TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

Board of Directors Meeting Agenda

Wednesday December 11, 2019
4:00pm
ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509
Available online: www.trideltatransit.com

Please see the last page of this agenda for:
- Public comment guidelines
- Agenda, staff report, and document availability
- Americans with Disabilities Act information
- Limited English Proficiency (LEP) information
- Anticipated action by the Board of Directors

1. **Call to Order:** Chair Robert Taylor
   a. **Roll Call**

2. **Pledge of Allegiance**

3. **Public Comment**

   > While public comments are encouraged and taken very seriously, State law prevents the Board of Directors from discussing items that are not on the meeting agenda. If appropriate, staff will follow up on public comments. Please see Public Comment Guidelines on Page 3 of this agenda.

4. **Chair's Report:** Chair Robert Taylor
   a. Senator Glazer's Presentation to Tri Delta Transit Operator
   (see attachment: tab #1)

5. **Consent Calendar (ACTION ITEM):** Minutes, Financial Report, and Marketing Activities Report *(see attachment: tab #2)*
   a. Minutes of the Board of Directors meeting of October 30, 2019
   b. Financial Report
   c. Marketing and Customer Service Activities Report
       <u>Requested Action</u>: Approve items 5a, 5b, and 5c

6. **CEO's Report:** Jeanne Krieg
   a. **Operations Report** *(see attachment: tab #3)*

Board of Directors Meeting Agenda
Wednesday December 11, 2019

7.   **ACTION and DISCUSSION ITEMS**

   a.   **ACTION ITEM:** Proposed FY20 ECCTA Budget Revision
   (see attachment: tab #4)
   > **Requested Action#1:**
   > Approve the proposed revised budget.
   >
   > **Requested Action #2:** Adopt Resolution #191211A authorizing the CEO
   > or her designee to re-file an application with the Metropolitan
   > Transportation Commission for the allocation of Transportation
   > Development Act and State Transit Assistance funds.

   b.   **ACTION ITEM:** CCTA Ex-Officio Appointment
   (see attachment: tab #5)
   > **Requested Action:** Appoint CCTA Ex-Officio Monica Wilson to serve
   > the second of the two one-year terms as the Contra Costa County bus
   > operators' Ex-Officio representative on the CCTA Board of
   > Commissioners from February 1, 2020 through January 31, 2021.

   c.   **ACTION ITEM:** 2020 ECCTA Board of Director Meeting Dates
   (see attachment: tab #6)
   > **Requested Action:** Reschedule the January 2020 meeting to the last (5th)
   > Wednesday (January 29th). Combine the November and December 2020
   > meetings and conduct that meeting on December 16, 2020.

   d.   **ACTION ITEM:** HVAC Removal, Disposal, and Installation
   (see attachment: tab #7)
   > **Requested Action:** Adopt Resolution #191211B authorizing the CEO to
   > execute and enter into contract for the removal, disposal, and installation
   > of two HVAC units with Tyndall HVAC Inc. for an amount not to exceed
   > $60,000 which includes a 10% contingency.

   e.   **ACTION ITEM:** Vehicle Disposal
   (see attachment: tab #8)
   > **Requested Action:** Adopt Resolution #191211C authorizing the disposal
   > of six Dodge Caravan ADA-equipped vehicles.

   f.   **ACTION ITEM:** Vehicle Purchase
   (see attachment: tab #9)
   > **Requested Action:** Adopt Resolution #191211D authorizing the CEO to
   > issue a purchase order for eight Ford Transit built by Starcraft Buses from
   > Creative Bus Sales for an amount not to exceed $998,230 which includes a
   > 10% contingency.

     g. **ACTION ITEM:** Independent Auditor's Report
        (see attachment: tab #10)
            Requested Action: Adopt Resolution #191211E accepting the Independent Auditor's Report for the year ended June 30, 2019.

     h. **ACTION ITEM:** ECCTA Safety Plan
        (see attachment: tab #11)
            Requested Action: Adopt Resolution #191211F accepting ECCTA's proposed Safety Plan.

8. **Board of Directors Comments**
Under this item, Directors are limited to providing information, asking clarifying questions about matters not on the agenda, responding to public comment, referring matters to staff, or requesting a report be made at another meeting.

9. **Adjourn**
Next Meeting: January 29th 2020 at 4:00pm, 801 Wilbur Avenue, Antioch, CA 94509 (If agenda item 7c is approved)

Public Comment Guidelines:
- Persons requesting to address the ECCTA Board of Directors are requested to complete a Comment Request form and submit it to the clerk. If possible, please submit the form prior to the start of the meeting. At the appropriate time, the ECCTA chair will call on individuals to comment.
- During the public comment agenda item, the public is permitted to address the ECCTA Board of Directors on items that are on the consent calendar or items not on the agenda. Individuals may also make a request for future agenda items. No action or discussion may take place on any item not appearing on the posted agenda.
- If a person wishes to speak on a specific agenda item, the ECCTA chair will call on the individual when the agenda item is being discussed by the Board of Directors.
- Persons addressing the ECCTA Board of Directors are requested to limit their remarks to three (3) minutes unless an extension of time is granted by the chair, subject to approval of the ECCTA Board of Directors.

Agenda, staff report, and document availability:
Copies of all staff reports and documents subject to disclosure that relate to each item of business referred to on the agenda are available for public inspection the Friday before each regularly scheduled Board of Director's meeting at ECCTA's front desk located at 801 Wilbur Avenue, Antioch, California. Any documents subject to disclosure that are provided to all, or a majority of all, of the members of the Board regarding any item on this agenda after the agenda has been distributed will also be made available for inspection at ECCTA's front desk at the above referenced address during regular business hours.

Americans with Disabilities Act Information:
In compliance with the Americans with Disabilities Act, the meeting room is wheelchair accessible and disabled parking is available in the ECCTA parking lot. If you are a person with a disability and you need disability-related modifications or accommodations to participate in this meeting, please contact the CEO's Office at (925) 754-6622 or fax (925) 757-2530. Notification no fewer than 48 hours prior to the meeting will enable Tri Delta Transit to make reasonable arrangements to ensure accessibility to this meeting. {28 CFR 35.102-35, 104 ADA Title II} Please help us accommodate individuals with EI-MSC and refrain from wearing scented products to this meeting. Please turn off any electronic paging device or cell phone.

Limited English Proficiency (LEP):
Any person with Limited English Proficiency (LEP) who requires language assistance to communicate with the Tri Delta Transit Board of Directors during the meeting should contact the CEO's Office at (925) 754-6622 or fax (925) 757-2530. Notification no fewer than 48 hours prior to the meeting will enable Tri Delta Transit to make reasonable arrangements to assure language assistance for this meeting.

Anticipated action by the Board of Directors:
The Board of Directors may take action on any item on the agenda, which action may consist of the recommended action, no action or a related action.

TAB 1

Agenda Item #4a

Recognition of Operator Becky Vanderpool by Senator Glazer's Office

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: Senator Glazer's Presentation to Tri Delta Transit Operator
Agenda Item #4a

Lead Staff: Jeanne Krieg, Chief Executive Officer

On October 30th, Becky Vanderpool, a longtime Tri Delta Transit operator, spotted a missing autistic man and delivered him to the police so he could be reunited with his family. Senator Glazer communicated to ECCTA staff that he wanted to honor the operator at the next board meeting. Susannah Meyer will be attending the board meeting to make the presentation on his behalf.

The newspaper article is attached.

Missing 20-year-old autistic man was found in Bay Point

Tri Delta Transit driver spots young man, calls police

By **JUDITH PRIEVE** | jprieve@bayareanewsgroup.com | Bay Area News Group
PUBLISHED: October 30, 2019 at 10:37 pm | UPDATED: October 31, 2019 at 12:12 pm

A 20-year-old missing autistic man has been located, Brentwood police said.

The man, Dirk Burton, was wandering around a Bay Point BART station Wednesday morning when an alert Tri Delta Transit driver recognized him from news reports and approached him, asking if he was from Brentwood.

"When he said 'yes,' she told him "people are looking for you," Maria A. Korbay, Tri Delta Transit customer service and marketing manager, said.

Burton told the bus operator he had no money, but she said that was OK and asked him to come onto the bus, Korbay said.

The bus operator drove the man to Los Medanos College where police were waiting.

"We are so proud of this operator and her decision to go above and beyond," Korbay said.

Burton had been at the Brentwood Safeway store on Second Street on Monday, when he walked away from his mother, police said. He was considered at risk because of his autism, a spokesman said.

Police had said Burton was known to frequent Pittsburg and use the bus as transportation, and many readers shared the post of his disappearance.

He now has been reunited with his family, police said.

"She (the bus driver) said she was just happy that her mom could sleep well that night," Korbay said.

TAB 2

Agenda Item #5a, b, c
Consent Calendar (ACTION ITEM): Minutes, Financial Report and
Marketing Activities Report

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

EASTERN CONTRA COSTA TRANSIT AUTHORITY
Antioch - Brentwood - Pittsburg - Oakley and Contra Costa County

MINUTES

October 30, 2019

The Eastern Contra Costa Transit Authority (ECCTA) meeting was called to order in the ECCTA Board Room, 801 Wilbur Avenue, Antioch, California by Vice Chair Shanelle Scales-Preston at 4:00 P.M.

ROLL CALL / CALL TO ORDER

PRESENT: Diane Burgis (Contra Costa County); Merl Craft (Pittsburg); Federal Glover* (Contra Costa County); Ken Gray (Member-at-Large); Barbara Guise (Brentwood); Doug Hardcastle (Oakley); Kevin Romick (Oakley); Lamar Thorpe (Antioch); Monica Wilson (Antioch); Shanelle Scales-Preston (Pittsburg/Vice Chair); and Robert Taylor* (Brentwood/Chair)
*Arrived after Roll Call

ABSENT: None

STAFF: Jeanne Krieg, Chief Executive Officer (CEO)
Steve Ponte, Chief Operating Officer (COO)
Stephanie Vollmer, Legal Counsel
Tania Babcock, Executive Assistant
Maria Korbay, Manager of Customer Service and Marketing
Maureen Gonzales, Controller

OTHERS
PRESENT: Michael Daugelli, Antioch, Alternate
Susan Hinson, First Transit
Gary Mitchell, First Transit
Hosie Pintily, First Transit
Holland White, Pittsburg

PLEDGE OF ALLEGIANCE

Vice Chair Shanelle Scales-Preston led the Pledge of Allegiance.

PUBLIC COMMENT

Michael Daugelli, Antioch, commended the Tri MyRide service, and stated it served the most popular destinations.

CHAIR'S REPORT

There was no Chair's Report.

CONSENT CALENDAR

On motion by Director Romick, seconded by Director Burgis, ECCTA Boardmembers adopted the Consent Calendar, as follows, which carried by the following vote:

A. Minutes of the Board of Directors meeting of September 25, 2019
B. Financial Report
C. Marketing and Customer Service Activities Report

AYES: Burgis, Craft, Gray, Guise, Hardcastle, Romick, Thorpe, Wilson, Scales-Preston
NOES: None
ABSTAIN: None
ABSENT: Glover, Taylor

CHIEF EXECUTIVE OFFICER'S REPORT

A. Operations Report

Chief Executive Officer (CEO) Jeanne Krieg reported that the Oakley Park and Ride lot project was progressing; the city had resubmitted plans and was working with Mark Thomas to finalize the plan. The Metropolitan Transportation Commission (MTC) had approved the Transportation Improvement Program (TIP), which would allow ECCTA to apply for a federal grant. The bid packet would be published in January with construction expected to start in April or May 2020.

Ms. Krieg reported that the six-month microtransit demonstration project Tri MyRide continued to do better than expected. Since the launch four months ago, ridership had continued to grow and the 10,000th customer had been identified this week. Given the experience with the demonstration project and the different ideas that had been tested, a Request for Proposal (RFP) was being developed to roll out the service on a permanent basis. An extension of the six-month demonstration would allow time for the creation of the RFP and to consider ways to accommodate those who did not use a smartphone.

Ms. Krieg described some feel-good stories and explained that First Transit had begun a new program in September called Safe Wheels where a bus driver could submit a request for a wheelchair for any customer in need. One of the operators had nominated a customer who had later been selected to receive a brand new chair and Susan Hinson had presented it to the lucky recipient.

In another case, a First Transit driver had made sure a young child who had gotten on the wrong bus found his way home safely, and the mother had been called to assure her that the child would be taken care of. Another First Transit driver had spotted a missing autistic adult who had been in the news at the Los Medanos College (LMC) bus stop and called the police to get that person home safely.

Ms. Krieg also advised that the Contra Costa Transportation Authority (CCTA) Caltrans funded study of transportation options for the corridor between Hillcrest and Marsh Creek Road was being finalized, with an RFP expected to be published soon. ECCTA was working with CCTA on that study. The RFP for the HVAC system installation to replace the 1987 system in the original part of the facility had been published and a staff recommendation was expected at the next meeting.

Ms. Krieg reported that she had been re-elected to serve on the California Transit Association Executive Committee for another two-year term, and had been invited by the Federal Transit Administration (FTA) to participate in a Peer Exchange on mobility management, which would be setting a vision for where the transit industry needed to go in terms of mobility management and consider some of the regulations in place that might make it difficult to get there.

Ms. Krieg also reported that she had attended the American Public Transportation Association (APTA) Annual Conference and noted that the sessions had been particularly good this year and it had been difficult to choose which sessions to attend. She highlighted her top three takeaways related to cyber security, the difference between equal versus equitable treatment of the community, and the fact that public transit was struggling.

With respect to cyber security, Ms. Krieg emphasized the importance of ECCTA's security system and how important it was to keep it up to date, and given an issue with BART and hundreds of counterfeit circuit boards, how important it was to work with ECCTA's contractors, subcontractors, and parts suppliers to ensure the reliability of equipment and supplies. As to the issue of equal versus equitable treatment, she described the difference between the two and explained that ECCTA would have to consider that in everything it did, from employee procedures to service decisions. And, given that transit was struggling and many agencies were suffering from passenger decreases, the old ways of providing bus or train service would have to be reconsidered with an open mind about mobility in the community and how that would evolve.

Director Romick referred to mobility management and the options being considered and implemented and requested that the staff reports presented to the Board expand on Uber, Lyft, and similar options as to how that applied to the services offered by Tri Delta Transit.

Ms. Krieg stated that staff had been discussing ways to better describe current options and services given that a third of paratransit customers were using Uber and Lyft as alternatives. She appreciated the comment and stated she would offer a new report in the future.

ACTION AND DISCUSSION ITEMS

A.   Seamless Bay Area Initiative

Ian Griffiths identified the Seamless Bay Area Initiative as a non-profit with a mission to transform the Bay Area's fragmented and inconvenient public transit into a world-class, unified, equitable, and widely-used system by building a diverse movement for change and promoting policy reforms. He described what was being done to get there and explained that this was not a new issue and ways to integrate the diverse parts of the region in a way that made sense was a long-standing effort.

Mr. Griffiths noted that the lack of quality public transportation was hurting everyone with a lack of access to affordable housing choices and economic opportunity, with more traffic and longer commutes, rising transportation emissions and vehicles miles traveled, and increased inequality and suburbanization of poverty.   He added that many people wanted to use transit but didn't because it was too difficult.

Mr. Griffiths explained that other regions were doing better. He identified the example of Frankfurt, Germany compared with the Bay Area, and noted in that case a strong regional government framework had been created to direct the transit operators to operate in a more unified way. A policy reform at the state level was being developed to help the Bay Area take on the initiative for Seamless Transit Principles to create a more seamless system. He highlighted those principles to run all Bay Area transit as one easy-to-use system; put riders first; make public transit equitable and accessible to all; align transit prices to be simple, fair and affordable; connect effortlessly with other sustainable transportation; plan communities and transportation together; and prioritize reforms to create a seamless network.

Mr. Griffiths identified those organizations and cities that supported the initiative, noted that Tri Delta Transit would be the first transit agency involved, and requested that ECCTA take the following actions:

- Affirm ECCTA's commitment to working collaboratively with state agencies, Metropolitan Transportation Commission (MTC), municipalities and other public agencies to develop a highly integrated regional transportation system that provides convenient, seamless, and affordable transit for customers

- Confirms ECCTA's Board of Directors' support of the Seamless Transit Principles listed in Attachment A to the Resolution.

- Supports MTC and transit agencies working together to undertake a business case analysis of fare integration. The business case should include exploration of options for implementation, governance, and additional funding sources that may be needed for implementation.

Director Burgis noted that the map showed East Contra Costa on the edge of the transportation infrastructure although in the center of those counties coming through Contra Costa, and the PowerPoint had highlighted all the costs involved, including environmental and other costs. She emphasized that East Contra Costa in particular was affected by those costs given that it paid higher costs in taxes, in time, in wear and tear, and in health due to the stress on the mental and physical health of those having to spend so much time in cars with little time for families, to volunteer, or to exercise. She wanted to see language in the resolution to recognize reverse commutes to create use of the transportation infrastructure in a complete way by using both directions all day long, which would be better environmentally and encourage more jobs creation in the East County area.

Director Romick referred to the current effort with the CCTA's proposed Transportation Expenditure Plan (TEP) where 55 percent had been dedicated to transit, and which would include seamless transition, among other things, which he hoped would inspire other municipalities to consider the seamless principles to help facilitate transit.

Director Hardcastle asked about the decrease in ridership and why that was occurring, and Ms. Krieg explained that the changes in workforce, eBART, the cost of car ownership, and casual Uber-style carpools were all factors in the decrease of ridership, and there was an ongoing conversation about the need for student fares or no cost for students, although the challenge was the requirement for fare box recovery.

