Safety Management System (SMS) Manual

CORPUS CHRISTI REGIONAL TRANSPORTATION AUTHORITY (CCRTA)3
MAN-SMS-101
CORPUS CHRISTI, TEXAS

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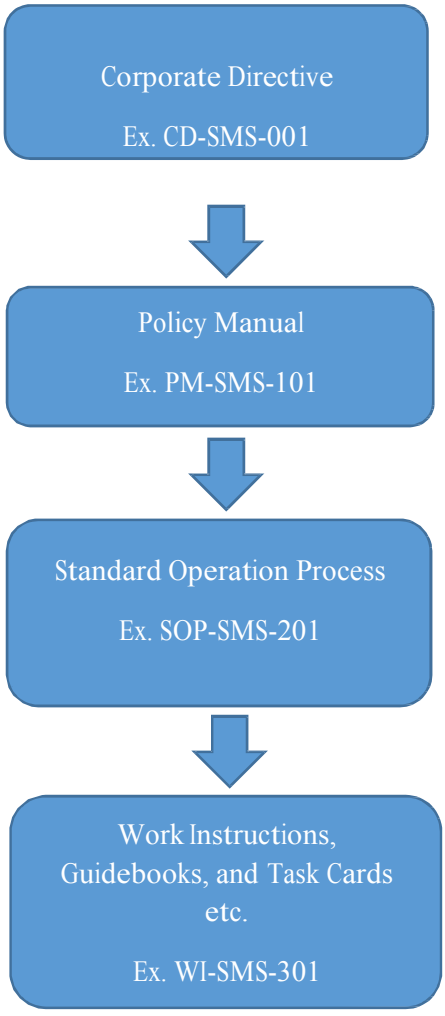
Establishment

This manual is developed and written per the CCRTA – Establishment of Safety Management Systems

Documentation Hierarchy

SOP-SMS-201

Identifies type of document:	Identifies the type of information the document references:	Identifies level of document:
Standard Operation Process	Safety Management Systems	This is a second level document and first in a series



Establishes need for further documentation and carries CD designator. Top Level document

Establishes Scope and Expectation for Actions as to "why" and carries PM designator. First Level Document

Details guidance as to "Who, What, When, and Where" and carries SOP designator. Second Level Document

Details action steps as to "How" and carries WI designator. Third Level Document

Approved Operating Organizations

Organization	Location
CCRTA	Corpus Christi, Texas

Note: This manual is developed for use and adherence by the CCRTA organization which have underwent extensive planning, development, and training specific to the enterprises overall approach to SMS.

Proprietary Notice

The data and information contained herein is proprietary of CCRTA. Neither this data nor the information contained herein shall be reproduced, used, or disclosed to others without the express written authorization of CCRTA. This material is proprietary and confidential.

Signature Page

Below is the contract organization accountable manager and SMS Safety & Security approval for this Safety Management System (SMS) manual. Electronic verification of approvals is maintained within Safety and Security Department.

Contract Organization	Location	Manager (Name & Title)	SMS Manager (Name & Title)
CCRTA	Corpus Christi, Texas	Mike Rendon, Safety & Security Director	

Revision Process

The SMS Manual Revision process consists of submitting a Change Request Form. The requestor shall complete the form in the revision description, detail any known or potential regulatory or operations impact, process change or other consequence of the revision. To submit a request for revisions, utilize the Change Request Form.

Records of Revision

Manual Holder: Electronically published

Manual Number: MAN-SMS-101

Note: Retain this record in the manual and update at every revision change or on cycle, whichever comes first.

Revision Number	Dated	Date Filed	Filed By
Original	3-28-2018	3-28-2018	Mike Rendón

List of Acronyms

The following acronyms apply to all related information in this manual.

ACC/INC – Accident/Incident

ALARP – As Low as Reasonably Practicable

DIR – Director

EEI – Effective Event Investigation

EPRP – Emergency Preparedness Response Plan

ERT – Event Review Team

CEO – Chief Executive Officer

HazRep – Hazard Report

MGR – Manager

MHR – Maintenance Hazard Report

NM – Near Miss

OHR – Operations Hazard Report

RA – Risk Assessment

SARPS – Standards and Recommended Practices

SMS – Safety Management System

SMT – Site Management Team

SSC – Site Safety Council

Master List of Updates

The below noted updates are incorporated into this manual:

Section	Update Details
Original	Not Applicable – Original

1

Chapter One

1.0 Introduction

1.1 Reference: Safety Management System (SMS)

1.2 Purpose: This manual describes the Safety Management System supporting operation of CCRTA contract organizations.

1.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

1.4 General: This manual establishes the SMS policies for all employees of the CCRTA.

1.5 Issue and Update: The control of this manual is in accordance with the Process for SMS Information Management specified in Chapter 12, Information Management. This manual will be reviewed and updated, as applicable, annually beginning on date of issuance.

Immediate changes to this manual may be authorized by the CCRTA in the form of a signed SMS Manual Immediate Change Memo. CCRTA will communicate immediate changes to all concerned through email and SMS website postings.

1.6 Scope: CCRTA SMS has been established consistent with business needs and regulatory impetus. The SMS is designed to reduce safety risks to an acceptable level through a continuous process of hazard identification and safety risk management practices to achieve the following goals:

Reducing transit safety, employee, and environmental risks by better managing CCRTA safety risks and setting goals to eliminate or reduce risks.
Communication of safety risks to employees and their roles and responsibilities related to risks.
Increase awareness of safety issues at all levels of the company, thereby providing a better framework/structure for management to play a leadership role in addressing safety concerns.
Continuous improvement of contract organization SMS and risk controls.
Compliance with all applicable state and federal regulations.
Foster a culture of change management so that safety issues are identified and risks are eliminated or reduced in the planning process and delays or other impediments to business goals are avoided.

The SMS applies specifically to all contract organizations subject to DOT/FTA regulation on SMS and all CCRTA entities that have a corporate established SMS.

1.7 Reference Documents: The following documents are subsequent to this manual.

SMS-201 "Site Safety Council Charter"
SMS-202 "Event Review Team Charter"
SMS-203 "Investigators Guidebook"

1.8 Definitions: The following definitions apply to all related information in this manual.

As Low as Reasonably Practicable – A condition where a risk/hazard has been mitigated to it's lowest manageable level.
Accident – an unfortunate incident that happens unexpectedly and unintentionally, typically resulting in damage or injury.
Hazard Report – A report filed regarding a hazard identified in the workplace.
Disposition Period – The period of time between knowledge of an incident and the when the employee is found culpable or not.
Near Miss Report –A report filed from a narrowly avoided collision or other accident.

- Accident/Incident Report – A report filed regarding an accident
- Hazard – a potential source of danger.
- Near Miss – a narrowly avoided collision or other accident.
- Investigation – a formal inquiry or systematic study
- Physical Property Damage – Damage sustained to a building or items on the grounds of real estate.
- Recordable Injury – Injury resulting in lost time at work.
- Reporting Manager – An employee's direct supervisor.
- Risk – a situation involving exposure to danger.
- Risk Assessment – A systematic study or examination/assessment of a risk.
- Root Cause – The exact cause of an incident or accident where had the root cause found not be present, the accident or incident would not have happened.
- Safety – the condition of being protected from or unlikely to cause danger, risk, or injury. Safety Management System – A business-like approach to managing safety in the workplace. Site – The physical location of an operational entity.
- Training – the action of teaching a person or animal a particular skill or type of behavior.

1.9 Compliance with this Manual: Contract organization SMS manuals are developed for use and adherence by sites that have underwent extensive set-up and training specific to the enterprises overall approach to SMS.

2

Chapter Two

2.0 Safety Responsibilities

2.1 Reference: Safety Management System

2.2 Purpose: To establish accountabilities for safety operations.

2.3 Responsibilities: Established in this section.

2.4 General: To establish accountability for safety.

2.5 Organizational Levels and Roles:

2.5.1 CCRTA Organizational Roles

- CEO: Provides strategic direction for safety policy, risk mitigation, safety assurance and safety promotion.
- Safety & Security Director: Provides leadership in the operation and performance of SMS, develops and implements innovative strategies that foster continuous SMS improvement in a manner that supports departmental, customer and corporate business plans, goals and objectives.

2.5.2 Contract Organization Roles and Responsibilities

- General Manager: The accountable executive within each site operation. Provides site leadership in the implementation, operation and performance of site level SMS activities.
- Operations Manager: Communicates and enables site safety policy related to SMS. Promotes operational safety, environmental responsibility and employee health and safety on and off the job.
- Maintenance Manager: Manages function related to site level maintenance activities.
- Facilities Manager: Manages function related to site level facilities activities.
- Safety Manager: Manages functions related to EHS and operational safety.
- SMS Manager: Serves as a the focal point of contact for SMS activities and coordinates SMS activities at the site level

2.5.3 Site SMS Teams/Councils

- Site Safety Council: The council is the driving force for ensuring that reported safety items are appropriately addressed, concluded, tested, and that the originator of the report is notified of requisite action.

