- Have an attached message
- Appear to be emitting a vapor, mist, gas, or odor
- Seem to have seepage or leakage of a suspicious / unknown substance
- Are connected to wires, timers, tanks or bottles and/or
- Appear to be the source of a foreign substance that is causing people to cough, have trouble breathing, feel nausea, lose consciousness, or exhibit any other medical condition/symptom.

If you encounter any of the suspicious activities or items listed above, notify your supervisor or manager immediately.

OSHA Regulations and Frequent Violations

OSHA stands for Occupational Safety and Health Administration. OSHA's whole reason for being is to ensure your health and safety on the job. Every single rule and regulation was created for that purpose.

Now, the main responsibility for OSHA compliance falls on employers. But they can't do it without employees. If you don't understand what's safe and what's not and don't play an active role in following the safety programs and procedures the government and the company have established, all the time, money, and effort that go into these programs will be for nothing.

In addition, you are often in the best position to notice if a safety regulation is not being met. When a system malfunctions, when information is missing, when a machine or tool isn't working right or isn't properly guarded, it's up to you to report it immediately so that safety and OSHA compliance can be maintained.

Identifying Hazards

A key part of your safety responsibility is:

- Know what constitutes a safety hazard.
- Be on the lookout for safety hazards.
- Correct or report safety hazards immediately.

Our training and safety meetings educate all of us on what constitutes a safety hazard. You can also obtain information from sources like labels and material safety data sheets however a lot of your hazard knowledge is the result of your experience, instinct, and common sense. If you see a tool that isn't working right, smell a peculiar odor, or notice materials piled up in a blind corner, you know it's a safety hazard even if it isn't something you've specifically covered in training or in a safety meeting.

Let's think for a minute about the kinds of conditions that could be hazardous and the kinds of questions you should ask as you plan and execute your jobs.

- Is there an opportunity of a person, equipment, or materials getting caught in or between objects?
- Is there a danger of falling, tripping, or slipping?
- Is there a chance of being hit by or against an object?
- Are there materials around that could burn or explode?
- Are there materials that could create health hazards?
- Is there a danger of electrical overload?
- Are emergency exits blocked or is emergency equipment out of commission?
- Are there unlabeled substances in the work area?

These are the kinds of questions you should be asking, in your head, all the time and if the answers you get are answers that spell danger, you have to take the next step: Either correct the problem if you can or report it to Division Management Team immediately so that it can be corrected.

Safety Procedures

Hazard identification is very important, but it's just one of your safety responsibilities. Let's look at the others.

- Know and use safe work procedures. The training you receive gives you the information and equipment you need to work safely. It is your responsibility, legally and as a matter of plain common sense, to make use of what you know.
- Avoid obvious unsafe acts—things like running through the work area or horseplay that jeopardize safety.
- Keep the work area clean and uncluttered. It's up to you to see that your work area isn't going to cause an accident. That means leaving aisles and stairways clear, cleaning up spills, properly disposing of flammable scrap—eliminating any items or conditions that could create a hazard.
- Report accidents, injuries, illnesses, exposures to hazardous substances, and near misses to Division Management Team immediately.
- OSHA requires the company to record and report any incident that results in death, lost work time, transfer to another job or termination of employment, need for medical treatment, loss of consciousness, or restriction of work or movement.
- Our requirements go beyond those listed by OSHA. Near misses are especially important. When we know about them, we can do something about the circumstances that created them before anything serious happens. We may have to replace or repair equipment, redesign a process, provide additional training, etc. But we can't do it if we are unaware of the problem.
- Report things that don't seem right even if you are unsure they're hazards. This is especially important if you're working with hazardous chemicals, where symptoms that appear to be minor like a headache or red skin may be the first indicator of overexposure. We don't want to take any chances, and neither should you. This is a real example of "Better safe than sorry."
- Cooperate with internal inspections and job hazard analyses. We conduct these as a part of our program to keep this a safe workplace. They're to your benefit and we need your help.
- Follow company safety rules. They're not just made up out of thin air. These rules result from a combination of government laws and regulations and the experience of many people in this company and this industry. It's been determined that they help employees perform their jobs in a safe and healthy way.
- Look for ways to make the job safer. There is always room for improvement, and the people who are on the front lines, like you, are often the ones who see gaps in the procedures or figure out a better way to do things. We want you to help us improve safety by letting us hear your observations and suggestions.
- Participate in safety training. That doesn't just mean showing up. It means paying attention, playing a role in discussions and practice sessions, reading materials, and asking questions. It means applying what you've learned on the job, and helping other workers when they're unsure of what to do.
- Treat safety as one of your most important job responsibilities. Your job is not only to perform particular tasks and get particular results: it's to do those things safely. We really mean that. The safe way is, in the long run and sometimes even the short

run, the most efficient and most effective way to get the job done. What, after all, could be more inefficient than a job that results in injury or illness, fire or explosion?

Summary

A safe workplace is a combination of the efforts of management, supervisors, and employees. No one group can do it alone, but together we can create an environment that doesn't hold a potential accident or illness around every corner.

There's no way to absolutely guarantee safety every moment of every day, on the job or off it however a combination of training and experience makes it relatively easy to identify on-the-job hazards and protect ourselves from the dangers.

Because you're on the floor, working with the equipment, materials, procedures, and protections, you're in the best position to see that they really do promote safety—and to do something about it if they don't.

OSHA 300**Requirements**

The Division Maintenance Staff shall support the Division Safety Staff in compliance with its requirements for maintaining a current and accurate OSHA 300 LOG as well as all other safety related records required by any government agency, customer or the Company.

The OSHA law requires most employers with 10 or more full-time employees to keep a yearly log of all work-related injuries and illnesses. This is the OSHA Log of Injuries and Illnesses, or the OSHA Form 300.

OSHA Form 300A (Annual Summary)

MV as an employer is responsible for preparing an annual summary of injuries and illnesses that occurred during the calendar year. The annual summary, OSHA form 300A, displays the totals from columns G through M of OSHA log 300. The summary also displays the calendar year covered, company name and address, annual average number of employees and total hours worked by all employees covered by the OSHA 300 log. Form 300A is a separate form and does not display any personal information, as shown on OSHA log 300. Form 300A also makes it easier to calculate incident rates. The annual summary must be:

- Posted by February 1 and remain posted until April 30th
- Posted in areas where other notices are normally placed
- Certified (signed) by a company executive, stating that the information is correct and complete to the best of the employer's ability
- Retained for five years following the calendar year to which they relate

If no cases are recorded during a reporting period, a summary must still be posted. Zeros should be entered into all spaces provided on form 300A.

What Kinds Of Injuries Or Illnesses Should Be Reported On The Form?

Employers must record all new cases of work-related fatalities, injuries, and illnesses if they involve:

- death,
- days away from work,
- restricted work or transfer to another job,
- medical treatment beyond first aid,
- loss of consciousness,
- Or a significant injury or illness diagnosed by a physician or other licensed health care professional.

Each recordable injury or illness case must be recorded on the OSHA 300 Log and the Form 301 Incident Report within seven calendar days after the employer receives notice that the injury or illness occurred.

One of the most confusing aspects of recordkeeping is determining if an injury or illness is recordable, based upon first aid or medical treatment. The revised standard sets new definitions of medical treatment and first aid to simplify recording decisions.

Medical Treatment is defined as:

- Administering immunizations, such as Hepatitis B or rabies (does not include tetanus)
- Using wound closing devices, such as sutures, staples, etc.
- Using rigid means of support to immobilize parts of the body
- Physical therapy or chiropractic treatment

Medical Treatment does not include:

- Visits to a physician or other licensed health care professional solely for observation or counseling
- The conduct of diagnostic procedures, such as X-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes

First Aid is defined as:

- Using a nonprescription medication at nonprescription strength
- Administration of tetanus immunizations
- Cleaning, flushing or soaking wounds on the surface of the skin
- Use of wound coverings, such as bandages, Band-Aids®, gauze pads, etc.
- Application of hot or cold therapy
- Use of any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc.
- Use of temporary immobilization devices while transporting an accident victim (e.g. splints, slings, neck collars, back boards, etc.)
- Drilling of a fingernail or toenail to relieve pressure, or draining fluid from a blister
- Use of eye patches
- Removal of foreign bodies from the eye using only irrigation or a cotton swab
- Removal of splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means
- Use of finger guards
- Administration of massage
- Drinking fluids to relieve heat stress

This is a complete list of all treatments defined as first aid under the revised standard.

ACCIDENT REPORTING

Employee Injury Reporting Procedure Guide

Employee Notifies Management of an Injury (Immediately)

- Serious injuries requiring immediate medical attention need to be addressed first. (Call emergency response 911)
- Minor injuries not serious in nature, once reported are investigated, documented.

Medical Evaluation

Employee requests to see a doctor

- Transport employee to our clinic. Stay with employee through initial visit. Communicate to the clinic our investigation findings and any concerns.
- Ensure the clinic is aware of the physical requirements of the job and that we have TMW available. (Get a copy of any employee restrictions with details of TMW eligibility to the Risk Management upon return).
- Employee refuses medical aid
- Fill out Employee Incident Form and Refusal of Medical Treatment form, then forward to Risk Management for Record Only.

Drug Testing - Take the employee to clinic for testing

- Any medical treatment requires drug testing

Supervisor calls the Injury Hotline 1-800- 831-0294 (Immediately)

Gather completed incident reporting packet paperwork. Submit the employee injury reports to the Safety Manager for processing to Risk Management. The following forms must be faxed to Risk Management at 707-863-8167 within 12 hours (Keep a copy of the successful transmission receipt in the accident file)

- The Online Workers' Comp Submission Form (on portal)
- Employee Incident Report
- Initial Medical Reports
- Modified Duty Offer Letter
- Drug & Alcohol Test Results
- Accident/Police Report

Investigate the injury

- Document the facts Who, What , When, Where, Why
- Identify any injury witnesses and document their statements of the occurrence
- Take pictures of the injury scene and any material objects involved and forward to Risk Management

Ask questions in your investigation and document responses

- What was the employee doing just before the injury? Was it an unsafe action?
- Were they properly trained to do the work they got injured doing?

- Was the employee using any required PPE equipment?
- Was the employee on duty?
- What were the possible contributory causes of the injury?
- How could the injury have been avoided?

If Drive Cam equipped and the injury was recorded on Drive Cam, download and secure Drive Cam incident event.

ACCIDENT INVESTIGATION / JOB SAFETY ANALYSIS

Introduction/Overview

Our safety training, including safety meetings, usually focuses on known job hazards—especially those regulated by OSHA. We pay close attention to understanding the possible hazards and safety procedures for these tasks, equipment, or substances—and they deserve it.

There can be potential hazards in any task or even in the way we organize the workplace or the way we behave on the job. One way to call attention to these easy-to-miss risks and make sure that we don't ignore any safety or health hazards is to perform a job hazard analysis.

A job hazard analysis is a process where the management team work together to really analyze a particular job being conducted. Checklists are created to help take a close look at the conditions under which the job is performed. Then, again with the help of a checklist, break the job down into steps and examine each step for possible hazards. Next, look for ways to eliminate those hazards, either with safety equipment, by changing the way the job is performed, or by adding special precautions.

A job hazard analysis is not an evaluation of job performance, but of the possible hazards in the job itself. It's a good way to take a fresh look at what we do—and hopefully, find ways to keep ourselves safer and healthier.

General Hazards

When we think about which tasks we want to consider for job hazard analysis, we look first at the ones that have caused accidents and injuries. The more problems we've had, the higher on the list that job goes. Right after jobs that have actually led to reported accidents or injuries are those that have had "near misses." We want to find the problem before someone gets hurt.

Other good candidates for job hazard analysis are new tasks or processes or jobs where changes have been made in processes and procedures. Ideally, we'd like to conduct a job hazard analysis for every job we perform.

You can't set up hard and fast rules for the steps of a job hazard analysis, because every one—like every job—is different. But there are some basic steps to follow. Before you start going through the job itself step-by-step, it's usually a good idea to perform a pre-analysis check.

In a pre-analysis, we look for possible hazards in the general conditions under which you're performing the job. To do that, we create a checklist of questions to make us really look for potential hazards in the work area. We might ask questions like these:

- Is there adequate lighting?
- Could materials on the floor cause people to slip or trip?
- Are there exposed or live electrical wires?
- Are tools, machines, and other equipment in good repair?
- Do machines have guards in place?

- Are noise levels high enough to interfere with communication?
- Are fire alarms and portable extinguishers readily available?
- Are emergency exits clearly marked?
- Is personal protective equipment available, in good condition, and used when necessary?
- Have there been complaints of headaches, dizziness, or respiratory problems?
- Is the work area ventilated?
- Are chemical containers kept covered when not in use?
- Is the "no smoking" rule obeyed around flammables, open flames, or sparking tools?

Using a checklist of questions like these can often help call attention to hazards that don't register with us as we go about our work. The hazards may not relate to a specific job, but that doesn't mean they can't cause injuries or other serious problems. You don't want to wait till you trip over packing materials on the floor or can't find a fire extinguisher when you need one. Hazards like that have to be identified and fixed no matter what type of job you're doing and analyzing.

Identifying Hazards

Once general work area hazards have been studied and analyzed, the process moves on to taking a close look at the specific job you're doing. We break the job down into steps, including enough details to describe what you do—but not so many that you need pages and pages to say it.

When I say that we break the job down into steps, I mean every step that you follow. That includes inspecting and putting on protective clothing and equipment, organizing the work area, and setting up for the job. It includes the machinery and equipment you're using, the condition it's in, and the ways in which it's used.

The checklist would also cover the exact way you perform the job, literally step-by-step. It would list the parts and materials required, and how they're organized, located, and used. We'd note when equipment has to be shut down and how that's done. And we'd cover any potential hazards that are created while performing the job, such as dust, chemicals, heat, and excessive noise.

Once the steps are listed, I'd watch to see exactly what you do in each step. Since the goal is to identify hazards—or possible hazards—that could harm you, you have to perform the job in your normal way. It is important to look for hazards that can be reduced or eliminated to make the job safer.

The goal here is to try to be as objective as possible and look at the job as if seeing it for the first time. As you perform the tasks, you would mentally do the same thing. In order to identify hazards, we have to ask questions about each part of the job—and answer those questions honestly!

If, for instance, we're analyzing a job that involves using a machine, we might ask questions like these:

- Is all protective clothing and equipment inspected before use to be sure it's in good condition?

- Is appropriate protective equipment, such as safety goggles and work shoes, being used?
- Is the operator wearing any loose clothing or jewelry that could get caught in the machinery?
- Is the machinery adequately guarded? What about any open areas or work positions around the equipment?
- Is the machine locked or tagged out when repair or maintenance work is performed?
- Does the machine have any exposed parts, such as sharp edges, that could cause injury?
- Is there any possibility of getting caught in or between machine parts?
- Is there a risk of being injured while reaching over moving machinery or materials when the job is performed?
- Is the job organized in a way that demands moving faster than is comfortable?
- Does the task ever place the operator in an off-balance position?
- Are materials located in places demanding lifting that could cause back strain or injury?
- Could the way materials are placed, or operations conducted, cause objects to fall or fly across the room?
- Does the job include movements that could cause hand or foot injuries?
- Are there any risks of falling to another level?
- Does the job create dust, chemicals, heat, excessive noise, or other hazards?

You get the idea, I'm sure. The point is to try to think like a hard-nosed safety inspector, really examine every part of the job as if it's brand new, and look for hazards. Sometimes the analysis will turn up something obvious, like a missing machine guard. Other hazards may be less noticeable, or they may seem less important. But no hazard is unimportant. The point of job hazard analysis is to uncover anything risky that could happen while performing the job—and then take action to prevent it.

Protection against Hazards

Once we have looked at every possible aspect of the job and listed every hazard or potential hazard, it's time to figure out what to do about these problems. In this part of the analysis, we carefully study each hazard we've identified, along with the job step or steps associated with it.

Sometimes we may be able to figure out a different way to perform the job, one that would eliminate the hazard. You might, for instance, be able to combine several steps or perform the steps in a different order that would be less hazardous.

As an example, suppose we notice that during a particular step of a process, you have to lean over moving machine parts to reach some needed materials. That's a hazard, because there's a risk of injury if your clothes or a body part gets caught in the machine.

We might decide that the best way to eliminate that hazard is to move those materials before the machine is turned on. If that's the case, we would work together to write up new job steps, describing exactly what has to be done to perform the job safely. Just

saying "be careful" doesn't make it. These steps have to be specific, so you—or anyone else who performs the job—will know just what to do.

Another way to eliminate hazards—or at least reduce them—is to use additional equipment or take other precautions. You might eliminate a lifting hazard by getting a hand truck. You could deal with a hazard of possible falling materials by wearing a hard hat. Or you might add a new first step to the job: carefully checking all personal protective equipment before you put it on to be sure you're not wearing scratched safety goggles or a dented hard hat.

Other ways of reducing hazards might include changing tools, adding machine guards or ventilation, or making other physical changes.

If we can't find a way to reduce a particular hazard, we should probably consult with other safety experts in the company. Every so often, we may find that none of the approaches we consider quite do the trick. If no one can figure out how to reduce the hazards we find in a particular job, we'd probably look for a way to do the task less often—or maybe even eliminate it altogether.

Finally, even the best job hazard analysis needs to be reviewed periodically. If there's an accident or injury involving the job that's already been analyzed, we'd certainly do another analysis immediately. But even if nothing happens, the second go-round may reveal something that was missed the first time. Or we simply may come up with better ideas on how to make the job safer.

Safety Procedures

Job hazard analysis is an excellent way to identify hazards and reduce the chance of accidents and injuries in a particular job or task. But it's also a technique that you can adapt and use on the job all the time. If you learn to look objectively at your work and workplace, you can find—and fix—hazards and improve safety even without a checklist.

As you go through each workday, keep asking yourself:

"What could go wrong here?"

Look for the types of general hazards we discussed earlier, such as whether there's enough lighting in the work area or if materials left on the floor could cause people to slip or trip.

Keep an eye out for hazards every time you use a piece of equipment or work with a substance—in other words, in every job situation. Be especially alert to certain types of hazards. For instance:

Fire and Explosion Hazards

- Are circuits overloaded?
- Is the insulation on any wires frayed?
- Is all welding and cutting done in well-ventilated, fireproofed areas or areas that are screened off?
- Are combustible materials kept away from lights and machinery?
- Is flammable scrap kept in covered, airtight metal containers?

Chemical Exposure

- Are chemical containers kept closed when not in use?
- Do all containers have labels?
- Are MSDSs available for all substances?
- Is there enough ventilation in areas where chemicals are used?
- Are chemical containers left in places or positions where they might spill?
- Is protective clothing and equipment available and inspected to be sure it's undamaged?

Housekeeping to Prevent Slips, Trips, and Falls

- Are aisles and stairways clear?
- Are drawers kept closed?
- Are leaks and spills cleaned up promptly?
- Are cords, cables, and air hoses kept above floor level?
- Is trash disposed of promptly and properly?

This is, of course, only a partial list. The bottom line is that you must not ignore anything that doesn't look right or smell right or, for some reason, just doesn't "feel" right. Your instincts could help prevent an accident. Try to figure out what the hazard is and what can be done to correct it. If you're not sure, ask me.

Last, but definitely not least, remember that not all hazards are unsafe conditions. Some are unsafe acts. And that's a type of hazard that every single person can and must prevent.

