



ATTN: Dave Pratt

FAX: 360-586-1150

RE: TE-160946

From: Eric Rupp

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ph: 206-650-5795

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WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION
PENALTY ASSESSMENT TE-160946

PLEASE NOTE: You must complete and sign this document, and send it to the Commission within 15 days after you receive the penalty assessment. Use additional paper if needed.

I have read and understand RCW 9A.72.020 (printed below), which states that making false statements under oath is a class B felony. I am over the age of 18, am competent to testify to the matters set forth below and I have personal knowledge of those matters. I hereby make, under oath, the following statements.

1. **Payment of penalty.** I admit that the violation occurred and enclose \$ _____ in payment of the penalty.

2. **Contest the violation.** I believe that the alleged violation did not occur for the reasons I describe below:

a) I ask for a hearing to present evidence on the information I provide above to an administrative law judge for a decision

OR b) I ask for a Commission decision based solely on the information I provide above.

3. **Application for mitigation.** I admit the violation, but I believe that the penalty should be reduced for the reasons set out below:

a) I ask for a hearing to present evidence on the information I provide above to an administrative law judge for a decision

OR b) I ask for a Commission decision based solely on the information I provide above.

I declare under penalty of perjury under the laws of the State of Washington that the foregoing, including information I have presented on any attachments, is true and correct.

Dated: 8-26-2016 [month/day/year], at SEATTLE, WA [city, state]

ERIC RUPP or EVERGREEN ESCAPES
Name of Respondent (company) – please print
[EXPLORERS 3]

[Signature]
Signature of Applicant



Eric Rupp
Evergreen Escapes
2960 4th Ave S. Suite 115
Seattle, WA 98134
US DOT# 2428250
CH #65289
July 26, 2016

Gregory J. Kopta
Administrative Law Judge
Washington Utilities & Transportation Commission

Dear Gregory J. Kopta:

RE: Penalty Assessment: TE-160946

I'm writing in response to the *Notice of Penalties Incurred and Due for Violations of Laws and Rules* post marked August 16, 2016 in order to request mitigation or suspension of the penalty amount.

Explorers 3 LLC, dba Evergreen Escapes is a small travel company. In addition to designing trips for international travelers, we serve as a tour operator with naturalist guides taking guests to wild and scenic places. We remain family owned and staffing ranges from seven employees in the winter season to 30 or more during the summer. Our goal is to increase guest access to the positive effects of travel and nature; to do that responsibly (and sustainably) we make safety an important part of our training and implementation from highway to trail.

The safety audit conducted in July which resulted in a "Satisfactory" rating did reveal several weaknesses in our internal procedures. Our shortcomings resulted in three drivers conducting tours with expired Medical Examiners cards. Several compounding errors lead to these violations--the first being our informality regarding overseeing of the driver qualification files: our guides were trained on the new requirements at the time of our application with the UTC; our previous policy placed responsibility to maintain current certifications upon our guides. Our second error was a concentration of knowledge within one manager who was absent for a significant period of time--resulting in weak oversight. Our final error was not establishing

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firmly set dates for the periodic verification of compliance within our informal driver qualification maintenance system.

The issues of relying on driver self-auditing, having a concentration of knowledge with a single individual and procedural informality have been addressed through the creation of our *Driver and Vehicle Safety Manual* (attached). This manual clarifies that maintaining compliance is an important safety system which is the responsibility of both guide and management. It also catalogues regulations and necessary steps to maintain compliance in an accessible way for our guides and management staff--eliminating the concentration of knowledge previously kept with one individual. Lastly, the *Driver and Vehicle Safety Manual* formalizes our process for the effective implementation of our entire safety and compliance program, creating accountability and clarity for our management team regarding current standards, certifications, and documentation.

We do understand the gravity of these violations and have taken every action we can conceive of in order to correct them and prevent future occurrence. As a small company that works within a very low-margin & seasonal industry (our company-wide 2015 gross revenue is \$1,575,000; our Washington office 2015 gross revenue was \$552,241) while simultaneously struggling to break free from debt incurred attempting to gain traction in such a competitive market, a \$5500 penalty is a significant financial setback for Evergreen Escapes.

