

**EXHIBIT
"A"**



**Round Rock Transit
Public Transportation Agency Safety Plan
In compliance with 49 CFR Part 673**



**Version 1 – Adopted June 11, 2020
Version 2 - Updated December 2022
Version 3 – Updated January 2025**

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1. Introduction

Through the Moving Ahead for Progress in the 21st Century (MAP-21) and the Fixing America's Surface Transportation Act (FAST Act), Congress requires operators of public transportation systems that receive Federal Transit Administration (FTA) funds to develop and implement a Public Transportation Agency Safety Plan (PTASP). The rule became effective on July 19, 2019, after which public transportation agencies had one year to certify the initial safety plan.

This PTASP was originally developed in coordination with the Texas Department of Transportation (TxDOT) and has been shared with Capital Area Metropolitan Planning Organization (CAMPO) in accordance with all requirements stated in 49 CFR Part 673 applicable to a small public transportation provider.

The City of Round Rock is pleased to establish this PTASP in accordance with 49 C.F.R. Part 673 ("Part 673").

2. Transit Agency Information

Round Rock Transit (RRT) is a department of the Public Works Division for the City of Round Rock. RRT provides fixed route service, through a Interlocal Agreement with Capital Metro, and contracts for the on-demand & ADA paratransit service with z-Trip. In 2010, the City of Round Rock built an Intermodal Transit and Parking Facility, located at 300 West Bagdad Avenue with American Recovery and Reinvestment Act (ARRA) funds. This facility includes an indoor ticketing office for Greyhound Bus Lines, bus bays, and a 2-level parking structure.

All requirements of RRT's PTASP will flow down to its operating contractors via its contracts, contract amendments, and scopes of work. Contractors are responsible to be compliant with 49 CFR Part 673.

Information Type	Information
Full Transit Agency Name	City of Round Rock, Round Rock Transit (RRT)
Round Rock Transit Address	3400 Sunrise Road, Round Rock, TX 78665
Name and Title of Accountable Executive	Brooks Bennett, City Manager
Name of Chief Safety Officer	Edna Johnson, Transit Coordinator
Key Staff	Michael Thane, Executive Director of Public Works
Mode(s) of Service Covered by This Plan	Fixed Route Bus & On-Demand & ADA Paratransit. The city population is 126,000 a small urban community within the larger Austin UZA.
List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307
Service provided under contract by	Fixed Route: Provided by Cap Metro On-Demand/ADA: Provided by z-Trip

3. Plan Development, Approval and Updates (673.11)

The Public Transit Agency Safety Plan was originally certified and adopted on June 11, 2020, by the Round Rock City Council and is included as Attachment A. The plan is updated in order to address all new and applicable requirements as set forth in the Federal Transit Administration Public Transportation Safety Program and the National Public Transportation Safety Plan, certified, and signed by:

Accountable Executive

Brooks Bennett, City Manager

Date

A. Annual Review & Updates (673.11)

The Public Transportation Agency Safety Plan will be reviewed annually and updated as necessary to incorporate any significant changes that are made to the activities, information, or processes required by Part 673. All updates to the PTASP will be first reviewed and approved by the signed by the Accountable Executive.

During this review, key staff will analyze safety performance to:

1. Determine if a new Safety Performance target should be established.
2. Determine whether increases Safety Promotion related to safety events is necessary; and
3. Review identified safety hazards, risks, and mitigations to ensure they reflect the current safety concerns faced by the city on a recurring basis.
4. Ensure that the agency's Safety Assurances mechanisms are mitigating the current and most frequent safety events.

This PTASP addresses all requirements as outlined in the FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan. The PTASP will be revised when FTA establishes standards through the public notice and comment process. Accordingly, the PTASP has been modified per the PTASP Safety Rule published by FTA on April 11, 2024.

All requirements in the PTASP will flow down to its operating contractors via its contracts, contract amendments, and scopes of work. Any significant changes to the plan will be made and presented to the Accountable Executive for adoption. A plan update log will be kept, and certification will also be accomplished through RRT's annual Certifications and Assurances reporting to FTA.

