Bus Safety and Security Program

Safety, Security, and Emergency Preparedness Excellence – A Roadmap

(Revised 2012)

Prepared by the Office of Safety and Security

Guidelines at a glance

These guidelines identify key functions of bus transit safety, security, and emergency preparedness programs. Each key function has a set of related elements. An overview of the importance and relevance of each function and element to enhancing transit safety, security, and emergency preparedness is provided. FTA understands that "one size does not fit all" and all functions and/or their elements may not be applicable to all bus transit systems. FTA's Bus Safety and Security Program is ***voluntary*** and we hope that these guidelines will help you incorporate successful and effective practices.

Federal Transit Administration

Contents

Preface

America's transit bus industry is constantly evolving, not only in terms of the impact of technology and the provision of service, but also in terms of responding to safety and security concerns. The industry, like the nation, is reflective of trends that exist at all levels of society. During the years of private sector ownership, safety and risk management were part of each company's bottom line. The cost of settling liability claims was balanced against the cost of preventing them. Safety training, operating procedures and even the color schemes of the transit vehicles were considered "dollars and cents" issues to be determined by the impact on the transit company's balance sheet.

Today's environment is much more complex. As government assumed a larger role in funding the provision of transit services, new objectives were developed for the industry. Social concerns such as providing service to senior citizens and persons with disabilities competed with demands for expanded and cheaper service. Events involving hazards and threats, both natural and man-made, place additional responsibilities, real and perceived, upon transit agencies.

The delivery of transit services carries with it an inherent risk. Operating transit vehicles full of passengers in fixed route and demand response modes requires a constant focus on safety and security, often with life and death consequences. There is an expectation on the part of passengers, taxpayers, government leaders and advocacy groups that public transit service is first and foremost a safe and secure mode of transportation. Further, communities count on public transit resources to assist in protecting lives during local or regional emergencies. The information presented here is designed to serve those goals and establish a national Roadmap for transit safety, security and emergency preparedness excellence.

The Roadmap's key functions and supporting elements were developed with input from industry professionals as well as national, state, and local stakeholders. The goal was to develop guidance to assist transit agencies in identifying practical strategies to implement and/or enhance effective safety, security, and emergency preparedness programs.

Overview

The Federal Transit Administration (FTA), through the Office of Safety and Security, oversees a host of programs focused on achieving the highest level of safety and security in America's public transit systems. The Office of Safety and Security is responsible for guiding the development and implementation of programs and initiatives to continually improve the safety and security of passengers, employees, and community members who come into contact with the public transportation system. A cornerstone in meeting this mission is the re-engineered and revitalized FTA Transit Bus Safety and Security Program. The Transit Bus Safety and Security Program encompasses public transit bus agencies of all sizes, including urban, small urban, rural and community transit, and FTA is committed to the broadest possible application of this program's strategies and tools.

The FTA Transit Bus Safety and Security Program utilizes the following implementation strategies:

- Collaborate with the transit industry through a Program Working Group and other key stakeholders to assist in developing Program policy, facilitate information exchange between FTA and the public transit bus industry and coordinate the creation and delivery of technical assistance materials.

- Develop and collect effective safety, security and emergency preparedness practices for distribution to public transit bus agencies.

- Enhance the distribution of safety and security-related technical assistance materials to public transit bus agencies through a website resource library.

- Ongoing evaluation of Program effectiveness through transit agency voluntary onsite reviews that also provide technical assistance.

- Ongoing evaluation of Program effectiveness through state Department of Transportation (DOT) sponsored Program Orientation Seminars that also provide technical guidance.

- Assist transit agencies in reducing the most frequent and/or catastrophic risks to passengers, employees, the community and others who come into contact with public transportation systems by using available safety and security data and risk assessment models.

Purpose

FTA's Transit Bus Safety and Security Program is founded on guidelines established for bus transit safety, security, and emergency preparedness excellence. Incorporating successful transit industry practices and ongoing research, these guidelines identify key functions of bus transit safety, security, and emergency preparedness programs. Each key function has a set of related elements. An overview of the importance and relevance of each function and element to enhancing transit safety, security, and emergency preparedness is provided. FTA understands that "one size does not fit all" and all functions and/or their elements may not be applicable to all bus transit systems.

It is critical that transit agencies understand that FTA's Transit Bus Safety and Security Program is completely ***voluntary***. Guidance is not presented as a tool to assess or measure compliance and it is up to individual bus transit systems to identify those guidelines that are applicable to their programs. FTA recognizes that the guidance provided in this Roadmap cannot be implemented all at once, but rather in stages. Further, FTA does not assume that there is only one way to implement effective safety, security, and emergency preparedness programs; each transit system must review its programs within the context of its own resources and on-the-ground reality to determine those areas where enhancement can or should be made. To assist transit systems, FTA created a resource website with tools and technical assistance information.

Key Function: MANAGEMENT

The foundation of any transit bus agency's safety, security and emergency preparedness programs is the strength of the management team and its commitment to the mission. This commitment is reflected in the way the organization's structure, goals and objectives reinforce safety, security, and emergency preparedness values and priorities. Effective transit management is proactive in planning safety and security initiatives and sharing information, and ensures transit staff appropriately carries out those initiatives. The transit system management team leads its workforce and contractors through both example and direction as it addresses the difficult challenges to all-hazards safety and security program planning and implementation.

Element: Management Commitment

Management commitment is exemplified by resource allocation, planning efforts, and putting into practice safety and security policies that flow across all agency activities. Management's commitment to safety, security, and emergency preparedness programs starts at the very top of the agency, including its transit board or oversight entity, and ensures polices and/or protocols are developed to support communication up, down, and across the agency. Input from advisory boards, agency stakeholders, managers, supervisors and front line employees is used to create policies that are endorsed by the highest levels of leadership including those responsible for monitoring and oversight of the transit system.

Element: Mission, Vision, Values, Goals, and Objectives

A well-written mission statement helps an agency maintain focus on its primary purpose and clarifies management's expectations of the agency's performance. Agency-wide strategic planning exercises are a tool to develop mission, vision and value statements while creating short and long-term goals and objectives. The cornerstone of any transit agency mission statement is emphasizing employee and passenger safety and security. Excellent service requires an environment that is safe and secure as well as effective management of incidents that threaten passengers, employees or assets. Formal and quantifiable goals and objectives provide a compass for organizational safety and security success. The objectives reflect the core values and culture of an agency and help direct and motivate employees to reach goals.