- Site Event Review Team: A site Event Review Team is a collection of identified site personnel representing various parts of the organization that convene post-accident/incident if investigation findings suggest that disciplinary action may be appropriate.
- Site Management Team: The SMT is then charged with championing/sponsoring and providing overall support for SMS related activities, to include proliferation of resources, monetary or otherwise.

2.5.4 All Site Personnel

- Conduct work in the safest manner possible in accordance with approved site procedure, policies and in a manner that enhances their own/other employees' health and safety. Promotes risk reduction, participates openly in safety related events investigations and immediately report workplace hazards and make suggestion for control of reported hazards. Contribute to the overall success of the SMS program at the site level.

2.6 CCRTA SMS Contacts

Name	Role/Location	Contact Information
Jorge Cruz-Aedo	CEO	jcruz-aedo@ccrta.org
Mike Rendón	Director, Safety & Security	mrendon@ccrta.org
Derrick Majchszak	Director, Transportation	dmajchszak@ccrta.org
Kelly Coughlin	Director, Marketing	kcoughlin@ccrta.org

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Chapter Three

3.0 Safety Policy

3.1 References: Safety Management System

3.2 Purpose: To establish SMS Safety Policy

3.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

3.4 General SMS Safety Policy Statement:

CCRTA is committed to the implementation and continuous improvement of an effective safety management system (SMS) aligned with applicable global transit standards. The primary objectives of the CCRTA SMS are to:

- Promote early identification of safety hazards and risks
- Take proactive steps to reduce identified safety hazards and risks
- Promote and enhance our safety culture to support the SMS
- Establish and continuously maintain an acceptable level of safety within all contract organizations

CCRTA will provide the necessary resources to implement, control, and oversee the SMS, including financial and human resources. Through execution of our SMS, CCRTA will implement leading safety risk reduction practices into our business management decisions model including: operations, maintenance, facilities, personnel and support services in order to further promote our transit safety objectives.

3.5 Values and guiding principles

- Integrity
- Commitment to Safety
- Commitment to Continuous Improvement
- Commitment to Compliance

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Jorge Cruz-Aedo, Chief Executive Officer

March 2018

4

Chapter Four

4.0 Safety Culture Policy

4.1 Reference: Safety Management System

4.2 Purpose: This policy identifies the CCRTA philosophy and process required to establish and maintain an appropriate safety/just culture that supports our SMS through proactive risk identification and event management considering human factors and a balanced guiding principle on employee disposition following an event.

4.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

4.4 General Safety Culture Policy:

CCRTA is committed to creating and sustaining a safety culture environment that supports our SMS and recognizes that a number of principles enable the development and sustainment of a positive safety culture including:

- Recognition that fair and equitable treatment of all employees encourages sharing of safety-related information
- Creating and sustaining an environment that actively seeks out risks and supports hazard and event reporting, to include near misses
- Recognition that inappropriate disciplinary measures can suppress open reporting of risks
- Creating and sustaining an environment where there is an understanding that human errors will occur
- Creating and sustaining an environment that promotes openness and learning from events

At CCRTA, there is an expectation that all employees actively promote safety in everything they do. This includes two explicit duties that are the responsibility of all employees:

- To report any hazard, near-miss, unsafe condition or incident that occurs, or is otherwise known about
- To openly participate in any investigation that may arise as a result of any reported hazard, near-miss or event that occurs

CCRTA recognizes that employee actions that contribute to hazards and events may be the result of a wide spectrum of behaviors. These include unintentional error, engaging in at-risk behavior (i.e., moving away from desired behavior, not recognizing risks involved or reckless behavior (i.e., an unacceptable choice that knowingly puts an employee, customer or product in harm's way).

The CCRTA policy regarding these behaviors is as follows:

- Unintentional error will be investigated and feedback given
- At-Risk behavior will usually warrant a verbal or written record of first counseling
- Reckless behavior (and some circumstances of at-risk behavior) will usually warrant more significant positive counseling/corrective action steps to be taken

We are committed to creating an open and fair safety culture with CCRTA that supports our SMS. As we implement this policy, we pledge that our first response to any event will be to investigate fairly the circumstances involved.

[Signature and Original Copy on File]

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Jorge Cruz-Aedo, CEO

March 2018

5

Chapter Five

5.0 Hazard and Near-Miss Reporting

5.1 Reference: Safety Management System

5.2 Purpose: To establish the scope of hazard and near-miss reporting for the SMS.

5.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

5.4 General:

The CCRTA SMS requires proactive reporting of safety hazards or safety concerns on the part of all employees in order to maintain a proactive position on risk.

Under no circumstance will employees be retaliated against for the act of reporting safety related information.

The CCRTA SMS contains both proactive and reactive means of reporting safety hazards and near-miss events. The information derived from proactive reports can provide significant insights into potential risk(s) and furthermore, allows for the continuous improvement of CCRTA's SMS. While post-event accident/incident investigations reveal information about safety hazards, we cannot rely solely on reactive data to expose risk.

When an employee becomes aware of a hazard or near-miss, they shall submit a report within eight (8) business hours or at end of shift using one of the following methods:

Through direct access of SMS report (preferred method)
Notifying supervision/management. Supervision/management is then required to access and report through SMS report.

Reports may be entered through an anonymous portal to SMS report drive where there is no record of who created and submitted the report.

When filing anonymous reports, there is limited ability to provide follow-up communication as the reporter is unknown. Additionally, it is difficult to apply necessary risk mitigation strategies if the reporter does provide enough information for follow-on activities.

Therefore, it is recommended that reporters utilize the non-anonymous hazard reporting form in SMS Y drive.

5.5 Procedure and Process: SOP-SMS-205 and WI-SMS-305

6

Chapter Six

6.0 Risk Assessment

6.1 Reference: Safety Management System

6.2 Purpose: To establish risk assessment policy and protocol

6.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

6.4 General:

All identified and system accepted hazards, near-miss situations and safety events that occur at each site shall be risked assessed. Risk assessments will be conducted for the "as reported" condition and again conducted for the "mitigated" condition. Had a risk mitigation strategy been employed, the risk value of the mitigated assessment shall be lower and in the tolerable range than that of the "as reported" condition. This provides objective evidence that a successful solution was provided and the severity and likelihood of reoccurrence is less than when a report was filed against it.

Additionally, and separate to individual proactive reports, site-wide annual risk assessments will be conducted using RATP site assessment tools and recorded in SMS-Y-Drive Should the capabilities of the site change or significant change become a site, a site-wide assessment will need accomplishment.

6.5 Risk Register: Each site is required to maintain a risk register (SMS-Y-Drive) recording and tracking the results of all reported hazards and their associated risk assessments.

6.6 Change Management: New or revised activities are identified through the safety oversight and performance monitoring processes at each site, including the review of new or revised site operational capabilities. These activities will receive a proactive risk assessment to determine change impact and identify newly introduced organizational risk(s).

6.7 Risk Assessment Monitoring: The risk scores for each site risk register and area of activity, the significant risks and the risk controls shall be reviewed and revised as necessary by the site safety council and management team on no less than a monthly basis.

The risk assessment and risk control process shall be reviewed and revised:

As a part of monthly site safety review process
As applicable due to new or revised activities or procedure
Annually by site senior management and SMS manager/Coordinator

6.8 Procedure and Process: Reference SOP-SMS-206 and WI-SMS-306

7

Chapter Seven

7.0 Incident Reporting

7.1 Reference: Safety Management System

7.2 Purpose: To establish the scope of event reporting for the CCRTA SMS.

7.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

7.4 General:

The SMS is designed to identify hazards and mitigate risks in our organization. Once a hazard has been identified, the associated risks must be mitigated to CCRTA. A site's ability to understand all circumstances surrounding an incident and the resulting causal factors will increase the overall effectiveness of mitigating strategies.

The SMS requires reporting of all product damage, physical property damage and personnel injury using the reporting function in SMS-Y-Drive.

7.5 Incident Reporting Roles and Responsibilities:

7.5.1 Employee: Report any product damage, physical property damage, transit safety issue, immediately to their supervisor or appropriate management personnel.

7.5.2 Reporting Manager/Supervisor: As applicable, secure medical assistance and/or triage the incident scene to ensure that no further damage or injury can take place in the immediate area or immediate time-frame.

7.5.3 SMS Manager/Coordinator: Ensure reports are entered correctly once triage cycle is complete.

7.6 Procedure and Process: Reference SOP-SMS-207 and WI-SMS-307

8

Chapter Eight

8.0 Near Miss & Accident/Incident Investigations

8.1 Reference: Safety Management System

8.2 Purpose: In order to promote the continuous safety performance improvement of the SMS, CCRTA will promptly and thoroughly investigate events that result in safety of transit risk, product, service, and employee safety risk. Near-miss incidents are investigated if it is not readily determined the root cause of the near-miss.