If you don't bother to read a chemical container label or MSDS, that's an unsafe act. Failing to follow instructions on the label or MSDS is an unsafe act, too. Other unsafe acts that are real hazards in any workplace include:

- Failing to use assigned protective clothing and equipment.
- Removing a machine guard.
- Smoking in a prohibited area.
- Wearing contaminated work clothing out of the work area.
- Speeding through the plant on a forklift truck.

Most unsafe acts, however, are more a matter of attitude. People act unsafely because they don't take the time to think about hazards or because they don't take the hazards—or safety—seriously. But just as hazardous as any open chemical container or unguarded machine are unsafe acts like these:

- Skipping steps or cutting corners on job procedures.
- Concentrating more on personal concerns and problems than the job at hand.
- Doing a job on "automatic pilot."
- Fooling around or showing off on the job.
- Assuming safety is someone else's responsibility, not yours.
- Being afraid or embarrassed to ask questions.

It's just as important to identify these hazards as it is the unsafe conditions we covered earlier. If you're the one who's acting unsafely, do something about it right away. If someone else is acting unsafely, quietly point out the risk. If the other person doesn't get the point, you can bring the problem to your immediate supervisor's attention.

The point is that job hazard analysis is a tool, just like any other. While most tools are used to perform a specific job, job hazard analysis is a tool that helps you do any job safely.

Suggested Discussion Questions

- How would you define job hazard analysis?
- What is the value of job hazard analysis?
- If you had to pick one job or task for job hazard analysis, what would it be and why would you choose it?
- What are a few general hazards you would check for in a pre-analysis?
- What are examples of questions you would ask about a specific job you perform?
- What are some ways we might reduce or eliminate a hazard uncovered during a job hazard analysis?
- What's the key question to ask when you apply job hazard analysis techniques to your work on an ongoing basis?
- What are some specific unsafe conditions to watch out for?
- What are some specific unsafe acts to watch out for?
- Are there any other questions?

Wrap-up

Job hazard analysis is a technique we can use to make our workplace—and ourselves—safer. Remember, it's not an evaluation of your performance but of the job itself. Job hazard analysis lets us look objectively and systematically at what we do to identify any possible hazards in the way a job is performed so we can make changes and do the job with less risk of accidents or injuries.

Job hazard analysis also offers us a way to look at everything we do with new eyes. When you continually ask, "What can go wrong here?" you make it a lot less likely that anything will go wrong.

Of course, it's not enough to just identify and analyze hazards. We also have to do something about them. But the step-by-step approach of job hazard analysis makes it more likely that we'll be able to spot the hazards and, by pinpointing just where the problem lies, figure out ways to do our jobs more safely.

Sample Handout

Job Hazard Analysis Review

A job hazard analysis is an objective in-depth analysis of a specific job with the goal of finding and correcting hazards.

- Set Job Hazard Analysis Priorities
- Jobs or tasks that have caused accidents and injuries.

- Jobs or tasks that have caused "near misses."
- New jobs.
- Jobs with changed processes and procedures.
- All other jobs.

Conduct a Job Hazard Analysis

Create pre-analysis checklist to identify and correct hazards in conditions under which the job is performed:

- Is there adequate lighting?
- Could people trip over materials on the floor?
- Are there live electrical wires?
- Are tools, machines and other equipment in good repair?
- Do machines have guards in place?
- Are noise levels high enough to interfere with communication?
- Are fire alarms and portable extinguishers readily available?
- Are emergency exits clearly marked?
- Is personal protective equipment available, in good condition, and used when necessary?
- Is the work area ventilated?

List all specific job steps and create checklist to identify possible hazards:

- Include each step.
- Describe each step in adequate detail.
- Include inspection and use of protective equipment.
- Detail job set-up procedures.
- Include condition, use, and safety of equipment and machinery.
- Identify any machine parts or exposures that could create risk of injury.
- Detail actual steps followed while performing the job to identify any movements or positions that could create risk of injury.
- Note procedures to follow when it's necessary to shut down equipment.
- Include organization and placement of parts, tools, etc.
- Include hazards created while performing job—dust, chemicals, heat, and excessive noise.

Determine best way to eliminate/reduce identified hazards.

- Fix clear-cut problems, such as replacing missing machine guards.
- Seek ways to eliminate, combine, or rearrange job steps to eliminate or reduce hazards.
- Identify equipment that could be used to reduce hazard.
- Change tools, add ventilation, or make other physical changes to reduce hazard.
- Detail new job steps to follow after changes are made.
- Identify hazards that can't be reduced and seek ways to eliminate job or do it less often.

Periodically repeat job hazard analysis for each job or task.

Use job hazard analysis techniques on an ongoing basis

- View work objectively, with an eye to hazards.
- Continually ask, "What could go wrong here?"
- Watch out for general hazards, such as inadequate lighting.

Identify and correct unsafe conditions:

- Overloaded circuits that could cause fires.
- Frayed insulation on electrical wires that could cause fires.
- Fire hazards from welding or cutting done outside well-ventilated, fireproofed areas or areas that are screened off.
- Combustible materials near lights or machinery.
- Flammable scrap not placed in covered, airtight metal containers.
- Chemical containers left open when not in use, creating inhalation, spill, or fire hazards.
- Unlabeled containers whose hazards are unknown.
- Substances without MSDSs to detail their hazards and protective instructions.
- Inadequate ventilation in areas where chemicals are used, creating possible fire or inhalation risks.
- Lack of protective clothing and equipment or un-inspected protective clothing and equipment.
- Blocked or cluttered aisles or stairways.
- Open drawers.
- Leaks or spills that aren't cleaned up promptly.
- Cords, cables, or air hoses left on or near the floor where they could be tripped over.
- Trash that's not disposed of promptly and properly.
- Anything that doesn't look, smell, or "feel" right.

Identify and correct all possible unsafe acts:

- Failing to follow safety procedures or rules.
- Failing to read and use information on chemical labels and material safety data sheets.
- Failing to use assigned protective clothing and equipment.
- Removing a machine guard.
- Smoking in a prohibited area.
- Wearing contaminated work clothing out of the work area.
- Speeding through the plant on a forklift truck.
- Skipping steps or cutting corners on job procedures.
- Letting personal concerns and problems distract from the job.
- Doing a job on "automatic pilot."
- Fooling around or showing off on the job.
- Assuming safety is someone else's responsibility.
- Being afraid or embarrassed to ask questions.

Safety Meeting Masters

A Job Hazard Analysis:

- Looks at Job Conditions
- Studies Each Job Step for Hazards
- Decides How to Eliminate Identified Hazards

Permission is hereby granted to purchasers of this book to make one overhead transparency using this page as a master, solely for use in in-house training conducted by the purchaser.

As You Approach Any Job Situation Ask:

- What Can Go Wrong Here?
- Does Anything Not Look Smell, or "Feel" Right?
- Are Procedures for Emergencies in Place?

First Aid

IMPORTANT MESSAGE:

The Workers' Compensation Claims Manager is the ONLY one who makes the determination if the reported "alleged" work-related injury is handled as First Aid or a claim. ALL work-related injuries must be reported to the Workers' Compensation Claims Manager within 12 hours of the supervisor's knowledge.

- Employee reports injury to their supervisor or authorized personnel.
- Employee is taken to our clinic
- Supervisor should always request our clinic to handle as First Aid
- It MUST meet all of the following conditions to be handled as First Aid:
 - Doctor sees the employee and there is NO lost time/missed work (other than the day of the injury.)
 - NO medicine or prescription is given that cannot be bought over the counter.
 - NO medical restrictions of any kind are given.
 - Clinic/doctor/medical visits are limited to the initial visit and one (1) follow-up visit. At the initial or follow-up visit a full medical release that indicates that no further treatment is needed MUST be received.

Remember – If any of the above conditions are NOT met it MUST be handled as a work comp claim NOT FIRST AID!!!

In the event that the Workers' Compensation Claims Manager informs you that an injury is being handled as First Aid please instruct your clinic to send ALL bills ONLY for that employee's injury to the attention of the Workers' Comp Claims Manager at corporate.

These bills will be approved and coded to First Aid, charged to your

division under the GL first aid account, and submitted to Accounts Payable for payment.

Divisions are not to pay ANY medical bills that relate to Workers' Comp or First Aid.

All First Aid bills are to be approved by the Workers' Comp Claims Manager before payment.

The Workers' Comp Claims Manager will monitor expenses of ALL first aid claims and if they become more than the deductible, the first aid will be turned into a claim at their discretion.

Safety Talks/Meetings

If you're asked to run a safety meeting and have never done so before, your immediate reaction is probably: "Oh, I can't. I'm no good at public speaking. I wouldn't know what to say!"

But, let's face it; safety training is part of your job. You have to provide adequate instruction and guidance—and teaching safety is part of that job. The good news is, you don't have to be a professional speaker to deliver an effective safety talk.—but you do have to do some planning. Here are some of the questions you should ask yourself.

Q. How often should we have safety meetings?

A. Hold meetings regularly, such as once a week, so that employees become accustomed to them as part of the work routine.

Q. Where should the meeting be held?

A. Pick a spot that's comfortable and free of distractions. You can't expect your listeners to concentrate in a noisy one or in a location that's too hot or too cold. Don't let them get too comfortable, though, or they may doze off and miss the safety message.

In general, it's a good idea to have all of the regular meetings at the same time and place. But if you're going to talk about a particular type of machine, for example, consider having the group gather near the machine, even if everybody has to stand.

Q. What time should the meeting be held?

A. Pick a time that doesn't disrupt work activities and at which everyone is alert and most likely to pay attention. The beginning of the day, before work starts, is a good time. If this is not convenient, hold the meeting immediately before or after lunch or a regular work break. The end of a shift, for obvious reasons, is not an appropriate time.

Q. How long should the meeting run?

A. "Keep It Short and Simple" (KISS) should be your motto; from 5 to 15 minutes is sufficient. (Most of the talks in this book should run about 10 minutes or less.) If the meeting generates a lot of relevant discussion, consider continuing with the same subject at the next scheduled meeting—or at an extra meeting within a day or two.

Q. What subject should I select?

A. With all the different subjects covered in this book, you should have no trouble selecting one. However, your choice should be relevant to the work your crew performs. For example, if you're not in the construction industry, the talks in Chapter 3 wouldn't be particularly appropriate. And some of the talks in Chapter 20 are directed at workers in specialized occupations. On the other hand, "Safe Housekeeping" will be appropriate for any business, as will talks on safety in general, or safe lifting, or fire safety.

Timeliness is a consideration, too. In other words, lock out would be a timely topic when machine repairs are on the schedule. If a worker recently incurred a back injury while transferring supplies from the warehouse to the local stockroom, "Lifting and Manual Material Handling" is a natural place to turn for your safety talk.

Q. *Should I stick to just one topic?*

A. Yes. Be specific. Rambling all over the lot is a sure way to lose your audience's attention. Even when dealing with a very general subject such as workplace hazards, a broad view might do for one talk—to introduce later sessions that pinpoint specific hazards such as slips and falls or broken glass.

Q. *How much preparation is necessary?*

A. Not much—but that doesn't mean none! After selecting the topic, read the safety talks on that subject and pick one or more of them as a guide. Make notes of incidents in your own experience relating to the subject. Ask other supervisors for suggestions as to what to include in the talk—and take notes.

Q. *Wouldn't it be simpler just to read one of the safety talks in this book?*

A. Simpler, maybe, but not a good idea. Nothing will turn off an audience more quickly than a speaker's droning away with his or her nose in a paper. The safety talks in this book are merely a guide. Use them to bone up on the subject, to get a "hook" to grab attention, and as a breakdown of the points you want to get across. So try as much as possible to deliver the talk in your own words, with the printed copy as a backstop or ready reference.

Again, the more you can adapt it to your workplace the better. Current, local statistics can be added or reference made to current happenings in the news. A talk about Fire Protection might be enlivened by a quote from your community's fire marshal. When floods or hurricanes are in the news, it's a good time to review emergency procedures—and to remind workers of the local radio station's call numbers. Here's where that little extra preparation provides a lot of extra impact.

Q. *Is it a good idea to use props?*

A. Definitely. "Show and tell" is the best way to convey a message. And most people remember what they see at least as vividly as what they only hear. If you're talking about defective or hazardous hand tools, have samples to show. If the subject is the proper handling of steel drums, demonstrate how it should be done. Better yet, have the members of the group demonstrate how it should be done, with directions from you.

Visual aids like charts or pictures can also be helpful, provided they're large enough to be seen clearly.

Q. *Should I let the group participate in the discussion?*

A. By all means. In fact, encourage it by asking questions. For example, you can kick off the meeting by describing an accident and then asking for workers' suggestions on how it might have been avoided. It's essential, however, that you don't let the meeting get out of control. Keep it on track, and make sure it doesn't turn into a general gripe session.

Q. *What about when they ask questions?*

A. If the question is relevant and you know the answer, give it. If you don't know, say so, but tell the questioner that you'll find the answer and get back to him or her. Then make sure you do so. If it's information that could be useful to the whole group, you might want to repeat the question along with the answer at the next meeting.

If the question has nothing to do with the subject of the meeting, don't let yourself become sidetracked. Tell the questioner you'll discuss it in private after the meeting.

Q. *Should I keep attendance records?*

A. Yes. Each employee who attends the meeting should sign an attendance form (see the accompanying sample). Then you, as supervisor, should complete the form and forward it to wherever your company's procedure calls for. If your workers have come up with valuable suggestions during the meeting, or have alerted you to particular safety hazards, note them at the bottom of the form—and make sure to follow up, either by taking care of the matter yourself or by bringing them to the attention of the appropriate authority.

This kind of record is important. If the company is questioned by OSHA, the form can be used as evidence that employees were given specific safety information and instructions. Of course, what the safety agency is most interested in is how well workers understand and act on this information—so you need to be sure that workers' behavior reflects the guidance/instruction you've provided in your talks and other training. If it doesn't, the record can support management's action if it is necessary to discipline an employee for breaking safety rules.

Some companies also keep a chronological record of each employee's "training history" in his or her individual file at the worksite or in the personnel department. That can be used for the same purposes as the meeting record, as well as for other purposes. For instance, following a transfer or promotion, it can indicate whether the individual in question has had all the safety information and training necessary for the new assignment or is in need of additional or refresher training.

Q. *Any final advice?*

A. Here's a tried-and-tested technique to help you give better safety talks. It's called the "Five P" Plan:

- Prepare. Think, write, read, listen, organize, and practice your talks.

- Pinpoint. Don't try to cover too much ground in one session. Focus on one main idea.
- Personalize. Bring the subject close to home, to make it meaningful to your listeners.
- Picturize. Create a clear mental picture for your listeners. Use physical objects or visual aids whenever possible.
- Prescribe. Make sure you tell your listeners precisely what they should or should not do in order to keep themselves and their co-workers safe—and be precise.

Even though you didn't ask, here are two additional words of advice: Follow up! Make it a point to check your crew during the week following the safety talk to see if they're practicing what you preached. That's the surest way to determine whether your safety talks are effective. Employees who have shown initiative by asking questions or coming up with good ideas should be given a word of praise either at the meeting or when you pass their workstations.

Housekeeping

If you want to learn about attitudes toward safety, just take a look at housekeeping habits, because good housekeeping is really one of the most important aspects of safety. Good housekeeping is not the sole responsibility of the maintenance and custodial staff; it must be practiced by everyone.

The company could spend a large sum of money to improve the quality and safety of the work environment, but the environment would still be unsafe if you and your co-workers did not practice good housekeeping. Safety entails everyone working as a team to maintain good housekeeping standards. Make sure you follow the rules to prevent accidents by maintaining good housekeeping standards. Here are some examples:

- Make sure all containers are labeled; the labels should be legible, not blurred by liquids that have run down the outside of the containers.
- Do not store supplies where they may be mistaken for something else. For example, it is not a good idea to store caustic chemicals with cleaning powders and liquids.
- Be familiar with special chemicals, gases, and liquids that are used in your work area, and know the ones that can and cannot be stored together. Some substances, like oxygen and fuel gases, have the potential for disaster when stored in close proximity.
- Dispose of hazardous substances—like flammable liquids and chemical reagents—by the safe method prescribed. If you aren't sure how to dispose of a substance, check with your supervisor.
- Clean up your work area immediately after completing each task; never leave an area cluttered with tools or supplies that could present tripping hazards.
- Clean up spilled liquids right away; they can cause slips and falls.
- Respect "wet floor" signs; they are used for your protection.
- Pick up broken glass immediately with a broom and dustpan, never with your hands.
- Do not allow debris, such as cleaning rags and paper, to accumulate anywhere, because this creates a serious fire hazard.

Good housekeeping is one of the most important aspects of any fire safety plan. Accumulated debris can cause fires, and clutter slows movement of personnel and equipment during fires.

In addition to all the safety benefits it contributes, good housekeeping results in a more pleasant working environment. Almost everyone prefers cleanliness and neatness to filth and clutter.

Because good housekeeping is important to your safety as well as the safety of your co-workers, concentrate on keeping your work area clean. Make good housekeeping a daily routine.

EVACUATION PLANS

EMERGENCY EVACUATION GUIDE

1. Duties and Responsibilities

The Division Management Team is responsible for all emergency planning and preparedness for this facility. During an emergency the Division Management Team will assume overall direction of the emergency procedure. The first and most important priority during any emergency situation is to ensure the safety of our passengers and employees. The Division Management Team will also:

Review the procedures contained in this document on an annual basis and update and distribute any changes.

Ensure all employees are trained on the procedures contained in this document and will direct that emergency procedures are emphasized during Safety Meetings and other employee training sessions.

Ensure there is an adequate warning system that is known to all and in coordination with other subordinate staff will conduct emergency evacuation drills no fewer than two times per calendar year.

Assume the role as the Company spokesperson for any local media until otherwise directed by the Regional Vice President and act as liaison between MV Transit, Inc. and the client.

The manager designated by the Division Management Team will stay current and recommend any updates to procedures to the Division Management Team. He/she will ensure that all contact information is kept up to date and is properly disseminated. This manager will also:

Ensure that system testing is scheduled and conducted twice each calendar year.

Ensure that system tests are as realistic as possible and include personnel accountability procedures to ensure all employees/customers are accounted for.

Maintain all records concerning drills, corrective action taken and any recommendations made to amend any procedures.

2. Specific procedures that are part of this document are:

- Annex A: Evacuation Due to Fire (Facility)
- Annex B: Evacuation Due to Fire (Facility)
- Annex C: Evacuation Map

Annex B ((Evacuation Due to Fire)(Facility)) to the (Project) Emergency Evacuation Procedures Guide

In the event of a fire at a Facility the person(s) noticing the smoke or fire will pull the nearest fire alarm and call out "Fire, Fire, Fire" and immediately exit the building to their designated assembly area. The senior staff person will call 911 as soon as possible

and give the emergency operator as much detail as possible concerning the incident in progress.

Employees, unless specifically trained and certified in the use of fire extinguishers, will immediately exit the facility and move to their designated assembly areas.

Fuel island personnel will, if safe, activate the fuel emergency shut-off valve and then move immediately to their assembly area. In no case will fuelers attempt to fight a fire at the fuel island.

The senior employee present will take the headcount on a clipboard and note any personnel who are not accounted for. The senior employee will ensure that no one is allowed to enter the facility until emergency crews give the "all clear".

The evacuation will take place under the control and direction of the Division Management Team; his/her designated representative or the senior employee present.

The Division Management Team will notify the client and the region manager of the situation

Storm Water Run-Off Compliance

The EPA has established guidelines for Storm Water Run-off that applies to certain companies that may discharge chemicals including oil, grease and fuel. This act may or may not apply to the Division facility. This determination will be provided by the Area Vice President of Maintenance. Do not contact a governmental agency for EPA questions unless directed to do so by an MV Transportation Inc. Officer.