Element: Organizational Structure

A transit agency's organizational structure defines the resources, authority, and responsibilities necessary for the agency to carry out its mission and meet its goals and objectives. The agency's structure defines how it will meet the safety and security needs of both customer and community. The organizational structure is designed to promote processes for open and timely communication. A description of the system and its operating characteristics is available to the public and passengers in printed format and/or online.

An organization chart depicts reporting relationships and provides a map of departmental functions and responsibilities. Effective organizational structure defines individual roles and responsibilities in reference to safety, security, and emergency preparedness and determines how these roles and responsibilities will impact the highest level of decision-making.

Element: Safety Planning

Safety addresses hazards caused by unintentional acts; the identification and resolution of which is an ongoing and dynamic process. A safety program is the foundation for providing safe service to passengers and safe work environments for employees. A formal Safety Plan helps clarify the safety responsibilities and activities to be carried out by the transit agency and communicates the philosophy and specific goals and objectives of the agency's safety program. A Safety Plan builds the basis for effectively managing safety initiatives and helps promote a healthy safety culture within the organization.

Safety plans are reviewed and revised as necessary to ensure they remain consistent with agency operating realities and objectives. Executive management formally endorses the Safety Plan as well as authorizes any subsequent revisions. Safety policies and procedures are communicated to agency employees as appropriate to guide them in carrying out their job assignments.

Element: Security Planning

Security addresses threats caused by intentional acts; the identification and resolution of which is an ongoing and dynamic process. Security planning is a major step in addressing agency security concerns and is based on assessing threats and reducing vulnerability to the transit agency, its employees, customers, and the larger community.

Effective security plans are created based on the size, resources, and operating environment of the transit system. Security plans define roles and responsibilities for monitoring the security effectiveness of transit operations and supporting activities. Successful security planning incorporates input from all employees to effectually address realities on the ground. In addition, key external stakeholders such as Federal and state government, local emergency managers, and community first responders often provide input into the process. Security policies and procedures are communicated to agency employees as appropriate to guide them in carrying out their job assignments.

Security plans are reviewed and revised as necessary to ensure they remain consistent with agency operating realities and objectives. Executive management formally endorses the security plan as well as authorizes any subsequent revisions. Given their potentially sensitive nature, security plans are marked as "sensitive security information" and distribution is strictly controlled.

Element: Employee Relations

The relationship between an agency's management and its employees directly affects the agency's ability to implement safety and security practices and develop and maintain a successful safety and security culture. Effective transit agencies maintain a positive relationship between management and front-line employees regardless of whether or not employees are unionized or part of a collective bargaining agreement. Where labor agreements between agency management and collective bargaining groups exist, these agreements include clearly defined safety and security rules, responsibilities, and penalties for non-compliance that have been agreed to by both parties.

An agency's safety and security efforts are enhanced by soliciting frontline employees input into safety and security decision making processes, maximizing timely safety and security-related communication, and minimizing employee vulnerability to hazards and threats. Transit agencies can boost safety and security effectiveness with programs that support the reporting of safety and security hazards, threats, and vulnerabilities by employees. Team building activities and employee satisfaction surveys are also excellent tools to facilitate strong working relationships between management and employees.

Element: Procurement Strategies

Procurement is partially driven by relationships with outside entities such as Federal and state government agencies. These entities often define the parameters under which the procurement should be requested, budgetary limits on the procurement itself, and the amount of involvement and flexibility

allowed to a transit system in determining its choices in asset acquisition. Often, larger agencies have greater decision-making power, while smaller agencies have a somewhat more limited role due to state and local oversight. The FTA, state governments and local governments all have requirements for bidding and awarding contracts, whether for services or tangible assets.

The procurement process is approached with the goal of maximizing the safety and security of a transit system within a specified budget. The process is enhanced by obtaining information from outside sources on safety and security-related design, vendor products and services, and peer evaluations of those offerings. Inventory planning, the process of determining optimal quantities of parts and materials, is an element of the procurement process and is important for timely response to operational requirements.

Element: Information Management Systems

Providing efficient, effective, safe and secure transit services often requires supportive technology. Not only do transit agencies have to successfully manage existing information technology but at the same time look into the future and plan for new technology deployments and their estimated costs. Advanced system technologies include but are not limited to demand response scheduling and dispatch software, fixed-route management systems, mobile data terminals (MDT), maintenance and communication related advancements, and enhanced operational data collection.

Information is protected with programs that prevent, detect, and respond to cyber security attacks. Setting secure passwords, keeping operating systems, browsers, anti-virus and other critical software up to date, and educating employees on computer security is a part of information protection.

Element: Risk Management and Insurance

Risk management is a structured process for reducing uncertainty about risks of accidental loss. This process includes identifying and evaluating risks and developing methods to deal with identified risks. Done correctly, this process also includes implementing a system that measures performance and provides feedback.

There are a variety of ways that a transit agency can insure its assets and protect against liability. These range from the purchase of coverage from a broker or carrier, to participation in an insurance consortium, to being self-insured. Determining the best insurance strategy requires having access to detailed information about the types of insurance coverage available as well as coverage approaches taken by peer transit agencies from around the region, state, and country. Insurance costs are not only

impacted by transit accidents and incidents but can be affected by transit agency policies, procedures, and training. Of significant importance is whether or not coverage will remain in force in the event that transit vehicles and resources are used as a part of emergency evacuation activities directed by local emergency management.

Element: Safety and Security in Financial Planning

Not only are there significant management and financial commitments involved with transit facility construction, transit vehicle purchases, and operating transit services, but safety and security concerns are at the forefront through it all. Effective fiscal management strategies are supported by a firm resolve to funding initiatives that enhance transit safety and security. The combination of safety and security implication analyses and sound financial planning provides a methodology for transit decision making and dictates the necessity of strategically allocating transit operating and capital budget resources to build safety and security infrastructure.

Asset Management can assist in this fiscal management process. Asset Management is a business process and a decision-making framework that covers an extended time horizon, draws from economics as well as engineering, and considers a broad range of assets. Thus, asset management provides a framework for handling both short-and long-range planning. Asset Management has come of age because of changes in the transportation environment, changes in public expectations, and extraordinary advances in technology.

Element: Contractor Management

In situations where transit agencies outsource and/or contract for part or all of their operations or maintenance functions, the contractor "stands in the shoes" of the transit system and requires monitoring. The system and its governing body are responsible for the contractor's actions under the agreement between the agency and the contractor. It is the transit system's responsibility to ensure that contractor work practices meet the established safety and security standards of the agency and any and all Federal, state, and local regulations and requirements. Contract language delineates the safety, security, and training responsibilities of the contractor and defines penalties for non-compliance. Compliance is monitored and documented throughout the life of the contract and regular performance reports are provided to the governing body of the transit system.

