

Division of Health Service Regulation

STATEMENT OF DEFICIENCIES AND PLAN OF CORRECTION	(X1) PROVIDER/SUPPLIER/CLIA IDENTIFICATION NUMBER: MHL029-128	(X2) MULTIPLE CONSTRUCTION A. BUILDING: _____ B. WING: _____	(X3) DATE SURVEY COMPLETED 03/05/2020
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NAME OF PROVIDER OR SUPPLIER THE WORKSHOP OF DAVIDSON	STREET ADDRESS, CITY, STATE, ZIP CODE 275 MONROE ROAD LEXINGTON, NC 27292
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V 000	<p>INITIAL COMMENTS</p> <p>A complaint survey was completed on March 5, 2020. The complaint (Intake #NC00161318) was substantiated. Deficiencies were cited.</p> <p>This facility is licensed for the following service categories: 10A NCAC 27G .2300 Adult Development and Vocational Programs for Individuals with Developmental Disabilities and 10A NCAC 27G .5400 Day Activity for Individuals of All Disability Groups.</p> <p>The incident referenced in this report occurred at the group home in which Deceased Client #1 (DC #1) from the Adult Development Vocational Program and Day Activity Program resided.</p>	V 000	<p><i>Vill - Going Forward</i> Regardless if the Workshop is being paid for a funded service for each person who is in place as a regular participant before they begin participation An admission assessment will be completed. Assessments will be completed by the coordinators that off the program the person served is participating in. These program coordinators will monitor the attendance and complete these duties as New "unfunded" person's are added to the facility. All funded persons served</p>	By May 4, 2020
V 111	<p>27G .0205 (A-B) Assessment/Treatment/Habilitation Plan</p> <p>10A NCAC 27G .0205 ASSESSMENT AND TREATMENT/HABILITATION OR SERVICE PLAN</p> <p>(a) An assessment shall be completed for a client, according to governing body policy, prior to the delivery of services, and shall include, but not be limited to:</p> <ol style="list-style-type: none"> (1) the client's presenting problem; (2) the client's needs and strengths; (3) a provisional or admitting diagnosis with an established diagnosis determined within 30 days of admission, except that a client admitted to a detoxification or other 24-hour medical program shall have an established diagnosis upon admission; (4) a pertinent social, family, and medical history; and (5) evaluations or assessments, such as psychiatric, substance abuse, medical, and 	V 111	<p>Assessments will be completed by the coordinators that the person served is participating in. These program coordinators will monitor the attendance and complete these duties as New "unfunded" person's are added to the facility. All funded persons served</p>	

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LABORATORY DIRECTOR'S OR PROVIDER/SUPPLIER REPRESENTATIVE'S SIGNATURE: *[Signature]* TITLE: *Executive Director* (X6) DATE: *3/20/2020*

STATE FORM 6899 7ZL911 *DiHSR-Mental Health* If continuation sheet 1 of 20

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V 111	<p>Continued From page 1</p> <p>vocational, as appropriate to the client's needs. (b) When services are provided prior to the establishment and implementation of the treatment/habilitation or service plan, hereafter referred to as the "plan," strategies to address the client's presenting problem shall be documented.</p> <p>This Rule is not met as evidenced by: Based on record review and interview, the facility failed to complete an admission assessment prior to the delivery of services affecting 1 of 1 Deceased Client (DC #1). The findings are:</p> <p>Attempted review on 3/2/2020 of a record for DC #1 at the program revealed no documentation of an admission assessment, an admission date, presenting problems, strengths or needs, family information or social history, evaluations or assessments appropriate for DC #1's needs, no treatment plan, no strategies to address DC #1's presenting problem until a treatment plan could be established.</p> <p>Review on 2/25/2020 of DC #1's record, from the group home in which she resided, revealed: -An admission date of 10/3/2019 to the group home. -Diagnoses of Mild Intellectual Disability Disorder, Spina Bifida, Congenital Deafness, Somatic Symptom Disorder, Major Depressive Disorder, Dandy Walker Syndrome, Intraocular Lens Dislocation and Osteoporosis.</p>	V 111	<p>have admission assessments completed as a part of their regular admission packet, and will continue to have those completed by program coordinators during intake process. Any other unfunded persons currently in the facility will have program admission assessments completed on them during this plan of correction process. Staff training will occur to review this update and will be documented by staff signature of understanding.</p>	By May 4, 2020
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V 111	Continued From page 2 -Date of death on 2/21/2020 -An assessment dated 10/3/19 was completed in the group home. Interview on 3/2/2020 with the Executive Director revealed: -DC #1 did not receive billable services so no assessment was completed. -"She was a nonparticipant. She was paid only for her piece work."	V 111	Attendance Logs will be Coordinators will monitor Regularly for new admission referrals and this will be effective anytime a new person is accepted.	By May 4, 2020
V 112	27G .0205 (C-D) Assessment/Treatment/Habilitation Plan 10A NCAC 27G .0205 ASSESSMENT AND TREATMENT/HABILITATION OR SERVICE PLAN (c) The plan shall be developed based on the assessment, and in partnership with the client or legally responsible person or both, within 30 days of admission for clients who are expected to receive services beyond 30 days. (d) The plan shall include: (1) client outcome(s) that are anticipated to be achieved by provision of the service and a projected date of achievement; (2) strategies; (3) staff responsible; (4) a schedule for review of the plan at least annually in consultation with the client or legally responsible person or both; (5) basis for evaluation or assessment of outcome achievement; and (6) written consent or agreement by the client or responsible party, or a written statement by the provider stating why such consent could not be obtained.	V 112	V112 Going forward Regardless if the Workshop is being paid for a funded service, for each person who is in place as a regular participant a treatment plan will be completed within 30 days of admission. Plans will be completed by the program coordinator's of the program in which participation is occurring. Program coordinators will monitor requests for services or intake and will complete these duties as persons are presented as part of intake process.	By May 4, 2020

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V 112	<p>Continued From page 3</p> <p>This Rule is not met as evidenced by: Based on record reviews and staff interviews the facility failed to complete a treatment plan within 30 days of admission affecting 1 of 1 Deceased Client (DC #1). The findings are:</p> <p>Attempted review on 3/2/2020 of a record for DC #1 at the program revealed no documentation DC #1's presenting problem, strengths or needs, provisional or admitting diagnosis, pertinent social, family or medical history, evaluations or assessments appropriate to DC #1's needs and no treatment plan or strategies to address DC #1's presenting problem.</p> <p>Review on 2/25/2020 of DC #1's record from the group home revealed: -An admission date of 10/3/2019 to the group home. -Diagnoses of Mild Intellectual Disability Disorder, Spina Bifida, Congenital Deafness, Somatic Symptom Disorder, Major Depressive Disorder, Dandy Walker Syndrome, Intraocular Lens Dislocation and Osteoporosis. -Date of death on 2/21/2020 -A treatment plan dated 8/7/19 noting "...engage in education and psychosocial opportunities daily, will increase participating in daily social and academic activities, reducing the frequency of somatic complaints, initiate at least one positive social interaction with peers each week and describe mood instability effects on personal family and/or social life" -No goals related to DC #1's work/participation in the 2300 or 5400 programs.</p>	V 112	<p>Any other unfunded persons currently being served will have treatment plans meetings and plans developed as a part of the plan of correction process.</p> <p>staff training will occur to review these requirements and will be documented by staff signature of understanding, coordinators will monitor regularly for new admission referrals and this will be effective anytime a person is accepted for placement.</p>	By MAY 4, 2020

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V 112	Continued From page 4 Interview on 3/2/2020 with the Executive Director revealed: -DC #1 did not receive billable services, so a treatment plan was not completed. -"She was a nonparticipant. She was paid only for her piece work."	V 112	<p>V113 Going Forward Regardless if the workshop is being paid for a funded service for each person who is in place as a regular participant. Before the person begins participation a client record will be developed and will be maintained throughout the time the person is in attendance. Client Records will contain all required information per NCAC 27G for Client Records.</p> <p>All unfunded persons currently participating will have a file developed by the program coordinator of the program ^{As a part of the pcc process} and any unfunded person will have the</p>	By MAY 4, 2020
V 113	27G .0206 Client Records 10A NCAC 27G .0206 CLIENT RECORDS (a) A client record shall be maintained for each individual admitted to the facility, which shall contain, but need not be limited to: (1) an identification face sheet which includes: (A) name (last, first, middle, maiden); (B) client record number; (C) date of birth; (D) race, gender and marital status; (E) admission date; (F) discharge date; (2) documentation of mental illness, developmental disabilities or substance abuse diagnosis coded according to DSM IV; (3) documentation of the screening and assessment; (4) treatment/habilitation or service plan; (5) emergency information for each client which shall include the name, address and telephone number of the person to be contacted in case of sudden illness or accident and the name, address and telephone number of the client's preferred physician; (6) a signed statement from the client or legally responsible person granting permission to seek emergency care from a hospital or physician; (7) documentation of services provided; (8) documentation of progress toward outcomes; (9) if applicable:	V 113		

