EXHIBIT
"A"

Round Rock Transit

Public Transportation Agency Safety Plan

Version 1

Adopted June 11, 2020

In compliance with 49 CFR Part 673

Developed in conjunction with the

Texas Department of Transportation

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1. EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21st Century (MAP-21) granted the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. MAP-21 expanded the regulatory authority of FTA to oversee safety, providing an opportunity to assist transit agencies in moving towards a more holistic, performance-based approach to Safety Management Systems (SMS). This authority was continued through the Fixing America's Surface Transportation Act (FAST Act).

In compliance with MAP-21 and the FAST Act, FTA promulgated a Public Transportation Safety Program on August 11, 2016 that adopted SMS as the foundation for developing and implementing a Safety Program. FTA is committed to developing, implementing, and consistently improving strategies and processes to ensure that transit achieves the highest practicable level of safety. SMS helps organizations improve upon their safety performance by supporting the institutionalization of beliefs, practices, and procedures for identifying, mitigating, and monitoring safety risks.

There are several components of the national safety program, including the National Public Transportation Safety Plan (NSP), that FTA published to provide guidance on managing safety risks and safety hazards. One element of the NSP is the Transit Asset Management (TAM) Plan. Public transportation agencies implemented TAM plans across the industry in 2018. The subject of this document is the Public Transportation Agency Safety Plan (PTASP) rule, 49 CFR Part 673, and guidance provided by FTA.

Safety is a core business function of all public transportation providers and should be systematically applied to every aspect of service delivery. At Round Rock Transit (RRT), all levels of management, administration and operations are responsible for the safety of their clientele and themselves. To improve public transportation safety to the highest practicable level in the State of Texas and comply with FTA requirements, the Texas Department of Transportation (TxDOT) has developed this Agency Safety Plan (ASP) in collaboration with the City of Round Rock and RRT.

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 and the tenets of SMS including a Safety Management Policy (SMP) and the processes for Safety Risk Management (SRM), Safety Assurance (SA), and Safety Promotion (SP), per 49 U.S.C. 5329(d)(1)(A).[1] While safety has always been a primary function at RRT, this document lays out a process to fully implement an SMS over the next several years that complies with the PTASP final rule.

[1] Federal Register, Vol. 81, No. 24

A. Plan Adoption – 673.11(a)(1)

This Public Transit Agency Safety Plan is hereby adopted, certified as compliant, and signed by:

Laurie Hadley, City Manager

ACCOUNTABLE EXECUTIVE SIGNATURE DATE

Since RRT is considered a department of the City of Round Rock, the main governing body is the Round Rock City Council. Approval of this plan by the Round Rock City Council occurred on [DATE] and is documented in [RESOLUTION] from the City Council Meeting.

B. Certification of Compliance – 673.13(a)(b)

TxDOT certifies on [DATE] that this Agency Safety Plan is in full compliance with 49 CFR Part 673 and has been adopted and will be implemented by RRT as evidenced by the plan adoption signature and necessary City Council approvals under Section 1.A of this plan.

2. TRANSIT AGENCY INFORMATION – 673.23(D)

RRT provides fixed route service with four (4) 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 with Star Shuttle. Star Shuttle operates 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, 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.

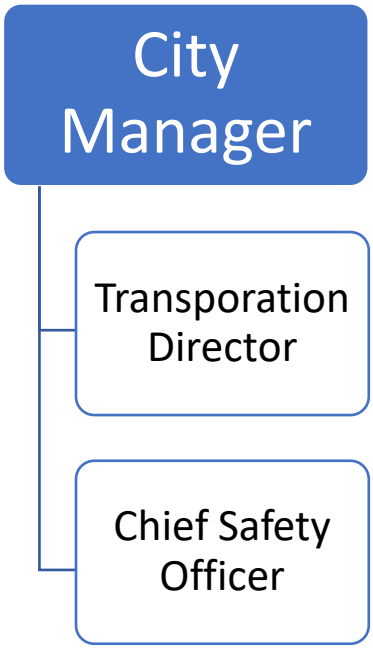
No additional transit service is provided by RRT on behalf of another transit agency or entity at the time of the development of this plan.

Table 1 contains agency information while an organizational chart for RRT is provided in Figure 1.

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
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, as those individuals relate to the development and management of our SMS. 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.

Key staff are staff, groups of staff, or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating our agency's SMS.

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.