B. Plan Update Log

Document Version	Section/Pages Changed	Reason for Change	Date of Change
1	No Changes this year	None at this time	6/10/2021
2	Updated Plan	Updated and added specific language and changes per legislative & FTA directives.	11/10/2022
3	Updated Plan	Added New Accountable Executive, Brooks Bennett. Updated Safety Performance Targets to include new categories and specific language and changes per legislative & FTA directives.	1/2/2025

C. Plan Update Calendar

Task	Jan-March	April-June	July-Sept	Oct-Dec
Review Agency Operations	→			
Review SMS Documentation*		→		
Review Targets and/or set targets**			→	
Update Version, Adopt & Certify			→	
*Safety Policy, Risk Management, Safety Assurance Safety Promotion				
**Report targets to MPO when requested				

4. Authorities & Responsibilities

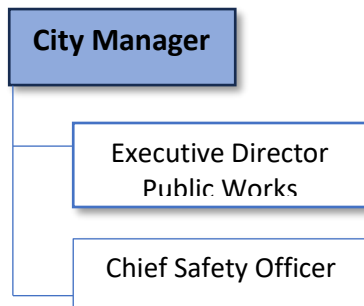
As stated in 49 CFR Part 673.23(d), RRT is establishing the necessary authority, accountabilities, and responsibilities for the management of safety amongst the key individuals within the organization. In general, the following defines the authority and responsibilities associated with our organization.

The **Accountable Executive 673.5 & 673.23(d)(1)** has ultimate responsibility for carrying out the Agency Safety Plan. The Accountable Executive is also responsible for development and implementation of the agency Safety Management System (SMS). This makes the accountable executive responsible for ensuring that the agency's SMS is effectively implemented, and actions are taken, as necessary to address substandard performance.

The **Chief Safety Officer 673.5 & 672.23(d)(2)** has been an adequately trained individual who has the authority and responsibility to develop RRTs PTASP and SMS policies and procedures in cooperation with frontline employee representatives. THE CSO will also oversee the day-to-day operations of contractors and ensure frontline employees are included in the safety plan development. The CSO reports directly to the Accountable Executive for the day-to-day implementation and operation of the Safety Management Policy & system. As such, the CSO is able to report directly to the Accountable Executive.

Agency leadership and executive management are those members of our agency leadership or executive management, other than the Accountable Executive, Chief Safety Officer (CSO)/SMS Executive, who have authority or responsibility for day-to-day implementation and operation of our agency’s SMS.

Round Rock Transit Organizational Chart



5. Safety Performance Targets (673.11(a)(3))

To capture the broad and varied nature of public transportation, the FTA relies on measures that can be applied to all modes of public transportation. RRTs PTASP establishes seven SPT’s that must be included and are based on the four (4) performance measures in the NSP.

A. Baseline Safety Targets

Metric Safety Performance	Fixed Route	On Demand	Description
Major Safety Events	2	1	Any injury, death, damage to property, vehicles or environment
Major Safety Event Rate	0.002	0.001	Rate of events divided by vehicle revenue miles (VRM)
Vehicular Collision Rate	0.003	0.001	Transit vehicle impacts another vehicle or object
Fatalities	0	0	Passengers, pedestrians, or other at fault accidents that resulted in death
Fatality Rate	0	0	Rate of fatalities divided by vehicle revenue miles (VRM)
Injuries	2	1	Requires medical attention away from the scene
Injury Rate	0.002	0.001	Rate of injuries divided by vehicle revenue miles (VRM)
Transit Worker Fatality Rate	0	0	Includes bus operators or other transit staff divided by vehicle revenue miles (VRM)
System Reliability	4,500	68,000	Mean Distance between major mechanical failures
Collision Rate	0.004	0.0002	Any impact between transit vehicle, other vehicle, object or person, regardless of fault
Pedestrian Collision Rate	0	0	Person crossing crosswalk, sidewalk, along the road & bicyclist
Transit Worker Injury Rate	0	0	Includes bus operators or other transit staff divided by vehicle revenue miles (VRM)
Assaults on Transit Workers	1	0	Act that intends to endanger the safety of a transit worker
Rate of Assaults on Transit Worker	0.001	0	Rate of assaults divided by vehicle revenue miles (VRM)

Rate = total number for the year/total revenue vehicle miles traveled (per 100,000 VRM)

***Safety Performance Baseline and Targets provided by fixed route contractor as reported in their ASP and independent NTD data reporting.*

Each year, the safety performance targets will be reviewed and adjusted as necessary to accurately reflect current implementation status. RRT will follow the annual review process to determine if new Safety Performance targets should be established and will share with the Department Director.