Key Function: OPERATIONS AND MAINTENANCE

Transit bus agencies are only as strong as their infrastructures and supporting mechanisms. Infrastructure is to be maintained consistent with established regulations, standards and manuals. Safety and security is a top priority in the design of service delivery and the acquisition of transit facilities and assets. The operation and maintenance functions of a transit agency are best managed with the well-being of both employees and passengers at the forefront of decision-making. Good record keeping and documentation positively impacts efficiency and effectiveness and reduces organizational liability. Safety and security-related organizational performance measures gauge the success of operating and maintaining vehicles, facilities and equipment and provide strategies for improvement.

Element: Regulations and Standards

Commitment to the safety and security mission requires knowledge of Federal and state regulations and standards and an ongoing awareness of any changes in those regulations. These changes may require transit agencies to revise their policies, procedures, and protocols. Mechanisms to ensure compliance with all relevant regulations and standards, along with procedures and schedules for performing reviews of its compliance status, assist transit agencies in keeping up-to-date.

Most Federal and state regulations can be obtained directly from the regulating authority or through Internet sources. Failure to comply with Federal and state regulations and standards can result in penalties and fines and may place employees and passengers in harm's way. Ignorance of regulations is never an excuse for non-compliance. National transit associations can be helpful in providing guidance on regulations and standards.

Element: Service Design and Delivery

Vehicles, facilities, equipment, and systems are the backbone of any transit operation. Decisions about design, acquisition, and modification of system assets and services are based not only on operational needs for effectiveness and efficiency, but also on safety and security implications. There is value in soliciting input into the design and acquisition process from transit employees whose expertise adds insight. The process is supported by having access to a wide range of information on fixed route service design, demand response service design, facility design, vehicle design, and equipment and technology. On-vehicle safety and security technology, including on-board cameras, is having an increasingly positive impact on safe transit service delivery. Alternative fuel vehicles present great environmental advantage to

communities but present significant and unique challenges to transit agencies in terms of operations, maintenance, facilities, policies and procedures, and staff training and development.

Decision-making is enhanced by taking advantage of information from outside resources such as industry trade associations, federal agencies, state agencies, local government experts and consultant services. The best decisions are those that are based on a thorough knowledge of an issue gathered from a variety of sources.

Element: Passenger Safety

A top priority for any transit agency is the on-board safety of employees and passengers. This begins with making sure operational safety-related equipment is available on all vehicles. This equipment may include fire extinguishers, first-aid kits, web cutters, bio-hazard kits, triangles, flashlights and reflective vests. Another important element of on-board safety are the policies and procedures related to transporting passengers, including those with special needs. These policies and procedures address such issues as storing passenger portable oxygen tanks, allowing service animals, transporting unaccompanied young children, and securing personal mobility devices. The foundation of passenger and employee safety is the delivery of effective training in areas like lift operation and wheelchair securement, customer service and assistance, and responding to passenger and vehicle emergencies.

Appropriate policies, procedures, protocols, and training programs are developed after evaluating the needs of passengers. Transit agencies then plan the best way to meet these needs without creating risk to the safety of other passengers, employees, the vehicle, the agency, or members of the community. During policy development, relevant regulations and industry best practices are considered. Non-profit and government agencies are a good resource for information relative to passengers with special needs. Vendors of equipment such as wheelchair lifts and securement devices are excellent sources for training and technical assistance.

Listening to, documenting, and responding to customer complaints, particularly as they relate to safety concerns, can contribute to safe operations. Policies and procedures impacting passenger and employee safety are clearly communicated to employees and to the passengers for whom the policies have been developed. Placing emphasis on how policies improve both on-board safety and customer service is an effective strategy in reaching passengers. Transit agencies may expand their reach to customers by including passenger-related policies in marketing programs and other outreach efforts.

Element: Maintenance Planning

A transit agency's facility and vehicle maintenance efforts require formalized and detailed plans that promote the safety of employees and passengers while meeting industry standards, guidelines, and regulations. Maintenance plans list specific goals and objectives for an agency's maintenance program and describe the procedures and how often they will be performed to meet the stated objectives. Maintenance plans provide a methodology to guide all maintenance-related activity and include strategies to monitor the compliance of schedules and performance standards.

Maintenance planning addresses preventive and defect/corrective maintenance of vehicles and facilities. Planners can obtain input from government agencies, industry experts, vendors, peer transit agencies, insurance providers, and appropriate internal transit employees. Facility maintenance plans follow Federal and state guidelines. Vehicle maintenance plans are generally based on the vendor or manufacturers-recommended procedures and schedules and include attention to the most stringent duty cycle requirements, sometimes called "commercial service" or "severe service" use. This ensures that maintenance is performed frequently and thoroughly enough to maintain vehicles and equipment in the safest condition, while protecting the life of assets and meeting manufacturers' warranty requirements.

Advancements in intelligent vehicle monitoring systems can be effectively incorporated into maintenance planning and performance. Cost benefit analyses help to determine the value of these monitoring systems to a transit agency's maintenance function.

Optimum and timely maintenance performance planning, often affected by growth in technology, includes maintenance staffing requirements.

Element: Maintenance Procedures

Maintenance planning provides the foundation for all maintenance activities. Maintenance procedures define how these activities are to be carried out. Transit maintenance procedures direct employee activity over a wide spectrum of agency functions, including vehicle servicing, preventive and defect maintenance, and vehicle assignment. Maintenance procedures also apply to the upkeep of facilities and fire prevention.

Specific maintenance procedures and protocols govern the work performed by maintenance staff and ensure that maintenance goals and objectives are met. Tools such as shop manuals or job aids and checklists support employees' ability to perform each maintenance task. Due to the importance of

maintenance activities from the perspective of safety, liability, and regulatory requirements, diligent oversight and monitoring of these functions occurs and periodic audits of maintenance practices are conducted with the assistance of subject matter experts.

Given the rapid change of technology in the transit industry, maintenance employees receive regular training and skill assessment and are aware their actions could have serious safety and liability implications.

Element: Maintenance Recordkeeping

All vehicle and facility maintenance is documented and maintained to ensure regulatory compliance, improve safety efficiency and effectiveness, and limit organizational liability. These records include activities related to vehicle preventive maintenance, vehicle defect/corrective maintenance, and vehicle pre- and post-trip inspections, as well as all aspects of facility maintenance. All maintenance documentation is current and accurate. Computer-based maintenance software provides assistance in this maintenance management and record-keeping function. However, hard copy records of all vehicle and facility maintenance activities are available as may be needed and maintenance records are retained according to appropriate agency policy and protocol.