Chair Taylor suggested that the request would have to be addressed by the Legislature and he asked if there was a plan given the need to get everyone involved beyond the Bay Area to address the overall issue of how to get Americans out of their cars.

Mr. Griffiths agreed and stated they were trying to partner with all of the agencies and MTC to develop legislative proposals for state legislation that was closely aligned with the regional fund measure to create more money for transportation. To that end, they had been working on a legislative strategy to pare a new ballot measure with the principles to create seamless transit, proposing a process of institutional reform to create an entity to bring the Bay Area together through a temporary regional commission to study the problem as a whole and include transit representatives and all the institutions to recommend a set of reforms that would have to be passed through the Legislature to create the framework for coordination. The Seamless Transit Principles were the first step to show local support.

Mr. Griffiths expressed his hope that the mega measure would be on the 2020 ballot and be approved, and explained that time was the motivation to prioritize given the many factors involved, such as climate change. Increased ridership was expected within ten years.

Director Glover noted the different advocacy groups doing different things that were often in conflict with one another. He recommended working with MTC to see how to fit into the work currently being done.

Director Glover added that another ballot measure would involve more work and he sought more cooperative efforts with existing agencies without creating new agencies that would compete or conflict with one another.

Director Romick agreed that there were a number of agencies involved and he was also concerned with a conflict of vision amongst all the agencies.

Director Guise expressed concern that while Tri Delta Transit had been run efficiently and was in the black, most other agencies were not and she did not want to jump into something that would affect the agency monetarily.

Mr. Griffiths clarified that all that was being asked was support for the principles for seamless transit and ECCTA would be committed to nothing other than that. He stated the support had to start locally. He also stated, when asked, that they had a grant from the Silicon Community Foundation and individual donors. He clarified that Redwood City, Burlingame, and Sunnyvale would be introducing resolutions.

Director Craft agreed that there could be conflict and she suggested that the presentation be made to the regional agencies first; MTC and CCTA prior to approaching the transit operators.

Director Burgis commented that the recommended actions were already being done and even though the Seamless Bay Area Principles were shared, ECCTA didn't want to be used to move along something that should be within MTC.

Director Gray also agreed and suggested that without coordination with the regional agencies the public would be confused. He added the process should first start with MTC.

Director Romick stated they all agreed with the principles and ECCTA was working on those principles at this time but wanted a top down as opposed to a bottom up process of seeking approval.

Chair Taylor summarized the consensus that the Board was supportive but felt the process should be consistent with the hierarchy.

On motion by Director Glover, seconded by Director Romick, ECCTA Boardmembers tabled the item pending review and action by the Metropolitan Transportation Commission and the Contra Costa Transportation Authority, carried by the following vote:

AYES: Burgis, Craft, Glover, Gray, Guise, Hardcastle, Romick, Scales-Preston, Thorpe, Wilson, Taylor
NOES: None
ABSTAIN: None
ABSENT: None

B.   Procurement Manual Update

Ms. Krieg stated that periodically the procedures to ensure compliance with all applicable local, state, and federal regulations needed to be updated to show the level of authorization, and every few years ECCTA's Procurement Manual would have to be updated.

On motion by Director Romick, seconded by Director Craft, ECCTA Boardmembers adopted Resolution 191030B which authorizes the Chief Executive Officer to adjust ECCTA's purchasing thresholds and make the applicable changes to ECCTA's Procurement Manual, carried by the following vote:

AYES: Burgis, Craft, Glover, Gray, Guise, Hardcastle, Romick, Scales-Preston,
             Thorpe, Wilson, Taylor
NOES: None
ABSTAIN: None
ABSENT: None

C.   Authorization to File RM2 Claim

Ms. Krieg advised that the item was usually seen with a request to file a Transportation Development Act (TDA)/State Transit Assistance (STA) claim, but this year the Regional Measure 2 (RM2) claim had been separated out because MTC was going to change things. She advised that a resolution was required to authorize her to file a claim for the RM2 funds through MTC.

On motion by Director Taylor, seconded by Director Burgis, ECCTA Boardmembers authorized the Chief Executive Officer or her designee to file an application with the Metropolitan Transportation Commission for the FY20 allocation of Regional Measure 2 (RM2) funds, carried by the following vote:

AYES: Burgis, Craft, Glover, Gray, Guise, Hardcastle, Romick, Scales-Preston,
             Thorpe, Wilson, Taylor
NOES: None
ABSTAIN: None
ABSENT: None

D.   Paratransit Customer Portal

Ms. Krieg stated the software product would allow the current Dial-a-Ride, paratransit, and senior customers to make reservations on line to be able to accommodate tech savvy customers. The cost had been estimated at $82,869 through TripSpark. The cost was for licensing and software, the maintenance fees would be folded into the current software contract with Trapeze, and customers would still be able to call in.

Director Romick expressed his hope everything could come through a phone or desk top, and recommended staying with the same software company to avoid conflicting software in that all software should be able to talk to each other to integrate the data when needed.

Ms. Krieg stated that TripSpark was a product offered by Trapeze and both worked together.

On motion by Director Glover, seconded by Director Thorpe, ECCTA Boardmembers adopted Resolution 191030D which authorizes the Chief Executive Officer to enter into an agreement with TripSpark for an amount not to exceed $82,869, with the assurance that both TripSpark and Trapeze software worked together, carried by the following vote:

AYES: Burgis, Craft, Glover, Gray, Guise, Hardcastle, Romick, Scales-Preston, Thorpe, Wilson, Taylor
NOES: None
ABSTAIN: None
ABSENT: None

E.   Bus Schedule Printing, Storage, and Delivery

Ms. Krieg explained that the contract for the printing, storage, and delivery of bus schedules had expired in January 2019, and while someday the paper schedules would not be needed it was currently necessary. Three firms had submitted bids, one of which had not submitted the required verification. The Printeam bid was the lowest bid and ECCTA had previously worked with the firm. A contract with two one-year options was recommended.

On motion by Director Romick, seconded by Director Guise, ECCTA Boardmembers adopted Resolution 191030E which authorizes the Chief Executive Officer to execute and enter into a three-year contract with two one-year options for the printing, storage, and delivery of ECCTA bus schedule booklets with Printeam for $19,252 for year one, carried by the following vote:

AYES: Burgis, Craft, Glover, Gray, Guise, Hardcastle, Romick, Scales-Preston, Thorpe, Wilson, Taylor
NOES: None
ABSTAIN: None
ABSENT: None

BOARD OF DIRECTORS COMMENTS

Director Gray clarified that the current meeting was Doug Hardcastle's last meeting and wished him well in all his future endeavors. The rest of the Board also thanked Mr. Hardcastle for his service, and wished him well.

Director Hardcastle thanked Ms. Krieg and staff, and commended the packets and information submitted to the Board, which was why Tri Delta Transit, in his mind, was still the number one transit operator in the U.S.

Director Burgis commended the APTA conference and the sessions related to the benefits to health using public transit and cyber security. She emphasized that Tri Delta Transit was a leader in transportation.

Director Glover pointed out that he had also attended the APTA conference that had been very well done and thanked staff for making the conference experience such a good one. He had enjoyed learning of the diversity of transit and how it operated along with the efforts to make transit all inclusive.

Chair Taylor had also attended the APTA conference as had Vice Chair Scales-Preston, and Directors Wilson, Craft, and Thorpe.

Director Craft noted that she had spoken to a woman at the conference who wanted to find out how to develop bus routes in urban areas where there was a quarter mile or more between houses, and Director Guise, using the example of starting Tri Delta Transit, suggested using the school bus schedule and designing the transportation system around those routes. Director Craft added that California had received several awards for transportation, and many women in transportation were recognized, including Jeanne Krieg.

Director Thorpe stated that New York's seamless public transportation system was interesting. He had enjoyed the conference and highlighted what he had learned.

Vice Chair Scales-Preston added that the New York transit system had one price which had made it easy to use, and ferry service was free and encouraged the use of public transit.

ADJOURNMENT

The meeting of the Eastern Contra Costa Transit Authority adjourned at 5:06 P.M. to December 11, 2019 at 4:00 P.M. in the ECCTA Administration Facility, 801 Wilbur Avenue, Antioch, California.

Respectfully submitted,

Anita L. Tucci-Smith

FINANCIAL REPORT

Under Construction

Staff Report to ECCTA Board of Directors

Meeting Date:	December 11, 2019
Agenda Item:	Marketing/Communications Activities Agenda Item #5c
Lead Staff:	Maria Korbay, Manager Customer Service & Marketing
Approved:	Jeanne Krieg, Chief Executive Officer JK by JS

Marketing continues to work on exciting outreach opportunities with a focus on unifying the voice of Tri Delta Transit and delivering superior customer service. Listed below are the major items my department is researching, working on, and developing.

BOGO

511CC has renewed their popular two-for-one 20 Ride pass offer. This is an opportunity to increase ridership on our fixed route bus service. Although this has been an ongoing promotion, staff has sent out mailers encouraging past participants to apply.

Mobile Ticketing and ELERTS

Our mobile ticketing application offers passenger a convenient option for purchasing tickets and passes with their smart phone. Our Tri Delta Watch app allows passengers to report any suspicious behavior they may witness on a bus. Both application have the goal of making a passengers ride easier, but having two applications can be tricky. We are working with both companies to integrate the reporting ability in our ticketing app. We want to make the process of riding our buses as seamless as possible using innovative technology.

Mobility on Demand

We have been working with our partners UBER, Lyft, and United Transportation to finalize our continued partnership with this amazing program. Due to recent changes in NTD reporting we are working to update the messaging regarding this service. Our goal is to streamline information; empowering passengers with the ability make the right choice for them.

Tri MyRide

Tri MyRide continues to be well received by the public. We have recently had a few bumps in the road with this new technology and the increased demand. This was the purpose of the pilot, to learn and we are learning so much. In recent weeks the application has run into a few bugs which helped us to understand the staffing and communication needs for the future technical issues. Ridership is booming at commute hours which mean passengers are experiencing longer wait and ride times. We are now determining acceptable wait and ride times and how not to exceed that range. All of the insight and challenges are allowing us to focus in on what our community needs and how we may best serve them. Our 2nd marketing push will come when some key technical issues are addressed.

Internal promotions

Driver Appreciation

Our Bus Bucks program continues to be a huge success with our bus operators. They appreciate the acknowledgment and look forward to cashing them in for fun prizes. Driver retention and absenteeism are on the rise across the country. In this highly competitive job market, job satisfaction is of the utmost importance. Bus Bucks allow managing staff an opportunity to recognize those drivers and schedulers who go above and beyond. The response to the program has been exciting. Drivers were in record attendance at their last in-service meeting, cashing in their Bus Bucks for prizes, candy, and other Tri Delta Transit items.

Bus Operator Trainees

Each week First Transit works diligently on recruitment and training. Marketing has recently been working with the First Transit training department to add a visit from a Tri Delta Transit member to their training. Our goal is to encourage operator engagement with administrative staff. Our drivers are our eyes and ears on the street. Each week I visit their training class to provide background and give them a sense of the agency as well as their huge part in making the customer experience a great one. I believe this partnership will lead to more campaigns to ensure our passengers are receiving superior customer service and our drivers feel our appreciation.

Holiday events

Holidays are a busy and fun time here at Tri Delta Transit. We have worked hard to bring the joy and excitement of the holidays to Tri Delta Transit. For the first year we are having a door decorating contest and ugly sweater contest.

Toy Drive

Each year Tri Delta Transit gathers toys for Oakland Children's Hospital. This year the goal was to stuff a Tri MyRide vehicle as full as we could. We are proud to participate and look forward to the program, and giving, to increase year after year.

TAB 3

Agenda Item #6a
CEO's REPORT: Operations Report

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Chief Executive Officer's Report

November – December 2019

TRI DELTA TRANSIT

ECCTA Executive Team

Jeanne Krieg
Chief Executive Officer

Steve Ponte
Chief Operating Officer

Kevin Moody
Director of Maintenance

Susan Hinson
First Transit
Director of Operations

Highlights:

Under Construction

Pending:

Agenda Item #6a
Eastern Contra Costa Transit Authority
Board of Directors Meeting
December 11, 2019

EASTERN CONTRA COSTA TRANSIT AUTHORITY
KEY PERFORMANCE INDICATORS BY SERVICE

	Actual 14/15	Actual 15/16	Actual 16/17	Actual 17/18	Actual 18/19	Budget 19/20	19/20B % ▲	YTD Actual Oct-18	YTD Actual Oct-19	% ▲
DIAL-A-RIDE										
PASSENGERS										
Total DAR Trips Provided	133,769	131,917	133,406	125,558	160,584	158,115	-2%	52,939	70,495	33%
Paratransit Trip Provided	133,769	131,917	133,406	125,558	120,111	117,935	-2%	41,265	43,554	6%
Tri My Ride Trips Provided	N/A	N/A	N/A	N/A	238	-	N/A	N/A	10,103	N/A
Mobility On Demand Trips Provided	N/A	N/A	N/A	N/A	40,235	40,180	N/A	11,674	16,838	44%
Average Weekday Ridership	487	489	498	469	450	568	26%	559	733	31%
Average Sat Ridership	153	118	107	105	98	179	83%	165	231	40%
Average Sun/Hol Ridership	63	49	47	47	47	101	115%	104	145	40%
Average Passengers/Hour (Wkdys Para Only)	2.4	2.5	2.9	2.9	3.1	3.0	-1%	3.2	2.7	-16%
CUSTOMER SERVICE										
Ride Refusals / Day	0.0	0.0	0.0	0.0	0.0	0.0	N/A	0.0	0.0	0%
Customer Complaints	0.103%	0.114%	0.382%	0.486%	0.426%	0.496%	16%	0.671%	0.227%	-66%
On Time Performance	87%	85%	81%	66%	63%	70%	12%	58%	77%	33%
MAINTENANCE										
Gallons of Fuel Consumed	138,528	135,809	131,936	122,057	109,838	107,424	-2%	37,342	51,975	39%
Miles Between Preventable Accidents	162,293	159,143	153,397	207,048	394,189	200,000	-49%	262,457	81,884	-69%
Miles Between Road calls	139,113	190,963	919,507	276,017	788,773	100,000	-87%	262,536	327,551	25%
COST RATIOS										
Farebox Recovery Ratio	10%	10%	11%	10%	10%	10%	-7%	12%	11%	-10%
$/Gal Fuel	$ 3.09	$ 2.59	$ 2.57	$ 3.21	$ 3.27	$ 3.44	5%	$ 3.49	$ 3.24	-7%
Operating Cost/Passenger	$ 34.18	$ 34.41	$ 29.15	$ 29.68	$ 23.43	$ 25.52	9%	$ 22.21	$ 26.50	19%
Operating Cost/Revenue Hour	$ 69.81	$ 72.26	$ 73.97	$ 80.33	$ 69.74	$ 73.43	5%	$ 69.92	$ 76.40	9%
Operating Cost/Revenue Mile	$ 5.74	$ 5.85	$ 5.18	$ 5.38	$ 4.05	$ 4.37	8%	$ 3.95	$ 4.97	26%
FIXED ROUTE										
PASSENGERS										
Total FR Trips Provided	2,806,028	2,574,864	2,344,985	2,232,469	1,825,574	1,638,490	-10%	690,425	571,601	-17%
Average Weekday Ridership	9,794	8,999	8,230	7,886	6,455	5,771	-11%	7,144	5,856	-18%
Average Sat Ridership	3,498	3,061	2,715	2,490	2,150	1,901	-12%	2,317	1,903	-18%
Average Sun/Hol Ridership	2,787	2,501	2,236	2,087	1,665	1,471	-12%	1,833	1,568	-14%
Average Passengers/Hour	19.2	17.8	16.1	14.7	12.0	10.3	-15%	13.5	10.8	-20%
CUSTOMER SERVICE										
Customer Complaints	0.009%	0.009%	0.025%	0.025%	0.035%	0.035%	-1%	0.033%	0.036%	9%
On Time Performance	92%	92%	82%	83%	82%	84%	3%	81%	83%	3%
MAINTENANCE										
Gallons of Fuel Consumed	600,072	606,378	584,879	575,568	539,672	551,739	2%	184,360	197,771	7%
Miles Between Preventable Accidents	98,066	97,469	117,465	145,522	84,366	100,000	19%	90,753	72,917	-20%
Miles Between Road calls	41,553	27,690	21,084	19,951	35,980	50,000	39%	408,333	36,458	-91%
COST RATIOS										
Farebox Recovery Ratio	18%	18%	16%	13%	9%	9%	0%	11%	9%	-19%
$/Gal Fuel	$ 2.77	$ 1.96	$ 2.07	$ 2.30	$ 2.90	$ 2.92	1%	$ 3.06	$ 2.71	-11%
Operating Cost/Passenger	$ 5.54	$ 5.98	$ 6.93	$ 7.56	$ 9.80	$ 11.21	14%	$ 8.23	$ 11.26	37%
Operating Cost/Revenue Hour	$ 106.36	$ 106.33	$ 111.83	$ 111.07	$ 117.91	$ 114.88	-3%	$ 111.04	$ 121.63	10%
Operating Cost/Revenue Mile	$ 7.62	$ 7.49	$ 7.98	$ 8.19	$ 9.24	$ 9.00	-3%	$ 8.70	$ 9.53	10%

TAB 4

Agenda Item #7a
ACTION ITEM: Proposed FY20 ECCTA Budget Revision

Resolution 191211A

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: Proposed FY20 ECCTA Budget Revision
Agenda Item #7a

Lead Staff: Maureen Gonzales, Controller

Approved: Jeanne Krieg, Chief Executive Officer JK by JB

Budget Process

- MTC issues their annual estimate and proposed apportionment and distribution of Transportation Development Act (TDA) and State Transit Assistance (STA).
- CCTA apportions STA and Measure J operating funds.
- Those revenue estimates are used as a guide to plan operating and capital projects.
- A budget is presented to the Board of Directors for approval in late Spring.

