



Critical Incident Stress Plan

(49 CFR Part 272)

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Section1: Introduction

The Sonoma Marin Area Rail Transit, (herein referred to as SMART) recognizes employees as the agency's most valuable resource and is committed to their wellbeing. Critical incidents occur with unfortunate results on the public, railroad and employees, they expose employees to potentially traumatic events. This exposure can in some cases result in detrimental cognitive, physical and/or emotional reactions. This document serves to outline processes developed by SMART to support employees involved in critical incidents, and to comply with *Title 49, Code of the Federal Regulations (CFR), Part 272 Critical Incident Stress Plans*. This program will be administered by Human Resources and SMART's Psychological Provider (See appendix A for details).

Section2: Purpose, Intent and Objectives

Purpose:

This plan is adopted by SMART, in fulfillment of requirements set forth in 49 CFR Part 272, Critical Incident Stress Plans. The purposes of the regulation, as stated in 49 CFR Part 272.1, are to promote:

1. Safety in railroad operations, and
2. Health and safety of railroad employees, specifically those directly involved in critical incidents as defined in 49 CFR Part 272.9.

Intent:

SMART is committed to employee health, safety, and welfare. SMART intends for this plan to optimize the key elements involved in responding to critical incidents, ensure it is consistent and effective in its application, provide for its maintenance and continuity, and document its conformance to all requirements of 49 CFR Part 272.

Objectives:

SMART's Critical Incident Plan strives to apply evidence-supported best practices to:

1. Reduce the likelihood of employees developing disorders such as Post Traumatic Stress Disorder (PTSD) and Acute Stress Disorder (ASD) as a result of experiencing a critical incident in the workplace; and
2. Provide clear pathways to access evaluation and treatment as indicated to decrease symptoms and to promote resilience and recovery.

Section 3: Rule Requirements

SMART as required by 49 CFR Part 272 will:

1. Inform each directly-involved employee as soon as practicable of the relief options available in accordance with this plan;
2. Offer timely relief from the balance of the duty tour for each directly-involved employee, after the employee has performed any actions necessary for the safety of persons and contemporaneous documentation of the incident;
3. Offer timely transportation to each directly-involved employee's home terminal, if necessary;
4. Offer counseling, guidance and other appropriate support services to each directly involved employee;
5. Permit relief from the duty tour(s) subsequent to the critical incident; for an amount of time determined by each railroad, if requested by a directly-involved employee as may be necessary and reasonable;
6. Permit each directly involved employee such additional leave from normal duty as may be necessary and reasonable to receive preventive services or treatment related to the incident or both provided that the employees clinical diagnosis support the need for additional time off or the employee is in consultation with a health care professional related to the incident and such health care professional supports the need for additional time off in order for the employee to receive preventive services or treatment related to the incident, or both; and
7. Address how the railroad's employees operating or otherwise working on track owned by or operated over by a different railroad will be afforded the protections of the plan.

Section 4: Program Scope: Employees and Events

Covered Under Plan

To be covered, employees must meet criteria under “Covered Employee Classifications” and “Directly Involved Employee” (see Definitions):

Critical incidents covered by this plan include:

1. Accidents reportable to the Federal Railroad Administration under 49 CFR Part 225 resulting in fatality, loss of limb, or similarly serious bodily injury; or
2. A catastrophic accident reportable to the Federal Railroad Administration under 49 CFR Part 225 that could reasonably be expected to impair the ability of a directly involved employee to safely perform his or her job duties.

Labor Organization Review

1. The CISP was vetted and accepted by applicable Labor organizations.
2. Pursuant to 272.103, SMART has served a copy of the submission to the Labor organization, see attached.

