



# Safety Management System



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Ozone/My Department/Transit Services Business Practices**



Issue Date:	May 26, 2021	OC Transpo's Safety Management System
Replaces:	30- October 2020	<b>About OC Transpo Safety Management System</b>




<b>Safety Management System</b>	
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APPROVALS		DATE
Brandon Richards 	Chief Safety Officer	June 3, 2021
Troy Charter 	Director, Transit Operations	June 3, 2021
Jim Greer 	Director, Transit Operations	June 3, 2021



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REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
4.0	Updated – Minor Edits. Updated Organization structure, Annual Goals, Initiatives	Joseph Cole	2021-05-26
3.0	Updated – Minor Edits, updates to Organization Structure, Annual Goals, Initiatives and Policy	Joseph Cole	2020-10-30
2.0	Updated with revised Safety Policy, incorporates Confederation Line, Trillium Line and OC Transpo measures. Integration of appendices and inclusion of compliance statements for Transport Canada and Regulatory Monitoring and Compliance Officer – City of Ottawa	Donna-Lynn Ahee Joseph Cole	2019-04-17
1.0	Initial Release - SMS regulations 2015 and City of Ottawa Occupational Health & Safety Policy (2015).	Donna-Lynn Ahee Deborah Lightman Joseph Cole Paulina Greco	2017-04-21

RACI Table	
Responsible	Chief Safety Officer Director(s), Transit Operations General Manager, Transportation Services
Accountable	City Manager, City of Ottawa
To Consult	Policy Health & Safety Committee Safety, Regulatory, Training & Development Transit Operations Directors, Managers, and Program Managers
To Inform	All OC Transpo Employees Long-Term Contractors Regulatory Bodies





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## OC Transpo Annual Safety Policy

### OC Transpo Safety Policy

OC Transpo is, and must be, fully committed to providing a safe workplace and a safe service. Safety is integrated into all operational, maintenance and administrative activities for each operating mode – bus, rail or para. OC Transpo's policy aligns with the City of Ottawa's Occupational Health and Safety Policy.

Continued improvement in safety is a journey: it is not a destination. We are united and dedicated in our efforts to ensure the safety of our employees, our coworkers and those that we serve.

Management will ensure that all employees are provided with the tools, training, safety information and support to allow them to work and perform safely.

Each of us will continue to make progress in creating a safe workplace by being **ALERT**:

- A** – ASK for help when uncertain;
- L** – LOOK for hazards in your work area before starting work;
- E** – ENSURE all policies, rules and procedures are followed;
- R** – REPORT all hazards, accidents, incidents or circumstances with the potential to cause harm; and,
- T** – TAKE ACTION where you are able to, in order to control hazards.

To be successful, each of us must make a personal commitment to safety to ensure that everyone goes home healthy and safe.

Steve Kanellakos  
City Manager  
City of Ottawa

Date:



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## About OC Transpo Safety Management System

The OC Transpo Safety Management System (SMS) demonstrates the Departmental Leadership Team's commitment to the ongoing development and continuous improvement of OC Transpo's safety environment.

The SMS documentation provides a framework to integrate safety processes into day-to-day operations and is constantly evolving to ensure that initiatives, directives, progress and information is current. Safety is a consistent focus for management and the SMS undergoes continued monitoring, updating and performance measurement.

Specifically, the SMS:

- Describes the safety program at an organization-wide level;
  - Enables, efforts beyond minimum regulatory requirements and is developed and implemented for the purpose of achieving the highest levels of safety in OC Transpo's Transit Operations.
- Provides written documentation demonstrating OC Transpo's commitment to safety;
- Provides a structured approach for the implementation of safety initiatives, goals and the objectives necessary to achieve them;
- Identifies the relationships and responsibilities within OC Transpo and other organizations and agencies that have an impact on Transit Operations; and
- Promotes a safety culture by:
  - Collaborating with employees in the development and assessment of safety processes;
  - Keeping employees informed of risks and measures taken to mitigate risks;
  - Improving procedures for employees to report contraventions and hazards; and
  - Creating an atmosphere where employees actively participate in the identification and mitigation of safety concerns.

The SMS supports continuous safety improvements through a coordinated approach to key elements such as hazard identification, reporting processes, data collection and analysis. OC Transpo's safety environment is further enhanced by promoting increased employee development and involvement through internal assessments and recognition of safe behaviours, ongoing training, as well as increased awareness and compliance activities.





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# Introduction, Organizational Overview and Regulatory Oversight

## Introduction

OC Transpo manages the City of Ottawa's public transit system, delivering service across the City of Ottawa and with interprovincial service to Gatineau, Quebec. The public transit service typically provides approximately 340,000 passenger trips per day through bus, the O-Train Lines and Para Transit services. The O-Train Line 1, the Confederation Line, was launched in September 2019, to enable increased service capacity and consistency via a 12.5-kilometre electric light rail line travelling across the city. As of May 2020, O-Train Line 2, the Trillium Line, is closed for construction. Currently, construction is underway as part of Stage 2, which will extend both the Confederation Line and the Trillium Line rail lines.

It is important to note that the global COVID pandemic that occurred in 2020-2021 impacted many aspects of transit services including customer volumes, varied employee communications, risk assessments and workplace safety.

## Bus and Para Transit Service

The OC Transpo bus fleet includes regular 40-foot, double-decker and articulated 60-foot buses travelling over 50 million kilometres in 2020. The quantity of high capacity buses is almost equal to the number of the standard buses in the fleet, which created a marginal economy of scale for peak service periods, enabling more people to travel on less vehicles.

The Para Transpo service provides more than 3,000 passenger trips per day for customers who are unable to use typical public transit service. Para Transpo service utilizes 81 City-owned, operated and maintained mini-buses covering 4.4 million kilometres of direct service, in addition to contracted taxis that utilize a mix of accessible vans and sedans.

## O-Train Line 1, the Confederation Line

The O-Train Line 1, the Confederation Line (known as Line 1) is a 12.5-kilometer light rail line that travels east-west across the city consisting of nine above-ground stations,



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four underground stations and a 2.5-kilometre tunnel through the downtown core. Line 1 operates between Blair station in the east and Tunney's Pasture station in the west. Construction is underway to extend both East and West segments of the rail line. Vehicles and rail traffic for Line 1 is operated and controlled by OC Transpo staff. Maintenance of the train vehicles, guideway and station infrastructure is performed by a long- term service contractor Rideau Transit Maintenance (RTM). In 2020, Line 1 served over 14 million passengers and traveled over 3.2 million revenue service kilometers.

## O-Train Line 2, the Trillium Line

The City also operates the O-Train Line 2, the Trillium Line (known as Line 2). In May 2020, Line 2 temporarily closed service as construction began for the Stage 2 extensions. Line 2 is expected to remain closed until late 2022.

Previously, Line 2 operated a north-south service between Bayview Station in the Lebreton Flats neighbourhood and Limebank Road in Riverside South. When service resumes, the Line 2 extension will be extended and include a link to the Ottawa Macdonald-Cartier International Airport.

NOTE: Transport Canada continues to regulate Line 2, which requires a separate SMS. As a result, this document does not capture Line 2 and the Line 2 SMS can be found on the Transit Services Business Practices page on Ozone.

## Stage 2 Light Rail Transit Project

The Stage 2 Light Rail Transit Project, referred to as 'Stage 2' is currently underway, with plans to expand the current system east, west and south through three separate expansion projects.

Stage 2 will add 44 kilometres of rail service and 24 new stations and will bring over 75% of residents within 5 kilometres of rail. The added benefits of shorter commutes, reduced emissions, and improved reliability along with updated citizen centric infrastructure such as multi-use pathways, further enhances and integrates transit's benefits to the City of Ottawa.





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## Organizational Overview

OC Transpo is the corporate identity for the public transit component of the Transportation Services Department of the City of Ottawa. OC Transpo is accountable through the General Manager, Transportation Services, to the City Manager and City Council. Organizational oversight is also provided by the Transit Commission, which reports to City Council.

The City Manager is the accountable executive for OC Transpo's public transit services and is ultimately responsible for the operations and activities of OC Transpo.

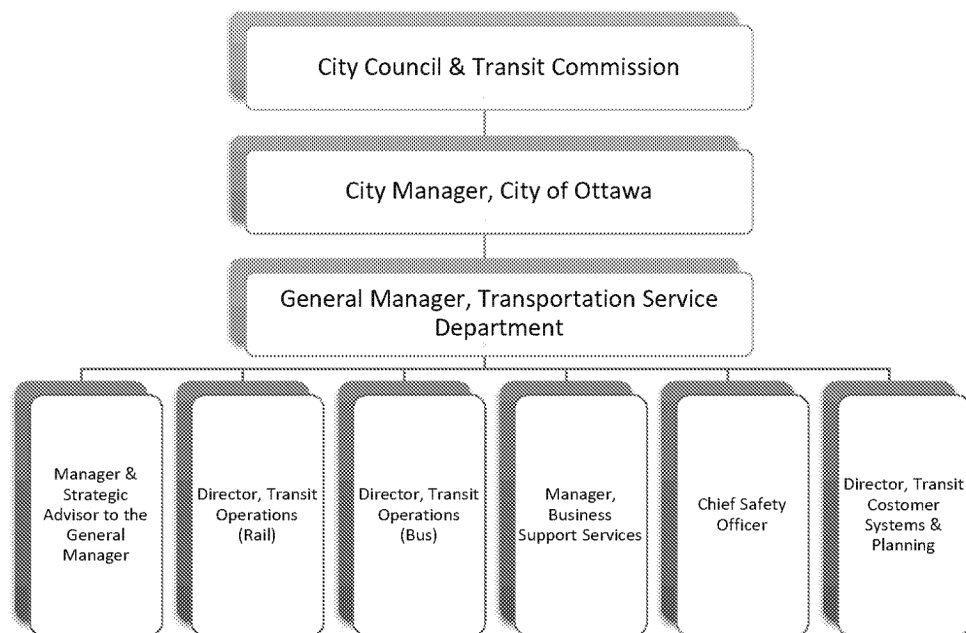
The Departmental Leadership Team are accountable for the activities of their respective staff and contractors working within their service areas. Branch Managers are assigned the responsibility of ensuring that the activities carried out within their branch or work unit are carried out in a safe manner. Managers, Program Managers or other employees in a supervisory role are responsible for ensuring that all safety procedures are followed, and employees are appropriately trained to perform their work safely.

A high-level organizational structure is illustrated in Figure 1.0. Note this structure is subject to change.



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**Figure 1.0:**



## Long-Term Service Contractors

Long-Term Service Contractors are accountable to OC Transpo and are responsible for complying with all regulations, rules, standards and orders that apply to their employees and ensuring they are operating safely, as required by the SMS. OC Transpo actively monitors their compliance with regulations.

- **For Line 1, Rideau Transit Maintenance (RTM) via Rideau Transit Group (RTG)** is contracted to provide vehicle and rail infrastructure and system maintenance including maintenance of the guideway, rail systems, stations, vehicles, and the Belfast Yard over a 30-year contract term.
- **For Line 2, TransitNext** will be contracted to maintain Line 2 rail vehicle fleet and infrastructure following the re-opening of line.
- **For Para Transpo service Para Logistics** is contracted to provide both accessible and non-accessible taxi services to augment the OC Transpo minibuss service.



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## Regulatory Oversight

Regulatory oversight of OC Transpo services is complex and multifaceted. OC Transpo is federally regulated, as such, employees are covered under the Canada Labor Code (CLC) and Canadian Occupational Health and Safety (COHS) regulations. Whereas operational activities may fall under either federal, provincial or municipal regulations.

Conventional Transit Operations, operators and certain licensing programs and skills training are provincially regulated by the Ministry of Transportation of Ontario (MTO).

Line 2 is federally regulated by Transport Canada. The Line 2 SMS is included as an appendix and is compliant with all applicable legislation including, the Railway Safety Act and the processes stated in the Railway Safety Management System Regulations, 2015.

The City Manager is responsible for overseeing the light rail transit regulatory regime applicable to Line 1, including the adoption and confirmation of light rail regulations (the "LRT Regulations"). In addition, the City of Ottawa By-law (2015-301) established the position of Light Rail Regulatory Monitor and Compliance Officer (RMCO) for Line 1. The RMCO is independent of OC Transpo and shall review, investigate and monitor compliance with LRT regulations. The RMCO reports to and is under the direction of the City Manager and provides compliance reports directly to the City Manager, Transit Commission and Council.

Note: The OC Transpo SMS does not replace Rideau Transit Group's (RTG) or Rideau Transit Maintenance's (RTM) or any subcontractor obligations to meet any or all safety legislation, regulations or standards.





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## SMS Structure

The OC Transpo SMS framework enables a structured, integrated approach to safety and risk management. This guiding document establishes an overarching structure for continued refinement and implementation of safety practices across OC Transpo.

The importance of the SMS is that it continuously seeks to identify, develop and implement the processes and business practices that guide the organization towards achieving the highest levels of safety.

The OC Transpo SMS framework is built upon the following four pillars:





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## Safety Processes

OC Transpo's safety policy, processes and procedures are applicable to all transit service areas. Additional procedural considerations for specific services or regulatory requirements are identified, where required.

Incorporated within the SMS pillars (12 processes) are the Railway Safety Management System (RSMS) Regulations

<b>SMS Policy and Objectives</b>	<ul style="list-style-type: none"> <li>• A process for accountability</li> <li>• A process with respect to a safety policy</li> <li>• A process for establishing targets and developing initiatives</li> </ul>
<b>Risk Management</b>	<ul style="list-style-type: none"> <li>• A process for reporting contraventions and safety hazards</li> <li>• A process for managing occurrences</li> <li>• A process for identifying safety concerns</li> <li>• A risk assessment process</li> <li>• A process with respect to scheduling</li> </ul>
<b>Safety Assurance</b>	<ul style="list-style-type: none"> <li>• A process for ensuring compliance with regulations, rules and other instruments</li> <li>• A process for implementing and evaluating remedial action</li> <li>• A process for continual improvement of the safety management system</li> </ul>
<b>Safety Awareness</b>	<ul style="list-style-type: none"> <li>• A process for managing knowledge</li> </ul>

The continued growth and ongoing effort to improve safety is not limited to a specific mode of service or branch within OC Transpo. The long-term organizational value of the SMS lies in the development and implementation of a consistent approach to safety, with flexibility to ensure proportional consideration by any regulator or authority.

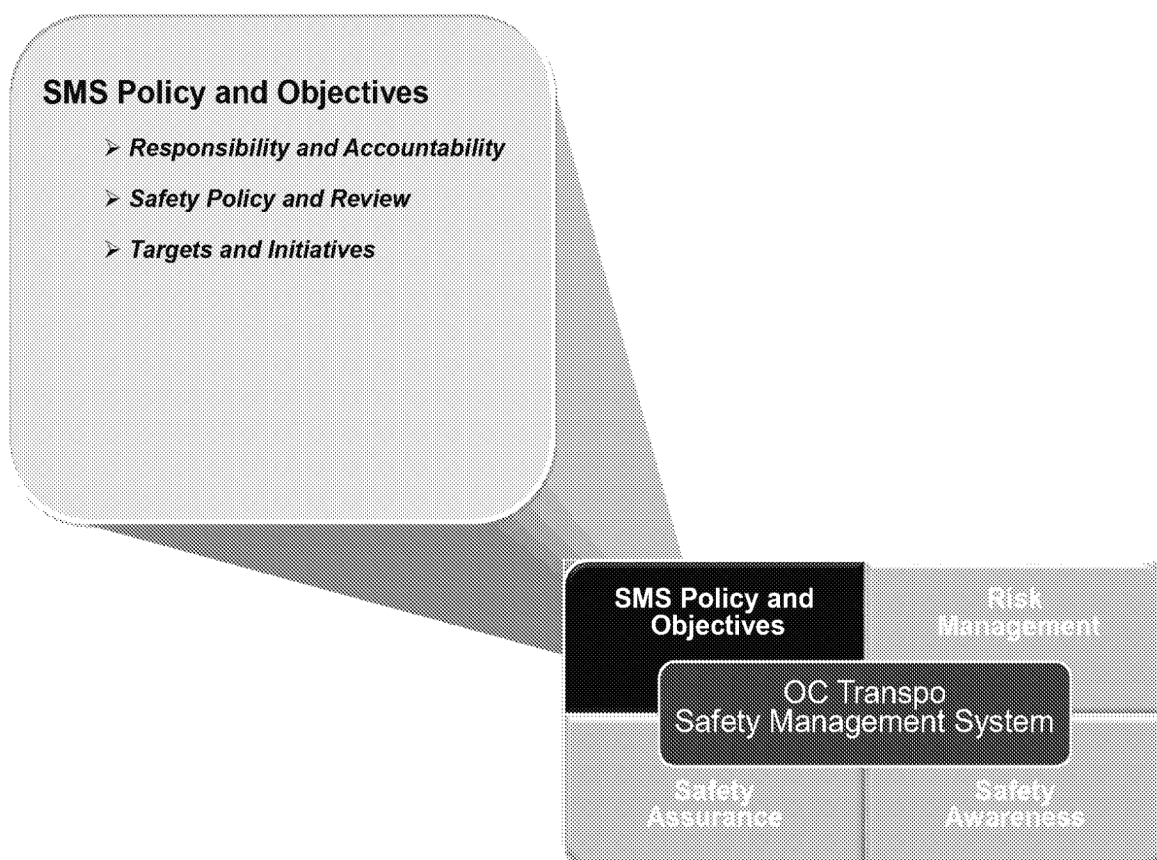


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## 1. SMS Policy and Objectives: First Pillar

The SMS Policy and Objectives pillar identifies many of the key safety leadership elements and processes that are vital to creating a safety environment and culture across the organization. Demonstrating commitment through the implementation of a safety policy, with individual accountabilities and the establishment of annual safety objectives, targets and initiatives further demonstrates the organization's commitment.

**Figure 1-1: SMS Pillar 1 – SMS Policy and Objectives:**





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## 1.1 Responsibility and Accountability

All employees and contractors working at OC Transpo are responsible for safety. Responsibilities are the actions, decisions or obligations assigned to a person by the nature of that person's position, function or work.

Each person is accountable for their actions and decisions as well as the actions and decisions of the people they may direct, as part of their position. *Accountability* is a 'top down' model for oversight of safety matters, and *Responsibility* is a 'bottom up' approach that begins with each employee.

### The Process for Accountability

In general, within the City of Ottawa governance, the City Manager is identified as the top Accountable Executive. Through the Delegation Agreement signed with Transport Canada, City of Ottawa became the regulator of Line 1 specifically. The City Manager is also identified as the Accountable Executive for Line 2 and for the OC Transpo Safety Management System, including the Safety Policy.

The City Manager reviews and signs the Safety Policy annually and is accountable for the extent to which the requirements of the SMS are met. The City Manager designated the General Manager, Transportation Services Department (GM TSD) the responsibility for the development and implementation of the SMS and SMS processes.

The GM TSD is accountable to the City Manager for all OC Transpo. The General Manager has assigned the Chief Safety Officer the responsibility of implementing the SMS, to ensure compliance with all regulations and that safety processes are implemented accordingly.

The Chief Safety Officer is accountable for ensuring that on an annual basis, a report is drafted to show the progress of the implementation of the SMS and opportunities for improvement for the GM TSD and the City Manager. The report will include a summary of data, trends, compliance and how effective the SMS processes are at improving safety.

### Employee Safety Responsibilities

All employees have five basic safety responsibilities:





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1. Ask for help when uncertain;
2. Look for hazards in your work area before starting work;
3. Ensure all policies, rules and procedures are followed;
4. Report all hazards, accidents, incidents or circumstances with the potential to cause harm; and.
5. Take action, where you can, to control hazards.

## Supervisory Safety Responsibilities

At OC Transpo, the term “supervisory” is incorporated into the tasks or responsibilities of a variety of positions responsible for directing the work of other employees. Some positions within this category include, but are not limited to:

- Transit or Rail Supervisor
- Maintenance Supervisor
- Superintendent
- All persons in a supervisory role

Employees in **supervisory positions** have the additional responsibility to:

1. Ensure employees are fulfilling their safety responsibilities;
2. Ensure employees receive required training;
3. Take required action(s) for all hazards and occurrences reported to them;
4. Communicate updates to safety processes and procedures for their work area as required, and,
5. Seek help for serious occurrences or when assistance is required to address a hazard & risk.

Supervisory positions may also require staff to oversee work being completed by contractors or other non-employees who are authorized to access OC Transpo property, building or worksites.



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## Managerial Safety Responsibilities

Employees who oversee the work of groups and/or who have employees reporting to them who have supervisory responsibilities are considered to have managerial responsibilities. Positions within this category include, but are not limited to the following:

- Section Manager
- Team Lead
- Manager
- Section Head
- Program Manager
- Director/Chief

Over and above the responsibilities listed for employees and for supervisory positions (above), persons with managerial roles also are also expected to:

1. Ensure implementation and monitoring of SMS activities within their branch/unit;
2. Participate in determining the annual branch/unit goals, targets and initiatives, and assessing effectiveness of efforts;
3. Communicate relevant safety process or procedure updates, and,
4. Ensure all records within their branch/unit required of the SMS are created and maintained.

Those in managerial roles are also responsible for ensuring that supervisors who oversee contractors or other non-employees, have provided these workers with the proper safety information of the property, building or work site.

In certain circumstances, where non-employees are required to gain access to protected, sensitive or restricted areas, the employees in managerial roles will ensure that the proper clearance, authorizations and notifications have taken in place to ensure worker safety. Access to certain areas of the rail services may require more detailed training, occupancy permit and as such, employees in managerial roles may need to validate the level of knowledge visitors have prior to escorting or granting them access to these areas.



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## Chief Safety Officer (CSO)

The CSO reports directly to the General Manager of the Transportation Services Department. Over and above employee, supervisory and managerial responsibilities, OC Transpo's Chief Safety Officer (CSO) has the responsibility to:

- Guide the development and implementation of OC Transpo-wide safety goals, objectives, targets, initiatives, policies, procedures and practices;
- Monitor safety activities and safety performance across OC Transpo, in order to identify opportunities for improvement;
- Lead, delegate or support safety investigations or inquiries, as appropriate based on the type of investigation or severity of the incident;
- Lead the development, maintenance and updates to the OC Transpo SMS;
- Ensure that on an annual basis, an SMS report is prepared with respect to the implementation and effectiveness of the SMS processes, procedures and plans with the lens of improving safety of OC Transpo's operations;
- Ensure all regulatory requirements are met, including reports, communications, training, employee involvement and safety process updates, etc.;
- Provide the General Manager and Departmental Leadership Team with timely recommendations and guidance on safety issues, based on experience and the available information; and,
- Ensure that all safety related training and regulatory documentation is up to date and reflective of the goals of the SMS.

## General Manager, Transportation Services

The General Manager reports directly to the City Manager. The General Manager of the Transportation Services Department has the overall responsibility and accountability of OC Transpo. This includes the implementation of the SMS and reviewing safety performance data.

## City Manager

The City Manager is the most senior official in the City's organizational structure. As such, the City Manager has the overall responsibility and accountability for advancing



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the priorities established by City Council, and for delivering all City policies, programs and services, including public transit. The City Manager provides leadership and direction to the Transportation Services Department, including organizational safety management.

The City Manager, through the Delegation Agreement with Transport Canada, is the regulator for Line 1 and is designated as the Accountable Executive for Line 2, including the accountability for operations and activities of OC Transpo and the official signatory of the Safety Policy. As both the Regulator, and the accountable executive, the City Manager has delegated to the General Manager of Transportation Services, and the Chief Safety Officer the development and implementation of the SMS processes. The City Manager will also ensure that reports from the Regulatory Monitor and Compliance Officer are presented to City Council and that findings are addressed.

## Safety Committees

Management and employee involvement and active participation in various Safety Committees is an integral part of OC Transpo's safety mandate. Committee members have responsibilities related to improving safety practices and outcomes. Each committee has a specific mandate and scope.

### Policy Health and Safety Committee:

The Policy Health and Safety Committee (PHSC) is comprised representatives from each of OC Transpo's bargaining units and from management. PHSC members are responsible for:

- Participating in the development of safety policies, procedures and programs; and,
- Considering the safety of all segments of OC Transpo, and the concerns referred to it from the Workplace Health and Safety Committees.

