

**EXHIBIT**  
**"A"**

# **Round Rock Transit**

## **Public Transportation Agency Safety Plan**

**Version 2**

**Adopted June 11, 2020**

**In compliance with 49 CFR Part 673**

**Version 2 - Updated December 2022**

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## 1. EXECUTIVE SUMMARY

Through the Moving Ahead for Progress in the 21st Century (MAP-21), the Fixing America's Surface Transportation Act (FAST Act) and the Bipartisan Infrastructure Law PTASP requirements, 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 takes effect on July 19, 2019 after which affected public transportation agencies will have one year to certify the initial establishment of their safety plans. The plan then must be updated annually.

To ensure that the necessary processes are in place to accomplish both enhanced safety at the local level and the goals of the NSP, Round Rock City Council and RRT adopt this ASP.

## A. UPDATED PLAN CERTIFICATION - 673.11(A)(1)

The Public Transit Agency Safety Plan was originally certified and adopted on June 11, 2020 and is being updated as required by the Bipartisan Infrastructure Law, certified, and signed by:

Laurie Hadley, City Manager

ACCOUNTABLE EXECUTIVE SIGNATURE

DATE

## 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	Section 3 - Update/Changes Log - pg12	Moved to top of plan page 5	11/10/2022
2	Section 4 - AI. Safety Hazard Identifications	To align with current operations page 13	11/10/2022
2	Section 4 - AIV. Added Infectious Diseases language.	Addition of specific language on infectious diseases. Page 16	11/10/2022
2	Section 4 - B1 Safety Performance Monitoring & Measuring.	Addition of specific language based on current operations, page 17.	11/10/2022
2	Section 4 - CIII Frontline Employees	Addition of development in cooperation with frontline workers.	11/10/2022

The implementation of SMS is an ongoing and iterative process, and, as such, this PTASP is a working document. Therefore, a clear record of changes and adjustments is kept in the PTASP for the benefit of safety plan performance management and to comply with Federal statutes.

## 2. TRANSIT AGENCY INFORMATION – 673.23(D)

RRT provides fixed route service with two routes, through an Interlocal Agreement with Capital Metro (the operator), who is also the designated recipient for the federal 5307 funds. RRT also provides Americans with Disabilities Act (ADA) paratransit service under a full turnkey contract and will implement on-demand micro transit in 2023. The ADA paratransit service with an accessible fleet of RRT's cutaway buses, four (4) of which are owned by Star Shuttle. In 2010, the City of Round Rock built

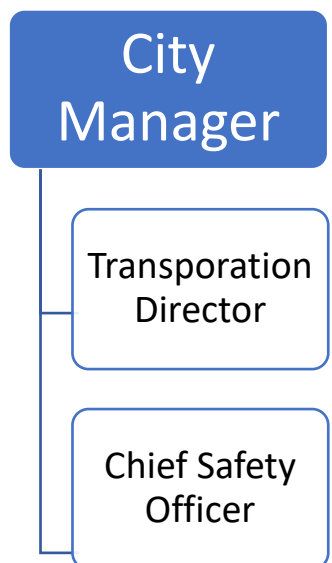
an Intermodal Transit and Parking Facility, located at 300 West Bagdad Avenue with American Recovery and Reinvestment Act (ARRA) funds. This facility includes an indoor ticketing office for Greyhound Bus Lines, bus bays, and a 2-level parking structure.

RRT is a division of the Transportation Department of the City of Round Rock. The Transit Coordinator is responsible for overseeing all aspects of the program. The Coordinator reports to the Director of Transportation who, in turn, reports to the Assistant City Manager.

**TABLE 1: AGENCY INFORMATION**

Information Type	Information
Full Transit Agency Name	Round Rock Transit
Round Rock Transit Address	3400 Sunrise Road, Round Rock, TX 78665
Name and Title of Accountable Executive 673.23(d)(1)	Laurie Hadley, City Manager
Name of Chief Safety Officer or SMS Executive 673.23(d)(2)	Edna Johnson, Transit Coordinator
Key Staff	Gary Hudder, Director of Transportation
Mode(s) of Service Covered by This Plan 673.11(b)	Fixed Route Bus & ADA Paratransit/On-Demand
List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route Bus & ADA Paratransit
Number of Vehicles Operated	5 Fixed Route – 4 Paratransit

**Figure 1: Round Rock Transit Organizational Chart**



### A. Authorities & Responsibilities – 673.23(d)

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** has ultimate responsibility for carrying out the SMS of the public transportation for the City of Round Rock, and control or direction over the human and capital resources needed to develop and maintain both the ASP, in accordance with 49 U.S.C. 5329(d), and the agency's TAM Plan, in accordance with 49 U.S.C. 5326. The Accountable Executive has authority and responsibility to address substandard performance in the RRT SMS, per 673.23(d)(1).

