



CORPUS CHRISTI REGIONAL  
TRANSPORTATION AUTHORITY

# AGENDA MEETING NOTICE

## Committees

**DATE:** Wednesday, March 28, 2018

**TIME:** 8:30 a.m. Administration & Finance Committee Meeting, and

**No Meeting Scheduled for Operations & Capital Projects Committee Meeting**

**LOCATION:** Staples Street Center

602 North Staples Street, 2<sup>ND</sup> Floor Board Room • Corpus Christi, TX

### ADMINISTRATION & FINANCE COMMITTEE

**TOM NISKALA (Chair)**

Scott Harris ~ Larry Young ~ Patricia Dominguez ~ Philip Skrobarczyk

	TOPIC	SPEAKER	EST.TIME	REFERENCE
1.	<b>Roll Call –</b>	D. Linnehan	1 min.	-----
2.	<b>Opportunity for Public Comment</b>	T. Niskala	3 min.	-----
3.	<b>Discussion and Possible Action</b> to Approve the Administration & Finance Committee Meeting Minutes of February 28, 2018	T. Niskala	3 min.	Pages 1-4
4.	<b>Discussion and Possible Action</b> to Recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Authorize Awarding a Contract to The Doctor's Center for Occupational Medical Services	A. Gaitan	4 min.	Pages 5-6 <i>PowerPoint</i>
5.	<b>Discussion and Possible Action</b> to Recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Issue an Invitation for Bids (IFB) for the Supply of Electronic Bus Passes	S. Montez	4 min.	Page 7 <i>PowerPoint</i>
6.	<b>Discussion and Possible Action</b> to Recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Authorize Executing and Submitting Federal Transit Administration 2018 Certifications and Assurances	R. Saldaña	4 min.	Pages 8-9 <i>PowerPoint Attachment A</i>
7.	<b>Discussion and Possible Action</b> to Recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Authorize a Memorandum of Understanding with the Corpus Christi Metropolitan Planning Organization and the Texas Department of Transportation	G. Robinson	4 min.	Page 10 <i>PowerPoint Attachments B &amp; C</i>

8.	<b>Discussion and Possible Action to</b> Recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Approve the 2018 Safety Management System (SMS) Manual	M. Rendón	4. min.	Page 11 <i>PowerPoint Attachment D</i>
9.	<b>Adjournment</b>	T. Niskala	1 min.	-----

**Total Estimated Time: 28 min.**

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**OPERATIONS & CAPITAL PROJECTS COMMITTEE**

**MICHAEL REEVES (Chair)**

**George B. Clower ~ Glenn Martin ~ Dan Leyendecker ~ Anne Bauman**

**No Meeting Scheduled**

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On **Friday, March 23, 2018** this Notice was posted by **Dena Linnehan** at the CCRTA Staples Street Center, 602 N. Staples Street, Corpus Christi, Texas; and sent to the Nueces County and the San Patricio County Clerks for posting at their locations.

**PUBLIC NOTICE** is given that the Board may elect to go into executive session at any time during the meeting in order to discuss matters listed on the agenda, when authorized by the provisions of the Open Meetings Act, Chapter 551 of the Texas Government Code. In the event the Board elects to go into executive session regarding an agenda item, the section or sections of the Open Meetings Act authorizing the executive session will be publicly announced by the presiding officer.

In compliance with the Americans with Disabilities Act, individuals with disabilities who plan to attend this meeting and who may need auxiliary aids or services are requested to contact the Assistant Secretary to the Board at (361) 903-3474 at least 48 hours in advance so that appropriate arrangements can be made.

Información en Español: Si usted desea esta información en Español o en otro idioma, por favor llame al teléfono(361) 289-2712.

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<p style="text-align: center;"><b><u>Mission Statement</u></b></p> <p>The Regional Transportation Authority was created by the people to provide quality transportation in a responsible manner consistent with its financial resources and the diverse needs of the people.  Secondary, The RTA will also act responsibly to enhance the regional economy.</p>	<p style="text-align: center;"><b><u>Vision Statement</u></b></p> <p>Provide an integrated system of innovative, accessible and efficient public transportation services that increase access to opportunities and contribute to a healthy environment for the people in our service area.</p>
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**REGIONAL TRANSPORTATION AUTHORITY  
ADMINISTRATION & FINANCE COMMITTEE MEETING MINUTES  
WEDNESDAY, FEBRUARY 28, 2018**

**Summary of Actions**

- 1. Conducted Roll Call**
- 2. Provided Opportunity for Public Comment**
- 3. Action to Approve Administration & Finance Committee Meeting Minutes of January 28, 2018**
- 4. Update on State and Federal Legislative for the 2017-2018 Legislative Session**
- 5. Action to Authorize to Exercise First Option Year for Health Care Consulting Services with Roland Barrera Insurance and approve Contract Modification, from February 20, 2018 to February 20, 2019 and extend option periods for an additional two option years for Insurance Consulting Services**
- 6. Action to Issue a Request for Proposals (RFP) for Windstorm and Hail Insurance Coverage**
- 7. Action to Approve the Capital Improvement Program Update**
- 8. Adjournment**

The Regional Transportation Authority Administration & Finance Committee met at 8:30 a.m. in the Regional Transportation Authority Staples Street Center facility located at 602 N. Staples Street, 2<sup>nd</sup> Floor Board Room, Corpus Christi, Texas.

**Committee Members Present:** Tom Niskala, Committee Chairman; Patricia Dominguez and Philip Skorbarczyk. Absent Larry Young.

**Committee Members Absent:** None

**Staff Present:** Jorge Cruz-Aedo, CEO; David Chapa, Kelly Coughlin, Jennifer Fehribach, Angelina Gaitan, Bryan Garner, Denise Jones, Dena Linnehan, Derrick Majchszak, Sharon Montez, Christina Perez, Victoria Reyes, Gordon Robinson, Sandy Roddel, Robert Saldaña and Susan Teltschik

**Public Present:** Richard Barrera, Roland Barrera Insurance; Gina Salazar and Luis Vega, ATU Local 1769.

**Call to Order & Roll Call**

Mr. Tom Niskala called the meeting to order at 8:30 a.m. Ms. Dena Linnehan called Roll and stated a quorum was present.

**Opportunity for Public Comment**

No one spoke under Public Comment.

**Action to Approve the Administration & Finance Committee Meeting Minutes of January 28, 2018**

**MS. PATRICIA DOMINGUEZ MADE A MOTION TO APPROVE THE ADMINISTRATION & FINANCE COMMITTEE MEETING MINUTES OF JANUARY 28, 2018. MR. SCOTT HARRIS SECONDED THE MOTION. NISKALA, DOMINGUEZ AND SKORBARCZYK VOTING IN FAVOR. THE MOTION CARRIED. ABSENT YOUNG.**

**Heard Update on State and Federal Legislative for the 2017-2018 Legislative Session**

Ms. Kelly Coughlin introduced our legislative consultants from the 2017-2018 Legislative Sessions for State initiatives as previously voted on by our Board of Directors.

Messrs. Tris Casteneda and Will Galloway spoke on the recent legislative sessions held at the State level and pointed out highlights during the sessions. Mr. Casteneda commented on their relationship with the CCRTA since 2010, the 'B' and it's role with being fiscally responsible and leveraging the available resources and tools from both statutory and regulatory perspectives. He mentioned their deliverables in regard to tangible tools and assets, working with local delegation, working with the Board and working with Staff. He said Staff brings a huge amount of technical expertise which they rely on, including the Agency's legal counsel, Mr. John Bell.

He commented as a political subdivision, the Agency is treated like cities and counties, yet do not have the same authority or tools. Mr. Casteneda stated there was a bill they worked on several sessions back, where the Agency received an award due to transparency and was recognized by the State Comptroller. He said, this Board believes in this Agency and how it should operate, and that this award for a transit agency was a very high credit coming from the State. He commented on the Construction Manager At Risk Program was another tool not previously available to transit authorities and because the Agency utilizes the Alternative Fuel Tax Exemption, by investing and contributing towards the environmental health of the community as near non-containment area, this is a significant advantage and allows the Agency to contribute positively to the regional economy, be good environmental stewards, and is provided an opportunity to use resources that would have been paid in taxes for other things to meet the Agency's service demands.

Mr. Casteneda commented the State of Texas Legislative meets every two years with the next session beginning January 8, 2019 and ending in May 2019. He said the State has a biennial budget and as good stewards, the CCRTA pays close attention to their bottom line. Mr. Casteneda said if you look at the continuity of the gains they have made during this session, he mentioned for us to pay close attention to the larger trends currently happening. Texas is still a Republican state and the Senate is more conservative than he has seen in the past. He commented the Coastal Bend has very positive chairmen across the board, a very strong delegation, and Mr. Wil Galloway commented this delegation is attentive to the CCRTA, their needs, and work hard for the agency.

Mr. Casteneda stated a new Speaker will shake things up a bit, and the two ways committee assignments are issued; one based on seniority, one based on Speaker

appointments, he feels we have a strong and tenure delegation, yet there are no guarantees they will achieve the same type of committee assignments they've had in the past. He commented because we've had success in the past, does not guarantee it will occur in the future, yet will require investment and time from the Board and Staff to continue those gains. Mr. Galloway said there is a push to elect someone more towards the right than Speaker Strauss, and a lot will depend on who the next Speaker will be. He said by doing away with the two-thirds rule, it has been easier to get items onto the Senate floor, and the Lt. Governor runs a tight ship and his leadership team tend to vote towards his priorities. Mr. Casteneda mentioned a few items the CCRTA need to be vigilant on the sales tax issues, Chapter 451 or 452 changes, transit audits, TxDOT's relationship with local governments and air quality and permitting issues. As he concluded, the next steps the agency should need to do is set some dates in the future for meetings with TxDOT, TCEQ, local delegation members, October 2018 delegation dinner to share and solicit feedback on the legislative agenda, adoption of the CCRTA final legislative program in November 2018, CCRTA and Large Urban Transit Day at the Capitol in early February 2019 along with any other issues identified by the CCRTA Board and Staff.

Ms. Coughlin introduced Mr. Larry Meyers who reported on the Agency's Federal Legislative sessions held in Washington, D.C. Mr. Meyers reported on the status of the Federal Transportation Legislation detailing a general overview, the FY18 appropriations, the FY19 Budget Proposal, the 2-year Budget Deal and the Trump Infrastructure Plan. Mr. Meyers provided a background on himself being from Muleshoe, Texas, and would tell people it was a suburb of Corpus Christi. He is surprised at how many people are focused on Corpus Christi, especially the Port of Corpus Christi. He said one client currently working on Interstate 14, tell him they want to talk to him about Corpus Christi when he visits, and said the Port of Corpus Christi is affecting the entire State of Texas right now as the energy port.

Mr. Meyers commented on the significant things happening in Washington, D.C., and said don't listen to the talk radio or watch shout TV as there is a tremendous amount of political drama happening over power, over influence, and over the presidency, yet beneath all of this, there continues to be work being done and this is the position we need to stay focused on. He stated on the 2-Year Budget Deal, a very significant thing that occurred this year where Congress has found a way to work together. He said this 2-year agreement on the overall budget, allows; 1) the appropriation processes to occur, and 2) reconciliations frozen by the government for both Defense and Public Spending that blocked a lot of programs from moving forward has had their caps busted so now funding can flow. He said this will help the Transit Industry for the five months of funding that has been available for transit, yet has been backed up at the Federal Transit Administration (FTA), can now be released when they pass the FY18 Bill. He said this is a significant change and an optimistic position the Government has learned in with working again together.

Mr. Meyers also commented on the Trump Infrastructure Plan, and said a Transportation and Infrastructure was agreed on by both presidential campaigns, although we were optimistic last year when we talked about it. He commented with the 2-Year Budget Deal

and the Tax Bill there wasn't enough monies to develop a transportation plan, yet there is still the intent. He said Chairman Bill Shuster who has been in this community many times will not run for re-election, so this frees him up to move things along and do what needs to be done to get a Bill passed, his legacy, and motivated while still in office. He mentioned Senator John Cornyn had been in the news lately announced there may not be time to do a transportation bill this year, yet shouldn't be a concern as there would still be 12 months to get the bill passed in the Senate since we are in the first year of the two year cycle of Congress.

**Action to Authorize to Exercise First Option Year for Health Care Consulting Services with Roland Barrera Insurance and approve Contract Modification, from February 20, 2018 to February 20, 2019 and extend option periods for an additional two option years for Insurance Consulting Services**

Mr. Jorge Cruz-Aedo provided a background on the current Health Care Consulting Services Agreement with Roland Barrera Insurance and stated this was a three one-year consulting contract and need to exercise the second year option.

**MR. HARRIS MADE A MOTION AUTHORIZE TO EXERCISE FIRST OPTION YEAR FOR HEALTH CARE CONSULTING SERVICES WITH ROLAND BARRERA INSURANCE AND APPROVE CONTRACT MODIFICATION, FROM FEBRUARY 20, 2018 TO FEBRUARY 20, 2019 AND EXTEND OPTION PERIODS FOR AN ADDITIONAL TWO OPTION YEARS FOR INSURANCE CONSULTING SERVICES. MS. DOMINGUEZ SECONDED THE MOTION. NISKALA, DOMINGUEZ AND SKORBARCZYK VOTING IN FAVOR. THE MOTION CARRIED. ABSENT YOUNG.**

**Action to Issue a Request for Proposals (RFP) for Windstorm and Hail Insurance Coverage**

Mr. Mike Rendón provided a background and details using a PowerPoint and mentioned the coverage will expire on June 28, 2018. He said the premium for the 2017-2018 coverage would be \$113,100.75.

**MS. DOMINGUEZ MADE A MOTION TO ISSUE A REQUEST FOR PROPOSALS (RFP) FOR WINDSTORM AND HAIL INSURANCE COVERAGE. MR. HARRIS SECONDED THE MOTION. NISKALA, YOUNG, DOMINGUEZ AND SKORBARCZYK VOTING IN FAVOR. THE MOTION CARRIED. ABSENT NONE**

**Action to Approve the Capital Improvement Program Update**

This item was tabled.