Element: Hazardous Materials

Transit agencies often deal with a wide variety of potentially hazardous materials. These materials may involve blood borne pathogen spills on vehicles, products used to clean transit facilities, or materials stored and used within the transit vehicle maintenance function.

Strict regulatory requirements dictate the management of hazardous materials. These regulations include requirements for maintaining a formal inventory of on-site hazardous materials, storing hazardous materials in approved containers and locations, maintaining and ensuring Material Safety Data Sheets (MSDS) are readily available for employee review, and having an approved plan of hazardous material disposal. As per Federal regulations, transit agencies conduct employee “right to know” training and orientations for all employees that may come into contact with hazardous materials as a part of their job function.

Procedures for employee response to agency hazardous material spills and releases are communicated to all appropriate employees. A bio-hazard exposure plan outlines the procedures for blood borne pathogen spill clean-up and training is conducted on these procedures.

Element: Radio and Communications

A transit operation's effectiveness is directly impacted by the quality and reliability of its communication equipment. Communication equipment has an obvious role in scheduling, dispatching, and customer service, as well as a critical role in emergency response. The operational requirements of equipment, system coverage and dead spots, back-up systems, whether the equipment provides access to first responder radio channels during emergencies, and the Federal Communications Commission's (FCC) new "Narrowbanding requirements" that take effect in January 2013 are taken into consideration when assessing existing communication systems or procuring new systems. Additionally, state policy or procedures regarding procurement of radio equipment and related technology are followed.

Communication policies and procedures for both normal and emergency operations address a variety of issues including driver/operator and dispatcher communication, the employment of technology, such as silent alarm systems, and verbal codes to request law enforcement response to emergencies. The transit agency's communication policy explains the operating parameters of the system, such as the hours of dispatcher and system coverage, and the contact person for vehicle operators when dispatchers are not on duty. In addition to addressing every day and emergency procedures, communication protocols take into consideration any laws, regulations, or policies that apply to confidentiality of passenger information.

When vehicles are equipped with automatic vehicle-monitoring systems, such as Automatic Vehicle Location (AVL) or Global Positioning System (GPS) devices, there are specialized procedures and protocols for the installation, operation and maintenance of those systems and employees are trained on them. A formal distracted driving policy that includes specific rules about cell phone use while operating a transit vehicle addresses a distracted driving issue that greatly impacts safe operation of transit services.

Element: Bus Rapid Transit and Roadway Management

Bus rapid transit (BRT) is a term applied to a variety of public transportation systems using buses to provide faster, more efficient service than an ordinary bus line. Often this is achieved by making improvements to existing infrastructure, vehicles and scheduling. The goal of these systems is to approach the service quality of rail transit while still enjoying the cost savings and flexibility of bus transit.

Bus roadway management systems similar to BRT facilitate speed and convenience of regular transit service delivery but with fewer transit infrastructure challenges than regular BRT operations.

Element: Performance Measurements

Using standard and formalized performance measures to evaluate the safety and security of transit operations and the maintenance function is a powerful tool for organizational success. Performance measures are used to compare agencies with peer agencies, but their primary usefulness is in identifying internal positive or negative safety and security trends. Performance measures can be used to monitor progress toward meeting existing operations and maintenance goals and objectives or create new goals and objectives that are both ambitious and practical.

There are many standardized operations and maintenance performance measures that address transit safety and security. The Transportation Research Board (TRB) publications are an excellent starting point for information about maintenance performance measures. Other sources include state departments of transportation and industry trade associations. Standardized performance measures most beneficial to the organization are used or tailored to meet an agency's needs.

Element: Quality Management

Transit agencies develop quality management systems and plans for their FTA-funded transit capital improvement projects. Program Management Plans (PMP) required by FTA regulations stipulate that a Quality Plan is referenced or included. A Quality Plan defines applicable quality policy and procedures for a project.

A Quality Management System is the organizational structure, responsibilities, procedures, processes and resources for implementing quality management. An effective Quality Management System continuously seeks to improve transit service delivery and involves the participation of every person within an organization to the extent that his or her job responsibilities dictate.

The terms "quality assurance" and "quality control" are often used interchangeably. The terms, however, have different meanings. Quality assurance is all the planned and systematic activities necessary to provide adequate confidence to management that transit services are meeting the agency's established quality requirements. Quality control is the operational techniques and activities of employees that ensure the quality requirements established by the agency for providing transit service are being fulfilled. Larger transit agencies address quality assurance and control through a formalized program while smaller transit agencies often take a more informal approach to this activity.

Internal safety audits are used to verify that safety programs and practices were developed and implemented in accordance with Federal and state requirements and as mandated by internal transit agency policies and procedures. Internal safety audits and reviews are conducted using a checklist to document the activity.

One tool in quality management is capturing information on transit customer satisfaction. Customers on fixed route vehicles or at transit facilities are formally surveyed and paratransit/demand response customers for whom contact information is on file are sent surveys by mail or electronically. Among other issues, these customer satisfaction surveys address passenger safety and security concerns.

Element: System Modifications

Transit agencies are constantly involved in the acquisition process, whether that is the rehabilitation or procurement of new equipment and facilities or expansion of service delivery. Any new acquisition or change carries safety implications, but, for many reasons, ongoing acquisitions can be more critical than initial procurement. Coordination and compatibility with existing systems, construction efforts under operating conditions, and testing and break-in phases are managed as part of the ongoing system safety effort. An important component of system modification is a detailed and documented approval process with specifics of sign-off requirements and exception capability.

Modification also has implications for transit system policy documents. When modifications are made to important policy documents, these are reviewed and approved by appropriate personnel and records are kept of descriptions of changes, signature of approving individual(s), approval dates, and when changes become effective. For larger transit agencies, a change control procedure is a part of the standard operating procedures used to produce and control documentation.

Key Function: HUMAN RESOURCES

Human Resource policies, procedures, and practices provide a broad range of services that help to ensure the safety and security of the transit system and the system's most valuable assets – its employees and customers. Human Resource functions include but are not limited to:

- defining basic job functions and descriptions
- employee recruitment and selection
- developing various administrative and operating policies and procedures
- administering drug and alcohol, fitness for duty, and employee assistance programs
- administering workplace violence awareness programs
- administering worker compensation programs
- overseeing employee performance evaluation
- overseeing employee discipline and termination practices
- participating in bargaining agreement negotiations
- establishing employee training requirements
- managing training and employee development activities

Employee safety and security effectiveness, to a large extent, is determined by how well each employee has been trained to perform his or her duties and how well the employee is supported by the transit agency in carrying out these duties. Transit employees are responsible for performing their jobs in accordance with established policies and procedures, but the transit agency is responsible for ensuring these employees have been provided with the appropriate tools, resources, and up-to-date training to successfully perform their jobs.

