



# PUBLIC TRANSPORTATION AGENCY SAFETY PLAN



Submitted by:

Des Moines  
Area Regional  
Transit Authority

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Region 7

~~January 3 April 2, 2023~~  
Version 3



## Plan Development, Approval, and Updates

### Name of Entity or Individual that Drafted This Plan

Patrick Daly, DART Safety Manager

### Signature of Accountable Executive

~~Elizabeth Presutti~~ Amanda Wanke, DART Chief Executive Officer

Commented [DP1]: Needs Amada's signature

### DART Commission Approval

Commission Meeting Date of Approval:

April 23, 2024



<b>Version Number and Updates</b>			
<i>Record the complete history of successive versions of this plan.</i>			
<b>Version Number</b>	<b>Section/Pages Affected</b>	<b>Reason for Change</b>	<b>Date Issued</b>
1		Original	December 2020
2	5 6-7 52	Updated month for when annual update of the PTASP will be completed  Updated safety performance metrics for FY 2022 and included results of safety performance metrics for FY 2021  Updated with current organizational chart  Other minor wording changes throughout the document	January 2022
3	4 5 6 7	Updated safety performance metrics for FY 2023 and included results of safety performance metrics for FY 2022. Added description of method used to determine the safety performance metrics.  Updated the date for transmitting SPT's to the MPO and Iowa DOT.  Added section regarding Risk Reduction Targets  Changed Transportation manager to Fixed Route and Mobility Services managers in the Responsibilities Summary matrix and added anonymous reporting method to employee safety reporting program.  Added safety committee activities. Added driver's license review to HR department activities. Added "assist HR department with FTA random drug and alcohol testing program to Transportation department activities. Added FTA Drug and Alcohol program responsibilities to CHRO and Human Resources.  Added sections on risk reduction and infectious disease programs.  Added de-escalation training to All Employee Training and outlined the positions required to be provided that training.  Other minor wording changes throughout the document	January 2023



Version Number and Updates			
Record the complete history of successive versions of this plan.			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
4	Plan Development, Approval, and Updates <a href="#">Several Sections</a>	Requires <a href="#">Amanda's new CEO</a> signature.  <a href="#">Updated Chief Human Resources Officer to Chief People Officer.</a>	April 2024
	2	Added Just Culture Statement	
	4.1	Updated Safety Performance Targets for FY 25	
	4.2	Added summary of FY24 Safety Performance Targets	
	7.0	Requires <a href="#">Amanda's new CEO</a> Signature	
Appendix B	Add updated Organization Chart		



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## Abbreviations

AARs	After Action Reports
ADA	Americans with Disabilities Act
APTA	American Public Transportation Association
ASP	Agency Safety Plan – shortened version of PTASP
CAP	Corrective Action Plan
CEO	Chief Executive Officer
CFR	Code of Federal Regulations
CHRO	<del>Chief Human Resources Officer</del> <u>Chief People Officer</u>
COO	Chief Operations Officer
DART	Des Moines Area Regional Transit Authority
DMPs	Des Moines Public Schools
DR DO	Demand Response – Directly Operated
DT PT	Demand Response Taxi – Purchased Transportation
EAP	Employee Assistance Program
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ERP	Emergency Response Plan
ERT	Emergency Response Team
FEMA	Federal Emergency Management Agency
FMLA	Family and Medical Leave Act
FTA	Federal Transit Authority
HESSP	Homeland Security Exercise and Evaluation Program
HSPDs	Homeland Security Presidential Directives
IC	Incident Command
ICS	Incident Command System
IHR	Initial Hazard Rating
IOWA DOT	Iowa Department of Transportation
JHA	Job Hazard Analysis
MB DO	Motor Bus – Directly Operated
MPO	Metropolitan Planning Organization
NACTO	National Association of City Transportation Officials
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NTD	National Transit Database
NTSB	National Transportation Safety Board
OSHA	Occupational Safety and Health Administration
POC	Point of Contact
PTASP	Public Transportation Agency Safe Plan
SDS	Safety Data Sheets
SMS	Safety Management System
SOP	Standard Operating Procedure
VP DO	Van Pool – Directly Operated





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## Definitions

**Accident** - 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; an evacuation for life safety reasons.

**Accountable Executive** - A single, identifiable person who has ultimate responsibility for carryout 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** - 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 Safety Plan.

**Event** - Any Accident, Incident, or Occurrence.

**FTA** - The Federal Transit Administration, and operating administration within the United States Department of Transportation.

**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 of a public transportation system; or damage to the environment.

**Incident** - 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** - 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** - The plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

**Occurrence** - 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** - A provider of transportation as defined under 49 U.S.C. 5302(14).

**Performance measure** - An expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress towards meeting the established targets.

**Performance target** - A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

**Public Transportation Agency Safety Plan** - The documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part (673.5).

**Public Transportation Safety Certification Training Program** - Either the certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established through interim provisions in accordance with 49 U.S.C. 5329(c) (2), or the program authorized by 49 U.S.C. 5339 (c) (1).



**Risk** - The composite of predicted severity and likelihood of the potential effect of a hazard.

**Risk mitigation** - A method or methods to eliminate or reduce the effects of hazards.

**Safety Assurance** - Processes within a transit agency's Safety Management System that functions 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** - 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 (SMS)** - 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 systemic procedures, practices, and policies for managing risks and hazards.

**Safety Management System (SMS) Executive** - the Chief Safety Officer or an equivalent.

**Safety Performance Target** - A Performance Target related to safety management activities.

**Safety Promotion** - 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** - 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** - A process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risk.

**Serious injury** - Any injury which: (1) requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); (3) Causes severe hemorrhage, 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.

**Small Public Transportation Provider** - A recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operated a railed fixed guideway public transportation system.

**State** - A State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

**State of Good Repair** - The condition in which a capital asset is able to operate at a full level of performance.

**State Safety Oversight Agency** - An agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329€ and the regulations set forth in 49 CFR Part 674.

**Transit Agency** - An operator of a public transportation system.

**Transit Asset Management Plan** - 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.



## 1. Organizational Overview

The Des Moines Area Regional Transit Authority (DART) is the transportation resource for the Greater Des Moines region, offering the largest network of buses in the State of Iowa as well as resources for those who vanpool, walk or bike. The Greater Des Moines region has changed dramatically in recent decades with a growing reputation and vision for competing on a global level. A significant part of our community's ability to compete is tied to the workforce, infrastructure, and economic vitality.

Transportation is a critical component of a region's competitiveness - vibrant, growing communities have strong public transit systems at the heart of their infrastructure to connect citizens with jobs, education, shopping and more. The DART Commission and staff have worked diligently to improve the regional transit system since it was formed in 2006. In October 2017, DART's governance structure was reconstituted to establish a Board of Commissioners with one representative for each of its member governments.

DART's current member governments include Altoona, Ankeny, Bondurant, Clive, Des Moines, Grimes, Johnston, Pleasant Hill, unincorporated Polk County, Urbandale, West Des Moines, and Windsor Heights.

Approximately 4.5 million rides per year were provided on DART's fixed route, paratransit, On-Demand, and vanpool services prior to the pandemic. DART has a fleet of 139 fixed route, on-call, and paratransit vehicles and 91 rideshare vans. DART provides its services from one transit hub, one operations and maintenance facility, 1,780 bus stops, more than 20 Park and Ride locations, and 33 bus stop shelters.

DART's administrative offices and transit hub are located at 620 Cherry St, Des Moines, Iowa 50309, and its operations and maintenance facility is located at 1100 Dart Way, Des Moines, Iowa 50309.

DART is funded by a combination of local property taxes, public-private partnerships, fares, a variety of grants, and FTA programs, including 5307, 5310, 5311, and 5339.

DART partners with the Des Moines Public School (DMPS) system to assist with transportation needs of middle and high school students. Service consists of additional morning and afternoon trippers that are open to the public and serve DMPS middle and high schools. In addition to transporting students to and from school, DART contracts with the district to provide free rides to all DMPS middle and high school students, with a valid student ID, after 4:30 p.m. on school days and all-day during weekends, holidays, and whenever school is not in session.



## 2. Agency Safety Plan Goals and Objectives

The DART Public Transportation Agency Safety Plan (ASP) establishes formal structure and processes to be used by DART to identify, assess, track, control, minimize, and resolve hazards associated with DART bus service delivery. The ASP will be used as a means of preventing injuries, incidents, system disruption, accidents, environmental damage, and other losses.

The ASP also demonstrates DART's commitment to safety and compliance through loss prevention programs. Furthermore, the ASP applies to the planning, design, procurement, construction, operations, and maintenance functions of the DART bus system. The ASP is approved by the DART Commission and implemented by the Safety Manager under the Chief Executive Officer.

DART's ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. In addition, DART embraces and participates with the Iowa Department of Transportation in achieving the statewide goal of zero traffic fatalities.

The focus in the development of the DART ASP is to provide safe and reliable movement of passengers throughout the transit system. The passengers and the general public must be confident that the DART transit system is a safe system. To achieve this, it is necessary to design, construct and maintain a system that is free from recognized hazards with the safety of passengers and the general public in mind. DART's objectives will be met by drawing information from system observation, local and state codes, federal guidelines, and specific DART requirements into a unified document to ensure a safe transportation system.

The goal of DART's ASP is to utilize and achieve the highest practical level of safety in order to protect passengers, employees, emergency responders, contractors, invitees, and property. At a minimum, the ASP ensures the following processes are incorporated into DART's system safety programs, plans, processes, and practices to achieve its goals to:

- ▶ Identify hazards or undesired events by examining historical data, causes, and contributing factors.
- ▶ Provide a level of safety that is consistent with transit bus standards.
- ▶ Assess risks by balancing the potential frequency of a hazard occurring against the severity of the event and quantify the event into acceptable or unacceptable categories.
- ▶ Eliminate, mitigate, or control unacceptable or undesirable hazards to acceptable levels.
- ▶ Determine if DART's goals and objectives were achieved.
- ▶ Monitor hazard resolution effectiveness and determine if there are unexpected hazards.
- ▶ Comply with federal, state, and local rules and regulations.
- ▶ Continually improve and evaluate system safety design.
- ▶ Ensure that all customers perceive the system is safe and secure by maintaining a high level of safety comparable to other transit systems as measured by maintaining a good safety record, and by maintaining the system in a state of good repair.



The Chief Executive Officer along with the Safety Manager, the ~~Chief Human Resources Officer~~Chief People Officer and Chief Operating Officer are responsible for the development of goals for the ASP. The Safety Manager is responsible ~~to report~~for reporting directly to the CEO on compliance with the ASP.

The ASP's intent is to:

- ▶ Establish a clearly defined safety structure with lines of authority and responsibility to implement the program, processes, and policies that integrates safety into all aspects of DART functions.
- ▶ Establish a just safety culture which seeks to understand the root cause of accidents, incidents, and occurrences rather than defaulting to individual blame.
- ▶ Provide means of measuring and achieving DART safety goals and initiatives, and compliance with rules and regulations.
- ▶ Provide multiple pathways for employees to report safety concerns, hazard, near misses and security concerns.
- ▶ Set procedures for review, approval, and documentation of system modifications to existing systems, vehicles, facilities, and equipment.
- ▶ Set processes to address safety issues for activation of new systems and modifications to existing systems, facilities, and vehicles prior to initiation of service.
- ▶ Establish standards for emergency preparedness and management.
- ▶ Ensure compliance ~~to~~with safety rules and regulations that impact operations or maintenance.
- ▶ Conduct an ongoing maintenance inspections program of vehicles, equipment, facilities, and maintenance cycles, with documentation and the integration of identified safety concerns into the hazard management process.
- ▶ Set safety training standards for employees and contractors.
- ▶ Establish a configuration management control process for modifications during operations.
- ▶ Establish standards for and compliance with the hazardous materials program, drug and alcohol program as well as procurement processes.
- ▶ Conduct continual internal reviews, and inspections to evaluate ASP compliance.

*Integrating Safety into all Aspects of DART*

The objective of safety at DART is the continual improvement of our processes and operations to maximize safety to the highest practicable level. This effort is undertaken by providing continual opportunities for employees to be reminded of safety, incorporate safe practices into their operations and multiple means for each employee to identify potential hazards.

The DART safety team accomplishes this through monthly safety meetings for bus operators and the maintenance department, safety committee meetings, weekly safety messages, safety poster campaigns, identification and mitigation of hazards, proactive reviews and inspections to identify potential hazards.



Des Moines Area Regional Transit Authority  
Public Transportation Agency Safety Plan



Within the different departments, multiple means of incorporating safety are presented. As examples:

- ▶ The planning department consults with Safety when implementing new bus routes, adding or moving service stops, adding or moving shelters, etc.
- ▶ Safety works with the External Affairs department on bus wraps, on-board signage, and on-board [PSAs](#).
- ▶ Safety works with the Procurement department to review safety related language in contracts and safety related features of vehicles being considered for purchase.



### 3. Annual Review and Update

The DART Public Transportation Agency Safety Plan is reviewed at least annually, and updated to reflect organizational, process, and other safety program changes. The PTASP is also updated on an as-required, event-driven basis, all of which is intended to promote continuous improvement within the plan.

The responsibility to review the Plan annually, assess its effectiveness, develop and propose changes, solicit internal and external reviews, implement and control the revisions and distribute the changes rests with the Safety Manager. Throughout the year, the Safety Manager in consultation with the Transportation Manager, Maintenance Manager, HR Manager, and the Safety and Training Specialist will keep a record of PTASP performance and make notes regarding any omissions, corrections, additions, and clarifications that should be addressed in the annual review.

