SAN JOAQUIN REGIONAL TRANSIT DISTRICT
BOARD OF DIRECTORS MEETING – NOTICE AND AGENDA
10:00 A.M. ON FRIDAY, JULY 17, 2020

This meeting is being held pursuant to Executive Order N-29-20 issued by California Governor Gavin Newsom on March 17, 2020. The Board of Directors will attend the meeting telephonically via Zoom Video Communications.

Members of the public can attend the RTD Board Meeting (audio only) by dialing: (669) 900-9128
Meeting ID: 860 5166 2449, or by viewing a live broadcast of the meeting online at
https://us02web.zoom.us/j/86051662449

Persons wishing to address the Board must submit a public comment request by sending an email to BoardSupport@sjRTD.com or by calling (209) 467-6668. All comments must be received by 9:00 a.m. on Friday, July 17, 2020.

RTD is committed to ensuring that all meetings are accessible regardless of an individual's ability or access method. If you need a reasonable accommodation, please contact RTD's Chief Executive Office at (209) 467-6668. *For language assistance, interpreter services, please contact (209) 943-1111. Para información en Español, por favor llame al (209) 943-1111.*

1.   CALL MEETING TO ORDER

2.   MOMENT OF SILENCE/REFLECTION

3.   PLEDGE OF ALLEGIANCE TO THE FLAG

4.   ROLL CALL

5.   SPECIAL PRESENTATIONS

       A.   EMPLOYEES OF THE MONTH
              Special recognition of the Administration, Maintenance, and Transportation Employees of the Month.

       B.   WHO WE ARE: TRANSPORTATION
              Special presentation by Operations Superintendent – Transportation Cameron Isaacson.

       C.   INCIDENT MANAGEMENT
              Special presentation by Safety Administrator John Coose and Risk Administrator Nancy Antonio.

6.   PUBLIC COMMENT

       Each person who addresses the Board shall not make slanderous or profane remarks to or about any member of the Board, staff, or general public. Any person who utters loud, threatening, personal, or abusive language, who is unduly repetitious or engages in extended discussion of irrelevancies, or who engages in any disorderly conduct which disrupts, disturbs, or impedes the orderly conduct of any Board meeting shall, at the discretion of the presiding officer or a majority of the Board, be barred from further audience before the Board during that meeting. All public comments shall be limited to no more than FIVE MINUTES. In addition, applause, loud noises, or any other outbursts or disruptions from the audience are not allowed during or after a public comment. At the discretion of the presiding officer, those who are in violation of this protocol

may be disconnected from the meeting.

7. REPORTS

    A. CHIEF EXECUTIVE OFFICER (CEO) UPDATE

    B. STATE/FEDERAL LEGISLATIVE UPDATE

    C. FINANCIAL REPORTS
       June financial reports provided to the Board.

8. INFORMATION ITEMS
   Reports provided for information only. Staff will be available to answer any questions.

    A. QUARTERLY UPDATE OF SOLICITATIONS JULY – SEPTEMBER 2020

    B. QUARTERLY UPDATE ON CONTRACTS AWARDED APRIL – JUNE 2020

9. CONSENT CALENDAR

    A. RESOLUTION: APPROVING THE MINUTES OF THE JUNE 19, 2020 REGULAR BOARD OF DIRECTORS MEETING
       Board approval of minutes.

    B. RESOLUTION: ADOPTING THE BUSINESS CONTINUITY PLAN
       Board adoption of the Business Continuity Plan.

    C. RESOLUTION: ADOPTING THE UPDATED AGENCY SAFETY PLAN
       Board adoption of the updated Agency Safety Plan.

10. ACTION ITEMS

    A. RESOLUTION: AWARDING A CONTRACT TO EAM SOLUTIONS, LLC FOR TRANSIT ASSET MANAGEMENT SYSTEM FOR A TOTAL CONTRACT AMOUNT NOT TO EXCEED $471,577
       Board approval of contract for transit asset management system.

11. QUESTIONS AND COMMENTS FROM DIRECTORS AND STAFF

12. CLOSED SESSION

    A. CONFERENCE WITH LABOR NEGOTIATOR
       Agency Negotiator: Gloria Salazar, CEO
       Employee Organization: Amalgamated Transit Union, Local 256

    B. CONFERENCE WITH LEGAL COUNSEL—ANTICIPATED LITIGATION
       Significant exposure to litigation pursuant to subdivision (b) of Government Code, Section 54956.9

13. ADJOURNMENT
   NOTE: THE NEXT REGULARLY SCHEDULED BOARD MEETING WILL BE HELD ON FRIDAY, AUGUST 21, 2020 AT 10:00 A.M.

   DATE POSTED: JULY 10, 2020

SPECIAL PRESENTATION: **RECOGNITION OF ADMINISTRATION, MAINTENANCE, AND TRANSPORTATION EMPLOYEES OF THE MONTH**

LEAD STAFF: **GLORIA SALAZAR**
CHIEF EXECUTIVE OFFICER

BACKGROUND:
To qualify as Employee of the Month (EOM), employees must meet the following basic requirements:
1. Has been an employee for at least six months.
2. Has not been selected EOM for the previous six months.
3. Has a perfect attendance record for the month.
4. Does not have any disciplinary action pending or in effect.

RTD selects EOMs based on the following criteria:
1. Takes initiative and accepts and carries out additional responsibilities beyond regular job assignments.
2. Provides exceptional internal and external customer service by being courteous and helpful.
3. Projects a positive image and has a helpful and cooperative attitude.
4. Exemplifies trustworthy and ethical behavior.
5. Promotes a positive work environment.
6. Comes to work on time, on a daily basis.

The Administrative EOMs are selected as follows:
1. A member of the management team nominates employees at a monthly meeting.
2. Nominees are selected as EOM when they receive at least a 2/3 majority of the votes cast by members of the management team.

A majority of their respective supervisors selects Maintenance and Transportation EOMs. There may be months where no EOM is selected for Administration, Maintenance, or Transportation.

Every EOM receives:
- $75.00 gift card
- Certificate and acceptance photograph

RTD recognizes EOMs by posting their photographs in the employee newsletter, "As the Wheels Turn," and at each RTD facility in frames designed for EOM recognition.

The EOM program provides that RTD selects the Employee of the Year (EOY) from the previous 12 months' EOMs. RTD offers EOYs the opportunity to represent their department/division at one of the conferences of the American Public Transportation Association (APTA).

SPECIAL PRESENTATION: **WHO WE ARE: TRANSPORTATION**

LEAD STAFF: **CAMERON ISAACSON**
                              OPERATIONS SUPERINTENDENT – TRANSPORTATION

BACKGROUND:
Operations Superintendent – Transportation Cameron Isaacson will provide a presentation to the Board regarding the functions of the Transportation Department at RTD.

SPECIAL PRESENTATION: **INCIDENT MANAGEMENT**

LEAD STAFF: **JOHN COOSE, SAFETY ADMINISTRATOR**
    NANCY ANTONIO, RISK ADMINISTRATOR

BACKGROUND:
Safety Administrator John Coose and Risk Administrator Nancy Antonio will provide a presentation to the Board regarding incident management at RTD.

REPORT: **CHIEF EXECUTIVE OFFICER UPDATE**

LEAD STAFF: **GLORIA SALAZAR**
CHIEF EXECUTIVE OFFICER

POLICE ACTIVITIES (JUNE)

Officer Marquez worked 17 days, Officer Perez worked 16 days, and other officers worked 1 day. Their production statistics for June are listed below:

Type of Report Filed	Quantity	Type of Report	Quantity	Type of Report Filed	Quantity
Felony Arrests	1	Intoxication Arrest	1	Field Interviews	20
Warrants Arrests		Moving Citations		PC 640 Citations	
Other Arrests		SMC Citations		Misdemeanor Arrests	1
Parking Citations	2	Traffic Citations		Abandoned Autos	
Other Citations		Vehicles Towed		Narcotics Confiscated	
Calls for Service	24	Weapons Seized		Weapons Confiscated	1

MEETINGS

RTD participated in conferences and meetings of the following committees and organizations:
- **American Public Transportation Association (APTA) Bus Operations Committee Meeting:** CEO Gloria Salazar
- **San Joaquin Council of Governments (SJCOG) Management and Finance Committee Meeting:** Deputy CEO Kimberly Gayle
- **Access San Joaquin (ASJ) Technical Advisory Committee (TAC) Meeting:** Deputy CEO Kimberly Gayle
- **SJCOG Board Meeting:** CEO Gloria Salazar, Deputy CEO Kimberly Gayle
- **Social Service Technical Advisory Committee (SSTAC) Meeting:** Mobility and Customer Engagement Manager Jean Foletta-Morales
- **CALACT Conference Committee Meeting**: CEO Gloria Salazar
- **APTA Mid-Size Operations Committee Meeting:** CEO Gloria Salazar
- **Interagency Transit Committee (ITC) Meeting**: Deputy CEO Kimberly Gayle, Service Development Manager Damaris Galvan
- **American Logistics (ALC) Meeting:** Safety Administrator John Coose
- **National Express Transit (NEXT) Meeting:** Safety Administrator John Coose
- **San Joaquin Regional Rail Commission (SJRRC) Board Meeting:** Deputy CEO Kimberly Gayle

EVENTS

Virtual Employee Forums on RTD's Recovery Plan

On Tuesday, June 23, RTD hosted its most successful employee forums—with just over 50% of all employees in attendance. Attendees heard each department shared their role in RTD's Recovery Plan:
- Finance announced the FY 2021 budget, which is 8% lower than previous years.
- August service changes will increase modified service—restoring most routes and streamlining underperforming routes.
- Restructure of Van Go! and partnership with Uber increase mobility options.
- TextBus enhancement offers more travel information to passengers.
- Facilities shared their increased sanitizing practices.
- Maintenance will install carbon plexiglass barriers to further enhance protection.
- Transportation encourages all frontliners to provide customer-focused extraordinary service that is creative, genuine, and deliberate.
- The Road Supervisor Program (implemented in late-July) provides Bus Operators with additional support.

- High-visibility Security Team establishes confidence for passenger and staff. They will enforce County Public Health Order (face covering and social distancing).
- Marketing provided an overview of marketing plan to restore confidence in RTD transit system.

The forum ended with a Q&A session where participants' questions were answered. The questions and answers are displayed on various internal monitors at the DTC and RTC.

"We're in This Together" Campaign
As a part of RTD's Recovery Plan, RTD launches a campaign to refresh and restore rider confidence:
- RTD is offering free face masks to passengers at the Downtown Transit Center (DTC), Hammer Triangle Station (HTS), and Union Transfer Station (UTS) to encourage wearing of face coverings. Bus Operators will also have the option of providing face masks to passengers.
- RTD is reminding passengers and staff of safe practices with external monitors, large banners on platforms at the DTC and HTS, and audio announcements in English and Spanish aboard all SMA fix-route vehicles and on DTC platforms to reinforce the message that "Your Safety is Our Priority."
- On August 3, RTD's Executive team will greet passengers, personally welcoming them back to our modified service. They will also be giving away face masks and face shields.
- RTD will also suspend fare collection from August 2 to August 29 to encourage ridership.

RTD Takes the Stockton Healthy Pledge
RTD joins other Stockton businesses in taking the Stockton Healthy Pledge. The many sanitizing and safety efforts implemented since March align with the pledge to create a clean, safe, and healthy environment for our customers. RTD pledges to the following:
- Abide by all orders and directives issued by governmental and public health officials.
- Enhance employee protocols including increased regular education, hand washing, sanitation efforts, and social distancing.
- Clean and disinfect high-touch surfaces frequently, per Centers for Disease Control and Prevention (CDC) and local health officials.
- Require and/or encourage the use of face coverings by staff and customers.
- Reduce occupancy in common spaces to ensure compliance with CDC and State social distancing guidelines.
- Encourage customer hand sanitizing and hand-washing, as available.

Safety and Service Awards
To celebrate the safety and service commitment of RTD employees, Supervisors and Managers recognized employees with five plus years of safety and service with awards at the RTC. At the DTC, CEO Gloria Salazar and Deputy CEO Kimberly Gayle also greeted and awarded employees.

REPORT: **STATE/FEDERAL LEGISLATIVE UPDATE**

UPDATED BY: **KIMBERLY GAYLE**
           DEPUTY CEO

           PAT JORDAN
           JORDAN & ASSOCIATES

State Report

Governor Signs Budget Act of 2020 into Law

Governor Newsom signed into law on June 29 key provisions of a new state budget. The $202 billion budget provides a blueprint for the fiscal year that began July 1 is not the final effort to address economic impacts of the state's COVID-19 pandemic. The budget includes key provisions of a new state budget, a spending plan that seeks to erase a historic deficit while preserving service levels for schools, healthcare and social services. Lawmakers are expected to revisit funding levels once a clearer picture of tax receipts develops after July 15.

Legislators persuaded Newsom to largely replace the cuts he proposed last month with an assortment of other budget-balancing solutions, including delayed payment plans, borrowing from various internal funds and more optimistic tax revenue estimates. The final agreement also relies heavily on cash reserves, withdrawing almost half the money in California's $16 billion "rainy day" fund. The enacted plan largely reflects priorities from the Democratic majority.

A key component of the final deal between the Governor and Democratic lawmakers was how much new coronavirus relief California might receive this year from President Trump and Congress and what to do until it arrives. The spending plan includes a list of more than $11 billion in spending cuts that will be reversed if at least $14 billion in new federal dollars arrive this fall. Following that point, the California Transit Association wrote to federal and state lawmakers on June 29 requesting support to provide $3.1 billion in new emergency funding to California's transit agencies.

A number of budget trail bills was passed, as well, including AB 90 from the Committee on Budget. AB 90 implements several statutory relief measures for transit in the June budget, including:
- Institute a hold harmless provision for calculation and allocation of State Transit Assistance Program, Low Carbon Transit Operations program, and STA-State of Good Repair allocations (Local Revenue Basis Only);
- Temporarily suspend the financial penalties associated with the Transportation Development Act's requirements that transit agencies obtain specified fixed percentages of their operating budgets from passenger fares; and, suspend the financial penalties associated with the State Transit Assistance Program's requirement that transit agencies operating cost per revenue vehicle hour may not exceed operating cost per revenue vehicle hour adjusted by regional CPI, year over year.

Effect on RTD: The Budget Act passed by the Legislature does not address the $3.1 billion in additional funding needed for California transit. RTD should advocate at the state and federal level for addressing the funding shortfall. The budget trailer bills will help RTD since financial penalties are waived associated with the TDA's requirements that transit agencies obtain specified fixed percentages of their operating budgets from passenger fares. In addition, RTD would not be fined for the STA program requirement that transit agencies operating cost per revenue vehicle hour may not exceed operating cost per revenue vehicle hour.

Senate President pro Tempore Toni G. Atkins (D-San Diego) and Assembly Speaker Anthony Rendon (D-Lakewood) issued a joint statement announcing amended Legislative session return date from July 13 to July 27, 2020 to minimize the impact of COVID-19. We hope to see an updated legislative calendar in the coming days.

Federal Report

House Committee Approves Surface Transportation Bill (Reauthorization)
The House Transportation and Infrastructure (T&I) Committee approved a five year, $500 billion reauthorization of federal surface transportation programs (HR 2) late on June 18 by voice vote, after a grueling two-day markup session. Known as the Investing in a New Vision for the Environment and Surface Transportation (INVEST), T&I Committee Chair Peter DeFazio (D-CA) offered a "manager's amendment" to the bill on the first day of the markup to the substitute version of the bill that added mostly minor Democratic amendments to the measure.

Ranking Member Sam Graves (R-MO) and his Republican colleagues on T&I were highly critical of the measure. These transportation bills have traditionally been crafted in a bipartisan manner on T&I, but DeFazio claims that GOP resistance to including climate change provisions early on ended that process this time around. A republican alternative that focused on highway programs and streamlining existing programs and environmental reviews was rejected along party lines. The bill was approved on a party-line vote.

Overall, the legislation authorizes $319 billion for highways, $105 billion for public transportation, and $60 billion for commuter rail, Amtrak, and other passenger rail operations. Public transportation funding includes $5.8 billion in supplemental funding in Fiscal Year 2021 for funding needs to address the impacts of the COVID-19 pandemic.

As reported in the June 18 **Legislative Report**, the following transit provisions were included in H.R. 2:
- Urbanized Area formula grants (Section 5307) would rise annually from the current level of $5.6 billion to $7.86 billion by FY 2025.
- Bus Facility and Fleet Expansion Grants – would rise annually from current level of $1.1 billion to $1.65 billion in FY 2025 (modifies competitive portion of the bus program to focus on large one-time needs for bus garages, bus stations, and fleet expansions).
- The Low and No Emission Vehicle program would be renamed the "Zero-Emission Bus Grant" program and funding would rise annually from the current level of $130 million to $500 million in FY 2025.
- Creates a sub grant administered through bus formula grant that provides increase in funding for transit agencies with oldest buses.
- Authorizes Mobility Innovation Sandbox Program.
- Increase Small Transit Intensive Cities (STIC) program set-aside from 2 % to 3% of the Section 5307 program and provides a 3-year phase out for prior STIC recipients who no longer qualify under new census designation.
- Transit data from 2020 (heavily impacted by COVID-19) will not be used to determine appointments for FY 2022 formula programs.

While the robust funding levels for the Bus and Bus Facilities Program is certainly good news, some policy issues concerning zero emission bus grants required clarification during the committee markup.

The Low or No Emission Vehicle Grant (Low-No) program in Section 2403 of H.R. 2 only made non-attainment areas eligible areas to receive funding. This would negatively affect many areas in California due to the Innovative Clean Transit regulation by the California Air Resources Board. The regulation requires all transit agencies in California to begin to purchase zero-emission buses as soon as 2023. Representative Julia Brownley (CA-26) offered an amendment that would make any state eligible for the

Low-No program if the state adopted a regulation requiring conversion to zero-emission buses. The amendment was approved during the T&I Committee markup.

H.R. 2 was incorporated into a $1.5 trillion infrastructure bill that the House of Representatives passed on July 2. H.R. 2 as approved by the T&I Committee did not outline how the bill would be paid for. It is estimated that about $140 billion in "new' money must be added to the Highway Trust fund to get to the $500 billion funding level. The link to the T&I Committee Markup and Manager's Amendment is here https://bit.ly/3hJFIYD

Effect on RTD: The INVEST Act provides large increases in bus funding, which would provide additional funding to purchase zero-emission buses. The clarification of the Low-No program in H.R. 2 does not currently affect RTD since San Joaquin County is located in a severe nonattainment area.

House Passes Massive Infrastructure Bill
As expected, House Democratic leaders added a variety of infrastructure-based items to the five-year, $500 billion reauthorization of federal highway, rail, and transit programs (HR 2) that was approved by the House Transportation & Infrastructure Committee on June 18. The House of Representatives passed the Moving Forward Act on July 2, by a partisan vote of 233-188 a $1.5 trillion infrastructure bill that cuts across a number of economic sectors, such as transportation, energy, education, housing, and healthcare. The 2,300 page Moving Forward Act breaks down the specific sector-by-sector infrastructure investments, including:
- $494 billion in surface transportation reauthorization funding;
- $130 billion for schools
- $100 billion for affordable housing infrastructure
- $30 billion to upgrade hospitals and community health centers
- $25 billion in Drinking Water State Revolving Fund
- $25 billion to modernize U.S. Post office infrastructure and operations

The bill would permanently reinstate Build America Bonds, taxable bonds created in the 2009 stimulus law that allow the federal government to pay subsidies to state and local issuers so they can offer more attractive interest rates.

The bill is not expected to be considered in the Senate, although there is a chance that the transportation reauthorization portion could be peeled off and negotiated with the Senate. House Democrats decided against recommending a gasoline tax increase to fund the transportation reauthorization (Invest in America Act"), instead choosing top propose filling the $140 billion funding gap with a transfer from the General Treasury to the Highway Trust Fund.

There is a push by Senate Environment and Public Works Committee leaders to pass a surface transportation reauthorization bill in the full chamber soon, as a counterpart to the surface transportation bill that makes up the core of the House's infrastructure package.

A 96-page section-by-section summary of the 2,309-page bill can be found here: https://bit.ly/3izBPWL

Effect on RTD: The Moving Forward Act contains the surface transportation bill approved by the House Transportation Committee. A broad infrastructure bill is not expected to be considered in the Senate; however, the surface transportation bill included in the Moving Forward Act could be separately considered in the Senate. While bus funding levels in the House bill, H.R. 2, are robust, RTD should continue to advocate at the federal level for increased bus funding levels since the Senate bill is unlikely to be as favorable.