- Review and identify safety hazards, risks and mitigations to ensure they reflect the current safety concerns faced by the agency on a recurring basis.
- Periodically update trainings for agency staff and personnel. These trainings will reflect relevant safety concerns identified through evaluation of agency performance targets.
- Identify new tasks and initiatives, which may be required.
- Incorporate organizational, operational, or legislative changes

The safety performance targets for FY2022 to FY2024 are made available to CAMPO or other state and federal agencies. This information is also available to City Officials, Managers and other City Staff on the GIS Website [Transit Dashboard FY2024](#).

As more data is collected RRT will adjust the safety performance indicators to help inform management on safety related investments.

B. Safety Risk Program & Reduction Targets

The Bipartisan Infrastructure Law requires recipients to include measures for a safety risk reduction program. It was decided by the committee to use the baseline safety targets as set above in Section A – Baseline Safety Targets.

6. Safety Management Policy (673.23)

Safety is RRTs' number one priority. RRT will educate, encourage, and endorses a strong culture of safety at all levels of the organization, valuing the responsibility entrusted in us by the passengers who use the service. RRT is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all services are safe, reliable, and cost effective.

All levels of the organization, extending to all contractors, are accountable for the delivery of the highest level of safety performance.

RRT is committed to:

- Implementing a safety management system, which is a formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation.
- RRT will also ensure that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.
- Comply with, and wherever possible exceed, legislative and regulatory requirements and standards and ensure that sufficient skilled and trained employees 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 allocated only tasks commensurate with their skills.

- Establish and measure our safety performance against realistic and data-driven safety performance indicators and safety performance targets.

A. Safety Management Policy Communications

RRT is committed to ensuring the safety of our passengers, personnel, and operations staff. Part of that commitment is developing an SMS and safety culture that reduces agency risk to the lowest level possible. The Safety policy will be provided and communicated to contracted service providers or contractors and throughout the transit department.

The communication 673.23(c) strategy will include posting the policy in prominent work locations visible for bus operators, frontline staff and the general public to view with information on how to contact safety staff.

B. Employee Safety Reporting Program (ESRS)

Frontline employees are a significant source of safety data. These employees are typically the first to spot unsafe conditions that arise from unplanned conditions either on the vehicles, in the maintenance shop, or in the field during operations. For this reason, the Employee Safety Reporting Program (ESRP) is a major tenet of the PTASP Rule. Under this rule, agencies must establish and implement a process that allows employees to report safety conditions directly to senior management; provides protections for employees who report safety conditions to senior management; and includes a description of employee behaviors that may result in disciplinary action.

The City of Round Rock has a policy within the Policies and Procedures Manual called the Employee Grievance Procedure. This procedure applies to all City employees and covers complaints related to safety issues, and inequitable or inappropriate treatment. The RRT ESRP ensures that all employees are encouraged to report safety conditions directly to senior management or their direct supervisor for elevation to senior management. The policy will also spell out what protections are afforded employees who report safety related conditions.

To bolster the information received from frontline employees, RRT will work with contractors and review their policy and work with them on how our agency receives information and safety related data from employees and customers. RRT will develop additional means for receiving, investigating, and reporting the results from investigations back to the initiator(s) – either to the person, groups of persons, or distributed agency-wide to ensure that future reporting is encouraged.

C. Frontline Employees

In compliance with 49 U.S.C Part 5329(d) (B), updates to the PTASP are done in cooperation with frontline employees. Surveys of frontline staff will be used to receive input about safety concerns and PTASP procedures from individual contractors each year. Suggestions and concerns are recorded and, where applicable, changes made to the PTASP. Concerns of note are:

- Poor lighting situations within and around the buses, including but not limited to:

- Interior lighting causing glare, poor headlight brightness.
- Poor lighting at bus stops leading to drivers not seeing passengers.
- Poor lighting at facilities
- Foliage not being trimmed along driveways, creating unsafe driving situations and obscuring passengers at bus stops.
- Non-efficient maintenance of buses leading to unreliable bus operation.
- Assaults on Transit Workers.