The review and necessary revisions include, but are not limited to the following:

- ▶ Accident investigations
- ▶ Changing trends in accident/incident data
- ▶ New, extended, or upgraded service or routes.
- ▶ New or retrofitted rolling stock or non-revenue vehicles and equipment
- ▶ New or rehabilitated facilities
- ▶ New or revised emergency operating procedures
- ▶ Change in management or organizational change and reassignment of functional responsibilities which affect operations and/or safety.
- ▶ Change in safety policies, goals or objectives.
- ▶ Change in regulatory requirements; or reporting requirements.
- ▶ At the request of DART Leadership
- ▶ As a result of internal or external audit findings
- ▶ Iowa DOT on-site reviews or upon written notification of the Iowa DOT

DART intends to achieve continuous improvement within the performance targets as well as in improving processes and procedures that reduce safety risk, training programs that improve skills, knowledge and abilities, and engineering and administrative controls that mitigate or eliminate hazards. This will be accomplished, for example, through lessons learned, in addition to risk-based internal safety reviews.

The Safety Manager coordinates proposed revisions to the PTASP with appropriate department managers and executive team members. The DART CEO approves all updates to the plan. The PTASP is maintained in electronic format and available to personnel on the intranet located under the Safety Management Systems tab along with other Minimum Standards for Safety documents.

Annual revision of the PTASP will be completed by October 30 of each year and submitted to the DART Commission for approval no later than the December Commission meeting of that year.





## 4. Safety Performance Targets

The following Performance Targets are aligned with the National Public Transportation Safety Plan supporting the 4 measures: Fatalities, Injuries, Safety Events & System Reliability.

### 4.1. FY 2023 Safety Performance Targets

Safety Performance Targets (FY 2024) <sup>2</sup>							
Mode of Transit Service	Fatalities	Fatalities per 100/K miles	Injuries	Injuries per 100/K miles	Safety Events	Safety Events per 100/k miles	System Reliability
Fixed Route Bus (MB DO)	0	0	7.0 <sup>10</sup>	0.30 <sup>0.45</sup>	12.0	0.58 <sup>7</sup>	15,801 <sup>12,500</sup>
Paratransit Bus (DR DO)	0	0	1.0	0.13	1.0	0.13 <sup>4</sup>	24,744 <sup>65,000</sup>
Rideshare (VP DO)	0	0	1.0	1.0	1.0 <sup>2</sup>	170 <sup>50</sup>	138,000
Taxi (DT PT)	0	0	1.0 <sup>0</sup>	1.00 <sup>00</sup>	1.0 <sup>0</sup>	170 <sup>00</sup>	7,400 <sup>0</sup>

The Bipartisan Infrastructure Law ~~added requirements to DART's Agency Safety Plan to set risk reduction performance targets using a three-year rolling average, added the requirement that once DART's newly constituted Safety Committee was active, the Safety Performance Targets be set by the committee. DART's Safety Committee approved the FY 2024 Safety Performance Targets at its meeting on August 23, 2023.~~

~~The Safety Committee reviewed FY 2022 and FY 2023 actual Safety Performance Targets and used those year's numbers to set the targets for FY 2024.~~

~~With no similar guidance issued by the FTA regarding the setting of the safety performance targets, DART will begin using the three-year rolling average for the safety performance targets once we have three years of data.~~

~~With the safety performance targets only being tracked in this format since FY 2021, FY 2023's proposed safety targets are based on the average of FY 2021 and FY 2022's actual safety performance. Rideshare and Taxi did not report any major road calls in FY 22, their FY 23 target was set to the same as FY 22.~~

~~Some averages for the total number injuries and safety events were rounded up for the FY 23 targets. Where the average of for Injuries or Safety Event resulted in a fraction, the target number was rounded up to the nearest whole number and the corresponding "per 100/K" target was similarly adjusted.~~



## 4.2. FY 2023~~2~~ Safety Performance Targets Results

DART's Public Transit Agency Safety Plan is required to set and track safety performance targets. There are seven safety performance areas for each mode of service DART delivers that are tracked. As the following table illustrates, DART met or exceeded our Safety Performance Targets in every category for FY 2022

FY 2022 Safety Performance Targets							
Mode of Transit Service	Fatalities	Fatalities per 100/K miles	Injuries	Injuries per 100/K miles	Safety Events	Safety Events per 100/k miles	System Reliability
<b>Fixed Route</b>							
FY 23 <del>2</del> Target	0	0	107	1.250.30	12	1.50.57	10,50015.801
<b>FY 23<del>2</del> Actual</b>	<b>0</b>	<b>0</b>	<b>11</b>	<b>0.49.51</b>	<b>14</b>	<b>0.6265</b>	<b>14,61712.450</b>
<b>Paratransit</b>							
FY 23 <del>2</del> Target	0	0	21	1.00.13	31	0.1714	21,00027.744
<b>FY 23<del>2</del> Actual</b>	<b>0</b>	<b>0</b>	<b>10</b>	<b>0.130</b>	<b>2</b>	<b>0.2724</b>	<b>49,48865.363</b>
<b>Rideshare</b>							
FY 23 <del>2</del> Target	0	0	1	1.0	12	1.00.26	138,000
<b>FY 23<del>2</del> Actual</b>	<b>0</b>	<b>0</b>	<b>02</b>	<b>0.043</b>	<b>2</b>	<b>0.2643</b>	<b>0.00</b>
<b>Taxi</b>							
FY 23 <del>2</del> Target	0	0	1	1.0	1.	0.17	7,400
<b>FY 23<del>2</del> Actual</b>	<b>0</b>	<b>0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.00</b>

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For FY 23~~2~~, Rideshare, and Taxi had no major mechanical breakdowns that effected their System Reliability.

The FY 23~~2~~ goal for preventable accidents was less than 1.00 per 100/k miles of revenue service. DART narrowly missed achieving that goal and ended the fiscal year with an overall accident rate of 1.110.76 preventable accidents per 100/k miles.

We continue to gather accident data and analyze it for trends in accident causes. To address any trends found, our behind the wheel trainers continually reinforce behaviors and mindsets to help operators stay accident free. Operation road supervisors are increasing the number of



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operator evaluations conducted with a concentration on evaluating operators with less than two years of experience.



## 5. Safety Performance Target Coordination

DART works in accordance with its local Metropolitan Planning Organization (MPO), the Des Moines Area Metropolitan Planning Organization (MPO). DART’s Planning Department communicates all performance targets to the MPO.

DART will select safety performance targets on an annual basis and makes this information available to the MPO, as required under the Mobilizing Tomorrow 2050 long-range plan and the most recent Transportation Improvement Program (TIP). DART will also submit this to the Iowa Department of Transportation under the requirements of State Safety Oversight. The MPO strategically utilizes this information in order to make investment and policy decisions to achieve national performance goals. It establishes safety performance measure requirements for the purpose of carrying out the State’s Highway Safety Improvement Plan and to assess fatalities and serious injuries on all public roads.

### Safety Performance Target Coordination with local Metropolitan Planning Organizations (MPO) and State Agencies

Safety Performance Targets Transmitted	MPO or State Agency Name	Date Targets Transmitted
	Des Moines Area MPO	After DART Commission Approval
	Iowa Department of Transportation – Office of Public Transit	After DART Commission Approval

## 6. Risk Reduction Targets

The Bipartisan Infrastructure Bill requires DART to develop, and add to their agency safety plan, a risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the national transit database and to set risk reduction performance targets using a three-year rolling average of the data submitted by the recipient to the National Transit Database.

Performance targets for a risk reduction program are not required to be in place until FTA has updated the National Public Transportation Safety Plan to include applicable performance measures.

DART will establish risk reduction performance targets once the National Safety Plan is updated.



## 7. Safety Management Policy

### 7.1. Safety Management Policy Statement

The Des Moines Area Transit Authority (DART) mission is to enrich lives, connect communities and expand opportunities for those we serve. As we work to fulfill our mission, safety is a key component to our overall strategy and decision-making process. Safety affects all aspects of the DART organization including operations, maintenance, planning, design, procurement, and training. Therefore, all DART staff members are charged with the responsibility of promoting the safety and security of customers, fellow employees, and the general public who interact with the DART system.

The safety and security of our customers and our employees are DART's greatest responsibilities. In addition, all DART employees and contractors are expected to conduct their duties in a safe manner that will prevent collisions, reduce injuries, and avoid property damage.

Each employee must operate safely by using equipment, tools, and materials properly, and be familiar with work rules and procedures for their areas of responsibility. Each employee shall take an active role in the identification and reporting of hazards. Supervisors shall actively participate in the assessment and resolution of hazards and cooperate with DART safety staff to eliminate or control hazards throughout the DART system.

DART management will provide leadership in promoting safety throughout the organization. The CEO and the executive leadership team will be continually and directly involved in formulating, reviewing, and revising the Safety Management Policies and safety goals and objectives. DART management will provide the authority and support to establish and maintain high safety standards in operations, maintenance, and training.

Every DART employee and contractor shall comply with the provisions of the Agency Safety Plan and shall fully cooperate with Safety staff in achieving DART's safety goals and objectives.

As part of its commitment to safety, DART will:

- ▶ Instill a just safety culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention as those applied to the other management systems of the organization.
- ▶ [Acknowledge that a just safety culture realizes accidents, incidents, and occurrences may not solely be the fault of the individuals involved. If malevolence, recklessness, negligence, and the failure to learn from past similar events can be discounted, a just safety culture will investigate the possibility of organizational deficiencies as the major contributor to the event which may result in a "no blame" error.](#)
- ▶ Integrate the management of safety as a prime responsibility of all managers and employees.
- ▶ Support safety efforts with the appropriate financial resources.
- ▶ Establish a culture whereby management leads by example.
- ▶ Clearly define for all staff, managers, employees and contractors alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system.



- ▶ Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance.
- ▶ Ensure that no retaliatory action is taken against any employee who discloses a safety concern through the employee safety reporting program.
- ▶ Comply with, and whenever possible exceed, legislative and regulatory requirements and standards.
- ▶ Ensure that skilled and trained staff are available to implement safety management processes.
- ▶ Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated tasks commensurate with their skills.
- ▶ Establish and measure safety performance against realistic and data-driven safety performance indicators and safety performance targets.
- ▶ Continually improve safety performance through management processes that ensure appropriate safety management action is taken and is effective.
- ▶ Ensure externally supplied systems and services to support operations are provided to meet internal safety performance standards, regulatory requirements and industry best practices.

January 2024<sup>3</sup>

Elizabeth Presutti Amanda Wanke, Chief Executive Officer

DATE

Accountable Executive

Commented [DP2]: Need Amanda's Signature



## 7.2. Safety Management Policy Communication

The safety management policy is communicated throughout the organization via new employee on-boarding, yearly review at Bus Operator and Maintenance Department monthly safety meetings, administrative employee quarterly meeting, and is posted in visible locations throughout DART facilities.

The ability to communicate safety information in a timely and professional manner is important for DART's Public Transportation Agency Safety Plan to function as intended. The Safety Management Policy Statement and this Public Transportation Agency Safety Plan will be printed in manual form and distributed across the organization to be referenced by management, union leadership and others.

Documents that set forth the DART Public Transportation Agency Safety Plan and the implementation of the Safety Management System (SMS) will be stored on the shared drive accessed only by members of the Safety Department and backed up according to information systems procedures.

The DART Public Transportation Agency Safety Plan will be communicated throughout the organization in the following ways:

- ▶ DART employee communication platforms
  - ▷ Bulletin board postings
  - ▷ Greenshades, a human resources management system
  - ▷ SharePoint, a file-sharing system that provides regular organizational updates
- ▶ New employee onboarding
- ▶ Bus Operator and Maintenance safety meetings
- ▶ Maintenance Toolbox meetings
- ▶ Administrative quarterly meetings
- ▶ DART Committee meetings
  - ▷ Labor Management
  - ▷ Accident review
  - ▷ Safety Committee



### 7.3. Authorities, Accountabilities and Responsibilities

#### 7.3.1. Overview of DART Organizational Structure

The Organizational chart shown in **Appendix B** shows the management structure for DART including the DART Commission, Chief Executive Officer, Executive Leadership Team, Safety Manager and department, as well as Chief Operations Officer and operations department.

#### 7.3.2. Accountable Executive, Chief Executive Officer (CEO)

The Chief Executive Officer is the designated Accountable Executive for SMS. The Accountable Executive for the Safety Management System is responsible for ensuring the following:

- ▶ Champions the Public Transportation Agency Safety Plan, SMS, and the promotion of safety culture and requires that all relevant safety-related information be communicated and used in decision-making processes.
- ▶ Reviews and accepts DART's Public Transportation Agency Safety Plan.
- ▶ Ensures the implementation of DART's Safety Management Policy Statement in Section 1.0. as well as DART's Safety Management Systems (SMS) throughout the DART transit system.
- ▶ Ensures action is taken to address substandard performance in DART's SMS.
- ▶ Allocates staff time and resources to carry out the provisions of this plan.
- ▶ Provides the DART Commission with an accurate and ongoing assessment of safety performance and culture at DART.

#### 7.3.3. ~~Chief Human Resources Officer~~Chief People Officer (CHRO)

The ~~Chief Human Resources Officer~~Chief People Officer oversees the strategic plan initiatives related to safety culture and safety performance. This individual also provides guidance to the Safety Manager and the Safety Department, champions SMS and PTASP, is the Executive Sponsor of the Safety Committee, and promotes a positive safety culture. Oversees the FTA Drug and Alcohol program, including auditing contractors for compliance.