Key individuals and their respective responsibilities are described at length in the *Risk Management Plan* (Appendix A, Table 8 shows the document name, file name, and date of adoption). In addition, over the next year, RRT will be reviewing and modifying, if necessary, our current job descriptions to ensure the job descriptions comply with 49 CFR Part 673.

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 radio controller follows up with the vehicle operator who experienced the close call and documents the close call event, gathering further details. This information is then added to the record.

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. Over the next year, RRT will review and modify, if necessary, the Employee Grievance Procedures to develop or create a new procedure specifically for the Public Transportation Department and its contractor to ensure the document complies with the ESRP requirements of 49 CFR Part 673.

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 include any contract employees. 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. The policy will also elaborate on how safety conditions that are reported will be reported back to the initiator(s) – either to the individual or groups of individuals or organization, dependent on the nature of the safety condition.

To bolster the information received from frontline employees, RRT will also review our current policy for how our agency receives information and safety related data from employees and customers. If necessary, 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 first step in developing a full SMS and safety culture is communicating our SMP throughout the transit department.

The SMP and safety objectives are at the forefront of all communications. This 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. In addition, the policy statement will become part of the transit department's regular safety meetings and other safety communications efforts. 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. TxDOT mailed a formal call for participation in a State sponsored PTASP development process to all Texas Section 5307 small bus transit agencies on January 15, 2019 and followed that call with a series of phone calls and additional correspondence. 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. The RRT documentation used in the development of this plan is presented in Table 8, in Appendix A.

In support of tracking performance on our SA and SP processes, RRT conducts a yearly safety culture survey. The survey is intended to help RRT assess how well we communicate safety and safety performance information throughout the transportation department by gauging how safety is perceived and embraced by RRT's administrators, supervisors, staff and contractors. The survey is designed to help us assess how well we are conveying information on hazards and safety risks relevant to employees' roles and responsibilities and informing employees of safety actions taken in response to reports submitted through our ESRP. Results from our most recent survey were analyzed and incorporated into the implementation strategies contained in this ASP.

Once the documents were reviewed, an on-site interview was conducted with RRT to gain a better understanding of the agency. This understanding was necessary to ensure that the ASP was developed to fit RRT's size, operational characteristics, and capabilities.

The draft ASP was delivered to RRT in March 2020 for review and comment. Once review was completed and any adjustments made, the final was delivered to RRT for review and adoption.

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 annual review will include the ASP and supporting documents (Standard Operating Procedures [SOPs], Policies, Manuals, etc.) that are used to fully implement all the processes used to manage safety at RRT. All changes will be noted (as discussed below) and the Accountable Executive will sign and date the title page of this document and provide documentation of approval by the Round Rock City Council whether by signature or by reference to resolution.

The annual ASP review will follow the update activities and schedule provided below in Table 2. As processes are changed to fully implement SMS or new processes are developed, RRT will track those changes for use in the annual review.

TABLE 2: ASP ANNUAL UPDATE TIMELINE

Task	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept
Review Agency Operations	→	→						
Review SMS Documentation • *Safety Policy;* • *Risk Management;* • *Safety Assurance; and* • *Safety Promotion*.		→	→					
Review Previous Targets and Set or Continue Targets			→	→				
Report Targets to National Transit Database (NTD), TxDOT, CAMPO					→			
Make Any Necessary Adjustments to PTASP						→	→	
Update Version No., Adopt & Certify Plan Compliance								★

The following table, Table 3, will be used to record final changes made to the ASP during the annual update. This table will be a permanent record of the changes to the ASP over time.

TABLE 3: ASP RECORD OF CHANGES

Document Version	Section/Pages Changed	Reason for Change	Reviewer Name	Date of Change
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text

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.

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 are cataloged in Appendix A and the list 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 outlined in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the NTD. 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 4.

TABLE 4: 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 5 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 5: BASELINE 2019 SAFETY PERFORMANCE MEASURES

Mode	Fatalities	Rate of Fatalities*	Injuries	Rate of Injuries*	Safety Events	Rate of Safety Events*	Mean Distance Between Major Mechanical Failure
Fixed Route (Bus)	0.00**	0.00**	**	0.35**	**	0.20**	5,500**
Demand Response	0.00	0.00	0.00	0.00	.20	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.*

While safety has always been a major component of the RRT operation, the adoption of this ASP will result in changes across all aspects of the organization. The SPTs set in Table 6 and Table 7 reflect an acknowledgment that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. We will set our targets at the current NTD reported five-year average as we begin the process of fully implementing our SMS and developing our targeted safety improvements. This will ensure that we do no worse than our baseline performance over the last five years.