### Workplace Health and Safety Committees:

Workplace Health and Safety Committees (WHSCs) are joint employee and management committees at each OC Transpo facility or yard. Employee members are selected by their bargaining units to participate in safety-related activities on behalf of the bargaining unit. The WHSCs responsibilities include:





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- Participating in monthly workplace safety inspections;
- Working with employees and management to identify and resolve workplace safety concerns and hazards; and,
- Participating in appropriate safety investigations and working groups to assist in identifying hazards, evaluating risks and making recommendations to mitigate those risks.

The Policy Health and Safety Committee and Workplace Health and Safety Committees participate in various SMS processes.

### Confederation Line Safety Committee

A Confederation Line Safety Management Committee was established to ensure that safety matters involving the operation of Line 1 are coordinated between RTM and OC Transpo. The Confederation Line Safety Management Committee provides a forum to review data and trends, and continuously improve safety matters as it pertains to Line 1.



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## 1.2 Safety Policy and Review

### Safety Policy

The OC Transpo Safety Policy appears at the beginning of the SMS (page 5 of this document), is reviewed and signed annually by the City Manager and/or as changes are made. OC Transpo's Safety Policy is also aligned with the City of Ottawa Occupational Health and Safety policy.

### Safety Policy Review

The review of the policy is the first step of the annual safety planning process lead by the CSO and Safety, Regulatory, Training & Development service area. The CSO ensures that staff consult with the Policy Health and Safety Committee and the Workplace Health and Safety Committees to determine if updates to the policy are required.

The CSO reviews the organization's priorities, progress and safety performance during the past year in addition to the feedback from both the safety committees and management, as part of drafting updates to the policy.

During the development of the updated policy, the CSO will meet with the General Manager and the Departmental Leadership Team to ensure that the updated policy is reflective of the department's safety commitment and objectives.

Once approved, the General Manager provides the policy to the City Manager for final review and approval. The City Manager's signature is the final step in the establishment of the updated policy.

Once the City Manager has signed the updated policy into effect, the General Manager and the CSO ensures that the communication of the updated policy, including any changes, is provided to employees and safety committees.



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## 1.3 Safety Objectives, Targets and Initiatives

OC Transpo's safety objectives include service and organizational targets along with the supporting initiatives that are designed to provide a safety focus for the entire organization. Achieving increased levels of safety begins with understanding that all employees, regardless of their role, are responsible for safety including their actions and decisions.

The CSO is responsible for ensuring that the development of OC Transpo's safety objectives, targets and initiatives are reviewed and updated annually. Branch and service area safety opportunities and efforts are incorporated as part of the organizational goals.

OC Transpo's organizational safety objectives are to:

- Reduce Harm,
- Reduce Damage or Loss, and,
- Reduce Disruption to service.

In addition to the quantitative objectives listed above, OC Transpo also pursues the following qualitative measures of creating:

- A safe customer experience,
- A healthier workplace, and
- An environment of continuous improvement.

The development of OC Transpo's annual organizational safety objectives, targets, and initiatives incorporate the following factors and considerations:

- Safety performance relative to industry standards and/or comparator properties;
- Branch or Service Area performance goals and measures;
- Operational performance indicators;
- Customer perception of safety while using OC Transpo services;
- Opportunities identified within the organization; and,
- The analysis of safety data, trends or actions linked to:



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- Incidents and occurrence reports;
- Compliance and conformance statistics;
- Risk assessments;
- Corrective actions,
- Safety audits and inspections;
- Safety Committees;
- Performance monitoring;
- Customer or public feedback related to safety; and,
- Employee feedback.

Safety performance targets and initiatives are developed with the branch or service area and are aligned with overall objectives, targets and initiatives for OC Transpo. The CSO and Director(s), Transit Operations champion the alignment of objectives as building blocks of the SMS for long-term safety improvements, safety culture and continuous improvement.

## Targets and Initiatives

Specific operational or regulatory safety-related performance targets and initiatives are determined as part of the annual departmental and branch planning process. Annual objectives, targets and initiatives will be developed each year for implementation during the following year and documented within the SMS. A cornerstone to effective safety measures is the ability to accurately collect, analyze safety data. Data reliability will continue to improve as new tools and systems are implemented.

Service Areas across OC Transpo are supported by the Safety, Regulatory, Training & Development (SRTD) team to identify and document targets and/or initiatives within their annual work plans. Safety goals, targets and initiatives once determined, are communicated to employees through the SMS communication process.





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## Organizational Targets and Initiatives

Safety is paramount to operational success across OC Transpo. The 2021 targets and initiatives are shown in the tables below. The Regulatory Compliance, Quality Control & Assurance (RCQCA) branch and Safety Standards Investigations and Reporting (SSIR) branch in SRTD engage subject matter experts across OC Transpo as part of the development of the targets and initiatives. The organizational targets and initiatives take effect May 1, 2021.

Organizational Safety Occurrences Measures	2021 Target
<b>1. <sup>1</sup>Employee Injury rate per 200,000 hours worked</b>	
Employee injury rate	7.57 or less
<b>2. <sup>2</sup>Customer Injury Incident Rate (CIIR) per 1,000,000 passengers trips</b>	
CIIR (level 3, 4 & 5) reported	1.036 or less
<b>3. Vehicle Collision rate per 100,000 kms driven</b>	1.273 or less
Preventable rate	0.69 or less
<b>4. Reduce Security Occurrences</b> Offences against persons	321 or less
<b>Prevention Targets</b>	
<b>5. Safety communications delivered</b>	10
<b>6. Safety Review of reported incidents (level 3 or higher)</b>	100%
<b>7. Safety Observation Program</b>	1 / month
<b>8. Corrective Action Review</b>	2 / quarter

<sup>1</sup> Targets are based on data from previous years, while OC Transpo always strives for zero customer and employee injuries. Processes are in place to systematically address factors that lead to injuries. Note: Injury levels listed are described in OC Transpo's Accident & Incident Investigation and Reporting SOP.

<sup>2</sup> Customer Injuries of level 3 or higher are reported to Transit Commission



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Organizational Safety Occurrences Measures	2021 Target
<b>9. Workplace Health &amp; Safety Committee Inspection Reports</b>	<b>4</b>

Organizational Safety Initiatives	
Target # 1	Description
Reduce Employee Injury rate	Employee Injuries
<b>Initiative</b>	<p>RCQCA/SSIR will work with Operations to improve the <i>type of data</i> collected and detail required in the reporting procedure/tools, as well as access to the historical reports.</p> <p><b>Purpose:</b> Increase understanding and information about contributing factors resulting in Employee Injuries.</p> <p><b>Records:</b> Review incident reports and copies of corrective action reports. Operations will track the corrective action implementation progress.</p> <p><b>Objective:</b> RCQCA/SSIR staff will assist operations to identify possible trends towards reducing the most frequent incidents.</p>
Improve quantitative data to develop improved preventative initiatives	
<b>Responsible</b>	
Chief Safety Officer, Program Managers, RCQCA & SSIR Manager, Bus & Para Operations	
<b>Linkages</b>	Reducing harm by finding tangible ways to prevent both common and severe occurrences through improved safety awareness and behaviours while increasing employee confidence in safety efforts.

Organizational Safety Initiatives	
Target # 2	Description
Reduce Customer Injury rate (per 1 Million trips)	Customer Injury Incident Rate (Level 3, 4 & 5) <b>1.036 or less</b>
<b>Initiative</b>	RCQCA/SSIR will work with City of Ottawa Claims and Transit Operations to improve the level and type of details to be included in the reporting tools, as well as access to the historical reports.
Improve quantitative data to develop	



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improved preventative initiatives	<b>Purpose:</b> Increase understanding of contributing factors resulting in occurrences
<b>Responsible</b>	<b>Records:</b> Written incident reports – reviewed by SSIR.
Chief Safety Officer or designate	<b>Objective:</b> Staff will assist operations to identify possible trends towards reducing occurrences.
<b>Linkages</b>	Reducing harm by finding tangible ways to prevent both common and severe occurrences will increase customer confidence in the service

Organizational Safety Initiatives	
Target # 3	Description
Reduce Vehicle Collision rate (per 100,000 vehicle kms)	Total Collisions <b>1.273</b> or less Preventable <b>0.69</b> or less
<b>Initiative</b>	SSIR/RCQCA will work with Transit Operations to review the data and details of the collision data.
Improve quantitative data to develop trends related to preventable collisions	<b>Purpose:</b> Increase understanding of different factors that may collectively contribute to collisions
<b>Responsible</b>	<b>Records:</b> RiskMaster data collections along with incident reports – reviewed by Bus & Para Operations and SSIR safety co-ordinators.
Chief Safety Officer, Program Manager SSIR Manager, Bus & Para Operations	<b>Objective:</b> SSIR/RCQCA staff will assist operations to identify possible trends towards reducing vehicle collisions, including potential infrastructure changes such as transit priority measures.
<b>Linkages</b>	Any reduction in preventable collisions contributes to the overall success of the service. Changes that could reduce non-preventable collisions will also improve overall service as well as public perception of OC Transpo.

Organization Safety Initiatives	
Target # 4	Description





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Reduce Security Occurrences	Increase 'Focused Patrols' at the tree LRT stations with the highest number of incidents (Rideau, Blair, and Tunney's)
<b>Initiative</b>	The Special Constable Unit (SCU) will proactively deploy officers on 'focused patrols' to high occurrence locations, while continuing to review and analyze incident reports. <b>Purpose:</b> Reduce the number of incidents of 'crimes against persons' by increasing the presence of the Special Constables. <b>Records:</b> SCU monthly calls for service reports
<b>Responsible</b>	<b>Objective:</b> Increase customer and employee feelings of safety and security, along with improved access to the Special Constables.
Chief Special Constable or designate	
<b>Linkages</b>	Proactive approach to preventing security occurrences and implementing 'visible' & on-going efforts will increase feelings of trust with Special Constables and safety for passengers and employees.

Organizational Safety Initiatives	
Targets # 5	Description
Safety Communications delivered	OC Transpo will draft and deliver <b>10</b> or more safety focused communications. RCQCA/SSIR will identify opportunities for situation-based refresher and quarterly broadcast communications to promote good safety habits
<b>Initiative</b>	
Promote good safety habits	<b>Purpose:</b> Safety communications reinforce the organization's commitment to safe work practices and habits <b>Records:</b> Number and type of events attended are tracked. Total number of communications provided at an organizational level are tracked by SRTD.
<b>Responsible</b>	<b>Objective:</b> Ensuring that staff continue to be diligent and safe, should reduce the total number of injuries, as well as the severity of some.
Chief Safety Office or designate	
<b>Linkages</b>	Ongoing safety messages reinforce the training and knowledge for all employees.



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Organizational Safety Initiatives	
Targets # 6	Description
Safety review of reported incidents	<p>SSIR review <b>100%</b> of reported incidents level 3 or higher</p> <p>SSIR will promote proper reporting skills and undertake a safety review of all incidents reported to the Service Duty Officer.</p> <p><b>Purpose:</b> Incident reviews are completed to identify opportunities or corrective actions that could contribute to preventing reoccurrences</p> <p><b>Records:</b> The incident report is the main record.</p> <p><b>Objective:</b> Identify opportunities for improvement to reduce or eliminate a risk of reoccurrence.</p>
<b>Initiative</b>	
Determine corrective actions	
<b>Responsible</b>	
Program Manager, SSIR unit	
<b>Linkages</b>	Creating an environment of continuous safety improvement includes reviewing, updating and implementing corrective actions.

Organizational Safety Initiatives	
Targets # 7	Description
Safety Observation Program	<p>Safety Observations Program to complete 1/Month</p> <p>SSIR Unit will work with operational branches to determine areas of concern based on actual incidents and data</p> <p><b>Purpose:</b> The Safety Observation Program will support ongoing safety efforts by focusing on recent incidents or data to identify a broad level of compliance and identify trends and corrective actions based on the actual observations.</p>
<b>Initiative</b>	
Safety Observation Program	
<b>Responsible</b>	
Program Manager, SSIR unit	





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	<p><b>Records:</b> Along with the checklists, quarterly meeting reports, including observations and corrective action reports will be shared with the identified stakeholders for action/implementation.</p> <p><b>Objective:</b> Identify opportunities for improvements to safe operations in 'real time' and to communicate the outcomes of the observations to improve awareness of the impact of safe or unsafe behaviours</p>
<b>Linkages</b>	Creating an environment of continuous safety improvement includes reviewing, updating and implementing corrective actions, sharing the outcomes with staff and recognizing work already being done.

Organizational Safety Initiatives	
Targets # 8	Description
Continue to actively engage Workplace Health & Safety Committees	Review 4 or more WHSC inspection reports
<b>Initiative</b>	SSIR Safety Coordinators will actively participate and support the WHSCs to complete the inspections.
Review inspection reports for trends or recurring incidents	<p><b>Purpose:</b> WHSC must be an effective participant in the overall safety effort, and be directly involved in the compliance process</p> <p><b>Records:</b> WHSC Meeting minutes, WHSC Inspection Reports</p> <p><b>Objective:</b> Assist the committee members to look beyond just the number of hazards towards resolution and to ensure that items are tracked effectively and closed efficiently.</p>
<b>Responsible</b>	
Program Manager, SSIR	
<b>Linkages</b>	Improving opportunities for employee participation creates a commitment to a safer workplace.



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## Branch/Service Area Specific Targets and Initiatives

### O-Train Line 1 (Confederation Line) Targets and Initiatives

The Line 1 targets and initiatives for 2021 are shown in the tables below. The targets and initiatives were presented and approved by the Confederation Line Safety Committee on April 28, 2021.



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Line 1 Safety Occurrences Measures	Target 2021
<b>1. Employee Injury<sup>3</sup></b>	19 or fewer
Employee injuries (level 4 & 5)	0
Employee injuries (level 1, 2 & 3)	21 or fewer
<b>2. Customer Injury Incidents</b>	0.12
CII (level 4 & 5)	0.00
CII (level 1, 2 & 3)	25 or fewer
<b>Prevention Targets</b>	
<b>3. Review of Reportable Incidents</b>	1 /quarter
<b>4. ERO &amp; ERC Refresher Training</b>	16 hours/year
<b>5. Fit for Duty Checks</b>	98% weekly average
<b>6. Rules Compliance Observations – EROs</b>	1 /quarter
<b>7. Rules Compliance Observations - ERCs</b>	1 /quarter
<b>8. Guideway Inspections &amp; Document Reviews</b>	2 each/year
<b>9. ERO ATPM Drive Time</b>	1 hour/month
<b>10. Integrated Drills</b>	2 /month
<b>11. Safety Communications Delivered</b>	8 /year

<sup>3</sup> Targets are based on data from previous years, but OC Transpo always strives for zero customer and employee injuries. Processes are in place to systematically address factors that lead to injuries.



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Line 1 Safety Initiatives	
Initiative	Description
Review of reportable incidents	<p>All TSB reportable incidents submitted within required timeframe, as per the regulations. RCQCA to conduct a review or audit of one reportable incident per quarter and ensure corrective actions have been tracked and implement.</p> <p><b>Purpose:</b> Incident reviews are completed to identify opportunities or corrective actions that could contribute to preventing reoccurrences.</p> <p><b>Records:</b> The TSB report and accompanying incident report are the main records.</p> <p><b>Objective:</b> Identify opportunities for improvement to reduce or eliminate a risk of reoccurrence.</p>
<b>Target # 3</b>	
Prevent Safety Occurrences	
<b>Responsible</b>	
Chief Safety Officer Program Manager, RCQCA	
<b>Linkages</b>	Creating an environment of continuous safety improvement includes reviewing, updating and implementing corrective actions.

Line 1 Safety Initiatives	
Initiative	Description
ERO & ERC Refresher Training	<p>The TOCC Manager, and Program Manager, Rail Operations will monitor operations and determine relevant subject matter for refresher training of Electric Rail Operators (ERO) and Electric Rail Controllers (ERC).</p> <p>The Program Manager, Rail Operations &amp; Manager, Training &amp; Development will determine the training type and format.</p> <p><b>Purpose:</b> Continuous improvement and to increase ERO/ERC understanding and correct application of Rules and procedures.</p> <p><b>Reports/Records:</b> Training recorded on individual SAP files; Training &amp; Development retains record of each refresher module delivered.</p>
<b>Targets #1-2 &amp; 4</b>	
Prevent Safety Occurrences	
<b>Responsible</b>	
Managers TOCC & Training & Development, Program Manager, Rail Operations	





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	<b>Objective:</b> Provide 16 hours of refresher training per year.
<b>Linkages</b>	Proactive, prevention-based approach to maintaining or elevating ERO and ERC skill proficiency. Use of a variety of education and development formats. Review 'compliance checks' for possible refresher content.

Line 1 Safety Initiatives	
Initiative	Description
Fit for Duty Checks <b>Targets #1-2 and 5</b>	Supervisors, Superintendents or a designate will perform Fit for Duty checks for EROs which will contribute to preventing safety events due to human error such as fatigue, overwork, or illness. <b>Purpose:</b> Ensure EROs meet the Fit for Duty requirements. <b>Reports/Records:</b> Fit for Duty checks are recorded in the Train Operator Assigned (TOA) software. <b>Objective:</b> A weekly average of 98% of EROs are observed.
Prevent Safety Occurrences	
<b>Responsible</b>	
Program Manager, Rail Operations	
<b>Linkages</b>	Identifying and managing 'Fit for Duty' exceptions ensures all staff responsible for safe train movement are capable of reacting to changing operational situations.

Line 1 Safety Initiatives	
Initiative	Description
Rules Compliance Observations for EROs <b>Targets #1-2 and 6</b>	The Program Manager, Rail Operations will oversee rules compliance observations ensure processes are being followed, and that instances of non-compliance be documented, resolved with observations continuing. <b>Purpose:</b> To ensure that front-line staff competencies are verified on a systematic basis. <b>Reports/Records:</b> To be reported in the DLT Enhanced Scorecard.
Prevent Safety Occurrences	
<b>Responsible</b>	
Program Manager, Rail Operations	



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	<b>Objective:</b> EROs are to undergo a minimum of 1 compliance check per quarter. This minimum is based on EROs who are scheduled and working for at least half of the time in an observation period.
<b>Linkages</b>	Ensuring frontline staff comply with established rules is expected to assist in preventing safety occurrences.

Line 1 Safety Initiatives	
Initiative	Description
Rules Compliance Observations for ERCs	The Manager TOCC, will oversee rules compliance observations, ensure processes are being followed, and that instances of non-compliance be documented, resolved with observations continuing.
<b>Targets #1-2 and 7</b>	
Prevent Safety Occurrences	<b>Purpose:</b> To ensure that Electric Rail Controllers (ERC) competencies are verified on a systematic basis.
<b>Responsible</b>	<b>Reports/Records:</b> To be reported in the DLT Enhanced Scorecard.
Manager TOCC, Program Manager, Rail Operations	<b>Objective:</b> ERCs are to undergo a minimum of 1 compliance check per quarter.
<b>Linkages</b>	Ensuring rail control staff comply with established rules is expected to assist in preventing safety occurrences.

O-Train Line 1 Safety Initiatives	
Initiative	Description
Guideway Inspection & Document Reviews	The Program Manager, Trains & Systems will develop a Guideway Inspection & Document Management plan to set out expectations for systematic Guideway Inspections, identify documentation requirements and set out the plan to address deficiencies found.
<b>Targets #1-2 and 8</b>	
Prevent Safety Occurrences;	





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Proactive Monitoring	<p><b>Purpose:</b> Inspections are used to verify that basic infrastructure safety and inspection rules have been implemented and to ensure the maintainer is performing the maintenance and repairs as required.</p> <p><b>Reports/Records:</b> Documentation of completed Guideway Inspections, and document reviews will be completed, and any findings discovered will include follow up as required.</p> <p><b>Objective:</b> Complete 2 comprehensive Guideway Inspections, and multiple Document Reviews.</p>
<b>Responsible</b>	
Program Manager, Trains and Systems	
<b>Linkages</b>	Verifying the maintenance of guideway infrastructure and accuracy of documentation provides oversight of the maintainer to ensure they are maintaining the guideway infrastructure to the required standards that will contribute to reducing or preventing safety occurrences.

Line 1 Safety Initiatives	
Initiative	Description
ERO ATPM Drive Time	<p>The Program Manager, Rail Operations ensures that EROs are continually skilled in all areas of train operations and are provided hands on operation.</p> <p><b>Purpose:</b> To ensure skills are maintained in the event the ERO must begin operating the LRV in a degraded mode which may be required in unplanned, disable or emergency situations.</p> <p><b>Reports/Records:</b> A reporting mechanism has been developed to ensure all EROs are evaluated, and where required correction action is planned and monitored. Additional reporting on will be captured in the DLT Enhanced Scorecard.</p> <p><b>Objective:</b> Each ERO will complete 1 hour of ATPM (Automatic Train Protection Manual) drive time each month. This minimum is based on EROs who are scheduled and working for at least half of the time in an observation period.</p>
<b>Targets #1-2 and 9</b>	
Continuous Training, Skill verification and development	
<b>Responsible</b>	
Program Manager, Rail Operations	



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<b>Linkages</b>	Proactive skills development will minimize the impact of unplanned service disruptions and contributes to safe operations.
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Line 1 Safety Initiatives	
Initiative	Description
Integrated Drills	<p>The Program Manager, Rail Operations ensures that scenario-based, integrated technical drills including tabletop style exercises are performed twice monthly.</p> <p><b>Purpose:</b> To build and refresh skills, assess processes of uncommon event, and to look for improvement opportunities</p> <p><b>Reports/Records:</b> Detailed drill templates and records are retained and reviewed to ensure all EROs and ERCs participate in drills.</p> <p><b>Objective:</b> Conduct 2 technical drills a month, based on operational scenarios. Ensure communication and actions of EROs and ERCs are assessed. Improvements or corrective actions discovered will be incorporated into updated processes, training or drills.</p>
<b>Targets #1-2 and 10</b>	
Reduce disruption and valid response processes	
<b>Responsible</b>	
Program Manager, Rail Operations	
<b>Linkages</b>	Practicing in operational scenarios improves the system's ability to respond, contain, resolve and recover from events. Integrated drills aid in reducing service disruption and limiting or preventing safety occurrences with multiple stakeholders.