#### 7.3.4. Chief Operations Officer (COO)

The ~~Deputy CEO and~~Chief Operations Officer (COO) is responsible for the safety of all DART operations and implementing the SMS within the Transportation and Maintenance Departments. The COO is responsible for:

- ▶ Promoting the safety culture.
- ▶ Allocating staff time and resources necessary to carry out the provisions of this plan.
- ▶ Providing operations and maintenance input for system safety activities.
- ▶ Collaborating with the safety team to develop and implement corrective action plans for safety issues and ongoing changes/modifications to the system.
- ▶ Reviewing and staying current with all safety rules and procedures governing operation and maintenance transit bus systems.





- ▶ Ensuring maintenance of Standard Operating Procedures and Emergency Operating Procedures.
- ▶ Requiring the Transportation and Maintenance Managers to establish and maintain clear and unambiguous lines of authority and responsibility for ensuring safety measures and procedures are in place for meeting safety performance targets.
- ▶ Ensuring that all relevant safety-related information be communicated and used in decision-making.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, Safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.

### 7.3.5. Safety Manager

In order to maintain DART's reporting hierarchy and satisfy the PSTAP requirement that the Safety Department be independent of Operations, DART's Safety Department reports to the ~~Chief Human Resources Officer~~ ~~Chief People Officer~~ (CHRO). The Safety Manager provides oversight of the safety team, directs the investigation of accidents and evaluates DART facilities for compliance with federal, state and local safety standards. The Safety Manager oversees the utilization of the Safety Management System and implementation of the PTASP. The Safety Manager promotes safety campaigns and safety award/incentive programs to reduce passenger, employee and vehicle accidents, injuries and illnesses. The Safety Manager facilitates the activities of the Safety Committee and other committees such as the accident review committee. The Safety Manager is expected to address serious safety concerns and all other safety issues requiring the involvement of the CEO.

The Safety Manager meets the requirements set forth in U.S.C. 49 and the is the designated SMS Executive and is responsible for:

- ▶ Advocating for a safety culture.
- ▶ Managing and updating SMS & ASP policies, processes and procedures based on experiences and lessons learned.
- ▶ Reviewing and updating this SMS and Implementation Plan at least annually.
- ▶ Providing additional guidance material (as required) to further strengthen and clarify the SMS processes.
- ▶ Managing the Safety Risk Management and Safety Assurance processes and outputs.
- ▶ Facilitating coordination of Safety Risk Management, evaluations and investigations, and controls with special attention to cross-organizational impacts.
- ▶ Monitoring the safety performance of DART operations and activities through formal data collection and analysis.
- ▶ Establishing and maintaining safety risk register and safety event log to monitor and analyze trends in hazards, occurrences, incidents and accidents.
- ▶ Tracking safety-critical issues and corrective actions to conclusion, using appropriate tracking systems.
- ▶ Federal Transit Authority and Occupational Health and Safety Administrative issues.



- ▶ Investigating, analyzing and identifying the cause or probable cause of all hazards, incidents or accidents at DART.
- ▶ Administration and continuing improvement of the company Safety Program.
- ▶ Administration and coordination of continuing improvement of DART's Emergency Operations Plan.
- ▶ Coordinating DART's activities and support capabilities with local emergency response agencies.
- ▶ Reporting safety concerns/hazards via all means available, to include the Safety Committee, Safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster Incident Report.

### 7.3.6. Safety and Training Specialist

The Safety and Training Specialist is responsible for system safety functions including, but not limited to:

- ▶ Design reviews and incorporation of safety requirements into contract documents.
- ▶ Implementation and administration of the PTASP with other DART departments.
- ▶ Occupational safety and health and fire safety inspections and audits.
- ▶ Life safety evacuation drills.
- ▶ Review of operations and maintenance reports for safety impact and hazard identification.
- ▶ Incorporation of safety requirements into operating plans, procedures, and training programs.
- ▶ Participation on safety committees and boards on behalf of the Safety Manager.
- ▶ Defining and proposing required safety policies, plans, rules and procedures.
- ▶ Maintenance of the PTASP.
- ▶ Safety inspections and audits throughout DART departments related to facilities, equipment, personnel and procedures.
- ▶ Routing safety data and identified hazards for review and analysis.
- ▶ Investigation of accidents.
- ▶ Performing DART safety audits, ride checks and field observations.
- ▶ Serving as an advisor to local safety committees and supporting executive safety committee meetings with safety information updates.
- ▶ Tracking, analyzing and interpreting statistical data concerning occupational illnesses, injuries and accidents to identify trends and recommending appropriate corrective actions.
- ▶ Facilitating the tracking status of safety critical open items and corrective actions to closure and performing assurance audits throughout DART as directed.
- ▶ Coordinating hazard reporting, performance measures, job hazard analysis, and Toolbox Talk Sessions.



- ▶ Providing guidance and input on training matters of occupational safety, health and fire protection to all DART departments.
- ▶ Overseeing that safety precautions are taken when working with and disposing of hazardous substances and waste.

### 7.3.7. DART Management

All DART managers are accountable and responsible for:

- ▶ Implementing the safety risk management, safety assurance, and safety training and communication protocols of their department.
- ▶ Ensuring safety performance within their functional areas.
- ▶ Ensuring procedures are consistent with the SMS.
- ▶ Determining and implementing countermeasures required to counteract safety risks and manage issues that negatively impact DART safety performance.
- ▶ Supporting and requiring employees within their department to participate in safety training activities.
- ▶ Integrating Safety Risk Management (SRM) into existing processes.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster Incident Report.

### 7.3.8. DART Operations and Maintenance Supervisors

DART Operations and Maintenance Supervisors are accountable and responsible for:

- ▶ The safety performance of all personnel and equipment under their supervision.
- ▶ Implementing and maintaining safety-related control measures/mitigations.
- ▶ Familiarizing employees with the safety requirements and hazards associated with the work to be performed.
- ▶ Documenting and responding to identified hazards that may impact safety performance.
- ▶ Sharing lessons learned from incidents.
- ▶ Implementing and adhering to SMS procedures and processes within their span of control.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.

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### 7.3.9. All DART Employees

All DART employees are responsible for:

- ▶ Becoming familiar with the safety procedures for their assigned work activity.
- ▶ Performing their work safely.
- ▶ Following procedures and rules.
- ▶ Reporting mishaps and incidents to their supervisor and DART Safety department in accordance with established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.
- ▶ Reporting safety concerns/hazards via any and all means available, to include the Safety Committee, safety suggestion boxes, email to the Safety Manager or Safety and Training Specialist, contacting Dispatch or a Supervisor to initiate a Hazard Report through the creation of a TransitMaster CAD/AVL Incident Report.



### 7.3.10. Responsibilities Summary

#### Roles at the Executive, Director, Manager, and Safety Department Levels

RESPONSIBILITIES	ROLES														
	CEO	COO	CFO	CHRO	Transportation Director	Safety Manager	Training Manager	Maintenance Manager	FR and *M.S. Managers	Human Resources Manager	Procurement Manager	IT Director	Chief Planning Officer	Safety and Training Specialist	Business Analyst Manager
Goals and Objectives	P	S	S	S	S	S	S	S	S	S	S	S	S	S	S
SMS Control and Update	S	S	S	S		P								P	
Hazard Management Process	S	S	S	S	S	P	S	S	S	S	S	S	S	S	
Safety Data and Acquisition	S	S	S	S	S	P	S	S	S	S		P	S	P	P
Accident Investigation and Reporting	S	S	S	S	S	P	S	S	P	S		S		P	
Accident Retraining/Skills Development	S	S	S	S	S	S	P		P					P	
Emergency Management	P	P	S	P	S	P	S	S	S	S	S	S	S	S	S
Security	S	S	S	S	S	P	S	P	S	S	S	S	S	S	S
Cybersecurity	S	S	S	S	S	S	S	S	S	S	S	P	S	S	S
Internal Review/Audit	S	P	S	P	S	P	S	S	S	S	S	S	S	P	S
Rules Compliance	S	S		S	P	P	P	P	P	P	S	S		S	
Facilities Inspection and Maintenance	S	P				S		P						S	
Equipment Inspection and Maintenance	S	P				S		P						S	
Training Program	S	S	S	P	S	S	P	P	S	S				S	
Asset Management	S	P	S			P		P							
Local, State, and Federal Requirements	S	P	S	S	S	P	P	P	S	S	S	S	S	P	
Procurement	S	S	P			S		S	S		P	S			
Hours of Service	P	P	S	S	S	S		S	S		S		S		S

**Legend:**

- "P" Denotes primary responsibility for an aspect the topic of the line
- "S" Denotes support responsibility
- "MS" Denotes Mobility Services



## 7.4. Employee Safety Reporting Program

In order to encourage employees to assume a proactive role in hazard identification and reporting and fostering a safety culture in which employees feel safe from punitive actions when reporting safety concerns, DART has, as a part of the PTASP and SMS, adopted an Employee Safe Reporting System. While employees may submit their safety concerns, suggestions, and recommendations anonymously – they are encouraged to provide their contact information so that, in the event further details are required, they can be contacted.

Employees should feel secure from punitive action for reporting a safety violation provided the safety violation was not the result of:

- ▶ Intentional reckless actions that caused physical injury and/or damage to property.
- ▶ Criminally illegal action.
- ▶ Gross negligence.
- ▶ A demonstrated inability to learn from past events and act to prevent reoccurrence.

Employees from all departments are encouraged to report safety concerns via the following methods:

- ▶ Safety Suggestion boxes located in the operators' lounge at the bus garage and in the operators' breakroom at DART Central Station.
- ▶ Email, telephone call, or speaking directly to the Safety and Training Specialist, the Safety Manager, an on-duty dispatcher, or an on-duty supervisor.
- ▶ Employees may report safety concerns anonymously by using a smartphone to scan a QR code that opens an on-line form to be filled out. Alternately, staff can copy and follow a URL to the web form. Lastly, a link to the web form will be periodically emailed to staff.

## 7.5. Emergency Management and Local Coordination

### 7.5.1. Emergency Management

DART has developed this Emergency Response Plan (ERP) plan with the goal of providing safe transportation service to our customers, the citizens of our service area, and the employees of our company.

The DART Emergency Response Plan (ERP) provides a structured guide during periods of an emergency, whether natural or manmade disasters, as well as when disasters are forecasted or imminent. DART has adopted the protocols defined in the National Incident Management System and has formed an Emergency Response Team.

The Emergency Response Team (ERT) will be the key to the success of our emergency response actions. The ERT team will provide overall direction of the emergency response activities. With the decision-makers at one location, key personnel and resources can be utilized more efficiently. The coordination of emergency response activities will ensure that all tasks are accomplished with little or no duplication of effort.



The ERP will help us to:

- ▶ Provide a superior level of safety in our transit operations.
- ▶ Identify the succession plan and responsibilities for DART.
- ▶ Maximize our resources during an emergency or crisis.
- ▶ Continue our continuity of operations during emergencies.
- ▶ Comply with all agencies at the local, state and federal levels to minimize the impact during emergencies and to meet applicable requirements of regulatory agencies.
- ▶ Reinforce a culture that promotes safety as being the responsibility of every employee.

During many different types of emergencies, the role of DART is to support the efforts of police, fire and rescue workers. Transit equipment and personnel may be used for evacuations, to transport emergency workers or for warming/cooling areas at the scene of an incident. Normal transit services may need to be modified during such emergencies, but DART remains committed to providing transportation to the public to the greatest extent possible.

DART's emergency planning process includes the following categories:

- ▶ Transit Related Accidents
- ▶ Severe Weather
- ▶ High velocity winds and tornadoes
- ▶ Flooding
- ▶ Fire
- ▶ Pandemics
- ▶ Grade crossing accidents
- ▶ Derailments and collisions (mass casualties)
- ▶ Medical Emergency
- ▶ Hazardous Material Spill
- ▶ Acts of Violence
- ▶ Civil Unrest
- ▶ Acts of Terrorism
- ▶ Hazardous Materials
- ▶ Earthquakes
- ▶ Hijacking or hostage situation
- ▶ Terrorist attacks
- ▶ Chemical/Biological - Inside vehicle
- ▶ Chemical/Biological - Outside vehicle
- ▶ Bomb threats or explosives (includes weapons of mass destruction (WMD))



### 7.5.2. Coordination with External Agencies

DART staff attends first responder meetings throughout the year and other emergency response meetings as required to coordinate and plan emergency response and proactive processes. Agencies represented at these meetings including local police, state police, FBI, Attorney General's office, fire departments, emergency medical service, county emergency management and public utilities.

DART also coordinates with the emergency responders in the municipalities in our service area as well as with other supporting agencies for planning, training and exercises to ensure comprehensive response to any adverse event on the system.

DART and the Polk County Emergency Management Agency (PCEMA) have a Memo of Understanding (MOU) whereby any municipality and /or emergency response agency may contact PCEMA to request DART resources to help prepare for an emergency, provide aid during an emergency, and assist with recovery from a natural disaster. Services that DART may provide include but are not limited to:

- ▶ Provide shelter at the scene of a building evacuation.
- ▶ Provide a heated or cooled space for first responders.
- ▶ Provide transportation for large numbers of people from uninhabitable dwellings.
- ▶ Provide transportation for people stranded due to accidents, weather events, or other such incidents.
- ▶ Provide the use of DART buses for responder training scenarios.
- ▶ Provide local first responders with training and familiarization opportunities for any new DART equipment and facilities.

### 7.5.3. Emergency Preparedness Planning

DART's emergency management planning and preparation is consistent with the objectives outlined in the Homeland Security Presidential Directives (HSPDs) requiring implementation of the National Response Plan (NRP), the National Incident Management System (NIMS), the National Infrastructure Protection Plan (NIPP), and the National Preparedness Goal. The System Security Plan (SSP) provides additional details about DART's response to terrorist events.