TABLE 6: FIXED ROUTE (BUS) SAFETY PERFORMANCE TARGETS

Mode	Baseline**	Target**
Fatalities	0	0
Rate of Fatalities*	0	0
Injuries	**	**
Rate of Injuries*	0.35	0.35
Safety Events	**	**
Rate of Safety Events*	0.20	0.20
Mean Distance Between Major Mechanical Failure	5,000 VRM	5,500 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.*

TABLE 7: DEMAND RESPONSE SAFETY PERFORMANCE TARGETS

Mode	Baseline	Target
Fatalities	0	0
Rate of Fatalities*	0	0
Injuries	0	0
Rate of Injuries*	0	0
Safety Events	0.20	0.20
Rate of Safety Events*	0.19	0.19
System Reliability	68,000	68,000
Other	N/A	N/A

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

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. During the first year of implementation, RRT will identify SMS roles and responsibilities, key stakeholder groups and key staff to support this process. RRT will also ensure that these key staff receive SMS training, develop a plan for implementing SMS, inform stakeholders about the ASP, and discuss our progress with the City Council and planning partners.

A. Safety Risk Management – 673.25

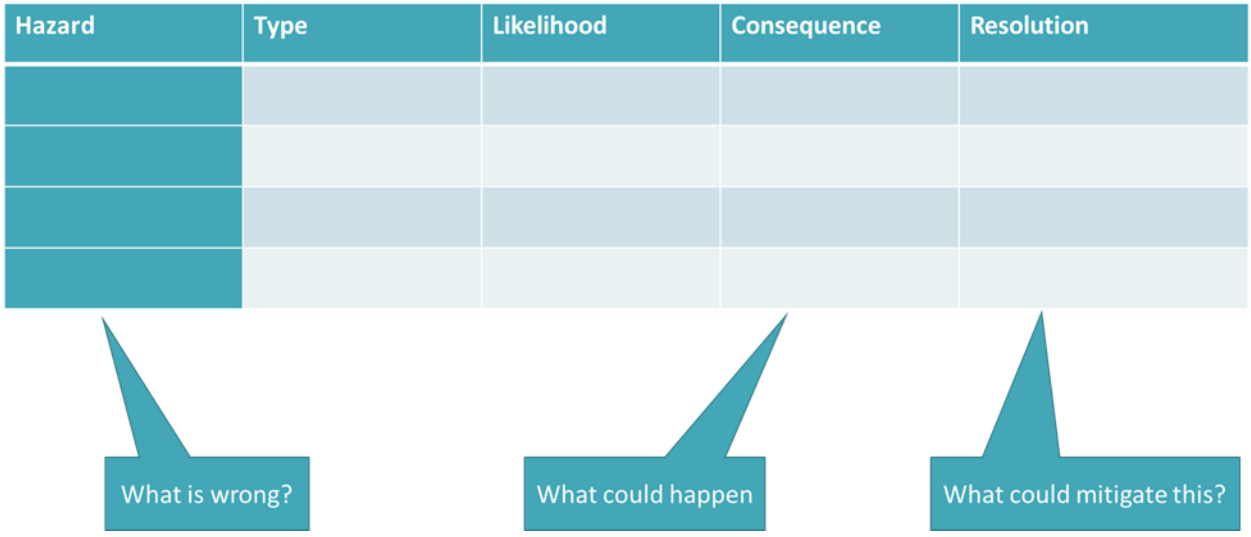
By adopting this ASP, RRT is establishing the SRM process presented in Figure 3 for identifying hazards and analyzing, assessing and mitigating safety risk in compliance with the requirements of 49 CFR Part 673.25. The SRM processes described in this section are designed to implement the RRT SMS.

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. The draft Risk Register is presented in Figure 4.

FIGURE 4: DRAFT RISK REGISTER



As the SRM process progresses through the steps of identifying what may be wrong, what could happen as a result, and what steps RRT is taking to resolve the risk and mitigate the hazard, the CSO completes and publishes the various components of the Risk Register. These components include the use of safety hazard identification, safety risk assessment, and safety risk mitigation, as described in the following sections.