The Company is dedicated to compliance with guidelines when they apply and to helping its customers when guidelines apply to them.

If the Division or its customer falls under the regulations, the Maintenance Manager and General Manager must work with the MVT Support Center's environmental staff to develop a plan to meet the Division's facility compliance requirements. Appropriate employees must be trained and must faithfully execute the plan.

Regardless of whether or not the regulations apply, the Division and its parking lot must be kept free of all unnecessary chemicals and contaminants. Any needed chemicals and possible contaminating materials must be covered and kept out of rain and run-off water.

Information on control measures for oil and fuel spills must be in the Shop and on file in the Safety Department. All maintenance and safety personnel must be trained in executing the control measures and all needed materials and equipment for such control must be readily available. This specifically includes all fueling stations.

All correspondence which is received at a division from a regulatory agency shall be forwarded to the Vice President of Maintenance.

The facility may have to be evacuated due to either on site or off-site spills and leaks. If a hazardous material spill or leak occurs it will normally involve some type of fuel. If the spill is minor in nature the Maintenance Manager or his/her representative should respond with the "spill kit" and contain it. The senior operations personnel will be contacted and briefed. If no further action is required the maintenance crew will clean

up the spill. If the spill or leak is major the person reporting an on-site spill should indicate the location of the spill as part of the emergency report.

The senior person(s) present, based on the information available, determines an evacuation of the facility is prudent he/she will call 911 and direct the immediate evacuation of the facility to the designated assembly areas.

The Division Management Team will be immediately notified and he/she will take charge or designate another member of staff to manage the situation until he/she is able to arrive at the facility.

The Division Management Team or designated representative will brief emergency responders as completely and accurately as possible, i.e. "The propane fuel tank on the other side of the building has a leak". Reports will be kept simple and to the point. Ensure the emergency crew is informed whether or not all personnel are accounted for.

The Division Management Team or designated representative will contact the client and the region manager and give a full report as soon as possible.

Annex C (Evacuation Map) It is the Division Managements team responsibility to development and implement a proper facility evacuation map.

Any recommendations for changes or amendments to this document should be forwarded to the Division Management Team.

HAZARD COMMUNICATIONS

Employee's Right to Know

Purpose

To provide guidelines for the implementation, control and use of all flammable, toxic and caustic materials and hazardous waste programs.

Applicability

MV Transportation - All Divisions

Policy

The division will identify, collect, store and dispose of all generated hazardous waste in accordance with federal, state and local mandated requirements. The division Maintenance Manager will manage identified hazardous wastes and maintain all required records in a designated location.

Each departmental manager will maintain current and accurate inventories of flammable, toxic or caustic materials. Flammable, toxic or caustic materials stored in offender areas must be in a secure area and will be dispensed by staff.

Hazardous materials or chemical products will not be brought into the facility unless acquired through the procedures outlined in this policy. The Maintenance Manager may ensure all hazardous material/chemicals are assigned an individual Hazardous Material Part Number (HMPN) for central reference and traceability. Supervisors will ensure a Material Safety Data Sheet (MSDS) for each product is on hand prior to its use in their areas. The Safety Manager, in cooperation with the Maintenance Manager, will approve storage areas for hazardous materials or chemicals and at no time will hazardous material/chemicals be used, traded or stored in any other area of the facility other than the designated areas.

The Maintenance Manager is responsible for maintaining a current list of all known hazardous chemicals used in the facility. This list includes, at a minimum, the product name, name of the chemical manufacturer, the HMPN, and facility work area the chemicals are used. The Maintenance Manager will maintain a master file of all Material Safety Data Sheets (MSDS) on each chemical in a designated area(s).

Pollution prevention is a priority and this facility undertakes activities to reduce generation of solid and hazardous waste and use of toxic chemicals and resources.

Definitions

Acid - corrosive materials whose water solutions contain hydrogen ions (H⁺). In sufficient amounts, these materials burn, irritate or destructively attack organic tissues such as the skin, lungs and stomach.

Base - corrosive materials whose water solutions contain hydroxyl ions (-OH). In sufficient amounts, these materials burn, irritate or destructively attack organic tissues such as the skin, lungs and stomach.

Caustic – material or element able to burn, corrode, dissolve or otherwise eat away by chemical reaction.

Chemical- any element, chemical compound or mixture of elements and/or compounds.

Combustible liquid - materials with a flash point at or above 100° F.

Corrosive - any solid, liquid or gas that irritates or destructively attacks organic tissues such as the skin, lungs or stomach.

Flammable liquid - a liquid with a flash point below 100 ° F.

Flash point - the minimum temperature that a liquid gives off vapor in sufficient concentration to form an ignitable mixture with the air above the surface of the liquid.

Harmful physical agent - a physical agent determined to present a significant risk to employee health or safety or imminent danger of death or serious physical harm to an employee.

Hazardous substance - a chemical or substance, or mixture of chemicals or substances which:

is regulated by the Occupational Safety and Health Administration

is either toxic or highly toxic, an irritant, corrosive, a strong oxidizer, a strong sensitizer, combustible, either flammable or extremely flammable, dangerously reactive, pyrophoric, pressure-generating, a compressed gas, a carcinogen, a teratogen, a mutagen, a reproductive toxic agent, or that otherwise, according to generally accepted documented medical or scientific evidence, may cause substantial acute or chronic personal injury or illness during or as a direct result of any customary or reasonably foreseeable accidental or intentional exposure to the chemical or substance; or

Is determined as part of the standard for the chemical or substance or mixture of chemicals and substances to present a significant risk to employee health and safety or imminent danger of death or serious physical harm to an employee as a result of foreseeable use, handling, accidental spill, exposure or contamination.

Hazard warning - any words, pictures, symbols, or combination of these conveying the hazards of the hazardous substances in the containers.

Hazardous waste – any material listed as such in Title 40 CFR 2612, subpart D or designated according to the Environmental Protection Agency or that possesses any of the hazard characteristics or corrosivity, ignitability, reactivity or toxicity as defined in Title 40, CFR 261, subpart C, or that is contaminated by or mixed with any of the previously mentioned materials.

Immediate use container - a container that substances are transferred into from labeled containers and will be under the control of and used only by the person who transferred it from a labeled container, and only within the work shift in which it is transferred. This applies to containers such as beakers, graduates, vials, pitchers, pails or similar containers that are routinely used and reused.

Irritant - a chemical that is not a corrosive, but causes a reversible inflammatory effect on living tissue by chemical action at the site of contact.

Material Safety Data Sheet (MSDS) - any data sheet containing information required under Code of Federal Regulations, title 29, part 1910.1200 (g), regarding the physical, chemical and hazardous properties of a substance or mixture. The sheet provides a summary of health and safety information on the chemical provided by the chemical manufacturer. Information provided on a standard MSDS includes; product identification, potential health hazards including symptoms and routes of entry, physical properties, fire and explosion hazards, reactivity data, spill or leak procedures, emergency first aid for exposure, and protective equipment to be used. MSDS formats may vary from supplier to supplier, but the type of information provided must be consistent.

Non-routine tasks - duties occurring outside the scope of the normal course of assigned work (e.g., confined space entry or tank cleaning).

Physical hazard - a chemical that has scientifically valid evidence that it is a combustible liquid, compressed gas, explosive, flammable, organic peroxide, oxidizer, pyrophoric, unstable (reactive) or water reactive.

Process and secondary container - portable containers that hazardous chemicals are transferred into from labeled containers, and are intended only for immediate use by the employee who performs the transfer. The secondary container must be labeled.

Routinely exposed - a reasonable potential for exposure exists during the normal course of assigned work. It includes the exposure of an employee to a hazardous substance who is assigned to work in an area where a hazardous substance has been spilled. It does not include simple walk-through of an area where a hazardous substance, harmful physical agent, or infectious agent is present or an assignment to a work area where a container of a hazardous substance is present, but there is no actual exposure unless a spill should occur.

Procedures

Hazard Determination

The manufacturer or importer of a chemical must determine if the chemical products are hazardous under OSHA's hazard code system. The division is not responsible for testing any materials purchased to determine hazard properties. The Maintenance Manager and Safety Manager will be aware of minimal hazard determination procedures.

Hazard class labels on containers must coincide with the hazards described on the MSDS. If the MSDS states that the material is not poisonous, but the shipping label states "poison", the Maintenance Manager or Safety Manager will contact the supplier to resolve the discrepancy.

If staff experience has shown the material to have a different hazard than stated on the MSDS, the Maintenance Manager or Safety Manager must contact the supplier for explanation and clarification.

Requisition and Receiving Hazardous Materials/Chemicals

Staff will review the master chemical list from the Maintenance Manager to determine if the facility has a MSDS prior to submitting a purchase order for hazardous materials or

chemicals. If there is a MSDS, staff may submit a purchase order. If there is not a MSDS, the Maintenance Manager and Safety Manager must approve the product and ensure that a MSDS is sent with the product by requesting it on the purchase order. When the MSDS is obtained, staff will send the MSDS to the Maintenance Manager when a new product is received. The Maintenance Manager may assign a Hazardous Material Part Number (HMPN) and approve the product.

When a MSDS is received, the Maintenance Manager will review the data, the hazard code and update if necessary, may assign a permanent HMPN, enter the information into the master chemical list data files and distribute copies of the MSDS to all appropriate files and requesters.

Procurement staff will accept a purchase order for hazardous materials/chemicals only from the division Maintenance Manager. The purchase order will be processed in a normal manner.

Staff that receives non-purchased vendor samples must submit all samples and MSDS to the division Maintenance and Safety Managers for approval.

Chemicals in Unlabeled Pipes

Prior to starting work in areas that have unlabeled pipes, the employee must contact the division Maintenance and Safety Managers for information regarding:

The chemical in the pipes;

Potential hazards; and

Safety precautions to be taken.

Physical Agent Labeling (noise, heat, ionizing and non-ionizing radiation)

The Maintenance and Safety Managers will label all equipment or work areas that generate harmful physical agents at a level which may be expected to approximate or exceed the permissible exposure limit (PEL). Facilities having these areas must develop facility instruction identifying these areas, precautions to be observed in those areas (including personal protective equipment), and signs and symptoms of overexposure to those agents.

Container Labeling

The Maintenance Manager and Safety Manager will ensure that all containers received are clearly labeled indicating the contents, the appropriate hazard warning and the name and address of the manufacturer.

The Maintenance Manager and Safety Manager will ensure that all secondary containers are labeled with either an extra copy of the original manufacturer's label or with labels that have the identity and the appropriate hazard warning.

The Maintenance Manager will update the labeling procedures as required.

Hazard Rating Labels

In an area that uses chemicals the Maintenance Manager and Safety Manager will ensure that containers are properly labeled. A hazard rating label is optional if the

container is already appropriately labeled. The label must indicate the level of hazard numerically on a scale ranging from 4 (severe hazard) to 0 (no special hazard). The information must be presented in a diagram as follows:

Color backgrounds must be used for the four categories: HEALTH hazard – blue; FLAMMABILITY - red; REACTIVITY (INSTABILITY) - yellow; protective equipment or other specific information - white.

Health Hazard

There are two sources of health hazards. One arises out of the inherent properties of the material. The other arises out of the toxic products of combustion or decomposition of the material. The hazard degree is assigned on the basis of normal usage conditions. The common hazards from the burning of ordinary combustible materials are not included. The degrees of hazard are ranked according to the probable severity to personnel as follows:

- 4: Extreme Highly Toxic - may be fatal on short term exposure. Special protective equipment required.
- 3: Serious Toxic - avoid inhalation or skin contact.
- 2: Moderate to moderately toxic - may be harmful if inhaled or absorbed.
- 1: Slight to slightly toxic - may cause slight irritation.
- 0: Minimal - all chemicals have some degree of toxicity.

Flammability

Susceptibility to burning is the basis for assigning degrees within this category.

- 4: Extreme - extremely flammable gas or liquid. Flash point below 73° F.
- 3: Serious - flammable. Flash point 73° to 100° F.
- 2: Moderate - combustible. Requires moderate heating to ignite. Flash point 100° to 200° F.
- 1: Slight - slightly combustible. Requires strong heating to ignite.
- 0: Minimal - will not burn under normal conditions.

Reactivity (instability)

The assignment of degrees in the reactivity category is based upon the susceptibility of materials to release energy either by themselves or in combination with water. Fire exposure was one of the factors considered along with conditions of shock and exposure.

- 4: Extreme - explosive at room temperature.
- 3: Serious - may explode if shocked, heated under confinement or mixed with water.
- 2: Moderate - unstable, may react with water.
- 1: Slight - may react if heated or mixed with water.
- 0: Minimal - normally stable, does not react with water.

Material Safety Data Sheets (MSDS)

The Maintenance Manager and the Safety Manager are responsible for establishing and monitoring the facility MSDS program. The Maintenance and Safety Managers will make sure procedures are developed to obtain the necessary MSDS and will review incoming MSDS for new or significant health and safety information. Any new information will be passed on to the affected staff. If a MSDS is not received at the time of the initial shipment, Maintenance Manager will contact the vendor and request the MSDS.

Copies of MSDS for all hazardous chemicals to which staff are exposed or are potentially exposed will be kept in the facility maintenance office and other listed areas.

The Maintenance and Safety Managers will ensure that MSDS are readily available to all employees during each work shift. If an MSDS is not available, the employee may contact the supervisor of that area and must notify the Maintenance and/or Safety Manager.

The Maintenance Manager will ensure that updated MSDS are placed in the file. Files of outdated MSDS will be maintained for 30 years.

Inventory and Control

All flammable, toxic or caustic materials with a hazard rating of 2 or greater in the Health, Flammability or Reactivity sections are required to be controlled and a current and accurate inventory needs to be maintained. This facility will adhere to the following guidelines for all substances meeting this criteria:

Constant and accurate inventories need to be maintained in each area and logged on the Control Log for Issuing Chemicals.

The substances must be issued only under the supervision of authorized staff.

All substances must be issued in the amount necessary for one day's use.

All offenders using the issued substances must be authorized by staff.

Maybe include a couple of examples

- Substances that do not contain one or more of the above properties but are labeled "keep out of reach of children" or "may be harmful if swallowed" are not prohibited. Their use and control must be addressed in facility instructions.
- Diluted products with a hazardous rating "0" or "1" for health, flammability and reactivity do not meet the definition of toxic, flammable or reactive materials and do not require issue logs, but all containers must be labeled.

Employee Training and Information

The Maintenance and Safety Managers will ensure that all program elements of the Right to Know Program specified in this policy are carried out annually.

The Maintenance and/or Safety Manager will provide training [for employees who may be routinely exposed to hazardous substances] in a manner that can be reasonably understood by the employees and must include the following information.

Overview

- An overview of the requirements contained in the Right to Know Act
- The hazardous chemicals present at his/her work place
- The physical and health risks of hazardous chemicals
- How to determine the presence or release of hazardous chemicals in the work area
- How to reduce or prevent exposure to hazardous chemicals through use of control procedures, work practices and personal protective equipment
- How to read labels and MSDS to obtain hazard information
- Location of the MSDS file and written Right to Know Program

Training program for hazardous substances

- The name or names of the substance including any generic or chemical name, trade name, and commonly used name
- The level, if any and if known, at which exposure to the substance has been restricted according to standards, or, if no standard has been adopted, according to guidelines established by competent professional groups which have conducted research to determine the hazardous properties of potentially hazardous substances
- The primary routes of entry and the known acute and chronic effects of exposure at hazardous levels
- The known symptoms of the effects
- Any potential for flammability, explosion or reactivity of the substance
- Appropriate emergency treatment
- The known proper conditions for use of and exposure to the substance
- Procedures for cleanup of leaks and spills
- The name, phone numbers and address of the manufacturer of the hazardous substance
- A written copy of all the above information which is readily accessible in the area or areas that the hazardous substance is used or handled

Training program for harmful physical agents. The training program for employees who may be routinely exposed to harmful physical agents at a level that may be expected to approximate or exceed the permissible exposure limit, or applicable action levels must be provided in a manner that can be reasonably understood by the employees, and will include the information required by the standard for that physical agent which includes the following:

- The name or names of the physical agent including any commonly used synonyms
- The level, if any and if known, at which exposure to the physical agent has been restricted according to standards adopted by OSHA or the EPA; or, if no standard has been adopted, according to guidelines established by competent professional groups which have conducted research to determine the hazardous properties of potentially harmful physical agents.
- The known acute and chronic effects of exposure at hazardous levels.
- The known symptoms of the effects
- Appropriate emergency treatment
- The known proper conditions for use of and/or exposure to the physical agent

- The name, phone number and address, if appropriate, of a manufacturer of the equipment which generates the harmful physical agent
- A written copy of all of the above information will be readily accessible in the area or areas in which the harmful physical agent is present, and where the employees may be exposed to the agent through use, handling or otherwise
- Prior to introducing a new chemical/physical hazard or infectious agent into any area of the facility, the supervisor will give each employee in that area information and training as outlined above for the new hazard.

Hazardous Non-Routine Tasks.

Periodically, employees are required to perform non-routine tasks which are hazardous. Some examples of non-routine tasks are confined space entry and tank cleaning. Prior to starting work on such projects, the Maintenance Manager and/or Safety Manager will give any affected employee information about the hazardous chemicals that he or she may encounter during such activity. This information will include specific chemical hazards, protective and safety measures the employee can use, and steps the facility is taking to reduce the hazards, including ventilation, respirators, the presence of another employee (buddy systems) and emergency procedures

- 1 Informing Other Employees. The Division Management Team and Safety Manager will provide other employers information about hazardous chemicals their employees may be exposed to on a job site, and suggested precautions for employees. The Division Management Team and Safety Manager will obtain an inventory list of hazardous chemicals and corresponding MSDS used by other employers to which employees of our facility may be exposed.

The Division Management Team and Safety Manager will provide other employers MSDS for hazardous chemicals generated or used by the MV Transportation facility's operation. The Division Management Team and Safety Manager will inform other employers of precautionary measures needed to be taken to protect their employees who are exposed to operations performed by the MV Transportation facility. The Division Management Team and Safety Manager will inform other employers of the hazard labels used by the MV Transportation facility. If symbolic or numerical labeling systems are used, the other employers will be provided with information to understand the labels used for hazardous chemicals which their employees may have exposure.

- 2 Hazardous Waste. The Maintenance Manager, or any other departmental manager, must promptly report all significant spills and leaks to the facility Safety Manager. If the container label does not identify the substance as a hazardous waste, staff must follow the directions on the MSDS under spills and submit an incident report.

In the event the material is identified as a hazardous waste, the area must be secured immediately. The Safety Manager will oversee the cleanup, or, if not equipped to do so, will notify proper authorities to assist.

- Regardless of size or contents of the spill, staff will employ all precautionary means (appropriate personal protective gear will be used by anyone participating in this exercise.) The Safety Manager will determine whether an evacuation is

necessary or if a “defend in place” action is sufficient. Spills equal to or greater than five gallons must be reported to the appropriate agency/authority immediately. [Usually the local fire department who, if not appropriate, will notify and engage the proper respondent].

- A copy of this program will be made available to employees of MV Transportation - or to a legally designated representative upon request.

Review

Annually

Material Safety Data Sheets

What is MSDS?

Material Safety Data Sheets explain the potential hazard of a chemical to the user.

Chemical manufacturers are required by the hazard Communication Standard to provide an MSDS to the purchaser of the product at the time of the first order and, thereafter, or anytime the MSDS is revised.