### 7.5.4. Emergency Drills

Emergency preparedness drills are planned and conducted with police, fire and emergency response personnel from Des Moines. On new extensions, extra tabletop exercises and drills are held to familiarize the departments with DART operations, its equipment and facilities, and procedures. In addition, facility emergency preparedness drills are conducted semi-annually. Emergency preparedness drills can include evacuation and severe weather sheltering. DART follows the Homeland Security Exercise and Evaluation Program (HSEEP) protocol.

### 7.5.5. Implementation of Findings

After Action Reports (AARs) are developed following the completion of emergency drills and exercise scenarios. The ESSC reviews the After Action Reports and develops and implements appropriate actions to respond to the After Action Report recommendations. Discrepancies





found as a result of corrective training or drills are corrected in the procedures developed by the appropriate department with the assistance of the Safety Department.

### 7.5.6. Emergency Familiarization

#### *Fire Departments*

Familiarization training is offered to local fire departments. Training is conducted and coordinated with DART Facilities and Safety departments. Included in the training is:

- ▶ Procedures for notification, control, and degree of responsibility on-site.
- ▶ Levels of service (equipment, personnel, etc.) to be delivered in response to various types of transit emergencies.
- ▶ Appropriate methods for communication and transfers of command.
- ▶ Familiarization with DART's equipment and facilities.
- ▶ Use of tools, equipment, and DART personnel to assist as necessary.
- ▶ Procedures to remove and restore power.
- ▶ Scheduled drills and exercises annually.

#### *Police Departments*

Familiarization training is offered to local and regional police and law enforcement organizations including those law enforcement personnel specifically assigned off-duty officers employed by DART. Law enforcement training is conducted and coordinated with DART Facilities and Safety departments. Included in the training is:

- ▶ Procedures for notification, control, and degree of responsibility on-site.
- ▶ Familiarization with DART equipment and facilities.
- ▶ Scheduled drills and exercises annually.

### 7.5.7. Emergency Preparedness Training

DART incorporates emergency management training through various safety, public safety, and operations training programs in order to achieve the following objectives:

- ▶ Applicable management, operations, and maintenance rules, procedures, and plans are effectively documented and conveyed to those responsible for their implementation.
- ▶ Oversight to ensure DART personnel responsible for dispatching and controlling assets to administer, operate, and maintain the system's safety and security equipment and facilities.
- ▶ Safety-related rules and procedures for management, operations, and maintenance personnel are documented and effectively implemented by all employees as required.
- ▶ Emergency procedures have been developed, documented and are successfully implemented by all personnel as required, including public safety personnel (if appropriate).
- ▶ Transportation personnel and local emergency responders understand the hazards of the transportation environment.



- ▶ An adequate level of preparation is maintained for a possible emergency.

Additional training typically addresses rules, policies, and procedures, as well as many of the hazards in the transportation environment (e.g., high voltage power, roadway safety, hazardous materials and alternate fuels, medical emergencies or blood-borne pathogen awareness, personal safety, and injury prevention). NIMS and Incident Command System (ICS) orientation and training activities are ongoing. All employees participate in the DART Emergency Response Plan training.

#### 7.5.8. Emergency Preparedness Exercises

At a minimum, one emergency tabletop or field exercise is planned and conducted annually to ensure the adequacy of emergency plans and procedures and the ability of DART personnel to respond under emergency conditions. These exercises are evaluated through the use of an after-action debriefing. The results of the debriefing will be analyzed to document the lessons learned and what actions are needed to improve DART emergency operations capabilities.

#### 7.5.9. Emergency Response Training

All front-line DART transportation and maintenance personnel will be trained in emergency response to ensure they have a complete understanding of what their roles and responsibilities are during an emergency incident. The extent of the training will be based on their anticipated role during the incident. The minimum training that will be provided on the emergency plans and procedures will be to the level that the employee can reasonably be expected to respond to. Training to familiarize with fire, rescue and other emergency service personnel with special transit system requirements is coordinated through the Safety Department.



## 8. Safety Risk Management

The second pillar of the Agency Safety Plan is Safety Risk Management, describing how DART identifies, evaluates, tracks and mitigates hazards and risk in the organization and on the transit system.

### 8.1. Safety Risk Management Process

The Safety Department collaborates with all DART departments to ensure adequate safety control measures are incorporated into daily and special operations, and that efforts are taken to resolve significant safety issues.

#### 8.1.1. Safety Department Activities

The Safety Department is responsible for conducting comprehensive investigations of collisions, passenger and employee injuries/illnesses and fatalities, major fires, and other serious incidents that may occur. In addition, Safety conducts formalized hazard assessments of systems, facilities and equipment. The DART Safety Committee assists the Safety Department in safety reviews and audits, processing Hazard Reporting Forms and hazard identification throughout the DART system.

The Safety Department is responsible for the development and implementation of a health and safety program to protect DART employees in the work environment and passengers in the transit system's environment. This function is focused primarily on facilities, construction, maintenance, operating procedures, and the avoidance of hazards through compliance with instruction and the use of prescribed safety devices. Therefore, it conducts activities that concentrate on passenger and employee protection efforts, personal safety attitudes, and accident/incident data collection and analysis.

Another responsibility is minimizing hazards in the design and operation of the DART system. The Safety Department activities are focused on the identification and resolution of system safety hazards and on the inclusion of system safety requirements in the design and development of system elements such as facilities, buses, systems, equipment, procedures and training.

The following summarizes the general responsibilities of the DART Safety Department:

- ▶ Defines system safety requirements.
- ▶ Identifies and assists in investigating and resolving hazards with the system, including those related to maintenance, operation, and accident/incident investigation.
- ▶ Evaluates identified hazards and design action to eliminate or minimize and control the hazards.
- ▶ Incorporates safety into operation and maintenance procedures.
- ▶ Develops safety design criteria for incorporation into service design.
- ▶ Conducts hazard analyses of plans and specifications for new equipment and construction.
- ▶ Maintains system safety records in accordance with the Records Retention Schedule.
- ▶ Manages and implements the Public Transportation Agency Safety Plan.



- ▶ Performs or participates in accident and/or incident investigations, in accordance with DART procedures. These could include: collisions, non-revenue vehicle collisions, passenger or employee injuries or fatalities, fires, major equipment damage, and other major incidents and accidents that occur.
- ▶ Conducts safety assurance audits.
- ▶ Assures awareness of and monitors compliance with pertinent federal, state, and local safety codes and regulations, legislations and inspection requirements.
- ▶ Promotes employee motor vehicle safety and accident prevention.
- ▶ Recommends and monitors uses of equipment, tools and personal protective equipment.
- ▶ Supports fire prevention and control and emergency preparedness.
- ▶ Monitors for adequate lighting and noise levels in the facilities.
- ▶ Inspects facility cleanliness and housekeeping practices.
- ▶ Maintains a system to monitor the license status for all employees.
- ▶ Compiles and analyzes occupational accident information; design and implement programs to reduce incidence and severity of occupational injuries.
- ▶ Maintains electronic files of Safety Data Sheets (SDS).
- ▶ Coordinates safety-related activities to ensure that safety information is passed to all sections of the organization. Examples of information include collision and passenger accident data, occupational injury and illness loss data, safety committee meeting minutes, and safety inspection reports.
- ▶ Represents DART at professional safety meetings and seminars and ensures that the information gained at these outside events is shared with other divisions of DART as appropriate.
- ▶ Exchanges safety data with other transit systems.
- ▶ Reviews maintenance records to ensure that proper documentation is being recorded.
- ▶ Develops corrective actions and recommendations related to accidents, unacceptable hazardous conditions, and other safety issues uncovered through analyses and failure report data.
- ▶ Participates in training activities to ensure that safety elements are part of the curriculum, and that safety information is disseminated to all affected employees.
- ▶ Provides liaison with outside emergency response organizations and assists in such activities as familiarization training and emergency preparedness drills.
- ▶ Develops/updates safety rules/ procedures and emergency preparedness plans in cooperation with other departments and outside agencies as appropriate.
- ▶ Evaluates new projects and proposed system modifications from a safety perspective.
- ▶ Develops and manages incentive and safety award programs for DART employees.



### 8.1.2. General Safety Related Activities

The general safety-related tasks of DART Departments other than the Safety Department are outlined below. The listing of safety-related tasks recognizes the fact that the functional responsibilities at DART are not always vertically assigned but are distributed across departmental and divisional boundaries.

The development of specifications and design related responsibilities are spread amongst DART departments based on function:

- ▶ Rolling stock design, engineering and specifications for DART vehicles, including safety characteristics (flammability, smoke emission, braking, crash worthiness, doors) is the responsibility of the Maintenance and Procurement Departments.
- ▶ Facilities design (egress, construction, fire prevention and protection) is the combined responsibility of Maintenance and Safety department depending upon the project.
- ▶ Communication systems (radio) design and administration is the responsibility of the IT Director. Maintenance of the radio system is the responsibility of the Maintenance Department.
- ▶ Specifications for the procurement of materials, including safety characteristics, are the responsibility of the department user, in coordination with the Procurement Department. The Safety Department is consulted on the procurement of all hazardous substances. The Procurement Department reports to the Chief Financial Officer.

The following are functions of the Dispatch Center at DART:

- ▶ The Transportation Department Dispatchers are responsible for the control of all bus movements (Fixed Route and Paratransit) responding to radio calls for assistance and monitoring service performance throughout the service day. Service alerts, detour instructions, weather updates, and safety information is communicated between Dispatch Center and Bus Operators via the TransitMaster CAD/AVL text messaging system and radio-telephone interface.
- ▶ The Operations Road Supervisors are responsible for proficiency checks, field supervision; assistance in bus collision and personal injury incident investigations; schedule adherence; responding to customer service issues, equipment breakdown, or passenger issues; and determining detour needs.

### 8.1.3. Safety Committee Activities

The Bipartisan Infrastructure Bill requires DART to establish a Safety Committee composed of representatives of frontline employees and management, that is responsible for identifying, recommending, and analyzing the effectiveness of risk-based mitigations or strategies to reduce consequences identified in the agencies' safety risk assessment.

Working with the ATU. Local 441, DART had reformulated its Safety Committee to meet the new requirements of equal front line employees and management committee composition.

Chief among the responsibilities of the safety committee are the following:

- ▶ Identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment.



- ▶ Identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended.
- ▶ Identifying safety deficiencies for purposes of continuous improvement.
- ▶ Establish performance targets for the risk reduction program.
- ▶ Approve annual updates to the ASP prior to it being submitted for DART In Commission for annual approval.

In addition to the duties required by the BIL, the Safety Committee may also:

- ▶ Review DART accidents and incidents and make recommendations to reduce reoccurrence.
- ▶ Review Safety Risk Assessments conducted and make recommendations for resolving risks rated medium, due to injury potential, serious or high.
- ▶ Make recommendations regarding safety policies and procedures.
- ▶ Evaluate employee submitted "safety suggestions"
- ▶ Participate in the development and implementation of efforts related to safety promotion and other efforts related to DART's Public Transportation ASP.

The Safety Committee Charter, detailing its purpose, scope, structure, and roles and responsibilities can be found as Appendix A of this document.

#### 8.1.4. Planning Department Activities

The Planning Department is responsible for service scheduling and service planning

Furthermore, employees in the Planning Department are also empowered to identify hazards in their work area and report them to the Safety department

#### 8.1.5. IT Department Activities

The IT department was established to meet the increasing need for software management. The Department goal is to standardize software management, enhance training, create uniform job descriptions and establish a department that would acquire future/non-managed systems.

Additional tasks include:

- ▶ Maintaining the radio system (towers, portables, base stations, consoles) used in Dispatch.
- ▶ Maintaining the Trapeze software responsible for tracking Operator attendance and performance.
- ▶ Maintaining the TransitMaster System used to interface text messaging with Operators as well as the Incident Reporter platform used to log all incidents.
- ▶ Setting up new technology platforms, upgrading and updating software and license agreements with external providers, and providing training to users of the systems.



### 8.1.6. External Affairs Department Activities

The External Affairs Department is responsible for marketing, passenger communications, community outreach, business partnerships, media relations and public records requests. The safety responsibilities for the External Affairs Department include, but are not limited to:

- ▶ Coordinating and disseminating DART's safety messages to local, state, and federal governments and the general public.
- ▶ Interfacing with DART's Safety Manager in developing safety campaign ideas and identifying marketing budget resources for safety messages as needed.
- ▶ Creating, modifying and otherwise amending a Crisis Communications Management Plan.
- ▶ Ensuring data or statistics published by DART are vetted prior to release to the media or in other materials.
- ▶ Being aware of upcoming drills, exercises, other scheduled activities in which there may be public involvement or public perception of a crisis, or other media worthy activity.
- ▶ Ensuring that safety information is up to date and available on vehicles, the DART website, and at DART Central Station.
- ▶ Ensuring that safety information provided through social media (i.e. Twitter and Facebook) and alerts are also posted to DART alert subscribers.

### 8.1.7. Human Resources Department Activities

The Human Resources Department is responsible for reviewing and updating hiring standards to assure that safety critical skills and qualifications are included in the selection process. Additionally, the Human Resources Department:

- ▶ Coordinates with DART staff to develop formal standards and procedures for the evaluation and certification of probationary employees.
- ▶ Verifies previous employment record.
- ▶ Verifies required licenses and certifications prior to hiring.
- ▶ Periodically reviews driver's license status of employees whose primary job responsibilities involve driving and take corrective action as required.
- ▶ Ensures new hires receive safety training during orientation.
- ▶ Maintains training records and ensures on-going and refresher training is conducted based on job descriptions, the outcome of gap analyses, and recommendations from audits and investigations.
- ▶ Establishes a regular system of employee performance evaluation that includes evaluation of compliance with safety rules and procedures.
- ▶ Monitors the evaluation process to assure timeliness and inclusion of safety items.
- ▶ Reviews and modifies position descriptions to reflect safety responsibilities and new functions as they occur.
- ▶ Establishes a system for prioritizing the filling of vacant positions that, if not timely, may impact the safety of the DART system.



