



Sacramento Regional Transit District

## **BOARD MEETING NOTICE TO THE PUBLIC**

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**In compliance with directives of the County, State, and Centers for Disease Control and Prevention (CDC), this meeting is live streamed and closed to the public. Temporary procedures are subject to change pursuant to guidelines related to social distancing and minimizing person-to-person contact.**

**SacRT Board Meetings are being streamed live at  
<http://iportal.sacrt.com/iapps/srtdbm/>**

**Please check the Sacramento Metropolitan Cable Commission Broadcast Calendar - <https://sacmetroable.sacounty.net> for replay dates and times.**

**Members of the public are encouraged to submit written public comments relating to the attached Agenda no later than 2:00 p.m. on the day of the Board meeting  
at  
[Boardcomments@sacrt.com](mailto:Boardcomments@sacrt.com)**

**Please place the Item Number in the Subject Line of your correspondence.  
Comments are limited to 250 words or less.**



# Sacramento Regional Transit District Agenda

**BOARD MEETING**  
**5:30 P.M., MONDAY, OCTOBER 26, 2020**  
**REGIONAL TRANSIT**  
**VIRTUAL MEETING**

Website Address: [www.sacrt.com](http://www.sacrt.com)

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**ROLL CALL** — Directors Budge, Harris, Howell, Hume, Jennings, Kennedy, Miller, Nottoli, Schenirer, Serna and Chair Hansen

Alternates: Directors Detrick, Kozlowski, Sander and Slowey

**1. PLEDGE OF ALLEGIANCE**

**2. CONSENT CALENDAR**

- 2.1 Motion: Approval of the Action Summary of September 14, 2020
- 2.2 Resolution: Approving the First Amendment to the Contract for On-Call Tort Litigation Services with Jones & Mayer (O. Sanchez-Ochoa)
- 2.3 Resolution: Delegating Authority to the General Manager/CEO to Award a Contract for the Completion of the Morrison Creek Light Rail Station to Swierstok Enterprise dba Pro Builders. (L. Ham)
- 2.4 Resolution: Approving the Agreement between Capitol Corridor Joint Powers Authority (CCJPA) and Sacramento Regional Transit District for Subsidized Transit Transfer Program (B. Bernegger)
- 2.5 Amending the Transit Pass Agreements with Sacramento State and Los Rios ( B. Bernegger)
  - A. Resolution: Approving the Eight Amendment to the Student Transit Pass Agreement- 2015 with Los Rios Community College District; and
  - B. Resolution: Approving the First Amendment to the Amended and Restated Agreement for California State University, Sacramento Student and Employee Transit Pass Program – 2020
- 2.6 Modifying the Definition of 2020-2021 Annual Student (TK-12) in the Fare Structure to Allow Students in Grades 7 - 12 to Use the TK-6<sup>th</sup> Grade RydeFreeRT Card as Valid Fare Media through September 30, 2021 and Ratifying the General Manager/CEO's Execution of the Amended and Restated Student Ridership Initiative Student Transit Pass Agreement (B. Bernegger)

- A. Resolution: Repealing Resolution No. 20-09-0107 and Temporarily Modifying the Fare Structure (Resolution Nos. 09-10-0174 and 18-06-0061, as Amended) to Create a 2020-2021 Annual Student (TK-12) Pass Prepaid Fare; and
  - B. Resolution: Ratifying Execution by the General Manager/CEO of the Amended and Restated Student Ridership Initiative Student Transit Pass Agreement
- 2.7 Resolution: Approving the Second Amendment to the Contract for On-Call SAP Support Services with Inlink Consulting, Inc. (S. Valenton)
  - 2.8 Resolution: Approval of the Innovative Clean Transit Plan (L. Ham)
  - 2.9 Resolution: Approving the First Amendment to the Capital Budget for FY 2021 Budget (B. Bernegger)
  - 2.10 Resolution: Delegating Authority to the General Manager/CEO to Execute FY20-21 Caltrans Sustainable Communities Planning Grant - Sacramento Regional Transit Bus Stop Improvement Plan (B. Bernegger)
  - 2.11 Resolution: Approving a Title VI Fare Equity Analysis for the University of California, Davis Identification Card for the Causeway Connection (L. Ham)
  - 2.12 Resolution: Approving the Fourth Amendment to the Contract for Employee Uniforms with Curtis Bus Line (C. Alba)
  - 2.13 Resolution: Delegating Authority to the General Manager/CEO to Execute a Regional Radio Communications System Licensing Agreement with the County of Sacramento (L. Hinz)
  - 2.14 Resolution: Ratifying Unauthorized Procurement, Approving a Sole Source Procurement, and Approving the First Amendment to Contract for Janitorial Services with Consolidated Facility Services, LLP (L. Ham)

**3. INTRODUCTION OF SPECIAL GUESTS**

**4. UNFINISHED BUSINESS**

- 4.1 Resolution: Approving the Job Description for the Position General Counsel and Changing the Reporting Structure as Authorized Under California Public Utilities Code §102160 (O. Sanchez-Ochoa)

**5. PUBLIC HEARING**

**6. PUBLIC ADDRESSES BOARD ON MATTERS NOT ON THE AGENDA\***

**7. NEW BUSINESS**

- 7.1 Resolution: Approval of the Public Transportation Agency Safety Plan (L. Hinz)

7.2 **PRESENTATION/WORKSHOP -**

Sacramento Regional Transit Strategic Plan 2021-2025

- A. Resolution: Adopting the Sacramento Regional Transit Strategic Plan 2021-2025 (S. Valenton)

8. **GENERAL MANAGER'S REPORT**

8.1 General Manager's Report

- a. Capitol Corridor Joint Powers Authority Meeting – September 16, 2020 (Miller)
- b. San Joaquin Joint Powers Authority Meeting – September 25, 2020 (Hume)
- c. SacRT Meeting Calendar

9. **REPORTS, IDEAS AND QUESTIONS FROM DIRECTORS, AND COMMUNICATIONS**

10. **CONTINUATION OF PUBLIC ADDRESSES BOARD ON MATTERS NOT ON THE AGENDA (If Necessary)**

11. **ANNOUNCEMENT OF CLOSED SESSION ITEMS**

12. **RECESS TO CLOSED SESSION**

13. **CLOSED SESSION**

13.1 Conference with Legal Counsel  
Pursuant to Section 54956.9  
Existing Litigation

- 1) Zatha Ladra v. SacRT  
(Case number is 34-2019-00269269)  
(Claim number is L-60871-01)

13.2 Public Employee Appointment  
Pursuant to Section 54957

Title: General Counsel

14. **RECONVENE IN OPEN SESSION**

15. **CLOSED SESSION REPORT**

16. **ADJOURN**

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\*NOTICE TO THE PUBLIC

It is the policy of the Board of Directors of the Sacramento Regional Transit District to encourage participation in the meetings of the Board of Directors.

This agenda may be amended up to 72 hours prior to the meeting being held. An Agenda, in final form, is located by the front door of Regional Transit's building at 1400 29<sup>th</sup> Street, Sacramento, California, and is posted on the SacRT website.

The Regional Transit Board of Directors Meeting is being streamed live and videotaped. A replay of this meeting can be seen on Metrocable Channel 14. Please check the Metropolitan Cable Commission Broadcast Calendar at for replay dates and times.

Any person(s) requiring accessible formats of the agenda should contact the Clerk of the Board at 916/556-0456 or TDD 916/483-4327 at least 72 business hours in advance of the Board Meeting.

Copies of staff reports or other written documentation relating to each item of business referred to on the agenda are on SacRT's website, on file with the Clerk to the Board of Directors of the Sacramento Regional Transit District. Any person who has any questions concerning any agenda item may call the Clerk to the Board of Sacramento Regional Transit District.



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Cindy Brooks, Clerk to the Board  
**SUBJ:** APPROVAL OF THE ACTION SUMMARY OF SEPTEMBER 14, 2020

### RECOMMENDATION

Motion to Approve.

**SACRAMENTO REGIONAL TRANSIT DISTRICT  
BOARD OF DIRECTORS  
BOARD MEETING  
September 14, 2020**

**ROLL CALL:** Roll Call was taken at 5:30 p.m. PRESENT: Directors Budge, Harris, Howell, Hume, Kennedy, Nottoli, Schenirer, Serna, Vice Chair Miler and Chair Hansen. Director Jennings arrived after the Pledge of Allegiance.

**1. PLEDGE OF ALLEGIANCE**

**2. CONSENT CALENDAR**

- 2.1 Motion: Approval of the Action Summary of August 24, 2020
- 2.2 Resolution: Amending Title II (Conflict of Interest and Code of Ethics) of Sacramento Regional Transit's District Administrative Code to Revise Appendix A (O. Sanchez-Ochoa)
- 2.3 Resolution: Approving the Appendix and Language Changes to Section 9.01C of the Personnel Policy Manual Summarizing the Retiree Health Benefits Provided to Non-Bargaining Unit Employees Known as the Management and Confidential Employee Group (S. Booth/S. Valenton)
- 2.4 Resolution: Approving SacRT's Social Media Policy (D. Selenis)
- 2.5 Award Contracts for General Engineering Support Services – 2020 (L. Ham)
  - A. Resolution: Award Contract to Mark Thomas and Company, Inc.;  
and
  - B. Resolution: Award Contract to Psomas
- 2.6 Resolution: Approving Amendment No. 4 to Credit Agreement with US Bank National Association for an Extension of the \$27 Million Line of Credit Facility to September 30, 2021 (B. Bernegger)
- 2.7 Resolution: Conditionally Awarding a Contract for Underwriting Contract Services to RBC Capital Markets, LLC (B. Bernegger)
- 2.8 Awarding Contracts for Workers' Compensation Legal Services (B. Bernegger)

- A. Resolution: Awarding a Contract for Legal Services for Workers' Compensation to Lenahan, Slater, Pearse & Majernik, LLP; and
  - B. Resolution: Awarding a Contract for Legal Services for Workers' Compensation to Albert & Mackenzie, LLP; and
  - C. Resolution: Awarding a Contract for Legal Services for Workers' Compensation to Coleman, Chavez & Associates, LLP; and
  - D. Resolution: Awarding a Contract for Legal Services for Workers' Compensation to Llarena, Murdock, Lopez & Azizad, APC; and
  - E. Resolution: Approving Work Order No. 1 to the Contract for Legal Services for Workers' Compensation with Lenahan, Slater, Pearse & Majernik, LLP.
- 2.9 Resolution: Ratifying an Unauthorized Procurement and Approving the First Amendment to the Contract with Delta Wireless for Radio System Maintenance and Repair Services to Add Funds and Exercise Options Years 6 and 7 (C. Alba)
- 2.10 Resolution: Conditionally Delegating Authority to the General Manager/CEO to Award a Contract for Final Design Services for Rail Modernization 15 Minute Light Rail Service to Historic Folsom with AECOM Technical Services Inc. (L. Ham)
- 2.11 Resolution: Adopting a Categorical Exemption for the Watt I-80 Transit Center Improvements (L. Ham)
- 2.12 Resolution: Approving the Job Description for the Position General Counsel and Changing the Reporting Structure as Authorized Under California Public Utilities Code §102160 (O. Sanchez-Ochoa)
- 2.13 Student Ridership Initiative Transit Pass Modification (B. Bernegger)
- A. Resolution: Repealing Resolution No. 20-08-0078 and Delegating Authority to the General Manager/CEO to Approve and Execute Student Transit Pass Amendment or Agreement with the City of Sacramento; and
  - B. Resolution: Temporarily Modifying the Fare Structure (Resolutions 09-10-0174 and 18-06-0061, as Amended) to Create a 2020-2021 Annual Student (TK-12) Pass Prepaid Fare; and
  - C. Resolution: Authorizing Students (TK-12) Residing In or Attending



School Within SacRT's Service Boundary to Obtain and Use a 2020-2021 Annual Student (TK-12) Pass through November 30, 2020 Without Payment By a Sponsoring Entity and Conditionally Authorizing Students Residing or Attending School Outside the City Of Sacramento to Obtain and Use a 2020-2021 Annual Student (TK-12) Pass through September 30, 2021 Without Payment By a Sponsoring Entity.

Written public comment was read into the record by the Clerk on the following items:

- Item 2.4 – Helen O'Connell
- Item 2.11 – Mike Barnbaum
- Item 2.13 – Helen O'Connell

***ACTION: APPROVED - Director Hume moved; Director Budge seconded approval of the consent calendar with the exception on Item 2.12 which was pulled for discussion. Motion was carried by roll call vote. Ayes: Directors Budge, Harris, Howell, Hume, Jennings, Kennedy, Nottoli, Schenirer, Serna, Vice Chair Miler and Chair Hansen. Noes: None; Abstain: None, Absent: None. Director Howell recused herself from voting on Item 2.5. only because Mark Thomas is a client.***

- 2.12 Resolution: Approving the Job Description for the Position General Counsel and Changing the Reporting Structure as Authorized Under California Public Utilities Code §102160 (O. Sanchez-Ochoa)

***ACTION: ITEM CONTINUED TO OCTOBER 26, 2020 - Director Budge provided a substitute motion; Director Harris seconded the substitute motion to continue the item to the October 26, 2020 Board Meeting. Motion was carried by roll call vote. Ayes: Directors Budge, Harris, Howell, Hume, Jennings, Kennedy, Nottoli, Schenirer, Serna, Vice Chair Miller and Chair Hansen. Noes: None; Abstain: None, Absent: None.***

- 3. **INTRODUCTION OF SPECIAL GUESTS**
- 4. **UNFINISHED BUSINESS**
- 5. **PUBLIC HEARING**
- 6. **PUBLIC ADDRESSES BOARD ON MATTERS NOT ON THE AGENDA**

Written public comment was read into the record by the Clerk and summarized below.

Mike Barnbaum – Mr. Barnbaum reiterated his request for SacRT Board Meetings to have a call-in number so that the public can speak directly to the Board.

Jeffery Tardaguila – Mr. Tardaguila mentioned the MAC agenda, wants to be provided  
September 14, 2020 Action Summary

the status of a current employee, and wants “public disclosure of what is going on in Regional Transit.”

## **7. NEW BUSINESS**

- 7.1 Chair Appointment of Board Members to an Ad Hoc Committee to Provide Input and Recommendations for SacRT’s Administrative Campus and Other Facilities (B. Bernegger)

***ACTION: Chair Hansen appointed himself, Directors Budge, Kennedy, Schenirer and Vice Chair Miller to the Ad Hoc Committee. Director Jennings was appointed as an alternate.***

- 7.2 Chair Appointment of a 2 x 2 Committee with the City of Elk Grove to Discuss the Annexation of the City of Elk Grove to Sacramento Regional Transit District (L. Ham)

Written public comment was read into the record by the Clerk from Mike Barnbaum.

Director Howell expressed her interest in serving on this committee or sharing her experiences since the City of Folsom joined SacRT recently.

Director Hume expressed his interest in serving on this committee from the City of Elk Grove.

***ACTION: Chair Hansen appointed himself and Vice Chair Miller to the 2 x 2 Ad Hoc Committee with Director Howell as an alternate.***

- 7.3 Downtown Riverfront Streetcar Project Update (L. Ham)

- A. Resolution: Conditionally Approving Reimbursement Agreement for the Redesign of the Downtown Riverfront Streetcar Project and Small Starts Grant Update Submission with the Riverfront Joint Powers Authority; and
- B. Resolution: Conditionally Approving the Third Amendment to the Contract for Downtown Riverfront Streetcar Design Services with HDR, Inc.; and
- C. Resolution: Conditionally Approving the First Amendment to the Contract for Environmental Support Services for Downtown Riverfront Streetcar Project with AECOM; and
- D. Resolution: Conditionally Approve Termination of the Subrecipient and Interagency Agreement, Authorize Project Sponsorship and Ownership to Transfer to SacRT, and Directs the General

Manager/CEO to Negotiate Replacement Agreements with the  
Cities Prior to the Dissolution of the Authority

**ACTION: APPROVED – Motion to Reconsider the Item - Director Serna moved; Director Schenirer seconded approval of the request to reconsider the item. Motion was carried by roll vote. Ayes: Directors Jennings, Nottoli, Schenirer, Serna, Vice Chair Miller and Chair Hansen; Noes: Directors Budge, Harris, Hume and Kennedy. Abstain: None. Absent: None. Director Howell recused herself because HDR is a client.**

Laura Ham introduced the item and provided an update on what had changed since the last time the item was presented to the Board.

Chair Hansen noted that the revised item before the Board, because of the comments provided by the Board, is better than what was presented to the Board on August 24<sup>th</sup>, and that SacRT should continue to work with their partner across the river in West Sacramento. Chair Hansen requested that staff bring back a workshop to discuss future SacRT expansion projects, modernization projects and other service enhancements.

Written public comment was read into the record by the Clerk from the following:

Austin Allen	Helen O’Connell	Dennis Neufeld
Sabrina Lockhart	Pat Flint	Dani Langford
Carl Strauss	Steven Bourasa	Louise Bedsworth
Martha Guerrero	Mayor Steinberg	Matthew Johnson*

Chair Hansen indicated that the Board received a letter from the Strategic Growth Council that indicated that SacRT’s \$17.5 million award for the Dos Rios Station was predicated on the Streetcar Project. Laura Ham indicated that if the Streetcar Project did not pass that SacRT would have to identify a replacement project in support for the Dios Rios Station Project.

Director Budge asked for clarification on the “leverage” of the Streetcar Project with the Dos Project. Laura Ham provided the answer on how the two projects were connected.

Director Harris indicated his frustration that the item was brought back to the Board to try to get a different outcome. Director Harris noted no economic benefits to the City of Sacramento, and ridership will be minimal. Director Harris expressed his interest, if this item passes, to ask for reconsideration at the next Board meeting. This item is predicated on future actions of both entities coming up with money to promote the connector project, and a future STA Measure. Projects should be built for the organization that will support ridership and people adopting a different type of lifestyle.

Director Budge questioned the reason why the item is back in front of the Board. Director Budge reiterated that the process is backwards. She believes that all of the promises need to be confirmed before the SacRT Board takes action because it does not conceptually

approve anything until the City of Sacramento and City of West Sacramento take action and the City of West Sacramento commit to joining SacRT.

Vice Chair Miller noted that he previously said he would support the project as long as taxpayers did not pay for this project, because it was a City of Sacramento and West Sacramento project, and now it is only a West Sacramento project. He provided other concerns such as cost overruns, construction and operations, and that a contract needs to be in place so that SacRT will be reimbursed for costs to date. If those conditions are met, he indicated that he could see moving forward in constructing this project for West Sacramento.

Director Hume noted that he was not a fan of the original iteration of the project. The revised project is still Streetcar in name only. It is the beginning of a SacRT line into West Sacramento, and may go deeper into Yolo County, but does the public a disservice when we are doing a bait and switch. Director Hume noted that he is not against what is being proposed, but is against the manner in which it is being carried forward.

Director Nottoli asked to clarify that the current resolutions require subsequent actions by both cities. Laura Ham noted that the work on the project would be on pause until the agreements are fully funded (including the current reimbursement agreement and the subsequent or replacement agreement that would provide for the \$151,000 that we are short from the current \$2.6 million agreement, plus the projected \$560,000 that is required to reach the small starts grant agreement). Those agreements would also fund the two work orders currently before the Board for approval. Staff will continue to develop the ridership forecast, update the schedule and update the environmental and design work required for project development. Ms. Ham noted that a condition has been set that an operations and maintenance agreement or annexation occur prior to the end of the current calendar year. The current reimbursement agreement does hold SacRT harmless for any project development cost overruns; this new condition expands that to include construction and operations. Director Nottoli indicated that it is incumbent on the two cities to determine if this project fits with the criteria that SacRT is being asked to put forward and carry the project.

Director Schenirer noted the many conditions before the project can move forward. SacRT will be held harmless with the benefits of the additions that were made from the last reading.

***ACTION: APPROVED – Chair Hansen moved; Director Serna seconded approval of items A, B, C, and D as written. Motion was carried by roll call vote. Ayes: Directors Jennings, Nottoli, Schenirer, Serna, Vice Chair Miller and Chair Hansen; Noes: Directors Budge, Harris, Hume and Kennedy. Abstain: None. Absent: None. Director Howell recused herself because HDR is a client.***

## **8. GENERAL MANAGER’S REPORT**

### **8.1 General Manager’s Report**

- a. Innovative Clean Transit Plan Update
- b. SmaRT Ride Presentation
- c. SacRT Meeting Calendar

Written public comment was read into the record by the Clerk from the following:

Mike Barnbaum

Laura Ham provided an overview of the Innovative Clean Transit Plan and reviewed her power point on the California Air Resource Board mandate to a zero-emission vehicle fleet. Public and peer review of the plan should be available in the next 10 days. In support of this effort and a full zero emission vehicle transition plan, SacRT received \$215,000 Caltrans grant.

- 9. **REPORTS, IDEAS AND QUESTIONS FROM DIRECTORS, AND COMMUNICATIONS**
- 10. **CONTINUATION OF PUBLIC ADDRESSES BOARD ON MATTERS NOT ON THE AGENDA (If Necessary)**
- 11. **ANNOUNCEMENT OF CLOSED SESSION ITEMS**
- 12. **RECESS TO CLOSED SESSION**

The Board recessed to Closed Session at 7:01 p.m.

13. **CLOSED SESSION**

- 13.1 Conference with Labor Negotiator  
Pursuant to Section 54957.6  
District Negotiator : Stephen Booth
  - A. Employee Organization: AFSCME
  - B. Employee Organization: ATU
  - C. Employee Organization: IBEW
  - D. Employee Organization: OE3
- 13.2 Conference with Legal Counsel  
Pursuant to Gov. Code Section 54956.9(d)  
Anticipated Litigation
  - A. One Case
- 13.3 Public Employee Appointment  
Pursuant to Section 54957

Title: General Counsel

14. **RECONVENE IN OPEN SESSION**

15. **CLOSED SESSION REPORT**

There was no Closed Session Report.

16. **ADJOURN**

\* Received after the meeting ended.

As there was no further business to be conducted, the meeting was adjourned at 7:57 p.m.

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STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Olga Sanchez-Ochoa, General Counsel  
**SUBJ:** APPROVING THE FIRST AMENDMENT TO JONES & MAYER  
CONTRACT FOR ON CALL TORT LITIGATION SERVICES

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

Adoption of the attached Resolution will amend the contract with Richard D. Jones, a Professional Law Corporation, dba as Jones & Mayer for on-call tort litigation services.

### FISCAL IMPACT

There is no fiscal impact as a result of this Amendment. There will be a fiscal impact as work orders are issued.

### DISCUSSION

In October 2018, SacRT released a request for proposal for on-call tort litigation counsel support services. Four firms, including Richard D. Jones, a Professional Law Corporation, dba Jones & Mayer (hereinafter "Jones & Mayer"), submitted proposals. On February 15, 2019, SacRT entered into a contract with Jones & Mayer for on-call tort litigation services with a not to exceed amount of \$150,000. The contract is set to expire February 28, 2024.

During 2019, Jones & Mayer provided SacRT with consultation and litigation services on two matters. Jones & Mayer is currently handling one matter that contains both a tort cause of action and a federal discrimination cause of action against SacRT and an employee of SacRT. Jones & Mayer is exceptionally well-qualified to handle both the tort claim and the discrimination claim based on their experience in representing public entities in both areas of the law. If this matter proceeds to trial, the anticipated budget for this case will exceed the amount remaining on the current contract. Consequently, staff desires to add funding to the Contract.

In addition, Staff recently noticed an error in the proper legal name of Jones Mayer as listed in the Principal Agreement. The Principal Agreement named the firm as Jones & Mayer, a Professional Law Corporation, however, the firm's actual legal name is Richard D. Jones, a Professional Law Corporation, dba as Jones & Mayer. Therefore, the

proposed First Amendment to the Contract with Jones & Mayer acknowledges the error and clarifies the firm's legal name.

Staff recommends that the Board adopt the First Amendment to the Contract with Jones & Mayer increasing the total consideration by \$150,000 from \$150,000 to \$300,000 and corrects the error made in the firm's legal name.



RESOLUTION NO. 20-10-0109

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE FIRST AMENDMENT TO JONES & MAYER CONTRACT FOR ON CALL TORT LITIGATION SERVICES**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the First Amendment to the Contract between Sacramento Regional Transit District, therein referred to as "SacRT" and Richard D. Jones, a Professional Law Corporation, dba as Jones & Mayer therein referred to as "Attorney" wherein the total consideration is increased to a not to exceed amount of \$300,000 and the firm name is corrected to reflect its true legal name, is hereby approved.

THAT, the Chair and General Manager/CEO are hereby authorized and directed to execute said First Amendment.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



# STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Laura Ham, VP, Planning and Engineering

**SUBJ:** DELEGATING AUTHORITY TO AWARD CONTRACT FOR COMPLETION OF MORRISON CREEK LIGHT RAIL STATION TO SWIERSTOK ENTERPRISE, INC.

## RECOMMENDATION

Adopt the Attached Resolution.

## RESULT OF RECOMMENDED ACTION

Delegating authority to the General Manager/CEO to award a Contract for Completion of Morrison Creek Light Rail Station.

## FISCAL IMPACT

The bid amount for Contract for Completion of Morrison Creek Light Rail Station is \$1,488,000. The Contract is being funded with capital sources available on the South Sacramento Corridor Phase 2 (SSCP2) Project.

## DISCUSSION

On August 27, 2020, SacRT advertised the bid opportunity for Completion of Morrison Creek Light Rail Station, in accordance with SacRT’s Procurement Ordinance.

As a part of the original SSCP2 civil, track, systems, structures and station construction, the Morrison Creek Station light rail station platform and park and ride lot were constructed, but the amenities and utility services were deferred due to the lack of development surrounding the light rail station. While the adjacent land remains undeveloped, the Federal Transit Administration (FTA) has set a deadline for SacRT to complete the station so that the New Starts grant for the SSCP2 project can be closed out. The scope of work included in the Contract for Completion of Morrison Creek Station includes installing shelters, site furniture, utility services, walk on access and landscape and irrigation.

While a number of contractors participated in the mandatory pre-bid meeting, on October 8, 2020, a single bid was received:

<u>Bidder</u>	<u>Bid Amount</u>
Swierstok Enterprise, Inc. doing business as Pro Builders	\$1,488,000

The amount bid by Swierstok Enterprise, Inc. is less than the Engineer's Estimate was \$1,595,952.

When only a single bid or proposal is received in response to a solicitation, SacRT is required by the FTA to conduct an analysis of whether there was adequate competition, specifically whether the receipt of a single bid was due to factors within SacRT's control that limited competition. Staff contacted several registered plan holders. Two intended to bid but delayed completing and uploading the forms on SacRT's PlanetBids portal until just before the bid deadline and were unsuccessful in completing their bids; a third declined to bid due to other competing construction opportunities in the area. As a result, Staff has determined that the competition was adequate.

The IFB included a 13% DBE participation goal. Swierstok Enterprise, Inc. did not meet the DBE participation goal. Staff has requested information from Swierstok Enterprise, Inc. to document that Good Faith Efforts were made to satisfy the DBE participation goal. Until that documentation is received, Staff cannot make the determination that Swierstok Enterprise, Inc., is the lowest responsive and responsible bidder. Due to the tight timeframe to complete the construction, Staff recommends that the Board delegate authority to the General Manager/CEO award of the Contract for Completion of Morrison Creek Light Rail Station to Swierstok Enterprise, Inc. for an amount not to exceed \$1,488,000 conditioned on a determination that the DBE requirements have been met.

RESOLUTION NO. 20-10-0110

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**DELEGATING AUTHORITY TO AWARD A CONTRACT FOR COMPLETION OF MORRISON CREEK LIGHT RAIL STATION TO SWIERSTOK ENTERPRISE, INC. DBA PRO BUILDERS**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, authority is hereby delegated to the General Manager/CEO to award and execute the Contract for Completion of Morrison Creek Light Rail Station by and between the Sacramento Regional Transit District, therein referred to as "SacRT," and Swierstok Enterprise Inc. doing business as Pro Builders, therein referred to as "Contractor," whereby Contractor agrees to complete the Morrison Creek Light Rail Station, as further specified therein, for an amount not to exceed \$1,488,000, conditioned on a determination that the DBE requirements have been satisfied.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Brent Bernegger, VP, Finance/CFO  
**SUBJ:** APPROVING THE AGREEMENT BETWEEN CAPITOL CORRIDOR JOINT POWERS AUTHORITY (CCJPA) AND SACRAMENTO REGIONAL TRANSIT DISTRICT FOR SUBSIDIZED TRANSIT TRANSFER PROGRAM

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

The recommended action will approve the Agreement Between Capitol Corridor Joint Powers Authority (CCJPA) and Sacramento Regional Transit District for Subsidized Transit Transfer Program.

### FISCAL IMPACT

There is no anticipated fiscal impact of the proposed Resolution. SacRT and CCJPA have an existing transfer subsidy agreement in place; the new agreement would not modify the reimbursement rate per transfer, but would transition from paper to electronic fare media. If anything, staff anticipates that the agreement will result in additional fare revenue for SacRT by more accurately accounting for individuals transferring from Capitol Corridor service to light rail and eliminating the ability to use a paper transfer as a daily pass.

### DISCUSSION

SacRT and CCJPA have had a transfer agreement in place since January 9, 2000 (Resolution No. 00-12-0269). The agreement allows passengers of the Amtrak Capitol Corridor system to transfer to SacRT at no cost to the passenger. SacRT in turn bills CCJPA at a rate equal to the average fare.

Currently, passengers request a paper transfer ticket from the train conductor and use that ticket to board SacRT's system. The paper ticket consists of two parts (to allow for a round trip) and each part is surrendered when riding bus; the surrendered transfers on bus are counted for billing purposes. Billing on light rail is based on extrapolated survey data.

Paper tickets present complications for both SacRT and CCJPA that Staff is attempting to eliminate with a transition to electronic fare media. First, handing a paper ticket to a

passenger presents an undesirable extra point of contact during the COVID-19 pandemic. Second, because the paper ticket has only a date stamp and not a time stamp, users on light rail can continue the use of the pass for longer than the standard 90-minute ticket window, essentially converting it into a daily pass that is paid for at a single-ride rate.

The proposed new agreement would transition 100% of CCJPA passengers from paper transfers to SacRT's mobile fare app (ZipPass). CCJPA passengers will use the train's onboard Wi-Fi system to access a portal (available only on the train) to obtain voucher codes that will be redeemed in the ZipPass application for single ride tickets. This process is similar to what has been implemented in the new fare vending machines. If the train's onboard Wi-Fi is inoperable, CCJPA will provide passengers with an alternative method of obtaining a voucher code. One-way CCJPA passengers will receive one ZipPass Mobile Fare Ticket, while roundtrip CCJPA passengers will be eligible to receive up to two Mobile Fare Tickets. This is consistent with the existing CCJPA agreement. CCJPA will reimburse SacRT for each unique code generated for a single ticket and for each instance in which generic code is redeemed for a single ticket at a rate equal to the average fare for the prior Fiscal Year, plus the cost of producing the voucher code. Consistent with the adopted fare structure, each ticket has a 90-minute validity period after activation; unused tickets will spoil after 48 hours to ensure that riders are using the transfer tickets as intended.

Using ZipPass to handle the CCJPA transfer will resolve each of the identified complications and further leverage the use of technology at SacRT. While the prior agreement had an indefinite term, the new agreement will be for 5 years. The prior agreement will be terminated after execution of the new agreement.

RESOLUTION NO. 20-10-0111

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE AGREEMENT BETWEEN CAPITOL CORRIDOR JOINT POWERS AUTHORITY (CCJPA) AND SACRAMENTO REGIONAL TRANSIT DISTRICT FOR SUBSIDIZED TRANSIT TRANSFER PROGRAM**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Agreement Between Capitol Corridor Joint Powers Authority (CCJPA) and Sacramento Regional Transit District for Subsidized Transit Transfer Program, whereby CCJPA passengers are eligible to receive up to two Mobile Fare Tickets using voucher codes for redemption through SacRT's ZipPass mobile application and CCJPA agrees to compensate SacRT for all voucher codes generated or redeemed at a rate equal to SacRT average fare plus the cost of generating the code for each Mobile Fare Ticket, as further set forth therein, is hereby approved.

THAT, the General Manager/CEO is hereby authorized and directed to execute the foregoing Agreement.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Brent Bernegger, VP, Finance/CFO

**SUBJ:** APPROVING THE FIRST AMENDMENT TO THE AMENDED AND RESTATED AGREEMENT FOR CALIFORNIA STATE UNIVERSITY SACRAMENTO STUDENT AND EMPLOYEE TRANSIT PASS PROGRAM AND THE EIGHTH AMENDMENT TO THE STUDENT TRANSIT PASS PROGRAM WITH LOS RIOS COMMUNITY COLLEGE

### RECOMMENDATION

Adopt the Attached Resolutions.

### RESULT OF RECOMMENDED ACTION

Approval of the attached Resolutions will provide a direct transit fee discount of 50% to Los Rios Community College District (Los Rios) students for the Spring 2021 semester and will further reduce the Annual Fee that California State University, Sacramento is obligated to pay SacRT during the current Fiscal Year to a total of 50% of the amount that would otherwise be due (reflecting the previously-approved 25% discount and a new discount of 25% of the FY20 Annual Fee amount that would have been included in the agreement in the absence of the previously-approved discount) .

### FISCAL IMPACT

The combined fiscal impact of the proposed Resolutions is estimated to be \$826,507 (approximately \$600,000 from Los Rios and \$226,507 from Sac State). This reduction in budgeted revenues will be offset, if necessary, by an increase in CARES Act funding allocated to FY21. This will be addressed in a future budget amendment.

### DISCUSSION

On June 8, 2020, the SacRT Board approved a reduction of 25% of the Annual Fee amount that would be otherwise due from Sac State in Fiscal Year 2021 and a 50% discount off the Fall semester transit fees for Los Rios students, in response to campus closures and distance-based learning due to COVID-19. Although the percentages are different, the 25% discount applied to Sac State was based on an annualized amount, whereas the 50% for Los Rios was based solely on the fall semester (1 semester). The total discount, when annualized, will be equitable as it will provide a 50% discount for both schools. As explained in the June Staff Report, Sac State pays SacRT in arrears for the prior fiscal year and, unlike the Los Rios contract, Sac State does not directly pass through the entire transportation fee collected from students to SacRT. However,



SacRT expects the reduced payment obligation in the current fiscal year will allow Sac State to reduce the student transportation fee in the Spring 2021 semester.

Sac State and Los Rios both recently informed SacRT that both Sac State and Los Rios college campuses will remain closed in large part during the Spring 2021 semester. As a result, the students may expect a reduction in the transit fee (Los Rios) or transportation fee (Sac State).

Staff has worked hard to maintain positive relationships with both Sac State and Los Rios during this time. The primary purpose of the transit pass agreements are to provide transportation to and from the college campus. This need has been greatly reduced given the campus closures. At the same time, while ridership among Los Rios and Sac State students has been affected, there are still many students using these programs as a means to complete essential travel.

Staff recommends that the Board approve amendments to both the Los Rios and Sac State Transit Pass programs to offer an additional, annualized 25% discount to Sac State and a 50% discount to Los Rios for the Spring 2021 semester. These discounts are equitable and have been informally approved by the management teams at both Sac State and Los Rios.

RESOLUTION NO. 20-10-0112

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE EIGHTH AMENDMENT TO THE STUDENT TRANSIT PASS AGREEMENT -- 2015 WITH LOS RIOS COMMUNITY COLLEGE DISTRICT**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Eighth Amendment to the Student Transit Pass Agreement – 2015 by and between the Sacramento Regional Transit District (therein “RT”) and the Los Rios Community College District (therein “Los Rios”) whereby the parties agree to a reduction or refund of the mandatory transportation fees paid by eligible students for the Spring semester of 2021 to reflect the reduced benefits provided to students as a result of the cancellation of on-campus instruction due to COVID-19, is hereby approved.