8.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

8.4 General:

Investigations are a methodical search into an event where information relating to factors that may have caused or contributed to the event are discovered. The SMS uses a structured investigative process where evidence, contributing factors and root cause is recorded in CCRTA SMS Report such that follow-on mitigating actions may be tracked.

As with any investigation, time is of the essence, therefore investigations should proceed as soon as practical to avoid potentially losing valuable information. Investigations are to be concluded within 5 business days of the incident. Only trained investigators are to conduct investigations and under no circumstance may an investigator examine his/her own work area incident (see Chapter 10, Training, Awareness, and Competence, Training Matrix).

A complete investigation is comprised of the following three stages being completed:

1. Investigation and interview stage: All relevant information is found.
2. Root Cause Stage: Contributing factors and root cause is determined and information is recorded in CCRTA.
3. Preventative strategies recommendations are prepared and recorded in CCRTA SMS Report.

For near-miss reports, a full investigation may not be required. In this case, the SMS Manager, will determine the level of investigation appropriate to effectively address the report.

8.5 Procedure and Process: Reference SOP-SMS-208 and WI-SMS-308

9

Chapter Nine

9.0 Safety Performance Monitoring

9.1 Reference: Safety Management System

9.2 Purpose: To establish policy for safety performance monitoring

9.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

9.4 General:

Safety assurance is the means to demonstrate that organizational arrangements and processes for safety achievement are properly applied and continue to achieve their intended objectives. This is achieved through safety performance monitoring and measurement processes by which the performance is verified against the safety policy, stated safety objectives and targets.

The safety assurance process within CCRTA is achieved by monitoring and measuring the outcomes of activities that operational personnel must engage in for the delivery of services by the organization.

9.5 Safety Performance Indicators:

9.5.1 Objectives: The overall SMS objectives incorporated in the safety policy should be supported by a set of underlying tangible safety objectives, typically set by the company leadership team. These cover relevant aspects of the company's safety vision, senior management's commitment, realistic, measurable safety milestones and desired outcomes.

9.5.2 Targets: Safety performance targets are created in relation to each safety objective such that the organization remains aware of whether the relevant objectives are being met. These safety performance targets are measured and monitored in conjunction with the use of safety performance indicators.

9.5.3 Indicators: Safety performance indicators are generally data-based expressions of the frequency of occurrence of events, incidents or reports. The indicators chosen should correspond to and support the relevant safety objectives.

Sample Objective, Target and Indicator:

- Objective: Reduce product damage costs
- Target: 50% reduction in scrapes, scratches and dings (compared to previous calendar year)
- Indicator: <2 incidents per bus per week

9.6 Safety Oversight: CCRTA obtains information for safety performance monitoring from a variety of sources including direct employee input, a hazard reporting system, meetings, or assessments/audits.

Each of these types of information sources may exist to some degree in every site and should be assessed on a routine schedule for risk identification and trend analysis. CCRTA will accomplish continual safety performance monitoring and oversight of the SMS as indicated below.

9.6.1 Corporate Safety Performance Oversight: As a part of the annual safety objectives and targets development process, CCRTA office of safety and security will establish the initial list of safety objectives and targets for the corporation in conjunction with the CCRTA leadership team.

Each site/location will establish its plan to achieve these objectives and targets. Once the objectives and targets have been established, CCRTA SMS will assist each site/location with monitoring of the objectives and targets.

9.6.2 Local/Site Safety Performance Oversight: Monthly reviews are scheduled by the site/local management team and SSC, which examine for safety performance and means to continually improve safety performance.

Once data from all safety-related activity is reviewed, the local management team and SSC will ensure that the site risk register is revised for each activity/item and that the appropriate information is communicated to the workforce. This includes updating the response/mitigation proposed and an assessment of the appropriateness and effectiveness of the mitigations to address the hazards or event contributing factors.

The mitigation will be considered as appropriate if it actually addresses the hazard. The mitigation will only be considered effective if it consistently manages the safety risk sunder normal operating conditions in order to reduce the safety risks to an acceptable level as defined by the risk assessment performed using the risk assessment tool in SMS-Y-Drive. The SSC will also propose prioritization of the responses/mitigations based on the risk assessment for each hazard.

9.7 Procedure and Process: Reference SOP-SMS-209 and WI-SMS-309

10

Chapter Ten

10.0 SMS Communication

10.1 Reference: Safety Management System

10.2 Purpose: To articulate a SMS communication strategy designed to establish regular SMS – related communications at all levels of the organization.

10.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

10.4 General:

The CCRTA SMS will use a variety of methods to communicate issues important to the operation of the SMS. This strategy will complement existing safety communication channels to make company personnel aware of SMS-related safety issues and their roles and responsibilities related to those issues.

Effective communication is an essential requirement to ensure and demonstrate closed-loop communication (lessons-learned) from the SMS as a part of the continuous improvement of the SMS including:

- Ensuring that all staff are appropriately aware of the SMS
- Conveying SMS lessons/information
- Explaining why SMS related activities are introduced or changed
- Conveying SMS activity updates
- Educating personnel on procedure for hazard and near-miss reporting
- Promotion of the company's safety objectives, targets and culture

SMS communications methods vary, but will comprise both internal and external communication/awareness.

10.5 Internal Communication:

Internal communication/awareness may be accomplished through the use of:

- Notice boards
- Intranet postings
- Regular safety meetings and/or training sessions
- SMS advisories (local and corporate)
- Telephone or email communications

The SMS Manager/coordinator, with assistance from the SSC and/or senior management, is responsible for site specific internal SMS communication.

SMS site communication will consist of ad hoc and regularly established activities designed to communicate and reinforce SMS policy and related elements to all affected employees, to include:

- The importance of conformance and the potential consequences of non-conformance with SMS policy, processes or procedure
- Individual roles and responsibilities in achieving conformance with SMS Process
- The risks associated with work activities revealed from SMS data
- Relevant output from management SMS reviews
- Local/site reported hazards/near-misses and incidents
- Enterprise hazards/near-misses and incidents of note and relevance
- Changing SMS requirements
- SMS performance data
- Key results of internal/external assessments and audits
- Other information needed to support the SMS

CCRTA is responsible for communicating events and safety information to all sites/business units as appropriate utilizing the Significant Occurrence Summary (SOS) process or other authorized communication process.

CCRTA SMS Manager/coordinator will notify CCRTA SMS of any changes to their SSC, investigators list or ERT personnel or charters. Reference SMS Manual Chapter 11, Training, Awareness and Competence Required Training Matrix for any personnel changes.

The affected Regional Safety Director will be the focal for all internal corporate SMS communication and maintain the respective intranet site. Additionally, the affected regional safety director will liaise with safety departments to respond to SMS-related inquiries from regulatory authorities.

10.6 External Communication:

CCRTA has determined that significant risks identified through the operation of the SMS will not be communicated to the general public unless required by federal, state or local regulations. Information regarding general SMS operation and specific risks identified will be communicated to the appropriate governing body as required only.

The Director of Marketing or designee is responsible for media communications regarding SMS issues and in consultation with HR/legal company entities where appropriate.

10.7 Procedure and Process: Reference SOP-SMS-210 and WI-SMS-310

11

Chapter Eleven

11.0 Training, Awareness & Competence

11.1 Reference: Safety Management System

11.2 Purpose: To establish a corporate-level approach which ensures that all employees have the appropriate level of knowledge about the CCRTA SMS and how the policies, processes and procedure affect how they perform their duties. This aspect of the SMS is a requirement for establishing initial competency and for on-going competence building. Additionally, this is a method for demonstration of the SMS and its contribution to safety culture development.

11.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

11.4 General:

CCRTA will appropriately train employees at each relevant function and level such that they are aware of:

- The SMS Safety Policy
- The SMS Safety Culture Policy
- The SMS manual, website and subsequent use
- The importance of conformance with SMS
- Individual roles and responsibilities specific to the SMS (Safety Accountabilities)
- General hazard reporting requirements of the SMS
- General risk assessment procedure of the SMS
- General accident/incident or near-miss reporting and investigation requirements
- General responsibilities with respect to the SMS emergency preparedness and response plan

CCRTA's SMS training takes into account different levels of responsibility, ability, literacy, and risk to ensure that there is an appropriate awareness among employees and managers as to what their role responsibilities are. In accordance with the above policy objectives, CCRTA will provide SMS training as follows:

Senior Leaders/Accountable Managers/Senior Managers: Awareness of SMS roles and responsibilities, safety policy, safety culture policy, SMS requirements, related DOT/FTA regulations, management commitment and responsibilities, and safety performance monitoring responsibilities.

Managers and Supervisors: SMS policy, SMS processes management, management commitment and responsibilities, hazard identification and risk management, safety performance monitoring responsibilities.