- ▶ Establishes formal pass/fail standards for each employee classification.
- ▶ Coordinates medical evaluations in relation to CDL license renewal.
- ▶ Administers DART’s Drug and Alcohol Programs and other health/medical related policies (i.e. FMLA, Employee Immunizations, Independent Medical Exams, Medical Questionnaires, EAP and Hearing Exams).
- ▶ Monitors the FTA Drug and Alcohol programs of our contractors.

### 8.1.8. Procurement Department Activities

The Procurement Department ensures that materials, equipment, construction and services are obtained in a timely, efficient and economical fashion, adhering to principles of good administrative practices, sound business judgment within the parameters of federal, state, and DART requirements. All purchases shall be conducted in a manner that provides maximum open and free competition and not unduly restrict or eliminate competition. The Procurement Department shall include the Safety Department for all RFP panels that include the purchases of chemicals and rolling stock and shall forward Safety Data Sheets (SDS), for chemicals not previously approved, to the Safety Department for review and approval prior to award.

Purchasing goods and services for DART must be a cooperative effort, and it shall be the responsibility of all DART staff involved in the purchasing process to employ sound judgment and appropriate standards of ethics and fairness in carrying out their individual responsibilities and tasks.

Procurement reviews each proposed contract for safety implications, including whether safety performance standards should be specified. It assigns responsibility for monitoring the safety provisions of each contract to the contract administrator who, in turn, coordinates with the Safety Department. Procurement verifies that contracts include provisions for federal, state and local regulatory compliance.

For construction related procurements and projects the procurement department will:

- ▶ Maintain as-built drawings and configuration management for systems, equipment, and facilities.
- ▶ Review contracts to assure inclusion of safety design criteria.
- ▶ Establish procedures for verification of system safety and construction safety requirements in contracts.
- ▶ Establish procedures for construction/contract monitoring to assure compliance with safety requirements.
- ▶ Conduct construction inspections.

### 8.1.9. Executive Leadership Team Activities

Members of the Executive Leadership Team are responsible for establishing policies and procedures for conducting accident investigations and documenting findings and results. The Executive Leadership Team establishes formal policies for the usage of vehicles, accident reporting, responsibility for safe operation and compliance with operating procedures and preventive maintenance program. Furthermore, Executive Leadership establishes policy for an employee safety program, and assigns responsibility for program management to include:





- ▶ Safety awareness information.
- ▶ Safety incentives with joint labor management design (Awards & Recognition Committee).
- ▶ Periodic evaluation.

The Executive Leadership Team establishes and assigns responsibility for managing a loss prevention program for DART by:

- ▶ Establishing policy for hazard identification, assigning responsibility and establishing procedures for program implementation.
- ▶ Assigning responsibilities to conduct safety analyses on new construction, engineering change proposals, and hazard analyses.
- ▶ Establishing safety goals and objectives for each department.

#### 8.1.10. Transportation Operations Activities

Transportation Operations tasks include but are not limited to the following:

- ▶ Develop, evaluate and update operating procedures.
- ▶ Develop procedures for abnormal and failure recovery conditions, including Continuity of Operations Plans.
- ▶ Familiarize personnel with safety equipment, use and location.
- ▶ Identify unsafe practices and procedures throughout the transit system.
- ▶ Investigate unsafe practices and procedures as well as accidents and injuries.
- ▶ Conduct analyses of operational data to identify trends and determine if additional procedures should be developed to mitigate operational problems.
- ▶ Help establish disciplinary actions for unsafe acts, practices and rule violations (incorporated as part of the union contract).
- ▶ Supervise all operations in accordance with applicable safety rules and procedures.
- ▶ Assist the Human Resources Department with administering the FTA Random Drug and Alcohol testing program.
- ▶ Oversee the post-accident testing program and vehicle procedures.
- ▶ Finalize incident report forms and recording any additional information needed for a thorough investigation.
- ▶ Help establish safety-training requirements for various positions.
- ▶ Participate in drills and simulations to validate procedures and training.
- ▶ Establish requisite tests and inspections.
- ▶ Ensure that safety performance is a part of employee evaluation and promote a positive safety culture.



### 8.1.11. Facility Maintenance Activities

DART Facility Maintenance tasks include:

- ▶ Establish policies and procedures for daily/shift inspection of safety critical items.
- ▶ Establish preventive maintenance program for key equipment and facility components to assure employee safety and loss prevention.
- ▶ Establish policies and procedures for tagging defective equipment, and work-around procedures where appropriate.
- ▶ Help define support equipment, personnel and procedures for responding to an emergency and facility alarm situation.
- ▶ Help define safety-training requirements related to maintenance of facilities and mechanical equipment (HVAC, emergency ventilation, pumps, fire suppression, etc.).
- ▶ Identify and investigate unsafe practices and procedures throughout facilities.
- ▶ Establish disciplinary actions for unsafe acts, practices, or rule violations (part of union contract).
- ▶ Define safety critical elements and establish maintenance priorities for them.
- ▶ Perform monthly inspections of all Underground Storage Tanks (USTs) and maintain a current environmental compliance evidence binder containing CITME records of monthly UST inspections, monthly Veeder Root compliance reports, annual UST inspection reports, UST permits & insurance certificates, and EPA required training documentation to operate and maintain the USTs.
- ▶ Acquire and maintain current hazardous substances permits for such items as propane, acetylene, used oil and the underground storage of fuels.
- ▶ Complete recommendations submitted by the fire insurance carrier.
- ▶ Perform inspections of hazardous waste storage and correct any deficiencies. Also ensure proper labeling on hazardous, universal and nonhazardous waste.

### 8.1.12. Vehicle Maintenance Department Activities

DART Vehicle Maintenance Department tasks include:

- ▶ Ensure required equipment is available on vehicles and establishes a checklist procedure to assure compliance.
- ▶ Adhere to preventive maintenance inspection guidelines for each vehicle type, monitors and controls compliance to assure timely completion.
- ▶ Maintain the maintenance records for all DART vehicles, monitoring vehicle condition and maintaining preventive maintenance program.
- ▶ Monitors and leads vehicle maintenance activities, which includes supervising vehicle inspection processes performed by employees and external contractors and monitoring compliance with applicable FTA regulations.
- ▶ Oversees new vehicle acceptance and in-service inspection processes.
- ▶ Monitors and participates in the evaluation of components for vehicles and specialty equipment; determines operational needs for new vehicle specifications.



- ▶ Defines support equipment, personnel and procedures for responding to emergencies as well as abnormal or failure recovery conditions.
- ▶ Identifies and investigates unsafe practices and procedures throughout the systems.
- ▶ Helps investigate accidents and incidents.
- ▶ Establishes disciplinary actions for unsafe acts, practices, or rule violations (part of union contract).
- ▶ Defines safety critical elements and establishes maintenance priorities for them.
- ▶ Helps establish safety-training requirements for critical maintenance activities including but not limited to the following:
  - ▷ Participates in drills and simulations to validate procedures and training.
  - ▷ Develops and verifies that maintenance procedures are in place for vehicle maintenance activities.
  - ▷ Ensures adequate tracking of all chemicals used in respective paint booths to demonstrate de minimus emissions status during potential air quality inspections.

#### 8.1.13. Risk Management Activities

The Safety Department in coordination with the Finance Department is responsible for risk management activities that:

- ▶ Compile and maintain records of claims and related costs.
- ▶ Prepare and distribute regular management reports.
- ▶ Coordinate the accident data compilation process providing DART-wide statistics and data used by management and the safety committee to develop plans of action for continual improvement in the experience of preventable collisions, employee injuries, passenger accidents and asset protection.

#### 8.1.14. Security Activities

The Safety Department and Maintenance departments are responsible for security tasks that include:

- ▶ Establish reporting systems for security issues.
- ▶ Establish, maintain, and implement the System Security Program Plan.
- ▶ Establish, maintain, and implement the Emergency Operations Plan in partnership with the Safety Department.
- ▶ In concert with affected departments establish, maintain and practice emergency procedures for accidents, intentional incidents and acts of nature that impact the safety and security of DART.

#### 8.1.15. Labor & Employee Relations Activities

The Human Resources Department and the Operations Department are responsible for negotiating labor contracts that:



- ▶ Identify management rights for assigning work, establish work rules of acceptable performance standards, and provide a performance management system for recognizing, coaching, and formally disciplining employees.
- ▶ Establish a process for developing management strategies for labor contract changes that address bus operations and employee safety issues and provide support for front-line staff in effectively enforcing safety rules and procedures.
- ▶ Provide assistance with conflict resolution techniques to resolve labor/management conflicts in a way that does not disrupt safe operating procedures.

## 8.2. Safety Hazard Identification, Assessment, and Mitigation

The management of identified hazards is a vital component of the DART Safety Management System. A hazard is defined as a condition or set of conditions, internal or external to DART, which when activated could cause injury or death or damage or loss of equipment or property. An unacceptable hazard is a condition that may endanger human life or property or result in system loss. This includes harm to passengers, employees, contractors, equipment and to the general public. These hazardous conditions must be mitigated. Hazards are identified in several different internal and external sources. Hazards may be observed in the operating environment, through procedures, during system modifications and capital projects, accidents, extensions or operational changes.

DART has implemented the guidance as outlined in FTA’s Clarification Letter September 6, 2007 on the hazard management requirements. The Hazard Management Program applies to all DART employees and obligates everyone to constantly observe hazards in their work areas and report them to their Safety Committee, the Safety Department, or to their supervisor or manager. The overall hazard management program incorporates a system-wide hazard identification process, including activities for:

- ▶ Identification
- ▶ Investigation
- ▶ Evaluation and analysis
- ▶ Control and elimination
- ▶ Tracking
- ▶ Ongoing communication to DART Leadership relating to hazard management activities and status

The following Hazard Management Program overview lays out an overall description of how hazards are identified, evaluated, analyzed, controlled or eliminated, tracked and reported to the DART Leadership team.

- ▶ The Safety Department is the primary point of contact (POC) for the Hazard Management Program.
- ▶ The Safety Department will enter identified hazards into the electronic hazard reporting system. The Safety Department, in conjunction with the applicable department manager, will develop a Corrective Action Plan (CAP) for each unacceptable and undesirable hazard entry and identify a point of contact or owner of the hazard and places this information within the hazard reporting system for tracking purposes.
- ▶ CAPs may also be identified as a result of an incident and investigation.



- ▶ Safety Committee members also participate in the evaluation and control or elimination of the hazard.
- ▶ Hazards must be mitigated at the lowest level possible. However, when a hazard is identified as having a mitigation that involves multiple departments or requires cost or changes beyond the safety committee or department abilities or budgets, the hazard will be elevated to the CEO.
- ▶ Recommendations from the review, testing, industrial or environmental sampling results requiring corrective actions will be placed in the hazard log for follow up and possible need for retesting for compliance with safety or environmental requirements.
- ▶ If mitigation or control of a hazard is not achieved the hazard mitigation process may be elevated to the CEO for final resolution.

### 8.2.1. Hazard Identification and Analysis

#### *Hazard or Risk Assessments*

DART has adopted a system for assessing the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This assessment system has been incorporated into the formal system safety analysis which enable the Safety Department and/or Safety Committees to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

Identification of hazards is the responsibility of all DART employees and contractors. The continuous identification, monitoring, and elimination of hazards is key to an effective hazard management program. Hazard identification methods include, but are not limited to the following:

- ▶ Observation, inspection, and interaction of all DART employees and contractors
- ▶ Reports from safety committee members, passengers, customer service, and field personnel
- ▶ Evaluation of accidents, incidents, near misses, to include data trends and projections
- ▶ Preliminary Hazard Analysis (PHA) of a design or new construction
- ▶ Safety certification, system integration testing, pre-revenue testing, system modification, configuration management verification, and inspection processes
- ▶ Internal and external safety reviews, inspections, observations, defects, findings, observations, violations, and reviews
- ▶ Training feedback and "lessons learned" inputs
- ▶ Review of applicable regulatory codes and standards
- ▶ NTSB, FTA, OSHA, safety recommendations, guidance, initiatives, and alerts

Examples of observed hazards may include:

- ▶ An uneven garage floor joint that could cause a trip and fall
- ▶ Opening in a section of fencing which allows access of a trespasser
- ▶ A forklift that has an oil or hydraulic leak
- ▶ Ice formation on stairway



- ▶ Missing fire extinguisher in a maintenance shop
- ▶ A large pothole
- ▶ New construction that impedes access to or from a bus stop or shelter

The DART Hazard Log is managed by the Safety Department. Hazards identified by an employee to his/her supervisor may be resolved by the employee and supervisor. For example, a discharged fire extinguisher may be identified by an employee and brought to the attention of his/her supervisor and the supervisor gives the employee authorization to order a newly charged extinguisher from the supply room for a replacement. If the supervisor is unable to solve the identified hazard, he/she will forward the hazard to the Safety Department to be brought to the Safety Department for resolution. The Safety Department will review the hazard and assign an Initial Hazard Rating (IHR) and place the hazard into the hazard reporting system to be tracked. All reported hazards that are not closed will be reviewed by the Safety Department and the Safety Committee.

*Hazard Investigation, Evaluation, and Analysis*

Safety concerns should be identified and corrected at the lowest level (employee/department) as soon as practicable. Safety concerns that are not eliminated at this level are reported to the Safety Department. Reported concerns will be assessed by the Safety Department and or Safety Committee to determine if a safety hazard exists and assign an IHR.