O-Train Line 1 Safety Initiatives	
Initiative	Description
Safety Communications Delivered	The Program Manager, Rail Operations will regularly communicate with staff in a formal capacity on emerging safety matters.
<b>Targets #1-2, 11</b>	





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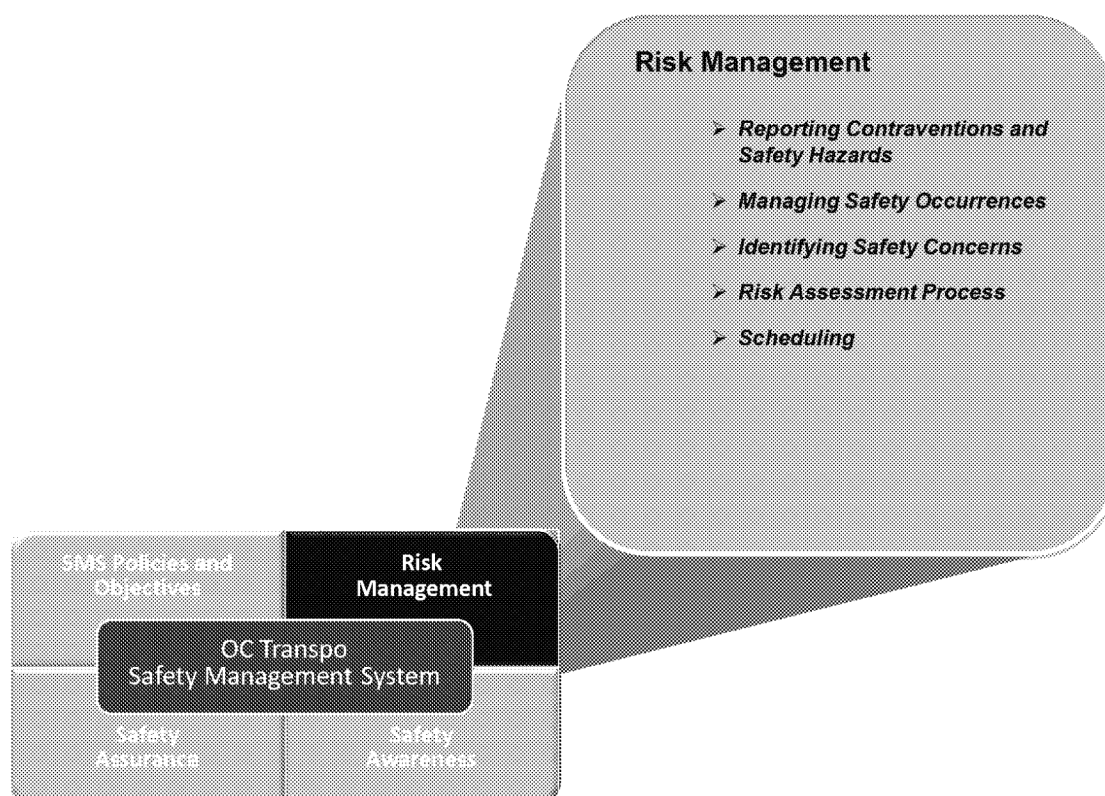
Prevent Safety Occurrences;	<b>Purpose:</b> To ensure that staff are aware of new, changing or emerging concerns and what preventative or corrective actions are in place.  <b>Reports/Records:</b> Records of communications with staff are all retained in operations logs, and SharePoint.  <b>Objective:</b> Provide a minimum of 8 communications annually.
<b>Responsible</b>	
Program Manager, Rail Operations	
<b>Linkages</b>	

Issue Date:	May 26, 2021	OC Transpo's Safety Management System Risk Management 2.0 <b>Reporting Contraventions and Safety Hazards</b> <b>2.1</b>
Replaces:	30- October 2020	

## 2. Risk Management: Second Pillar

Risk management forms the second pillar of OC Transpo's Safety Management System. Understanding and managing risk is an important element for the safety of all employees. Being alert to their surroundings and changing circumstances helps employees identify hazards and assess the likelihood of a hazard causing harm – injury, damage, or disruption and the severity or impact if it were to occur. Risk management involves taking action to minimize those risks. Risk assessments and ongoing analysis of occurrence data or trends contributes to preventing recurrences and improving safety.

**Figure 2-1: SMS Pillar 2 – Risk Management:**





Issue Date:	May 26, 2021	OC Transpo's Safety Management System Risk Management 2.0  <b>Reporting Contraventions and Safety Hazards</b> <b>2.1</b>
Replaces:	30- October 2020	

## 2.1 Reporting Contraventions and Safety Hazards

Employees who witness contraventions and/or safety hazards are required to report it to their supervisor or to the Transit Operations Control Centre (TOCC) as soon as possible. The first notification should be based on the severity of the situation and the employee's initial risk assessment.

An employee in a supervisory or managerial role will respond to the employee to further assess the situation, gather information and commence an investigation. The Accident and Incident Investigation and Reporting standard operating procedure (SOP) outlines the required process.

It is the responsibility of the organization to foster the development of trust among employees. Ensuring that employees who report contraventions and safety hazards are not subject to reprisal or retaliation is paramount to creating a safety environment within the organization.

### Procedure for Reporting Contraventions and Safety Hazards

Employees are required to report to their supervisor or the TOCC any contravention or safety hazard upon observing it. Depending on the circumstances, the employee is able to choose an appropriate method of communication. Contraventions or hazards that require an immediate response in order to prevent an occurrence, harm or injury are to be reported as soon as possible, preferably by radio or by phone, when safe to do so. If any employee is unsure if the issue is a safety contravention or hazard or what actions they should take, they should approach their supervisor, contact the TOCC, their union representative, or the Employee Co-Chair of the WHSC to discuss how to proceed.

Staff are required follow the '*Accident and Incident Investigation and Reporting Procedure*' SOP and keep track of the incident records. Issues that are found to be a contravention or safety hazard will be recorded. The nature of the contravention or safety hazard may result in a decision to perform a risk assessment.



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Reporting contraventions and safety hazards is integral to OC Transpo's safety culture. This procedure does not supersede an employee's right to refuse dangerous work, or the processes for recording pre-trip inspections, workplace inspections or reporting defects.

## Policy to Protect Employees

The Transit Service's Workplace Violence Prevention Policy, within the Violence Prevention in the Workplace Program supports and enforces the City of Ottawa's Code of Conduct to investigate and address any complaints. The development and periodic updates of the Violence Prevention in the Workplace Program is done through a working group involving employees representing the bargaining units or the Workplace Health and Safety Committees.

Reprisals or retaliation would include, but are not limited to disciplinary action, discriminatory practices or any form of harassing, demeaning or bullying behaviour by a supervisor or colleague.

Notwithstanding the above, should an employee feel uncomfortable speaking to their direct supervisor, they are able to contact a different supervisor, or manager, a member of the WHSC, or the Service Duty Officer, the Program Manager of Safety Standards, Investigations and Reporting, or the Chief Safety Officer.

Disciplinary action may result if a contravention or safety hazard was the result of a willful deviation from established policies and procedures, or any actions performed with intent to cause harm or a reckless disregard for safety.





Issue Date:	May 26, 2021	OC Transpo's Safety Management System Risk Management 2.0  <b>Managing Safety Occurrences 2.2</b>
Replaces:	30- October 2020	

## 2.2 Managing Safety Occurrences

Safety occurrences are events that take place at OC Transpo where there **is** or the **potential for**, harm, damage or loss either to persons, equipment or property. An occurrence also includes those situations where there was no harm, damage or loss but there *could have been* under slightly different circumstances: these are considered near-misses.

The effective management of safety occurrences is critical to ensure anyone requiring urgent care and assistance receives it in a timely manner. Equally as important, is the proper reporting and documentation of occurrences.

The process for managing safety occurrences also ensures OC Transpo complies with applicable regulations in the reporting of hazards and/or safety occurrences to required external agencies.

There are four parts to the process for managing safety occurrences:

1. Which safety occurrences must be reported?
2. How are safety occurrences reported?
3. How are safety occurrences reviewed?
4. How do employees & contractors know their duties for reporting?

### Which safety occurrences must be reported?

As it relates to OC Transpo's services – its customers, its employees or its equipment – all employees and contractors of OC Transpo are required to be vigilant for and immediately report:

- Any accident or incident resulting in **harm, illness** or **injury** to an employee or any other person (e.g. customer) no matter how minor;
- Any accident or incident resulting in **damage** to equipment or property regardless of the severity;
- Any workplace/transit "**near miss**" that could have resulted in an illness, injury or property damage;



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- Any occurrence involving an **emergency response** from Fire, Police or Paramedic;
- Any Damage to the environment;
- Any Violation or deviation from rail or bus operating rules or standards; and,
- Any Railway occurrence (i.e. as defined by TSB Reg. 5.1)

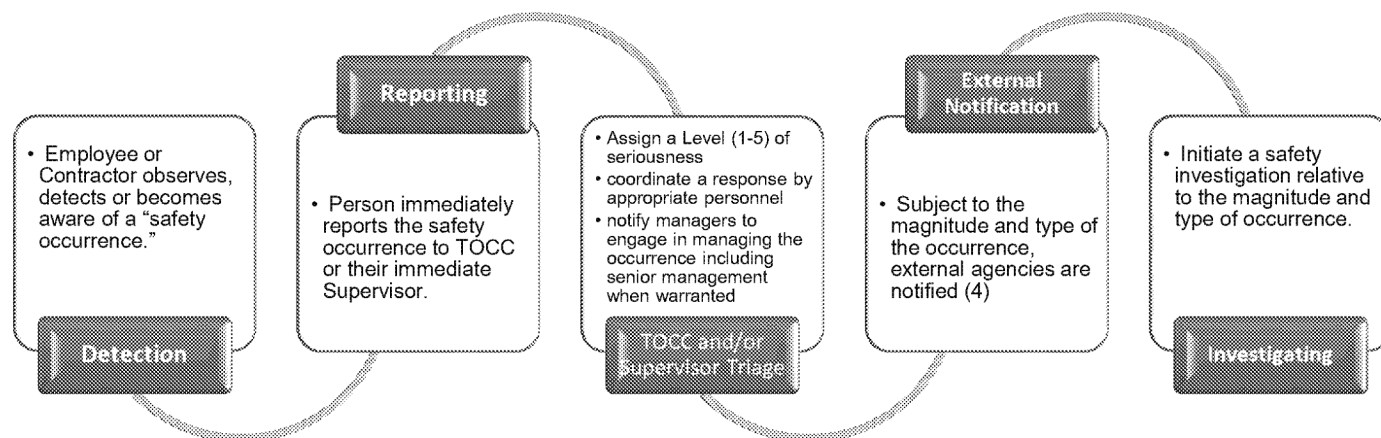
The following occurrences also **must be reported** if not already required under the previous circumstances:

- Fires or Explosions, including damage to a boiler or pressure device;
- Collision or derailment;
- Security incident or threat;
- Damage to, or injury arising from use of an elevating device, elevator or escalator; and,
- Structural collapse / failure.

### How are safety occurrences reported?

The process for reporting safety occurrences is described in the “**Accident and Incident Investigation and Reporting SOP**” (# OCT-S221-00-SOP).

The steps for reporting a safety occurrence are as follows:





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## How are safety occurrences reviewed?

Each safety occurrence is rated on a scale of one to five where one is “minor” and five is “extreme.” The scale for assessing an occurrence parallels the City of Ottawa’s scale as well as OC Transpo’s Risk Matrix (**SMS 2.4**)

The level of review and investigation for an occurrence is based on its assessed consequence (i.e. severity). The level of severity is also used to determine the requirement for a safety investigation and who will lead this activity. A safety investigation is focused on identifying root causes of a safety occurrence and opportunities for improving safety at OC Transpo. Steps for assessing the consequence rating for a safety occurrence and the safety investigation details are described in the *Accident and Incident Investigation and Reporting SOP* (OCT-S221-00-SOP).

Level	Nature of Response, Review and/or Investigation Required
Level 1	<ul style="list-style-type: none"> <li>Generally, no requirement for a safety investigation or reporting to an external agent<sup>4</sup></li> <li>Periodic<sup>5</sup> Summary report of applicable level-1 occurrences is available to WHSCs and PHSC and departmental management</li> <li>Safety Standards, Investigation &amp; Reporting Unit (SSIR) and or PHSC may recommend additional investigation based on the frequency of certain level-1 occurrences</li> </ul>
Level 2	<ul style="list-style-type: none"> <li>Supervisor led safety investigation</li> <li>Unlikely to require reporting to external agents: though possibly WSIB</li> <li>Periodic Summary report of applicable level-2 occurrences is available to SSIR, WHSCs and PHSC and departmental management</li> <li>Management, and/or PHSC may make additional recommendations and/or recommend additional investigation based on the frequency of certain level-2 occurrences</li> </ul>

<sup>4</sup> External Agents could include one or more of the following – WSIB; ESDC; TSB; TSSA; TC; MTO; MOL; other.

<sup>5</sup> In this SMS, “Periodic” means at least annually, though it could be more frequent reporting



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Level 3	<ul style="list-style-type: none"> <li>• Management led safety investigation, with SSIR assisting</li> <li>• Departmental Leadership Team (DLT) to be notified through TOCC and/or SDO</li> <li>• May require reporting to external agent(s)</li> <li>• Occurrence reports provided to departmental management and are available to WHSCs with appropriate personal information redacted</li> <li>• Periodic Summary report of level 3 occurrences provided to applicable WHSCs and PHSC, which may result in additional recommendations</li> </ul>
Level 4	<ul style="list-style-type: none"> <li>• SSIR as or on behalf of the CSO led safety investigation involving a team of persons from applicable areas and person(s) from applicable WHSC(s)</li> <li>• Service Command Centre may be required, along with escalation to DLT</li> <li>• May warrant DLT Decision Center and possibly City OEM notification</li> <li>• Almost certainly to require reporting to external agent(s)</li> <li>• Level-4 occurrence reports are available to all WHSCs, PHSC and departmental management with appropriate personal information redacted</li> <li>• Periodic summary report and progress of Corrective Action plans of level-4 occurrences provided to all WHSCs</li> <li>• Review of investigation report and Corrective Action Plan by PHSC, may result in further recommendations</li> </ul>
Level 5	<ul style="list-style-type: none"> <li>• May warrant investigation by external independent investigator as determined by City Manager; GM-TSD; or CSO</li> <li>• May also include or be limited to Safety, Regulatory, Training &amp; Development service area, (i.e. CSO) led safety investigation involving a team of persons from applicable areas and person(s) from applicable WHSC(s)</li> <li>• Immediate escalation to DLT and will warrant DLT Decision Center, and likely City OEM activation</li> <li>• Will require reporting to external agent(s)</li> <li>• Level-5 occurrence report are available to all WHSCs and departmental management: appropriate personal information redacted</li> <li>• Periodic summary report and progress of Corrective Action plans of level-5 occurrences provided to all WHSCs and PHSC</li> <li>• Review of investigation report and Corrective Action Plan by PHSC, may result in further recommendations</li> </ul>





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Note: dependent on the details of any specific safety occurrence, the City Manager; GM TSD; or CSO may recommend that a safety investigation be carried out by an external independent investigator.

### How do employees & contractors know their duties for reporting?

Employees and contractors must know and understand OC Transpo's requirements for reporting safety occurrences and they must report all safety occurrences. Contractors are informed of the reporting process during the contract development phase and operational bulletins.

### Responsibilities

**All Employees & Contractors** (i.e. all persons regardless of title) are responsible for:

- Being vigilant for safety occurrences and immediately reporting all incidents
- Accurately and honestly completing reports for all safety occurrences
- Cooperatively participating in all safety investigations

**Supervisors** are responsible for:

- Supporting all employees to report safety occurrences
- Accurately completing reports for all safety occurrences
- Cooperatively participating in all safety investigations

### Directors & Managers

**Directors and Managers are responsible for:**

- Ensuring that their employees and contractors are trained in the reporting requirements
- Ensuring all safety occurrences, safety investigations and corrective actions plans applicable to their area(s) of responsibility are reviewed and appropriate actions taken

**Chief Safety Officer** is responsible for:

- Assessing overall conformance with requirements for:



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- Completion of safety investigations
- Reviewing of safety occurrence reports, safety investigations and corrective action plans
- Reporting to external agents,
- Involvement of WHSCs and PHSC
- Providing periodic updates to the GM and Accountable Executive as to the effectiveness of the process for Managing Safety Occurrences

### General Manager

- Reviewing report(s) from the CSO on the effectiveness of the system for managing safety occurrences
- Subject to the nature of an occurrence or repeated occurrences call for an external investigation

### Accountable Executive

#### The Accountable Executive has responsibility for:

- Approving the process for managing occurrences
- Reviewing report(s) from the CSO on the effectiveness of the system for managing safety occurrences
- Subject to the nature of an occurrence or repeated occurrences call for an external independent investigation



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## 2.3 Identifying Safety Concerns

Analysis of safety incidents, occurrences and other data is an important element to the continuous improvement effort of OC Transpo's SMS. On a continual basis, the SSIR unit and/or the operational supervisory or managerial staff actively access and review a wide range of safety incident data. The data may be contained in a variety of reporting tools, depending on the service area or branch as well as the method of gathering the data. While not exhaustive, the following is a list of the reports and reporting items:

- Occurrence reports
- Transit operational inspections
- Daily operation logs
- Rail or service inspection reports
- Accident or incident reports
- Reports of injuries or damage
- Work refusals
- Occurrence reports
- Incident or accident reports from long-term contractors
- Reports of safety related complaints
- Passenger reports related to safe operations
- Annual reports, audits or performance assessments
- Annual reports from regulators or external agencies
- Reports of contraventions or safety hazards
- Reports generated by safety technologies

The procedure is for management, WHSCs, and/or SSIR to analyze the reports for common themes across the data and consider any evolving trends. The SSIR/RCQCA branch workplans may be updated to include these findings, as well as any internal assessments, audits and any trends or actionable items from audit recommendations.

A number of other datasets are also captured that may also be used to identify improvement opportunities. Reports and databases currently include but are not limited to:



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- WSIB occurrence monthly reports, including statistics associated with all employee occurrences and injuries
- Compliance/occurrence tracking log, including information on rule violations
- Collision tracking log, including information on all collisions
- Violence Against Transit Employees (VATE) reports
- Commercial Vehicle Operator Registration (CVOR) monthly reports, including collisions and inspection results
- CAD
- RiskMaster
- PHSC and WHSC reports/minutes
- Fleet and Facilities Maintenance defect reports, including information on the type of defect

## Reporting Hazards and Safety Issues

Employees are required to report to a supervisor directly or through the TOCC, anything in the workplace that is likely to be hazardous to the health and safety of themselves, other employees, customers, or visitors to the workplace.

Employees are responsible for choosing the most appropriate manner to report the hazard based on the circumstances. Hazards that may cause imminent harm must be communicated immediately by radio, phone or in person. Hazards that do not require an immediate response should be reported to a supervisor as soon as possible, either before or as the employee completes their shift, and can be communicated in writing (email or written form). If in doubt, assume the hazard could cause imminent harm and report it immediately.

In addition to reporting to a supervisor, employees who are authorized, trained and capable of controlling the hazard, are encouraged to take action to address or control the hazard to the extent possible based on the circumstances. It is important that employees who respond to a hazard directly, follow the same reporting process to enable the organization to track and learn from the incident for ongoing improvement and issue management.





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Whenever an employee is unsure about a concern, they should approach a supervisor, manager, union representative, or health and safety committee member for direction.

In the event of a reportable railway occurrence, employees or contractors must contact the TOCC immediately, who then interfaces with Rail Operations and SSIR. The occurrence is tracked in a log and reviewed to identify potential trends or recurring themes to determine if additional consideration, such as a safety review risk assessment should be undertaken. RCQCA are responsible for reporting any reportable railway occurrences to the TSB.

## Assessing Hazards and Safety Issues

When an employee reports a hazard or safety issue, the supervisor is responsible for responding as soon as possible to investigate the hazard or safety issue. The supervisor reviews the issue to further identify the possible cause, to assess the risk, and to determine appropriate control measures or corrective action(s). Supervisors may also involve Safety Coordinators, Workplace Health and Safety Committee or Policy Health and Safety Committee members in the investigation as appropriate. Investigation activities often include field-based evaluations of safety issues.

Based on the results of the assessment, the supervisor is then responsible for taking appropriate action to address the concern, or for escalating the concern to their supervisor or manager. The supervisor should escalate a hazard/safety concern for investigation and/or action based on criteria including but not limited to the following:

- A hazard/safety concern that if left unaddressed could result in a serious injury, damage or loss
- A hazard/safety concern that has been previously investigated and where the corrective action has not alleviated the concern
- An occurrence that is:
  - Similar in nature to a previous occurrence
  - Involves the same personnel

The nature of the safety concern or hazard may also prompt a formal risk assessment as described in section 2.4 *Risk Assessment Process*.



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## 2.4 Risk Assessment Process

Identifying and controlling risk is paramount to safety management. A critical input into the risk assessment process that will aid in determining the importance of changes to operations is the application of the data developed through the identification, and management of various safety occurrences.

Whether changes are driven by external events or internal analysis, completing a Risk Assessment is required any time OC Transpo considers planning and implementing changes:

- to operations, technology, maintenance plans or procedures;
  - to staffing levels or safety duties;
  - to vehicles or equipment;
  - to facilities and infrastructure, such as railway/ roadway work;
  - to the transportation of dangerous goods;
  - to those items discovered through a safety analysis related to safety concerns, trends or repetitive situations; and,
- when considering factors that also require a risk assessment based on the impact of the change.

OC Transpo's Risk Assessment process involves management working with the service area's subject matter experts to assess safety risks related to the change, with employees for input and consultation regarding the changes and with affected stakeholders to identify methods to mitigate risks.

The Risk Assessment process is documented to:

- identify the condition or initiating action that if changed, may result in a change in current risk exposure;
- detail the risk(s) and impact related to the change;
- analyze and evaluate each of the risks, considering both likelihood and impact the risks could cause to the people, property, operations or the environment;



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- rank the risk to determine if action is required prior to commencing the work, or if remedial action is required to lower the risk;
- identify the actions related to each risk; and,
- document and communicate the risk assessment findings, including any potential preventative or corrective action needed to the appropriate people.

## Method to Evaluate Risk Exposure

Each hazard has an element of risk. Once identified and understood, the hazard is evaluated and then assessed a qualitative measure of risk. Risks are assessed based on hard data such as organizational trends, previous events or past patterns, as well as soft data such as historical industry data and corporate experience or memory.

$$\text{Likelihood (Frequency)} \times \text{Impact (Severity)} = \text{Risk Exposure}$$

- **Likelihood** is the probability or potential frequency that an incident will occur within a specified parameter such as time period, location, and the granularity of the scale.
- **Impact** factors the potential harm that a hazard presents to a person, property, the environment or operations based on the severity of an incident resulting from the risk.

*Likelihood* and *Impact* levels are further described in the City of Ottawa risk rating criteria, located on the City internal website, under Hazard Identification and Risk Assessment (HIRA) pages on Ozone.

The level of risk exposure is determined by multiplying the frequency of the exposure by the severity of the potential consequence as shown in Figure 2-4.



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**Figure 2-4 Risk Exposure:**

			Impact / Severity				
			Minimal	Minor	Moderate	Major	Extreme
			1	2	3	4	5
Likelihood / Frequency	Almost Certain	5	5 - Moderate	10 - Medium	15 - High	20 - High	25 - High
	Likely	4	4 - Low	8 - Moderate	12 - Medium	16 - High	20 - High
	Possible	3	3 - Low	6 - Moderate	9 - Medium	12 - Medium	15 - High
	Unlikely	2	2 - Low	4 - Low	6 - Moderate	8 - Moderate	10 - Medium
	Rare	1	1 - Low	2 - Low	3 - Low	4 - Low	5 - Moderate

### Procedure for Ranking Risk

In identifying and ranking the level of risk exposure and the requirement for remedial action, management determines in consultation with subject matter experts, stakeholders, and the Chief Safety Officer as applicable, on a course of action. The options include:

- Accepting the risk;
- Acting to reduce the expected severity or frequency;
- Transferring the risk to others; and,
- Avoiding or eliminating the cause of the risk.

The following Figure 2-5 provides management with a guideline for determining whether to accept a risk or to develop remedial action and measures to control the risk.





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**Figure 2-5 Risk Decision Criteria:**

Risk Exposure	Risk Index	Risk Decision Criteria
High	15-25	Unacceptable – Requires a strategy
Medium	9-12	Undesirable – Must determine if control measure should be undertaken.
Moderate	5-8	Relatively Acceptable – Concern that if anything changes, situation could escalate.
Low	1-4	Acceptable
Eliminated	0	Risk has been eliminated

When a risk assessment is required, an employee at the Program level or above will lead the Risk Assessment. The risk assessment process outlines the proper information to be collected and analyzed.

In all instances there is consultation with the workers or the representatives that includes an outline of the consequences, as well as the actions being taken to eliminate or reduce the likelihood or severity of the risk or hazard.

Monitoring of risks may include daily reports, updates or work site inspections.

## Implementing Remedial Action

Transit Operations (bus or rail) and the service area management/supervisors who are involved in the risk assessment process will develop a risk control plan or a temporary operations procedure to ensure the risk and remedial actions are in place. When risks are identified that require remedial action, the manager develops a risk control plan in consultation with affected employees.

In developing the risk control plan, the manager develops a list of potential controls. These potential control measures are analyzed to predict their effectiveness in



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addressing the root cause of the hazard. The manager then selects the appropriate control(s) to be implemented. Precedence is given to controls in the following order:

- Eliminate the hazard;
- Substitute the hazard;
- Engineering control of the hazard;
- Administrative control of the hazard; and/or,
- Personal protective equipment to reduce exposure to the hazard.

The manager will allocate appropriate resources to ensure implementation of the controls and escalates any risk control plan that exceeds their authority to the Program Manager, Manager, Director or CSO to implement.