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V 113	<p>Continued From page 5</p> <p>(A) documentation of physical disorders diagnosis according to International Classification of Diseases (ICD-9-CM); (B) medication orders; (C) orders and copies of lab tests; and (D) documentation of medication and administration errors and adverse drug reactions. (b) Each facility shall ensure that information relative to AIDS or related conditions is disclosed only in accordance with the communicable disease laws as specified in G.S. 130A-143.</p> <p>This Rule is not met as evidenced by: Based on record review and interview, the facility failed to maintain a client record affecting 1 of 1 Deceased Client (DC #1). The findings are:</p> <p>Attempted review on 3/2/2020 of a record for DC #1 at the program revealed no documentation of an admission date, diagnoses, a client record number, a screening and assessment, emergency information, of a signed statement from the client or legally responsible person granting permission to seek emergency care, or services provided and progress towards outcomes.</p> <p>Interview on 3/2/2020 with the Executive Director revealed: -DC #1 did not receive billable services, so there was no record for DC #1. -"She was a nonparticipant. She was paid only for her piece work."</p>	V 113	<p>The records developed as usual per part of the intake process. By May 4, 2020 staff training will occur to document the process to review this requirement and documentation will occur with a signature of understanding. Coordinators will monitor for intake referrals and will ensure this requirement is completed on any new referrals.</p>	By May 4, 2020
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V 512	Continued From page 6	V 512		
V 512	<p>27D .0304 Client Rights - Harm, Abuse, Neglect</p> <p>10A NCAC 27D .0304 PROTECTION FROM HARM, ABUSE, NEGLECT OR EXPLOITATION</p> <p>(a) Employees shall protect clients from harm, abuse, neglect and exploitation in accordance with G.S. 122C-66.</p> <p>(b) Employees shall not subject a client to any sort of abuse or neglect, as defined in 10A NCAC 27C .0102 of this Chapter.</p> <p>(c) Goods or services shall not be sold to or purchased from a client except through established governing body policy.</p> <p>(d) Employees shall use only that degree of force necessary to repel or secure a violent and aggressive client and which is permitted by governing body policy. The degree of force that is necessary depends upon the individual characteristics of the client (such as age, size and physical and mental health) and the degree of aggressiveness displayed by the client. Use of intervention procedures shall be compliance with Subchapter 10A NCAC 27E of this Chapter.</p> <p>(e) Any violation by an employee of Paragraphs (a) through (d) of this Rule shall be grounds for dismissal of the employee.</p> <p>This Rule is not met as evidenced by: Based on observations, record reviews and interviews, the governing body failed to protect 1 of 1 Deceased Client (DC #1) from serious harm. The findings are:</p> <p>Review on 2/25/2020 of DC #1's record from the group home revealed: -An admission date of 10/3/2019 to the group home -Diagnoses of Mild Intellectual Disability Disorder, Spina Bifida, Congenital Deafness, Somatic</p>	V 512	<p>V 512</p> <p>The workshop of Davidson has put into place a plan of protection to assist in the prevention of reoccurrence of a vehicular death during loading and unloading of our ^{agency} vehicles and vehicles that we contract through 3rd party contractor to provide for client transportation.</p> <p>The workshop has implemented a Van Loading and Unloading Policy.</p> <p>This policy states that Group Home Staff will be in place by 3:45 so that they will definitely be there when the transportation van arrives - which normally arrives between 4:15-4:30ish.</p>	<p>Completed orally 2/24/20</p> <p>Staff training start date 3/3/2021 and will be ongoing</p> <p>New hires and Review annually</p>

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V 512	<p>Continued From page 7</p> <p>Symptom Disorder, Major Depressive Disorder, Dandy Walker Syndrome, Intraocular Lens Dislocation and Osteoporosis.</p> <p>-Date of death on 2/21/2020</p> <p>-An assessment dated 10/3/19 for the group home, noting "...and in the PSR (Psycho-Social Rehabilitation Program), she will continue to learn how to cope with her depression and anxiety and increase her independent living skills to stabilize her mental health in the community."</p> <p>-A treatment plan dated 8/7/19 for the group home noting "will engage in education and psychosocial opportunities daily..."</p> <p>Attempted review on 2/25/2020 of the Contract Transportation Driver (CTD)'s record revealed: -No documentation of a record for the CTD</p> <p>Interview on 2/25/2020 with the Executive Director (ED) revealed: -The CTD was a contract worker with the facility -The facility had entered into an agreement for the contract agency to provide transportation to the clients.</p> <p>Review on 3/5/2020 of an Interlocal Agreement for the Procurement of Third-Party Transportation services, revealed: -The agreement was entered into on July 1, 2019 by a local county's Transportation Company and the Adult Development Vocational Program and Day Activity Program -The purpose of the agreement was to "allow the parties to purchase transportation services from a vender."</p> <p>Review on 2/26/2020 of the facility's Level III incident report, dated 2/21/2020, revealed: -"Shortly after 4pm, the office staff received a call from the Group Home Relief Supervisor in</p>	V 512	<p>And will remain in place at the home each morning until they have ensured all van riders have loaded their vehicles.</p> <p>Staff will be in place outside to monitor the loading and unloading of all residents and ensure that no one tries to do any outdoor activities such as checking the mailbox, moving trashcans etc. will occur while any transport drop offs are in place.</p> <p>Also effective 3-23-2020 the van ^{transportation} does not pull into the drive way. The van stops at the bottom of the drive way so that no backing up</p>	

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V 512	Continued From page 8 Charge, [staff #1] stating that [DC #1] had fallen and hit her head. 911 had been called. The office staff went to the group home for back up assistance. Upon arrival at the group home, Emergency Medical Services and police were already on the scene. Cardiopulmonary Resuscitation (CPR) was being performed on [DC #1] and would continue to be performed for a lengthy amount of time. [The Executive Director] spoke with group home staff present (staff #1) to get statements as to what happened. [Staff #1] stated [DC #1] was on the driveway behind the transportation van and the bus driver was on the phone with 911 and doing CPR. [Staff #1] stated that she started to assist with CPR until the police arrived and then an officer took over. [Staff #1] called the office and reported the event. Staff witnessed lengthy CPR attempts and [DC #1] was bleeding from her face and head. There was a report of a piece of scalp in the driveway and staff saw a significant leg wound. After CPR was ceased, the officers' crime scene taped the area and did extensive photos and measurements. The Police interviewed the staff on duty and continued their investigation with the van driver at the police department. [DC #1]'s body was taken to [a local morgue] and the transportation van was picked up by [the van company] staff after the scene was released. It had been reported initially to staff (#1) by the van driver that [DC #1] had fallen down the steps of the van and hit her head. It was evident by the location of where [DC #1] lay, which was behind the van, and the extent of her leg injury that she had not merely fallen down the van steps. She was not located near the van door or the steps. Staff (#1) assumes that [DC #1] had decided to go to the mailbox instead of going straight inside when the accident occurred but cannot officially verify this. After leaving the police department, [the owner of the	V 512	has to occur. All workshop staff have been trained in the Van Loading and unloading procedure. Documentation of this training has occurred by completion of a staff confirmation of understanding form. At the Day Program facility the entire pick up and dropoff procedure has been restructured. Vans are color coded. They load by the color code with staff to make sure they get to the van safely. The locations of the vans have also changed. Instead of pulling up the hill to load and unload.	2/24/20 orally written policy training 3/3/20
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V 512	<p>Continued From page 9</p> <p>transportation company] called [the ED] to review the situation. He stated that the van driver had let off 4 ladies and he thought he had seen all four ladies enter the residence, at which time he began to back the bus out of the driveway. He felt that he hit something (which he thought to be a trash can), so he pulled forward and could then see [DC #1] in his mirror. He exited the van and came to her to assist and called 911. [The owner of the transportation company] reported that a drug and alcohol screening of the driver would occur per their policy. [The Group Home Coordinator (the GHC)] had spoken with the Legal Guardian (of DC #1) about the accident before we were aware of the situation's outcome. After [DC #1]'s passing was verified by [the ED], we again spoke with [DC #1's Legal Guardian] to notify her of [DC #1]'s death. [The Legal Guardian] was in [a nearby state] with the family at this time and will return in a few days. She had been notified by an officer and [the GHC], of where [DC #1]'s body was taken in order to facilitate final arrangements. [The ED] left messages with [the Department of Social Services (DSS)] and [the Local Management Entity (LME)] on 2/21/2020 as well. [The ED] will follow up with DSS and the LME during business hours on Monday."</p> <p>Observations on 2/25/2020, at approximately 3:35pm, of the driveway outside of the group home where DC #1 resided, revealed:</p> <ul style="list-style-type: none"> -The facility was on the corner of street #1 and street #2 -The facility faced street #1 -The facility's driveway was on street #2 -The driveway was at a slight incline -On the driveway were orange fluorescent paint markings -One set of the markings was the outline of the 	V 512	<p>All transportation vans follow a circular pattern marked by cones. Providence Transport is responsible for loading and unloading wheelchairs & walkers and for assisting persons up the van steps.</p> <p>works There should be no reason with the new pattern of traffic that a van would have to back up. The Group home coordinator will do random drop by's to ensure Group Home staff are completing loading & unloading in a proper fashion. At the Day Program staff</p>	

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V 512	<p>Continued From page 10</p> <p>transportation van</p> <ul style="list-style-type: none"> -The second set of markings was where DC #1 was located -The transportation bus had pulled up the driveway -The markings of where DC #1 was located had her head and point of impact behind the passenger side of the transportation van -The facility's mailbox was located behind the transportation van's driver side <p>Review on 2/28/2020 of a local police department's "determination of fault", dated 2/21/2020, revealed:</p> <p>"On 2/21/2020, at 16:07 (4:07pm), vehicle number one (transportation van) was parked in the driveway of [the group home's address] unloading passengers. Unit number two (the pedestrian (DC #1)) had just gotten off of the bus and had walked behind vehicle number one. Vehicle number one backed up from its parked position and struck unit number two. The pedestrian sustained blunt force trauma injuries and expired on the scene. Vehicle number one came to rest facing north in the driveway. The pedestrian came to rest facing south in the driveway. The driver of vehicle number one contributed to the crash by improper backing."</p> <p>Review on 2/26/2020 of Additional Information Death Incident Report, dated 2/26/2020 and written by the ED revealed:</p> <p>"On 2/21/2020, after [DC #1] had been pronounced [the ED] met with the group home residents to discuss the outcome ... it was explained to the residents that [DC #1] did not survive the accident...staff comforted the ladies during their grief. After the ladies had calmed down a bit, the ED asked if they had seen anything about the accident that they could share."</p>	V 512	<p>have been assigned a schedule of where they are supposed to be in regards to location for supervision & assistance. Coordinators of the DAY programs will do periodic walk throughs to ensure staff are in their designated locations and completing the process accurately.</p> <p>* See Attached Loading & unloading policy.</p> <p>As the Workshop of Davidson does not have staff available at locations such as personal residential homes where our clients will be picked up and dropped off for at, a certain level of reliance for proper actions falls on the responsibility for prop of the Transportation</p>	