Considerations

- The Board of Directors approved the proposed budget for FY20 during the April 24, 2019 meeting.
- In June 2019, the Tri MyRide pilot program was introduced. Additionally, the Mobility on Demand program has grown exponentially since the budget was developed.
- Due to the success of Tri MyRide and of Mobility On Demand, a mid-year budget revision is required:
  - Ridership for Mobility on Demand increased from 1200 passengers per month to over 4000 per month. This means additional subsidies to Uber, Lyft, and United Taxi.
  - Ridership for Tri MyRide increased from 1200 passengers per month to over 6700 and continues to increase every week resulting in more bus service hours. Additionally, eight new vehicles are required to accommodate demand. ($948,000 capital expenditure)

Budget

The proposed revised FY20 budget is attached and shows an increase of $1,450,000 in operating expenses and $948,000 in capital expenses.

Requested Action

#1:   Approve the proposed revised budget.
#2:   Adopt Resolution #191211A which authorizes the Chief Executive Officer or her designee to re-file an application with the Metropolitan Transportation Commission for the allocation of Transportation Development Act and State Transit Assistance funds.
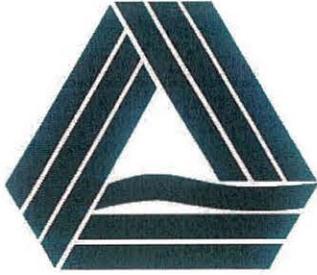
TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211A
AUTHORIZATION FOR FILING OF TDA and STA CLAIMS

Resolution #191211A authorizes the Chief Executive Officer or her designee to re-file an application with the Metropolitan Transportation Commission for the allocation of Transportation Development Act and State Transit Assistance funds

WHEREAS, the Transportation Development Act (TDA), (Public Utilities Code §99200 et seq.), provides for the disbursement of funds from the Local Transportation Fund (LTF) of the County of Contra Costa for use by eligible applicants for the purpose of administering and operating public transit services in Eastern Contra Costa County; and

WHEREAS, pursuant to the provisions of the TDA, and pursuant to the applicable rules and regulations thereunder (21 Cal. Code of Regs. §6600 et seq.) a prospective applicant wishing to receive an allocation from the Local Transportation Fund (LTF) shall re-file its claim with the Metropolitan Transportation Commission; and

WHEREAS, the State Transit Assistance (STA) fund is created pursuant to Public Utilities Code §99310 et seq., and

WHEREAS, the STA fund makes funds available pursuant to Public Utilities Code §99313.6 for allocation to eligible applicants to support approved transit projects; and

WHEREAS, TDA funds from the Local Transportation Fund of Contra Costa County and STA funds will be required by applicant in Fiscal Year 2019-2020 for administering and operating Fixed Route and Dial-A-Ride services for the public of Eastern Contra Costa County; and

WHEREAS, the Eastern Contra Costa Transit Authority is an eligible applicant for TDA and/or STA funds pursuant to PUC §99260;

NOW, THEREFORE, BE IT RESOLVED, that the Chief Executive Officer is authorized to execute and re-file appropriate TDA / STA applications together with all necessary supporting documents with the Metropolitan Transportation Commission; and be it further

RESOLVED, that a copy of this resolution be transmitted to the Metropolitan Transportation Commission in conjunction with the re-filing of such claims; and the Metropolitan Transportation Commission be requested to grant the allocation of funds specified in the applications and supporting documents.

PASSED AND ADOPTED THIS 11th day of December 2019, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____   _____
Robert Taylor, Chair   Jeanne Krieg, CEO

AYES: _____   ABSENT: _____
NOES: _____   ABSTENTIONS: _____

	FY17 Actual	%	FY18 Actual	%	FY19 Budget	%	FY19 Estimate	%	Initial FY20 Budget	%	Revised FY20 Budget	%
REVENUES												
Fares	3,023	15%	2,661	13%	2,765	12%	2,706	13%	2,024	9%	2,024	8%
Advertising Sales	120	1%	156	1%	85	0%	156	1%	85	0%	85	0%
BART DR Service Reimbursement	148	1%	133	1%	150	1%	140	1%	150	1%	150	1%
Total Operating Sources:	3,291	16%	2,950	14%	3,000	13%	3,002	14%	2,259	10%	2,259	9%
Federal	1,182	6%	950	5%	961	4%	888	4%	556	2%	556	2%
State	11,381	56%	12,110	59%	12,811	56%	12,179	59%	14,299	64%	15,749	66%
Local	871	9%	1,960	10%	3,351	15%	2,004	10%	2,478	11%	2,478	10%
BART "feeder bus"	2,529	12%	2,625	13%	2,686	12%	2,625	13%	2,802	13%	2,802	12%
Interest & Other	(18)	0%	8	0%	5	0%	6	0%	5	0%	5	0%
Total Non-operating Sources:	16,945	84%	17,653	86%	19,814	87%	17,702	86%	20,140	90%	21,590	91%
Total Operating Revenues:	20,236	100%	20,603	100%	22,814	100%	20,704	100%	22,399	100%	23,849	100%
EXPENDITURES												
Purchased Transportation	11,496	57%	11,788	57%	1,462,161	99%	11,800	57%	12,922	58%	14,372	60%
Materials and Supplies	2,793	14%	2,816	14%	3,172	0%	2,850	14%	2,839	13%	2,839	12%
Salaries & Benefits	3,904	19%	3,973	19%	4,166	0%	4,000	19%	4,441	20%	4,441	19%
Services	786	4%	851	4%	850	0%	850	4%	902	4%	902	4%
Casualty and liability insurance	523	3%	594	3%	550	0%	549	3%	647	3%	647	3%
Utilities	282	1%	166	1%	204	0%	230	1%	169	1%	169	1%
Other	452	2%	414	2%	429	0%	425	2%	479	2%	479	2%
Total Operating Expense:	20,236	100%	20,602	100%	1,471,532	100%	20,704	100%	22,399	100%	23,849	100%
KEY PERFORMANCE INDICATORS												
Passengers	2,478		2,358		2,452		2,375		2,446		2,446	
Revenue Hours	198		198		198		199		215		204	
Revenue Miles	2,788		2,754		2,574		2,770		2,740		2,740	
Gallons of Diesel Fuel	585		576		536		580		552		552	
Gallons of Gasoline	132		122		123		120		107		107	
FTEs	175		175		176		172		176		176	
Average # ECCTA Positions	34.8		35.0		35.0		35.0		35.0		35.0	
FINANCIAL RATIOS												
$/Passenger	$8.17		$8.74		$600.14		$8.72		$9.16		$9.75	
$/Rev Hour	$102.20		$104.05		$7,431.98		$104.04		$104.18		$116.91	
$/Rev Mile	$7.26		$7.48		$8.36		$7.47		$8.17		$8.70	
$/Gallon Diesel	$2.24		$2.28		$2.65		$2.30		$2.85		$2.85	
$/Gallon Gasoline	$2.56		$2.77		$3.00		$2.90		$3.00		$3.00	
$ Sal&Ben/Employee ECCTA ($000s)	$112		$114		$119		$114		$127		$127	

PROPOSED REVISION

TAB 5

Agenda Item #7b
ACTION ITEM: CCTA Ex-Officio Appointment

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: CCTA Ex-Officio Appointment
Agenda Item #7b

Lead Staff: Jeanne Krieg, Chief Executive Officer JK by JB

Background

- The CCTA Board of Commissioners is comprised of eleven appointed commissioners and their alternates.
- Additionally, three Ex-Officio representatives and their alternates serve on the commission. The three Ex-Officio representatives are from MTC, BART, and the Contra Costa County transit districts (WestCat, County Connection, Tri Delta Transit, and AC Transit). The transit district Ex-Officio representative position rotates between the transit districts:

	Ex-Officio	**Ex-Officio Alternate**
2/1/19 – 1/31/21	Tri Delta Transit	WestCat
2/1/21 – 1/31/23	WestCat	AC Transit
2/1/23 – 1/31/25	AC Transit	County Connection

- The representative must be appointed by the ECCTA Board of Directors

Considerations

- All representatives and alternates on the CCTA Board of Commissioners must be an elected official.
- Directors Federal Glover, Kevin Romick, and Robert Taylor are currently members of the CCTA Board of Commissions. Directors Burgis, Craft, Scales-Preston, Thorpe, and Wilson are eligible to serve as the Ex-Officio.
- After serving a two-year term as the alternate Ex-Officio representative from February1, 2017 through January 19, 2019, the Tri Delta Transit Board of

Directors selected Monica Wilson to serve the first year of a 2-year term beginning February 1, 2019 through January 31, 2020. Director Wilson is eligible to serve the second year of the two-year term.

- The CCTA Board of Commissioners meets in Pleasant Hill at 6:00pm the third Wednesday of every month. Dinner and paid parking are provided.

Requested Action

Appoint CCTA Ex-Officio Monica Wilson to serve the second of the two one-year terms as the Contra Costa County bus operators' Ex-Officio representative on the CCTA Board of Commissioners from February 1, 2020 through January 31, 2021.

TAB 6

Agenda Item #7c
ACTION ITEM: 2020 Meeting Schedule

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: 2020 ECCTA Board of Director Meeting Dates
Agenda Item #7c

Lead Staff: Jeanne Krieg, Chief Executive Officer 𝒥𝒦 by 𝒥ℬ

Background

- The regular meeting date and time of the ECCTA Board of Directors is the 4th Wednesday of each month at 4:00pm.
- The Board Chair has the authority to cancel or reschedule any Tri Delta Transit Board meeting if there is a lack of pressing agenda items or if extenuating circumstances exist. As much notice as possible is given so board members can plan accordingly.

Considerations

- The 4th Wednesday of each month in 2020:

January 22	May 27	September 23
February 26	June 24	October 28
March 25	July 22	November 25
April 22	August 26	December 23

- The last several years, the Board of Directors combined the November and December meetings to avoid the Thanksgiving, Christmas, and New Year holidays.
- The last several years, the Board of Directors moved the meeting from the 4th Wednesday to the 5th Wednesday in response to a staff request.

Staff Request

1. Reschedule the January 2020 meeting to the last (5th) Wednesday (January 29).
2. Combine the November and December 2020 board meetings and conduct that meeting on December 16, 2020.

TAB 7

Agenda Item #7d
ACTION ITEM: HVAC Removal, Disposal, and Installation

Resolution 191211B

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: HVAC Removal, Disposal, and Installation
Agenda Item #7d

Lead Staff: Joe Chappelle, Manager of Administrative Services

Approved: Jeanne Krieg, Chief Executive Officer _JK by JB_

Background

There are two HVAC units in ECCTA's facility. One was installed when the facility was expanded in 2002 and the other was installed in 2005 as a replacement for a system that was installed in 1987 when the facility was built. Both are approaching the end of their useful life.

Considerations

At the time of bid publication, the bid fell under the former procurement threshold of ECCTA's procurement manual, which dictated that ECCTA go out to bid for goods and services whose cost exceeded $25,000. At the October 30, 2019 Board of Directors meeting, the Board of Directors approved an increase of this threshold to $100,000.

Process

- October 25, 2019: IFB 2019-002 for the removal, disposal, and installation of two HVAC units was mailed to 14 firms, publically advertised, and posted on ECCTA's website.
- November 6, 2019: six firms attended a pre-bid meeting
- November 26, 2019: ECCTA received three responsive bids:
  - Tyndall HVAC Inc.
  - Aria Electric & Construction
  - S H Mechanical Inc.

Tyndall HVAC Inc was the lowest, responsible bidder with a bid price of $53,891.

Requested Action

Adopt Resolution #191211B authorizing the CEO to execute and enter into contract for the removal, disposal, and installation of two HVAC units with Tyndall HVAC Inc. for an amount not to exceed $60,000 which includes a 10% contingency.

TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211B
Authorization for Award of Contract for
Removal, Disposal and Installation of HVAC units

Resolution #191211B authorizes the CEO to execute and enter into a contract for the removal, disposal, and installation of two HVAC units with Tyndall HVAC Inc.

WHEREAS, ECCTA's two current HVAC units are reaching the end of their useful life; and

WHEREAS, on October 25, 2019, ECCTA advertised IFB #2019-002 and mailed it to 14 firms; and

WHEREAS, three responsive bids were received; and

WHEREAS, Tyndall HVAC Inc is the lowest, responsible bidder;

NOW, THEREFORE, BE IT RESOLVED, by the Board of Directors of the Eastern Contra Costa Transit Authority to adopt Resolution #191211B authorizing the CEO to execute and enter into a contract for the removal, disposal, and installation of two HVAC units with Tyndall HVAC Inc for an amount not to exceed $60,000 which includes a 10% contingency.

PASSED AND ADOPTED THIS 11th day of December 2019, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____
Robert Taylor, Chair

_____
Jeanne Krieg, Chief Executive Officer

AYES: _____
NOES: _____
ABSENT: _____
ABSTENTIONS: _____

TAB 8

Agenda Item #7e
ACTION ITEM: Vehicle Disposal

Resolution 191211C

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Tri Delta Transit

Staff Report to ECCTA Board of Directors

Meeting Date	December 11, 2019
Agenda Item:	Vehicle Disposal Agenda Item #7e
Lead Staff:	Kevin Moody, Director of Maintenance
Approved:	Jeanne Krieg, Chief Executive Officer

Background

Six Dodge Grand Caravans purchased five years ago have reached the end of their useful life and must be removed from the fleet.

Considerations

- Per an earlier agreement, United Taxi will purchase two of the vans for $5,000 each so they can increase ECCTA's Mobility on Demand service.
- Staff recommends offering each member of the JPA an opportunity to purchase one of the vans at a price of $5,000 each.
- The remaining vans will be sold by auction. The sale shall be made as a group or individually for cash payable by the highest legally qualified bidder.

Requested Action

Adopt Resolution #191211C authorizing the disposal of six Dodge Caravan ADA-equipped vehicles.

TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211C
DISPOSAL OF SIX DODGE GRAND CARAVAN ADA-EQUIPPED VEHICLES

Resolution #191211C authorizes the disposal of six Dodge Grand Caravan ADA-equipped vehicles.

WHEREAS, Eastern Contra Costa Transit Authority (ECCTA) has six 2015 Dodge Grand Caravan vans that have reached the end of their useful life; and

WHEREAS, two vans are to be sold to United Taxi to increase ECCTA's Mobility on Demand service; and

WHEREAS, ECCTA desires to offer the remaining four vans to any member of the Eastern Contra Costa Transit Authority Joint Powers Agreement (JPA) for the sum of $5,000 each, pursuant to the authority conferred by its Joint Powers Agreement; and

WHEREAS, ECCTA desires to sell the remaining vans to any legally qualified interested member of the public, pursuant to the authority conferred by its Joint Powers Agreement.

NOW, THEREFORE, BE IT RESOLVED, by the Board of Directors of the Eastern Contra Costa Transit Authority to adopt Resolution #191211C authorizing staff to conduct a sale of the vehicles in accordance with the following provisions:

- Two of the vehicles will be sold to United Taxi to increase ECCTA's Mobility on Demand service for a purchase price of $5000 per vehicle.
- The five members of the ECCTA JPA shall be given first choice of the remaining four Dodge Grand Caravan vehicles for a purchase price of $5,000 per vehicle.
- The remaining automobiles will be auctioned. The sale will made either separately or as one award based on what is most advantageous to ECCTA.
- Payment shall be made by the buyer(s) in the form of a certified or cashier's check made payable to ECCTA. Each purchaser shall take all steps which are necessary in order to transfer title and registration for each purchased vehicle to the purchaser. Each purchaser shall be responsible for paying, in addition to the purchase price, any and all sales or use taxes which may be required by the Department of Motor Vehicles in order to transfer title and ownership of each vehicle to its buyer.
- The sale of each vehicle is on an "as-is, where-is" basis. The buyer is responsible for moving the vehicle(s) off ECCTA's property within 7 business days of the purchase award.

PASSED AND ADOPTED THIS 11th day of December, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____   _____
Robert Taylor, Chair   Jeanne Krieg, CEO

AYES: _____   ABSTENTIONS: _____
NOES: _____   ABSENT: _____

TAB 9

Agenda Item #7f
ACTION ITEM: Vehicle Purchase

Resolution 191211D

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date	December 11, 2019
Agenda Item:	Vehicle Purchase Agenda Item #7f
Lead Staff:	Kevin Moody, Director of Maintenance
Approved:	Jeanne Krieg, Chief Executive Officer

Background

In June of this year, ECCTA launched a pilot program called *Tri MyRide* in select areas near the Antioch and Pittsburg/Bay Point BART stations. The service, a cross between TNC service and fixed route bus service, allows passengers to request a smaller bus to pick them up or drop them off within a predetermined zone. The program is intended to address the first/last mile issue by using a smaller bus that can go through neighborhoods and offer transportation on a demand basis though an app.

Consideration

The program has been very successful. Staff desires to expand the program and make it a permanent part of the mobility options being offered in our community. An RFP for a permanent program was published last month and staff will bring a recommendation to the Board of Directors in February, 2020.

Since the current program is considered a pilot program, the vehicles used are retired paratransit vehicles that are beyond their useful life. In preparation for making the service permanent, the vehicles must be replaced. The State of California Department of General Services Procurement Division includes an option for Ford Transit vehicles built by Starcraft Buses from Creative Bus Sales. These buses would be a good fit for the Tri MyRide service.