This PTASP was reviewed by frontline staff, including Transit Center employees, along with Metro and on-demand services. The Public Transit Agency Safety Plan will be maintained by the Chief Safety Officer in an electronic file and in hard copy(s) and made available to transit-related employees.

D. Assaults on Transit Workers

RRT encourages all bus operators and frontline staff to report any assault as defined under 49 U.S.C. 5302 immediately to RRT or their supervisor. Assaults should consider any circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables or incapacitates a transit worker while the transit worker is performing the duties of a transit worker.

E. Public Health

In compliance with 49 U.S.C. Part 5329(d) (D) RRT monitors all state and national health recommendations and stays compliant with all public health policies to the fullest extent able, minimizing the risk of exposure to infectious diseases.

There are several aspects of an infectious disease emergency that differentiate it from other emergencies and that require variation in widespread planning, response, and recovery. The intent of this section is to provide safety risk management strategies to minimize the exposure of the public and personnel to infectious diseases consistent with guidelines of the Centers for Disease Control and Prevention or a State health authority; however, nothing in this document precludes the primary parties, management, employees, or key stakeholders from modifying their actions to meet the unique conditions presented. The city will collaborate with local public health entities, as appropriate, to influence public behavior regarding basic infection-control measures such as handwashing or using sanitizing hand gel, maintaining respiratory etiquette, staying home when sick, and avoiding unnecessary contact with people who are ill.

7. Safety Risk Management (673.25)

The Safety Risk Management component is comprised of the processes, activities and tools to identify and analyze hazards and assess safety risks in operations and supporting activities. It allows RRT to carefully examine what could cause harm and determine if RRT and or its contractors have taken sufficient precautions to minimize the harm, or if further mitigations are necessary.

A. Safety Hazard Identification

Hazards are an inevitable part of transit operations. Only after identifying those hazards can, they be addressed. Sources of hazard information include:

- Safety reporting
- Formal and informal observations of the operation
- Scheduled and unannounced inspections
- Internal safety investigations
- Collision and incident reports
- Industry data
- Governmental sources including the FTA, CDC and state and local health authorities
- Customer and public feedback or complaints

Employees at the transit center are aware how to report hazards or risks they identify or incidents and close calls they experience. This reporting is highly encouraged across the organization. All personnel, whether directly employed or employed by a contractor, are provided with various options for reporting hazards and close calls. Reporting is encouraged using any method an individual is most comfortable using. This includes verbally to a supervisor or management staff, written by way of an incident report, or electronically using email.

Non-vehicle-based hazards are reported using a designated form (or alternative method) and submitted for investigation, analyzed, and communicated to the safety committee for review. Each contractor identifies and manages their safety risks using their safety committee. The safety hazard reporting process includes feedback from the investigating party to the reporting party, whenever possible, to close the feedback loop on what was done to mitigate or eliminate the hazard.

The Safety Hazard Identification Process offers the city and contractors the ability to identify hazards and potential consequences in the operation and maintenance of our system.

B. Safety Risk Assessment

Employees are encouraged to immediately address hazards that may be easily resolved, such as a fall hazard that may be easily moved. Hazards that require more extensive measures for resolution should be elevated to managers for corrective action. Managers and safety committees are encouraged to conduct appropriate investigations to determine the potential risk as evaluated by examining the severity and probability of the hazard.