Frontline personnel: SMS Overview, safety policy, safety culture policy, safety reporting, hazard identification and risk assessment procedure, accident/incident investigation process

11.5 Competence: Frontline employees and management competence within the SMS operations will be assured through continuous communication and involvement in the SMS as follows:

Employees shall be:

- Involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate
- Consulted where there are workplace changes that occur as a result of SMS-related activities
- Be represented in SMS matters at their site
- Informed as to who their site safety council representatives are
- Informed of significant issues arising from the operation of the SMS at their site; including lessons-learned from hazards, near-miss reports and accident/incident investigation findings.

Employee involvement shall be accomplished by:

- Submission of hazard reports
- Involvement in risk assessment results and post-event investigation findings implementation
- Participation in site safety performance monitoring
- Participation in SMS assessments
- Involvement in site safety councils

Managers shall:

- Be involved in the review of hazard and risk assessments, accident/incident investigation findings and department or process-specific SMS standard operating process development where appropriate
- Coordinate workplace changes that need to occur as a result of SMS-related activities
- Lead resolution of SMS matters at their site
- Direct their site safety council representatives in ad hoc and regular safety performance reviews
- Coordinate resolution of significant issues arising from the operation of the SMS at their site, including lessons-learned from hazards, near-miss reports, and implementation of accident/incident investigation findings
- Lead monthly site/department safety performance monitoring activities

11.6 Procedure and Process: Reference SOP-SMS-211 and WI-SMS-311

11.7 SMS Required Training Matrix:

SMS Function/Role	Required Training
Site Leadership	SMS-003 – SMS Orientation SMS-002 – SMS Engagement for Leaders
SMS Manager/Coordinator	Initial Training SMS-003 – SMS Orientation SMS-004 – Effective Event Investigation SMS-007 – Introduction to CCRTA
SMS Investigator	Initial Training SMS-001 – SMS Orientation SMS-004 – Effective Event Investigation SMS-006 – CCRTA for Investigations
ERT or SSC Member	Initial Training SMS-001 – SMS Orientation SMS-009/10 – ERT/SSC Charter SMS-007 – Introduction to CCRTA **SMS-004 is recommended, not required
All Personnel	Initial Training SMS-003 – SMS Orientation SMS-007-Introduction to CCRTA

12

Chapter Twelve

12.0 Information Management

12.1 Reference: Safety Management System

12.2 Purpose: To establish the information management processes for the CCRTA SMS.

12.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

12.4 General:

For operation of the SMS, CCRTA establishes a Process to respond to the requirement for information management to assist with the establishment and verification of the effectiveness of the SMS. The SMS information management requirements in this chapter pertain to:

- Oversight of the CCRTA intranet site related to SMS
- Oversight/updates to the CCRTA SMS Y Drive
- Oversight/updates to corporate and site SMS manuals and other related documentation
- Oversight of SMS information generated through the routine monitoring of the SMS and associated operations

Operating an SMS generates a significant amount of data, documents, and reports. Proper management and recordkeeping of such data is crucial for sustaining an effective SMS. Effective safety analysis is wholly dependent upon the availability and competent use of the safety data. Cross-functional safety data integration is a cornerstone of SMS achievement.

All SMS related records are maintained such that they are:

Legible, identifiable, and traceable to the activity, product, or service involved
Protected against damage, deterioration, and loss
Readily retrievable when required for internal review and/or audits from external organizations

12.5 Procedure and Process: Reference SOP-SMS-210 and WI-SMS-312

13

Chapter Thirteen

13.0 SMS Assessment

13.1 Reference: Safety Management System

13.2 Purpose: To establish SMS assessment policy

13.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

13.4 General:

This chapter provides the guidelines for evaluating the implementation, performance monitoring, and continuous improvement of the CCRTA SMS.

Assessments focus on the integrity of the organization's SMS, and periodically assesses the overall level of safety and the effectiveness of the safety performance monitoring functions of the SMS. SMS assessments are intended to measure effectiveness of the site/organization's safety management functions and activities and will ensure that the structure of the SMS is sound regarding oversight, procedural compliance, hazard identification, risk assessment, level of competency, and training. Specifically, the SMS assessment process will examine:

- Overall effective SMS integration
- Assignment of roles and responsibilities for SMS
- Staff performance and accountability for safety
- Management commitment and employee involvement
- Compliance with SMS hazard/risk assessment process
- Effectiveness of safety performance targets and indicators
- Evidence of SMS continuous
- Adequacy of employee training for SMS roles
- Human and organization factors are addressed

13.5 Assessment Period: Assessment periods are 2-5 days given the size of the location and are conducted annually per site.

13.6 Scoring Criteria:

- Level 1 – Present

  Foundational components of a functional SMS are present.

- Level 2 – Suitable

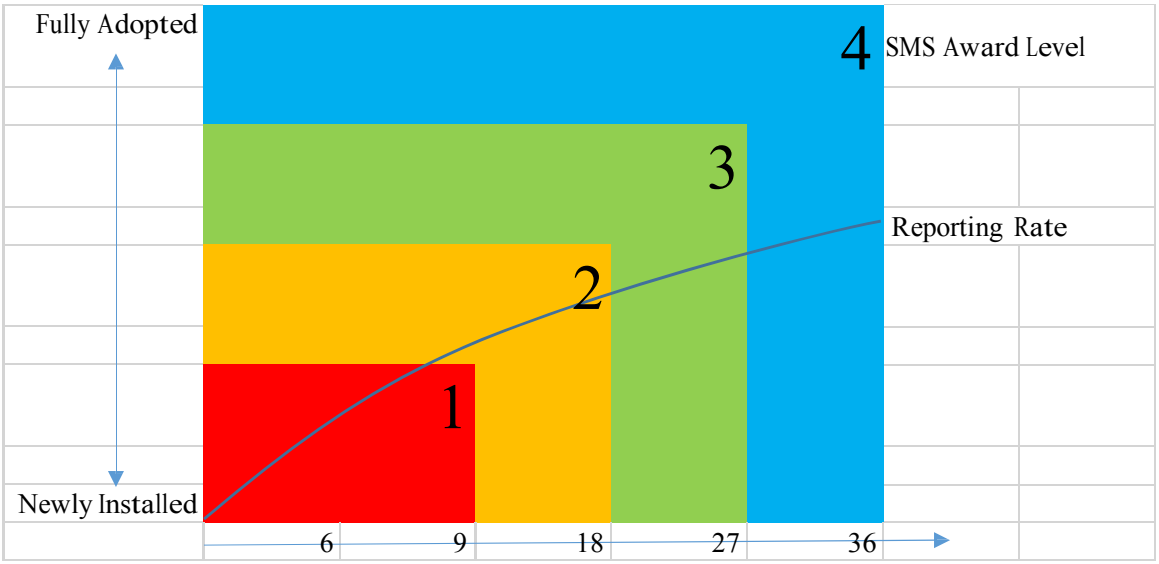
  Components are suitable given the size and complexity of the organization written for and are capable of delivering the desired outcome.

- Level 3 – Operating

  There is evidence that the components and subsequent processes and procedures are being used properly.

- Level 4 – Effective

  There is objective evidence through safety performance monitoring that the program is reducing the risk footprint of the organization.



13.7 Procedure and Process: Reference SOP-SMS-206 and WI-SMS-306

13.8 Record Retention: Copies of all assessment records are maintained in CCRTA-Y-drive and the agency safety and security office for a minimum period of 24 months.

14

Chapter Fourteen

14.0 Emergency Response Planning

14.1 Reference: Safety Management System

14.2 Purpose: To establish a plan for responding to an accident.

14.3 Responsibilities: See Safety Management System Manual, Chapter 2, Safety Responsibilities

14.4 General:

CCRTA SMS requires proactive response to transit related incidents and accidents on the part of all employees.

14.5 Plan Review: Emergency Response Plan should be reviewed annually and after the occurrence of significant events. Certain practice drills are to be carried out every two years for emergency scenarios.