THAT, the General Manager/CEO is hereby authorized to execute said Eighth Amendment.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary

RESOLUTION NO. 20-10-0113

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE FIRST AMENDMENT TO THE AMENDED AND RESTATED AGREEMENT FOR CALIFORNIA STATE UNIVERSITY, SACRAMENTO STUDENT AND EMPLOYEE TRANSIT PASS PROGRAM -- 2020**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the First Amendment to the Amended and Restated Agreement for California State University, Sacramento Student And Employee Transit Pass Program -- 2020 to provide an additional discount of \$226,507 in the amount due for the FY2020 Annual Fees as a result of the cancellation of the majority of on-campus classes for Spring 2021 semester to allow for reduction of the student transportation fee, is hereby approved.

THAT, the General Manager/CEO is hereby authorized and directed to execute said First Amendment.

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STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Brent Bernegger, VP, Finance/CFO

**SUBJ:** MODIFYING THE DEFINITION OF 2020-2021 ANNUAL STUDENT (TK-12) PASS IN THE FARE STRUCTURE TO ALLOW STUDENTS IN GRADES 7-12 TO USE THE RYDEFREERT CARD AS VALID FARE MEDIA THROUGH SEPTEMBER 30, 2021 AND RATIFYING THE GENERAL MANAGER'S EXECUTION OF THE AMENDED AND RESTATED STUDENT RIDERSHIP INITIATIVE STUDENT TRANSIT PASS AGREEMENT

### RECOMMENDATION

Adopt the Attached Resolutions.

### RESULT OF RECOMMENDED ACTION

Adopting the attached Resolutions will ratify an agreement with the City of Sacramento regarding the RydeFreeRT program and allow all students in grades TK-12 to use the RydeFreeRT card as a 2020-2021 Annual Student (TK-12) Pass.

### FISCAL IMPACT

There is no projected significant fiscal impact of the proposed Resolutions beyond what was previously disclosed for the RydeFreeRT program in the August and September Staff Reports. The City of Sacramento will compensate SacRT for acceptance of the RydeFreeRT card as a valid 2020-2021 Annual Student (TK-12) Pass (Pass) for Students in Grades 7-12 who reside in or attend school in the City of Sacramento at the rate of \$.84 per ride as specified in the prior Board action (Resolution 20-09-0106), with the assumption that 2/3 of the 2020-2021 Pass holders will reside in or attend school in the City of Sacramento.

Allowing use of the Pass by older Students without the requirement of showing a photo ID may result in a negligible number of rides by ineligible riders, a portion of which will be uncompensated, unless other jurisdictions agree to provide a subsidy on the same terms as the City of Sacramento.

### DISCUSSION

Prior to the launch of RydeFreeRT in October 2019, the SacRT Board adopted a new type of pass, the "Annual Student (TK-12) Pass", which recognized three different types of valid Student ID to which a RydeFreeRT sticker could be attached: school-issued photo ID, SacRT-issued Student ID with photo; and a SacRT-issued RydeFreeRT card,

which was limited at the time to Students in grades TK-6 because there is no photo printed on the card.

The limitation on grade level was put in place for two primary reasons: (1) SacRT research indicated that Students in grades 7-12 all received a personalized identification card from their school; and (2) as a fraud prevention measure against use by individuals who might be out of high school and trying pass as a Student.

On September 14, 2020, the Board adopted a definition of “2020-2021 Annual Student (TK-12) Pass” that did not modify the valid forms of ID but (1) eliminated the requirement to affix a sticker; and (2) delegated authority to the General Manager/CEO to approve and execute an amendment or agreement with the City of Sacramento for Year 2 of the RydeFreeRT for compensation for acceptance of the Pass with the new definition.

Following the September 14<sup>th</sup> meeting, the City requested that a further change be made to the SacRT Fare Structure and to the agreement to allow all students in grades TK-12, not just TK-6, to use the RydeFreeRT card to ease the administration of the program.

Given the current school closures in the area, there is growing concern that legitimate Students may not be able to obtain a School-issued ID card this school year and SacRT has a single location with limited hours for Students to obtain a SacRT-issued Student ID. As a result, Staff was supportive of the City’s request to expand the definition of the 2020-2021 Annual Student (TK-12) Pass to include use of the RydeFreeRT Card by students in grades 7-12 through September 30, 2021. While there is a risk of fraud as mentioned previously, it is critical that Students have easy access to fare media. The RydeFreeRT card allows SacRT to quickly provide fare media to Students who need it.

The Sacramento City Council was poised to approve the agreement terms for Year 2 at the October 13<sup>th</sup> City Council meeting. To avoid the need for the City Council to approve the agreement with old pass description and then promptly amend it if the SacRT Board approved the modified definition, the General Manager/CEO executed the Amended and Restated Student Ridership Initiative Student Transit Pass Agreement with the modified definition, which was outside of the scope of the Board’s September 14<sup>th</sup> delegation of authority. Therefore, ratification is being sought to preserve the validity of the executed agreement.

RESOLUTION NO. 20-10-0114

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**REPEALING RESOLUTION NO. 20-09-0107 AND TEMPORARILY MODIFYING THE FARE STRUCTURE (RESOLUTIONS 09-10-0174 AND 18-06-0061, AS AMENDED) TO CREATE A 2020-2021 ANNUAL STUDENT (TK-12) PASS PREPAID FARE**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, Resolution No. 20-09-0107 is hereby repealed.

THAT, the following definition is hereby added to Article J "Fare Structure Definitions" of the Fare Structure:

"2020-2021 Annual Student (TK-12) Pass means a: (a) School ID, (b) Student ID card or (c) an RT-issued Sac RydeFreeRT card. Eligibility for receipt and use of an Annual Student (TK-12) Pass will be as defined in Section V. Prepaid Fares, paragraph E of the Fare Structure."

THAT, the following provision is hereby added as paragraph E. of Section V, "Prepaid Fares" to define the validity requirements for a 2020-2021 Annual Student (TK-12 Pass).

"A valid 2020-2021 Annual Student (TK-12) Pass entitles the bearer to an unlimited number of Rides on Fixed Route or SmarT Ride Service until September 30, 2021 subject to the following limitations and conditions:

1. The Pass constitutes prepayment of the Applicable Fare for all SacRT service;
2. The Pass is issued to an eligible Student based either: (1) on an agreement between RT and another public entity or private School that has agreed to provide funding for the 2020-2021 Annual Student (TK-12) Pass in an amount sufficient to compensate SacRT for the estimated average lost fare revenue from honoring the 2020-2021 Annual Student (TK-12) Pass for the students defined to be eligible for the Pass as specified in the agreement; or (2) a Resolution adopted by the SacRT Board of Directors authorizing the Pass to be distributed to the student without payment of the required fee.
3. The Pass is issued by RT, an authorized public entity, or School pursuant to the terms of an agreement between RT and that entity.
4. As applicable, the image on the Student ID or School ID matches the bearer.

5. The Pass is non-transferable and non-exchangeable.”

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary

RESOLUTION NO. 20-10-0115

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**RATIFYING EXECUTION BY THE GENERAL MANAGER/CEO OF THE AMENDED  
AND RESTATED STUDENT RIDERSHIP INITIATIVE  
STUDENT TRANSIT PASS AGREEMENT**

WHEREAS, by Resolution No. 20-09-0106, the Board of Directors delegated authority to the General Manager/CEO to execute an Amended and Restated Student Ridership Initiative Student Transit Pass Agreement with the City of Sacramento on specified terms; and

WHEREAS, subsequent to that action, the City of Sacramento requested a modification in the proposed terms of the Amended and Restated agreement to expand the definition of 2020-2021 Annual Student (TK-12) Pass to provide better access to the Pass due to school closures resulting from the COVID-19 pandemic; and

WHEREAS, in the interest of expediting access to the pass and avoiding the need for a further amendment to the agreement, the General Manager/CEO executed the Amended and Restated Agreement with the revised terms.

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the General Manager/CEO's action in executing Amended and Restated Student Ridership Initiative Student Transit Pass Agreement by and between the City of Sacramento (therein "City") and the Sacramento Regional Transit District (therein "SacRT") whereby, the term was extended to September 30, 2021 and City agreed to pay an amount equal to \$0.84 per ride up to a total consideration of \$750,000, based on Student ridership data, as consideration for SacRT to permit Students who live in or attend school within the boundaries of the City or who are homeless or in foster care within the City to ride SacRT services at no cost for the period from October 1, 2020 until September 30, 2021 using a 2020-2021 Annual Student (TK-12) Pass, including acceptance of the RydeFreeRT card for Grades 7-12, is hereby ratified.

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STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary





## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Shelly Valenton, VP, Integrated Services and Strategic Initiatives  
**SUBJ:** SECOND AMENDMENT TO CONTRACT FOR ON-CALL SAP SUPPORT SERVICES WITH INLINK CONSULTING, INC.

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

Approval of this amendment extends the current contract with Inlink Consulting, Inc. for one year, to December 31, 2021, raises the hourly rate for services, and increases the total not-to-exceed amount by \$50,000, for a total not-to-exceed consideration of \$200,000.

### FISCAL IMPACT

This is a Work Order based Contract where each Work Order will be funded as needed out of budgeted operating funds for the fiscal year in which work occurs.

### DISCUSSION

SacRT has had contracts in place with Inlink Consulting, Inc., (Inlink) for On-call SAP Support Services since 2005. Most-recently, on November 17, 2016, after an informal solicitation (Request for Quote), SacRT entered into a new contract with a Total Consideration not to exceed \$100,000. The term of the contract was four years and is scheduled to expire on November 16, 2020. The contract was amended in 2019 to increase the total consideration to \$150,000.

Inlink has provided technical system support services under the Contract through 13 Work Orders and is familiar with SacRT's SAP system and the customizations that have been implemented. Inlink provides technical and functional support for multiple SAP modules critical to SacRT operations, including time-management, employee benefits and payroll processing. In addition, Inlink provides configuration support for new union contract implementations, amendments to existing contracts, implementation/modification of tax code(s), support of open enrollment benefits and year-end processes, as well as work schedule creation and management.

Staff are currently working to develop a Request for Proposal (RFP) for a long-term Contract for SAP Operational Support and Enhancement Services, which will ultimately replace this contract. It is anticipated that it will take six to nine months to complete the

RFP process and Staff recommends retaining Inlink in the interim and, if Inlink bids and is not the selected bidder, for a bit of time after the new contract is in place to facilitate ongoing SAP support, and provide subject matter expertise (SME) to Staff, as well as support knowledge transition.

Given the proprietary nature of the SAP system as well as SacRT's dependence on the system for business-critical functions such as payroll, personnel management, and other accounting processes, there could be significant business impacts to SacRT operations without an on-call support agreement.

A new informal procurement was recently conducted, and Inlink offered the lowest hourly rate of \$90 compared to the competitor's rate of \$200 per hour. Staff have been satisfied with Inlink's performance under the existing contract and believe the best possible way to mitigate risk to SacRT is to extend the agreement with Inlink for one year and increase the Total Consideration by \$50,000, to \$200,000.

RESOLUTION NO. 20-10-0116

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**SECOND AMENDMENT TO CONTRACT FOR ON-CALL SAP SUPPORT SERVICES WITH INLINK CONSULTING, INC.**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, while the Contract for On-Call SAP Support Services was awarded through the use of an informal solicitation, this amendment to increase the total consideration over the formal solicitation threshold is proper under Section 1.505 of the Procurement Ordinance (Ordinance No. 18-08-01) because a new informal solicitation was conducted and Inlink Consulting, Inc. was determined to be the lowest responsive and responsible bidder; and

THAT, the Second Amendment to the Contract for On-Call SAP Support Services between Sacramento Regional Transit District, therein referred to as "RT," and Inlink Consulting, Inc. therein referred to as "Consultant," whereby the term of the Contract is extended to terminate on December 31, 2021, Contractor's hourly rate is increased from \$85 to \$90, and the total consideration is increased by \$50,000, from \$150,000 to \$200,000, is hereby approved.

THAT, the Chair and General Manager/CEO are hereby authorized and directed to execute said Second Amendment.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Laura Ham, VP, Planning and Engineering  
**SUBJ:** APPROVAL OF INNOVATIVE CLEAN TRANSIT (ICT) PLAN

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

Approves the Innovative Clean Transit (ICT) Rollout Plan as required by the California Air Resources Board (CARB).

### FISCAL IMPACT

N/A

### DISCUSSION

CARB adopted the Innovative Clean Transit (ICT) regulation in December 2018. It requires all public transit agencies to gradually transition to a 100-percent zero-emission bus fleet and encourages them to provide innovative first-and last-mile connectivity and improve mobility for transit riders. Under this regulation, a large transit agency (Cal. Code Regs., tit. 13 § 2023(b)(30)) is required to submit a Board approved Rollout Plan along with its approval to the CARB Executive Officer (Cal. Code Regs., tit. 13 § 2023.1(d)(2)(A)). A Rollout Plan describes how a transit agency is planning to achieve a full transition to zero-emission bus technologies by 2040. It includes essential elements for a smooth transition, including information on the types of zero-emission buses to be purchased, their purchase schedule, timing of their placement in Disadvantaged Communities, a schedule for related infrastructure build out, potential funding sources, and training plans.

A Rollout Plan serves an informative function. It allows a transit agency to plan ahead of time and to familiarize itself with available zero-emission bus technologies before starting with purchases. It allows transit agencies to learn about potential challenges and available solutions for a smooth transition. Information gathered from the Rollout Plans will also guide the State in developing incentive funding plans, inform utilities on potential electrical and infrastructure needs, and educate the general public on environmental benefits of zero-emission bus technologies. Attached are letters of support asking the SacRT Board to adopt the ICT bus roll out plan. Staff recommends that the Board adopt the ICT Plan attached as Exhibit A.

## BOARD OF DIRECTORS

**Eric Guerra, Chair**  
Council Member  
City of Sacramento

October 19, 2020

**Sue Frost, Vice Chair**  
Supervisor  
Sacramento County

Sacramento Regional Transit District  
1400 29<sup>th</sup> Street  
Sacramento, CA 95817

**Sarah Aquino**  
Mayor  
City of Folsom

### Re: Support for SacRT's Zero Emission Bus Fleet Transition Plan

**Larry Carr**  
Council Member  
City of Sacramento

Dear SacRT Board of Directors:

**Bret Daniels**  
Council Member  
City of Citrus Heights

On behalf of Sacramento Metropolitan Air Quality Management District (Sac Metro Air District), I am writing to extend our support for the ambitious zero emission bus plan put forward by staff to transition SacRT's bus fleet to 100% zero-emission by 2040 in accordance with the California Air Resource Board's Innovative Clean Transit regulation.

**Steve Hansen**  
Council Member  
City of Sacramento

The Sac Metro Air District has responsibility to advance the greater capital region towards meeting all national ambient air quality standards and the state's decarbonization commitments, and SacRT has been a stalwart partner, transitioning from diesel to compressed natural gas, and now to zero-emission engines. This action is part of a continued commitment to air quality and climate stability, consistent with the Mayor's Climate Commission and Executive Order N-19-19; both which call for investing in innovative strategies that encourage people to shift to sustainable modes of transportation.

**Jeff Harris**  
Vice Mayor  
City of Sacramento

**Patrick Kennedy**  
Supervisor  
County of Sacramento

As the agency with the "primary responsibility for the development, implementation, monitoring, and enforcement of ... clean fuels programs"<sup>1</sup> we understand the challenges and benefits of transitioning to a new technology. However, we find that the Zero Emission Bus Fleet Transition Plan is an ambitious, attainable and responsible path forward for the agency. Our regional climate goals, especially those outlined in the Metropolitan Transportation Plan/Sustainable Communities Strategy, depend on a robust, efficient, and high-ridership SacRT. Your innovations in service, such as SmARTRide and SacRT Forward, as well as your innovations in technology, such as the zero-emission Causeway Connection and SmARTRide buses, bode well for our Region.

**Paige Lampson**  
Council Member  
City of Galt

**Steve Ly**  
Council Member  
City of Elk Grove

Through this letter, we commit to a continued partnership with SacRT to fulfill this ambitious plan and will seek efforts to partner on funding opportunities and collaborations that will assist with this fleet transition.

**Don Nottoli**  
Supervisor  
Sacramento County

**Susan Peters**  
Supervisor  
Sacramento County

**Phil Serna**  
Chair  
Sacramento County

**Donald Terry**  
Council Member  
City of Rancho Cordova

Thank you for your steadfast efforts to improve our region's air quality and the mobility for all of our residents. Sac Metro Air District looks forward to working closely with SacRT to achieve this shared vision for zero emission mobility.

## EXECUTIVE DIRECTOR

**Alberto Ayala**

<sup>1</sup> California Health & Safety Code 40961

Sacramento Regional Transit District  
October 19, 2020  
Page 2 of 2

Should you have any questions or need further clarification, please do not hesitate to contact Mr. Jaime Lemus, Manager, Transportation and Climate Change Division at [jlemus@airquality.org](mailto:jlemus@airquality.org) or (916) 874-2911.

Sincerely,



Alberto Ayala, Ph.D., M.S.E  
Executive Director/Air Pollution Control Officer



October 15, 2020  
GM 20-225

Sacramento Regional Transit District  
1400 29<sup>th</sup> Street  
Sacramento, CA 95817

**Re: Support for SacRT's Zero Emission Bus Fleet Transition Plan**

Dear SacRT Board of Directors:

On behalf of SMUD, I am writing to extend our support for the ambitious zero emission bus plan put forward by staff to transition SacRT's bus fleet to 100% zero-emission by 2040, in accordance with the California Air Resource Board's Innovative Clean Transit regulation.

SMUD applauds SacRT for years of focus on tackling the challenges presented by climate change. Earlier this summer, the SMUD Board adopted a climate emergency declaration that commits to working toward an ambitious goal of delivering carbon neutral electricity by 2030. The declaration recognizes the immediate risks to our community and demands bold action to achieve results.

As part of this strategy, it is paramount that we increase transit ridership and electrify the mobility sector, the largest source of emissions in California. Due to the rapidly evolving nature of zero emission technologies, we know that achieving this plan will require a true regional partnership and commitment. That is why SMUD is committed to helping SacRT fulfill this ambitious plan through close coordination and infrastructure that will be vital with this fleet transition.

Thank you for your steadfast efforts to improve our region's air quality and mobility for all of our residents. SMUD looks forward to working closely with SacRT to achieve this shared vision for zero emission mobility.

Sincerely,

A handwritten signature in black ink that reads "Paul Lau".

Paul Lau  
Chief Executive Officer & General Manager

Paul Lau, Chief Executive Officer & General Manager

RESOLUTION NO. 20-10-0117

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVAL OF INNOVATIVE CLEAN TRANSIT (ICT) PLAN**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board hereby approves and the adopts the official Innovative Clean Transit (ICT) Rollout plan, attached hereto as Exhibit A, as prepared by staff and required by the California Air Resources Board.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary





Exhibit A

FINAL  
OCTOBER 2020

**SACRAMENTO REGIONAL TRANSIT**  
ZERO-EMISSION BUS ROLLOUT PLAN



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# 1. ROLLOUT PLAN SUMMARY

## AGENCY BACKGROUND

Transit Agency's Name	Sacramento Regional Transit District
Mailing Address	1400 29th St., Sacramento, CA 95816
Transit Agency's Air District	Sacramento Air Quality Management District
Transit Agency's Air Basin	Sacramento Valley Air Basin
Total number of buses in Annual Maximum Service <sup>1</sup>	189
Urbanized Area	Sacramento
Population of Urbanized Area <sup>2</sup>	1.1 Million
Contact information of general manager, chief operating officer, or equivalent	Henry Li   <a href="mailto:HLi@sacrt.com">HLi@sacrt.com</a>
<b>Rollout Plan Content</b>	
Is your transit agency part of a Joint Group <sup>3</sup>	No
Is your transit agency submitting a separate Rollout Plan specific to your agency, or will one Rollout Plan be submitted for all participating members of the Joint Group?	N/A

Please provide a complete list of the transit agencies that are members of the Joint Group (optional)	N/A
Contact information of general manager, chief operating officer, or equivalent staff member for each participating transit agency member	N/A
Does Rollout Plan have a goal of full transition to ZE technology by 2040 that avoids early retirement of conventional transit buses?	Yes
<b>Rollout Plan Development and Approval</b>	
Rollout Plan's approval date	9/14/2020
Resolution No.	XXX
Is copy of Board-approved resolution attached to the Rollout Plan?	Yes (Appendix A)
Contact for Rollout Plan follow-up questions	James Boyle, Director of Planning
Who created the Rollout Plan?	Consultant
Consultant	WSP

<sup>1</sup>The ICT regulation defines "Annual Maximum Service" (13 CCR § 2023(b)(3)) as the number of buses in revenue service that are operated during the peak season of the year, on the week and day that maximum service is provided but excludes demand response buses.

<sup>2</sup>As last published by the Census Bureau before December 31, 2017

<sup>3</sup>The ICT regulation defines a Joint ZEB Group or Joint Group (13 CCR § 2023.2) as two or more transit agencies that choose to form a group to comply collectively with the ZEB requirements of section 2023.1 of the ICT regulation.

## 2. INTRODUCTION

In accordance with the California Air Resource Board’s Innovative Clean Transit regulation (CARB ICT regulation), the following report serves as Sacramento Regional Transit Authority’s (SacRT) Rollout Plan to transition its bus fleet to 100 percent zero-emission (ZE) by 2040.

### 2.1 BACKGROUND

#### 2.1.1 CALIFORNIA AIR RESOURCE BOARD’S INNOVATIVE CLEAN TRANSIT REGULATION

The CARB’s ICT regulation requires all public transit agencies in the State of California to transition from conventional buses (compressed natural gas, diesel, etc.) to zero-emission buses (battery-electric or fuel cell electric) by 2040. The regulation requires a progressive increase of an agency’s new bus purchases to be zero-emission buses (ZEBs) based on their fleet size. By 2040, CARB expects all transit agencies in the state to be operating only ZEBs.

To ensure that each agency has a strategy to comply with the 2040 requirement, the ICT regulation requires each agency, or a coalition of agencies (“Joint Group”), to submit a ZEB Rollout Plan (“Rollout Plan”) before purchase requirements take effect. The Rollout Plan is considered a living document and is meant to guide the implementation of ZEB fleets and help transit agencies work through many of the potential challenges and explore solutions. Each Rollout Plan must include a number of required components (as outlined in the Rollout Plan Guidelines) and must be approved by the transit agency’s governing body through the adoption of a resolution, prior to submission to CARB.

According to the ICT regulation, each agency or Joint Group’s requirements are based on its classification as either a “Large Transit Agency” or a “Small Transit Agency”. The ICT defines a Large Transit Agency as an agency that operates in the South Coast or the San Joaquin Valley Air Basin and operates more than 65 buses in annual maximum service or it operates outside of these areas, but in an urbanized area with a population of at least 200,000 and has at least 100 buses in annual maximum service. A Small Transit Agency is an agency that doesn’t meet the above criteria.

SacRT is categorized as a “Large Transit Agency” under the ICT regulation and must comply with the following requirements:

- July 1, 2020 – Board-approved Rollout Plan must be submitted to CARB.<sup>4</sup>
- January 1, 2023 – 25 percent of all new bus purchases must be ZE
- January 1, 2026 – 50 percent of all new bus purchases must be ZE
- January 1, 2029 – 100 percent of all new bus purchases must be ZE
- January 1, 2040 – 100 percent of fleet must be ZE
- March 2021 – March 2050 – Annual compliance report due to CARB

#### 2.1.2 SACRAMENTO REGIONAL TRANSIT AUTHORITY

SacRT operates 30 fixed routes, 19 commuter routes, 17 seasonal routes in addition to SmaRT Ride on-demand transit, Airport Express bus service, service to UC Davis, and 43 miles of light rail that covers a 400-square-mile service area. Buses and light rail operate 365 days a year using 97 light rail vehicles, 232 buses powered by compressed natural gas (CNG), 62 vans, 107 paratransit vehicles, and 15 electric shuttle buses.

Passenger amenities include 52 light rail stations, 30 bus and light rail transfer centers, and 22 park-and-ride lots. SacRT also serves over 3,100 bus stops throughout Sacramento County.

Annual ridership has fluctuated recently on both bus and light rail systems and has grown from 14 million passengers in 1987 to over 20.8 million passengers in FY 19. Weekday light rail and bus ridership averages approximately 37,500 and 35,000, respectively.

SacRT’s SmaRT Ride on-demand transit provides smaller circulator buses to the communities of Arden, Carmichael, Citrus Heights, Downtown-Midtown-East Sacramento, Folsom, Franklin-South Sacramento, Gerber-Calvine, North Sacramento, and Rancho Cordova.

Airport Express bus service operates from Downtown Sacramento to the Sacramento International Airport every 20-30 minutes, seven days a week. The Causeway Connection electric bus operates Monday through Friday from 5:30 a.m. to 8:50 p.m. between the cities of Davis and Sacramento.

#### SERVICE AREA

SacRT’s service district covers nearly 400-square miles spanning the entirety of Sacramento County that includes the cities of Sacramento, Citrus Heights, Elk Grove, Folsom, and Rancho Cordova.

<sup>4</sup>Due to the impacts of COVID-19, CARB granted agencies an extension on their Rollout Plan upon request. SacRT requested an extension on May 29th that was granted on June 2nd.

Figure 2-1. SacRT Transit Map | Source: SacRT, September 2019



## ENVIRONMENTAL FACTORS

Sacramento County is in California’s Climate Zone 12. Sacramento’s winter months average a low of 39 degrees, about average for the State. Its temperatures in the summer are typically hotter than the State average (approximately 93 and 87 degrees, respectively). An analysis of the elevation within 0.75 miles of SacRT’s fixed-route service showed an average elevation of 102 ft., a low of -0.5 ft., and a high of 1,164 ft. The higher elevations of the service area are in the east in Folsom and most of the service area is under 100 ft. in elevation.

## SCHEDULE AND OPERATIONS

SacRT’s bus service includes Bus, Community Bus, and Smart Ride. Bus service includes fixed-route local and express service. Community Bus provides transit for residents and employees, SacRT offers this service in partnership with local agencies. Smart Ride is a microtransit service that is similar to other ride-share services where customers can use a smartphone application to request a ride within nine SacRT service areas.

SacRT operates 63 bus routes on weekdays and 26 on Saturday and Sunday. Service is primarily available between 5 a.m. to 11 p.m. every 12 to 60 minutes, depending on the route. Weekday bus ridership averages approximately 37,000 passengers per day. Fixed-route service operates out of two permanent and one temporary garage: Downtown Garage, McClellan Garage, and Hazel Station Garage.

## 2.2 EXISTING ZEB EFFORTS

### 2.2.1 PURCHASES AND PROCUREMENTS

SacRT is already a leader in the adoption and transition to ZEBs. As early as 2018, SacRT awarded a contract to GreenPower to provide six EV Stars for their award-winning Smart Ride microtransit service (all of which are now in service). In partnership with Electrify America (EA) and the City of Sacramento, SacRT purchased six Proterra 40’ buses for Causeway Connection service and three for Airport service. These vehicles are currently in service. SacRT has also purchased nine Greenpower shuttles that are currently in use for the micro transit service.

### 2.2.2 ZERO-EMISSION BUS FACILITY TRANSITION STUDY

In 2019, SacRT partnered with WSP to produce the Zero-Emission Bus Facility Transition Study, a study to determine the feasibility of transitioning SacRT’s existing fleet to ZEB. The study includes route and facilities analysis to develop preliminary plans and strategies to accomplish a 100% fleet transition to ZEBs. The initial findings of this study were used to inform the Rollout Plan. It should be noted that this study is still ongoing and will ultimately inform SacRT’s next steps towards implementation.



## 2.3 ROLLOUT PLAN APPROACH

Pursuant to the ICT regulation, the Rollout Plan identifies a strategy for SacRT to procure and operate all ZEBs by 2040. Due to the rapidly-evolving nature of ZEB technologies, it is possible that the findings and recommended approaches in this report will be outdated when it is time for implementation. For that reason, a number of generous assumptions were included to account for technological advancements. For example, current BEB technology is not sufficient to meet the range requirements of all of SacRT's service blocks. To account for potential future improvements, the Rollout Plan assumes that battery technology will eventually meet the requirements of SacRT, therefore, a 1:1 (conventional bus to ZEB) replacement ratio was used to account for future ZEB bus procurements and facility enhancements. This approach ensures that SacRT is planning for the future and not conforming to or purchasing infrastructure that will only be compatible with existing technologies. To account for potential fleet increases, facilities are planned and designed for maximum build-out to ensure that enough ZEB infrastructure is in place for fleet expansion.

However, in some areas, SacRT is still evaluating technologies and strategies beyond 2030. Those areas of current study will be indicated, where applicable.

It should also be noted that this Rollout Plan is based on December 2019 data. This dataset is used because it represents the fleet in typical operations. Since then, COVID-19 has impacted SacRT's service, and future routes and plans may be impacted. SacRT has applied for and received an extension to the filing deadline for this plan to account for these changes.

The **Start-Up and Scale-Up Challenges** section identify the barriers that may prohibit or make these full-buildout scenarios difficult to achieve. These challenges will serve as the springboard for refinements and strategies in the next stages of implementation.

## 2.4 ROLLOUT PLAN PURPOSE AND STRUCTURE

In accordance with CARB's Rollout Plan Guidance, Metro's Rollout Plan includes all required elements. The required elements and corresponding sections are detailed below:

- [Transit Agency Information](#) (Section 1: Rollout Plan Summary)
- [Rollout Plan General Information](#) (Section 1: Rollout Plan Summary)
- [Current Bus Fleet Composition and Future Bus Purchases](#) (Section 3: Fleet Acquisitions)
- [Technology Portfolio](#) (Section 3.2: ZEB Technology Application)
- [Facilities and Infrastructure Modifications](#) (Section 4: Facilities and Infrastructure Modifications)
- [Providing Service in Disadvantaged Communities](#) (Section 5: Disadvantaged Communities)
- [Workforce Training](#) (Section 6: Workforce Training)
- [Potential Funding Sources](#) (Section 7: Costs and Funding Opportunities)
- [Start-up and Scale-up Challenges](#) (Section 8: Start-up and Scale-up Challenges)

### 3. FLEET AND ACQUISITIONS

The following section provides an overview of SacRT’s existing bus fleet, justification for ZEB technology, and a procurement schedule through 2040 that meets the CARB ICT regulation’s requirements.

#### 3.1 EXISTING BUS FLEET

The SacRT fleet includes CNG, diesel, gasoline, and battery-electric (BEB)-powered buses and shuttles. As of August 1, 2020, SacRT operates an active fleet of 197 40-foot buses and 181 paratransit shuttles that range from 25 to 32 feet in length. SacRT’s fleet is operated from three “garages” – Downtown, McClellan, and Hazel. Table 3-1 provides a detailed overview of SacRT’s fixed route bus fleet.

MANUFACTURER	SERIES	FUEL TYPE	LENGTH	IN SERVICE YEAR	BUS TYPE	NO. OF BUSES
Orion	2601-2605	CNG	40'	2006	Standard	5 <sup>5</sup>
	2801-2901			2008		90
Gillig	1501-1596	CNG	40'	2015	Standard	30
				2016		66
El Dorado	1612-1616	Diesel	32'	2016	Standard	5
Proterra	1910-1915	BEB	40'	2019	Standard	6
<b>Total Buses</b>						<b>202</b>

Table 3-1 Summary of SacRT’s Existing | Source: SacRT, August 1, 2020

In addition to fixed route service, SacRT also operates Community Bus Service, SacRT GO, which is a paratransit partnership with local community neighborhoods and businesses, and ETran, a service for the neighboring City of Elk Grove. These services are exclusively operated with shuttle buses/cutaways that are not subject to the CARB ICT regulation.

#### 3.2 ZEB TECHNOLOGY APPLICATION

Previous and ongoing SacRT ZEB analysis has found that BEBs are more suitable than fuel cell electric buses (FCEBS) for SacRT’s existing operations. This is based on BEBs’ rate of technological advancement, costs, and availability. Electricity is a reliable and readily-available fuel source and a variety of OEMs have entered the market and produced BEB models that are currently entering pilot or service phases around the country.

<sup>5</sup>These five buses are used for training purposes only.

While FCEB technology is promising and has many potential benefits (as compared to both CNG and BEB), buses that serve SacRT’s main bus division are stored under a freeway, where, according to fire safety regulations, hydrogen fuel storage is prohibited. Additionally, hydrogen fuel is more expensive than both electricity and natural gas and is currently a limited and potentially inconsistent resource. Furthermore, SacRT’s facilities are space-constrained, a hydrogen solution could potentially require substantial footprints that are not currently feasible.

However, SacRT will continue to explore options to resolve space constraints. In doing so, as FCEBs become more affordable, SacRT will consider integrating them in the fleet (as indicated in Table 3-2).

#### 3.2.1 BATTERY-ELECTRIC BUS TECHNOLOGIES

As mentioned, based on SacRT’s conditions and service needs at this time, it is recommended that a ground mounted plug-in charging strategy be implemented to support BEBs at all three garages. SacRT’s future BEBs are expected to have specifications that are compatible with the Society of Automotive Engineers’ (SAE) J1772 (plug-in) charging standards. In the future, depending on available space, SacRT may consider overhead pantograph or ground-mounted inductive charging.

The proposed facility layouts for each garage are based on utilizing a 150-kW DC charging cabinet in a 1:2 charging orientation (one DC charging cabinet energizes two separate dispensers/buses). This charger to dispenser ratio maximizes space utility, reduces infrastructure costs, and meets the requirements to charge the fleet during servicing and dwell time on the site while minimizing the peak electrical demand.

Figure 3-1 shows an example of a ground-mounted plug-in charging bus yard.



Figure 3-1. A Plug-in Charging Yard | Source: WSP

Table 3-2. Summary of SacRT's Future Bus Purchases (through 2040) | Source: WSP | Note: BEBs assumed to be replaced after 12 years in service.

YEAR	TOTAL BUSES	ZERO-EMISSION BUSES				CONVENTIONAL BUSES			
		NO.	PCT.	BUS TYPE	FUEL TYPE	NO.	PCT.	BUS TYPE	FUEL TYPE
2020	-	-	-	-	-	-	-	-	-
2021	-	-	-	-	-	-	-	-	-
2022	70	0	0%	-	-	70	100%	40'	CNG
<b>2023</b>	<b>25</b>	<b>7</b>	<b>25%</b>	<b>40'</b>	<b>BEB</b>	<b>18</b>	<b>75%</b>	<b>40'</b>	<b>CNG</b>
2024	-	-	-	-	-	-	-	-	-
2025	-	-	-	-	-	-	-	-	-
<b>2026</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
2027	30	15	50%	40'	BEB/ FCEB	15	50%	40'	CNG
2028	70	35	50%	40'	BEB/ FCEB	35	50%	40'	CNG
<b>2029</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
2030	-	-	-	-	-	-	-	-	-
2031	6	6	100%	40'	BEB/ FCEB	-	-	-	-
2032	-	-	-	-	-	-	-	-	-
2033	-	-	-	-	-	-	-	-	-
2034	70	70	100%	40'	BEB/ FCEB	-	-	-	-
2035	-	-	-	-	-	-	-	-	-
2036	-	-	-	-	-	-	-	-	-
2037	25	25	100%	40'	BEB/ FCEB	-	-	-	-
2038	-	-	-	-	-	-	-	-	-
2039	15	15	100%	40'	BEB/ FCEB	-	-	-	-
2040	50	50	100%	40'	BEB/ FCEB	-	-	-	-

### 3.3 PROCUREMENT SCHEDULE

In accordance with the ICT regulation, SacRT will prioritize ZEB purchases and progressively increase the percentage of ZEB purchases over time. Based on initial analysis, the last conventional bus (CNG) is expected to be purchased in 2028.