*Accident Evaluation and Root Cause Analysis*

Hazards are investigated as they are identified through evaluating accidents, incidents, and near misses. Hazards originating from accidents are reviewed by the Safety Department, respective department involved, and the Safety Committee; though the Safety Committee focus is on trends as opposed to single incidents. As part of evaluating accidents and incidents, root cause analysis using the "FIVE Why?" methodology is used to help focus on the bottom-line fundamental cause and determine the most effective solutions to mitigating hazards.

The primary purpose of the accident evaluation process is to determine root causes of potential hazards that may have contributed to an incident. A third-party expert may be used to assist with an investigation if deemed necessary. This will be determined based upon DART hazard assessments that are determined to be frequent and high.

*Hazard Analysis Matrix*

The DART Hazard Analysis Matrix is shown below. The hazard ratings are labeled as HIGH, SERIOUS, MEDIUM, LOW, and ELIMINATED.

Hazard severity is a subjective measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies and/or system, subsystem, or component failure or malfunction.

The likelihood of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system.



DART Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	A. Frequent	High	High	Serious	Medium
	B. Probable	High	High	Serious	Medium
	C. Occasional	High	Serious	Medium	Low
	D. Remote	Serious	Medium	Medium	Low
	E. Improbable	Medium	Medium	Medium	Low
	F. Eliminated	Eliminated			

**Resolution Requirements**

High *	Unacceptable	Correction required
Serious	Undesirable	Correction may be required, management decision
Medium	Acceptable w/review	With review and documentation by management
Low	Acceptable	Without review
Eliminated	Acceptable	No action required

The risks that fall into the Medium spectrum as are those risks that become acceptable after mitigation strategies are put in place and the risks become **As Low As Reasonably Practicable**.

*Hazard Severity*

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards based on the modified MIL-STD-882 are as follows:

- ▶ Category 1 Catastrophic - Operating conditions are such that human error, design deficiencies, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation.
- ▶ Category 2 Critical - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.
- ▶ Category 3 Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.
- ▶ Category 4 Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

The hazard categories are consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.



RISK SEVERITY					
Severity Level		Injury or Occupational Illness	Other than death or injury		
			Property Damage (PD)	System Disruptions (SD)	Evacuation
1	Catastrophic	Death (does not include suicides, or death by natural causes)	> \$250,000	> 24 hrs.	Fire/Life Evacuation
2	Critical	Fracture, Severe Bleeding, Paralysis, Brain injury, Dismemberment	\$250,000 - \$100,000	12 - 24 hrs.	
3	Marginal	Bruising, Abrasions, Bleeding, Sprains/Strains (Ambulance Transport)	\$100,000 - \$25,000	4 - 12 hrs.	
4	Negligible	Bruising, Abrasions, Bleeding, Sprains/Strains (No Ambulance Transport)	> \$25,000	<4 hrs.	

**Hazard Likelihood**

The likelihood of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system. Generally, hazard likelihood is described qualitatively in potential occurrences per units of time, miles, trips/runs or passengers carried.

A hazard likelihood may be derived from the analysis of transit system operating experience, evaluation of DART safety data, the analysis of reliability and failure data, or from historical safety data from other bus systems.

LIKELIHOOD of OCCURANCE					
Probability Level		Likely hood of event in life of a specific item	MTBE* in Operating Hours	Occurrence within Fleet or Inventory	MTBE in days
A	Frequent	Will occur frequently	< 1,000 OH	Continuously experienced	1 / month
B	Probable	Will occur several times	1,000 – 100,000 oh	Will occur frequently	1 / year
C	Occasional	Likely to occur sometimes	100,000 – 1,000,000 oh	Will occur several times	1 / 2 years
D	Remote	Unlikely but possible to occur	1,000,000 – 100,000,000 oh	Unlikely, but can be expected to occur	1 / 5 years
E	Improbable	So unlikely, assumed occurrence may not be experienced	>100,000,000 oh	Unlikely to occur, but possible	1 / 10 years
F	Eliminated	Actions taken to remove the hazard/conflict	Never	Will not occur	N/A





**\*Mean Time Between Events:** The likelihood that hazards will be experienced during the planned life expectancy of the system can be estimated in potential occurrences per unit of time, events, population, items, or activity. The probability may be derived from research analysis, and evaluation of historical safety data.

*Hazard Control, Elimination, and Tracking*

Safety critical hazards that have been identified must be controlled or eliminated so that the hazard does not continue to pose a danger. This may be done in a temporary manner as long as the hazard is controlled. The process of controlling, tracking, and eliminating hazards is recorded in the hazard log.

All hazard log entries may require a Corrective Action Plan (CAP), a tracking number, a brief description, a projected completion date, and an initial hazard rating (IHR) using the DART Hazard Analysis Matrix. A CAP may be marked as N/A if the hazard was resolved in the course of regular operations.

*Corrective Action Plan (CAP)*

Corrective Action Plans are utilized within DART for hazards that meet certain criteria. The following hazards require the usage of a Corrective Action Plan:

- ▶ Unacceptable hazards with a Risk Assessment Code of 1A, 2A, 1B, 2B, or 1C (High Hazards)
- ▶ Review findings from regulatory agencies resulting in non-conformance (DNR, FTA, OSHA)
- ▶ Corrective action resulting from accident investigations
- ▶ When warranted by the Safety Department

CAPs are assigned a specific tracking number by the Electronic Hazard Reporting System and are linked with its associated hazard. CAPs must contain at a minimum:

- ▶ A person responsible for the corrective action and for developing the Plan of Action for the correction
- ▶ A proposed completion date
- ▶ Plan approval when applicable

*Corrective Action Plan Development*

Corrective Action Plans are developed by department managers/designee in conjunction with the Safety Department. The Safety Department will ensure that the CAP process is followed and properly tracked until it is closed.

*Risk Mitigation*

Risk mitigation is defined as the analysis and subsequent actions taken to reduce to the lowest level practical, the risk associated with an identified hazard. Risk mitigation is not synonymous with hazard elimination. In a transit environment, there are some hazards that are impossible to eliminate and others that are highly impractical to eliminate. Reduction of risk to the lowest practical level can be accomplished in a variety of ways from protective and warning devices to special procedures.

- ▶ To the extent permitted by cost and practicality, identified hazards will be eliminated or controlled by the design of equipment, systems and facilities.



- ▶ Hazards that cannot reasonably be eliminated or controlled through design will be controlled to the extent practicable to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices. Provisions will be made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
- ▶ When design and safety devices cannot reasonably nor effectively eliminate or control an identified hazard, safety warning devices will be used (to the extent practicable) to alert persons to the hazards.
- ▶ Where it is impossible to reasonably eliminate or adequately control a hazard through design or the use of safety warning devices, procedures and training will be used to control the hazard.

*Job Safety Briefing*

Hazards that are identified in the work area will be recorded on the hazard log, which is maintained by the Safety Department. All employees are encouraged to identify and control or resolve hazards at the lowest management level possible. Employees that perform job tasks are required to discuss job tasks and identified hazards that are associated with those tasks or job steps during job safety briefings. Identified hazards that cannot be controlled with personal protective equipment (PPE) or procedures must be resolved or mitigated through the hazard management program.

*System Safety Inspections and Reviews*

The Safety Department will conduct periodic inspections and safety reviews. Maintenance and Administrative facilities are inspected monthly to ensure compliance with occupational safety regulations and local fire codes. Any deviations from required activities or identified safety hazards are resolved through a formal reporting process.

*Collection and Analysis and Reporting of System Safety Data, and Maintenance of Records*

System safety data is collected through a variety of sources including near miss information, accident investigation reports, internal safety reviews, employee hazard reporting system, safety committee meetings, occupational injury reports, incident reports, use of an accident matrix, system monitoring including testing and inspection records, and the hazard management program.

The information collected from these sources is analyzed for potential safety impacts. Identified areas of concern are reported to appropriate personnel in the form of specific project reports, memos, and recommendations from the Safety Committee and/or Safety Department. Records of system safety data are maintained by the Safety Department.

The types and severity of accidents will be tracked and monthly the Safety Department will issue a report as to the previous month's accidents by mode, type, preventability, operator tenure, and location. Throughout the month, when the Safety, Transportation, or Maintenance Managers notice a trend in accidents, they may take immediate steps to investigate the reason(s) behind the trend and take appropriate corrective action.

*Management of Change*

Management of Change is a key component of a successful ASP. Changes in service or equipment being considered by DART must be subjected to a review using the Risk



Management process to determine whether those changes would result in introducing new hazards or have a negative impact on safety performance. The change may be permanent, temporary long term, or short term. Examples of the types of changes subjected to review include but are not limited to:

- ▶ A different style bus, i.e. electric versus diesel
- ▶ The installation or moving of a bus stop location
- ▶ The installation of a bus shelter at a new location
- ▶ The implementation of a new bus route
- ▶ The addition of service hours
- ▶ The addition or removal of safety features on a bus
- ▶ Long term route detour (generally not initially reviewed)
- ▶ Short term route detour (generally not reviewed)

Occasionally, change is introduced by outside forces. These types of changes generally are the result of municipal projects such as the addition of bike lanes, streetscape projects that reduce street travel lanes, street calming projects, etc. When these changes are introduced, the Safety and Planning departments work together to implement a migration that balances service to our customers with safety.

Additionally, management of change in the Maintenance department is crucial to keeping employees safe and equipment in serviceable condition. When new equipment is introduced to the Maintenance department, the Maintenance Manager will work with the Safety department to ensure that supervisors, maintenance technicians and service personnel are thoroughly instructed in the safety procedures to follow when working with the new equipment. The new or amended procedures will be documented in the Maintenance Standard Operating Procedures.

*Continuous Improvement*

As defined by the FTA, continuous improvement is defined as a process by which a transit agency examines safety performance to identify safety deficiencies and carry out a plan to address the identified safety deficiencies.

The system safety data will be analyzed for trends and opportunities to improve DART's system safety performance. When a trend that negatively effects safety is defined, the Safety Department, Maintenance and/or Transportation Manager, and Safety Committee will investigate the trend and determine various methods to reverse the trend.

Likewise, when a positive trend is identified, it will be analyzed for the underlying factors supporting the trend and staff in the respective departments will be encouraged to adopt any behaviors responsible for the trend.



### 8.3 Risk Reduction Program

The Bipartisan Infrastructure Bill requires DART to establish a Risk Reduction Program for DART operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the National Transit Database.

The risk reduction program shall include:

- ▶ A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments.
- ▶ The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators.

### 8.4 Exposure to Infectious Diseases

The Bipartisan Infrastructure Bill requires DART's safety plan to include strategies to minimize the exposure of the public, personnel, and property to hazards and unsafe conditions, and consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority, minimize exposure to infectious diseases.

DART shall establish a program to evaluate and introduce effective measures for controlling infectious disease exposure on our buses and in our workspaces. Those measures will be based on the hierarchy of controls concept:

- ▶ Elimination. Removes or prevents the entry of a disease.
- ▶ Engineering Controls. The use of proven technology and design to remove the opportunity for disease exposure at the source or to improve compliance with other control measures.
- ▶ Administrative Controls. Workplace policies and practices that prevent exposure to diseases.
- ▶ Personnel Protective Equipment. Used to prevent disease exposure and spread



## 9. Safety Assurance

The third pillar of the Public Transportation Agency Safety Plan is Safety Assurance which describes how DART will measure and review its processes to ensure that it remains in compliance with established standards. These processes and reports will allow DART leadership to know whether the organization and system is functioning to an acceptable level of safety. The reviews, inspections, rules, checks and compliance verification procedures are described, required schedules set and acceptable measures established.

### 9.1. Rules and Procedures Review

#### 9.1.1. Safety Related Operations and Maintenance Documents

The DART Bus Operator Handbook, Paratransit Operator Handbook, Standard Operating Procedures, Dispatch Procedures, Emergency Operating Procedures all govern bus operating procedures during normal and abnormal conditions and are considered minimum standards for safety. Additionally, the DART Maintenance Standard Operating Procedures govern maintenance practices.

#### 9.1.2. Rule Books

The Bus Operator Handbook and the Paratransit Operator Handbook are both a procedures manual and a rule book. Both are designed to be an instructive guide to promote safety and efficiency in day-to-day operations. The subjects covered do not address all possible situations or circumstances that are encountered but attempt to cover those encountered often.

#### 9.1.3. Proficiency Testing – Operators

The Operational Safety Checks Program serves as the foundation for observing, correcting, and documenting safety related behaviors and activities. It is also used to re-enforce positive safety behaviors. Operations Supervisors, Training Instructors and the Safety and Training Specialist are responsible for conducting periodic field and on-board bus and rail operations safety checks. Operations Supervisors and Training Instructors board buses to observe and evaluate adherence to rules, policies and procedures, verbal or written instructions, reroutes, and speed limit compliance. Safety checks are recorded on "In-Service Evaluation Sheets/Bus Safety Ride Check" forms. Operations Supervisors and Training Instructors are authorized to take appropriate and immediate actions if indicated by the situation.

The results of the safety ride checks are forwarded to the appropriate Transportation Manager and Training Manager for review and follow-up to correct any identified deficiencies.

#### 9.1.4. Proficiency Testing Test Records and Trend Analysis

Records of Bus Operator proficiency tests are kept by the Training Department. The results of Proficiency Testing serve as a data source in the Hazard Management Process. Trend analyses of all operational safety ride check activities and proficiency tests are performed in order to determine revisions needed to the training and safety program activities and other areas requiring improvement. The analyses are reviewed at Safety Committee meetings.