**NO MOTION MADE TO APPROVE THE CAPITAL IMPROVEMENT PROGRAM UPDATE AS ITEM WAS TABLED.**

**Adjournment**

There being no further review of items, the meeting ended at 9:22 a.m.

Submitted by: Dena Linnehan



CORPUS CHRISTI REGIONAL  
TRANSPORTATION AUTHORITY

Administration & Finance Committee Meeting Memo

March 28, 2018

**Subject: Authorize Awarding a Contract to The Doctor's Center for Occupational Medical Services**

**Background**

The RTA provides medical occupational services as noted below, through The Doctor's Center. The current contract is set to expire on March 31, 2018 and we are out of option years. The services currently provided include, but is not limited to:

- Post Job Offer Physicals
- DOT and Non-DOT Physicals
- Return to Work Medical Examinations
- Medical Services for Work Related Injuries
- Periodic Physicals
- Drug & Alcohol Screens
- Employee Health Education

**Identified Need**

This contract was initially awarded in April of 2013. The Doctor's Center has proven their ability to provide the necessary compliance with the FTA's regulations and has provided a satisfactory level of service to the RTA and its employees.

An RFP went out for solicitations on Occupational Medical Services. We received (2) proposals. The (2) proposals that were evaluated were The Doctor's Center and Alliance Health Resources. Below is a breakdown of the evaluation summary:

<b>Firm</b>	<b>Approach &amp; Work Plan (40 Points Max)</b>	<b>Qualifications &amp; References (15 Points Max)</b>	<b>Experience (15 Points Max)</b>	<b>Price Score (30 Points Max)</b>	<b>Total Score (Maximum Points 100)</b>
The Doctor's Center	38.60	14.60	15.00	30.00	98.20
Alliance Health Resources	19.50	10.25	7.75	24.00	61.50

The authority has identified the need for our agency to have occupational medical services available for our employees.

**Financial Impact**

The cost of having the Occupational Medical Services on an annual basis is estimated to be approximately \$32,000. These funds are budgeted in the Human Resources Department.

**Recommendation**

Staff request the Administration & Finance Committee recommend the Board Authorize the Chief Executive Officer (CEO) or his Designee to Authorize Awarding a Contract to The Doctor's Center for Occupational Medical Services.

Respectfully Submitted,

Reviewed by: Angelina Gaitan  
Director of Human Resources

Final Approval by:   
*For* Jorge Cruz-Aedo  
Chief Executive Officer





CORPUS CHRISTI REGIONAL  
TRANSPORTATION AUTHORITY

Administration & Finance Committee Memo

March 28, 2018

**Subject:** Authorize Issuing an Invitation for Bids (IFB) for Purchasing Genfare Bus Pass Media

**Background**

The CCRTA is using an Electronic fare box collection system called Genfare (GFI). The GFI System was purchased in February 2008; this system uses specialized encoded bus passes to help provide a collection of data and reports.

**Identified Need**

Over two million coded and non-coded paper stock transfers are being used on board the buses in one year. The following are a list of passes currently used by CCRTA's GFI system: 1 Day Bus Pass, 7 Day Bus Pass, 31 Regular Day Bus Pass, 31 Day Reduce Bus Pass, 31 Day B-Line, CCISD Late Run Passes, Token/Genfare Bus Pass and Business Card Bus Pass for Board of Directors and staff. Staff would like to seek a three (3) year base contract with a two (2) one-year options.


**Financial Impact**

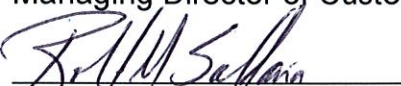
The estimated annual amount of contract is \$90,000 for the purchasing of GFI Bus Passes. Funds are budgeted in FY2018 Operating Budget.

**Recommendation**

Staff requests that the Administration & Finance Committee recommend the Board of Directors authorize the Chief Executive Officer (CEO) or his designee to issue an Invitation for Bids (IFB) for the purchase of GFI Bus Pass Media.

Respectfully Submitted,

Reviewed by:   
Sharon Montez  
Managing Director of Customer Services and Capital Projects

Final Approval by:   
For: Jorge Cruz-Aedo  
Chief Executive Officer



**Subject:** Authorize Executing and Submitting Federal Transit Administration 2018 Certifications and Assurances

### **Background**

Since 1995, The Federal Transit Administration (FTA) has been consolidating the various certifications and assurances that may be required of its grant applicants and their projects into a single document for publication in the Federal Register. FTA also requires a current compliance with the obligations imposed by the certifications and assurances that are selected (*see attached "FTA FISCAL YEAR 2018 CERTIFICATIONS AND ASSURANCES"*).

The annual Certifications and Assurances for federal fiscal year 2018 (October 2017 through September 2018) cover all projects for which the RTA seeks funding for in 2018. All applicants for FTA formula program or capital investment program assistance, and current FTA grantees with an active project financed with FTA formula program or capital investment program assistance, are expected to provide the 2018 Certifications and Assurances within 90 days from the date of the Federal Register publication. The 2018 Certifications and Assurances were published in the Federal Register on February 22, 2018.

There are 21 categories within the annual Certifications and Assurances that the RTA must agree to comply with before federal funding can be received from the FTA. These are noted below:

01. Required Certifications and Assurances for Each Applicant
02. Lobbying
03. Private Sector Protections
04. Rolling Stock Reviews and Bus Testing
05. Demand Responsive Service
06. Intelligent Transportation Systems
07. Interest and Financing Costs and Acquisitions of Capital Assets by Lease
08. Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements
09. Alcohol and Controlled Substances Testing
10. Fixed Guideway Capital Investment Grants Program (New Starts, Small Starts, and Core Capacity Improvement)
11. State of Good Repair Program
12. Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs
13. Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program
14. Enhanced Mobility of Seniors and Individuals with Disabilities Programs.

15. Rural Areas and Appalachian Development Programs
16. Tribal Transit Programs (Public Transportation on Indian Reservations Programs)
17. State Safety Oversight Grant Program
18. Public Transportation Emergency Relief Program
19. Expedited Project Delivery Pilot Program
20. Infrastructure Finance Programs
21. Construction Hiring Preferences

By signing the annual Certifications and Assurances, the RTA understands and agrees that every provision in these certifications and assurances may not apply to it or to every project for which FTA provides federal financial assistance through a grant agreement. The type of project and the section of the statute authorizing federal financial assistance for the project will determine which requirements apply.

**Identified Need**

Before FTA may award a federal grant to the RTA, the RTA must submit all certifications and assurances pertaining to itself and its projects as required by federal laws and regulations. FTA requires the RTA to obtain a current affirmation signed by the agency's attorney affirming RTA's legal authority to certify its compliance with the FTA Certifications and Assurances that RTA has selected.

**Financial Impact**

None

**Recommendation**

Staff requests the Administration and Finance Committee recommend to the Board of Directors to authorize the Chief Executive Officer and RTA's Attorney, John Bell, to execute the Federal Transit Administration's Fiscal Year 2018 Certifications and Assurances.

Respectfully Submitted,

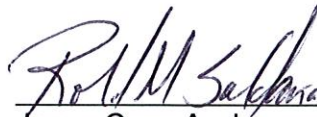
Submitted by:



Robert M. Saldaña  
Managing Director of Administration

Approval:

For



Jorge Cruz-Aedo  
Chief Executive Officer

**FTA FISCAL YEAR 2018 CERTIFICATIONS AND ASSURANCES**

**FEDERAL FISCAL YEAR 2018 CERTIFICATIONS AND ASSURANCES FOR  
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

(Signature pages alternative to providing Certifications and Assurances in TrAMS)

**Name of Applicant: Corpus Christi Regional Transportation Authority**

**The Applicant agrees to comply with applicable provisions of Categories 01 – 21. \_\_\_\_\_**  
**OR**

**The Applicant agrees to comply with applicable provisions of the Categories it has selected:**

<u>Category</u>	<u>Description</u>	
01.	Required Certifications and Assurances for Each Applicant.	_____
02.	Lobbying.	_____
03.	Private Sector Protections.	_____
04.	Rolling Stock Reviews and Bus Testing.	_____
05.	Demand Responsive Service.	_____
06.	Intelligent Transportation Systems.	_____
07.	Interest and Financing Costs and Acquisition of Capital Assets by Lease.	_____
08.	Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements.	_____
09.	Alcohol and Controlled Substances Testing.	_____
10.	Fixed Guideway Capital Investment Grants Program (New Starts, Small Starts, and Core Capacity Improvement).	_____
11.	State of Good Repair Program.	_____
12.	Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs.	_____
13.	Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program.	_____
14.	Enhanced Mobility of Seniors and Individuals with Disabilities Programs.	_____
15.	Rural Areas and Appalachian Development Programs.	_____
16.	Tribal Transit Programs (Public Transportation on Indian Reservations Programs).	_____
17.	State Safety Oversight Grant Program.	_____
18.	Public Transportation Emergency Relief Program.	_____
19.	Expedited Project Delivery Pilot Program.	_____
20.	Infrastructure Finance Programs.	_____
21.	Construction Hiring Preferences.	_____

## FTA FISCAL YEAR 2018 CERTIFICATIONS AND ASSURANCES

### FEDERAL FISCAL YEAR 2018 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

(Required of all Applicants for federal assistance to be awarded by FTA in FY 2018)

### AFFIRMATION OF APPLICANT

Name of the Applicant: \_\_\_\_\_

Name and Relationship of the Authorized Representative: \_\_\_\_\_

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2018, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2018.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_  
Authorized Representative of Applicant

### AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): \_\_\_\_\_

As the undersigned Attorney for the above-named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_  
Attorney for Applicant

Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.



**Subject:** Approve a Memorandum of Understanding with the Corpus Christi Metropolitan Planning Organization and the Texas Department of Transportation

**Background**

The Federal Highways Administration (FHWA) and Federal Transit Administration (FTA) jointly issued a final rule on May 27, 2016 which requires Metropolitan Planning Organizations (MPO), States, and operators of public transportation to cooperatively develop and share information related to transportation performance data, the selection and reporting of performance targets including safety and infrastructure condition, the reporting of performance measures, and data collection for the State asset management system. Performance-based plans and processes include the Congestion Mitigation and Air Quality Improvement Program performance plan, the strategic highway safety plan, the public transportation agency safety plan, the highway and transit asset management plans, and the State freight plan.

**Identified Need**

Per FHWA and FTA requirements, the Corpus Christi MPO, Corpus Christi Regional Transportation Authority (RTA), and Texas Department of Transportation Corpus Christi District must establish a memorandum of understanding that meets the requirements of the final rule. The deadline to have an established agreement is May 27, 2018.

**Financial Impact**


No financial impacts are associated with the Memorandum of Understanding.

**Recommendation**

Staff requests that the Administration & Finance Committee recommend the Board authorize the Chief Executive Officer (CEO) or designee to approve a Memorandum of Understanding with the Corpus Christi MPO and the Texas Department of Transportation.

Respectfully Submitted,

Submitted by: Gordon Robinson  
Director of Planning

Reviewed by:   
Jennifer Fehribach  
Managing Director of Operations

Final Approval by:   
For Jorge Cruz-Aedo  
Chief Executive Officer

**METROPOLITAN PLANNING PROCESS AND PERFORMANCE BASED  
PLANNING & PROGRAMMING  
MEMORANDUM OF UNDERSTANDING  
AMONG  
THE TEXAS DEPARTMENT OF TRANSPORTATION (“TxDOT”)  
THE CORPUS CHRISTI METROPOLITAN PLANNING ORGANIZATION (“MPO”),  
AND  
THE CORPUS CHRISTI REGIONAL TRANSPORTATION AUTHORITY (“CCRTA”)**

**WHEREAS**, the Fixing America's Surface Transportation Act (FAST Act) promulgated regulations 23 CFR 450.314, and

**WHEREAS**, TxDOT, the MPO, and the CCRTA are required by 23 CFR 450.314 to cooperatively determine their mutual responsibilities in carrying out the metropolitan transportation planning process, and

**WHEREAS**, these responsibilities shall be clearly identified in written agreements among TxDOT, the MPO, and the public transportation operator(s) serving the Metropolitan Planning Area (MPA), and

**WHEREAS**, to the extent possible, a single agreement between all responsible parties should be developed, and

**WHEREAS**, the federal regulations require the written agreement to include specific provisions for cooperatively developing and sharing information related to the development of financial plans that support the metropolitan transportation plan (MTP), the metropolitan Transportation Improvement Program (“TIP”), and development of the annual listing of obligated projects.

**WHEREAS**, the federal regulations require that TxDOT, the MPO, and the CCRTA jointly shall agree upon and develop specific written procedures for cooperatively developing and sharing information related to transportation performance data, the selection of performance targets, the reporting of performance targets, the reporting of performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO, and the collection of data for the TxDOT asset management plan for the National Highway System (NHS).

**NOW THEREFORE**, the parties agree as follows:

1. **Purpose.** It is the purpose of this Memorandum of Understanding (MOU) to make provision for cooperative mutual responsibilities in carrying out the Metropolitan Planning Process and Performance Based Planning and Programming in the Corpus Christi MPA and to provide a single agreement between the State of Texas acting through

TxDOT, the MPO, and the CCRTA in accordance with current Federal Legislation and as required by 23 CFR 450.314.

## 2. **Responsibilities of all parties.**

All parties will:

- a. Cooperatively determine their mutual responsibilities in carrying out the metropolitan transportation planning process in a performance based planning format and final form. Decide upon and adopt performance targets for this planning process in accordance with Federal and State requirements and guidance.
- b. Make provisions for cooperatively developing and sharing information related to the development of financial plans that support the Metropolitan Transportation Plan (“MTP”) and TIP.
- c. Ensure TxDOT, the MPO, and the CCRTA cooperatively develop a listing of projects that comprehensively address the transportation system within the MPO boundaries. Identified projects shall include both roadway and transit initiatives, including but not limited to investments in pedestrian walkways and bicycle transportation facilities for which federal funds were obligated in the preceding fiscal year.
- d. Ensure that the Unified Planning Work Program (UPWP) will detail and document these responsibilities, deliverables and associated costs.