The manager consolidates all documents used to identify, assess, and determine which risks require remedial action in order to create a risk assessment report. The risk assessment template outlines the analysis of potential risk control measures and recommendations to implement specific control measures.

The risk control plan describes how the control measures are communicated to affected employees. The risk assessment templates include:

- A description of the condition that triggered the risk assessment;
- A description of the risks identified during the process;
- The factors that were taken into account during the assessment, including the potential impact on persons, property or the environment;
- The risk rating and an indication of the likelihood the risk will occur and the severity of its consequences;
- Identification of each risk that requires remedial action;
- The risk control plan; and,
- The results of monitoring activities and evaluation of the effectiveness of risk control measures.

The manager ensures that information about the risks and requisite remedial, preventive or corrective actions are communicated to affected employees, as well as ensuring the communication is documented and retained



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## 2.5 Scheduling

OC Transpo recognizes that most positions have important roles to play in ensuring the safety of passengers, employees and the public, and these positions are required to follow specific Fatigue Management principles. The Fatigue Management Plan (SC-02-PLN) was developed in collaboration with employee representatives to ensure that the principles of fatigue management science are incorporated into the scheduling of work for these employees.

The process with respect to scheduling is described in the Fatigue Management Plan. OC Transpo has invested in an advanced computer-based scheduling program to model, plan, schedule and implement a very complex set of service delivery requirements.

The work shifts are designed to comply with work-rest rules/hours of service and systems are in place to ensure that the booking employee does not inadvertently select work that would put them in non-compliance with the rules. The use of a shift booking method allows employees, based on seniority, to self-select their scheduled work. The booking process affords the employee a level of predictability and flexibility for choosing shift schedules.

During instances where there was not enough time between shifts, due to unforeseen emergency situations, adverse conditions, transitions from one booking period to the next, transition with daylight savings time, the supervisor/dispatcher/shift controller have the authority to delay the employee's start time of their next shift, in order to ensure there is an opportunity for adequate rest.

Employees who indicate they are fatigued or when a supervisor/dispatcher/shift controller observes that an employee may not be fit for duty, the employee is relieved of their responsibilities until the issue can be resolved and/or corrected.

Employees designated as occupying a safety critical/safety sensitive position are provided additional training including but not limited to the following topics:

- Sleep hygiene (personal habits, individual and age differences, etc.);
- Tips for good sleep habits;



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- The science behind fatigue management (circadian rhythms, health impacts, definitions of fatigue and alertness, sleep schedules, etc.);
- Sleep disorders;
- Sleep and performance (consequences of not getting enough sleep);
- Work/rest rule / hours of service; and,
- Reporting requirements (what to do if tired and/or unfit for duty).

The Fatigue Management Plan is designed to incorporate all components required under Transport Canada's Fatigue Management Plans Requirements and Assessment Guideline (2011) Components include:

- Risk Factors for Fatigue
- On-the-Job Alertness Strategies
- Employee work scheduling practices
- Supervision
- Training and education
- Dealing with emergencies
- Working under unusual operating conditions
- Rest environment
- Work environment
- Implementation
- Unique deadheading circumstances
- Evaluation of fatigue management mitigation measures

## Hours of Service and Work Rest Rules

Employees who operate or intend to operate a commercial vehicle must comply with the federal ***Commercial Vehicle Drivers Hours of Service Regulations***.

The regulations stipulate that employees must not accept work that will put them in non-compliance of the hours of service regulations. Management is responsible for providing staff with information about the hours of service regulations and for having processes in place to ensure that employees do not exceed their allowable hours. OC Transpo's operator booking processes involve work management systems or databases that monitor employee's compliance with hours of service or work-rest rules. The operator booking processes also ensure that all unscheduled work, work shifts available with less





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than 72 hours or work required beyond the normal schedule; excluding emergency work, is covered by staff who are in compliance with the hours of service rules.

Employees are responsible to actively participate in the process by tracking their time and advising their supervisor or manager of any conflicts. Employees must inform their supervisor or manager of any secondary employment or volunteer activities that fall under the hours of service regulations, and track their hours worked outside of OC Transpo to ensure compliance.

Additional support systems used to monitor compliance include records of hours worked. Violations to the *Commercial Vehicle Drivers Hours of Service Regulations* are immediately addressed with the employee.

The Line 1 employees and contractors who operate trains or rail traffic control are also identified as holding 'Safety Critical Positions' and must comply with associated work-rest rules. Employees in positions identified as Safety Critical have a number of additional regulatory 'fitness for work' requirements to lower the risk of incidents causing injury, harm or loss.

Where employees are able to transition from one safety critical/sensitive position to another (for example a bus operator to LRO), the most stringent work/rest-hours of service rules apply.

## Fitness for Work

Operators and Transit Fleet and Facilities Maintenance employees are required to successfully complete medical fitness assessments to maintain their drivers' license class. The Training & Development branch has an annual process to acquire driver's abstracts to confirm that employees have all required medical assessments and are maintaining their license to the required class.

Employees in safety critical positions for O-Train service are also required to undergo medical fitness for duty assessments prior to beginning work in these positions and periodically thereafter. Employees are required to advise their medical practitioner, including their optometrist that they hold a safety critical position.



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### Other Positions at OC Transpo

OC Transpo recognizes that many positions beyond vehicle operators and rail controllers play an important role in ensuring the safety of passengers, employees and the public. OC Transpo aims to ensure that all employees are well rested and fit to perform their duties. Mechanisms to achieve this objective include scheduling practices, employee supervision and training.

### Records

Records of training, medical, proficiency and other requirements for all Bus, Para Transpo and Rail operators, and for Transit Fleet and Facilities Maintenance employees are maintained as required. A list of all positions that are defined as Safety Critical Positions and employees who are qualified to serve in these positions is also maintained.

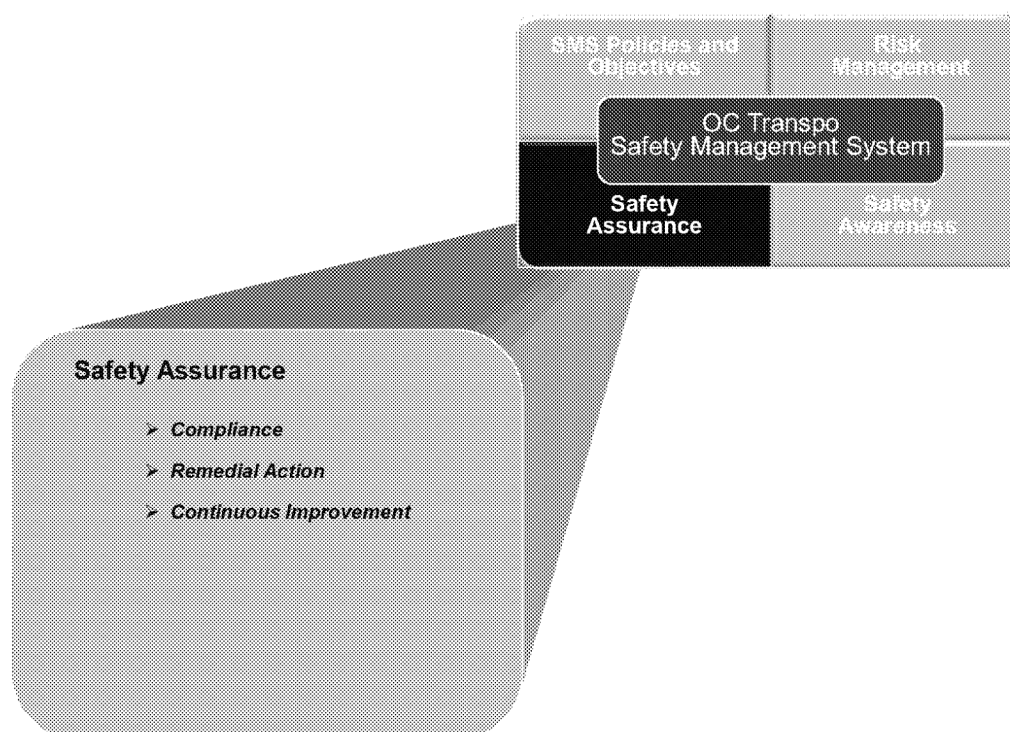
Finally, OC Transpo maintains records of compliance with *Commercial Vehicle Drivers Hours of Service Regulations* and how violations are addressed.

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### 3. Safety Assurance: Third Pillar

The third pillar of OC Transpo's Safety Management System is Safety Assurance. Safety Assurance involves the systematic and ongoing monitoring of OC Transpo safety environment and performance, as well as evaluating the safety management processes and practices. A systematic and ongoing approach to monitoring includes remaining current and compliant with regulations, implementing the safety processes, and evaluating organizational safety performance relative to the stated goals. Continuous improvement includes processes to complete various assessments and audits and integrating the findings into future work plans.

**Figure 3-1: SMS Pillar 3 – Safety Assurance:**





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## 3.1 Compliance

The Chief Safety Officer is responsible for the process of ensuring compliance with the regulations that govern OC Transpo operations. While continued compliance is mandatory, compliance itself is not the only reason OC Transpo is implementing an SMS. OC Transpo is fully dedicated to improving safety including outcomes sought by our various regulators.

OC Transpo is compliant with all regulations, rules and other instruments required by our regulators. The *List of Instruments* that is maintained by RCQCA as part of a regulatory requirement for Line 2, includes all safety related legislation, regulations, engineering standards, rules, notices, orders, directives and exemptions that apply to each specified OC Transpo operations. While the *List of Instruments* is a specific requirement for Line 2, the regulations are applicable to OC Transpo.

The *List of Instruments* is included in Appendix E. It is revised regularly and formally reviewed annually as OC Transpo identifies any new or revised regulatory instruments.

The internal procedure for updating the *List of Instruments* and verifying compliance is described below:

1. Compare current *List of Instruments* against those of the regulator(s), while confirming dates and version;
2. Identify new or updated instruments such as regulations, legislation, standards, rules, orders, etc.;
3. Identify what changes, if any, have been made by reviewing possible related information;
4. Assess the impacts of changes on OC Transpo's existing policies, procedures, manuals, training materials, operations, etc. and verify the impacts by speaking with internal subject matter experts, and/or external industry experts.;
5. Develop and document an action plan for compliance;
6. Implement the action plan for compliance;





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7. Update the *List of Instruments* and document demonstration/verification of compliance within the *List*; and,
8. Advise CSO and Director, Rail Operations to ensure updated material is included in any training and communications with affected staff undertaken.

Changes to the *List of Instruments* will be communicated with impacted employees.

## Monitoring Conformance and Compliance

All branches of OC Transpo are responsible for monitoring conformance and ensuring compliance with regulations, as identified in the *List*. This includes ensuring that instances of non-compliance are identified, documented, corrected and that corrective measures are monitored to ensure continued compliance. The manner in which the branches monitor conformance and compliance include but are not limited to the following:

- Maintaining records of compliance monitoring activities;
- Investigating all accidents, incidents, near misses, safety issues, or complaints;
- Identifying appropriate corrective actions where rule non-compliance has occurred and monitoring the implementation of corrective actions;
- Delivering safety training and/or communications to ensure that all employees: understand applicable rules, their purpose, and the consequences of non-compliance;
- Reviewing relevant training programs, procedures, documentation and communications to identify and recommend areas which may require clarification or revision;
- Conducting compliance audits and spot-checks; and,
- Conducting on-the-job training and proficiency tests.

In 2021, Rail Operations and RCQCA implemented the Line 1 Oversight Plan, that identifies key areas that will be monitored by OC Transpo. Oversight activities are being conducted internally within OC Transpo and externally with contractors, to assure



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compliance with regulatory requirements, the requirements specified in the Project Agreement, and internal OC Transpo requirements.

The Oversight Plan for Line 1 includes inspections, document reviews, monitoring and auditing of the Contractor performing services, and maintenance of Line 1, as well as OC Transpo's own internal compliance. The scope of their Oversight Plan includes safety and security, infrastructure, systems, vehicles, and maintenance elements included in the Project Agreement and/or the regulatory framework.

OC Transpo's contractors are responsible for monitoring compliance with the regulations, rules, standards and orders that apply to their employees. As part of OC Transpo's contract management plans, contractors are required to:

- Maintain records of all compliance investigations, tests, and audits performed including any variances observed; and,
- Ensure relevant training programs, procedure documentation and processes are in line with regulatory requirements.

Contractors must advise OC Transpo of reports of any non-compliance, conduct investigations and then make recommendations for corrective actions.



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Replaces:	30- October 2020	

## 3.2 Remedial Action

Imperative to assuring a safe workplace is determining the most effective ways to reduce risks of harm or damage. Once a risk or safety concern has been identified and the risk assessment is completed, the manager must determine the remedial action(s), to be implemented. The manager responsible will lead a review of the options to reduce the risk of the hazard, and develop a plan for implementing remedial action, including identifying a timeframe.

When risks are identified that will require a remedial action plan, the procedure requires the manager along with a risk assessment resource prioritize possible solutions based on the following risk control methods:

- Eliminating the hazard;
- Substituting the hazard;
- Engineering control of the hazard;
- Administrative control of the hazard; and/or,
- Personal Protective equipment to reduce exposure to the hazard.

The Determine Option to Control Risk procedure is described in the Risk Assessment template, where the manager will involve the subject matter experts, appropriate employee(s), WHSC and/or PHSC, in the process to develop the remedial action plan. In some instances, depending on the scope of the implementation plan, the manager may be required to escalate the plan.

## Process for Implementing Remedial Action

The process for implementing remedial action may involve different branches, therefore the manager must ensure communication of the plan to all involved. The manager involves the appropriate employees and stakeholders as best determined during the development of the remedial action plan, to implement the corrective actions.

Where the remedial action involves a change to a policy, a procedure, or other operations, the change will be implemented with supporting communications to all affected employees.



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In those circumstances where the remedial action is in response to a 'potential situation', such as equipment failure or emergency response, there is no way to measure effectiveness of the remedial action beyond practicing the response, similar to measuring a fire 'drill' for specific data.

As remedial action(s) are implemented, the manager enlists support from the members of the risk assessment team, or employees impacted by the action, to determine the specific measurement parameters and to establish a base line to monitor the effectiveness of the remedial action. For example, the remedial action of lowering speed limits (speeding is a risk and was identified as a safety concern) may be achieved by installing traffic calming measures.

## Evaluating Remedial Action

The supervisor and/or manager monitors the outcomes of implementing the remedial action and evaluates the impact of the remedial action in preventing a similar occurrence. For instances where the remedial action plan is only practiced or drilled with the employees, the manager and the employees involved will determine if other actions are required.

If the desired outcome has not been achieved, further action may be pursued, a risk assessment may be actioned, or the issue may be escalated through established reporting structures.

Communicating the risk assessment, along with the remedial action plan and a possible implementation timeline remains with the manager to ensure all employees are aware of the action and of the outcomes.

In support of continuous improvement, remedial actions that have effectively reduced the risk of injury, damage, or loss in one area of the organization will be considered for deployment in other areas.

## Documenting and Tracking Hazards

Presently, there are a number of branch or service area specific tracking logs in place for documenting and tracking hazards, including operational logs, CAD, customer complaint databases, inspection reports, and/or accident and occurrence investigation reports.





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Reported hazards are recorded in appropriate logs for tracking of the resolution and to support analysis of trends over time.

OC Transpo continues to develop a more consistent, organization-wide methodology to document and manage hazards and risks as well as monitoring remedial actions for all modes.

For instances where an uncertainty or safety matter was raised or initiated by an employee, the supervisor or manager will advise the employee how the matter will be or has been addressed. If the employee is not satisfied with the response, they may choose to escalate the matter through the *Internal Complaint Resolution Process* (part of OCT-S222-00-SOP Work Refusals Standard Operating Procedure in Appendix B *SMS Related Documents*) and bring the matter to the chair of their WHSC.



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## 3.3 Continuous Improvement

Continuous Improvement of the SMS business processes, and safe operations spans across all OC Transpo service areas and branches. The CSO retains responsibility for the implementation of the SMS at the organizational level as well as monitoring the progress.

The implementation of the SMS safety processes will enable all areas of the organization to improve safety outcomes. Monitoring the SMS progress and the overall goals of the SMS, specifically 'to achieve higher levels of safety', will require organizational participation including:

- Involvement of the bargaining units in SMS processes as described;
- Annual targets being established, monitored, and achieved;
- Procedures, plans and methods listed in the SMS be implemented; and,
- Reinforcement of the policy to ensure employees who report contraventions and safety hazards can do so without fear of reprisals.

The CSO is supported in the implementation and monitoring of the SMS by the Safety, Regulatory, Training & Development service area. Implementing, monitoring and improving the SMS processes will be jointly managed by both the Safety Standards, Investigation & Reporting (SSIR) unit, and the Regulatory Compliance, Quality Control & Assurance (RCQCA) unit.

The SSIR unit is involved in the safety processes and ensuring the procedures are in place and being followed as well as investigating occurrences. The RCQCA unit will be tasked with reviewing the progress of safety processes on a continual basis through performance monitoring, internal assessments and audits.

The Training & Development (T&D) unit provides support to the operational branches with the development and delivery of safety related training, as well as many job specific certifications and skills building.

The SSIR unit support of the SMS includes the following primary activities:



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- Ensuring communication and participation of employees about key aspects of the SMS, including the Safety Policy and the Policy to Report Contraventions and Safety Hazards without Fear of Reprisal;
- Ensuring that employees are aware of the responsibilities and procedures related to identifying hazards and safety issues;
- Ensuring risk assessments are completed, and that remedial actions are implemented and evaluated; and,
- Maintaining safety databases and monitoring safety performance relative to targets throughout the year.

The RCQCA unit will support the SMS implementation by:

- Monitoring compliance with regulations;
- Performing internal assessments and audits;
- Maintaining the *List of Instruments* and working with impacted areas to implement regulatory changes;
- Reviewing performance measurement for continuous improvement opportunities;
- Working with the SSIR unit to maintain safety databases and logs;
- Drafting annual reports;
- Implementing the Line 1 Oversight Plan; and,
- Assisting operational managers on how to improve processes.

Where deficiencies, disconnects or improvement opportunities are found during monitoring activities, the CSO will consult with the appropriate manager to ensure that:

- Analysis of the cause of any deficiency in the implementation of the SMS is explored;
- A corrective action plan to remedy those deficiencies is developed; and,
- Understand why the annual targets are not being achieved, addressed and resolved.

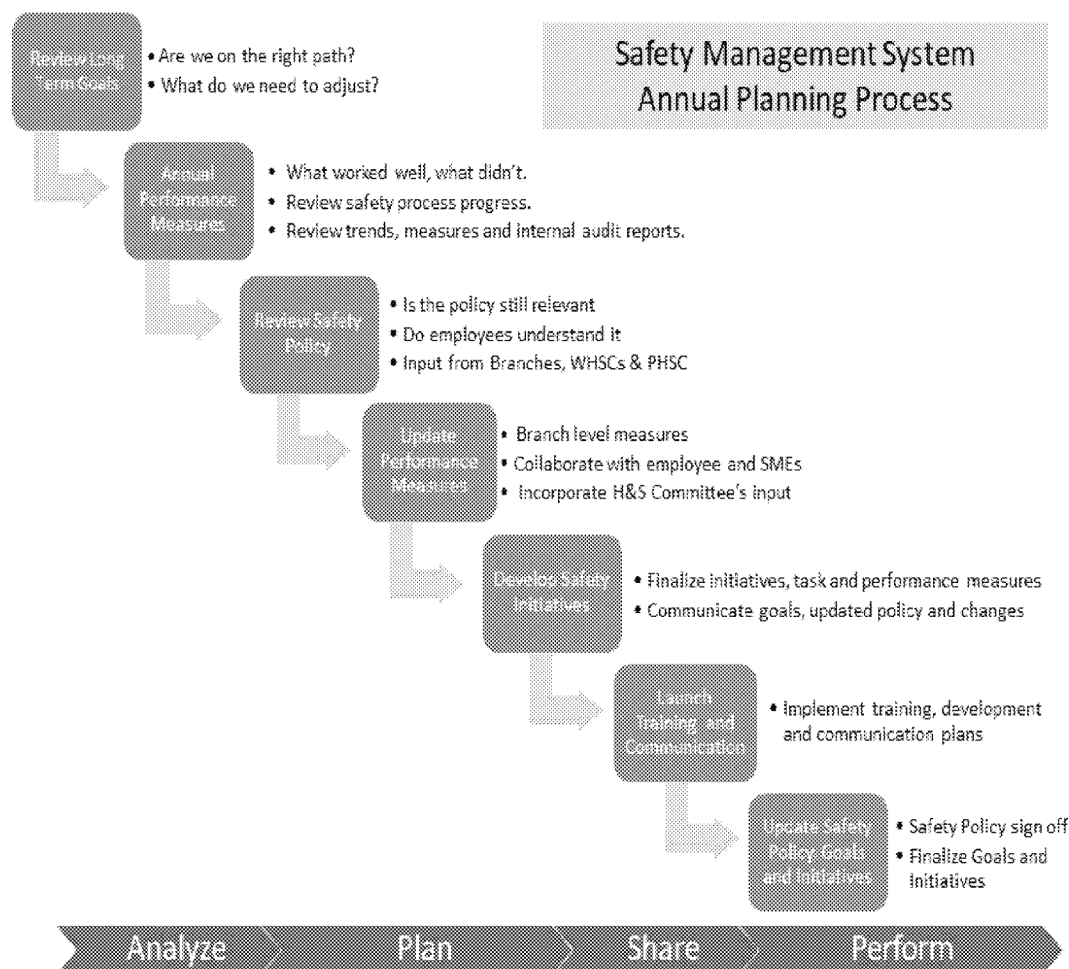
The pursuit of continuous improvement requires progress reviews be completed during the year and that outcomes of monitoring activities form the basis of an annual report.

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Included in the review would be any internal assessments, program measures or specific safety audits, as required.

Continual monitoring of performance data, including feedback from staff, complaints, incident reports, key performance measures and other data is captured throughout OC Transpo various operations. A year-end review forms the basis of the next year's annual planning process.

**Figure 3.4-1 is a model of the Annual Safety Planning Model:**







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## Reporting and Audits

Regular reporting and auditing activities as part of monitoring implementation of the SMS and evaluating its effectiveness. The CSO is responsible for ensuring the completion of the following reports and audits:

- OC Transpo SMS Annual Reports;
- Internal SMS audits as required by the *Railway Safety Management System Regulations, 2015*, in 2018 and every three years thereafter for Line 2; and independent SMS audits as required by the Delegation Agreement for Line 1, such as those completed in 2020 2021, and every three years thereafter; and,
- Internal audits and assessments.

## Annual Reporting

An annual report regulatory filing is required for both Line 1 and Line 2. The annual reports include a summary of the data, the conclusions determined through the analysis of the monitoring activities, as well as any problems discovered while in implementing the SMS procedures as well as:

- The manner in which the problems were resolved;
- The reason why a problem is not resolved; and,
- The effectiveness of the procedures plans and methods that contribute to OC Transpo's safety performance.

The CSO and the Director, Transit Operations will review the report and submit it to the GM TSD and to the City Manager. The City Manager shares the report with Transport Canada as required.

The report enables to the City Manager to be aware of the progress and the successes of the SMS, any issues identified, and OC Transpo is addressing them. all towards the goal of continuous improvement of safety.

## Internal Audit Plan

At a minimum interval of once every three years, the CSO will lead a formal audit of the complete SMS processes. A number of internal audits and assessments focused on



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specific processes, safety behaviors or initiatives may occur more frequently. An internal audit plan of each SMS process is outlined below where each process will be reviewed at least once in between the 3-year audit cycle.

The scope of the audit/assessment may cover any or all operational areas, depending on the trend data acquired since the previous audit. The RCQCA branch will lead the assessments and internal audits. The CSO will remain responsible for ensuring any remedial actions are developed in consultation with the staff involved and timely action plans are implemented.