**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.

The **CSO** is an adequately trained individual who has the authority and responsibility as designated by the Accountable Executive for the day-to-day implementation and operation of the RRT SMS. As such, the CSO is able to report directly to our transit agency's Accountable Executive.

**Front line employees** perform the daily tasks and activities where hazards can be readily identified so the identified hazards can be addressed before the hazards become adverse events. These employees are critical to SMS success through each employee's respective role in reporting safety hazards, which is where an effective SMS and a positive safety culture begins.

### 3. SAFETY POLICIES AND PROCEDURES

#### A. Policy Statement – 673.23(a)

Safety is RRT's first priority. RRT is committed to implementing, developing, and improving strategies, management systems, and processes to ensure that all our activities uphold the highest level of safety performance and meet required safety standards.

We will develop and embed a safety culture in all our activities that recognizes the importance and value of effective safety management and acknowledges at all times that safety is paramount. We will clearly explain for all staff their accountabilities and responsibilities for the development and operation of the SMS.

For passengers and employees, we will minimize the safety risk associated with transit service to as low as reasonably practicable and we will work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards. We also will work to ensure that all employees are provided with adequate and appropriate safety information and training, are competent in safety matters, and are only allocated tasks commensurate with their skills.

We have established Safety Performance Targets (SPTs) to help us measure the overall effectiveness of our processes and ensure we meet our safety objectives. We will issue quarterly reports to the transportation department documenting how well we met our SPTs and describing the safety risk mitigations we implemented to reduce safety risk.

## I. Employee Safety Reporting Program – 673.23(b)

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.

All Capital Metro's fixed route buses are equipped with an OrbStar mobile data terminal. This system allows for the reporting of the following five pre-set categories of close call: pedestrian/bicycle, fixed object, vehicle, scooter, and other. When a close call event occurs, the vehicle operator presses the appropriate button, and a record is created in the OrbCAD database. This record contains the type of close call, the location and time of the incident, route number and transit vehicle number.

The City of Round Rock has a policy within the *Policies and Procedures Manual* called the *Employee Grievance Procedure* (Appendix A). This procedure applies to all City employees and covers complaints related to safety issues, inequitable distribution of work, and inequitable or inappropriate treatment. The procedure requires that when complaints are submitted, the complaints are first routed to the employee's immediate supervisor in writing within five working days of the incident. The immediate supervisor then has five working days to respond to the employee's grievance. If the problem is not resolved, the grievance will then be reviewed by an intermediate level supervisor. If there is not an intermediate supervisor, the complaint will move directly to the Department Director. If the grievance involves the Department Director, it will move on to the Assistant City Manager. A written response will then be given to the employee within five to seven working days, depending on which level of supervision the grievance moves to.

In general, the RRT ESRP will ensure 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 and will describe employee behaviors that are not covered by those protections and may result in disciplinary action. This includes those cases where the reporting employee engaged in an illegal act, committed gross negligence, or deliberately or willfully disregarded regulations or procedures.

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 can receive 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.

## II. Communicating the Policy Throughout the Agency – 673.23(c)

RRT is committed to ensuring the safety of our clientele, personnel, and operations. 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 strategy will include posting the policy in prominent work locations for existing transit employees and adding the policy statement to the on-boarding material for all new transit employees. The policy will be signed by the Accountable Executive so that all transit employees know that the policy is supported by management.

## B. PTASP Development and Coordination with TxDOT – 673.11(d)

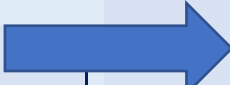
This PTASP has been developed by TxDOT on behalf of Capital Area Metropolitan Planning Organization (CAMPO) and Round Rock Transit/City of Round Rock in accordance with all requirements stated in 49 CFR Part 673 applicable to a small public transportation provider. RRT provided a letter to TxDOT opting into participation on March 15, 2019 and has been an active participant in the development of this plan through sharing existing documentation and participating in communication and coordination throughout the development of this plan.