Element: Agency Policies

Transit agency Human Resource activities are normally carried out consistent with a formal personnel policy that sets the standard for all employee actions. This personnel policy is communicated and distributed to agency employees who sign for policy receipt. Clear operating policies and procedures including driver/operator handbooks are consistent with an agency's personnel policy. Driver/operator handbooks define the roles and responsibilities and the actions to be taken for specific situations such as vehicle inspections, breakdowns, passenger assistance, emergency procedures, and hazardous conditions. Documentation is kept on file to verify that employees have received copies of all agency policies and handbooks and orientations on the procedures these documents contain.

A separate policy document that addresses the parameters of passenger assistance and the rules for passenger behavior on transit system vehicles is distributed to customers. This policy defines an agency's rules for and expectations of passengers when they are using transit services. Specifically addressed are passenger behaviors that could have a potentially dangerous impact on the safety or security of other passengers, employees, the vehicle, or the system as a whole.

Orientations for new employees and periodic refreshers for current employees are held for the purpose of reviewing all policies and procedures set out in the various handbooks and policy statements. Agency policies also address employee workplace violence and wellness/fitness for duty programs.

Element: Drug and Alcohol Program

A transit agency's drug and alcohol program is directed by Federal regulation as defined in 49 CFR, Part 40 and Part 655 respectively. Additionally, some transit agencies must adhere to Federal Motor Carrier Safety Administration (FMCSA) regulations. Compliance with these regulations includes requirements for program management, testing and collection procedures, laboratory analysis, medical review activities, substance abuse counseling, and record keeping. Because of the direct impact drug and alcohol programs have on the safety and security of a transit agency and its operations, agencies rely on established means to monitor program compliance. This includes periodic compliance audits, post-accident, pre-hire, and/or random drug screening of employees, and any other activities deemed necessary by a transit agency to ensure program compliance. The use and abuse of prescription and/or over-the-counter medications are also addressed by a transit agency's drug and alcohol program. A transit agency's drug and alcohol programs also establish policies for contracted personnel in safety-sensitive positions.

Element: Recruitment and Selection

The quality of a transit agency's workforce impacts safety and security success. Job descriptions are the tools that drive the recruitment and selection process and are necessary for each key position. Accurate and up-to-date job descriptions reflect the specific safety and security-related requirements and responsibilities of positions. Periodic reviews of all job descriptions are performed and descriptions are revised as needed to reflect current circumstances. Review steps include writing a job description that lists specific tasks and activities that must be performed by the person in the position and analyzing the particular set of knowledge, skills, abilities, and past experience required to perform the

listed tasks and activities. This process helps to reduce discrimination in hiring and ensures that qualified individuals are hired.

Significant to the recruitment and selection process are in-depth background checks of all job candidates. These checks include previous employer history, driver license records, and national criminal background checks. Job interviews are conducted using a formally structured interview template that allows both fair and comprehensive evaluation of each candidate. Interview questions are first reviewed by someone in the agency that is knowledgeable about laws and regulations that govern hiring and selection. To reduce the possibility of discrimination and the resulting liability exposure, written interview questions are used, follow-up questions are limited, and two or more people interview each candidate. Records of all interviews and interview results are maintained.

Element: Personnel Management and Evaluation

Personnel management includes strategies for overall management of the transit workforce and employee performance evaluation. Performance evaluation is a multi-purpose tool to measure actual performance against expected performance; provide an opportunity for the employee and the supervisor to exchange ideas about job performance; identify skills and abilities for purposes of promotion, transfer, and reduction in force; support alignment of organization and employee goals; and provide the basis for determining eligibility for compensation adjustments based on merit. The performance evaluation process provides benefits such as providing control over the work that needs to be done**;** enhancing employee motivation, commitment, and productivity**;** and **i**dentifying goals, objectives and development opportunities for employees.

Incentive and award programs reward employees for consistent and positive performance and gain employee buy-in to the system safety and security policies of the agency. Most transit safety incentive and award programs focus on defensive driving and passenger assistance skills.

Element: Training Management and Documentation

Comprehensive training programs orient employees on the transit agency's policies, procedures, and protocols. Training programs develop the specific skills necessary to ensure employees are capable of providing safe, secure, reliable, and high quality service. Developing a training program begins with the performance of a "needs assessment" of the skills required to fulfill specific job functions. This assessment starts with a review of the job descriptions for each position and is followed by a hands-on

evaluation of incumbent on-the-job skills. Based on the needs assessment results, a Training Plan is then developed that includes initial, refresher, and re-training criteria and curriculum for each job function. The Training Plan is reviewed and revised as operating conditions or skill requirements evolve, new equipment or systems are procured, facilities are constructed or modified, or as a result of policy or procedural change.

Effective training is based on formal and well-structured lesson plans involving both classroom and hands-on instruction. Lesson plans are kept on file and reviewed periodically to ensure they are up-to-date and reflect any changes in regulations or industry practices. Central to training management are mechanisms for monitoring the effectiveness of training programs and trainers. Training program initiatives also address any necessary specialized training or certifications required within the operations or maintenance functions.

Records of all training and re-training provided to and completed by employees are maintained. Documentation proves that employees received timely certification and re-certification in critical skill areas. Safety-training records attest to the fact that personnel involved in an incident or accident had the proper safety-related training.

Refresher training is "training provided on a periodic basis to all employees within a job function." Retraining is "training provided on the basis of a performance deficit to selected employees within a job function." Though similar in that the focus of both types of training is enhancing and reinforcing safety and security related skills, the two types of training are distinctly different. Refresher training is important to maintaining a necessary skill set when those skills are not normally used during an employee's day-to-day activities. Without periodic review, an employee's knowledge/skill set begins to decline. Retraining is required when an employee fails to demonstrate his or her ability to fulfill assigned duties according to transit system policies and procedures, such as after an accident or incident that could have been prevented if the employee had performed appropriately using the skills learned during training.

Element: Driver / Operator Training

One of the most powerful tools available to transit management in creating an environment for agency safety and security awareness and success is the delivery of safety and security-related training to all operations employees. Safety and security is impacted by nearly every action taken by drivers/operators during the day-to-day performance of their jobs or during emergency operations. Driver/Operator

training includes a focus on vehicle inspection, defensive driving, customer assistance, emergency/crisis management, and transit agency specific skills.