How to Read MSDS

MSDS sheets are broken into sixteen (16) areas:

Product and Company Identification

- Product name
- Manufacture
- Telephone number
- Chemtrec/ Chemical Transportation Emergency Center phone number for transportation emergencies.
- EPA registration number
- Data prepared
- Code number / assigned by manufacture
- Chemical family
- MSDS number

Composition / Information on Ingredients

- CAS regulation number / Chemical Abstract Service number for inert ingredients.

Hazardous Identification

- Emergency overview
- Potential health effects
- Chronic effects

First Aid Measures

- Eyes
- Skin exposure
- Inhalation

- Ingestion
- Notes to physicians

Firefighting Measures

- Flashpoint
- Extinguishing media
- Personal protective equipment
- Special procedures
- Unusual fire and explosion hazards
- Hazardous decomposition materials / by products due to fire.

Accidental Release Measures

- Evacuation procedures and safety
- Containment of spill
- Clean up and disposal of spill
- Environmental and regulatory reporting

Handling and Storage

- Min and Max storage temperatures
- Handling
- Storage

Exposure Controls/Personal Protection

- Ingestion
- Eye contact
- Skin contact
- Respiratory protection
- Engineering controls
- Exposure guidelines

Physical and Chemical Properties

- Color
- Odor
- PH
- Boiling point

Stability and Reactivity

- Chemical stability
- Conditions to avoid
- Chemical incompatibility

Toxicological Information

- Eye and skin irritation
- Oral
- Chronic data

Ecological Information / Testing

- Disposal Considerations
- Transportation Information
- Regulatory Information

Other Information

- Publishing dates
- Amendments

Record Keeping

All MSDS sheets will be kept in a binder marked MSDS. This book will be located in the shop area for quick reference. The binder will be organized and consist of the following:

- An inventory quick reference sheet indicating the PPE required and the hazards they present.
- A table of contents of the chemicals in the binder for quickly finding the correct MSDS.
- Organized into groups for easier locating of MSDS.

Updates

MSDS book should be updated regularly. Anytime a new product is used the MSDS sheet shall be put in the manuals. Anytime a product has been deleted from use then that MSDS sheet shall be removed.

Training

All existing employees working with chemicals will be required to go through an MSDS review class annually to assure that they understand how to read the sheets.

All new employees must go through safety training to assure the correct and efficient locating and interpreting of the MSDS.

Blood Borne Pathogens

SAMPLE ONLY – MUST BE CUSTOMIZED FOR SPECIFIC LOCATION/FLEET

Exposure Control Plan (ECP) for Bloodborne Pathogens

Purpose

This document serves as the written procedures Blood borne Pathogens Exposure Control Plan (ECP) for MV Transportation. These guidelines provide policy and safe practices to prevent the spread of disease resulting from handling blood or other potentially infectious materials (OPIM) during the course of work.

This ECP has been developed in accordance with the OSHA Blood borne Pathogens Standard, 29 CFR 1910.1030. The purpose of this ECP includes:

- Eliminating or minimizing occupational exposure of employees to blood or certain other body fluids.
- Complying with OSHA's Blood borne Pathogens Standard, 29 CFR 1910.1030.

- Assuring exposed employees welfare is looked after.

Administrative Duties

The Safety Officer is responsible for developing and maintaining the program. A copy of the plan may be reviewed by employees. It is located in the Safety and Training office. In addition, the Safety and Training Manager is responsible for maintaining any records related to the Exposure Control Plan. This plan is current as of July 20, 20XX.

If after reading this program, you find that improvements can be made, please contact the Training and Safety Manager. We encourage all suggestions because we are committed to the success of our written ECP. We strive for clear understanding, safe behavior, and involvement from every level of the company.

Exposure Determination

We have determined which employees may incur occupational exposure to blood or OPIM. The exposure determination is made without regard to the use of personal protective equipment (i.e., employees are considered to be exposed even if they wear personal protective equipment).

Job Classes: Global Risk of Exposure

This exposure determination is required to list all job classifications in which employees may be expected to incur such occupational exposure, regardless of frequency. At this facility the following job classifications are in this category:

- Service or maintenance workers responsible for cleaning the interior of vehicles
- Any trained duties including providing CPR or first aid
- Operations Supervisors

Job Classes: Function-Specific Risk of Exposure

In addition, we have identified job classifications in which some employees may have occupational exposure. Not all employees in these categories are expected to have exposure to blood or OPIM. Therefore, tasks or procedures that would cause occupational exposure are also listed to further specify which employees have occupational exposure. The job classifications and associated tasks for these categories are as follows:

- Fueller / Cleaner
- Building and Grounds Technician

Compliance Strategies

This plan includes a schedule and method of implementation for the various requirements of the standard.

Universal precaution techniques developed by the Centers for Disease Control and Prevention (CDC) will be observed at this facility to prevent contact with blood or OPIM. All blood or OPIM will be considered infectious regardless of the perceived status of the source individual.

Engineering and Work Practice Controls:

Engineering and work practice controls will be used to eliminate or minimize exposure to employees at this facility. Where occupational exposure remains after institution of these controls, employees are required to wear personal protective equipment. At this facility the following engineering controls are used:

- Placing sharp items (e.g., needles, scalpels, etc.) in puncture-resistant, leak proof, labeled containers.
- Performing procedures so that splashing, spraying, splattering, and producing drops of blood or OPIM is minimized.
- Removing soiled PPE as soon as possible.
- Cleaning and disinfecting all equipment and work surfaces potentially contaminated with blood or OPIM. Note: We use a solution of ten parts water to one part bleach.
- Thorough hand washing with soap and water immediately after providing care or provision of antiseptic towelettes or hand cleanser where hand-washing facilities are not available.
- Prohibition of eating, drinking, smoking, applying cosmetics, handling contact lenses, and so on in work areas where exposure to infectious materials may occur.
- Use of leak-proof, labeled containers for contaminated disposable waste or laundry.

The above controls are examined and maintained on a regular schedule.

Hand-Washing Facilities

Hand-washing facilities are available to employees who have exposure to blood or OPIM. Sinks for washing hands after occupational exposure are near locations where exposure to blood borne pathogens could occur.

At this facility hand-washing facilities are located:

- At each end of the maintenance shop.

When circumstances require hand-washing and facilities are not available, either an antiseptic cleanser and paper towels or antiseptic towelettes are provided. Employees must then wash their hands with soap and water as soon as possible. Employees can find these hand-washing supplies:

- In the Parts Room first floor.

Supervisors make sure that employees wash their hands and any other contaminated skin after immediately removing personal protective gloves, or as soon as feasible with soap and water.

Supervisors also ensure that if employees' skin or mucous membranes become contaminated with blood or OPIM, then those areas are washed or flushed with water as soon as feasible following contact.

Needles

Employees may not bend, recap, remove, shear, or purposely break contaminated needles and other sharps. If a procedure requires that the contaminated needle be

recapped or removed and no alternative is feasible, then that employee must recap or remove the needle by using a mechanical device or a one-hand technique.

- Report the discovery of a hypodermic needle to your supervisor as soon as possible.

Handling Contaminated Needles and Other Sharps

The procedure for handling contaminated sharps is:

- Contaminated sharps are discarded immediately or as soon as possible in containers that are closeable, puncture resistant, leak proof on sides and bottom, and labeled or color coded. Exposure control equipment is located in the Safety Cabinet in the Fuel Island.

Work Area Restrictions

In work areas where there is a reasonable likelihood of exposure to blood or OPIM, employees are not to eat, drink, apply cosmetics or lip balm, smoke, or handle contact lenses. Food and beverages are not to be kept in refrigerators, freezers, shelves, cabinets, or on counter tops or bench tops where blood or OPIM are present.

Specimens

Specimens of blood or OPIM will be placed in containers, which prevent leakage during their collection, handling, processing, storage, and transport. Any specimen containers, which could puncture a primary container, will be placed within a secondary container, which is puncture resistant.

If outside contamination of the primary container occurs, the primary container shall be placed within a secondary container, which prevents leakage during the handling, processing, storage, transport, or shipping of the specimen.

Since we use universal precautions and specimen containers that are easily recognizable as such, we opt to take OSHA exemption not to label or color code these containers. This exemption applies only when specimens remain in the facility.

Contaminated Equipment

MV requires that equipment, which has become contaminated with blood or OPIM, must be decontaminated before servicing or shipping as necessary unless the decontamination of the equipment is not feasible. Our procedures for equipment decontamination are as follows:

- Use a solution of one part chlorine bleach per ten parts of water
- Perform procedures so that splashing, spraying, and splattering is minimized
- Remove soiled PPE as soon as possible
- Thorough hand washing with soap and water immediately after decontaminating equipment

Personal Protective Equipment:

All personal protective equipment (PPE) used at this facility is provided without cost to the employees. PPE is chosen based on the anticipated exposure to blood or OPIM. The protective equipment is considered appropriate only if it does not permit blood or

OPIM to pass through or reach the employees' clothing, skin, eyes, mouth, or other mucous membranes under normal conditions of use and for the duration of time which the protective equipment will be used.

MV makes sure that appropriate PPE in the appropriate sizes is readily accessible at the work site or is issued without cost to employees by:

- Annual record and use review
- Employee surveys

Hypoallergenic gloves, glove liners, powderless gloves, or other similar alternatives are readily accessible to those employees who are allergic to the gloves normally provided.

We purchase (when consumable), clean, launder, and dispose of personal protective equipment as needed by:

- Contracting American First Aid (EXCEPT FOR DISPOSAL)
- Contacting Health South FOR DISPOSAL

All repairs and replacements are to be made by qualified personnel.

Employees must remove all garments, which are penetrated by blood immediately or as soon as possible.

They must remove all PPE before leaving the work area. When PPE is removed, employees place it in a designated container for disposal, storage, washing, or decontamination.

Gloves

Employees must wear gloves when they anticipate hand contact with blood, OPIM, non-intact skin and mucous membranes; when performing vascular access procedures, and when handling or touching contaminated items or surfaces.

Disposable gloves used at this facility are not to be washed or decontaminated for reuse and are to be replaced as soon as practical when they become contaminated or as soon as feasible if they are torn, punctured, or when their ability to function as a barrier is compromised.

Utility gloves may be decontaminated for re-use provided that the integrity of the glove is not compromised.

Utility gloves will be discarded if they are cracked, peeling, torn, punctured, or exhibit other signs of deterioration or when their ability to function as a barrier is compromised.

Hypoallergenic gloves, glove liners, powderless gloves, or other similar alternatives shall be readily accessible to those employees who are allergic to the gloves normally provided.

Eye and Face Shields

Employees must wear masks in combination with eye protective devices, such as goggles or glasses with solid side shield, or chin length face shields, whenever splashes, spatter, or droplets of blood or OPIM may be generated and reasonably anticipated to contaminate eye, nose, or mouth. Those situations and the corresponding eye face protection include:

- Cleaning the interior of a vehicle which has been contaminated with blood or OPIM.
- On the job injury / illness

Other PPE

Additional PPE selections and such use of head nets, gowns, and foot covering may be necessary to ensure employee safety in regards to blood borne pathogens. Situations where these types of PPE would be necessary include:

- Cleaning up industrial accidents where blood or OPIM is present

Handling Regulated Wastes

When handling regulated wastes, other than contaminated needles and sharps, we make sure it is:

- Placed in containers which are closeable, constructed to contain all contents, and prevent fluid leaks during handling, storage, transportation, or shipping.
- Labeled or color coded and closed prior to removal to prevent spillage or protrusion of contents during handling, storage, transport, or shipping.
- Disposed of in accordance with applicable Federal, State, and Local regulations.

Handling Contaminated Laundry

Laundry contaminated with blood or OPIM is handled as little as possible. Such laundry is placed in appropriately marked (biohazard labeled, or color-coded red bag) bags at the location where it was used. Such laundry is not sorted or rinsed in the area of use.

Information and Training

MV ensures that blood borne pathogens trainers are knowledgeable in the required subject matter. We make sure that employees covered by the blood borne pathogens standard are trained at the time of initial assignment to tasks where occupational exposure may occur, and every year thereafter by the following methods;

- Tracking employee training records
- Initial training

Training is tailored to the education and language level of the employee, and offered during the normal work shift. The training will be interactive and cover the following:

- The standard and its contents.
- The epidemiology and symptoms of blood borne diseases.
- The modes of transmission of blood borne pathogens.
- MV Blood borne Pathogen ECP, and a method for obtaining a copy.
- The recognition of tasks that may involve exposure.
- The use and limitations of methods to reduce exposure, for example engineering controls, work practices and personal protective equipment (PPE).
- The types, use, location, removal, handling, decontamination, and disposal of PPEs.
- The basis of selection of PPEs.
- The Hepatitis B vaccination, including efficacy, safety, method of administration, benefits, and that it will be offered free of charge.

- The appropriate actions to take and persons to contact in an emergency involving blood or OPIM.
- The procedures to follow if an exposure incident occurs, including the method of reporting and medical follow-up.
- The evaluation and follow-up required after an employee exposure incident.
- The signs, labels, and color coding systems.

Additional training is provided to employees when there are any changes of tasks or procedures affecting the employee's occupational exposure. Employees who have received training on blood borne pathogens in the 12 months preceding the effective date of this plan will only receive training in provisions of the plan that were not covered.

Recordkeeping

Training records shall be maintained for three years from the date of training. The following information shall be documented:

- The dates of the training sessions;
- An outline describing material presented;
- The names and qualifications of persons conducting the training;
- The names and job titles of persons attending the training sessions.

Medical records shall be maintained in accordance with OSHA Standard 29 CFR 1910.20. These records shall be kept confidential, and must be maintained for at least the duration of employment plus 30 years. The records shall include the following:

- The name and social security number of the employee.
- A copy of the employee's HBV vaccination status, including the dates of vaccination.
- A copy of all results of examinations, medical testing, and follow-up procedures.
- A copy of the information provided to the healthcare professional, including a description of the employee's duties as they relate to the exposure incident, and documentation of the routes of exposure and circumstances of exposure.

Availability

All employee records shall be made available to the employee in accordance with 29 CFR 1910.20. All employee records shall be made available to the Assistant Secretary of Labor for the Occupational Safety and Health Administration and the Director of the National Institute for Occupational Safety and Health upon request.

Transfer of Records

If this facility is closed or there is no successor employer to receive and retain the records for the prescribed period, the Director of the NIOSH shall be contacted for final disposition.

Evaluation and Review

This program and its effectiveness is reviewed every year and updated as needed. All provisions required by this standard will be implemented by the Safety and Training manager.

Hepatitis B Vaccination Program

MV offers the Hepatitis B vaccine and vaccination series to all employees who have occupational exposure to blood borne pathogens, and post exposure follow-up to employees who have had an exposure incident.

All medical evaluations and procedures including Hepatitis B vaccine and vaccination series and post exposure follow-up, including prophylaxis are:

- Made available at no cost to the employee.
- Made available to the employee at a reasonable time and place.
- Performed by or under the supervision of a licensed physician or by or under the supervision of another licensed healthcare professional.
- Provided according to the recommendations of the U.S. public Health Service.

All laboratory tests are conducted by an accredited laboratory at no cost to the employee. Hepatitis B vaccination is made available:

- After employees have been trained in occupational exposure (see information and Training).
- Within 10 working days of initial assignment.
- To all employees who have occupational exposure unless a given employee has previously received the complete Hepatitis B vaccination series, antibody testing has revealed that the employee is immune, or the vaccine is contradicted for medical reasons.

Participation in a pre-screening program is not a prerequisite for receiving Hepatitis B vaccination. If the employee initially declines Hepatitis B vaccination but at a later date while still covered under the standard decides to accept the vaccination, the vaccination will be made available. All employees who decline the Hepatitis B vaccination offered must sign the OSHA- required waiver indicating their refusal.

If a routine booster dose of Hepatitis B vaccine is recommended by the U.S. public Health service at a future date, such booster will be made available.

Post-Exposure Evaluation and Follow-Up

All exposure incidents are reported, investigated, and documented. When the employee is exposed to blood or OPIM, the incident is reported to the Safety and Training Manager. When an employee is exposed, he or she will receive a confidential medical evaluation and follow-up, including at least the following elements:

- Documentation of the route of exposure, and the circumstances under which the exposure occurred. Identification and documentation of the source individual, unless it can be established that identification is infeasible or prohibited by state or local law. State or local laws may affect the investigation or documentation of exposure incidents.
- The source individual's blood shall be tested as soon as feasible and after consent is obtained in order to determine HBV and HIV infectivity. If consent is not obtained, the Safety and Training Manager establishes that legally required consent cannot be obtained. When the source individual's consent is not required by law, the source individual's blood, if available, will be tested and the results documented.

- When the source individual is already known to be infected with HBV or HIV, testing for the source individual's known HBV or HIV status need not be repeated.
- Results of the source individual's testing are made available to the exposed employee, and the employee is informed of applicable laws and regulations concerning disclosure of the identity and infectious status of the source individual.

Collection and testing of blood for HBV and HIV serological status will comply with the following:

- The exposed employee's blood is collected as soon as possible and tested after consent is obtained;
- The employee will be offered the option of having their blood collected for testing of the employee's HIV/HBV serological status. The blood sample will be preserved for up to 90 days to allow the employee to decide if the blood should be tested for HIV serological status.

All employees who incur an exposure incident will be offered post-exposure evaluation and follow-up according to the OSHA standard. All post exposure follow-up will be performed by Health South.

The healthcare professional responsible for the employees Hepatitis B vaccination is provided with the following:

- A copy of CFR 1910.1030.
- A written description of the exposed employee's duties as they relate to the exposure incident.
- Written documentation of the route of exposure and circumstances under which exposure occurred.
- Results of the source individuals blood testing, if available.

All medical records relevant to the appropriate treatment of the employee, including vaccination status.

MV obtains and provides the employee with a copy of the evaluating healthcare professional's written opinion within 15 days of the completion of the evaluation.

The healthcare professional's written opinion for post-exposure follow-up is limited to the following information:

- A statement that the employee has been informed of the results of the evaluation.
- A statement that the employee has been told about any medical conditions resulting from exposure to blood or OPIM which require further evaluation or treatment.

Note: All other findings or diagnosis shall remain confidential and will not be included in the written report.

Biohazard labels are affixed to containers of regulated waste, refrigerators, and freezers containing blood or OPIM, and other containers used to store, transport, or ship blood or OPIM. The universal biohazard symbol is used. The label is fluorescent orange or orange-red. Red bags or containers may be substituted for labels.

Blood products that have been released for transfusion or other clinical use are exempted from these labeling requirements.

PERSONAL PROTECTIVE EQUIPMENT

All maintenance employees, including Managers, Supervisors, Technicians, and Utility workers etc. who work in the maintenance department, are required to use personal protective equipment to assure their own personal safety.

Safety Glasses and Face Shields

Safety glasses must be worn at all times when working in the shop, fueling and cleaning vehicles. Every shop should have spare glasses for visitors and vendors who may walk or be working in the maintenance area.

Face shields must be worn when using compressed air or liquids to clean parts and when performing all wire wheel, grinding and cutoff wheel operations. Even though these machines are equipped with shields and guards, a face shield must be worn. The company will provide Safety Glasses and Face shields.

Safety Shoes

OSHA approved, leather constructed safety shoes must be worn at all times. Safety shoes are a condition of employment and must be provided by employee.

Chemical Masks

Chemical masks must be worn when using chemicals and cleaning solutions in a confined area. Employees should wear a cartridge-type respirator when spray painting, fine sanding, sandblasting or working in the same area of someone doing this work.

Protective Gloves

Employees working with chemicals and products, which could be hazardous to their health, must wear rubber gloves. Gauntlet gloves will be worn by welders when arc welding or cutting. The company will provide gloves.