I. Safety Hazard Identification – 673.25(b)

The City of Round Rock has a *Situations and Assumptions* policy in place to identify safety and operational risks based on individual assets. This assessment uses a sliding-scale system to analyze the impact of an identified hazard on public health, safety, and assets for our agency. This system also evaluates the likelihood (unlikely to highly likely) of an identified hazard. This assessment is provided in *Section IV* of the City of Round Rock's *Emergency Management Plan* (Appendix A).

The procedures outlined in the *Emergency Management Plan* were based on the Texas Department of Public Safety's *Local Emergency Management Planning Guide* and FEMA's *Guide for All-Hazard Emergency Operations Planning*. Although the current procedures have been effective in achieving our safety objectives, to ensure compliance with 49 CFR Part 673, RRT is working to implement the following expanded SRM process.

The RRT SRM process is a forward-looking effort to identify safety hazards that could potentially result in negative safety outcomes. In the SRM process, a hazard is any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infra-structure of a public transportation system; or, damage to the environment.

Hazard identification focuses on out-of-the-norm conditions that need special attention or immediate action, new procedures, or training to resolve a condition that is unacceptable and return conditions to an acceptable level. RRT uses a variety of mechanisms for identifying and documenting hazards, namely:

- Through training and reporting procedures, RRT ensures personnel can identify hazards and that each employee clearly understands that the employee has a responsibility to immediately report any safety hazards identified to the employee's supervisors. Continued training helps employees to develop and improve the skills needed to identify hazards.
- Employee hazard training coupled with the ESRP ensures that RRT has full use of information from frontline employees for hazard identification.
- Upon receiving the hazard report, supervisors communicate the identified hazard to the CSO for entry into the risk register for risk assessment, classification and possible mitigation.
- In carrying out the risk assessment, the CSO uses standard reporting forms (e.g. *Maintenance Items/Safety Inspections Forms* to mitigate mechanical based safety hazards that are identified) and other reports completed on a routine basis by administrative, operations and maintenance. The RRT *Risk Management Pla*n contains procedures for flagging and reporting hazards as a part of day-to-day operations.
- The CSO is responsible for performing and documenting regular facility inspections and employees are asked to conduct daily informal inspections of their work areas, equipment, and tools.
- RRT uses incident reports and records to determine specific areas of training that need to be covered with employees to ensure safety hazard identification is continually improved, and thus ensure that hazards are identified before an event recurrence.
- Incident reports are also analyzed by the City's Safety/Risk Management Division to identify any recurring patterns or themes that would help to identify underlying hazards and root causes of the event that can be mitigated to prevent recurrence.
- To increase the safety knowledge of our agency, the CSO, risk management personnel and subject matter experts are also encouraged to participate in available professional development activities and peer-to-peer exchanges as a source of expertise and information on lessons learned and best practices in hazard identification.
- Other sources for hazard identification include:
    - ESRP
    - Inspections of personnel job performance, vehicles, facilities and other data
    - Investigations of safety events
    - Safety trend analysis on data currently collected

- Training and evaluation records
- Internal safety audits
- External sources of hazard information could include:
  - FTA and other federal or state authorities
  - Reports from the public
  - Safety bulletins from manufacturers or industry associations

In addition to identifying the hazard, the hazard identification process also classifies the hazard by type (organizational, technical or environmental) to assist the CSO in identifying the optimal combination of departmental leadership and subject matter expertise to select in assembling the safety risk assessment team.

The various hazard types can also be categorized by subcategory for each type. For example, organizational hazards can be subcategorized into resourcing, procedural, training or supervisory hazards. Each of the subcategories implies different types of mitigation strategies and potentially affect overall agency resources through varying costs for implementation. Technical hazards can be subcategorized into operational, maintenance, design and equipment. Additionally, environmental hazards can be subcategorized into weather and natural, which is always a factor for every operation.

II. Safety Risk Assessment – 673.25(c)

RRT currently uses a *Hazard Summary Matrix* with a similar framework for assessing risks and threats with reference to security for the transportation system. This assessment matrix and procedure can be found in *Section IV* of the *Emergency Action Plan* (Appendix A) and shows specific threats, the likelihood to occur, and the impact on public health and safety and transportation assets.