## 3. **Performance Based Planning & Programming**

- a. Developing transportation performance data
  - i. TxDOT will provide the MPO with a subset for their MPA of the state performance data used in developing statewide targets.
  - ii. If an MPO chooses to develop their own target for any measure, they will provide TxDOT with any supplemental data they utilize in association with the target-setting process.
- b. Selection of transportation performance targets



- i. TxDOT will develop draft statewide federal performance targets in coordination with the applicable MPOs. Coordination may include in-person meetings, web meetings, conference calls, and/or email communication. MPOs shall be given an opportunity to provide comments on statewide targets one month prior to final statewide targets adoption.
  - ii. If the MPO chooses to adopt their own target for any measure, it will develop draft MPO performance targets in coordination with TxDOT. Coordination methods will be at the discretion of the MPO, but TxDOT shall be provided an opportunity to provide comments on draft MPO performance targets prior to final approval.
- c. Reporting of performance targets
- i. TxDOT performance targets will be reported to FHWA and FTA, as applicable. The MPO will be notified when TxDOT has reported final statewide targets.
  - ii. MPO performance targets will be reported to TxDOT.
    - 1. For each target, the MPO will provide the following information no later than 180 days after the date TxDOT or the CCRTA establishes performance targets, or the date specified by federal code:
      - a. Written agreement to plan and program projects so that they contribute toward the accomplishment of TxDOT or the CCRTA performance target, or;
      - b. Written notification that the MPO will set a quantifiable target for that performance measure for the MPO's planning area.
        - i. If a quantifiable target is set for the MPO planning area, the MPO will provide any supplemental data used in determining any such target.
      - c. Documentation of the MPO's target or support of the statewide or relevant public transportation provider target

will be provided in the form of a resolution or meeting minutes.

- iii. TxDOT will include information outlined in 23 CFR 450.216 (f) in any statewide transportation plan amended or adopted after May 27, 2018, and information outlined in 23 CFR 450.218 (q) in any statewide transportation improvement program amended or adopted after May 27, 2018.
  - iv. The MPO will include information outlined in 23 CFR 450.324 (g) (3-4) in any MTP amended or adopted after May 27, 2018, and information outlined in 23 CFR 450.326 (d) in any TIP amended or adopted after May 27, 2018.
  - v. Reporting of targets and performance by TxDOT and the MPO shall conform to 23 CFR 490, 49 CFR 625, and 49 CFR 673
- d. Reporting of performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO
- i. TxDOT will provide the MPO with an update of the subset for their MPA of the state performance data used in developing statewide targets including prior performance data.
- e. The collection of data for the State asset management plans for the NHS
- i. TxDOT will be responsible for collecting bridge and pavement condition data for the State asset management plan for the NHS.

#### **4. Responsibilities of the MPO**

The MPO will:

- a. Work in consultation with the CCRTA and TxDOT in developing the financial plan for the MTP.
- b. Work in consultation with the CCRTA and TxDOT in developing the financial plan for the TIP.

- c. Conduct Technical Committee and Policy Board meetings as required and necessary.
- d. In consultation with the CCRTA and TxDOT, update the MTP and TIP in accordance with State and Federal laws.
- e. Invite Transit Districts to participate in all public participation processes.
- f. Conduct comprehensive, cooperative and continuous transportation planning for the Corpus Christi MPA.
- g. Establish necessary transportation performance targets, share information related to the performance data, and document the reporting of performance to be used in tracking progress toward attainment of critical outcomes within the MPO MPA, if the MPO elects to develop quantifiable targets for performance measures for the MPO's planning area.

## **5. Responsibilities of the CCRTA**

The CCRTA will:

- a. Work in consultation with the MPO in developing short-range and long-range plans for transit for inclusion in the MTP.
- b. Assist in validation of data used as input into the transportation plan.
- c. Work in consultation with the MPO and TxDOT in developing the financial plan for the MTP.
- d. Work in consultation with the MPO and TXDOT in developing the financial plan for the TIP.
- e. Provide the MPO with the annual list of transit obligated projects.
- f. Serve on the MPO Technical Committee and Policy Board as applicable.
- g. Notify the MPO of changes to projects that would affect the MTP or TIP.
- h. Invite the MPO to participate in all public participation processes.

- i. Establish transit asset management performance targets and share with the MPO and other interested parties.

**6. Responsibilities of TxDOT.**

- a. Work in consultation with the CCRTA and the MPO in developing the financial plan for the TIP and MTP.
  - b. Assist in the validation of data used as input into the transportation plan.
  - c. Provide the MPO with the annual list of obligated projects.
  - d. Serve on the MPO Technical Committee and Policy Board.
  - e. Notify the MPO of changes to projects that would affect the MTP or TIP.
  - f. In consultation with the MPO and the CCRTA, update the MTP and TIP in accordance with State and Federal laws.
  - g. Work in consultation with the MPO and the CCRTA in developing short-range and long-range plans for transit for inclusion in the MTP and TIP.
7. **Term.** This Memorandum shall become effective as to each Party when fully executed by all parties. It shall remain in full force and effect until such time it is terminated in writing by one or all of the parties.
8. **Validity and Enforceability.** If any current or future legal limitations affect the validity or enforceability of a provision of this MOU, then the legal limitations are made a part of this MOU and shall operate to amend this MOU to the minimum extent necessary to bring this MOU into conformity with the requirements of the limitations, and so modified, this MOU shall continue in full force and effect.
9. **Governing Law and Venue.** This MOU shall be governed by the laws of the State of Texas. Venue for an action arising under this MOU shall lie exclusively in Nueces County, Texas.
10. **Severability.** If a provision contained in this MOU is held invalid for any reason, the invalidity does not affect other provisions of the MOU and can be given effect without the invalid provision, and to this end the provisions of this MOU are severable.

**(SIGNATURE PAGE TO FOLLOW)**

EXECUTED by the parties hereto, each respective entity acting by and through its duly authorized official as required by law.

\_\_\_\_\_  
The Honorable Terry A. Simpson  
Chair, Transportation Policy Committee  
Corpus Christi Metropolitan Planning Organization

Date: \_\_\_\_\_

\_\_\_\_\_  
Edward Martinez  
Chair, Board of Directors  
Corpus Christi Regional Transportation Authority

Date: \_\_\_\_\_

\_\_\_\_\_  
Christopher D. Caron, P.E.  
District Engineer  
Texas Department of Transportation - Corpus Christi District

Date: \_\_\_\_\_

**Approved as to Content:**

\_\_\_\_\_  
Jeffrey A. Pollack, AICP  
Transportation Planning Director  
Corpus Christi Metropolitan Planning Organization

Date: \_\_\_\_\_

\_\_\_\_\_  
Jorge Cruz-Aedo  
Chief Executive Officer  
Corpus Christi Regional Transportation Authority

Date: \_\_\_\_\_

Appendices:

- A. Safety Performance Measures
- B. Highway Safety Improvement Program
- C. FHWA Pavement and Bridge Performance Measures
- D. FHWA System Performance Measures
  - a. NHS
  - b. Freight
  - c. CMAQ
- E. FTA Transit Asset Management
- F. FTA Agency Safety Plan

**CORPUS CHRISTI REGIONAL TRANSPORTATION AUTHORITY**  
**Performance Baselines and Targets for Fiscal Year 2018**

In 2012, MAP 21-mandated FTA to develop a rule establishing a strategic and systematic process of operating, maintaining, and improving public capital assets effectively through their entire life cycle. The Transit Asset Management Final Rule 49 USC 625 became effective Oct. 1, 2016 and established four performance measures to be applied by transportation service providers. The performance management requirements outlined in 49 USC 625 Subpart D include age-based measures for rolling stock and equipment, condition-based measures for facilities and performance-based measures for fixed guideway assets as minimum standard for transit operators.

As required under 625.45 (e) the CCRTA is making available these targets to the Corpus Christi Metropolitan Planning Organization (MPO).

The target baseline and targets for 2018 are in alignment with the current capital program to follow the direction provided under the rule. "A provider must set a performance target based on realistic expectations, and both the most recent data available and the financial resources from all sources that the provider reasonably expects will be available."

**FY 2018 Performance Targets for Equipment (non-revenue vehicles)**

As stated under the TAM rule (subsection 625.43(a)), the performance measure for non-revenue, support service and maintenance vehicles equipment is the percentage of those vehicles that have either met or exceeded their Useful Life Benchmark (ULB).

The ULB is defined as the expected life cycle or the acceptable period of use in service for a capital asset, as determined by a transit provider, or the default benchmark provided by FTA. For this submission the CCRTA chose to use the ULB's set in the FY 2017 Asset Inventory module Reporting Manual, Page 49.

The CCRTA established a performance baseline for equipment (non-revenue vehicles) based on data from the Active Vehicle listing at the end of 2017. The FY18 targets are also based on the same data worksheet.



**Table 1 – Non-Revenue Vehicles**

Vehicle Class	ULB (Years)	# of Units (12/31/17)	Number of Units Beyond ULB in 2017	Number of Units Beyond ULB in 2018	FY2017 Baseline Target % at or Exceeding ULB	FY2018 Target % at or Exceeding ULB
Other Rubber Tire Vehicle (Flatbed)	14	1	1	1	100.00%	100.00%
Automobile	8	35	1	2	2.86%	5.71%
Sports Utility Vehicle	8	1	0	0	0.00%	0.00%
Van	8	7	0	0	0.00%	0.00%
Total		44	2	3	4.55%	6.82%

The CCRTA maintains vehicle worksheets that track vehicle acquisition and replacement activities. The development of performance targets for each vehicle class will depend on the ULB of each asset class, service demand, and funding available to upgrade the fleets.

#### **FY2018 performance targets for Rolling Stock**

As stated under TAM rule, the performance measure for rolling stock is the percentage of revenue vehicles within a particular asset class that have either met or exceeded their ULB.

The ULB is defined as the expected life cycle or the acceptable period of use in service for a capital asset, as determined by a transit provider, or the default benchmark provided by FTA. For this submission the CCRTA chose to use the ULB's set in the FY2017 Asset Inventory Module Reporting Manual, Page 49.

**Table 2 – Revenue Vehicles (Rolling Stock)**

Vehicle Class	ULB (Years)	# of Units (12/31/17)	Number of Units Beyond ULB in 2017	Number of Units Beyond ULB in 2018	FY2017 Baseline Target % at or Exceeding ULB	FY2018 Target % at or Exceeding ULB
Bus/Trolleys	14/13	75	0	0	0.00%	0.00%
Cutaways	8	57	0	0	0.00%	0.00%
Total		132	0	0	0.00%	0.00%

The CCRTA maintains vehicle information in Fleetnet Maintenance software and in spreadsheets, which assists with tracking vehicle acquisition and replacement activities. To develop future performance targets for each asset class under the ULB will depend on the overarching CCRTA Fleet Plan, service demand for each asset class, maintenance activities, and funding available to upgrade the fleets.

**FY2018 Performance Targets for Facilities**

As stated under the TAM rule, the performance measure for facilities is the percentage of facilities within an asset class, rated below condition 3 on the TERM scale.

The TERM scale means the five (5) category rating system used in the Federal Transit Administration's Transit Economic Requirements Model (TERM) to describe the condition of an asset: 5.0 – Excellent, 4.0 – Good; 3.0 – Adequate, 2.0 – Marginal, and 1.0 – Poor.

The FTA definition of a facility applies to buildings or structures contributing to the provision of public transportation services, including stations, parking structures and lots, maintenance and administrative facilities and power unit substations. The FTA guide excludes bus shelters and stops.

The condition data used in developing performance targets included historical, recent consultant assessments of facilities, as well as expert advice from maintenance staff. The CCRTA's is in the process of establishing comprehensive condition assessment standards for all types of facilities, based on FTA's TERM model, which will be rolled out at a system-wide level. The condition assessment criteria to be used will be based on existing national and international industry standards and FTA-stipulated assessment methodologies.

**Table 3 – Facilities**

<b>Vehicle Class</b>	<b># of Units (12/31/17)</b>	<b>Number of Units Beyond ULB in 2017</b>	<b>Number of Units Beyond ULB in 2018</b>	<b>FY2017 Baseline Target % at or Exceeding ULB</b>	<b>FY2018 Target % at or Exceeding ULB</b>
Stations and Parking	8	2	2	25.00%	25.00%
Maintenance & Administrative Bldg	5	0	0	0.00%	0.00%
<b>Total</b>	<b>13</b>	<b>2</b>	<b>2</b>	<b>15.38%</b>	<b>15.38%</b>

CCRTA maintains condition data on its facilities. Future target setting exercises will be influenced by subsequent condition assessments, maintenance activities schedules and capital funding plans.

The CCRTA is on the path of continuous improvement for updating its asset inventory and tracking asset condition and performance. As condition assessment is a continuum when updated data is incorporated, these targets might be adjusted. Furthermore, future targets might need adjustments based on improved methods of determining condition and performance, changes in operational factors such as asset usage and maintenance activities, as well as funding availability.

As the CCRTA accountable executive, I have approved the targets contained in this document. CCRTA staff is focused on working with all departments within the organization to gather all the elements necessary for the establishment of future targets.

Accountable Executive

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Jorge Cruz-Aedo  
Chief Executive Officer

---

Date



---

**Subject: Adopt a Safety Management System (SMS) Manual**

**Background**

Safety is a core value of the Corpus Christi Regional Transportation Authority (CCRTA) and managing safety is a core business function of the Authority. CCRTA is committed to developing, implementing, maintaining and continuously improving processes to ensure the safety of its customers, employees, and the public. CCRTA aims to support a robust safety culture and achieve the highest level of safety performance meeting all established safety standards.

**Identified Need**

In promoting a proactive safety culture, CCRTA's adoption of the Safety Management System (SMS) Manual will enhance safety awareness throughout the Authority.

**Recommendation**

Staff requests the Administration & Finance Committee recommend the Board of Directors authorize the Chief Executive Officer (CEO) or his designee to approve the Safety Management System (SMS) Manual.