Process	Lead(s)	Evaluation Criteria	Evaluation Method	Schedule
Accountability Process	CSO	Are accountability processes being followed	Review reports for evidence that those accountable are completing task as required	Bi-annually
Safety Policy and Review Process	SSIR RCQCA Transit Operations	Is the policy being reviewed, shared, published and updated? Are employee aware of what the policy says?	Review the documentation review H&S Committee minutes. Review communications and documentation.	Annually
Compliance Process	RCQCA Transit Operations	Review updates since last published.	Are the dates and updates complete? Are employee aware of changes that affect them?	Twice annually
Process for Managing Safety Occurrences	SSIR RCQCA Transit Operations	Review safety occurrence data and incident reports.	Review tracking logs and number of occurrences that are investigated compared to number that are closed.	Annually
Process to Identify Safety Concerns	SSIR RCQCA	Is the reporting process working in order to improve overall safety?	Review tracking logs and number of recurring safety issues to determine if	Annually



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Process	Lead(s)	Evaluation Criteria	Evaluation Method	Schedule
	Transit Operations		remedial actions are being implemented.	
Risk Assessment Process	SSIR Transit Operations	Is the risk assessment process being followed?	Review data on previous changes and number of recurring issues to determine if remedial actions are being implemented	Bi-annually and as required
Process for implementing and evaluating remedial action	SSIR RCQCA Transit Operations	Are Remedial actions being implemented as per the audit/report or recommendations?	Review progress of implementation of remedial actions as detailed in the report	Annually
Process for establishing targets and developing initiatives	SSIR RCQCA Transit Operations	Have targets been established? Are they being met? Are employees aware of the target and initiatives that pertain to them?	Are outcomes progressing or trending as expected against stated measures	Annually
Process for reporting contraventions	SSIR Transit Operations	Are contraventions being reported? Are there any indications of reprisals?	Review data and reports for evidence that contraventions are tracked. Survey employees to determine perception of reporting process	Annually
Process for managing knowledge	SSIR RCQCA	Have safety changes been incorporated? How has training requirements or processes been tracked?	Review data, documents and procedures to ensure updates are reflected.	Annually
Process with respect to Scheduling	Transit Operations	Are the rest rules being applied to all situations? Are shift extensions	Compliance audits, review data from operations to ensure compliance with	Bi-annually



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Process	Lead(s)	Evaluation Criteria	Evaluation Method	Schedule
	RCQCA	being properly recorded? Are all procedures being followed?	the Fatigue Management Plan, Hours of Service and Work Rest Rules	
Process for Continual Improvement	SSIR RCQCA Transit Operations	Are the monitoring activities being done across OC? Are managers reviewing progress against initiatives? Are annual reports complete? (include audit and remedial action outcomes)	Review logs and reports for completed activities. Review committee or working group meetings to determine progress on initiatives and implementation remedial actions	Quarterly
Process for implementing and evaluating remedial action	SSIR RCQCA Transit Operations	Are Remedial actions being implemented as per the report?	Review progress of implementation of remedial actions as detailed in the respective report or log	Quarterly

## Audit Report & Action Plan

With regards to regulatory audits, RCQCA will lead the development of an audit report prepared for the CSO and the GM TSD, which will include a corrective action plan based on the audit findings. The City Manager, as the Accountable Executive will receive the report and the action plan. The City Manager shares the report with Transport Canada as required.

In addition to the regulatory audits, for internal audits and assessments that are completed, a report and corrective actions will be developed for the CSO and Director, Transit Operations. Based on the findings from the audits, the CSO and/or RCQCA will collaborate with managers develop a continuous improvement plan that sets out the action to be taken to address each corrective action identified by the audit. These findings will form an input into the Annual Safety Plan process. The CSO and RCQCA





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will provide ongoing support and oversight regarding the implementation of the action plans.

### Records of SMS Reports and Audits

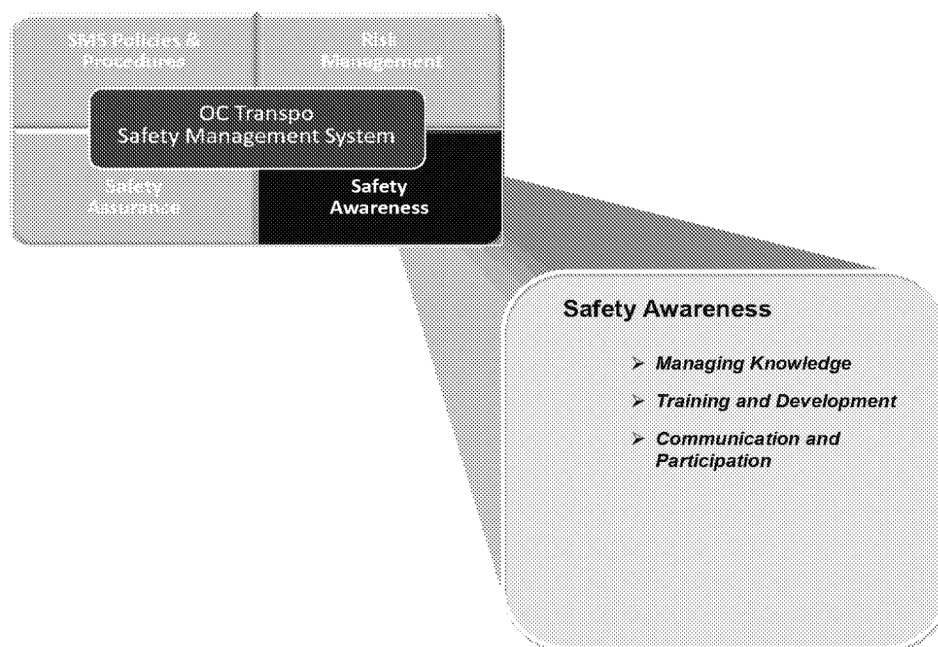
Records on the implementation of the SMS processes, annual reports, audit reports, corrective action plans, tracking logs, etc. are maintained by the respective areas within OC Transpo for a period of six years and, follow the requirements of the document management program and are submitted to the applicable regulator, when required.

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## 4. Safety Awareness: Fourth Pillar

Safety Awareness is the fourth pillar of the SMS. OC Transpo aims to increase organization-wide safety awareness through position-appropriate training, safety-related communication and employee participation in safety program development. These activities provide employees with an understanding of safety policies, procedures, and practices, and foster a commitment to improving the safety of our operations. Safety awareness communications and promotion activities have extended beyond internal audiences to include our customers and the public.

**Figure 4-1: SMS Pillar 4 – Safety Awareness:**





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## 4.1 Managing Knowledge

OC Transpo requires that all employees and contractors have the skills, qualifications and knowledge to perform their duties safely, regardless of what operational area they are employed. Visitors are also required to understand and follow all safety procedures for the areas they are visiting.

### Duties Essential to Safe Public Transit Operations

The duties that are essential to safe public transit operations include:

1. Safe operation of transit vehicles
  - including revenue, non-revenue and specialty vehicles
  - Trainers, Rail Operators, Controllers, Bus Operators, Maintainer Technicians, Facility and Fleet equipment operators
2. Proper maintenance of vehicles and equipment
  - Trainers, Maintainer technicians
3. Maintenance of transit infrastructure for employees and passengers
  - Maintainers, Engineers, Inspectors, Supervisors
4. Safe traffic management of rail and road vehicles
  - Rail Supervisors, Rail Controllers, Mobile Supervisors, Controllers, Rail Superintendent, TOCC Superintendents
5. Safety oversight and leadership
  - Directors, Chief Safety Officer, General Manager, Managers, Union Leadership, Policy & Workplace Health and Safety Committees

The positions responsible for ensuring that these duties are performed include operators, maintainers, trainers, supervisors and managers. Each person is selected following a consistent HR recruitment and selection process and retains the position through a demonstration of the knowledge, skills and other attributes required to perform the position.



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## 1. Safe Operation of Transit Vehicles

Duties	Positions	Knowledge	Skills	Certification(s)
Safe Operation of Transit Vehicle	Trainer	<ul style="list-style-type: none"> <li>• Safety policies &amp; procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Proper operation in various traffic situations and weather conditions</li> </ul>	<ul style="list-style-type: none"> <li>• Provincially granted Drivers Licence</li> </ul>
	Operator	<ul style="list-style-type: none"> <li>• Proper vehicle handling techniques</li> <li>• Customer communication procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Safe operation</li> <li>• Critical thinking</li> </ul>	<ul style="list-style-type: none"> <li>• Provincially granted trainer Classification</li> </ul>
	Rail Controller	<ul style="list-style-type: none"> <li>• Traffic Laws</li> <li>• Right of Ways</li> <li>• Track Authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Situational awareness</li> <li>• Supervise employees for safe operations</li> </ul>	<ul style="list-style-type: none"> <li>• CLOR/CROR Certified</li> <li>• OC Transpo operational certificate</li> </ul>
	Maintainer	<ul style="list-style-type: none"> <li>• Operating route</li> <li>• Operating rules</li> <li>• Awareness of daily safety updates</li> <li>• Emergency response protocol</li> <li>• Use of Radio codes and protocols</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to determine / identify locations on maps</li> <li>• Concise communication</li> <li>• Customer service</li> <li>• Radio use</li> <li>• Emergency response</li> </ul>	<ul style="list-style-type: none"> <li>• Training Program audit/ assessment</li> </ul>

### 1.1. On-Street services

- OC Transpo Trainers are certified by the MTO Driver Certification Program. The DCP allows OC Transpo to issue Ontario Driver's License Class upgrades when a candidate has successfully completed their training and demonstrated the proper practical application of the learning. Quebec residents must hold and retain a certified Provincial license with the proper designation. Vehicle specific training is provided internally OC Transpo trainers.
- Operators need the correct Class designation to qualify for the OC Transpo vehicle specific training, which includes the relevant laws, regulations, operating





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rules, safe driving techniques, emergency procedures, safe operation features of all vehicle types, as well as customer service and interaction skills. In addition to on-street training and coaching from OC Transpo's instructors, Para Transpo and conventional bus operators have access to a state-of-the-art driving simulator where instructors can introduce various driving situations. OC Transpo maintains a current record of all certifications.

- Maintainers are frequently required to operate transit vehicles. Maintainers must also attain the proper provincial Driver's License Class. OC Transpo provides ongoing training and current records of certification for Maintainers for any vehicle type they would be required to operate.

Anyone who operates any transit vehicle must retain the proper license class, and undergo regulatory updates, including, as required, medical certification, age-based recertification or post incident refresher training.

## 1.2. Rail Services

- Trainers are certified to instruct on the rail vehicles and in all aspects of the CROR/CLOR requirements.
- Operator candidates must first be able to demonstrate a clean driving record and multiple years of experience to be considered as an Electric Rail Operator (ERO) candidate. EROs complete an extensive training program that includes rail safety rules, technical training and hands on train operation within the rail training simulator. With competency achieved in the simulator, EROs are then provided with on-track training. On Track training operations are enhanced with operators observing each other and learning together with Rail Trainers. Trainers are also monitoring operator's application of their acquired knowledge and skills. EROs must pass a number of technical, theoretical and practical tests and demonstrate on a continual basis their application of the CLOR in order to continue in the position.



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## 2. Proper Maintenance of Transit Vehicles and Equipment

Duties	Positions	Knowledge	Skills	Certification(s)
Proper maintenance of vehicles and equipment	Trainer  Maintainer	<ul style="list-style-type: none"> <li>• Safety policies &amp; procedures</li> <li>• Vehicle safety systems</li> <li>• Proper Material handling</li> <li>• Proper vehicle /equipment handling techniques</li> <li>• Preventative maintenance techniques</li> <li>• Troubleshoot and repair techniques</li> <li>• Awareness of safety updates</li> <li>• WHMIS</li> </ul>	<ul style="list-style-type: none"> <li>• Adult learning styles</li> <li>• Proper operation in various weather conditions</li> <li>• Lesson planning and evaluation</li> <li>• Problem solving</li> <li>• Diagnostic of faults or defects</li> <li>• Record keeping</li> <li>• Emergency response</li> </ul>	<ul style="list-style-type: none"> <li>• Class level Mechanic License</li> <li>• Technical Trade certification</li> <li>• In-house equipment training /certification</li> <li>• OEM repair certification</li> <li>• Training program audit/ assessment</li> </ul> Certified by Rail Contractor  OEM vehicle certification  Professional trade designation

- Trainers at OC Transpo provide general safety information and training as well as working with original equipment manufactures and the Safety branch on the development and delivery of training programs, the safety courses include City specific safety information. Technical courseware is developed in concert with manufactures to ensure maintainers are provided the most up to date information. Trainers are qualified and where required certified on transit vehicles or components by the OEM.



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- Maintainers are provided extensive vehicle and ongoing training on the safety systems of the Transit road vehicles. In addition to organizational training such as hazard awareness and proper use of specialized equipment, such as forklifts, scissor-lifts, plow trucks and power tools.
- Rail Vehicle and equipment Maintainers are under contract to OC Transpo. The contractor is responsible for ensuring that all rail vehicle maintenance training on safety systems and proper safety practices are completed. OC Transpo will be provided safety reports on a consistent and ongoing basis detailing any safety issues and the resolutions made. Safety audits may be performed from time to time to ensure proper procedures are documented and followed.

### 3. Maintenance of Transit Infrastructure

Duties	Positions	Knowledge	Skills	Certification(s)
Maintenance of transit infrastructure	Maintainer  Inspector  Rail Supervisor  Engineer	<ul style="list-style-type: none"> <li>• Safety policies &amp; procedures</li> <li>• Proper use of tools and equipment</li> <li>• Technical standards</li> <li>• Rail or road inspection</li> <li>• Rail or road repair</li> <li>• Inspect or observe proper road signage</li> <li>• Inspect or observe proper switch operations</li> <li>• Inspect or observe proper diamond/ track alignment</li> </ul>	<ul style="list-style-type: none"> <li>• Critical thinking</li> <li>• Use of Diagnostic tools</li> <li>• Assessment of road/ civic works repair</li> <li>• Ability to determine / identify locations on maps</li> <li>• Assessment of rail equipment</li> <li>• Emergency response procedures</li> <li>• Supervise, observe and coach on safe operating procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Class level Mechanic License</li> <li>• Technical Trade certification</li> <li>• Professional level designation</li> <li>• CLOR/CROR Certifications</li> <li>• In-house equipment training /certification</li> <li>• OEM repair certification</li> </ul>

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		<ul style="list-style-type: none"> <li>• Track engineering standards</li> <li>• Daily safety updates/Kick off meeting</li> <li>• Proper vehicle /equipment handing techniques</li> <li>• Preventative maintenance techniques</li> <li>• Troubleshoot and repair techniques</li> <li>• Track authority procedures</li> <li>• WHMIS</li> </ul>		<p>Certified by Rail Maintenance Contractor</p> <p>OEM certification</p> <p>Professional Trade designation</p>
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- Maintenance of Transit infrastructure is an essential element to ensuring safe transit operations as well as overall public safety. Maintainers are required to perform regularly schedule maintenance as well as responding to any problem reports requesting further investigation. The transit way is a private road that is maintained on a service priority by the City of Ottawa, including patch, repair or new work. Bus stations and platforms are maintained by OC Facility Management.
- Supervisors are mobile and therefore can place a call into facility Management for any work or piece of infrastructure that needs to be examined or in need of repair. This would include public or Transit maintained access ways, park and rides, transit loops attached to O-Train stations and other OC properties. Supervisors are skilled and coached on how to direct and provide supervision to ensure employees perform the work safely.
- Engineering services within City of Ottawa reviews the Transit areas and infrastructure based on the life cycle schedule of repairs or sooner if required. For the rail service, engineering, infrastructure inspections, and repairs including all the stations, the guideway, the OCS, and the maintenance facility are to be performed and maintained by the contractor. Rail inspections are required under the contract

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with reports of any safety issues and the resolution of indicated issues provided to OC Transpo.

- Rail Inspectors carry out frequent inspections and evaluations of the railway, including the tracks, switches and rail control devices to ensure operational effectiveness.

#### 4. Safe Traffic Management

Duties	Positions	Knowledge	Skills	Certification(s)
Safe traffic management	Mobile Supervisor	<ul style="list-style-type: none"> <li>• Rail / road detour procedures and protocols for service continuity</li> </ul>	<ul style="list-style-type: none"> <li>• Operation of rail control functions in various and changing situations</li> </ul>	<ul style="list-style-type: none"> <li>• CLOR/CROR Certifications</li> <li>• CBTC Certified</li> <li>• In-house training /certification</li> </ul>
	TOCC Controller	<ul style="list-style-type: none"> <li>• Aware of planned work, detours or occupancies</li> </ul>	<ul style="list-style-type: none"> <li>• Proper procedures</li> <li>• Critical Thinking</li> <li>• Emergency Response procedures</li> </ul>	Certified by Rail Maintenance Contractor
	TOCC Super-Intendent	<ul style="list-style-type: none"> <li>• Safe operating reports</li> <li>• Ensure rail /road workers are protected</li> </ul>	<ul style="list-style-type: none"> <li>• Dealing with the public</li> </ul>	
	Rail Controller	<ul style="list-style-type: none"> <li>• Rail Operating Rules</li> <li>• Status reports of track/ train availability</li> </ul>	<ul style="list-style-type: none"> <li>• Triage and incident impact assessment</li> </ul>	OEM certification  Emergency response/ First Aid Certified
	Rail Supervisor	<ul style="list-style-type: none"> <li>• Inspect or observe proper switch operations</li> <li>• Work/rest rules</li> <li>• How to observe proper switch/</li> </ul>	<ul style="list-style-type: none"> <li>• Incident command communication</li> <li>• Directing staff during an emergency</li> <li>• Service impact assessment</li> </ul>	



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	Rail Super-intendent	track/ diamond alignment • City EMS support protocol • Incident command protocol • Traffic measures		
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#### 4.1. On-Street Service

- Transit Operations Control Centre provides an integrated overwatch of the delivery of all Transit services. The TOCC includes the communication centre for Bus service, Rail service, the Special Constable Unit, Customer Service as well as in-service fleet management.
- The Mobile supervisor works closely TOCC controllers to play integral roles in safe Transit operations as they manage a bus service that is frequently integrated with public traffic as well as Transit priority situations. During incidents that impact traffic flow, the mobile supervisors apply their knowledge and experience to each situation to supervise employees and ensure operations are safe, and the service continues as smoothly as possible.
- TOCC Controllers assist Mobile supervisors to ensure safe operations during service or traffic disruptions as well as communicating with bus operators to changing situations such as collisions, detours or public safety announcements. The Controllers are also monitoring is
- TOCC Superintendent is engaged in all modes of the Transit service. The superintendent ensures that Bus, Rail, Customer and SCU services are informed of situations as they develop. The TOCC Superintendent will also coordinate with other City partners such as traffic management, or Emergency Responders when required

#### 4.2. Rail Services

- Rail Controllers manage the movement of the trains across the network and are constantly monitoring train communications as well as system wide safety technologies. The advance tools available through the "Supervisory Control and



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Data Acquisition" technology enable controllers to monitor a large volume of safety systems. Controllers also manage all the guideway authorities and ensure safe and proper operational protection is in place.

- Rail Supervisors are available to support operators as well as the controllers to manage any impact due to service disruptions. Rail supervisors are connected to control and to operators via radio communications and deployed across to the network. Rail supervisors are also responsible for coaching and assessing Operators during regular service to ensure safe operations.
- Rail Superintendent is focused on the safe operations of the rail services, and supports the Rail Supervisors, Controllers and Operators in responding to service impacts. The Rail Superintendent will liaise with the TOCC Superintendent to resolve safety instances and to provide direction on rail issues during a large disruptions or emergency situations.

## 5. Safety Oversight, Compliance and Leadership

Duties	Positions	Knowledge	Skills	Certification(s)
Safety Oversight, Compliance and Leadership	City Manager	<ul style="list-style-type: none"> <li>• Safety Policy</li> </ul>	<ul style="list-style-type: none"> <li>• Communication</li> </ul>	<ul style="list-style-type: none"> <li>• Safety Certification</li> </ul>
	General Manager	<ul style="list-style-type: none"> <li>• Safety Objectives</li> <li>• Employee development</li> </ul>	<ul style="list-style-type: none"> <li>• Delegation</li> <li>• Managing people for success</li> </ul>	<ul style="list-style-type: none"> <li>• HR Certification</li> </ul>
	Chief Safety Officer	<ul style="list-style-type: none"> <li>• Employee supervision</li> <li>• Regulatory compliance</li> </ul>	<ul style="list-style-type: none"> <li>• Critical Thinking</li> <li>• Long Term Vision building</li> </ul>	<ul style="list-style-type: none"> <li>• Internal City Leadership development</li> </ul>
	Directors and Managers	<ul style="list-style-type: none"> <li>• Safety Management Principles</li> <li>• Visitor Protocol</li> </ul>	<ul style="list-style-type: none"> <li>• Organizational level goal setting</li> <li>• Audit practices</li> <li>• Safety Management Objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Some positions require a degree or advanced degree</li> </ul>
	Union Leadership	<ul style="list-style-type: none"> <li>• SMS planning development &amp; deployment</li> <li>• City EMS support protocol</li> </ul>	<ul style="list-style-type: none"> <li>• Developing Organizational Risk Assessment</li> <li>• Employee development</li> <li>• Regulatory compliance</li> </ul>	



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	PHSC & WHSC	<ul style="list-style-type: none"> <li>• Incident command protocol</li> <li>• Traffic measures</li> </ul>	• How to	
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- The City Manager endorses the safety policy and ensures that the audits and annual reports are compliant with the legislation and meets all the regulatory requirements.
- The General Manager oversees the implementation, measurement and reporting of the Safety Management System within the regulatory requirements.
- The Chief Safety Officer provides expertise, guidance and leadership through safety programs that contribute to improving the overall safety of OC Transpo operations, workplaces and service delivery.
- The Director, Transit Operations ensures that all Directors, Managers and Program Managers are properly qualified and supported in their safety plans, who are responsible for ensuring that their employees, contractors and visitors are knowledgeable, skilled and dutifully informed in safe operations.
- Union Leadership is an integral partner in the delivery of safe operations by promoting safe practices, actively participating in safety investigations, risk assessments and corrective action efforts.
- Policy and Workplace Health & Safety Committees are an essential element in creating safe workplaces through their active participation in the development of the safety policy, the resolution of safety items and in the communication of the Safety Management System goals.

### Visitors or Non-Employees

OC Transpo staff are responsible for the safety of any person they invite onto the property as described in the Visitors Protocol. This requirement extends to, and includes vendors, delivery persons, and family members picking up an employee.

Signage at all OC Transpo business sites, indicates that all visitors must sign in and report to the Supervisor, or to contact the person with whom they are meeting. The contact person ensures the visitor reaches their destination safely.

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#### OC Transpo Safety Management System





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Replaces:	30- October 2020	

Depending on the purpose and length of visit, staff who invited the visitor are responsible for:

- Ensuring visitors are aware of and bring appropriate personal protective equipment;
- Providing safety orientations/briefings which includes emergency procedures, evacuations, summoning assistance, and restricted areas;
- Fully supervising the visitor unless it is confirmed that the visitor has the knowledge, skills and qualifications to complete their duties without impacting the rail operations; and,
- Ensuring that a CROR qualified person escorts and monitors persons granted access to the ROW.

### **Method to Supervise Employees**

Program Managers review the work, reports, investigations and other safety related documents to ensure work is carried out correctly and completely. Employee supervision is performed throughout the organization, including observing the employees while performing work, directing employee on the work and responding to inquiries about safe work situations.

### **Method to Supervise Persons with Authorized Access**

The City of Ottawa, through the tender process, ensures contractors have the skills, qualification and knowledge to perform their work in a safe manner. They ensure potential contractors are informed prior to bidding on work of special requirements, limitations, or constraints regarding work on the railway.

For infrequent access or during emergency situations OC Transpo staff will direct or may escort the person as required.



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## 4.2 Training and Development

In creating and maintaining a safe working environment, OC Transpo employees are provided a variety of training and development opportunities and methods to ensure they can perform their duties safely.

OC Transpo has processes and methods in place to ensure training is accessible, effective and enables learners to understand the concepts and can assimilate the training material. As safety is built into every aspect of training, it is paramount that the curriculum is developed to address all learning styles. Accommodating people with different learning abilities, using principles of Adult Education, including English as a second language ensures a more complete understanding of the job, the skills needed to work safely and what responsibilities all employees share.