14.6 Response/Drill Critique: Emergency responses or drills are carried out by corporate Safety and security personnel and the results thereof are recorded and shared in the interest of continuous improvement. Potential changes to the response plan may be identified by the following methods:

- Review of accidents, incidents, and near-misses
- Risk assessment processes
- Appropriation request sign off process
- Project review process
- External evaluation
- Assessments or audits

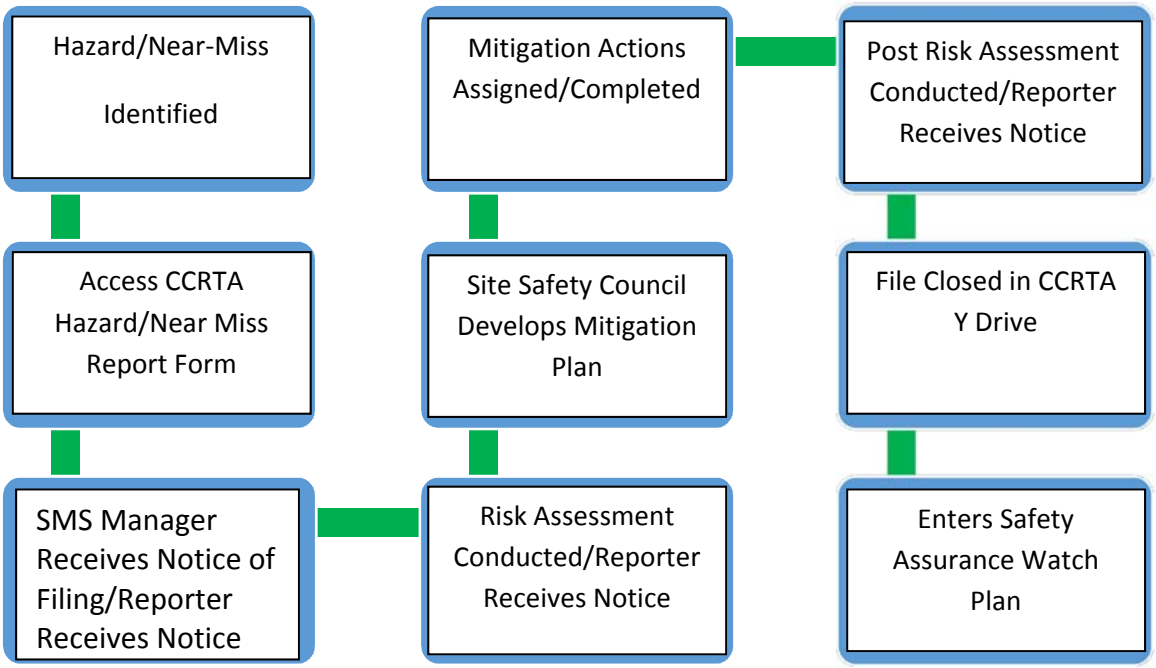
14.7 Procedure and Process: Reference SOP-SMS-214 and WI-SMS-314

Hazard and Near-Miss Reporting

Standard Operating Process: SOP-SMS-205

Effective: March 2018

Process:



WI-305: Hazard and Near Miss Reporting

Work Instruction: WI-SMS-305

Effective: March 2018

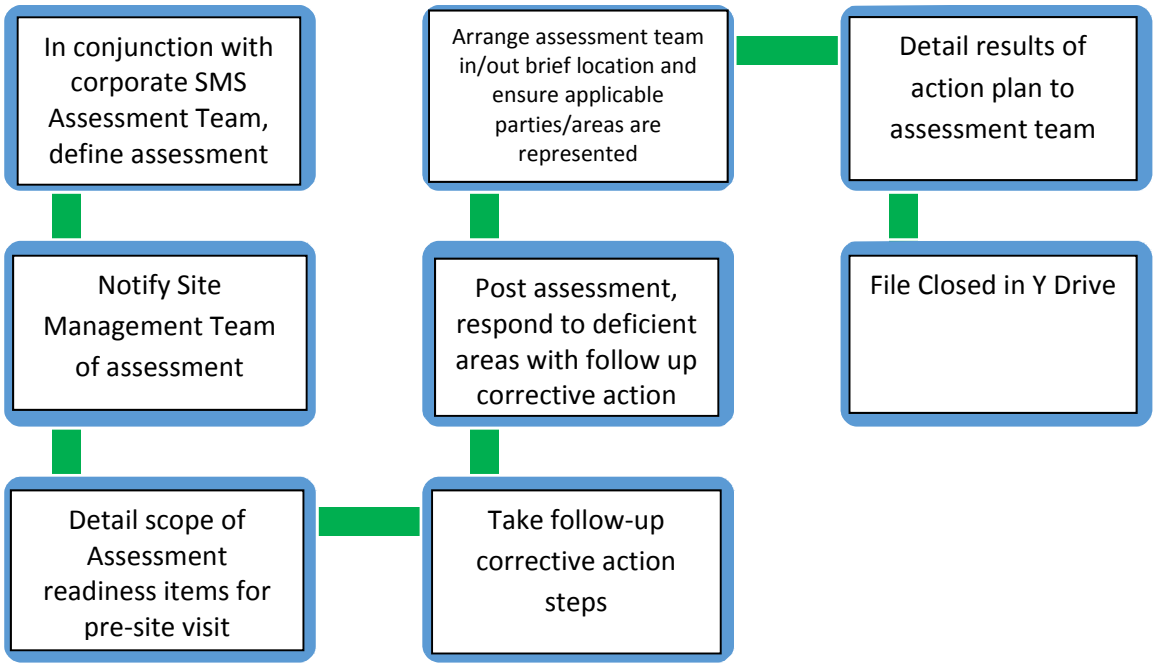
Instruction:

1. Using an internet connected computer or mobile device, go to CCRTA –Y-drive
2. Log in using your site's posted generic username and password
3. Select Hazard/Near-Miss Report from the opening screen
4. Complete all applicable sections of the form
5. Click SUBMIT

Risk Assessment

Standard Operating Process: SOP-SMS-206

Effective: March 2018



Risk Assessment

Work Instruction: WI-SMS-306

Effective: March 2018

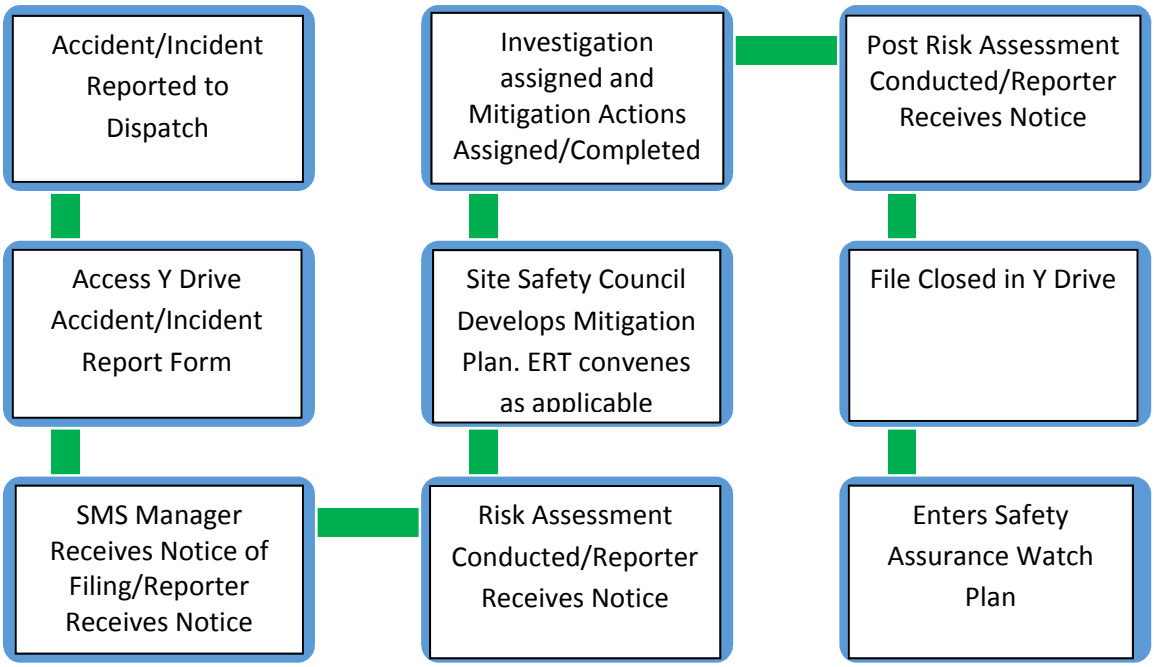
Instruction:

NOTE: Risk Assessment is an internal program and is administered by the site SMS Manager and corporate auditors. Specific Assessment module training precludes the need for Work Instructions steps.

Incident Reporting

Standard Operating Process: SOP-SMS-207

Effective: March 2018



Incident Reporting

Work Instruction: WI-SMS-307

Effective: March 2018

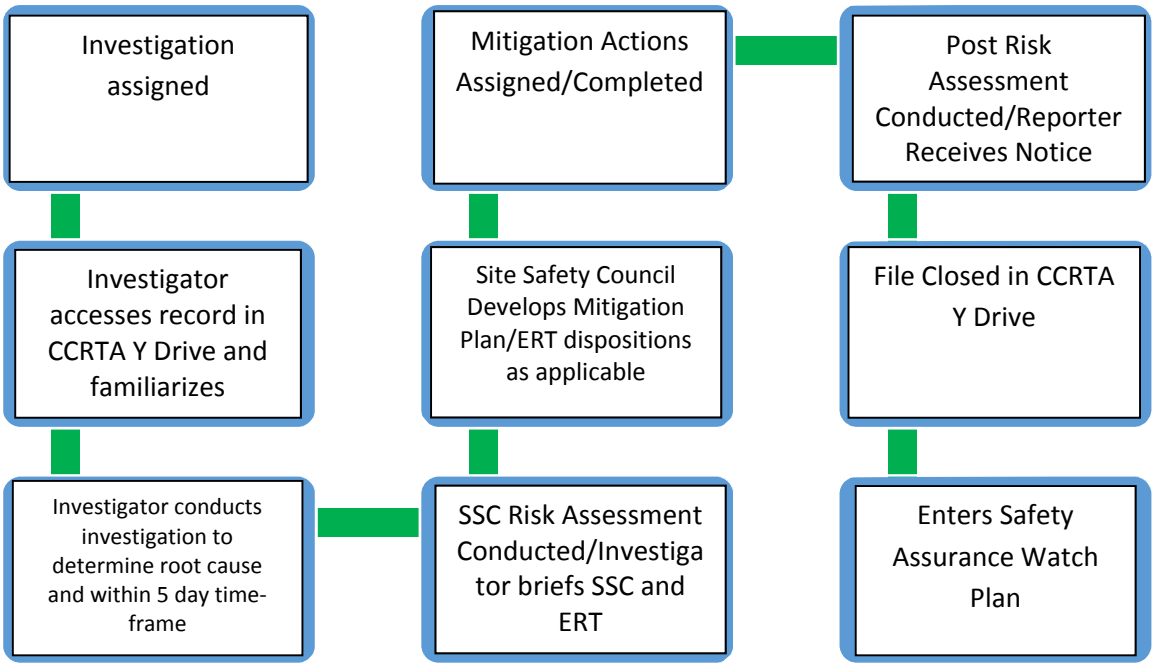
Instruction:

1. Using an internet connected computer or mobile device, go to CCRTA Y Drive
2. Log in using your site's posted generic username and password
3. Select Accident/Incident Report from the opening screen
4. Complete all applicable sections of the form
5. Click SUBMIT

Near-Miss and Accident/Incident Investigations

Standard Operating Process: SOP-SMS-208

Effective: March 2018



Near-Miss and Accident/Incident Investigations

Work Instruction: WI-SMS-308

Effective: March 2018

Instruction: Role Perspective – SMS Manager

1. Using an internet connected computer or mobile device, go to CCRTA Y Drive
2. Log in using your site's posted generic username and password
3. Change record owner to self (if not defaulted to site SMS Focal)
4. Click on WORKFLOW tab and change the risk assessment owner to self (if not defaulted to site SMS Focal)
5. Select START from the dropdown menu on the left side rail as indicated below.
6. Click on the EVALUATION tab and scroll to RISK ASSESSMENT.
7. Using the PLUS button, add a risk assessment. This will be the "Initial Risk Assessment" and it should be written as so in the dialog box as identified below.
8. Conduct risk assessment evaluating each risk perspective and sliding the CONSEQUENCES select icon across the LIKLIHOOD scale.

a. ***NOTE: When complete, the overall risk score for the Initial Risk Assessment will be either Green: Low Risk - Tolerable, Yellow: Medium Risk - Not Tolerable, or Red: High Risk – Not Tolerable.

   b. If green, you may "Close" the stage and the entire record as a standard event. To do so, select "Close Stage" at the top of the Risk Assessment stage in the WORKFLOW tab, then click on the dropdown menu as depicted below and choose" Close as Standard Event" and follow prompts.
   c. If yellow or red, an INVESTIGATION must be accomplished and recorded in this record.

9. To add an INVESTIGATION and subsequent details to the record, select the PLUS next to WORKFLOWS and select the type of INVESTIGATION to perform.
10. Assign the investigation to a trained internal investigator.

Instruction: Role Perspective - Investigator

11. Select the dropdown menu in the newly added investigation stage on the left rail and choose START.
12. Follow INVESTIGATION stage prompts and close the stage using the CLOSE STAGE select button located at the top of the stage.
13. Click on the EVALUATION tab and scroll to CLASSIFICATION then select the PLUS button to add a root cause classification that best fits the root cause derived from your investigation.
14. Select the WORKFLOW tab, locate and click in the INVESTIGATION area on the left side rail to expose the remaining stages for this record.

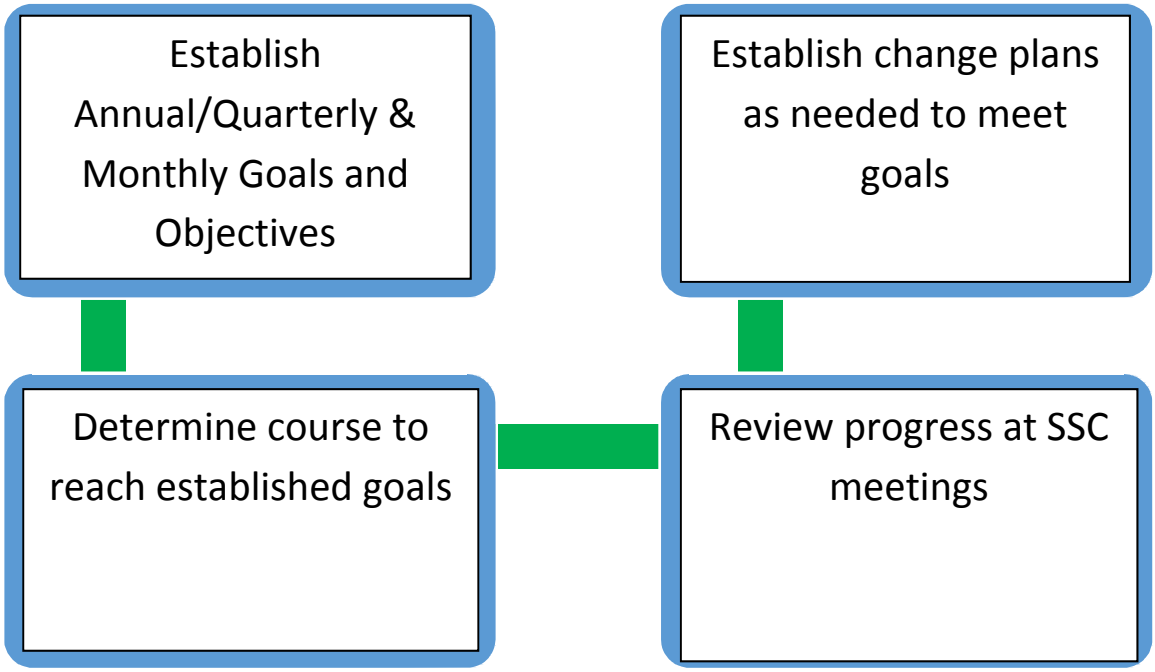
Instruction: Role Perspective – SMS Manager

15. In the Site Safety Council stage, review and accept the details as prescribed by the Site Safety Council or add tasks/actions as required by the Site Safety Council.
16. With the Site Safety Council having developed a risk mitigation strategy/plan for this event, detail the tasks/actions by selecting the PLUS and assign an owner to each task/action, determine and record how long (in days) each has to accomplish the task, and add details of each task to be completed. Do this as many times as necessary to capture all tasks/actions as determined in the risk mitigation strategy by the Site Safety Council.
    a. When each task is complete, from the dropdown menu select "Complete on behalf of" (if the task isn't assigned to the Site SMS Focal) or simply select complete and follow on-screen prompts to record completion of each task.
17. When all tasks are complete, close the SITE SAFETY COUNCIL stage by clicking on the CLOSE STAGE icon at the top of the stage.

Safety Performance Monitoring

Standard Operating Process: SOP-SMS-209

Effective: March 2018



Safety Performance Monitoring

Work Instruction: WI-SMS-309

Effective: March 2018

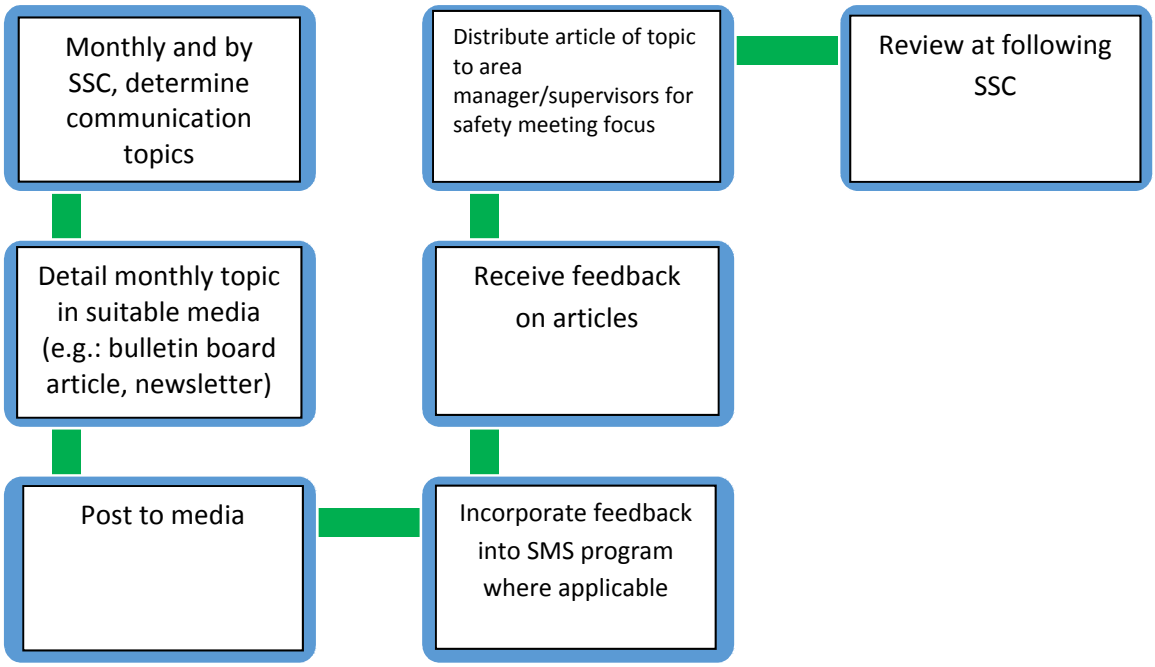
Instruction: Role Perspective – SMS Manager