## C. PTASP Annual Review – 673.11(a)(5)

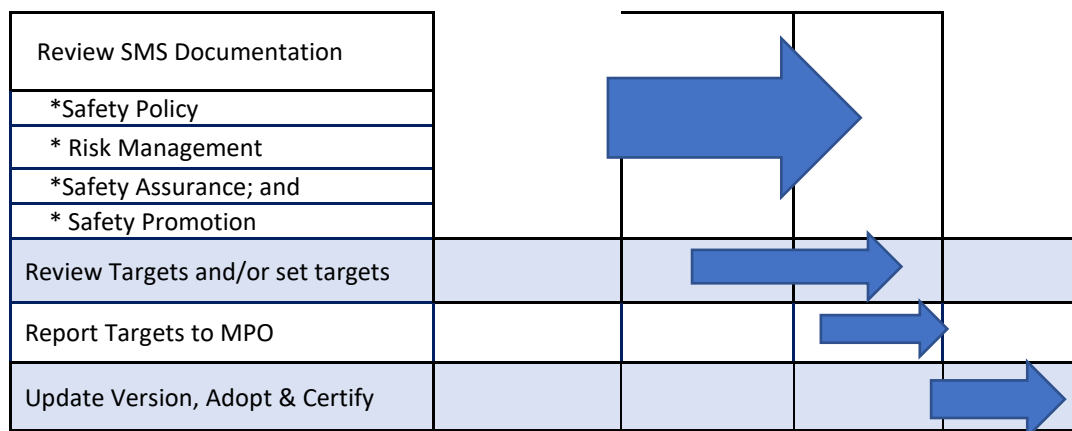
Per 49 U.S.C. 5329(d)(1)(D), this plan includes provisions for annual updates of the SMS. As part of RRT's ongoing commitment to fully implementing SMS and engaging our agency employees in developing a robust safety culture, RRT will review the ASP and all supporting documentation annually. The review will be conducted as a precursor to certifying to FTA that the ASP is fully compliant with 49 CFR Part 673 and accurately reflects the agency's current implementation status. Certification will be accomplished through RRT's annual Certifications and Assurances reporting to FTA.

The Chief Safety Officer is responsible to review the PTASP annually to ensure that it remains current and effective. The annual review of the plan will be conducted as part of an internal audit starting at the fiscal mid-year and ending the same fiscal year. The focus of the review is to:

- Evaluate current safety tasks and initiatives for appropriateness.
- Refine and improve task descriptions and activities.
- Identify new tasks and initiatives, which may be required.
- Define organizational responsibility for accomplishing safety related tasks.
- Incorporate organizational, operational, or legislative changes.

Task	Jan-March	April-June	July-Sept	Oct-Dec
Review Agency Operations				





Changes in the transit system operational configuration; management organization; the environment in which the transit system operates; safety policies, goals, or objectives; or regulatory requirements may require revision of the PTASP and/or its implementation. Revisions, if necessary, are coordinated and led by the Chief Safety Officer and approved by the Transportation Director and documented under Version Control.

#### D. PTASP Maintenance – 673.11(a)(2)(c)

RRT will follow the annual review process outlined above and adjust this ASP as necessary to accurately reflect current implementation status. This plan will document the processes and activities related to SMS implementation as required under 49 CFR Part 673 Subpart C and will make necessary updates to this ASP as RRT continues to develop and refine our SMS implementation.

#### E. PTASP Documentation and Recordkeeping – 673.31

At all times, RRT will maintain documents that set forth our ASP, including those documents related to the implementation of RRT's SMS and those documents related to the results from SMS processes and activities. RRT will also maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that our agency uses to carry out our ASP and all iterations of those documents. These documents will be made available upon request to the FTA, other Federal entity, or TxDOT. RRT will maintain these documents for a minimum of three years after the documents are created. These additional supporting documents will be kept current as a part of the annual ASP review and update.