As stated in Docket A-120061 we understand that the Objectives of the Commission's Enforcement Program is to ensure that services are delivered safely; as we have tried to demonstrate through our audit response letter prior to receiving this penalty--we are fully committed to compliance and its larger objective of safety. Furthermore, a major spending priority, given our financial capacity to do so, is to hire seasonal assistance for our Washington office staff, increasing our ability to review and verify all drivers and vehicles maintain compliance.

We respectfully request the Commission mitigate this penalty to a *per violation* penalty instead of a *per occurrence* penalty after taking into consideration our attempts to fully participate and cooperate, our swift and thorough identification of the errors leading to violations and our immediate actions to correct all current deficiencies and prevent future violations. Alternatively, we request the Commission suspend the penalty based on the assertions below:

1. This is a first-time penalty for any violation for Evergreen Escapes.

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Gregory J. Kopta

7-26-16

Page 3

2. We have taken specific action to remedy the violations, and to avoid the same or similar violations in the future including leveraging technology, making system changes, and adding company training.
3. We are willing to discuss and agree to a reasonable compliance plan, and believe our current process would address this.
4. We are open to a follow-up investigation, and further input from the UTC to make sure our systems are correct and running accurately and efficiently to ensure compliance.
5. Our circumstance is one of a small company pursuing its passion of sharing the fantastic wild spaces which can be found in Washington. Travel is a low margin business, and we believe the penalty money would more effectively serve the goal of safe operations if spent on future compliance instead of past mistakes.

As the Commission makes its decision we would like to respond to, amend, or provide addition information to the statements given in the Penalty Letter's list of Factors:

7. The gross revenue as reported reflects the business as a whole, and is primarily attributed to verticals that do not engage transportation within Washington State, as regulated by the UTC. Of the \$1,575,000, only \$552,241 is attributable to operations as regulated by the UTC. We served slightly less than 3,000 guests.
10. We believe the Driver and Vehicle Safety Manual does in fact constitute a formal compliance program. This document was created in response to the audit and was included with the audit response letter, and again to this letter. It contains formal processes, guidelines, and references to relevant regulations.
11. As stated in factor 7 above, gross revenue as attributable to services provided in Washington is \$552,241 of the \$1,575,000 total gross revenue.

Thank you for considering our appeal. I am happy to address any questions or concerns that you may have.

Sincerely,



Eric Rupp

**Director of Tour Operations
Evergreen Escapes**

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evergreen escapes
C A S C A D I A

Driver and Vehicle Safety Manual

UTC Compliance Program

Update v3: July 2016

World Class Guides, World Class Drivers

Table of Contents

Introduction

Hiring, Training, and Retention

Driver Information

- I. Driver Training Overview
- II. Driver Qualifications
- III. HOS (Hours of Service)

Vehicle Information

- I. Vehicle Inspection Policy
- II. Pre & Post Trip Vehicle Inspection Procedure
- III. Vehicle Walk-Around Procedure
- IV. Operations Vehicle Inspection Procedure
- V. Vehicle Maintenance
- VI. Annual Vehicle Inspections

Oversight Section

Fixed Date Reviews

- I. Fixed Date Driver Reviews
- II. Fixed Date Vehicle Reviews
- III. Policy Review

Variable Date Reviews

- I. Violations Register
- II. Repercussions

Introduction

Evergreen Escapes is a tour operator built on a belief in the transformative ability of extraordinary travel experiences to change people's lives. We design our trips to delve into the limitless beauty of nature through direct interaction and active education. Through our Seattle, Portland, and San Francisco based operations our naturalist guides take guests in groups no larger than 10 to different locations in Washington, Oregon, and California in 12 passenger Mercedes Sprinter vans. We provide transportation from downtown city hotels to these experiences, and back as a complimentary part of the tour. The vast majority of our tour operations are same day tours.