1. Using an internet connected computer or mobile device, go to ccrta-y-drive
2. Log in using your site's posted generic username and password
3. Access Dashboard
4. Present current dashboard and related Business Intelligence metrics to SSC at least monthly

SMS Communication

Standard Operating Process: SOP-SMS-210

Effective: March 2018



SMS Communication

Work Instruction: WI-SMS-310

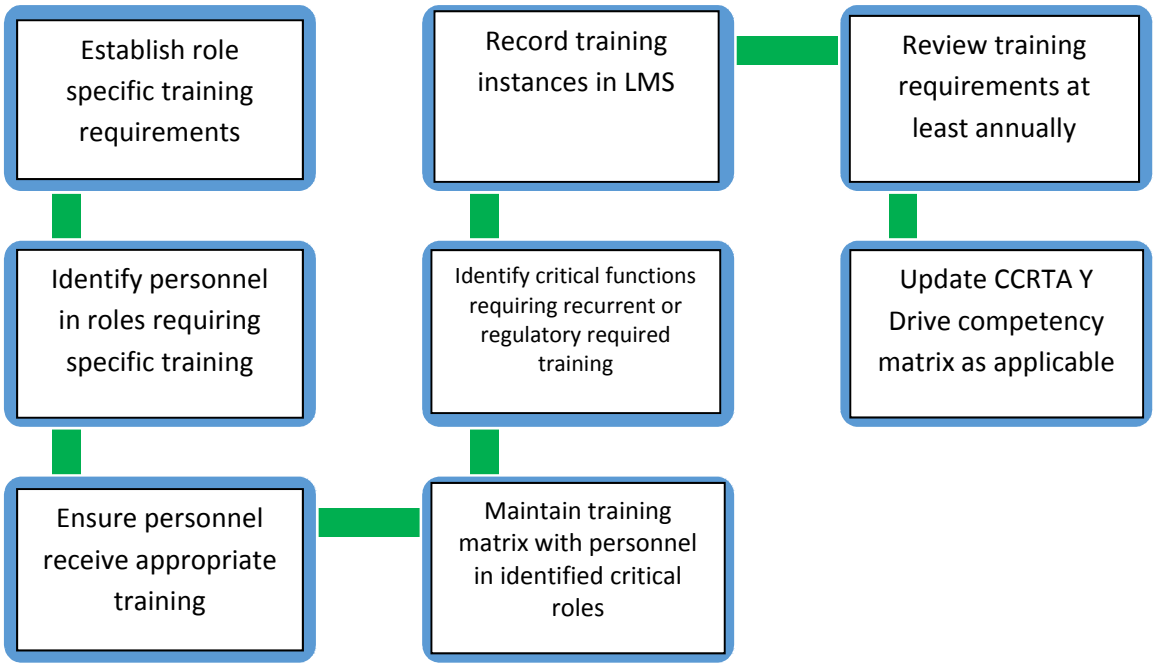
Effective: March 2018

NOTE: SMS Communication is an internal program and is administered by the site SMS Manager and Site Safety Council. Specific SSC training precludes the need for Work Instructions steps.

Training, Awareness and Competence

Standard Operating Process: SOP-SMS-211

Effective: March 2018



Training, Awareness and Competence

Work Instruction: WI-SMS-311

Effective: March __ 2018

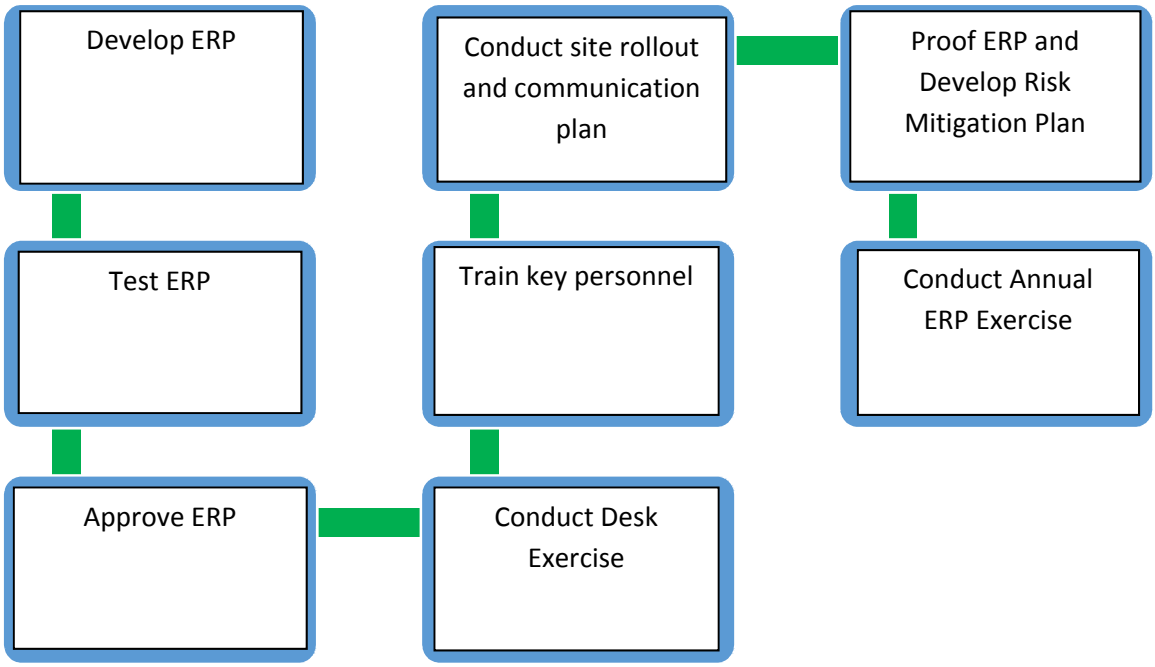
Effective: March __ 2018

NOTE: SMS Training, Awareness and Competence is an internal developed and managed program and is administered by the site SMS Manager and Safety Manager.

Emergency Response Planning

Standard Operating Process: SOP-SMS-214

Effective: March 2018



Emergency Response Planning

Work Instruction: WI-SMS-314

Effective: March 2018

I. Mission

The CCRTA Management mission is:

To improve the quality of life for everyone in Coastal Bend region by providing outstanding community-wide public transportation services while proactively contributing to CCRTA's goals for focused growth and sustainable regional development.

To accomplish this mission, CCRTA must ensure its operations are performed efficiently with minimal disruption, especially during an emergency. This document provides planning and program guidance for implementing the CCRTA Emergency Preparedness and Response Plan (EPRP) to ensure the organization is capable of conducting its mission and essential functions under all threats and conditions.

Key CCRTA personnel who are denoted under this plan are collectively known as Essential Personnel. Upon plan activation, these members will be responsible for ensuring the continuance of the Mission.

II. CCRTA PRIORITIES

The following represents the collective set of overarching priorities suggested by CCRTA for consideration. The combined effort of all City and County Departments will work collectively to ensure that as a community, these objectives are satisfied in the all hazards environment.

1. Ensure continuity of governance. Ensure and demonstrate to the public the continued functioning of critical government leadership elements, including: succession to key offices; organizational communications; leadership and management opportunities.

2. Coordinate with critical partners. Maintain communications and interactions as necessary during a crisis, with critical partners and organizations, including the Federal government, State government, other local governments, private sector and non-profit organizations.

3. Maintain civil order and public safety. A) Protect people and property and the rule of law. B) Ensure basic civil rights, prevent crime and protect critical infrastructure.

4. Provide emergency services. Provide critical emergency services including: Emergency Management, Sheriff, Police, Fire, MEDIC and public safety communication services.

5. Maintain critical public infrastructure. Maintain critical public infrastructure, including but not limited to: water lines and plants; sanitary sewer; flood/storm water management; roads, transit and airport; emergency transportation; public safety buildings; and data centers.

6. Provide basic essential services. Ensure provision of basic essential services, including but not limited to: healthcare, water and sewer service, voice and data communications, IT services, transportation services, sanitation services, environmental protection, code enforcement/inspections, emergency housing, human services, and critical internal support functions.