#### F. Safety Performance Measures – 673.11(a)(3)

The PTASP Final Rule, 49 CFR Part 673.11(a)(3), requires that all public transportation providers must develop an ASP to include SPTs based on the safety performance measures established under the NSP. The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (State of Good Repair as developed and tracked in the TAM Plan).

There are seven (7) SPTs that must be included in each ASP that are based on the four (4) performance measures in the NSP. These SPTs are represented in terms of total numbers reported and rate per Vehicle Revenue Mile (VRM). Each of the seven (7) is required to be reported by mode as presented in Table .

**TABLE 2: NSP SAFETY PERFORMANCE MEASURES**

Safety Performance Measure	SPT	SPT
Fatalities	Total Number Reported	Rate Per Total VRM
Injuries	Total Number Reported	Rate Per Total VRM
Safety Events	Total Number Reported	Rate Per Total VRM
System Reliability	Mean distance between major mechanical failure	

Table 3 presents baseline numbers for each of the performance measures. RRT collected the past five (5) years of reported data to develop the rolling averages listed in the table. Fixed Route SPTs are based on numbers reported by Capital Metro.

**TABLE 3: BASELINE 2023 SAFETY PERFORMANCE MEASURES**

Mode	Rate of Fatalities*	Rate of Injuries*	Rate of Safety Events*	Mean Distance Between Major Mechanical Failure
Fixed Route (Bus)	0.00**	0.35**	0.20**	5,500**
Demand Response	0	0	0.19	68,000

\*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.

As part of the annual review of the ASP, RRT will reevaluate our SPTs and determine whether the SPTs need to be refined. As more data is collected as part of the SRM process discussed later in this plan, RRT may begin developing safety performance indicators to help inform management on safety related investments.

### G. Safety Performance Target Coordination – 673.15(a)(b)

RRT will make our SPTs available to TxDOT and CAMPO to aid in those agencies' respective regional and long-range planning processes. To the maximum extent practicable, RRT will coordinate with TxDOT and the Metropolitan Planning Organization (MPO) in the selection of State and MPO SPTs as documented in the Interagency Memorandum of Understanding (MOU).

Each year during the FTA Certifications and Assurances reporting process, RRT will transmit any updates to our SPTs to both CAMPO and TxDOT (unless those agencies specify another time in writing).

## 4. SAFETY MANAGEMENT SYSTEMS – 673 SUBPART C

As previously noted, FTA has adopted SMS as the basis for improving safety across the public transportation industry. In compliance with the NSP, National Public Transportation Safety Plan, and 49

CFR Part 673, RRT is adopting SMS as the basis for directing and managing safety and risk at our agency. RRT has always viewed safety as a core business function. All levels of management and employees are accountable for appropriately identifying and effectively managing risk in all activities and operations in order to deliver improvements in safety and reduce risk to the lowest practical level during service delivery.

SMS is comprised of four basic components - SMP, SRM, SA, and SP. The SMP and SP are the enablers that provide structure and supporting activities that make SRM and SA possible and sustainable. The SRM and SA are the processes and activities for effectively managing safety as presented in Figure 2.

**FIGURE 2: SAFETY MANAGEMENT SYSTEMS**



Implementing SMS at RRT will be a major undertaking over the next several years. This ASP is the first step to putting in place a systematic approach to managing the agency's risk. RRT has already taken several steps to implement SMS, such as developing this initial ASP and designating a CSO.

### A. Safety Risk Management – 673.25

By adopting this ASP, RRT is establishing the SRM process presented in Figure 3 for identifying hazards such as vehicular and pedestrian accidents and assaults on transit workers, by analyzing, assessing and mitigating safety risk in compliance with the requirements of 49 CFR Part 673.25. The SRM processes described in this section are designed to implement the RRT SMS.

**FIGURE 3: SAFETY RISK MANAGEMENT PROCESS**



The implementation of the SRM component of the SMS will be carried out over the course of the next year. The SRM components will be implemented through a program of improvement during which the SRM processes will be implemented, reviewed, evaluated, and revised, as necessary, to ensure the SRM processes are achieving the intended safety objectives as the processes are fully incorporated into RRT's SOPs.

The SRM is focused on implementing and improving actionable strategies that RRT has undertaken to identify, assess and mitigate risk. The creation of a Risk Register provides an accessible resource for documenting the SRM process, tracking the identified risks, and documenting the effectiveness of mitigation strategies in meeting defined safety objectives and performance measures.