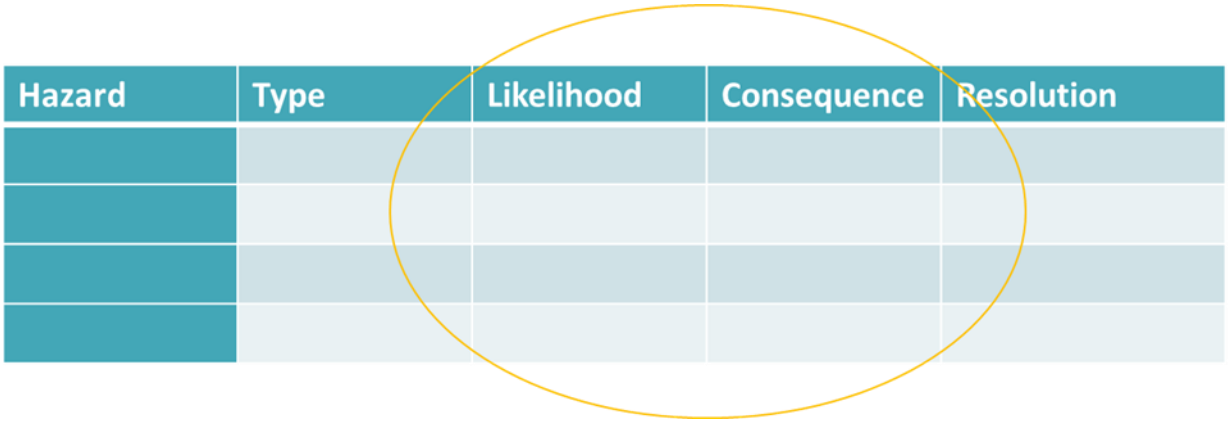
As part of the new SRM process, RRT has developed methods to assess the likelihood and severity of the consequences of identified hazards, and prioritizes the hazards based on the safety risk. The process continues the use of the Risk Register described in the previous section to address the next two 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* (Appendix A) 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 as presented in Figure 5.

FIGURE 5: SAFETY RISK ASSESSMENT STEPS IN POPULATING THE RISK REGISTER



The risk assessment is conducted by the CSO and the City's Safety/Risk Management Division 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 6, 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 6: 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.

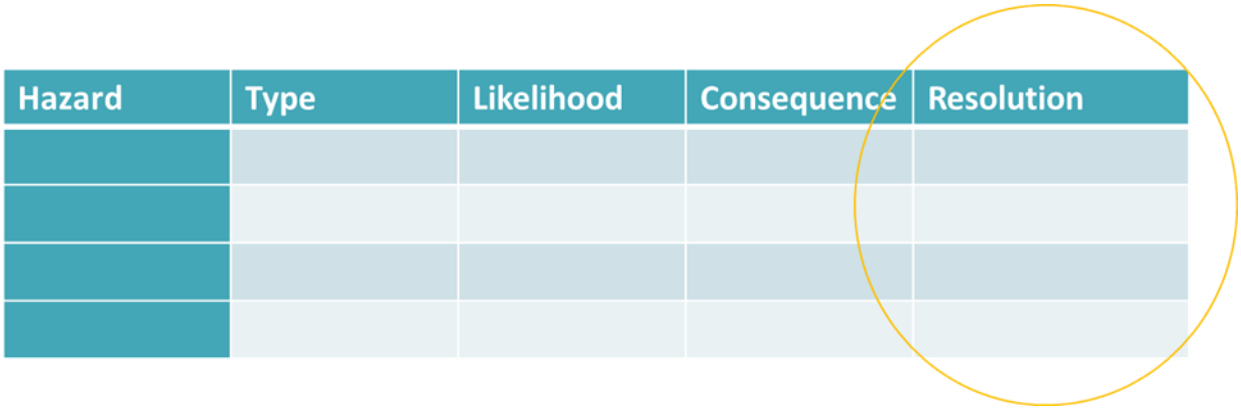
The Risk Assessment Matrix is an important tool. If a risk is assessed and falls within one of the red zones, the risk is determined to be unacceptable under existing circumstances. This determination means that management must take action to mitigate the situation. This is the point in the process when 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 (Figure 7). However, mitigations do not typically eliminate the risk entirely.

FIGURE 7: RISK REGISTER MITIGATION COMPONENT



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 appendix to the Risk Register for use in subsequent SA activities and to monitor the effectiveness of the SRM program.