The Director of Transportation, Director of Safety & Security and Director of Marketing serve as points of contact for CCRTA Bus and Operations and emergency response and regulatory agencies.

III. CONCEPT OF OPERATION

The following phases represent the orderly approach and process that CCRTA uses to successfully transition through a continuity event.

Phase I: Readiness and Preparedness

Phase II: Activation and Relocation

Phase III: Continuity of Operations Phase IV: Reconstitution

Phase IV: Reconstitution or Devolution

PHASE I: READINESS AND PREPAREDNESS

1. CCRTA Safety and department heads are responsible for ensuring that plans and processes are updated as needed. The Safety & Security Department will notify division heads of scheduled reviews.

Facility Emergency Plans are maintained for the following facilities:

- Staples Street Center Building
- Bear Lane Operations and Maintenance Buildings

The Facility Emergency Plans address:

- Building Evacuation – General
- Fire
- Tornadoes
- Medical emergencies
- Elevator emergencies
- Bomb threats
- Biohazards or suspicious items
- Workplace violence (to include Active Shooter)
- Other emergency conditions

CCRTA Safety staff plan and conduct fire drills on a six-month basis at the CCRTA facilities. Employees receive their respective Facility Emergency Plan and are trained to respond to situations according to their Facility Emergency Plan.

Evacuation Plans – Accurate building evacuation diagrams are maintained throughout each facility.

Bus Operations: Will take point to ensure plans are in place and up to date to address emergency situations. The plans will consist of The Bus Operations Standard Operations Procedure Manual and Reference Guides addressing the following emergency procedure:

CCRTA Bus Accidents Process - Bus Fire Process - Medical Emergency (Passenger) - Suspicious or Illegal Activity - Inclement Weather - Call Chain and Emergency Contact Numbers for Safety

Maintenance

Ensure:

Emergency contact list for utility companies and other vendors
Portable air compressor available to operate lift in event of power outage
All generators fueled and ready for emergency operations. Identify facility to rent additional generators as needed. Have account set-up so they can be obtained without a purchase order.
Topping off of fuel for buses occurs each night; in-ground fuel tanks are refilled regularly.
Maintenance support vehicles are topped off once they go below half tank.
Spill prevention and implementation of the Spill Prevention Control and Countermeasures Plan at the Bus Maintenance facilities.
Identify and secure alternate fueling location if needed.

Facilities Management

Ensure:

- Take periodic photographs of the facilities for insurance claims justification.
- Manage gas, electric utility shut-off at CCRTA facilities.
- Testing of emergency generators as specified in the Facilities Maintenance Plan.
- Spill prevention and implementation of the Spill Prevention Control and Countermeasures Plan.

2. The Crisis Communications Plan identifies contact requirements during a crisis. Emergency contact information for CCRTA Staff is available and Contractors and other essential contacts are being developed.

3. Communications – Departments should follow their normal call-in protocol. Departments may have several lines of communication available as follows: normal telephone, bus radio system, and telephones / radios for most of the management staff.

4. Management Transportation Requirements – Management personnel will take agency vehicles and radios home and will report road and route conditions as needed. These vehicles may also be used to transport key personnel as needed.

5. Non-Revenue Vehicle Servicing Requirements – Any department assigned vehicles will be responsible for fueling and servicing them prior to any foreseen emergency. Servicing of vehicles may include, but is not limited to, equipping vehicles with first aid kits and emergency supplies (flashlights, shovels, blankets, etc.). These items may be checked and inspected for serviceability on a quarterly basis or as deemed necessary by weather conditions and/or the Office of Safety. The fuel level in non-revenue vehicles should not be allowed to go below one half of a tank. This will allow CCRTA to respond to unforeseen emergencies.

6. Fueling Requirements – Prior to any foreseen emergency, all revenue vehicles should be fueled, underground storage tanks should be topped off (not to exceed EPA regulations at 90 % capacity), and backup confirmation in place from fuel suppliers. All propane tanks should be filled for gas grill, sweeper, and forklift. All generators, portable and backup, should be fueled and ready at all times.

7. Remote Operating Locations – In the event that any primary facility is evacuated, employees will be advised of the alternate operating location. This communication can take place via postings, radio station, or calling chain depending on the specific location. Alternate operating locations are being developed.

8. CCRTA – Only one representative from CCRTA may be allowed in CTECC. Incident Command Training is required in order to participate.

9. CCRTA will respond to transportation/shelter requests by the Vice President of Bus and Paratransit Services, area first responders (Police, Fire, and MEDIC) or the Emergency Management Office as needed and as staffing and equipment availability will allow.

10. Evaluate operations of all security cameras on the property and in the fleet.

PHASE II: ACTIVATION AND RELOCATION

Director of Transportation

Notifies CCRTA Operations Staff, including the CEO, Office of Safety & Security, and if required CCPD and CCFD of potential limitations in ability to respond to emergency situations.

Maintenance – Bus Operations

- Facility shutdown Process – Shut off gas, water, electrical power, etc., in coordination with facilities.
- In the event of a power outage at maintenance facility, a stand-by generator will be used to power the fuel pumps.
- Maintenance facility is equipped with a portable pump and generator if the stand-by generator fails. The pump and generator will be placed close to the bulk storage tanks and a hose dropped directly into the tank, in accordance with EPA regulations. Although it is extremely unlikely Fuel can also be pumped directly from a tanker through gravity feed connection and meter on the truck (Provider to be identified) by calling additional suppliers with wet fuel vehicles. CCRTA suppliers will need to be prepared to supply a transport tanker (7,500 gallon capacity) at maintenance facility for 8-hour shifts for each day of an emergency. If not at the FRS facility, then one or both of those transport tankers would be directed to other off-site facilities for emergency fueling operations.
- If outside equipment or vehicles with 4 wheel drive, etc. are needed, CCRTA would request
- equipment through CCRTA or the Emergency Operations Center.
- Secure all maintenance assets, facilities, and additional outside vehicles if needed.

Operations – Bus Operations

- Establish a backup Control Center if needed.
- Monitor status and readiness of all CCRTA bus equipment and facilities. Be prepared to repair or secure all assets, facilities, and vehicles if required.
- Coordinate reductions in service with CCRTA's Chief Operations Officer and Bus Operations.

Facilities Maintenance

- Assist/coordinate recovery.
- Evaluate damage.
- Respond and assist as necessary.

Safety and Security

- Coordinate with the Director of Maintenance and Paratransit Services for CCRTA to assist in additional manning of security personnel as needed depending on the emergency situation.
- Assist with transportation arrangements of required staff.
- Make safety assessment of building facilities and routes as needed.

- If required, coordinate security of any property that is evacuated. This information will be communicated and coordinated with the Law Enforcement Coordinator. Each evacuated facility and all related equipment will be locked and secured. Private security officers, police, off-duty police, or management staff will provide oversight, depending on availability.

Accounting Bus Operations

- Transmit payroll prior to any foreseen disaster to minimize impact of any possible computer or processing problems.
- Cross-train for back-up payroll personnel. Finance will transmit payroll prior to any foreseen disaster to minimize impact of any possible computer or processing problems.
- Cross-train for back-up payroll personnel. Coordinate staffing to handle any potential revenue processing situations.
- Coordinate armored car pick-up with CCRTA.

Marketing and Communications

- Provide media contact/relations assistance as requested by CCRTA.

Technology

- Assist in securing network.
- Request support as needed.

Scheduling

- Coordinate cutbacks in the level of service with CCRTA.
- Prepare to provide staff support to other functions as needed.

PHASE III: CONTINUITY OF OPERATIONS

1. CCRTA is responsible for the MEF (Mission Essential Functions) to ensure all MEF requirements are being fully supported.

   When there are disruptions:

   - Routine disruptions (debris, road closures): handled at supervisor level
   - Larger disruptions covered below

2. When appropriate Fire and EMS requests buses, CCRTA Management will respond.
3. Major disruptions to normal service: After a major disruption of service, bus operations will not resume service until they receive approval from CCRTA.
   - Short term goal is to achieve level of service identified by Leadership in the Service Level Change.
   - Long term goal is full service restoration.

PHASE IV: RECONSTITUTION OR DEVOLUTION

Reconstitution:

During this phase, there will be an on-going assessment to return the system to 100% functionality in the shortest time possible. All departments will be responsible for executing this plan. The purpose of this phase is to make certain that all areas have been addressed in an appropriate manner and CCRTA can sustain operations indefinitely. This phase will also be a self-assessment to determine ways to improve our processes, procedures, and to update all disaster related plans. The following is an example of items that will be reviewed during this process:

- Department managers will provide the records to support all expenses associated with the disaster
- Each department will provide an update on the status of personnel, equipment, and
- facilities
- Department managers should provide a list of proposed changes to this plan to CCRTA's
- Department of Safety and Security
- Department managers should follow this plan to achieve 100% functionality in their assigned area
- Department managers will identify any shortfalls or limiting factors that will prevent them from achieving 100% functionality
- Replenish emergency supplies and equipment used during incident