House Climate Change Plan Released

Democrats on the House Select Committee on Climate Change released a report on June 30 designed to provide a path to net-zero greenhouse gas emissions by 2050. The 537-page plan reveals a sweeping slate of recommendations to address climate change by lowering emissions, investing in low-carbon industries, pulling away from high-pollution sectors and speeding the shift away from fossil fuels. The report includes some cost and benefit estimates for certain policies, but does not include a cost for the entire plan. The report endorses the idea of a carbon tax.

The Plan calls for massive expansion of public transit and further examine switching to a vehicle miles traveled or similarly styled fee in lieu of motor fuel taxes. The plan suggests at least doubling annual funding for new intercity passenger rail and bus rapid transit projects. Funding for the Low-No Grant program would be increased tenfold and would be limited to zero-emission buses.

The report is not a legislative vehicle although some of its suggestions come from legislation already introduced. The full report is here: https://bit.ly/3izBPWL and a four-page fact sheet is here: https://bit.ly/3e5slz9

Effect on RTD: None at this time. The climate change blueprint is not expected to be drafted into legislative form this year.

Coordinating Council on Access and Mobility (CCAM) Publishes Cost-Sharing Policy Statement

CCAM published a Policy Statement on July 6 that recommends transportation cost-sharing to encourage greater state and local funding coordination. The Policy Statement calls out the Medicaid nonemergency medical transportation and the Veterans Health Administration's Highly Rural Transportation Grants program as examples where cost-sharing could be used.

Cost-sharing arrangements include both vehicle and ride sharing as well as Federal fund "braiding" (i.e., shared federal funds) for local match across federal programs. CCAM federal agencies want federal grantees to coordinate their transportation resources where possible, including sharing costs for mutually beneficial transportation services, in order to maximize the availability and efficiency of transportation services. A link to the CCAM Policy Statement is here: https://bit.ly/2C647r3

Effect on RTD: The CCAM Policy statement could help RTD in securing additional federal funding sources outside of the FTA. This policy encourages collaboration between the various federal programs for transportation services for veterans, healthcare, and human services programs in order to maximize federal dollars for similar transportation programs.

REPORT:　　　　　　　　　　**FINANCIAL UPDATE**

LEAD STAFF:　　　　　　　　**VIRGINIA ALCAYDE**
　　　　　　　　　　　　　　　DIRECTOR OF FINANCE
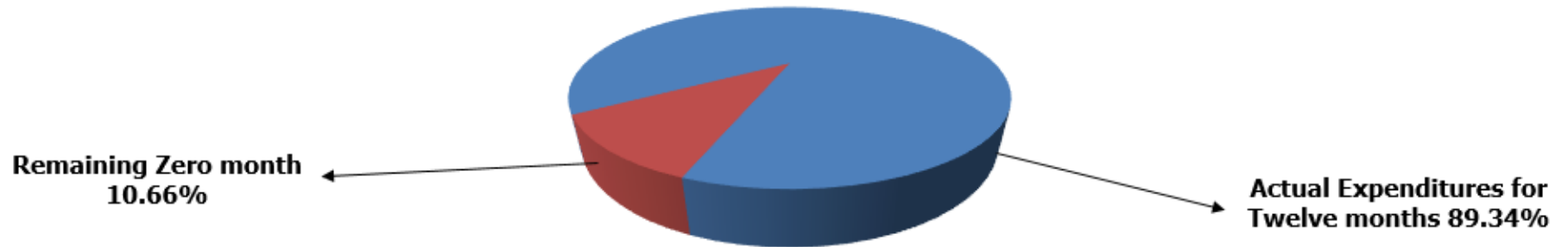

DISCUSSION:
Finance staff will provide an update on the following:
- June Revenue and Expense Summary
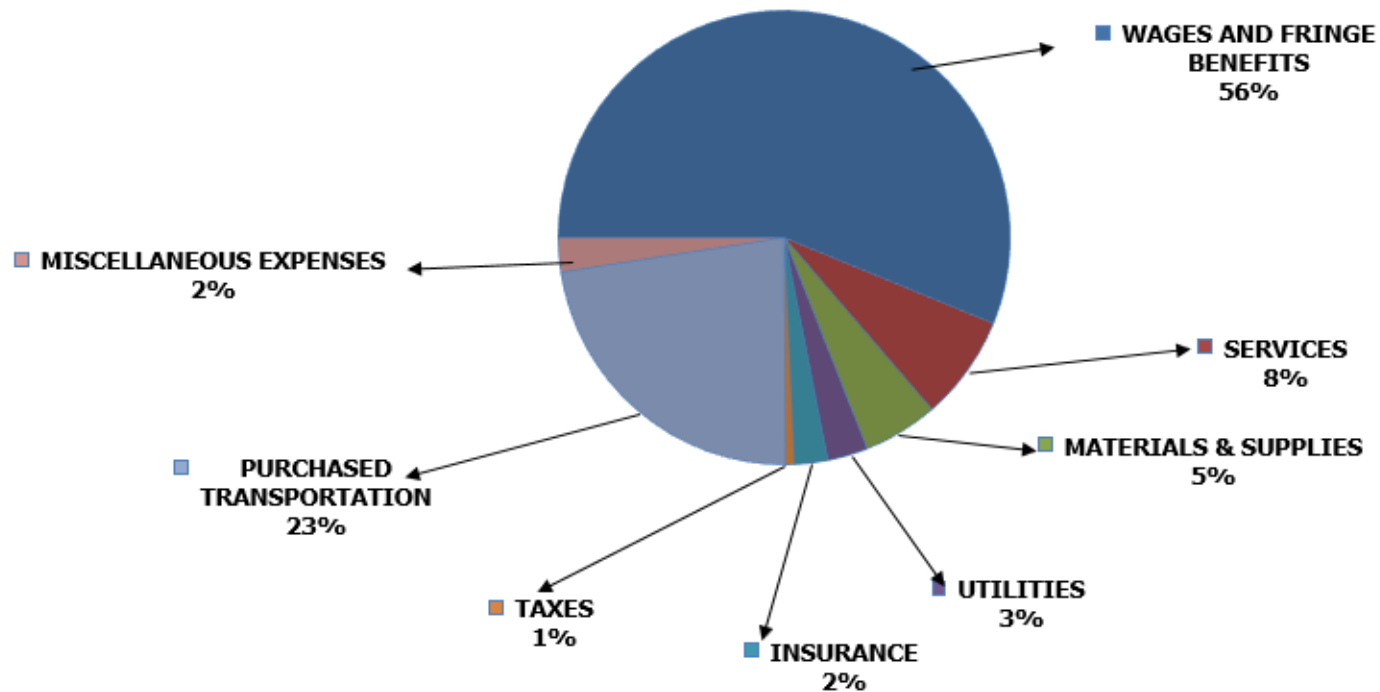- Graphs
- Cash Flow Projection

San Joaquin RTD
FY2020 Revenue & Expense Summary (UNAUDITED)
Year to Date Comparison to Annual Budget
For the Period Ending June 30, 2020
(100% of Fiscal Year)

	Annual Budget	Year to Date Amount (Accrual Basis)	Annual Budget Balance	% of YTD Amount vs. Annual Budget	Year to Date Amount (Cash Basis)
REVENUES					
PASSENGER FARES & SPECIAL FARES	$ 4,399,450	$ 3,004,237	$ 1,395,214	68.29%	$ 3,004,237
NON-TRANSPORTATION REVENUES	431,706	439,568	(7,862)	101.82%	439,568
FEDERAL GRANTS (5307)	5,324,079	5,188,245	135,833	97.45%	3,867,834
FEDERAL CARES Act (5307)	-	1,435,875	(1,435,875)	0.00%	-
OTHER FEDERAL GRANTS	359,783	359,783	-	100.00%	-
PROPERTY TAXES	1,121,238	1,121,238	-	100.00%	1,068,561
TDA - STA	1,655,262	1,330,658	324,604	80.39%	1,330,262
TDA - LTF	21,034,056	17,840,442	3,193,614	84.82%	15,302,822
OTHER LOCAL GRANTS OPERATING	885,865	-	885,865	0.00%	-
LCTOP	1,055,070	1,065,488	(10,418)	100.99%	1,065,488
MEASURE K	6,113,512	6,080,206	33,305	99.46%	6,073,625
TOTAL REVENUES	$ 42,380,020	$ 37,865,740	4,514,280	89.35%	$ 32,152,397
EXPENSES					
WAGES AND FRINGE BENEFITS	22,433,078	21,269,923	1,163,155	94.81%	20,604,104
SERVICES	3,420,320	2,834,232	586,088	82.86%	2,666,887
MATERIALS & SUPPLIES	2,364,267	2,028,336	335,931	85.79%	1,896,757
UTILITIES	1,167,276	1,093,542	73,734	93.68%	1,082,948
INSURANCE	919,122	904,345	14,777	98.39%	1,000,838
TAXES	297,759	236,262	61,497	79.35%	236,262
PURCHASED TRANSPORTATION	10,299,194	8,576,641	1,722,553	83.27%	7,316,059
MISCELLANEOUS EXPENSES	1,479,005	922,460	556,544	62.37%	919,968
TOTAL EXPENSES	$ 42,380,020	$ 37,865,740	$ 4,514,280	89.35%	$ 35,723,823
Net Revenue (Deficit)	-	-			(3,571,426)

Total YTD Expenses as of June 30, 2020 (100% of Fiscal Year)

Remaining Zero month 10.66%

Actual Expenditures for Twelve months 89.34%

FY2020 Expenses as of June 30, 2020 ($37,865,740)

- WAGES AND FRINGE BENEFITS 56%
- MISCELLANEOUS EXPENSES 2%
- SERVICES 8%
- MATERIALS & SUPPLIES 5%
- PURCHASED TRANSPORTATION 23%
- TAXES 1%
- INSURANCE 2%
- UTILITIES 3%

San Joaquin RTD
Twelve Months Cash Flow Projection

	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	Feb-21	Mar-21	Apr-21	May-21
Beginning Cash Balance	8,631,710	8,010,595	5,469,771	4,458,452	4,618,680	2,237,252	1,105,823	304,395	0	0	0	0
Projected Cash Inflow	2,761,535	1,875,792	2,635,671	3,748,228	1,118,572	2,543,572	2,698,572	2,534,552	2,543,572	2,517,057	1,921,206	6,469,356
Cash Available	11,393,244	9,886,386	8,105,442	8,206,680	5,737,252	4,780,823	3,804,395	2,838,946	2,543,572	2,517,058	1,921,205	6,469,356
Projected Cash Outflow	3,382,650	4,416,615	3,646,990	3,588,000	3,500,000	3,675,000	3,500,000	3,500,000	3,501,949	3,504,534	3,507,199	6,469,356
Net Cash Available	8,010,595	5,469,771	4,458,452	4,618,680	2,237,252	1,105,823	304,395	-661,054	-958,377	-987,476	-1,585,994	0
Draw From Line of Credit	0	0	0	0	0	0	0	661,054	958,377	987,476	1,585,994	0
Balance	8,010,595	5,469,771	4,458,452	4,618,680	2,237,252	1,105,823	304,395	0	0	0	0	0
LOC Opening Balance	0	0	0	0	0	0	0	0	661,054	1,619,431	2,606,907	4,192,901
LOC advance	0	0	0	0	0	0	0	661,054	958,377	987,476	1,585,994	0
LOC Payoff	0	0	0	0	0	0	0	0	0	0	0	2,957,872
LOC Closing Balance	0	0	0	0	0	0	0	661,054	1,619,431	2,606,907	4,192,901	1,235,029
LOC Available	10,000,000	10,000,000	10,000,000	10,000,000	10,000,000	10,000,000	10,000,000	9,338,946	8,380,569	7,393,093	5,807,099	8,764,971
CASH INFLOW												
Fare Revenue	91,081	60,000	91,134	91,134	91,134	91,134	91,134	91,134	91,134	91,134	91,134	91,134
Advertising, Rental, Interest & Other Income	27,912	27,438	27,438	27,438	27,438	27,438	27,438	27,438	27,438	27,438	27,438	27,438
Federal 5307	56,309	788,354	92,100	753,461								3,925,784
Federal 5311				1,110,615								
Property tax Revenue							580,000				429,114	
TDA-STA Operating							1,000,000			800,000		
TDA-STA Capital	1,565,000			765,580						598,486		
TDA-LTF	520,358	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
LCTOP								800,000			373,520	
Measure K Operating			1,425,000			1,425,000				1,425,000		1,425,000
State CARB	500,875											
Federal 5310								249,529				
Federal 5311								366,451				
Other												
Projected Cash Inflow	2,761,535	1,875,792	2,635,671	3,748,228	1,118,572	2,543,572	2,698,572	2,534,552	2,543,572	2,517,057	1,921,206	6,469,356
PROJECTED DRAW FROM LINE OF CREDIT	0	0	0	0	0	0	0	661,054	958,377	987,476	1,585,994	0
CASH OUTFLOW												
Payroll and Payroll Related Expenses	1,087,837	2,068,615	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000	1,395,000
Accounts Payable Check-runs	846,276	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000	1,200,000
Purchased Transportation Invoices	1,448,537	960,000	905,000	905,000	905,000	905,000	905,000	905,000	905,000	905,000	905,000	905,000
Capital Payments:												
Temp Barriers on Buses				88,000								
BRT FVM Camera's			146,990									
Line of Credit interest									1,949	4,534	7,199	11,484
Line of Credit Payoff												2,957,872
Measure K Interest to SJCOG		188,000				175,000						
Projected Cash Outflow	3,382,650	4,416,615	3,646,990	3,588,000	3,500,000	3,675,000	3,500,000	3,500,000	3,501,949	3,504,534	3,507,199	6,469,356

INFORMATION ITEM: **QUARTERLY UPDATE OF SOLICITATIONS**
                            JULY – SEPTEMBER 2020

LEAD STAFF: **SHARON MILLER**
                            DIRECTOR OF PROCUREMENT

FINANCIAL IMPACT: **UP TO $5,198,630**

BACKGROUND:
The purpose of this report is to summarize all currently advertised and anticipated solicitations to be advertised in the near future.

DISCUSSION:
Attached for the Board's information is a list of RTD's presently advertised and anticipated solicitations for the period July 1, 2020 through September 30, 2020.

Current and Upcoming Solicitations
July – September 2020

Solicitation Number	Title	Project Manager	Estimated Solicitation Date	Estimated Amount	Funding
R111222	Design-Build of Solar Photovoltaic Systems for RTD (Phase 1)	Darla Smith	Week of 7/27/2020	$3,375,000	Federal
R111603	System Redesign Study	Damaris Galvan	Week of 7/13/2020	$526,000	State
TBD	Supplies – Cleaning/Sanitizing	Multiple Departments	Week of 8/1/2020	$147,630	*CARES Act
TBD	Stockton Police Services	John Coose	N/A (Negotiations)	$1,150,000	Operating
			TOTAL	**$5,198,630**	

Note: More projects may be added as funding is identified. Like items will be solicited as "lot" purchase.

*Coronavirus Aid, Relief, and Economic Security Act

INFORMATION ITEM: **QUARTERLY UPDATE OF CONTRACTS AWARDED**
                           APRIL – JUNE 2020

LEAD STAFF: **SHARON MILLER**
                           DIRECTOR OF PROCUREMENT

FINANCIAL IMPACT: **$11,326,768.78**

BACKGROUND:
Per Section 2.3 – Organizational Structure of the RTD Procurement Manual, RTD shall present to the Board of Directors a report summarizing contracts awarded within the Chief Executive Officer's authority on a periodic basis, no less than quarterly.

DISCUSSION:
Attached for the Board's information is a list of RTD's awarded contracts for the period of April 1, 2020 through June 30, 2020.

Contracts Awarded
APRIL - JUNE 2020

	Award Date	Contract Number	Title	Company	Location	Award Amount	Contract Begins	Contract Ends	Funding	DBE
	4/1/2020	N/A	Park & Ride Agreement	Calvary First Assembly of God	Stockton, California	$2,853.00	4/1/2020	3/31/2021	Measure K	
	4/1/2020	N/A	Park & Ride Agreement	Lifesong	Stockton, California	$900.00	4/1/2020	7/31/2020	Measure K	
*	4/17/20020	2020-P123793-MSE	Purchase Four Hopper Buses	A - Z Bus Sales	Sacramento, California	$668,363.16	4/21/2020	4/20/2025	100% CMAQ (Fed)	
*	4/17/2020	2020-005-MSE	Purchase of Nine Gillig Electric Buses	Gillig, LLC	Livermore, California	$8,396,524.62	5/13/2020	5/12/2025	95% CMAQ (Fed)/5% State	
	4/22/2020	2020-P123976-S	Safety Plan Review	Gary Gleason	Aspen, Colorado	$2,500.00	4/22/2020	5/21/2020	100% Operating	
	4/29/2020	2020-P123997	Laserfiche Annual License Support	ECS Imaging, Inc	Riverside, California	$4,920.00	5/9/2020	5/8/2021	100% Operating	
	4/30/2020	2020-P123996-S	Trapeze Radio Installation	Trapeze Software Group Inc.	Dallas, Texas	$146,050.00	4/30/2020	4/29/2021	100% State	
*	5/15/2020	2020-P124038-MSE	Purchase Two MCI Commuter Buses	MCI Sales and Service, Inc.	Des Plaines, Illinois	$1,647,232.00	5/18/2020	5/17/2025	55% Federal, 29% State, 16% Local	
	5/15/2020	2020-P124033-S	Transtrack Maintenance and Support	TransTrack Systems	Cedar Rapids, Iowa	$42,372.00	7/1/2020	6/30/2021	100% Operating	
	6/2/2020	2020-P124060-S	Bus and Facilites Electrical Training	American Trainco dba TPC Training (Telemedia, LLC)	San Joaquin RTD (RTC) Stockton, CA	$15,200.00	7/1/2020	7/31/2020	74% CETP Grant, 26% Operating	
	6/4/2020	2020-008-S	Fiscal Year Audit Services	Brown Armstrong Accountancy Corporation	Stockton, California	$214,700.00	6/4/2020	6/3/2023 + 2 Ops	100% Operating	
	6/8/2020	2020-007-S	Solar Energy Road Map Services	Black & Veatch	Walnut Creek, California	$185,154.00	6/3/2020	12/1/2020	100% State	
*	5/15/2020	2019-031-S	Commuter Transit Services Between Modesto and Stockton	City of Modesto	Modesto, California	$0.00	7/1/2020	6/30/2021	N/A	

| * Board Awarded | | | | | TOTAL CONTRACT AWARDS | $11,326,768.78 | | | | |

NOTE: The Contract dollars represents a "not to exceed" amount. Final amount to be paid will be based on actual work requested and executed.

MINUTES OF THE REGULAR MEETING OF THE BOARD OF DIRECTORS
OF THE SAN JOAQUIN REGIONAL TRANSIT DISTRICT
FRIDAY, JUNE 19, 2020

Pursuant to Executive Order N-29-20 issued by California Governor Gavin Newsom on March 17, 2020 the Board of Directors of the San Joaquin Regional Transit District (RTD) held a Regular Meeting at 10:00 a.m. on Friday, June 19, 2020 telephonically via Zoom Video Communications.

Members of the public were able to attend the RTD Board Meeting (audio only) by dialing: (669) 900-9128 Meeting ID: 882 2476 2500, or by viewing a live broadcast of the meeting online at https://zoom.us/j/88224762500

1. CALL MEETING TO ORDER   Chair Giovanetti called the meeting to order at 10:00 a.m.

2. MOMENT OF SILENCE/REFLECTION   Chair Giovanetti called for a moment of silence and reflection.

3. PLEDGE OF ALLEGIANCE TO THE FLAG   Chair Giovanetti led the pledge.

4. ROLL CALL   Present: Gary Giovanetti, Chair
Michael Restuccia, Vice-Chair
Les Fong
Balwinder Singh
Joni Bauer

Staff Present (via videoconference)
Gloria Salazar, CEO
Kimberly Gayle, Deputy CEO
Al Hoslett, RTD Legal Counsel
Merab Talamantes, Project Controls Manager
Alan Anguiano, Executive and Board Support Analyst
Bill Davis, Facilities Supervisor
Ravi Sharma, Finance Manager
Nancy Antonio, Risk Administrator
Virginia Alcayde, Director of Finance
George Lorente, Grants Manager
John Coose, Safety Administrator
Sharon Miller, Director of Procurement
Jean Foletta-Morales, Chief of Marketing and Communications
Mike Thompson, Chief of Administration and Innovation
Ivan Otero, IT Specialist
Luciana Lindroos, Senior Accountant – Payroll
Cameron Isaacson, Operations Superintendent – Transportation
Brad Menil, Operations Superintendent – Maintenance
Paul Williams, Electronics Technician A
Reynaldo Sauceda, Facilities Technician B - Lead
Damaris Galvan, Service Development Manager
Malika McGee, Human Resources Administrator – Employee Relations
Dorceia Watkins, Grants Senior Specialist (Temp)
Elizabeth Fernandez, Service Development Specialist
Jocelyn Oamilda, Senior Accountant
Melissa Comages, Senior Accountant – Payroll
Holly Capoy, Accountant I

<u>Members of the Public Who Indicated They Were Present</u>
Ryan Niblock, San Joaquin Council of Governments
Kenneth Huntley
Sara Bai

5.   SPECIAL PRESENTATIONS

A.   EMPLOYEES OF THE MONTH (EOM)
i.   APRIL EOMS:
Maintenance: Facilities Technician B Lead Reynaldo Sauceda
Administration: HR Administrator – Employee Relations Malika McGee

ii.   MAY EOMS:
Maintenance: Electronics Technician A Paul Williams
Administration: Marketing – Graphic Design Senior Specialist Angela Chang
Transportation: Bus Operator Gary Gumm

B.   RTD'S BUSINESS CONTINUITY PLAN
Risk Administrator Nancy Antonio presented the Business Continuity Plan to the Board.