Hazard severity is the measure of the consequence the hazard presents. The greater the potential hazard consequence, the more severe the hazard. Below is a chart describing RRT hazard severity categories:

HAZARD SEVERITY CATEGORIES		
Category	Severity	Characteristics
4	Catastrophic	Death, system loss, or severe environmental damage
3	Critical	Severe injury, severe occupational illness, or major system or environmental damage
2	Marginal	Minor injury, minor occupational illness, or minor system or environmental damage
1	Negligible	Less than minor injury, occupational illness, or system or environmental damage

RRT uses a rating system to identify the frequency level of a hazard occurring:

HAZARD FREQUENCY INDEX		
Description	Level	Specific Individual Event
Frequent	A	Likely to occur frequently
Probable	B	Will occur regularly
Occasional	C	Will occur rarely
Remote	D	Unlikely but possible
Improbable	E	So unlikely it can be assumed that it will not occur

Viewed in relation to one another, the hazard severity and hazard probability properties measure a hazard’s magnitude and allows for the prioritization of applying control measures. Hazards are then analyzed, evaluated, and treated based on the likelihood that an event will occur and the potential severity of the consequence of that occurrence. The value derived by considering a hazard’s severity and probability is the Hazard Risk Index. The Hazard Risk Index measures the acceptability or unacceptability of the hazard.

The Hazard Risk Index enables RRT management to accurately assess the amount of risk involved by viewing the hazard relative to what it would cost RRT (in terms of person-hours, funding, operations, schedule, etc.) to reduce the hazard to an acceptable level. The following matrix identified the Hazard Risk Index based on hazard category and probability, as well as the criteria for defining further action based on that index.

Frequency of Occurrence	HAZARD PROBABILITY TABLE			
	Severity			
	Negligible Catastrophic	Marginal	Critical	
Frequent	1A	2A	3A	4A
Probable	1B	2B	3B	4B
Occasional	1C	2C	3C	4C
Remote	1D	2D	3D	4D
Improbable	1E	2E	3E	4E

After considering the risk frequency and severity, staff will determine if the risk level is acceptable, undesirable, or unacceptable.

HAZARD RESOLUTION TABLE		
	Unacceptable	4A, 4B, 4C, 3A, 3B, 2A
	Undesirable – Executive Level Review Required	4D, 3C, 2B
	Acceptable – Management Level Review Required	4E, 3D, 2C, 1A, 1B
	Acceptable – Acceptable without Further Review	3E, 2D, 2E, 1C, 1D, 1E

C. Safety Risk Mitigation

Upon completion of the risk assessment, the CSO will continue populating the Risk Register by identifying mitigations or strategies necessary to reduce the likelihood and/or severity of the consequences. The goal of this step is to avoid or eliminate the hazard or, when elimination is not likely or feasible, to reduce the assessed risk rating to an acceptable level. However, mitigations do not typically eliminate the risk entirely.

To accomplish this objective, the CSO, works with subject matter experts from the respective department or section to which the risk applies. The CSO then elicits feedback from staff and supervisors with the highest level of expertise in the components of the hazard.

Documented risk resolution and hazard mitigation activities from previous Risk Register entries and the resolution’s documented level of success at achieving the desired safety objectives may also be reviewed and considered in the process. If the hazard is external (e.g., roadway construction by an outside agency) information and input from external actors or experts may also be sought to take advantage of all reasonably available resources and avoid any unintended consequences.

Once a mitigation strategy is selected and adopted, the strategy is assigned to an appropriate staff member or team for implementation.

8 Safety Assurance

A. Safety Performance Monitoring and Measuring

Through a variety of activities, RRT will monitor the system for compliance with procedures for operations and maintenance. Through our Safety Assurance process, RRT:

- Works with contractor and partners to ensure that operations and maintenance procedures are in place to control our safety risk.
- Assessed the effectiveness of safety risk mitigations to make sure the mitigations are appropriate and are implemented as intended.
- Analyzes information from safety reporting, including data about safety failures, defects, or conditions.

RRT will monitor its contractors to for compliance with this plan through a variety of activities including.

- Monthly Operations Reports
- Safety Audits
- Informal inspections
- Review of camera footage to assess events.
- Safety surveys
- Investigation of safety occurrences,
- Regular vehicle inspections and preventative maintenance.

Results from the above processes will be discussed with Transportation staff to determine if action needs to be taken. The Chief Safety Officer will enter any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation.

B. Safety Event Investigation

RRT currently conducts investigations of safety events. The objective of the investigation is to identify causal factors of the event and to identify actionable strategies that RRT can employ to address any identifiable organizational, technical or environmental hazard at the root cause of the safety event. RRT uses the Accident Investigation Procedure document to identify safety and operational risks based on individual assets.