Earplugs

Employees working around loud machinery and equipment shall wear earplugs to prevent damage to hearing. The company will provide earplugs.

HAND TOOLS

Hand tools are so simple and basic that we don't even think about them in terms of safety. But as anyone knows who's ever gotten a puncture wound from a screwdriver or chisel, or hit a finger instead of a nail with a hammer, there's no such thing as a foolproof instrument. The purpose of this meeting is to make sure we're not fools with tools.

General Hazards

Hand tools are really well-designed for their tasks. Problems arise from the way we use or handle them. Here are some of the types of injuries resulting from improper use of hand tools:

- Broken bones and bruises from tools that slip, fall, or are thrown
- Eye injuries from flying chips or flying pointed tools
- Cuts, severed arteries, and even finger amputations from saws or cutting tools that slip
- Puncture wounds from flying chips or pointed tools.

All of these injuries can and should be prevented by thinking ahead and thinking safety.

Safety Procedures

You shouldn't have any problem using hand tools if you keep these safety guidelines in mind.

- Use the right tool for the job. Select a wrench that's the right size. Don't use a nail hammer on a metal chisel or a file, or a screwdriver instead of a pry bar, or pliers instead of a wrench. Don't use standard sockets in lieu of an impact socket.
- Inspect tools before use to make sure they're in good condition.
- Discard or fix unsafe tools like:
 - dull saws
 - screwdrivers with broken tips or handles
 - hammers with chipped or loose heads or broken handles
- Use tools correctly and with common sense. Don't pull a knife toward you or use a screwdriver on something you're holding in your hand. Think about what would happen if the tool slipped and position yourself to avoid injury.
- Use protective equipment. If there's any danger of small flying objects, wear safety goggles. Don't wear loose clothes or jewelry that could get caught in the tools. Wear safety shoes if there's any risk of something falling on your foot.
- Store tools safely. Don't leave them where they could fall on someone or where an exposed sharp edge could come in contact with an exposed body.

Carrying Tools

A lot of injuries with hand tools occur when they're being carried from place to place or when they're left somewhere and forgotten.

Use a toolbox or belt. Make sure any pointed tools such as screwdrivers are carried with the pointed edges away from your body. If you're carrying tools up a ladder, haul them up in a bag or bucket and bring them down the same way. It's nearly impossible to hold on to a ladder and tools at the same time.

Even if you're only carrying one or two small tools a short distance in your pocket, be sure the points are not sticking up or toward your body.

Keep track of your tools and don't leave them lying around, especially if you're working above ground level. Too often, they're forgotten; an accidental kick or other movement can send them down on some unsuspecting person below. Even a small tool can deal a mighty blow when it comes at you that way.

Hand, don't throw, tools to another person. Pass them handle first. If pointed tools have a carrying case, pass them along in the case.

Suggested Discussion Questions

What are some of the kinds of injuries you can get from hand tools?

What are some of the hand tools we use on the job here?

What are some of the ways you can avoid hand-tool injuries?

What should you remember about carrying tools?

Are there any other questions?

Wrap-Up

Hand tools may not be the most hazardous items in the workplace, but that's the main reason why you have to make an effort to use them safely. They're so simple and basic that we forget that they can be dangerous if they're misused.

Hand Tools Safety Checklist

- Use the right tool for the job.
- Check that tools are in good condition before use.
- Use tools correctly.
- Position yourself so that if a tool that falls or slips it won't cause an injury.
- Wear safety goggles and clothes that won't get in the way of the tools.
- Store tools safely, with sharp edges away from people.
- Carry tools in a box or belt.
- Carry tools with sharp edges pointed away from your body.
- Haul tools up ladders in a container; don't carry them.
- Don't leave tools lying around, especially in locations above ground level
- Pass tools to another person handle first.

POWER TOOLS

One of the main hazards of power tools is that we tend to underestimate them. We don't realize that they have the same potential as their larger cousins to grab careless operators into points of operation such as saw blades, causing serious injuries.

In addition, like any electrical equipment, they pose the risk of fire, shock, or electrocution.

Finally, most power tools create dust, shavings, or other small flying objects that can be another source of injury.

Identifying Hazards

We're not going to review all the operating instructions for all the power tools we use today. What we are going to do is review the principles of safe power tool use, and I hope you home handymen will pay particular attention because most of this applies to what you do at home, too.

There are several general types of hazards you can encounter with these tools, all of which are easy to prevent.

- Unguarded points of operation.
- Electrical problems: bad cord insulation, poor connections, broke plugs.
- Flying pieces of scrap.
- Physical injury resulting from dropping a tool or straining to lift one.
- Defective tools or tools needing repair.

Protection against Hazards

When working with any tool, you should make every effort to keep your hands (and other body parts) away from the point of operation.

Most tools help you with that because they come with guards around the point of operation. As with larger pieces of equipment, however, not everyone takes advantage of the guards. They're removed intentionally, or during maintenance and repair, and not replaced.

Another built-in safety feature—required by OSHA in some instances—is an instant-off. You generally turn off these tools by either

- Releasing your finger from the switch you hold to keep it on, or
- A one-motion press or flip of an easily accessible button or switch.

In addition to the built-in protections, there are some easy ones you can add. One of the most important is safety goggles. They're your best safeguard against being injured by flying pieces of wood, metal, or spark.

Since most power tools are electric, you can protect yourself from fire and shock by being sure that the tool is grounded, cords are well insulated, and plugs and connections are good.

Safety Procedures

Power tool safety is mainly common sense. I'm sure you do most of these things automatically most of the time. Our aim here is to raise that percentage to 100 percent and eliminate accidents.

Here's what's important:

- Select the right tool for the job. Don't try to make them do something they're not designed for.
- Inspect each tool before use to make sure it's not missing anything.
- Check that the tool is in good working order: saw blades sharp, etc.
- Become familiar with the manufacturer's instructions and follow them.
- Practice electrical safety by:
 - making sure cord insulation is intact
 - using the correct plugs—3-pronged cords go into 3-pronged outlets
 - turning off tool and power before adjusting or repairing a tool.
- Wear safety goggles.
- Wear a face mask if you're creating a lot of dust.
- Don't wear loose clothes, ties, jewelry, or gloves that could get caught in the machinery.
- Keep the work area clean. Be especially careful of flammable liquids or liquid-soaked rags that could catch fire if ignited by a spark from the tools.
- Keep cords off the floor so no one trips over them.
- Store power tools in their assigned locations or, at the least, away from locations where they could fall on someone or get turned on accidentally by someone brushing against them.

Power Tool Safety Checklist

- Check that all power tools have guards around point of operations and one-move on/off switches.
- Keep body parts and clothes away from the point of operation.
- Select the right tool for the job.
- Inspect each tool before use.
- Follow manufacturer's instructions.
- Check electrical safety:
 - sound cord insulation
 - good insulation
 - outlets that match plugs.
- Turn off tool and power before adjusting or fixing a tool.
- Wear safety goggles.
- Wear a face mask if you're creating a lot of dust.
- Don't wear loose clothes, ties, jewelry, or gloves that could get caught in the machinery.
- Keep the work area clean. Be especially careful with anything flammable.

- Keep cords off the floor.
- Store power tools in their assigned locations.

LADDERS

Introduction/Overview

Ladders are pretty uncomplicated devices. But, unfortunately, they cause more than their share of accidents. That's not the ladders' fault. These accidents happen when people select the wrong ladder for the job, don't inspect it before using it, or get careless about how they use it.

The basics of ladder safety are a combination of a little bit of knowledge and a lot of common sense. Today we're going to go over the knowledge aspects of ladder safety so that you can apply your own common sense when you use them.

General Hazards

People often fall off ladders, resulting in injuries that can range from bruises to broken bones. Occasionally, the result is death. Falls account for almost 13 percent of workplace deaths and over 16 percent of workplace injury, and ladders are involved in many of those accidents.

There are several potential hazards when you work with a ladder:

- Poor condition. If a ladder is missing parts or has parts that are not intact, it's not going to be able to support a person safely. Frequent inspections are a key part of ladder safety.
- Improper selection. Not every ladder is right for every use. You should be aware of a ladder's weight and height limits. It's also critically important to never use a metal ladder near live electrical wires. Since metal conducts electricity, you could be electrocuted.
- Improper use. Ladders are designed to get you to a higher level. They are not platforms, scaffolds, skids, or braces and should be used only for their purpose.
- In addition, when you have to climb, use a ladder and not a chair, box, or other substitute.
- The way you use a ladder can also promote safety or cause accidents.

Identifying Hazards

Always inspect a ladder before you use it and include ladders in any general safety inspection. Whether the ladder is wooden or metal, check that:

- Steps and rungs are all in place, intact, free from grease or oil, have slip resistant surfaces, and are firmly attached.
- Support braces, bolts and screws are all in place and tight.
- Metal parts are lubricated.
- Rope is not worn or frayed.
- Spreaders or other locking devices are in place.
- Splinters or sharp edges are removed.
- Safety feet are in place.
- Metal ladders are not dented or bent.

If a ladder has anything missing or broken, don't use it. Tag it as defective and remove it from service.

Don't try to fix a ladder yourself. Often they can't be fixed and have to be destroyed, but leave that for experts to decide. A ladder that has been exposed to fire or corrosive chemicals is also a candidate for destruction. Don't use it.

Make sure that ladders are stored correctly, too.

They should be kept in dry areas with moderate temperatures and good ventilation. It's best to store them standing up. But if they have to be stored lying down, make sure they're supported at both ends and in the middle so they won't sag or warp. Nothing should be kept on a stored ladder either, or it will warp.

Protection Against Hazards

The first step in protection from safety hazards with ladders is to select the right ladder for the job.

First, ladders are rated by how much weight they can safely hold. The weight limits include both you and any equipment you're carrying.

- I-A means it can hold 300 pounds (heavy duty)
- I holds 250 pounds (heavy duty)
- II holds 225 pounds (medium duty)
- III holds just 200 pounds (light). These are generally not for use on the job.
- Check the ratings before you select a ladder.
- You should also be aware that there are limits on ladder length.
- A stepladder should be no more than 20 feet high.
- A one-section ladder should be no more than 30 feet.
- An extension ladder can go to 60 feet, but the sections must overlap.

Ladder Setup

Although you've used ladders numerous times, you may not be aware that there is a correct way to set one up. Following this procedure will go a long way toward preventing accidents:

- Place ladder on level surface; use wide boards under it if you're on soft ground.
- Set the feet so they're parallel with the surface the ladder rests against.
- Extend the ladder so there's at least 3 feet above the top support.
- Anchor the top and either tie the bottom or have someone hold it.
- Don't rest the ladder on a window or window sash or place it in front of a door unless it's locked or blocked.
- Position the ladder so that the distance from the ladder base to the wall is one-fourth the length of the ladder.
- Position an extension ladder before you extend it.

Safety Procedures

Once the ladder is set up properly, it's up to you to use it properly so you don't get hurt. As a starter, you shouldn't use a ladder at all if you have a real fear of heights or a tendency toward dizziness or fainting. With that in mind, here are the guidelines for safe ladder use:

- Only have one person on a ladder at a time.
- Wear shoes with clean, nonskid soles—not leather.
- Face the ladder while climbing up or down and hold the side rails with both hands.
- Carry tools up or down on a belt or with a rope or hoist, not in your hands.
- Work with one hand on the ladder, keeping your tools in a hanger or holder.
- Don't step on the top two stepladder steps or top four ladder rungs.
- Keep your body centered on the ladder so your belt buckle is between the side rails.
- Don't move a ladder while you're on it.
- Keep your own movements on a ladder slow and cautious.

One other safety hint

It's best to have two people carry a ladder. If, however, you have to carry one yourself, balance the center on your shoulder. Position it so the front end is above your head and the back end near the ground.

Wrap-Up

Ladders are certainly useful, and there's no reason for them to be the cause of accidents if you check them carefully before use, set them up safely, and exercise caution when working on them. You might want to keep these points in mind with the ladders you have at home, too. Give them a careful inspection; you may find yourself checking the home center ads for a replacement when you see what you've got.

Ladder Safety Do's and Don'ts Checklist

Do:

- Select a ladder that's the right length and weight capacity for the job.
- Inspect ladders before use.
- Make sure rungs or steps are in good condition, have non-slip surfaces, and are free of grease and oil.
- Keep metal parts lubricated.
- Check that there are no splinters or sharp edges.
- Check that support braces, bolts, screws, etc., are in good condition.
- Store ladders in a dry, well ventilated areas with moderate temperatures.
- Store ladders in the preferred vertical position or horizontally with supports at each end and in the middle.
- Position ladders on a firm level surface.
- Set ladder feet parallel to the surface it rests against.
- Anchor the ladder top.

- Have the ladder bottom tied or held.
- Extend the ladder at least 3 feet above the top support.
- Angle the ladder so the distance from the bottom to the wall equals one fourth the ladder's working length.
- Position an extension ladder before extending it.
- Wear shoes with clean, nonskid soles.
- Face the ladder when climbing up or down.
- Use both hands to climb.
- Carry tools up with a rope, belt, etc.
- Keep one hand on ladder while working.
- Keep tools in a holder while working.
- Keep between the side rails while working.
- Move slowly and cautiously on a ladder.

Don't:

- Use a ladder for any other purpose.
- Use boxes, chairs or anything else in place of a ladder.
- Use a metal ladder near live electric wires.
- Use a ladder with missing or broken parts.
- Use a ladder with worn or frayed rope.
- Use a ladder that's been exposed to fire or corrosive chemicals.
- Store anything on a ladder.
- Rest a ladder on a window or window sash.
- Place a ladder in front of a door unless it's locked or blocked.
- Allow more than one person on a ladder.
- Climb ladders if you're afraid of heights or tend toward fainting or dizziness.
- Move a ladder while you're on it.

HOIST AND LIFTS

All maintenance personnel at each division who will be using lifting equipment must be trained on the proper and safe way to lift the vehicles. The following training must be completed **prior to operating any vehicle lifting equipment.**

- Take attendance with a printed sheet of each technician in the class. All attendees must sign their name in the space provided on the attendance sheet.
- Perform 1 hour of classroom instruction on "safe and correct vehicle lifting." This should include review of the vehicle manufacturer's maintenance manual on instructions for proper lifting of vehicles.
- Perform approximately 2 hours of application and observation of the actual operating of the lift.
- Each student will have an objective task list regarding vehicle lifting. The instructor or maintenance manager will initial each task correctly completed by the student. The manager and student will sign the bottom of the task list in the spaces provided.
- Submit a written test with the technician's signature on the test.

All maintenance personnel will attend these classes at their division **prior to operating any vehicle lifting equipment.** The following outline must be instructed to assure the technicians are proficient in the correct and safe operation of all types of lifting devices used by the company.

- Types of lifting devices.
 - Hydraulic floor jack
 - Bumper jack
 - Vehicle lift or hoist
 - Transmission jacks
 - Ramps
- Jack Safety Stands
 - To be used any time a vehicle is raised more than 4" from the bottom of the tire to the ground.
- Load capacity
 - Must be on each lifting device.
 - Must have proper rating for weight of equipment to be lifted.
- Operation
 - Correct location for each lifting situation.
 - Make sure you are on a solid level surface.
 - Stay alert and make sure all lifts are working properly and the vehicle raises and lowers in a level position.
 - Lower vehicle down onto safety stands and lower the lift down until the safety lock catches. Always make sure there is a mechanical lock that is in good working order on each lift.
 - When a shift change occurs, prior to beginning work, it is the responsibility of the new person assigned to work on the vehicle to inspect the lift and safety stands.
 - All lifts should be lowered to the ground if there is going to be an extended time that vehicles are not being worked on and at night if the shop is closed.

- Maintenance and Inspection
 - Inspect vehicle lifting devices on a routine basis.
 - Lubricate all points indicated by the manual.
 - Check cables and chains for any damage.
 - Check for any hydraulic leaks.
 - Check for safety lock operation.
 - Check for level and stability.
 - Inspect and check for proper operation.

FIRE SAFETY

Fire Extinguishers

Fire extinguishers are classified on the basis of what types of fires they are most effective in handling:

- CLASS A extinguishers should be used for fires involving ordinary combustible materials such as paper, wood, and textiles.
- CLASS B extinguishers should be used for fires involving flammable materials such as gasoline, oils, lacquer, thinner, paints, and greases.
- CLASS C extinguishers should be used for fires in electrical equipment.
- CLASS D extinguishers should be used for fires involving metals.
- Fire extinguishers are provided for use within specific areas and are considered "first aid" to control fire in the early stages.

Introduction/Overview

Most firefighting is best left to professionals, whether the trained group in this company or the local fire department.

But there are some small fires that we can handle ourselves with the portable fire extinguishers the company provides, and that's what we'll be talking about today.

Not all fire extinguishers are the same; they are designed to handle different types of fires. So it's very important to understand which to use when, because the wrong choice not only won't put out the fire, but could make it worse.

There are four types of fire extinguishers. Each one is designed for specific types and sizes of fires.

The fire extinguishers are labeled according to a system developed by the National Fire Protection Association. Let's look at them now.

Class A Extinguishers

Class A extinguishers are used to put out fires involving ordinary burnables like wood, paper, rags, cloth, or trash, when you want to wet down and cool the area. The extinguishers themselves may use water, water base, foam, loaded steam, or a multipurpose dry chemical to put out the fire.

Class A extinguishers also have a number; they're labeled 1-A, 2-A, etc. The higher the number, the larger the fire that the extinguisher can handle. A 2-A extinguisher can handle a fire twice as large as a 1-A; a 3-A three times as large as a 1-A.

Class A extinguishers, according to OSHA, have to be no more than 75 feet from the work area where they're likely to be used.

Most Class A fires are fairly small, and you must be careful not to make them bigger.

If, for instance, you have a wastebasket fire, be careful not to spread the fire by blowing the burning papers out of the wastebasket.

Class B Extinguishers

Class B extinguishers are used to put out fires involving gases or flammable liquids such as oil, gasoline, paint, solvents, and grease. The extinguishers may use carbon dioxide, foam, or dry chemicals to put out the fire either by cutting off oxygen or reducing flame.

Class B extinguishers also have numbers. With Class Bs, the numbers tell how many square feet the extinguisher can handle. A 5-B should be able to put out a five-square-foot fire, a 10-B a 10-square-foot fire, etc.

Class B extinguishers are required to be no more than 50 feet from the possible scene of the fire.

Class C Extinguishers

Class C extinguishers are used for fires involving or surrounding electrical equipment fires.

It's very important that you never use water on an electrical fire. Water conducts electricity and using it on an electrical fire could mean a dangerous shock for the person operating the extinguisher.

The Class C extinguishers usually use carbon dioxide or a dry chemical to put out fires. These extinguishers do not have numbers.

Combination Extinguishers

Combination ABC or BC extinguishers are used when a fire combines one or more of the three types of fires we've discussed.

Class D Extinguishers

Class D extinguishers are used for fires in combustible metals, including sodium, magnesium, zinc, potassium, powdered aluminum, and titanium. They're required in any operation that generates combustible metal powders, flakes, or shavings at least once in a two-week span, and have to be kept within 75 feet of where they would be used.

Class D extinguishers don't have numbers. They're considered for "special" hazard protection only.

We have extinguishers in the following categories (list) and here's where they're located (list).

Safety Procedures

Now you know what kind of extinguisher to use on what kind of fire. The actual operating procedure is fairly simple. You:

- Pull the pin
- Stand about eight feet from the fire
- Aim the hose at the base of the fire
- Squeeze the trigger.