B. Safety Assurance – 673.27 (a)

Safety Assurance 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 (b)

As the first step in the RRT SA program, RRT collects and monitors data on safety performance indicators through a variety of mechanisms described in the following sections. Safety performance indicators can provide early warning signs about safety risks. RRT currently relies primarily on lagging indicators representing negative safety outcomes that should be avoided or mitigated in the future. However, initiatives are underway to adopt a more robust set of leading indicators that monitor conditions that are likely to contribute to negative outcomes in the future. In addition to the day-to-day monitoring and investigation procedures detailed below, RRT will review and document the safety performance monitoring and measuring processes as part of the annual update of this ASP.

MONITORING COMPLIANCE AND SUFFICIENCY OF PROCEDURES – 673.27 (B)(1)

RRT monitors our system for personnel compliance with operations and maintenance procedures and also monitors these procedures for sufficiency in meeting safety objectives. A list of documents describing the safety related operations and maintenance procedures cited in this ASP is provided in Appendix A of this document.

Supervisors monitor employee compliance with RRT SOPs through direct observation and review of information from internal reporting systems such as the *Employee Grievance Procedure*.

RRT addresses non-compliance with standard procedures for operations and maintenance activities through a variety of actions, including revision to training materials and delivery of employee and supervisor training if the non-compliance is systemic. If the non-compliance is situational, then activities

may include supplemental individualized training, coaching, and heightened management oversight, among other remedies.

Sometimes personnel are fully complying with the procedures, but the operations and maintenance procedures are inadequate and pose the risk of negative safety outcomes. In this case, the cognizant person submits the deficiency or description of the inadequate procedures to the SRM process. Through the SRM process, the SRM team will then evaluate and analyze the potential organizational hazard and assign the identified hazard for mitigation and resolution, as appropriate. The SRM team will also conduct periodic self-evaluation and mitigation of any identified deficiencies in the SRM process itself.

MONITORING OPERATIONS – 673.27(B)(2)

Supervisors are required to monitor investigation reports of safety events and SRM resolution reports to monitor the department's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended. If it is determined that the safety risk mitigation did not bring the risk to an acceptable level or otherwise failed to meet safety objectives, then the supervisor resubmits the safety risk/hazard to the SRM process. The CSO will work with the supervisor and subject matter experts to reanalyze the hazard and consequences and identify additional mitigation or alternative approaches to implementing the mitigation.

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

RRT currently conducts investigations of safety events. From an SA perspective, 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:

1. Determine the following when conducting an accident investigation:
    a. What were the events taking place before the accident?
    b. The of work being carried out and the adequacy or suitability of that system for the job
    c. The instructions and/or training given for the work
    d. Any variation from instructions or standard work practices and the reasons for such variation
    e. The workplace conditions, such as lighting, floor surfaces, stair treads and handrails, warning signs, temperature and weather (if the incident occurred outside)
    f. The exact location of the incident with sufficient detail for the spot to be readily identified by others reading the report

   g. The materials in use or being handled
   h. The type of transport or equipment in use
   i. Whether adequate supervision was provided
2. Investigate the facts of the incident itself:
   a. The state of the system and the actions that occurred at the time
   b. The people directly and indirectly involved
   c. The tools, equipment, materials and fixtures directly connected
   d. The time the accident or incident occurred
3. Investigate facts regarding what occurred immediately after the incident:
   a. Any injuries or damage resulting directly from the accident
   b. The people involved, including those rendering aid
   c. Any problems in dealing with injuries or damage, for example faulty extinguisher, isolation switch difficult to locate
4. Essential factors and causes
   a. To conduct an effective accident/incident investigation, it is essential to look for the design, environment/work process, and behavior components, such as procedures and people, rather than trying to isolate a single cause
5. Design components:
   a. Poor systems design may result in exposure to hazards such as
      i. Unguarded dangerous parts of machinery
      ii. Ineffective safety devices
      iii. Provision of makeshift equipment and tools
      iv. Inadequate ventilation
6. Behavioral components:
   a. Examples include misuse of safeguards, improper use of tools and equipment, disregard of cautionary notices, failure to wear personal protective equipment, horseplay and poor standards of housekeeping. Poor practices may indicate that improved communication, further training or some other action, such as supervision, are necessary.
   b. The common practice in industrial accident/incident investigation is to look for the cause of any accident/incident. Searching for a single cause of an accident/incident is restrictive. It focuses attention on only one, or at best a very few, of the essential factors while others, which may be more easily controlled, pass unnoticed.
7. Establish the facts:
   a. Who was involved
   b. What happened and equipment involved
   c. When did it happen
   d. Where the location of the accident
   e. Why did it happen
   f. How did it happen and how can we prevent the accident from happening again

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. In addition, regular driver safety meetings are held to ensure that safety related information is relayed to the key members of our agency's safety processes.