Division of Health Service Regulation

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V 512	<p>Continued From page 11</p> <p>The residents did not share any concrete information ..."</p> <p>Review on 2/26/2020 of an email from the owner of the transportation company to the ED, regarding "After Action Approach", revealed: -There was no date on the email -" ...After reviewing everything that we know about this tragic accident, we believe the driver could have avoided this entirely had he followed the policies in which he was trained. However, we are going to amend our current policies to make them even stronger and ensure compliance by retraining our workforce and performing on-area observations throughout the year. Our training: Client drop off: Current training states to make sure passengers are safely inside destination before leaving property. I think this is very clear and does not need to be changed. Although we are going to add this to our backing certification that will be explained below. Our current backing training reads as follows: Backing the vehicle can be very dangerous and should only be done when absolutely necessary. If you must back the vehicle, you should do the following: 1. If possible, get out of the vehicle to assess any hazards/obstacles 'GOAL=Get Out And Look! 2. Use an adult spotter to alert you to possible hazards 3. Before backing, check carefully in all directions, including the rear. As you can see, we have a backing policy that discourages backing but we will add to our current policy on backing and put more emphasis on NOT backing. Do not back unless you have no other safe choice. If you must back up, you are to back first into the area when you first arrive before dropping or picking up passengers so that once you have completed your assignment, you are pulling forward as the first action. We will continue with the GOAL policy, using an adult spotter when backing if</p>	V 512	<p>provider to ensure Rider safety.</p> <p>Ongoing communication with the Director of Providence Transportation has occurred and will continue to occur in regards to safety trainings and policies that have and continue to be implemented.</p> <p>* see Attached from Davidson County 3rd party Transportation (our contract facilitator): Certification Standards for NC Public transportation Providers.</p> <p>* See Attached from Providence Transportation Driver Development / Training Reporting</p>	
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V 512	<p>Continued From page 12</p> <p>available and passengers' safety: Make sure all passengers are safely inside destination before backing. Check carefully before backing check carefully in all directions including the rear, back no further than necessary, back slowly, move eyes, don't focus on an object, look, think and plan. Look high and low and scan for any potential hazards, a backing certificate will be created and implemented into our initial and annual training. I have attached a copy of this certification for your review. This certification will be administered through verbal training and through observation by a supervisor. The certification will be signed off and placed in the driver's file. These policy enhancements should eliminate a very high amount of backing conditions and make the conditions safer when we do still have to back. I will also be looking into the feasibility of installing back up cameras into our vehicles. This may take some time to find a system that is compatible with all of our vehicles that doesn't pose any other safety concern with how it is installed and monitored. I believe that if we heighten our awareness around these policies by retraining and certifying every driver, we will eliminate this from ever happening again. We began the retraining process with our driver 'safety stand down' meeting last night. We continue to pray for everyone involved. Our hearts are truly broken over this tragic event."</p> <p>Interview on 2/25/2020 with client #2 revealed: -Had ridden the transportation bus to the group home on 2/21/2020 along with DC #1, client #3 and client #4 -Once the bus pulled onto the driveway, all 4 clients got off. -Client #2 went inside the house with client #3 and client #4 -Prior to walking into the group home, client #2</p>	V 512	<p>that Providence completes on each driver. As well as Driver Evaluation expectations/Review Form.</p> <p>* Also Attached Providence Transportation Drivers manual.</p> <p>* An After action Approach communication from Providence Reviews trainings and re-trainings that have been implemented by Providence as well as a NO Backing certification training that employees of Providence have been trained in. With all of the enhanced trainings and structures that have been put in place it shows that the 3rd Party provider is doing its part to protect from further accidents occurring.</p>	
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V 512	<p>Continued From page 13</p> <p>had observed DC #1 walk behind the bus to "check the mail" -"He (the CTD) backed up and did not see [DC #1]. I guess it must have been an accident. I usually check the mail, but that day I did not. I wait (until the bus leaves to check the mail) because it is safer that way."</p> <p>Interview on 2/25/2020 with client #3 revealed: -Was hearing impaired but could read lips -On 2/21/2020, had ridden the transportation bus to the group home with DC #1, client #2 and client #4 -The transportation bus pulled into the driveway to let all 4 clients unload. -Client #3 unlocked the facility's door and went inside along with client #2 and client #4. -Did not see where DC #1 was when she got off the bus -"She did not come inside with us. I think she went to check the mail."</p> <p>Interview on 2/25/2020 with client #4 revealed: -Had ridden the transportation bus to the group home on 2/21/2020 along with DC #1, client #2 and client #3 -Stated client #3 was the first person off the bus. -"She has a key to the house and lets us in". -"[DC #1] got off the bus and I remember her checking the mail. She was behind the bus. I tried to tap her on the shoulder to tell her to get out of the driveway because the bus was coming behind her. She couldn't hear me." -Stated staff #1 arrived at the facility, after DC #1 was injured, and told everyone to get into the group home.</p> <p>Interview on 2/26/2020 with staff #1 revealed: -Worked at the day program and at the facility once or twice a month</p>	V 512		

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V 512	<p>Continued From page 14</p> <p>-On the days she worked at the group home, her hours were Friday 4pm to 10pm, Saturday from 6am to 10pm and Sundays from 6am to 4pm.</p> <p>-On 2/21/2020, she had worked at the day program until about 3:45pm and then arrived at the group home on 2/21/2020 sometime after 4:00pm</p> <p>-"It takes me maybe 8 or 9 minutes to get to the facility from the day program. So, when I got to the group home, the [transportation bus] was there, the rest of the women were in the house, but [DC #1] was not. The driveway goes up hill and the bus was parked a little past halfway up and [DC #1] was laying behind the bus. [The CTD] was behind the bus, hovering over [DC #1] and was on the phone."</p> <p>-Had asked the CTD what's going on.</p> <p>-"He said [DC #1] fell and hit her head. He did not say how she fell. [DC #1] was located behind the bus laying on her back. She was more towards the passenger side. Her head was facing towards the end of the driveway and her feet were facing the tail of the bus. At that moment when I got out of the vehicle, I ran into the house to get something for her head. I came out and he told me to take over CPR (Cardiopulmonary Resuscitation). I checked for a pulse before I started CPR. She had a faint pulse. She opened her eyes and let out a deep breath. I thought that she was going to say something, but she didn't. There was blood running down the driveway and she had a gash, and a cut above her knee going down on her left leg."</p> <p>-The police arrived first and then the paramedics.</p> <p>-"[The CTD] kept saying she missed a step and then he said she was walking to the mailbox. It didn't make sense from where [DC #1] was laying that she missed a step. Her body was not by the steps of the bus at all. She was behind the bus. I asked to speak to the police officer and then I</p>	V 512		

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V 512	<p>Continued From page 15</p> <p>gave a statement."</p> <p>Interview on 2/28/2020 with a neighbor of the group home revealed:</p> <ul style="list-style-type: none"> -Had given a statement to the local police department on 2/21/2020. -Had several large windows in the living room that faced the group home -Had observed the transportation bus pull into the driveway on 2/21/2020 right before 4:00pm -Had observed the clients exit the transportation bus -Saw DC #1 walk behind the transportation bus -Watched as the transportation bus backed down the driveway in a manner described as "sorta fast" -Thought to herself the transportation bus was going to hit DC #1 -Watched as the transportation bus hit DC #1 -The CTD had walked behind the vehicle to aid DC #1 who was on the ground -Observed as a woman with long braids in a sport utility vehicle pulled up to the group home. -Several minutes later, the woman with the long braids started CPR and the driver of the transportation bus was on his phone -A female officer arrived first and took over CPR -Seconds later, more police officers and an ambulance arrived. -"The next time I looked out the window, they had put a tarp over [DC #1], so I knew it was bad." <p>Interview on 2/26/2020 with the owner of the transportation company revealed:</p> <ul style="list-style-type: none"> -The bus had no back up cameras -Had received a telephone call on 2/21/2020 from the CTD stating there had been an accident -The CTD was still employed with the company, but had been suspended until the investigation was complete 	V 512		

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V 512	<p>Continued From page 16</p> <p>"I was told there were 4 clients on the bus. They all exited and entered the facility. Apparently, [DC #1] did not go into the home and walked behind the bus to check the mailbox. She was in his blind spot."</p> <p>-At first, the CTD made statements DC #1 had fallen.</p> <p>"Later, he admitted that he had backed into her in the driveway"</p> <p>Interview on 3/2/2020 with the CTD revealed:</p> <ul style="list-style-type: none"> -Had been a bus driver for about 4 ½ years -Had been driving that route for 3 years -The policy for dropping clients off is to ensure they get into the facility unless they need physical assistance -None of the clients at the group home required physical assistance -Dropped off 4 clients on 2/21/2020 at 4:00pm -Thought all 4 of the clients went into the group home -Stated he was not aware one of the clients had gotten off the bus and walked behind it. "She was in my blind spot and that is unfortunately when she got hit." -Had pulled the bus into the driveway so it would be closer to the facility's door -There were no back up cameras on the bus <p>Further interview on 3/2/2020 with the CTD revealed:</p> <ul style="list-style-type: none"> -Had been trained to make sure passengers were safely inside before leaving property. -Had been trained on the "GOAL=Get Out And Look!" policy -Had been trained to have a spotter when backing up if one was available -Was retrained in January 2020 on the backing up policy at his Agency -The interview failed to reveal why he did not use 	V 512		

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V 512	<p>Continued From page 17</p> <p>his training when he backed up the bus on 2/21/2020</p> <p>Interview on 2/25/2020 with the GHC revealed: -Received a telephone call on 2/21/2020 from staff #1 at 4:07pm that DC #1 had fallen and hit her head. -"I was told she was in and out of consciousness. Our plan was to get her to the emergency room. When we pulled up (to the group home), they were doing CPR on her. It looked like an impact and not a fall. She was behind the transportation bus."</p> <p>Interview on 2/25/2020 with the ED revealed: -An incident involving DC #1 and the transportation bus occurred on 2/21/2020 in the group home's driveway -Was at the office when the GHC received a telephone call from staff #1 -It was reported DC #1 had fallen off the transportation bus and hit her head. -"When I arrived at the facility, the police and ambulance were already there and the clients (#2, #3 and #4) were already in the house." -DC #1 was lying on the driveway behind the transportation bus. -"You could tell it was a hard impact and that she had not just fallen."</p> <p>Follow up interview on 2/28/2020 with the ED revealed: -"The only one that knows what happened on 2/21/2020 was [the CTD]. That's the long and short of it. Normally the staff is there before 4pm to monitor the clients getting off the bus. So, from this day forward, the group home staff need to be there by 3:45pm to monitor the clients' safety."</p> <p>Review on 3/5/2020 of the facility's Plan of</p>	V 512		