## I. Safety Hazard Identification – 673.25(b)

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.

Examples of sources hazards can be identified through include:

- ESRP
- Data and information from FTA and other oversight authorities
- Review of vehicle camera footage (when available)
- Review of monthly performance data and safety performance targets
- Observations from supervisors
- Maintenance reports
- Facility & vehicle inspections
- Customer, Contractor, and Employee Complaints
- Investigations into safety events, incidents, and occurrences
- Review vehicle specifications to ensure there is no visibility impairments.

When a major hazard is observed by management or supervisory personnel, whatever the source, it is reported to the Chief Safety Officer. The Chief Safety Officer also receives reports from the public. The Chief Safety Officer reviews these sources for hazards and may document major issues in the Safety Risk Register.

The Chief Safety Officer may conduct, or request that a Safety Manager conducts, further analyses of hazards and consequences entered into the Safety Risk Register to collect information and identify additional consequences and to inform which hazards should be prioritized for safety risk assessment. In following up on identified hazards, the Chief Safety Officer and/or Safety Managers may:

- Reach out to the reporting party, if available, to gather all known information about the reported hazard
- Conduct a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (photographs and/or video), and taking any measurements deemed necessary.
- Conduct interviews with employees in the area to gather potentially

- relevant information on the reported hazard.
- Review any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.)
- Review any past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

The Chief Safety Officer will then discuss identified hazards and consequences with the contractor or other city departments. Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Chief Safety Office and Director of Transportation and addressed through the SRM process for safety risk assessment and mitigation.

## II. Safety Risk Assessment – 673.25(c)

RRT currently uses a *Hazard Safety Statistics spreadsheet* with a similar framework for assessing risks and threats with reference to security for the transportation system. This assessment

As part of the new SRM process, RRT has developed methods to assess the likelihood and severity of the consequences of identified hazards, and prioritizes the hazards based on the safety risk. The process continues the use of the Risk Register described in the previous section to address the next two components.

To accurately assess a risk, RRT may need to perform an investigation. RRT currently investigates accidents or crashes but will need to develop a full investigation procedure to inform the SRM process. The investigation procedure will start with the Assessment Form and framework found in the *Accident Investigation Procedure* and will be developed to cover all risk assessment. Once fully developed, the document will become the Investigation SOP. The SOP will include accident investigation procedures as well as risk investigation procedures. These procedures will be used to investigate risks identified from multiple sources including the ESRP.

Safety risk is based on an assessment of the likelihood of a potential consequence and the potential severity of the consequences in terms of resulting harm or damage. The risk assessment also considers any previous mitigation efforts and the effectiveness of those efforts. The results of the assessment are used to populate the third and fourth components of the Risk Register.

The risk assessment is conducted by the CSO and supplemented by subject matter experts from the respective department or section to which the risk applies. The process employs a safety risk matrix, similar to the one presented in Figure 4, that allows the safety team to visualize the assessed likelihood and severity, and to help decision-makers understand when actions are necessary to reduce or mitigate safety risk.

**FIGURE 4: SAFETY RISK ASSESSMENT MATRIX**

RISK ASSESSMENT MATRIX				
SEVERITY LIKELIHOOD	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	High	Medium
Probable (B)	High	High	Medium	Medium
Occasional (C)	High	Medium	Medium	Low
Remote (D)	Medium	Medium	Low	Low
Improbable (E)	Medium	Low	Low	Low

Although the current version of the matrix relies heavily on the examples and samples that are listed on the PTASP Technical Assistance Center website, lessons learned from the implementation process during the coming years will be used to customize the matrix that RRT will use to address our unique operating realities and leadership guidance.

The Risk Assessment Matrix is an important tool. If a risk is assessed and falls within one of the red zones, the risk is determined to be unacceptable under existing circumstances. This determination means that management must take action to mitigate the situation. This is the point in the process when SRMs are developed. If the risk is assessed and falls within one of the yellow zones, the risk is determined to be acceptable, but monitoring is necessary. If the risk falls within one of the green zones, the risk is acceptable under the existing circumstances.