Covered Employee Classifications:

The provisions of the plan apply to directly involved employees in the following job classifications:

1. Employees covered under 49 CFR Part 228 by hours of service (HOS) laws who are:
 - a. Locomotive engineers.
 - b. Conductors.
2. Signal employees. (covered under 49 U.S.C. 21104).
3. Dispatching service employees (Control Supervisor).
4. Bridge Tenders.
5. Railroad employees who inspect, install, repair, or maintain railroad right-of-way or structures.
6. Railroad employees, who inspect, repair or maintain locomotives, passenger cars, or freight cars.

~~—Dispatching service employees (Control Supervisor)~~

~~d. Bridge Tenders.~~

~~Railroad employees, who inspect, repair or maintain locomotives, passenger cars, or freight cars.~~

Directly Involved Employees means:

A directly involved employee for purposes of this plan includes employees in classifications outlined above who:

1. Are closely connected to the critical incident;
2. Witness the critical incident in person as it occurs; or
3. Witness in person the immediate effects of the critical incident; or
4. Are charged directly to intervene or respond to the critical incident, with the exception of SMART Police Officers and Code Compliance Officers.

Section 5: Response Protocols

1. The Critical Incident Stress Plan will be initiated when a critical incident occurs. Upon initiation, SMART Rail Operations Center (ROC) is advised that a critical incident has occurred.
2. ROC issues a text and/or email advising of the train number, location, and time of the incident. Included on the distribution list will be:
 - a. SMART Operations manager will be responsible for notification to the appropriate department heads:
 - Superintendent of Vehicle Maintenance
 - Superintendent of Signals and Way
 - Superintendent of Transportation
 - General Manager
 - Chief of Police
 - b. SMART Human Resources
3. As soon as practical a SMART Field Supervisor will arrive at the site of the critical incident, and the following will occur:
 - a. Identify covered employees;

- b. Take extra care to connect with and support covered employees;
 - c. Offer/remind directly involved employees of the following support services, including relief options:
 - i. Relief from the balance of the duty tour for each directly-involved employee, after the employee has performed any actions necessary for the safety of persons and contemporaneous documentation of the incident;
 - ii. Timely transportation for each directly-involved employee to the employee's home terminal, (the employee's home reporting station, specifically the employee's regular reporting point at the beginning of the tour of duty), after the employee has performed any actions necessary for the safety of the persons and contemporaneous documentation of the incident;
 - iii. Counseling, guidance and other appropriate support services.
 - iv. Relief from duty tours subsequent to the critical incident for a period up to three days or until cleared to return to work by SMART psychological provider following a Critical Incident [Stress](#) Debriefing, whichever occurs later;
 - v. Additional leave (relief) from normal duty as may be necessary and reasonable to receive preventive services or treatment related to the incident or both, provided the employee's clinical diagnosis supports the need for additional time off, or the employee is in consultation with a health care professional related to the incident and such health care professional supports the need for additional time off in order for the employee to receive preventive services or treatment related to the incident or both. Leave will be administered in accordance with applicable state and federal medical leave laws.
4. SMART Psychological Provider will make an outreach call or text to covered employees within a timely manner of the incident to:
- a. Offer counseling, guidance and support.
 - b. [Schedule one-on-one sessions if requested by the employee.](#)
 - c. [Schedule a Critical Incident \[Stress\]\(#\) Debriefing in coordination with Human Resources and \[those employees directly involved with the incident.\]\(#\)](#)
 - d. [Facilitate assessment, referral, and treatment as requested by employee.](#)
 - e. [After the initial assessment, if additional treatment is required, SMART will not restrict the employee's choice of health care practitioners, \(e.g., certified employee assistance professional, or personal licensed psychiatrist, clinical psychologist,](#)

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clinical social worker, or physician), although treatment must be consistent with applicable standards of care, collective bargaining agreements, and pertinent regulations.