Early retirement should not be an issue pursuant to the ICT regulation (2040) based on SacRT's future purchases. One potential strategy is to place newly acquired buses on SacRT's longest (distance) blocks. This will ensure that these buses meet the Federal Transit Administration's (FTA) 500,000-mile requirement ("useful life") more rapidly.

Table 3-2 presents a summary of SacRT's anticipated bus procurements through 2040 (based on a 12-year replacement cycle). Years 2023, 2026, and 2029 are highlighted because these indicate when SacRT's new purchases should be 25 percent, 50 percent, and 100 percent ZEB, respectively. Figure 3-2 illustrates the fleet mix of conventional and ZEBs through 2040.

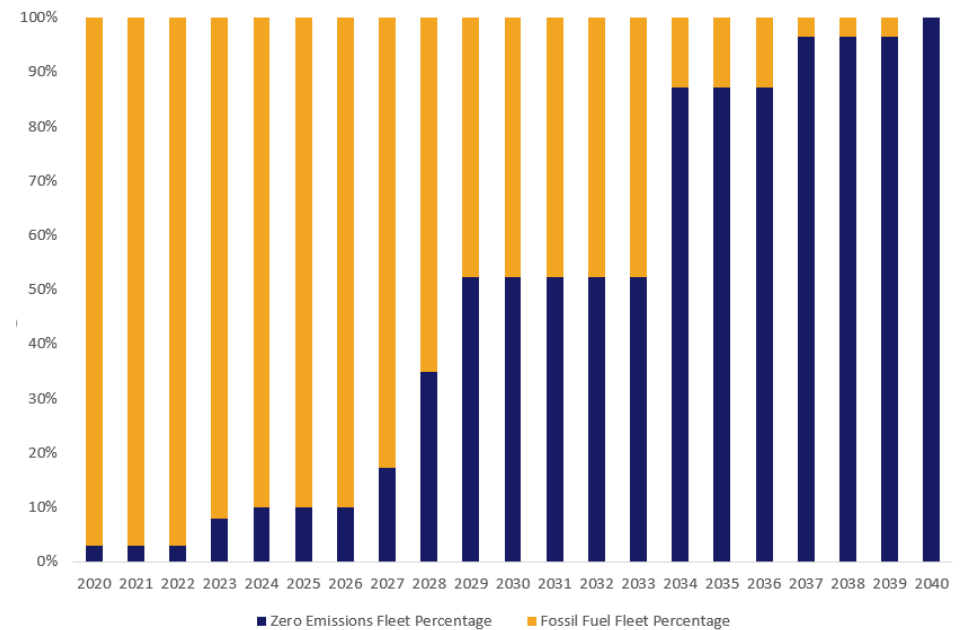


Figure 3-2. ZEB Fleet Percentage 2020 - 2040 | Source: WSP

#### 3.3.1 ZEB CONVERSIONS

Conventional bus conversions to ZEB technologies are not currently being considered at this time. However, SacRT will remain open to conversions if they are deemed financially feasible and align with ZEB adoption goals.



## 4. FACILITIES AND INFRASTRUCTURE MODIFICATIONS

The following section details the planned charging strategies, infrastructure, detailed garage improvements, and construction and phasing schedule.

### 4.1 METHODOLOGY

Since ZEB technology continues to evolve, it is difficult to commit to a costly strategy that may become outdated or obsolete in the future. However, it is also pertinent to ensure that strategies are future-ready. For this reason, the recommended facility and infrastructure modifications are based on what can physically be accommodated at each garage. This provides SacRT with a ceiling for what can physically be constructed and worst-case scenario for electric utility planning. Since service changes and bus movements may occur multiple times a year, by establishing a full-build scenario, SacRT can optimize, and tailor strategies based on existing (or anticipated) service.

### 4.2 FACILITY MODIFICATIONS

SacRT's transition to a BEB fleet will require a number of modifications and changes to existing infrastructure and operations. This will include the enhancements and expansions of electrical equipment, additional electrical capacity, and the installation of chargers, dispensers, and other components. These modifications will occur at all three of SacRT's garages, and, if viable and required, at layover facilities for on-route charging operations.

During preliminary concept discussions, the feasibility of both conductive (overhead inverted pantographs, and ground-mounted or overhead plug-in) and inductive (in-ground wireless) charging dispensers were analyzed based on efficacy, costs, and spatial requirements. Due to spatial constraints, it was found that ground-mounted plug-in chargers are the most viable, at this time.

Proposed layouts are based on utilizing a 150-kW DC charging cabinet in a 1:2 charging orientation (one DC charging cabinet energizes two separate dispensers/buses). This charger to dispenser ratio would meet the requirements to charge SacRT's fleet overnight and minimize peak electrical demand.

As previously mentioned, the proposed facilities and modifications are based on what is feasible under existing conditions. If conditions change, SacRT will reanalyze the ZEB strategy to possibly include FCEBs and supporting infrastructure.

Figure 4-1 illustrates the location of SacRT's garages and Table 4-1 summarizes the modifications and schedule of each garage.

The following sections detail the process of each garage's transition from existing conditions to BEB-readiness.

Figure 4-1. SacRT's Garage Locations | Source: WSP; Google Earth



GARAGE	ADDRESS	MAIN FUNCTIONS	PLANNED INFRASTRUCTURE	SERVICE CAPACITY	UPGRADE REQ'D?	TIMELINES
Downtown	1323 28th St Sacramento, CA	Parking/ Storage	Plug-in Charging	146	Yes	2022-2035
McClellan	3701 Dudley Ave. McClellan, CA	O&M	Plug-In Charging	23+	Yes	2022-2035
Hazel	12500 Folsom Blvd. Rancho Cordova, CA	Parking/ Storage	Plug-In Charging	5+	Yes	2022-2035

Table 4-1. SacRT's Garage Summary | Source: WSP

Note: The construction timeline represents the span of time that each garage will be upgraded. Ongoing analysis will determine specific timelines and milestones.

## 4.2.1 DOWNTOWN GARAGE

### EXISTING CONDITIONS

SacRT's Downtown Garage is split over multiple blocks in Sacramento. Buses are stored under the Capitol City Freeway between Q Street and Capitol Avenue with electrical utility service provided by the Sacramento Municipal Utility District (SMUD). The Downtown Garage's fuel, wash, and maintenance facilities are located at 1323 28th St adjacent to the storage area. Currently, 196 CNG 40-foot buses are stored, maintained, fueled, and serviced at the downtown garage.

Figure 4-2 presents Downtown Garage under existing conditions.



Figure 4-2. Downtown Garage (Bus Storage) - Existing Conditions | Source: WSP

### PLANNED ZEB MODIFICATIONS

It is recommended that the Downtown Garage adopts a ground-mounted plug-in charging solution. The associated charging, switchgear, and transformer cabinets will be arranged within the parking area as space allows. Due to Caltrans' setback requirements, BEB-supporting infrastructure cannot be placed within 20 feet of the freeway's supporting columns. For this reason, the Downtown Garage can only accommodate 146 buses (net loss of 51 buses from existing) with 146 charging positions in a 1:2 charger to bus dispenser ratio. SacRT is currently assessing where these 51 buses will be relocated to.

Table 4-2 summarizes the ZEB infrastructure planned at Downtown Garage.

GARAGE	CHARGING STRATEGY	NO. OF EXISTING BUSES	NO. OF BUSES SUPPORTED	NO. OF CHARGERS	NO. OF DISPENSERS	CHARGER RATING
Downtown	Ground-mounted plug-in	197	146	73	146	150 kW

Table 4-2. Downtown Garage Supporting Infrastructure Summary | Source: WSP

The following BEB equipment is proposed:

- 73 DC charging cabinets located at the end of bus parking rows that will distribute to 146 plug-in charging positions spaced every two buses.
- Four standalone switchboards rated at 4000 Amps, 480V.
- Four transformers rated at 3,000 kV

Figure 4-3 illustrates the Downtown Garage at full build-out.

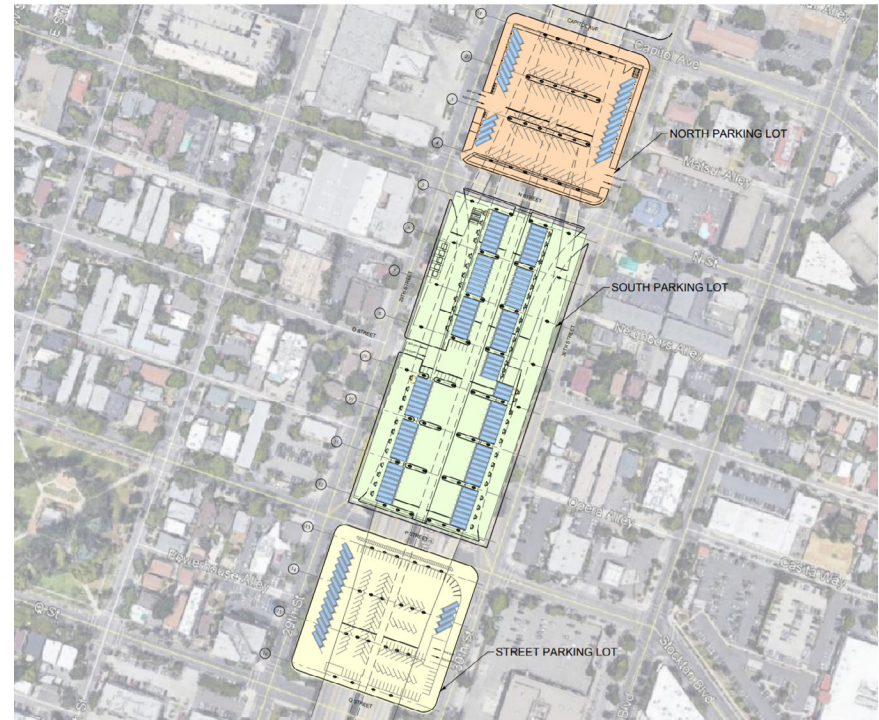


Figure 4-3 Downtown Garage - Full Build-Out | Source: WSP

## 4.2.2 MCCLELLAN GARAGE

### EXISTING CONDITIONS

The McClellan Garage is located at 3701 Dudley Avenue in McClellan, CA. It is currently used to store, service and operate 23 gasoline-powered cutaway shuttles. The site includes a single-story maintenance building, and a combined fuel and wash building. Figure 4-4 presents McClellan Garage under existing conditions.



Figure 4-4 McClellan Garage - Existing Conditions | Source: WSP

### PLANNED ZEB MODIFICATIONS

It is recommended that the McClellan garage adopt a ground-mounted plug-in charging solution. The associated charging, switchgears, and transformer cabinets will also be mounted on platforms adjacent to dispensers. The future ZEB infrastructure for this site is currently study, but it has the potential to store and charge over 80 buses.

Table 4-3 summarizes the ZEB infrastructure planned at McClellan Garage.

GARAGE	CHARGING STRATEGY	NO. OF EXISTING BUSES	NO. OF BUSES SUPPORTED	NO. OF CHARGERS	NO. OF DISPENSERS	CHARGER RATING
McClellan	Ground-mounted plug-in	23	23+	12+	23+	150 kW

Table 4-3. McClellan Garage Supporting Infrastructure Summary | Source: WSP

## 4.2.3 HAZEL GARAGE

### EXISTING CONDITIONS

The Hazel Garage is located at 12500 Folsom Boulevard in Rancho Cordova, CA. It is used to store, service, and operate five diesel-powered 32-foot buses.

Figure 4-5 presents Hazel Garage under existing conditions.



Figure 4-5 Hazel Garage - Existing Conditions

### PLANNED ZEB MODIFICATIONS

Hazel Garage will likely adopt a ground mounted plug-in charging strategy. The associated charging cabinets, switchgears, and transformers will be located adjacent to the charging area. Charging type, future site layout, and utility connection are currently under study.

Table 4-4 summarizes the ZEB infrastructure planned at Hazel Garage.

GARAGE	CHARGING STRATEGY	NO. OF EXISTING BUSES	NO. OF BUSES SUPPORTED	NO. OF CHARGERS	NO. OF DISPENSERS	CHARGER RATING
Hazel	Ground-mounted plug-in	5	5+	3+	5+	150 kW

Table 4-4. Hazel Supporting Infrastructure Summary | Source: WSP

### 4.3 PHASING AND CONSTRUCTION STRATEGY

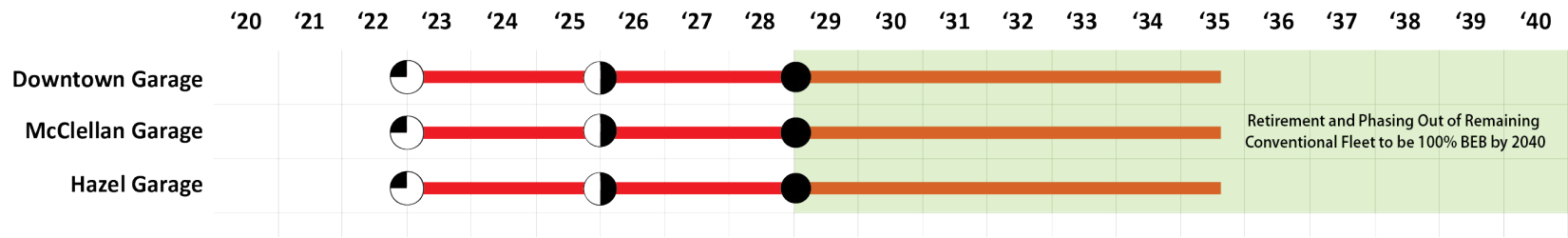
The process of integrating BEBs into SacRT’s fleet will be broken down into a number of important tasks and phases related to construction of supporting facilities. The assumed approach is a design-bid-build strategy. Multiple requests for proposals (RFPs) need to be developed and put out for bid, with accompanying design and construction activities taking place. Utility upgrades, onsite (phased) construction, and other activities are expected to last approximately five years, for each garage. This five-year assumption is a conservative estimate based on the amount of time it may take the utility to provide upgraded electrical equipment outside of the garage. The onsite upgrades and construction of BEB supporting infrastructure can be done concurrently.

To minimize or avoid operational or service impacts, it is recommended that onsite construction be implemented in phases. This method essentially segments the garage and ensures that construction continues without impacting SacRT’s service.

Since BEBs cannot be operated unless infrastructure is in place to energize them, it is pertinent to meet construction deadlines because it has the ability to impact both service and ICT regulation compliance. It is assumed that buses can be procured 18 months before the conclusion of the facilities construction.

Figure 4-7 presents a conceptual schedule for SacRT’s fleet transition. The Harvey Balls indicate the percentage of newly purchased that have to be ZEB. Note, the phasing and specific construction schedules are still being analyzed, however, it is anticipated that construction for each garage will be completed during this time frame (2022-2035).

Figure 4-6. Potential Phasing and Construction Schedule | Source: WSP



## 5. DISADVANTAGED COMMUNITIES

Disadvantaged communities (DACs) refer to the areas that suffer the most from a combination of economic, health, and environmental burdens. The California Environmental Protection Agency (CalEPA) and California’s Senate Bill 535, define a “disadvantaged” community as a community that is located in the top 25th percentile of census tracts identified by the results of the California Communities Environmental Health Screening Tool (CalEnviroScreen). CalEnviroScreen uses environmental, health, and socioeconomic data to measure each census tract (community) in California. Each tract is assigned a score to gauge a community’s pollution burden and socioeconomic vulnerability. A higher score indicates a more disadvantaged community, whereas a lower score indicates fewer disadvantages.

The replacement of conventional buses with ZEBs can yield many benefits in the communities they serve, including a reduction of noise and harmful pollutants. DACs are disproportionately exposed to these externalities, thus, should be prioritized and considered during initial deployments of ZEBs. In phasing and deployment, SacRT will ensure that DACs and equity are a driving factor in determining which garages and routes are first served with ZEBs.

### 5.1 DISADVANTAGED COMMUNITY ANALYSIS

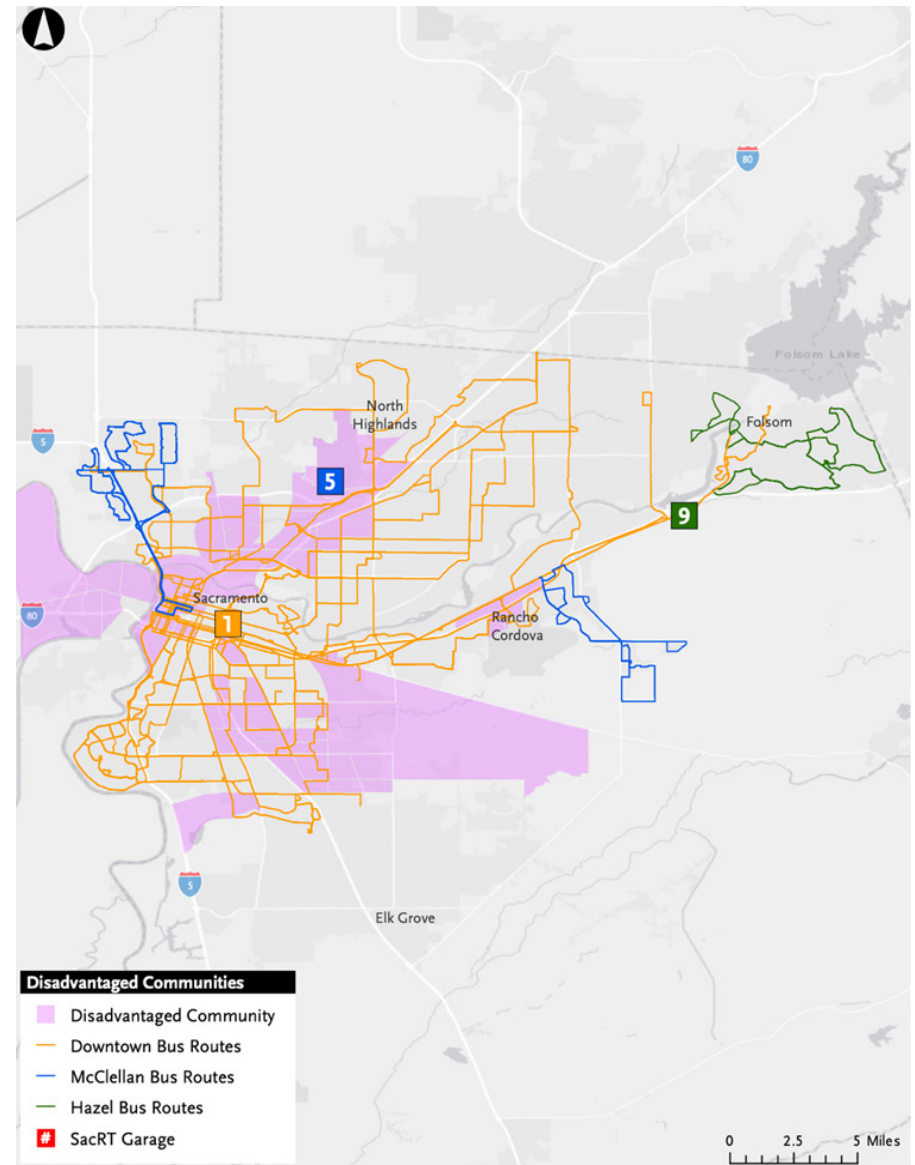
To understand ZEBs impacts on SacRT’s service area, it was pertinent to establish if (1) a garage is located in a DAC, and (2) if its routes traverse DACs.

Based on analysis, McClellan is the only garage located in a DAC, meaning, it may be given priority in the transition due to the residents in that census tract potentially benefitting from the reduction of noise and emissions as a result of transitioning to ZEBs. McClellan-based blocks of service and routes also provide the largest percentage of DACs of any garage (30 percent), 22 percent of Downtown garage’s communities served are DAC, and Hazel has none. Future analysis will provide more detail on route and block-specific DAC information, however, at this time, SacRT will continue to monitor these communities and consider and align them with their ZEB procurement schedule to ensure that vulnerable communities are properly served.

GARAGE	IN DAC?	NO. EXEMPT AREA?	COMMUNITIES SERVED	DACs SERVED	PCT. OF DACs SERVED
Downtown	No	No	240	44	22%
McClellan	Yes	No	26	6	30%
Hazel	No	No	17	0	0%

Table 5-1. SacRT’s Disadvantaged Communities Summary | Source: CalEnviroScreen 3.0

Figure 5-1. SacRT’s Disadvantaged Communities | Source: WSP; CalEnviroScreen3.0





## 5.2 ADDITIONAL EQUITY-FOCUSED EFFORTS

### 5.2.1 SACRAMENTO SUSTAINABLE COMMUNITIES RESOURCE PRIORITIES NEEDS MAP

SacRT has also recently supported and engaged in the development of Sacramento's Sustainable Communities Resource Priorities Needs Map which was spearheaded by Sacramento Municipal Utility District (SMUD), University of California, Davis, Sacramento Metro Air Quality Management District, Sacramento Area Council of Governments, and a variety of local agencies and non-profits. The Map uses data to indicate the local areas most likely to be underserved or in distress by lack of community development, income, housing, employment opportunities, and transportation. The map can then be used to develop targeted strategies to provide and promote a healthy environment, social well-being, mobility, and prosperous economy for Sacramento County most vulnerable populations. SacRT's ZEB implementation plays a key role in further pursuing a sustainable and equitable approach to transportation and development.

Additionally, the map includes a number of other GIS layers including education, tree canopy, EV charging, food deserts, and public transportation information in order to maximize and improve the equity of regional decision-making. The map is regularly monitored and interactive in a manner that allows customized searching and evaluation. The interactive storyboard format of the map allows for each section to reveal a different view of a specific map layer while explaining the nature of the vulnerability being examined.

SacRT will work with SMUD to leverage the mapping tool to improve decision-making as it relates to resource allocation, while empowering community members to take an active role in providing positive impact in their communities. The information will be used to help inform regional strategies including local, state, regional, and federal grant funding opportunities.

### 5.2.2 SMART RIDE ON-DEMAND MICROTRANSIT

SacRT's also serves its most disadvantaged communities by providing mobility, connectivity, health access, and overall quality of life, through cleaner forms of transportation. Since 2018, SacRT's Smart Ride On-Demand Microtransit service - the nation's largest mixed-ZEV on-demand fleet of its kind - provides more affordable services than traditional ride-hailing options (Lyft, Uber, etc.), which could cost riders more than five times the amount for a similar trip.

### 5.2.3 BUS RAPID TRANSIT

SacRT is actively progressing its planning phase of pursuing high-capacity bus services through Bus Rapid Transit, with a goal of focusing on supplementing or enhancing services in DACs. Preliminary research has concluded that multi-modal users and pedestrians are more unsafe in DACs due to the high levels of traffic and infrastructure that allows for more interactions between motorized vehicles and pedestrians. SacRT's goal is to develop BRT service that improves the safety of the community, to include exclusive rights of way and signal prioritization for buses. These BRT services will be targeted along areas that lack the infrastructure, investment, and safety, such as the Stockton Boulevard, Florin Road, Sunrise Boulevard, Arden Way and Watt Avenue corridors.

## 6. WORKFORCE TRAINING

The following section provides an overview of SacRT's plan and schedule to train personnel on the impending transition.

### 6.1 TRAINING REQUIREMENTS

The transition to ZEBs will significantly alter SacRT's service and operations. Converting to ZEBs from CNG is an arduous endeavor and will impact all ranks of the organization. This will require extensive change management and training which will be provided by the OEMs and SacRT. Training will need to be conducted after buses are procured and in advance of the delivery of the first buses. Therefore, it is expected that all personnel will be sufficiently trained before the buses arrive. Training for the buses will be included in the purchase price and facilitated by the OEM. If other OEM-provided buses are procured in the future and/or if new components, software, or protocols are implemented, it is expected that SacRT's staff will be trained well in advance of the commissioning of these additions. Since battery technology is rapidly evolving, it is likely that buses and their supporting battery chemistries and software will change between 2020 and 2040, therefore, SacRT's future procurements/deliveries will require refresher or updated trainings for relevant staff.

The following provides a list of personnel and positions that will need to be retrained upon adoption of ZEBs (this list is not exhaustive):

- ♦ **Bus Operators and Supervisors**
  - ♦ Bus operators and field supervision will need to be familiarized with the buses, safety, bus operations, and plug-in charging operations.

- ♦ **Facilities Maintenance Staff and Maintenance**
  - ♦ Maintenance staff will need to be familiarized with scheduled and unscheduled repairs, high-voltage systems, and the specific maintenance and repair of equipment.
- ♦ **First Responders**
  - ♦ Local fire station staff will need to be familiarized with the new buses and supporting facilities.
- ♦ **Tow Truck Service Providers**
  - ♦ Tow truck providers will need to be familiarized with the new buses and proper procedures for towing ZEBs.
- ♦ **Mechanics**
  - ♦ Mechanics will need to be familiarized with the safety-related features and other components of ZEBs.
- ♦ **Instructors**
  - ♦ Maintenance and Bus Operator instructors will need to understand all aspects of the transition of ZEBs to train others.
- ♦ **Utility Service Workers**
  - ♦ Staff will become familiarized with proper charging protocol and procedures that are ZEB-specific.
- ♦ **Management Staff**
  - ♦ Maintenance and Operations managerial staff will be familiarized with ZEB operations and safety procedures.

## 7. COSTS AND FUNDING OPPORTUNITIES

The following section identifies preliminary capital costs and potential funding sources that SacRT may pursue in its adoption of ZEBs.

### 7.1 PRELIMINARY CAPITAL COSTS

While costs for a full fleet transition are still being analyzed, it is estimated that capital, alone, would be in excess of \$200M. The specifics of which are dependent on what and when the technology is adopted (BEBs or FCEBs). The following provides a ROM for a full fleet conversion for both BEBs and FCEBs. A mixed fleet solution is still under consideration.

For BEBs, recent quotes from a variety of OEMs indicate that the average base purchase price is approximately \$900K and \$250K for a 40-foot (standard bus) and 25-foot cutaway, respectively. Chargers vary based on power output, however, a 150-kW plug-in charger with garage buildout costs amortized on a per-charger basis, are expected to cost \$150K. Using these unit costs as a baseline, it would cost \$201.4M for buses and chargers (alone). This does not account for the trenching, utility infrastructure, soft costs, or other costs related to the transition.

The costs of a FCEB transition are a bit more complex due to the variable unit costs of FCEB-supporting infrastructure (tanks, compressors, reformers, dispensers, etc.). However, based on ROM costs, a transition with the same number of buses is expected to start at \$246.9M. This is based on the assumption of \$1.2M per FCEB and two hydrogen tanks, one 15,000 gallon and one 9,000 gallon, based on the needs of SacRT's fleet size (estimated at \$700K and \$500K, respectively). It should be noted that this price does not include the price of the compressors, reformers, etc. that are necessary to operate hydrogen. The total estimate also includes a one-for-one replacement for cutaway/shuttle vehicles and chargers with BEBs since there are currently no FCEB cutaways on the market.

Tables 7-1 summarizes the number of buses and supporting equipment required at each division. Tables 7-2 and 7-3 present the ROM capital costs for a BEB and FCEB transition, respectively.

GARAGE	NO. OF 40 FT BUSES	NO. OF CUTAWAYS	TOTAL BUSES	BCB	FCEB
				NO. OF CHARGERS	NO. OF H2 TANKS
Downtown*	197	-	197	99	2
McClellan	-	23	23	12	-
Hazel	-	5	5	3	-
Total	197	28	225	114	2

Table 7-1. ROM Vehicle and ZEB Equipment for ZEB Conversion | Source: SacRT, August 2020

GARAGE	40-FT BUS COSTS	CUTAWAY BUS COSTS	TOTAL BUS COSTS	TOTAL CHARGER COSTS	TOTAL COSTS
Downtown*	\$177.3M	-	\$177.3M	\$14.9M	\$192.2M
McClellan	-	\$5.8M	\$5.8M	\$1.8M	\$7.6M
Hazel	-	\$1.3M	\$1.3M	\$450K	\$1.7M
Total	\$177.3M	\$7M	\$184.3M	\$17.1M	\$201.4M

Table 7-2. ROM Capital Costs for BEB Conversion | Source: SacRT, August 2020

Note: \* Approximately 51 buses at Downtown would have to be relocated to another location. Assuming that SacRT maintains their existing fleet size, these 51 buses and associated chargers (26) would cost an additional \$45.9M and \$3.9M, respectively.

GARAGE	40-FT BUS COSTS	CUTAWAY BUS COSTS	TOTAL BUS COSTS	TOTAL CHARGER COSTS	TOTAL TANK COSTS	TOTAL COSTS
Downtown*	\$237.6M	-	\$236.4M	-	\$1.2M	\$237.6M
McClellan	-	\$5.8M	\$5.8M	\$1.8M	-	\$7.6M
Hazel	-	\$1.3M	\$1.3M	\$450K	-	\$1.7M
Total	\$237.6M	\$7M	\$243.4M	\$2.3M	\$1.2M	\$246.9M

Table 7-3. ROM Capital Costs for FCEB Conversion | Source: SacRT, August 2020

Note: \* It is assumed that 15,000 and 9,000 gallon tanks would be needed to fuel 197 standard buses



## 7.2 POTENTIAL FUNDING RESOURCES

There are a number of potential federal, state, local, and project-specific funding and financing sources at SacRT’s disposal. To date, SacRT has applied for and been awarded for various elements of their ZE inventory, as indicated in Table 7-4.

SacRT will also continue to leverage funds from its local tax measure and pursue other strategies to meet its electrification goals, such as public-private partnerships, another grant opportunities.

TYPE	AGENCY	FUNDING MECHANISM
Federal	United States Department of Transportation (USDOT)	Better Utilizing Investments to Leverage Development (BUILD) Grants
	Federal Transportation Administration (FTA)	Capital Investment Grants – New Starts
		Capital Investment Grants – Small Starts
		Bus and Bus Facilities Discretionary Grant
		Low- or No-Emission Vehicle Grant
	Metropolitan & Statewide Planning and Non-Metropolitan Transportation Planning	
	Urbanized Area Formula Grants	
State of Good Repair Grants		
Federal Highway Administration (FHWA)	Congestion Mitigation and Air Quality Improvement Program	
Environmental Protection Agency (EPA)	Environmental Justice Collaborative Program-Solving Cooperative Agreement Program	
Department of Energy (DOE)	Design Intelligence Fostering Formidable Energy Reduction and Enabling Novel Totally Impactful Advanced Technology Enhancements	
State	California Air Resources Board (CARB)	Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project (HVIP)
		State Volkswagen Settlement Mitigation
		Carl Moyer Memorial Air Quality Standards Attainment Program
	Cap-and-Trade Funding	
	California Transportation Commission (CTC)	Solution for Congested Corridor Programs (SCCP)
California Department of Transportation (Caltrans)	Low Carbon Transit Operations Program (LCTOP)	
	Transportation Development Act	
	Transit and Intercity Rail Capital Program	
	Transportation Development Credits	
	New Employment Credit	
Local and Project-Specific	Joint Development	
	Parking Fees	
	Tax Rebates and Reimbursements	
	Enhanced Infrastructure Financing Districts	
	Opportunity Zones	

Table 7-4. ZEB Funding Opportunities

## 8. START-UP AND SCALE-UP CHALLENGES

There are a number of challenges and opportunities that SacRT faces in converting to an all-ZEB fleet, especially in accordance with CARB ICT regulation purchasing requirements and schedule. The following briefly describes some of the challenges that SacRT faces for its transition:

**Downtown Garage Space Constraints:** SacRT leases its current Downtown Garage from the California Department of Transportation (Caltrans), meaning, **SacRT lacks autonomy and authority to construct or implement infrastructure without Caltrans' approval.** Of the 197 buses currently parked at the Downtown Garage, which is largely underneath a freeway, only 146 can be charged and stored given the setback and easement limitations for infrastructure.

**McClellan Site Issues:** The McClellan Garage can possibly accommodate the 51 buses displaced from the Downtown Garage's transition. However, it comes with many challenges. Firstly, McClellan is located far from downtown routes and would drastically increase deadhead trip distance and thus, operating costs. Additionally, McClellan is located on land formerly part of an Air Force base and is a "brownfield". Any construction onsite would require soil remediation and excessive permitting to bring buildings up to code. **These problems would incur exorbitant costs for SacRT.**

**Utility Limitations:** SMUD has established that a maximum of 11MW can be supplied to the Downtown Garage. This translates to a maximum of 73 150 kW charging cabinets being installed onsite, **far fewer than are required to charge the entire fleet.** This data is based on preliminary analysis and technological advancements and charge management solutions may reduce the amount of power required, however, utility enhancements would still be required.

**Technological Adaptation:** Currently, SacRT is modeling and planning for a transition based on existing service and ZEB technology. **Due to range limitations, current BEB technology can support roughly half of SacRT's fleet.** While future technology

advancements are expected, SacRT needs to plan for what already exists. To maintain current service with today's BEB technology, SacRT would need to expand the fleet by up to 100 additional vehicles. SacRT has neither the capital budget nor the space required for these extra buses.

**Costs:** Adoption of ZEBs has many benefits, including potential lifecycle cost savings. However, the investment required for capital and change management will be very expensive. As previously discussed, **buses and chargers at existing fleet levels could cost \$189M.** SacRT will have to be creative with funding mechanisms and sources to ensure that the transition to ZEB will not be detrimental to its operations and service. Even after capital funding is secured, the temporary relocation of buses will require deadheading that is likely not funded by grants.

**Market Production Factors:** The ICT regulation will put a lot of pressure on OEMs to produce ZEBs at unprecedented rates. However, it is not only California that is interested in converting to ZEBs. These monumental policy changes will have a great impact on these transitions, **making it challenging to meet ZEB goals for agencies if the supply of buses cannot meet demand.**

**Phasing and Transition:** Transitioning to ZEBs without any service interruptions will be very challenging due to the **limited space for temporary construction and bus relocation,** and hard deadlines.

**COVID-19 Considerations:** The ongoing pandemic has impacted SacRT ridership and the bus industry at large. **It is unclear of the long-term impacts to funding and public transit as a whole.** This Rollout Plan is based on pre-COVID conditions, however, due to the volatile nature of transit (even before COVID), ambitious goals will have to be flexible and adaptable based on new data and trends.



## **APPENDIX A**

### **BOARD RESOLUTION**



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Brent Bernegger, VP, Finance/CFO  
**SUBJ:** FIRST AMENDMENT TO THE FISCAL YEAR 2021 CAPITAL BUDGET

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

Approval of Amendment #1 would increase the FY 21 Capital Budget by \$6,626,733 for various capital projects as outlined below and allow staff to request additional Federal, State and Local funding to complete the projects.

### FISCAL IMPACT

Approval of Amendment #1 would increase the FY 21 Capital Budget by \$6,626,733 for various capital projects as outlined below. This action does not imply that funding is available for all projects; however, without approval requesting additional funding for the project is not authorized.

### DISCUSSION

SacRT's annual budgeting process includes Board adoption of a budget that reflects SacRT's expected funding at the time of preparation. Periodically, changes to funding sources, funding amounts, or SacRT's priorities require revision to the Budget. Staff has identified necessary revisions as described below.

- ) **Historic Folsom Camera Enhancement (T066) - \$88,607**  
 Add \$88,607 in budget authority for a new project to improve safety at the Historic Folsom Light Rail Station. The project would add new cameras to the station and would upgrade camera system backend components to allow for better network connectivity. This Board action only provides budget authority. Staff has identified funding including funding from savings from other capital projects. Staff will continue working to identify all of the funding needed to complete this project.
- ) **Operation Control Center (OCC) formerly R Street Operations & Security Build Out (F031) – Increase the budget authority on the project from \$150,000 to \$750,000.** The project aims to relocate Light Rail Operations, Bus Operations and Security in one building, upgrade inter-operational coordination, improve

technology and increase resilience to natural and man-made disaster. This Board action only provides budget authority. Staff has identified funding including funds from savings from other capital projects. Staff will continue working to identify funding needed to complete this project.