Director Singh asked if this Plan coordinates RTD with other agencies. Risk Administrator Nancy Antonio shared that the Plan includes coordination with the Office of Emergency Services.

C.   RTD'S AGENCY SAFETY PLAN
Safety Administrator John Coose presented the updated Agency Safety Plan to the Board.

Chair Giovanetti asked if this Plan can be joined with the Business Continuity Plan. CEO Salazar stated that these Plans are individual Plans but were developed in conjunction with each other.

6.   PUBLIC COMMENT

There were no public comments.

7.   REPORTS

A.   CHIEF EXECUTIVE OFFICER UPDATE
CEO Gloria Salazar reported that staff has developed a recovery plan that will be implemented on August 2, 2020 when schools reopen. CEO Salazar summarized the roles that each department will play in regaining the confidence of the community in RTD.

CEO Salazar also shared that she and Chair Giovanetti attended APTA's Virtual Fly-In for Congress on May 1, 2020, which advocated for COVID-19 Emergency Relief Program Funding. CEO Salazar also added that she participated in the APTA Leadership Class of 20/21 on the topic of lessons learned through the pandemic.

Chief of Marketing and Communications Jean Foletta-Morales updated the Board on RTD's current events, including welcoming back administrative employees, an update on the Cloth Face Mask and Face Shield Distribution Campaigns, and the Sound the Horn National Campaign.

B.   STATE/FEDERAL LEGISLATIVE UPDATE
Deputy CEO Kimberly Gayle provided the Board with an update on current legislative affairs.

Chair Giovanetti asked about the status of $23 billion for which APTA is advocating. Deputy CEO Kimberly Gayle stated that this amount is part of ongoing legislation, a part of the INVEST in America Act. It has currently passed the Transportation and Infrastructure Committee and will go before the House when they return from the Fourth of July recess. Director Singh then asked about the amendment regarding Chinese purchase returns. Deputy CEO Gayle stated that money will be limited to stimulating our own economy.

C.   FINANCIAL REPORT
Director of Finance Virginia Alcayde presented the May financial update to the Board.

8.   INFORMATION ITEMS
There were no information items.

9.   CONSENT CALENDAR

A.   RESOLUTION NO. 5926: APPROVING THE MINUTES OF THE MAY 15, 2020 REGULAR BOARD OF DIRECTORS MEETING

ACTION: MOTION: DIRECTOR RESTUCCIA   SECOND: DIRECTOR FONG
Roll Call:
AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT:

B.   RESOLUTION NO. 5927: APPROVING THE MINUTES OF THE MAY 15, 2020 SPECIAL BOARD OF DIRECTORS MEETING

ACTION: MOTION: DIRECTOR RESTUCCIA   SECOND: DIRECTOR FONG
Roll Call:
AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT

C.   RESOLUTION NO. 5928: ADOPTING THE ZERO-EMISSION BUS ROLLOUT PLAN

ACTION: MOTION: DIRECTOR RESTUCCIA   SECOND: DIRECTOR FONG
Roll Call:
AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT

D.   RESOLUTION NO. 5929: AMENDING RESOLUTION NO. 5737 DECLARING SAN JOAQUIN REGIONAL TRANSIT DISTRICT'S (RTD) COMMITMENT FROM ALL-ELECTRIC FLEET TO ZERO-EMISSION FLEET FOR THE CITY OF STOCKTON BY 2025

ACTION: MOTION: DIRECTOR RESTUCCIA   SECOND: DIRECTOR FONG
Roll Call:
AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT

10.   ACTION ITEMS

A.   RESOLUTION NO. 5930: ADOPTING THE REVISED FARE AND MAJOR SERVICE CHANGE POLICY AND PROCEDURE

ACTION: MOTION: DIRECTOR FONG   SECOND: DIRECTOR BAUER
Roll Call:
AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT:

B.   RESOLUTION NO. 5931: ADOPTING THE FY 2021 OPERATING BUDGET IN THE
        AMOUNT OF $38,980,891 AND CAPITAL BUDGET IN THE AMOUNT OF $6,162,765

        ACTION: MOTION: DIRECTOR FONG   SECOND: DIRECTOR RESTUCCIA
        Roll Call:
        AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT:

C.   RESOLUTION NO. 5932: AUTHORIZING THE CHIEF EXECUTIVE OFFICER (CEO) OR DESIGNEE
        TO APPLY FOR THE GOVERNOR'S OFFICE OF EMERGENCY SERVICES/FEDERAL EMERGENCY
        MANAGEMENT AGENCY (FEMA) PUBLIC ASSISTANCE GRANT

        ACTION: MOTION: DIRECTOR RESTUCCIA   SECOND: DIRECTOR SINGH
        Roll Call:
        AYES: Fong, Restuccia, Giovanetti, Singh, Bauer   NAYES: ABSTAIN: ABSENT

11.   QUESTIONS AND COMMENTS FROM DIRECTORS AND STAFF

        Director Singh congratulated the staff for putting together all of these projects.

        Director Fong said the staff is doing a wonderful job.

        Director Bauer echoed Director Fong.

        Chair Giovanetti mentioned he attended the APTA Fly-In and spoke about APTA's funding efforts.

        CEO Salazar thanked the RTD team for putting together the Operating and Capital Budgets for FY
        21.

12.   CLOSED SESSION

        Chair Giovanetti announced that the Board would recess into Closed Session to consider the
        following items set forth on the agenda.

        A.   CONFERENCE WITH LABOR NEGOTIATOR
                Agency Negotiator: Gloria Salazar, CEO
                Employee Organization: Amalgamated Transit Union, Local 256

        B.   CONFERENCE WITH LEGAL COUNSEL—EXISTING LITIGATION
                [Paragraph (1) of subdivision (d) of Government Code, Section 54956.9]:

                i.   San Joaquin Regional Transit District vs. DSS-2731 Myrtle LLC, et al., San
                        Joaquin Superior Court Case No. 39-2010-00252684-CU-El-STK
                ii.   April Jenkins vs. San Joaquin RTD, complaint filed with the California Department
                        of Fair Employment and Housing, Matter No. 201909-07700926
                iii.   Deanna Jimenez vs. San Joaquin RTD, complaint filed with the California
                        Department of Fair Employment and Housing, Matter No. 202001-09090630
                iv.   Linda Gaines vs. San Joaquin RTD, claim filed with the California Department of
                        Industrial Relations, Division of Worker's Compensation, Claim No. SJSP-549314
                v.   Workers' Compensation Claim of Loretta Blair, WC Claim #SJSN54922

C.   CONFERENCE WITH LEGAL COUNSEL—ANTICIPATED LITIGATION
Significant exposure to litigation pursuant to subdivision (b) of Government Code, Section 54956.9

Upon returning from Closed Session, the Chair announced that the Board took no reportable action in Closed Session.

13.   ADJOURNMENT
Chair Giovanetti adjourned the meeting at 12:18 p.m.

RESOLUTION NO._____
DATED JULY 17, 2020

RESOLUTION APPROVING THE MINUTES OF THE JUNE 19, 2020
REGULAR BOARD OF DIRECTORS MEETING

     RESOLVED AND ORDERED by the Board of Directors of San Joaquin Regional Transit District that the minutes of the Regular Meeting of June 19, 2020 be approved.

STAFF RECOMMENDATION: **ADOPT THE BUSINESS CONTINUITY PLAN**

LEAD STAFF: **NANCY ANTONIO**
     RISK ADMINISTRATOR

BACKGROUND:
RTD recognizes that disasters and emergencies can disrupt, paralyze, or destroy its capabilities to perform essential agency functions (EAFs) and has developed the Business Continuity Plan (BCP) in accordance with California Department of Transportation's "Emergency Planning Guidance" and American Public Transportation Association's "Standard for Continuity of Operations Plan for Transit Agencies."

DISCUSSION:
As a stated core value, San Joaquin Regional Transit District (RTD) commits to a sustainable business model that includes environmental and fiscal responsibility, business continuity, and succession planning.

Although this is not a regulatory requirement, RTD has developed the BCP to ensure prompt and proper reaction to service disruptions and addresses the following:
- Identification of key business processes
- Identification and evaluation of both interim and long-term recovery strategies
- Identification and documentation of recovery teams and personnel
- Identification and development of resource requirements including supplies and equipment
- Identification and documentation of business recovery procedures including those related to the following:
  - IT and telecommunications
  - Recovery procedures training
  - Plan testing and maintenance
  - Identification of critical business forms and supplies
  - Detailed backup restoration procedures for all key functions

The purpose of the BCP is to enable RTD to provide essential functions following a significant emergency event that limits or restricts the availability of staff, facilities, or technical systems. The plan clarifies leadership responsibilities and provides guidance for specific emergencies affecting RTD's operations. Focusing on the recovery and restoration aspect of emergency management, the BCP describes how RTD will sustain EAFs during and after a disruption in operations whether caused by severe weather, other natural or man-made disasters, or malevolent attacks.

Business Continuity Plan

San Joaquin Regional Transit District

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Document Management Information			
Document Author:	Risk Administrator		
Area of application:	All of RTD		
Document location:	SharePoint/Plan		
Original issue date:			

Revisions			
Rev. No.	**Date**	**Description**	
001			
002			

Recurring Action Items	Responsibility	Frequency
1. Review state and benchmarking guidance, changes in workplace practices, and other factors to update document.	Risk Administrator	Annually or as needed
2. Review and update with input from Continuity Team after every continuity event or exercise.	Safety Administrator	Annually or as needed
3. Review and modify this plan as lessons are learned and new information is gained.	Risk Administrator	As needed

Approval Signature	
Chief Executive Officer (CEO)	Date

Print date:
7/10/2020

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Business Continuity Plan
San Joaquin Regional Transit District

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Print date: 7/10/2020

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1. Introduction

As a stated core value, San Joaquin Regional Transit District (RTD) commits to a sustainable business model that includes environmental and fiscal responsibility, business continuity, and succession planning.

Recognizing that disasters and emergencies can disrupt, paralyze, or destroy its capabilities to perform essential agency functions (EAFs), RTD has developed the Business Continuity Plan (BCP) in accordance with California Department of Transportation's "Emergency Planning Guidance" and American Public Transportation Association's "Standard for Continuity of Operations Plan for Transit Agencies."

This plan aims to ensure prompt and proper reaction to potential service disruption by outlining the activities required to maintain EAFs (i.e., identification and documentation of key business practices, short and long-term recovery strategies, recovery teams and staff, and procedures for maintaining EAFs).

By identifying EAFs, alternate continuity facilities, alternate communication and data support systems, and outlining procedures associated with EAFs, the BCP will also be reinforced by comprehensive training (i.e., with a focus on recovery procedures training), orientation, and exercise programs.

2. Purpose

The purpose of the BCP is to enable RTD to provide essential functions following a significant emergency event that limits or restricts the availability of staff, facilities, or technical systems. The plan clarifies leadership responsibilities and provides guidance for specific emergencies affecting RTD's operations. Focusing on the recovery and restoration aspect of emergency management, the BCP describes how RTD will sustain EAFs during and after a disruption in operations whether caused by severe weather, other natural or man-made disasters, or malevolent attacks.

3. Scope and Applicability

RTD performed a threat and hazard identification assessment to more thoroughly understand the risks associated with the emergencies. For the purposes of this plan, the threats and hazards most likely to affect RTD operations are: flood, fire, power outage (including high winds and cyber security events), and earthquake. This plan limits its scope to address these four factors. RTD's implementation of the BCP supports employees, contractors, emergency responders, local and regional emergency management agencies, and the general public during emergencies.

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The BCP is a specific component of RTD's overall emergency operations management; while the Emergency Action Protocol outlines how RTD handles the actual event, the BCP focuses on the recovery and restoration aspects of emergency management. Specifically, the scope and applicability of the plan is as follows:

- Restores operating capacity no later than 12 hours after activation.
- Maintains sustained operations for up to 30 days or until termination of the event.
- Applies to all RTD departments, divisions, units, contractors, and employees.
- Can be activated during duty or non-duty hours, with or without warning.
- Covers all facilities, systems, vehicles, and buildings operated or maintained by RTD.

This plan may be shared with local emergency response and management agencies, designated emergency coordination officers, county emergency management directors, emergency management planners, and other interested parties.

4. Objectives

To enable RTD to preserve and reconstitute its capability to function effectively if a disaster or emergency disrupts operations of one or more of its facilities, this plan specifically addresses the following:

- Facilitate decision-making during an emergency.
- Achieve an orderly recovery from emergency operations.
- Delegation of authority for Chief Executive Officer.

5. Identification of Essential Agency Functions

When confronted with the above identified emergency events, RTD remains committed to sustaining transit services. EAFs are the functions that support the restoration of operations, minimize legal exposure, protect life and property, and ensure the well-being of the public. In the transportation environment, emergencies may occur both with and without warning which may result in the loss of use and/or lack of access to the following:

- Facilities or vehicles
- Power
- Telecommunications
- Senior management or technical staff
- Information technology systems

During the activation of the BCP, all other activities may be suspended to enable RTD to concentrate on providing EAFs and building the internal capabilities necessary to increase and eventually restore operations.

After performing a business impact analysis, RTD has identified the following as EAFs for continuity of operations. Included in the list below are the departments responsible for the

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function, supporting documents that outline EAF responses during the emergency, and supporting reference documents that provide additional guidance:

	EAF	DEPARTMENT RESPONSIBLE	EAF-RESPONSE DOCUMENT	REFERENCE DOCUMENTS
1.	Bus operations and dispatching	Transportation, IT	• Bus Operations and Dispatching Work Instruction	• Service Design Procedure
2.	Fuel/power delivery	Maintenance, Facilities, Procurement	• Fuel and Power Delivery Protocol	• Vehicle Maintenance Plan • Facilities Maintenance Plan • Utility and Bus Servicing and Cleaning Work Instructions
3.	Providing necessary communications (e.g., internet, radio, and access to relevant IT systems)	IT, Transportation	• IT and Telecommunications Work Instruction • Telework Protocol	• Use of Technology Policy
4.	Providing public information	Marketing, IT		• Emergency Communication Plan
5.	Providing adequate vehicle and facility maintenance (including passenger amenities)	Maintenance, Facilities		• Vehicle Maintenance Plan • Facilities Maintenance Plan
6.	Maintaining safety and security of employees and passengers	Safety Administrator	• Emergency Action Protocol • Emergency Response Guide	• Agency Safety Plan • Collision and Incident Investigation Plan • Illness and Injury Prevention Plan
7.	Providing for employee needs (i.e., payroll)	Finance, HR	• Emergency Payroll Processing Work Instruction	
8.	Providing delegation of authority when executive/senior management or technical staff suddenly becomes unavailable	Executive and Senior Management		
9.	Protecting vital records and other assets	IT		• Records Retention and Destruction Policy

For each identified EAF, the department(s) responsible shall provide a protocol, procedure, work instruction, or task/checklists describing the actions necessary to recover and sustain the function (EAF instructions) as follows:

- Outline the process for restoring operating capacity no later than 12 hours after activation and maintaining sustained operations for up to 30 days (or until termination of the event).
- List EAF employees (by title) and include delegation of authority to specific staff in the EAF instructions.

6. Responsibilities

All employees who are involved in plan activation and sustaining EAFs (as outlined in the EAF instructions) are considered EAF employees. The chart below depicts the teams and their respective roles and responsibilities during normal operations and plan activation:

Team	Responsibilities During Normal Operations	Responsibilities During Activation
CEO and Executive Team	• No EAF-specific role during normal operations	• Make decision to fully or partially activate the plan. • Set priorities for RTD during an event. • Provide strategic communications using social media and other relevant outlets. • Leverage assistance and remove unanticipated obstacles for Management Team to carry out EAFs. • Provide outreach to Board of Directors and oversight of timely messaging to employees.
Management Team	• Ensure vital records are stored electronically and/or as hard copy and are accessible during the event. • Train new employees on EAF protocols, procedures, or work instructions and their roles.	• Leads the performance of EAFs to ensure continuation of operations no later than 12 hours after emergency. • Coordinates with Safety Team to synchronize operations and successfully bring services and systems up using alternative continuity facility, back-up systems, mobilized resources, etc. • Ensures EAF protocols, procedures, and work instructions are put in place during plan activation. • Reports functional status of EAFs to RTD's Safety Administrator, who reports to the Executive Team.
Safety Team	• Ensures continuity facilities readiness. • Coordinates review and updates supporting documents associated with BCP.	• Arrives first at the continuity facility during plan activation to prepare for other teams to arrive. • Ensures implementation of EAF protocols, procedures, or work instructions.

	• Ensures new employees are trained in BCP and preparedness response. • Supports plan exercises in coordination with department managers to ensure readiness for plan activation.	• Assigns security officers and contracted law enforcement to critical areas to help maintain safe and secure environments for employees and the riding public. • Identifies and monitors safety, property loss, and insurance issues as related to disaster response activities.
Facilities	• No EAF-specific role during normal operations	• Performs initial damage assessment to RTD facilities. • Salvages, restores, and recovers the primary operating facility or alternate operating facility if the primary facility is untenable.

Continuity Teams and Members

- **Executive Team:** CEO, Deputy CEO, Chief Administration and Innovation Officer
- **Management Team**: Project Controls Manager; Executive and Board Support Analyst; Operations Superintendent—Transportation; Operations Superintendent—Maintenance; Operations Superintendent—Facilities; Mobility and Customer Engagement Manager; Director of Finance; Finance Manager; Grants Manager; Director of Procurement; Service Development Manager; Safety Administrator; Risk Administrator; HR Administrator—Benefits; HR Administrator—Employee Relations
- **Safety Team**: Transportation Supervisor; Maintenance Supervisor; Facilities Supervisor; Marketing Supervisor

7. Delegation of Authority and Order of Succession

In the event that the CEO is unavailable during an emergency or rendered incapable of fulfilling their duty, RTD has identified the following interim successors to ensure there is no lapse in decision-making authority:

Position	Designated Successors
CEO	1. Deputy CEO
	2. Chief Administration and Innovation Officer
	3. Chief of Marketing and Communications

When the CEO or their acting successor becomes unreachable or incapable of performing their duties, the next successor in line will assume those responsibilities and notify the other internal and external stakeholders of the substitution. Department delegation of authority related to specific EAFs are identified within the specific protocol, procedures, and work instructions.

The Board of Directors has the ultimate authority to revoke the designated successor as assigned above.

8. BCP Plan Activation

Based on the type and severity of the emergency, the plan may be activated by one of the following methods:

1. The state governor, county executive or county commissioner, local mayor, city mayor, or city administrator may declare a state of emergency which may require RTD to respond with activating the plan.
2. The CEO (or a designated successor) may initiate plan activation based on emergencies or threats directly or indirectly affecting RTD's operations.

In the event of full or partial activation of the plan, the teams identified above have been established to manage and perform EAFs. Depending on the scope and severity of the emergency, all non-essential functions may be suspended based on the CEO's guidance until the reconstitution phase.

Potential Scenarios and EAFs Affected

RTD has identified the following scenarios to be the most likely to impact EAF and trigger plan activation:

- *Administrative facility alone*
  RTD's Downtown Transit Center (DTC)—its administrative facility— alone is affected and is closed for normal business activities, but the cause of the disruption has not affected surrounding maintenance facilities or the transportation network.