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V 512	<p>Continued From page 18</p> <p>Protection, dated 3/5/2020 and written by the ED, revealed:</p> <p>- "What will you immediately do to correct the above rule violation in order to protect clients from further risk or additional harm? Effective upon implementation of a new policy/training (3/3/2020) van loading and unloading policy was implemented in a formal policy. This information was put into place orally on 2/24/2020. This policy states that the group home staff will be in place to visually monitor the loading and unloading of all vans. Staff will arrive before van drop of (3:45pm) and will remain at the group home in the morning until vans have completed pickups. No activities such as checking the mail, collecting garbage cans and etc. will occur while vans are present in the driveway. Staff will remain in visual monitoring location to supervise and prompt as necessary while trash/mail occurs. At the workshop, a new traffic pattern has been developed that ensures vans are not pulling in or backing up. This plan was developed in conjunction with [the transportation agency.]</p> <p>- Describe your plans to make sure the above happens. Staff have been trained in the policy and have signed the acknowledgement of the responsibilities. Supervisory staff will do random drop in checks to ensure staff is in place at all locations. [The van company] not comes into the side lot and instead of pulling up to the overhand and then backing out, they go around in a circle and go back out with no backing. Workshop staff are in place in am/pm at each area to ensure riders get from the vehicles to the building. The van drivers have undergone additional training by their van provider company and have re-instituted a no backing certification protocol. No further pulling in and out at the ladies' group home has occurred by [the van company]. Workshop policy van loading and unloading contains information</p>	V 512		

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V 512	<p>Continued From page 19</p> <p>for the new drop off and pick up procedures and what staff responsibilities are. A new schedule showing which staff is assigned where was implemented at this week's staff meeting and staff have reviewed the policy by the ED. The ED gave time for questions, answered questions and staff signed confirmation of responsibility of understanding."</p> <p>Deceased Client #1 (DC #1) had diagnoses of Mild Intellectual Disability Disorder, Spina Bifida, Congenital Deafness, Somatic Symptom Disorder, Major Depressive Disorder, Dandy Walker Syndrome, Intraocular Lens Dislocation and Osteoporosis. The facility elected to subcontract out the transportation service for the facility clients to a transportation agency. That agency had protocol in place which outlined specific loading and unloading protocol. DC #1, client #2, client #3 and client #4 rode the transportation bus on 2/21/2020 from the facility to the group home. They arrived at the group home at 3:55pm. The CTD pulled into the driveway and the clients exited. Clients #2, #3 and #4 went into the facility. DC #1, who was deaf, walked behind the bus to check the mail. The CTD backed out of the driveway failing to follow protocol which resulted in the death of a client. This deficiency constitutes a Type A1 rule violation for failure to protect from harm and must be corrected within 23 days. An administrative penalty of \$6,000.00 is imposed. If the violation is not corrected within 23 days, an additional administrative penalty of \$500.00 per day will be imposed for each day the facility is out of compliance beyond the 23rd day.</p>	V 512		



Vocational & Life Skills Training
for Adults with Disabilities

Van Loading and Unloading Policy and Procedure

In order to maintain the safest environment possible for all persons served, staff, and drivers The Workshop of Davidson will implement procedures for loading and unloading of persons served at The Workshop of Davidson main facility and The Workshop of Davidson Group Homes.

All staff will receive training in loading and unloading procedures upon implementation of this policy and at least annually going forward. New hires will be trained in loading and unloading procedures during staff orientation.

Persons receiving services will complete annual training in van loading and unloading safety.

Workshop Procedures

Unloading (Morning):

All Instructors and Direct Support Staff will be present and in place at 7:45AM Monday – Friday. If staff is unable to arrive at 7:45 they should contact their supervisor to notify them so a sub can be placed in the area. Program Coordinators will review staff's placement and attendance regularly to ensure everyone is present in designated areas.

Providence Van Riders will stay on the vans until staff unlocks the doors. Multiple staff will be in place in the unloading area to monitor unloading and ensure van riders get inside the building, all persons served will go to the cafeteria. Multiple staff will be in place in the cafeteria to ensure persons served are supervised until the 8:15 bell rings and everyone reports to their department.

Car riders and Group Home Van drop offs will occur at the Innovations Department Side door. At least two staff will be assigned in this department to ensure visual monitoring of leaving the cars/vans and entering the building, these persons served will then report to the cafeteria.

If persons arrive after 8:15 it will be the van driver/staff/family member etc. responsibility of walking the person into the front of the building and signing the person served in. Providence drivers arriving after 8:15 will walk their riders into the back of the building and check them in with instructors.

Mailing Address
P.O. Box 906
Lexington, NC 27293-0906

Location:
275 Monroe Road
Lexington, NC 27292

Group Homes
226 West Ninth Street, Lexington, NC
509 Shoaf Street, Lexington, NC

Telephone: (336) 248-2816
Fax: (336) 248-4995
Email: info@workshopofdavidson.org
www.workshopofdavidson.org

Loading (Afternoon):

Providence vans routes are color coded. Following the traffic pattern that has been set in the rear parking lot each group of riders will be called by colors as their matching van pulls to the front of the loading line. Workshop staff will monitor persons leaving the building and provide assistance as needed for each person to make it to the van. Multiple staff will be outside monitoring loading and the other staff will be inside monitoring persons served who are waiting to load the van. Providence staff is responsible for ensuring the riders get up the steps or wheelchair/walkers loaded properly onto the lifts.

Car riders will meet at the Innovations side exit and will remain inside the building until the assigned pick up person has arrived. Loading staff will visually monitor riders exiting the building and entering their vehicles.

Group Home van riders will remain in their departments until their van arrives and they are called by the loading staff to come to the innovations side door. Loading staff will visually monitor riders exiting the building and entering their vans.

Group Home Procedures

Loading (Morning): Group Home staff will be present until all residents who are riding the vans have loaded the vans safely and vehicles have left the premises. Group Home staff will visually monitor residents walking from the home and entering the van and will continue to monitor until van has pulled away.

Unloading (Afternoon): Group Home staff will be present at the Group Homes by 3:45, staff will monitor for the arrival of the van and will be outside upon van arrival to visually monitor residents unload and will ensure they enter the residence. No staff is to allow residents to check the mailbox, get trash cans, or any other task until vehicles have left the premises. Staff will also monitor these outside duties (mailbox/trash cans etc.) to make sure all residents are safely avoiding cars or other traffic.

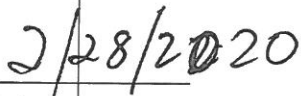
Live at Home Providence Riders:

Providence transportation drivers are responsible for the loading and unloading of riders that live in private homes. Providence transportation has policy stating they will visualize all persons entering their residence before leaving the property and will limit backing up whenever possible.

Adoption Date: 2/28/2020



Signature



Date

Reviewed/Revised:



Vocational & Life Skills Training for Adults with Disabilities

Van Loading and Unloading Supervision Duties Staff Confirmation Form

My signature stands as confirmation that I have received training information in Loading and Unloading policy and procedures, Client Supervision, and Coverage Area responsibilities, and that I understand my accountability for this information. I also understand my responsibility to the persons to whom I provide care and that maintaining the safety and well being of these persons are my duty as a staff of The Workshop of Davidson.

Staff Signature _____

Date _____

Mailing Address
P.O. Box 906
Lexington, NC 27293-0906

Location:
275 Monroe Road
Lexington, NC 27292

Group Homes
226 West Ninth Street, Lexington, NC
509 Shoaf Street, Lexington, NC

Telephone: (336) 248-2816
Fax: (336) 248-4995
Email: info@workshopofdavidson.org
www.workshopofdavidson.org



STATE OF NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION

ROY COOPER
GOVERNOR

JAMES H. TROGDON, III
SECRETARY

**Certification Standards
for North Carolina's Public Transportation Providers
July 3, 2019**

This list of certifications and policies are required by the State of North Carolina and/or the Federal Transit Administration (FTA) in order to receive State and Federal Funding. As a rule, NCDOT conducts compliance and safety reviews every 3 to 5 years, to ensure these policies are in effect, up-to-date and adhere to current State and Federal guidelines.

Policies

Covers eleven primary areas to ensure system policies adhere to FTA and State of North Carolina regulations:

- Financial Management
- Technical Capacity
- Vehicle Maintenance
- Americans with Disabilities Act (ADA);
- Title VI - Nondiscrimination in the Delivery of Service
- Procurement
- Disadvantaged Business Enterprise (DBE)
- Legal
- Satisfactory Continuing Control
- Planning and Coordination
- Public Comment Process on Fare Increases and Service Reductions
- Half Fare
- Charter Bus
- School Bus
- Safety and Security
- Drug Free Workplace/Drug and Alcohol Testing Program
- Equal Employment Opportunity (EEO)

Minimum Training Standards

Defensive Driving

- Required of all vehicle operators
- Initial training must be a certified program, or curriculum equal to an existing certified program
- Training must be completed annually and upon hire

Americans with Disabilities Act (ADA)

- 49 CFR part 37 – Transportation Services for Individuals with Disabilities, including:
 - Sensitivity training
 - Passenger assistance
 - Wheelchair handling and securement
 - Wheelchair lift inspection
 - Wheelchair lift operation (normal and emergency)

Mailing Address:
NC DEPARTMENT OF TRANSPORTATION
PUBLIC TRANSPORTATION DIVISION
1550 MAIL SERVICE CENTER
RALEIGH, NC 27699-1550

Telephone: (919) 707-4670
Fax: (919) 733-1391
Customer Service: 1-877-368-4968

Location:
1 S WILMINGTON STREET
RALEIGH, NC 27601

Website: www.ncdot.gov

- ADA requires training all personnel to “proficiency”, which is defined as expert performance.
- Training must be completed annually and upon hire

Bloodborne Pathogens

- 29 CFR 1910.1030(g)(2) Occupational Safety and Health Administration training guidelines
- Training must be completed annually and upon hire