### 9.1.5. Transit Asset Management

Consistent with its mission of “enriching lives, connecting communities, expanding opportunities,” DART offers a wide array of mobility options for the central Iowa region. To fulfill the agency’s mission and address safety objectives and strategic priorities, DART must effectively manage and maintain assets in a State of Good Repair (SGR). As part of MAP-21 and the subsequent Fixing America’s Surface Transportation (FAST) Act, the Federal Transit Authority (FTA) enacted regulations that require transit service providers to establish asset management performance measures, performance targets, and to develop a Transit Asset Management (TAM) plan.

The final TAM Rule was published on July 26, 2016 and went into effect on October 1, 2016. The rule itself amended the United States (U.S.) Code of Federal Regulations (CFR) Title 49 Parts 625 and 630, which relate to TAM and the National Transit Database (NTD) respectively. FTA requires transit providers to update TAM Plans in their entirety at least once every four years. DART’s asset management approach is consistent with current FTA’s regulations and provides a direction for compliance given the level of available funding.

DART’s Transit Asset Management Plan was adopted on October 2, 2018 and updated in September of 2022; it can be viewed at:

<https://www.ridedart.com/sites/default/files/about-dart/about-dart/8B1%20-%20TAM%20Plan%20and%20Policy%20Update%20FY2022%20Complete%20combined.pdf>

## 9.2. Notification Thresholds

### 9.2.1. State and Federal Notification

Notification requirements are provided in federal regulations, and additional guidance has been provided by FTA:

- ▶ Federal Regulation – 49 CFR Part 674.7 and 674.33
- ▶ FTA Guidance – Two-Hour Accident Notification Guide, <https://www.transit.dot.gov/regulations-and-guidance/safety/two-hour-accident-notification-guide-0>
- ▶ NTD Safety & Security (S&S) Reporting Manual, <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/ntd/69096/2018-safety-and-security-policy-manual.pdf> The Safety Department will immediately, (within 2 hours) notify Iowa DOT by telephone, followed by a fax report, of any incident resulting in the following:

Notification Topics	FTA
Fatalities	One or more fatalities within 30 days of safety event
Injuries	One or more serious injuries
Property Damage	Substantial damage only for collisions with a person, object, or at a grade crossing

(DART Reportable Event Notification Process: If the safety event is reportable to the FTA (49 CFR Part 674), DART will notify FTA with initial information, as required by FTA.)



### 9.2.2. Safety Department Notifications

DART Dispatch notifies the Safety Department of all injury and collision accidents as soon as reasonably possible. Events that meet the following thresholds are reported immediately:

- ▶ Any accident or injury event that is NTD reportable
- ▶ Any pedestrian contact, no matter the severity
- ▶ Any violent assault involving a weapon or causing physical harm
- ▶ Any incident that attracts media attention
- ▶ Any incident or issue causing significant delays or disruptions of service

The Safety Department will then initiate the DART Major Incident Phone Tree and notify Executive leadership.

### 9.2.3. Accident Investigation, Notification, Reporting and Corrective Action Plans

Formal investigations shall be conducted for all bus accidents. All accidents are investigated by either Operations Supervisor, Maintenance Supervisor, Transportation Manager, Maintenance Supervisor, or Safety Manager. If the bus accident damage is minor, personnel are unavailable or certain weather conditions exist, operators may be instructed by Dispatch or law enforcement personnel to complete an accident report and an Operations Supervisor will be assigned to complete the accident investigation. Accident investigations are to be completed in accordance with DART Standard Operating Procedures – Accident Investigation.

Serious bus accidents will be investigated by the Accident Investigation Team consisting of the following members: Lead Supervisor, Lead Dispatcher/Assistant Transportation Manager, Finance Manager, Training Manager, Transportation Manager, Maintenance Manager, Safety and Training Specialist, and the Safety Manager.

Lessons learned and information gathered from accident investigations is compared against DART Standard Operating Procedures, Bus Operator Training Manuals (Fixed Route and Paratransit) and the Behind the Wheel training program guidelines to determine if there was deviation from DART training and guidance or whether the accident was the result of some other cause either controllable or not controllable by the bus operators. Should it be determined that a change in procedure or training is required to prevent a similar accident from reoccurring, a Corrective Action Plan will be issued.

## 9.3. Internal Safety Audit Program

DART will establish procedures to audit all aspects of the ASP.

## 9.4. Procurement and System Modifications

Modifications to the system may be proposed by any user or department within DART, or may be initiated by DART Management, including Safety. A coordinated process of safety review (design, plan and procedure review) is required prior to any changes and modifications to the



DART transportation system. This applies to all modifications, including but not limited to the following:

- ▶ New, extended, or upgraded service or routes.
- ▶ New or retrofitted rolling stock, or non-revenue vehicles and equipment.
- ▶ New or refurbished facilities.
- ▶ New or revised emergency operating procedures.
- ▶ Safety-related policies and procedures.

DART does not have its own engineering or design department. All safety reviews of system modifications, which involve design of new systems, facilities, and facilities equipment or major changes to existing systems, facilities, and facilities equipment are coordinated with external subject matter experts and procured through the procurement department. Safety reviews of minor system modifications for projects or equipment are coordinated by the Maintenance and Procurement Departments with the Safety Department.

Safety assurance of new systems and equipment begin with the basic designs, and in the development of specifications to ensure that safety requirements and standards are incorporated. Safety reviews are held to ensure that proposed designs meet safety requirements. Consideration is given to such items as system interfaces, human factors, environmental conditions, isolation of energy sources, materials compatibility, use and long-term storage of critical material, emergency response capability, including emergency egress and rescue paths, fire sources and measures for protection, equipment layout, lighting requirements, and maintenance requirements. In these reviews maximum use is made of existing data, reliability analyses, and other applicable design analyses and information.

Testing is performed on critical components and assemblies as indicated in safety reviews to identify and eliminate potential hazards. The inherent safety of equipment and its impact on DART systems are demonstrated during system test and demonstration efforts. A formal process of hazard identification, analysis and resolution is conducted during the safety review.

The review cycle shall include but not be limited to the members of DART's Safety Committee, as applicable to their areas of responsibility, the scope and nature of proposed change, and the affected system elements (facilities, equipment, etc.). In all cases the review cycle for system modification includes, at a minimum, the appropriate representative from the:

- ▶ Safety Department
- ▶ Maintenance Department
- ▶ Facilities Department
- ▶ Planning Department
- ▶ Procurement Department
- ▶ Training Department

External review of system modifications by outside agencies such as FTA, APTA, and Iowa DOT, are coordinated by the Safety Manager, as required.

Comments from the internal and external review process are implemented or resolved prior to system modification and kept on file with disposition and supporting rationale. Unresolved





comments and exceptions to proposed modifications of the system offered by the reviewers, are addressed by the Safety Manager, Maintenance Manager, Chief Planning Officer, or the Procurement Manager, as applicable. Additionally, all major modifications to DART systems require approval and sign-off by the Chief Executive Officer.

#### 9.4.1. Contractor Safety Coordination

DART expects all contractors to perform their work in a safe manner, comply with all environmental safety and health requirements of the contract documents as issued by DART, and comply with all applicable laws, codes, ordinances, rules, regulations, and lawful orders of all public authorities.



## 10. Safety Promotion

The fourth pillar of the Public Transportation Agency Safety plan is Safety Promotion. Training is a major area of concentration for DART and DART has developed a number of programs and/or opportunities to address the need for safety training.

### 10.1. Training

Training tasks include but are not limited to the following:

- ▶ Integrate safety requirements into training programs.
- ▶ Provide feedback to various departments on procedures, rules, designs, and operating conditions as a result of training experiences.
- ▶ Help validate safety training effectiveness to assure that training objectives have been met.
- ▶ Identify training objectives and participate in safety drills and simulations.
- ▶ Design and conduct new operator training/qualification training to ensure that all operators are aware of hazards in the system, are familiar with emergency procedures, and meet operating performance standards.
- ▶ Review and update training materials at least every three years to comply with operating policies and procedures and results of safety analysis.
- ▶ Contribute to information in operating and maintenance manuals and Emergency Operations Procedures (EOPs).
- ▶ Establish selection standards for instructors that include safety performance and knowledge of safety policies and procedures.
- ▶ Establish formal procedures for evaluating student understanding of safety rules and procedures as well as actual demonstration of correct techniques at an acceptable level of performance.
- ▶ Develop and maintain a short-range and long-range training plan that identifies what programs will be provided and to how many personnel.
- ▶ Design and conduct new and continuing staff training to ensure that all maintenance staff are familiar with shop safety rules and procedures, oriented to the location of safety equipment in their assigned facility, and aware of preventive maintenance and repair procedures.
- ▶ Facilitate training on DART's safety program to all new employees.
- ▶ Assist with providing safety training for outside agencies and contractors.
- ▶ Includes special training for responding to the needs of elderly and disabled riders as part of training programs for all operating and support personnel.
- ▶ Design and implement a basic defensive driving program required for all DART employees who may be assigned to operate non-revenue equipment.
- ▶ Establish procedures for safety certifications that include identifying who is authorized to do training and set proficiency standards.



Training and certifications required for mechanics is controlled during the hiring process, with minimum requirements, background checks, and testing verifying employee training and competence. All entry-level mechanics undergo DART mechanical training to ensure competence for DART maintenance tasks. Testing is required to demonstrate proficiency for advanced mechanics positions such as HVAC or electrical mechanics.

A Facility Maintenance training program is currently being implemented to improve the skills and knowledge of the facilities staff and ensure that all employees are provided the training and resources required to complete their jobs efficiently and effectively. Currently, Facility Maintenance personnel are only provided DART safety training.

The Human Resources Department monitors employee driver's license status. The Human Resources Department is required to verify that each employee has a valid driver's license. The Human Resources Department checks licenses for all employees on a regular basis.

### 10.1.1. Bus Operator Training

Bus operators must complete a five- to seven-week training program. The program includes segments on DART rules and general operating guidelines, the Smith System defensive driving course, familiarization with the various models of buses and related equipment and all bus routes before entering service. During the classroom portion of training, a series of written tests are given to judge the candidates progress. If needed, DART provides training for the candidate in order for them to obtain the required CDL.

The keystone in any program for safe bus operations is the training of bus operators. Several of the bus operations training practices are described here in some detail.

Bus Operator training consists of in-class instruction with DART's Training Manager along with assistance from behind-the-wheel trainers. Their responsibilities are to train all new and current bus operators. Safety-related issues and procedures are covered throughout training. The instructors regularly develop training materials and routinely obtain and review information from other bus transit systems.

Refresher training is done for Operators on a biennial basis. This is a two-day class that is changed every 2 years. The bus instructors also provide training for certain non-operator bus employees. Classes are given for initial job training, new equipment/procedures, or refresher training. Training for supervisors varies according to need. CDL training is provided for Mechanics, Service Personnel and Facilities Maintenance personnel.

### 10.1.2. Bus Maintenance Technician Training

The Bus Maintenance Technician Program is described in the DART Vehicle Maintenance Technician Program document.

### 10.1.3. All Employee Training

All DART personnel will receive training to become familiar with Safety Management Systems. The training will include:

- ▶ Safety Management Systems Overview
- ▶ Safety Reporting



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- ▶ Risk Management
- ▶ Safety Assurance Practices
- ▶ Employee Roles and Responsibilities

The Bipartisan Infrastructure Bill requires DART to provide de-escalation training to safety, operations, and maintenance personnel. At DART the following positions have been identified as those that will receive the training:

- ▶ All Operations staff
- ▶ Customer Service staff
- ▶ Human Resources, Training, and Safety staff
- ▶ Managers and supervisors
- ▶ Other customer facing staff

DART employees and contractor personnel, whether construction or service contractors, are required to be in compliance with applicable DART rules and standard operating procedures as well as local, state, and federal safety regulations. Service contractors who perform specific jobs under contract are required to be in compliance with specific safety or environmental laws that are or may be affected by their work.

To comply with OSHA regulations, the Safety Department develops safety policies and procedures for occupational safety in compliance with OSHA guidelines. Regular training sessions are conducted with affected employees based on job hazard analysis.

Annual refresher training is conducted for high hazard areas such as confined spaces and lockout/tagout (LOTO). Safety staff conducts the training.

The Safety Department also develops policies for environmental compliance. Contractors are responsible to train their employees on OSHA-required training prior to performing DART projects. Other related training that contract and DART employees will be current on include the following:

- ▶ Hazard communication
- ▶ Blood-borne pathogen awareness
- ▶ Hazardous energy control (LOTO) general safety awareness
- ▶ Work-required training for safety sensitive employees and contractors

#### 10.1.4. Training Records

The Safety Department will maintain paper and/or electronic training records for the following items:

- ▶ Blood borne pathogens
- ▶ Hazardous communications
- ▶ Lockout tag out
- ▶ Forklift certification



Records of all training, except as noted above, conducted by DART are maintained by the Training Department.

Safety specific training is tracked by the Training Department to ensure all employees receive the safety training required for their job classification.

The Human Resources Department tracks the status of Operator medical cards and CDL status as required by the U.S. DOT.

### 10.1.5. Compliance with Training and Certification Requirements

The Safety Department conducts audits of training and certification requirements.

The following employee job classifications perform work that requires safety training and/or certification:

- ▶ Bus Operator
- ▶ Vehicle Maintenance
- ▶ Vehicle Service
- ▶ Facility Maintenance
- ▶ Operations Supervisor
- ▶ Dispatchers

DART recognizes the FTA Transportation Safety Institute (TSI) to administer Transit Safety and Security Program (TSSP) certification for all safety department staff at DART. All safety staff will complete the TSSP within the first two years of their safety assignment. This certification involves the successful completion of the Transit Safety and Security Program Certificate as outlined by TSI training manual. Courses required are:

- ▶ Transit Bus System Safety
- ▶ Bus Incident Investigation
- ▶ Transit System Security
- ▶ Effectively Managing Transit Emergencies

### 10.1.6. Compliance with Local, State, and Federal Safety Requirements

#### *Safety Program for Employees and Contractors*

DART is committed to the safety and health of its employees and contractors who work within the DART system. DART has developed an Occupational Safety and Health Program and Construction Safety Program in conformance with applicable local, state, and federal regulations. The programs emphasize the recognition, evaluation, and control of hazards arising from the occupational and construction project environments.