Respectfully Submitted,

Submitted by: Mike Rendon  
Director of Safety and Security

Final Approval by:   
*For.* Jorge Cruz-Aedo  
Chief Executive Officer



# Safety Management System (SMS) Manual

CORPUS CHRISTI REGIONAL TRANSPORTATION AUTHORITY (CCRTA)  
MAN-SMS-101  
CORPUS CHRISTI, TEXAS

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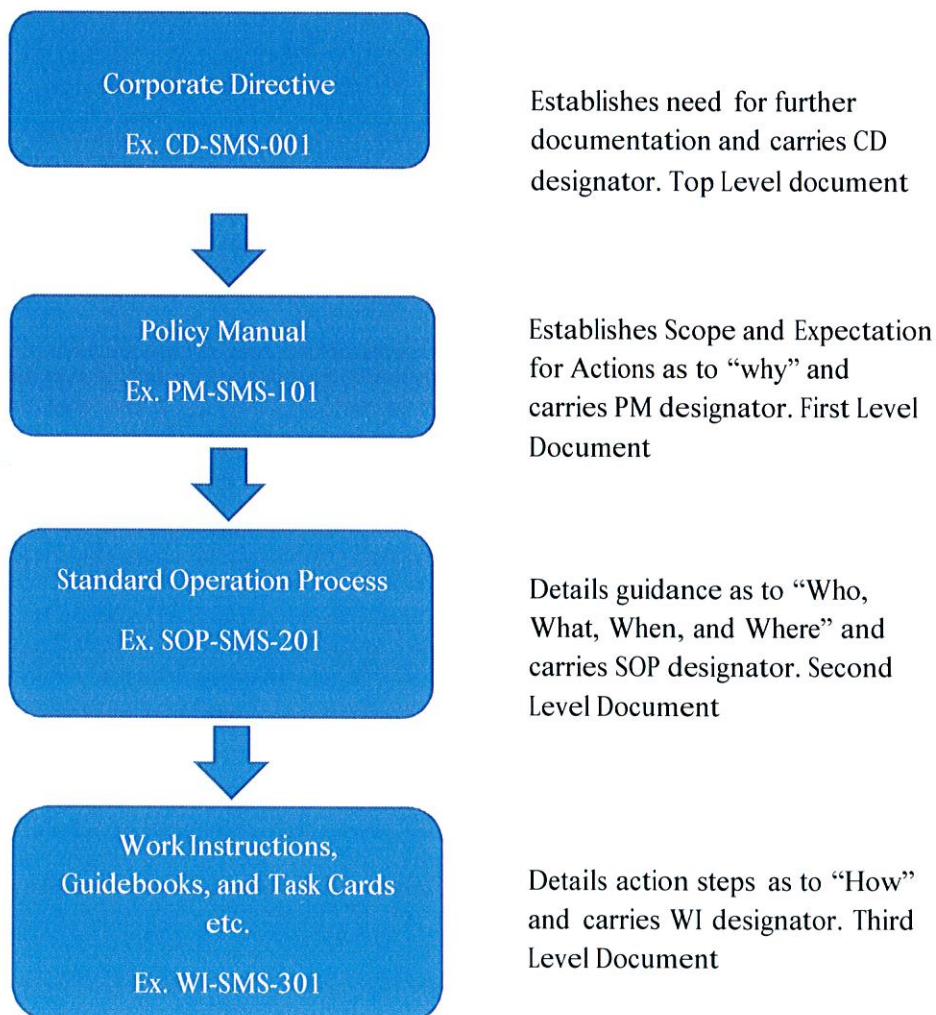
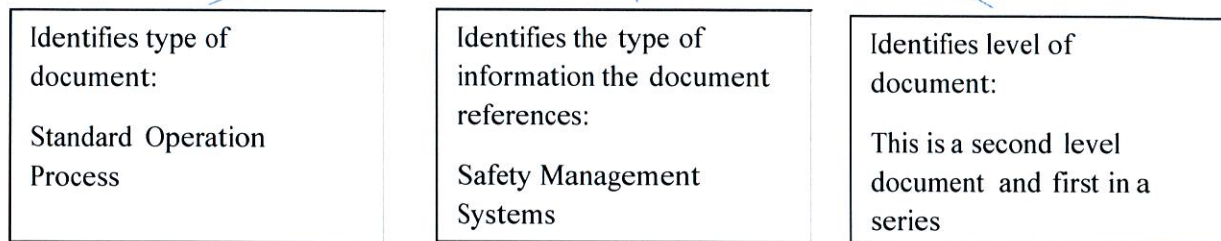
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## Establishment

This manual is developed and written per the CCRTA – Establishment of Safety Management Systems

## Documentation Hierarchy

# SOP-SMS-201



# Approved Operating Organizations

Organization	Location
CCRTA	Corpus Christi, Texas

Note: This manual is developed for use and adherence by the CCRTA organization which have underwent extensive planning, development, and training specific to the enterprises overall approach to SMS.

## Proprietary Notice

The data and information contained herein is proprietary of CCRTA. Neither this data nor the information contained herein shall be reproduced, used, or disclosed to others without the express written authorization of CCRTA. This material is proprietary and confidential.

## Signature Page

Below is the contract organization accountable manager and SMS Safety & Security approval for this Safety Management System (SMS) manual. Electronic verification of approvals is maintained within Safety and Security Department.

Contract Organization	Location	Manager (Name & Title)	SMS Manager (Name & Title)
CCRTA	Corpus Christi, Texas	Mike Rendon, Safety & Security Director	

## Revision Process

The SMS Manual Revision process consists of submitting a Change Request Form. The requestor shall complete the form in the revision description, detail any known or potential regulatory or operations impact, process change or other consequence of the revision. To submit a request for revisions, utilize the Change Request Form.

## Records of Revision

Manual Holder: Electronically published

Manual Number: MAN-SMS-101

Note: Retain this record in the manual and update at every revision change or on cycle, whichever comes first.

Revision Number	Dated	Date Filed	Filed By
Original	3-28-2018	3-28-2018	Mike Rendón

## List of Acronyms

The following acronyms apply to all related information in this manual.

ACC/INC – Accident/Incident

ALARP – As Low as Reasonably Practicable

DIR – Director

EI – Effective Event Investigation

EPRP – Emergency Preparedness Response Plan

ERT – Event Review Team

CEO – Chief Executive Officer

HazRep – Hazard Report

MGR – Manager

MHR – Maintenance Hazard Report

NM – Near Miss

OHR – Operations Hazard Report

RA – Risk Assessment

SARPS – Standards and Recommended Practices

SMS – Safety Management System

SMT – Site Management Team

SSC – Site Safety Council

## Master List of Updates

The below noted updates are incorporated into this manual:

Section	Update Details
Original	Not Applicable – Original

# 1

## Chapter One

### 1.0 Introduction

1.1 **Reference:** Safety Management System (SMS)

1.2 **Purpose:** This manual describes the Safety Management System supporting operation of CCRTA contract organizations.

1.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

1.4 **General:** This manual establishes the SMS policies for all employees of the CCRTA.

1.5 **Issue and Update:** The control of this manual is in accordance with the Process for SMS Information Management specified in Chapter 12, Information Management. This manual will be reviewed and updated, as applicable, annually beginning on date of issuance.

Immediate changes to this manual may be authorized by the CCRTA in the form of a signed SMS Manual Immediate Change Memo. CCRTA will communicate immediate changes to all concerned through email and SMS website postings.

1.6 **Scope:** CCRTA SMS has been established consistent with business needs and regulatory impetus. The SMS is designed to reduce safety risks to an acceptable level through a continuous process of hazard identification and safety risk management practices to achieve the following goals:

- Reducing transit safety, employee, and environmental risks by better managing CCRTA safety risks and setting goals to eliminate or reduce risks.
- Communication of safety risks to employees and their roles and responsibilities related to risks.
- Increase awareness of safety issues at all levels of the company, thereby providing a better framework/structure for management to play a leadership role in addressing safety concerns.
- Continuous improvement of contract organization SMS and risk controls.
- Compliance with all applicable state and federal regulations.
- Foster a culture of change management so that safety issues are identified and risks are eliminated or reduced in the planning process and delays or other impediments to business goals are avoided.

The SMS applies specifically to all contract organizations subject to DOT/FTA regulation on SMS and all CCRTA entities that have a corporate established SMS.

1.7 **Reference Documents:** The following documents are subsequent to this manual.

- SMS-201 “Site Safety Council Charter”
- SMS-202 “Event Review Team Charter”
- SMS-203 “Investigators Guidebook”

1.8 **Definitions:** The following definitions apply to all related information in this manual.

As Low as Reasonably Practicable – A condition where a risk/hazard has been mitigated to its lowest manageable level.

Accident – an unfortunate incident that happens unexpectedly and unintentionally, typically resulting in damage or injury.

Hazard Report – A report filed regarding a hazard identified in the workplace.

Disposition Period – The period of time between knowledge of an incident and the when the employee is found culpable or not.

Near Miss Report – A report filed from a narrowly avoided collision or other accident.

- Accident/Incident Report – A report filed regarding an accident
- Hazard – a potential source of danger.
- Near Miss – a narrowly avoided collision or other accident.
- Investigation – a formal inquiry or systematic study
- Physical Property Damage – Damage sustained to a building or items on the grounds of real estate.
- Recordable Injury – Injury resulting in lost time at work.
- Reporting Manager – An employee’s direct supervisor.
- Risk – a situation involving exposure to danger.
- Risk Assessment – A systematic study or examination/assessment of a risk.
- Root Cause – The exact cause of an incident or accident where had the root cause found not be present, the accident or incident would not have happened.
- Safety – the condition of being protected from or unlikely to cause danger, risk, or injury. Safety Management System – A business-like approach to managing safety in the workplace. Site – The physical location of an operational entity.
- Training – the action of teaching a person or animal a particular skill or type of behavior.

1.9 **Compliance with this Manual:** Contract organization SMS manuals are developed for use and adherence by sites that have underwent extensive set-up and training specific to the enterprises overall approach to SMS.



# 2

## Chapter Two

### 2.0 Safety Responsibilities

---

2.1 Reference: Safety Management System

2.2 Purpose: To establish accountabilities for safety operations.

2.3 Responsibilities: Established in this section.

2.4 General: To establish accountability for safety.

2.5 Organizational Levels and Roles:

2.5.1 CCRTA Organizational Roles

- o CEO: Provides strategic direction for safety policy, risk mitigation, safety assurance and safety promotion.
- o Safety & Security Director: Provides leadership in the operation and performance of SMS, develops and implements innovative strategies that foster continuous SMS improvement in a manner that supports departmental, customer and corporate business plans, goals and objectives.

2.5.2 Contract Organization Roles and Responsibilities

- o General Manager: The accountable executive within each site operation. Provides site leadership in the implementation, operation and performance of site level SMS activities.
- o Operations Manager: Communicates and enables site safety policy related to SMS. Promotes operational safety, environmental responsibility and employee health and safety on and off the job.
- o Maintenance Manager: Manages function related to site level maintenance activities.
- o Facilities Manager: Manages function related to site level facilities activities.
- o Safety Manager: Manages functions related to EHS and operational safety.
- o SMS Manager: Serves as a the focal point of contact for SMS activities and coordinates SMS activities at the site level

2.5.3 Site SMS Teams/Councils

- o Site Safety Council: The council is the driving force for ensuring that reported safety items are appropriately addressed, concluded, tested, and that the originator of the report is notified of requisite action.

- o Site Event Review Team: A site Event Review Team is a collection of identified site personnel representing various parts of the organization that convene post-accident/incident if investigation findings suggest that disciplinary action may be appropriate.
- o Site Management Team: The SMT is then charged with championing/sponsoring and providing overall support for SMS related activities, to include proliferation of resources, monetary or otherwise.

#### 2.5.4 All Site Personnel

- o Conduct work in the safest manner possible in accordance with approved site procedure, policies and in a manner that enhances their own/other employees' health and safety. Promotes risk reduction, participates openly in safety related events investigations and immediately report workplace hazards and make suggestion for control of reported hazards. Contribute to the overall success of the SMS program at the site level.

#### 2.6 CCRTA SMS Contacts

Name	Role/Location	Contact Information
Jorge Cruz-Aedo	CEO	jcruz-aedo@ccrta.org
Mike Rendón	Director, Safety & Security	mrendon@ccrta.org
Derrick Majchszak	Director, Transportation	dmajchszak@ccrta.org
Kelly Coughlin	Director, Marketing	kcoughlin@ccrta.org

# 3

## Chapter Three

### 3.0 Safety Policy

3.1 **References:** Safety Management System

3.2 **Purpose:** To establish SMS Safety Policy

3.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

#### 3.4 **General SMS Safety Policy Statement:**

CCRTA is committed to the implementation and continuous improvement of an effective safety management system (SMS) aligned with applicable global transit standards. The primary objectives of the CCRTA SMS are to:

- Promote early identification of safety hazards and risks
- Take proactive steps to reduce identified safety hazards and risks
- Promote and enhance our safety culture to support the SMS
- Establish and continuously maintain an acceptable level of safety within all contract organizations

CCRTA will provide the necessary resources to implement, control, and oversee the SMS, including financial and human resources. Through execution of our SMS, CCRTA will implement leading safety risk reduction practices into our business management decisions model including: operations, maintenance, facilities, personnel and support services in order to further promote our transit safety objectives.

#### 3.5 **Values and guiding principles**

- Integrity
- Commitment to Safety
- Commitment to Continuous Improvement
- Commitment to Compliance

[Signature and Original Copy on File]

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Jorge Cruz-Aedo, Chief Executive Officer

March 2018

# 4

## Chapter Four

### 4.0 Safety Culture Policy

4.1 **Reference:** Safety Management System

4.2 **Purpose:** This policy identifies the CCRTA philosophy and process required to establish and maintain an appropriate safety/just culture that supports our SMS through proactive risk identification and event management considering human factors and a balanced guiding principle on employee disposition following an event.