Emergency Procedures for Vehicle Operators

- Includes all procedures required to report or react to an emergency by transit system staff:
 - Communication and notification procedures
 - Accident/Incident reporting procedures
 - Passenger handling procedures
 - Vehicle and facility evacuation procedures
 - Driver and passenger security training
 - Emergency evacuation procedures and training
 - Emergency equipment usage, including:
 - First aid (drivers must be trained in first aid to include use of kit)
 - Bloodborne Pathogens (drivers must be trained in bloodborne pathogens to include the use of kit and transit system specific engineering controls to minimize driver exposure, cleanup procedures and waste disposal)
 - Emergency triangles (setup equipment)
 - Fire extinguishers (inspect and use equipment)
 - Web cutter (inspect and use equipment)
- Training must be completed annually and upon hire
- Participation in local or regional Emergency Management drills is strongly encouraged

Driver Evaluations

- Newly hired drivers complete Ride Check – Driver Evaluation before being allowed to operate a transit vehicle unsupervised in revenue service
- All drivers must have an annual evaluation to assess the driver’s performance of techniques, skills and knowledge gained through training of each of the above categories
- Remedial training provided as needed
- Training must be completed annually and upon hire

Illegal Drug Use

- Training on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use
- Completed upon hire (Required under 49 CFR 655.14)

General

- All new hires must complete all minimum training requirements before operating a transit vehicle unsupervised in revenue service
- Reflective vest will be worn by drivers when performing job functions
- Drivers not meeting proficiency, expert performance level, must be given remedial training until proficient
- Refresher (annual) training must be completed annually (within 1-year of last training date)
- All training materials and documentation must be on file for review by NCDOT
- Records of qualifications and training performed must be kept on file for a minimum of five (5) years

DRIVER DEVELOPMENT/TRAINING REPORTING

NOTE: This is to confirm that the driver listed has completed the required "Ride Check" and Driver Evaluation in compliance with Policy Guidance for Minimum Training Standards for Community and Human Service Transportation System Vehicle Operators.

RIDE CHECK: DRIVER EVALUATION

Driver's Name: _____ Date of Evaluation: _____

Evaluator's Name/Position: _____

Vehicle Condition

Good N/A

1. Daily pre-trip inspection complete/documented
2. Registration and insurance card in vehicle
3. Web cutter and emergency triangles are available
4. Driver's license/logs with driver
5. Vehicle exterior clean
6. Vehicle interior clean
7. Dashboard/windshield area clear of all objects
8. Tie downs properly employed
9. Tie downs clean/ stowed in box
10. Seat belts in good working condition
11. Fire extinguisher is available, serviceable, properly mounted/tagged
12. First Aid/Bloodborne pathogen kit available in vehicle
13. Communications system operable
14. Child seat used/stowed properly
15. Daily defect report filled out
16. Lift operational check
17. Keeps logs up to date

Passenger Reception

Good N/A

1. Confirms identity/destination of passenger
2. Present at entry door while boarding
3. Greets passenger in a friendly manners.
4. Uses proper assistance techniques (What are the driver's responsibilities?)
5. Assists passengers to and from the vehicle door if needed
6. Stops proper distance from curb
7. Avoids use of AM/FM radio
8. Uses correct ADA language at all times

DRIVER DEVELOPMENT/TRAINING REPORTING

Performance While Enroute

Good N/A

1. Driver uses correct posture when driving
2. Both hands on steering wheel
3. Appropriate uniform/footwear
4. Driver and passengers use seatbelts
5. Driver gets out of vehicle and looks before backing
6. Adjust mirrors before moving vehicle. Keeps eyes moving
7. Signals entry into traffic every time. Leaves himself an out
8. Moves vehicle smoothly while slowing braking and stopping. Make sure they see you
9. Telegraphs use of brake or flashers when
10. Squares corners when turning
11. Moves at appropriate speeds for current road conditions
12. Maintains following distance safety zone (4 seconds)
13. Uses proper caution at intersections
14. Anticipates stale green lights (slows down)
15. Seats passengers properly
16. Stops at all railroad crossings
17. Comes to a complete stop, leaving private property
18. Uses proper lane changing procedure
19. Stops behind line or plane at intersections
20. Observes proper communication procedures
21. Uses turn signals properly
22. Maintains order in vehicle
23. Maintains scheduled stops and pick-ups
24. Avoids unauthorized stops
25. Uses four second distance rule, adds seconds to following distance when driving conditions change...keep safety cushion

Passenger Discharge

Good N/A

1. Uses parking brake when de-boarding passengers
2. Stops proper distance from curb. Assist passengers off vehicle (when needed or when passengers request help)
3. Renders adequate assistance to wheelchair passengers
4. Makes sure passenger is safely inside of destination before leaving property
5. Follows passengers instruction for assistance when needed

DRIVER DEVELOPMENT/TRAINING REPORTING

Comments:

Course of Action (required/taken) :

Driver's Signature

Date

Supervisor's Signature

Date

Driver's Comments:

DRIVER DEVELOPMENT/TRAINING REPORTING

RIDE CHECK: DRIVER EVALUATION

Driver Performance Evaluation Explanation

Passenger Reception:

The Driver...

1. Asks the name of the passenger and the destination before boarding, unless the passenger is a subscription rider.
2. Is available at the door to assist the passenger on or off the vehicle (if needed).
3. Acts courteously, offers help by asking, "May I help you" or "How may I help you?"
4. Follows guidance from the passenger, if help is needed.
5. Uses the passenger's instructions to assist in boarding and exiting the vehicle, if needed.
6. Stops the vehicle six (6) inches or four (4) feet from curb to keep passengers from falling off the vehicle as they load and unload. (This depends on the stopping or parking situation.)

Vehicle Condition:

The Driver...

1. Performs a pre-trip inspection and completely fills out the pre-trip inspection form starting the first run of the day.
2. Ensures the registration and insurance card are current and available
3. Has driver's license in possession and current route logs on person at all times.
4. Vehicle is clean on exterior.
5. Vehicle is kept clean inside at all times.
6. Nothing is on the dashboard, rear view mirror, or sun visors that could create a hazardous situation.
7. **Safely attaches tie down straps into floor tracks, and uses the four-point tie down on wheelchairs.**
8. Removes tie downs from floor after each use. Stores tie down straps in their proper place.
9. Seat belts/tie down straps are not tangled, missing or broken.
10. Checks fire extinguisher for serviceability and expiration date.
11. Checks the first aid and Bloodborne Pathogen Kits regularly (PPE) and re-supplies when needed
12. Ensures web cutter and emergency triangles are available.

13. Has his Tablet and cell phone for proper communication between driver and dispatcher
14. Child seats are placed in vehicle properly and stowed when not in use.
15. Fills out Transit Vehicle Daily Inspection Sheet correctly, noting properly the defective items.
16. Keeps Tablet/logs up to date as trip is completed for each passenger.
17. Checks and acknowledges messages from dispatcher in a timely fashion.

Performance Enroute:

The Driver...

1. Does not slouch in the seat while driving. Arms are not on our out of the window frame.
2. Both hands are on the steering wheel at the 9 and 3 or the 10 and 2 positions. Gets the big picture.
3. Wearing the proper uniform and vest appropriately, maintaining a neat appearance at all times.
4. Uses seat belt correctly and requires correct use of seat belt for all passengers.
5. Gets out and looks behind vehicle, for obstacles, before backing.
6. Adjusts mirrors before leaving base (for safety and visibility). Keeps eyes moving.
7. Uses signals for all maneuvers in traffic. Leaves an out.
8. Does not jerk the vehicle when stopping and starting. Uses the brakes without stomping or slamming (stops vehicle smoothly).
9. Presses the brakes slightly to warn tailgaters to slow down or use flashers when coming to a quick stop.
10. Does not whip around corners. Slows down to 2 to 5 miles per hour when turning cornering. Positions vehicle for proper safe turns (squares the corner).
11. Does not travel too slow or too fast for conditions on the road for the posted speed limit.
12. Does not enter intersection without proper caution, uses the four second rule. Keeps safety cushion under control.
13. Slows down when green light has been green for sometime at a distance.
14. Slows down when approaching an intersection with a light that has been green for several seconds with the anticipation of the light changing.
15. Signals at proper distance for an intended turn. Cancels signal when maneuver is completed. Seats passengers according to ADA requirements.
16. Does not allow profanity or misbehavior in the vehicle.
17. Follows proper safety for all railroad crossings; when approaching an unmarked railroad crossing: Signals and moves vehicle into right lane, turns on emergency flashers and slows down, comes to a complete stop prior to white line (or at a safe distance), turns off heater or air conditioner, opens doors, looks both ways, listens for trains; if clear, closes the door, turns heater or air conditioner back on

and proceeds cautiously across the tracks, turning the four-way flashers off once across the tracks.

18. Comes to a complete stop prior to leaving private property.
19. Checks mirrors, looks over shoulder, signals, moves into passing lane, signals and returns to proper lane. Leaves (himself/herself) an out.
20. Keeps on schedule safely but does not jeopardize safety for schedule. Contacts the office number if concerned about timeline.
21. **Only transports passengers on route schedule. No unauthorized passengers or stops. Any changes to the schedule needs to be cleared with the office. Drivers are not allowed to renegotiate their passengers with other drivers. All changes are to be cleared by contacting the office, Call the office number.**
22. Maintains safe distance when following some one in all weather conditions.

Passenger Discharge:

The Driver...

1. Uses the parking brake when loading or unloading passenger.
2. Stops the vehicle six (6) inches or four (4) feet from curb to keep passengers from falling off the vehicle as they load and unload. (This depends on the stopping or parking situation.)
3. Assists all passengers as required.
4. Does not leave elderly and disabled passengers unattended. Makes sure they are in the hands of caretakers or inside their homes/destinations before leaving the property.

2020



Driver's Manual

"The one thing that unites all human beings, regardless of age, gender, religion, economic status, or ethnic background, is that, deep down inside, we all believe that we are above-average drivers." - Dave Barry

Driver's Manual

(Sixth Edition)

1. Reporting to Work

All employees are required to be punctual and report to work on time. If you have been given a specific start time you are to arrive and be punched in no later than that specified time. You are to allow yourself sufficient time to gather paperwork, pre-trip your vehicle, and arrive at your first scheduled stop at least 15 minutes early to allow for possible delays.

2. Appearance

We expect our drivers to be neat in appearance. A neat appearance greatly impacts the way our customers view us and how our employees interact on the job.

Our employees will wear a prescribed uniform as a distinct reflection of our company and our service.

Proper grooming and hygiene is essential for all employees while performing their prescribed duties.