  This type of event could significantly impact RTD's administrative and information system capabilities. Senior management, technical, and supporting staff working at the facility may be lost, injured, or not accounted for.

  EAF potentially affected:
  3. Providing necessary communications
  4. Providing public information
  6. Maintaining safety and security of employees and passengers
  7. Providing for employee needs
  8. Providing delegation of authority when executive, management, or technical staff suddenly becomes unavailable
  9. Protecting vital records and other assets

- *Administrative facility and surrounding area*
  The DTC and its surrounding area are affected and closed for normal business activities because of one of the following: widespread utility failure, severe earthquake, or credible threats of action that would preclude access or use of the administrative facility and surrounding areas.

  There could be uncertainty regarding whether additional events (such as secondary explosions, aftershocks, or cascading utility failures) could occur. During this type of

event, RTD's primary facilities and the immediate area surrounding them are inaccessible.

EAF potentially affected:
3. Providing necessary communications
4. Providing public information
6. Maintaining safety and security of employees and passengers
7. Providing for employee needs
8. Providing delegation of authority when executive, management, or technical staff suddenly becomes unavailable
9. Protecting vital records and other assets

- *Operations and maintenance facility alone*
  The DTC is left unharmed, but the operations and maintenance facility, Regional Transportation Center (RTC), is inoperable. This may include vehicle storage and maintenance facility, dispatch control center, and other systems used by RTD. This type of event could be the result of a natural disaster or other such events.

  EAF potentially affected:
  1. Bus operations and dispatching
  2. Fuel and power delivery
  3. Providing necessary communications
  4. Providing public information
  5. Providing adequate vehicle and facility maintenance
  7. Providing for employee needs
  8. Providing delegation of authority when executive, management, or technical staff suddenly becomes unavailable
  9. Protecting vital records and other assets

- *Local/regional area affected*
  RTD's service area would be inaccessible for normal business activities because of a major disaster (e.g., earthquake), whether or not RTD's facilities are immediately affected. In this scenario, RTD's facilities may or may not be functional but cannot be used because of the nature of the emergency.

  EAF potentially affected:
  1. Bus operations and dispatching
  2. Fuel and power delivery
  3. Providing necessary communications
  4. Providing public information
  5. Providing adequate vehicle and facility maintenance
  7. Providing for employee needs
  8. Providing delegation of authority when executive, management, or technical staff suddenly becomes unavailable
  9. Protecting vital records and other assets

Plan Activation

Guided by the above mentioned scenarios, RTD's CEO may partially or fully activate the plan and suspend non-essential functions as necessary. Plan activation may be flexible and scalable responses to a variety of hazards and threats that might disrupt operations and will not be required for all emergencies or disruptions. The process for activating the BCP has three basic steps:

1. The CEO (or designated executive) is aware or is notified of a disruption to normal operations is planned, is anticipated, or has occurred.
2. The CEO (or designated executive) evaluates the level of disruption anticipated by the emergency (using the decision matrix outlined below) along with its potential, anticipated, or known effects on operations and decides whether to activate the plan.
3. The CEO (or designated executive) initiates the process to inform all employees of the situation and the actions they should take.

Plan Activation Decision Matrix

Along with the identified planning scenarios, the disruption level chart below outlines the potential impact of disruption and may be helpful in determining which specific EAF protocols, procedures, and work instructions (if any) need to be activated:

Level of Disruption	Impact on EAF and BCP Decision
1	**Impact:** Disruption of up to 12 hours, with little effect on services or impact to essential agency functions or critical systems.
	Example: Planned power outage
	Decision: No plan activation required or limited activation (if necessary).
2	**Impact:** Disruption of 12 to 72 hours, with minor impact on essential agency functions.
	Example: Computer virus, small fire, or moderate flooding.
	Decision: Limited activation, depending on RTD's requirements for EAFs.
3	**Impact:** Disruption to one or two EAFs or to a vital system for no more than three days.
	Example: Power outage (unknown length of time).
	Decision: May require partial plan activation and moving certain employees to the alternate continuity facility or an alternate location in the primary facility for less than a week.
4	**Impact:** Disruption to multiple EAFs or to RTD as a whole with the potential impact lasting more than three days but less than two weeks.
	Example: Major telecommunications failure or major power outage.
	Decision: May require partial plan activation and moving certain employees to the alternate continuity facility or an alternate location in the primary facility for more than a week and until reconstitution.

5	**Impact:** Disruption over all of RTD with potential impact lasting at least two weeks or longer.
	Example: Major fire, flooding, or earthquake.
	Decision: Plan activation. May require activation of orders of succession for some key staff. May require movement of many, if not all, EAFs to an alternate continuity facility for more than two weeks or longer. Staff not supporting EAFs may be instructed not to report to work or be reassigned to other activities.

Tasks Associated with Activation

Below is the alert/notification checklist that may help in the relocation of EAFs to the alternate continuity location. The checklist may guide plan activation and may also be used to ensure all steps have been taken.

	Task
1*	Safety Administrator receives notification of emergency; communicates emergency to Management Team, Safety Team
2*	Safety Administrator initiates facility-specific *Operations Evacuation Work Instruction* as appropriate; supported by Management Team and Safety Team.
3*	Safety Administrator accounts for all staff by receiving final headcount from Area Captains (see EAP).
4*	Safety Administrator contacts emergency responders if necessary (Fire, Police, EMS)
6*	Supervisors responsible contact facilities to shut down utilities to limit further damage according to the *Emergency Action Protocol*.
7*	Management Team and Safety Team direct and assist emergency staff as required.
	* Task 1–7 (responding to the incident) is covered in detail under the Emergency Action Protocol
8	Safety Administrator notifies CEO and Executive Team and activate BCP plan, as necessary. • If necessary, invokes Orders of Succession (Executive Team).
9	Facilities Superintendent evaluates the safety of the selected alternate continuity facility.
10	Safety Administrator notifies Continuity Team and all staff
11	CEO convenes Executive Team at alternate continuity facility and initiates the following: • Establishes overall operational objectives and decides which EAFs are compromised • Activates appropriate EAF protocols, procedures, or work instructions to ensure continuity of operations. • Identifies critical staffing and resources requirements to maintain EAF. • Identifies communication equipment concerns. • Determines messaging appropriate for communication to the public and employees.
12	Executive Team assembles supporting staffing and resources required (including documents) for performing EAFs at alternate continuity facility location.
13	Management Team notifies all support agencies (e.g., FTA) and critical contacts (e.g., vendors) of the activation.

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14	Management Team prepares communications and other necessary equipment for relocation.
15	Management Team takes appropriate preventive measures to protect other communications and equipment that will not be relocated.
16	IT makes computer connectivity and phone line transfers to alternate continuity facility.
17	Continuity Team moves to alternate continuity facility; Facilities Department assists in relocation.
18	Management Team notifies remaining staff and appropriate agencies of relocation to alternate continuity facility.
19	Management Team will develop and deliver status report to Safety Administrator.
20	Safety Administrator communicates information as appropriate to CEO and Executive Team.

Activation phase ends when the EAFs are being conducted at alternate continuity facility.

9. Alternate Continuity Facility

Listed below are RTD's facilities and options for continuing EAFs in alternate facilities in an event that disrupts normal operations:

Downtown Transit Center (DTC) – 421 E. Weber Avenue, Stockton, CA
RTD's main administrative facility, the DTC is a two-story, approximately 26,975 square feet, stucco mixed, non-combustible building constructed in 2006. The building has a fire/intrusion alarm system and a fire suppression system.

> **Potential risks**: flood is more probable at this location due to the close proximity of the San Joaquin River and Deep-Water Channel (less than 0.3 miles). Dating back to 1980, sixteen separate events caused levee, agriculture, commercial, and real estate damages.

> The closest fire station is located at 110 E. Sonora Street, approximately 0.8 miles away.

> **If this facility were to be impacted by an emergency, the alternate administrative continuity facility would be the RTC, which already has in place interoperable communication and data support systems**.

Regional Transportation Center (RTC) – 2849 E. Myrtle Street, Stockton CA
RTD's main operations and maintenance facility, the RTC is a concrete-block, mixed non-combustible building constructed in 2015 and is approximately 98,940 in square feet. It also contains a 37,370 fuel/wash/tire building. The building has a fire/intrusion alarm system and a fire suppression system.

> **Potential risks**: fire is more probable at this location due to drought-wrought dry vegetation and a lack of weed abatement by Caltrans on the Highway 4 freeway. In addition, train tracks located directly north of the RTC's fuel island could potentially catch on

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fire from derailment. In addition, these trains often carry highly flammable materials. RTC is located in an industrial area and is surrounded by businesses with high risk for fires (e.g., roofing/tarring, Kent's Oil Service, waste transfer facility).

The closest fire station is located at 4010 E. Main Street, approximately 1.5 miles away.

If this facility were to be impacted by an emergency, the alternate continuity facility would be split for bus maintenance and storage to one location (CTC or another designated location) and the bus operation and dispatch to another (DTC). The DTC already has interoperable communication and data support systems in place.

County Transportation Center (CTC) – 120 N. Filbert Street, Stockton, CA
RTD's contractor facility for operations and maintenance, the CTC is a concrete, tilt-up shell that was built in the early 1960s and is approximately 68,600 in square feet. The building has a fire alarm system and a fire suppression system.

Potential risks: fire is more probable at this location due to drought-wrought dry vegetation and a lack of weed abatement by Caltrans on the Highway 4 freeway. In addition, train tracks directly north of the CTC could catch on fire from a train and lack of weed abatement. CTC is located in an industrial area and is surrounded by businesses with high risk for fires (e.g., roofing/tarring, Kent's Oil Service, waste transfer facility).

The closest fire station is located at 4010 E. Main Street, approximately 1.5 miles away.

If this facility was affected, the alternate continuity facility would be the RTC or another designated location.

* Because the RTC and CTC are located in proximity to the other, certain emergencies that affect the area could likely impact both facilities. Because each facility is on a different power grid, power outages may not affect both facilities equally.
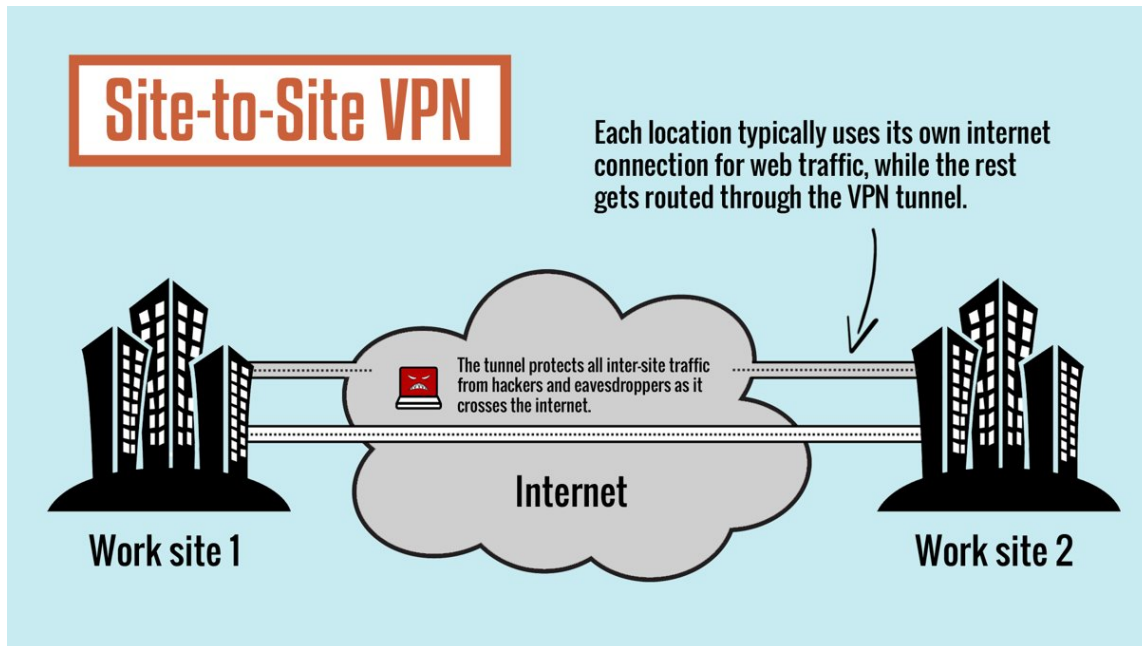
10. Communications Systems

To ensure communications and maintain EAFs during an emergency, RTD has implemented preventive controls for each means of communication. RTD's IT department uses multiple layers and solutions to protect and recover its data. In addition, they have put in place best practices to minimize the impact of ransomware and the foundation necessary to help RTD to be better prepared to recover from a disaster or emergency situation.

Controls put in place are as follows:
- All files and folders on RTD's shared servers are backed up daily on primary and remote locations. Cloud storage is also an essential tool for data recovery.

- The primary data recovery site in Stockton is located at the San Joaquin County Administration building.
- A secondary stand-by data recovery site is located at San Mateo Transit District (SAMTRANS) in San Carlos, CA

In addition to internet access, laptops, and mobile phones that would be required for all EAFs, the following communication systems are required:

	EAF	COMMUNICATION SYSTEM REQUIRED TO SUPPORT EAF
1.	Bus operations and dispatching	Trapeze, TransitMaster, TransTrack, Mobile Data Terminals (MDT).
2.	Fuel/power delivery	n/a
3.	Providing necessary communications (e.g., internet, radio, and access to relevant IT systems)	Trapeze, TransitMaster, TransTrack, Mobile Data Terminals (MDT), Spear, SugarCRM, Kronos.
4.	Providing public information (See Emergency Communications Plan)	n/a
5.	Providing adequate vehicle and facility maintenance (including passenger amenities)	Spear, SugarCRM
6.	Maintaining safety and security of employees and passengers	TransTrack, SugarCRM
7.	Providing for employee needs (i.e., payroll)	Kronos, Trapeze

8.	Providing delegation of authority when executive/senior management or technical staff suddenly becomes unavailable	n/a
9.	Protect vital records and other assets	Trapeze, TransitMaster, TransTrack, Mobile Data Terminals (MDT).

The IT department's EAF instructions will provide specifics as to how the above communication systems required to support all EAFs will be made available during plan activation.

11. Employee/Human Capital

"All public employees and all registered volunteers of jurisdiction having an accredited disaster council," per the Government Code, Title I, Division 4, Chapter 8, and Labor Code, Part I, Division 4, Chapters 1 and 10, are considered Disaster Service Workers (DSWs) and may become essential staff during plan activation.

After securing the safety of their home and families, RTD employees are DSWs and should be prepared to report back to work to assist in disaster-related events if and when notified by their immediate supervisor/manager. During plan activation, DSWs are vital to RTD's continuous operations. As DSWs, employees may be needed to support their department or be called upon to support another department. At the manager or supervisor's discretion, employees will be deployed in the most appropriate position to support EAFs. While all employees are DSWs who will be called upon to support RTD's functions, not all DSWs are EAF employees as outlined in the specific EAF instructions.

Because the impact of employee involvement in emergency incidents can include post-traumatic stress syndrome and even physical and psychological injury, RTD's management team will support affected employees in any way possible. In addition, RTD's Human Resources department will ensure that employees impacted by the event will have access to crisis counseling through resources provided by the Employee Assistance Program.

Employees who have prepared their families to be self-sufficient during emergency events are more likely and more prepared to assist RTD in supporting its EAFs. To provide employees with resources necessary in preparing their families for emergencies, Safety and Risk and Human Resources periodically share emergency preparedness information. Other useful resources to assist employees to prepare for emergencies include www.sjready.org, www.ready.org, and www.redcross.org.

Human Resources has compiled the following operating procedures and resources to address the productivity and availability of staff:
- Telework (Work from Home) Protocol
- Determinations of pay during service reductions
- Other flexible work assignments

- Overtime considerations
- Memorandum of Understanding (MOU) with local union to ensure represented staff considerations are enumerated
- Compliance with any federal relief provisions

12. Vital/Essential Records, Databases, and Systems

For the protection, accessibility, and recovery of RTD's vital records, systems, and equipment, the following are the records, systems, and equipment that, if irretrievable, lost, or damaged, will materially impair RTD's ability to conduct business and carry out essential functions.

RTD has identified vital records, databases, and hard copy documents needed to support performance of essential functions. In addition to immediate EAF operational needs, these documents also include documents associated with legal and financial obligations. Guidelines pertaining to retention and destruction can be found in RTD's Records Retention and Destruction Policy.

Each essential record is backed up outside of RTD's servers (see Communication Systems) to ensure they can be accessed if the server room is damaged by the emergency. Hard copy backup storage options include maintaining blank copies of documents or forms off site or at alternate continuity location(s).

Essential Records Database

Support EAF	Essential Record, File, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Location	Hand Carried to Alternate Location	Multiple Storage Location(s) Y/N	Maintenance Frequency
EAF 1	Mapping Database	Electronic	X		Y	Monthly
EAF 1	Drug & Alcohol Program Records	Hardcopy		X	N	Monthly
EAF 1	Bus Passes	Hardcopy		X	N	Monthly
EAF 2	Licensed Spill Cleanup Contractors List	Hardcopy		X	N	Quarterly

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EAF 5	Vehicle Maintenance Work Orders Pre-trip Inspection Cards	Hardcopy	X		Y	Monthly
EAF 6	Employer Pull Notices	Hardcopy		X	Y	Monthly
EAF 7	Check Stock	Hardcopy	X		Y	Quarterly
EAF 7	I-9 Records	Hardcopy		X	N	Annually
EAF 7	Petty Cash	Hardcopy		X	Y	Monthly
EAF 7	Retirement Files	Hardcopy		X	Y	Monthly
EAF 7	HR Personnel Files	Hardcopy		X	N	Monthly
EAF 9	Vehicle Certificate of Title – DMV Records	Hardcopy		X	N	Annually
EAF 9	Procurement Bonds	Hardcopy		X	N	Monthly

13. Additional Resource Requirements

Resource management will be a key support function for RTD during a continuity event. Managing resources will be required during an internal event in which RTD is impacted and needs resources to return to normal operations and during an external incident in which RTD has to manage resource requests from other jurisdictions. During an internal incident, RTD may need a variety of resources including equipment, supplies, and contract support.

Emergency Procurement
During continuity operations, it may be necessary for RTD to procure replacement equipment and supplies on an emergency basis to sustain operations until normal operations can be resumed.

In the event that the financial system is unavailable, the CEO may authorize an increase to the Director of Procurement's P-Card for the purpose of completing emergency purchases or procurements. The P-Card Administrator maintains authority for emergency acquisition. Instructions for this process are found in the Procurement Card (P-Card) Protocol and in Section 7.2 of RTD's Procurement Manual.

14. Notification and Contact Lists

The Safety Administrator will notify all staff in the event of an emergency internally as follows:

- SMS alerts (which are pre-programmed) to inform employees about RTD's operational status and/or pertinent information.
- Email may also be used to notify internal employees of emergency.

Managers must maintain contact information for their staff to keep the lines of communication open during an emergency. Because access to technology may be unavailable in certain emergencies, RTD recommends keeping physical copies of contact information.

For additional details regarding internal and external communication during the emergency event, refer to the Emergency Communications Plan.

15. Reconstitution

Once the threat or hazard that caused the disruption has been mitigated or no longer exists and is unlikely to reoccur, RTD's focus on reopening the service system will be paramount. Until the threat ceases to exist, Safety Administrator will continue monitoring the situation, track the development of the emergency, (via online and broadcast news and weather, emergency services, and other sources), and evaluate all available information related to the following:

- Health and safety of employees.
- Ability to execute EAFs.
- Changes in threat advisories.
- Potential or actual effects on communication systems, information systems, office facilities, and other essential equipment.
- Expected duration of the emergency.

The CEO will provide the authority by which to begin reconstitution after receiving approval from the appropriate state and local law enforcement and emergency services. Facilities Continuity Team members and Risk Administrator will initiate and coordinate operations to salvage, restore, and recover the primary operating facility and resources. The following activities should be completed by RTD before resuming service:

- Systems, rolling stock, facilities inspections and verification of operability and safety.
- Availability and transportation of employees to worksites.
- Refueling of buses.
- Notification to public via news media, social messaging and websites.

Recovery Operations

The following is a checklist that RTD will implement following an emergency to recover its operations. With the goal of RTD resuming full capacity operations for all customers, the

timeframe for the following tasks could range from as little as one to three days after the emergency, to weeks and months after the emergency, depending on the severity and duration of the disruption.