Requested Action

Adopt Resolution #191211D authorizing the CEO to issue a purchase order for eight Ford Transit built by Starcraft Buses from Creative Bus Sales for an amount not to exceed $998,230 which includes a 10% contingency.

TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211D
Vehicle Procurement

Resolution #191211D authorizes ECCTA to purchase eight Ford Transit vehicles built by Starcraft Buses from Creative Bus Sales

WHEREAS, EASTERN CONTRA COSTA TRANSIT AUTHORITY (ECCTA) performed a demonstration microtransit project called Tri MyRide in Antioch and Pittsburg/Bay Point; and

WHEREAS, ECCTA has been using end-of-life paratransit buses for the service; and

WHEREAS, the demonstration project has been successful; and

WHEREAS, ECCTA desires to continue and expand the microtransit service; and

WHEREAS, the State of California Department of General Services Procurement Division includes an option for Ford Transit vehicles built by Starcraft Buses from Creative Bus Sales; and

WHEREAS, these buses would be a good fit for the Tri MyRide service; and

WHEREAS, the purchase of the vehicles shall be conducted in accordance with all applicable Federal, State, and Local requirements and complies with ECCTA's purchasing procedures.

NOW, THEREFORE, BE IT RESOLVED, by the Board of Directors of the Eastern Contra Costa Transit Authority to adopt Resolution #191211D authorizing the CEO to purchase eight Ford Starcraft buses the cost of which is not to exceed $998,230 which includes a 10% contingency.

PASSED AND ADOPTED THIS 11th day of December 2019, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____   _____
Robert Taylor, Chair   Jeanne Krieg, CEO

AYES: _____   ABSENT: _____
NOES: _____   ABSTENTIONS: _____

TAB 10

Agenda Item #7g
ACTION ITEM: Independent Auditor's Report

Resolution 191211E

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: Independent Auditor's Report for the year ended June 30, 2019
                      Agenda Item #7g

Lead Staff: Maureen Gonzales, Controller

Approved: Jeanne Krieg, Chief Executive Officer

Background
ECCTA is required to have an annual certified fiscal audit conducted by an outside independent firm. Per the contract between Maze & Associates, an audit of the fiscal year ending June 30, 2019 was conducted.

Results
ECCTA's financial statements were found to fairly present the financial condition of the Authority in accordance with GAAP standards. There were no material findings or questioned costs. The Authority was found to be compliant with the requirements of the OMB circular A-133, and the regulations regarding expenditures funded with Transportation Development Act and the Public Transportation, Modernization of Service and Enhancement Account funds.

Requested Action
Adopt Resolution #191211E accepting the Independent Auditor's Report for the year ended June 30, 2019.

> Attached:
> - Proposed Resolution
> - Independent Auditor's Report

TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211E
INDEPENDENT AUDITOR'S REPORT

Resolution #191211E accepts the EASTERN CONTRA COSTA TRANSIT AUTHORITY Independent Auditor's Report for the year ended June 30, 2019.

WHEREAS, ECCTA is required by PUC 99245 to have an annual certified fiscal audit conducted by an outside entity; and

WHEREAS, the independent audit performed was designed to express an opinion on the FY 2019 financial statements and address current statutory and regulatory requirements in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and

WHEREAS, the Independent Auditor's Report for the year ended June 30, 2019 shows no significant issues.

NOW, THEREFORE, BE IT RESOLVED, by the Board of Directors of the Eastern Contra Costa Transit Authority to adopt Resolution #191211E accepting the Independent Auditor's Report.

PASSED AND ADOPTED THIS 11th day of December 2019, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____   _____
Robert Taylor, Chair   Jeanne Krieg, CEO

AYES: _____
NOES: _____
ABSENT: _____
ABSTENTIONS: _____

EASTERN CONTRA COSTA TRANSIT AUTHORITY

MEMORANDUM ON INTERNAL CONTROL
AND REQUIRED COMMUNICATIONS

FOR THE YEAR ENDED
JUNE 30, 2019

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EASTERN CONTRA COSTA TRANSIT AUTHORITY
MEMORANDUM ON INTERNAL CONTROL
AND REQUIRED COMMUNICATIONS

For the Year Ended June 30, 2019

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MEMORANDUM ON INTERNAL CONTROL

To the Board of Directors of
the Eastern Contra Costa Transit Authority
Antioch, California

In planning and performing our audit of the basic financial statements of the East Contra Costa Transit Authority (Authority) as of and for the year ended June 30, 2019, in accordance with auditing standards generally accepted in the United States of America, we considered the Authority's internal control over financial reporting (internal control) as a basis for designing audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal control. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the Authority's financial statements will not be prevented or detected and corrected on a timely basis.

Our consideration of internal control was for the limited purpose described in the first paragraph and was not designed to identify all deficiencies in internal control that might be material weaknesses. In addition, because of inherent limitations in internal control, including the possibility of management override of controls, misstatements due to error or fraud may occur and not be detected by such controls. Given these limitations during our audit, we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Included in the Schedule of Other Matters are recommendations not meeting the above definitions that we believe are opportunities for strengthening internal controls and operating efficiency.

Management's written responses included in this report have not been subjected to the audit procedures applied in the audit of the financial statements and, accordingly, we express no opinion on them.

This communication is intended solely for the information and use of management, Board of Directors, others within the organization, and agencies and pass-through entities requiring compliance with *Government Auditing Standards*, and is not intended to be and should not be used by anyone other than these specified parties.

Maze + Associates

Pleasant Hill, California
October 11, 2019

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SCHEDULE OF OTHER MATTERS

2019-01: <u>NEW GASB PRONOUNCEMENTS OR PRONOUNCEMENTS NOT YET EFFECTIVE</u>

The following comment represents new pronouncements taking effect in the next few years. We have cited them here to keep you abreast of developments:

Effective in fiscal year 2018-19:

GASB 83 – *Certain Asset Retirement Obligations*

This Statement addresses accounting and financial reporting for certain asset retirement obligations (AROs). An ARO is a legally enforceable liability associated with the retirement of a tangible capital asset. A government that has legal obligations to perform future asset retirement activities related to its tangible capital assets should recognize a liability based on the guidance in this Statement.

GASB 88 – *Certain Disclosures Related to Debt, including Direct Borrowings and Direct Placements*

This Statement defines debt for purposes of disclosure in notes to financial statements as a liability that arises from a contractual obligation to pay cash (or other assets that may be used in lieu of cash) in one or more payments to settle an amount that is fixed at the date the contractual obligation is established. This Statement requires that additional essential information related to debt be disclosed in notes to financial statements, including unused lines of credit; assets pledged as collateral for the debt; and terms specified in debt agreements related to significant events of default with finance-related consequences, significant termination events with finance-related consequences, and significant subjective acceleration clauses.

Effective in fiscal year 2019-20:

GASB 84 – *Fiduciary Activities*

This Statement establishes criteria for identifying fiduciary activities of all state and local governments. The focus of the criteria generally is on (1) whether a government is controlling the assets of the fiduciary activity and (2) the beneficiaries with whom a fiduciary relationship exists. Separate criteria are included to identify fiduciary component units and postemployment benefit arrangements that are fiduciary activities.

Effective in fiscal year 2020-21:

GASB 87 – *Leases*

This Statement will increase the usefulness of governments' financial statements by requiring reporting of certain lease liabilities that currently are not reported. It will enhance comparability of financial statements among governments by requiring lessees and lessors to report leases under a single model. This Statement also will enhance the decision-usefulness of the information provided to financial statement users by requiring notes to financial statements related to the timing, significance, and purpose of a government's leasing arrangements.

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CURRENT STATUS OF PRIOR YEARS OTHER MATTERS

2018-01 Timely Bank Reconciliation Review

Criteria: Bank reconciliations are an important element of the Authority's internal control structure. In order to serve as an effective control, the Authority should complete bank reconciliations as soon as possible after each month-end, usually within thirty days of receipt of bank statements, and the reconciliation should be subsequently reviewed for accuracy and irregularities. Errors and unreconciled differences should be researched, understood and corrected immediately.

Condition: During our review of the Authority's bank reconciliations, we noted that all of the January 2018 bank reconciliations were prepared timely on February 1, 2018, however, they were not reviewed until April 27, 2018.

Cause: Due to staff oversight.

Effect: Any errors or irregularities may not be detected in a timely manner.

Recommendation: We recommend the Authority adopt procedures to ensure all bank reconciliations are reviewed in a timely manner.

Current Year Status: Implemented in the current year.

2018-02 Timely spending of Grant Funds

Criteria: The Authority should ensure all grant expenditures are expended during the periods of performances denoted on the awards.

Condition: During our testing of Prop 1b expenditures we noted that two out of eleven expenditures were expended after the period of performance dates. The California Transit Security Grant Program Awards #6661-02, and #6761-02, period of performance ended on March 31, 2017, and March 31, 2018, respectively.

Cause: Grant performance periods were overlooked by staff.

Effect: Grant funds expended after the performance period could be disallowed by the grantor.

Recommendation: Managers should develop procedures for monitoring all grant awards and ensure all expenditures are expended during the period of the grant term.

Current Year Status: Implemented in the current year.

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REQUIRED COMMUNICATIONS

To the Board of Directors of
the Eastern Contra Costa Transit Authority
Antioch, California

We have audited the basic financial statements of the Eastern Contra Costa Transit Authority (Authority) for the year ended June 30, 2019. Professional standards require that we communicate to you the following information related to our audit under generally accepted auditing standards, *Government Auditing Standards* and the Uniform Guidance.

Significant Audit Findings

Accounting Policies

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by the Authority are described in Note 2 to the financial statements. No new accounting policies were adopted, and the application of existing policies was not changed during the year, except as follows:

The following Governmental Accounting Standards Board (GASB) pronouncements became effective, but did not have a material effect on the financial statements:

GASB 83 – *Certain Asset Retirement Obligations*

GASB 88 – *Certain Disclosures Related to Debt, including Direct Borrowing and Direct Placements*

Unusual Transactions, Controversial or Emerging Areas

We noted no transactions entered into by the Authority during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

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Accounting Estimates

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting the Authority's financial statements were:

> *Estimate of Depreciation:* Management's estimate of the depreciation is based on useful lives determined by management. These lives have been determined by management based on the expected useful life of assets as disclosed in Note 4 to the financial statements. We evaluated the key factors and assumptions used to develop the depreciation estimate and determined that it is reasonable in relation to the basic financial statements taken as a whole.

> *Estimated Net OPEB Liability:* Management's estimate of the net OPEB liability is disclosed in Note 10 to the financial statements and is based on management's estimates. We evaluated the key factors and assumptions used to develop the estimate and determined that it is reasonable in relation to the basic financial statements taken as a whole.

Disclosures

The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. Management has corrected all such misstatements. In addition, none of the misstatements detected as a result of audit procedures and corrected by management were material, either individually or in the aggregate, to each opinion unit's financial statements taken as a whole.

Professional standards require us to accumulate all known and likely uncorrected misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. We have no such misstatements to report to the Board of Directors.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in a management representation letter dated October 11, 2019.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the Authority's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as the Authority's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

Other Information Accompanying the Financial Statements

We applied certain limited procedures to the required supplementary information that accompanies and supplements the basic financial statements. Our procedures consisted of inquiries of management regarding the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We did not audit the required supplementary information and do not express an opinion or provide any assurance on the required supplementary information.

******

This information is intended solely for the use of Board of Directors and management and is not intended to be, and should not be, used by anyone other than these specified parties.

Maze + Associates

Pleasant Hill, California
October 11, 2019

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TAB 11

Agenda Item #7h
ACTION ITEM: ECCTA Safety Plan

Resolution 191211F

Board of Directors Meeting

Wednesday December 11, 2019

ECCTA Boardroom
801 Wilbur Avenue, Antioch, CA 94509

Staff Report to ECCTA Board of Directors

Meeting Date: December 11, 2019

Agenda Item: ECCTA Safety Plan- Agenda Item #7h

Lead Staff: Tania Babcock, SMS Executive

Approved: Jeanne Krieg, Chief Executive Officer

Background

On July 19, 2018, the Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule (49 CFR Part 673), which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

The PTASP rule became effective on July 19, 2019. Transit operators must certify they have a safety plan in place meeting the requirements of the rule by July 20, 2020. The plan must be updated and certified by the transit agency annually.

The rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 USC § 5307). The rule does not apply to agencies that are subject to the safety jurisdiction of another federal agency, including passenger ferry operators regulated by the U.S. Coast Guard and rail operators regulated by the Federal Railroad Administration.

SMS is a comprehensive, collaborative approach that brings management and labor together to build on the transit industry's existing safety foundation to control risk better, detect and correct safety problems earlier, share and analyze safety data more effectively, and measure safety performance more carefully. SMS is about applying resources to risk and is based on ensuring that a transit agency has the organizational infrastructure to support decision-making at all levels regarding the assignment of resources. Some key parts of SMS include:

- Defined roles and responsibilities;
- Strong executive safety leadership;
- Formal safety accountabilities and communication;

- Effective policies and procedures; and
- Active employee involvement.

The Safety Management Policy Statement is the SMS component that frames the fundamentals upon which ECCTA will operate its SMS and must be communicated throughout the organization. The Safety Management Policy Statement documents executive management's commitment to the SMS, and places the management of safety at the same level as a transit agency's top most business processes.

ECCTA's Safety Management Policy Statement:
The management of safety is a top priority for Eastern Contra Costa Transit Authority (ECCTA). ECCTA is committed to developing, implementing, maintaining and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Chief Executive Officer (CEO).

ECCTA's commitment is to:
- Support the management of safety through the provision of appropriate resources that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the organization;
- Integrate the management of safety among the primary responsibilities of all managers and employees;
- Clearly define for all staff, managers, employees and contractors alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system;
- Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
- Ensure that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Comply with and, wherever possible, exceed legislative and regulatory requirements and standards;
- Ensure that sufficiently skilled and trained human resources are available to implement safety management processes;

- Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- Establish and measure ECCTA's safety performance against realistic and data-driven safety performance targets; and
- Ensure externally supplied systems and services to support operations are delivered meeting our safety performance standards.

Attached
- Resolution #191211F
- Proposed Eastern Contra Costa Transit Authority (Tri Delta Transit) Safety Plan

Requested Action
Approve Resolution #191211F accepting ECCTA's proposed Safety Plan.

TRI DELTA TRANSIT

Eastern Contra Costa Transit Authority
801 Wilbur Avenue • Antioch, California 94509
Phone 925.754.6622 Fax 925.757.2530

RESOLUTION #191211F
EASTERN CONTRA COSTA TRANSIT AUTHORITY (TRI DELTA TRANSIT)
SAFETY PLAN

Resolution #191211F accepts Eastern Contra Costa Transit Authority's Safety Plan.

WHEREAS, in accordance with the Federal Transit Administration's Public Transportation Agency Safety Plan (PTASP) Final Rule (49 CFR Part 673), which became effective on July 19, 2019; and

WHEREAS, the rule applies to all operators of public transportation systems that are recipients and sub-recipients of federal financial assistance under the Urbanized Area Formula Program (49 USC § 5307); and

WHEREAS, Eastern Contra Costa Transit Authority (ECCTA) is a recipient of federal financial assistance under the Urbanized Area Formula Program (49 USC § 5307); and

WHEREAS, ECCTA must certify it has a safety plan in place meeting the requirements of the rule by July 20, 2020; and

WHEREAS, ECCTA must communicate the Safety Management Policy Statement throughout the organization and has communicated the statement to the Board of Directors.

NOW, THEREFORE, BE IT RESOLVED, by the Board of Directors of the Eastern Contra Costa Transit Authority to adopt Resolution #191211F accepting ECCTA's Safety Plan.

PASSED AND ADOPTED THIS 11th day of December, by the following votes:

EASTERN CONTRA COSTA TRANSIT AUTHORITY

_____   _____
Robert Taylor, Chair   Jeanne Krieg, CEO

AYES: _____
NOES: _____
ABSENT: _____
ABSTENTIONS: _____

Eastern Contra Costa Transit Authority (Tri Delta Transit) Safety Plan

November 2019

Eastern Contra Costa Transit Authority (Tri Delta Transit)
Safety Plan

1. Transit Agency Information

Transit Agency Name	Eastern Contra Costa Transit Authority (ECCTA)
Transit Agency Address	801 Wilbur Avenue, Antioch, CA 94509
Name and Title of Accountable Executive	Jeanne Krieg, Chief Executive Officer (CEO)
Name of SMS Executive	Tania Babcock, SMS Executive

Mode of Service Covered by This Plan	Bus	**List All FTA Funding Types**	5307,5339,JARC,Lifeline

Mode of Service Provided by the Transit Agency	ECCTA operates bus service and provides approximately 3 million trips each year to a population of nearly 290,000 residents in the 225 square miles of Eastern Contra Costa County. ECCTA operates 15 local bus routes Monday-Friday, 5 local bus routes on weekends and holidays, on-demand shuttle service, door-to-door bus service for senior citizens and people with disabilities, and shuttle services for community events.		