Defensive driving skills training uses a formally structured and nationally recognized program delivered in a classroom and on a vehicle. Passenger assistance training includes but is not limited to customer awareness and sensitivity, wheelchair management, lift operation, mobility device securement, and helping passengers off the vehicle during emergency situations. Emergency/crisis management training, at a minimum, addresses accident handling and response, vehicle fires and evacuations, and responding to potentially dangerous passengers. Many transit agencies provide Cardiopulmonary Resuscitation (CPR) and First Aid training to drivers. Other driver training topics include vehicle orientation and inspection, radio communication, routes and geography, blood borne pathogen response and hazardous conditions caused by acts of nature.

Element: Staff Development

Training for transit managers and supervisors includes comprehensive instruction on leadership development topics and training on the technical skills needed to carry out their job assignments in both standard operating and emergency situations. Maintenance training addresses vehicle and facility maintenance skills and safe work practices within the maintenance shop environment. Dispatchers, schedulers, and administrative staff also receive targeted skill development training. Organization-wide training is particularly relevant in the area of security awareness, reporting and response.

The success of overall employee skill development efforts is contingent upon having qualified, well-trained, and effective instructors who are provided adequate resources and information to remain up-to-date with the latest industry regulations, standards, and best practices. Transit system trainer skills are enhanced through participation in certified train-the-trainer programs and other offerings available from institutes, trade associations, or private non-profit groups.

Key Function: SAFETY ACTIVITIES

Safety activities address hazards caused by unintentional acts. The first step in effective safety management is ensuring safety roles and responsibilities within the organization are formalized. A process is then developed for identifying, analyzing, and mitigating or resolving safety hazards. Once hazard identification and analysis is completed and documented, safety planning assists the agency and its employees in reducing safety vulnerabilities and creating initiatives that enhance the agency's safety culture. Initiatives include methods for investigating accidents and incidents to identify root causes and other contributing safety factors, and inspections of shop maintenance practices, facility infrastructure, and contractor activities.

Element: Safety Hazard Identification and Reduction

A hazard is defined as any set of conditions, internal or external to the system or system operation, that can cause injury, illness, death, or damage to or loss of equipment or property. The objective of the hazard identification and resolution process is to identify significant dangerous conditions related to the operation and services of a transit agency and to eliminate or control these conditions prior to their causing or contributing to an accident/incident, injury, death or other major loss. All employees of a transit agency are responsible for identifying, reporting, and, when possible, eliminating or controlling hazards that they encounter during their daily duties. After hazards are fully evaluated, a transit agency then focuses on appropriate actions to mitigate, control, or eliminate them.

Safety committees can be extremely useful in facilitating employee input into identifying safety hazards and recommending steps to reduce those hazards. Periodic safety meetings involving management and front-line employees create the opportunity for open communication on safety policies, procedures and protocols and an environment for open dialog on safety hazard identification and accompanying risk reduction strategies.

Element: Accident / Incident Reporting, Investigation, and Review

Vehicle accidents and employee or passenger incidents can occur at any time and require strategic and effective decision-making by both management and front-line employees. Once the accident or incident is under control, transit agencies are responsible for initiating formal procedures on accident/incident reporting, investigation, and review. These activities are clearly defined in agency policies and procedures and include specific employee roles and responsibilities. The process of accident/incident

reporting, investigation, and review is enhanced through the use of standardized protocols and documentation forms.

The goal of accident/incident investigation is to identify root causes of the event so appropriate corrective actions can be taken to prevent recurrence. The accident/incident investigation and review process can be managed through either an employee tasked with that responsibility or through an accident review committee composed of both management and front-line employees. The overall accident/incident review process is always thoroughly documented.

Element: Transit Facility Safety

Safety is enhanced when periodic inspections are conducted of all transit facilities including agency buildings and yards, transfer centers, and bus stops. The purpose of these inspections is to identify potential hazards and repair needs. The inspections focus on agency-specific facility hazards and state and Federal requirements including, when appropriate, those of the Occupational Safety and Health Administration (OSHA) and the Environmental Protection Agency (EPA). Because of the widely varied nature of transit facility construction and the complexity of government standards, it may be necessary for a transit agency to educate an internal inspection team or use outside resources to accurately identify hazards and repair requirements.

The facility inspection process is linked to the transit agency's hazard management and safety data acquisition and analysis practices, as well as the internal safety audit and review process. Standard checklists are used to perform and document facility inspections. Post-inspection reports provide inspection findings and recommended corrective actions.

Maintenance inspections include visual observation of shop safety procedures and protocols. Standardized checklists specific to shop safety are used and inspection results documented in a formal inspection report.

Element: Safety Certification

A Safety and Security Management Plan (SSMP) is a required document that must be prepared by applicants and recipients of FTA funds for major capital projects. The SSMP is part of the Project Management Plan and describes how safety will be addressed in a major capital project from initial project planning through initiation of revenue service. Through the SSMP, FTA can ensure that safety is adequately addressed in all project development phases. The final safety certification provided through this process includes assurance of

commitment towards safety, integration of safety into project development, assignment of project safety responsibilities, safety analysis and hazard vulnerability management processes, ensuring qualified operations and maintenance personnel, and safety verification processes.

Element: Contractor Safety

When a transit agency contracts for any part of its operation or maintenance functions, it is responsible for ensuring these services are performed safely and in accordance with applicable Federal, state, and local regulations, in addition to the agency's own contract requirements. While a formal audit schedule is useful for monitoring contractor compliance, unannounced audits and inspections of contractor activities are equally valuable. A standard checklist of all safety-related requirements outlined in the contract is used when inspections are performed.

The results of the contractor audit and inspection are explained in a report that outlines findings, proposed corrective actions, a timeline for implementing the corrective actions, and the consequences for the contractor if the corrective actions are not met by the established deadline. Follow-up inspections are performed to verify that corrective actions have been implemented.

Element: Safety Data Acquisition and Analysis

Safety-related data, such as that gained through accident/incident investigations and hazard management practices provides transit managers with opportunities to learn from past internal events. The information garnered from this process is analyzed to improve agency performance and highlight agency accident/incident and hazard trends. Tracking this data over time provides useful information regarding the effectiveness of the agency's safety program and areas in which improvements to safety procedures are needed.

The safety data acquisition and analysis process employs a formal yet easy-to-use mechanism to ensure orderly, systematic, and comprehensive record keeping. This mechanism can range from sophisticated information technology to a simple spreadsheet or a filing system of accident/incident report forms. By analyzing trends in accidents/incidents, passenger complaints, and "near miss" reports, transit management has the potential to identify and resolve problems before critical accidents/incidents occur. Information from the National Transit Database (NTD) can be helpful in the trending analysis process.