4.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

4.4 **General Safety Culture Policy:**

CCRTA is committed to creating and sustaining a safety culture environment that supports our SMS and recognizes that a number of principles enable the development and sustainment of a positive safety culture including:

- Recognition that fair and equitable treatment of all employees encourages sharing of safety-related information
- Creating and sustaining an environment that actively seeks out risks and supports hazard and event reporting, to include near misses
- Recognition that inappropriate disciplinary measures can suppress open reporting of risks.
- Creating and sustaining an environment where there is an understanding that human errors will occur
- Creating and sustaining an environment that promotes openness and learning from events

At CCRTA, there is an expectation that all employees actively promote safety in everything they do. This includes two explicit duties that are the responsibility of all employees:

- To report any hazard, near-miss, unsafe condition or incident that occurs, or is otherwise known about
- To openly participate in any investigation that may arise as a result of any reported hazard, near-miss or event that occurs

CCRTA recognizes that employee actions that contribute to hazards and events may be the result of a wide spectrum of behaviors. These include unintentional error, engaging in at-risk behavior (i.e., moving away from desired behavior, not recognizing risks involved or reckless behavior (i.e., an unacceptable choice that knowingly puts an employee, customer or product in harm's way).

The CCRTA policy regarding these behaviors is as follows:

- Unintentional error will be investigated and feedback given
- At-Risk behavior will usually warrant a verbal or written record of first counseling
- Reckless behavior (and some circumstances of at-risk behavior) will usually warrant more significant positive counseling/corrective action steps to be taken

We are committed to creating an open and fair safety culture with CCRTA that supports our SMS. As we implement this policy, we pledge that our first response to any event will be to investigate fairly the circumstances involved.

[Signature and Original Copy on File]

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Jorge Cruz-Aedo, CEO

March 2018

# 5

## Chapter Five

### 5.0 Hazard and Near-Miss Reporting

5.1 Reference: Safety Management System

5.2 Purpose: To establish the scope of hazard and near-miss reporting for the SMS.

5.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

5.4 General:

The CCRTA SMS requires proactive reporting of safety hazards or safety concerns on the part of all employees in order to maintain a proactive position on risk.

Under no circumstance will employees be retaliated against for the act of reporting safety related information.

The CCRTA SMS contains both proactive and reactive means of reporting safety hazards and near-miss events. The information derived from proactive reports can provide significant insights into potential risk(s) and furthermore, allows for the continuous improvement of CCRTA's SMS. While post-event accident/incident investigations reveal information about safety hazards, we cannot rely solely on reactive data to expose risk.

When an employee becomes aware of a hazard or near-miss, they shall submit a report within eight (8) business hours or at end of shift using one of the following methods:

- Through direct access of SMS report (preferred method)
- Notifying supervision/management. Supervision/management is then required to access and report through SMS report.

Reports may be entered through an anonymous portal to SMS report drive where there is no record of who created and submitted the report.

When filing anonymous reports, there is limited ability to provide follow-up communication as the reporter is unknown. Additionally, it is difficult to apply necessary risk mitigation strategies if the reporter does provide enough information for follow-on activities.

Therefore, it is recommended that reporters utilize the non-anonymous hazard reporting form in SMS Y drive.

5.5 Procedure and Process: SOP-SMS-205 and WI-SMS-305

# 6

## Chapter Six

### 6.0 Risk Assessment

6.1 **Reference:** Safety Management System

6.2 **Purpose:** To establish risk assessment policy and protocol

6.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

6.4 **General:**

All identified and system accepted hazards, near-miss situations and safety events that occur at each site shall be risked assessed. Risk assessments will be conducted for the “as reported” condition and again conducted for the “mitigated” condition. Had a risk mitigation strategy been employed, the risk value of the mitigated assessment shall be lower and in the tolerable range than that of the “as reported” condition. This provides objective evidence that a successful solution was provided and the severity and likelihood of reoccurrence is less than when a report was filed against it.

Additionally, and separate to individual proactive reports, site-wide annual risk assessments will be conducted using RATP site assessment tools and recorded in SMS-Y-Drive Should the capabilities of the site change or significant change become a site, a site-wide assessment will need accomplishment.

6.5 **Risk Register:** Each site is required to maintain a risk register (SMS-Y-Drive) recording and tracking the results of all reported hazards and their associated risk assessments.

6.6 **Change Management:** New or revised activities are identified through the safety oversight and performance monitoring processes at each site, including the review of new or revised site operational capabilities. These activities will receive a proactive risk assessment to determine change impact and identify newly introduced organizational risk(s).

6.7 **Risk Assessment Monitoring:** The risk scores for each site risk register and area of activity, the significant risks and the risk controls shall be reviewed and revised as necessary by the site safety council and management team on no less than a monthly basis.

The risk assessment and risk control process shall be reviewed and revised:

- As a part of monthly site safety review process
- As applicable due to new or revised activities or procedure
- Annually by site senior management and SMS manager/Coordinator

6.8 **Procedure and Process:** Reference SOP-SMS-206 and WI-SMS-306

# 7

## Chapter Seven

### 7.0 Incident Reporting

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7.1 **Reference:** Safety Management System

7.2 **Purpose:** To establish the scope of event reporting for the CCRTA SMS.

7.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

7.4 **General:**

The SMS is designed to identify hazards and mitigate risks in our organization. Once a hazard has been identified, the associated risks must be mitigated to CCRTA. A site's ability to understand all circumstances surrounding an incident and the resulting causal factors will increase the overall effectiveness of mitigating strategies.

The SMS requires reporting of all product damage, physical property damage and personnel injury using the reporting function in SMS-Y-Drive.

7.5 **Incident Reporting Roles and Responsibilities:**

7.5.1 **Employee:** Report any product damage, physical property damage, transit safety issue, immediately to their supervisor or appropriate management personnel.

7.5.2 **Reporting Manager/Supervisor:** As applicable, secure medical assistance and/or triage the incident scene to ensure that no further damage or injury can take place in the immediate area or immediate time-frame.

7.5.3 **SMS Manager/Coordinator:** Ensure reports are entered correctly once triage cycle is complete.

7.6 **Procedure and Process:** Reference SOP-SMS-207 and WI-SMS-307



# 8

## Chapter Eight

### 8.0 Near Miss & Accident/Incident Investigations

8.1 **Reference:** Safety Management System

8.2 **Purpose:** In order to promote the continuous safety performance improvement of the SMS, CCRTA will promptly and thoroughly investigate events that result in safety of transit risk, product, service, and employee safety risk. Near-miss incidents are investigated if it is not readily determined the root cause of the near-miss.

8.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

8.4 **General:**

Investigations are a methodical search into an event where information relating to factors that may have caused or contributed to the event are discovered. The SMS uses a structured investigative process where evidence, contributing factors and root cause is recorded in CCRTA SMS Report such that follow-on mitigating actions may be tracked.

As with any investigation, time is of the essence, therefore investigations should proceed as soon as practical to avoid potentially losing valuable information. Investigations are to be concluded within 5 business days of the incident. Only trained investigators are to conduct investigations and under no circumstance may an investigator examine his/her own work area incident (see Chapter 10, Training, Awareness, and Competence, Training Matrix).

A complete investigation is comprised of the following three stages being completed:

1. Investigation and interview stage: All relevant information is found.
2. Root Cause Stage: Contributing factors and root cause is determined and information is recorded in CCRTA.
3. Preventative strategies recommendations are prepared and recorded in CCRTA SMS Report.

For near-miss reports, a full investigation may not be required. In this case, the SMS Manager, will determine the level of investigation appropriate to effectively address the report.

8.5 **Procedure and Process:** Reference SOP-SMS-208 and WI-SMS-308

# 9

## Chapter Nine

### 9.0 Safety Performance Monitoring

9.1 Reference: Safety Management System

9.2 Purpose: To establish policy for safety performance monitoring

9.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

9.4 General:

Safety assurance is the means to demonstrate that organizational arrangements and processes for safety achievement are properly applied and continue to achieve their intended objectives. This is achieved through safety performance monitoring and measurement processes by which the performance is verified against the safety policy, stated safety objectives and targets.

The safety assurance process within CCRTA is achieved by monitoring and measuring the outcomes of activities that operational personnel must engage in for the delivery of services by the organization.

9.5 Safety Performance Indicators:

9.5.1 Objectives: The overall SMS objectives incorporated in the safety policy should be supported by a set of underlying tangible safety objectives, typically set by the company leadership team. These cover relevant aspects of the company's safety vision, senior management's commitment, realistic, measurable safety milestones and desired outcomes.

9.5.2 Targets: Safety performance targets are created in relation to each safety objective such that the organization remains aware of whether the relevant objectives are being met. These safety performance targets are measured and monitored in conjunction with the use of safety performance indicators.

9.5.3 Indicators: Safety performance indicators are generally data-based expressions of the frequency of occurrence of events, incidents or reports. The indicators chosen should correspond to and support the relevant safety objectives.

Sample Objective, Target and Indicator:

- Objective: Reduce product damage costs
- Target: 50% reduction in scrapes, scratches and dings (compared to previous calendar year)
- Indicator: <2 incidents per bus per week

9.6 **Safety Oversight:** CCRTA obtains information for safety performance monitoring from a variety of sources including direct employee input, a hazard reporting system, meetings, or assessments/audits.

Each of these types of information sources may exist to some degree in every site and should be assessed on a routine schedule for risk identification and trend analysis. CCRTA will accomplish continual safety performance monitoring and oversight of the SMS as indicated below.

9.6.1 **Corporate Safety Performance Oversight:** As a part of the annual safety objectives and targets development process, CCRTA office of safety and security will establish the initial list of safety objectives and targets for the corporation in conjunction with the CCRTA leadership team.

Each site/location will establish its plan to achieve these objectives and targets. Once the objectives and targets have been established, CCRTA SMS will assist each site/location with monitoring of the objectives and targets.

9.6.2 **Local/Site Safety Performance Oversight:** Monthly reviews are scheduled by the site/local management team and SSC, which examine for safety performance and means to continually improve safety performance.

Once data from all safety-related activity is reviewed, the local management team and SSC will ensure that the site risk register is revised for each activity/item and that the appropriate information is communicated to the workforce. This includes updating the response/mitigation proposed and an assessment of the appropriateness and effectiveness of the mitigations to address the hazards or event contributing factors.

The mitigation will be considered as appropriate if it actually addresses the hazard. The mitigation will only be considered effective if it consistently manages the safety risk under normal operating conditions in order to reduce the safety risks to an acceptable level as defined by the risk assessment performed using the risk assessment tool in SMS-Y-Drive. The SSC will also propose prioritization of the responses/mitigations based on the risk assessment for each hazard.

9.7 **Procedure and Process:** Reference SOP-SMS-209 and WI-SMS-309

# 10

## Chapter Ten

### 10.0 SMS Communication

10.1 **Reference:** Safety Management System

10.2 **Purpose:** To articulate a SMS communication strategy designed to establish regular SMS – related communications at all levels of the organization.

10.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

10.4 **General:**

The CCRTA SMS will use a variety of methods to communicate issues important to the operation of the SMS. This strategy will complement existing safety communication channels to make company personnel aware of SMS-related safety issues and their roles and responsibilities related to those issues.

Effective communication is an essential requirement to ensure and demonstrate closed-loop communication (lessons-learned) from the SMS as a part of the continuous improvement of the SMS including:

- Ensuring that all staff are appropriately aware of the SMS
- Conveying SMS lessons/information
- Explaining why SMS related activities are introduced or changed
- Conveying SMS activity updates
- Educating personnel on procedure for hazard and near-miss reporting
- Promotion of the company's safety objectives, targets and culture

SMS communications methods vary, but will comprise both internal and external communication/awareness.

10.5 **Internal Communication:**

Internal communication/awareness may be accomplished through the use of:

- Notice boards
- Intranet postings
- Regular safety meetings and/or training sessions
- SMS advisories (local and corporate)
- Telephone or email communications

The SMS Manager/coordinator, with assistance from the SSC and/or senior management, is responsible for site specific internal SMS communication.

SMS site communication will consist of ad hoc and regularly established activities designed to communicate and reinforce SMS policy and related elements to all affected employees, to include:

- The importance of conformance and the potential consequences of non-conformance with SMS policy, processes or procedure
- Individual roles and responsibilities in achieving conformance with SMS Process
- The risks associated with work activities revealed from SMS data
- Relevant output from management SMS reviews
- Local/site reported hazards/near-misses and incidents
- Enterprise hazards/near-misses and incidents of note and relevance
- Changing SMS requirements
- SMS performance data
- Key results of internal/external assessments and audits
- Other information needed to support the SMS

CCRTA is responsible for communicating events and safety information to all sites/business units as appropriate utilizing the Significant Occurrence Summary (SOS) process or other authorized communication process.

CCRTA SMS Manager/coordinator will notify CCRTA SMS of any changes to their SSC, investigators list or ERT personnel or charters. Reference SMS Manual Chapter 11, Training, Awareness and Competence Required Training Matrix for any personnel changes.

The affected Regional Safety Director will be the focal for all internal corporate SMS communication and maintain the respective intranet site. Additionally, the affected regional safety director will liaise with safety departments to respond to SMS-related inquiries from regulatory authorities.

#### 10.6 External Communication:

CCRTA has determined that significant risks identified through the operation of the SMS will not be communicated to the general public unless required by federal, state or local regulations. Information regarding general SMS operation and specific risks identified will be communicated to the appropriate governing body as required only.

The Director of Marketing or designee is responsible for media communications regarding SMS issues and in consultation with HR/legal company entities where appropriate.

#### 10.7 Procedure and Process: Reference SOP-SMS-210 and WI-SMS-310

# 11

## Chapter Eleven

### 11.0 Training, Awareness & Competence

11.1 **Reference:** Safety Management System

11.2 **Purpose:** To establish a corporate-level approach which ensures that all employees have the appropriate level of knowledge about the CCRTA SMS and how the policies, processes and procedure affect how they perform their duties. This aspect of the SMS is a requirement for establishing initial competency and for on-going competence building. Additionally, this is a method for demonstration of the SMS and its contribution to safety culture development.