) **Y1 Substation Installation (R371)** – Add \$2,760,000 in budget authority for a new project to replace a substation that has operated since 1987 and which components have become obsolete. The substation provides light rail vehicles with power while in the light rail shop. This Board action only provides budget authority. Staff will work to identify funding for the replacement of the substation.

) **Replacement Police Vehicle (G225)** – Increase the budget authority on the project from \$2,227,042 to \$3,067,042 to purchase 10 new police vehicles to replace vehicles that have met their useful life. It takes about a year for these vehicles to be built and if, for instance, SacRT ordered vehicles this month they would not be received until early 2022. This Board action only provides budget authority. Staff will work to identify funding for the replacement police vehicles.

) **Light Rail Crossing Enhancements (R010)** – Increase budget authority on the project by \$876,960 to \$4,376,960 to replace gate mechanisms that are beyond their service life at SacRT's existing at-grade crossings. Staff has identified funding for some of the gate mechanism replacements, but this budget increase would allow for the replacement of all gate mechanisms that are beyond their useful life. This Board action only provides budget authority. Staff will work to identify funding to replace all gate mechanisms.

**Bus Stop Improvement Program (B179)** – Add \$1,461,166 in budget authority for a new project to improve bus accessibility and passenger amenities throughout the SacRT bus system. This Board action only provides budget authority. Staff has identified funding including funds from savings from other capital projects. Staff will continue working to identify funding needed to complete this project.

RESOLUTION NO. 20-10-0118

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**FIRST AMENDMENT TO THE FISCAL YEAR 2021 CAPITAL BUDGET**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board hereby approves the First Amendment to the Fiscal Year Capital Budget, as set out in Exhibit A.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary

**Exhibit A: Summary of Amendment 1 changes to FY21 Capital Budget**

ID	Project Name	FY21 Budget	FY21 Budget - with Amend 1	FY21 Capital Budget Change				Fund Source	
				FY21 Capital Budget Change	Federal	State	Local		TBD
T066	Historic Folsom Camera Enhancement	0	88,607	88,607	0	0	0	88,607	TBD. Partial funding may be available using State Transit Assistance (STA) savings from other capital projects.
F031	Operation Control Center (OCC) formerly R Street Operations & Security Build Out	150,000	750,000	600,000	0	500,000	0	250,000	TBD. Partial funding may be available using State Transit Assistance (STA) savings from other capital projects.
R371	Y1 Substation Installation	0	2,760,000	2,760,000	0	0	0	2,760,000	TBD
G225	Replacement Police Vehicles	2,227,042	3,067,042	840,000	0	0	0	840,000	TBD
R010	Light Rail Crossing Enhancements	3,500,000	4,376,960	876,960				876,960	TBD
B179	Bus Stop Improvement Program	0	1,461,166	1,461,166		207,168	20,000	1,233,998	
		<b>\$ 5,877,042</b>	<b>\$ 12,503,775</b>	<b>\$ 6,626,733</b>	<b>\$ -</b>	<b>\$ 500,000</b>	<b>\$ -</b>	<b>\$ 3,098,607</b>	



# STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Brent Bernegger, VP, Finance/CFO

**SUBJ:** DELEGATING AUTHORITY TO THE GENERAL MANAGER/CEO TO EXECUTE FY20-21 CALTRANS SUSTAINABLE COMMUNITIES PLANNING GRANT

RECOMMENDATION

Adopt the Attached Resolution.

RESULT OF RECOMMENDED ACTION

Approval of authority to receive funds will enable SacRT to access Caltrans Sustainable Communities Planning Grant funds in the amount of \$221,325.

FISCAL IMPACT

The total project is for \$250,000 and is include in the FY 2021 Capital Budget. Approval of authority to receive funds will enable SacRT to access Caltrans Sustainable Communities Planning Grant funds in the amount of \$221,325. The fund will be matched with \$28,675 of State Transit Assistance (STA) funds

DISCUSSION

This is an administrative action that is required to satisfy the requirements of the Caltrans Sustainable Communities Planning Grant program.

In October 2019, SacRT submitted a grant application to Caltrans for the FY 2020-21 Sustainable Communities Planning Grant Program for Bus Stops Improvement Plan. In July 2020, Caltrans announced that SacRT’s project had been selected for funding through the grant competition. One of Caltrans’ conditions for grant award is a Board Resolution identifying SacRT’s Authorized Representative. This representative is needed to accept the grant and execute the grant documents necessary to receive the grant funds, which are expected to become available in winter 2020.

The budget for this planning project in the amount noted above is include in SacRT FY 2021 Budget. This planning project will allow SacRT to assess all the bus stops system wide to determine possible improvements.

Staff recommends that the Board delegate authority to the General Manager/CEO to execute grant documents with the California Department of Transportation (Caltrans) to



receive FY 2020-21 Caltrans Sustainable Transportation Planning Grant funds.

RESOLUTION NO. 20-10-0119

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**DELEGATING AUTHORITY TO THE GENERAL MANAGER/CEO TO EXECUTE  
FY20-21 CALTRANS SUSTAINABLE COMMUNITIES PLANNING GRANT -  
SACRAMENTO REGIONAL TRANSIT BUS STOP IMPROVEMENT PLAN**

WHEREAS, the Board of Directors of the Sacramento Regional Transit District (SacRT) is eligible to receive Federal and/or State funding for certain transportation planning related plans, through the California Department of Transportation (Caltrans).

WHEREAS, the Caltrans approved FY 2020-21 Sustainable Communities Planning Grant funds to be granted to SacRT through Caltrans to fund the Zero Emission Fleet Conversion Plan.

WHEREAS, a Restricted Grant Agreement is needed to be executed with Caltrans before such funds can be claimed through the Transportation Planning Grant Programs.

WHEREAS, the Board of Directors for Sacramento Regional Transit District wishes to delegate authority to execute these agreement, any related documents, forms, applications and any amendments thereto.

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS

THAT, the Board of Directors of the Sacramento Regional Transit District does hereby delegate authority to the General Manager/CEO or his designee, to execute all Restricted Grant Agreements, any amendments thereto and any related forms applications and documents, with the California Department of Transportation to obtain FY 2020-21 Sustainable Communities Planning Grant Program Funds.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



# STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Laura Ham, VP, Planning and Engineering

**SUBJ:** APPROVING A TITLE VI FARE EQUITY ANALYSIS FOR THE UNIVERSITY OF CALIFORNIA, DAVIS IDENTIFICATION CARD FOR THE CAUSEWAY CONNECTION

RECOMMENDATION

Adopt the Attached Resolution.

RESULT OF RECOMMENDED ACTION

The attached Resolution would approve a Title VI fare equity analysis for the University of California, Davis (UC Davis) Graduate Student and Employee Identification Cards (ID) as valid fare on Route 138, the Causeway Connection intercity express bus service between UC Davis campuses in Davis and Sacramento. The UC Davis Graduate Student and Employee IDs are already being used in this manner on a temporary basis. The attached Resolution is required to continue this program beyond a six-month promotional period.

FISCAL IMPACT

There would be no fiscal impact from adopting the Title VI Fare Equity Analysis proposed in the Resolution.

DISCUSSION

SacRT is required to conduct a Title VI fare equity analysis prior to implementing any fare change, with some exceptions, including promotional free-ride days and promotional fare reductions lasting up to six months.

Prior to any fare changes being approved permanently, the Board of Directors must approve the findings of a Title VI fare equity analysis. Prior to approving a Title VI fare equity analysis, SacRT policy requires that: a draft analysis of the proposed changes be made available for a 30-day public review period; members of the public be invited to comment; and Staff and the Board of Directors take public comments into consideration. In accordance with these requirements, SacRT published a draft analysis on September 18, 2020 and notified the public of the opportunity to provide public comments. See Attachment 1 for copies of the public notice and public comment.

## Background

On May 4, 2020, SacRT launched the new Causeway Connection Route 138, an intercity express bus between Sacramento and Davis. The Causeway Connection is operated jointly with the Yolo County Transportation District (YCTD). Approximately half of operating costs are covered by UC Davis. The remaining operating costs are primarily covered by a Congestion Mitigation and Air Quality (CMAQ) grant awarded for the multi-agency project. Funding for new electric buses was provided to SacRT and YCTD by Electrify America (EA) as part of the project.

Original Plan - The new Causeway Connection service itself, including a Title VI service equity analysis, was approved by the SacRT Board of Directors on December 9, 2019, following a 30-day public review. At that time, a Title VI fare equity analysis was also approved for a fare change to allow the UC Davis undergraduate ID to be recognized as valid fare media on the Causeway Connection service, subject to execution of an operating subsidy agreement. At that time, it was anticipated that UC Davis employees and graduate students would purchase SacRT fare media through normal channels, with a subsidy provided by UC Davis, and that UC Davis would receive a credit for a portion of the fare revenues received by SacRT and YCTD from such purchases.

Revised Plan - On March 23, 2020, the SacRT Board approved the addition of the UC Davis graduate and employee ID as valid fare media on the Causeway Connection service, subject to the same condition of execution of the operating subsidy MOU. This fare change took effect on May 4, 2020 with the beginning of the Causeway Connection service and has been treated as a six-month demonstration project. The project partners desire to continue the UC Davis ID fare program beyond the six-month demonstration period. To do so requires approval of a Title VI fare change analysis, which is the effect of the attached resolution.

## Summary of Analysis

As discussed in the full analysis (Exhibit A) recognizing the UC Davis ID as fare media provides a significant discount to the rider (i.e., allowing the holder to ride without payment) to a group of riders that has limited minority and low-income representation. Although this population is a small fraction of overall SacRT ridership, the analysis finds that recognizing the UC Davis ID as fare media for employees and graduate students results in a potential disparate impact to minority populations and a potential disproportionate burden to low-income populations.

This finding does not prohibit SacRT from implementing the proposed changes; however, before doing so, the SacRT Board must declare a *substantial legitimate justification* for the changes, show that there are no alternatives that would have a less disparate impact on minority riders, and take steps to avoid, minimize, or mitigate impacts to low-income riders, where practicable.

Alternatives – When the Causeway Connection service was being planned, the partners agreed that UC Davis would pay approximately half the operating cost of the service, net of fare revenue. The partners intended to allow only the undergraduate student ID as fare media. Graduate students and employees would have been required to purchase other valid fare media, with UC Davis proposing to subsidize a portion of employee fare purchases.

However, this proposal presented logistical difficulties with implementation, as it would be difficult to distinguish Causeway Connection fare purchases from purchases of SacRT or YCTD fare media for use on other services since the same fare media is generally used on all services. UC Davis does not have the budgetary resources to provide a transit subsidy for all YCTD or SacRT services.

Under the approach implemented in May, SacRT honors the UC Davis ID as a valid fare on the Causeway Connection and UC Davis pays the gross operating cost, without deduction of fare revenue. This achieves the intended approximate 50 percent cost share for UC Davis. At the same time, it increases ridership, by reducing the cost for most employees from \$35 per month to zero. SacRT does not receive any less revenue than was intended, i.e., the service remains 100 percent funded by UC Davis and the CMAQ grant, except for a small match that SacRT committed separately for more frequent service.

The analysis also examines alternative approaches where UC Davis ID holders would be required to pay a small fee for their passes to avoid the statistically significant disparate impact/disproportionate burden. However, while that approach would result in a clear negative financial impact to all groups of Causeway Connection riders (including the estimated 40% who are minority and 5.7% that are low-income), it offers no corresponding increased financial benefit to SacRT because, under the terms of the MOU, the UC Davis operating subsidy would simply be reduced to reflect the fare revenue. Therefore, increasing the cost for Causeway Connection riders harms those who are minority or low-income riders of the service and potentially dissuades them from riding, while not providing any overall benefit to users of the remainder of the SacRT service. The analysis therefore finds that the proposed change (i.e., continuation of the existing demonstration program) is both justifiable, in the interest of maximizing ridership and reducing the cost to the individual to ride, at no cost to SacRT, as well as offering the maximum benefit for disadvantaged populations.

Justification – The “program goal” of the CMAQ operating assistance being used for the Causeway Connection is to help start up viable new transportation services that can demonstrate air quality benefits and eventually cover costs as much as possible. Other funding sources should supplement and ultimately replace CMAQ funds for operating assistance, as these projects no longer represent additional, net air quality benefits but have become part of the baseline transportation network. Allowing the UC Davis graduate and employee IDs to be recognized during this start up period will build a ridership base that increases the likelihood of continued viability of the service beyond the funded period and also increases the likelihood that UC Davis will remain a funding partner beyond the 3-year period.

The Title VI merits of the new fare therefore rest on the merits of the Causeway Connection service itself. The SacRT Board of Directors resolved on December 9, 2019 that there was a substantial legitimate justification for the service, because (1) the only alternative was to abort the entire service, which was fully-funded, and (2) that the Causeway Connection effectively migrated funding from a private, closed-door service exclusively for UC Davis affiliates to an open-door public transit service, providing benefits to the population at large that would not exist without the service.

## **Attachment 1**

### **Public Notice and Public Comment**

Public Notices

Sacramento



Regional  
Transit

## SacRT Seeking Comments on Title VI Fare Equity Analysis

### [Click Here to Read the Report](#)

The Sacramento Regional Transit District is seeking comments on a transit fare analysis, prepared in accordance with Title VI of the Civil Rights Act of 1964. The report is available for review at [sacrt.com](http://sacrt.com). It includes an analysis of a free ride program for affiliates of the University of California, Davis for use on the Causeway Connection intercity express bus route.

**Please address comments to:**

SacRT Planning Dept.  
Attn: James Drake  
P.O. Box 2110  
Sacramento, CA 95812-2110

**Phone:**

SacRT Customer Advocacy Dept (916) 557-4545

**Email:**

[customeradvocacy@sacrt.com](mailto:customeradvocacy@sacrt.com)

All comments will be provided to the SacRT Board of Directors prior to approval of the final analysis. The deadline for written comments to be included in the board packet is October 19, 2020. All comments will be provided to the SacRT Board of Directors at their regular meeting scheduled for October 26, 2020 at 5:30 p.m. Members of the public may also provide written comments to the SacRT Board of Directors meeting via SacRT's

(more)

## Public Notices

board clerk on the day of the meeting; however, comments submitted this way will be limited to 250 words and will not be printed in the agenda item. Please visit [sacrt.com](http://sacrt.com) for more information on board meeting accommodations for the COVID-19 pandemic.

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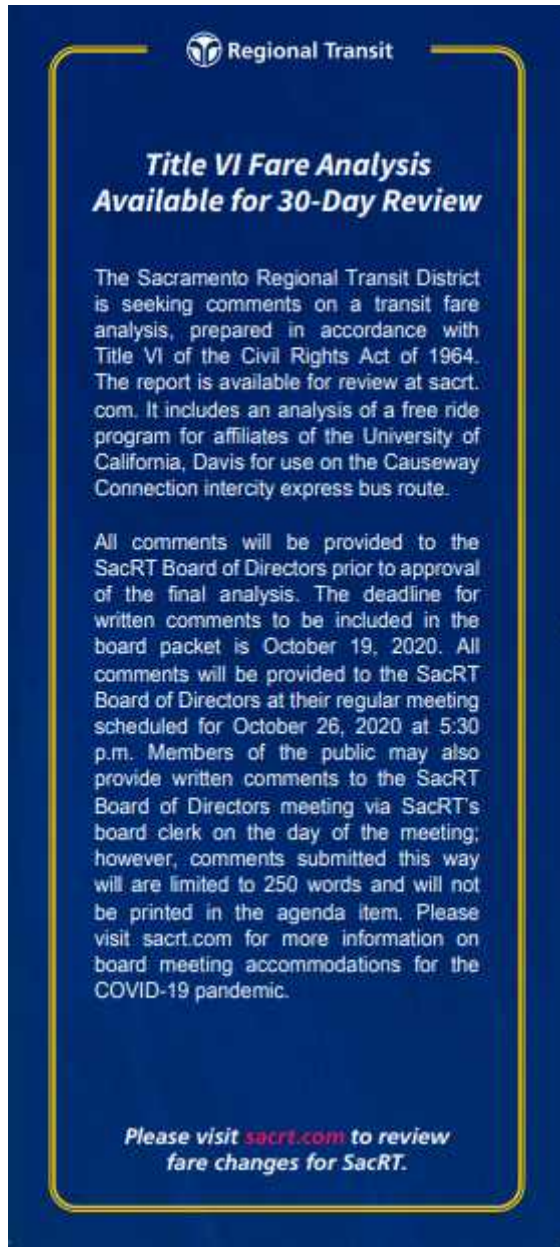



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## Rack Cards

Front



 Regional Transit

**Title VI Fare Analysis  
Available for 30-Day Review**

The Sacramento Regional Transit District is seeking comments on a transit fare analysis, prepared in accordance with Title VI of the Civil Rights Act of 1964. The report is available for review at [sacrt.com](http://sacrt.com). It includes an analysis of a free ride program for affiliates of the University of California, Davis for use on the Causeway Connection intercity express bus route.

All comments will be provided to the SacRT Board of Directors prior to approval of the final analysis. The deadline for written comments to be included in the board packet is October 19, 2020. All comments will be provided to the SacRT Board of Directors at their regular meeting scheduled for October 26, 2020 at 5:30 p.m. Members of the public may also provide written comments to the SacRT Board of Directors meeting via SacRT's board clerk on the day of the meeting; however, comments submitted this way will be limited to 250 words and will not be printed in the agenda item. Please visit [sacrt.com](http://sacrt.com) for more information on board meeting accommodations for the COVID-19 pandemic.

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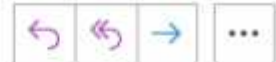


## Public Notices

## Next Stop News - October 2020



Sacramento Regional Transit District <devra@sacrt.ccsend.com>  
To James Drake



3:46 PM

You forwarded this message on 9/30/2020 4:51 PM.

### SacRT Seeking Comments on Title VI Fare Equity Analysis

SacRT is seeking comments on a transit fare analysis, prepared in accordance with Title VI of the Civil Rights Act of 1964. The report is available for review at [sacrt.com](http://sacrt.com). It includes an analysis of a free ride program for affiliates of the University of California, Davis for use on the Causeway Connection intercity express bus route.

**Please address comments to:**

SacRT Planning Dept.  
Attn: James Drake  
P.O. Box 2110  
Sacramento, CA 95812-2110

**Phone:**

Comments: 916-557-4545  
Language Assistance: 916-557-4545

**Email:**

[customeradvocacy@sacrt.com](mailto:customeradvocacy@sacrt.com)

All comments will be provided to the SacRT Board of Directors prior to approval of the final analysis. The deadline for written comments to be included in the board packet is October 19, 2020. All comments will be provided to the SacRT Board of Directors at their regular meeting scheduled for October 26, 2020 at 5:30 p.m. Members of the public may also provide written comments to the SacRT Board of Directors meeting via SacRT's board clerk on the day of the meeting; however, comments submitted this way are limited to 250 words and will not be printed in the agenda item. Please visit [sacrt.com](http://sacrt.com) for more information on board meeting accommodations during the COVID-19 pandemic.

Public Comment

RE: Title VI Fare Equity Analysis

 James Drake  
To: [rftm@rftm.info](mailto:rftm@rftm.info)

[Reply](#) [Reply All](#) [Forward](#) [...](#)

Wed 9/23/2020 9:02 PM

Thank you, Barbara!

---

**From:** rftm@rftm.info <[REDACTED]>  
**Sent:** Wednesday, September 23, 2020 5:38 PM  
**To:** James Drake <[JDrake@sacrt.com](mailto:JDrake@sacrt.com)>  
**Subject:** Title VI Fare Equity Analysis

**[EXTERNAL EMAIL] CAUTION:** This email has originated from outside of SacRT. Please do not click on links, open attachments or respond to this email unless you are expecting the content.

RiderShip for the Masses Group has no negative comments.

"g"  
Barbara Stanton  
RFTM

RESOLUTION NO. 20-10-0120

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING A TITLE VI FARE EQUITY ANALYSIS FOR THE UNIVERSITY OF CALIFORNIA, DAVIS IDENTIFICATION CARD FOR THE CAUSEWAY CONNECTION**

WHEREAS, SacRT, under Resolution No. 20-03-0012, authorized acceptance of a current University of California, Davis graduate student identification card or a current University of California, Davis employee ID bearing the name and likeness of the individual presenting as a valid Fare Equivalent on the Causeway Connection fixed-route bus service and desires to continue the new fare type beyond a six-month demonstration period, as a fare change, as defined in Resolution No. 15-11-0129; and

WHEREAS, a Title VI fare equity analysis of the proposed fare change has been prepared, was made available for public review on September 18, 2020 for a 30-day comment period, and was publicized in accordance with SacRT policy on fare changes; and

WHEREAS, the Title VI fare equity analysis found that there might be potential disparate impacts to minority populations and that there might be potential disproportionate burdens to low-income populations from adopting the proposed fare change because the proposed new fare type is expected to be less utilized by minority and low-income populations than SacRT's overall system.

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board of Directors has reviewed, is aware of, and approves the Title VI equity analysis set forth in Exhibit A; and

THAT, the Board of Directors recognizes that the proposed fare change will support continued operation of the Causeway Connection service, which effected a transition of an existing private, closed-door shuttle service into a public, open-door service, which is more beneficial to minority and low-income populations than the prior conditions; and

THAT, the "program goal" of the CMAQ operating assistance being used for the Causeway Connection is to help start up viable new transportation services that can demonstrate air quality benefits and eventually cover costs as much as possible, which requires undertaking actions that will increase ridership and promote an ongoing funding relationship with UC Davis after the initial CMAQ-supported period.

THAT, the Board of Directors has considered alternatives to the proposed fare change and found that none of the considered alternatives to the proposed fare change

would have a less disparate impact on minority riders but would still accomplish SacRT's legitimate program goals; and

THAT, the Board of Directors therefore finds that there is a substantial legitimate justification and no viable alternatives to continue acceptance of a current University of California, Davis graduate student identification card or a current University of California, Davis employee ID bearing the name and likeness of the individual presenting as a valid Fare Equivalent on the Causeway Connection fixed-route bus service.

---

STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



Title VI Fare Equity Analysis  
Causeway Connection Free Ride Program

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October 26, 2020

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## **1. Purpose of Analysis**

Pursuant to SacRT's fare change policy and in accordance with Federal Title VI civil rights requirements, the purpose of this analysis is to identify and document any potential disparate impacts on minority populations or disproportionate burdens on low-income populations resulting from changes to SacRT's fare structure.

## **2. Project Description**

On May 4, 2020, SacRT launched a new route, Route 138, the Causeway Connection, an intercity express bus between Sacramento and Davis. The Causeway Connection is operated jointly with the Yolo County Transportation District (Yolobus). Approximately half of operating costs are covered by the University of California – Davis (UCD). The remaining operating costs are primarily covered by a Congestion Mitigation and Air Quality (CMAQ) grant awarded for the multi-agency project. New electric buses were also provided to SacRT and Yolobus by Electrify America (EA) as part of the project. The agreement between the project partners included a pass program for UCD affiliates. The Title VI ramifications of the pass program are the subject of this report.

Original Plan - The new Causeway Connection service itself, including a Title VI service equity analysis, was approved by the SacRT Board of Directors on December 9, 2019, following a 30-day public review. At that time, a Title VI fare equity analysis was also approved for a fare change to allow UCD undergraduate students to ride for free. UCD was also expected at that time, to pay part of the out-of-pocket cost for UCD employees and graduate students to purchase ordinary SacRT fare media.

Revised Plan - On March 23, 2020, the SacRT Board approved a change to the original fare change. Under the new plan, free riding privileges on the Causeway Connection would be extended to all UC Davis ID holders, i.e., undergraduates, graduate students, and employees. This fare change took effect on May 4, 2020 with the beginning of the Causeway Connection service and has been treated as a six-month demonstration project. The project partners desire to continue the UC Davis ID fare program for the life of the three-year agreement for the Causeway Connection service. To do so requires passage of a Title VI fare change analysis which is the subject of this draft report.

## **3. Title VI Requirements**

SacRT is required to conduct a Title VI fare equity analysis prior to implementing any fare change, with some exceptions, including promotional free-ride days and promotional fare reductions lasting up to six months.<sup>1</sup>

---

<sup>1</sup> See FTA Circular 4702.1B, Chapter IV, Section 7 and RT Fare Change Policies (Resolution No. 15-11-0129).

Prior to any fare changes being approved permanently, the Board of Directors must approve the findings of a Title VI fare equity analysis. Prior to approving a Title VI fare equity analysis, SacRT policy requires that a draft analysis of the proposed changes be made available for a 30-day public review period, that members of the public be invited to comment, and that staff and the Board of Directors take public comments into consideration. In accordance with these requirements, SacRT published a draft analysis on September 18, 2020 and notified customers of the opportunity to provide public comments.

#### 4. Definitions

Minority Definition - FTA defines a minority person as anyone who is American Indian or Alaska Native, Asian, Black or African American, Hispanic or Latino, or Native Hawaiian or other Pacific Islander, or mixed race.

Low-Income Definition - FTA defines a low-income person as a person whose household income is at or below the U.S. Department of Health and Human Services (HHS) poverty guidelines. The HHS definition varies by year and household size. Survey participants were asked their household size and their household income from a list of ranges. For the purposes of this survey, the participant's income is assumed to be the midpoint of the range selected.<sup>2</sup>



<sup>2</sup> For example, if a passenger selected a household income range of \$25,000 to \$35,000, that passenger's income was assumed to be \$30,000 for the purposes of this analysis.

## 5. Baseline Data

Census Data – Based on Census data, the SacRT service area is 53.2 percent minority and 20.1 percent low-income. This data is used for the sake of context, but transit riders make up a small, non-representative fraction of the overall population, so it is not directly relevant to most Title VI service or fare equity analyses.

On-Board Survey – SacRT customers are estimated to be 72.3 percent minority and 55.8 percent low-income. This data comes from a statistically valid passenger survey conducted in April 2013 covering all bus and light rail routes. Although this data is somewhat outdated, it is still the best available data on actual customers. SacRT was in the process of updating this survey in March 2020; however, surveying had to be suspended due to the outbreak of COVID-19, so 2013 survey data continues to be the most recent data.

**Figure 1  
Existing SacRT Demographics**

	SacRT Service Area	SacRT Customers
Minority	53.2%	72.3%
Low-Income	20.1%	55.8%

Fare Survey – On an annual basis, SacRT conducts a passenger fare survey. This survey does not require questionnaires; SacRT surveyors merely inspect passenger fares at the time of boarding. This provides ridership volumes for each fare type. Combined with the 2013 survey data, this allows SacRT to estimate the average fare for minority and low-income populations, which is the key statistic for Title VI analyses.

$$\text{Average Fare Per Boarding} = \frac{\text{Fare Revenue}}{\text{Passenger Boardings}}$$

Because of the COVID-19 pandemic, the most recent fare survey data is from early 2019. Those survey responses have been projected over pre-COVID ridership totals to estimate what the average fare would have been without the major changes to ridership from COVID. The actual impacts to ridership from COVID cannot be known until it is safe to resume surveying, so SacRT believes this is the most reasonable analysis.

**Figure 2**  
**Existing Minority Average Fare**

	Fare Revenue	Passenger Boardings	Average Fare
Minority	\$19,593,175	15,768,345	\$1.24
Non-Minority	\$8,995,491	6,741,462	\$1.33
Total	\$28,588,666	22,509,807	\$1.27

Minority riders currently pay an average of \$1.24 per boarding, compared to \$1.33 for non-minority riders.

**Figure 3**  
**Existing Low-Income Average Fare**

	Fare Revenue	Passenger Boardings	Average Fare
Low Income	\$13,854,614	11,295,467	\$1.23
Non-Low Income	\$14,734,052	11,214,340	\$1.31
Total	\$28,588,666	22,509,807	\$1.27

Low-income riders pay an average of \$1.23 per boarding compared to \$1.31 for non-low-income riders.

## 6. Demographics of New Fare Type

Prior Analysis – For the Title VI analysis of the Causeway Connection service, SacRT used data from UCD on its students and employees, which were 23.7 percent minority and 36.4 percent low-income. For the fare program, as envisioned at the time, data on the UCD undergraduate population was used indicating undergraduates were 72.0 percent minority and 58.7 percent low-income.

As discussed above, census data was not applicable to the analysis, because transit riders make up a small, non-representative fraction of the overall population. This is especially so for an intercity express route, such as the Causeway Connection, which is likely to attract riders from an unusually broad geographic area (e.g., Solano County residents driving to Davis to catch the bus the rest of the way into Sacramento).

Special Survey – Due to the shortcomings of the existing data, SacRT intended to conduct an in-person passenger survey on the Causeway Connection during the six-month promotional period for the new UC Davis ID fare type; however, the COVID pandemic prevented SacRT from conducting an in-person survey. As an alternative, SacRT conducted this survey electronically.

Many Causeway Connection riders (or likely future riders) were known to be former riders of a former UCD-operated intercampus shuttle. Multiple mailing lists were available to reach these customers, including a UCD-maintained mailing list of approximately 400-500 persons and a rider-maintained mailing list of similar size. Using these channels, an online survey was conducted in August 2020 which captured over 200 responses.

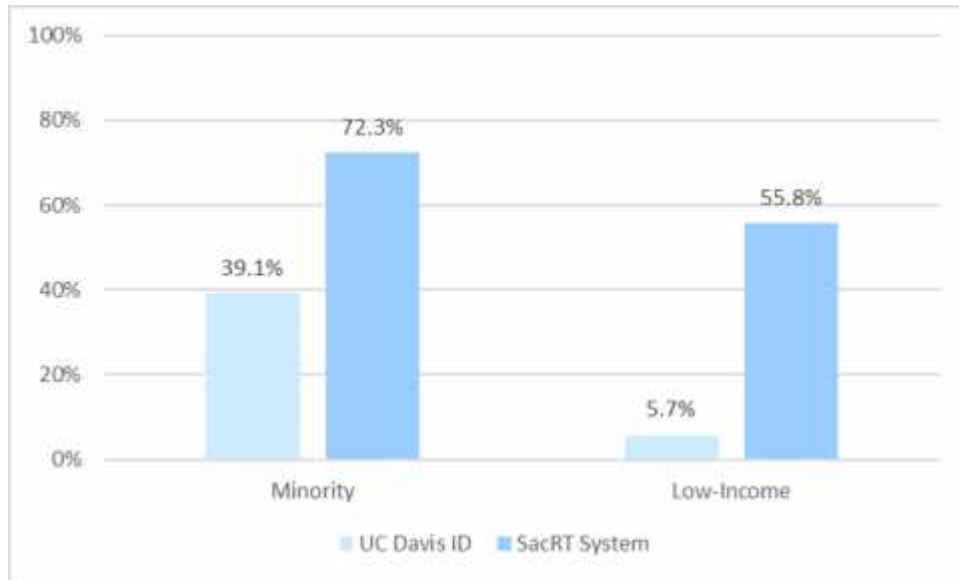
The online survey found that likely users<sup>3</sup> of the UC Davis ID free ride program are 39.1 percent minority and 5.7 percent low-income, both well below SacRT system averages of 72.3 percent and 55.8 percent.

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<sup>3</sup> Likely users of the UC Davis ID are considered to be respondents indicating they have already ridden or plan to ride the Causeway Connection when it ramps up to full service and that have identified that they are UC Davis affiliates with a UC Davis ID card. There were 174 such respondents.

---

**Figure 4**  
**UC Davis ID Demographics**



Utilization – Boardings on the UC Davis ID are estimated at 127,000 per year, 63,500 on SacRT. All such riders would pay zero out of pocket cost to ride. Of those riders, an estimated 24,816 would be minority riders and 3,649 would be low-income riders.

**Figure 5**  
**Ridership Using UC Davis ID**

	Percent	Boardings
Minority	39.1%	24,816
Non-Minority	60.9%	38,684
	100.0%	63,500
	Percent	Boardings
Low Income	5.7%	3,649
Non-Low Income	94.3%	59,851
	100.0%	63,500

**Figure 6  
Change in Systemwide Average Fare**

<u>Minority</u>	<u>Fare Revenue</u>	<u>Boardings</u>	<u>Average Fare</u>
Existing	\$19,593,175	15,768,345	\$1.24
Additional	\$0	24,816	\$0.00
New	\$19,593,175	15,793,161	<b>\$1.24</b>

<u>Non-Minority</u>	<u>Fare Revenue</u>	<u>Boardings</u>	<u>Average Fare</u>
Existing	\$8,995,491	6,741,462	\$1.33
Additional	\$0	38,684	\$0.00
New	\$8,995,491	6,780,146	<b>\$1.33</b>

<u>Low Income</u>	<u>Fare Revenue</u>	<u>Boardings</u>	<u>Average Fare</u>
Existing	\$13,854,614	11,295,467	\$1.23
Additional	\$0	3,659	\$0.00
New	\$13,854,614	11,299,116	<b>\$1.23</b>

<u>Non-Low Income</u>	<u>Fare Revenue</u>	<u>Boardings</u>	<u>Average Fare</u>
Existing	\$14,734,052	11,214,340	\$1.31
Additional	\$0	59,851	\$0.00
New	\$14,734,052	11,274,191	<b>\$1.31</b>



## 7. Results of Changes

The UC Davis ID provides a significant discount (i.e., allowing the user to ride for free) to a group of riders that is very low in minority and low-income representation but that is overall a small part of SacRT ridership.

Because of the small number of users, the systemwide average fare would decrease by less than \$0.01 for each demographic group. However, there are notable differences in the percent change by demographic group. Title VI impacts are determined by comparing these percent changes.

**Figure 7**  
**Percent Change in Systemwide Average Fare**

<u>Rider Type</u>	<u>Existing</u>	<u>Proposed</u>	<u>Change</u>	<u>% Change</u>
Minority	\$1.243	\$1.241	(\$0.002)	-0.16%
Non-Minority	\$1.334	\$1.327	(\$0.008)	-0.57%
Low-Income	\$1.227	\$1.226	(\$0.000)	-0.03%
Non-Low-Income	\$1.314	\$1.307	(\$0.007)	-0.53%

For a fare reduction, the goal is for the average fare to decrease as much or more for minority populations as for non-minority populations. This is not the case, as non-minority riders would pay 0.57 percent less, compared to only 0.16 percent less for minority populations.

The goal is also for the average fare for low-income populations to decrease as much or more as for non-low-income populations. This is also not the case, as non-low-income populations would pay 0.53 percent less, compared to only 0.03 percent less for low-income populations.

The statistical significance of these results is discussed in the next section.

## 8. Findings

SacRT uses 20 percent as a threshold for statistical significance. The difference in the percent change in the average fare for non-minority riders (0.57 percent) and minority riders (0.16 percent) is both adverse and exceeds 20 percent; therefore, *there may be potential disparate impacts (DI) to minority populations from the new fare.*

### Figure 8 Potential Disparate Impacts and/or Disproportionate Burdens

a. Percent decrease in non-minority avg fare	-0.57%
b. Threshold of statistical significance ( 80% * a )	-0.46%
c. Percent decrease in minority avg fare	-0.16%
d. Do fares decrease more for non-minority populations? ( a < c )	Yes
e. Is there evidence of a potential disparate impact ( c > b )	Yes
f. Percent decrease in non-low-income avg fare	-0.53%
g. Threshold of statistical significance ( 80% * f )	-0.42%
h. Percent decrease in low-income avg fare	-0.03%
i. Do fares decrease more for non-low-income populations? ( f < h )	Yes
j. Is there evidence of a potential disproportionate burden? ( h > g )	Yes

The difference in the percent change in the average fare for non-low income riders (0.53 percent) and low-income riders (0.03 percent) is also adverse and exceeds 20 percent; therefore, *there may be potential disproportionate burdens (DB) on low-income populations from the new fare.*

## 9. Justification, Alternatives, and Mitigation

The above findings of potential DI/DBs do not prohibit SacRT from implementing the proposed changes; however, before doing so, the SacRT Board must declare a *substantial legitimate justification* for the changes, show that there are no alternatives that would have a less disparate impact on minority riders, and take steps to avoid, minimize, or mitigate impacts to low-income riders, where practicable.