Key Function: SECURITY ACTIVITIES

Security is protecting the transit agency against threats caused by intentional acts. The FTA, along with the Department of Homeland Security (DHS), and the Transportation Security Administration (TSA), have established regulations, guidelines, recommended practices, and various other resources to assist transit agencies in developing, administering, and continually improving system security programs. These resources include TSA's and FTA's joint Security and Emergency Management Action Items for Transit Agencies.

FTA has identified several basic elements of system security management that transit agencies can develop and administer. The elements include a process for security assessment; working with outside agencies to stay aware of changing security circumstances and potential system threats; instituting programs for heightening employee security awareness; and continually monitoring the security of the agency's operations, services, facilities, equipment, passengers, employees, contractors, and other assets.

Element: External Security Stakeholders

The Federal government, including the Federal Transit Administration (FTA), and the Department of Homeland Security's (DHS) Transportation Security Administration (TSA) and Office of Grants and Training (OGT), the American Public Transportation Association (APTA), the Community Transportation Association of America (CTAA) and individual transit agencies continue to prepare for the occurrence of a terrorist attack, criminal activities, or any other significant security emergency. Efforts include updating, developing, and implementing better procedures and plans, training, and drills and exercises. Critical to the success of these efforts is transit agency communication within the agency, with other transit agencies, with emergency management and first responders, and with key stakeholder local, regional, state and federal agencies.

Element: Security Awareness, Reporting and Response

A transit agency's front-line employees and passengers are sometimes described as the security "eyes and ears" of the system and the community because they work in and ride the system frequently and are often in the best position to notice things that are abnormal, including activities, people, vehicles, or items that raise their suspicions. An overall security program recognizes that employees and passengers are key resources in this effort and stresses the value of security awareness to employees and passengers. Training programs and sharing information that emphasizes security awareness and reporting have the

potential to reduce security vulnerabilities. Security awareness and reporting programs have applicability to a variety of transit agency activities including vehicle inspection, vehicle storage, visitor control systems, suspicious item response, bomb threat and dangerous mail response, theft and burglary concerns, and reacting to potentially dangerous people.

Reporting procedures are simple to follow and accompanying documentation is easy for employees to complete, requiring just enough information for a supervisor or manager to determine what, if any, follow-up action is required. All security-related reports are kept on file for analysis and evaluation to identify and react to potential security threats or vulnerabilities. Security data analyses are conducted on a periodic basis consistent with the level of real and perceived threat.

Element: Revenue Security

Transit revenue provides an enticement for criminal behavior. To address this security concern, the revenue handling process is assessed to identify possible weaknesses and to reduce or control the impact of potential threats and vulnerabilities. Based on the results, the agency is in the position to evaluate methods for improving revenue handling and transfer practices. These methods can include using surveillance cameras, controlling access to revenue facilities, secure handling of fare boxes at probing stations, sealing revenue transfer containers, storing revenues in a secured vault, and/or timely and unpredictable transfer of revenues to a bank. As with all other security related practices, revenue facility security and revenue handling and transfer procedures are re-evaluated on a periodic basis to ensure they remain effective. The goal of making the revenue handling process more secure is to not only reduce the possibility of theft by employees, but also to reduce the vulnerability of employees to external criminal activity.

Element: Transit Facility Security and Audits

Effective transit facility security begins with a thorough analysis of all facilities and vehicle storage areas combined with a realistic appraisal of identified threats and vulnerabilities. Common sense and the advice of local law enforcement, emergency management or the agency's insurance carrier are valuable resources for deciding the best methods to secure storage areas and facilities. Transit agency characteristics, such as size, location, and resources are taken into consideration during this decision. Methods for improving vehicle and transit facility security include locked and/or controlled perimeter fencing, external and internal lighting, surveillance equipment, alarm systems, locked and/or controlled facility entrances, and roving security patrols.

An internal security audit and review assesses the effectiveness of a transit agency's security program and practices, identifies potential security threats, verifies that corrective actions have taken place, and assists management with developing security improvements. These reviews are documented using a standard security checklist. Due to the sensitive nature of security-related information, security audit reports are kept confidential and controlled and only shared with appropriate external stake holders, such as law enforcement or emergency management.

Element: Security Certification

A Safety and Security Management Plan (SSMP) is a required document that must be prepared by applicants and recipients of FTA funds for major capital projects. The SSMP is part of the Project Management Plan and is written to describe how the recipient will address security in a major capital project from initial project planning through initiation of revenue service. Through the SSMP, FTA can ensure that security is adequately addressed in all project development phases. The final security certification provided through this process includes assurance of commitment towards security, integration of security into project development, assignment of project security responsibilities, security analysis and hazard vulnerability management processes, ensuring qualified operations and maintenance personnel, and security verification processes.

Element: Contractor Security and Audits

When a transit agency contracts for any part of its operation or maintenance functions, it is responsible for ensuring these services are consistent with security standards and in accordance with applicable Federal, state, and local regulations, in addition to the agency's own contract requirements. While a formal audit schedule is useful for monitoring contractor compliance, unannounced audits and inspections are equally valuable. A standard checklist of all security-related requirements outlined in the contract is used when inspections are performed.

The results of the contractor audit and inspection are explained in a report that outlines findings, proposed corrective actions, a timeline for implementing the corrective actions, and the consequences for the contractor if the corrective actions are not met by the established deadline. Follow-up inspections are performed to verify that corrective actions have been implemented.

Element: Security Data Acquisition and Analysis

Transit agency security is enhanced through the administration of a security data acquisition and analysis process that relies on the documentation of past internal and "near miss" security events.

Security-related events such as criminal or terrorist behavior on transit vehicles, in and around transit facilities, or within the community, are reported to appropriate authorities and then tracked by a transit agency to identify potential system security threats and vulnerabilities. This information can be used to measure and improve the security-related performance of an agency.

Tracking security data over time provides useful information regarding the effectiveness of the agency's security program and areas in which improvements to security procedures are needed. The security data acquisition and analysis process employs a formal yet easy-to-use mechanism to ensure orderly, systematic, and comprehensive record keeping. This mechanism can range from sophisticated information technology to a simple spreadsheet or a filing system of security incident forms. The critical concern is that the data, including "near miss" events, is analyzed to identify trends and develop initiatives to reduce security vulnerabilities. Information from the National Transit Database (NTD) can be helpful in the trending analysis process.