Safety Event Investigations that seek to identify and document the root cause of an accident or other safety event are a critical component of the SA process because they are a primary resource for the collection, measurement, analysis and assessment of information. RRT gathers a variety of information for identifying and documenting root causes of accidents and incidents, including but not limited to rule violation and technical failures.

9. Safety Promotion

Management support is essential to developing and implementing SMS. SP includes all aspects of how, why, when and to whom management communicates safety related topics. SP also includes when and how training is provided. The following sections outline both the safety competencies and training that RRT will implement and how safety related information will be communicated.

A. Safety Competencies and Training

RRT provides comprehensive training to all employees regarding each employee's job duties and general responsibilities. This training includes safety responsibilities related to the employee's position.

As part of SMS implementation, RRT will be conducting the following activities:

- Assess the training requirements spelled out in 49 CFR Part 672 and the various courses required for different positions. (RRT is not subject to the requirements under 49 CFR Part 672 but will review the training requirements to understand what training is being required of other larger agencies in the event these trainings might be useful).

- Assess the training material available on the FTA PTASP Technical Assistance Center website.
- Review other training material available from industry sources such as the Community Transportation Association of America and the American Public Transportation Association websites.
- Adjust job notices associated with general staff categories to ensure that new personnel understand the safety related competencies and training needs and the safety related responsibilities of the job.
- Contractors will be required to provide de-escalation training for frontline staff to mitigate & identify and report potential bus operator assaults and increase overall safety of the system.

B. Safety Communication

RRT regularly communicates safety and safety performance information throughout the transportation department that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through the ESRP or other means.

RRT will report any safety related information to the Executive Director of Public Works who will share with the City Manager at their management meetings. Any immediate safety issues will be shared immediately with the Executive Director of Public Works and City Manager.

APPENDIX A

PTASP SUPPORTING DOCUMENTS – FILES MAINTAINED WITH PTASP DOCUMENTATION

File Name	Revision Date	Document Name	Document Owner
Accident-Investigation-Procedure	2016	Accident Investigation Procedure	City of Round Rock
Round Rock Emergency Action Plan	2017	Round Rock Emergency Action Plan	City of Round Rock
Policies and Procedures Manual	2022	Policies and Procedures Manual	City of Round Rock
Incident Reporting Form	2016	Employee Reporting Form	City of Round Rock

APPENDIX B

City Council Minutes or Resolution

RESOLUTION NO. R-2020-0151

WHEREAS, in compliance with 49 CFR Part 673, the City of Round Rock (“City”) desires to approve the Round Rock Transit Public Transportation Agency Safety Plan (“Plan”), Now Therefore

BE IT RESOLVED BY THE COUNCIL OF THE CITY OF ROUND ROCK, TEXAS,

That the Plan, a copy of same being attached hereto as Exhibit “A” and incorporated herein for all purposes, is hereby approved by the City Council, as required by 49 CFR Part 673.

The City Council hereby finds and declares that written notice of the date, hour, place and subject of the meeting at which this Resolution was adopted was posted and that such meeting was open to the public as required by law at all times during which this Resolution and the subject matter hereof were discussed, considered and formally acted upon, all as required by the Open Meetings Act, Chapter 551, Texas Government Code, as amended.

RESOLVED this 11th day of June, 2020.


 CRAIG MORGAN, Mayor
 City of Round Rock, Texas

ATTEST:


 SARA L. WHITE, City Clerk

Glossary of Terms

Accident: means an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of transit vehicles; an evacuation for life safety reasons; at any location, at any time, whatever the cause.

Accountable Executive (typically the highest executive in the agency): means a single, identifiable person who has ultimate responsibility for carrying out the SMS of a public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the agency's PTASP, in accordance with 49 U.S.C. 5329(d), and the agency's TAM Plan in accordance with 49 U.S.C. 5326.

Agency Leadership and Executive Management: Those members of agency leadership or executive management (other than an Accountable Executive, CSO, or SMS Executive) who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS.

Chief Safety Officer (CSO): means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A CSO may not serve in other operational or maintenance capacity, unless the CSO is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

Corrective Maintenance: Specific, unscheduled maintenance typically performed to identify, isolate, and rectify a condition or fault so that the failed asset or asset component can be restored to a safe operational condition within the tolerances or limits established for in-service operations.