11.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

11.4 **General:**

CCRTA will appropriately train employees at each relevant function and level such that they are aware of:

- The SMS Safety Policy
- The SMS Safety Culture Policy
- The SMS manual, website and subsequent use
- The importance of conformance with SMS
- Individual roles and responsibilities specific to the SMS (Safety Accountabilities)
- General hazard reporting requirements of the SMS
- General risk assessment procedure of the SMS
- General accident/incident or near-miss reporting and investigation requirements
- General responsibilities with respect to the SMS emergency preparedness and response plan

CCRTA's SMS training takes into account different levels of responsibility, ability, literacy, and risk to ensure that there is an appropriate awareness among employees and managers as to what their role responsibilities are. In accordance with the above policy objectives, CCRTA will provide SMS training as follows:

- Senior Leaders/Accountable Managers/Senior Managers: Awareness of SMS roles and responsibilities, safety policy, safety culture policy, SMS requirements, related DOT/FTA regulations, management commitment and responsibilities, and safety performance monitoring responsibilities.
- Managers and Supervisors: SMS policy, SMS processes management, management commitment and responsibilities, hazard identification and risk management, safety performance monitoring responsibilities.

- Frontline personnel: SMS Overview, safety policy, safety culture policy, safety reporting, hazard identification and risk assessment procedure, accident/incident investigation process

11.5 **Competence:** Frontline employees and management competence within the SMS operations will be assured through continuous communication and involvement in the SMS as follows:

Employees shall be:

- Involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate
- Consulted where there are workplace changes that occur as a result of SMS-related activities
- Be represented in SMS matters at their site
- Informed as to who their site safety council representatives are
- Informed of significant issues arising from the operation of the SMS at their site; including lessons-learned from hazards, near-miss reports and accident/incident investigation findings.

Employee involvement shall be accomplished by:

- Submission of hazard reports
- Involvement in risk assessment results and post-event investigation findings implementation
- Participation in site safety performance monitoring
- Participation in SMS assessments
- Involvement in site safety councils

Managers shall:

- Be involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate
- Coordinate workplace changes that need to occur as a result of SMS-related activities
- Lead resolution of SMS matters at their site
- Direct their site safety council representatives in ad hoc and regular safety performance reviews
- Coordinate resolution of significant issues arising from the operation of the SMS at their site, including lessons-learned from hazards, near-miss reports, and implementation of accident/incident investigation findings
- Lead monthly site/department safety performance monitoring activities

11.6 Procedure and Process: Reference SOP-SMS-211 and WI-SMS-311

11.7 SMS Required Training Matrix:

SMS Function/Role	Required Training
Site Leadership	SMS-003 – SMS Orientation SMS-002 – SMS Engagement for Leaders
SMS Manager/Coordinator	<u>Initial Training</u> SMS-003 – SMS Orientation SMS-004 – Effective Event Investigation SMS-007 – Introduction to CCRTA
SMS Investigator	<u>Initial Training</u> SMS-001 – SMS Orientation SMS-004 – Effective Event Investigation SMS-006 – CCRTA for Investigations
ERT or SSC Member	<u>Initial Training</u> SMS-001 – SMS Orientation SMS-009/10 – ERT/SSC Charter SMS-007 – Introduction to CCRTA **SMS-004 is recommended, not required
All Personnel	<u>Initial Training</u> SMS-003 – SMS Orientation SMS-007-Introduction to CCRTA



# 12

## Chapter Twelve

### 12.0 Information Management

12.1 **Reference:** Safety Management System

12.2 **Purpose:** To establish the information management processes for the CCRTA SMS.

12.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

12.4 **General:**

For operation of the SMS, CCRTA establishes a Process to respond to the requirement for information management to assist with the establishment and verification of the effectiveness of the SMS. The SMS information management requirements in this chapter pertain to:

- Oversight of the CCRTA intranet site related to SMS
- Oversight/updates to the CCRTA SMS Y Drive
- Oversight/updates to corporate and site SMS manuals and other related documentation
- Oversight of SMS information generated through the routine monitoring of the SMS and associated operations

Operating an SMS generates a significant amount of data, documents, and reports. Proper management and recordkeeping of such data is crucial for sustaining an effective SMS. Effective safety analysis is wholly dependent upon the availability and competent use of the safety data. Cross-functional safety data integration is a cornerstone of SMS achievement.

All SMS related records are maintained such that they are:

- ▢ Legible, identifiable, and traceable to the activity, product, or service involved
- ▢ Protected against damage, deterioration, and loss
- ▢ Readily retrievable when required for internal review and/or audits from external organizations

12.5 **Procedure and Process:** Reference SOP-SMS-210 and WI-SMS-312

# 13

## Chapter Thirteen

### 13.0 SMS Assessment

13.1 **Reference:** Safety Management System

13.2 **Purpose:** To establish SMS assessment policy

13.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

13.4 **General:**

This chapter provides the guidelines for evaluating the implementation, performance monitoring, and continuous improvement of the CCRTA SMS.

Assessments focus on the integrity of the organization's SMS, and periodically assesses the overall level of safety and the effectiveness of the safety performance monitoring functions of the SMS. SMS assessments are intended to measure effectiveness of the site/organization's safety management functions and activities and will ensure that the structure of the SMS is sound regarding oversight, procedural compliance, hazard identification, risk assessment, level of competency, and training. Specifically, the SMS assessment process will examine:

- Overall effective SMS integration
- Assignment of roles and responsibilities for SMS
- Staff performance and accountability for safety
- Management commitment and employee involvement
- Compliance with SMS hazard/risk assessment process
- Effectiveness of safety performance targets and indicators
- Evidence of SMS continuous
- Adequacy of employee training for SMS roles
- Human and organization factors are addressed

13.5 **Assessment Period:** Assessment periods are 2-5 days given the size of the location and are conducted annually per site.

13.6 **Scoring Criteria:**

- Level 1 – Present

Foundational components of a functional SMS are present.

- Level 2 – Suitable

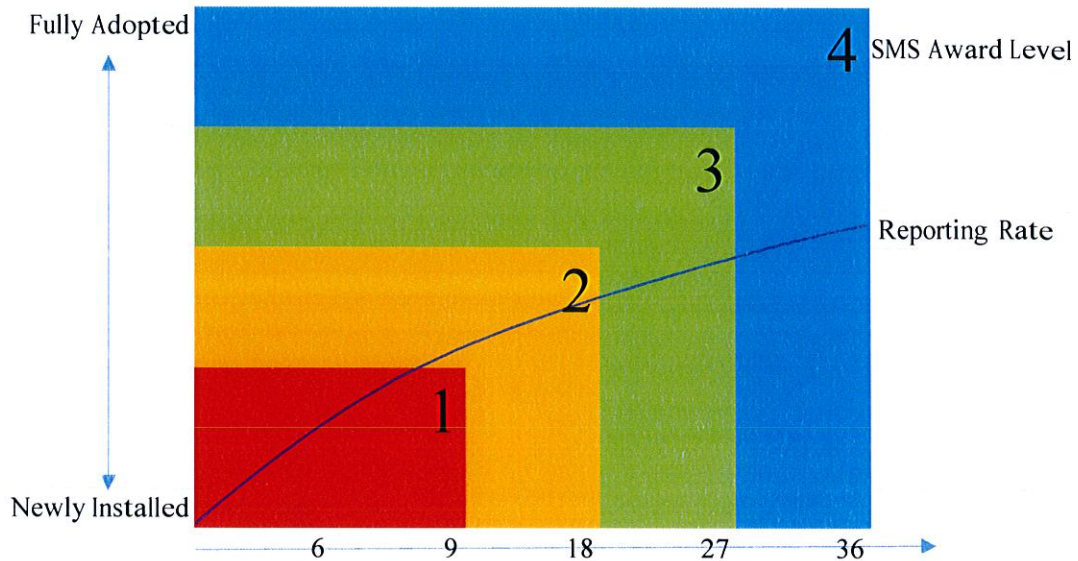
Components are suitable given the size and complexity of the organization written for and are capable of delivering the desired outcome.

- Level 3 – Operating

There is evidence that the components and subsequent processes and procedures are being used properly.

- Level 4 – Effective

There is objective evidence through safety performance monitoring that the program is reducing the risk footprint of the organization.



13.7 Procedure and Process: Reference SOP-SMS-206 and WI-SMS-306

13.8 Record Retention: Copies of all assessment records are maintained in CCRTA-Y-drive and the agency safety and security office for a minimum period of 24 months.

# 14

## Chapter Fourteen

### 14.0 Emergency Response Planning

14.1 **Reference:** Safety Management System

14.2 **Purpose:** To establish a plan for responding to an accident.

14.3 **Responsibilities:** See Safety Management System Manual, Chapter 2, Safety Responsibilities

14.4 **General:**

CCRTA SMS requires proactive response to transit related incidents and accidents on the part of all employees.

14.5 **Plan Review:** Emergency Response Plan should be reviewed annually and after the occurrence of significant events. Certain practice drills are to be carried out every two years for emergency scenarios.

14.6 **Response/Drill Critique:** Emergency responses or drills are carried out by corporate Safety and security personnel and the results thereof are recorded and shared in the interest of continuous improvement. Potential changes to the response plan may be identified by the following methods:

- Review of accidents, incidents, and near-misses
- Risk assessment processes
- Appropriation request sign off process
- Project review process
- External evaluation
- Assessments or audits

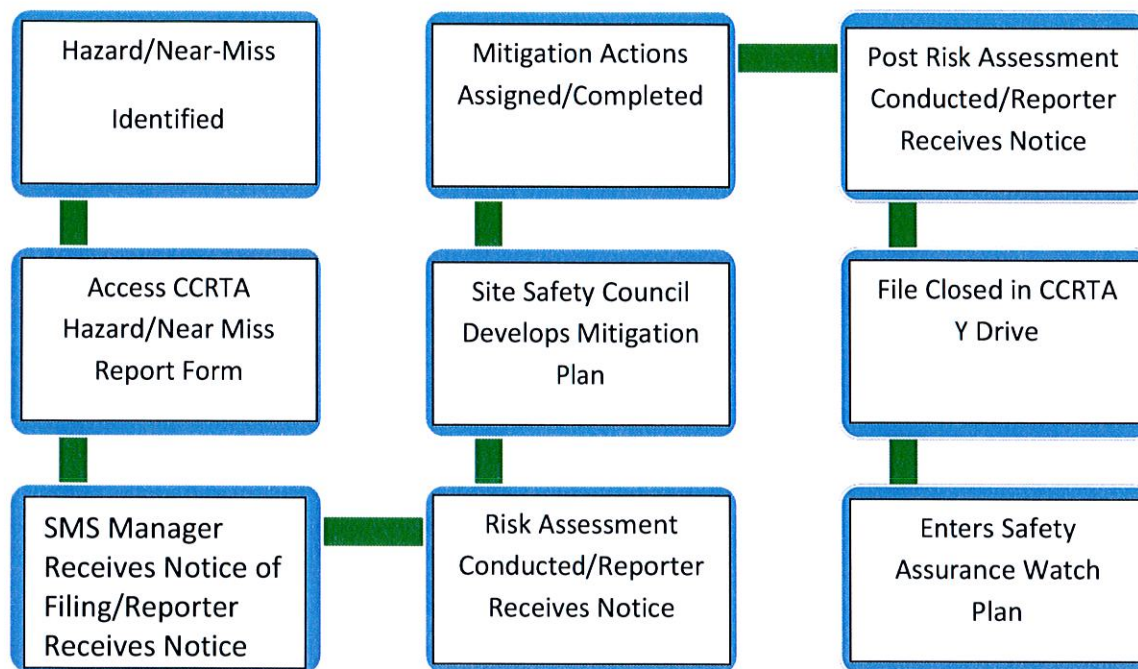
14.7 **Procedure and Process:** Reference SOP-SMS-214 and WI-SMS-314

# Hazard and Near-Miss Reporting

Standard Operating Process: SOP-SMS-205

Effective: March 2018

Process:



# WI-305: Hazard and Near Miss Reporting

Work Instruction: WI-SMS-305

Effective: March 2018

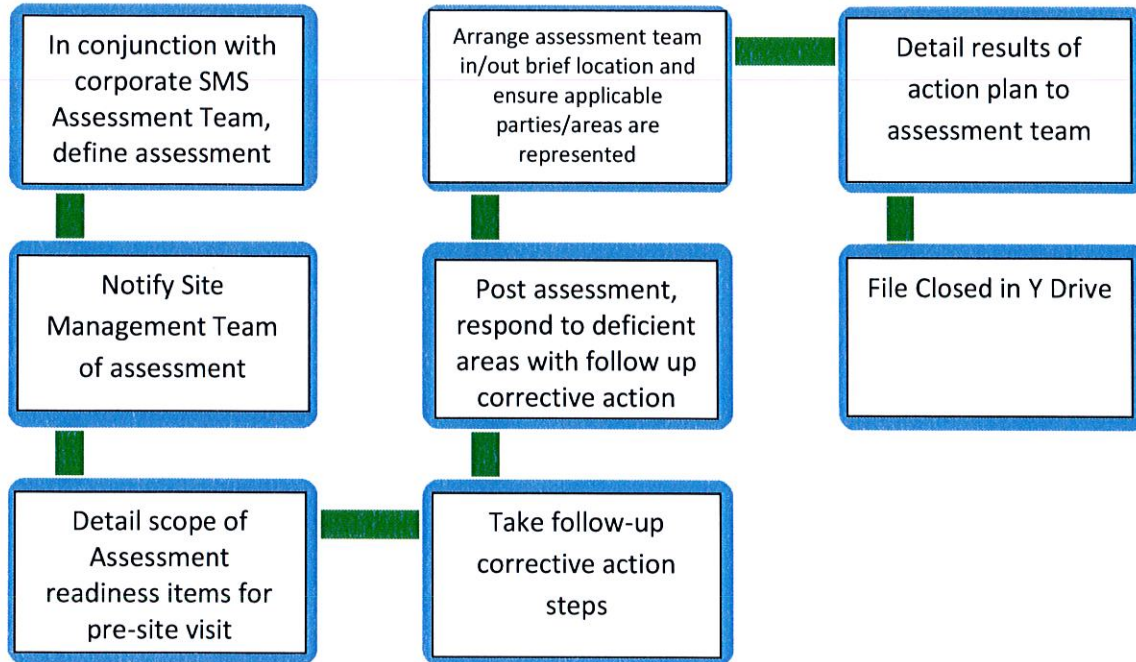
Instruction:

1. Using an internet connected computer or mobile device, go to CCRTA –Y-drive
2. Log in using your site's posted generic username and password
3. Select Hazard/Near-Miss Report from the opening screen
4. Complete all applicable sections of the form
5. Click SUBMIT

# Risk Assessment

Standard Operating Process: SOP-SMS-206

Effective: March 2018



# Risk Assessment

Work Instruction: WI-SMS-306

Effective: March 2018

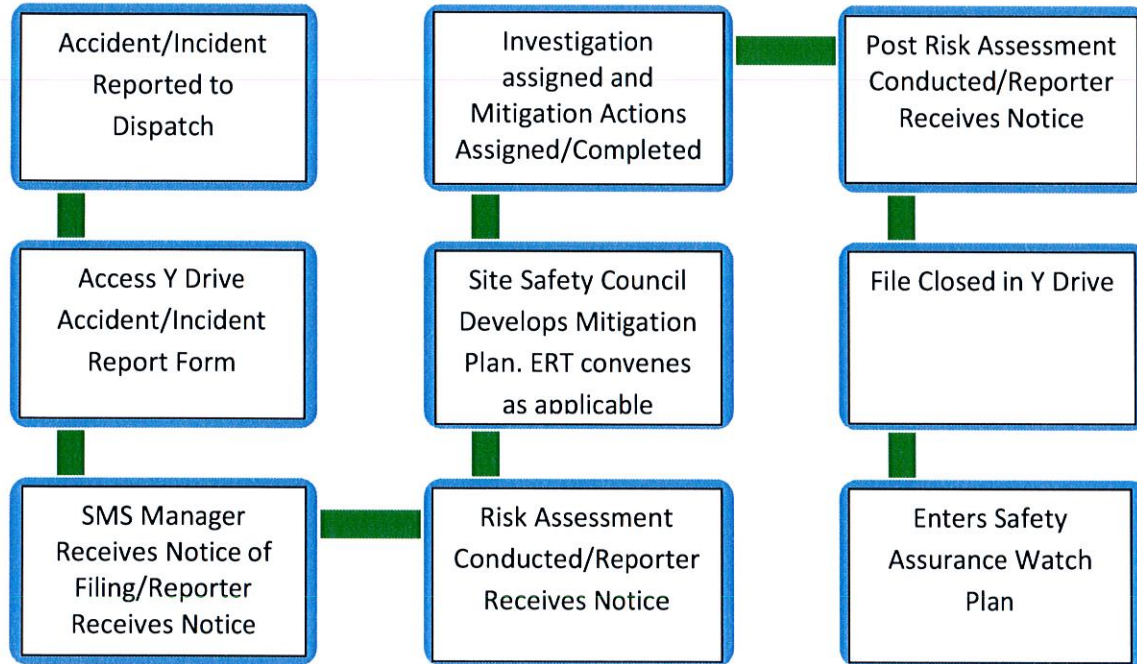
Instruction:

	<p>NOTE: Risk Assessment is an internal program and is administered by the site SMS Manager and corporate auditors. Specific Assessment module training precludes the need for Work Instructions steps.</p>
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# Incident Reporting

Standard Operating Process: SOP-SMS-207

Effective: March 2018



# Incident Reporting

Work Instruction: WI-SMS-307

Effective: March 2018

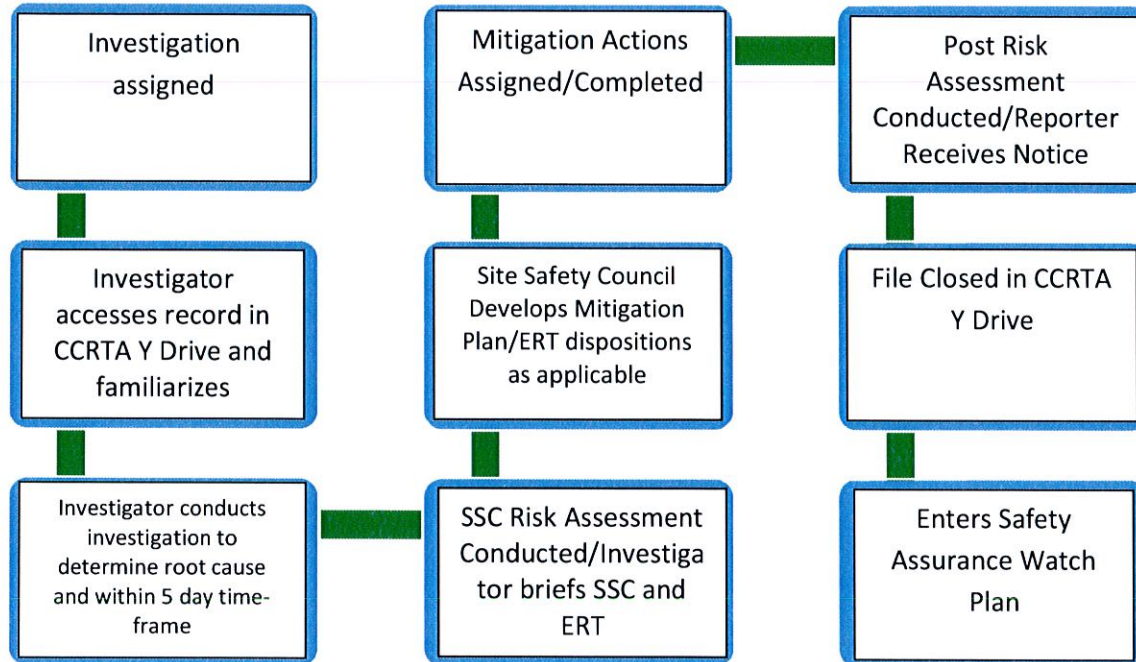
Instruction:

1. Using an internet connected computer or mobile device, go to CCRTA Y Drive
2. Log in using your site's posted generic username and password
3. Select Accident/Incident Report from the opening screen
4. Complete all applicable sections of the form
5. Click SUBMIT

# Near-Miss and Accident/Incident Investigations

Standard Operating Process: SOP-SMS-208

Effective: March 2018



# Near-Miss and Accident/Incident Investigations

Work Instruction: WI-SMS-308

Effective: March 2018

Instruction: Role Perspective – SMS Manager

1. Using an internet connected computer or mobile device, go to CCRTA Y Drive
2. Log in using your site's posted generic username and password
3. Change record owner to self (if not defaulted to site SMS Focal)
4. Click on WORKFLOW tab and change the risk assessment owner to self (if not defaulted to site SMS Focal)
5. Select START from the dropdown menu on the left side rail as indicated below.
6. Click on the EVALUATION tab and scroll to RISK ASSESSMENT.
7. Using the PLUS button, add a risk assessment. This will be the "Initial Risk Assessment" and it should be written as so in the dialog box as identified below.
8. Conduct risk assessment evaluating each risk perspective and sliding the CONSEQUENCES select icon across the LIKLIHOOD scale.



- |  |
|--|
| <p>a. ***NOTE: When complete, the overall risk score for the Initial Risk Assessment will be either Green: Low Risk - Tolerable, Yellow: Medium Risk - Not Tolerable, or Red: High Risk – Not Tolerable.</p> |
|--|
- b. If green, you may “Close” the stage and the entire record as a standard event. To do so, select “Close Stage” at the top of the Risk Assessment stage in the WORKFLOW tab, then click on the dropdown menu as depicted below and choose” Close as Standard Event” and follow prompts.
  - c. If yellow or red, an INVESTIGATION must be accomplished and recorded in this record.
9. To add an INVESTIGATION and subsequent details to the record, select the PLUS next to WORKFLOWS and select the type of INVESTIGATION to perform.
  10. Assign the investigation to a trained internal investigator.

Instruction: Role Perspective - Investigator

11. Select the dropdown menu in the newly added investigation stage on the left rail and choose START.
12. Follow INVESTIGATION stage prompts and close the stage using the CLOSE STAGE select button located at the top of the stage.
13. Click on the EVALUATION tab and scroll to CLASSIFICATION then select the PLUS button to add a root cause classification that best fits the root cause derived from your investigation.
14. Select the WORKFLOW tab, locate and click in the INVESTIGATION area on the left side rail to expose the remaining stages for this record.

Instruction: Role Perspective – SMS Manager

15. In the Site Safety Council stage, review and accept the details as prescribed by the Site Safety Council or add tasks/actions as required by the Site Safety Council.
16. With the Site Safety Council having developed a risk mitigation strategy/plan for this event, detail the tasks/actions by selecting the PLUS and assign an owner to each task/action, determine and record how long (in days) each has to accomplish the task, and add details of each task to be completed. Do this as many times as necessary to capture all tasks/actions as determined in the risk mitigation strategy by the Site Safety Council.
  - a. When each task is complete, from the dropdown menu select “Complete on behalf of” (if the task isn’t assigned to the Site SMS Focal) or simply select complete and follow on-screen prompts to record completion of each task.
17. When all tasks are complete, close the SITE SAFETY COUNCIL stage by clicking on the CLOSE STAGE icon at the top of the stage.

# Safety Performance Monitoring

Standard Operating Process: SOP-SMS-209

Effective: March 2018



# Safety Performance Monitoring

Work Instruction: WI-SMS-309

Effective: March 2018

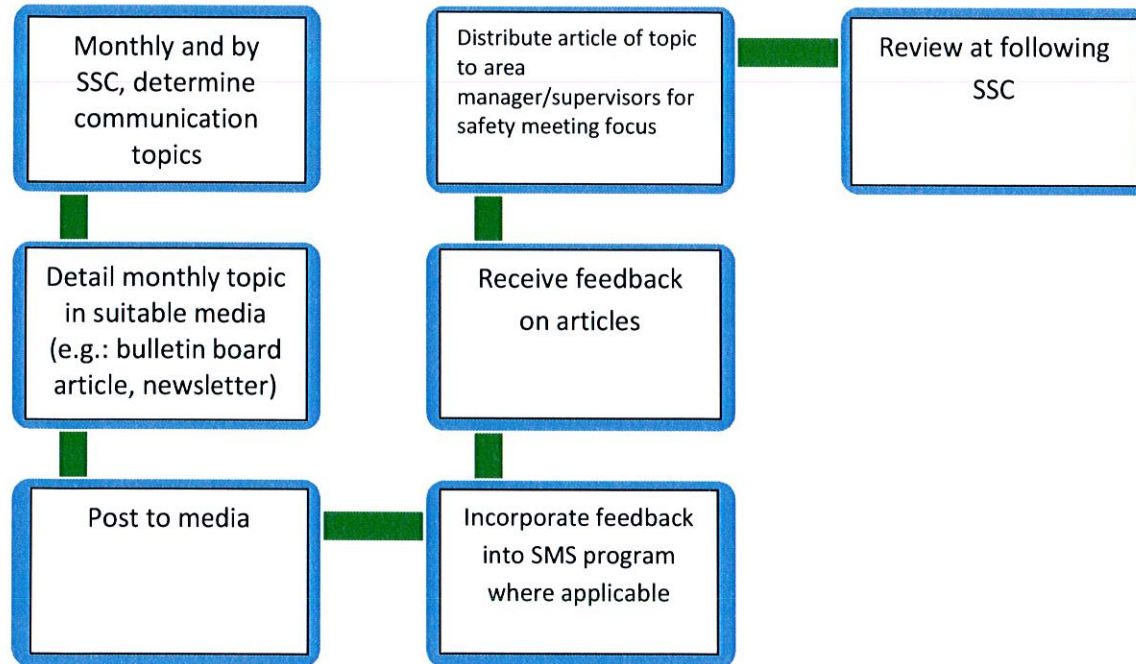
Instruction: Role Perspective – SMS Manager

1. Using an internet connected computer or mobile device, go to certa-y-drive
2. Log in using your site's posted generic username and password
3. Access Dashboard
4. Present current dashboard and related Business Intelligence metrics to SSC at least monthly

# SMS Communication

Standard Operating Process: SOP-SMS-210


Effective: March 2018



# SMS Communication

Work Instruction: WI-SMS-310

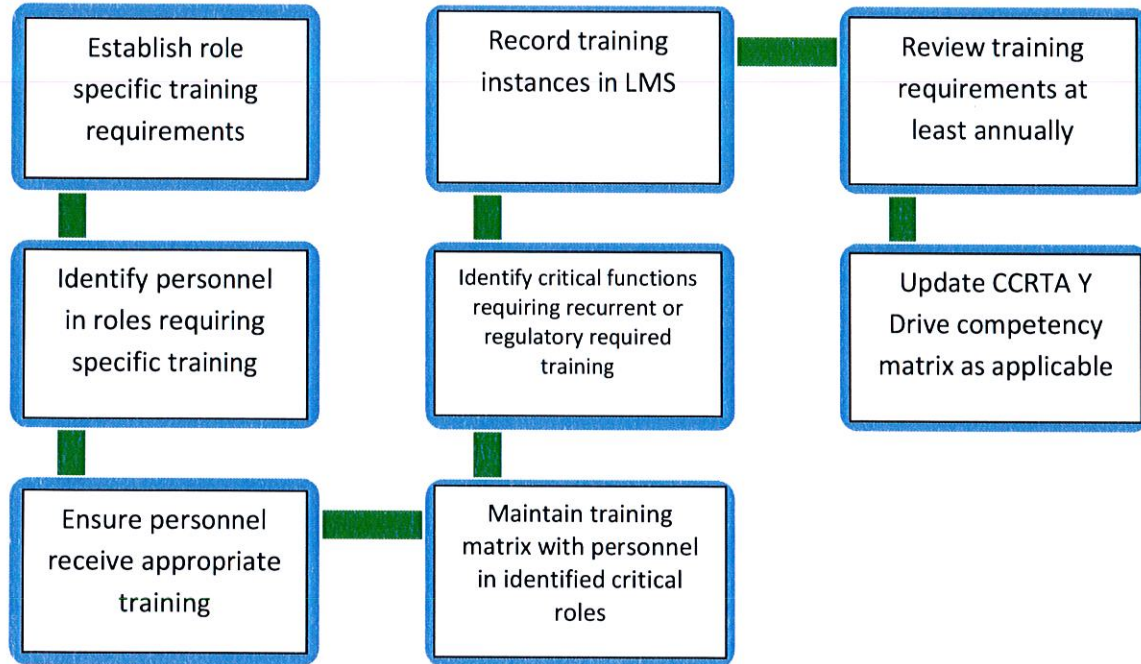
Effective: March 2018

	<p>NOTE: SMS Communication is an internal program and is administered by the site SMS Manager and Site Safety Council. Specific SSC training precludes the need for Work Instructions steps.</p>
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# Training, Awareness and Competence