Alternatives – When the Causeway Connection service was being planned, the partners agreed that UCD would pay approximately half the operating cost of the service, net of fare revenue. The partners intended to allow free rides for undergraduate students only. Graduate students and employees would also have been required to pay the ordinary fare, with UCD paying for a portion of employee fare purchases.

The partners later realized that this obligated UCD to subsidize the purchase of an *unlimited* number of passes. Not all of the sales revenue from the passes could justifiably be credited back to UCD against their bill for operating support, because the passes would be valid on the entire SacRT system. The original plan therefore committed UCD to potentially have to overspend its total intended commitment of approximately half of net operating costs.

To protect UCD from cost overruns, the partners conceived a new approach, which is what this report analyzes. Under the new approach, SacRT simply honors the UC Davis ID as a valid fare on the Causeway Connection. This achieves the intended approximate 50 percent cost share for UCD. At the same time, it increases ridership, by reducing the cost for most employees from \$35 per month to zero. SacRT does not receive any less revenue than was intended, i.e., the service remains 100 percent funded by others, except for a small match that SacRT had committed separately.

One alternative would be to create fare media for the UC Davis ID graduate and employees for the Causeway Connection that would have an out-of-pocket for customers (e.g., \$35 per month). However, while that approach would result in a clear negative financial impact to all groups of Causeway Connection riders (including the estimated 40% who are minority and 5.7% that are low-income), it offers no corresponding increased financial benefit to SacRT because, under the terms of the MOU, the UC Davis operating subsidy would be simply be reduced to reflect the fare revenue. Therefore, increasing the cost for Causeway Connection riders harms those riders who are minority or low-income riders of the service and potentially dissuades them from riding while not providing any overall benefit to users of the remainder of the SacRT service.

While UC Davis affiliated riders of the prior closed-door service did pay a fare for the service, those riders expressed significant reticence about the transition to the new Causeway Connection service. Honoring the UC Davis graduate and employee ID cards for the service provides an opportunity to build ridership on the new service in accordance with the intent of the CMAQ program goals and to continue a funding relationship with UC Davis to help support the service after the CMAQ funding is exhausted.

Justification – The “program goal” of the CMAQ operating assistance being used for the Causeway Connection is to help start up viable new transportation services that can demonstrate air quality benefits and eventually cover costs as much as possible. Other funding sources should supplement and ultimately replace CMAQ funds for operating assistance, as these projects no longer represent additional, net air quality benefits but have become part of the baseline transportation network. Allowing the UC Davis graduate and employee IDs to be recognized during this start up period will build a ridership base that increases the likelihood of continued viability of the service beyond the funded period and also increases the likelihood that UC Davis will remain a funding partner beyond the 3-year period.

The Title VI merits of the new fare therefore rest on the merits of the Causeway Connection service itself. The SacRT Board of Directors resolved on December 9, 2019 that there was a substantial legitimate justification for the service, because (1) the only alternative was to abort the entire project, which was fully-funded, and (2) that the Causeway Connection effectively migrated funding from a private, closed-door service exclusively for UCD affiliates to an open-door public transit service, providing benefits to the population at large that would not exist without the project.

On this basis, SacRT believes that there is a substantial legitimate justification for and no viable alternatives to the new UC Davis graduate and employee ID fare types.



# STAFF REPORT

**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Carmen Alba, Acting, VP, Operations  
**SUBJ:** APPROVING THE FOURTH AMENDMENT TO THE CONTRACT FOR EMPLOYEE UNIFORMS WITH CURTIS BLUE LINE - CN 2017005

RECOMMENDATION

Adopt the Attached Resolution.

RESULT OF RECOMMENDED ACTION

Approval will extend the term and add funds to allow the continuation of the current contract with Curtis Blue Line for Option Years Four and Five.

FISCAL IMPACT

The impacts of this amendment on uniform costs in FY 21 are included in the FY 21 Operating Budget.

The table below represents the estimated costs to be covered by the Contract amendment by cost center and department:

Department	Depart.	Option Year 4 12/15/20 – 12/14/21	Option Year 5 12/15/21 – 12/14/22
Bus Operations	cc 32	\$95,000.00	\$99,750.00
Operations Training	cc 33	\$3,000.00	\$3,150.00
Light Rail	cc 35	\$30,000.00	\$31,500.00
Police Services	cc 36	\$22,200.00	\$23,310.00
Elk Grove	cc 632	\$30,000.00	\$31,500.00
SacRT GO	cc 77	\$30,000.00	\$31,500.00
CBS	cc 77	\$36,000.00	\$37,800.00
Procurement	cc 88	\$500.00	\$525.00
		\$246,700.00	\$259,035.00

The grand total for added funds for both Option Years: \$505,735. These amounts are based on estimated quantities. The vendor will be paid only for uniforms that are actually supplied, at the unit prices specified in its bid, plus applicable sales taxes.

## DISCUSSION

SacRT provides employee uniforms to Bus, Light Rail and Community Bus Operators, as well as Transit Agents, Transit Officers, Transportation Supervisors and Procurement Clerks. These uniforms allow the public to easily recognize SacRT employees and standardizes the appearance and professionalism projected by these employees.

On September 21, 2017, SacRT received 5 bids in response to the solicitation for the purchase of employee uniforms.

On December 15, 2017, SacRT executed a contract with Curtis Blue Line, as the highest-ranked proposer, for an amount not to exceed \$490,802, for a 3-year term ending December 14, 2020.

The First Amendment to the Contract approved changes to a pricing correction in the original contract and included rain gear for supervisors.

The Second Amendment to the Contract approved the addition of uniform items for the Elk Grove Operators, Elk Grove Supervisors, CBS Dispatchers and Operations Training Specialist and increased the total consideration for the contract by \$225,187 for an amount not to exceed \$715,989.

The Third Amendment to the Contract approved the addition of SacRT GO Operator uniforms and added \$125,000, for an amount not to exceed \$840,989.

This Fourth Amendment would exercise option years 4 and 5 by extending the contract to December 14, 2022 and increase the total consideration by \$505,735, for an amount not to exceed \$1,346,724. Exercise of the option years is recommended as staff has determined the prices to be fair and reasonable based on the original proposal pricing for option years 4 and 5.

RESOLUTION NO. 20-10-0121

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE FOURTH AMENDMENT TO THE CONTRACT FOR EMPLOYEE UNIFORMS WITH CURTIS BLUE LINE - CN 2017005**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Fourth Amendment to the Contract for Purchase of Employee Uniforms between Sacramento Regional Transit District, therein referred to as "SacRT," and Curtis Blue Line therein referred to as "Contractor," whereby SacRT exercises its options to extend the Contract for two additional years commencing on December 15, 2020 and terminating on December 14, 2022 and the total consideration is increased by \$505,735 from \$840,989 to \$1,346,724, plus applicable sales tax, is hereby approved.

THAT, the Chair and General Manager/CEO are hereby authorized and directed to execute said Fourth Amendment.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



# STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Lisa Hinz, VP, Safety, Security and Customer Satisfaction

**SUBJ:** DELEGATION OF AUTHORITY FOR SACRAMENTO REGIONAL RADIO COMMUNICATIONS SYSTEM LICENSING AGREEMENT

RECOMMENDATION

Adopt the Attached Resolution.

RESULT OF RECOMMENDED ACTION

The SacRT General Manager/CEO will be authorized to finalize negotiations with the County of Sacramento and will have the authority to execute The Sacramento Regional Radio Communications System Licensing Agreement, between the County of Sacramento and SacRT.

FISCAL IMPACT

N/A

DISCUSSION

The SacRT radio system is a critical communication component for SacRT Operations, Facilities and Security departments. The current Sacramento Regional Radio Communications System Licensing Agreement ends on December 1, 2020. The Agreement grants SacRT the ability to use the County’s backbone communication system and is critical to maintaining SacRT’s radio communication system. The parties are currently negotiating the terms of a new 10-year agreement between Sacramento County and SacRT. Consequently, staff requests that the Board delegate authority to the General Manager/CEO to finalize negotiations and execute a new agreement with the County for a license to use the County’s backbone communication system. Without this delegation, SacRT may not have a new radio agreement in place before the expiration of the current agreement and that could lead to significant disruption in SacRT’s radio communication system, which is dependent upon the county’s backbone.



RESOLUTION NO. 20-10-0122

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**DELEGATION OF AUTHORITY FOR SACRAMENTO REGIONAL RADIO  
COMMUNICATIONS SYSTEM LICENSING AGREEMENT**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board hereby delegates authority to the General Manger/CEO to enter into the Sacramento Regional Radio Communications System Licensing Agreement, with the County of Sacramento for a 10 year term.

THAT, the Board hereby authorizes and directs the General Manager/CEO to execute said agreement upon successful completion of negotiations.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



# STAFF REPORT

**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Laura Ham, VP, Planning and Engineering

**SUBJ:** RATIFYING UNAUTHORIZED PROCUREMENT, APPROVING A SOLE SOURCE PROCUREMENT, AND APPROVING THE FIRST AMENDMENT TO CONTRACT FOR JANITORIAL SERVICES WITH CONSOLIDATED FACILITY SERVICES, LLC

RECOMMENDATION

Adopt the Attached Resolution.

RESULT OF RECOMMENDED ACTION

Ratifying the Unauthorized Procurement, approving a sole source procurement, and approving the First Amendment to the Contract for Janitorial Services with Consolidated Facility Services, LLC will authorize payment for additional COVID-19 sanitation services already provided for SacRT facilities and allow continuation of these services until July 30, 2021 while a new solicitation is conducted.

FISCAL IMPACT

Funding source for the Contract amendment is CARES Act grant.

FY 2021*	\$156,411.00	GL 630052 COVID-19 Services, cc37
FY 2022	\$ 7,938.00	GL 630052 COVID-19 Services, cc37
Total	\$164,349.00	

\* FY 2021 additional janitorial cost of \$146,435 will be included in a future FY 2021 Operating Budget Amendment if required.

DISCUSSION

On June 12, 2020, SacRT entered into a new contract with Consolidated Facility Services, LLC. The Invitation for Bid for janitorial services was issued March 26, 2020, at a time when the extent and duration of the COVID-19 pandemic was uncertain and sanitation standards were not clearly developed.

Staff included in the Contract scope requirements to provide daily “Extra Sanitization Service” for high-contact surfaces. However, those services were optimistically anticipated to be required only for a 12-week period, through September 23, 2020, and the Contract Total Consideration reflected that assumption. The amount bid by

Consolidated Facility Services for the Extra Sanitation Service is \$2,038.50 per week in addition to the weekly cost of \$2,720.77 for standard janitorial services.

After execution of the Contract, SacRT Staff determined that, in addition to the “Extra Sanitation Service” being provided overnight under the terms of the Contract, additional daytime cleaning was needed to sanitize high contact touch points at all SacRT buildings to ensure employee safety. This additional service consists of deep cleaning service for disinfecting the high contact touch points at a frequency of twice per day, with a total of 9.5-staff/person hours per day for all affected SacRT buildings. The high contact touch points have been designated as follows:

- ) Common area/Conference rooms: doorknobs, light switches (not in individual offices), tabletops, and chair handles.
- ) Restrooms: soap dispenser handles, door handles or plates, faucet handles, toilet handles, and towel dispenser handles.
- ) Breakrooms: soap dispenser handles, microwave handles, toaster oven handles, sink handles and door/drawer knobs, and refrigerator handles.

The locations receiving these additional services are as follows:

- ) 1400 29th Street (Administration)
- ) 1225 R Street (Customer Service)
- ) 1516 29th Street (Finance)
- ) 2700 Academy Way (Light Rail)
- ) 2750 Academy Way (Light Rail)
- ) 2760 Academy Way (Light Rail)
- ) 2501 Land Avenue (Light Rail Warehouse)
- ) 2810 O Street (Human Resources)
- ) 2811 O Street (Engineering and Annex Trailer)
- ) 3701 Dudley Way (BMF2)

Staff received a quote for these services on July 13 from Consolidated Facility Services of \$5,899.50 per month, based on an hourly rate of \$27/hour, and directed the Contractor to move forward to provide the services. However, while the Contract provides flexibility to modify the scope or frequency of services, it also specifies that “additions that cause an increase in the cost or time required for performance of the agreed-upon services will be made only pursuant to an amendment to this Contract signed by SacRT and Contractor.” No amendment was executed prior to the Staff direction for the Contractor to provide the services. As a consequence, the additional services constitute an “unauthorized procurement” under the terms of the Board-adopted Procurement Ordinance and SacRT can pay for those services only if the Staff action is ratified by the Board.

While the original contract services, including the “Extra Sanitation Services,” were bid on a flat-rate rather than hourly rate basis, Staff has estimated that Consolidated Facility Services cost per hour for the “Extra Sanitation Services”, which were competitively bid, equates to roughly \$25/hour. In addition, based on internet market research, the cost per hour for commercial janitorial services in California typically ranges from \$25 to \$100 per hour. On that basis, Staff has determined that the \$27/hour rate for the additional daytime services is fair and reasonable.

Staff desires to continue both the twice-daily daytime cleaning and the nightly additional cleaning services. Based on the rates proposed by the Contractor, the additional services have a cost of roughly \$14,000 per month, as compared to \$11,000 for the “regular” services and will more than double the Total Consideration for the first year of the Contract. This magnitude of change in scope would typically require a new solicitation, since competitive pricing was not obtained for the additional services. Because these services may need to continue in the long-term, Staff intends to conduct a new procurement to obtain more competitive pricing.

However, in the short-term, these services are still needed to mitigate the potential harm from COVID-19. Therefore, Staff is requesting that the Board approve a sole source procurement under the federal guidelines and SacRT declaration of emergency to continue these additional services for a 9-month period to permit a new solicitation to be conducted and a contract award finalized.

RESOLUTION NO. 20-10-0123

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**RATIFYING UNAUTHORIZED PROCUREMENT, APPROVING A SOLE SOURCE PROCUREMENT, AND APPROVING THE FIRST AMENDMENT TO CONTRACT FOR JANITORIAL SERVICES WITH CONSOLIDATED FACILITY SERVICES, LLC**

WHEREAS, on March 13, 2020, President Trump declared a national emergency over the coronavirus (COVID-19) outbreak; and

WHEREAS, on March 20, 2020, by Resolution No. 20-03-022, the Board declared an emergency and authorized the suspension of competitive bidding requirements under the SacRT Procurement Ordinance to the extent necessary to obtain supplies and services to respond to COVID-19; and

WHEREAS, on June 12, 2020, SacRT and Consolidated Facility Services, LLC entered into a Contract for Janitorial Services ("Contract"), which Contract included provisions for the performance of "Extra Sanitation Services" for a limited period; and

WHEREAS, subsequent to the Contract solicitation and execution, it was determined that an even higher level of sanitation was necessary to protect SacRT Staff from the impacts of COVID-19; and

WHEREAS, SacRT Staff directed the performance of additional cleaning services without further competition or an amendment to the Contract; and

WHEREAS, in recognition of the emergency need for the additional services, the Board has determined that it is appropriate to ratify the Unauthorized Procurement of these additional services, from which SacRT has received a benefit and which would have been proper if authorized through a Contract amendment; and

WHEREAS, in light of the continuing emergency and the time required to conduct a new competitive solicitation, the Board has determined that it is appropriate to issue a sole source amendment to Consolidated Facility Services, LLC to continue providing enhanced cleaning services through July 2021 while a new solicitation is conducted.

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, pursuant to Section 1.105, "Ratification of Unauthorized Procurement," of the Procurement Ordinance (18-08-01), the actions of Staff in requesting additional daytime cleaning services and authorizing continuation of additional night time cleaning services beyond the 12-week period specified in the Contract are hereby ratified.

THAT, pursuant to Section 1.405.A of the Procurement Ordinance, due to the declared emergency related to COVID-19, the Board hereby approves a sole source

procurement of additional cleaning services from Consolidated Facility Services, Inc. for additional COVID-19 cleaning services through July 31, 2021.

THAT, the First Amendment for Janitorial Services to Consolidated Facility Services, whereby the scope of services is modified to provide for nighttime "Extra Sanitation Services" and daytime deep cleaning services through July 31, 2021, as further set forth therein, and the total consideration is increased by \$164,349.00, from \$472,692.44 to \$637,041.44, is hereby approved.

THAT, the Chair and General Manager/CEO are hereby authorized and directed to execute said First Amendment.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Olga Sanchez-Ochoa, General Counsel  
**SUBJ:** APPROVING THE JOB DESCRIPTION FOR THE POSITION GENERAL COUNSEL AND CHANGING THE REPORTING STRUCTURE AS AUTHORIZED UNDER CALIFORNIA PUBLIC UTILITIES CODE §102160

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

If the Board approves the job description and change in reporting structure, the General Counsel will report directly to the Board and serve at the pleasure and direction of the Board.

### FISCAL IMPACT

There is no fiscal impact associated with this action.

### DISCUSSION

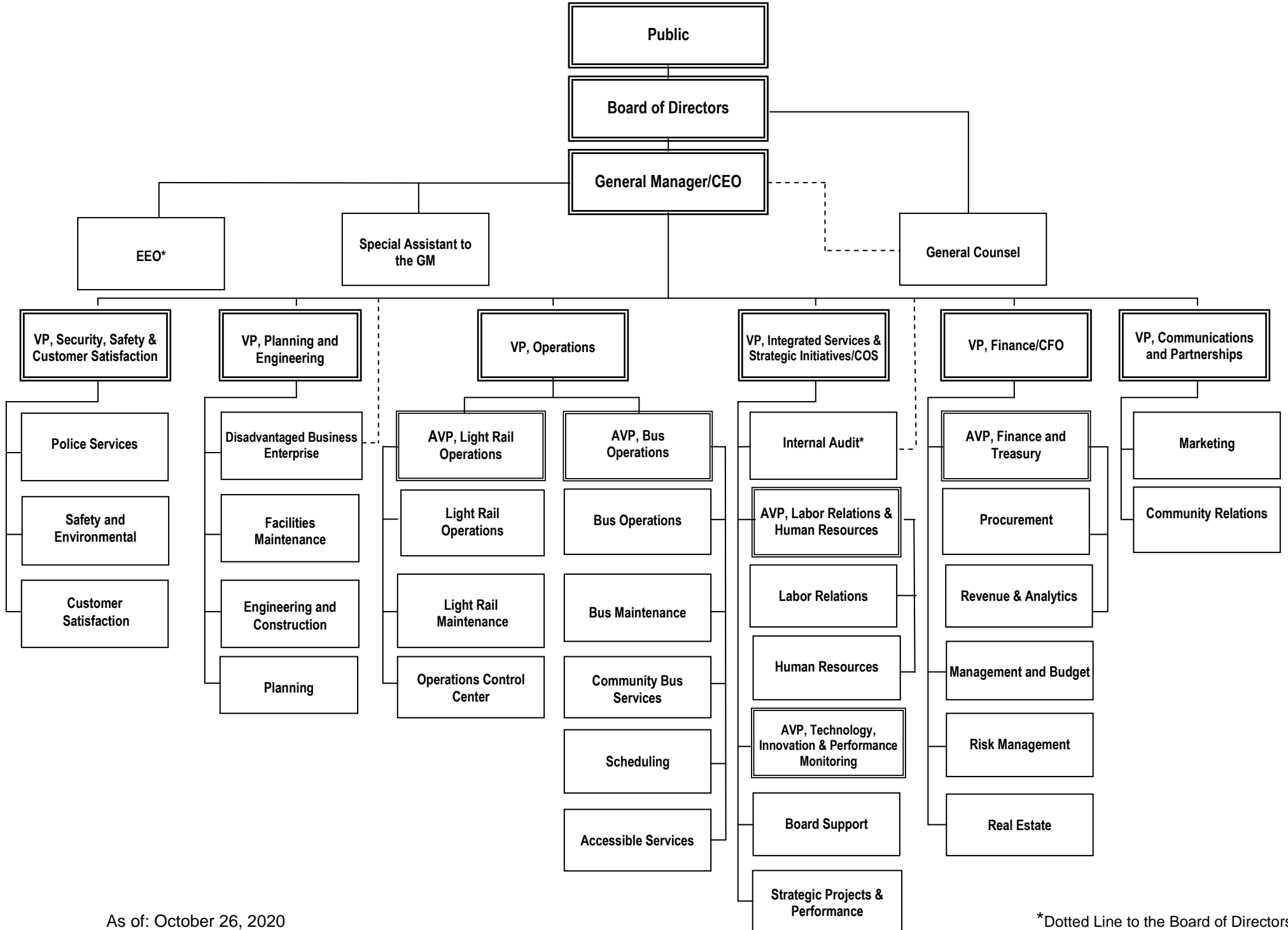
Pursuant to California Public Utilities Code §102160 the Sacramento Regional Transit District Board of Directors has the authority to hire the General Manager, legal counsel, a controller, a treasurer, and any other officers it may deem necessary for the operation of the District. Until 2018, the SacRT Board of Directors directly appointed a chief attorney that reported directly to the Board and was responsible for overseeing all the District's legal affairs. The Chief Counsel, as the position was titled, worked with the General Manager/CEO, but was independent and reported directly to the Board of Directors. One of the key duties of the Chief Counsel was to provide advice and counsel to the Board regarding the Board members' fiduciary obligations to the District and their legal obligations as Board members. Additionally, all legal services within the District were consolidated under the Chief Counsel who managed and supervised all SacRT staff attorneys and as well as all outside attorneys that provided legal services to the District.

In 2018 when the Chief Counsel resigned, the Board took the opportunity to change the reporting structure of the position and de-centralized legal services within the District. In an effort to improve the cohesiveness of the General Manager/CEO's Executive Manager Team (EMT), the Board moved the Chief Counsel position under the General Manager/CEO. The title was changed to Director of Legal Services and later on General Counsel after the change in reporting structure. While the General Counsel maintained limited (dotted line) access to the Board, the General Counsel was selected by the General Manager/CEO and the Board Chair and serves at the pleasure and direction of

the General Manager/CEO. The other staff attorneys in the Legal Department were moved out of the Legal Department and assigned to different divisions, no longer reporting to the General Counsel. While there are benefits to this structure, the Board has determined that a legal advisor that is directly accountable to the Board and that has direct responsibility for advising the Board regarding its fiduciary obligations and that serves as an independent direct report responsible for advising the Board and staff regarding legal compliance matters and overseeing all of the District's legal affairs, will provide the Board with an opportunity to provide more oversight and better comply with its obligations as fiduciaries to the District. The legal affairs of the District will be consolidated under the office of the General Counsel and the General Counsel will be accountable for overseeing all legal matters affecting SacRT. While the position will report directly to the Board, as depicted in Attachment 1, it is crucial that the incumbent be a partner to the General Manager/CEO and assist the General Manager/CEO and the EMT with implementing the Board's policy priorities and vision for SacRT and its critical role in the community. Consequently, the Board expects the incumbent to be a functional member of the General Manager/CEO's EMT.

The individual selected to serve as the General Counsel will serve at the pleasure of the Board.





RESOLUTION NO. 20-10-0124

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE JOB DESCRIPTION FOR THE POSITION GENERAL COUNSEL  
AND CHANGING THE REPORTING STRUCTURE AS AUTHORIZED UNDER  
CALIFORNIA PUBLIC UTILITIES CODE §102160**

WHEREAS, California Public Utilities Code §102160 authorizes the Sacramento Regional Transit District to hire and appoint its own legal counsel; and

WHEREAS, the Board desires to hire a General Counsel to serve as counsel to the Board and SacRT Management.

NOW THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board hereby approves the job description, attached hereto as Exhibit A, for the position General Counsel, which upon selection will be appointed by the Board and will serve at the pleasure and direction of the Board.

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STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



**Title: General Counsel**

FLSA Status: EXEMPT

**BRIEF DESCRIPTION:**

Under the policy direction of the Sacramento Regional Transit District (SacRT) Board of Directors, the General Counsel serves as the Chief Legal Officer of SacRT. The incumbent is appointed by, reports to and serves at the pleasure of the Board of Directors and is SacRT’s chief legal officer, represents SacRT in legal matters, acts as legal advisor to the Board, the General Manager/CEO and other District staff; organizes and manages SacRT legal activities, whether performed by in-house legal staff or outside counsel; and supervises SacRT’s staff attorneys and activities of the Legal Department including the referral of matters to outside counsel; is a collaborative member of the General Manager/CEO’s Executive Management Team and must assist and support the Management staff in progressing the Board’s and GM’s vision for SacRT.

**ESSENTIAL FUNCTIONS:**

Note: This information is intended to be descriptive of the key responsibilities of the position. The list of essential functions below does not identify all duties performed by any single incumbent in this position. Additionally, please be aware of the legend below when referring to the physical demands of each essential function.

(S) Sedentary	(L) Light	(M) Medium	(H) Heavy	(V) Very Heavy
Exerting up to 10 lbs. occasionally or negligible weights frequently; sitting most of the time.	Exerting up to 20 lbs. occasionally; 10 lbs. frequently; or negligible amounts constantly; OR requires walking or standing to a significant degree.	Exerting 20-50 lbs. occasionally; 10-25 lbs. frequently; or up to 10 lbs. constantly.	Exerting 50-100 lbs. occasionally; 10-25 lbs. frequently; or up to 10-20 lbs. constantly.	Exerting over 100 lbs. occasionally; 50-100 lbs. frequently; or up to 20-50 lbs. constantly.

#	Code	Essential Functions	% of Time
1	S	<ul style="list-style-type: none"> <li>) Provides legal advice and consultation to the Board of Directors and other Board Officers; Consults with and advises individual Directors, the Board as a whole, the General Manager/CEO and members of the Executive Management Team and other SacRT staff.</li> <li>) Establishes and maintains goals, objectives, and plans for carrying out the functions of the office consistent with the Board’s policy determinations.</li> <li>) Develops and directs the implementation of goals, objectives, policies, procedures and work standards for the Legal Department.</li> <li>) Directs the selection of legal staff, subject to approval by the General Manager/CEO and provides for their training and professional development; is responsible for the morale, productivity and discipline of department staff.</li> <li>) Advises the Board of Directors and SacRT departments on legal matters through oral or written opinions, drafts legal opinions, legal memoranda; SacRT policies, resolutions and ordinances; and other legal documents.</li> <li>) Directs the handling of legal settlements and legal defenses of claims against SacRT and oversees all</li> </ul>	100%



litigation filed on behalf of or against SacRT. Prepares a variety of reports related to legal activities and litigation cases.

- ) Monitors legal developments and reviews and interprets current statutes and ordinances, proposed legislation, judicial decisions, and legal opinions that may impact SacRT. Recommends appropriate action to the Board of Directors and the General Manager/CEO based on such reviews.
- ) Works collaboratively with SacRT's Government Affairs staff and provides assistance with the SacRT's legislative agenda.
- ) Ensures that SacRT's interests are protected by foreseeing potential liabilities with regard to all SacRT contracts and ongoing litigation and working to mitigate SacRT's exposure to legal challenges.
- ) Reviews the efficiency of the Legal Department's organizational structure and evaluates and implements processes and procedures to improve the department's effectiveness. Directs the department's activities and staff, including the training, supervision, and evaluation of attorneys, as well as technical and administrative staff.
- ) Responds to, or reviews proposed responses and approves, all responses to requests for information and records under the California Public Records Act.
- ) Drafts, reviews and/or approves all formal Requests for Proposal, Invitation for Bid, and contracts to which SacRT is a party for compliance with applicable laws and regulations as well as all legal documents relating to environmental matters that impact SacRT.
- ) Provides legal advice and assistance in labor negotiations.
- ) Develops and recommends the annual budget for the Legal Department.
- ) Attends all meetings of the Board of Directors, including closed session, and reports to the Board concerning pending legislation and litigation, as well as SacRT's obligation to meet all applicable Federal, state, and local laws and regulations. Prepares or reviews all staff reports related to Board agenda items for legal form and compliance with applicable policies.
- ) Directs the coordination of Legal Department activities with other agencies and appropriate community organizations. Represents SacRT at meetings of legislative bodies, and community forums, as required.
- ) Interprets SacRT policies and procedures for SacRT



employees.

**JOB REQUIREMENTS:**

-Description of Minimum Job Requirements-	
Formal Education	<p>Juris Doctor degree or equivalent from an accredited school of law.</p> <p>Substitution of experience for the required education is not accepted.</p>
Experience	<p>A minimum of twelve (12) years of broad and extensive experience as a practicing attorney, including progressively responsible management or supervisory and experience working with a public agency. Transit experience is preferred.</p>
Supervision	<p>Work requires managing and monitoring work performance of a division including evaluating program/work objectives and effectiveness, establishing broad organizational goals and realigning work and staffing assignments for the division.</p>
Human Collaboration Skills	<p>Final decisions regarding policy development and implementation are made and/or recommended. Interaction with others outside the organization requires exercising participative management skills that support team efforts and quality processes.</p>
Freedom to Act	<p>The employee normally performs the duty assignments within broad parameters defined by general organizational requirements and accepted practices. End results determine effectiveness of job performance.</p>
Technical Skills	<p>Work requires advanced skills and knowledge in approaches and systems, which affect the design and implementation of major programs and /or processes organization-wide. Independent judgment and decision making abilities are necessary to apply technical skills effectively.</p>
Budget Responsibility	<p>Position has district wide fiscal responsibility. Assures that appropriate linkages exist between district-wide budget, funding limitations and service levels, to meet specific departmental and organizational goals. Monitors progress toward fiscal objectives and adjusts plans as necessary to reach them. Reviews agency financial statements and budget reports.</p>
Reading	<p>Advanced - Ability to read literature, books, reviews, scientific or technical journals, abstracts, financial reports, and/or legal documents. Ordinarily, such education is obtained in at the college level or above. However, it may be obtained from experience and self-study.</p>
Math	<p>Advanced - Ability to apply fundamental concepts of theories, work with advanced mathematical operations methods, and functions of real and complex variables. Ordinarily, such education is obtained at the college level or above. However, it may be obtained from experience and self-study.</p>
Writing	<p>Advanced - Ability to write editorials, journals, speeches, manuals, or critiques. Ordinarily, such education is obtained in at the college level or</p>



	above. However, it may be obtained from experience and self-study.
Certification & Other Requirements	Active Membership in good standing in the California State Bar.

<b>KNOWLEDGE</b>
<ul style="list-style-type: none"> <li>) Principles and practices of civil, constitutional, contract, tort, property, employment, environmental, municipal, and administrative law as it relates to SacRT;</li> <li>) Responsibilities, powers and functions of the Office of the General Counsel;</li> <li>) State and federal laws and constitutional provisions affecting SacRT operations;</li> <li>) Principles of land use, municipal law and government finance, California Environmental Quality Act (CEQA) and the National Environmental Policy Act (NEPA);</li> <li>) Federal laws and regulations relating to transit grants, including Section 13(c), and the principles of drafting and negotiating full funding grant agreements, letter of no prejudice, and other federal grant documents;</li> <li>) Management techniques and skills applicable to a professional law office or legal department;</li> <li>) Litigation and arbitration procedures and rules of evidence pertaining to state and federal court</li> <li>) Principles, methods, and practices of legal research</li> <li>) Labor relations and negotiations</li> <li>) Policies, operations, procedures, and functions of the District.</li> </ul>

<b>SKILLS</b>
<ul style="list-style-type: none"> <li>) Advanced word processing, spreadsheet, presentation and database software</li> <li>) Specialized software related to functional area</li> </ul>



**ABILITIES**

- ) Demonstrate unquestioned ethics and integrity; work collaboratively with the General Manager/CEO while remaining independent and objective;
- ) Analyze, appraise and organize facts, evidence, and precedents and present such materials orally or in clear written and legal form;
- ) Analyze, appraise, and organize facts, evidence, and precedents and present such materials orally in clear, written, and legal form;
- ) Analyze and appraise a variety of legal documents and instruments;
- ) Draft legal instruments such as resolutions, ordinances, contracts and other pertinent documents;
- ) Make effective court and hearing presentations;
- ) Establish and maintain effective professional relationships with SacRT personnel and city attorneys of the various jurisdictions within SacRT’s operating region, County Counsel staff, as well as local officials and the general public;
- ) Effectively manage and coordinate the work of professional, administrative, and clerical subordinates engaged in work of a legal nature;
- ) Work successfully with diverse persons and interest both in government and with the public in general;
- ) Coordinate with the legal counsel of member agencies.



**OVERALL PHYSICAL STRENGTH DEMANDS:**

-Physical strength for this position is indicated below with “X”-

Sedentary <b>X</b>	Light	Medium	Heavy	Very Heavy
Exerting up to 10 lbs. occasionally or negligible weights frequently; sitting most of the time.	Exerting up to 20 lbs. occasionally, 10 lbs. frequently, or negligible amounts constantly OR requires walking or standing to a significant degree.	Exerting 20-50 lbs. occasionally, 10-25 lbs. frequently, or up to 10 lbs. constantly.	Exerting 50-100 lbs. occasionally, 10-25 lbs. frequently, or up to 10-20 lbs. constantly.	Exerting over 100 lbs. occasionally, 50-100 lbs. frequently, or up to 20-50 lbs. constantly.

**PHYSICAL DEMANDS:**

C Continuously 2/3 or more of the time.	F Frequently From 1/3 to 2/3 of the time.	O Occasionally Up to 1/3 of the time.	R Rarely Less than 1 hour per week.	N Never Never occurs.
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Note: This is intended as a description of the way the job is currently performed. It does not address the potential for accommodation.

-Physical Demand-	-Frequency-	-Brief Description-
Standing	F	Making presentation; Observing work site; Communicating with co-workers
Sitting	C	Desk work; Meetings
Walking	F	To other departments/offices; Around work site
Lifting	O	Supplies; Files
Carrying	O	Supplies; Files
Pushing/Pulling	O	File drawers
Reaching	F	For supplies; For files
Handling	F	Paperwork
Fine Dexterity	F	Computer keyboard; Telephone keypad; Calculator
Kneeling	O	Filing in lower drawers
Crouching	O	Filing in lower drawers; Retrieving items from lower shelves/ground
Crawling	N	
Bending	O	Filing in lower drawers; Retrieving items from lower shelves/ground
Twisting	O	From computer to telephone; Getting inside vehicle
Climbing	R	Stairs
Balancing	R	On step stools
Vision	C	Reading; Computer screens; Driving; Observing work site
Hearing	C	Communicating via telephone/radio to co-workers/public
Talking	C	Communicating via telephone/radio to co-workers/public
Foot Controls	O	Driving
Other (specified if applicable)		None

**MACHINES, TOOLS, EQUIPMENT, SOFTWARE, AND HARDWARE:**

Telephone, fax machine, copier, vehicle, calculator, computer and associated hardware and software





**ENVIRONMENTAL FACTORS:**

<b>C</b> Continuously	<b>F</b> Frequently	<b>O</b> Occasionally	<b>R</b> Rarely	<b>N</b> Never
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<b>D</b> Daily	<b>W</b> Several Times Per Week	<b>M</b> Several Times Per Month	<b>S</b> Seasonally	<b>N</b> Never
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-Health and Safety Factors-	
Mechanical Hazards	R
Chemical Hazards	R
Electrical Hazards	R
Fire Hazards	R
Explosives	N
Communicable Diseases	R
Physical Danger or Abuse	R
Other (see 1 below)	

-Environmental Factors-	
Respiratory Hazards	N
Extreme Temperatures	N
Noise and Vibration	N
Wetness/Humidity	N
Physical Hazards	N

(1) N/A

**PROTECTIVE EQUIPMENT REQUIRED:** None

**NON-PHYSICAL DEMANDS:**

<b>F</b> Frequently From 1/3 to 2/3 of the time	<b>O</b> Occasionally Up to 1/3 of the time	<b>R</b> Rarely Less than 1 hour per week	<b>N</b> Never Never occurs
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-Description of Non-Physical Demands-	-Frequency-
Time Pressure	F
Emergency Situation	O
Frequent Change of Tasks	F
Irregular Work Schedule/Overtime	O
Performing Multiple Tasks Simultaneously	F
Working Closely with Others as Part of a Team	F
Tedious or Exacting Work	O
Noisy/Distracting Environment	O
Other (see 2 below)	

(2) N/A

**PRIMARY WORK LOCATION:**

Office Environment	X	Vehicle	
Warehouse		Outdoors	
Shop		Other (see 3 below)	
Recreation/Neighborhood Center			

(3) N/A

The above statements are intended to describe the general nature and level of work being performed by individuals assigned to this position. They are not intended to be an exhaustive list of all responsibilities, duties, and skills required. This description is subject to modification as the needs and requirements of the position change.