While it ultimately is responsibility of the Director of Tour Operations to maintain compliance and ensure safe transportation of guests, Base Camp General Managers in each branch oversee the day to day operations and communication with guides and Ops staff. Beyond this management level the responsibility for maintaining safe practice and vehicles is a vital part of every position at the Base Camp. This begins with a thorough understanding of regulatory requirements, clear communication of these requirements to all base camp staff, and extends through compliance and evaluation structures that prevent oversights, catch mistakes, and continually improve.

Systems are constructed to encompass each feature and specific requirement of the code, ensuring both timely compliance, safe operation, and the ability to demonstrate how each regulation, and each non-compliance issue is addressed. The communication of this information to general staff, and guides is multi-faceted. Guides are required to complete an initial training, and during the driver test guides must demonstrate their understanding of the materials and requirements. Further, refreshers and discussions are to be completed twice yearly at all guide/operations training meetings. Lastly, being a small company that operates day tours, there is consistent direct contact between management, operations, and guides with frequent opportunities to ask questions, review processes, and address specific situations or uncertainties between management and staff. System evaluation is described in the Oversight portion of this document.

Hiring, Training and Retention

Hiring: Recruitment of drivers occurs most succinctly as recruitment of multi-talented naturalist. The adventure travel business is a relatively small community and guiding is a desirable position so we are often receiving and reviewing applications. Confirming the ability of potential guides to confidently and safely operate vehicles is a fundamental part of the evaluation process when considering new hires. We have a very clean safety record and want to keep it that way.

Training: When new employees are brought into the team they undergo a significant orientation process. This orientation includes a great deal of information as represented in the Guide Website which addresses pre and post trip logistics, on-trip procedures, guide responsibilities, DOT and driver responsibilities, destination specific logistics and information, as well as guiding goals and natural interpretation training. As a separate orientation element, guides are walked through a segment specifically addressing the DOT requirements. More on the orientation presentation is included in the Driver Information section below.

Retention: We strive to retain our guides for many reasons. Continuity in staffing greatly reduces training efforts and allows employees to continue to grow and become stronger and more varied in their duties. Providing a livable wage and ever growing ranges of responsibility and access to growth allows us to maintain highly talented staff on our operations team. Having far higher than average wages, always changing trips, reasonable hours, and opportunity for continuing education and growth allows us to continue to attract and keep highly talented guide staff. Additionally to combat a notoriously volatile field we have a guide representative in the Operations Manager whose purpose is to consider the guide's point of view, personal and professional needs, and desires of guides and protect those interests among the company management. Also open communication is highly encouraged with office staff, and a largely horizontal corporate structure encourages an environment that is open, honest, and healthy.

Driver Information

I. Driver Training Overview:

All drivers upon hire (or return after 12 months or more) should receive a hiring package and an explanation of documents in order to address questions and set expectations. The Overview is to be completed by the Operational staff once the documents have been distributed to the guide.

1. Application:

While relatively self-explanatory it's important inform any guide who has previously worked for a DOT controlled company (in a driving capacity) to know that Evergreen Escapes will be reaching out to the previous employer to check on their driver status and record. The driver has the right to see the report and submit a rebuttal if desired. Refer to the documents enclosed in the hiring packet, and if in-depth questions arise refer to code. (49 CFR, 391.21) Make sure that every section of the application is completed, using notations such as "N/A" or "none" where applicable to show that each section has been considered and addressed.

2. MVR release:

EGE will be reaching out to all states in which the guide had a license during the previous three years to check their driving record. This will be performed each year for returning guides.

3. Certification of Violations:

In this document guides can list any traffic violations and give an explanation to be reviewed by the Base Camp General Manager.

4. The Washington State Utilities and Transportation Commission (UTC) requires that EverGreen Escapes have on file in our office (and drivers have a record kept with them) a certificate for each driver indicating they have passed a **commercial drivers medical exam**. It's a pretty simple process to get completed. They check your eyes, your ears, your urine, and few other things to make sure you're physically up to the task of driving. Drivers should go to [US Healthworks](#) which has at least three locations here in Seattle, and are really easy to work with. They take appointments and walk-ins. US Healthworks has all the forms already in office, and may give you a nice little laminated certificate card that will fit in your wallet. We need to have a copy of your card on file in the office before you drive for us, and you must always have the card on you while operating one of our vehicles. Prior to your exam, please verify with the examiner that they are on the National Registry of Certified Medical Examiners, if they are not you will need to get another examination at your own cost. The Base Camp General Manager will be verifying all Med Cards.