- Facilities Continuity Team members completes detailed evaluations of all affected RTD facilities and determines priorities for permanent repair, replacement, and reconstruction as necessary.
- Facilities and Maintenance Continuity Team members complete disaster assessments of losses and estimate costs for repair and replacement.
- The Safety Team reviews the damage and assessment reports to determine whether it is safe to return operations to primary facility.
  - o If unsafe for primary facility to be reoccupied, takes appropriate action (i.e., insurance carrier) and develops long-term recovery plan.
- Continuity Team implements return of EAFs employees, equipment, and functions back to primary facilities.

Long-Term Recovery

The goal of long-term recovery is to ensure that RTD emerges from crisis even stronger than before the event. With large-scale emergencies, additional assistance may be available through the Federal Emergency Management Agency (FEMA) or the state and local offices of emergency services. Long term recovery initiatives should include the following steps:

- Safety and Risk Administrators will conduct a meeting with the Continuity Team within 72 hours of reconstitution to gather lessons learned to include in future planning.
  - o Develop long-term strategies bases on lessons learned from the meeting.
- Determine the financial impact of the emergency and budget for recovery
  - o Finance and Grants Continuity Team members track disaster expenditures carefully to ensure maximum eligible reimbursement from federal and state financial assistance programs.
  - o Risk Administrator and Finance Continuity Team member determine approximate reimbursements from insurance and other sources of financial assistance, and determine how residual costs will be financed.
- Build on the relationship established with emergency management and first responders
  - o Revise coordination based on unmet needs discovered through interagency interaction to the emergency.
- Initiate public relations activities to rebuild confidence in the transit operations.

16. Training, Testing, and Exercising

Training is an essential component of preparedness and response. All new employees will receive an orientation to the RTD Emergency Action Protocol upon employment. Employees who have key roles to carry out during an emergency (e.g., Continuity Team members) will receive specialized training to perform the duties required of them.

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RTD will follow a comprehensive approach to incident management as outlined by National Incident Management System (NIMS), applicable to all jurisdictional levels and across functional disciplines. The training is available online at http://www.training.fema.gov/EMIWeb/IS.

The following is recommended training for all EAF employees who may be called upon to fill an emergency operations position during an incident:

- IS-100.b: Introduction to the Incident Command System
- IS-200.b: Incident Command System for Single Resources and Initial Action Incidents
- IS-700.a: National Incident Management System (NIMS), An Introduction

All training will be coordinated through the Risk Administrator.

Exercises

RTD participates in the full spectrum of readiness and preparedness activities to ensure staff can continue EAFs in an all-hazard/threat environment. The readiness activities are divided into two key areas:

- Organizational readiness and preparedness
- Staff readiness and preparedness

In addition, RTD conducts the following continuity readiness and preparedness activities:

- New Hire Safety Orientation
- National Preparedness Month tips, checklists, posters
- Fire Drills
- Earthquake Drills
- CPR/AED/First Aid Training

RTD has established a training program to support preparedness and validate continuity capabilities during any disruption of operations. It is essential to demonstrate, assess, and improve the ability to execute the EAFs. All continuity training events are coordinated by the Risk Administrator and documented in TransTrack.

17.   Program Maintenance and Improvement

The following table outlines activities and tasks that are done at the indicated frequency to ensure plan is ready to execute in the event of an emergency.

Activity	Tasks	Frequency
Plan update and certification	• Review entire plan for accuracy • Incorporate lessons learned and changes in policy and philosophy • Manage distribution of plan updates	• Semi-annually
Checklists	• Update and revise checklists • Ensure annual update/validation	• As needed • Annually
Update roster of all positions	• Confirm/update information on rostered members of Teams	• Monthly or quarterly

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Appoint new members of the Team	• Qualifications determined by leaders • Issue appointment letter and schedule member for orientation	• As needed
Maintain alternate work site readiness	• Check all systems • Verify access codes and systems • Cycle supplies and equipment as needed	• Quarterly
Monitor and maintain equipment at alternate sites	• Train users and provide technical assistance • Monitor volume/age of materials and assist users with cycling/removing files	• Ongoing
Train new members	• Provide an orientation and training class • Schedule participation in all training and exercise events	• Within 30 days of appointment
Orient new policy officials and senior management	• Brief officials on Plan • Brief each official on his/her responsibilities under the Plan	• Within 30 days of appointment
Plan and conduct exercises	• Conduct internal exercises • Conduct joint exercises with local, regional, and/or state agencies • Support and participate in interagency exercises	• Semi-annually • Annually • Annually or as needed

RESOLUTION NO. _____
DATED: JULY 17, 2020

RESOLUTION ADOPTING THE BUSINESS CONTINUITY PLAN

WHEREAS, RTD recognizes that disasters and emergencies can disrupt, paralyze, or destroy its capabilities to perform essential agency functions (EAFs); and

WHEREAS, RTD has developed the Business Continuity Plan (BCP) in accordance with California Department of Transportation's "Emergency Planning Guidance" and American Public Transportation Association's "Standard for Continuity of Operations Plan for Transit Agencies"; and

WHEREAS, the purpose of the BCP is to enable RTD to provide essential functions following a significant emergency event that limits or restricts the availability of staff, facilities, or technical systems; and

WHEREAS, the plan clarifies leadership responsibilities and provides guidance for specific emergencies affecting RTD's operations; and

WHEREAS, the BCP focuses on the recovery and restoration aspect of emergency management and describes how RTD will sustain EAFs during and after a disruption in operations whether caused by severe weather, other natural or man-made disasters, or malevolent attacks.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the RTD Board of Directors that the Business Continuity Plan be, and hereby is, approved and adopted.

STAFF RECOMMENDATION: **ADOPT UPDATED AGENCY SAFETY PLAN**

LEAD STAFF: **JOHN COOSE**
                                 SAFETY ADMINISTRATOR

FINANCIAL IMPACT: **NONE**

BACKGROUND:
The high-profile rail and bus accidents over the past decade have revealed shortfalls in transit agency safety programs and in state and federal safety oversight. To provide safety oversight of agencies who receive funding, The Federal Transit Administration (FTA) has made a final rule (49 C.F.R. Part 673) requiring operators of public transportation systems to develop safety plans that include processes and procedures necessary for implementing Safety Management Systems (SMS). The guidance, Public Transportation Agency Safety Plan (PTASP), was released on July 19, 2019, and outlines four components of a SMS, which include, a Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

The final rule became effective on July 19, 2019, requiring each transit operator to certify that it has a safety plan meeting the requirements of the rule by July 20, 2020. Because of COVID-19, FTA released an extended compliance date of December 31, 2020.

DISCUSSION:
As one of its core values, RTD is committed to creating a safe and responsible environment for its employees, customers, and community. In developing an Agency Safety Plan (ASP) in accordance with FTA guidelines established in the PTASP, RTD applies the FTA-mandated SMS in creating the agency-specific plan. The previously approved ASP was designed based on previous guidance and approved by the Board in June 2018. A review of the ASP was provided by Gleason/Lazaro Consulting on April 28, 2020 and the final version satisfies FTA's statutory requirements. This updated ASP, which includes an updated Safety Management Policy Statement, is in compliance with the guidance released by FTA on July 19, 2019.

The attached ASP describes FTA's SMS requirements to link different safety activities through formal processes. It also describes RTD's implementation of processes and creation of strategies to minimize exposure to unsafe conditions. The function of various components and subcomponents of the SMS work together to provide RTD leadership with useful data for decision making regarding RTD's risk mitigation investments. In addition to staffing updates, this ASP also expanded the Safety Risk Mitigation, Safety Assurance, and the Safety Communications portions of the Plan.

SAN JOAQUIN RTD

Agency Safety Plan

SAN JOAQUIN REGIONAL TRANSIT DISTRICT (RTD)

421 East Weber Avenue • Stockton, California 95202

Transit Agency Information

Modes of service covered:	Fixed route, deviated-fixed route, commuter service, mobility on demand, and complementary paratransit service
Modes of service provided:	• Fixed route: Directly operated • Fixed route: Contracted, National Express Transit • Commuter service: Contracted, National Express Transit • Mobility on Demand/Paratransit: Contracted, American Logistics Co.
FTA funding type:	• Section 5307 Urbanized Area Formula Program Grant • Congestion Mitigation and Air Quality (CMAQ) • Section 5311 Rural Area Formula Grant Program, • Section 5339 Bus and Bus Facilities Formula Grant Program • Section 5339 Bus and Bus Facilities and Low and No Emission Competitive Grant Programs
Safety Officer	John Coose, Safety Administrator
Accountable Executive	Gloria Salazar, Chief Executive Officer

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6/25/2020

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Document Management Information	
Document Author:	John Coose, Safety Officer (SO)
Area of application:	All RTD and Contractors
Document location:	SharePoint/Plan
Original issue date:	6/15/18

Revisions		
Rev. No.	**Date**	**Description**
001		Update for 2020

Recurring Action Items	Responsibility	Frequency *
1. Review changes in industry standards and FTA guidance to determine that the document is up to date.	Safety Officer	Annual
2. Review and modify this plan to ensure it is consistent with workplace practice and with industry standards as set forth by the safety management system. a. Review this plan and provide revision comments due to the Safety Officer in March.	Safety Officer Managers and Department Head	Annual (June) Annual (January – March)
3. Review and modify when the approach to mitigating safety deficiencies is determined to be ineffective; when significant changes to service delivery are made; when new processes or procedures that may impact safety are introduced; when resources available to support SMS are changed or reprioritized; and when significant changes are made to the organizational structure	Safety Officer	As needed
4. Review and approve all revisions and changes to the Agency Safety Plan	Accountable Executive	Annual (June)
5. Review and approve all changes to the Agency Safety Plan on board meeting day.	Board of Directors	Annual (June)

* In the event of personnel changes to the Safety Officer or Accountable Executive, or an immediate need/urgent rated hazard that results in the fatality, the Safety Officer or the Accountable Executive will call a meeting with the executive team members to recommend changes before the annual review process.

Approval Signature of Accountable Executive
This Agency Safety Plan meets all requirements in 49 C.F.R. part 673 and addresses all applicable requirements and standards as set forth in FTA's Public Transportation Agency Safety Program and the National Transportation Safety Plan.
Gloria Salazar—Chief Executive Officer (CEO)   Date

Certification of Compliance with 49 CFR Part 673
Name of Individual that Certified   Date
Relevant Documentation (title and location):

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Agency Safety Plan
San Joaquin Regional Transit District

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Introduction

San Joaquin RTD (RTD) is the regional transit provider for San Joaquin County. Its primary mission is to provide a safe, reliable, and efficient transportation system for the region. Established in 1963 as the Stockton Metropolitan Transit District (SMTD), SMTD began providing service in 1965. In 1994, with the expansion of its service area to all of San Joaquin County, SMTD became San Joaquin Regional Transit District (RTD).

Prior to the reduction of service beginning March 2020 in response to the COVID-19 pandemic, RTD operated 30 routes in the Stockton Metropolitan Area, including five Bus Rapid Transit routes; Contractor (National Express Transit—NEXT) operated seven Intercity and Countywide routes; nine Metro Hopper deviated-fixed routes throughout San Joaquin County, and four Commuter routes to Lawrence-Livermore Laboratory, Tracy, Sacramento, and Dublin-Pleasanton BART Station. In fiscal year 2019, RTD launched Van Go!, a new rideshare service in San Joaquin County covering unincorporated areas. Van Go! offers free transfers to fixed-route bus service and extended service hours on weekdays and weekends. RTD also provides Dial-A-Ride service through contractor American Logistics Company (ALC) for persons who, due to their disability, are unable to use fixed-route service. In fiscal year 2019, RTD provided 3.7 million passenger trips to provide convenient connections between its routes and services, RTD has four stations in south, central, north, and south east Stockton: Downtown Transit Center, Mall Transfer Station, Hammer Transfer Station, and Union Transfer Station respectively.

RTD has 141 revenue vehicles (107 buses, 30 cutaways, and 4 high top vans), 209 employees (in administration, transportation, and maintenance), and 105 contracted employees (NEXT) working in conjunction with RTD employees in its three Stockton operations and administrative locations: County Transit Center, Downtown Transit Center, and Regional Transportation Center.

Safety at RTD

Safety is one of RTD's core values: "We commit to creating a safe and responsible environment for our employees, our customers, and our community." Because safety affects all levels of its operations, RTD is establishing its Agency Safety Plan (ASP) with a Safety Management System (SMS) framework to ensure that not only the right safety activities are being performed correctly and routinely, but also that these activities are having the impact RTD expects. Developed in accordance with guidance from the Federal Transit Administration (FTA), the SMS-driven ASP is about strategically applying resources to risk. As a top-down, data-driven, and organization-wide collaborative approach to managing safety risks and assuring effective safety risk mitigation, the SMS approach emphasizes proactive safety performance rather than a reactive, compliance-only approach. This plan ensures that RTD and its contractors have the organizational infrastructure necessary to support decision-making regarding resource allocation at all levels. It also gathers the safety-related processes and components that RTD already has in place and organizes it according to the SMS framework.

RTD's primary mission is to provide a safe, reliable, and efficient transportation services to its customers. To accomplish its mission and to ensure a safe and responsible environment for its employees, customers, and community, RTD will strategically apply its available resources to minimize safety risks. The ASP ensures that RTD decision-makers will have timely

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information regarding safety risks so that they may proactively address them before incidents occur.

In order to gather information and to promote a culture of safety, RTD has assembled a Safety Team made up of employees across departments. The Safety Team's motto, *Safety Starts with Me,* encapsulates RTD's commitment to safety and its emphasis on staff involvement at every level. To reach its safety goals, the Safety Team will focus on gathering and using data to anticipate future risks, mitigate potential hazards, and prevent safety-related incidents. In addition to the Safety Team's activities, RTD management uses TransTrack to monitor performance and evaluate Key Performance Indicators (KPI) regularly to ensure that RTD is meeting the goals that it has set.

Purpose

The ASP describes FTA's SMS requirements to link different safety activities through formal processes; it also describes RTD's implementation of processes to satisfy the requirements. The process asks and answers the following questions:

- What are our most serious safety concerns?
- How do we know this?
- What are we going to do about it?

The answers to these questions identify areas of risk and guide RTD in creating strategies to minimize exposure to unsafe conditions. It also explains the function of the various components and subcomponents of the SMS so that RTD leadership has guidance to set safety performance targets which will directly impact RTD's risk mitigation investments.

Scope and Objectives

The ASP defines the management's commitment to establish and meet safety performance targets in the following areas: Operations, Facilities, Maintenance, new capital projects, and management controls (e.g. policies & procedures, practices, plans, communications, data management).

Goals of this document:

- Implement SMS in a manner that meets RTD's safety performance targets and objectives.
- Establish the meeting or committee structure necessary for RTD to ensure that safety information moves up, down, and across the agency.
- Communicate roles and responsibilities to all relevant individuals.
- Review and refine protocols, procedures, and work instructions to verify adherence to requirements and current conditions.
  - *Collision and Incident Investigation Plan (CIIP)* to investigate all collisions, fires, injuries, and near-misses.
  - *Workplace Hazards Protocol* to identify, analyze, and resolve all hazards in a timely manner.
- Meet or exceed federal and state safety requirements in all areas of safety.

- Consider safety and security issues as critical elements of all project phases including preliminary engineering, final design, construction, testing, operations, and maintenance.
- Enforce safety procedures and requirements that integrate safety into decision-making and operations, (e.g., ensure projects have safety sign off before proceeding).
- Evaluate the safety implications of all proposed system modifications prior to implementation.
- Evaluate and verify operational readiness of new bus systems.

ANNUAL ACTIVITIES FOR SPECIFIC OBJECTIVES AND TARGETS

In order to move from reactive thinking (responding to events after the fact) to proactive (actively seek to identify and address hazards and threats before an event) and even predictive thinking (identifying conditions and trends for potential issues), RTD shall set safety-specific objectives and targets annually. These measurable objectives will drive accountability and fiscal responsibility and clarify what RTD must focus on in order to meet its safety goals for the upcoming fiscal year. The accountable executive will schedule this meeting with all managers, executive members, safety administrator, risk administrator, and human resource administrator will attend. The planning document will include information gathered in the following process:

1. Beginning at the Manager's retreat in March, the Safety Officer will brainstorm with managers, executive members, and the Accountable Executive regarding safety-related strategic goals, objectives, targets, and initiatives.
2. The goals, objectives, targets, and initiatives established at the meeting will be brought before the Safety Team during their next regular safety meeting so that they may brainstorm and set specific safety performance objectives and targets as it relates to the established strategic goals and initiatives.
   a. Safety performance objectives and targets that are established must be SMART—**S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**ime-bound in order to get the most out of the safety system process.
3. At the beginning of the fiscal year in June and July, the safety performance objectives and targets are set for the following year. The appropriate tools for gathering KPIs (e.g., Transtrack, SugarCRM) are set to measure the success of the targets. The data should be reviewed during monthly Safety Team meetings.
4. Safety Officer and Safety Team will annually document recommendations for capital and operating investments and assess SMS procedures at the end of January and February. These recommendations would be submitted as part of the annual operating and capital request that are due to finance in March for the following fiscal year. These requests are ultimately reviewed by the executive team and approved by the board.

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Safety Performance Targets

(based on the safety performance measures established under the NPTSP)

Modes of Transit Service	Fatalities (total)	Fatalities (rate per 100k VRM)	Injuries (total)	Injuries (rate per 100k VRM)	Safety Events (total)	Safety Events (rate per 100k VRM)	System Reliability (VRM/ failures)
NTD: Motor Bus (Fixed Route)	0	0	15.2	1.2	30.8	2.5	4,158
NTD: Commuter Bus (Commuter Service)	0	0	0.8	0.1	9.6	1.4	14,264
NTD: Mobility Response (Mobility on Demand)	0	0	4	2.2	1	0	28,521
NTD: Demand Taxi (ADA/Paratransit)	0	0	0.4	0.1	0.6	0.5	241,101

Safety Performance Target Coordination

RTD will make its safety performance targets available to Caltrans and SJCOG to aid in the planning process. The Accountable Executive will provide target information annually and/or whenever changes are made to safety performance targets. To the maximum extent practicable, the Accountable Executive will coordinate with Caltrans and SJCOG in the selection of state and local safety performance targets.

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Safety Management System Components

The graphic above illustrates how the various components of the SMS work together to provide an effective system of feedback to ensure safety. The chart below shows the various subcomponents that fit into the component. The most updated documents related to the SMS (as outlined in the components below) may be found on RTD's SharePoint in the Safety and Risk's SMS components folder.

Safety Management Policy	Safety Assurance
• Safety Management Policy Statement • Safety Accountabilities and Responsibilities • Integration with Public Safety and Emergency Management • SMS Documentation and Records	• Safety Performance Monitoring and Measurement
Safety Risk Management	**Safety Promotion**
• Safety Hazard Identification • Safety Risk Assessment • Safety Risk Mitigation	• Safety Communication • Competencies and Training

Safety Management Policy

SAFETY MANAGEMENT POLICY STATEMENT

The foundation of the ASP, this subcomponent defines and ensures RTD management's and Board of Directors' documented commitment to meeting established safety objectives and safety performance targets. This document is stored on SharePoint.

SAFETY MANAGEMENT POLICY
SAN JOAQUIN REGIONAL TRANSIT DISTRICT

Safety is a core value at the San Joaquin Regional Transit District (RTD). RTD is committed to creating a safe and responsible environment for our employees, our customers, and our community by developing, implementing, maintaining, and constantly improving processes to achieve the highest level of safety performance to meet or exceed established standards.

A. Responsibility/Accountability
RTD's Safety Management Policy statement applies to employees and to every aspect of RTD's activities. A positive safety culture includes ownership by all employees to identify and correct deficiencies at every level; every employee is accountable for delivering the highest level of safety performance, starting with the CEO.

B. Policy Goals
In support of our strategic initiative to "create a safe and responsible environment for our employees, our customers, and our community," RTD is committed to the following:
- **Support** safety management through allocating appropriate resources to promote an organizational culture that fosters safe practices and actively manages safety.
- **Encourage** effective employee safety reporting and communication through the open door policy and the SugarCRM software, which allows reporting safety conditions directly to senior management.
- **Integrate** the management of safety among the primary responsibilities of all managers and employees.
- **Clearly define** for all staff their accountabilities and responsibilities for the delivery of RTD's safety performance and the performance of our safety management system.
- **Establish and operate** hazard identification, analysis, and safety risk evaluation (as outlined in the *Workplace Hazards Protocol*) in order to eliminate safety risks or consequences of hazards which may result from RTD's operations or activities.
- **Ensure** that no action will be taken against any employee who discloses a safety concern in accordance with the *Workplace Hazards Protocol*, unless disclosure indicates, beyond any responsible doubt an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- **Comply** with and whenever possible exceed legislative and regulatory requirements and standards.
- **Ensure** that sufficient skilled and trained staff are available to implement safety management processes.
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are assigned only tasks commensurate with their skills.
- **Establish and measure** RTD's safety performance against realistic and data-driven safety performance indicators and safety performance targets.
- **Continually improve** RTD's safety performance through management processes that ensure appropriate safety management action is taken and is effective.
- **Ensure** externally supplied systems and services support RTD's safety performance standards.