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Lisa Hinz, VP, Safety, Security and Customer Satisfaction  
**SUBJ:** APPROVING THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

If approved by the Board, SacRT will be in compliance with Federal Transit Administration Regulations (49 C.F.R. Part 637) and with the California Public Utilities Commission General Order 164-E requiring public transit agencies like SacRT to adopt a Public Transportation Agency Safety Plan (PTASP) no later than December 31, 2020.

### FISCAL IMPACT

There is no fiscal impact with approving the Plan, however the future safety needs will have a financial impact and will be incorporate into the budget process.

### DISCUSSION

SacRT's Public Transportation Agency Safety Plan (PTASP) is developed in accordance with Federal and State mandates that require SacRT to establish and implement such a plan. The regulations require the PTASP to be approved by the Board of Directors.

The Federal Transit Administration (FTA) published the PTASP Regulation, 49 C.F.R. Part 673, on July 19, 2018. The regulation implements a risk-based Safety Management System (SMS) approach and requires SacRT to have a PTASP in place no later than December 31, 2020. The PTASP is one element of the FTA's comprehensive Public Transportation Safety Program. SacRT's State Safety Oversight Agency, the California Public Utilities Commission (CPUC) adopted the requirements of FTA's regulation in its General Order 164-E and is charged under the regulations with the review and approval of agency PTASPs.

The PTASP explains SacRT's safety processes. The plan is a data driven approach to manage hazards and includes performance measures and targets. A plan is coordinated with internal stakeholders and the stakeholders will be provided with training.

The PTASP must be based on Safety Management System (SMS) Principles. The four components to SMS are: safety management policy, safety risk management, safety assurance and safety promotion.

The safety management policy assigns authorities, accountabilities and responsibilities for all SacRT staff. There must also be integration with Emergency Management and SMS documentation and records.

Safety risk management is the safety hazard identification process. This process also includes safety risk assessment and safety risk mitigation.

Safety assurance is the safety performance monitoring and measurements process. This includes management of change and continuous improvement. Examples of performance measurements are reportable injuries, reportable safety events and system reliability rail (meaning distance between major mechanical failures).

Safety promotion is the safety training program and safety communication.

Staff worked with the Rail Transit Safety Branch of the CPUC during the development of the PTASP and submitted the final draft PTASP to the CPUC for preliminary approval of the plan. Once the plan is in effect, staff will regularly audit the plan to verify the processes and programs are being followed and based on trends, implement strategies for continuous safety improvement. In addition to internal audits, the PTASP will also be audited by the FTA and the CPUC at least triennially.

Staff recommends that the Board adopt the PTASP for SacRT.

RESOLUTION NO. 20-10-0125

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**APPROVING THE PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Board hereby adopts the Public Transportation Agency Safety Plan as depicted in Exhibit A.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary



# Regional Transit

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## PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

October 2020





# Public Transportation Agency Safety Plan

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### Accountable Executive Statement

Safety is recognized as a core value in Sacramento Regional Transit (SacRT) and impacts everything we do. I commit to championing culture of safety from the “top down” and will continue to demonstrate through my actions my commitment to safety and its importance in the success of our agency and the health and wellbeing of our employees and customers.





## Public Transportation Agency Safety Plan

Our safety culture is founded upon these guiding principles:

- J The team at SacRT relies on a high degree of trust and respect between staff and management. Everyone at SacRT has my promise that they will be supported in all decisions made in the interest of safety.
- J SacRT embodies a positive safety culture that is fostered by management and shared by all employees. This positive safety culture is critical for the effective operation of our Safety Management System.
- J SacRT recognizes safety as one of the organization's primary core values and is continually promoted by the senior management team.
- J The ongoing pursuit of an accident-free workplace, including no harm to people and no damage to equipment, the environment or property.

### **Non-Punitive Reporting Policy**

SacRT embodies a culture of open reporting of all safety hazards in which management will not initiate disciplinary action against any personnel who, in good faith, discloses a hazard or safety occurrence due to unintentional conduct. This policy applies to all personnel acting in accordance with agency procedures and/or regulations. Personnel willfully acting outside of stated agency policy, regulations, or in commission of criminal acts will be subject to appropriate disciplinary action.

### **Summary**

Public Transportation Agency Safety Plan (PTASP) is a vital tool to link safety through all elements of our operations with clear direction and visibility, allowing us to maintain the high level of safety we all take pride in. As the SacRT PTASP evolves, we will maintain an open and constructive working environment that supports continuous improvement and operational excellence throughout all levels of our organization.

---

Henry Li

General Manager

Date:



Public Transportation Agency Safety Plan

**SacRT Board of Directors Approval**

(Adoption Anticipated October 2020)



## Public Transportation Agency Safety Plan

### Introduction to Sacramento Regional Transit System

#### *Overview*

SacRT is governed by an 11-member Board of Directors comprised of members of the Sacramento, Citrus Heights, Elk Grove, Folsom and Rancho Cordova city councils as well as the Sacramento County Board of Supervisors.

#### **General Overview and History of SacRT**

SacRT is divided into nine (9) divisions: Operations, Administrative Services/EEO, Finance, Marketing and Communications, Facilities & Business Support Services, Engineering and Construction, Planning/Transit System Development, Legal, and Security, Safety, and Customer Satisfaction.

The Public Transportation Safety Agency Plan (PTASP) applies to all organizational units affecting, or affected by, the SacRT Light Rail system throughout operations and maintenance phases. The PTASP addresses SacRT rail system planning, design, construction, procurement, installation, pre-revenue testing, safety certification and startup. The Security and Emergency Preparedness Program Plan (SEPPP) is a separate program and is handled by SacRT's Police Services Department for issues pertaining to security.

SacRT employs a work force of approximately 1,300 people, 80 percent of whom are dedicated to front-line operations and maintenance of the bus and light rail systems. SacRT operates seven maintenance and operations facilities: one for bus, three for Community Bus Services (Folsom Stage Line, SmARt Ride and SacRT GO) and two locations for light rail. SacRT also operates and maintains e-tran and e-van services in the City of Elk Grove

The Sacramento Regional Transit District (SacRT) operates 30 fixed routes, 19 commuter routes, 17 seasonal routes in addition to nine SmARt Ride on-demand microtransit service zones, ADA paratransit service (SacRT GO), Airport Express bus service (temporarily suspended due to ridership impacts from the COVID-19 pandemic), UC Davis service (Causeway Connection), and 43 miles of light rail that covers a 400 square-mile service area.

SacRT buses and light rail trains operate 365 days a year using 97 light rail vehicles, 186 buses powered by compressed natural gas (CNG), six zero emission electric buses, 26 shuttle buses powered by CNG, nine zero emission electric shuttle buses, and 120 ADA paratransit vehicles. Buses operate daily from 5 a.m. to 11 p.m. every 12 to 60 minutes, depending on the route. Light rail trains begin operation at 4 a.m. with service every 15 minutes during the day, and every 30 minutes in the evening and on weekends. Blue Line and Gold Line trains operate until approximately 12:30 a.m. and the Gold Line to Folsom operates until 11:30 p.m. Green Line trains operate every 30 minutes Monday through Friday from approximately 6 a.m. to 8:30 p.m. (no weekend or holiday service).

Passenger amenities include 52 light rail stations, 30 bus and light rail transfer centers and 22 park-and-ride lots. SacRT also serves over 3,100 bus stops throughout Sacramento County.

Annual ridership has fluctuated recently on both bus and light rail systems and has grown from 14 million passengers in 1987 to over 21 million passengers in FY19. Weekday light rail ridership averages approximately 37,500 passengers per day. Bus weekday ridership has reached an average of approximately 35,000 passengers per day (note: during the COVID-19 pandemic due to shelter in



## Public Transportation Agency Safety Plan

place orders, distance learning and telecommuting, ridership is averaging around 40% and growing every month).

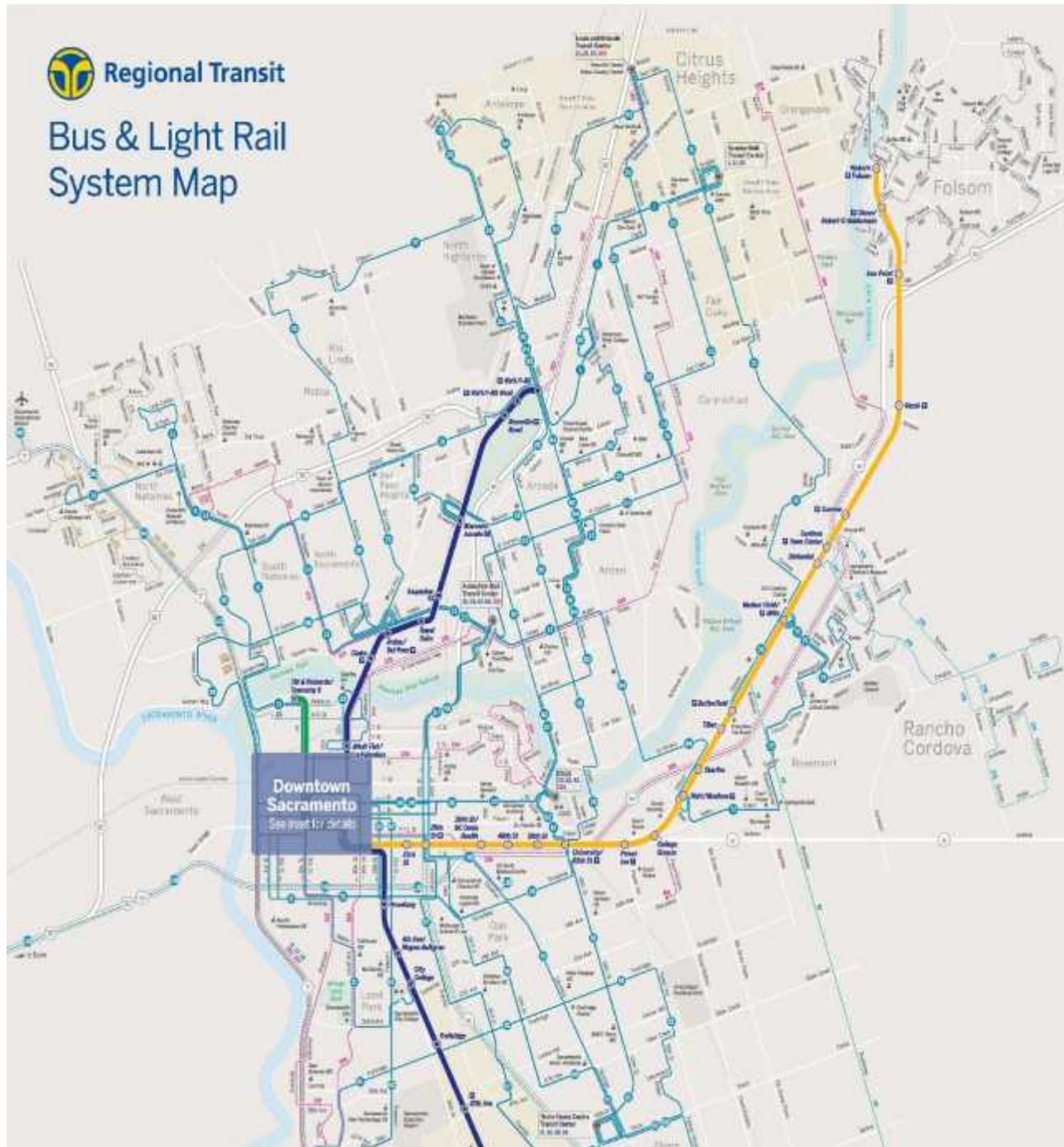
SacRT's entire bus and light rail system is accessible to the disabled community. SacRT GO paratransit service also provides a door-to-door transportation service (in accordance with its responsibilities under the Americans with Disabilities Act) for Sacramento area residents who are unable to use fixed-route service.

With a total of nine active SmaRT Ride service zones, SacRT is the largest microtransit provider in the country, operating with 45 shuttle buses. SmaRT Ride service is on-demand using an app, website or phone, and operates in the communities of Arden, Carmichael, Citrus Heights, Downtown-Midtown-East Sacramento, Folsom, Franklin- South Sacramento, Gerber-Calvine, North Sacramento and Rancho Cordova, with a focus on serving disadvantaged communities.

The Causeway Connection electric bus service operates Monday through Friday from 5:30 a.m. to 8:50 p.m. between the cities of Davis and Sacramento. When in service, the Airport Express bus operates from downtown Sacramento to the Sacramento International Airport every 20/30 minutes, seven days a week.

*Operations*

**The operational SacRT Rail System Map:**





**Blue Line**

Trains stop at every station on the Blue Line and travel the entire line between the Watt/I-80 Station and the Cosumnes River Station. Minimum scheduled headways are 30 minutes. Maximum scheduled headways are 15 minutes during peak hours. Service is provided from 3:53AM to 12:59 AM weekdays, 5:26 AM to 12:59 AM Saturdays, 4:57 AM to 10:59 PM on Sundays and holidays.

**Gold Line**

Trains stop at every station and travel the entire line between the Sacramento Valley Station at Amtrak and the Historic Folsom Station. Minimum scheduled headways are 30 minutes. Maximum scheduled headways are 15 minutes during peak hours. Service is provided from 3:49 AM to 12:25 AM weekdays, 4:49 AM to 12:25 AM on Saturdays, and 4:50 AM to 10:25 PM on Sundays and holidays.

**Green Line**

Trains stop at every station on the Green Line and travel the entire line between the Township 9 Station and the 13th Street Station. Scheduled headways are 30 minutes and service is provided from 5:59 AM to 8:49 PM on weekdays only. There is no Saturday, Sunday or holiday service.

## Public Transportation Agency Safety Plan

### Definitions:

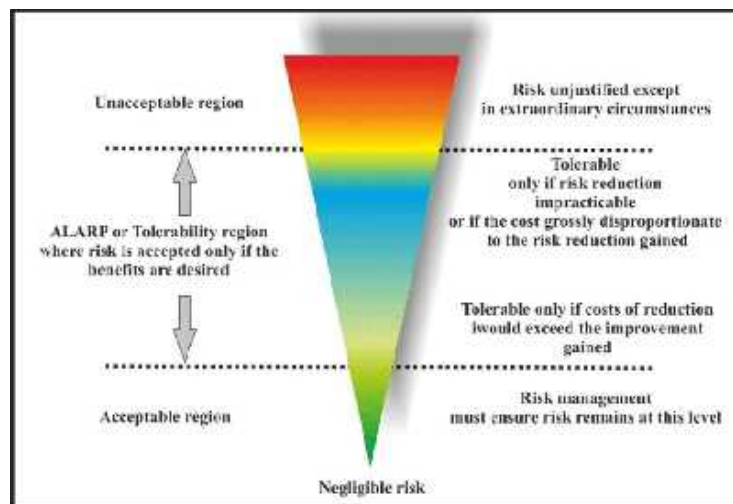
*Accident* means an Event that involves any of the following: A loss of life; a report of a serious injury to a person; a collision of public transportation vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

*Accountable* The one ultimately answerable for the correct and thorough completion of the deliverable or task, the one who ensures the prerequisites of the task are met and who delegates the work to those responsible. An accountable must sign off or approve work that responsible provides. There must be only one accountable specified for each task or deliverable.

*Accountable Executive* means a single, identifiable person who has ultimate responsibility and accountability for the implementation and maintenance of the Public Transportation Agency Safety Plan (PTASP) of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management (TAM) Plan; and control or direction over the human and capital resources needed to develop and maintain both plans.

*Application Program Interface (API)* is a computing interface exposed by a software program, library, operating system or internet service, to allow third parties to use the functionality of that software application.

*As Low as Reasonably Practicable (ALARP)* is a term often used in the regulation and management of safety-critical and safety-involved systems. The ALARP principle is that the residual risk shall be reduced as far as reasonably practicable.



*California Highway Patrol (CHP)* inspects and oversees bus vehicle safety, and operator licensing.

*California Public Utilities Commission (CPUC)* serves as the State Safety Oversight Agency (SSOA) for the FTAs rail-related operations.

*Certifiable Elements List* means a list that contains all facilities, systems, rail at-grade crossings, and other items that are subject to safety certification due to their safety functions.

*Chief Safety Officer* means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the



## Public Transportation Agency Safety Plan

Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in 49 CFR Part 673, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

*Consult* Those whose opinions are sought, typically subject-matter experts; and with whom there is two-way communication.

*Contractor* means an entity that performs tasks required on behalf of the Commission or Rail Transit Agency (RTA).

Corrective Action Plan (CAP) means a plan developed by an RTA that describes the actions the RTA will take to minimize, mitigate, control, correct, or eliminate hazards, and the schedule for implementing those actions.

*Event* means any Accident, Incident, or Occurrence.

*Existing Industry Standards* means the currently accepted industry and professional engineering standards and/or guidelines relating to the design, construction, operation, and maintenance of Rail Fixed Guideway Systems such as ANSI, APTA, AREMA, ASCE, ASEE, ASME, FRA, FTA, IEEE, NFPA, and others.

*FRA* means the Federal Railroad Administration.

*FTA* means the Federal Transit Administration.

*General Orders* means rules established by the California Public Utilities Commission (CPUC).

*Hazard* means any real or potential condition (as defined in the RTA's hazard management process) that can cause injury, illness, or death; damage to or loss of a system, equipment or property; or damage to the environment.

*Hazard Analysis* means any analysis performed to identify hazards or safety risks for the purpose of their elimination, mitigation, or control.

*Incident* means an event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

*Individual* means a passenger; employee; contractor; other rail transit facility worker; pedestrian; trespasser; or any person on rail transit-controlled property.

*Inform* Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

*Integrated Risk Identification System (IRIS)* means a centralized data collection software that collects identified safety risk throughout SacRT. The identified safety risks are then assessed and evaluated based upon the severity and probability.

*Investigation* means the process used to determine the causal and contributing factors of an accident or hazard, so that actions can be identified to prevent recurrence.

*Light Rail Vehicle (LRV)* means a vehicle type with motive capability, driven by electric power taken from overhead lines, and configured for passenger traffic.

*Mainline* means all tracks used for the purpose of the movement of passengers on rail transit vehicles. Mainline does not include storage tracks, yard tracks or other tracks used for the purpose of storage.





## Public Transportation Agency Safety Plan

*Major Projects (Projects)* means new rail systems or extensions, the acquisition and integration of new vehicles and safety critical technologies into existing service or major safety critical redesign projects, excluding functionally and technologically similar replacements.

*Occurrence* means an Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

*Operation and Maintenance (O&M) Manual* contains the information required for the operation, maintenance, repair, and decommissioning of equipment, building, or a facility.

*Organizational Safety Procedures (OSPs)* means agency-wide procedures which define the agency's safety objectives and the accountabilities and responsibilities regarding managing specific safety risks.

*Outlier* means a data point that differs significantly from other observations. An outlier may be due to variability in the measurement or it may indicate error; the latter are sometimes excluded from the data set.

*Passenger* means a person who is on board, boarding, or alighting from a rail transit vehicle for the purpose of travel.

*Performance Criteria* means categories of measures indicating the level of safe performance within a transit agency.

*Performance target* means a specific level of performance for a given performance measure over a specified timeframe.

*Person* means any individual.

*Personal Electronic Device (PED)* means any wireless or portable electronic device. This includes, but is not limited to, wireless phones, personal digital assistants, smart phones, two-way pagers, portable internet devices, laptop computers, DVD players, audio players, iPods, MP3 players, games, Bluetooth devices, or any headphones or earbuds. The following devices are excluded from this definition:

1. RTA-owned licensed radio communication equipment such as cab mounted or portable two-way radios with channels dedicated solely for RTA operations.
2. Electronic or electrical devices prescribed by a licensed medical practitioner to permit an employee to meet minimum levels of hearing ability as required by the RTA or contractor.
3. Roadway worker protection devices.

*Public Transportation Agency Safety Plan (PTASP)* means the overarching organization-wide document that contains safety management processes. The PTASP utilizes safety management system (SMS) processes to achieve the objectives defined. The PTASP and SMS may be used interchangeably.

*Rail Fixed Guideway System (RFGS)* means any light, heavy, or rapid rail system, monorail, inclined plane, funicular, trolley, cable car, automatic people mover, or automated guideway transit system used for public transit and not regulated by the FRA or not specifically exempted by statute from Commission oversight.

*Rail Transit Agency (RTA)* means the entity that plans, designs, constructs, and/or operates a RFGS.

*Rail Transit-Controlled Property* means property that is used by the RTA and may be owned, leased, or maintained by the RTA.



## Public Transportation Agency Safety Plan

*Rail Transit Vehicle* means an RTA's rolling stock, including but not limited to passenger and maintenance vehicles.

*Responsible* Those who do the work to complete the task. There is at least one role with a participation type of *responsible*, although others can be delegated to assist in the work required. .

*Risk Assessment Code (RAC)* means assessed risks are expressed as a RAC, which is a combination of one severity category and one probability level. The RAC provides a rating to classify the safety risk that is present.

*Risk-based decision making* provides a process to ensure that optimal decisions, consistent with the goals and perceptions of those involved are reached. This process ensures that all available information is considered and used as appropriate to the decision at hand.

*Risk elimination* means a method or methods to remove the hazard or the effects of hazards.

*Risk mitigation* means a method or methods to reduce the effects of hazards.

*Safety* means freedom from harm resulting from unintentional acts or circumstances.

*Safety Certification* means the series of acts or processes that collectively verify the safety readiness of a Project for public use.

*Safety Certification Plan (SC Plan)* means a Project-specific document developed by a RTA, which ensures that elements critical to safety are planned, designed, constructed, analyzed, tested, inspected, and implemented, and that employees are trained and rules and procedures followed, in compliance with RFGS and regulatory safety requirements.

*Safety Certification Verification Report (SCVR)* means a Project-specific document that will be the final certificate of compliance verifying that the Project complies with all safety requirements identified by an RTA's SC Plan.

*Safety Design Criteria* means the organized listing of safety codes, regulations, rules, design procedures, existing industry standards, recommended practices, analyses, handbooks and manuals prepared to provide guidance to Project designers in development of technical specifications that meet minimum safety parameters.

*Security* means freedom from harm resulting from intentional acts or circumstances.

*Staff* means Commission employees responsible for safety oversight of RTAs.

*Safety Management Procedures* means department level documented task specific processes defining how safety risks will be managed in accordance with the Organizational Safety Procedures (OSP). Safety management procedures are typically appendices to Organizational Safety Procedures.

*Safety Management System (SMS)* means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards. May be used interchangeably with PTASP.

*Safety Performance Target* means a Performance Target related to safety management activities.

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



## Public Transportation Agency Safety Plan

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

*Safety Risk Evaluation* means the formal activity to determine Safety Risk Management priorities by establishing the significance or value of its safety risks.

*Safety Risk Management* means process within the Safety Management System for identifying hazards and analyzing, assessing, and mitigating safety risk.

*Serious Injury* means any injury which:

1. Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received;
2. Results in a fracture of any bone, excluding simple fractures of fingers, toes, or nose;
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, as estimated using the "Rule of Nines".

*State of Good Repair (SGR)* means the condition in which a capital asset can operate at a full level of performance.

*Subject Matter Expert (SME)* is an individual with a deep understanding of, and wealth of experience in, a particular job, process or technology.

*System Security Plan (Security Plan)* means a document adopted by an RTA detailing its security policies, objectives, responsibilities, and procedures.

*Transit Asset Management (TAM) Plan* means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation.



## Public Transportation Agency Safety Plan

# Safety Policy





## Safety Policy

Safety Management Policy component is divided into four components:

- ) Safety Management Policy Statement
- ) Employee Safety Reporting Program
- ) Safety Policy Communication
- ) Safety Accountabilities and Responsibilities

### 1.1 *Safety Management Policy Statement*

SacRT's accountable executive, management, and staff recognizes that safety is a core value of the organization. SacRT is committed to ensure that all employees are proactive in minimizing risk of injury or incident and will ensure that no disciplinary action will be taken against any employee for reporting an incident or a safety hazard to the agency's management, while acting in accordance with agency procedures and regulations. SacRT will maintain an open and constructive working environment that supports continuous improvement of operational excellence throughout all levels of SacRT.

The purpose of the Public Transportation Agency Safety Plan (PTASP) and Organizational Safety Policies (OSPs) is to manage identifiable risks proactively and effectively. This is done by:

- ) Establishing safety policy, procedures and requirements that integrate safety in SacRT decision making and operations;
- ) Identifying and managing risks related to safety;
- ) Obtaining consistent and optimal human and organizational performance;
- ) Establishing open lines of communication related to safety issues with anyone with whom the organization exchanges services; and
- ) Actively seeking feedback on and improving the organizations safety management activities.

An important part of ensuring that the PTASP is effective is setting out performance goals and measuring the performance of the safety management system relative to those goals. The performance goals of the SacRT PTASP are as follows:

- ) Identify internal trends relative to safety and review these trends to monitor safety related hazards.
- ) Maintain assigned time frames for managing safety related events and their associated corrective actions.
- ) Perform required audits and reviews on a timely basis to ensure the SacRT's continued ability to carry out its activities effectively and safely.
- ) Continuously improve safety within the organization's operations.
- ) Continuously monitor the safety management system for areas of improvement and implement changes as required.

SacRT's Safety Management Policy is communicated to all personnel, management, executives, contractors, and to the Board of Directors.



## Public Transportation Agency Safety Plan

### 1.1.1 Scope and Applicability

The PTASP Plan applies to all of SacRT's transportation system modes including: the two fixed-route bus system modes - motor coaches and Community Bus Services (CBS); the two demand-response modes - SacRT GO and SmarT Ride; and light rail operations and maintenance.

The PTASP Plan defines SacRT's technical and managerial safety activities of our transit system. The PTASP Plan applies to all organizational units affecting, or affected by, the SacRT bus and rail systems from planning through the operations and maintenance phases. Management's compliance with the PTASP Plan ensures that its goals and objectives are achieved.

The PTASP Plan demonstrates SacRT's commitment to safety by identifying programs and processes that minimize all safety events. This PTASP Plan complies with the requirements of 49 Code of Federal Regulations Parts 672, 673 and 674, issued by the Federal Transit Administration (FTA), as well as General Order 164 (Current Series), CPUC RTSB Program Standard, issued by the California Public Utilities Commission (CPUC).

### 1.1.2 Objectives

The following are the objectives of the Public Transportation Agency Safety Plan:

- J Identify, eliminate, and/or control hazards and their associated risks using safety management system processes.
- J Provide a level of safety in transit services that meets, and strives to exceed, industry standards and practices.
- J Improve safety communication throughout the agency.
- J Continuously improve safety of our transportation system by incorporating innovative technologies and improved efficiencies.
- J Achieve Vision Zero by eliminating all transit related traffic deaths.
- J Ensure regulatory compliance.
- J Provide a uniform frame of reference and accountability.

### 1.1.3 Manual Structure

The manual is structured with three interconnected components:

1. Public Transportation Agency Safety Plan (PTASP) defines the following:
  - a. The safety data and processes to collect it;
  - b. The processes used to report safety risks;
  - c. The processes to evaluate safety risks;
  - d. The processes to mitigate or eliminate the safety risks; and
  - e. How safety information is communicated throughout the organization.
2. The Organizational Safety Policies (OSPs):
  - a. The overarching organization-wide collection of documents containing safety policies;



## Public Transportation Agency Safety Plan

- b. The policies are developed and maintained by the Safety Department; and
  - c. Departmental safety procedures are appendices to the OSPs. The departmental safety procedures require review and approval by the Safety Department.
3. Departmental Safety Procedures:
- a. The task-specific procedures define how each department will meet the policies defined in the PTASP and OSP.
  - b. The Departmental Safety Procedures will be used as appendices to the OSPs.

The Security and Emergency Preparedness Program Plan (SEPPP) is a separate program and is handled by SacRT's Police Services Department for issues pertaining to security.

### **1.1.4 Public Transportation Agency Safety Plan**

SacRT's PTASP establishes accountability and responsibility at the top levels of the organization, evidenced by the SacRT Board's approval and the General Manager's commitment to allocate necessary resources to sustain and improve SacRT's safety culture. This PTASP explains each organizational unit's function within the larger SacRT transportation system and how accountability for safety is integrated throughout the organization. This PTASP also describes the four SMS components integral to the successful implementation of PTASP within SacRT: Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

This plan is designed to comply with 49 CFR Part 673, Part 674, and CPUC General Orders.

SacRT's Safety Management Policy component is divided into four elements:

- ) Safety Management Policy Statement
- ) Employee Safety Reporting Program
- ) Safety Policy Communication
- ) Safety Accountabilities and Responsibilities

SacRT's Safety Risk Management component includes three sub-elements:

- ) Safety Hazard Identification
- ) Safety Risk Assessment
- ) Safety Risk Mitigation

SacRT's Safety Assurance component includes three sub-elements:

- ) Safety Performance Monitoring and Measurement
- ) Management of Change
- ) Continuous Improvement

SacRT's Safety Promotion component includes the following sub-elements:

- ) Safety Risk Communication
- ) SSOA Communication



## Public Transportation Agency Safety Plan

- J Safety Management System Committees
- J Hazard Resolution Fire Life Safety Committee
- J Public Safety Training
- J Drug and Alcohol Program
- J Safety Competency and Training Program
- J Safety Communication

### 1.1.5 Organizational Safety Policies (OSPs)

The OSP is the overarching organization-wide document containing safety policies. The policies are developed and maintained by the Safety Department

Departmental safety procedures are appendices to the OSPs. The departmental safety procedures require review and approval by the Safety Department.

The following procedures are part of the OSP:

Procedure Name	Purpose	Procedure Developer
Event Investigation Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities for accident investigation.</li> <li>J Identification of factors that caused or contributed to the accident and setting forth a Corrective Action Plan (CAP) as appropriate.</li> <li>J Compliant with 49 CFR Parts 673, 674, CPUC GO-164 (current series).</li> </ul>	Safety Department
Aerial Work Platform Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding aerial work platforms.</li> <li>J Describes procedure for safe use and operation of aerial work platform.</li> <li>J Compliant with applicable Title 8 California Code of Regulations requirements.</li> </ul>	Safety Department
Asbestos Awareness Procedure	<ul style="list-style-type: none"> <li>J Establishes requirements on controlling asbestos exposure in order to protect employees and contractors.</li> <li>J Compliant with applicable Title 8</li> </ul>	Safety Department





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Procedure Name	Purpose	Procedure Developer
	California Code of Regulations requirements, and Environmental Protection Agency (EPA).	
Bloodborne Pathogen and Infection Prevention Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities during blood and/or bodily fluid clean up.</li> <li>J Minimize the safety and health hazards and risk to personnel related to bloodborne pathogens and infection.</li> <li>J Compliant with applicable Title 8 California Code of Regulations, and Health and Safety Code requirements.</li> </ul>	Safety Department
Business Continuity and Recovery Plan	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities during emergencies.</li> <li>J Defines the coordination with Federal, State, Regional, and Local Officials regarding emergency preparedness response.</li> <li>J Describes the emergency preparedness evaluation process.</li> <li>J This document meets the requirements of 49 CFR Part 673.11.</li> </ul>	Safety Department
Confined Space Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding confined space entry.</li> <li>J Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Contagious Disease Response Plan	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding contagious disease response.</li> <li>J Describes the contagious disease response process.</li> <li>J Defines the coordination with Federal, State, Regional, and Local Officials regarding contagious</li> </ul>	Safety Department



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Procedure Name	Purpose	Procedure Developer
	disease response.	
Electrical Worker Safety Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding electrical worker safety.</li> <li>J Minimize the safety and health hazards and risk to personnel related to discharge of electrical energy when working within the arc flash boundary distance.</li> <li>J Provide a uniform frame of reference for work on or near energized conductors or equipment.</li> <li>J Compliant with applicable Title 8 California Code of Regulations, and NFPA 70E Standards.</li> </ul>	Safety Department
Fall Protection Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding fall protection requirements.</li> <li>J Compliant with Title 8 California Code of Regulations.</li> </ul>	Safety Department
Fire Prevention Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding fire prevention.</li> <li>J Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Hazard Communication Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding hazard communication.</li> <li>J Describes the process for hazard communication.</li> <li>J Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Hazardous Materials Management Procedure	<ul style="list-style-type: none"> <li>J Defines roles and responsibilities regarding management of hazardous materials.</li> <li>J Describes how to manage hazardous materials.</li> <li>J Compliant with applicable Title 8 California Code of Regulations,</li> </ul>	Safety Department



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Procedure Name	Purpose	Procedure Developer
	Title 40 Environmental Protection Agency, Title 49 Department of Transportation.	
Hearing Conservation Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding hearing conservation.</li> <li>) Describes the process for hearing conservation.</li> <li>) Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Heat Illness Awareness and Prevention Plan	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding heat illness awareness and prevention.</li> <li>) Describes the process for heat illness communication, awareness, prevention.</li> <li>) Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Hot Work Procedure	<ul style="list-style-type: none"> <li>) Minimize the safety and health hazards and risk to personnel related hot work.</li> <li>) Describes the process during work involving hot work.</li> <li>) Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Illness and Injury Prevention Plan (IIPP)	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding illness and injury prevention.</li> <li>) Compliant with applicable Title 8 California Code of Regulations, Labor Code, and Penal Code.</li> </ul>	Safety Department
Job Hazard Analysis Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding workplace hazard evaluation and analysis.</li> <li>) Describes the process for analyzing, and communication of workplace hazard(s).</li> <li>) Compliant with applicable Title 8</li> </ul>	Safety Department



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Procedure Name	Purpose	Procedure Developer
	California Code of Regulations.	
Ladder Safety Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding ladder safety.</li> <li>) Describes procedures regarding safe use of ladders.</li> <li>) Compliant with applicable Title 8 California Code of Regulations.</li> </ul>	Safety Department
Lock-Out/Tag-Out Procedure (LO/TO)	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding LO/TO.</li> <li>) Minimize the safety and health hazards and risk to personnel related to hazardous energy sources.</li> <li>) Provide a uniform frame of reference when performing LO/TO.</li> <li>) Compliant with applicable Title 8 California Code of Regulations, and NFPA 70E Standards.</li> </ul>	Safety Department
Operations and Maintenance Procedure for Paint Shops	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding operations and maintenance of the Paint Shops.</li> <li>) Minimize the safety and health hazards and risk to personnel related to hazardous materials used when painting.</li> <li>) Provide a uniform frame of reference when operating and maintaining the Paint Shops.</li> <li>) Compliant with applicable Title 8 California Code of Regulations, and Sacramento Metropolitan Air Quality Management District (SMAQMD).</li> </ul>	Safety Department
Personal Protective Equipment (PPE) Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding PPE.</li> <li>) Describes procedure to ensure</li> </ul>	Safety Department