Equivalent Authority: means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's PTASP.

Event: means an accident, incident, or occurrence.

Federal Transit Administration (FTA): means the Federal Transit Administration, an operating administration within the United States Department of Transportation.

Hazard: means 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: means 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.

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

Key staff: means a group of staff or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating the agency's SMS.

Major Mechanical Failures: means failures caused by vehicle malfunctions or subpar vehicle condition which requires that the vehicle be pulled from service.

National Public Transportation Safety Plan (NSP): means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

Occurrence: means 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.

Operator of a Public Transportation System: means a provider of public transportation as defined under 49 U.S.C. 5302(14).

Passenger: means a person, other than an operator, who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.

Performance Measure: means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Performance Target: means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA.

Preventative Maintenance: means regular, scheduled, and/or recurring maintenance of assets (equipment and facilities) as required by manufacturer or vendor requirements, typically for the purpose of maintaining assets in satisfactory operating condition. Preventative maintenance is conducted by providing for systematic inspection, detection, and correction of anticipated failures either before they occur or before they develop into major defects. Preventative maintenance is maintenance, including tests, measurements, adjustments, and parts replacement, performed specifically to prevent faults from occurring. The primary goal of preventative maintenance is to avoid or mitigate the consequences of failure of equipment.

Public Transportation Agency Safety Plan (PTASP): means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

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

Risk Mitigation means a method or methods to eliminate or reduce the effects of hazards.

Road Calls: means specific, unscheduled maintenance requiring either the emergency repair or service of a piece of equipment in the field or the towing of the unit to the garage or shop.

Safety Assurance (SA): means the process within a transit agency's SMS that functions to ensure the implementation and effectiveness of safety risk mitigation and ensures that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Management Policy (SMP): means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of the agency's employees regarding safety.

Safety Management System (SMS): means the formal, top-down, data-driven, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

Safety Management System (SMS) Executive means a CSO or an equivalent.

Safety Objective: means a general goal or desired outcome related to safety.

Safety Performance: means an organization's safety effectiveness and efficiency, as defined by safety performance indicators and targets, measured against the organization's safety objectives.

Safety Performance Indicator: means a data-driven, quantifiable parameter used for monitoring and assessing safety performance.

Safety Performance Measure: means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

Safety Performance Monitoring: means activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and SPTs.

Safety Performance Target (SPT): means a quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

Safety Promotion (SP): means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

Safety Risk: means the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.

Safety Risk Assessment: means the formal activity whereby a transit agency determines SRM priorities by establishing the significance or value of its safety risks.

Safety Risk Management (SRM): means a process within a transit agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.

Safety Risk Mitigation: means the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.

Safety Risk Probability: means the likelihood that a consequence might occur, taking as reference the worst foreseeable, but credible, condition.

Safety Risk Severity: means the anticipated effects of a consequence, should the consequence materialize, taking as reference the worst foreseeable, but credible, condition.

Serious Injury: means any injury which:

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

Small Public Transportation Provider: means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

State: means a State of the United States, the District of Columbia, or the Territories of Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

State of Good Repair: means the condition in which a capital asset is able to operate at a full level of performance.

State Safety Oversight Agency: means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR part 674.

Transit Agency means an operator of a public transportation system.

Transit Asset Management (TAM) Plan means 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.

Vehicle Revenue Miles (VRM): means the miles that vehicles are scheduled to or actually travel while in revenue service. Vehicle revenue miles include layover/recovery time and exclude deadhead; operator training; vehicle maintenance testing; and school bus and charter services.

Additional Acronyms Used

ADA: Americans with Disabilities Act

ARRA: American Recovery and Reinvestment Act

ASP: Agency Safety Plan

CAMPO: Capital Area Metropolitan Planning Organization

ESRP: Employee Safety Reporting Program

FAST Fact: Fixing America's Surface Transportation Act

MAP-21: Moving Ahead for Progress in the 21st Century Act

MOU: Memorandum of Understanding

MPO: Metropolitan Planning Organization

NTD: National Transit Database

RRT: Round Rock Transit, City of Round Rock, Texas