5. Road Test:

This test will give us confidence that you can adequately do a walk around pre and post trip inspection as well as competently and safely operate the vans (including all internal controls such as heat and air conditioning, cruise control and door locks.) If you would like to practice before you take your test please let Operations know and you can get some time in the van with General Manager or other approved staff member.

6. General Driving Rules:

- May Drive a Max of 10 hours after 8 consecutive hours off duty
- May not drive after having been on duty 15 hours following 8 consecutive hours off duty.
- May not **Drive** after 70 hours on **duty** in 8 consecutive days.
- **DO NOT USE YOUR CELL PHONE WHILE DRIVING** (texting or talking, including at stop lights)

Guides are expected to know these rules by heart. They're easy enough. Guides are expected to adhere to these rules and self-monitor. It is the guide's responsibility to make sure they do not exceed their hours of service and can potentially lose future work if it is discovered that they are not staying on top of their Hours of Service and doing their DVIRs properly. You can potentially lose your job for using your cell phone to talk or text while driving. Upon hire and explanation guide should sign off on having received and reviewed the General Driving Rules.

7. HOS (Hours of Service):

Drivers are responsible for making sure they don't violate the HOS requirements as laid out in the General Driving Rules distributed to each guide and included in clip boards. Evergreen Escapes is permitted to operate under short-haul provisions, doing the more detailed DDSR sheets when exceeding allowable work day hours.

- All Drivers must complete a Driver's Time Record for each month, including the 7 days prior to any trip lead.
- All Drivers must complete a Driver's Duty Status Record for all trips that are 12 hours or longer. (Most Full Day Mountain Tours)

It is vital that Guides look ahead at their schedules to identify potential conflicts with the 70 hours in 8 days requirements. Do not show up the day of your tour only to say that you can't work that day, and don't plan on being able to work if it means going over hours. Part of the responsibility of working as a guide is being aware of your hours, and the driving restrictions.

8. DVIR:

These forms are intended to make sure the vehicle used to transport guests is verifiably safe. Before every trip you need to complete a walk around of the vehicle and confirm that there were no issues, or any issues were satisfactorily addressed, during the previous operation of the vehicle. This will be explained in greater detail but it's your responsibility to make sure the vehicle is safe before departing. Do not leave in a vehicle you are not 100% confident is road ready.

II. Driver Qualifications

1. Policy:

All drivers must meet the qualifications as listed in 391.51, and must be entered in the Driver Qualification Spreadsheet before being allowed to drive. Returning drivers must be checked against the DQS to verify all required documentation is current. See the UTC's Driver Qualification File Checklist.

2. Procedure:

1. Upon hire distribute the New Guide Hire packet with all applicable forms. (Driving and HR)
2. Complete the Driving Training Overview with the guide as mapped out above to explain UTC rules.
3. Collect all documents and check to make sure all lines have been filled out fully.
4. If the driver worked for a DOT controlled employer as a driver in the previous three years, contact the previous employer per 391.23 (2). If the driver did not work for a DOT controlled employer complete form indicating that the guide did not work for such a company.
5. Send in MVR request to all relevant states 391.23 A (returning guides per Oversight Section)
6. Consolidate and enter information into the DQS (Driver Qualification Spreadsheet).

7. Once all qualifications and documentation are collected, sign the “manager” portion of the offer letter and date it. This date the effective hire date.
8. Check and save the DQS regularly per the Oversight Section of this document.