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Procedure Name	Purpose	Procedure Developer
	<p>appropriate PPE is available to the workers, when required.</p> <p>) Compliant with applicable Title 8 California Code of Regulations.</p>	
Powered Industrial Truck Procedure	<p>) Defines roles and responsibilities regarding powered industrial truck.</p> <p>) Describes procedure for safe use and operation of powered industrial trucks.</p> <p>) Compliant with applicable Title 8 California Code of Regulations.</p>	Safety Department
Respiratory Protection Plan	<p>) Defines roles and responsibilities regarding respiratory protection.</p> <p>) Describes procedure for respiratory protection.</p> <p>) Compliant with applicable Title 8 California Code of Regulations.</p>	Safety Department
Safety Certification Procedure	<p>) Certification process to ensure safety concerns and hazards are adequately addressed prior to initiation of passenger operations for major projects and modifications.</p>	Safety Department
Scaffold Procedure	<p>) Defines roles and responsibilities regarding scaffold requirements.</p> <p>) Describes procedure for safe use of scaffold.</p> <p>) Compliant with applicable Title 8 California Code of Regulations.</p>	Safety Department
Silica Hazard Awareness and Control Procedure	<p>) Defines roles and responsibilities regarding silica hazard awareness and control.</p> <p>) Minimize the safety and health hazards and risk to personnel related to silica exposure.</p> <p>) Compliant with applicable Title 8</p>	Safety Department



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Procedure Name	Purpose	Procedure Developer
	California Code of Regulations.	
Spill Prevention, Control, and Countermeasures Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding spill prevention, control and countermeasures.</li> <li>) Describes procedure for spill prevention, control, and countermeasure.</li> <li>) Compliant with applicable Title 24 California Code of Regulations, Health and Safety Code, and STI SP001.</li> </ul>	Safety Department
Universal Waste Management Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding management of universal waste.</li> <li>) Describes how to properly manage universal waste.</li> <li>) Compliant with applicable Title 8 California Code of Regulations, Title 40 Environmental Protection Agency, Title 49 Department of Transportation.</li> </ul>	Safety Department
Worker Protection Standard Procedure (EPA)	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding worker protection.</li> <li>) Describes procedures for worker protection.</li> </ul>	Safety Department

The following policies and procedures are incorporated by reference to the OSP. These documents are developed and managed by other departments. This includes:

Procedure Name	Purpose	Procedure Developer
Basic Bus Operator's Training	) Describe basic safe operations of a bus.	Bus Operations
Basic LRV Operator's Training	) Describe basic safe operations of a light rail vehicle.	Light Rail Operations
Bus Maintenance Standard Operating Procedures,	) Describe procedures to ensure safe work procedure for	Bus Maintenance

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Procedure Name	Purpose	Procedure Developer
Bulletins, Rules, and Notices	<ul style="list-style-type: none"> <li>maintaining buses.</li> <li>) Provide a uniform frame of reference performing maintenance on bus.</li> <li>) Provide a uniform communication.</li> <li>) Compliant applicable California Code of Regulations, California Highway Patrol, and Federal Transit Agency.</li> </ul>	
Coach Operator Rule Book	<ul style="list-style-type: none"> <li>) Describe basic safe operations of a bus.</li> <li>) Compliant with applicable California Code of Regulations.</li> </ul>	Bus Operations Community Bus Service (CBS) SacRT GO SmaRT Ride e-Trans
Change Review Committee	<ul style="list-style-type: none"> <li>) Identifies internal and external sources of change;</li> <li>) Documentation of communication and coordination activities</li> <li>) Use of documented field activities to help identify changes in the operational environment that may not have been planned;</li> <li>) Develop criteria to identify and determine the extent of changes in the operational environment that would trigger the initiation of management of change activities;</li> <li>) Documented criteria ensuring information regarding management of change activity is distributed to all relevant service delivery functions.</li> </ul>	Engineering Department
Defensive Driving	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding defensive driving.</li> <li>) Describe procedures to ensure defensive driving when driving a company vehicle.</li> </ul>	Operations Trainers
Drug and Alcohol Program	<ul style="list-style-type: none"> <li>) Policies and Procedures to ensure compliance with 49 CFR Part 655</li> </ul>	Labor Relations



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Procedure Name	Purpose	Procedure Developer
	for safety sensitive personnel.	
Facilities and Equipment Safety Inspection Program	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding facilities maintenance.</li> <li>) Provide a uniform frame of reference when performing facilities maintenance.</li> </ul>	Facilities Maintenance
LRV Operations Standard Operating Procedures, Bulletins, and Notices	<ul style="list-style-type: none"> <li>) Describe procedures to ensure worker, contractor, and public safety on the right-of-way.</li> <li>) Provide a uniform frame of reference when operating a light rail vehicle.</li> <li>) Provide a uniform communication.</li> <li>) Compliant with applicable CPUC General Order requirement.</li> </ul>	Light Rail Operations
Light Rail Vehicle (LRV) Maintenance Standard Operating Procedures, Bulletins, Rules, and Notices	<ul style="list-style-type: none"> <li>) Describe procedures to ensure safe work procedure for maintaining the light rail vehicles.</li> <li>) Provide a uniform frame of reference performing maintenance on a light rail vehicle, camera, and recording devices.</li> <li>) Provide a uniform communication.</li> <li>) Compliant with applicable CPUC General Order requirement.</li> </ul>	LRV Maintenance
Maintenance of Way Standard Operating Procedures, Bulletins, and Notices	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding maintenance of way.</li> <li>) Provide a uniform frame of reference when performing maintenance of way.</li> <li>) Compliant with applicable CPUC General Order requirements.</li> </ul>	Wayside Department
On-Track Safety Procedure	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding on-track safety.</li> <li>) Describes procedures to ensure worker, and contractor safety</li> </ul>	Wayside Department





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Procedure Name	Purpose	Procedure Developer
	<p>when work on or near the tracks.</p> <ul style="list-style-type: none"> <li>) Compliant with applicable CPUC General Order.</li> </ul>	
<p>Operation and Maintenance (O&amp;M) Manuals</p>	<ul style="list-style-type: none"> <li>) Contains the information required for the operation, maintenance, repair, and decommissioning of equipment, building, facility, and the development of operational rules and procedures.</li> </ul>	<p>Various Departments</p>
<p>Personal Electronic Device (PED) Procedure</p>	<ul style="list-style-type: none"> <li>) Defines devices which fall under PED.</li> <li>) Describes prohibited use of PED when operating full size bus, CBS bus, light rail vehicle, or any on-track maintenance vehicle while high-railed.</li> <li>) Compliant with applicable CPUC General Order requirement, and California Vehicle Code (CVC).</li> </ul>	<p>Transportation Departments</p>
<p>Procurement Procedure</p>	<ul style="list-style-type: none"> <li>) Measures, controls, and assurances in place to ensure safety principles and requirements, and designated representative are included in the procurement process.</li> </ul>	<p>Procurement Department</p>
<p>Regional Transit Rail Operation Rule book – Light Rail Employees</p>	<ul style="list-style-type: none"> <li>) Describe procedures to ensure worker, contractor, and public safety on the right-of-way.</li> <li>) Provide a uniform frame of reference when operating a light rail vehicle.</li> <li>) Compliant with applicable CPUC General Order requirements.</li> </ul>	<p>Light Rail Operations</p>
<p>Roadway Worker Protection Procedure</p>	<ul style="list-style-type: none"> <li>) Defines roles and responsibilities regarding roadway worker protection.</li> <li>) Describes procedures to ensure worker, and contractor roadway</li> </ul>	<p>Wayside Department</p>

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Procedure Name	Purpose	Procedure Developer
	<p>protection.</p> <p>) Compliant with applicable CPUC General Order.</p>	
SacRT Personnel Policy Manual	<p>) Provide a uniform frame of reference for SacRT personnel.</p> <p>) Compliant with applicable Title 8 California Code of Regulations, and Public Utilities Code.</p>	Human Resources
SacRT Organization Chart	<p>) Illustrate the roles, responsibilities, and chains of command within the organization.</p>	Office of the General Manager
SacRT System Overview	<p>) Organizational structure is clearly defined and includes:</p> <ul style="list-style-type: none"> <li>o History and scope of service;</li> <li>o Physical characteristics of operations.</li> </ul>	Communication Department
SacRT Records Retention Policy	<p>) Defines the retention period for all documents, records, and files related to SacRT administration and operations.</p>	Office of the General Counsel
Security and Emergency Preparedness Program Plan (SEPPP)	<p>) Incident management systems, and external plans for coordinating with local law enforcement, other local responders, local planning agencies, and state or federal agencies.</p> <p>) The basic principles and concepts are applicable to all emergency situations.</p> <p>) Annual exercises are used to evaluate emergency preparedness, and document performance findings.</p>	SacRT Police Services



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### **1.1.6 Record Keeping**

SacRT will maintain PTASP documentation and ensure that all documentation will be maintained for a period of no less than four (4) years after they are created. These documents must be made available upon request by the Federal Transit Administration or other Federal entity, or a State Safety Oversight Agency having jurisdiction in compliance with §673.31. This is in compliance with SacRT Records Retention Policy.

### **1.1.7 Changes to Manual**

The PTASP will be reviewed and reaffirmed or updated annually. This process will be facilitated by the Safety Department. Departments may recommend changes throughout the year when the need for a change is identified. All SacRT employees may submit proposed PTASP changes to their department management. Department Heads will submit proposed changes to the Safety Department.

The Safety Department is responsible for the preparation, maintenance and updating of the PTASP. The Safety Department will maintain SMS documentation and ensure that all SMS documentation will be maintained for a period of no less than four years after they are created. Changes to this PTASP that are urgent in order to meet regulatory compliance can be made by the position fulfilling the Chief Safety Officer role in concurrence with the approval of the General Manager/CEO. The annual review will be completed by the fourth quarter of each calendar year, and will be ready for SacRT Board of Director's approval by January of the following year.

Any change to the PTASP requires:

- J SacRT must notify the CPUC, by letter, before February 15<sup>th</sup> of each year, and certify the PTASP will be modified or updated. This will be done in compliance with CPUC GO 164 (current series).
- J Review and acceptance of the planned changes by the California Public Utilities Commission.
- J Acceptance by the SacRT Board of Directors.
- J Management of change is required for each department impacted to ensure personnel have the knowledge, skills, and supporting procedures to succeed.

## **1.2 Employee Safety Reporting System**

### **1.2.1 Reporting**

All personnel are encouraged and required to report safety risks they encounter during their work activities.

### **1.2.2 Non-Punitive Reporting**

SacRT embodies a culture of open reporting of all safety hazards in which management will not initiate disciplinary action against any personnel who, in good faith, discloses a hazard or safety occurrence due to unintentional conduct.

This applies to all personnel acting in accordance with agency procedures and/or regulations.



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### 1.2.3 Exempted Actions

Personnel willfully acting outside of stated agency policy, procedures, regulations, or in commission of criminal acts will be subject to appropriate disciplinary action.

### 1.2.4 Right to Refuse Dangerous Work and Good Faith Challenge

Personnel that believe working conditions are unsafe or unhealthful should:

- J Inform their Supervisor of the need to correct the hazard, or to assign other work;
- J Advise the Supervisor that you cannot perform the work unless and until the hazard is corrected;
- J Report the event through the reporting portal;
- J Contact the Safety Department; and
- J Remain at the worksite until directed otherwise.

Your right to refuse to do a task is protected if all of the following conditions are met:

- J Where possible, you have asked for the danger to be eliminated, and the condition was not corrected; and
- J You refused to work in "good faith." This means that you must genuinely believe that an imminent danger exists; and
- J A reasonable person would agree that there is a real danger of death or serious injury; and
- J There isn't enough time, due to the urgency of the hazard, to get it corrected through regular reporting procedures.
- J Personnel working in light rail operations, wayside maintenance, and light rail vehicle maintenance have an additional defined Good Faith Challenge procedure, in compliance with CPUC GO 175 (current series).

### 1.2.5 Whistle Blower Protection

SacRT will not discharge or in any manner retaliate against personnel because the individual: filed any complaint or instituted or caused to be instituted any proceeding under or related to the Occupational Safety and Health Act.

## 1.3 Roles and Responsibilities

### 1.3.1 General Manager/CEO-Accountable Executive

The Accountable Executive will:

- J Controls the financial and human resources that are necessary for the activities and operations, including the establishment and implementation of the Public Transportation Agency Safety Plan (PTASP), Transit Asset Management (TAM) Plan, and the Organizational Safety Policies (OSPs).
- J Ensure that SacRT PTASP and OSP are effectively implemented throughout SacRT.
- J Monitor SacRT safety performance and address substandard performance.



## Public Transportation Agency Safety Plan

- J Be accountable and responsible for setting the tone for the PTASP and enabling a positive safety culture within the organization.

### **1.3.2 Executive Management Team (EMT)**

The Executive Management Team will:

- J Be accountable for ensuring compliance with all PTASP and OSP requirements applicable to their department(s).
- J Be accountable for the timely completion of corrective action plans (CAPs) assigned to their department(s)
- J Be accountable for the identification of needed change management within their department(s).
- J Be accountable for the establishment of a positive safety culture within their department(s).
- J Be accountable for the dissemination of safety related information to personnel.
- J Analyze any information deemed to be related to safety that is received from any person with whom they exchange services and take appropriate action to mitigate any hazard to safety.
- J Report any safety risks identified.
- J Consist of the General Manager, all Chiefs, General Council, and Vice-Presidents.

### **1.3.3 Senior Management Team (SMT)**

The Senior Management Team will:

- J Be responsible for ensuring compliance with all PTASP and OSP requirements applicable to their department(s).
- J Be responsible for the timely completion of corrective action plans (CAPs) assigned to their department(s).
- J Be responsible for the identification of needed change management within their department(s).
- J Be responsible for the establishment of a positive safety culture within their department(s).
- J Be accountable for the dissemination of safety related information to personnel.
- J Analyze any information deemed to be related to safety that is received from any person with whom they exchange services with and take appropriate action to mitigate any hazard to safety.
- J Report any safety risks identified.
- J Consist of the Assistant Vice-Presidents, Superintendents, Managers, and Supervisors.

### **1.3.4 Vice President of Safety, Security, and Customer Satisfaction**

The Vice President of Safety, Security, and Customer Satisfaction is accountable for:

- J Representing the needs of the Safety, Security, and Customer Satisfaction Departments to the Executive Management Team (EMT).

- J Reports directly to the Accountable Executive.
- J This position will serve as the Chief Safety Officer.
- J Has accountability for day-to-day implementation of the PTASP.
- J Advocating on behalf of the Safety Department to have the appropriate resources.
- J Ensuring the Safety Department shall be involved in all stages including the conceptual design, procurement, construction, integrated testing, safety certification and also throughout the operational life cycle of the system.
- J Presenting the Accountable Executive, Legal, Risk Management, and involved EMT of all Risk Register items classified as being in the “Serious” category when continued operation is under consideration. Continued operation requires review and acceptance by the involved EMT members, Safety, Risk Management, Legal, and the Accountable Executive, with monthly updates.
- J Presenting and updating the Accountable Executive, Legal, Risk Management, and involved EMT of all Risk Register items classified as being in the “Medium” category when continued operation is occurring. These updates are to be provided twice a year.
- J Providing the Safety Department with priorities and concerns identified by the Accountable Executive and the EMT.
- J Administrative oversight and stewardship of the Safety Department.
- J Develop a positive top-down Safety Culture throughout the EMT.

### **1.3.5 Senior Manager of Environmental, Health, and System Safety and the Safety Department Personnel**

The Safety Department is directed and empowered to develop, administer and implement a comprehensive PTASP and OSP with specific goals and objectives, purposes, programs and activities to prevent, control and resolve unsafe conditions/hazards which may occur during the life cycle of the transportation systems. The Safety Department shall be involved in all stages including the conceptual design, procurement, construction, integrated testing, safety certification and also throughout the operational life cycle of the system.

The Safety Department works with all departments and executive leadership to provide information, identify safety concerns, conduct internal reviews and inspections, develop recommendations and corrective action plans to address safety concerns, track and verify the Implementation or recommendations and corrective action plans, and report, on a regular basis, to EMT.

The Safety Department is responsible for the overall effectiveness of the SacRT PTASP and OSP through the following actions:

- J Create, document, and maintain procedures for managing safety related hazards and incidents, including risk analysis and management.
- J Maintain and support a reporting and data collection system for collecting and communicating information relating to safety related hazards and incidents.

- J Assist in the investigation of safety related hazards and incidents and the determination of any related corrective actions.
- J Monitor the implementation of corrective action plans (CAPS) to ensure that they are effective.
- J Ensure that safety related information is disseminated to personnel, including the interdepartmental communication of safety related information with managers.
- J Ensure that all personnel are trained in the concepts, principles and operation of the safety management system.
- J Maintain training records for all safety training.
- J Manage all records and documents resulting from the PTASP and OSP.
- J Promote safety management system principles in all aspects of the operation and positively engage with staff in discussions of safety policy and continuous improvement.

### **1.3.6 Director of Bus Maintenance**

The Director of Bus Maintenance is accountable to ensure the activities of the following departments are compliant with the PTASP and OSP:

- J Bus maintenance
- J Non-revenue vehicle maintenance

### **1.3.7 Director of Light Rail Maintenance**

The Director of Light Rail Maintenance is accountable to ensure the activities of the following departments are compliant with the PTASP and OSP:

- J Light Rail Vehicle Maintenance
- J Track Maintenance
- J Traction Power Maintenance
- J Rail Signal Maintenance

### **1.3.8 Superintendent of Bus Maintenance**

The Superintendent of Bus Maintenance is responsible for ensuring the responsibilities of the department are met and to:

- J Provide top-down leadership and promote a positive safety culture
- J Ensure safety reporting is completed in the IRIS database of:
  - o Maintenance Failure Reports
  - o Identified bus life-safety related inspection deficiencies
  - o Deferred maintenance tracking and reporting
  - o Life safety deficiencies identified during inspection of buses and non-revenue vehicles
- J Timely development, completion, and submission of Corrective Action Plans (CAPs)



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### 1.3.9 Superintendent of Light Rail Vehicle Maintenance

The Superintendent of light Rail Vehicle Maintenance is responsible for ensuring the responsibilities of the department are met and to:

- J Provide top-down leadership and promote a positive safety culture
- J Ensure safety reporting is completed in the IRIS database of:
  - o Maintenance Failure Reports
  - o Identified LRV life safety related inspection deficiencies
  - o Deferred maintenance
  - o Life safety deficiencies identified during inspection of LRVs
- J Timely development, completion, and submission of Corrective Action Plans (CAPs)

### 1.3.10 Bus Maintenance

Bus Maintenance is responsible for providing a safe and mechanically reliable fleet of buses and non-revenue vehicles. The bus maintenance system utilizes preventive maintenance programs which involve performing maintenance on vehicles at regularly scheduled mileage or life cycle driven intervals. The intent is to retain vehicles in a condition compatible with safety, dependability and appearance standards. Well-designed preventive maintenance procedures, and enforcement of these procedures, maintain the effectiveness of these maintenance programs and provide regulatory compliance.

The Preventive Maintenance Program strives to identify problem areas before they require corrective maintenance. Therefore, reporting requirements are developed for each inspection procedure to support future preventive maintenance activities as well as effectively communicate the specific need for corrective maintenance. The flow of information between preventive and corrective maintenance activities is critical to the success of both types of maintenance.

Records of actions are maintained in the Bus Maintenance Shop for the four prior calendar years, and include the following:

- J Inspection - All vehicles are subjected to a periodic inspection program to determine if conditions exist that require a maintenance action. The level and frequency of inspections is consistent with contractor and supplier recommendations, industry standards, criticality of the equipment, probability of finding a defect and operational experience.
- J Servicing - Servicing consists of regularly scheduled activities that are necessary to maintain the performance of the vehicle and its components. These activities include lubrication and adjustment and may also involve the replacement of consumable parts. Servicing schedules are normally provided by equipment manufacturers in their maintenance manuals. Although manufacturer recommendations will be followed during the warranty period of vehicles, servicing schedules may subsequently be modified to suit the operational conditions.
- J Cleaning -All active buses are swept, cleaned, and wiped down daily, floors are scrubbed at least weekly, and exterior washed weekly.



- J Video Recording Retention - Video recordings shall be saved and retained on a separate storage media if a Bus Operator is observed violating SacRT rules. Recordings shall be retained at least until the last appeal of any litigation or disciplinary action is completed.
- J Preventive maintenance requirements will be developed by the manufacturer together with maintenance management, and performance will be monitored to verify adequacy. The requirements will be revised as needed to address a changing environment.
- J Deferred Maintenance will be submitted in the Integrated Risk Identification System for safety risk evaluation, and determine if the deferral is acceptable.
- J Maintenance Failure reports will be submitted in the Integrated Risk Identification System for safety risk evaluation.

### **1.3.11 Light Rail Vehicle Maintenance**

Light Rail Vehicle Maintenance is responsible for providing a safe and mechanically reliable fleet of rail cars and Hi-Rail equipment. The rail vehicle maintenance system utilizes preventive maintenance programs which involve performing maintenance on vehicles at regularly scheduled mileage or life cycle driven intervals. The intent is to retain vehicles in a condition compatible with safety, dependability and appearance standards. Well-designed preventive maintenance procedures, and enforcement of these procedures, maintain the effectiveness of these maintenance programs and provide regulatory compliance.

The Preventive Maintenance Program strives to identify problem areas before they require corrective maintenance. Therefore, reporting requirements are developed for each inspection procedure to support future preventive maintenance activities as well as effectively communicate the specific need for corrective maintenance. The flow of information between preventive and corrective maintenance activities is critical to the success of both types of maintenance.

Records of actions are maintained in the Light Rail Vehicle Maintenance Shop for the four prior calendar years, and include the following:

- J Inspection - All rail vehicles are subjected to a periodic inspection program to determine if conditions exist that require a maintenance action. The level and frequency of inspections is consistent with contractor and supplier recommendations, industry standards, criticality of the equipment, probability of finding a defect and operational experience.
- J Servicing - Servicing consists of regularly scheduled activities that are necessary to maintain the performance of the vehicle and its components. These activities include lubrication and adjustment and may also involve the replacement of consumable parts. Servicing schedules are normally provided by equipment manufacturers in their maintenance manuals. Although manufacturer recommendations will be followed during the warranty period of rail vehicles, servicing schedules may subsequently be modified to suit the conditions of the rail system.
- J Cleaning -All active rail vehicles are swept and cleaned daily, major interior scrubbed monthly, and exterior washed weekly.
- J Video Recording Retention - Video recordings shall be saved and retained on a separate storage media if a rail transit vehicle operator is observed violating CPUC GO 172 (current series). Recordings shall be retained at least until the last appeal of any litigation or disciplinary action is completed.

- J Preventive maintenance requirements will be developed by the car builder together with maintenance management, and performance will be monitored to verify adequacy. The requirements will be revised as needed to address a changing environment.
- J Beyond preventive maintenance, SacRT also has a Siemens Rebuild Program, which includes: truck overhaul; replacement of motor alternators with static inverters; and overhaul, upgrade or replacement of various other components on these vehicles.
- J Deferred Maintenance will be submitted in the Integrated Risk Identification System for safety risk evaluation, and determine if the deferral is acceptable.
- J Maintenance Failure reports will be submitted in the Integrated Risk Identification System for safety risk evaluation.

### **1.3.12 Superintendent of Wayside Maintenance**

The Superintendent of Wayside Maintenance is responsible for ensuring the responsibilities of the department are met and to:

- J Provide top-down leadership and promote a positive safety culture
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety related inspection deficiencies
  - o Deferred maintenance
  - o Life safety deficiencies identified during inspection of the system
- J Timely development, completion, and submission of Corrective Action Plans (CAPs)

### **1.3.13 Track Maintenance**

Inspection, maintenance and construction programs are required by CPUC General Orders (GO) 143(current series), Section 14.05. A systematic inspection and maintenance program has been established in accordance with Title 49, Section 213.9 of the Federal Regulations as required by CPUC GO 143(current series), Section 14.05. Records of periodic track inspections showing the defects and deviations from the adopted standards along with the corrective action taken are kept on file for the four previous calendar years.

Frequent track inspection is performed to identify potential safety hazards and to report on the changing conditions of track geometry. Main line track is required to be inspected twice each week with at least one day interval between inspections. Track geometry and fit is inspected for obvious gage and alignment defects, improper ballast section and washouts, tightness and proper fit of switch points and other moving parts. Rail is checked for cracks, deterioration, corrugation, excessive wear. Inspection is conducted of footwalks, handrails, signs and signals for any obvious deficiencies. There are also inspections of the right-of-way for possible clearance infringements, such as vegetation growth.

- J Deferred Maintenance will be submitted in the Integrated Risk Identification System for safety risk evaluation, and determine if the deferral is acceptable.



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- J Track Inspection and repair reports will be submitted in the Integrated Risk Identification System for safety risk evaluation to allow trending.

### 1.3.14 Traction Power Maintenance

The Traction Power Section preventive maintenance plan is a scheduled program that was developed through standard maintenance and operating procedures based on manufacturer recommendations and experience. Inspection forms have been developed for each piece of equipment and document that the preventive maintenance has been performed. These forms are reviewed prior to being filed to determine whether further action is needed. A spreadsheet lists all equipment and associated preventive maintenance intervals. Groups of inspectors are assigned specific areas for which they have responsibility of completing preventive maintenance as scheduled. Records of traction power maintenance and inspection activity, including any defects or deviations from the adopted standards, are kept on file for the four previous calendar years.

The corrective maintenance plan consists of trouble-shooting failures and returning equipment to service. Personnel are dispatched by Metro Control via radio regardless of their assigned preventive maintenance areas. Once on the scene, the inspector will determine what the failure is and take the corrective measures necessary to maintain continuity of revenue service. Temporary repairs are made in order to maintain revenue service and permanent repairs are scheduled for non-revenue hours.

- J Deferred Maintenance will be submitted in the Integrated Risk Identification System for safety risk evaluation, and determine if the deferral is acceptable.
- J Traction Power failure and repair reports will be submitted in the Integrated Risk Identification System for safety risk evaluation to allow trending.

### 1.3.15 Rail Signal Maintenance

The Rail Signal Section preventive maintenance plan is a scheduled program routinely performed at specific intervals. The maintenance intervals are set by equipment O&M manuals, and by tracking equipment performance through routine inspections and failure reports. Manpower deployment is accomplished by means of a check off schedule which lists the routine tasks to be accomplished during the set time frame. This system is designed to prevent duplication of tasks and provide a means whereby many different tasks can be performed in an efficient and timely manner. Reports are filed for each task that is completed and are reviewed to determine if any further action is needed. The objectives of the preventive maintenance plan are to:

- J Ensure operational safety and system dependability by means of periodic testing and inspections;
- J Reduce service failures;
- J Prolong equipment life;
- J Minimize maintenance costs; and
- J Optimize resource allocations.

The corrective maintenance plan consists of troubleshooting failures, the repairing of failed equipment and returning equipment to operations in a safe, efficient and timely manner. Equipment failures which affect the operation of revenue service are handled by immediate response crews which are notified by Metro Control through radio dispatched trouble calls. Failed equipment is



## Public Transportation Agency Safety Plan

replaced in kind and repaired later in order to minimize disruption to revenue service. Trouble reports are filed by the response crews to track equipment failures and to aid in troubleshooting the failed equipment. Equipment is repaired in-house whenever possible or through an exchange program with the manufacturer and returned to stores as spare equipment. The philosophy of the corrective maintenance plan is to repair failed equipment as quickly as possible with minimal effect on revenue service. Grade crossings shall be maintained to comply with the CPUC GO 143(current series), GO 75(current series), and FRA requirements – Title 49 CFR Part 234.

- J Deferred Maintenance will be submitted in the Integrated Risk Identification System for safety risk evaluation, and determine if the deferral is acceptable.
- J Signal failure and repair reports will be submitted in the Integrated Risk Identification System for safety risk evaluation to allow trending.

### **1.3.16 Directors of Bus Operations**

The Directors of Bus Operations are accountable for verifying bus operations meet all safety requirements. Bus Operations is responsible for the training of personnel as required to verify compliance with Rules and Standard Operating Procedures (SOPs).

The Directors of Bus Operations are accountable for the following activities:

- J Confirm that Bus Operators have the required licenses and up-to-date medical certificates.
- J Make urgent changes in rules and procedures by issuing bulletins and notices to Bus Operators; and to ensure that the Daily Bulletins are made available to every Operator.
- J Develop and maintain bus system emergency preparedness and response plans for bus facilities.
- J Conduct/participate in emergency preparedness drills at least once every year.
- J Train new Bus Operators in rules pertaining to safe vehicle operation, emergency procedures and injury and illness prevention; perform re-training following accidents and occupational injuries.
- J Maintain certification and re-certification programs.
- J Ensure that Bus Operators have received the required safety training prior to working.
- J Respond to emergencies and accidents and preserve evidence for later analysis.
- J Investigate bus system operational accidents, incidents, injuries and property losses; make recommendations to mitigate or prevent recurrences. The investigations are conducted through the facilitation of the Safety Department.
- J Ensure Bus Operations staff personnel are trained in:
  - o Injury and illness prevention;
  - o Emergency procedures;
  - o Equipment operation for Bus Operators; and
  - o Conducting post-accident check-rides.
- J Investigate accidents and occupational injuries.



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- J Take corrective actions to prevent or mitigate recurrences including discipline and counseling.
- J Inspect facilities.
- J Take appropriate action(s) to resolve reported or otherwise identified hazards in a timely manner and report hazards as warranted and in accordance the PTASP and OSP. This process is conducted in coordination with the Safety Department.
- J Participate in the analysis of accident data to determine trends and develop corrective action plans. This process is facilitated by the Safety Department.
- J Oversee the functioning of Bus Transportation as line Supervisors, Emergency Response Team Leaders and Bus Operation Trainers.
- J Investigate reports of unsafe conditions and carry out emergency procedures. This process is facilitated by the Safety Department.
- J Provide top-down leadership and promote a positive safety culture.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system
- J Timely development, completion, and submission of Corrective Action Plans (CAPs).

### **1.3.17 Director of Light Rail Operations**

The Director of Light Rail Operations is accountable for verifying rail operations meet all safety requirements. Light Rail Operations responsible for the training of employees as required to verify compliance with Rules and Standard Operating Procedures (SOPs).

The Director of Light Rail Operations is accountable for the following activities:

- J Confirm that Train Operators have the required licenses and up-to-date medical certificates.
- J Make urgent changes in rules and procedures by issuing bulletins and notices to Train Operators; and to ensure that the Daily Bulletins are made available to every operator.
- J Develop and maintain rail system emergency preparedness and response plans for rail facilities.
- J Conduct/participate in emergency preparedness drills at least once every year.
- J Train new Train Operators in rules pertaining to safe vehicle operation, emergency procedures and injury and illness prevention; perform re-training following accidents and occupational injuries.
- J Maintain certification and re-certification programs.
- J Ensure that Train Operators have received the required safety training prior to working.
- J Respond to emergencies and accidents and preserve evidence for later analysis.



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- J Investigate rail system operational accidents, incidents, injuries and property losses; make recommendations to mitigate or prevent recurrences. The investigations are conducted through the facilitation of the Safety Department.
- J Ensure Light Rail staff personnel are trained in:
  - o Injury and illness prevention;
  - o Emergency procedures;
  - o Equipment operation for LRV Operators; and
  - o Conducting post-accident check-rides.
- J Investigate accidents and occupational injuries.
- J Take corrective actions to prevent or mitigate recurrences including discipline and counseling.
- J Inspect facilities.
- J Take appropriate action(s) to resolve reported or otherwise identified hazards in a timely manner and report hazards as warranted and in accordance the PTASP and OSP. This process is conducted in coordination with the Safety Department.
- J Participate in the analysis of accident data to determine trends and develop corrective action plans. This process is facilitated by the Safety Department.
- J Oversee the functioning of Rail Transportation as line Supervisors, Emergency Response Team Leaders and Rail Operation Trainers.
- J Investigate reports of unsafe conditions and carry out emergency procedures. This process is facilitated by the Safety Department.
- J Provide top-down leadership and promote a positive safety culture.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system
- J Timely development, completion, and submission of Corrective Action Plans (CAPs).

### **1.3.18 Bus Transportation Superintendent**

The Bus Transportation Superintendent are responsible for the following:

- J Supervision of the Bus Control room staff.
- J Certifying selected Bus Transportation Supervisors as qualified Bus Controllers or Dispatchers.
- J Confirm that Bus Transportation Supervisors have the required licenses and up-to-date medical certificates.



## Public Transportation Agency Safety Plan

- J Make urgent changes in rules and procedures by issuing bulletins and notices to Bus Transportation Supervisors.
- J Collect, receive, and verify signatures from Bus Transportation Supervisors for the instructions and training provided.
- J Develop and maintain the bus system emergency preparedness and response plan for rail facilities.
- J Maintain certification and re-certification programs for Bus Transportation Supervisors.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system
- J Timely development, completion, and submission of Corrective Action Plans (CAPs).

### **1.3.19 Light Rail Transportation Superintendent**

The Light Rail Transportation Superintendent is responsible for the following:

- J Supervision of Metro Control staff and has authority over work permits of personnel working on the system.
- J Certifying selected Rail Transportation Supervisors as qualified Rail Controllers or Dispatchers.
- J Confirm that Rail Transportation Supervisors have the required licenses and up-to-date medical certificates.
- J Make urgent changes in rules and procedures by issuing bulletins and notices to Rail Transportation Supervisors.
- J Collect, receive, and verify signatures from Rail Transportation Supervisors for the instructions and training provided.
- J Develop and maintain the rail system emergency preparedness and response plan for rail facilities.
- J Maintain certification and re-certification programs for Rail Transportation Supervisors.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system
- J Timely development, completion, and submission of Corrective Action Plans (CAPs).



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### 1.3.20 Bus Transportation Supervisor

Bus Transportation Supervisor is responsible for the following:

- J Responding to accidents and conducting thorough field investigations.
- J Taking charge of accident investigation activities at accident and emergency scenes and assumes the role of the On-Scene Coordinator (OSC).
- J At accident and emergency scenes gathers and preserves evidence and disseminates information to authorized SacRT personnel.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system

### 1.3.21 Rail Transportation Supervisor

Rail Transportation Supervisor is responsible for the following:

- J Responding to accidents and conducting thorough field investigations.
- J Taking charge of accident investigation activities at accident and emergency scenes and assumes the role of the On-Scene Coordinator (OSC).
- J At accident and emergency scenes gathers and preserves evidence and disseminates information to authorized SacRT personnel.
- J Ensure safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system

### 1.3.22 Bus Controller

Bus Controllers manage bus operations from a central location. Bus Control personnel are responsible for the following:

- J Overseeing and directing all bus movements on all routes.
- J Arranging replacement of defective equipment.
- J Alerting emergency response personnel.
- J Carrying out emergency procedures, including:
  - o Provide notification of SacRT staff through timely notification through InformaCast





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- J Controllers must document and report system failures, equipment malfunctions, incidents, security problems, accidents and unusual occurrences.
- J Controllers direct Bus Operators during emergencies.
- J Overseeing and directing all operator activities on all routes.
- J Ensuring safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system

### 1.3.23 Rail Controller

Rail Controllers manage train operations from a central location. Rail Control personnel are responsible for the following:

- J Overseeing and directing all train movements on the Mainline.
- J Controlling and authorizing power, switch routing, train movement and failure management.
- J Arranging replacement of defective equipment.
- J Alerting emergency response personnel.
- J Carrying out emergency procedures, including:
  - o Provide notification of SacRT staff through timely notification through InformaCast
  - o Provide 2-Hour CPUC Notification
  - o FTA 2-Hour Notification
  - o FRA 2- Hour Notification
  - o FRA 4-Hour Notification
  - o NTSB notification is provided through the National Response Center (NRC).
- J Controllers must document and report system failures, equipment malfunctions, incidents, security problems, accidents and unusual occurrences.
- J Controllers direct Train Operators during emergencies.
- J Overseeing and directing all operator activities on the Mainline.
- J Ensuring safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system



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### **1.3.24 Bus Dispatcher:**

The Bus Dispatcher is responsible for the following:

- J Preparing the schedule for the following day.
- J Assigning operators to open pieces of work.
- J Calculating the extra number of operators required for unknown work that may occur.
- J Calculating pay.
- J Assisting Bus Controllers, when needed.
- J Ensuring safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system

### **1.3.25 Light Rail Dispatcher:**

The Rail Dispatcher is responsible for the following:

- J Marking up the board for the following day.
- J Assigning operators to open pieces of work.
- J Calculating the extra number of operators required for unknown work that may occur.
- J Calculating pay.
- J Issuing work permits and track warrants.
- J Assisting Rail Controllers, when needed.
- J Ensuring safety reporting is completed in the IRIS database of:
  - o Failure Reports
  - o Identified life safety deficiencies
  - o Deferred training
  - o Life safety deficiencies identified during operation of the system

### **1.3.26 Transit Ambassadors**

Transit Ambassadors are responsible for:

- J Provide positive customer service by assisting passengers with questions or concerns
- J Notify the SOC of safety or security related events
- J Identify and report safety risks encountered.
- J Direct passengers during emergency evacuations



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- ) Report any events through the IRIS software.