However, aim is very important. If your first shot isn't on target you can lose it, because a fire extinguisher generally only lasts 3 to 20 seconds.

Remember that while you have to know how to identify and use fire extinguishers, that doesn't make you a firefighter. Don't try to be a hero. If the fire looks like it might be too big for you, don't even attempt to put it out. Let the professionals do it.

COMBUSTIBLE FLUIDS

Introduction/Overview

Many operations use flammable and combustible liquids such as gasoline, kerosene, solvents, strippers, alcohol, and benzene.

These liquids present an obvious danger. Even small amounts may cause fires or explosions. The danger is not the liquids themselves, but the fire or explosion risk that's created when their vapors mix with air and are exposed to an ignition source.

Often these vapors are invisible and odorless. They're heavier than air, so they sink and can build up at ground level. The greater the vapor concentration, the greater the chance of fire or explosion. The fires also tend to spread fast, so people can be badly injured or even die before emergency response teams can take action.

Flammable and combustible liquids are so common that the biggest risk is taking them for granted and forgetting their real hazards.

General Hazards

A combustible substance is one that has the ability to burn given the right conditions. A flammable substance is one that's more likely to burn and to burn more rapidly. Under certain conditions, these substances may also explode and cause an even greater disaster.

Flammable and combustible liquids are defined by their flash points. That's the lowest temperature at which a liquid gives off vapors in enough concentration to catch fire in the air.

- A combustible liquid is one with a flash point at or above 100° F.
- A flammable liquid has a flash point below 100° F.

The lower a liquid's flash point, the more likely its vapors are to ignite. Gasoline and benzene, for instance, both have low flash points.

To prevent fires and explosions, always keep flammable and combustible liquid vapors away from anything that could start a fire. Known as ignition sources, OSHA says these fire-starters include, but aren't limited to:

- Open flames
- Lightning
- Smoking
- Cutting and welding operations
- Hot surfaces
- Frictional heat
- Static, electrical, and mechanical sparks
- Spontaneous ignition, including heat-producing chemical reactions
- Radiant heat

Identifying Hazards

To work safely around flammable and combustible liquids, you have to know when they're present. Fortunately, that information is readily available.

Look for signs that identify storage buildings, rooms, and cabinets that contain flammables. The background or letters are usually red, to catch your attention, with words like:

- DANGER
- FLAMMABLE
- COMBUSTIBLE

Signs may also include more specific precautions like "No Smoking" or "Keep flames and heat away."

Smaller quantities of flammable liquids are kept in special storage cabinets that must be labeled FLAMMABLE—KEEP FIRE AWAY in large letters.

Container labels are still another source of information. The label will use words or the color red to tell you if a substance is a fire or explosion hazard.

To find out how serious the hazard is, check the MSDS for the liquid's flash point. Remember: the lower the flash point, the greater the hazard.

Be aware and informed about flammable and combustible liquids at all times. Read—and obey—all warning signs. And always check the hazard and protective information on labels and MSDSs before starting any job with a potentially hazardous substance.

Protection Against Hazards

Proper storage is one of the best ways to keep these liquids from causing fires or explosions. The OSHA regulation includes a number of aboveground and underground tank requirements designed to keep vapors from escaping and coming into contact with ignition sources. For example, OSHA requires protections like noncombustible construction, venting systems, and stable, fire-resistant supports or foundations. Aboveground tanks must be at least three feet apart, with dikes or drainage around them so leaks won't get into water supplies.

Smaller tanks or containers are kept only in special storage buildings, rooms, or cabinets. OSHA carefully defines the location and construction of these storage areas, as well as the maximum quantities they can hold. Storage buildings and rooms have to be fire-resistant, clearly marked and secured, and well-ventilated. They can't contain ignition sources such as furnaces or electrical panels. To allow effective firefighting if necessary, OSHA doesn't permit us to store water-reactive chemicals with flammables and combustibles.

Here are some other OSHA requirements to prevent fires and explosions in areas where these liquids are stored:

- Keep area free of weeds, debris, and other combustible materials.
- Stack portable containers so they nest—and never stack containers of 30 gallons or more in inside storage rooms.

- Keep exits and stairways clear.
- Maintain a clear aisle at least three feet wide.
- Provide at least three feet clearance around sprinklers.

As added protection, OSHA requires fire-resistant construction for the storage tanks and containers that hold flammable and combustible liquids. Tanks and containers must also have emergency venting devices to prevent pressure buildup when they're exposed to heat.

Even the safety cans you use for up to five gallons of flammable liquids must meet fire-prevention design standards. These containers have to have:

- Leak-tight, corrosion-resistant metal or plastic construction
- Spring-closing lid and spout cover
- Venting devices to prevent hazardous vapor pressure buildup

Many also have flame arresters that absorb and dissipate heat before it reaches the contained liquids.

This careful attention to flammable and combustible liquid storage goes a long way toward preventing fires and explosions. But these substances wouldn't be around if we didn't sometimes have to use them. So we also have to know and follow important precautions every time we open, handle, or use a container.

Safety Procedures

The first safety rule to follow is simple: Keep all flammables and combustibles away from sources of ignition. Never smoke or light a match anywhere near a flammable or combustible liquid. Keep these substances away from open flames and hot work. Use non-sparking tools and, when necessary, explosion-proof electrical equipment.

It's just as important to keep the flammable or combustible vapors out of the air. Always keep containers closed when they're not in use. Treat empty containers that have held flammable and combustible liquid as carefully as full ones. Just a little residue can give off the same dangerous vapors.

When you need a flammable or combustible liquid for a job, follow these OSHA rules:

- Take only the amount you need for the job.
- Transfer or withdraw the liquids either outdoors or in a ventilated area that's either fire-resistant or far enough from other operations to be safe.
- Have fire extinguishers located close by.
- Be sure there's drainage or some other way to control spills.
- Be prepared to clean up any spills quickly and correctly.
- Use a method that prevents spills or static electricity—either a closed piping system or grounding.

Keep in mind that it's the vapors, not liquids that are the fire and explosion risk. Clothes, rags, or other combustible items that absorb liquids can also give off vapors and ignite. So follow these precautions:

- Keep the work area clean and free of dust, paper, and debris.

- Promptly remove any clothing that absorbs flammable or combustible liquids.
- Place oily rags and similar debris in proper closed metal containers, which must be emptied daily.

One last thing: Fire and explosion may not be the only hazards of flammable and combustible liquids. Read the MSDS carefully, and keep these liquids away from any reactive substance. Don't risk any listed health hazards that are linked to inhaling, swallowing, or skin or eye contact.

You will often need to use PPE to prevent exposure to health hazards. Any PPE must, of course, be selected, fitted, worn, and decontaminated properly.

Wrap-up

Almost every business and home contains some flammable and combustible liquids. Just because they're common doesn't mean they're not potentially dangerous.

Vapors from these liquids can easily start a fire or explosion if they contact an ignition source. The fires can start fast and spread faster. So take every precaution.

- Read and follow all safety instructions on container labels, warning signs, and MSDSs.
- Store flammables and combustibles in the proper areas and containers.
- Take just what you need for a job and keep containers closed when not in use.
- Keep all ignition sources far from flammables and combustibles.
- Transfer and withdraw liquids carefully and correctly, and clean up any spills immediately.

ELECTRICAL SAFETY

Introduction/Overview

Electricity provides us with lights and power, both on the job and at home. It's such a normal part of our lives that we often forget that all that power can be dangerous, too.

We've all experienced minor electric shocks, but shocks can be severe enough to kill. Careless use of electricity causes 10 percent of job-related deaths, as well as many serious injuries.

Our objective today is to get an idea of how electricity works, and learn how to identify potential hazards and use electricity safely. We'll also learn about certain particularly risky jobs that can only be performed by specially trained, qualified workers, and how all workers can be protected when working around live wires and parts. At the end of the session, you'll receive an electrical safety "Do's and Don'ts" list that you can use as a reminder. It should be as useful to you at home as it is here on the job.

General Hazards

A key reason for all these protections is to prevent a major electrical hazard: shock. That's what happens when electric current goes through you because a wire isn't properly enclosed, or has defective insulation, or because you make direct contact with "live" electricity like a power line. The risk grows with length of contact with electric current, especially if the current enters your body near your heart. The ultimate electric shock is electrocution, and it doesn't take much electrical power to kill you.

Instant death is not electrical shock's only hazard. It can cause pain, loss of muscle control and coordination, internal bleeding, damage to nerves, muscles, or tissues, and cardiac arrest. It could also cause you to fall and be injured.

There's an even greater risk of shock if you mix electricity with water. You've all read warnings about being careful with hair dryers and other appliances in the bathroom. The reason is that water, especially when it creates moisture in the air or on the skin, can change what's normally resistant to electricity—like your body—into something that conducts electricity. So if you plug in something electric with wet or sweaty hands, you will get a shock.

Another hazard is electric burn. If you touch overheated equipment, or if current flows through your body, you can end up with serious burns of skin and/or internal tissues.

If you overload circuits or equipment, you could encounter still another electrical hazard: overheating that causes a fire or explosion. This is especially dangerous in areas that contain flammable or explosive substances.

Identifying Hazards

To use electricity safely, you have to be able to identify its most common hazards. Most occur in everyday work situations, rather than the specific electrical tasks covered by the new OSHA standard. Electrical repair should be left to skilled, trained people. So if you spot one of these hazards, don't touch anything. Report it to Division Management Team immediately so electricians can make the proper repairs.

Here are the hazards to watch out for:

- Loose electrical connections
- Cords with no insulation or frayed insulation
- Plugs that don't match their outlets—like a three-pronged plug in a two-pronged outlet
- Non waterproof cords used outdoors
- Equipment running over capacity
- Tools that smoke, smell, spark, or shock
- Wires running across the floor
- Electrical cords left near heat or water
- Electrical cords used around hazardous flammable or explosive materials and not designed for that use
- Extension cords instead of permanent wiring.

Protection Against Hazards

As we've discussed, a properly designed electrical system has many built-in protections—such as grounding individual wires and large electrical equipment, fuses, or circuit breakers to shut off overloads, and ground-fault circuit interrupters to detect leaks and cut off power.

For additional protection against overloads, electrical wires, cords, and equipment often have labels identifying their voltage and current capacity. Cords designed for special uses—outdoors, areas with flammable or combustible substances—are also labeled.

Protective Clothing and Equipment

The new electrical safety standard also requires us to provide—and you to use—appropriate protective equipment. The protective gear you need to keep from becoming an electricity conductor varies by job, but may include:

- Nonconductive head protection
- Eye and face protection
- Tools with insulated handles
- Rubber gloves
- Rubber clothing
- Rubber-soled boots or shoes or rubber mats to stand on.

The standard also warns against wearing metal jewelry like watches or rings, or aprons that may have embedded metal because they could make you an electricity conductor.

Protective equipment must, of course, match the specific hazard and be carefully inspected, tested, and maintained.

The OSHA regulation further protects you from contacting exposed energized parts by requiring employers to use protective shields, barriers, or insulating materials. To make sure no one makes a mistake, exposed energized parts may have warning signs and tags, and even barricades or an attendant to keep you out of harm's way.

The new standard emphasizes procedures to prevent the often fatal contact of workers and their conductive tools and equipment with overhead lines. Before a job around overhead lines starts, the lines must either be de-energized or grounded by the appropriate organization or must have protective measures like guarding, isolating, or insulating in place.

Unqualified workers, as well as the longest conductive objects they hold, must stay at least 10 feet from an energized power line. Vehicles usually have to stay at least 10 feet from the line also, unless insulating barriers or similar protections will prevent contact.

To protect against another high-risk situation, the standard prohibits employees from "reaching blindly" into areas that may contain energized parts. A confined space with exposed energized parts has to have protective shields, barriers, or insulating materials to protect workers from contact.

Safety Procedures

There are a number of commonsense safety procedures that can help prevent electrical accidents. You probably already do much of this. If you don't, start making these procedures a habit.

Inspect electrical equipment and wires before use to make sure they're properly insulated and grounded and that electrical connections are tight.

Don't de-energize live parts unless you've been trained as a qualified person. A qualified person must follow specific procedures to turn off power at the switch box, then lock out and tag the switch so it can't be turned on accidentally. A tag can be used alone with at least one other protective measure if it can be proved as safe as a lock. And a lock can be used alone on a single circuit or piece of equipment when lock out is completed on one shift.

There are times when de-energizing isn't feasible—for instance, if you're testing energized circuits or when de-energizing would deactivate emergency alarms. In those cases, all other protections must be used to prevent accidents. And once work on the equipment is done, the qualified employee follows specific procedures to re-energize it.

Use protective equipment such as rubber gloves or boots when you work with electrical equipment.

Read—and follow—the manufacturer's instructions for your equipment.

Avoid using extension cords whenever possible; check with Division Management Team or with the maintenance department before you handle anything electric.

Inspect portable equipment, including extension cords, before each use and turn in anything that's defective or damaged.

Be sure electric plugs match their receptacles; never alter a plug.

Don't fasten cords with staples.

Make sure your hands are dry before you handle anything electric.

Don't use any piece of electrical equipment that sparks, smokes, smells, or shocks. Mark it "Out of Order" and report it to Divisions Management Team immediately.

Be especially cautious around flammable liquids, vapors or dust, or any area that might have held them. Ventilate the area before you start work and use only electrical equipment identified as safe for that use. And keep an eye on the equipment to avoid sparks or high heat that could start a fire.

When using long conductive objects like ducts or pipes around exposed live parts, be sure to use insulation, guarding and other protections.

Never use a metal ladder around live electricity.

Always obey barriers, signs, and other warnings to stay away from electrical equipment.

Good Housekeeping

Good housekeeping also includes safety procedures that help prevent electrical fires. We're not talking pots and pans here. We mean keeping your equipment and work area clean and organized and disposing of trash properly. Specifically:

- Keep machines and tools properly lubricated.
- Don't let grease, dust, or dirt build up on machinery.
- Don't leave machinery or heating equipment running unattended after working hours.
- Leave at least three feet of work space around electrical equipment so it can be reached for repair or maintenance.
- Keep the work area clean. It's especially important to properly dispose of paper, sawdust, oily rags, or anything that could burn.
- Don't leave cords tangled or lying across an area where people walk.

First Aid

These safety procedures, and your caution and common sense, should prevent serious electrical problems here. But it's still a good idea to know what to do if there is an accident. Here's a brief rundown.

Shock. Don't touch a shock victim. Call for professional medical help and, if you can do it safely, turn off the power that's giving the shock. Use a stick or something that won't conduct electricity to push the person away from the wire or equipment that caused the shock.

If you can do that, have the victim lie down, covered lightly, until help comes. If breathing has stopped, give artificial respiration. If the heart has stopped and you know CPR, this is the time for it. If you don't know CPR, call for someone who does.

Electrical burn. Rinse with cold water and cover with a clean dry cloth. If it's a major burn, cover it with a clean dry cloth and get immediate medical attention.

Electrical fire. Notify firefighters immediately. Don't touch the burning object or use water on it. If you can do it safely, unplug or turn off the current. You can put out a very small fire with a CO₂ or multipurpose ABC extinguisher, or with baking soda. But unless it's very small or you've had special firefighting training, wait for the professionals.

Wrap-Up

Electricity is a fact of modern life, and it's a good thing, too. What would we do without lights, tools, and machines, not to mention TVs, stereos, and refrigerators? But when you think about all the power coming through those wires to run that equipment, it only makes sense to take some precautions. Especially when you consider that a mistake can kill you.

So leave work on energized electrical systems to qualified workers and obey tags and signs that tell you to stay away. Make it a point to check out your electrical equipment and wires before you use them. Don't handle anything electric with wet hands. Keep your equipment clean and in good shape. And if anything doesn't look, sound, smell, or work quite right, turn it off and report it immediately. We don't want to take any chances on anyone getting electrocuted or burned here.

Electrical Safety Do's and Don'ts Checklist

DO:

- Check wiring to make sure it's
 - properly insulated
 - the right choice for the job (e.g., labeled for use outdoors or in work areas with hazardous substances).
- Check that electrical connections are tight.
- Match plugs and outlets (three-pronged plugs go in three-pronged outlets only).
- Read and follow manufacturer's instructions for electrical equipment.
- Leave work on energized equipment to qualified workers.
- Obey warnings to stay away from electrical circuits and locked-out equipment.
- Wear rubber gloves and any other assigned protective clothing and equipment.
- Keep machines and tools lubricated.
- Keep the work area clean, and promptly and properly dispose of oily rags, paper, sawdust, or anything else that could burn.
- Keep electrical equipment clean.
- Inspect electrical tools before each use.
- Report any electrical tool, equipment, or wire problems immediately.

DON'T:

- Overload motors, circuits, or outlets.
- Run cords along the floor.
- Use temporary wiring except in emergencies.
- Put anything but a plug into an electrical outlet.
- Place cords near heat or water.
- Touch anything electric with wet hands.
- Leave machinery or heating equipment running unattended after working hours.
- Let cords get twisted or tangled.
- Get closer than 10 feet to a power line (if you're an unqualified employee).

- Reach blindly into a space that may contain energized equipment.
- Wear metal jewelry when working with electrical appliances.
- Use a power tool that smokes, sparks, smells, or shocks.

LOCK OUT TAG OUT

Introduction/Overview

Every year, people are killed on the job by machinery. All too many of those deaths could have been prevented by following lock out/tag out procedures to turn off machinery that is being cleaned or repaired or that is not working properly.

Here are some real-life examples:

- An untrained worker was feeding scrap cardboard into a shredder. When the shredder jammed, he tried to fix it without turning off the machine. His arm got caught and pulled into the shredder and he bled to death.
- A worker was inside a cement mixer, cleaning it. Another worker, who didn't know anyone was inside the machine, turned it on and the worker inside was crushed.
- A plant superintendent tried to fix an overhead crane without disconnecting the main electrical switch that operated it. He stood on a metal fence, touched a live wire, and was electrocuted.

These tragic examples of accidental death could have been prevented by following lock out/tag out procedures. They also make it clear that everyone has to be aware of the importance of shutting off power to machinery when it's being fixed, cleaned, or maintained.

Even if you don't operate heavy equipment, you could accidentally get in its way if it's not properly disconnected. So today we're going to review and practice our lock out/tag out procedures to make sure no employee or civilian is ever hurt by equipment that should have been shut down.

General Hazards

Because the deaths associated with lock out/tag out failure are so terrible and so preventable, OSHA has studied them to determine the most common causes. Most of the accidents occurred with moving machinery, electrical equipment, and vehicles. The main reasons for the deaths were:

The machine or piece of equipment was not completely shut off before a maintenance or repair operation. You not only have to turn off the machine itself, but also the power source that goes to it.

The machine was turned on accidentally, either out of carelessness or because the person who turned it on didn't realize that another worker was there and could get hurt. That's what happened in the example I gave about the worker who was inside the cement mixer.

The machine wasn't working correctly. In these instances, the people who knew about the problem didn't fix it, or turn off and tag the malfunctioning machine. Someone who didn't know about the problem used it and was killed.

Moving equipment wasn't blocked. For instance, a truck parked on a slope could roll if it was turned off but didn't have the brake on or the wheels blocked.

Safety procedures were inadequate or hadn't been properly explained to workers. That speaks for itself. If there is no lock out/tag out procedure, or the procedure exist on paper and are not enforced, there's bound to be trouble. That trouble can get even worse if people who aren't trained or authorized operate dangerous equipment or just plain don't think about what could happen when they're working around machinery.

All these hazards are avoidable as long as everyone knows and follows the rules.