### Position-Specific Safety Training

The City of Ottawa provides new employees with general safety awareness training. Building on the city information, OC Transpo provides more in-depth formal safety training and development to employees as it relates to their position. This includes training regarding the safety policies, procedures, practices, and responsibilities related to the work they perform, as well as verification or testing of safety knowledge.

Appendix D provides an outline of the safety-related training modules that OC Transpo employees in different positions are required to complete.

### Updates to Training Programs

Training and Development reviews all of the training programs on a regular basis. Training programs are revamped to incorporate up-to-date curriculum design and education techniques that integrate best practices for adult learners.

Along with regular reviews, training modules are developed or updated as required in response to specific events such as the following:

- Changes in legislation and regulations;
- Changes in OC Transpo policies and procedures;



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- Introduction of new facilities, infrastructure, equipment or services;
- Feedback received from employees who recently attended training;
- Improvements discovered during internal process reviews, tabletop exercises or practice situations; and,
- Recommendations arising from investigations of accidents, incidents or occurrences.

Immediate changes in safety-related policies, procedures, or practices would also launch an organization-wide or targeted employee safety communication. This is further discussed in section 4.3 *Communication and Participation*.

## Training and Certification Records

All training and certification records are maintained for the length of an employee's career, and for a minimum of six years. Improved record management and access is one of the processes that is being planned for review.

Records can be requested through the Training and Development unit. Specific positions have different requirements related to their function and regulations. A list of safety training modules is provided in Appendix D.

## External Organizations

From time to time, based on circumstances, OC Transpo will collaborate with external organizations including service contractors or equipment manufactures regarding courses and content development.

## Long Term Service Contractors

All Long-Term Service Contractors are required to demonstrate that personnel are appropriately trained, and to maintain the proper records.



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Replaces:	30- October 2020	

## 4.3 Communication and Participation

### Communication

Communicating the purpose and components of the SMS to employees and other stakeholders is critical to the overall success of the SMS. Consultation and collaboration with employees in the improvement of OC Transpo's SMS is one of the foundational safety awareness pillars. OC Transpo uses a variety of communication tools to share key safety messages with employees and stakeholders from across the organization that includes, health and safety committees in the development and revision of safety policies, procedures, programs and processes.

### Communicating the SMS to Employees

There are certain components of the SMS that must be communicated to all employees. These include the following:

- OC Transpo's Safety Policy;
- OC Transpo goals, targets and safety initiatives; and,
- Policy and procedures to report safety hazards, contraventions and occurrences.

Revisions to the documents above are communicated to all employees on an annual basis or more frequently, as required, using the SMS Communication Process described below.

Changes to the SMS that impact specific service areas or employees must also be communicated. The communication is led by the affected area and based on the change and the impact, there may be a need to complete a risk assessment. Managers and Program Managers are responsible for these branch-specific communications with impacted employees, with support from SSIR as required. It is important that changes to safety policies or procedures be communicated to impacted employees in a timely manner.





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## SMS Communication Process

The CSO ensures that communication material regarding the changes to the SMS are shared with:

- The Policy Health and Safety Committee;
- The Workplace Health and Safety Committees;
- The Confederation Line Safety Committee;
- Safety, Regulatory, Training & Development staff; and,
- OC Transpo's Departmental Leadership Team (DLT).

Directors then disseminate the information to their staff in their respective service areas. Management will determine the most effective way to communicate with their employees and contractors the annual branch-specific targets and initiatives.

Communication records that capture the date, subject matter and manner of communication must be updated and retained, as per the requirements.

## Employee Participation

OC Transpo will involve employees in the development and revision of safety policies, procedures, programs and processes. In addition to the relevant subject matter experts, the appropriate workplace and/or policy health and safety committee(s) will also be consulted:

- When developing annual safety targets and initiatives, and when reviewing the safety policy;
- During the risk assessment process:
  - when identifying and implementing remedial actions
  - when evaluating the effectiveness of remedial actions
- During development, implementation, and monitoring of a hazard prevention program;
- When planning to implement any changes that might affect the health and safety of employees; and,



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- When developing, implementing, or monitoring health and safety policies, procedures or programs.

Collaboration with appropriate workplace and/or policy health and safety committee(s) is also required:

- In developing or revising a policy for reporting contraventions and safety hazards without fear of reprisal; and,
- In developing or revising a procedure for reporting contraventions and safety hazards.

Employee members of the WHSC are involved in the consultation and collaboration processes and are selected by their bargaining units to participate in safety-related activities on the bargaining unit's behalf.

Records are kept of these activities, including minutes of the applicable meetings. The chair or manager leading the consultation and collaboration effort is responsible for properly handling the meeting records, as per the document retention policies. Records should be available on request. The records include the date, subject matter, and location of pertinent health and safety committee meetings.

OC Transpo may use additional methods to include employees in the review and improvement of the SMS, where appropriate.

## Employee Safety Communications

Beyond SMS-specific communications, OC Transpo develops and delivers safety-related communications to employees across the organization on a regular basis. Communications may be linked to external or internal events, organizational changes, updates to Council/Transit Commission and seasonal changes that affect OC Transpo's service. Key messages are delivered using a variety of communication channels, such as Transpo Express, OCTV, Driver's Seat, bulletins, posters, shift kick-off meetings and emails.

Each year, the CSO will lead the development of annual safety communications. Managers and Program Managers will then deliver safety-related communications within



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their branch, regarding branch-specific or position-specific safety messages. Finally, changes to safety-related policies, procedures or practices that are required as a result of unplanned events such as accidents, incidents, collisions, or extreme weather events will be communicated with employees within a timely manner.

## Public Safety Communication

OC Transpo launched the 'Safe Travels' awareness campaign to communicate with customers and the public transit safety and security. The campaign provides safety and security tips regarding every step of the journey: planning a trip, waiting for service, boarding, riding and exiting OC Transpo vehicles. As discussed in section 2.2 *Managing Safety Occurrences* OC Transpo also has several mechanisms to receive feedback from customers, stakeholders and the public regarding safety and security concerns.



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## APPENDIX





Issue Date: 26-05-2021	<b>Appendix – A SMS Dictionary</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

## SMS Dictionary

Acronym or Term	Definition
<b>A</b>	
Accident	An unplanned event that results in harm to people, damage to property or loss to process.
AED - Automated External Defibrillator	Emergency device available in the secure public access areas
ATO - Automatic Train Operation	A mode of train operation where the CBTC system automatically regulates train speed and programmed movements.
ATPM-Automatic Train Protection, Manual	A mode of train operation where the CBTC system enforces safe train operation while the train is controlled by an electric rail operator.
ATS- Automatic Train Supervision	The automatic train control subsystem which monitors the status of the line and provides appropriate control to direct train operation.
ATU- Amalgamated Transit Union	Local Unions 279 and 1760. Bargaining agents for Conventional, Rail and Administrative staff.
Authority/Authorized	Having official permission to perform a specific job or complete a specific task
<b>B</b>	
<b>C</b>	
Certified	Official designation that proves the individual has the qualifications required to perform a specific job or task, along with supporting documentation
CBTC- Communication Based Train Control	The type of train control system to govern all controlled train movement.
CLC- Canada Labour Code	Canada Labour Code is the Legislation that governs certain workplaces and statues of labour regulations.
CLOR- Confederation Line Operating Rules	The mandatory operating rules that are in place for employees working or operating on the Confederation Line
CCOHS- Canadian Centre for Occupational Health and Safety	An independent departmental corporation accountable to Parliament through the Minister of Labour



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Acronym or Term	Definition
Collision	Contact between a moving vehicle and another vehicle, an object or a person
Control Centre	<i>*See definition under Transit Operations Control Centre</i>
Contravention	An action that violates a law, regulation, rule, treaty, or other statutory requirement
Confederation Line, Line 1	<i>*See definition under O-Train Confederation Line</i>
Corrective action	<i>*See Remedial Action</i>
CSO- Chief Safety Officer	Chief Safety Officer is accountable to the General Manager of Transportation Services for safety related items.
CROR- Capital Rail Operating Rules	The mandatory operating rules that are in place for employees working or operating on the Trillium Line
CVOR Commercial Motor Vehicle Operator Registration	Program developed by the Ministry of Transportation as part of Ontario's ongoing commitment to road safety
<b>D</b>	
Delegation Agreement	Transport Canada's formal Delegation Agreement for the Self-regulation of O-Train Line 1 Confederation Line.
Departmental Leadership Team	<i>*See OC Transpo Departmental Leadership Team</i>
DLT- Departmental Leadership Team	OC Transpo's leaders responsible for Transit within the Transportation Services Department
DMU- Diesel Multiple Unit	O-Train Trillium Line rolling stock/ rail equipment
<b>E</b>	
Emergency	A situation or an impending situation that constitutes a danger of major proportions that could result in serious harm to persons or substantial damage to property, and that is caused by forces of nature, a disease or other health risk, an accident, or an act whether intentional or otherwise.
ERC- Electric Rail Controller	Designated employee in a control room who is responsible and has authority for controlling main line, yard or maintenance train operations on Line 1, O-Train Confederation Line
ERO- Electric Rail Operator	Designated train operator with responsibility and authority to operate the Line 1 train, O-Train Confederation Line
EROI- Electric Rail Operations Instructor	Instructors provide O-Train Line 1, Confederation Line operational training and qualification.



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Acronym or Term	Definition
ESDC - Employment & Social Development Canada	Employment & Social Development Canada is the government department dealing with employment programs and enforcement.
<b>F</b>	
<b>G</b>	
GIDS - Guideway Intrusion Detection System	Guideway Intrusion Detection System alerts the rail control room of an intrusion at certain critical points along the guideway.
<b>H</b>	
Harm	A loss such as injury, damage, disruption of process, the impact of an accident or incident on a person, resulting in injury, occupational and/or psychological illness
Hazard	Any real or potential condition that can cause harm to people, damage to property, or loss to a process.
HIRA - Hazard Identification and Risk Assessments	A database and record system for tracking hazards and risk assessments.
<b>I</b>	
Incident	Unplanned and unwanted event that does not result in harm or loss but had the potential to (almost did) (see Near Miss); or, an act intended to cause harm, damage or loss, whether or not the act was successful.
Instruments	A general term that incorporates applicable Legislation, Regulations, Rules, Standards, Notices and Orders
<b>J</b>	
<b>K</b>	
<b>L</b>	
Lagging indicator	A performance measure that is outcome based, and indicates the results past actions or efforts.



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Acronym or Term	Definition
Leading indicator	A performance measure that is predictive of the potential outcome and can be influenced through different actions.
Likelihood	The chance, possibility, probability of frequency that an event will occur.
Line 1	<i>also see</i> O-Train Confederation Line, Line 1
Line 2	<i>also see</i> O-Train Trillium Line, Line 2
List of Instruments	List of all applicable Regulations, Rules, Standards, Notices and Orders
Long-Term Service Contractors	For the purpose of this SMS, Long-Term Service Contractors is a title used to describe: <ul style="list-style-type: none"> <li>• Rideau Transit Group/Rideau Transit Maintenance – long term maintenance contract for Confederation Line trains, infrastructure and systems;</li> <li>• Para Logistics – long term contractor for ParaTranspo providing accessible taxis and vans.</li> <li>• TransitNext is contracted for new Line 2 vehicle, maintenance and infrastructure.</li> <li>• EastWest Connectors- contracted for the Confederation Line 1 Extension</li> <li>• Rail Term – Previous track and signal maintenance and rail traffic control contract for the Trillium Line; and,</li> <li>• Bombardier – Previous maintenance contract for Trillium Line trains.</li> </ul>
Loss	A situation where there is an injury or damage to property.
LRO- Light Rail Operator	Operator of the O-Train Line 2 trains
<b>M</b>	
MOL- Ministry of Labour of Ontario	Ministry responsible for Labour process matters, and the WSIB program
MTO- Ministry of Transportation of Ontario	Ministry responsible for transportation including licencing and policing.
<b>N</b>	
Near miss	An event that has the potential to lead to an accident or occurrence.
Non-Compliance	Contravention of rules, standards or regulations
Non-Conformance	Failure to follow a practice, policy or procedure





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Acronym or Term	Definition
<b>O</b>	
OC Transpo	Corporate identification applicable to the public transit service component of the Transportation Service department of the City of Ottawa.
Occurrence	An occurrence is any event that requires a report to be made to OC Transpo supervision & management. (Accident, Incident, hazard or safety issue)
O-Train Confederation Line, Line 1	The electric light-rail passenger service that is owned by the City of Ottawa and operated through OC Transpo
O-Train Trillium Line, Line 2	The federally regulated light-rail passenger service owned by the City of Ottawa. Operations are suspended for Stage 2 construction.
OELRT- Ottawa Electric Light Rail Transit Regulations	City Manager designations of regulations, as directed in the Delegation Agreement from Transport Canada
OLRT- Ottawa Light Rail Transit	The name of the long term, multi-phase project to implement light rail transit in the City of Ottawa.
<b>P</b>	
PHSC- Policy Health and Safety Committee	OC Transpo Policy Health and Safety Committee acts on issues that are of a corporate level, and as support to the individual Workplace Health and Safety Committees.
PPE- Personal Protective Equipment	Employees are responsible to properly use and apply all personal protective equipment designated for their work, or task.
<b>Q</b>	
Qualified	Officially recognized as having successfully completed a training program required to perform a specific job or task
<b>R</b>	
Remedial action	The change made that is intended to correct or improve a situation, hazard or risk
Risk	An event or conditions that create uncertainty amid safe operations. Risks are measured by the likelihood (chance) of a hazard causing harm multiplied by the severity (impact) of harm if it materialized or occurred.
RMCO- Regulatory Monitor and Compliance Officer	The Regulatory Monitor and Compliance Officer will oversee compliance with Confederation Line, Line 1 regulations.



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Acronym or Term	Definition
RTC- Rail Traffic Control	The methods, tools and systems in place to safely manage the Trillium line rail traffic.
RTG- Rideau Transit Group	Consortium will design, construct and finance the Confederation Line
RTM- Rideau Transit Maintenance General Partnership	Is the operational entity contracted to maintain the Confederation Line property and equipment.
<b>S</b>	
Safety	The condition of being protected from harm and other undesirable outcomes.
Safety Concern	Any condition practice or violation that causes a substantial probability of - harm to a person(s); property damage/loss; and/or environmental impact
Scorecard	A method to quickly and easily display the current state of key business initiatives or performance measures
Severity	The extent or the impact of the harm associated with a hazard
SOP- Standard Operating Procedure	Standard operating procedures outline the proper way to complete a task or process
SMS- Safety Management System	The Safety Management System is a guiding document and action oriented framework designed to integrate safety and risk management in all day-to-day operations
Stage 2	Project to design, build, and maintain Line 2 Rail service extensions contracted with TransitNext and EastWestConnectors contractors.
<b>T</b>	
TC- Transport Canada	Federal Government department which develops regulations and policies for transportation
Threat	Any real or potential condition that can cause injury or death to passengers or employees or damage to or loss of transit equipment, property, and/or facilities.
TNext	TransitNext is the consortium awarded the design, build maintain contract for the expansion of Line 2
TOCC- Transit Operations Control Centre	Transit Operations Control Centre Monitors and responds to all modes of service, monitors operator communications via radio and supports passenger



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Acronym or Term	Definition
	and other emergency responses. The Transit Operations Control Centre is able to dispatch field support and other resources as required.
Transit DLT- OC Transpo Departmental Leadership Team	Departmental leadership team consists of the General Manager (Transportation Services), Manager and Strategic Advisor to the General Manager (Transportation Services), Director Transit Operations, Director Transit Operations-Rail, Director (Transit Customer Systems and Planning), Chief Safety Officer and Manager Business and Support Services (Transportation Services)
Transitway	An exclusive bus corridor providing rapid transit service across the City of Ottawa
Trillium Line, Line 2	<i>*See definition under O-Train Trillium Line</i>
TSB- Transportation Safety Board	Transportation Safety Board is the government agency that investigates safety occurrences involving rail transportation
TSSA- Technical Standards and Safety Authority	The Technical Standards and Safety Authority administers and enforces technical standards in Ontario.
<b>U</b>	
<b>V</b>	
VATE- Violence Against Transit Employees	Part of the Violence Prevention in the workplace program
<b>W</b>	
WHSC- Workplace Health and Safety Committee	Each work location has a local Workplace Health and Safety Committee to address site specific concerns
WSIB- Workplace Safety and Insurance Board	Agency within the Ministry of Ontario responsible for managing worker's compensation insurance
<b>X</b>	
<b>Y</b>	
<b>Z</b>	



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## Related Documents

OC Transpo SMS is supported by plans, procedures and other documents that are related components of the SMS and developed as separate documents.

## SMS Related Policies and Procedures

Document Name & Number	Responsible	Revision Date	Location
City Organizational Alignment	City Manager	Updated regularly through SAP	Ozone
Safety, Regulatory Training & Development Service Area	Chief Safety Officer	July 29-2020	Ozone
OC Transpo Safety Policy	City Manager	March 24 2020	Shared folder, Ozone
Transit By-law	City Manager	BY-LAW NO. 2007 - 268	Ozone
Ensuring Compliance with Regulations, Rules and Other Instruments, Documentation Review	Regulatory Compliance Quality Control & Assurance (RCQCA)	May 2021	Shared folder
Accident & Incident Investigation and Reporting: OCT-S221-00-SOP	Safety Standards Investigation and Reporting (SSIR)	April 16, 2021	Ozone Transit Services Business Practices Page
Enterprise Risk Management Policy	City Policy	Dec 15, 2016	Ozone
Risk Assessment Matrix procedure, process	Chief Safety Officer	Oct 20, 2018	Ozone Transit Service Business Practices Page (SMS Risk Management)
SMS Annual planning Process	Regulatory Compliance Quality Control & Assurance (RCQCA)	In draft	Shared folder
Authority to Operate City Vehicles and Mobile Equipment Policy	City Policy	May 23, 2014	Ozone
Corrective and Preventive Action TFM-Q005-01-SOP	Manager, Capital Projects & Facilities Management	Nov 30, 2011	Driver's Seat – SOPs; Ozone, Transit Services Business Practices Page
Confederation Line Operator Safety Plan, OTRC-Q206-00PLN	Chief Safety Officer	Jan 31 2019	Ozone
Employee Code of Conduct	City iLearn, City Policy	Sept 2016	Ozone
Security Awareness Training	City iLearn	Jan 2021	Ozone
General Safety Rules – Transit Facilities FMA-SP-001	Manager, Capital Projects & Facilities Management	Aug 23, 2010	Ozone, Transit Services Business Practices Page



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Document Name & Number	Responsible	Revision Date	Location
General Safety Rules – Transit Projects TPR-SP-001	Manager, Capital Projects & Facilities Management	Aug 23, 2010	Ozone, Transit Services Business Practices Page
General Safety Rules – TFM TFM-S007-01-SOP	Manager, Capital Projects & Facilities Management	Apr 08, 2014	Ozone, Transit Services Business Practices Page
Harassment in the Workplace Policy	City Policy	Nov 05, 2015	Ozone
Harassment in the Workplace Procedures	City SOP	Nov 26, 2013	Ozone
Hazard Prevention-Extreme Hot and Cold Temperature Conditions OCT-S200-00-SOP	SSIR	Jul 03, 2011	Driver's Seat – Operations; Transit Services Business Practices Page
Hazard Prevention Program OCT-S230-02-SOP	SSIR	Jun 10, 2013	Transit Services Business Practices Page
Notification of Elevator Service Disruptions OCT-Q101-00-SOP	Accessibility Specialist	May 04, 2018	Driver's Seat – SOPs; Transit Services Business Practices Page
ICCTP-Transit Supervisor Response to Collision TOPC-Q051-10-SOP	SSIR	Feb 14, 2017	Driver's Seat – Operations; Transit Services Business Practices Page
Picking Up, Disposing and Reporting of Needles, Crack Pipes and Sharps OCT-S302-00-WI	SSIR	Sep 19, 2012	Driver's Seat – Operations; Transit Services Business Practices Page
Railway Medical Rules for Positions Critical to Safe Railway Operations	Director, Rail Operations	TC Approved March 08, 2014	Capital Railway Light Rail Operator's Manual; Revised Oct. 14, 2015
Smoke Free Transit OCT-S200-00-POL	SSIR	Mar 05, 2012	Driver's Seat – Operations; Transit Services Business Practices Page
Tips for Interacting and Communicating with Customers with Disabilities OCT-Q001-00-SD	Accessibility Specialist	Jan 01, 2012	Driver's Seat – SOPs; Transit Services Business Practices Page
Transit Fleet & Facilities conducts Maintenance Monthly Safety Audits TFFM-S007-53-SOP	Manager, Fleet Maintenance	May 28, 2015	Transit Services Business Practices Page
Transit Services Evacuation and Emergency Procedures Plan: OCT-S202-01-SOP	SSIR	May 26, 2016	Transit Services Business Practices Page
Transit Services First Aid and AED Program: OCT-S220-00-WI	SSIR	Sep 17, 2013	Transit Services Business Practices Page
Violence in the Workplace Policy	City Policy	Nov 05, 2015	Ozone
Violence in the Workplace Procedures	City SOP	Nov 26, 2013	Ozone



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Document Name & Number	Responsible	Revision Date	Location
Violence Prevention in the Workplace Program: OCT-S206-00-SOP	SSIR	Feb 05, 2015	Transit Services Business Practices Page
Visitor's Protocol for Transit Services OCT-S223-00-SOP	SSIR	Sep 09, 2013	Driver's Seat – Operations
Work Refusals SOP OCT-S222-00-SOP	SSIR	Dec 01, 2015	Transit Services Business Practices Page
Work Rest Rules for Capital Railway	Director, Rail Operations	TC Approved July 20, 2011	Capital Railway Light Rail Operator's Manual; Revised Oct. 14, 2015; S: Light Rail/8. Regulatory Documentation/CROM

### SMS Related Forms

Form Name & Number	Responsible	Revision Date	Location
Declaration of Accountable Executive	Transport Canada Template	May 11, 2016	S: Light Rail/8. Regulatory

### SMS Related Plans

Plan Name & Number	Responsible	Revision Date	Location
Capital Railway Safety Management System	Director, Rail Operations	Mar 31, 2020	Transit Services Business Practices
Capital Railway's Description of Operations	Director, Rail Operations	Feb 25, 2017	Restricted; S: Light Rail/8. Regulatory Documentation/ Operating Plan
Security Management System	Chief Special Constable	Feb 22, 2019	Transit Service Business Practices/ Controlled Copy for Security Plan
Emergency Management Plan	Chief Safety Officer	May 4, 2016	Controlled Copy
Fire Safety Plans	Facilities Maintenance	Each building	At each building and selected stations
OC Transpo's Fatigue Management Plan	Chief Safety Officer	Apr 12, 2019	Transit Services Business Practices
Confederation Line Safety Management Committee - Terms of Reference	Chief Safety Officer	Jun 25, 2018	Transit Services Business Practices



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Issue Date: 26-05-2021	<b>Appendix – C List Of Processes</b>
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<b>5(a) a process for accountability</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Accountable Executive</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Signed Declaration filed with the Minister as per 8(1), (2), (3)	Declaration of Accountable Executive	Accountable Executive	May 11, 2016
Process for accountability as per 8(2), (3), (4), (5)	OC Transpo Safety Management System, Section 1.1	Chief Safety Officer	May 31, 2021

<b>5(b) a process with respect to a safety policy</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Accountable Executive</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Signed Safety Policy as per 9(1)	OC Transpo's SMS Section	Accountable Executive	Mar 10, 2021
Safety Policy Review Process as per 9(2)	OC Transpo's SMS, Section 1.2	Chief Safety Officer	May 20, 2021
Record of Factors considered for annual review as per 33(1)(a)	Annual Safety Policy Review – SMS Committee Meeting minutes	Chief Safety Officer	Mar 8, 2021