Does the Agency Provide Transit Services on Behalf of Another Transit Agency or Entity?	Yes X	No ☐	**Description of Arrangement**	Early bird service

Name and Address of Transit Agency or Entity for Which Service Is Provided	Bay Area Rapid Transit (BART) 300 Lakeside Drive Oakland, CA 94612

2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	ECCTA	
Signature by the Accountable Executive	**Signature of Accountable Executive**	**Date of Signature**
		12/11/2019
Approval by the Board of Directors	**Name of Entity That Approved This Plan**	**Date of Approval**
	ECCTA Board of Directors	12/11/2019
	Relevant Documentation (title and location)	
	Resolution #191211X Eastern Contra Costa Transit Authority (Tri Delta Transit) Safety Plan; Located in ECCTA CEO's office at 801 Wilbur Avenue, Antioch, CA 94509	
Certification of Compliance	**Name of Individual That Certified This Plan**	**Date of Certification**
	Jeanne Krieg, CEO	2020; annual certification
	Relevant Documentation (title and location)	
	Certifications and Assurances for ECCTA submitted in TrAMS (www.transit.dot.gov/trams)- category 08- Public Transportation Agency Safety Plan	

Version Number and Updates			
Version Number	**Section/Pages Affected**	**Reason for Change**	**Date Issued**
1	N/A	Initial release of Safety Plan	12/11/2019

Annual Review and Update of the Public Transportation Agency Safety Plan
The Safety Plan is a "living document" and must address issues associated with system safety on a timely and proactive basis. The Safety Plan will be updated at any point when ECCTA determines that its SMS approach to safety has identified a need for change. In addition, an annual review of the Safety Plan will be conducted by the Accountable Executive, SMS Executive, and SMS leadership and executive management at the end of each fiscal year. The annual review will be completed annually by July 31. During the annual review, if changes are needed, ECCTA will revise the Safety Plan and training to reflect the changes. ECCTA's Accountable Executive annually certifies SMS compliance with 49 C.F.R. Part 673.

3. Safety Performance Targets

Safety Performance Targets				
Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.				
	Safety Performance Measure	**Agency Definition**	**Total Number Per Fiscal Year**	**Rate Per Total Vehicle Revenue Miles Per Fiscal Year**
Mode of Transit Service: Bus	**Relevant Documentation (title and location):** Resolution #190327B Objectives, Measures, and Standards Productivity Guidelines. Located in ECCTA CEO's office at 801 Wilbur Avenue, Antioch, CA 94509			FY 18/19 Total Vehicle Revenue Miles 2,585,073
	Fatalities		0	0
	Injuries	Number of worker's compensation claims and persons taken to hospital	20	.0000077
	Safety Events	Any accident, incident, or occurrence. Accident is an event involving a loss of life, a serious injury, a collision of public transportation vehicles with damage valued at $5,000 or more, or a disabled vehicle towed. An incident is an event involving 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.	32	.0000123

		Occurrence is an event without any personal injury in which damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of an agency.		
	System Reliability	Miles between road calls	Fixed Route 50,000 Paratransit 100,000	N/A

Safety Performance Target Coordination

ECCTA will transmit safety performance targets to Caltrans Division of Rail and Mass Transit (Caltrans) and to Metropolitan Transportation Commission (MTC). Safety performance targets will be transmitted to Caltrans and to MTC after the annual review of the Safety Plan. The targets will be transmitted annually by September 30. This will help Caltrans and MTC with the planning process for the future and for developing investment priorities for upcoming transit projects.

	State Entity Name	**Date Targets Transmitted**
Targets Transmitted to the State	Caltrans (Transmitted to Safety Management System contact: Brian Travis: brian.travis@dot.ca.gov)	Upon approval of plan and annually by September 30
	Metropolitan Planning Organization Name	**Date Targets Transmitted**
Targets Transmitted to the Metropolitan Planning Organization	MTC (Transmitted to Transit Asset Management contact: Shruti Hari: shari@bayareametro.gov)	Upon approval of plan and annually by September 30

4. Safety Management Policy

Safety Management Policy Statement

Include the written statement of safety management policy, incorporating safety objectives.

The management of safety is a top priority for Eastern Contra Costa Transit Authority (ECCTA). ECCTA is committed to developing, implementing, maintaining and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the Chief Executive Officer (CEO).

ECCTA's commitment is to:
- Support the management of safety through the provision of appropriate resources that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as that given to the other management systems of the

organization;

- Integrate the management of safety among the primary responsibilities of all managers and employees;
- Clearly define for all staff, managers, employees and contractors alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system;
- Establish and operate hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance;
- Ensure that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- Comply with and, wherever possible, exceed legislative and regulatory requirements and standards;
- Ensure that sufficiently skilled and trained human resources are available to implement safety management processes;
- Ensure that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- Establish and measure ECCTA's safety performance against realistic and data-driven safety performance targets; and
- Ensure externally supplied systems and services to support operations are delivered meeting our safety performance standards.

_____   12/11/2019
Jeanne Krieg, Chief Executive Officer   Date

Safety Management Policy Communication

Describe how the safety management policy is communicated throughout the agency's organization. Include dates where applicable.

ECCTA's Safety Management Policy Statement is communicated to all employees, contractors and the Board of Directors. The statement was communicated to the Board of Directors at a scheduled board meeting on 12/11/2019 and will be discussed again after the annual review in July, when any changes are made to the Safety Plan and to safety performance targets. The statement was posted on 12/12/2019 on the communication board near the maintenance computer station, on the "In the Spotlight" communication board in the driver's room, and on the communication board in the administration break room. The statement will be reviewed annually at an operations safety meeting and at the "Right to Understand" maintenance and administration safety training class.

	Authorities, Accountabilities, and Responsibilities
	Describe the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).
Accountable Executive	The CEO is the Accountable Executive and is accountable for ensuring that ECCTA's SMS is implemented effectively. Roles include: • Decision-making about resources to support asset management, SMS activities, and capital investments • Approving SMS implementation documents • Annually certifying SMS compliance with 49 C.F.R. Part 673 • Communicating the Safety Management Policy Statement to ECCTA's Board of Directors and throughout the agency • Endorsing SMS implementation team and SMS processes • Providing guidance to the Safety Solutions Team on recommended SMS actions/SMS agency decision making
SMS Executive	The SMS Executive has the authority and responsibility for implementation and operation of ECCTA's SMS Agency Plan. Roles include: • Developing and maintaining SMS documentation • Directing safety risk management activities • Briefing the Accountable Executive on SMS • Assisting with safety management training • Reviewing the SMS agency plan on an annual basis with the Accountable Executive, leadership and executive management • Transmitting safety performance targets to Caltrans and to MTC on an annual basis • Ensuring the Safety Management Policy Statement is communicated throughout the agency • Ensuring communication of follow up information on identified safety concerns reported through the employee safety reporting program

Agency Leadership and Executive Management	Other members of ECCTA's leadership and executive management with authority and responsibility for implementation and operation of the agency's SMS include:
	• **Chief Operating Officer (COO)**
	  o Assisting with identification of safety concerns and hazards
	  o Assessing and mitigating risk through safety risk management
	  o SMS agency decision making
	
	• **Contract General Manager**
	  o Assisting with identification of safety concerns and hazards
	  o Assessing and mitigating risk through safety risk management
	  o Overseeing employee safety reporting program for operations employees; communicating program to employees
	  o Ensuring each accident/injury is investigated and documented
	  o Ensuring provision of adequate and appropriate occupational safety and health training for employees
	  o Ensuring that safety devices are properly maintained and

	available and that employees are properly trained in their use
	    ○ Ensuring that safety communication boards are updated and that required SMS communication is posted
	    ○ Reporting safety performance target data to the SMS Executive
	
	• **Director of Maintenance**
	    ○ Assisting with identification of safety concerns and hazards
	    ○ Assessing and mitigating risk through safety risk management
	    ○ Ensuring that safety devices are properly maintained and available and that employees are properly trained in their use
	    ○ Ensuring the maintenance safety communication board is updated and that required SMS communication is posted
	
	• **Manager of Administrative Services**
	    ○ Assisting with identification of safety concerns and hazards
	    ○ Assessing and mitigating risk through safety risk management
	    ○ Communicating employee safety reporting program to administrative and maintenance employees
	    ○ Ensuring provision of adequate and appropriate occupational safety and health training for employees
	    ○ Ensuring that safety devices are properly maintained and available and that employees are properly trained in their use
	    ○ Ensuring the administration safety communication board is updated and that required SMS communication is posted
	    ○ Reporting safety performance target data to the SMS Executive

• **Key Staff**	**The Operations Manager, Facilities Manager, Safety Manager and Special Project Analyst** will serve as key staff in assisting with identification of safety concerns and hazards, assessing and mitigating risk through safety risk management. **Safety Solutions Team (SST)-** SST membership includes: COO, Contract General Manager, Operations Manager, Safety Manager, SMS Executive, Director of Maintenance, Manager of Administrative Services, Special Project Analyst, Customer Service Representative, Paratransit Coordinator, Bus Operator(s), and Transit Supervisor(s). The SST is a key element to ensure the safety of employees, customers, contractors and the public. SST members identify safety concerns through the employee reporting system, seek solutions to the concerns, and communicate follow up information on identified safety concerns reported through the employee safety reporting program through posted SST minutes. The SST assists in identifying safety concerns and hazards, and in assessing and mitigating risk through safety risk management. The SMS Executive will provide monthly meeting minutes to the Accountable Executive and communicate regarding SST deliberations, decisions and recommendations as needed. SST meetings are scheduled for the third Wednesday of the month.

	Each Employee will:
	• Be an active participant in the safety and health program
	• Perform all tasks in accordance with established policies, procedures and safe work practices
	• Perform a safety evaluation of his/her workspace daily
	• Inspect all tools and equipment prior to use to identify any hazards
	• Report any unsafe or unhealthy practice or condition and act to correct the condition if it is safe and the employee has the authority and ability to do so
	• Report any injuries, illnesses, incidents or accidents to the appropriate person

Employee Safety Reporting Program

Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).

Safety is a core value at ECCTA. ECCTA is committed to providing a safe work environment for employees. Employees are the eyes and ears of the organization and a source of safety management information for ECCTA. Any employee discovering an unsafe condition is expected to eliminate the situation if it is safe for them to do so and within their authorization to act. Imminent hazards that may be life threatening or cause serious injury must be immediately reported to a supervisor. Any employee who has the authority and ability to abate and/or resolve a hazard safely should do so until the issue is fully resolved. For injury prevention and hazard identification, ECCTA has established various employee safety reporting programs.

Operations
- **Near Miss and Hazard Reporting**

ECCTA currently contracts with First Transit to operate ECCTA's paratransit and fixed route bus service. Each First Transit employee is issued a Near Miss and Hazard Reporting pad to document and report safety, route, and security concerns. Employees are asked to report anything they determine to be a hazard. Each employee is also encouraged to report any near miss incidents and hazards. For near miss and hazard reporting purposes, First Transit defines a near miss as "an event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence." And hazard is defined as "anything that may cause harm in the near future." In addition to each employee being issued a Near Miss and Hazard Reporting pad, the reporting pads are also located in the driver's room, next to the safety suggestion box. Employees may choose to identify themselves by name or to provide an anonymous report. The program functions as follows:

1) If the safety or security hazard requires immediate attention, dispatch is notified immediately. If immediate attention is not required, the employee is encouraged to submit the information to management by the end of their workday. The employee completes the Near Miss and Hazard Reporting form and gives the form to management or places the form in the safety suggestion box located in the driver's room.
2) Contract General Manager or Safety Manager reviews the report, meets with employee if necessary, and has the authority to take immediate and appropriate action to correct the hazardous conditions or unsafe work practices and procedures, and to establish rules of safety as soon as they are identified. If necessary, assistance may be obtained through First Transit's Region Safety Manager.
3) For hazards that cannot be immediately corrected due to reasons such as the availability of needed equipment, materials and/or personnel; time for delivery, installation, modification, or construction; training periods; etc, protection shall be provided in the interim to employees who need it while correction of hazard is

proceeding.

4) Contract General Manager or Safety Manager notes on the reporting form any corrective action taken, or the reason for no action taken, and submits a copy to the Region Safety Manager and to the employee. The employee has the right to appeal the determination by submitting the executed form to the Safety Manager for review.

5) Contract General Manager or Safety Manager maintains a written log of reported hazards and enters the information into First Transit's Safety Toolbox as an identified hazard. The hazard information is also recorded in ECCTA's Systems Hazards electronic database. The reported information is shared with the Safety Solutions Team, where the information is reviewed, addressed and documented.

6) Positive reinforcement and recognition is given to employees who demonstrate correct procedures and actions through Near Miss and Hazard Reporting. In addition, one winner is randomly selected from all reports at each safety meeting held once a month. Each winner receives a $25 gift card.

The "Near Miss and Hazard Reporting" form is listed in Appendix A.

- **Threatening or Suspicious Activity**

First Transit encourages anyone who sees, hears, or learns of any conduct or statement that seems threatening or suspicious, and/or any weapons on company premises or in company vehicles, to immediately report such conduct or statement, either to his/her supervisor or manager, to the Human Resources Department, FirstGroup America Security, and/or to the confidential Ethics and Compliance Hotline at 1.877.3CALLFG (1.877.322.5534), contact the Hotline intake site at ethicsfirst.ethicspoint.com, or email Compliance@firstgroup.com.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

Conditions that protect a reporting employee from discipline or enforcement action
First Transit will not retaliate against nor impose any other form of retribution on any employee because of his or her good faith reporting of a safety issue/concern, another person's suspected violation of company policies or guidelines, or any alleged violations of federal, state, or local laws.

The employee's contribution to the cause of the injury or collision is considered in disciplinary action, up to and including termination. If after analysis it has been determined that the incident resulted from an overt decision, disciplinary action is indicated. If not, then the appropriate counseling and/or training is indicated.

Possible Disciplinary Actions
First Transit uses a tiered approach to determine possible disciplinary actions. Infractions that lead to disciplinary action are categorized into four categories;
- Class 1- Dischargeable offenses, the most serious and unacceptable behavior
- Class 2- Serious violations of the First Transit performance code
- Class 3- Secondary violations of the First Transit performance code
- Class 4- Lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations

Examples of **Class 1 Dischargeable Offenses** include:
- Convictions and imprisonment for such offenses as DUI, DWI, child abuse, etc.
- Safety; some offenses are of such a serious nature that termination is appropriate for the first offense. Those include but are not limited to:
  o Failure to properly secure mobility devices

- Cell phone use while operating a company vehicle
- Striking a pedestrian
- Colliding into the rear of another vehicle or stationary object
- Running a red light or stop sign
- Entering a railroad crossing when the lights are flashing
- Violation of the Drug & Alcohol Policy
- Dishonesty
- Stealing/Theft
- Unauthorized use or removal of company/client property or vehicle
- Violence/fighting/threats
- Harassment
- Insubordination
- Security
- Sleeping on the job
- Destruction of property
- Failure to return to work
- Leaving bus or passengers
- Failure to follow sleeping passenger rules

Examples of **Class 2 Infractions**, considered to be serious violations of the First Transit performance code include:
- Abusing or misusing sick leave
- Exchanging work assignments (trade) without proper authority
- Stopping work prior to the end of any shift without management's permission
- Excessive absenteeism, tardiness, starting work late after on the clock, or a pattern of unexcused absences unless otherwise permitted by law
- Reporting for work in an unfit condition
- Failing to obtain permission to leave work during normal working hours
- Discourteous or inappropriate attitude or behavior toward passengers or other members of the public
- Failure to comply with PPE directives
- Failure to wear a high visibility safety vest, reflective safety vest, or company issued high visibility uniform shirt according to company policies
- Failure to wear safety glasses in compliance with PPE directives
- Failure to wear company assigned shoe grips when directed to do so
- Violation of vehicle operating regulations
- Failure to observe safety, sanitation, or disciplinary policies of the client or company, or laws and regulations of Local, State, or Federal governments
- Failure to comply with the Risk Assessment policy
- Working more than an employee's regularly scheduled hours without advanced approval of the company
- Failure to operate a company vehicle according to assigned route or timetable
- Failure of any operator, safety sensitive employee, or employee required to be licensed for driving, to renew and maintain a valid, appropriate driver's license with required endorsements and a medical certificate for driving a company vehicle
- Failure to wait for connections or passing up passengers
- Transport of unauthorized persons
- Attempting to enter, entering or assisting any person to enter, or attempt to enter a company location or restricted area without proper authority

Examples of **Class 3 Infractions**, considered to be secondary violations of the First Transit performance code, include:
- Failure to report defective equipment

- Failure to report a safety hazard
- Failure to procure necessary information for an accident report or submitting an inaccurate or incomplete report
- Posting, circulating or distributing written or printed material during working times and in working areas
- Failure to adhere to the company reverse parking policy for company vehicles and personal vehicles
- Use of a company-owned radio or cell phone for non-company business during working time
- Failure of any operator to have in his or her possession a valid, appropriate driver's license with required endorsements and a medical certificate while driving a company vehicle

Examples of **Class 4 Infractions**, considered to be lesser violations of the First Transit performance code that may result in disciplinary action depending on the circumstances or repeated violations, include:
- Failure to comply with the dress code, uniform policy, cleanliness, personal hygiene, personal grooming habits, or other requirements established by the client or company
- Reporting for duty in an improper uniform, presenting an untidy, unkempt or dirty appearance of person or uniform, or improperly displaying uniform articles, company emblem, or authorized pins and badges
- Parking a personal vehicle in a restricted area at a company location
- Neglect of job duties and responsibilities, or lack of application or effort on the job
- Incompetence or failure to meet reasonable standards of efficiency or effectiveness
- Failure to provide First Transit with a current address or telephone number
- Failure to inform First Transit of changes in status of dependents for insurance coverage
- Littering the employee lounge area, restrooms, or any other company property
- Failure to read notices and bulletins and not making an effort to stay informed

Applying Disciplinary Actions
Although employment may be terminated at-will by either employee or First Transit at any time in accordance with applicable law, without following any formal system of discipline or warning, First Transit may exercise discretion to utilize forms of discipline that are less severe than termination.