Once a hazard's likelihood and severity have been assessed, the CSO enters the hazard assessment into the Risk Register that is used to document the individual hazard and the type of risk it represents. This information is used to move to the next step, which is hazard mitigation.

### III. Safety Risk Mitigation – 673.25(d)

Upon completion of the risk assessment, the CSO and the safety committee 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, through the risk management team, works with subject matter experts from the respective department or section to which the risk applies. The risk management team then conducts a brainstorming exercise to elicit 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. The assigned personnel and the personnel's specific responsibilities are entered into the Risk Register. Among the responsibilities of the mitigation team leader is the documentation of the mitigation effort, including whether the mitigation was carried out as designed and whether the intended safety objectives were achieved. This information is recorded in the Risk Register for use in subsequent SA activities and to monitor the effectiveness of the SRM program.

#### IV. Infectious Diseases – 5329(d)

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.

### B. Safety Assurance – 673.27 (a)

Safety Assurance (SA) means processes within the RRT SMS that function to ensure a) the implementation and effectiveness of safety risk mitigation, and b) RRT meets or exceeds our safety objectives through the collection, measurement, analysis, and assessment of information.

SA helps to ensure early identification of potential safety issues. SA also ensures that safeguards are in place and are effective in meeting RRT's critical safety objectives and contribute towards SPTs.

#### I. Safety Performance Monitoring and Measuring – 673.27

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.
- Investigates safety events to identify causal factors -investigation process shown in; and
- 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.

- 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 by the Transportation Director.



## II. Safety Event Investigation – 673.27(B)(3)

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:

### MONITORING INTERNAL SAFETY REPORTING PROGRAMS – 673.27(B)(4)

As a primary part of the internal safety reporting program, our agency monitors information reported through the ESRP. When a report originating through the complaint process documents a safety hazard, the supervisor submits the hazards identified through the internal reporting process, including previous mitigation in place at the time of the safety event. The supervisor submits the hazard report to the SRM process to be analyzed, evaluated, and if appropriate, assigned for mitigation/resolution.

### OTHER SAFETY ASSURANCE INITIATIVES

Because leading indicators can be more useful for safety performance monitoring and measurement than lagging indicators, RRT is undertaking efforts to implement processes to identify and monitor more leading indicators or conditions that have the potential to become or contribute to negative safety outcomes. This may include trend analysis of environmental conditions through monitoring National Weather Service data; monitoring trends toward or away from meeting the identified SPTs; or other indicators as appropriate.

## C. Safety Promotion – 673.29

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.

### I. Safety Competencies and Training – 673.29(a)

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.

## II. Safety Communication - 673.29(b)

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 (noted in Section 3.A.I) or other means.

RRT will report any safety related information to the Transportation Director who will share with the City Manager at their management meetings. Any immediate safety issues will be shared immediately with the Transportation Director and City Manager. Safety performance information will be shared annually with the City Council during annual program updates. RRT will begin including safety performance information, which is then shared with staff directly.

## III. Frontline Employees - 5329(d)

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.

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.

## 5. APPENDIX A

TABLE 4: PTASP SUPPORTING DOCUMENTS

File Name	Revision Date	Document Name	Document Owner
Accident-Investigation-Procedure-1.pdf	8/26/2016	Accident Investigation Procedure	City of Round Rock
City Org Chart.pdf	Oct-16	City Organization Chart	City of Round Rock
Round Rock Emergency Action Plan	2017	Round Rock Emergency Action Plan	City of Round Rock
Policies and Procedures Manual.pdf	2022	Policies and Procedures Manual 2018-2019	City of Round Rock

### A. 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.

## *B. Additional Acronyms Used*

**ADA:** Americans with Disabilities Act

**ARRA:** American Recovery and Reinvestment Act

**ASP:** Agency Safety Plan

**CAMPO:** Capital Area Metropolitan Planning Organization

**City:** The City of Round Rock, Texas

**ESRP:** Employee Safety Reporting Program

**FAST Fact:** Fixing America's Surface Transportation Act

**MAP-21:** Moving Ahead for Progress in the 21<sup>st</sup> Century Act

**MOU:** Memorandum of Understanding

**MPO:** Metropolitan Planning Organization

**NTD:** National Transit Database

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

**SOP:** Standard Operating Procedure

## 6. APPENDIX B

### A. 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