Each full-time driver will be issued 5 shirts by the company and each part-time driver will be issued 3 shirts. Other items may be issued in the future as we expand our business.

Each driver is required to wear either khaki pants/shorts, or blue jeans in good condition. Please ensure that your pants are loose enough to allow for movement and modesty (no yoga pants or leggings). In addition each driver is responsible for ensuring they wear a belt and appropriate work type shoes in good condition. All drivers are required to wear the neon vest provided by the company.

Should an issued uniform article be lost, stolen, or damaged beyond normal wear the replacement cost will be the responsibility of the employee.

If you report to work without the proper uniform, grooming, or hygiene, management reserves the right to ask you to return home without pay and to return when the appropriate uniform, grooming, and/or hygiene has been corrected.

Layers are to be worn under your uniform shirt, not over it. If your layered clothing extends beyond your shirtsleeves it should be black, white, blue or green in color. No other colors are authorized. The only article that should be worn over the uniform shirt is a reflective vest or the company issued jacket.

3. Tobacco and vaping products

It is important to know that every company vehicle is a smoke free vehicle. Under no circumstances is anyone, driver or customer, to smoke or vape in our vehicles. Should a customer be belligerent or adamant an attempt to smoke or vape inside the vehicle you are to immediately pull the vehicle over and tell the customer that you cannot continue with the transport until they have discontinued use of their smoking device. In addition, no chewing tobacco or dip is to be used on the vehicle by the drivers or customers.

The use of tobacco and vaping products is also prohibited within view of minors. If you are transporting minor children, you may not use tobacco or vaping products within view of the minor children.

4. Drugs and alcohol

The use of drugs and alcohol is strictly prohibited on company premises to include company vehicles. Similarly, any driver recovering from an illness or medical procedure and is using any kind of medication that may impair judgment or the ability to perform their job in any way, must check with management before operating a company vehicle. Drivers must submit doctor prescribed medical instructions permitting you to work and to operate a motor vehicle before you are permitted back on the road.

Illegal drugs of any kind are strictly prohibited. All employees are subject to random and just cause drug testing. Should any employee be found to be using an illegal substance their employment will be terminated.

5. Operating Company vehicles

When issued a company vehicle you are ultimately the sole responsible party for ensuring proper cleanliness and the general working conditions of the inside of the vehicle. Likewise, you are responsible for any equipment that has been issued to that vehicle. This includes, but is not limited to, wheelchairs, appropriate straps and locking systems, and any sensitive and non-sensitive pieces of company equipment.

You are responsible for insuring that the issued vehicle is clean both inside and, weather permitting, outside. The company is responsible for providing you with the necessary resources to clean your vehicle. You are, however, responsible for investing the necessary labor to ensure that the assigned vehicle is more than presentable to our customers.

Periodically, a member of management for proper cleanliness and general upkeep will inspect your vehicle.

a. Safe Operation

While operating any vehicle you will use your seatbelt at all times. This rule applies to company vehicles as well as personal vehicles so as to avoid traffic violations that could endanger your employment with the company. Under no circumstances are unauthorized persons to be in company vehicles. This includes friends and family. Additionally, under no circumstances is the company vehicle to be used for any purpose other than official business. Employees found violating the rules will face disciplinary action that may consist of, but is not limited to, fines, suspension, or employment termination.

You are to drive at a safe speed for the conditions of the road that are dictated by law. When embarking on a transport you're required to take the quickest, safest possible route to each destination and are encouraged to utilize the GPS provided for you on your tablet. You are not authorized to make any additional stops while traveling to/from and during your transport.

It is imperative that you communicate any current or potential problems with vehicles to management. Because you will be the primary operator of that vehicle you will have the first-hand knowledge of the operating condition of the vehicle. It is important that we know, as far in advance, of any problems so that we can work to prevent and correct these problems on or before the vehicles next regularly scheduled maintenance inspection.

At all times, on or off duty, you must ensure that you practice safe driving habits and that you are always compliant with the law. Any traffic citation or moving violation should be reported to management immediately. Any kind of citation or ticket can affect your employment with Providence Transportation. We reserve the right to terminate an employee's position as a result of excessive traffic violations.

The company reserves the right to terminate the employment of a driver based upon their motor vehicle report. Therefore, it behooves all employees to ensure that they practice defensive driving and avoid any traffic violations, citations, or tickets while on and off duty.

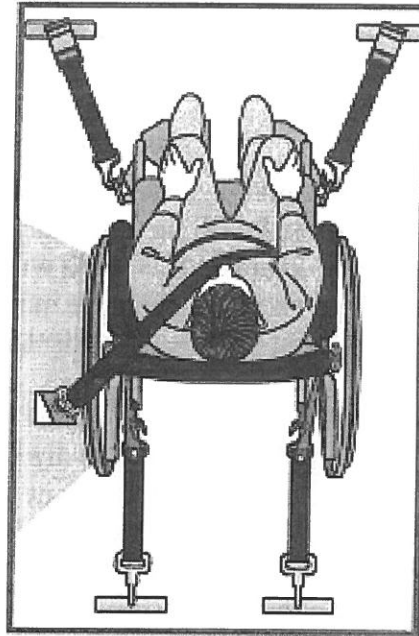
b. Defensive Driving

All Drivers are expected to drive defensively, following the **Five Seeing Habits:**

- 1. Aim High in Steering:** Look as far down the road as possible to uncover important traffic information to make appropriate decisions.
- 2. Get The Big Picture:** Maintain the proper following distance so you can comfortably determine the true hazards around your vehicle. Don't tailgate others.
- 3. Keep Your Eyes Moving:** Scan - but don't stare. Constantly shift your eyes while driving. Active eyes keep up with changing traffic conditions.
- 4. Leave Yourself An Out:** Be prepared. Surround your vehicle with space in front and at least on one side to escape conflict.
- 5. Make Sure They See You:** Communicate in traffic with your horn, lights and signals to establish eye contact with motorists and pedestrians. Be reasonably sure of people's intentions.

c. Wheelchair and Passenger Securement

Wheelchairs are to be secured with four separate floor-mounted restraints at all times while the vehicle is moving. The restraints are to be secured to the corners of the chair, on the frame structure of the wheelchair, at an approximately 45 degree angle, not on the wheels or other parts of the chair. See diagrams below:



In addition to wheelchair securement, seat belts are to be used for securing wheelchair passengers at all times. A lap belt must be securely fastened around each passenger any time the vehicle is moving and a shoulder belt should be used as well, whenever possible.

d. Distracted driving

There are many things that can distract us while driving and cause us to operate our vehicles unsafely. Engaging in activities such as texting, emailing, playing games and using social media such as Facebook, Twitter and Pinterest are strictly prohibited while operating a company vehicle. In addition, cell phone use while driving should be kept to an absolute minimum. Cell phone use while operating a company vehicle is strictly prohibited unless you have a hands free device. However, even if you have a hands free device, you are prohibited from engaging in long, personal conversations while driving.

e. Moving Violations

At all times, on or off duty, you must ensure that you practice safe driving habits and that you are always compliant with the law. Any traffic citation or moving violation should be reported to management immediately. Any kind of citation or ticket can affect your employment with Providence Transportation. We reserve the right to terminate an employee's position as a result of excessive traffic violations.

The company reserves the right to terminate the employment of a driver based upon their motor vehicle report. Therefore, it behooves all

drivers to ensure that they practice defensive driving and avoid any traffic violations, citations, or tickets while on and off duty.

f. Fueling vehicles

Each employee is issued a company credit card for fueling purposes. Each time a vehicle is fueled it will be necessary for the driver to obtain a receipt. The odometer and vehicle # is to be written on the back of the receipt prior to turning it in. Fuel receipts are to be maintained in an envelope in your folder and turned in on a monthly basis. Label the envelope with the month, year and your name.

Your vehicle is to be fueled on a regular basis ensuring that you never run out of fuel. At the end of your shift you are to fuel the vehicle if it is at or below a half tank of fuel. You must ensure that you fuel your vehicle at the appropriate time such as downtime or after schedule transports. It is not appropriate to fuel your vehicle while transporting passengers. Drivers found violating any company fueling policies will face disciplinary action. Drivers found stealing fuel will be terminated and all necessary legal action will be taken.

g. Pre-trip/Post-trip

Pre-trip and post-trip Inspections are to be completed on your equipment daily. Prior to your first scheduled transportation you are to initiate a pre-trip inspection of the vehicle that you will be operating. This inspection is mandatory by the company and North Carolina DOT. This inspection must be performed daily to help ensure proper maintenance and the good working condition of the vehicle. As per North Carolina DOT inspection. These inspections must be conducted at the conclusion of each drivers shift. After completing your trips for the day the completed inspection sheets must be submitted for review.

h. Accident/Injury Reporting

The safety of our people, customers, and of the general public is of utmost importance to us. We train our employees to avoid injury to themselves and others in all phases of their work. We do not tolerate unsafe work practices.

Employees are required to immediately advise the company of any vehicle accident, injury, or situation presenting a danger or injury. This will assist us in preventing injuries or accidents and will ensure that appropriate medical attention and notification is provided.

Near misses are also to be reported when they occur. A near miss is defined as a situation where an accident or injury to an employee or a customer would have occurred without immediate intervention. By reviewing these situations we can assist others in avoiding future at risk situations.

Vehicle breakdowns are to be reported immediately to your manager. All vehicles are equipped with safety devices such as triangles and emergency flashers. If your vehicle breaks down, remove it a safe distance off the roadway, turn on your hazard flashers, and place your triangles behind your vehicle. Passengers should be left on your vehicle until another vehicle arrives, unless it is not safe to do so.

i. Backing

Backing your vehicle is the most dangerous maneuver you will make while driving, therefore we must approach backing with the highest degree of caution. Backing accidents are the most common motor vehicle accident and often the most deadly. The good news is that with planning and awareness, backing can be avoided and eliminated in most cases.