Section 6: Plan Communication and Training

1. Employees will receive initial information explaining the core features of the Critical Incident Stress plan through a variety of communication means, including the following:
 - a. **May be accessed through SharePoint on SMART Web site.**
2. Education on the plan to employees, supervisors and other involved groups on the Critical Incident Stress Plan will be addressed in the following formats:
 - a. Employee pre-incident training will educate all covered employees on resilience, normal reactions to stress, ways to cope with stress and the core features of the Critical Incident Stress Plan. Employee training will be provided through the following:
 - i. Annual training for engineers and conductors, and train movement personnel;
 - ii. Rules Class for mechanical employees; and
 - iii. New Employee Orientation.
 - b. Non agreement supervisors and managers of covered employees will receive training on their responsibilities in enacting the Critical Incident Stress Plan and the principles of Stress First Aid directing them how to interact with employees involved in critical incidents. Supervisory training will be provided through the following:
 - i. Computer-based (EPATH) training;
 - ii. DSLE/Supervisor class
 - iii. Training at job briefings and staff meetings;
 - c. SMART Psychological Provider will be provided with the plan elements, concentrating on case management and advanced Stress First Aid an application of Psychological First Aid (PFA), assessment and treatment for PTSD, ASD, anxiety, and depression.
 - d. Supervisor training will be provided through:
 - i. Staff training classes;
 - ii. Review at staff meetings

Section 7: Program Review

SMART will maintain documentation of compliance with the Critical Incident Stress Plan. Additionally, the Plan will be reviewed regularly and changes will be made as deemed necessary. Any substantial changes to the plan will be submitted to the FRA and any international/national presidents of labor organizations representing crafts covered by the Critical incident Stress Plan.

Section 8: Definition of Terms

Critical Incident: accidents reportable to the FRA under 49 CFR Part 225 resulting in fatality, loss of limb, or similarly serious bodily injury; or catastrophic accident reportable to the Federal Railroad Administration under 49 CFR Part 225 that could reasonably be expected to impair the ability of a directly involved employee to safely perform his or her job duties.

[Critical Incident Stress Debriefing: A meeting facilitated by a licensed mental health professional experienced in debriefings for traumatic events. They will occur in small group settings comprised of affected employees and the licensed mental health professional where intervention can be given if appropriate.](#)

Directly Involved Employee: employees covered under 272.7 whose actions are closely connected to the critical incident; who witness the critical incident in person as it occurs or who witness in person the immediate effects of the critical incident; or are charged directly to intervene or respond to the critical incident, with the exception of SMART Police Officers.

FRA: Federal Railroad Administration

Home Terminal: the employee's home reporting station, specifically the employee's regular reporting point at the beginning of the tour of duty

In person: employees who were present on-site or immediately proximal to the critical incident locale and observed the immediate prelude, actual incident, and/or immediate effects therefrom.

Non- Agreement Supervisor/ Manager: management employee in a supervisory role, who is responsible to respond to the critical incident.

Psychological First Aid (PFA): PFA is a flexible, evidence-informed intervention which is tailored to the individual who has experienced a traumatic event. PFA emphasizes a nonintrusive and compassionate approach to providing an individual who has experienced a critical incident practical assistance with immediate needs, safety and comfort, and assistance in establishing connections with primary support networks and social resources, as well as information about common reactions to trauma, ways to cope with stress, follow-up, and how to access additional support services, including treatment (if needed). PFA does not encourage or require individuals to express their experience, including their emotional reactions and symptoms, to peers in a group setting. The goals of PFA are to decrease the initial distress associated with exposure to a traumatic event and to improve adaptive functioning.

Stress First Aid (SFA): SFA is an application of psychological first aid (PFA) developed in conjunction with staff from the National Center for Posttraumatic Stress Disorder to facilitate ready acceptance and efficacious utilization in the railroad workplace.

APPENDIX A – PSYCHOLOGICAL PROVIDER INFORMATION

SMART currently contracts with the following providers for psychological support services:

1. Assessment and Return to Duty Services

Dr. Mark Clementi
50 Old Courthouse Square Suite 400
Santa Rosa, CA 95404
707-527-0456 (office)
707-484-5246 (cell)

2. Employee Assistance Plan

MHN
1-800-227-1060
www.members.mhn.com
Company code: smart