Whenever an employee is subject to discipline, the employee's work record, including violations occurring in the relevant time period, is reviewed before determining penalty. The chart describing how disciplinary actions are applied may be reviewed in Appendix D.

Facilities
ECCTA maintenance and administration employees are encouraged to report anything believed to be a hazardous condition or practice that may cause injury to people, property, or the environment. In addition, employees are encouraged to share any suggestions to improve safety in the workplace. All injuries, accidents and near misses must be reported.

- **Report of Unsafe/Unhealthy Working Condition**
  Employees use the Report of Unsafe/Unhealthy Working Condition form to report any safety concerns. Forms are available in the administration copy room and in the maintenance computer station. Employees may choose to identify themselves by name or to provide an anonymous report. The program functions as follows:

  1) Employee completes the Report of Unsafe/Unhealthy Working Condition form and gives the form to their supervisor or to the Manager of Administrative Services (in person or in

mailbox), or places it in the Administration Communications Confidential Mailbox located in the maintenance computer station. The Manager of Administrative Services reviews the report, meets with the employee if necessary, and has authority to take immediate and appropriate action to correct the hazardous conditions or unsafe work practices and procedures, and to establish rules of safety as soon as they are identified.

2) For hazards that cannot be immediately corrected due to reasons such as the availability of needed equipment, materials and/or personnel; time for delivery, installation, modification, or construction; training periods; etc, protection shall be provided in the interim to employees who need it while correction of hazard is proceeding.

3) The Manager of Administrative Services notes any corrective action or the reason for no action taken on the Report of Unsafe/Unhealthy Working Condition form and submits a copy to the employee.

4) The Manager of Administrative Services records the hazard information in ECCTA's Systems Hazards electronic database. The reported information is shared with the Safety Solutions Team, where the information is reviewed, addressed and documented.

5) The Manager of Administrative Services saves the Report of Unsafe/Unhealthy Working Condition in a binder.

If there is an immediate risk or imminent threat of violence, serious harm, or life-threatening conduct, employees should immediately call 911, local police, or other law enforcement.

- **Employee Suggestion Box**
Maintenance and administration employees may also report any suggestions through an Employee Suggestion Box. Employees may choose to identify themselves by name or to provide an anonymous suggestion. An employee suggestion box is located in the maintenance computer station and in the administration copy room. The program functions as follows:

1) The employee completes the Suggestion form located next to the Suggestion Box and places the form in the Suggestion Box.
2) Suggestions are reviewed quarterly by the Manager of Administrative Services.
3) The Manager of Administrative Services distributes suggestions to CEO, COO and Director of Maintenance for review.
4) If there is a hazard or safety concern reported, the Manager of Administrative Services records the information in ECCTA's Systems Hazards electronic database. The reported information is shared with the Safety Solutions Team, where the information is reviewed, addressed and documented.

If an employee's suggestion is chosen to be implemented and acted upon, the employee receives a $50 check and recognition for their suggestion.

The Report of Unsafe/Unhealthy Working Condition and Suggestion form are listed in Appendix A.

Conditions that protect a reporting employee from discipline or enforcement action:
No action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.

The following conditions protect a reporting employee from discipline or enforcement action:
- The employee's action or lack of action was not intended to cause damage to ECCTA's operations, equipment or personnel;
- The employee's action or lack of action does not involve a criminal offense;
- The employee's behavior does not involve substance abuse or inappropriate use of

- controlled substances;
- The report does not contain falsified information;
- The event did not result in an accident/incident that qualified as reportable under State or Federal law;
- The event did not result in an identifiable release of a hazardous material.

5. Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*

- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.*

- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.*

Safety Hazard Identification

ECCTA desires to identify and address hazards before they cause problems. Many programs, procedures, and reporting forms are in place to assist with safety hazard identification. A hazard is defined as 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. To assist in safety hazard identification at ECCTA, employees are trained that a hazard is a real or potential condition; can cause a consequence; not an event (an accident, incident or occurrence). If a hazard is identified through any of ECCTA's programs, procedures or reporting forms, potential consequences of the hazard are evaluated through the risk assessment process and the information is entered in ECCTA's Systems Hazards electronic database. The programs, procedures and reporting forms used for safety hazard identification include the following:

1) **Employee Safety Reporting Program**
   Through the employee safety reporting program, employees are encouraged to report anything believed to be a hazardous condition or unsafe practice that may cause injury to people, property, or the environment. In addition, employees are encouraged to share any suggestions to improve safety in the workplace. All injuries, accidents and near misses are to be reported. Hazards identified through the employee safety reporting program and potential consequences of the hazards are recorded in ECCTA's Systems Hazards electronic database.

   Operations
   Upon hire, each operations employee is provided the First Transit Employee Handbook with information on the employee safety reporting program and a Near Miss and Hazard Reporting pad. Additionally, employees learn about the Near Miss and Hazard Reporting form at each monthly safety meeting when positive reinforcement and recognition is given to employees who demonstrate correct procedures and actions through Near Miss and Hazard Reporting.

   Facilities
   Upon hire, maintenance and administration employees are provided information on the employee safety reporting program and Safety Management Policy Statement. Additionally, The Safety Management Policy Statement is reviewed and employees

learn about the reporting forms available to them annually at a "right to understand" training class. The reporting forms include: The Report of Unsafe/Unhealthy Working Condition and Suggestion form. Employees are also reminded quarterly about the Suggestion Box and Suggestion form when suggestion winners are recognized and rewarded.

2) Facility Inspections
ECCTA management is responsible for overseeing periodic occupational and operational inspections of facilities and equipment to identify hazards on a proactive basis. Inspection types include safety/health inspections, facility inspections, and preventative equipment and vehicle inspections. Hazards identified through facility inspections and potential consequences of the hazards are recorded in ECCTA's Systems Hazards electronic database.

Operations
- **Daily Safety and Health Walkthrough and Checklist**

A routine safety and health check walkthrough is performed daily to promptly identify hazardous conditions at the facility and to notify employees of the hazards identified and mitigation measures to help protect employees from personal injury. Any identified hazards, potential consequences of the hazards, and corrective action taken from the Daily Safety and Health Walkthrough are recorded in ECCTA's Systems Hazards electronic database. First Transit's SOP #802- Daily Safety and Health Walkthrough and #802a- Daily Safety and Health Walkthrough Checklist outlines procedures followed.

- **Facility Parking Risk Management Assessment**

Inadequate turning areas, blind corners, and uneven walking surfaces can all cause collisions or employee injury in parking areas. First Transit's SOP #501- Facility Parking Risk Assessment helps identify and prevent these types of collisions for both buses and personal vehicles. The Contract General Manager must ensure compliance with all provisions of this SOP. The risk of the facility is assessed as follows:
   - Annually
   - Unscheduled- whenever a significant vehicle collision or a pedestrian strike occurs in the bus yard or on company premises.
   - SOP #501a- Facility Parking Risk Assessment Guide and SOP #501b- Facility Parking Risk Assessment Form are tools to help with this assessment.
   - Any identified hazards, potential consequences of the hazards, and corrective action taken from the Facility Parking Risk Management Assessment are recorded in ECCTA's Systems Hazards electronic database.

Facilities
- **Administration, Operations & Maintenance Facility Plan**

The schedule for daily, weekly, monthly, quarterly and annual facility inspections is outlined in ECCTA's Administration, Operations & Maintenance Facility Plan. Any identified hazards, potential consequences of the hazards, and corrective action taken from the facility inspections are recorded in ECCTA's Systems Hazards electronic database.

- **Stormwater Prevention Plan (SWPP)**

As part of ECCTA's SWPP, weekly inspections are performed on the eye wash stations, fire extinguishers, spill covers, storm drains, sump, and sweeper. Any identified hazards, potential consequences of the hazards, and corrective action taken from the inspections are recorded in ECCTA's Systems Hazards electronic database.

- **Maintenance Plan**

ECCTA's Maintenance Plan outlines the schedule for preventative equipment and vehicle inspections. Any identified hazards, potential consequences of the hazards, and corrective action taken is recorded in ECCTA's Systems Hazards electronic database.

- **Injury and Illness Prevention Plan (IIPP)**

As documented in ECCTA's IIPP, a Hazard Assessment Checklist for the facility is completed annually. Any identified hazards, potential consequences of the hazards, and corrective action taken from the inspections are recorded in ECCTA's Systems Hazards electronic database.

3) **Positive Check-In Procedures and Reasonable Suspicion**

Positive check-in procedures are to ensure operators reporting are fit-for-duty. First Transit's SOP #804- Positive Check-In Procedures and Reasonable Suspicion outlines procedures followed.

4) **On-Board Video Technology**

First Transit's SOP #704- On-Board Video Technology provides a summary of the on-board video system and company standards that all operations employees must follow when operating a company vehicle equipped with on-board video technology. This technology is a valuable resource that helps operations instill positive driving behaviors by providing opportunities to view recorded driving events, driver history, and company trends. The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining, and if necessary, disciplinary measures in accordance with the provisions of First Transit's Employee Handbook and applicable Collective Bargaining Agreements. Hazards identified through on-board video technology and potential consequences of the hazards are recorded in ECCTA's Systems Hazards electronic database.

5) **Incident Report and Initial Exposure Incident Report**
   <u>Operations</u>

Operations employees document incidents that occur on the road, on the bus, or at the facility through an Incident Report. Incident Reports are for reporting any of the following that occurred: injury to employee, dispute between employees, dispute between operator/passenger, dispute between operator, motorist, dispute between passengers, operator/passenger victim of assault/theft, intoxicated passenger, passenger illness, vandalism/damage to bus, fire on bus, bus struck animal, witness report, dispute- fare/transfer, missed passenger, object struck bus, off route, other.

Incidents with passengers involving slips and falls on or near the vehicle, fights, police action, or removal of a passenger, must be reported to dispatch immediately and require a SOP #700a– Auto & General Liability Claim Form to be completed by management before going off duty for the workday.

All other incidents and occurrences out of the norm, no matter how slight, are to be reported to dispatch upon return to the yard.

The following are examples of incidents that must be reported:

- Broken or cracked windows from unknown causes,
- Cut seats,
- Service delays,
- Passing up passengers,
- Insufficient or excessive running time in schedule,
- Overloads, etc.

If in doubt, operators are to immediately contact dispatch.

If there is a hazard or safety concern reported, the information is recorded in ECCTA's Systems Hazards electronic database. ECCTA's CEO and COO receive a quarterly report on all operations Incident Reports. Any risk of operator assault is identified and mitigated through incident reporting.

Facilities
Maintenance and administration employees document incidents that occur on the road, on the bus, or at the facility through an Incident Report. Incident Reports are for reporting any of the following that occurred: employee injury, dispute between employees, property damage, environmental issue, other. If there is a hazard or safety concern reported, the information is recorded in ECCTA's Systems Hazards electronic database.

Maintenance and administration employees document blood borne pathogen incidents that occur on the road, on the bus, or at the facility through an Initial Exposure Incident Report. If there is a hazard or safety concern reported, the information is recorded in ECCTA's Systems Hazards electronic database.

6) **Incident Alert and Security Incident Report**
Operations
Incident Alert
The Incident Alert documents incidents that occur on ECCTA vehicles. The Incident Alert is for reporting employee injury, collision, passenger/third party injury, assault, injury to passengers with disabilities, security event, facility/property damage, sleeping children, media event, and other event. Any identified hazards, potential consequences of the hazards, and corrective action taken are recorded in ECCTA's Systems Hazards electronic database. Any risk of operator assault is identified and mitigated through Incident Alert reporting.

Facilities
Security Incident Report
The Security Incident Report documents incidents that occur on ECCTA property. Security Incident Reports are for reporting any of the following that occurred: arson, aggravated assault, burglary, breaking or entering, forcible rape, homicide, larceny/theft, motor vehicle theft, robbery, alcohol/drunkenness, bomb threat, disorderly conduct, drunk driving, fighting, gambling, kidnapping, liquor law violations, narcotics, sexual offenses (indecent exposure), suspicious activity, trespassing, vagrancy/loitering, vandalism, weapons, fare evasion, lost child, medical assistance, public expectoration/urination, sleepers, smoking/eating/drinking, suspicious activity, and vehicle towing. Any identified hazards, potential consequences of the hazards, and corrective action taken are recorded in ECCTA's Systems Hazards electronic database. Any risk of operator assault is identified and mitigated through Security Incident Reporting.

7) **Accident Investigation**
Operations
Operator Incident Report
Auto & General Liability Claim Form
Accident & Safety Data Acquisition and Reporting
Courtesy Card

Accidents are considered to be any collision that occurs while an operator is on duty. Operators are to report all accidents and collisions to dispatch immediately upon

occurrence.

SOP #700c– Operator Incident Report and SOP #700a– Auto & General Liability Claim Form, must be completed by the operator involved and First Transit management for accidents, possible claims of accidents, damage to equipment, injury and possible injury not later than one hour after completion of shift on the day of occurrence. Any vehicle defects that may have contributed to an accident shall be included in the report.

SOP #700– Accident & Safety Data Acquisition and Reporting, and the supporting SOP's, 700a– Auto and General Liability Claim Form; 700b– Courtesy Card; 700c– Operator Incident Report; ensure that the appropriate actions happen at the scene for the safety and security of First Transit passengers and employees; and that the appropriate data is collected to evaluate the incident, determine culpability; and develop actions to limit or eliminate the possibility of the incident occurring in the future.

Any identified hazards, potential consequences of the hazards, and corrective action taken from the accident investigation are recorded in ECCTA's Systems Hazards electronic database.

Facilities
Occupational Incident/Injury/Illness Investigation Report
All maintenance and administration employees are required to immediately report and document accidents, incidents, and occurrences. The Occupational Incident/Injury/Illness Investigation Report is used to investigate reported accidents, incident, and occurrences. Root cause analysis is documented during the investigation. Any identified hazards, potential consequences of the hazards, and corrective action taken from the accident investigation are recorded in ECCTA's Systems Hazards electronic database.

8) **Data and Information Provided by Oversight Authority and Federal Transit Administration (FTA)**
ECCTA will monitor data and information provided by an oversight authority and FTA for any identified hazards and safety concerns. If the identified hazards and safety concerns are applicable to ECCTA, ECCTA will record the information in the Systems Hazards electronic database.

The Maintenance Plan is located in the Director of Maintenance office. The Administration, Operations & Maintenance Facility Plan, Security Incident Report, and Initial Exposure Incident Report are located in the Facilities Manager office. The SWPP, IIPP, Incident Report, and Occupational Incident/Injury/Illness Investigation Report are located in the Manager of Administrative Services office. The Daily Health and Safety Walkthrough, Daily Health and Safety Walkthrough Checklist, Incident Report, Incident Alert, Auto & General Liability Claim Form, Accident & Safety Data Acquisition and Reporting, and Courtesy Card are located on First Transit's corporate website.

Safety Risk Assessment
Systems Hazards electronic database
ECCTA uses a Systems Hazards electronic database to assist with safety risk assessment. When a hazard is identified, a Systems Hazards Sheet is created to measure and analyze the safety risk. The Systems Hazards Sheet is saved in the Systems Hazards electronic database. The risk description is documented on the Systems Hazards Sheet. Applicable details such as bus number and location are reported. The risk probability and risk severity are determined taking into account existing mitigations, then a risk assessment is automatically calculated based on the Risk Assessment Matrix. Risk impact, risk response, and response strategy are documented. A contingency plan is documented if it is determined necessary. The information is shared with the Safety Solutions Team. After approval of mitigation, mitigation steps are

implemented, then there is follow-up of the safety risk and its corrective actions to make certain there is reduction of severity or elimination of the safety risk.

1) Risk Probability

The definition of risk probability is the likelihood that the consequence of the hazard might occur, considering the worst foreseeable- but credible- condition. Determination of risk probability must take into account existing mitigations. The subjective measure is ranked as follows:

- **A) Frequent**- Will occur frequently in the life of an item; continuously experienced in fleet/inventory
- **B) Probable**- Will occur several times in the life of an item; will likely occur in fleet/inventory
- **C) Occasional**- Likely to occur sometimes in the life of an item; will occur several times in fleet/inventory
- **D) Remote-** Unlikely but possible to occur in life of an item; unlikely, but can be expected to occur in fleet/inventory
- **E) Improbable**- So unlikely, occurrence may not be experienced; unlikely to occur, but possible to occur in fleet/inventory
- **F) Eliminated**- Risk removed/eliminated; will not occur in fleet/inventory

Probability Level		Likelihood of event in specific item	Occurrence Description
a	Frequent	Will occur frequently	Continuously Experienced
b	Probable	Will occur several times	Will likely occur
c	Occasional	Likely to occur sometimes	Will occur several times
d	Remote	Unlikely but possible to occur	Unlikely, but can be expected to occur
e	Improbable	So unlikely, occurrence may not be experienced	Unlikely to occur, but possible
f	Eliminated	Risk removed / eliminated	Will not occur

2) Risk Severity

Risk severity is the anticipated effects of a consequence of the hazard, should it materialize. It is a subjective assessment of the damaging potential of the consequence of the hazard under the worst foreseeable- but credible- condition. Determination of risk severity must take into account existing mitigations. Risk severity is categorized as follows:

- **1) Catastrophic**- Death or system loss
- **2) Critical**- Severe injury, severe occupational illness, or major system damage
- **3) Marginal**- Minor injury, minor occupational illness, or minor system damage
- **4) Negligible**- Less than minor injury, less than minor occupational illness, or less than minor system damage

Severity	1. Catastrophic	2. Critical	3. Marginal	4. Negligible
Injury	Death	Severe Injury	Minor Injury	Less Than Minor Injury
Occupational Illness	Death	Severe Occupational Illness	Minor Occupational Illness	Less Than Minor Occupational Illness
Service/ Operation	System Loss	Major System Damage	Minor System Damage	Less Than Minor System Damage

3) **Risk Assessment Matrix**
The Risk Assessment Matrix calculates the risk level based on the risk probability and risk severity analysis. The risk assessment allows ECCTA to evaluate the acceptability of the safety risk and prioritize safety risk mitigation efforts.
1) High
2) Serious
3) Medium
4) Low
5) Eliminated

ECCTA RISK ASSESSMENT MATRIX

ECCTA Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	a. Frequent	High (1a)	High (2a)	Serious (3a)	Medium (4a)
	b. Probable	High (1b)	High (2b)	Serious (3b)	Medium (4b)
	c. Occasional	High (1c)	Serious (2c)	Medium (3c)	Low (4c)
	d. Remote	Serious (1d)	Medium (2d)	Medium (3d)	Low (4d)
	e. Improbable	Medium (1e)	Medium (2e)	Medium (3e)	Low (4e)
	f. Eliminated	Eliminated			

	Resolution Requirements	
High	Unacceptable	correction required
Serious	Undesirable	correction may be required, decision by management
Medium	Acceptable w/ review	with review and documentation by management
Low	Acceptable	without review
Eliminated	Acceptable	no action needed

Based on Military Standard 882E

4) **Risk Impact**
Risk impact describes the effects or consequences of the risk associated with the hazard.