The following guidelines should be applied to every backing situation

- Do not back unless you have no other safe choice
- If you must back, you are to back first into the area when you first arrive before dropping off or picking up passengers so that once you have completed your assignment, you are pulling forward as the first action.
- We will continue with the GOAL, (get out and look) policy.
- Use an adult spotter when backing if available
- Passengers safe. Make sure all passengers are safely inside destination before backing
- Check Carefully - Before backing check carefully in all directions including the rear
- Back no further than necessary
- Back slowly - move eyes, don't fate on an object
- Look, think, and plan. Look high and low and scan for any potential hazards

j. Keeping company vehicles at home

In some cases, you may have the opportunity to keep a company vehicle at your home. Company vehicles are very important assets and must be taken care of. Being able to keep one at your home is a great convenience and carries with it a large responsibility as well as a few additional guidelines. The following items must be adhered to in order to keep a company vehicle at home.

- The vehicle cleanliness, both inside and outside is the sole responsibility of the driver.
- The vehicle must be washed every week or more often when conditions require.
- The interior must be kept free from trash and excessive personal effects.
- The interior must be swept regularly, and the floors must be mopped weekly.
- The vehicle must be left in a secure location.
- The vehicle must not be used for personal use.

- No unauthorized passengers are to ride in a company vehicle.
- You must have access to a jump box or jumper cables capable of jumping vehicle

Since you will be starting the day and ending the day at your home it is important to have a policy that identifies when your hourly compensation starts and ends. In the interest of fairness and consistency to both the employee and the company, the following policy will be enacted for employees that take vehicles home.

Your hourly compensation begins at your start time, at your home. You will be paid for all time driving from your home, to your work area and first pick up. Your hourly compensation ends after you drop your last rider and complete a post trip inspection of your vehicle (maximum 5 minutes). You will not be compensated hourly for your drive home.

You should not come to the office at the end of your day unless requested to do so by management or dispatch, however, you will be required to come to the office once per week to drop off paperwork and have your vehicle inspected.

Your lunch period must be taken on location to minimize deadhead miles.

If you are unable to work on any given day due to vacation, sickness, or other reasons, you will be responsible for bringing the vehicle to the office for someone else to use in your absence. You will also be responsible for getting yourself home.

If the vehicle needs maintenance, notify management as soon as practicable and management will work with you to swap your vehicle out for a different vehicle. Keeping a company vehicle at home is a privilege and the determination is at the sole discretion of the company. This privilege can be taken away at any time without notice or reason.

k. Unauthorized stops

Providence drivers are not to make any unscheduled stops while transporting a passenger. This includes stopping for fuel or taking a break.

6. Customer Interaction

You are to be as accommodating as possible with your passengers without allowing them to take advantage of you or delay your appointments. You should be ready and willing to help passengers get into and out of the vehicle and should also be available to assist wheelchair passengers into and out of their homes.

As a representative of Providence Transportation you are responsible for maintaining good conduct at all times while in and out of area facilities and hospitals. When entering any facility you will be courteous, tactful and polite toward staff, residents, patients, and visitors. All employees are encouraged to be friendly

and promote friendships with the staff of each facility. A lighthearted nature is encouraged, however, it is important that each company representative maintains a high degree of professionalism at all times.

7. Foul, abusive or offensive language

The use of foul, abusive or offensive language is never acceptable while on duty as a Providence Transportation employee.

8. Client Emergencies

In the event of an emergency, immediately contact 911 and provide them with location, type of vehicle, number of passengers and immediate medical need. Then contact dispatch to notify them of the situation. The operations supervisor or the owner will respond to the location to provide support as needed. If needed an additional vehicle will be dispatched to provide transportation for other passengers.

9. Service Delays

Our customers appointments are usually time sensitive. It is important for our customers' peace of mind, as well as our reputation, for us to be prompt and get them to their appointments on time. Sometimes you will have unforeseen delays in your schedule. When this happens it is important that you notify your manager as soon as possible so that we can respond and provide the necessary assistance to get you back on track.

10. Confidentiality

It is important that you are mindful of your conduct and your surroundings. You must be conscious of who can see and hear you and that you are careful with your conversations. To avoid any apprehension on the part of the patient it is necessary to always ensure that you keep patient information in strict confidence.

All company employees are responsible for maintaining the patient's right of confidentiality. The condition or information of any patient is not to be discussed in public. Furthermore, patients and/or family members are not to hold onto any charts or medical records. Should a patient wish to review their records it is necessary for them to consult with their physician or nurse prior to obtaining the records.

As previously mentioned, as an employee of Providence Transportation, it is of the utmost importance that you extend a high level of courtesy and respect to all customers and passengers. Because there is a high probability that we will be transporting many of our customers again we encourage you to introduce yourself to each customer. When addressing a customer it is professional to address him or her as Mr. or Mrs. Rather than by their first name. Also, feel free to converse with the customers when appropriate as most passengers are friendly and will be interested in speaking with you. However, while driving it is important to ensure that you're not distracted from your driving priorities. As a driver, you must be alert to all road conditions and maintain control of the vehicle at all times. Therefore your conversation inside of the vehicle should be limited.

11. Break and down times

Break period: Drivers are required to take a 30 minute unpaid break daily. This break may be taken all at once or it may be split up at different periods throughout the day. 30 minutes may be exceeded if schedule allows. Due to the unpredictable nature of this industry break times will vary daily. The first 30 minutes of the workday with no scheduled work should be taken as the daily unpaid break period. Breaks are not to be taken while a customer is on board.

Down time: Down time is unpaid time and is incurred for any extended period of time without scheduled work. When down time of 1 hour or more is anticipated, drivers are to contact the office for instruction.

Split Time: Split time is intended to help offset the "down time" incurred when a driver has nothing scheduled for one hour or less between transports. When a driver is on split time he or she will be paid for half of the time they are waiting for their next trip. When a driver drops off a client and there is no additional work for the driver to do for up to 1 hour, the driver should go to split time for the waiting period.

12. Working hours

Employees are expected to be available to work a full day's shift each day. They are to work as directed by management until the completion of their duties. All employees are expected to work in the best interest of the company at all times.

Work schedules are based on the requirements of the operation. The normal work schedule for hourly paid employees will be eight (8) hours with 1/2 hour minimum (unpaid) lunch. However, some days may be longer or shorter depending on customer demands.

There may be times when schedule changes are necessary due to absenteeism, operational concerns, and changes in service or other business needs. Management will advise you of any necessary scheduling changes.

Accurate time records are important. If you are compensated on an hourly basis, this time card is the record from which your pay will be calculated. It is important that the information submitted is accurate.

13. Overtime

Management reserves the right to schedule overtime as necessary to meet the operational needs of the business. Overtime hours will be limited to no greater than 45 hours in a workweek, with the exception of unusual circumstances. Overtime will be paid to non-exempt employees for all hours worked in accordance with state and federal law. Only actual hours worked are considered for the calculation of overtime pay. If an employee is found to be exempt from overtime by state or federal labor law, all hours worked will be paid at straight time.

14. Attendance

Prompt and regular attendance is an important part of an employee's responsibility. Faithful attendance is essential to the efficient operation of the company. When employees are absent from work, it hampers our ability to service our customers and places an extra workload on coworkers.

The company realizes that absences due to illnesses or other important events are inevitable. This attendance policy is intended to control unnecessary absenteeism and tardiness, and to ensure the fair treatment of all employees. It is imperative when an employee is absent from work for consecutive days they call daily and speak with a member of management to update him/her on the amount of time they will be out of work.

- **Requested Time Off:** If an employee needs time off from work on a regularly scheduled work day, then he/she needs to submit a Time Off Request Form two weeks prior to the requested date and time. Submission of a Time Off Request Form does not guarantee approval for the day(s) requested. Each request will be handled in a "First-come, first-serve" basis and the final approval or denial will be at management's discretion.
- **Absence:** When an employee is not at work on a scheduled workday. A scheduled workday includes days that are not part of the normal scheduled workweek but are deemed by the appropriate manager as necessary in order to accomplish necessary tasks.
- **Tardy:** Reporting to work any time after your scheduled start time
- **Leaving Early:** Leaving work before the end of your scheduled work shift or completion of your work assignment.
- **Occurrence:**
 - a) Each scheduled workday or consecutive workdays you are absent will be counted as a separate occurrence.
 - b) Each time you are tardy will be a separate occurrence
 - c) Each day you leave work prior to the end of your regularly scheduled shift or completion of your work assignment will be counted as a separate occurrence
 - d) A doctor's note is required for any absence greater than 2 days.

- **Application of attendance policy**

An employee's attendance record will be reviewed on a continuous basis. Each employee will be monitored over a rolling 12 month period. Four (4) occurrences will result in a verbal counseling session, (5) occurrences within a rolling 12 month period will result in a written counseling session. Six (6) occurrences could result in termination.

- **Exceptions**

Absences for the following reasons will not be counted as occurrences:

- Jury duty
- Subpoena-mandated court appearance
- Approved funeral leave
- Military leave

- Other approved absences

An employee will be assumed to have resigned should he/she fail to personally notify management of an absence for three (3) consecutive workdays, or if an employee walks off the job without authorization.

15. Theft and dishonesty

Due to the nature of our business employees may be required to handle money on behalf of the company and to carry a company credit card. All payments entrusted to an employee are to be turned in at the conclusion of their shift. Company credit cards are to be used for purchasing fuel for the company vehicle or other authorized items only. In addition, all employees are required to record their time accurately on their time card each day. If any employee is found to be dishonest in the handling of company payments, resources, or reporting, appropriate discipline will be issued, up to and including discharge.

16. Employee conduct and discipline

Providence Transportation has set reasonable conduct guidelines. These guidelines allow us to coordinate a variety of activities within our organization and to provide a safe working environment for our employees and customers.

All Providence Transportation employees are expected to meet and maintain an acceptable level of job performance and adhere to all company policies. In the event an employee exhibits poor job performance, does not meet an acceptable level of performance, or demonstrates inappropriate behavior or conduct, the company may use any or all of the following:

- Verbal coaching and counseling
- Documented verbal warnings
- Formal written warnings
- Suspension
- Termination

It is our policy to treat all employee performance and discipline issues in a fair and consistent manner. In most cases, each employee will be advised of the incorrect behavior and given the opportunity to correct the problem. It is generally our practice to offer counseling and coaching to an employee, however, this is left to the discretion of the manager.