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

- Conduct a thorough review of all current general staff categories (administrative, driver, supervisor, mechanic, maintenance, etc.) and the respective staff safety related responsibilities.
- 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.
- Develop a set of competencies and trainings required to meet the safety related activities for each general staff category.
- Develop expectations for ongoing safety training and safety meeting attendance.
- Develop a training matrix to track progress on individuals and groups within the organization.
- 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.
- Include refresher training in all trainings and apply it to agency personnel and contractors.

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. In addition, RRT posts monthly safety notices in common rooms for drivers to ensure that any safety related information is passed along that would affect the execution of the drivers' duties. RRT also sends out agencywide emails to keep all staff inform on safety updates.

RRT will begin systematically collecting, cataloging, and, where appropriate, analyzing and reporting safety and performance information to all transportation staff. To determine what information should be reported, how the information should be reported and to whom, RRT will answer the following questions:

- What information does this individual need to do their job?
- How can we ensure the individual understands what is communicated?
- How can we ensure the individual understands what action must be taken as a result of the information?
- How can we ensure the information is accurate and kept up-to-date?

- Are there any privacy or security concerns to consider when sharing information? If so, what should we do to address these concerns?

In addition, RRT will review our current communications strategies and determine whether others are needed. As part of this effort, RRT has conducted, and will continue to conduct, a Safety Culture Survey to understand how safety is perceived in the workplace and what areas RRT should be addressing to fully implement a safety culture at our agency.

5. APPENDIX A

TABLE 8: PTASP SUPPORTING DOCUMENTS

File Name	Revision Date	Document Name	Document Owner
2017 Emergency Action Plan.pdf	2017	Emergency Action Plan	City of Round Rock
Accident-Investigation-Procedure-1.pdf	8/26/2016	Accident Investigation Procedure	City of Round Rock
Agency Description Location.pdf		Organization	City of Round Rock
All Maps.pdf		Round Rock Transit Service	City of Round Rock
CAMPO TIP.pdf		2017-2020 Transportation Improvement Program	CAMPO
City Drug and Alcohol Policy.pdf	Dec-18	Policies and Procedures Manual	City of Round Rock
City of Round Rock alcohol_drug_testing_policy.pdf	9/1/2014	Alcohol and Drug Testing Procedure	City of Round Rock
City of Round Rock TAM Plan.pdf	8/1/2019	Transit Asset Management Plan	City of Round Rock
City Org Chart.pdf	Oct-16	City Organization Chart	City of Round Rock
Emergency Management Basic Plan 12.18.13.pdf	12/11/2013	Emergency Management Plan	City of Round Rock
Floor Warden Handbook - (2018).pdf	5/21/2018	Floor Warden Handbook	City of Round Rock
FTA 2016 Final Triennial Review.pdf	7/20/2016	FY 2016 Triennia Review	FTA/City of Round Rock
Maintenance Plan Vehicles & Facilities.pdf	Aug-19	Maintenance Plan	City of Round Rock
New Hire Safety Checklist.docx		New Hire Safety Orientation Checklist	City of Round Rock
Policies and Procedures Manual.pdf	Dec-18	Policies and Procedures Manual 2018-2019	City of Round Rock
Property-Damage-Checklist.pdf		Property Damage Checklist	City of Round Rock
Risk Management Plan draft update.pdf		Risk Management Plan	City of Round Rock

File Name	Revision Date	Document Name	Document Owner
Round Rock Transit Plan_Final Report.pdf	Nov-15	Round Rock Transit Plan	City of Round Rock
Safety & Security Log.xlsx	11/20/2017	Transit Center Safety & Security Log	City of Round Rock
Security Plan.pdf	10/1/2008	Public Works Security Plan	City of Round Rock
Transit Asset Management Performance Measure Targets (A-90) (1).pdf		Transit Asset Management Performance Measure Targets	City of Round Rock
Transit Coordinator.pdf		Coordinator Transit	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 Act: 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

SOP: Standard Operating Procedure

TxDOT: Texas Department of Transportation

6. APPENDIX B

A. City Council Minutes or Resolution

Place here