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Working proactively towards identifying and reducing the existence of hazards and risk in the workplace and our system, RTD implemented a Safety Management System (SMS) to prevent accidents, reduce risk of injury, and minimize damage to property and equipment.

As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. RTD executives, managers, employees, and contractors will take steps to prevent workplace incidents and injuries, providing support of safety initiatives, and encourage employee communication in order to achieve a safer, healthier workplace. I hold executives, Managers, employees, and contractors accountable for safety performance.
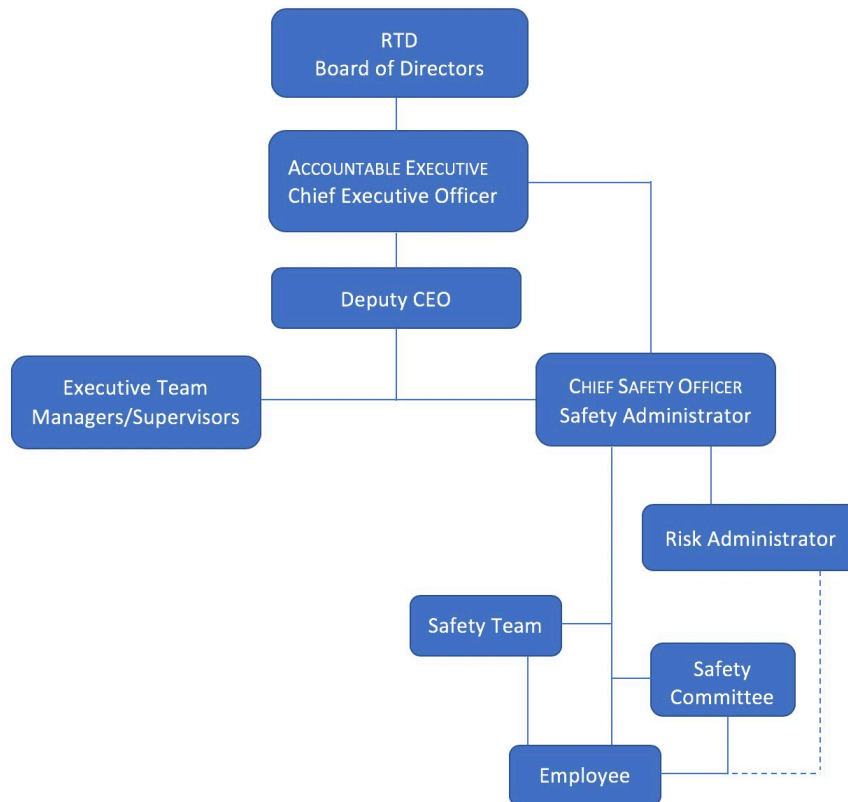
The SMS is managed under my authority by the Chief Safety Officer who reports directly to me. All levels of management and all employees are accountable for the delivery of the highest level of safety performance, starting with the CEO.

SAFETY MANAGEMENT POLICY STATEMENT COMMUNICATION

The Safety Officer, supported by the Accountable Executive, Safety Officer is responsible for communicating the Safety Management Policy Statement to all RTD employees through a combination of New Hire Orientation and employee refresher training. The Policy will be communicated to the contractors upon annual update (or when changes occur in the plan).

SAFETY AUTHORITIES, ACCOUNTABILITIES, AND RESPONSIBILITIES

While safety is everyone's responsibility, this subcomponent defines the accountability structure and identifies roles and responsibilities as they relate to safety.

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- **Board of Directors** (five-member board): Appoint CEO and Legal Counsel; establish policy; oversee RTD decisions (including safety-related decisions) of the Accountable Executive; provide governance of RTD.
- **Accountable Executive—CEO**: Has the ultimate responsibility for safety performance, carrying out the ASP and Transit Asset Management (TAM) Plan, and control over the direction of human and capital resources needed to develop and maintain both plans; ensure safety concerns are considered in the ongoing budget planning process; ensure that the SMS is effectively implemented throughout the system; ensure necessary action is taken to address substandard performance of the SMS; establish transparency in safety priorities for Board of Directors and employees; ensure safety policy is appropriate and communicated throughout the agency; make balanced decisions regarding safety and risk within operations and planning; report safety emergency, updates, and concerns to the Board of Directors.
- **Safety Officer (Safety Administrator)**: Holds a direct line of reporting to the Accountable Executive, manage SMS implementation plan on behalf of the accountable executive; establish guidance on level of acceptable safety risk with the accountable executive; direct hazard identification and safety risk evaluation; monitor mitigation activities; investigate safety event to identify preventability; report and recommend safety hazard resolutions and concerns to the CEO, executive staff, and managers; provide periodic reports on safety performance to the Board; maintain safety; plan and organize safety training; direct collection and analysis of safety information; advise senior management on safety matters; actively support and promote the SMS; assist in ensuring that resources are available to achieve the outcomes of the SMS; continually monitor their area of SMS responsibility.
- **Executive Team**: Support and identify resources that would focus on safety; ensure staff comply with the SMS processes and procedures; assist in ensuring that resources are available to achieve the outcomes of the SMS; recommend safety resolutions to Accountable Executive and direct safety resolutions to superintendents/managers, administrators, and supervisors in their respective departments.
- **Risk Administrator**: Direct hazard identification and safety risk evaluation; document mitigation activities; maintain safety documentation; organize safety training; manage hazard identification and safety risk evaluation activities; monitor safety risk mitigations; provide periodic reports on safety performance to management; actively support and promote the SMS; continually monitor their area of SMS responsibility.
- **Managers, administrators, and supervisors**: Review submitted safety concerns and suggestions; promote safety at various safety events; respond to safety concerns and follow up with staff as defined by hazard levels; plan and organize safety training; reinforce safety requirements pertaining to their employees; train and communicate with employees to mitigate hazards; uphold and promote the SMS; ensure staff complies with the SMS and PPE processes and procedures.
- **Safety Team**: Review submitted safety concerns and suggestions; promote safety at various safety events; respond to safety concerns and follows up with staff promptly; monitors mitigation activities; actively conduct inspections and audits for deficiencies, plan and organizes safety training; develop safety performance objectives and targets; recommends safety resolutions to Safety Officer, Executive team, and superintendents/managers.

- **Safety Committee**: Focus on safety awareness from an operations stand point, bring up any safety issues related to workplace hazards, accidents, fatigue; recommend workplace safeguards and safety prevention; has direct access to the member and resources of the Safety Team.
- **All employees**: Participate in safety activities; report safety concerns and promote a culture of safety; fulfill and comply with the safety requirements of their positions and for supporting the implementation of program objectives; identify and report hazards or potential hazards to their direct supervisor or the Safety Team.

EMPLOYEE SAFETY REPORTING—WORKPLACE HAZARD PROTOCOL

RTD has a formal safety reporting process—Workplace Hazard Protocol—that allows its employees to voluntarily report any safety issues, conditions, or concerns they may see during their day-to-day delivery of transit services (The protocol will be updated to include contractor employee safety reporting). This voluntary safety reporting program is separate from RTD's mandatory reporting requirements for accidents and incidents.

The Workplace Hazard Protocol clarifies:
- What to report and how to report.
- What managers should do when employees report safety concerns.
- How reports are documented.
- How employees will receive feedback about the results of their reports.

The Workplace Hazard Protocol addresses the following:
- Who is responsible for developing and managing the employee safety reporting program.
- What is a timely response to employee safety reports.
- How the agency provides feedback to employees on the action(s) taken to address the reported safety issue, condition, or concern.
- What is an investigation of reported safety issues, conditions, or concerns for causal or contributing factors.
- How the transit system documents and reviews safety issues, conditions, or concerns to determine if a hazard exists.
- How the hazard is entered into the safety risk management process if the issue is determined to be a hazard.

INTEGRATION WITH PUBLIC SAFETY AND EMERGENCY MANAGEMENT

In order to integrate RTD's safety management system with its public safety and emergency management procedure, this subcomponent ensures external and internal programs have input into and output from the SMS.

INPUT Key Performance Indicators (KPI) → Safety Team Meeting → SMART Objectives → **OUTPUT**

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This subcomponent outlines the various internal and external programs that may affect safety management and procedures that support the transit agency's public safety and emergency management activities:

- Public Safety: RTD uses contracted police services from the City of Stockton and private security to handle normal, day-to-day police and security services for the system. RTD's Safety Officer meets daily with contracted police services and private security regarding safety concerns and outstanding issues. In addition, contracted police officers provide operators with regularly scheduled training regarding safety and receive RTD-specific training before working for RTD.

- Procedures for Internal Emergency Management and Coordination: RTD maintains an *Emergency Guide* accessible to all employees to guide their response in the event of emergencies (e.g., earthquakes, fires, floods, active shooter, bomb threats). The *Emergency Action Protocol* provides specific instructions for staff who are responsible for the accounting of personnel during an emergency or evacuation situation. The *Emergency Communications Plan* outlines communication and coordination of information in the event of an emergency. In its *Operations Evacuation Work Instructions*, RTD identifies and describes the coordination necessary for dealing with emergencies and abnormal operations with specific instructions for each of its facilities.

- Emergency Response Planning, Coordination, Training: Major incidents—such as bus accidents, fires, floods, violent crime, and terrorist attacks—present significant challenges for public transit agencies. RTD is committed to ensure emergency preparedness by developing and sustaining relationships with external public safety entities.

  Recognizing that safety, security, and emergency preparedness include not only the system (e.g., employees, facilities, passengers, and operations) but also local responders, RTD aims to develop an integrated emergency response plan in conjunction with the County and local emergency responders that will ensure coordination in response to and recovery from major emergency incidents.

  RTD coordinates with local first responders to provide training for their respective staff (e.g., including dispatch training, active shooter training, SWAT team familiarization on RTD buses, Sheriff's Department's K-9 training).

  Each RTD facility is required to maintain an up-to-date, facility-specific, emergency evacuation work instruction (see *Operations Evacuation Work Instructions*), and for providing related training to personnel. As a means of testing RTD's level of preparedness, RTD conducts an evacuation drill for each major facility annually. In addition, emergency response tabletop drills and full-scale exercises are performed as needed.

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- Coordination with Other Agencies: RTD works with other local agencies (e.g., Altamont Commuter Express (ACE) Rail, Amtrak, Stockton Airport, etc.) in table-top and disaster response scenarios. In 2014, RTD signed a formal agreement with other public transit agencies (TransMAC) to provide mutual transit assistance during emergency situations. TransMAC facilitates rapid, short-term deployment of emergency support (personnel, equipment, materials, and other associated services) prior to, during, and/or after an incident or pre-planned event amongst its membership.

ASP AND SMS DOCUMENTATION AND RECORDS

This subcomponent ensures effective processes are documented to make certain tasks are completed safely to not only satisfy federal, state, and local requirements (as applicable) but also exceed industry safety standards. Per FTA requirements, RTD will keep records related to the implementation of its safety plan for a minimum of three years to coincide with state and federal annual and triennial review. All documents are available upon request to FTA or other federal or state (e.g. MPO) entity.

A paper copy of the prior three year's ASP will be stored in a filing cabinet located in the Safety and Risk Administrators' office and the digital copies will be stored on SharePoint.

The digitally-stored official files will be a PDF "read only" document; editable versions for future revisions are not official copies. Access can only be granted from the administer(s) who oversees the SharePoint repository.

In accordance with RTD's document management process, each department's superintendent or manager is responsible for documenting procedures and work instructions to ensure tasks are completed safely and in accordance with state and federal regulations. It is therefore the responsibility of all RTD departments to not only implement necessary changes in safety practices, but to also maintain up-to-date documentation in the form of procedures or work instructions pertaining to the operation and services provided by the department.

It is the responsibility of all personnel to remain cognizant and up-to-date regarding the rules, regulations, procedures, and/or protocols related to their departments, their job classifications, and RTD.

General responsibility of personnel and departments with respect to RTD's safety process documentation are provided as follows:

a. Department superintendents/managers shall thoroughly evaluate all proposed changes and modifications made to existing and new documents used by their departments.
b. Department superintendents/managers shall ensure all applicable personnel and departments are notified of all changes and modifications made to existing documents as well as issuance of new documents.
c. Each department shall maintain accurate procedures, work instructions, documentation, files, and document libraries of all documents pertaining to the operations and services of the department and the performance of job duties.

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    d. Department superintendents/managers shall ensure all employees and contractors under their supervision receive training necessary to familiarize staff with the requirements of updated, revised, and new documents as applicable to ensure safety.

    e. All new employees receive safety training including orientation to the Safety Management Policy Statement.

    f. Updated Safety Management Policy Statement is posted on SharePoint and at the information boards at all RTD facility locations.

    g. All superintendents/managers must train their employees on any updates and changes made to the Safety Management Policy. Superintendents/manager will receive training from the Safety Administrator on the ASP, updates, and changes annually unless immediate attention is needed.

Tools Required for day-to-day SMS operation

RTD uses TransTrack, an industry-standard business intelligence solution, to transform volumes of data into meaningful information for executives to use in developing strategies, plans, or immediate actions to ensure optimal operations and performance.

Reports can be generated monthly, quarterly, or annually to show improvements on performance measure targets identified. Some of the reports currently being produced include:

- Collisions systemwide by month
- Collisions systemwide 5-year historical view
- Collisions by service provider by month
- Collisions by service provider 5-year historical view
- Collisions systemwide—preventable vs. non-preventable
- Collisions systemwide by service provider—preventable vs. non-preventable
- Collisions systemwide by type
- Collisions by service provider—preventable by type
- Collision by service provider—preventable by cause
- Employee injuries by fiscal year
- Employee injuries by department for current year versus prior year

The Risk Administrator gathers and organizes the data so that it is usable by the Safety Officer and executive staff in making safety decisions. The usable data is presented to executive staff in a quarterly meeting and annually to the Board of Directors.

So that RTD may have customer feedback on its safety performance, it uses SugarCRM, a customer relationship management software, to track customer comments and complaints pertaining to risk and safety. RTD is implementing SugarCRM to track safety inspections and hazards.

The Management of New or Revised Safety Requirements (regulatory or otherwise)

To ensure accountability in safety processes, RTD documents its safety protocols, procedures, and work instructions to make certain tasks are completed safely, in compliance with regulations, and in accordance with industry best practices. These

documents are stored on RTD's SharePoint within applicable departments' sites: Safety and Risk, Maintenance, Facilities, and Operations.

Activities for Documentation of SMS Implementation

In order to document the activities for SMS implementation, Risk Administrator and Safety Officer shall prepare annually a Safety Performance Management planning document which outlines the following:

- RTD's Safety Performance Targets
- SMART Objectives (created based on the measurable targets)
- Specific safety performance indicators (both leading and lagging) and relevant measurable targets

This document will include the safety performance measures and targets of the previous year and create SMART safety objectives for the following year. The documentation of previous performance data will assist executive staff in making decisions that affect RTD's safety systems.

Safety Risk Management

RTD uses the safety risk management process as a primary method to ensure the safety of it's operations, passengers, employees, vehicles, and facilities. It is a process wherein hazards and their consequences are identified, assessed for potential safety risk, and resolved in a manner acceptable to transit leadership. This process allows RTD to carefully examine what could cause harm, determine whether RTD has taken sufficient precautions to minimize the harm, or if further mitigations are necessary.

This component outlines the processes, activities, and tools that RTD uses to identify hazards, assess safety risks in operations, and incorporate mitigations to eliminate the safety risk. These processes functioning together to help RTD's Managers/Supervisors and Safety Team determine what faults in the system have the potential to cause harm, and determine whether RTD has taken sufficient precautions to minimize the harm or if further mitigations are necessary. This component of the SMS also provides data that is critical for safety decision making.

Even before applying the SMS framework to guide all safety practices, RTD had already implemented the *Workplace Hazards Protocol* in accordance with CalOSHA requirements and industry standards to identify and mitigate safety concerns. It outlines the process by which hazards are addressed and ensures that both the process and resolution are properly documented. Each department assesses risks in order to mitigate them immediately when possible. When immediate mitigation is not possible, the Safety Team takes the reported hazard and assesses the risk level and prioritizes mitigations accordingly. In order to address hazards before they escalate into incidents or accidents, this protocol uses both of the following approaches: proactive hazard identification (e.g., employee safety reporting) and responsive hazard identification (e.g., investigations of incidents and accidents and monthly safety inspections.

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RTD monitors contractors to ensure they are following proper safety risk management processes and procedures for hazard identification, safety risk assessment, and safety risk mitigation and has the contractors' policies, processes, and procedures on file.

HAZARD OR SAFETY CONCERN IDENTIFIED Hazards and safety concerns can be identified by any RTD personnel (including contractors) as well as passengers and the general public.	
PROACTIVE **HAZARD IDENTIFICATION**	**RESPONSIVE** **HAZARD IDENTIFICATION**
HAZARD OR SAFETY CONCERN REPORTED Reported according to the workplace hazard protocol using the hazard report form and are formally documented by the risk administrator. Supervisors and managers who have been verbally notified are responsible for taking corrective actions immediately whenever possible.	**MAKE SAFETY INSPECTION MONTHLY** In accordance with the workplace hazards protocol, the safety team performs monthly safety inspections of facilities, bus stops, bus routes.
RESPOND TO REPORTED HAZARDS Manager/supervisor shall ensure hazards are corrected or controlled immediately so that conditions are safe for all. Must take corrective actions within two business days of receiving hazard report form if immediate corrective action is not possible; Document actions taken on hazard report form and forward to safety team	**IDENTIFY HAZARD** Use the hazard identification review form to identify hazard.
MAKE HAZARD ASSESSMENT Safety team assesses root cause of hazard; evaluate severity and probability factors; determine corrective actions assess priority	**ASSESS PRIORITY** Follow the hazard assessment information on the hazard identification review form to assess the priority of the hazard and recommend corrective action accordingly.
RESOLVE HAZARDS Assume risk or implement corrective action to eliminate or control; document actions taken.	
EVALUATE HAZARD CORRECTION Monitor corrective actions for effectiveness and provide feedback to reporting party.	

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SAFETY HAZARD IDENTIFICATION

All subsequent safety risk management activities are contingent on effectively identifying sources for hazard and the processes to obtain information on hazards. This subcomponent provides a list of RTD's formal safety hazard identification processes in categories defined in the NPTSP and PTASP. Sources for hazard identification include:

- **Employee safety reporting**
  - *Hazard Report* form
  - *Pre-trip Inspection* card
  - Anonymous safety reporting via designated boxes
- **Observation of operations**
  - Operator ride evaluation
- **Internal safety inspections**
  - Bi-monthly Safety Team inspections with *Hazard Identification Review* form
  - Maintenance operations inspections (based on PMI and manufacturers' recommendations)
  - Facilities operations inspections (based on PMI and manufacturers' recommendations)
- **Accident reports**
  - Findings from *CIIP* investigations
- **Compliance programs** (i.e., FTA, OSHA, CalOSHA) require the following departmental plans (which also provides opportunities for inspections that would identify and mitigate hazards):
  - Transit Asset Management Plan
  - Vehicle Maintenance Plan
  - Facilities Maintenance Plan
- **Committee reviews**: The following teams/committees will review workplace practices and identify potential hazards.
  - Safety Team
  - Joint Labor Safety Committee
- **Governmental sources**: FTA and oversight agencies may provide safety bulletins and notices periodically to guide hazard identification. RTD reviews these sources to ensure workplace practices conform to governmental requirements.
- **Customer and public feedback or complaints**: RTD tracks customer complaints received through the website or email, in person, or on the phone through SugarCRM. SugarCRM sends an email directly to the department under which the safety complaint falls. After resolving the complaint, the department will also forward the information to the Safety Team for discussion during the next Safety Team meeting so it can be properly documented. Risk Administrator logs the complaints in a document entitled Safety Concerns Communication Log under its correct fiscal year on SharePoint and/or Y drive.

* Additional documentation of procedures and work instructions can be found on SharePoint.

The Safety and Risk Administrators systematically tracks and documents the safety hazards identified through the processes defined above and brings relevant information before the Safety Team monthly and before the executive team as needed to ensure the risks are assessed and mitigations are provided.