III. HOS (Hours of Service)

1. Policy:
 1. Maximum driving time per 395.5
 2. Record of duty status per 395.8 – excepted by short-haul provisions of 395.1(e)
 3. All drivers must adhere to the maximum driving hours, and document all working hours.
 4. Guides shall conduct self-audits on a monthly basis, and be prepared to present information during a review if errors are found.
2. Procedure:
 1. Guides fill out Driver’s Time Record every month, and including 7 days prior to any trip lead.
 2. Guides fill out the Driver’s Duty Status Record for every trip that extends 12 hours or more.
 3. Guides can refer to examples in Driver Cabinet, or ask support staff if they have any questions.
 4. File in individual Driver Files in Office cabinet
 5. Operations staff review per Oversight Section, Guides should be self-auditing per Oversight Section.

Vehicle Information

I. Vehicle Inspection Policy:

1. It is a requirement (396.11 (DVIR)) mandated by the Washington State Utilities & Transportation Commission (UTC) and Evergreen Escapes that every driver (guide) shall perform a walk-around vehicle inspection report (DVIR) **prior to and after** the operation of the vehicle. *Following this policy is a condition of employment.*
2. Before driving a motor vehicle, the driver shall (396.13 (Driver Inspection)):
 - i. Be satisfied that the motor vehicle is in safe operating condition:
 1. If a driver identifies ANY issue that raises questions of the safety of using a vehicle, contact the General Manager or Operations Manager immediately and do not use said vehicle until issue has been resolved.
 - ii. Review the last driver vehicle inspection report:
 1. See Vehicle Inspection Procedure in the following section.
3. Prior to requiring or permitting a driver to operate a vehicle, Evergreen Escapes or its agent shall repair any defect or deficiency listed on the driver vehicle inspection report which would be likely to affect the safety of operation of the vehicle.
4. The General Manager or Operations Manager is responsible for reviewing DVIRs daily after each use.
5. A DVIR inspection sheet must be filled out for every run—even if no maintenance issues are discovered.
6. A DVIR inspection sheet must be filled out for rental vehicles to ensure that another company's vehicle is up to our maintenance and safety standards.
7. DVIR inspection sheets must be maintained for a minimum of three months.

II. Pre & Post Trip Vehicle Inspection Procedure (UTC Code 396.11 & 396.13)

Pre Trip

1. A driver must review the previous "Pre & Post Trip Inspection" Driver Vehicle Inspection Report (DVIR) entry:
 - i. If no defect(s) noted on last DVIR, no further action is needed.
 - ii. If defect(s) noted on last DVIR:
 1. The driver must sign DVIR noting that a certification is made that required repairs have been performed before using a vehicle -OR-
 2. Verify that Operations has deemed the vehicle safe for use (Ops signature required).
 - iii. If a defect has not been addressed contact the General Manager immediately and do not use said vehicle until the issue has been resolved.
2. A driver (guide) must complete a walk around of their assigned vehicle before each trip.
 - i. Follow the "Vehicle Walk Around Procedure" guidelines and record inspection findings on the "Pre & Post Trip Inspection" DVIR form.
 - ii. *Notes and documentation are not needed unless there is an issue that needs to be addressed prior to future use of the vehicle.*
3. If a driver identifies ANY issue that raises concerns over the safety of using a vehicle, contact the General Manager or Operations Manager immediately and do not use said vehicle until issue has been resolved.

Post Trip

1. A driver must complete his or her DVIR by completing a walk around of the vehicle at the end of the day
2. Use the "Vehicle Walk Around Procedure" guidelines to examine vehicle condition at end of run. Make note of any vehicle issues on the DVIR.
 - a. Must list all noted defects
 - b. Driver must sign the report
 - c. List "no defect" in space provided for notes if no issues have been found.
 - d. Sign DVIR sheet at end of run. Call and email Operations and General Managers with issues.