#### *Occupational Safety and Health Program*

The Occupational Safety and Health Program is directed toward achieving a safe working environment for employees and minimizing the likelihood of occupational related injuries and



illnesses. The program is based on, and complies with applicable Federal, State, and Local safety codes and regulations, including OSHA. Procedures have been established for the control of operating hazards, including but not limited to electrical, chemicals, noise, falls from heights, cut and abrasion injuries, and strain and sprain injuries. On-the-job training of DART employees is emphasized to recognize hazards and to promote occupational safety and health practices.

Attention is given to the need for, and proper use of, PPE and clothing as required by the work being performed as well as adherence to standard operating procedures, routine comprehensive industrial hygiene surveys and industrial safety inspections are conducted by the Safety Department to ensure that health and safety hazards in the workplace are identified and controlled.

*Construction Safety Program*

Construction Safety is administered in accordance with contract specifications, and applicable Federal (OSHA), state and local safety requirements. DART does not have a dedicated engineering or construction department. Dependent on the scope of the project, DART may employ a third-party as a subject matter expert (SME) for construction project safety management. DART Rules and Procedures are included in each construction contract. Compliance with these rules and procedures is required of all contractors performing work on the operating system. Contractors are required to comply with all local, state, and applicable OSHA construction standards for the safety of their own employees as well as to safeguard DART employees, contractors, passengers and the public.

Procurement and Buildings and Grounds Departments approve the contractor’s safety program plan and supporting documentation, with the concurrence of the Safety Department. Emphasis is placed on work that may affect DART operations, passengers, facilities, and personnel audits of the contractors are conducted to assure compliance with federal and state law, and DART requirements.

*Fire Protection*

Fire protection testing is coordinated by the Maintenance Manager. Life safety requirements for DART facilities are coordinated by the Safety and Maintenance Departments. Fire protection testing results and conformance with the life safety requirements are reviewed by the Safety Department. Compliance with fire protection requirements is audited through emergency drills, inspections, incident investigations and periodic testing of fire protection and fire suppression systems. Training activities are monitored for content and accomplishment and the fire insurance carrier also conducts tests of water supplies for fire protection and monitors physical conditions and compliance with related procedures to minimize both the probability and severity of potential fire.

*Hazardous Substances Program*

DART’s objective is to provide the safest product available and minimize the risks associated with hazardous substances. Accordingly, DART has established a comprehensive program for the control of hazardous substances used, including the disposal of waste, in accordance with IOWA DNR and environmental requirements. The DART Hazard Communication Program details the process for purchasing, receiving, and using hazardous substances at DART.

Such information is provided in the Safety Department’s Hazard Communication Standard Operating Procedures, Hazard Communication Compliance Assessment, and Safety Data



Sheets. The Safety Department approves Safety Data Sheets for all chemicals and other potentially hazardous substances that are being considered for purchase and use.

Follow-up is conducted on the field use of approved products to ensure safe/proper handling methods are utilized. Additionally, all employees who may use hazardous substances receive training and toolbox talks on the safe use and disposal of the products. Follow-up is conducted on the field use of approved products to ensure safe/proper handling methods are utilized. An electronic database of SDSs is maintained on-line for all affected personnel and for compliance to the OSHA Standard. Some hazardous substances require permits on a 3-year cycle by the City of Des Moines. Facility Maintenance management ensure these permits are kept current.

## 10.2. Safety Communication

Information about hazards and safety risks that arise after an employees' initial training is conveyed in multiple ways, using a variety of media. Among those methods are:

- ▶ Bus Operator Safety Meetings
- ▶ Maintenance, Service, and Buildings and Grounds Safety Meetings
- ▶ Maintenance Toolbox Talks
- ▶ Texts to Buses
- ▶ Safety Campaigns
- ▶ Flyers
- ▶ Video Monitors in Lounges and Breakrooms

Safety performance reports are submitted by the Safety Manager, on request by the CEO or Commission, as well as being an agenda item at Bus Operators Safety Meetings, Maintenance Department Safety meetings, Operations Department staff meetings, Human Resources Department staff meetings, and quarterly Administrative Staff meetings.

### 10.2.1. Marketing and Media Relations Tasks

The External Affairs Department coordinates news releases regarding safety, including accidents and incidents, with the Safety Department. Additional tasks include:

- ▶ Coordinating user education programs for regular and special need riders on how to use the transit system and safety features with the Safety Department and Bus operations staff.
- ▶ Establishing standard public notification procedures about temporary service changes, new boarding locations, etc.
- ▶ Providing press releases and human-interest stories about positive safety events and incentive program recipients.

### 10.2.2. Maintenance Toolbox Talks

Maintenance Toolbox Talks are safety-driven information sessions that are provided on at least a monthly basis to front-line personnel. The purpose of these sessions is to educate employees on important safety topics, such as PPE requirements, wellness incentives, workplace illnesses, and



hazard awareness, among others. District supervisors utilize monthly subjects distributed by the Safety Department as well as their own subjects relevant to the specifics of the work.

### 10.2.3. Safety Bulletins

Safety Bulletins are short newsletters drafted by the Safety Department that detail safety particulars of immediate concern. Examples of safety bulletins include hazards, product safety recalls, procedures, emergency information and more. Safety bulletins are created on an as-needed basis and are distributed internally.

### 10.2.4. Break Room Monitors

Both the DART Way and DART Central Station break rooms are equipped with large computer monitors. These monitors act as mechanisms for DART management to communicate important safety information to their personnel. The monitors can display safety-related videos, safety bulletins, safety data, safety meeting summaries, and other general news. Statistics on preventable collisions, on-the-job injuries, and other pertinent statistics are updated on a monthly basis.

### 10.2.5. Safety Posters

The Safety Department provides safety posters on a rotating basis to address seasonal and annual safety and emergency response information. Also displayed may be poster relating to new safety GOGs, initiatives, equipment, and or procedures.

### 10.2.6. Work Assignment Job Safety Briefings

Work Assignment Job Safety Briefings are used to ensure that all employees assigned to perform a specific task understand the hazards associated with the work to be performed. These are critical to conducting work in a safe manner. These briefings may be conducted in the field or other designated areas prior to commencing any work, regardless if the work is considered routine or if it is considered complicated. Supervisory staff are responsible for conducting these briefings, and employees are responsible for ensuring that the work plans are carried out as described in the briefings. The Safety Department provides the Work Assignment Job Safety Briefing Standard Operating Procedure.

### 10.2.7. Safety Awareness

All employees are responsible for system security through general awareness and accountability. Employees are encouraged to report all suspicious activities at passenger and operations facilities, and to be cognizant of individuals trailing them into restricted areas. Terrorist Awareness Recognition and Reaction Training and Active Shooter Training are part of the general safety training provided to all employees.

### 10.2.8. Safety Performance Awards

Individual bus operator, maintenance technician, and service personnel safe driving is recognized in two ways:





- ▶ At the annual safety banquet:
  - ▷ Measured on the fiscal year, staff that had no preventable accidents for the fiscal year are recognized.
  - ▷ Staff that have had no preventable accident for 10 consecutive years or more are recognized.
- ▶ At monthly safety meetings
  - ▷ Bus Operators are recognized for accumulated years of safe driving with no preventable accidents. This is based on a rolling 12-month period beginning on their hire date. The date resets to the date of any preventable accident.

### 10.2.9. Hazard, Employee Safe Reporting, and Safety Suggestion Box Feedback

The status and disposition of hazard reports, employee safety reporting, and safety suggestions submitted will be updated monthly and will be available for employees to view in the following methods:

- ▶ Hazard Reports
  - ▷ An electronic status file will be placed on the computers available in the DART Way operators lounge.
  - ▷ A printout of status will be placed on the shelf above the run sheets at DART Way
  - ▷ A .pdf copy will be emailed to all administrative employees
- ▶ Employee Safety Reporting
  - ▷ The outcome and findings will be discussed with the individual employee. If appropriate, lessons learned, guidelines and/or policy changes resulting from the report will be communicated via the methods outlined at the beginning of this section.
- ▶ Safety Suggestions

Once the safety committee picks the monthly safety suggestion winner, all the safety suggestions received for the month, along with a picture of the employee that submitted the winning suggestion will be posted on the Safety Board at DART Way.



## Appendix A

# DART Safety Committee Charter

*Established: July 2022*

*Last Updated:*

### Purpose

The Des Moines Area Transit Authority (DART) mission is to enrich lives, connect communities and expand opportunities for those we serve. As we work to fulfill our mission, safety is a key component to our overall strategy and decision-making process. Safety affects all aspects of the DART organization including operations, maintenance, planning, design, procurement, and training. Therefore, all DART staff members are charged with the responsibility of promoting the safety and security of customers, fellow employees, and the general public who interact with the DART system.

The purpose of DART's Safety committee is to bring together equal numbers of frontline employee representatives and management representatives, in a joint labor-management process to work together to seek out and address conditions and situations that present an unacceptable risk to DART employees, passengers, the public, DART property and equipment, and the environment.

### Scope

The Bipartisan Infrastructure Law (BIL) signed by President Biden on November 15, 2021 includes changes to the Public Transportation Agency Safety Plan (ASP) that adds a requirement that DART establish a Safety Committee. Further, the law outlines certain responsibilities of the Safety Committee. Those responsible are:

- Identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment.
- Identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended.
- Identifying safety deficiencies for purposes of continuous improvement.
- Establish performance targets for the risk reduction program.
- Approve annual updates to the ASP prior to it being submitted for DART In Commission for annual approval.

In addition to the duties required by the BIL, the Safety Committee may also:

- Review DART accidents and incidents and make recommendations to reduce reoccurrence.



- Review Safety Risk Assessments conducted and make recommendations for resolving risks rated medium, due to injury potential, serious or high.
- Make recommendations regarding safety policies and procedures.
- Evaluate employee submitted "safety suggestions"
- Participate in the development and implementation of efforts related to safety promotion and other efforts related to DART's Public Transportation ASP.

**Structure**

DART's Safety Committee will be comprised of the Safety Manager, the Safety and Training Specialist, and representatives of labor and management from a wide cross section of functional DART areas:

- Fixed Route Transportation
- Mobility Services (Paratransit, DART On Demand, On Call and Flex Connect)
- Maintenance
- Facilities
- Human Resources
- Customer Service
- Procurement
- Planning
- Marketing and Communications

Front-line employee representatives can volunteer or selected to participate on the committee; all front-line participants will be agreed upon by the Committee Chair and ATU Local 441 President. Should a front-line employee representative position on the committee be vacant and no one from that functional area volunteers for the position, the position may be filled by seeking a volunteer from the other functional areas represented on the committee. First consideration will be given to Mobility Services, Maintenance, and Fixed Route, in that order. Management Representatives can volunteer or be selected to participate on the Committee based on a recommendation of the Chair in coordination with the Executive Sponsor. Each representative will serve a continuous term of at least one year.

The Committee will operate on DART's fiscal year calendar. Committee membership will be examined in April of each year to determine continued participation. Anyone not wanting to continue serving on the committee should let the chair know at this time so that new committee members can be selected by July 1.

Monthly meetings will be held in person and can be attended virtually if needed. Committee members are asked to serve at least 1-year commitments with the ability to serve longer if the member desires. A voting member may serve a maximum of 5-years.



The DART Safety Committee provides a safe place for discussion where differences are respected and encouraged. The Committee should make the most of members' unique and diverse perspectives and be willing to listen and consider different opinions and approaches.

Committee Staff	
<del>Chief Human Resources Officer</del> <del>Chief People Officer</del> – Executive Sponsor	
Safety Manager - Chair	
Safety and Training Specialist - Secretary	
Management Representatives	Front-Line Employee Representatives
Fixed Route Manager	Fixed Route Operator
Mobility Services Manager	Fixed Route Operator
Fleet Manager	Mobility Services Operator
Facilities Manager	Maintenance Staff Member
Finance Department Designee	Facilities Staff Member
Human Resources Department Designee	Parts Staff Member
External Affairs Designee	Customer Service Representative
Planning Department Designee	Administrative Assistant

### Roles and Responsibilities

- Executive Sponsor – ~~Chief Human Resources Officer~~ ~~Chief People Officer~~
  - Actively promote safety throughout the organization
  - Provide business context and guidance to the committee chair and the entire committee.
  - Ensure resource capacity, secure funding, and communicate project priority within the organization.
  - Act as an escalation point and help to resolve issues beyond the chair.
- Committee Chair – Safety Manager, non-voting
  - Actively promote safety throughout the organization
  - Champion the committee, including advocating and securing support from leadership.
  - Ensure committee is meeting regularly and addressing required responsibilities.
  - Provide committee members with necessary information to make informed decisions.
  - Report on committee activities and progress monthly to the Leadership Team.
- Committee Secretary – Safety and Training Specialist, non-voting
  - Actively promote safety throughout the organization
  - Take accurate meeting minutes for committee approval.
  - In the absence of the chair, assume the duties of the chair.
  - Schedules meetings, reserves meeting rooms, and arranges for room set-up.
- Committee Members
  - Actively promote safety throughout the organization and serve as a liaison back to their department on safety related issues.



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- o Committee members are active and engaged participants at committee meetings, committed to being appropriately informed and prepared before meetings so they can contribute to the decision-making process.
- o Solicit ideas and feedback from staff in their functional work area.



## Appendix B – DART Organization Chart



**DART Organizational Chart**  
October 2022