SAFETY RISK ASSESSMENT

Following safety hazard identification, RTD assesses and analyzes the safety risks associated with identified hazards. Safety risk assessment processes include an assessment of the probability and severity of the consequences of the hazards, including existing mitigations and prioritization of the hazards, based on the safety risk.

The data collected through the process helps RTD logically allocate safety resources. This subcomponent examines organizational factors (e.g., resource allocation, operational procedures, supervision of frontline staff, etc.) that contribute to incidents, accidents, and near misses.

As outlined in the *Workplace Hazard Protocol*, managers and supervisors responsible for the department in which the hazard is found will most likely assess the risk immediately and provide appropriate mitigation in order to avoid potential harm. When assessing the hazard, managers and supervisors should use the *Hazard Identification Review Form* to help with prioritizing mitigation. The hazard risk assessment matrix (found below) will be helpful in the following instances to prioritize mitigation:

- Evaluating hazards that cannot be fully resolved within two days of complaint.
- Appraising hazards that require more investment that is immediately available.
- Assessing **potential safety risks**.*
- A safety risk refers to a *potential* hazard that must be managed.
  Assessment should answer the following questions: Is the safety risk likely to cause harm? What is the likelihood that this risk will recur? What is already being done now, and what can be done in the future?

Since potential safety risk refers to the likelihood that people could be harmed (or equipment could be damaged) by the possible consequences of a hazard, it is therefore expressed and measured by the predicted probability and severity of a hazard's potential consequences. Risk assessment is made so that RTD can prioritize risks based on these factors and use its limited resources to mitigate the most severe risks. Hazard risk assessment is determined by the intersection between severity and probability.

Severity of Consequences

Assessing the probability (likelihood) and severity of hazard consequences is the first step in prioritizing safety risk.

Severity is defined as a subjective measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies, or procedural deficiencies for system, subsystem, or component failure/malfunction, and is categorized as follows:

Category	Criteria
1. Catastrophic	Operating conditions are such that human error, environment, design deficiencies, element, subsystem or component failure or procedural **deficiencies may commonly cause death involving casualties** or major system loss, thereby **requiring immediate cessation of the unsafe activity or operation**.
2. Serious	Operating conditions are such that human error, environment, design deficiencies, element, subsystem or component failure or procedural deficiencies may commonly **cause severe injury** or illness or major system damage thereby **requiring immediate corrective** action.
3. Moderate	Operating conditions may commonly cause minor injury or illness, minor systems damage such that human error, environment, design deficiencies, subsystem/component failure, or procedural deficiencies that **can be counteracted or controlled without severe injury**, illness, or major system damage.
4. Minor	Operating conditions are such that personnel error, environment, design deficiencies, subsystem/component failure or procedural deficiencies will **result in no injury or less than minor injury**, and no illness or system damage.

Probability Levels of Consequences

Probability is defined as the likelihood that the specific consequence(s) of hazard will occur during the planned life expectancy of the system element, subsystem, or component. It can be described subjectively in potential occurrences per unit of time, events, population, items, or activity. A qualitative hazard probability may be derived from research, analysis, and evaluation of safety data from the operating experience of RTD or historical safety data from similar systems. An example of qualitative hazard probability ranking is as follows:

Probability Levels	Likelihood of Occurrence
A. Frequent	Multiple times within a year.
B. Likely	No more than twice per year.
C. Occasional	No more than once per year.
D. Seldom	No more than once every five years.
E. Improbable	Unlikely to occur but possible.

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Hazard Risk Assessment Matrix

A hazard risk assessment matrix helps us determine the probability and severity of consequences and allows for prioritization of safety risk.

Based on the probability and severity, the Hazard Risk Assessment charts show which actions need to be taken:

HAZARD RISK ASSESSMENT MATRIX		SEVERITY			
		CATASTROPHIC (1)	SERIOUS (2)	MODERATE (3)	MINOR (4)
P R O B A B I L I T Y	FREQUENT (A)	Urgent 1A	Urgent 2A	High 3A	Medium 4A
	LIKELY (B)	Urgent 1B	Urgent 2B	High 3B	Medium 4B
	OCCASIONAL (C)	Urgent 1C	High 2C	Medium 3C	Low 4C
	SELDOM (D)	High 1D	Medium 2D	Medium 3D	Low 4D
	IMPROBABLE (E)	Medium 1E	Medium 2E	Medium 3E	Low 4E

SAFETY RISK MITIGATION

Developing safety risk mitigations to proactively reduce RTD's safety risk is the culmination of the safety risk management process. This subcomponent enables RTD to reduce risks to an acceptably low level and implement mitigation that is monitored by the Safety Assurance component. With limited resources to apply to mitigating risks, this process helps RTD to prioritize risk mitigation.

Following the safety hazard identification, RTD assesses and analyzes the safety risks associated with and measure potential consequences of identified hazards. The data collected through the process helps RTD logically allocate safety resources. RTD safety risk mitigation steps include:

- Examine the consequences of hazards and their probability and severity.
- Develop strategies to reduce the probability and/or severity of those consequences.
- Ensure the strategy can be realistically implemented with available resources.

RTD uses the below hazard risk categories and acceptance level to identify mitigations strategies to help reduce the likelihood and severity of the consequences of identified hazards:

HAZARD RISK CATEGORIES AND ACCEPTANCE LEVEL		
URGENT: (1A, 1B, 1C, 2A, 2B)	**UNACCEPTABLE RISK**	Recommended mitigations from the Safety Team would go immediately to the CEO from the Chief Safety Officer (and/or from the department manager). Items under the urgent hazard risk category would not wait for a monthly meeting. The Chief Safety Officer would call an emergency meeting comprised of the Safety Team and applicable department managers in order to resolve the issue.
HIGH: (1D, 2D, 3A, 3B)	**UNDESIRABLE RISK**	Chief Safety Officer immediately meets with department manager to discuss what should be done differently to eliminate the hazard risk. At the next monthly safety team meeting, discuss the issue with the Safety Team if the issue is still unresolved and Safety Team will provide recommendations for mitigation.
MEDIUM: (1E, 2D, 2E 3C, 3D, 3E, 4A, 4B)	**ACCEPTABLE RISK** (with approval by department manager)	Address safety hazard during regular monthly meeting, come up with recommendation, and take recommendation to manager for implementation of mitigation.
LOW: (4C, 4D, 4E)	**ACCEPTABLE RISK** (does not require review)	Chief Safety Officer ensures that the department has implemented the mitigation within the month (before the next Safety Team meeting).

RTD's Safety Officer along with the Safety Team will prioritize the implementation of mitigation using the above chart and present their recommendations in addressing hazards to the respective department managers and/or executive team.

Following the chart above, the Executive Team will put into action the recommended mitigation. These implementation strategies include:

- Who is responsible for implementing the mitigation.
- Where the mitigation will reside within agency activities.
- How the mitigation will be implemented.
- How long implementation should take.

In order to know that the mitigations are working, RTD tracks and documents the implementation of mitigation to see its effect on safety performance. This can then help determine whether a positive impact is taking place and if the mitigation is effective.

After hazards have been identified and assessed, the Safety Team decides what risk mitigation shall be implemented by evaluating potential consequence of the identified hazards (e.g., how likely is a certain consequence to occur based on this hazard and how severe would that consequence be if it occurred?). Hazards that receive the following hazard analysis made by management, safety team, or the Safety Officer will be prioritized as follows:

In the design of mitigations, the following methods (in order of preference) will be used:

| |
|---|
| **1: DESIGN TO ELIMINATE OR MINIMIZE HAZARDS**
The primary emphasis and effort of safety mitigation is to eliminate the hazard within the design of the project. When design modifications are not feasible, the use of safety devices, warnings, and procedures must be considered. |
| **2: USE OF SAFETY DEVICES**
Hazards that cannot be eliminated through design must be reduced or controlled to an acceptable risk level through the use of safety devices. Safety devices include such items as protective shields, barriers, safety interlocks, and separation of personnel from the hazard. |
| **3: APPLICATION OF WARNING DEVICES**
Where it is not possible to eliminate the hazard through design or safety devices, warnings shall be used. Warnings include both visual and audible devices that respond to a detected hazard to provide an adequate warning to personnel prior to it becoming critical or catastrophic. |

Documentation of safety risk mitigations feeds safety performance monitoring. RTD establishes and documents its safety risk mitigation activities and their outcomes. Within this process, RTD references any forms that are used during safety risk mitigation activities; completed records of safety risk mitigation activities are stored on SharePoint and/or Y drive.

In addition to hazards identified with the *Workplace Hazards Protocol*, the Safety Team meets monthly to discuss the potential risks as identified through the *CIIP*. The committee reviews accidents/incidents and the data points that are plotted using the information in TransTrack to discuss potential patterns and possible mitigations for potential safety risks.

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Safety Assurance

This component helps to verify that RTD's safety performance is in line with its safety objectives and targets. Not only does it ensure that safety mitigations are implemented and followed, it also assesses the ASP itself to ensure that the system is effective and sufficient in addressing the potential consequences of identified hazards. The interaction between Safety Risk Management and Safety Assurance is illustrated in the graphic below:
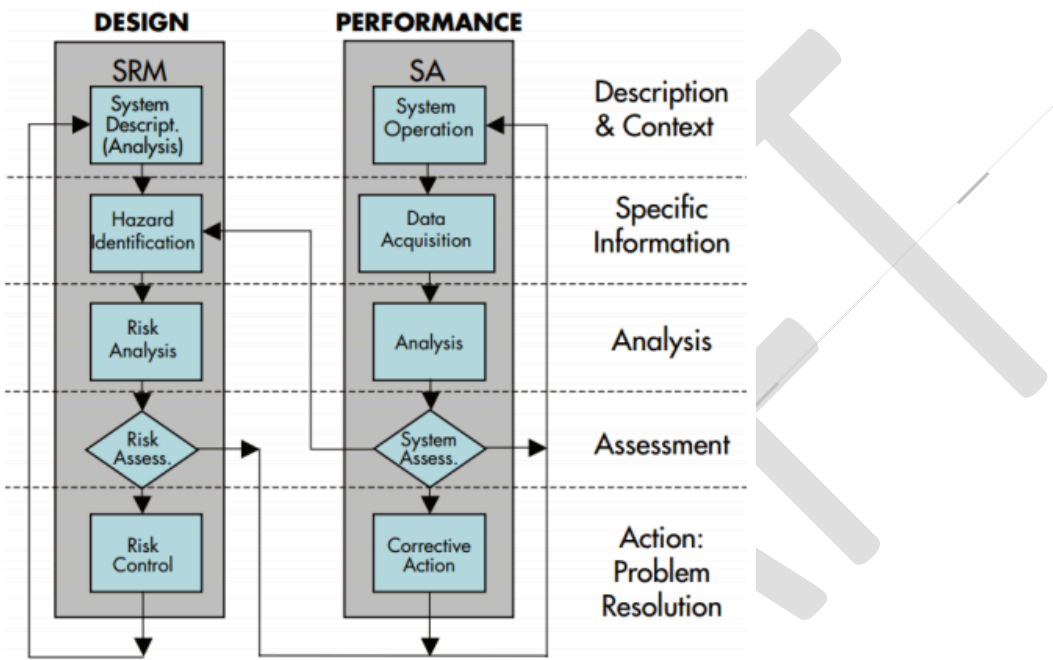
Many of the same components used to identify hazards are the same components used for monitoring safety assurance. The main difference is the purpose of the collected data.
- For identified hazards, the purpose is to eliminate the hazard and mitigate risk.
- For safety assurance, it is to monitor whether the system is working as it should.

A never-ending, on-going process that ensures mitigations are working, The Safety Assurance component verifies that the SMS is helping to meet safety performance objectives. The Safety Assurance component consists of subcomponents that analyzes the safety performance data collected to ensure the system is effective and efficient. The output of the Safety Assurance component will provide information to assess the effectiveness of the SMS system. This information will inform the ASP's annual update. Through this element, RTD aims to demonstrate that the SMS is working properly.

To promote safety assurance, RTD monitors its contractors processes for hazard identification, safety risk assessment, and safety risk mitigation using contractors' policies, processes, and procedures on file to ensure the system is working as it should.

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SAFETY PERFORMANCE MONITORING AND MEASUREMENT

This subcomponent requires feedback on safety performance in order to complete the safety management cycle. The data that is generated is organized in order to evaluate whether the safety mitigations that were implemented are appropriate and effective.

It measures RTD's safety performance against its established safety objectives and performance targets. By routinely monitor operations and maintenance activities, the collection of this information also informs the annual review of overall safety performance. RTD implements its safety assurance process through the following activities:

- Monitoring the effectiveness of the employee safety reporting program (*Workplace Hazards Protocol*) which provides direct feedback.
- Monitoring operations actively for compliance with and sufficiency of policies and procedures—service delivery activities which must include field observations (Operator ride check).
- Conducting routine workplace observations and inspections (facilities inspection).
- Monitoring operational and maintenance data (KPIs in TransTrack).
- Monitor operations and vehicle maintenance function to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.
- Conducting safety surveys (annual surveys for Operators, Maintenance, and administrative staff from Safety Officer).
- Conducting safety audits, studies, and inspections (*Hazard Inspection Report Form*).
- Conducting safety investigations to identify causal factors (based on reported concerns, reports from *CIIP*).
- Monitor vehicle and facility maintenance to ensure that performed maintenance is consistent with safely meeting its operational requirements and maintenance activities are compliant with all regulatory requirements, policies, and procedures.

RTD has many processes in place to monitor its system for compliance with operations and maintenance procedures including the following:

- Safety audits.
- Informal inspections.
- Regular review of on-board camera footage to assess drivers and specific incidents.
- Safety surveys.
- Investigation of safety occurrences.
- Safety review before the launch or modification of any facet of service.
- Daily data gathering and monitoring of data relating to the delivery of service.
- Regular vehicle inspections and preventative and corrective maintenance assessments.

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Internal reviews are performed to ensure that all areas of RTD comply with external regulatory requirements and internal policies and procedures. The major activities involved in internal safety reviews include:
- Examination of documentation.
- Analysis of safety data and information.
- Observation of equipment, facilities, and in-process tasks.
- Evaluation of system operations, policies, and procedures.
- Interviews with management and relevant staff.
- Examination of maintenance procedures and recall information.

Results from the above processes are compared against recent performance trends to determine where corrective actions need to occur. Identified non-compliant or ineffective activities, including resulting mitigations, will be put through the safety risk management process for reevaluation.

RTD conducts monitoring in the following areas as detailed below:
- Transportation Operations Monitoring: Transportation Supervisors conduct and monitor ride observations, ensure on-time performance, and investigate comments. The Transportation Superintendent and the Safety Officer measure the data against targets, objectives, policies, and procedures. The Transportation Superintendent monitors comments through the SugarCRM reporting process. The Safety Officer monitors comments through the Workplace Hazard Protocol process. The Safety Officer will discuss ineffective and inappropriate items with Transportation Superintendent.

- Vehicle Maintenance Monitoring and Defect Reporting: Maintenance Superintendent uses SPEAR, a vehicle and equipment managing system, to identify, monitor, and report vehicle maintenance. Maintenance staff conducts an annual inspection with the California Highway Patrol to identify safety hazards. Maintenance Superintendent reports all ineffective and inappropriate findings to the Safety Officer and the Executive Team.

- Facility, Shop, and Hazardous Materials (HAZMAT) Safety Inspections: Facilities Superintendent uses SPEAR to identify, monitor, and report facility and shop equipment inspections. Facilities Supervisor conducts Hazmat Safety Inspections weekly. The Safety Team conducts a bi-monthly Facility Safety Hazard Inspection.

- Fire Hazard and Fire Extinguisher Inspections: Facilities Supervisor conducts an annual inspection with the City Fire Department to identify fire hazard. Facilities Superintendent reports all ineffective and inappropriate items to the Safety Officer and Executive Team. The Safety Team conducts a bi-monthly Facility Safety Hazard Inspection.

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- Risk Mitigation Monitoring: The Safety Officer along with RTD managers uses TransTrack and SugarCRM to monitor department and contractors' operations to identify and report any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. The actual field monitoring of the mitigations is often carried out by department supervisors.

  Safety Officer monitors the effectiveness of safety risk mitigations and identifies the following:
  - o Working as desired.
  - o Needs some modification to work as desired.
  - o Not working and needs to be replaced.
  - o No longer needed.

- CIIP: RTD performs causal analysis of incidents to help determine if latent organizational factors beyond individual employee behavior may have contributed to an event. RTD documents the results of causal analysis on in its Safety Concerns Communication Log on SharePoint and/or Y drive under Safety Team.

  Results of this analysis for causal factors provide potential hazard identification information that may need to be put through the safety risk management process to reduce the potential risk of recurrence of a similar accident or incident.

- Workplace Hazards Protocol: An effective employee safety reporting supports hazard identification. Safety Officer is responsible for monitoring employee safety reporting through the Workplace Hazard Protocol. Criteria that RTD uses to help it determine if the protocol is performing as desired include the following:
  - o Volume of reports received.
  - o Value of reports received.
  - o Responses to reports received in terms of hazard identification risk assessment and risk mitigation.
  - o Information gathered from the employee safety reporting process and how it is shared and communicated.
  - o The timeliness and accuracy of feedback provided to employees who have reported a safety issue, concern, or condition.

SAFETY PERFORMANCE MEASUREMENT

Tracking Software: TransTrack and SugarCRM
To monitor internal safety reporting, RTD uses TransTrack to collect safety data both for operations (i.e., TransitMaster) and maintenance (i.e., Spear 4i) to ensure compliance and to ensure that RTD is meeting its safety objectives after analysis of data. In addition, RTD is also in the process of implementing SugarCRM for reporting, inspecting, monitoring, and tracking hazards. Both software are robust and are important sources of safety data. They can collect, analyze, and assess information reported from programs over time. Using its data, RTD's Safety Team can more easily identify and

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evaluate where safety procedures are ineffective, inappropriate, not well implemented, or not having its intended effect.

Safety Team Safety Assurance Activities

The Safety Team serves as the main safety assurance mechanism of safety activities. It oversees the various safety processes as well as the communication of safety information. The Safety Assurance activities listed above produces usable data that is collected in TransTrack and SugarCRM. The Safety Team then evaluates the information, looking for lagging or leading indicators to identify potential contributing factors to hazards and analyze their root causes. By investigating the hazard event and working backwards, Safety Team members will identify sub-events and conditions (causal factors) to ultimately find the root cause.

The safety assurance activities that the Safety Team performs include the following:

- Annual Goalsetting activities
  - o Evaluating data and information from external agencies or peers (e.g., APTA, OSHA) to benchmark Safety Performance Targets.
  - o Identifying risk mitigations that were ineffective, inappropriate, or not implemented as intended.
- Monthly meeting
  - o Investigate reported safety events to identify casual factors.
  - o Identify contributing factors in safety events, include organizational issues, technical failures, enviornmental conditions, among others.
- Bi-monthly facilities safety inspection.
- Bi-monthly bus route inspections: Safety Team members travel the actual route of the bus by car to see if there are safety concerns or hazards along the bus route that may have gone unnoticed.
- External safety communication: Examples include safety events at the beginning of the school year at each of the high schools to talk to students about safe boarding (i.e., how to board the bus, do not rush toward the door, etc.).
- Bi-monthly jaywalking sweep at the DTC and HTS (to talk to customers about the safety risks of jaywalking).
- Safety booths at community events.
- Safety award event and annual health fair.

Department Managers' Safety Assurance Activities

- Participate in annual compliance review of safety accomplishments and weigh in on goal-setting at annual leadership retreat.
- Evaluate department's safety compliance and set departmental goals to support safety management.
- Appraise employees' performance as it relates to safety.
- Assess and revise department procedures and work instructions (especially those related to safety) annually to ensure that information is up-to-date.

Project-related Safety Assurance Activities

- Include safety line item in project summary forms to ensure that safety is considered in each project.

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For processes that do not have an active internal monitoring component, RTD may solicit the help of peers or contractors to monitor operations in order to identify hazards that were missed through the Safety Risk Management process.

Transit Asset Management and Safety Assurance

According to FTA, there is a direct connection between safety and state of good repair (SGR). Because of this, the SMS is designed to work in concert with RTD's Transit Asset Management (TAM) Plan. The three areas of intersection are as follows:

1. Condition Assessment should direct and inform RTD's SMS: The TAM rule requires RTD to perform risk assessment and quality assurance for facilities, equipment, rolling stock, and infrastructure in poor condition. Both Facilities and Maintenance have plans to ensure their assets remain in SGR.