Standard Operating Process: SOP-SMS-211

Effective: March 2018



# Training, Awareness and Competence

Work Instruction: WI-SMS-311

Effective: March \_\_ 2018

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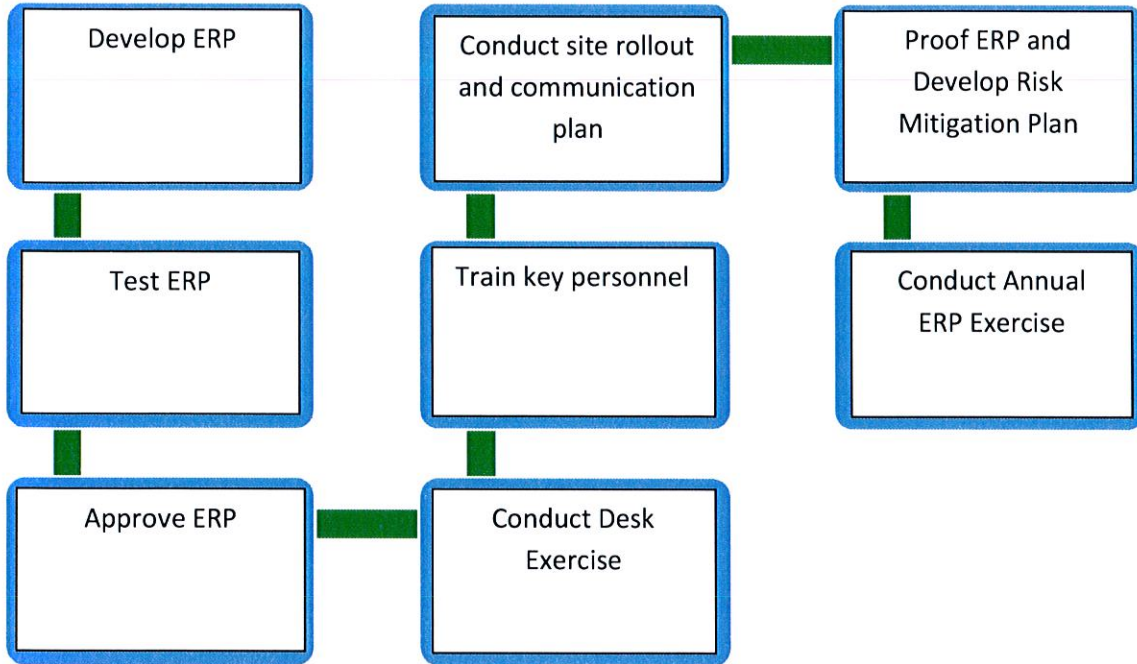


NOTE: SMS Training, Awareness and Competence is an internal developed and managed program and is administered by the site SMS Manager and Safety Manager.

# Emergency Response Planning

Standard Operating Process: SOP-SMS-214

Effective: March 2018



# Emergency Response Planning

Work Instruction: WI-SMS-314

Effective: March 2018

## I. Mission

The CCRTA Management mission is:

To improve the quality of life for everyone in Coastal Bend region by providing outstanding community-wide public transportation services while proactively contributing to CCRTA's goals for focused growth and sustainable regional development.

To accomplish this mission, CCRTA must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the CCRTA Emergency Preparedness and Response Plan (EPRP) to ensure the organization is capable of conducting its mission and essential functions under all threats and conditions.

Key CCRTA personnel who are denoted under this plan are collectively known as Essential Personnel. Upon plan activation, these members will be responsible for ensuring the continuance of the Mission.

## II. CCRTA PRIORITIES

The following represents the collective set of overarching priorities suggested by CCRTA for consideration. The combined effort of all City and County Departments will work collectively to ensure that as a community, these objectives are satisfied in the all hazards environment.

1. Ensure continuity of governance. Ensure and demonstrate to the public the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management opportunities.
2. Coordinate with critical partners. Maintain communications and interactions as necessary during a crisis, with critical partners and organizations, including the Federal government, State government, other local governments, private sector and non-profit organizations.
3. Maintain civil order and public safety. A) Protect people and property and the rule of law. B) Ensure basic civil rights, prevent crime and protect critical infrastructure.
4. Provide emergency services. Provide critical emergency services including: Emergency Management, Sheriff, Police, Fire, MEDIC and public safety communication services.
5. Maintain critical public infrastructure. Maintain critical public infrastructure, including but not limited to: water lines and plants; sanitary sewer; flood/storm water management; roads, transit and airport; emergency transportation; public safety buildings; and data centers.
6. Provide basic essential services. Ensure provision of basic essential services, including but not limited to: healthcare, water and sewer service, voice and data communications, IT services, transportation services, sanitation services, environmental protection, code enforcement/inspections, emergency housing, human services, and critical internal support functions.

The Director of Transportation, Director of Safety & Security and Director of Marketing serve as points of contact for CCRTA Bus and Operations and emergency response and regulatory agencies.

## III. CONCEPT OF OPERATION

The following phases represent the orderly approach and process that CCRTA uses to successfully transition through a continuity event.

Phase I: Readiness and Preparedness

Phase II: Activation and Relocation

Phase III: Continuity of Operations Phase IV: Reconstitution

Phase IV: Reconstitution or Devolution

## PHASE I: READINESS AND PREPAREDNESS

1. CCRTA Safety and department heads are responsible for ensuring that plans and processes are updated as needed. The Safety & Security Department will notify division heads of scheduled reviews.

Facility Emergency Plans are maintained for the following facilities:

- Staples Street Center Building
- Bear Lane Operations and Maintenance Buildings

The Facility Emergency Plans address:

- Building Evacuation – General
- Fire
- Tornadoes
- Medical emergencies
- Elevator emergencies
- Bomb threats
- Biohazards or suspicious items
- Workplace violence (to include Active Shooter)
- Other emergency conditions

CCRTA Safety staff plan and conduct fire drills on a six-month basis at the CCRTA facilities. Employees receive their respective Facility Emergency Plan and are trained to respond to situations according to their Facility Emergency Plan.

Evacuation Plans – Accurate building evacuation diagrams are maintained throughout each facility.

Bus Operations: Will take point to ensure plans are in place and up to date to address emergency situations. The plans will consist of The Bus Operations Standard Operations Procedure Manual and Reference Guides addressing the following emergency procedure:

CCRTA Bus Accidents Process - Bus Fire Process - Medical Emergency (Passenger) - Suspicious or Illegal Activity - Inclement Weather - Call Chain and Emergency Contact Numbers for Safety

### Maintenance

Ensure:

- Emergency contact list for utility companies and other vendors
- Portable air compressor available to operate lift in event of power outage
- All generators fueled and ready for emergency operations. Identify facility to rent additional generators as needed. Have account set-up so they can be obtained without a purchase order.
- Topping off of fuel for buses occurs each night; in-ground fuel tanks are refilled regularly. Maintenance support vehicles are topped off once they go below half tank.
- Spill prevention and implementation of the Spill Prevention Control and Countermeasures Plan at the Bus Maintenance facilities.
- Identify and secure alternate fueling location if needed.

## Facilities Management

### Ensure:

- Take periodic photographs of the facilities for insurance claims justification.
  - Manage gas, electric utility shut-off at CCRTA facilities.
  - Testing of emergency generators as specified in the Facilities Maintenance Plan.
  - Spill prevention and implementation of the Spill Prevention Control and Countermeasures Plan.
2. The Crisis Communications Plan identifies contact requirements during a crisis. Emergency contact information for CCRTA Staff is available and Contractors and other essential contacts are being developed.
  3. Communications – Departments should follow their normal call-in protocol. Departments may have several lines of communication available as follows: normal telephone, bus radio system, and telephones / radios for most of the management staff.
  4. Management Transportation Requirements – Management personnel will take agency vehicles and radios home and will report road and route conditions as needed. These vehicles may also be used to transport key personnel as needed.
  5. Non-Revenue Vehicle Servicing Requirements – Any department assigned vehicles will be responsible for fueling and servicing them prior to any foreseen emergency. Servicing of vehicles may include, but is not limited to, equipping vehicles with first aid kits and emergency supplies (flashlights, shovels, blankets, etc.). These items may be checked and inspected for serviceability on a quarterly basis or as deemed necessary by weather conditions and/or the Office of Safety. The fuel level in non-revenue vehicles should not be allowed to go below one half of a tank. This will allow CCRTA to respond to unforeseen emergencies.
  6. Fueling Requirements – Prior to any foreseen emergency, all revenue vehicles should be fueled, underground storage tanks should be topped off (not to exceed EPA regulations at 90 % capacity), and backup confirmation in place from fuel suppliers. All propane tanks should be filled for gas grill, sweeper, and forklift. All generators, portable and backup, should be fueled and ready at all times.
  7. Remote Operating Locations – In the event that any primary facility is evacuated, employees will be advised of the alternate operating location. This communication can take place via postings, radio station, or calling chain depending on the specific location. Alternate operating locations are being developed.
  8. CCRIA – Only one representative from CCRTA may be allowed in CTECC. Incident Command Training is required in order to participate.
  9. CCRTA will respond to transportation/shelter requests by the Vice President of Bus and Paratransit Services, area first responders (Police, Fire, and MEDIC) or the Emergency Management Office as needed and as staffing and equipment availability will allow.
  10. Evaluate operations of all security cameras on the property and in the fleet.



## PHASE II: ACTIVATION AND RELOCATION

### Director of Transportation

- Notifies CCRTA Operations Staff, including the CEO, Office of Safety & Security, and if required CCPD and CCFD of potential limitations in ability to respond to emergency situations.

### Maintenance – Bus Operations

- Facility shutdown Process – Shut off gas, water, electrical power, etc., in coordination with facilities.
- In the event of a power outage at maintenance facility, a stand-by generator will be used to power the fuel pumps.
- Maintenance facility is equipped with a portable pump and generator if the stand-by generator fails. The pump and generator will be placed close to the bulk storage tanks and a hose dropped directly into the tank, in accordance with EPA regulations. Although it is extremely unlikely Fuel can also be pumped directly from a tanker through gravity feed connection and meter on the truck (Provider to be identified) by calling additional suppliers with wet fuel vehicles. CCRTA suppliers will need to be prepared to supply a transport tanker (7,500 gallon capacity) at maintenance facility for 8-hour shifts for each day of an emergency. If not at the FRS facility, then one or both of those transport tankers would be directed to other off-site facilities for emergency fueling operations.
- If outside equipment or vehicles with 4 wheel drive, etc. are needed, CCRTA would request
  - equipment through CCRTA or the Emergency Operations Center.
- Secure all maintenance assets, facilities, and additional outside vehicles if needed.

### Operations – Bus Operations

- Establish a backup Control Center if needed.
- Monitor status and readiness of all CCRTA bus equipment and facilities. Be prepared to repair or secure all assets, facilities, and vehicles if required.
- Coordinate reductions in service with CCRTA's Chief Operations Officer and Bus Operations.

### Facilities Maintenance

- Assist/coordinate recovery.
- Evaluate damage.
- Respond and assist as necessary.

### Safety and Security

- Coordinate with the Director of Maintenance and Paratransit Services for CCRTA to assist in additional manning of security personnel as needed depending on the emergency situation.
- Assist with transportation arrangements of required staff.
- Make safety assessment of building facilities and routes as needed.

- If required, coordinate security of any property that is evacuated. This information will be communicated and coordinated with the Law Enforcement Coordinator. Each evacuated facility and all related equipment will be locked and secured. Private security officers, police, off-duty police, or management staff will provide oversight, depending on availability.

#### Accounting Bus Operations

- Transmit payroll prior to any foreseen disaster to minimize impact of any possible computer or processing problems.
- Cross-train for back-up payroll personnel. Finance will transmit payroll prior to any foreseen disaster to minimize impact of any possible computer or processing problems.
- Cross-train for back-up payroll personnel. Coordinate staffing to handle any potential revenue processing situations.
- Coordinate armored car pick-up with CCRTA.

#### Marketing and Communications

- Provide media contact/relations assistance as requested by CCRTA.

#### Technology

- Assist in securing network.
- Request support as needed.

#### Scheduling

- Coordinate cutbacks in the level of service with CCRTA.
- Prepare to provide staff support to other functions as needed.

#### PHASE III: CONTINUITY OF OPERATIONS

1. CCRTA is responsible for the MEF (Mission Essential Functions) to ensure all MEF requirements are being fully supported.

When there are disruptions:

- Routine disruptions (debris, road closures): handled at supervisor level
  - Larger disruptions covered below
2. When appropriate Fire and EMS requests buses, CCRTA Management will respond.
  3. Major disruptions to normal service: After a major disruption of service, bus operations will not resume service until they receive approval from CCRTA.
    - Short term goal is to achieve level of service identified by Leadership in the Service Level Change.
    - Long term goal is full service restoration.

#### PHASE IV: RECONSTITUTION OR DEVOLUTION

##### Reconstitution:

During this phase, there will be an on-going assessment to return the system to 100% functionality in the shortest time possible. All departments will be responsible for executing this plan. The purpose of this phase is to make certain that all areas have been addressed in an appropriate manner and CCRTA can sustain operations indefinitely. This phase will also be a self-assessment to determine ways to improve our processes, procedures, and to update all disaster related plans. The following is an example of items that will be reviewed during this process:

- Department managers will provide the records to support all expenses associated with the disaster
- Each department will provide an update on the status of personnel, equipment, and
  - facilities
- Department managers should provide a list of proposed changes to this plan to CCRTA's
  - Department of Safety and Security
- Department managers should follow this plan to achieve 100% functionality in their assigned area
- Department managers will identify any shortfalls or limiting factors that will prevent them from achieving 100% functionality
- Replenish emergency supplies and equipment used during incident