5) **Risk Response**
Risk response strategies are the approaches ECCTA can take to manage the risk associated with the hazard. Risk response is categorized as follows:
1) **Acceptance.** Accept the consequences of the hazard.
2) **Avoidance.** Avoid the consequences of the hazard.
3) **Contingency.** Backup solution to reduce the likelihood and/or severity of consequences of the hazard.
4) **Mitigation.** Solution to reduce the likelihood and/or severity of consequences of the hazard.
5) **Transfer.** Shift the consequences of the hazard from one party to another.

The Systems Hazards Sheet is listed in Appendix B.

Safety Risk Mitigation
ECCTA strives to reduce to the lowest level practical, the safety risk associated with an identified hazard. Safety risk mitigation is not synonymous with hazard elimination. ECCTA's transit environment contains some hazards that are impossible to eliminate and others that are highly impractical to eliminate. Accomplishing reduction of risk to the lowest practical level occurs in a variety of ways, from protective and warning devices to special procedures. There are, however, some hazards that present unacceptable risk requiring elimination. Part of the safety risk mitigation process is the use of the Risk Assessment Matrix. The matrix describes if the safety risk level is acceptable, acceptable with review, undesirable, or unacceptable. ECCTA's Risk Assessment Matrix is as follows:

ECCTA RISK ASSESSMENT MATRIX

ECCTA Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	a. Frequent	High (1a)	High (2a)	Serious (3a)	Medium (4a)
	b. Probable	High (1b)	High (2b)	Serious (3b)	Medium (4b)
	c. Occasional	High (1c)	Serious (2c)	Medium (3c)	Low (4c)
	d. Remote	Serious (1d)	Medium (2d)	Medium (3d)	Low (4d)
	e. Improbable	Medium (1e)	Medium (2e)	Medium (3e)	Low (4e)
	f. Eliminated	Eliminated			

Resolution Requirements		
High	Unacceptable	correction required
Serious	Undesirable	correction may be required, decision by management
Medium	Acceptable w/ review	with review and documentation by management
Low	Acceptable	without review
Eliminated	Acceptable	no action needed

Based on Military Standard 882E

After the risk assessment is complete, resolution requirements indicate if the safety risk level is:
1) **High**- **Unacceptable** with correction required
2) **Serious**- **Undesirable** and correction may be required, decision by management needed
3) **Medium**- **Acceptable with review** and documentation by management
4) **Low**- **Acceptable** without review by management
5) **Eliminated**- **Acceptable** with no action needed

Elimination or reduction of hazards with safety risk in the highest risk category in the Risk Assessment Matrix (High: 1a, 1b, 1c, 2a, 2b) occurs until the hazards are in a lower risk category and acceptable. Elimination or reduction of hazards with safety risk in the second highest risk category in the Risk Assessment Matrix (Serious: 1d, 2c, 3a, 3b) occurs until the hazards are in a lower risk category and acceptable.

Approach to Hazard Elimination and Mitigation
If the safety risk associated with an identified hazard requires correction, mitigation efforts will occur. Risk mitigation is a solution that reduces the likelihood and/or severity of consequences of the hazard. If mitigation is recommended, ECCTA uses a hierarchal approach to eliminate or reduce the safety risk associated with the hazard:
1) **Design for minimum risk**
2) **Use of safety devices**
3) **Use of warning devices**
4) **Provide special procedures and training**
5) **Provide Personal Protective Equipment (PPE)**

Design for minimum risk
When designing for minimum risk, there should be provisions in all designs to identify and eliminate hazards through appropriate safety and security design concepts. To the extent permitted by cost and practicality, identified hazards are eliminated or controlled by the design of equipment, systems and facilities. Design provides mitigation to the lowest practical risk level for hazards not eliminated.

Use of safety devices
After design, the use of fixed, automatic, or other protective safety devices may reduce remaining hazards to an acceptable risk level. These safety devices are critical system elements and will be inspected and maintained as such.

Use of warning devices

When design and safety devices cannot effectively mitigate hazards, use of warning devices may provide timely detection of the activated hazard and generate adequate warning signals to alert persons of the hazard. Design of warning signals shall minimize the probability of incorrect reaction to the warning by employees or other individuals. These warning devices are critical system elements and will be inspected and maintained as such.

Provide special procedures and training

Where it is impossible to adequately mitigate hazards through design, safety devices, or warning devices, written procedures and training are used to either reduce the probability of the hazard occurring, reduce the severity of the hazard if it does occur, or both, so that an acceptable risk level is achieved.

Provide Personal Protective Equipment (PPE)

When design, safety devices, warning devices, written procedures and training cannot effectively mitigate hazards, PPE may be used to achieve an acceptable risk level. The use of PPE ensures employees wear the proper protective clothing, gloves, safety glasses, ear protection, etc for the job.

The documented risk response strategy is shared with the Safety Solutions Team. After concurrence by the Safety Solutions Team, the risk response strategy for a safety risk of high, serious, or medium level is presented to the CEO who may accept, modify, or reject the recommendation. Upon modification or rejection of the recommendation, the Safety Solutions Team will further analyze, determine strategy and recommend other actions until final approval by the CEO. Referral of the approved risk response strategy is directed to the responsible department for implementation. After the risk response strategy is implemented, the safety risk is re-evaluated by the Safety Solutions Team for acceptability or the need for further mitigation.

6. Safety Assurance

Safety Performance Monitoring and Measurement

Describe activities to monitor the system for compliance with procedures for operations and maintenance.

ECCTA monitors the system for compliance with procedures for operations and maintenance according to the following chart.

Safety Assurance Process	If yes, then....
Procedures Monitoring and Measurement	
Inadequate compliance?	Address non-compliance
Insufficient?	Evaluate hazards through Safety Risk Management

Operations
On-Board Video Technology

On-Board Video Technology is a valuable resource that helps operations instill positive driving behaviors by providing opportunities to view recorded driving events, driver history, and company trends. The goal of this in-cab camera technology is to proactively identify unsafe behaviors and improve those identified behaviors through coaching, retraining, and if necessary, disciplinary measures in accordance with the provisions of First Transit's Employee Handbook and applicable Collective Bargaining Agreements. If monitoring On-Board Video Technology documents that procedures are insufficient, operations will evaluate any identified hazards through the Safety Risk Management process.

Performance Audits

Operators are required to receive a pre-training evaluation, final evaluation, annual evaluation and retraining evaluation. Operations monitors operator performance to identify any non-compliance with procedures or insufficient procedures. If monitoring documents that employees are not complying with procedures, operations will address the non-compliance. If monitoring documents that procedures are insufficient, operations will evaluate any identified hazards through the Safety Risk Management process.

<u>**Maintenance**</u>

Road Calls and Vehicle Break Downs

Through monitoring road calls and vehicle break downs, maintenance monitors that employees are complying with procedures. If monitoring documents that employees are not complying with procedures, maintenance will address the non-compliance. If monitoring documents that procedures are insufficient, maintenance will evaluate any identified hazards through the Safety Risk Management process.

Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

ECCTA monitors operations to identify any safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended according to the following chart.

Safety Assurance Process	If yes, then....
Safety Risk Mitigation Monitoring and Measurement	
Ineffective?	Evaluate hazards through Safety Risk Management
Inappropriate?	Identify new mitigation under Safety Risk Management
Not implemented?	Address non-compliance

Safety Solutions Team (SST) and Employee Reporting Program

Information reported through the employee safety reporting program is monitored by the Safety Solutions Team (SST). SST members identify safety concerns through the employee reporting system, seek solutions to the concerns, and communicate follow up information on identified safety concerns reported through the employee safety reporting program through posted SST minutes. Throughout this process, SST members also monitor safety risk mitigations. If monitoring identifies any safety risk mitigation that is ineffective, then hazards will be evaluated through the Safety Risk Management process. If monitoring identifies any safety risk mitigation that is inappropriate, then new mitigation will be identified under the Safety Risk Management process. If monitoring identifies any safety risk mitigation that was not implemented, then the non-compliance will be addressed.

Describe activities to conduct investigations of safety events to identify causal factors.

A safety event is any accident, incident, or occurrence. ECCTA conducts investigations of safety events to identify causal factors according to the following chart.

Safety Assurance Process	If yes, then....
Safety Event Investigations	
Causal factors identified?	Evaluate hazards through Safety Risk Management
Information collected?	Use to monitor and measure through other Safety Assurance processes

Operations

First Transit has a "zero" tolerance for preventable injuries and collisions. Elimination of preventable injuries and collisions is the number one goal.

Any injury, collision or incident that occurs is investigated to determine preventability or non-preventability. Investigations include all instances in which:

- a vehicle was damaged
- a vehicle leaves the traveled roadway
- a passenger is injured or
- an employee is injured

SOP #700-Accident & Safety Data Acquisition describes the data collection process including:

- Defining the Event & What to Do
- Accidents– Defining the Accident
- "Five Cardinal Rules That Apply to an Accident"
- Operator Responsibility
- Dispatcher on Duty Accident Investigation Responsibility

Management reviews the data collected to determine if the accident/incident was preventable or non-preventable and to identify measures to reduce the risk of the accident/incident occurring in the future. When causal factors are identified through investigation, the hazards will be evaluated through the Safety Risk Management process. Information collected from investigations will be used to monitor and measure through other Safety Assurance processes.

Facilities
Occupational Incident/Injury/Illness Investigation Report
All maintenance and administration employees are required to immediately report and document accidents, incidents, and occurrences. The Occupational Incident/Injury/Illness Investigation Report is used to investigate reported accidents, incident, and occurrences. Root cause analysis is documented during the investigation. When causal factors are identified through investigation, the hazards will be evaluated through the Safety Risk Management process. Information collected from investigations will be used to monitor and measure through other Safety Assurance processes.

Describe activities to monitor information reported through internal safety reporting programs.

ECCTA monitors information reported through internal safety reporting programs according to the following chart.

Safety Assurance Process	If yes, then….
Internal Reporting Programs Monitoring and Measurement	
Safety concerns identified?	Evaluate hazards through Safety Risk Management
Information collected?	Use to monitor and measure through other Safety Assurance processes

Safety Solutions Team (SST) and Employee Reporting Program
Information reported through the employee safety reporting program is monitored by the Safety Solutions Team (SST). SST members identify safety concerns through the employee reporting system, seek solutions to the concerns, and communicate follow up information on identified safety concerns reported through the employee safety reporting program through posted SST minutes. Throughout this process, SST members also monitor safety risk mitigations. Safety concerns are identified and hazards are evaluated through the Safety Risk Management process. Information collected through the employee safety reporting program is used to

monitor and measure through other Safety Assurance processes.

7. Safety Promotion

Competencies and Training

Describe the safety training program for all agency employees and contractors directly responsible for safety.

Safety is a top priority at ECCTA. Safety information and training is provided to all employees. ECCTA has the following safety training programs:

Operations
First Transit provides the training program for all operations employees. Training employees to assess risks and recognize and avoid hazards in the workplace is critical to the overall safety of the workplace. Every First Transit employee is trained in **"BeSafe"** and **"Safe Work Methods"**. **"BeSafe"** is First Transit's company-wide approach to safety management. This program takes safety performance to the next level through behavioral change. "BeSafe" is inclusive, collaborative and focuses on recognizing and acknowledging safe behavior and actions through positive reinforcement such as debriefs, tours, and touchpoints. All employees are trained in the principles of "BeSafe." First Transit's **"Safe Work Methods"** is designed to educate employees on how to identify conditions and actions posing risks to their well-being and that of their coworkers. This training is to be used:

1. In training new hire employees
2. In leading supervisors in identifying root causes of workplace injuries
3. In retraining injured workers so that re-occurrences are avoided
4. To supplement First Transit's First Occupational Rehabilitation Management (F.O.R.M.) light duty and return to work management program, in controlling workers compensation losses

The "Safe Work Methods" training curriculum includes:
- **New Hire Training**
  New hire training is designed to educate the new employee to the hazards commonly found in the transportation environments including in vehicle maintenance shops, bus yards, fuel islands, wash bays, and office environments. The program also makes employees aware of injuries that can result from physical activities such as entering and exiting vehicles, assisting persons with disabilities, and handling mobility devices.
    - PPE program including requirements for appropriate
      - Safety eyewear
      - Safety footwear
      - Safety hand wear
      - Hi-Vis vests
      - Disposal contaminated materials
    - Risk Assessment and Injury Avoidance
      - Walking and Climbing
      - Lifting, Carrying, Holding, and Lowering Objects
      - Pushing, Pulling, and Twisting
      - Burns, Scalds
      - Exposed Fluids, Chemicals, Smoke
      - Cuts, Punctures, Abrasions, Lacerations
      - Mobility Device Lifts/Ramps

1. **Requirements for Operator Training**
   Applicants are required to successfully complete a comprehensive training program prior to transporting passengers. Trainees are continually evaluated and tested throughout the training program. Trainees who do not demonstrate the required level of proficiency are provided additional training or are removed from training. The operator training program combines instructor-led sessions, video instruction, facilitated discussion, and opportunities for the trainees to practice what they have learned. Training topics include:

   Classroom Training
   The first part of operator training at First Transit, classroom training, begins the process of instilling the safety culture into each operator. Helping the student operators understand the importance of keeping themselves and each passenger safe; and their responsibilities in maintaining a safe environment, is a theme integrated throughout.
   - **Unit 1- Introduction**
     o Welcome and Introduction
     o Title VI Civil Rights Act 1964
     o Employee Handbook
     o BeSafe - Making Safety Personal
     o Hazardous Communication
     o Blood borne Pathogens
   - **Unit II- Fundamentals**
     o Safe Work Methods
     o Basics of Safety
     o Managing Emergencies
     o Security Awareness
     o Map Reading
     o Communication Devices
     o Navigation and Fare Policies
     o Smith System
   - **Unit III- The Operator**
     o Drug and Alcohol Awareness
     o Distracted Driving
     o Fatigue and Sleep Apnea Awareness
   - **Unit IV- Transporting Passengers with Disabilities**
     o Transporting Passengers with Disabilities
     o Interacting with Passengers
     o Diffusing Conflict
     o Passenger Care While Loading and Unloading
     o Mobility Aids and Devices
   - **Unit V- Driving Fundamentals**
     o Driving Fundamentals I
     o Driving Fundamentals II
     o Roadway Types
     o Railroad Crossings

   Behind-the-Wheel Training
   Behind-the-Wheel training is conducted in three phases. Since most people coming to work as a bus operator have not been exposed to driving the types of vehicle used at First Transit, the first part of behind-the-wheel training takes place on a closed course. This provides the opportunity for the Instructors to evaluate the skill levels of each employee; and gives each employee the opportunity to make and learn from their mistakes in a safe environment.

The next phase of Behind-the-Wheel training takes place on the road, but in a controlled manner. During the road phase of the training, each student operator works one-on-one with a First Transit Instructor. The road work begins with the basics; intersections, service stops, and backing. The next advanced stage of the road work addresses roadways, highway driving, and continues the instruction on intersections and service stops. The "Smith Driving System" principles are incorporated throughout the entire Behind-the-Wheel training phase.

- **Closed Course (Group Work)**
  - Vehicle Orientation
    - Pre-Trip Inspection
    - Seat Adjustment
    - Mirror Adjustment
    - Braking, Accelerating, and Transmission
    - Wheelchair Securement
  - Reference Points
    - Lane Position
    - Right Side / Left Side
    - Backing Point
    - Forward Stop
    - Pivot Points
    - Turning Points
  - Vehicle Control
    - Straight in Lane
    - Left Turn
    - Right Turn
    - Lane Changing- Moving Right or Left
- **One on One Instruction Behind-the-Wheel**
  - **Basic Road Work**
    - "Smith System"
    - Intersections
    - Service Stops
    - Backing
- **Advanced Road Work**
  - "Smith System" Commentary Driving
  - Roadways
  - Expressway / Highway Driving
  - Intersections
  - Service Stops
- **Final Evaluation**
  Upon completion of the training program, before an operator can be placed into service, they must successfully demonstrate their mastery of the skills and practices learned during the training program.
- **Cadet Training**
  Once a new operator has been placed into service there is period of observation where an experienced operator, instructor, or supervisor periodically rides-along to ensure the skills learned in training have successfully transferred to providing service. This includes the securement and transportation of a person with a disability.