III. Vehicle Walk-Around Procedure

During walk-around **follow steps below** to ensure vehicle is ready for the field:

- 1) Approaching vehicle: note general condition. Look for leakage of water, fuel or lubricants under vehicle.
- 2) Under hood: check coolant, crankcase and any other fluid levels. Inspect fan and compressor belts for cracks, excessive slack and wear. Note general condition of engine space.
- 3) Turn key slightly to allow glow plugs to warm (coil light will go dark when ready), start engine and set at fast idle for warm-up. Listen for abnormal engine noise. Check gauges and automated warning lights for normal readings (oil pressure and temperature, voltmeter, coolant temp., and warning devices).
- 4) Check fuel level.
- 5) Check horn, windshield wipers, parking brake, and adjust mirrors.
- 6) Check emergency equipment (charged fire extinguisher, three signal triangles, and spare fuses (chains in winter).
- 7) Turn on all lights including 4-way flasher switch for turn signals. Check steering wheel action.
- 8) Leave cab to check headlights and turn signals. Switch headlights on and check both beams, then turn off headlights only. Leave all other lights on.
- 9) Check left and right front wheels, tires, and lugs. Check for leaks.
- 10) Check right side of vehicle, doors, mirrors, etc.
- 11) Check right rear tires, wheels, and lugs.
- 12) Check rear of body, mudflaps, lights.
- 13) Check left rear tire, wheels, and lugs.
- 14) Re-enter vehicle: re-check all gauges.
- 15) Turn off 4-way flasher.
- 16) Inspect seats and seatbelts.
- 17) Make a test stop before leaving the office.
- 18) Re-fuel vehicle after each and every run.

Don't forget: Fasten your seatbelt.

IV. Operations Vehicle Inspection Procedure

After any vehicle has been used in the field, and prior to returning said vehicle to duty in the field, an employee of the Evergreen Escapes Operations team (General Manager, Operations Manager, or Operations Coordinator) must review the most recent DVIR inspections for the vehicle to ensure a safe vehicle maintenance level.

On a daily basis, the Operations team must:

1. Complete a review of the last driver vehicle inspection reports (DVIR) for each vehicle:
 - a. Inspect the DVIR records of the most recent 2 or 3 field days for each vehicle for issues that drivers have identified requiring attention.
2. Complete a brief physical assessment of the exterior and interior of each vehicle for obvious visual issues;
 - a. Check the exterior of the vehicle, tires and wheels, light and windows, and the underside of the vehicle for readily apparent flaws or damage.
3. Address any maintenance issues or notes recorded by drivers (guides) on the Pre & Post Trip Inspection (DVIR).
 - a. Document any maintenance concerns and subsequent repairs (major or minor) in the vehicle's binder with a note on the Maintenance Log that corresponds to documentation in the "Inspection, Repair & Maintenance Record." Initial and date the DVIR to certify completion of maintenance.
 - b. If maintenance can competently be done in house, do it.
 - c. If maintenance needs to be done elsewhere but the vehicle can still be safely used in the field, reserve a date with a mechanic and inform drivers of the situation on the Operations dry-erase board and the DVIR.
 - d. List all maintenance in the maintenance log and support with documentation whenever possible in the maintenance record section of the vehicle binder.
 - e. If a vehicle needs to be removed from service IMMEDIATELY inform the General Manager and Operations Manager of the situation and begin to plan for corrective maintenance.
4. Be satisfied that each motor vehicle is in safe operating condition before allowing drivers to operate.

V. Vehicle Maintenance

1. Preventative Maintenance Planning

- i. For regularly occurring preventative maintenance follow the “Service Menu” for each Mercedes Sprinter based upon the year of the vehicle. Note all maintenance in the vehicle log, and support with documentation in the maintenance section.
 1. Currently, all Sprinters are programmed to notify drivers of upcoming or missed service events (i.e. “Service B due in 1,000 miles”; “Service B missed by 10 miles”)
 2. Evergreen Escapes will be moving to the software “Fleetio” to track odometers on all Sprinters and better anticipate upcoming regularly occurring preventative maintenance.
 3. See attached maintenance “Service Menus” (provided from Mercedes SoDo) for updated scheduled service periods
 4. The Evergreen Escapes Operations team must attempt to reserve regular maintenance dates, well in advance, for windows of time when the vehicle is not needed for the servicing of trips/tours.
 5. In addition to tracking odometers and anticipating regular maintenance, Fleetio software will be used to document maintenance invoices, track maintenance costs, and alert our Operations team of upcoming service dates and inspections.