Issue Date: 26-05-2021	<b>Appendix – C List Of Processes</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(c) a process for ensuring compliance with regulations, rules and other instruments</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Procedure for reviewing and updating the list of instruments as per 11(a)	OC Transpo's SMS, Section 3.1 Compliance, – Procedure to Review and Update the List of Instruments	Coordinator, Regulatory Compliance: Regulatory Compliance, Quality Control & Assurance	May 20, 2021
Procedure for verifying compliance as per 11(b) (i) and 11(b) (ii)	OC Transpo's SMS, Section 3.1 - Procedure for Verifying Compliance & Section 8.4 – Strategies for Monitoring Compliance	Program Manager, Regulatory Compliance, Quality Control & Assurance	May 20, 2021
List of applicable regulations, rules, standards and orders as per 10(1)(a-f); 10(2), 10(3); 11(b)	OC Transpo's SMS – Appendix E – List of Instruments	Coordinator, Regulatory Compliance: Regulatory Compliance, Quality Control & Assurance	May 31, 2021





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Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(d) a process for managing railway occurrences</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Procedure for reporting Occurrences to management as per 12(1) (a) )	OC Transpo's SMS, Section 2.2 – Procedure for Managing Safety Occurrences (Accident & Incident Reporting SOP)	Program Manager Safety Standards, Investigations & Reporting	April 16, 2021
	Accident and Incident Investigation and Reporting SOP	Manager, Fleet & Facility Maintenance	April 16, 2021
	Reporting & Investigating Occurrences, SOP	Manager, Bus & Para Transit	April 16, 2021
	Radio Protocol for Line 1 TOCC Communications	Manager, Transit Operations Control Centre Chief Special Constable Director, Rail Operations	Sept 25, 2017 Aug, 29 2018
Procedure for reviewing safety occurrences as per 12(1)(b)	OC Transpo's SMS, Section 2.2 –Managing Safety Occurrences	Program Managers, Superintendents	April 16, 2021
Communicate Procedure to Employees as per 12(2)	OC Transpo's SMS, Section 4.3 – SMS Communicating and Participation	Program Managers, Superintendents	April 16, 2021



Issue Date: 26-05-2021	<b>Appendix – C List Of Processes</b>
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Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(e) a process for identifying safety concerns</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Conduct continual analysis to identify safety concerns, trends as per 13	OC Transpo's SMS, Section 2.3 – Identifying Safety Concerns	Program Manager, Operations Program Manager, Contracts	April 16, 2021
Procedure for conducting the analysis as per 14	OC Transpo's SMS, Section 2.3 – Procedure for Conducting an Analysis of Safety Concerns	Program Manager, Operations Program Manager, Contracts	April 16, 2021
Record of factors used and results of each analysis as per 33(1) (b); 36	OC Transpo's SMS, Section 2.3 – Identifying Safety Concerns	Program Manager, Safety Program Manager, Operations	April 16, 2021





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Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(f) a risk assessment process</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Criteria for conducting a risk assessment as per 15(1) (a) (b) (c)	OC Transpo's SMS, Section 2.4–Risk Assessment Process	Program Manger Safety, Manager, Fleet & Facility Maintenance Manager, Bus & Para Transit Manger, Transit Operations Control Centre Chief Special Constable Director, Rail Operations\	April 17, 2019
Risk Assessment process/components as per 15(2) (a-g)	OC Transpo's SMS, Section 2.4 – Risk Assessment Process		April 17, 2019
Procedure for identifying risks that require remedial action as per 17(a)	OC Transpo's SMS, Section 2.4 – Ranking Risk		April 17, 2019
A plan for consultation as per 16(1); 17(b); 34; 36	OC Transpo's SMS, Section 2.4 –Ranking Risk		April 17, 2019
A method for evaluating the level of risk as per 17(c)	OC Transpo's SMS, Section 2.4 – Method to Analyze Risk		April 17, 2019
Notify the Minister of proposed changes to railway operations; file risk assessment on request as per 38	OC Transpo's SMS, Section 2.4 – Risk Assessment Process	Chief Safety Officer	April 17, 2019



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Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(g) a process for implementing and evaluating remedial action</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Implement remedial actions as required as per 18(1)	OC Transpo's SMS, Section 2.4 – Risk Assessment Process	Program Manager Safety, Manager, Fleet & Facility Maintenance Manager, Bus & Para Transit Manger, Transit Operations Control Centre Chief Special Constable Director, Rail Operations	May 10, 2017
Procedure for selecting the remedial action to be implemented as per 20(a)	OC Transpo's SMS, Section 2.4 – Risk Assessment Process		May 10, 2017
Procedure for implementing the remedial action and evaluating its effectiveness as per 18(2); 20(b)	OC Transpo's SMS, Section 2.4 – Risk Assessment Process		May 10, 2017
A method for evaluating the level of risk as per 17(c).	OC Transpo's SMS, Section 2.4 – Risk Assessment Process		May 10, 2017
A plan for consultation as per 19; 20(c); 34; 36	OC Transpo's SMS, Section 2.4 – Risk Assessment Process		May 10, 2017
Consultation Record as per 34; 36	OC Transpo Communication records		As required
Communicating risks and remedial actions to employees as per 16(2)	OC Transpo's SMS, Section 2.4 – Risk Assessment Process	Program Manager Safety Program Manager Operations	As required
Communication Record as per 34; 36	Communications	Safety, Compliance Branch	As required





Issue Date: 26-05-2021	<b>Appendix – C List Of Processes</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

<b>5(h) a process for establishing targets and developing initiatives</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Establish targets designed to improve safety each calendar year as per 21(1)(a); 21(2)	OC Transpo's SMS, Section 1.3 Safety Objectives, Targets and Initiatives	Director Rail Operations, Program Manager Safety, Program Manager, Operations, Chief Special Constable	May 30, 2021
Develop safety initiatives to achieve each target each calendar year as per 21(b); 22	OC Transpo's SMS, Section 1.3 Safety Objectives, Targets and Initiatives	Director Rail Operations, Program Manager Safety, Program Manager, Operations, Chief Special Constable	May 30, 2021
Communicate targets and initiatives to employees as per 23	OC Transpo's SMS, Section 4.3 – Communication and Participation	Director Rail Operations, Program Manager Safety, Program Manager, Operations, Chief Special Constable	May 30, 2021
Communication Record as per 34; 36	Communications	Program Manager-Safety Standards, Investigation & Reporting Program Manager Regulatory Compliance,	May 30, 2021



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Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

		Quality Control & Assurance Branch	
File annual targets & initiatives, and written description & explanation of initiatives at request of Minister as per 37(b) (c)	OC Transpo's SMS, Section 1.3	Chief Safety Officer	May 30, 2021
	OC Transpo's Record of File to Minister	Program Manager Regulatory Compliance, Quality Control & Assurance Branch	May 30, 2021

<b>5(i) a process for reporting contraventions and safety hazards</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Procedure for reporting without fear of reprisal as per 24(1)	OC Transpo's SMS, Section 2.1 – Procedure for Reporting Contraventions and Safety Hazards	Program Manager-Safety Standards, Investigation & Reporting	April 17, 2019
Policy to protect employees from reprisals for reporting as per 24(2)	City of Ottawa - Employee Code of Conduct ("whistle blower" protection)	City Manager, City of Ottawa	Sept. 2014
	Violence Prevention in the Workplace Program, OCT-S206-00SOP	Chief Safety Officer	Feb. 5, 2015
Policy and procedure to be developed in collaboration with the bargaining unit as per 24(3)	OC Transpo's SMS, Section 4.3 – Communication and Participation	Program Manager, Safety	April 17, 2019





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Collaboration record as per 24(4); 34; 36	OC Transpo's SMS, Section 4.3 – Communication and Participation	Program Manager Regulatory Compliance, Quality Control & Assurance Branch	May 30, 2021
Communicate policy and procedure to employees	OC Transpo's SMS, Section 4.3 – Communication and Participation	Program Manager, Operations	April 17, 2019

<b>5(j) a process for managing knowledge</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Plan for ensuring that employees have the skills, qualifications and knowledge as per 27(a).	OC Transpo's SMS, Section 4.1 – Managing Knowledge	Director, Rail Operations Program Manager, Rail Training	May 30, 2021
Method for verification of skills, qualifications and knowledge as per 25(2) (3); 27(b)	OC Transpo's SMS, Section 4.1 – Managing Knowledge	Director, Rail Operations Program Manager, Rail Training	May 30, 2021
Method for supervising an employee as per 27(c)	OC Transpo's SMS, Section 4.1 – Managing Knowledge	Director, Rail Operations Program Manager, Rail Training	May 30, 2021
Method for verifying knowledge as per 26; 27(d)	OC Transpo's SMS, Section 4.1 – Managing Knowledge	Director, Rail Operations Program Manager, Rail Training	May 30, 2021



Issue Date: 26-05-2021	<b>Appendix – C List Of Processes</b>
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Establish a list of duties essential to railway operations; positions responsible for the performance of each duty; skills & qualifications required to perform each duty safely as per 25(1)	OC Transpo's SMS, Section 4.1 – Managing Knowledge	Director, Rail Operations Program Manager, Rail Training	May 30, 2021
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<b>5(k) a process with respect to scheduling</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Apply principles of fatigue science to scheduling as per 28(1)	OC Transpo's SMS, Section 2.5, Scheduling	Director Rail Operations. Program Manager, Operations	April 17, 2019
Method for applying principles of fatigue science as per 28(2)	OC Transpo's SMS, Section 2.5, Scheduling	Director Rail Operations, Program Manager, Operations	April 17, 2019
Communicating with employees as per 23(3)	OC Transpo's SMS, Section 4.3 – Communication and Participation	Program Manager Rail Training, Program Manager Operations	April 17, 2019
Communication Records as per 34; 36	OC Transpo's SMS, Section 4.3 – Communication and Participation	Program Manager Rail Training Program Manager, Operations	April 17, 2019





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Replaces: 15-Oct-2020	
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<b>5(l) a process for continual improvement of the safety management system</b>		<b>Designated position responsible for the process (if other than accountable executive)</b>	
		<b>Chief Safety Officer</b>	
<b>Procedure/Plan/Method</b>	<b>Title</b>	<b>Position Responsible for Procedure/Plan/Method</b>	<b>Date of last revision</b>
Monitor safety management system as per 29(1)(2)	OC Transpo's SMS, Section 3.3 Continuous Improvement	Chief Safety Officer	April 17, 2019
Prepare annual report as per 29(3)(4)	OC Transpo's SMS, Section 3.3 Continuous Improvement Annual Report	Chief Safety Officer	May 30, 2021
14Keep Records of Annual Report as per 35(c); 36 and File at the request of the Minister as per 37(d)	OC Transpo's SMS, Section 3.3 Continuous Improvement Annual Report	Chief Safety Officer	May 30, 2021
Develop audit plan as per 30(2)	OC Transpo's SMS, Section 3.3 Continuous Improvement, Internal Audit Plan	Chief Safety Officer	Oct 20, 2020
Conduct internal audit as per 30(1); 31(1)	OC Transpo's SMS, Section 3.3 Continuous Improvement, Internal Audit Plan	Chief Safety Officer	May 30, 2021
Develop action plan to correct deficiencies found in audit as per 32(1); 32(2)	OC Transpo's SMS, Section 3.3 Continuous Improvement, Audit Report and Action Plan	Chief Safety Officer	May 30, 2021
Keep records of the audit plan 35(d), the audit 35(e) and the action plan as per 35(f); 36; File most recent audit report with the Minister as per 37(e)	OC Transpo's SMS, Section 3.3 Continuous Improvement, Records	Chief Safety Officer	May 30, 2021
	OC Transpo's SMS, Section 3.3 Continuous Improvement, Internal Audit Plan	Chief Safety Officer	May 30, 2021



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Issue Date: 26-05-2021	<b>Appendix – D Safety Related Training</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

## Safety Related Training

	All Employees	Bus, Para Operator	Rail Operators	Rail Controller	Rail Supervisors	Fleet Maintenance	Facility Maintenance	Supervisor/Manager
Respectful Workplace	X							X
OHS Awareness	X							X
First Aid locations	X							
Emergency Plan and Procedures	X							
City Code of Conduct	X							
Employee Assistance Program (EAP)	X							
Workplace Wellness & Productivity Network	X							
Violence in the Workplace Policy & Program	X							
Harassment in the Workplace Policy & Program	X							
AODA Management Compliance								X
Leading a Diverse workforce								X
Driving for Safety and Service Excellence								
Safe driving protocols and procedures		X						
Cyclist, Pedestrian, other vehicle awareness		X						
Customer safety		X						
De-escalation Training		X						
Defensive Driving - Modules 1-7		X				X		
On Bus Coaching by Instructors		X				X		
Emergency Braking		X				X		
Driving in close quarters		X				X		
Transitway operations		X				X	X	
Emergency Procedures		X				X		
Assault prevention		X						



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Approved by: Brandon Richards, Chief Safety Officer	OC Transpo's Safety Management System

	All Employees	Bus, Para Operator	Rail Operators	Rail Controller	Rail Supervisors	Fleet Maintenance	Facility Maintenance	Supervisor/Manager
Security/Criminal/Terrorist activity		X						
Safety features for all vehicle types		X				X	X	
Transecure- Employee awareness & link to emergency services		X				X	X	
Pre-service Bus check		X						
Dangerous/Prohibited goods		X				X	X	
Disturbances		X						
Emergency Alarm Procedures		X						
Emergency Bus evacuation		X						
General Evacuation procedures	X	X						
Safe / Rail crossing procedure		X				X	X	
Hot and Cold Weather Procedures		X						
Passenger Assistance Alarm		X						
Emergency Reflectors for Disabled Vehicles		X				X	X	
Forklift operations						X	X	
Working at Heights Training						X	X	
Traffic Laws and Safe Driving		X				X	X	
On Board brake testing procedure						X		
Vehicle Inspection guide						X		
Road Tests		X				X		
Rules Readiness			X	X	X			
Track Authorities			X	X	X			
Railway Safety			X	X	X			
Radio & Communication Procedures			X	X	X			
Signs and signals			X	X	X			
OLRT Orientation Training			X	X	X			
Track Switches			X	X	X			
Manual Switch Manipulation			X		X			
Non Controlled Certification			X					



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	All Employees	Bus, Para Operator	Rail Operators	Rail Controller	Rail Supervisors	Fleet Maintenance	Facility Maintenance	Supervisor/Manager
CBCT Operations Training			X					
Vehicle Equipment Checklist			X		X			
Emergency Door Egress			X		X			
Emergency Procedures Training			X	X	X			
Emergency Technical Drill			X	X	X			





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Issue Date: 31-05-2021	<b>Appendix E - List of Instruments</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	Capital Railway, Trillium Line

## Capital Railway (Trillium Line) List of Instruments

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Issue Date: 31-05-2021	<b>Appendix E - List of Instruments</b>
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Approved by: Brandon Richards, Chief Safety Officer	<b>Capital Railway, Trillium Line</b>

## A- List of Instruments for Acts and regulations

The Following list of instruments include:

L=Act/Legislation; Reg=Regulation; Update = state the update of the current revision, NA Note = note on the non-applicability.

Title	Type	Comments – Subject Matter	Current Revision Date	Applicability of the revision to Capital Railway
<i>Canada Labour Code</i> , Part II, RSC 1985, c L-2 *(I-1)	L	Describes the duty of the employer and employees to ensure occupational health and safety, version of January 2021 added harassment and violence in the workplace and the Head of the committee took over some of the minister responsibilities.  <b>Update:</b> The May 19, 2021 version is the current version date. there is no actual change to the document Jan 1,2021  Changes of January 2021 considered by HR	May 19, 2021	Applicable
<i>Canada Transportation Act</i> , SC 1996, c 10 *(I-2)	L	Addition of more details about the Exemptions: section 6.6 to 6.8.  <b>Update:</b> The May 19, 2021 version is the current version date. there is no actual change to the document June 10,2020 <b>NA Note:</b> No change required	May 19, 2021	Not Applicable
<i>Canadian Environmental Protection Act, 1999</i> , SC 1999, c 33 *(I-3)	L	Legislation enabling regulations for environment protection.  <b>Update:</b> The May 19, 2021 version is the current version date. there is no actual change to the document since May 1, 2021 with List of Toxic Substances: repulsion of substance 110 and addition of substance 144. <b>NA Note:</b> No use of the substances updated on May 1, 2021	May 19, 2021	Not Applicable



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Approved by: Brandon Richards, Chief Safety Officer	<b>Capital Railway, Trillium Line</b>

<i>Canadian Transportation Accident Investigation and Safety Board Act</i> , SC 1989, c 3 *(I-4)	L	Creates a board to conduct independent investigations and when necessary, public inquiries into selected transportation occurrences in order to find cause & contributing factors, identify deficiencies and recommend corrective actions  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since August 28, 2019 Version with only the modification of the writing style not the information provided.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Non-smokers' Health Act</i> , RSC 1985, c 15 (4 <sup>th</sup> Supp) *(I-5)	L	Prohibits smoking in workspaces outside of designated area; includes cannabis use, smoking or vaping.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Oct 17, 2018.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Railway Safety Act</i> , RSC, 1985, c 32 (4 <sup>th</sup> Supp.) *(I-6)	L	Provide notice of railway works; requires Railway Operating Certificate; enables regulations  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Aug 28, 2019 Update of the name for the "Navigation Protection Act" to the "Canadian Navigable Waters".  <b>NA Note :</b> No passing in, on, over, under, through or across any navigable water.	May 19, 2021	Not Applicable
<i>Transportation Appeal Tribunal of Canada Act</i> , SC 2001, c 29 *(I-7)	L	Act enabling and describing the Transportation Appeal Tribunal  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since April 1, 2020 where the update is in the writing style not the information provided.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable





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Approved by: Brandon Richards, Chief Safety Officer	<b>Capital Railway, Trillium Line</b>

<i>Transportation of Dangerous Goods Act</i> , 1992, SC 1992, c 34 *(I-8)	L	Describes requirements for storage, handling, and emergency procedures <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Aug 28, 2019 update from "National Energy Board Act" to " Canadian Energy Regulator Act". <b>NA Note :</b> Capital Railway does not transport dangerous goods	May 19, 2021	Not Applicable
<i>Contraventions Act</i> , SC 1992, c 47 *(I-9)	L	Describes process and penalties for contraventions. <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Dec 18, 2019 Update with more details on the type of contraventions and writing style changes. <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Non-smokers' Health Regulations</i> , SOR/90-21 *(II-3)	Reg	Revision removes some previous exceptions allowing indoor/in vehicle designated smoking. <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Oct 25, 2007. <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Notice of Railway Works Regulation</i> SOR/91-103 *(II-4)	Reg	Requires provision of notice prior to commencing rail work. <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since March 22, 2006. <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>On Board Trains Occupational Health and Safety Regulations</i> SOR/87-184 *(II-5)	Reg	Describes duty of employer and employees to ensure occupational health and safety. <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Jan 1, 2021 update of exclusion of applicability of section 11 for harassment and violence. Writing style changes, repeal of section 15. <b>NA Note :</b> No change required	May 19, 2021	Not Applicable  No change required



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<i>Railway Employee Qualification Standards Regulations, SOR/87-150; CTC 1987-3 RAIL</i> *(II-6)	Reg	Regulations Respecting Qualification Standards for Locomotive Engineers, Transfer Hostlers, Conductors and Yard Foremen  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Railway Safety Appliance Standards Regulations, CRC, c 1171</i> *(II-9)	Reg	Describes construction standards for rolling stock and other railway equipment  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Railway Safety Management System Regulations, 2015, SOR/2015-26</i> *(II-10)	Reg	Requires development of 12 safety processes with corresponding plans, methods and procedures.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since April 1, 2015.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Transportation Safety Board Regulations, SOR/2014-37</i> *(II-13)	Reg	Defines railway occurrences, reporting of same; information required; and preservation of evidence.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Nov 23, 2018.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>General Order E-11; Wire Crossings and Proximities Regulations; CRC, c 1195</i> *(II-15)	Reg	Requirements to ensure construction & maintenance of wires, lines or other conductors do not unduly interfere or obstruct the operation of a railway line.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document.  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Contraventions Regulations, SOR/96-313</i> *(II-16)	Reg	Schedule X outlines fines that may be levied against persons entering land on which a line work is situated or failing to yield at road crossings.	May19, 2021	Not Applicable



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Approved by: Brandon Richards, Chief Safety Officer	<b>Capital Railway, Trillium Line</b>

		<p><b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since April 19, 2019.</p> <p><b>NA Note :</b> No change required</p>		
<i>Transportation Information Regulations, SOR/96-334</i> *(II-17)	Reg	<p>Revised requirements to report various safety statistics to the Minister, as per Schedule II of these regulations</p> <p><b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since Dec 15, 2019</p> <p><b>NA Note :</b> No change required</p>	May 19, 2021	Not Applicable
<i>Grade Crossing Regulations, SOR/2014-275</i> *(II-18)	Reg	<p>Sets out signage; warning systems; inspection, testing &amp; maintenance of warning systems; crossing surfaces; sightlines; design, construction &amp; maintenance of road approach; traffic controls; and information sharing requirements as per these regulations and Grade Crossing Standards.</p> <p><b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since March 1, 2019.</p> <p><b>NA Note :</b> No Grade crossing in capital railway line.</p>	May 19, 2021	Not Applicable
<i>Railway Operating Certificate Regulations, SOR/2014-258</i> *(II-19)	Reg	<p>Required to meet SMS 2015 regulations; outlines process and requirements to apply for a Railway Operating Certificate</p> <p><b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since April 1, 2019.</p> <p><b>NA Note :</b> No change required</p>	May 19, 2021	Not Applicable
<i>Railway Safety Administrative Monetary Penalties Regulations, SOR/2014-233</i> *(II-20)	Reg	<p>Individuals and corporations liable for violations of the Railway Safety Act, and/or related regulations, rules and/or orders.</p> <p><b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since March 29, 2016.</p> <p><b>NA Note :</b> No change required</p>	May 19, 2021	Not Applicable



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<i>Mining Near Lines of Railways Regulations, SOR/91-104</i> *(II-21)	Reg	Prohibits the construction, alteration or operation of a non-railway works in a manner that constitutes a threat to safe railway operations; Requires notification to conduct non-railway works within specified area of railways.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document. <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Policy Committees, Work Place Committees and Health and Safety Representatives Regulations, SOR/2015-164</i> *(II-23)	Reg	Regulation to replace repealed Safety & Health Committees and Representatives Regulations; Prescribes formation of committees, selection of members, role of chairpersons, vacancies, minutes, training and annual reports  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since June 25, 2019 <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Prevention and Control of Fires on Line Works Regulations, SOR/2016-317</i> (II-24)	Reg	Regulation replacing previous Rules for the Control and Prevention of Fires on Railway Rights-of-Way  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since March 1, 2019 No change required <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
<i>Railway Third Party Liability Insurance Coverage Regulations, SOR/96-337</i> *(II-26)	Reg	Describes the criteria for determining the adequacy of insurance coverage and requires the railway company to confirm to the CTA the contexts and risks of operations disclosed to the insurer.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since June 25, 2019 <b>NA Note :</b> Capital railway does not have a stationary bulk storage.	May 19, 2021	Not Applicable
<i>Flammable Liquids Bulk Storage Regulations C.R.C. c1148</i> *(II-27)	Reg	Outlines requirements for bulk storage of fuels;  <b>Update:</b> The May 19, 2021 version is the current version date. there is no actual	May 19, 2021	Not Applicable





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		change to the document since June 18, 2015. <b>NA Note :</b> not currently applicable to the Capital railway line.		
Railway Prevention of Electric Sparks Regulations, SOR/82-1015 *(II-22)	Reg – N/A	Prohibits transfer of flammable liquids or compressed flammable gases between a unit of railway stock and a stationary bulk storage facility; O-Train Trillium line is not involved in this activity.  <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since the last version  <b>NA Note :</b> No change required	May 19, 2021	Not Applicable
Transportation of Dangerous Goods by Rail Security Regulations SOR/2019-113 *(II-28)	Reg	Not currently applicable to CR; no transport of dangerous goods by rail. <b>Update :</b> The May 19, 2021 version is the current version date. there is no actual change to the document since May 06,2020  <b>NA Note :</b> No Dangerous goods are being transported via rail by Capital Railway	May 19, 2021	Not Applicable
<i>Locomotive Voice and Video Recorder Regulations, SOR/2020-178</i> *(II-29)	Reg	Applies to CR; CRs fleets of Alstom LINT and Stadler FLIRT DMUs will require installation of Locomotive Voice and Video Recorders (LVVRs).  <b>Update :</b> comes into force on Sept 2022, The current fleet is being updated to apply by the regulations, the change will be effective by the start of revenue service	May 19, 2021	Applicable

## B- List of Instruments for Rules, Standards, Directives, Ministerial Orders and Memorandum

The following list of instruments include:

RUL=Rule industry version; CR RUL = Rule with special instruction for Capital Railway; MO=Ministerial Order; MOU=Memorandum of Understanding (in lieu of legislation/regulation); PD=Decision/Directive; O=Order; Std= Standard; NA Note = note on the non-applicability.