Identifying Hazards

Any powered machinery or electrical equipment that could move in a way that would put people in danger is a hazard that can be prevented by lock out/tag out. You also have to be alert to equipment that could roll, fall, or move onto a person after it's shut down.

The hazards occur under the following circumstances:

- Repair
- Maintenance
- Cleaning
- Mechanical or operational problems
- Machinery that's thought to be fully turned off but isn't.

Protection Against Hazards/Safety Procedures

(Note: This section explains basic lock out/tag out procedures which may vary considerably depending on the equipment and the company. So be sure to add the specific details that describe your company's procedures.)

The key point of lock out/tag out procedures is to shut down completely machinery and electrical equipment before repair, maintenance, and cleaning. Here's the six-step shutdown procedure:

Before shutdown. Before shutdown, the authorized employee must know the type and magnitude of the energy, the hazards of the energy to be controlled, and the method or means to control the energy. The authorized employee must notify all affected employees of the lock out.

Shutdown. The authorized employee shuts down the machine or equipment by the normal stopping procedure (pressing the stop button, moving the switch to the "off" position, etc.)

Isolation. The main power switches, circuits, or other sources of energy are moved to the "off" position or otherwise rendered inoperative.

Lock out. Locks are placed on switches or other energy sources in the "safe," or "off" position. During a group lock out, all members of the group must add their own locks to the lock out. Warning tags should be placed with each lock.

Energy release. All potentially hazardous stored or residual energy (such as that in springs, elevated parts, rotating flywheels, hydraulic systems, electrical systems, and air, gas, steam, or water pressure, etc.) is relieved, disconnected, or otherwise made safe by repositioning, blocking, bleeding down, etc. (If there is a possibility of re-accumulation of stored energy to a hazardous level, verification of isolation shall be

continued until the servicing or maintenance is completed, or until the possibility of such accumulation no longer exists.)

Testing. After ensuring that no personnel are exposed, and as a check on having disconnected the energy sources, the authorized employee operates the push button or other normal operating controls to make certain the equipment will not operate.

CAUTION: Return operating control(s) to the "neutral" or "off" position after the test.

The equipment is now locked out.

The bottom line here is simple: Never try to clean, repair, or perform maintenance on any piece of machinery or equipment without completing lock out/tag out.

There's a second bottom line, too, that applies to everyone who even gets into the vicinity of a machine: Don't touch, much less operate, any piece of equipment or machinery unless you are trained and authorized to do so, and don't touch anything that's locked and tagged unless you are responsible for working on it and are sure the power is disconnected.

Wrap-Up

Lock out/tag out procedures are a commonsense precaution to make sure that machines and people don't accidentally tangle. It's absolutely critical that no power go to a machine that's being worked on. And it's also critical that you go through every step of the process to make sure that the machines are not going to take anyone by surprise.

Not everyone is responsible for performing the tasks that require lock out/tag out first. But every person that works here is responsible for:

- Reporting any machine problems or malfunctions
- Recognizing a locked and tagged out machine and staying away from it.

This procedure is solely for your protection. Learn it and follow it.

Lock out/Tag out Checklist

- Before shutdown, make sure that the authorized employee knows the type, magnitude, and hazards of the energy to be controlled.
- Verify that the employee knows the method or means to control the energy.
- Instruct the employee to inform all affected employees of the lock out.
- The employee then stops the equipment by the usual method.
- Once the machine is turned off, the main power switches, circuits, etc., should be turned off.
- Locks should be placed on the switches (or other energy sources) in the "off" or "safe" position.
- In a group lock out, all members of the group must add their locks to the lock out.
- Warning tags should be affixed with each lock.
- Any stored or residual energy is then eliminated.
- With no one near the equipment, the employee tests it by attempting to start it up in the usual manner.

Vehicle Lock Out Procedures

Overview

Each division must have a documented procedure for tagging and placing vehicles out of service and should receive training to explain the pre described procedure. There should be one common outline to follow in the out of service procedures then the division must adapt the outline to fit the daily needs and operations of the department. In addition each technician must understand and perform a sufficient lock out tag out program implemented by the Maintenance Manager.

Outline

Employees should demonstrate and understand the following requirements.

Out of service procedures

Mark vehicle noting out of service and disable when not being repaired

Not OOS vehicle on the maintenance OOS board

Tag vehicle out in dispatch and notify dispatcher

Reverse Procedures when placing vehicles back into service

Lock Out Tag Out procedures

When LO/TO is necessary?

What LO/TO procedures are necessary?

The limitations of LO/TO?

Who is responsible for LO/TO?

Out of Service Marking

A MV Transportation Inc. OUT OF SERVICE marking will be placed upon the driver side windshield of any vehicle that is not safe to operate or the appropriate out of service steering wheel cover should be used which can be purchased through the National account "Edcor Safety". All Company employees shall be trained to recognize the marking and to abide by it. Any use of a marked vehicle shall be considered a "serious unsafe act".

The marking may not be removed and the vehicle may not be put into service until it has been repaired and put back into service by the Maintenance Department. This should be considered a minimum requirement.

FUELING

Fueling, Daily Vehicle Service and Inspection

Fueling and service shall be performed daily on all equipment that has been in service that day. The process used shall follow **MV Transportation Fuel & Service Policy VM-009**. A copy of that policy is located in the Policy Section of this manual.

It is the responsibility of the General Manager to insure that Policy VM-009 is followed by those assigned to fuel and service vehicles where no shop exists or where persons other than Maintenance Department personnel are assigned the fuel and service tasks.

Fuel Dispenser Nozzle Clips

For safety and environmental reasons, **MV Transportation Policy VM-022** must be followed with regard to all Divisions that have their own fuel tanks. A copy of that policy is located in the Policy Section of this manual.

Fuel & Fluid Storage Tank Compliance

The Company is dedicated to compliance and helping the Customer comply with all laws and regulations governing the use and maintenance of fuel and fluid storage tanks.

The General Manager and Maintenance Manager must be aware of the location, piping and all relevant information concerning storage tanks located on the property occupied by the Company. Both must clearly understand and meet all the Company's responsibilities regarding the regulation and maintenance of all tanks including any that are not in current use.

Monthly compilation of fuel usage from the daily and monthly compiled sheets is the responsibility of the Maintenance Manager unless specifically directed otherwise.

It is necessary for the General Manager and the Maintenance Manager to know the capacity and shape of all storage tanks so that the depth can be used to calculate gallons.

Fuel storage tanks should be routinely checked for any indication of water and contaminants.

Any indication of water or contaminants in the tank shall cause the company Director of Maintenance to be contacted immediately and prior to talking to the customer or any government agency.

The Maintenance Manager and the General Manager are accountable for testing as required by law.

FORKLIFT OPERATION PLAN

This written Forklift Operation Program establishes guidelines to be followed whenever any of our employees work with powered industrial trucks at this company. The rules established are to be followed to:

- Provide a safe working environment,
- Govern operator use of powered industrial trucks, and
- Ensure proper care and maintenance of powered industrial trucks.

The procedures here establish uniform requirements designed to ensure that powered industrial truck safety training, operation, and maintenance practices are communicated to and understood by the affected employees. These requirements also are designed to ensure that procedures are in place to safeguard the health and safety of all employees.

It is our intent to comply with the requirements of OSHA's 29 CFR 1926.600, 1926.602(c), and 1926.441 for construction activities. These regulations have requirements for powered industrial truck operations, including that for battery care and charging. We also comply with applicable requirements of design, construction, stability, inspection, testing, maintenance, and operation of ASME/ANSI B56.1-1969, Safety Standard for Low Lift and High Lift Trucks. However, the powered industrial trucks we operate in our storage and maintenance yards and warehouses comply with 29 CFR 1910.176 and 1910.178.

Administrative Duties

The Maintenance Manager is our Forklift Operation Program Coordinator, acting as the representative of the plant manager, Manager, who has overall responsibility for the plan. Copies of this written program may be obtained from the Maintenance Manager.

POWERED INDUSTRIAL TRUCKS AT OUR WORKPLACE

MV TRANSPORTATION uses these powered industrial trucks as follows:

Make and model	Class	Quantity	Purpose	Location

TRAINING

Maintenance Manager will identify all new employees in the employee orientation program and make arrangements with department management to schedule training.

Before we begin training a new employee, our Forklift Operation Program Administrator, the Maintenance Manager determines if the potential powered industrial truck operator is capable of performing the duties necessary to be a competent and safe driver. This is based upon his/her physical and mental abilities to perform job functions that are essential to the operation of the vehicle.

These capabilities include the level at which the operator must:

- See and hear within reasonably acceptable limits. This includes the ability to see at distance and peripherally. In certain instances, it is also necessary for the driver to discern different colors, primarily red, yellow and green;
- Endure the physical demands of the job; and
- Endure the environmental extremes of the, such as the ability of the person to work in areas of excessive cold or heat. An operator must be able to climb onto and off of a truck, to sit in the vehicle for extended periods of time, and to turn his/her body to look in the direction of travel when driving in reverse.

Once our Administrator determines that a potential operator is capable of performing powered industrial truck duties, the following person(s) will conduct initial training and evaluation:

Maintenance Manager. This/These instructor(s) has the necessary knowledge, training, and experience to train new powered industrial truck operators. His/Her/Their qualifications include: Successful completion of National Safety Council's Forklift Truck Operators Training Course and past practical experience in training forklift operators.

Initial Training

During an operator's initial training, the instructor(s) combine(s) both classroom instruction and practical training to assure the best possible coverage of the necessary material.

Our classroom instruction includes the following formats: Powered Industrial Truck Operator Training Power Point presentation downloaded from OSHA's web site. A booklet is given to students and a written test is given. Out of Classroom instruction covers hands on review of the equipment, a simulation of the pre-trip inspection, and a skills test.

Our practical training includes these formats: Review of the students' potential ability to safely use the powered equipment, review the test with each student, and demonstrate proper inspection, safety issues, and maneuverability demonstrations. All powered industrial truck operators are trained and tested on the equipment they will be driving before they begin their job.

Each type of powered industrial truck has a different "feel" to it, and that makes operating it slightly different from operating other industrial trucks. The work areas where these trucks are being used also present particular hazards. For these reasons, it

is impractical to develop a single "generic" training program, which fits all of our powered industrial trucks. Accordingly, during training, MV TRANSPORTATION covers the operational hazards of our powered industrial trucks, including:

- Hazards associated with the particular make and model of the truck;
- Hazards of the workplace; and
- General hazards that apply to the operation of all or most powered industrial trucks.

See Appendix A for company-specific hazards of both our powered industrial trucks and our workplace.

Each potential operator who has received training in any of the elements of our training program for the types of trucks which that employee will be authorized to operate and for the type of workplace in which the trucks will be operated need not be retrained in those elements before initial assignment in our workplace if MV TRANSPORTATION has written documentation of the training and if the employee is evaluated to be competent.

Training Certification

After an employee has completed the training program, the instructor will determine whether the potential driver can safely perform the job. At this point, the trainee will take a performance test or practical exercise through which the instructor(s) will decide if the training has been adequate. All powered industrial truck trainees are tested on the equipment they will be driving.

The Maintenance Manager is responsible for keeping records certifying that each employee who has successfully completed operator training and testing. Each certificate includes the name of the driver, the date(s) of the training, and the signature of the person who did the training and evaluation.

Training is done in house. See the attached current copy of the training material and the course outline.

PERFORMANCE EVALUATION

Each certified powered industrial truck operator is evaluated once each year to verify that the operator has retained and uses the knowledge and skills needed to drive safely. The Maintenance Manager does this evaluation. If the evaluation shows that the operator is lacking the appropriate skills and knowledge, the operator is retrained by our instructor(s). When an operator has an accident near miss or some unsafe operating procedure is identified, the employee will be retrained.

Current Certified Truck Operators

Under no circumstances shall an employee operate a powered industrial truck until he/she has successfully completed this company's powered industrial truck training program. This includes all new operators regardless of claimed previous experience. The following table lists employees by department who are currently authorized operators of our powered industrial trucks at this company:

Department	Employee name	Make and model

INSPECTIONS

Pre-Operational Inspection Procedures

The company requires operators to perform pre-operational equipment checks on powered industrial trucks prior to the beginning of each shift in which those trucks will be utilized, to ensure the safe operating condition of the vehicle. The pre-operational check is performed by third shift completing a daily truck inspection checklist.

See an attached sample form. A supply of these forms is provided in each charging and parking area within user departments.

No blank spaces are allowed on the form. If an item does not apply, we use the code N/A. We also require that operators fill out the comment section thoroughly and accurately if there are any operational or visual defects.

That way our Maintenance Department can pinpoint and repair the problem before the truck becomes unsafe to operate.

Our pre-operational inspection procedures used by operators are conducted by daily filling out an operator's daily report. (See appendices)

The Maintenance Manager is responsible for retaining all daily truck inspection checklist forms for each vehicle for six months.

Periodic Inspection Procedures

Periodic inspections are in conjunction with the particular powered industrial truck's maintenance or service schedule. Maintenance schedules are normally expressed in days and operating or running hours and, outside vendor perform(s) inspection and maintenance. Most manufacturers' operator instruction manuals contain the recommended maintenance schedule. Authorized workshops and/or service technicians do inspections and maintenance or repair beyond the recommended service schedules.

Operating Procedures

Powered industrial trucks can create certain hazards that only safe operation can prevent. That is why we have created sets of operating procedures. Our operating procedures follow.

Driving

Driving a powered industrial truck is fundamentally different than driving a car or other trucks. In fact, powered industrial trucks:

- Are usually steered by the rear wheels,
- Steer more easily loaded than empty,
- Are driven in reverse as often as forward,
- Are often steered with one hand, and
- Have a center of gravity towards the rear, shifting to the front as forks are raised.

Unlike cars, some powered industrial trucks have a greater chance of tipping over when suddenly turned. Because of the design of powered industrial *trucks*; *they have* a very short rear wheel swing. This means that, at high speeds, sudden turns can tip them and could result in serious injury and damage. Speed can cause the center of gravity to shift dramatically. Similarly, speeding over rough surfaces can cause tipping.

Although structurally different than cars, powered industrial trucks, like cars, can collide with property and people. Therefore it is our policy for all operators to use the utmost care when operating the Powered Industrial Truck. Load Lifting and Carrying

Powered industrial trucks can lift only so much. Each truck has its own load capacity which is indicated on the rating plate. Powered industrial trucks also have three-point suspension that forms an imaginary triangle from the left front wheel to the right front wheel to the point between the two back wheels. The center of gravity for a powered industrial truck must lie somewhere within this triangle or else the truck will tip over. The load and its position on the forks, as well as traveling speed and slopes, all affect the center of gravity. Loads, themselves, have gravity with which to contend. Loads need special care so that they do not fall. In order to prevent tipping and load falling hazards, it is required only proper lifting; driving, and moving are allowed at any time.

FUEL HANDLING AND STORAGE

Some of our powered industrial trucks operate with highly flammable and combustible fuels.

The storage and handling of liquid fuels such as gasoline and diesel fuel are done in accordance with NFPA Flammable and Combustible Liquids Code (NFPA 30-1969).

The storage and handling of liquefied petroleum gas fuel is done in accordance with NFPA Storage and Handling of Liquefied Petroleum Gases (NFPA 58-1969).

All employees who handle or use flammable liquids are to follow the guidelines for pressurized gas handling.

Carbon Monoxide Awareness

Powered industrial trucks with internal combustion engines produce carbon monoxide (CO), an odorless, colorless, and deadly gas produced by the incomplete burning of any material that contains carbon. These materials include gasoline, natural gas, propane, coal, and wood. The most common source of CO is the internal combustion engine. Trucks, cars, forklifts, floor polishers, pressure washers, or any other machine powered by fossil fuels generates CO.

If inhaled, CO restricts the ability of your blood system to carry oxygen to the body tissues, which need it. Overexposure combined with less oxygen results in carbon monoxide poisoning. Mild poisoning can result in headaches, tightness in the chest, dizziness, drowsiness, inattention, fatigue, flushed face, or nausea. If you continue exposure lack of coordination, confusion, weakness, or loss of consciousness may result. A heart condition, smoking, taking drugs or alcohol, and pregnancy can aggravate CO poisoning. Physical activity, too, can make a situation worse that's because your body needs more oxygen to exert itself. Severe poisoning can kill you within minutes, sometimes without warning symptoms. The more CO there is in the air and the longer the exposure, the greater the danger.

Personal Protective Equipment (PPE)

We have assessed our workplace and determined that the hazards, which threaten our operators, include: Slip and fall, burn or frostbite.

For this reason, we require that our powered industrial truck operators wear the following PPE and equipment Safety Shoes and Gloves, Apron, and Face Shield if changing fuel tanks.

All operators required to wear this equipment are trained:

- When PPE is necessary;
- What PPE is necessary;
- How to properly put on, take off, adjust, and wear PPE;
- Limitations of the PPE; and
- Proper care, maintenance, useful life, and disposal of PPE.

See the Written Personal Protective Equipment Program for more details.

Pedestrians

Because powered industrial trucks are typically used near pedestrians, we require both pedestrians and powered industrial truck operators to watch out for each other.

All powered industrial truck operators must: Yield to pedestrians.

All pedestrians must: Use care around Powered Industrial Trucks.

MAINTENANCE

Investing time and effort into the proper upkeep of our equipment results in day-to-day reliability. Keeping up with the manufacturer's recommended maintenance and *lubrication* schedules, and completing the proper records, will also increase *our* trucks' longevity and enhance its resale value.

The Maintenance Department will complete a receiving or delivery inspection whenever our company purchases powered industrial trucks, and he/she/they perform the recommended "breaking in" inspections and maintenance.

Proper maintenance procedures will require following the manufacturer's operator instructor manual for daily or weekly maintenance.

Periodic maintenance (those completed monthly, every six months, or annually) is done by a factory-trained-expert, or a dealer or by a maintenance employee qualified to do so.

LIVERMORE/AMADOR VALLEY TRANSIT AUTHORITY

POSITION DESCRIPTION

POSITION Director of Operations and Innovation

CLASSIFICATION Exempt

POSITION DESCRIPTION

The Director of Operations and Innovation reports to the Executive Director and under his/her direction oversees and manages customer service at the agency and the fixed route and paratransit contracts, in addition to innovative service contracts. The position also oversees paratransit and IT specialists and serves as the Authority's Chief Safety Officer.

SPECIFIC DUTIES AND RESPONSIBILITIES

40% Operations Oversight

- Oversee contractor service performance monitoring to ensure the performance and quality assurance standards set forth in the contract/solicitation are met.
- Oversee contractor compliance monitoring regarding maintenance of rolling stock and facilities operated and/or maintained by contractors to ensure compliance with agency and FTA requirements.
- Monitor contractor compliance with Title VI, EEO, ADA, drug testing regulations and contractor safety program.
- Ensure accuracy with contractor billing and reporting.
- Perform formal performance reviews at least quarterly, with documented corrective actions.

20% Innovation

- Explore and provide recommendations to the management team on innovative services and products that can be implemented, and that will prepare the agency to lead discussions on the evolving public and private roles in transportation services, both short and long-term.
- Manage projects such as the shared autonomous vehicle and the GoDublin project with transit network companies.

15% Customer Service Team

- Oversee the customer service team to ensure courteous and responsive information is provided promptly to customers.
- Provide daily reports on customer service issues and their resolution to the management team, and monitor contractor response in taking corrective actions.
- Addresses and resolves complex or escalated customer complaints and concerns.

15% Paratransit and IT Specialist Oversight

- Manage Paratransit Planner Specialist, to include the application, assessment, and introductory process for paratransit customers.
- Manage Fleet and Technology Management Specialist to ensure products and rolling stock are deployed timely and are responsive to customer and agency needs.