2. Reactive Maintenance

- i. Per the DVIR (Pre & Post Trip Inspection) and in addition to the driver’s daily walk-around of any vehicle, a member of the Operations team must perform a daily physical inspection of each vehicle and its corresponding recent DVIR entries to ensure that vehicles are ready for operation in the field. Note all maintenance in the vehicle log, and support with documentation in the maintenance section.
 1. *Minor*, easily rectified maintenance issues should, when possible, be addressed/repared the evening they are returned to the office.
 - a. Fluid levels, air pressure, minor mechanical issues, light bulbs, DEF (diesel exhaust fluid), wiper blades, etc. can be easily repaired or replaced with little notice.
 - b. Occasionally, these minor issues will require time to source/purchase replacement parts. In these instances, a member of the Operations team must certify that each vehicle is safe to use in the field prior to repairing the documented issue.
 2. *Major* maintenance issues that bring into question the safety of using a vehicle before the issue(s) is addressed should be brought to the attention of the Operations team immediately.
 - a. Vehicles must be removed from service if any maintenance issue appears significant enough to make the vehicle unsafe for use.
 - b. Any instance of removing a vehicle from service must be immediately conveyed to the General Manager and Operations Manager as this could potentially have a significant impact on short-term scheduling—CALL & EMAIL THEM.
 - i. Concerning instances when a vehicle must be removed from service due to a safety concern, a member of the Operations team must certify that repairs have been completed (use the DVIR) before recommending that a driver (guide) use said vehicle.
 - ii. *Rental vehicles, additional guides, and rescheduling/cancelling tours may be considered if a vehicle is removed from service the evening prior to a scheduled vehicle field day.*
 - c. In instances where a driver (guide) is uncertain whether a vehicle is safe to operate due to a maintenance issue, drivers must err on the side of caution and report the issue to the General Manager or Operations Manager for certification prior to operating the vehicle in the field.

VI. Annual Vehicle Inspections

1. Evergreen Escapes vehicles must be inspected annually by a certified inspector (and accompanied by paperwork documenting the inspector's credentials). Schedule per Oversight Section.
2. Each vehicle will utilize Fleetio software notifications of major inspections (i.e. the annual inspection) and regular maintenance.
3. Arrow's Automotive is not certified to perform annual inspections.
4. Mercedes Benz in SoDo can do annual inspections (mechanics must be certified in one of several ways)
 - a. Regardless of where the vehicle ends up for an inspection, print a copy of the "Annual Vehicle Inspection Report" and the "Inspector Qualifications (Certification—49 CFR—Part 396.19) and insist that the mechanic performing the inspection fills out both—don't leave without it!
5. While other mechanics may be willing to perform this inspection—they must be qualified to do so.

Oversight

Fixed Date Reviews

I. Fixed Date Driver Reviews

1. Annual Driver Reviews (April 1st)

Returning Drivers must have their DQ files up to date in order to work again the following year. New guides are hired in May so an April review should catch all returning guides in time to stay current.

a. Driver Annual Reviews

Submit for MVR's for all drivers planning on returning for the upcoming busy season. (391.21)

b. Certification of Violations

Send out request for Certification of Violations for all potentially returning guides. (391.27)

c. Annual Review of Driving Records

Complete annual reviews for all returning drivers. (391.25)

2. Quarterly Driver Reviews (January, April, July, October)

During Quarterly Driver checks the intent is to make sure that any driver qualifications that might expire will be caught in time, and to do some random checks on HOS records, to ensure quality and accuracy.

a. DQ:

i. The DQ spreadsheet is built so that when the beginning of the following quarter is entered the qualifications that will expire during the upcoming quarter will turn red, indicating to the Base Camp General Manager that the qualification will need to be updated soon in order for the driver to continue being qualified.

ii. Save the updated DQ file, and any relevant notes as "year-month-DQS" example (16-6-DQS).

iii. Document any violations that were not prevented in the "Violations Register"

iv. Contact guide and document discussion about documentation issues and prevention of future issues. See Violations Register section for repercussions.

b. HOS:

i. Randomly choose 1 tour from each working guide for the quarter (6 tours minimum).

ii. Check the HOS records for those dates and compare them against timesheets, and DVIRs.

iii. Errors should trigger further investigation to locate any systemic problems.

iv. Contact guide and document discussion about documentation issues and prevention of future issues. See Violations Register section for repercussions.