2. RTD's SMS will inform its TAM Plan and its investment prioritization: The information gathered in the Safety Risk Management and Safety Assurance tasks under RTD's SMS will provide valuable input to its TAM Plan (that may even influence a revision of investment priorities). The consistent and deliberate feedback between the TAM and the SMS will bring greater accountability and transparency to RTD's decision making with respect to financial resource allocation.

3. The Accountable Executive for the SMS is also the decision maker in TAM.

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Safety Promotion

RTD's safety culture is driven by its safety core value, "we are committed to creating a safe and responsible environment for our employees, our customers, and our community." The Safety Promotion component focuses on making visible executive management's commitment to safety by increasing awareness through safety communication, safety competencies and training, and continuous safety improvement.

To encourage staff involvement from every level of RTD in order to reach its safety goals, the "Safety Starts with Me" motto aptly encapsulates RTD's commitment to safety. The Safety Team's main function is safety promotion. Not only does the team focus on data collection and risk mitigation, it also aims to communicate RTD's safety goals and performance throughout the organization.

RTD monitors contractors to ensure they are following proper process and procedures to promote safety and has the contractors' policies, processes, and procedures on file.

SAFETY COMMUNICATION

SMS relies on management's continuous commitment to communication. One of the management's most important responsibilities under SMS is to encourage and motivate its employees to communicate openly, authentically, and without concern for reprisal. As outlined above, the *Workplace Hazards Protocol*, safety suggestion boxes, and RTD's open door policy are put in place to encourage open communication from employees.

To increase transparency and so that employees and contractors know RTD's current safety focus, the Safety Officer will communicate RTD's Safety Performance Targets by posting the information on bulletin boards and monitors that are mounted throughout all RTD facilities.

Other safety information displayed may include the following:
- Pressing/urgent safety risks (e.g., dangerous persons, excluded passengers, etc.)
- Safety awareness memos
- Other important safety topics
- Employee newsletter
- Employee digital monitor displays located in breakrooms

Since the SMS depends heavily on employee reporting, it is essential to update them on the progress of reported hazards so they understand that their concerns are being adequately addressed. This is the best way to gain buy in and continuous input into employee reporting.

- o **Organization-Wide Communication of Safety Hazard and Risk Information**
  RTD safety risk management processes aim to reduce safety risk for employees and customers. Because employees are always vulnerable to the consequences of safety hazards within the transit environment, timely reporting of newly identified safety

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hazards and the safety risks those hazards present can help reduce that vulnerability.

Depending on the level (severity and immediacy) of the safety concerns, the safety hazard and risk will be communicated as follows: verbally by Supervisor/Safety Officer, memos, internal monitor displays, bulletin board postings.

RTD documents its communication of hazards and risks in the Safety Concerns Communication Log located in SharePoint and/or Y drive. The Safety Officer is responsible for making sure this communication takes place and properly documented.

o **Organization-Wide Communication of New Safety Risk Mitigations**
RTD informs employees at every level of operations about the safety risk mitigations put into effect for the following reasons:
  o Communicates to employees that RTD is doing all it can to reduce risk.
  o Brings attention to employee roles and responsibilities that may be affected by new mitigations.
  o Prepares employees to be a better source of information on determining how well mitigations are working.

Upon implementation of new safety risk mitigations, the Safety Officer will ensure it is communicated as follows: verbally by Supervisors, Managers, Safety Officer, or Safety Team; memos; bulletin board postings.

RTD documents its communication of new safety risk mitigations in the Safety Concerns Communication Log located in SharePoint and/or Y drive. The Safety Officer is responsible for making sure this communication takes place and properly documented.

o **Organization-Wide Communication of Agency Safety Performance**
RTD implements SMS to continuously improve its safety performance in line with its Safety Performance Targets. By communicating its safety performance information, it promotes employee participation and understanding of the SMS processes overall.

To reinforce RTD employees' ownership of safety, RTD communicates statistics on its overall safety performance to all employees monthly, regardless of job function. This includes information related to the progress towards achieving the Safety Performance Targets.

The information is presented to the Safety Team during its monthly meeting and given to Safety Team members to post in their respective departments and the Safety Officer will email the information to its contractors. RTD documents its communication of agency safety performance in the Safety Concerns Communication Log located in SharePoint and/or Y drive. The Safety Officer is responsible for making sure this communication takes place and properly documented.

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In addition to internal communication regarding safety, the Safety Communication subcomponent also includes connecting with RTD's passengers and the public. RTD leads and participates in several safety outreach activities and provides safety awareness messages for both passengers and the public. The Safety Administrator and the Safety Team work directly with the Marketing and the Information Technology departments to ensure a consistent internal and external safety messaging.

COMPETENCIES AND TRAINING

This subcomponent addresses competency training of employees regarding their roles and responsibilities related to RTD's safety performance. Training is vital for a successful SMS implementation.

- Employees must be trained on their roles within SMS. Frontline employees should be trained to be competent in safety reporting (i.e., appropriate content and procedures for reporting).
- Managers and Executive staff will be trained by the Safety Officer on all aspects of the ASP, including how to analyze safety data and extract information from it, turning the information into helpful guidance in allocating resources to safety. The Hazard Report form and emails to dl-safety-team will log safety data and safety suggestions.
- Executive management is responsible for allocating resources for training and making decisions regarding safety with data from the SMS.

In addition to training as it relates to the SMS, RTD has safety training in place (including refresher training) for all of its employees and is in the process of ensuring that training is comprehensive in scope. RTD's contractors are required to implement their own safety training programs in accordance with RTD's ASP that RTD's Safety Officer oversees.

Training Needs Analysis

To determine the training necessary to ensure safety of the organization, the Safety Officer monitors safety-related concerns through the Workplace Hazard Protocol process, TransTrack, and SugarCRM. These mechanisms identifies critical safety needs. If the safety need is training related, Safety Officer would work with department supervisors and managers to design and carry out training to mitigate safety concerns. If addition investment in training is required, the Safety Officer will incorporate recommendations into the annual SMART objectives planning process.

- ○ **Monitoring Skill Training**

  Monitoring skill training helps RTD identify as training gaps or outdated lesson plans that may result in hazards. The Safety Officer regularly monitors these training to ensure effectiveness. Specifically, the process includes the following:
    - Monitoring training to make sure it delivers the necessary safety skills.
    - Establishing a process for reviewing and revising training courses while considering review frequency, reviewers, and decision-making process for revisions.

In addition, the Safety Officer communicates with local first responders in the community to identify additional critical safety training as needed. All training is monitored in TransTrack to ensure training is up-to-date.

Training Documentation
Training documentation is a source of hazard identification, providing formal proof that employees were trained and received timely certification and recertification in critical skill areas. Up-to-date training documentation also assists in forecasting future training schedules.

Lesson plans and schedules not only assist instructors in delivering the training, but they also provide a record of the content of the training should it be needed for any other purpose. A hard copy of the completed training is on file in the department. The department Superintendent/Manager/Safety Risk Administrator inputs completed training information in TransTrack.

RTD training documentation includes:
- Curricula for initial and refresher training.
- Training schedules and records of all completed training.
- Procedures for revising training materials.
- Course assessment materials.
- Copies of individual employee training records.

RTD records of course completion include:
- Dates the training was held.
- Content covered during training sessions.
- Length of the sessions.
- Signatures of instructor and trainee.

Current Skills and Safety Training

Ongoing Transportation Staff Training:
Training Supervisors LaShonda Nelson and Larry Bottley
- **New hire operators**: Classroom, Behind the Wheel (BTW), cadetting
  New hires Operators without a commercial license will receive a combined average of 420 hours of classroom, BTW, and cadetting.
- **Bus operator refresher training:** Classroom training uses the Tapco workbook and videos, Canadian Urban Transit Association (CUTA) facilitator guide, Transportation Safety Institute (TSI) materials and a self-study defensive driving program. BTW training consists of defensive driving techniques and coach familiarization.
- **Verification of Transit Training (VTT)**: All operators receive 8 hours of mandatory VTT per year required by DMV. Topics include:
  o Pedestrian-friendly Transit
  o Customer Service

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- o Current Laws and Regulations
- o Renewal Requirements
- o System Security Awareness
- o Farebox
- o ADA
- o Pre-trip Inspection
- o Wheelchair Securement
- o Passenger Loading and Unloading
- o Defensive Driving
- o Accident Prevention
- o Emergency Procedures
- o Drug and Alcohol
- o Bloodborne Pathogens
- o Dealing with Difficult People/Students
- **As-needed ongoing training**
  - o **Post-accident**: All employees receive between 2-8 hours of training after accidents depending on the severity and number of accidents.
  - o **Return to work**: All employees will receive between 2-8 hours of training after being off for an extended period of time; training received will depend on the length of time the employee was off work.
  - o **Remedial** (required due to customer comment): All operator receive 2 hours of training for customer comments.
  - o **BTW for new equipment or buses**: 1-2 hours or until the operator demonstrates proficiency for new equipment.

Annual Maintenance Staff Training:
Operation Superintendent—Maintenance Brad Menil
- General Safety Orientation
- Back Lifting Safety
- Hazardous Waste and How It Affects Everyone
- Hazardous Waste Containment
- Hazardous Communications
- Bloodborne Pathogens
- Lock Out, Block Out, Tag Out
- Personal Protective Equipment (PPE)

Ongoing Machine Shop Safety Training: Facilities Superintendent Darla Smith
- Machine Introduction
- Proper Usage
- Safety Knowledge

Annual Technician Training: Facilities Superintendent Darla Smith
- Fall Protection
- Underground Storage Tank Overview
- Storm Water Pollution Prevention & Sample-taking
- Wastewater Contamination Containment & Sample-taking

Bi-Annual Maintenance Personnel Training: Maintenance Supervisor John Van Camp

- Initial Forklift Training

Mechanic Training (as needed): Contractor

- Allison Hybrid Drive Familiarization and Advanced Diagnostics

ASP/SMS-related Training

- **SMS Orientation**
  Successful SMS implementation and operation require employee involvement and ownership at every level of the agency and within every service-delivery related function. Employees need to understand SMS; what their role is within SMS; and how they, the organization, and customers benefit from SMS success.

  Once the ASP is approved and implemented, the Safety Officer will conduct an SMS orientation to train all staff on the SMS approach to safety as a cross-functional and multi-level understanding of it is necessary to support all SMS-related activities.

  After initial SMS orientation, department managers are responsible for keeping their employees up-to-date on SMS training. All new hires receive SMS training during their employee orientation.

- **Safety Risk Management Orientation for Safety Team and Management**
  Successful proactive safety risk mitigation begins with leadership who have a clear understanding of their responsibilities and the skills required to carry them out. Employees who participate in safety risk management activities as assigned under responsibilities need to understand how to carry out their responsibilities. This orientation also includes the desired outcomes of safety risk management activities and the importance of the effort to its safety performance.

  These employees will receive training from the Safety Officer and use this plan, the CIIP, and the Workplace Hazard Protocol to carry out their responsibilities for safety-related incidents. Responsible employees will receive training any time there is a change to these documents.

- **Safety Performance Monitoring Orientation**
  Employees who participate in safety performance monitoring activities need to know how to carry out their responsibilities. The Safety Officer ensures that these employees receive orientations on what their responsibilities are, the desired outcomes of safety performance monitoring, and the importance of the effort to overall agency safety performance. The Safety Officer conducts a quarterly meeting to orient SMS leadership on their monitoring responsibilities.

  Performance monitoring includes activities as follows:

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- o Observing on the field to ensure employees are following operations policies and procedures correctly.
- o Assessing and documenting employee safety performance.
- o Monitoring the effectiveness of safety risk mitigations.
- o Evaluating the effectiveness of the employee safety program.

- **Orientation on Employee Safety Reporting (Workplace Hazard Protocol)**

  An effective employee safety reporting process is one of the most important tools for hazard identification. While RTD already has in place its Workplace Hazard Protocol outlining the process for hazard identification, it has not previously provided formal training for this protocol.

  This orientation will
  - New Hire
  - Upon changes to the ASP

  The orientation is provided in the New Hire Orientation and includes the following minimum information:
  - o The purpose and benefits of the program
  - o Guidelines on the types of safety concerns and issues employees should report
  - o The reporting methods available to employees (how to report)
  - o An explanation of how the information will be managed and shared
  - o The protections for employees who report safety concerns
  - o A description of the operational behaviors that are not protected and may result in discipline
  - o The agency's commitment to providing feedback on reported safety concerns

Additional Information

RTD will maintain documents that describe the programs, policies, and procedures used to carry out the Agency Safety Plan. It will also maintain documents not included or referenced elsewhere in this safety plan that are related to the implementation of its SMS, as well as results from the SMS processes and activities.

These documents will be maintained for at least three years after their creation and made available upon request by the FTA, other federal entities, or Caltrans. The Safety Officer will be a primary point of contact when providing Agency Safety Plan-related information to external agencies to ensure access to these documents.

Appendix: Definitions

Accident: An event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle any location, at any location, at any time, whatever the cause.

Accountable Executive: A single, identifiable individual who has the ultimate responsibility for carrying out RTD's Agency Safety Plan; the responsibility for carrying out the agency's Transit Asset Management Plan (as defined below), and control over the direction of human and capital resources needed to develop and maintain both plans in accordance with 49 U.S.C. 5329(d) and 49 U.S.C. 5326.

Collision and Incident Investigation Plan (CIIP): RTD's plan that helps its Safety Officer and Risk Administrator to examine organizational factors contributing to incidents, accidents, and near misses.

Consequence: An effect of a hazard, involving injury, illness or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Event: Any accident, incident, or occurrence.

Hazard: Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Incident: An event, that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

Injury: Any damage or harm to persons as a result of an event that requires immediate medical attention away from the scene.

Investigation: The process of determining the causal and contributing factors of an accident, incident, or hazard for the purpose of preventing recurrence and mitigating risk.

Mitigation: Reducing the probability and/or severity of the potential consequences of a hazard.

NPTSP: National Public Transportation Safety Plan (Version 1.0)

Occurrence: An event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

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Performance target: A quantifiable level of performance or condition, expressed as a value for the measure to be achieved within a time period required by the Federal Transit Administration (FTA).

PMI: Preventative Maintenance Inspection.

PTASP: Public Transportation Agency Safety Plan.

Risk: The composite of predicted severity and likelihood of the potential effect of a hazard.

Risk mitigation: A method or methods to eliminate or reduce the effects of hazards.

Safety: Operating within an acceptably low level of risk, being proactive rather than reactive.

Safety events: A collision, derailment, fire, hazardous material spill, act of nature (Act of God), evacuation, or other safety occurrences not otherwise classified (OSONOC) occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle and meeting established NTD thresholds.

Safety Management System (SMS) framework: The basis for RTD's new ASP, its effective implementation aims to improve public transportation safety and provide RTD with a structure for understanding and addressing safety risks through proactive and timely organizational decision making. It ensures that a public transportation agency, regardless of its size or service environment, has the necessary organizational structures, activities, and tools in place to optimally direct and control resources.

Safety Officer: An adequately trained individual who has responsibility for safety and reports directly to RTD's chief executive officer.

Safety risk: The chance that people, equipment, or the environment could be harmed by the consequences of a hazard measured by how likely it is to happen (probability or frequency), and how bad it could be (severity).

Serious injury: Defined as any injury which:
- Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received.
- Results in a fracture of any bone (except simple fractures of fingers, toes, or noses).
- Causes severe hemorrhages, nerve, muscle, or tendon damage.
- Involves any internal organ.
- Involves second- or third-degree burns, or any burns affecting more than 5% of the body surface.

Small public transportation provider: A recipient or subrecipient of federal financial assistance under 49 U.S.C. 5307 that has 100 or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

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State of good repair: A condition sufficient for capital assets to operate at a full level of performance.

System reliability: The condition in which a capital asset is able to operate at a full level of performance.

Transit Asset Management (TAM) Plan: A plan that outlines the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

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RESOLUTION NO. _____
DATED: JULY 17, 2020

RESOLUTION ADOPTING UPDATED AGENCY SAFETY PLAN

WHEREAS, the Federal Transit Administration (FTA) is committed to building a safety regulatory program with Safety Management Systems (SMS) as its foundation; and

WHEREAS, the FTA released its final ruling (49 C.F.R. Part 673) requiring operators of public transit system to develop safety plans that include processes and procedures necessary for implementing SMS on July 19, 2019; and

WHEREAS, the San Joaquin Regional Transit District commits to creating a safe and responsible environment for its employees, customers, and community; and

WHEREAS, the Agency Safety Plan is drafted and updated to comply with FTA regulations.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the RTD Board of Directors that the updated Agency Safety Plan be, and hereby is, approved.

STAFF RECOMMENDATION: **AWARD A CONTRACT TO EAM SOLUTIONS, LLC FOR TRANSIT ASSET MANAGEMENT SYSTEM FOR A TOTAL CONTRACT AMOUNT NOT TO EXCEED $471,577**

LEAD STAFF: **SHARON MILLER**
DIRECTOR OF PROCUREMENT

FINANCIAL IMPACT: **$471,577 (STATE)**

BACKGROUND:
RTD's adoption of its State of Good Repair (SGR) and Transit Asset Management (TAM) policies and the TAM Plan includes a recommendation to purchase a new enterprise asset management (EAM) software system to assist in maintaining compliance with TAM legislation and Plan.

The current asset management system, SPEAR, was purchased in 2004 and is used by Maintenance, Facilities, and Procurement for managing fleet maintenance and vehicle inventory, managing spare parts, and for facility maintenance work scheduling. Staff has increased its level of manual data collection and manual processes due to the system's inability to meet new SGR and TAM requirements, all of which lead to significant loss of staff time. In addition, this system's software is no longer fully supported and relies on insecure and obsolete technology.

The new system will allow for automated data collection and reporting required for compliance with RTD's TAM Plan and TAM standards. In addition to improved performance over current Spear functionality, it will be upgradable and introduce new functionalities such as following:
- Eliminate the need for manual data collection and reporting.
- Eliminate paper forms through the use of mobile device access.
- Enabling import/export of data between all of RTD's data and enterprise systems (e.g., FleetWatch, TransTrack, OneSolution).

DISCUSSION:
The Request for Proposal (RFP) solicited the contractor to provide a TAM software system, data migration and system integration services, training, and associated equipment. On February 25, 2020, RTD advertised the RFP in The Record as well as RTD's Procureware program for the duration of the solicitation. Twenty-nine firms downloaded the RFP.

On April 14, 2020, RTD received one responsive proposal from EAM Solutions, LLC. Staff deemed the proposal responsive for 1) debarment; 2) bid responsiveness; 3) price analysis; and 4) confidential statement of qualifications and business references. The selection committee consisting of RTD and the Transit Asset Management consultant scored the technical and price proposals.

The proposer was invited to an oral interview and presentations the week of July 6, 2020. The selection committee deemed EAM Solutions, LLC to be the most responsive and responsible proposer to provide EAM system to support TAM in an amount not to exceed $471,577 subject to final negotiations.

RESOLUTION NO. _____
DATED: JULY 17, 2020

RESOLUTION TO AUTHORIZE AWARD A CONTRACT TO EAM SOLUTIONS, LLC FOR PURCHASE OF
TRANSIT ASSET MANAGEMENT SYSTEM FOR A TOTAL CONTRACT AMOUNT NOT TO EXCEED $471,577

WHEREAS, RTD's adoption of its State of Good Repair (SGR) and Transit Asset Management (TAM) policies and the TAM Plan includes a recommendation to purchase of a new TAM enterprise software system to assist in maintaining compliance with TAM legislation and Plan; and

WHEREAS, on February 25, 2020, RTD advertised the Request for Proposal (RFP) in The Record as well as RTD's Procureware program; and

WHEREAS, the RFP provided for the contractor to provide a Transit Asset Management software system, data migration and system integration services, training and associated equipment; and

WHEREAS, on April 14, 2020, RTD received one responsive proposal from EAM Solutions, LLC; and

WHEREAS, the selection committee deemed EAM Solutions, LLC to be the most responsive responsible proposer to provide transit asset management services.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the RTD Board of Directors as follows:

1) That a contract be, and hereby is, awarded to EAM Solutions, LLC for Transit Asset Management System for a total contract amount not to exceed $471,577.

2) That the Chair of the Board and the CEO be, and they hereby are, authorized and directed to finalize and execute the contract with EAM Solutions, LLC for Transit Asset Management System for a total contract amount not to exceed $471,577, in accordance with the Request for Proposal for Transit Asset Management System, dated February 25, 2020, being Solicitation No. 2020-R111359-S.

3) That the Chair of the Board and the CEO, acting individually, are hereby authorized and directed to execute such other agreements and amendments to this agreement, and to take such other actions as may be necessary or appropriate to carry out in the intent and purpose of this resolution.