2. **Requirements for Staff Training**
   Staff personnel are trained in Safety Leadership and "BeSafe".

- **Safety Leadership**
  This is an interactive CD-ROM course consisting of 5 CD's and leaders

guides which are designed to educate all levels of First Transit management on the behaviors surrounding accidents. Every level of management takes the course and successfully pass an online test, found on the Safety Resource Center (SRC), with a passing grade of 90% or better.

The course outline is as follows:
- o Safety Leadership
  - Accidents
  - Behavior
  - Leadership
- o Supervisor Development
  - The Role of the Supervisor
  - Communication
  - Building Trust
  - Conflict Resolution
  - Performance Management
  - Decisions
- **Additional Safety Training**
  - o Reasonable Suspicion
  - o Supervisor's Report of Reasonable Suspicion
  - o Code of Conduct
  - o Customer Service
  - o OSHA Requirements
  - o Hazard Abatement FORM– CA Only

3. **Requirements for Continuing Training and Evaluations**
First Transit provides ongoing employee training and evaluations.

The objective of ongoing evaluations is met through a broad spectrum of regularly scheduled management activities including:
- road observations,
- ride along evaluations, and
- daily safety contacts.

Where evaluations and observations identify unsafe acts or conditions, retraining is provided to improve skill levels in accordance with corporate standards.

Safety Meetings
- Twelve (12) safety meetings are held annually
- Each meeting is to be a minimum of one (1) hour in length
- A required topic along with a safety campaign including posters and DVD is presented to all employees
- Attendance is a condition of employment and is mandatory for all operators, management, and operational staff. *(Unless stated otherwise in the Collective Bargaining Agreement.)*
  - o Failure to attend all meetings will result in disciplinary actions up to and including termination.

Retraining
First Transit has a "zero" tolerance for preventable injuries and collisions, elimination of preventable injuries and collisions is the number one goal.

An employee involved in a preventable injury or collision is placed on administrative leave pending completion of the investigation and completion of any required retraining.

Facilities
All ECCTA employees participate in an employee orientation on the first day of being hired. The Workplace Security Program, Safety Management Policy Statement and employee safety reporting program are discussed at orientation. Administrative and maintenance employees receive annual training on the Safety Management Policy Statement and employee safety reporting program at the "Right to Understand" training class.
ECCTA has a comprehensive health and safety training program in order to accomplish our safety objectives. The training program is designed to instruct each employee regarding general safety procedures, as well as hazards and safety procedures specific to each employee's duty assignment. Training is provided on an annual basis for all permanent administrative and maintenance employees according to the training matrix in **ECCTA's training program (Appendix C)**.

Safety Communication

Describe processes and activities to communicate safety and safety performance information throughout the organization.

Safety and safety performance information is communicated throughout the organization in the following ways:

Operations
In addition to safety posters in the driver's room, First Transit has four main communication boards featuring different safety information. Safety communication content includes safety-related hazards and safety messaging for the operations department.

- **BeFirst**- The BeFirst safety communication board is regularly updated to reflect the number of collision free days, injury free days, and lost work days. There are two safety topics communicated on the BeFirst board. Safety topics are selected by the First Transit corporate safety team.

- **In the Spotlight**- In the Spotlight is used to communicate current operational and safety information. Safety department communication, how to report safety concerns, monthly SST minutes which includes follow up information on identified safety concerns reported through the employee safety reporting program, and the Safety Management Policy Statement are posted on this communication board.

- **Hot Spot**- The Hot Spot board is located near the door to the bus yard and displays road safety tips. Road safety tips are updated as needed to focus on the current safety topic.

- **Health & Wellness Board**- The Health & Wellness Board is updated monthly with nutrition, financial, local, safety, fitness, and topic of the month information. This board communicates the health management program to employees.

First Transit has individual motivators in place using individual achievement awards to help affect individual safety improvement through the use of personal recognition awards. Currently established safety awards for First Transit employees are:
- **Annual Safe Driver Awards**
- **Safety Solutions Team Recognition** to identify and recognize safety team members

"First Transit Connect" employee app is a peer to peer safety communication tool offering safety tips, best practices, recognition, offering ideas on "What Works", Safety Happenings, and Safety Pep Rallies.

Facilities

The required OSHA, state and federal posters are placed in the maintenance and administration employee break room. In addition, the maintenance department has safety posters at the computer work station and a communication board that is updated as needed. Safety communication content includes safety-related hazards and safety messaging. The administration department has a communication board in the break room that is updated as needed. How to report safety concerns, monthly SST minutes which includes follow up information on identified safety concerns reported through the employee safety reporting program, and the Safety Management Policy Statement are posted on the maintenance and administration communication boards.

ECCTA holds an annual Safety Awards Luncheon for maintenance and administrative employees to recognize the importance of safety at the agency. One maintenance employee and one administrative employee are selected as the "Safety Employee of the Year".

Additional Information

Supporting Documentation

Include or reference documentation used to implement and carry out the Safety Plan that are not included elsewhere in this Plan.

- First Transit Safety Management System SOP #801 and #801a Mobility Device & Mobility Device Occupant Securement- Bus Operator Evaluation. This document relates to performance audits and Safety Assurance. It is available on First Transit's corporate website.
- First Transit Safety Management System SOP #803, #803a, and #803b Safety Solutions Team. These documents describe the operation of the safety committee. They are available on First Transit's corporate website.
- First Transit SOP #900 Facility Hazard Recognition Manual. This document outlines First Transit's Safety Management System Policy. It is available on First Transit's corporate website.
- First Transit System Safety & Security Plan. Injury & Illness Prevention Program- CA only. This document assists with Safety Hazard Identification. It is available on First Transit's corporate website.
- First Transit Driver Enhancement Training/Coaching Guidelines assists with the Safety Risk Management process. This document is available on First Transit's corporate website.
- ECCTA Injury Illness and Prevention Plan in the ECCTA Employee Handbook assists with Safety Hazard Identification. The Manager of Administrative Services maintains this document.
- ECCTA Training Program in the Hazardous Materials Business Plan. This document outlines the safety training program that is a component of Safety Promotion. The Manager of Administrative Services maintains this document.
- Security Incident Report in the ECCTA Security and Emergency Preparedness Program (SEPP). This document assists with Safety Hazard Identification. The Facilities Manager maintains the security incident reports and the Manager of Administrative Services oversees the SEPP.

Definitions of Special Terms Used in the Safety Plan

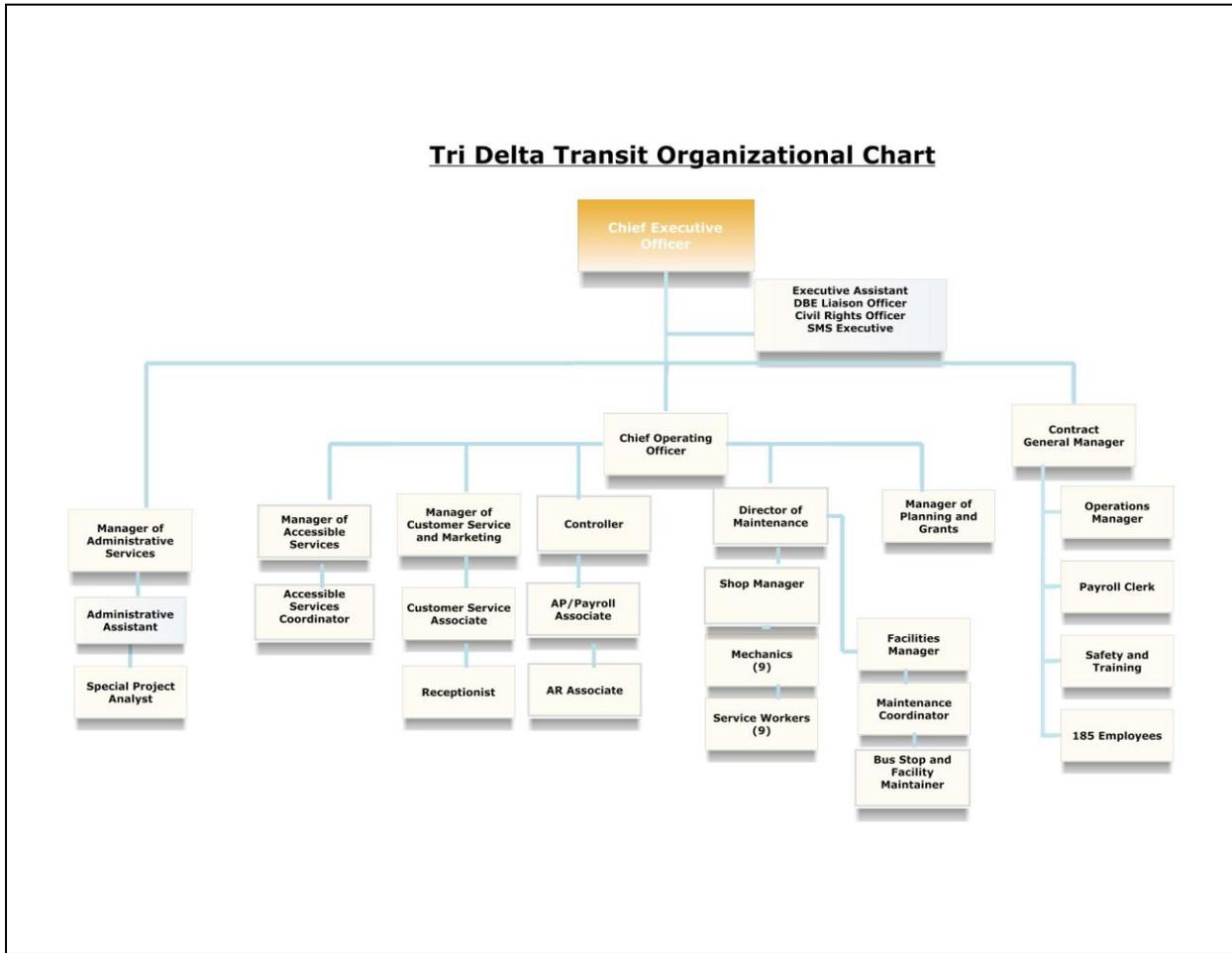| Term	Definition
Accident	An event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of public transportation vehicles with damage valued at $5,000 or more, or a disabled vehicle towed; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
Consequence	An effect of a hazard involving injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
Event	Any accident, incident, or occurrence.
Hazard (First Transit definition)	Anything that may cause harm in the near future.
Hazard	Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.
Hazard Analysis	Formal activities to analyze potential consequences of hazards during operations related to provision of services.
Incident	An event involving 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.
Near Miss	An event you witnessed where no harm was caused, but there was the potential to cause injury or ill health; a dangerous occurrence.
Occurrence	An event without any personal injury in which damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of an agency.
Performance Target	A quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).
Risk probability	The likelihood that the consequence might occur, considering the worst foreseeable-but credible-condition.
Risk	Composite of predicted severity and likelihood of the potential effect of a hazard.
Risk Impact	The effect or consequences of the risk.
Risk Mitigation	The activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.
Safety Assurance	The processes within a transit agency's SMS that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Safety Deficiency	A condition that is a source of hazards and/or allows the perpetuation of hazards in time.
Safety Risk Management	A process within a transit agency's safety plan for identifying hazards, assessing the hazards, and mitigating safety risk.
Safety Risk Severity	The anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable-but credible-condition.
Safety Management Policy	A transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees in regard to safety.
Safety Management System (SMS)	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 systemic procedures, practices and policies for managing risks and hazards.
Safety Performance Target	A performance target related to safety management activities.
Safety Promotion	A combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.
Safety Risk	The assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.
Serious Injury	Any injury which: 1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received; 2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses); 3) Causes severe hemorrhages, nerve, muscle, or tendon damage; 4) Involves any internal organ, or 5) Involves second-or third-degree burns, or any burns affecting more than 5 percent of the body surface.
System Reliability	Miles between road calls.
Vehicle Revenue Miles	The miles that vehicles are scheduled to or actually travel while in revenue service.

List of Acronyms Used in the Safety Plan

Acronym	Word or Phrase
BART	Bay Area Rapid Transit
CEO	Chief Executive Officer
COO	Chief Operating Officer
Caltrans	Caltrans Division of Rail and Mass Transit
DUI	Driving Under the Influence

DWI	Driving While Intoxicated
ECCTA	Eastern Contra Costa Transit Authority
FTA	Federal Transit Administration
IIPP	Injury Illness Prevention Plan
MTC	Metropolitan Transportation Commission
PPE	Personal Protective Equipment
SEPP	Security and Emergency Preparedness Program
SMS	Safety Management System
SOP	Standard Operating Procedure
SWPP	Storm Water Prevention Plan
TAM	Transit Asset Management
TSI	Transportation Safety Institute

Organizational Chart

Tri Delta Transit Organizational Chart

- **Chief Executive Officer**
  - Executive Assistant
    DBE Liaison Officer
    Civil Rights Officer
    SMS Executive
  - **Chief Operating Officer**
    - **Manager of Administrative Services**
      - Administrative Assistant
        - Special Project Analyst
    - **Manager of Accessible Services**
      - Accessible Services Coordinator
    - **Manager of Customer Service and Marketing**
      - Customer Service Associate
        - Receptionist
    - **Controller**
      - AP/Payroll Associate
        - AR Associate
    - **Director of Maintenance**
      - Shop Manager
        - Mechanics (9)
        - Service Workers (9)
      - Facilities Manager
        - Maintenance Coordinator
        - Bus Stop and Facility Maintainer
    - **Manager of Planning and Grants**
  - **Contract General Manager**
    - Operations Manager
    - Payroll Clerk
    - Safety and Training
    - 185 Employees

Appendix A

Employee Reporting Program

Near Miss and Hazard Reporting

CATEGORY	DEFINITION
Hazard Report	A report of a hazardous condition that has potential to cause injury to people whether within your place of work, on a vehicle or en route.

Please use to report anything that may cause harm in the near future.

Safety Issues	A report on any safety issue that has a specific cause – e.g. maintenance, housekeeping, environment and behaviour.

Please use to report any safety or security issue that may cause injury or property damage.

Near Miss Report	An incident that could have resulted in an injury within your place of work, on a vehicle or en route.

Please use to report an event you witnessed where no harm was caused, but there was the potential to cause injury or ill health – a dangerous occurrence.

Near miss and hazard reporting (BeSafe)

Date / / Near miss report ☐ Hazard report ☐
Name
Location
Observation(s)

Actions required

Who is to complete the action(s)?

Contractor ☐ Employee ☐ Visitor ☐ Other ☐
First

Please use the Near Miss and Hazard Reporting slips. If you need more, please see a manager or supervisor.

BeSafe

Think **Safe**, Act **Safe**, Be **Safe**!

TRI DELTA TRANSIT

REPORT OF UNSAFE/UNHEALTHY WORKING CONDITION

NAME: *OPTIONAL*	DATE :
HAS SUPERVISOR BEEN NOTIFIED OF SAFETY CONCERN?	YES / NO
IF YES, PLEASE DETAIL ACTIONS TAKEN:	

SPECIFIC CONCERN/ HAZARD:

HAZARD TYPE- CIRCLE ONE
IMMEDIATE THREAT TO LIFE
POTENTIAL THREAT TO LIFE OR SERIOUS INJURY
ERGONOMIC
MINOR HAZARD-INJURY UNLIKELY

RECOMMENDATION FOR CORRECTION:

SUBMIT COMPLETED FORM TO THE DIRECTOR OF ADMINISTRATIVE SERVICES

ACTION TAKEN:

( ) Referred to _____ for investigation

( ) Action taken _____

( ) No action taken. Why? _____

WHITE COPY-MANAGER OF ADMINISTRATIVE SERVICES   YELLOW COPY-EMPLOYEE

SUGGESTION

Instructions: Write your suggestions clearly indicating exactly what is to be done. If you need more space or it it is necessary to draw a sketch use the back of this form or attach a sheet of plain paper.

My
Suggestion
Is...   _____

_____

_____

_____

_____

_____

_____

My
Suggestion
Will
Accomplish
The
Following...   _____

_____

_____

_____

_____

_____

OPTIONAL

NAME _____

DATE SUBMITTED_____

SIGNATURE _____

Appendix B

Systems Hazards Sheet

ID #

Opened Date

Closed Date

Reported By — Please Select One —

Risk Description

Bus # — Please Select One —

Location

Current Status — None —

Probability of Occurence — Please Select One —

Risk Severity — Please Select One —

Risk Assessment Undetermined

Risk Impact

Risk Area — Please Select One —

Notes & Comments

Notes & Comments Doc. Browse...

No Document Available

Risk Response Strategy — Please Select One —

Response Strategy

Contingency Plan

Contingency Plan Doc.

No Document Available

Safety Committee Recommendation

Leadership Decision

ECCTA Training Program

ECCTA Employee Training Matrix

Training	Administration	Maintenance	Timing
Right to Understand (includes Safety Data Sheets, Hazardous Materials and Labeling). Employee Reporting Program/Safety Management Policy Statement	X	X	Prior to assuming job responsibilities and then annually
Spill Prevention Control Plan		X	Same as above
Spill Cleanup		X	Same as above
Storm Water Pollution Prevention Plan	X	X	Same as above
Underground Storage Tank Safety Training – including alarms and leaks	X	X	Same as above
Emergency Evacuation Plan	X	X	Same as above
Security and Emergency Preparedness Plan	X	X	Same as above
Heat Stress		X	Same as above
Sexual Harassment	X	X	Same as above
Violence in the Workplace	X	X	Same as above
Drug and Alcohol Program	X	X	Same as above
Blood borne Pathogens	X	X	Same as above
Fire Extinguisher	X	X	Same as above