II. Fixed Date Vehicle Reviews

1. Vehicle Annual Review (January 7th)

Annual Inspection of each vehicle should be conducted per Vehicle section above.

2. Vehicle Quarterly Review (January, April, July, October)

i. The DVIR's are checked at random each quarter by evaluating the Driver's at random per above.

ii. Review each vehicle DVIR sheets for all issue's to ensure that each was addressed both by operations and by the guide the following day appropriately.

iii. For any issues that required maintenance in house or from a third party verify adequate documentation in the maintenance log, and maintenance documentation sections.

- iv. Contact and document discussion with Operations Staff about what went wrong and why. See Violations Register section for repercussions framework.

III. Policy Review

1. Annually (**January 7**) check for UTC and FMSCA updates
Incorporate all changes into the Safety program
2. Annually (**January 7**) check to make sure the hiring packets are up to date including reimbursement values.
3. Annually (**January 14th**) meet with GM and Operations team to evaluate the efficacy of the Driver Safety Manual and the Violations Register for the previous year.
4. Make any improvements indicated.
5. Update any DOT and UTC filings as necessary.

Variable Date Reviews

I. Driver Variable Date Reviews

1. At Hire
 - a. Complete the Hiring Overview per above
 - b. Complete the DQ spreadsheet per above
 - c. Approximately one week after hire (after 1st lead) do a standard “driver review.”
2. Returning Guides
After any break of 2 months or longer the DQ spreadsheet should be checked to verify guide is still qualified to drive.
3. Self-Auditing
 - a. Guides should be conducting monthly self-audits. When conducting reviews if errors are found cross reference finding with guides self-audit per Repercussions section below.

Violations Register and Repercussions

I. Violations Register

A Violation Register shall be kept that documents all known violations for the calendar year. This highlights any kind of repeated violations, systemic issues, or repeat offenders. See infraction categories below:

- Driver Qualification Violation: Operating without being fully qualified
- HOS Violation: Driving beyond the UTC prescribed time limitations
- DVIR Violation: Not adhering to DVIR regulations, or keeping proper documentation

II. Repercussions

Base camp staff or guides with violations of the above categories (within a twelve month period , not calendar year) see below for repercussions. Secondary offences will count against the record at the discretion of the Base Camp General Manager (for example when multiple violations occurred due to a misunderstanding before the violations were caught and addressed). The GM may release a guide from duties for flagrant disregard for safety and safety standards at any time.

1. First offence of a given category – written warning or verbal discussion.

2. Second offence of a given category – written warning and meeting to discuss, review “self-audit” documentation when applicable.
3. Third offence of a given category – 2 tour suspension without pay.
4. Fourth offence of a given category – release from duties.

DRIVER'S TIME RECORD

Name: _____ Year: _____ Month: _____

AVAILABILITY			TODAY					
DATE	Total Hours <i>Worked</i> in Previous 7 Days	Today's Available Hours (70 minus total hours <i>worked in</i> ← prev. 7 days)	Clock In Time	Clock Out Time	Total Hours Worked Today	Total Hours Spent Driving Today (10 hours max.)	Vehicle Name	Basecamp
1								SEA
2								SEA
3								SEA
4								SEA
5								SEA
6								SEA
7								SEA
8								SEA
9								SEA
10								SEA
11								SEA
12								SEA
13								SEA
14								SEA
15								SEA
16								SEA
17								SEA
18								SEA
19								SEA
20								SEA
21								SEA
22								SEA
23								SEA
24								SEA
25								SEA
26								SEA
27								SEA
28								SEA
29								SEA
30								SEA
31								SEA

Intermittent Drivers: Complete this worksheet for 7 days preceding any driving; this includes preceding month.

395.1: A driver may prepare this worksheet instead of "Driver's Daily Log" if: operating within 100 mile radius from headquarters, working less than 12 hours, and you have at least 8 hours off of duty before next shift.