10% Safety Management

- Develop LAVTA's Agency Safety Plan (ASP) and Safety Management System (SMS) policies and procedures.
- Ensure and oversee day-to-day implementation and operation of LAVTA's SMS.
- Chair the LAVTA Safety Committee and
 - Coordinate the activities of the committee;
 - Establish and maintains LAVTA's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents, and accidents; and
 - Maintain and distribute minutes of committee meetings.
- Advise the Executive Director/Accountable Executive on SMS progress and status.
- Identify substandard performance in LAVTA's SMS and develops action plans for approval by the Accountable Executive.
- Ensure LAVTA policies are consistent with LAVTA's safety objectives.
- Provide Safety Risk Management (SRM) expertise and support for other LAVTA personnel who conduct and oversee Safety Assurance activities.

Behavior

The employee shall work well under pressure meeting multiple and sometimes competing deadlines. The employee shall always demonstrate cooperative behavior with colleagues, supervisors, contract service provider, and the public.

KNOWLEDGE/SKILLS REQUIRED BY POSITION

Skills & Abilities:

Ability to think strategically and proactively;

Ability to lead and coordinate projects;

Ability to make effective public presentations;

Ability to communicate effectively, both orally and in writing;

Ability to obtain public acceptance of the Authority;

Ability to motivate staff;

Ability to recognize business problems, develop alternatives, and implement viable solutions;

Ability to prepare and monitor departmental operating budget.

Knowledge of:

Knowledge of Project Management principles and demonstrated experience in project delivery, meeting scope, schedule, budget, and quality requirements;

Transit planning principles;

Information technology resources;

Relative location of cities, basic geography and prominent landmarks of the Wheels service area.

ORGANIZATIONAL RELATIONSHIPS

Position reports directly to:

Executive Director

Position supervises:

Paratransit Planner Specialist

Senior Fleet and Technology Management Specialist

Customer Service Supervisor and two representatives

Position coordinates with:

All Authority staff, particularly department directors

Maintenance and Operations Contractor staff

Vendors and the public

QUALIFICATIONS

Bachelor's degree in Transportation Planning, Business Administration, Communication, Planning, or related field. The position requires 5 years of experience in passenger transportation. Project and/or Contract Management experience desirable.

AGENDA

ITEM 7

STAFF REPORT

SUBJECT: Evaluation of Paratransit Services

FROM: Michael Tree, Executive Director

DATE: December 7, 2020

Action Requested

Authorize Executive Director to continue discussions and draft an MOU with the Central Contra Costa Transit Authority (CCCTA) to be considered by the LAVTA Board of Directors that establishes an 18-month pilot project to have CCCTA operate the LAVTA paratransit services.

Background/Discussion

LAVTA recently advertised a request for proposals for paratransit services and in that process received four proposals that are currently being evaluated. The goals for the procurement process are to contract with a firm that can improve the customer experience for users of the Wheels paratransit program, as well as improve oversight of the paratransit operations.

Coinciding with the procurement process, LAVTA has been participating in the planning work and opportunities being explored by the Bay Area's Blue Ribbon Task Force, which is both focused on assisting transit agencies with critical funding needs associated with the COVID pandemic, as well as improving the region's transit system into a more connected, efficient and user-focused mobility network.

While evaluating the paratransit proposals staff considered the direction of the region and ways in which it could further assist the Wheels paratransit services in being more connected, efficient and user-focused. Additionally, staff identified the need for a paratransit program with more capacity to assist member agencies with public emergencies, such as the COVID-19 pandemic. To that end, staff began discussions with neighboring transit agency Central Contra Costa Transit Authority to evaluate the benefits of integrating paratransit programs. Staff has found the following potential benefits:

- Better customer experience
 - Local call center and dispatching to assist users in securing a ride and understanding local circumstances, such as COVID conditions.
 - One seat ride throughout the two service areas, enhancing accessibility and convenience to important destinations, such as medical care.
 - Newer vehicles in fleet

- Improved oversight of paratransit program
 - Supervisors in the field to monitor operators and assist with issues that arise in transport of riders.
- Improved capacity to provide services for member agencies during emergencies, such as the COVID-19 pandemic
 - During the COVID-19 pandemic the Central Contra Costa Transit Authority has had the capacity to assist the County of Contra Costa with services that include Meals for Wheels and transporting impacted individuals to medical care. Integrating paratransit programs with Central Contra Costa Transit Authority will improve the ability of LAVTA to respond to and assist its member agencies.
- Cost benefits
 - While staff continues to evaluate the cost of each of the four proposals received and the concept of integrated paratransit programs with Central Contra Costa Transit Authority, early indications are that the integrated paratransit program with Central Contra Costa Transit Authority will be most efficient and cost effective as compared to the highest ranked proposal received in the procurement process.

Staff will provide more detailed information at the LAVTA Board meeting, as well as the latest information in the ongoing evaluation of alternatives.

Recommendation

Authorize Executive Director to continue discussions and draft an MOU with the Central Contra Costa Transit Authority (CCCTA) to be considered by the LAVTA Board of Directors that establishes an 18-month pilot project to integrate paratransit programs with Central Contra Costa Transit Authority.

Submitted: _____

AGENDA

ITEM 8

EXECUTIVE DIRECTOR'S REPORT

December 2020

Board Member Scott Haggerty Receives Distinguished Service Award

The California Transit Association awarded Supervisor Scott Haggerty its Distinguished Service Award for his long and distinguished career that includes outstanding contributions to public transit. Supervisor Haggerty received the award at the organization's fall conference on November 19th.



Wheels Ridership and Customer Survey

Ridership on the Wheels fixed route bus system continues to be approximately 1,350 rides per day, with approximately 45 rides per day on the paratransit system. With new COVID designations in Alameda County the ridership is expected to remain flat over the next few months.

Nelson Nygaard recently conducted a survey of individuals who continue to ride, as well as those who have stopped riding as a result of the pandemic. Our goal was to find out what factors have influenced their riding behavior as well as what efforts by LAVTA with regard to COVID are most important to our current riders and former riders. The survey was conducted in late October and early November. Staff continues to work with the consulting team to analyze the results and will present them at the upcoming January meeting.



Public Riding Shared Autonomous Vehicles

On November 16, we began permitting members of the general public to take rides on our Shared Autonomous Vehicle (SAV) for the first time. Because of the pandemic, we are requiring that reservations be made in advance and that no more than three individuals from the same household travel together to permit social distancing from the safety attendant onboard. The SAV page of our website has all of the details for reserving rides as well as a new video on the project.

Tri-Valley Hub Network Integration Study TAC Meeting

The Technical Advisory Committee for the Tri-Valley Hub Network Integration Study met on Tuesday November 10. The meeting included a summary of the work to date and options for a path forward for new express service on I-680. A great deal of feedback was received from the group. The next step in the study is the development of a draft document. Following review by LAVTA staff, the document will be brought forward to the LAVTA Board for consideration. We anticipate that occurring during the first quarter of 2021.

Transit Signal Priority Upgrade and Expansion Project

This project upgraded 67 intersections on the 10R and 30R Rapid routes and 24 Rapid buses with an improved and more reliable GPS-based signal-priority system. All intersection and on-board equipment has been installed and is operational. Final programming and coordination with the cities is ongoing to ensure all equipment is operating correctly, after which the project will be accepted and closed out.

Pleasanton BRT Corridor Enhancement Project (Rapid Stops on Santa Rita)



Construction is under way on enhancements to 19 stops along the 10R corridor in Pleasanton. Deep excavations began last month to install concrete footings for the new Rapid medallion signs along the corridor. Some utility conflicts were encountered in the work which have been resolved, and progress is expected to resume by the end of November with pouring concrete for the foundations as well as new pads for the new shelters and amenities where needed, after which installation of equipment will begin. Work is expected to continue throughout the fall months with completion scheduled for very early in 2021.

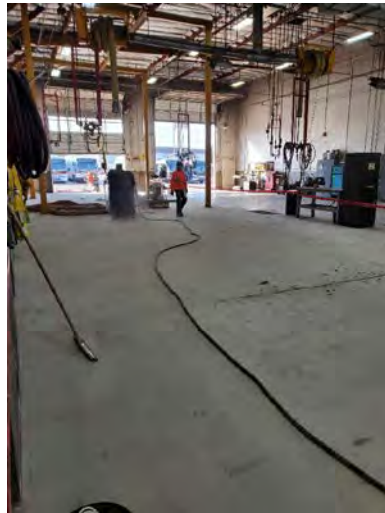
Dublin Parking Garage Project

Alameda County serves as the Lead Agency on this project in partnership with LAVTA as project sponsor. Earlier this month the County issued an RFQ to identify and select qualified proposers for the final design-build RFP. Alameda County staff anticipates County awarding the construction contract in spring 2021, with completion in 2023.

Maintenance Shop Floor Resurfacing Project

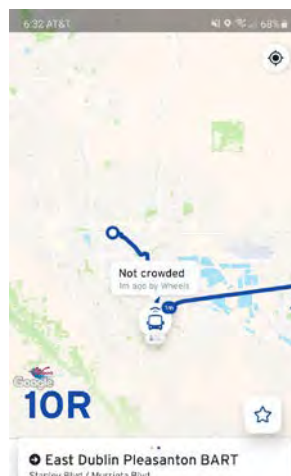
Work on the maintenance shop floor at the Rutan Facility commenced early November and has been completed on schedule. Due to the cost savings by choosing Servicon Systems, Inc. as the vendor, LAVTA was able to get the steam wash bay floor resurfaced in addition to the regular maintenance bays while staying significantly under budget.

Before and after:



Transit App Partnership

LAVTA partnered with the Transit app team to roll out real-time bus crowding status on our vehicles to help passengers plan their trips with social distancing in mind. The next feature in the process of development will allow passengers to rate their experience and provide feedback in the app immediately after taking a trip. This valuable information can be used to improve our service quality.



Attachments:

1. Board Statistics October 2020
2. FY21 Upcoming Items

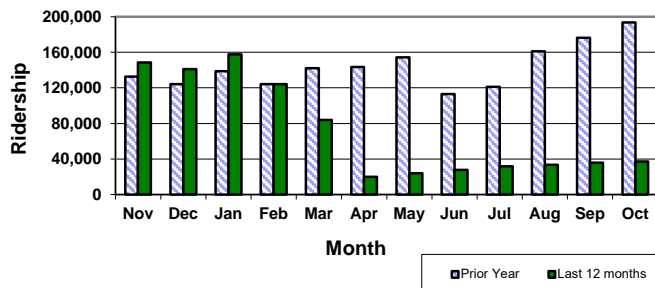
Monthly Summary Statistics for Wheels

October 2020

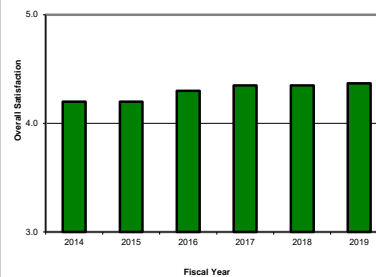
FIXED ROUTE

	October 2020			% change from one year ago		
Total Ridership FY 2020 To Date	138,541			-78.8%		
Total Ridership For Month	37,313			-80.7%		
Fully Allocated Cost per Passenger	\$21.46			198.6%		
	Weekday	Saturday	Sunday	Weekday	Saturday	Sunday
Average Daily Ridership	1,360	883	744	-82.7%	-52.8%	-47.5%
Passengers Per Hour	5.7	6.0	5.0	-67.9%	-49.2%	-44.6%
	October 2020			% change from last month		
On Time Performance	91.0%			-3.1%		

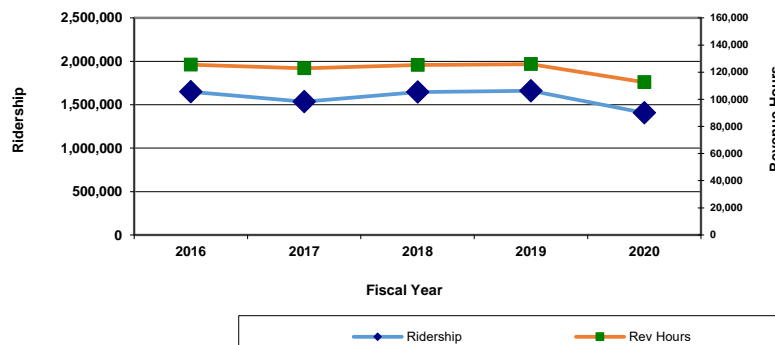
Monthly Unlinked Boardings
Last 24 Months



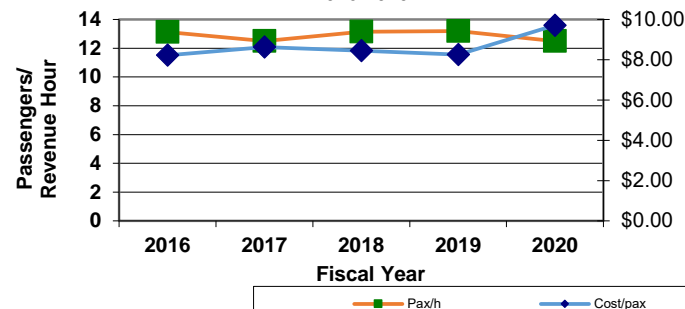
Historical Customer Service
Survey Results



Annual Unlinked Boardings and Revenue Hours
FY2016-2020



Full Cost Per Passenger and Passenger Per Hour
FY2016-2020



Monthly Summary Statistics for Wheels

October 2020

PARATRANSIT

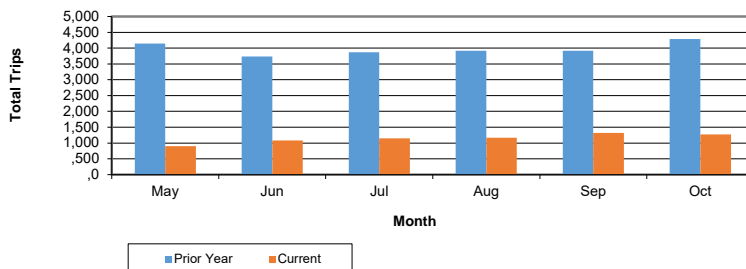
General Statistics	October 2020	% Change from last year	Year to Date
Total Monthly Passengers	1,276	-70.2%	4,907
Average Passengers Per Hour	1.19	-8.5%	1.21
On Time Performance	96.7%	8.3%	96.83%
Cost per Trip	\$54.00	49.1%	\$52.00
Number of Paratransit Assessments	0	-100.0%	0
Calls Answered in <1 Minute	89.3%	6.3%	88.40%

*There were no in-person assessments due to Covid-19, but the applicants received temporary presumptive eligibility based on their application

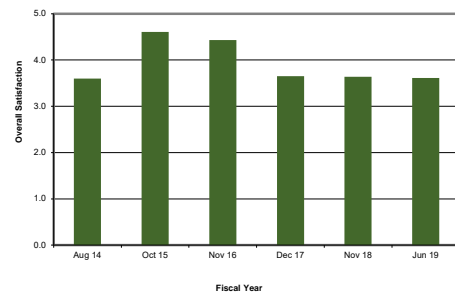
and doctor's verification until the in-person assessments can be resumed.

Missed Services Summary	October 2020	Year to Date
1st Sanction - Phone Call	0	0
2nd Sanction - Written Letter	0	0
3rd Sanction - 15 Day Suspension	0	0
4th Sanction - 30 Day Suspension	0	0
5th Sanction - 60 Day Suspension	0	0
6th Sanction - 90 Day Suspension	0	0

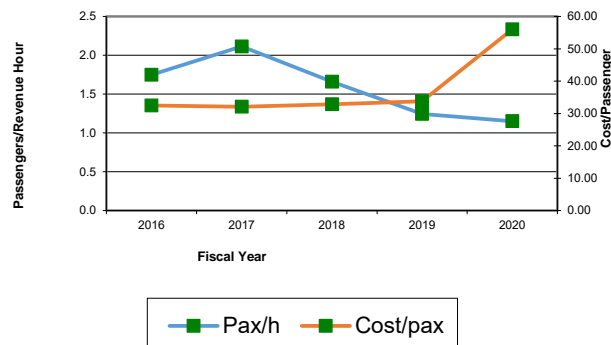
Paratransit Monthly Unlinked Boardings



Historical Customer Service Survey Results



Paratransit Full Cost Per Passenger and Average Passengers Per Hour FY2016-2020



Monthly Summary Statistics for Wheels
October 2020

SAFETY								
ACCIDENT DATA	October 2020				Fiscal Year to Date			
	Fixed Route		Paratransit		Fixed Route		Paratransit	
Total	1		0		3		0	
Preventable	1		0		1		0	
Non-Preventable	0		0		2		0	
Physical Damage								
Major	0		0		0		0	
Minor	1		0		3		0	
Bodily Injury								
Yes	0		0		0		0	
No	1		0		3		0	
MONTHLY CLAIMS ACTIVITY	Totals							
Amount Paid								
This Month	\$0.00							
To Date This Fiscal Year	\$1,597.40							
Budget	\$100,000.00							
% Expended	2%							
CUSTOMER SERVICE - ADMINISTRATION								
CATEGORY	Number of Requests							
	October 2020	Year To Date						
Praise	0	1						
Bus Stop	1	5						
Incident	1	2						
Trip Planning	3	4						
Fares/Tickets/Passes	3	5						
Route/Schedule Planning	2	10						
Marketing/Website	0	0						
ADA	2	4						
COVID Inquiries	2	4						
Lost/Found	0	4						
TOTAL	14	39						
CUSTOMER SERVICE - OPERATIONS								
CATEGORY	FIXED ROUTE				PARATRANSIT			
	VALID	NOT VALID	UNABLE TO VALIDATE	VALID YEAR TO DATE	VALID	NOT VALID	UNABLE TO VALIDATE	VALID YEAR TO DATE
Praise	0	0	0	6	0	0	0	0
Safety	3	0	0	10	1	0	0	2
Driver/Dispatch Discourtesy	1	4	1	4	0	1	0	0
Early	0	0	0	0	0	0	0	0
Late	0	0	0	0	0	0	0	0
No Show	0	0	0	0	1	1	0	1
Incident	0	0	0	0	1	1	0	1
Driver/Dispatch Training	1	0	1	1	1	1	0	5
Maintenance	0	0	0	0	0	0	0	0
Bypass	3	1	1	7	0	0	0	0
TOTAL	8	5	3	28	4	4	0	9
Valid Complaints								
Per 10,000 riders	2.14							
Per 1,000 riders					3.13			

LAVTA COMMITTEE ITEMS - December 2020 - April 2021

Finance & Administration Committee

December

	Action
Minutes	X
Treasurers Report	X
*Typically December committee meetings are cancelled	

January

	Action	Info
Minutes	X	
Treasurers Report	X	
Draft 2021 Legislative Program	X	

February

	Action	Info
Minutes	X	
Treasurers Report	X	

March

	Action	Info
Minutes	X	
Treasurers Report	X	

April

	Action	Info
Minutes	X	
Treasurers Report	X	
Funding Resolutions - TDA, STA, RM2, Measure B	X	

LAVTA COMMITTEE ITEMS - December 2020 - April 2021

Projects & Services Committee

December

Minutes

*Typically December committee meetings are cancelled

Action

Info

X

January

Minutes

DAR Customer Satisfaction Survey

Action

Info

X

X

February

Minutes

Action

Info

X

March

Minutes

Action

Info

X

April

Minutes

Action

Info

X