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Key Function: EMERGENCY/ALL-HAZARDS MANAGEMENT

An all-hazards approach to emergency preparedness assists transit agencies to respond to their own customer needs during an emergency and illuminates their role as a part of a broader network of community emergency response. Internal emergency response protocols enhance an agency's readiness and response role and address its responsibilities to support local emergency management. Management and staff are trained on incident response and recovery procedures and an emergency information dissemination policy provides guidance to employees. Transit's specific role in emergency community evacuation is defined and formalized within the local community Emergency Operations Plan (EOP).

Element: Preparedness, Prevention and Coordination

It is valuable for transit agency management to build an effective working relationship with local emergency management. This relationship often includes formal agreements to provide support during community emergencies. These agreements may be stand-alone or included in local Emergency Operations Plans as annexes.

Open communication and interaction with emergency management, law enforcement and fire departments is an important goal of transit emergency response. This interaction often includes participating in Local Emergency Planning Committee (LEPC) meetings and cross-training activities with law enforcement and fire personnel. This cross-training orients first responders on transit vehicle operation and transit employees on how to respond to vehicle fires and perpetrators on vehicles.

Effective transit emergency operations preparedness and planning takes into consideration such issues as:

- Pre-determining the availability of staff to report during an emergency.
- A "call down" mechanism to alert staff to report to work in an emergency.
- Access to essential material supplies, including fuel, required for sustained emergency response.
- Back-up modes of operation if power is lost and radios, telephones and/or computers can no longer be relied upon.
- Providing information to transit staff on family and emergency preparedness.
- Distributing information to paratransit/demand-response customers on the level of service they can expect during emergencies.

- Specific procedures and guidelines for evacuating people from communities when ordered to by emergency management.

Threats and vulnerabilities to a transit system cover a wide array of events, virtually none of which can be totally eliminated while still operating the system. Once threats and vulnerabilities are identified, their impact on the total system must be assessed to determine whether to accept the risk of a particular danger, and the extent to which corrective measures can eliminate or reduce its severity. Threat and Vulnerability Assessments (TVAs) are performed consistent with FTA and TSA's recommended practices. A TVA is performed by a transit agency for the first time to serve as a baseline evaluation of the system's vulnerability to risk and periodically thereafter when changes occur within the transit operating environment or the overall transit service area.

TVAs are performed and documented using a standardized template and, whenever possible, coordinated with outside stakeholders such as local emergency management, law enforcement, and fire departments to gain the benefit of their expertise and establish working relationships with their personnel. When performing the TVA, the transit agency identifies all of its critical assets, including capital and human, and evaluates the importance of these assets to the system and their vulnerability to internal and external threats. This process assists the transit agency in identifying system threats and vulnerabilities and prioritizing actions to eliminate or control the threat or vulnerability.

Internal hands-on emergency response training is conducted and community emergency drills, simulations, and exercises are participated in whenever possible. External activities range from tabletop exercises to single response drills to full- scale functional exercises. People with access and functional needs are included in community emergency response exercises to aid emergency planning efforts. Post-action reports on all drills, simulations, and exercises document the events and provide an opportunity for analysis and improvement of response.

Emergency response capabilities are practiced to develop management and employee skills and crystallize response protocols. Regularly repeated training and testing of transit employees on emergency response skills helps ensure employees are as prepared as possible for any emergency. A part of such training includes assessing employee skill levels and providing additional coaching as necessary.

The Federal government urges all transit agencies to become National Incident Management System (NIMS) certified and familiarize internal transit staff on the Incident Command System (ICS).

Element: Incident Response and Management

Transit's incident response initiatives include protocols for responding to emergencies. The incident response process reinforces the roles and responsibilities of transit employees during internal and community-wide emergencies. The destruction caused by acts of nature underlines the importance of the role transit has in providing resources for emergency community evacuation efforts. Transit's role may also include helping emergency management identify and locate transportation dependent populations that require evacuation assistance. Strong working relationships between transit agencies and entities such as local human service agencies, senior living communities, nursing homes, and assisted living facilities help transit prepare for and participate in special needs population evacuation.

During community emergencies transit agencies are often faced with two separate and at times competing response priorities. One priority is to continue to meet the life sustaining needs of regular paratransit/demand-response customers during an emergency and the other is to support emergency management in community emergency response. Finding a way to address these priorities requires direct communication between transit providers and the Emergency Operations Center (EOC). Command and control during community emergencies will be driven by the EOC and handled by Incident Command (IC). Transit will respond to requests for support from both the EOC and IC.

Transit emergency incident response planning takes into consideration critical concerns such as:

- Prepping, pre-positioning and staging transit vehicles for rapid deployment
- Meeting the needs of customers that are "in-system" when an emergency occurs.
- Communicating service reduction and shut down information to customers.
- Establishing an emergency dispatching system that may include manual capabilities and dispatching from a remote location.
- Communicating with emergency management and first responders during community emergency response.
- Locating people with access and functional needs that require transportation assistance in an emergency.
- Transporting pets during community emergency response.

- Developing an emergency dissemination policy that guides the appointed staff member or Public Information Officer (PIO) in providing transit information to the community.

Element: Incident Recovery

Plans for short and long-term post-incident recovery include procedures for communicating with customers and the community on restoration of service; meeting a potential demand for increased and non-traditional service; addressing clean up and inspection of transit assets, documenting damage of agency resources used during incidents; preparing after-incident reports; making contact with insurance providers; and providing counseling for staff that may have been affected by an emergency. Recovery strategies are formally documented and communicated to key internal and external stakeholders.

Transit management is familiar with and follows all documentation and record keeping requirements of local, state and federal agencies, including the Federal Emergency Management Agency (FEMA), to ensure eligibility for potential reimbursement of costs incurred during emergency response operations.

CONCLUSION

This Roadmap for Excellence offers voluntary and non-compliance based guidance and technical assistance to support transit agencies in addressing safety, security and emergency preparedness. The Federal Transit Administration (FTA), through the Office of Safety and Security, understands the challenges transit agencies face when trying to deal with a wide spectrum of critical priorities with limited resources. FTA considers the key functions and elements in this document important to the success of safety, security, and emergency preparedness programs and provides them to help bus transit agencies evaluate and build their individual programs. The structure of the FTA Bus Safety and Security Program website is consistent with these elements. The website contains a formal Self-assessment Tool with affiliated resources to assist transit agencies in evaluating and enhancing their safety, security and emergency preparedness programs. FTA and its partners believe that, when given guidance and assistance, agencies will make effective and practical decisions based on need and resource availability in their pursuit of safety, security, and emergency preparedness excellence.