The following violations are considered serious violations and could result in immediate termination:

- Failure to submit to a drug test
- Failure to pass a drug test
- OMVI or DWI conviction
- Negligence resulting in a passenger injury or serious auto accident
- Insubordination
- Workplace violence
- Dishonesty
- Sexual Harassment

- Felony conviction
- Theft of company or customer property
- Failure to report to work for 3 consecutive days without acceptable written documentation

17. Integrity

We insist upon integrity in our people. Integrity is fundamental to how we run our business and essential to maintain compliance with our policies and legal requirements.

Operating with integrity means that we provide an atmosphere in which our people can perform their jobs in an ethical manner. We present our company honestly to our employees and expect them to be honest with us.

We require our employees to be of high moral character. However, when we discover a dishonest person in our organization, we deal with that individual quickly and firmly. For our company to be known for its integrity, each one of us must meet high standards.

18. Workplace Violence

We prohibit violent behavior including but not limited, physical assaults, fighting, threatening comments, intimidation, and the intentional or reckless destruction of company, employee, or customer property. Any comments or behavior that reasonably could be interpreted as intent to do harm to people or property will be considered a threat.

19. Pay procedures

Employees are normally paid weekly. Direct deposit is mandatory for all employees. Any disputes over paychecks should be brought to the attention of management immediately.

20. Employment

Your employment at Providence Transportation is considered to be "employment-at-will." In the event that you decide to resign your position please seek out your supervisor and provide a minimum two (2) week notice so the company can make arrangements to find a replacement. Employees who leave in good standing will be given consideration if they wish to return to work at a later date. All company property in an employee's possession, including uniforms, credit cards and keys, must be returned upon separation.

21. Performance Reviews

We conduct regular reviews of our people to evaluate their performance. We provide frequent feedback in regards to performance towards company objectives.

22. Non-dissemination of proprietary information and confidentiality

Employees of Providence Transportation shall not share any proprietary information with any party not affiliated with Providence Transportation except in

the regular course of business with the employer's approval. Proprietary information shall include, but not be limited to, customer lists, client lists, patient lists, fees, rates, client information, patient information, income related information, and all other information protected by the employer and shared with the public. This provision shall be enforceable at law or in equity, including but not limited to, the imposition of injunctive relief against employee. Employer shall be entitled to compensation for any and all costs and expenses incurred in enforcing this provision, including reasonable attorney fees. This restriction shall be enforceable for a period of two (2) years from the date of termination.

23. Driver Job Description

- **Role and Responsibilities**

- **Role:** Providence Transportation provides non-emergency medical transportation to people who go to medical appointments and other destinations. Our drivers are compassionate, caring, reliable and responsible individuals charged with getting clients with mobility challenges to their destinations safely and on time.
- **Job Responsibilities:**
 - Show up to work in a timely manner
 - Receive client trip information from a manifest and from an Android based Tablet.
 - Drive clients to their destinations on time using the vehicle provided by the company
 - Company fleet includes: minivans, vans and small buses (no CDL required).
 - Assist ambulatory and non-ambulatory clients as they get into and out of the vehicle
 - Safely and correctly secure wheelchairs using the wheelchair securement system.
 - Report back to the dispatcher when clients have been dropped off at their destination
 - Report traffic delays en route back to dispatcher
 - Report any incidents or accidents to the dispatcher or supervisor
 - Able to maneuver both standard and electric wheelchairs
 - Operate wheelchair lifts
 - Capable of doing routine pre-trip and post-trip maintenance inspections
 - Maintain the cleanliness of their assigned vehicle
 - Adhere to company policies, protocols and driver's manual

- **Physical Demands:**

- Work is performed while standing, sitting and/or walking
 - Requires the ability to communicate effectively using speech, vision and hearing
 - Requires the use of hands for simple grasping and fine manipulations
 - Requires bending, squatting, crawling, climbing, reaching
 - Requires the ability to lift, carry, push or pull medium weights, up to 50 pounds and maneuver wheel chair clients up to 400 pounds
 - Requires the ability to manually operate the Wheelchair lift if necessary
- **Qualifications and Education Requirements**
 - Must have previous customer service experience with a good track record of assisting customers in a thoughtful, caring and timely manner
 - Must have a great work history with a track record of being a reliable responsible individual (must provide references from previous employer (s))
 - Must possess a valid North Carolina Drivers License
 - Must have a clean driving record with no more than 2 points in the last 5 years
 - Must pass a criminal background check with no felonies or serious misdemeanors
 - Must pass a pre-employment drug test and must be pre-subjected to just cause and random testing annually
 - Must have a high school diploma or GED
- **Preferred Skills**
 - Know how to keep a level head in a busy environment
 - Must be flexible with an ever changing schedule
 - Must be passionate about helping people
 - Great communication skills
 - A good working knowledge of the Piedmont Triad area is a plus
 - Able to drive in inclement weather conditions
 - First Aid/CPR certification a plus but not required (we will train and certify you if needed)

Additional Notes

The candidate for this position will be a great communicator, enthusiastic about the opportunity and have experience in customer service. Training will be provided and regular performance reviews conducted.

If at any time an applicant fails in any of the listed qualifications, the applicant is subject to immediate dismissal at the employer's discretion. It is the applicant's responsibility to inform the employer, Providence Transportation Inc, if any event has occurred that may jeopardize the employee's standing in regard to his/her employment with Providence Transportation Inc.

By signing below, the applicant acknowledges having read and understood the job description provided for the position of driver with Providence Transportation Inc., and knows of no medical condition that would prevent them from being capable to perform the expected job responsibilities and agrees to adhere to the responsibilities, qualifications and preferred skills needed for the position of driver with Providence Transportation Inc.

Statement of receipt of Driver's Manual

I hereby acknowledge receipt of the Driver's Manual. I certify that I have read and fully understand the rules and procedures contained in it. I acknowledge my full responsibility to follow them faithfully in all respects.

Name: _____

Signature: _____

Date: _____

This Driver's Manual was updated 02/26/2020. This is the sixth edition and supersedes any previous manuals and procedures of the Providence Transportation Driver's Manual.

Re: After Action Approach

From: Providence Transportation <providencetransportation@gmail.com>

No Backing Certification.pdf (1.5 MB)

Kara,

After reviewing everything that we know about this tragic accident we believe the driver could have avoided this entirely had he followed the policies in which he was trained. However, we are going to amend our current policies to make them even stronger and ensure compliance by retraining our workforce and performing on-area observations throughout the year.

Our training.

Client drop offs: Current training states "Make sure passengers are safely inside destination before leaving property"

I think this is very clear and does not need to be changed. Although we are going to add this to our backing certification that will be explained below.(See attached)

Backing: Our current backing training reads as follows:

Backing the vehicle can be very dangerous and should only be done when absolutely necessary. If you must back the vehicle, you should do the following:

1. If possible, get out of the vehicle to assess any hazards/obstacles "GOAL" = Get Out And Look!
2. Use an adult 'spotter' to alert you to possible hazards
3. Before backing, check carefully in all directions, including the rear

As you can see we have a backing policy that discourages backing but we will add to our current policy on backing and put more emphasis on NOT backing.

- Do not back unless you have no other safe choice
- If you must back, you are to back first into the area when you first arrive before dropping off or picking up passengers so that once you have completed your assignment, you are pulling forward as the first action.
- We will continue with the GOAL, (get out and look) policy.
- Use an adult spotter when backing if available
- Passengers safe. Make sure all passengers are safely inside destination before backing
- Check Carefully - Before backing check carefully in all directions including the rear
- Back no further than necessary
- Back slowly - move eyes, don't fate on an object
- Look, think, and plan. Look high and low and scan for any potential hazards
- A backing certification will be created and implemented into our initial and annual training. I have attached a copy of this certification for your review.
- This certification will be administered through verbal training and through observation by a supervisor. The certification will be signed off and placed in the drivers file.

These policy enhancements should eliminate a very high amount of backing conditions and make the conditions safer when we do still have to back.

I will also be looking into the feasibility of installing backup cameras into our vehicles. This may take some time to find a system that is compatible with all of our vehicles that doesn't pose any other safety concern with how it is installed and monitored.

I believe that if we heighten our awareness around these policies by retraining and certifying every driver, we will eliminate this from ever happening again. We began the retraining process with our driver "safety stand down" meeting last night.

We continue to pray for everyone involved. Our hearts are truly broken over this tragic event.

Dave Stevens
Providence Transportation
Office 336-472-RIDE(7433)
Mobile 336-508-6322
Fax 336-472-5668
Dave@providencetransport.com
<http://www.providencetransport.com>

No Backing Certification



Employee Name (Print): _____

This document serves as an initial, refresher, or annual certification for the Providence Transportation Driver in the area of backing up a company vehicle. The employee fully understands and is capable of applying all practices and polices to avoid backing in all circumstance unless absolutely necessary.

No Backing	YES	NO	N/A
Do not back - unless you have no other safe choice			
Back First - If you must back, you are to back first before dropping off or picking up passengers so that once you have completed your assignment, you are pulling forward as the first action.			
GOAL (get out and look) - If possible, get out of the vehicle to assess any hazards/obstacles. Do a complete walk around your vehicle			
Spotter – if available use an adult 'spotter' to alert you to possible hazards			
Passengers Safe - Make sure all passengers are safely inside destination before leaving property			
Check Carefully - Before backing, check carefully in all directions, including the rear			
Back no further than necessary			
Back Slowly – move eyes, don't fixate on an object			
Look, think and plan. – Look high and low. Scan area for any potential dangers			

Comments:

Employee Signature: _____ Date: _____

The certifying official acknowledges that the Driver has completed all required training contained within this form and is fully capable of complying with the No Backing policy.

Print Name: _____ Title: _____

Signature: _____ Date: _____



Vocational & Life Skills Training
for Adults with Disabilities

March 25, 2020

Laura Rodriguez
Facility Compliance Consultant I
Mental Health Licensure and Certification Section
NC Division of Health Service Regulation
2718 Mail Service Center
Raleigh, NC 27699-2718

Dear Ms. Rodriguez:

Please find enclosed the plan of correction required per your complaint survey completed March 5, 2020 at The Workshop of Davidson. Thank you for your assistance during this review.

Sincerely,



Kara Cody
Executive Director

DHSR-Mental Health

MAR 26 2020

Lic. & Cert. Section

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P.O. Box 906
Lexington, NC 27293-0906

Location:
275 Monroe Road
Lexington, NC 27292

Group Homes
228 West Ninth Street, Lexington, NC
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