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Title	Type	Comments – Subject Matter	Current Revision Date	Applicability of the revision to Capital Railway
Protective Direction No. 36 – Annual Designated Emergency Planning Official *(I-16)	D	Directive related to the transportation of dangerous goods to share appropriate information with Emergency Planning Officials;  <b>NA Note :</b> Capital Railway line is a passenger rail system that does not transport dangerous goods	July 28, 2016	Not Applicable
Protective Direction No. 37 – Top Fitting Protection for TC/DOT 111 Tank Cars *(I-17)	D	Directive outlining requirements for top-fitting protection for DOT-111 cars;  <b>NA Note :</b> Capital Railway line does not transport dangerous goods	June 6, 2016	Not Applicable
Protective Direction No. 38 – Phasing out of Jacketed and Unjacketed DOT -111 Tank Cars *(I-20)	D	Directive – advancing the date for phasing out DOT-111 cars from being used for the transporting certain dangerous goods;  <b>NA Note :</b> Capital Railway does not transport dangerous goods	Nov. 1, 2016	Not Applicable
Canadian Transportation Agency – Decision 2283-R-2007 *(I-10)	D	Certificate of Fitness #00002-5. Supersedes No. 00002-4.	May 4, 2020	Applicable
Memorandum of Understanding – Passenger Railway Security (Railway Association of Canada) *(I-11)	MOU	Requires CR to develop/maintain a security plan; report security issues; exercise plan; develop training & awareness; submit every three years or as required	Nov. 15, 2007	Applicable
Ministerial Order (MO) 16-01 – Cease using Rule 862.1 of the CROR *(1-18)	MO	Order from TC to remove Rule 862.1 from CROR;  <b>NA Note :</b> the Capital Railway CROR with special instructions did not allow the use of “follow-up” TOPs	June 15, 2016	Not Applicable
Ministerial Order 18-01 – Work-Rest Rules	MO	RAC ordered to review and revise work-rest rules to reflect current fatigue management science.  Rules are being revised and will be submitted by December 2021	Dec. 20, 2018	Applicable



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<i>Ministerial Order 19-03 – Securing train with handbrakes during EBA on grades</i>	MO	<p>Railways to apply handbrakes during an EBA on grades of 1.8% or greater.</p> <p><b>NA Note :</b> This order does not apply to Capital Railway. There are no grade differences of this magnitude on the Line and the fleet trains use a different braking system.</p>	Feb. 8, 2019	Not Applicable
<i>Ministerial Order 20-01 – Relevant Associations or Organizations</i>	MO	<p>RSA provides the Minister of Transport with authority to declare, by order, an association or organization to be a “relevant association or organization”, for the purposes of the RSA.</p> <p><b>NA Note :</b> No action is required by Capital Railway as it pertains to this MO. The relevant association or organization connected with CR is ATU 279, as listed in the MO.</p>	Jan. 8, 2020	Not Applicable
<i>Ministerial Order 20-02 – Key Train/Speed (Repealed)</i>	MO	<p>Pursuant to section 32.01 of the RSA, companies listed in Appendix A are ordered to not operate a Key Train at a speed that exceeds 20 miles per hour within Census Metropolitan Areas or, in all other locations, at a speed that exceeds 25 miles per hour.</p> <p><b>NA Note :</b> no transport of freight or dangerous goods.</p>	Feb. 6, 2020	Not Applicable
<i>Ministerial Order 20-03 – Key Trains Speed</i>	MO	<p>This order rescinds MO 20-02; MO 02-03 issued to reflect the risk factors identified that can impact the safety of trains transporting dangerous goods.</p> <p><b>NA Note :</b> no transport of freight or dangerous goods. Remains in effect until April 1, 2020.</p>	Feb. 15, 2020	Not Applicable
<i>Ministerial Order 20-04 – Passenger Health Check</i>	MO	<p>Extension of Health Check requirements to mitigate the transmission of Covid-19. The order pertains exclusively to federally regulated passenger railway companies, it only applies to passenger trains operating interprovincially or internationally.</p> <p><b>NA Note :</b> the line does not operate interprovincially or internationally.</p>	April 30, 2020	Not Applicable



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<i>Ministerial Order 20-06 – Rules Respecting Key Trains and Key Routes</i>	MO	<p>Pursuant to section 19(1)(a) of the RSA, railway companies and local railway companies are ordered to revise the Rules Respecting Key Trains and Key Routes based on an assessment of safety risks, and address the elements outlined in MO 20-05.</p> <p><b>NA Note :</b> no transport of freight or dangerous goods.</p>	April 1, 2020	Not Applicable
<i>Ministerial Order 20-07 – Rules Respecting Track Safety (TSR)</i>	MO	<p>RSA provides the Minister of Transport with authority to revise the TSR. This revision process will be led by the Railway Association of Canada.</p> <p>An update to the rules will be provided by the start of the revenue service</p>	April 1, 2020	Applicable
<i>Ministerial Order 20-09 – Revising CROR to Incorporate Provisions Governing Switching Operations</i>	MO	Capital railway is updating the CROR with special instruction to include the rules that are applicable.	Sep. 29, 2020	Applicable
<i>Ministerial Order 20-05 – Key Train Speed Restrictions</i>	MO	<p>The order pertains to speed restrictions, requirement for continuous welded rail joint management, and requirements regarding installation or replacement rail.</p> <p><b>NA Note :</b> no transport of freight or dangerous goods.</p>	April 1, 2020	Not Applicable
<i>Ministerial Order 20-08 – Reporting and Procedures on Emergency Brake Applications</i>	MO	<p>Reporting of emergency brake applications to the Minister of Transport. Not applicable to CR; no heavy or mountain grades on CR territory, presently or with the expanded service.</p> <p>TC is requiring all railway companies and local railway companies to revise the CROR to incorporate provisions governing switching operations, this rule will be revised and if applicable will be updated in the Capital railway CROR on December 2021.</p>	June 24, 2020	Applicable





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Ministerial Order 21-03 – Repeal of orders 19-02, 19-03 and 19-04,	MO	<p>The repeal of the ministerial orders 19-02, 19-03 and 19-04, effective immediately.</p> <p><b>NA Note :</b> The ministerial orders in question and Rule 66 of the CROR industry version do not apply to Capital Railway</p>	April 16, 2021	Not Applicable
<i>Ministerial Order 21-01– Prevent Accidents Caused by the Unintentional Release of the Air Brakes</i>	MO	<p><i>A set of directives to Prevent Accidents Caused by the Unintentional Release of the Air Brakes.</i></p> <p>Capital railway fleet has mechanical brakes, non the less, the update of the rules will be taken into consideration in Capital Railway CROR with special instruction once the text of the rule is available by RAC.</p>	March 11,2021	Applicable
<i>Ministerial Order 21-02 Requirement for revisions to the Railway Locomotive Inspection and Safety Rules and CROR for locomotives with roll-away protection</i>	MO	<p>Revision requirement for Railway Locomotive Inspection and Safety Rules and CROR for locomotives with roll-away protection.</p> <p>No roll away system in the Capital Railway Fleet, the update and definition will be taken into consideration in the update of Capital railway CROR with special instruction.</p>	March 11,2021	Applicable
<i>Protective Direction No. 39 – TDG regulatory standards for tank cars</i>	PD	<p><b>NA Note :</b> Not applicable to Capital Railway Line which does not transport dangerous goods and does not own or plan to own tank cars</p>	Aug. 28, 2018	Not Applicable
<i>Capital Railway – Diesel Multiple Units Inspection and Safety Rules *(III-2)</i>	CR RUL	<p>Outlines safety inspections, pre-departure inspections, safety design, and defects requiring removal from service.</p> <p>An update is being drafted and will be available by the end of 2021</p>	Oct. 28, 2013	Applicable
<i>Capital Railway – Railway Equipment Reflectorization Rules *(III-3)</i>	CR RUL	<p>Describes the minimum standards for the application of reflective material on railway equipment</p> <p>Capital Railway is voluntarily complying with this rule since December 3, 2019, which became effective on other railways under</p>	Dec. 9, 2019	Applicable



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		federal jurisdiction in Canada on July 19, 2006.		
<i>Capital Railway - Canadian Rail Operating Rules (CROR) with Special Instructions</i>  *(III-4)	CR RUL	Revised rules approved for use on Trillium line by Oct. 14, 2015; closely aligns with CROR  Next update to reflect upcoming transport Canada version and expended Capital Railway service and will be available by the December of 2021	Oct. 14, 2015	Applicable
<i>Canadian Rail Operating Rules (CROR)</i>  *(III-4)	RUL	Revised CROR industry rules approved for use on federally regulated railways June 24, 2020;  Capital Railway uses its own version of CROR with special instructions that's being updated to include the industry changes	June 24, 2020	Applicable
<i>Railway Freight and Passenger Train Brake Inspection and Safety Rules</i>  *(III-6)	RUL	Describes requirements for brake and safety inspections	Nov. 17, 2017	Applicable
<i>Railway Passenger Car Inspection &amp; Safety Rules (TC O-0-26)</i>	RUL	These rules prescribe the minimum safety standards for passenger cars operated by railway companies in trains at speeds not exceeding 125 mph (200 km/h) subject to the jurisdiction of the Railway Safety Act as administered by the Department of Transport.  The applicable rules are included in Capital railway- DMU inspection rules	Nov. 8, 2001	Applicable
<i>Railway Medical Rules for Positions Critical to Safe Railway Operations (TC O-0-68, December 22, 2006)</i> *(III-7)	RUL	Approved for Capital Railway use by March 8, 2013; describes medical requirements for persons holding safety critical positions	March 8, 2013	Applicable



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<i>Railway Passenger Handling Safety Rules</i> (TC O-016) *(III-8)	RUL	RAC Circular approved March 31, 2000; approved for Capital Railway March 5, 2001; requires passenger handling safety plans; passenger awareness program; personnel training/qualifications	March 5, 2021	Applicable
<i>Railway Rules Governing Safety Critical Positions</i> (TC O-0-17) *(III-9) RAC – June 16, 2000	RUL	RAC Circular approved June 16, 2000; approved for Capital Railway on March 5, 2001. Requires list of all safety critical positions and list all employees qualified/holding a safety critical position	March 5, 2001	Applicable
<i>Rules for the Installation, Inspection and Testing of Air Reservoirs (Other than on Locomotives)</i> *(III-12) RAC Dec. 5, 1994	RUL	Standards for the installation, inspection, testing, reporting, and telltale drilling of air reservoirs Effective December 5, 1994 accepted for Capital Railway on March 2001	March 5, 2001	Applicable
<i>Rules Respecting Track Safety</i> (TC E-54) *(III-14)	RUL	Approved November 25, 2011, effective May 25, 2012  Rules prescribe minimum safety requirements for standard gauge railway track; limits of certain track conditions in isolation and in combination	May 25, 2012	Applicable
<i>Work/Rest Rules for Capital Railway</i> *(III-17)	CR RUL	Applied to persons holding safety critical positions, LROs & RTCs  An updated draft of the duty and rest rules will be available by December 2021, to include the industry version modifications	July 20, 2011	Applicable
<i>Duty and Rest Period Rules for Railway Operations Employees (industry version)</i>	RUL	These Rules define the requirements related to the hours of work and rest periods for employees who are in positions designated critical to safe railway operations and are defined as employees in this rule.  The update will be included in Capital railway version update.	November 25, 2020	Applicable
<i>Rules Respecting Minimum Qualification Standards for Railway Employees</i> *(III-20)	RUL	Approved June 23, 2009, but not in effect until the repeal of the <i>Railway Employee Qualification Standards Regulations</i>  <b>NA Note : Not in effect by TC</b>	June 23, 2009	Not Applicable



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Railway Equipment Reflectorization Rules *(III-3)	RUL	Capital Railway is voluntarily complying with this rule since December 3, 2019, which became effective on other railways under federal jurisdiction in Canada on July 19, 2006.	July 19, 2006	Applicable
Railway Locomotive Inspection and Safety Rules *(III-23)	RUL	Rules included in the DMU inspection rules for Capital Railway.	July 3, 2015	Applicable
Rules Respecting Key Trains and Key Routes	RUL	These Rules are for key trains and Key routes that permit the movement of dangerous goods.  <b>NA Note :</b> Does not apply to Capital Railway as no dangerous good is transported.	Feb. 22, 2021	Not Applicable
Engineering Standards for "Walk Light" Grade Crossing Warning Systems ( TC E-52, October 28th, 2010) *(III-19)	Std	Requires crossing assessment to ensure standard is only used at restricted crossings where there is control over the actual crossing users;  <b>NA Note :</b> No restricted crossings currently along Capital Railway line right-of-way	Oct. 28, 2010	Not Applicable
Railway Signal and Traffic Control Systems Standards (TC E-17, June 4, 2007) *(III-10)	Std	Requires that railway signal and traffic control systems are installed, modified and maintained in a safe manner.  Taken into account in the Signal and Traffic Control Systems Standards	June 4, 2007	Applicable
Standards Respecting Pipeline Crossings Under Railways (RAC – June 21, 2000) *(III-15)	Std	Sets minimum standards for installing and maintaining pipelines under railways including oil and gas, sewer, steam, water and other non-flammable substances Effective June 21, 2000 accepted for Capital Railway on May 10, 2001	May 10, 2001	Applicable





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<i>Standard Respecting Railway Clearances</i> (RAC – May 14, 1992) *(III-16)	Std	Describes clearances, track centres, siding agreements, standards to be used for wire and conductor clearances, and notification requirements for deviations Effective May 14, 1994 accepted for Capital Railway on March 8, 2001	March 8, 2001	Applicable
<i>Standard for LED Signal Modules at Highway/Railway Grade Crossings</i> (TC E-14 Oct. 10, 2003) *(III-18)	Std	Standard to provide minimum performance requirements for LED single modules for use in highway/railway grade crossing signal assemblies	June 01, 2007	Applicable
<i>Grade Crossing Standards</i> *(III-22)	Std	Standards for design of signage; warning systems; inspection & testing of warning systems; crossing surfaces; sightlines; design calculations & considerations, traffic controls and interconnected systems  <b>NA Note :</b> No Grade crossing for Capital Railway line	January 01, 2019	Not Applicable
<i>Engineering Standards for "Walk Light" Grade Crossing Warning</i>	Std	These engineering standards provide the design requirements for Walk Light grade crossing warning systems to be used at restricted grade crossings. <b>NA Note :</b> No Grade crossing for Capital Railway line	February 5th, 2010	Not Applicable

## C- List of Void Instruments

The following list of instruments include all the instrument that are void or replaced.

TITLE	COMMENTS	DATE EFFECTIVE (if after Oct. 2001)	Void / no longer in effect
Emergency Directive – Train Securement (Renewed March 3, 2015, effective until October 29, 2015)	Transport Canada rescinded this Emergency Directive effective October 13, 2015	29-Oct-14	13-Oct-15



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Emergency Directive - Transportation of Dangerous Goods	Renewed August 17, 2015, effective until February 18, 2016. Transport Canada replaced this Emergency Directive with Rules Respecting Key Trains and Key Routes effective February 19, 2016. Capital Railway not signatory to these Rules.	23-Apr-15	18-Feb-16
Protective Direction No. 36 – Annual Designated Emergency Planning Official for Class 1 Rail Carrier Transporting of Dangerous Goods by Rail Car	Effective April 28, 2016 until March 16, 2018	28-Apr-16	16-Mar-18
Ministerial Order 16.01 (Section 32.01 of the RSA) – Ceasing using Rule 862.1 of the CROR	- Supersceded by MO 16-02.1 on August 15, 2016	15-Jun-16	15-Aug-16
Ministerial Order 16.02 (Section 32.01 of the RSA) – Rectify duplication found in both the CROR and the Grade Crossing Regulations	Supersceded by MO 16-02.1 on August 15, 2016	01-Jun-16	15-Aug-16
Ministerial Order (MO) 19-03 (Section 32.01 of the RSA) – Apply Sufficient Number of Handbrakes For Trains Stopped by Emergency Brake Application on a Grade of 1.8% or Greater.	Replaced by Rule 66 of CROR (effective June 24, 2020) and MO 20-08, effective July 1, 2020, and remains in effect until July 1, 2021.	08-Feb-19	24-Jun-20
Ministerial Order 20-02 (Section 32.01 of the RSA) – Reducing Speed Limits of Key Trains	<del>Effective February 8, 2020 and remains in effect until March 9, 2020.</del> MO 20-03 replaced MO 20-02, effective Feb. 16, 2020, and remains in effect until April 1, 2020. MO 20-05: Key Train Speed Restrictions issued on April 1, 2020. MO 20-06: Revisions to Rules Respecting Key Trains and Key Routes issued on April 1, 2020.	08-Feb-20 16-Feb-20 01-Apr-20	February 16, 2020 (MO 20-02) April 1, 2020 (MO 20-03) November 6, 2020 (MO 20-05)
A Rule Respecting Mandatory Off-Duty Time for Railway Operating Employees Working in Covered Service	Capital Railway is voluntarily complying with this rule, which became effective on other railways under federal jurisdiction in Canada on July 28, 1993.	July 28, 1993.	31-Mar-03



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Capital Railway - Locomotive Inspection and Safety Rules	Replaced by Capital Railway DMU inspection Rules	29-May-01	22-Oct-04
Capital Railway - Passenger Car Inspection and Safety Rules	Application made in July 2003 to change the maximum speed. Replaced by Capital Railway DMU inspection Rules	23-May-04 <del>Sept. 5, 2003</del> 28-Sep-04	22-Oct-04
General Order E-6 Highway Crossings Protective Devices Regulations;	Repealed with implementation of Grade Crossing Regulations		28-Nov-14
Locomotive Lights and Lamps Regulations; General Order O-14	To be replaced by new rules that will be incorporated into the Locomotive Inspection and Safety Rules.		04-Oct-02
Operating Rules for Capital Railway (ORCR)	Repealed on June 6, 2009 and superseded by Canadian Rail Operating Rules		06-Jun-09
Pipe Crossings Under Railways Regulations; General Order E-10	Repealed on May 10, 2001 and replaced by Standards Respecting Pipeline Crossings Under Railways (see below).		10-May-01
Railway Employee Radio Communication Rule	Repealed on May 30, 2012 by Director General, Rail Safety.		30-May-12
General Order O-25 Railway Engine Bell and Whistle Regulations	To be revoked & replaced by new rules that will be incorporated into the Locomotive Inspection and Safety Rules.		04-Oct-02
Railway Safety Management System Regulations	Repealed and replaced by Railway Safety Management System Regulations, 2015, effective April 1, 2015		31-Mar-15



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Railway Vision and Hearing Examination Regulations;  General Order O-9 and amendments given by CTC 1985-3 RAIL	Repealed November 29, 2001 and replaced new rules: Railway Rules Governing Safety Critical Positions; and Railway Medical Rules for Positions Critical to Safe Railway Operations (see above).		29-Nov-01
Rules for the Control and Prevention of Fires on Railway Rights-of-Way	Repealed June 16, 2017 and replaced with Prevention and Control of Fires online Works Regulations		16-Jun-17
Safety and Health Committees and Representatives Regulations (made pursuant to the Canada Labour Code, Part II)	Repealed on June 19, 2015. Replaced by Policy Committees, Workplace Committees and Health and Safety Representatives Regulations (SOR 2015-164).		19-Jun-15
<i>Regulations No. O-8, Part I; and amendment given by CTC 1986-3 RAIL, Handling Main Track Switches</i>	NOTE: Removed as covered in CROR General Rule A.		





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Issue Date: 26-05-2021	<b>Appendix – F Research &amp; Collaboration</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	

## Research

The continuous improvement of the SMS involves ongoing research and collaboration with internal and external resources.

Research practices include reviewing a variety of published material as well discussions with subject matter experts, industry and safety professionals with diverse backgrounds.

Reference Table.

Document/Event Title (referenced)	Organization, Date	Comments / Notes :
SMS/ SeMS Audit	Orbis Risk, Jan-May 2021	Implement recommendations from the 2021 Audit reports
SMS/ SeMS Audit	BSI, Business System Inc.	ISO Standards for Audits
WSIB Health & Safety Excellence Program	Excellence Canada, WSIB Ontario	Best Practices for Occupational Health & Safety Programs
Historical Information that is continuously referenced		
Safety Management Systems Industry Guide	Transport Canada, (draft) March 2015	Outlines all the mandatory safety processes required in an SMS
Railway Safety Act, RSC 1985	Transport Canada (revised June 2015)	Provided details on compliance
Transportation Safety Board Regulations; SOR 92-446	Transport Canada (revised July 2014)	General provisions
Safety Management System Guidelines, Public	American Public Transportation Association, (revised October 2015)	Aligns /confirms the 4 pillars of SMS



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Passenger Transportation Systems		
Capital Railway Safety Management System	City of Ottawa /OC Transpo Trillium Line Program, September (updated Annually)	Current Trillium Line SMS Regulated by Transport Canada
Improving Safety Culture in Public Transportation	Transit Cooperative Research Program, 2015	Potential safety factors to be considered during annual assessment stage
Memorandum of Understanding – Railway Security	Railway Association, Ministry of Transport, Oc Transpo	Security Elements, exercises, reporting.



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## Collaboration

The 2021 SMS collaborative development activities are chronicled in the following table which includes meetings and interaction with employees, union representatives, and subject matter experts through working groups and action teams.

Much of this work is can be subjective as it represents a large volume of tactic knowledge. Specific contributor content may be of a more composite manner, as information, direction and feedback can be developed in written and oral formats, either through meetings, shared files or experiences.

Date (Recent to oldest)	Milestone / Activity	Contributors	Comments / Notes	Related SMS element
Jan-May 2021	Established 2021 Initiatives	Safety Standards, Investigations & Reporting Rail Operations Transit Operations Special Constable Unit Regulatory Compliance, Quality Control & Assurance Customer Systems & Planning City Fleet/Risk Management	Updating and refreshing the SMS to be more inclusive of the operational areas to ensure that targets and initiatives are meaningful and implemented.	Establishing targets and Initiatives
Jan-May 2021	SMS/ SeMS Audit	Orbis Risk,	Implement recommendations from the 2021 Audit reports	Ensuring Compliance with Regulations, Continuous Improvement of the SMS
Dec-May 2021	SMS Targets & Initiatives	Transit Operational branches, City of Ottawa	RiskMaster Data	Process for Assessing Risk





Issue Date: 26-05-2021	<b>Appendix – F Research &amp; Collaboration</b>
Replaces: 15-Oct-2020	
Approved by: Brandon Richards, Chief Safety Officer	

Date (Recent to oldest)	Milestone / Activity	Contributors	Comments / Notes	Related SMS element
March 2021	SMS Line 1 Regulations	City Legal	Incorporated OLRT regulations	Ensuring Compliance with Regulations
May 2020	Line 2 SMS update	Transport Canada Rail Construction Program,	Suspended RSMS requirements as Line 2 is Offline for construction	Ensuring Compliance with Regulations
2020	COVID TASK Force	Ottawa Public Health,	Direction for safe work practices, environment	Identifying Safety Concerns
March- October 2020	Confirm components of OLRT Regulations	Transport Canada City Legal	The OLRT Regulations were developed and are applicable to Line 1 Operations	Ensuring Compliance with Regulations.
October 2020	Updated SMS document	Regulatory Compliance, Quality Control & Assurance	Review and edit of SMS document	Continuous improvement of the SMS
March 2020	Covid-19 Response	Ottawa Public Health	Implementing initial Pandemic responses measures	Risk Assessment; Implementing and evaluating remedial action
February 2020	Review of Scheduling	S Harrison	Updated information regarding scheduling tools, processes.	A process with respect to scheduling