### **1.3.27 All Personnel**

All Personnel will:

- ) Identify and report safety risks encountered.
- ) Report any events through the IRIS software.
- ) Keep informed of safety communication and updates provided.
- ) Follow the procedures established in the Organizational Safety Procedures (OSP).



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### Safety Risk Management





## 2 Safety Risk Management

Safety Risk Management component includes three sub-elements:

- ) Safety Hazard Identification
- ) Safety Risk Assessment
- ) Safety Risk Mitigation

Safety Risk Management is a cornerstone of the PTASP. During this process SacRT identifies, evaluates, and devises means to eliminate, mitigate, or accept hazards. Not all hazards can be eliminated given the resources available. SacRT's goal with Safety Risk Management is to mitigate hazards to a level as low as reasonably practicable (ALARP).

The SacRT Safety Risk Management (SRM) process involves identifying, reporting, assessing, and mitigating hazards affecting our transportation system.

The SacRT Safety Risk Management process is led throughout our agency by various employees including those involved in the initial design of transit systems, organizational changes, development of operational procedures, and the Safety Assurance process, where newly identified hazards are analyzed and mitigated through the Safety Risk Management process.

When a technical operational or maintenance safety concern or condition is identified, the Safety Department will contact the appropriate Subject Matter Expert (SME) for an initial review. Should the SME's opinion be that the concern or condition is not hazardous, the Safety Department will document that finding in the IRIS database and, if it was reported by an employee, Safety will notify the reporting employee. When the SME agrees the concern or condition to be a hazard, the SME will participate in a formal hazard analysis and identify potential consequences. The hazard assessment will be facilitated by the Safety Department

Once complete, the Safety Department, who, in collaboration with the SME, will perform a safety risk assessment of the hazard's potential consequences. The findings will be entered into the Risk Register.

When the assessment determines that the safety risk is unacceptable, the Safety Department will then notify the responsible department head and coordinate the development of a corrective action plan. When the hazard was reported by an employee, the Safety Department will also notify the reporting employee of the results of the safety investigation.

Once the responsible department head completes a proposed corrective action plan, they will submit it to the SME for review. Once reviewed, the CAP will be provided to Safety who will review and accept the Corrective Action Plan.

Rail related event proposed corrective action plans will be submitted for CPUC review and acceptance of the proposed CAP.

Once the SME, Safety, and the CPUC, when applicable, approves the corrective action plan, the responsible department head will then mitigate or eliminate the hazard and document this in the IRIS database. Some of the methods the responsible department head may use to mitigate the consequences of a hazard include implementing design changes, installing safety devices, installing warning devices, signage, changing work practices, or procedures to provide a level of safety that is practical with the available resources of SacRT.



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Once the mitigation is implemented, the Safety Department will regularly monitor it to determine if the hazard has been adequately mitigated and no longer represents an unacceptable risk, close the hazard report in the IRIS database, and subsequently notify the reporting employee of the actions taken, if applicable. When the hazard is reported anonymously, the Safety Department will post the summary results of the reported hazard investigation on the involved Department's Bulletin Boards throughout the SacRT.

### **2.1 Safety Hazard Identification**

SacRT identifies hazards through analyses of its facilities, vehicles, transit systems, operations, and operational environment. SacRT uses the following methods and processes to identify hazards:

- J Occupational injury or illness investigations
- J Safety Event investigations
- J Safety concern and condition employee reporting
- J Conducting safety focus groups to address current safety concerns
- J Analysis of safety report trending
- J Routine and non-routine inspections
- J Internal and external audits
- J Lessons learned
- J Data and information provided by regulatory agency inspections
- J Data and information provided by the FTA
- J Transit Asset Management (TAM) Plan

#### **2.1.1 Integrated Risk Identification System (IRIS)**

The safety risk reporting tool that will be used at SacRT is called the Integrated Risk Identification System (IRIS). The software permits trending and analysis to be completed for evaluation and assessment. It will aggregate the reporting from the following identified data streams:

##### **2.1.1.1 Personnel Reporting:**

- J Operator event reporting will be converted to electronic reporting by August 2021
- J Personnel Injury Reports will be converted to electronic reporting by August 2021
- J Personnel Safety Risk Reports will be converted to electronic reporting by August 2021
- J Reporting will also permit anonymous reporting

##### **2.1.1.2 Public:**

- J Alert SacRT reporting will be integrated via application programming interface (API) by December 2021
- J Customer Service reports will be integrated via API by December 2021



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### **2.1.1.3 Rail Operations:**

- J Operator event reporting will be converted to electronic reporting by August 2021
- J Collision Investigation Reports will be converted to electronic reporting by October 2021
- J Maintenance Failure Reports will be collected electronically by December 2021
- J Deferred Maintenance Reports will be collected electronically by December 2021
- J Revenue Vehicle Inspection Safety Deficiencies will be collected electronically by April 2022
- J Non-revenue Vehicle Inspection Safety Deficiencies will be collected electronically by April 2022
- J Rail Control Log will be converted to electronic reporting by August 2021
- J Light Rail Station Inspections will be converted to electronic reporting by October 2021

### **2.1.1.4 Bus Operations**

- J Operator event reporting will be converted to electronic reporting by August 2021
- J Collision Investigation Reports will be converted to electronic reporting by October 2021
- J Maintenance Failure Reports will be collected electronically by January 2022
- J Deferred Maintenance Reports will be collected electronically by January 2022
- J Revenue Vehicle Inspection Safety Deficiencies will be collected electronically by April 2022
- J Non-revenue Vehicle Inspection Safety Deficiencies will be collected electronically by April 2022
- J Bus Control Log will be collected via API by August 2022

### **2.1.1.5 Facilities Maintenance**

- J Equipment Failure Report
- J Deferred Maintenance Events
- J Facility Inspection Safety Deficiencies
- J Safety Work Requests

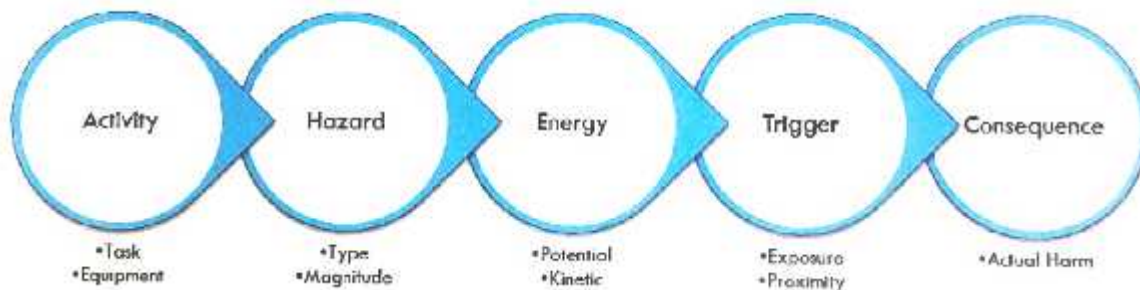
### **2.1.1.6 Transit Asset Management Plan (TAM)**

- J Asset evaluations that rated at less than satisfactory will be provided to the Safety Department by the TAM Plan Manager.
- J Evaluation of the potential to use an API to export from the TAM software into the IRIS software. The functionality is anticipated by December 2021.
- J The Safety Department, in partnership with an SME will conduct a safety risk investigation, assessment, corrective action, and include findings on the Risk Register.

## 2.2 Safety Risk Investigation and Assessment

There are numerous tools and methods that can be used to investigate a safety risk or safety event. There is not one all-encompassing tool or method. Some of the methods used include:

- ) AcciMap
- ) Barrier Analysis
- ) Bowtie Methodology
- ) Causal Factor Analysis
- ) Event Tree Analysis
- ) Failure Mode Effect Analysis (FMEA)
- ) Fault Tree Analysis
- ) Human Factors Analysis
- ) Ishikawa Diagram
- ) Root Cause Analysis
- ) Systematic Cause Analysis Technique (SCAT)
- ) Statistical Process Control (SPC)
- ) Tripod Beta Analysis



The investigation is intended to identify the four interlinked injury pathways and identify where the most effective, and achievable point to eliminate or mitigate the safety risk. Without a thorough analysis, the focus shifts to managing the consequence, not preventing it.

Once the investigation analysis has been completed, all safety risks will be classified by a standardized safety risk assessment.

### 2.2.1 Safety Risk Assessment

SacRT, through the Safety Department and SMEs, will assess the safety risk of the potential consequences of each safety risk identified.

SacRT has established its standards for determining the likelihood and severity of the potential consequences based on the Mil Standard 882E. Once unacceptable safety risks and the potential





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consequences are identified, the Safety Department assesses the risk of the potential consequences. This includes evaluating the likelihood and severity of the potential consequences.

SME's, in coordination with the Safety Department, then determines the necessary mitigation. Responsible managers complete these mitigations to effect hazard resolution. Corrective actions are tracked and managed throughout the entire Safety Risk Management process using a combination of methods including the agency-wide safety management database and Safety-Risk Register. The risk register and corrective action tracking is a component of the IRIS database.

The Safety Risk Assessment process begins with an assessment of the potential severity. The appropriate severity category, as defined in the table below, is determined for a given hazard at a given point in time, identify the potential for:

- ) Death or injury to personnel;
- ) Death or injury to passengers and the public;
- ) Equipment, facility, or infrastructure loss or damage;
- ) environmental damage or impact;
- ) Decrease in operational readiness;
- ) Regulatory noncompliance; or
- ) Damage to reputation or image.

A given hazard may have the potential to affect one or all of these areas.

SEVERITY CATEGORIES		
Description	Severity Category	Mishap Result Criteria
Catastrophic	1	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding \$10M.
Critical	2	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding \$1M but less than \$10M.
Marginal	3	Could result in one or more of the following: injury or occupational illness resulting in one or more lost work day(s), reversible moderate environmental impact, or monetary loss equal to or exceeding \$100K but less than \$1M.
Negligible	4	Could result in one or more of the following: injury or occupational illness not resulting in a lost work day, minimal environmental impact, or monetary loss less than \$100K.

SacRT will then determine the appropriate probability level as defined in the table below for a given hazard at a given point in time, assess the likelihood of occurrence of a mishap. Probability level F is used to document cases where the hazard is no longer present. No amount of doctrine, training, warning, caution, or Personal Protective Equipment (PPE) can move a safety risk probability to "Eliminated", level F.

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PROBABILITY LEVELS			
Description	Level	Specific Individual Item	Fleet or Inventory
Frequent	A	Likely to occur often in the life of an item.	Continuously experienced.
Probable	B	Will occur several times in the life of an item.	Will occur frequently.
Occasional	C	Likely to occur sometime in the life of an item.	Will occur several times.
Remote	D	Unlikely, but possible to occur in the life of an item.	Unlikely, but can reasonably be expected to occur.
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item.	Unlikely to occur, but possible.
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

When available, the use of appropriate and representative quantitative data that defines frequency or rate of occurrence for the hazard, is generally preferable to qualitative analysis. The Improbable level is generally considered to be less than one in a million.

In the absence of such quantitative frequency or rate data, reliance upon the qualitative text descriptions of the table is necessary and appropriate.

Assessed risks are expressed as a Risk Assessment Code (RAC) which is a combination of one severity category and one probability level. For example, a RAC of 1A is the combination of a Catastrophic severity category and a Frequent probability level. The table below assigns a risk level of High, Serious, Medium, or Low for each RAC.

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



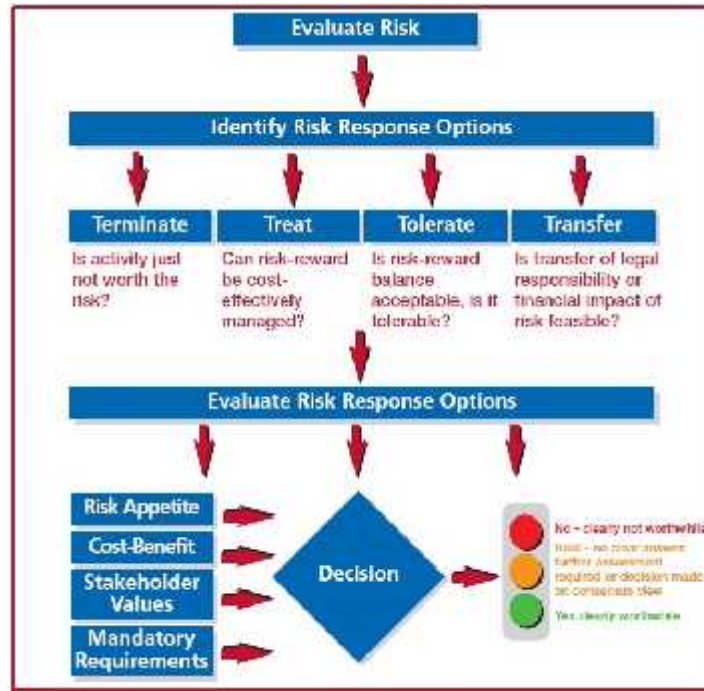
## Public Transportation Agency Safety Plan

Once a Risk Assessment Code (RAC) has been determined the priority for mitigation will be based on the table below:

Risk Assessment Code (RAC)	Required Action
<b>High</b>	<p>Immediate mitigation and controls that reduce the RAC below the “High” classification are required, or activity must be suspended. This risk cannot be accepted.</p> <p>Light Rail related safety risks classified as “High” will be communicated to the SSOA, as soon as is reasonably practicable.</p>
<b>Serious</b>	<p>Prompt mitigation and controls are required to reduce the RAC to “Medium”.</p> <p>Continued operation in a “Serious” category requires review and acceptance by the involved EMT members, Safety, Risk Management, Legal, and the Accountable Executive.</p> <p>Monthly review and assessment are required by the Safety Department and an update to the involved EMT members, Safety, Risk Management, Legal, and the Accountable Executive.</p>
<b>Medium</b>	<p>Mitigation and controls are required to reduce the RAC to ALARP. Continued operation in a “Medium” category requires periodic documented review by Safety, Risk Management, and the involved EMT. Legal and the Accountable Executive are to be updated at least every six months of the unresolved “Medium” RACs.</p>
<b>Low</b>	<p>Mitigation should be considered. Continued operation in a “Low” category requires at least annual review by Safety, Risk Management, and the involved EMT. Legal and the Accountable Executive are to be updated at least annually.</p>
<b>Eliminated</b>	<p>No amount of doctrine, training, warning, caution, or Personal Protective Equipment (PPE) can move RAC to eliminated</p>

## 2.2.2 Risk-Based Decision-Making Process

Risk-based decision making is made up of five major components.



### 2.2.2.1 Establish the decision structure

Understanding and defining the decision that must be made is critical. This first component of risk-based decision making must be performed to accomplish this critical component:

- J Define the decision. Specifically describe what decision(s) must be made. Major categories of decisions include accepting or rejecting a proposed facility or operation, determining who and what to inspect, and determining how to best improve a facility or operation.
- J Determine who needs to be involved in the decision. Identify and solicit involvement from key stakeholders who should be involved in making the decision or will be affected by actions resulting from the decision-making process.
- J Identify the options available to the decision maker. Describe the choices available to the decision maker. This will help focus efforts only on issues likely to influence the choice among credible alternatives.
- J Identify the factors that will influence the decisions, including risk factors. Few decisions are based on only one factor. Most require consideration of many factors, including costs, schedules, risks, etc., at the same time. The stakeholders must identify the relevant decision factors.
- J Gather information about the factors that influence stakeholders. Perform specific analyses such as risk assessments and cost studies to measure against the decision factors.

### **2.2.2.2 Perform the risk assessment**

Different types of risk are important factors in many types of decisions. Risk assessment is the process of understanding the following:

- ) What consequences are possible
- ) What is the likelihood
- ) What is the severity

The consequences may be safety and health losses, property losses, environmental losses, schedule impacts, political issues, etc.

Risk assessment can range from very simple, personal judgments by individuals to very complex assessments by expert teams using a broad set of tools and information, including historical loss data. The following steps must be performed to assess risk:

Establish the risk-related questions that need answers. Decide what questions, if answered, would provide the risk insights needed by the decision maker.

Determine the risk-related information needed to answer the questions. Describe the information necessary to answer each question posed in the previous step. Specify the following:

- ) Information type needed
- ) Precision required
- ) Certainty required
- ) Analysis resources (staff-hours, costs, etc.) available

Select the risk analysis tool(s). Select the risk analysis tool(s) that will most efficiently develop the required risk-related information.

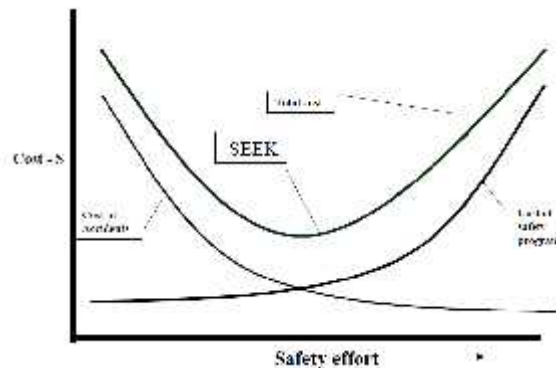
Establish the scope for the analysis tool(s). Set any appropriate physical or analytical boundaries for the analysis.

Generate risk-based information using the analysis tool(s). Apply the selected risk analysis tool(s). This may require the use of more than one analysis tool and may involve some iterative analysis.

### **2.2.2.3 Apply the results to risk management decision making**

One goal in most decision-making processes is to lower risk as much as possible. Sometimes the risk will be acceptable; at other times, the risk must change to become acceptable. Mitigating action must be taken to reduce risk. These actions must provide more benefit than they cost. They must also be acceptable to stakeholders and not cause other significant risks. The following steps must be performed to manage risk:

- ) Assess the possible risk management options. Determine how the risks can be managed most effectively. This decision can include accepting/rejecting the risk or finding specific ways to reduce the risk.
- ) Use risk-based information in decision making. Use the risk-related information within the overall decision framework to make an informed, rational decision. This final decision-making step often involves significant communication with a broad set of stakeholders.



#### 2.2.2.4 Monitor effectiveness through impact assessment

Impact assessment is the process of tracking the effectiveness of actions taken to manage risk. The goal is to verify that the organization is getting the expected results from its risk management decisions. If not, a new decision-making process must be considered.

#### 2.2.2.5 Facilitate risk communication

Risk communication is a two-way process that must take place during risk-based decision making. Stakeholders must:

- J Provide guidance on key issues to consider. Stakeholders identify the issues of importance to them. They present their views on how each step of the process should be performed, or at least provide comments on plans suggested by others.
- J Provide relevant information needed for assessments. Some or all of the stakeholders may have key information needed in the decision-making process.
- J Provide buy-in for the final decisions. Stakeholders should agree on the work to be done in each phase of the risk-based decision-making process. They can then support the ultimate decisions.

#### 2.2.3 IRIS Risk Register

All safety risks once evaluated and assessed will be included in the SacRT Risk Register. All the safety risks are aggregated in a centralized location. The entry in the risk register will include:

- J Identification of the safety risk
- J Location of the safety risk
- J Date of submission
- J Source of the submission
- J The risk assessment code (RAC)
- J Corrective Action Plan (CAP) and Accountable and Responsible persons, when applicable
- J Projected completion date if a CAP has been developed, when applicable

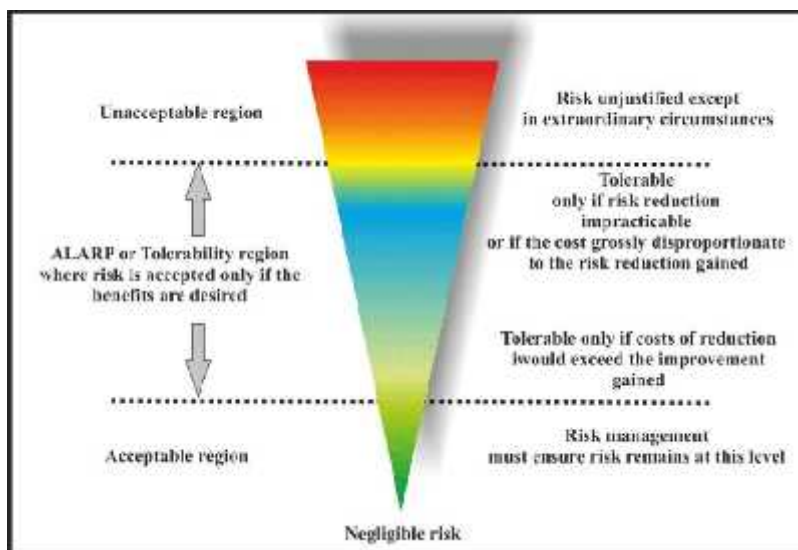
## Public Transportation Agency Safety Plan

- J Current status of the safety risk. Not all safety risks can be immediately corrected. The status will be listed as:
  - o No Action
  - o Investigating
  - o Analyzing
  - o In-Process Behind Schedule
  - o In-Process On-Schedule
  - o Blocked/Waiting
  - o Complete-Monitoring
  - o Complete
  - o Tracking
  - o Deferred
- J Any mitigation taken to reduce the safety risk and the subsequent RAC
- J The risk register can be viewed by any SacRT personnel

### 2.3 Mitigation and Elimination of Safety Risks

SacRT has processes and methods in place to identify mitigations and implement strategies to reduce the agency's safety risks. The five (5) general processes include:

- J Corrective action to mitigate the safety risk to ALARP is taken when the safety risk cannot be eliminated, or not indicated based on a risk-based decision making (RBDM)



- J Corrective action to eliminate the safety risk
- J Corrective action and preventative action to reduce the likelihood or reoccurrence (CAP)

## Public Transportation Agency Safety Plan

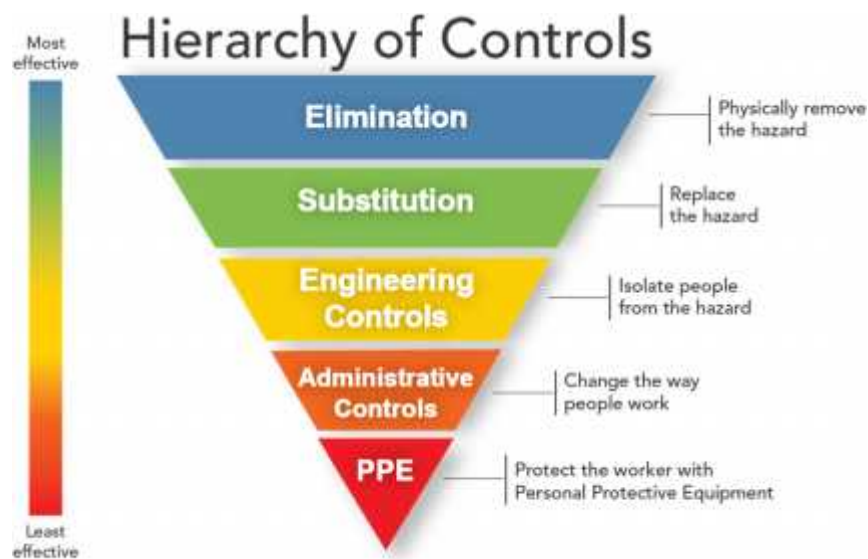
- ) Track to evaluate if the safety risk was an outlier
- ) Defer or accept risk

The corrective action plan (CAP) will include a description, immediate mitigation, origin of hazard, the proposed actions, permanent hazard resolution, or temporary mitigation if necessary, accountable person, responsible person, and the schedule for implementing those actions for the identified hazard, including date the hazard was identified.

Once the responsible department head completes a proposed corrective action plan, they will submit it to the SME for review. Once reviewed, the CAP will be provided to Safety who will review the hazard resolution verification and follow-up activities.

Events with corrective actions, which are under the authority of SSOA oversight, will be submitted for CPUC review and acceptance of the proposed CAP. Development of the CAP must be completed within 30 days. Monthly updates of the CAPs status will be provided to the CPUC. Once the CAP is completed it must be submitted to the SSOA for acceptance.

The appropriate hierarchy of controls is depicted below:



Some of the methods the responsible manager may use to mitigate the consequences of a hazard include:

- ) Elimination
  - o Implementing design changes
  - o Installing safety devices
  - o Modification of equipment or facilities design
- ) Substitution
- ) Engineering Controls
  - o Implementing design changes





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- Installing safety devices
- Modification of equipment or facilities design
- Installation of traffic control devices
- ) Administrative Controls
  - Changes to maintenance schedules or practices
  - Revision of operating rules or procedures
  - Changing work practices or work procedures
  - Employee training
  - Installation of traffic signs or pavement markings
  - Installing warning devices
  - Signage
- ) Personal Protective Equipment

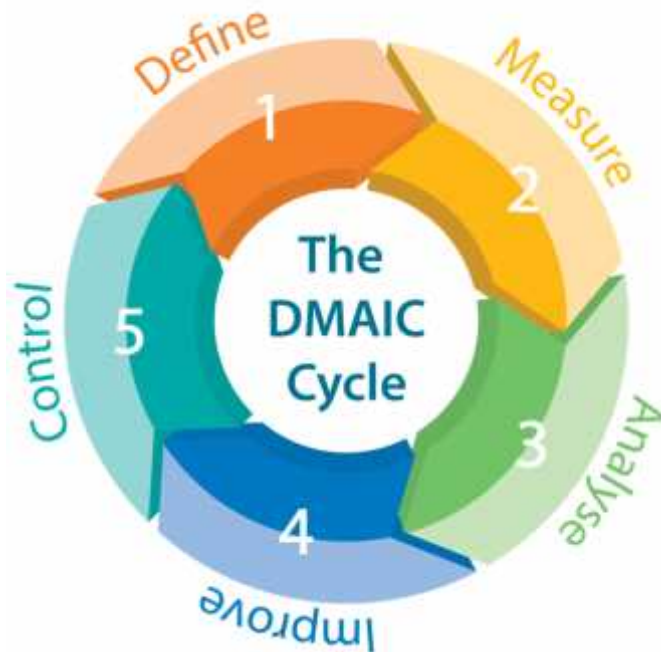
Safety regularly monitors mitigations to determine if the hazard has been reduced to an as low as reasonably practicable, or no longer represents an unacceptable risk. Safety will close the hazard report in the IRIS database and notify the reporting employee of the actions taken. If the hazard was reported anonymously, the department will post the summary results of the investigation and mitigation for the reported hazard on the departments Bulletin Boards.

### **2.4 Corrective Action Plan Process**

Development of a corrective action plan provides an organized, and structured framework, to improve policies , process, and or procedures. This formalized process is recommended for all corrective actions, but is required for the following:

- ) Final Investigation Report (FIR) of rail reportable events;
- ) SSOA Inspection;
- ) Triennial audit findings
- ) Internal audit findings

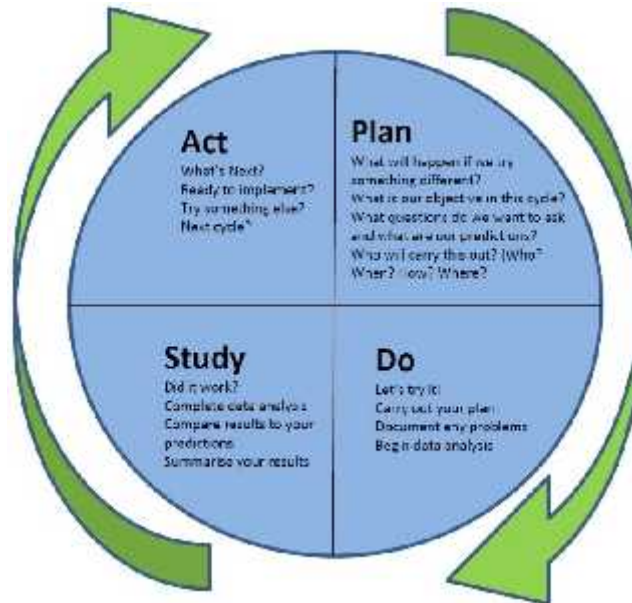
This formalized process is not intended to prevent or delay the implementation of corrective actions for emergency and critical events. The CAP process must be documented as soon as is practicable, after an emergency and critical event.



The development of a corrective action is a five-step process. The DMAIC process includes:

1. Define the problem
  - The hazard assessment process. Without a thorough assessment of the safety risk the focus of the corrective action tends to focus on managing consequence, not prevention.
  - CAP Objectives need to be clearly defined and measurable to focus the scope, direction, and motivation.
  - Solicit stakeholder feedback to validate the CAP.
  - Perform a root cause analysis (RCA) to uncover causes.
  - Perform an event chain analysis.
2. Measure current and historical process performance.
  - Parse the data and chart to analyze the frequency of problems or causes.
  - Process map for recording the activities performed as part of a process.
3. Analyze historical data or from sampling data and select from the following tools as applicable:
  - Analyze the process to determine root causes of variation and poor performance.
  - Capability analysis to assess the ability of a process to meet the defined objectives.
  - Multi-variant chart to detect different types of variation within a process.
  - Failure mode and effects analysis (FMEA) for identifying possible product, service, and process failures.
  - Layers of protection analysis.
4. Implement improvement after design.
  - Improve process performance by addressing and eliminating the root causes.
  - Kaizen event to introduce rapid change by focusing on a narrow project and using the ideas and motivation of the people who do the work.
  - Apply change management to determine the need for training and performance evaluation.
  - Consider use of PDSA to test solution and provide for a phased implementation.

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5. Control and monitor the improvement
  - Statistical process control (SPC) for monitoring process behavior.
  - Use quality control to monitor key performance indicators plan to monitor process improvement and identify corrections.
  - Verify change meets the planned objectives.
  - Evaluate and adjust at 30-days, 90-days, and 1-year.



## Public Transportation Agency Safety Plan

### **Safety Assurance**



### 3 Safety Assurance

The Safety Assurance component is divided into six (6) elements:

1. Auditing
2. Investigation
3. Inspection
4. Configuration Control Committee
5. Change Management Process
6. Continuous Quality Improvement

Continuous monitoring of these six (6) elements serves as the basis of the Safety Assurance process.

#### 3.1 Auditing

The Safety Department will submit the Internal Safety Audit Report directly to the Accountable Executive and the Chief Safety Officer for review. This will include an evaluation of the adequacy and effectiveness of the PTASP with findings, conclusions and recommendations.

The Internal Safety Audit Report and the corrective action plan, for rail related items, will be submitted to the CPUC, with a certification letter, signed by the General Manager/CEO. Any problems or disagreements with findings will be reviewed by the Executive Management Team and if the issues still cannot be resolved they will be elevated to the General Manager/CEO for final decision. The final Internal Safety Audit Report with approved recommendations and action plans will then be provided to all departments for implementation.

##### 3.1.1 Annual Audit Report

The final audit report will be issued each year prior to February 15, summarizing the results of the audit(s) performed during the previous year, including a summary of required corrective actions (if any) and previous follow-ups to maintain timely implementation. A copy of the final Internal Safety Audit Report will be submitted to the CPUC, with a formal letter certifying compliance with the PTASP, signed by the accountable executive.

##### 3.1.2 Coordination with Oversight Agency

The internal safety audits will be scheduled and coordinated with the CPUC representative and the CPUC Staff, will be provided a 30 day advance notice, and is invited to participate in the audit process. The CPUC will be provided with the completed reports and status updates regarding implementation of recommendations and corrective action plans.

##### 3.1.3 Audit Completeness

The internal audit will identify the types of documentation that may be required to ensure audit completeness such as: Maintenance Procedures, Training Manuals, Proceedings of Meetings, Equipment Specifications, Rules/Regulations, Management Program Plans, PTASP and OSPs, Operations Standard Operating Procedures, Emergency Procedures, Configuration Management Plan, Hazardous Materials Management Plan, Administrative Procedures, Rule Book, Safety Rules, Fire Codes, and Engineering Design Criteria.

The internal annual safety audits are completed in a coordinated manner, with full management support. Once schedules are approved by SacRT, all involved departments must participate and cooperate.

### 3.2 Investigation

All accidents and incidents, as defined by the NTD reporting criteria will be investigated in accordance with the SacRT Organizational Safety Procedure “*Event Investigation Procedure*”, and in compliance with CPUC GO 164 (current series).

Accidents	Incidents	Occurrences
<p><i>An Event that involves any of the following:</i></p> <ul style="list-style-type: none"> <li>- a loss of life;</li> <li>- a report of a serious injury to a person;</li> <li>- a collision involving a rail transit vehicle;</li> <li>- a runaway train;</li> <li>- an evacuation for life safety reasons; or</li> <li>- any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.</li> </ul>	<p><i>An Event that involves any of the following:</i></p> <ul style="list-style-type: none"> <li>- a personal injury that is not a serious injury;</li> <li>- one or more injuries requiring medical transport; or</li> <li>- damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency.</li> </ul>	<p><i>An Event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a rail transit agency.</i></p>

All investigations will be facilitated and coordinated by the Safety Department, who have received accident investigation training in compliance with §674.35(c).

#### 3.2.1 Investigation Components:

The following components will be evaluated and documented in all investigations:

- )] Equipment or Tools
- )] Materials
- )] Environment
- )] Policy and Procedure
- )] Personnel
  - o Including evaluation of human factors

#### 3.2.2 Investigation Timeline:

All investigations are to be completed as soon as is practicable, and in compliance with CPUC GO 164 (current series), and the SacRT Accident Investigation Procedure.

The Safety Department will serve as the SacRT single point of contact (SPOC) for communication with the SSOA. Required components of an investigation includes:

- )] 2-Hour Notification of reportable events as defined by the CPUC General Order 164 (current series)
- )] Notification of investigation
  - o Final Investigation Report must be completed within 60 days



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- Interim status report every 30 days for reports which take more than 60 days
  - Notify SSOA when additional investigation is conducted by an investigation team or panel performing interviews, questioning witnesses, or conducting inspections, measurements, examinations, or tests, etc. as part of the investigation beyond the initial on scene investigation
  - Provide for SSOA's participation to the fullest extent possible in accident investigations, and make all information related to the accident investigation, including data from event recorders, available to SSOA for review.
- J Safety Risks with a risk assessment code (RAC) of "Unacceptable"
- This notification will be as soon as is practicable
- J Within 30-days develop and propose a Corrective Action Plan (CAP) resulting from:
- Final Investigation Report (FIR) of rail reportable events;

A completed investigation report is submitted to the SSOA for review and acceptance. The SSOA may request corrections, changes, or additional information. Additionally, the SSOA may choose to complete its own investigation, when SacRT and the SSOA cannot agree on causal factors and recommended actions. Should this occur, SacRT may request the inclusion of letter of dissent be included with the report, as defined in §674.35(b) GO 164 (current series).

Bus event investigation will comply with the timelines and thresholds established by the SacRT Accident Investigation Procedure.

### 3.3 Inspection

Facility, building, and equipment inspection requirements are defined in O&M Manuals and the SacRT IIPP.

#### 3.3.1 Compliance Monitoring Light Rail Operations

The effectiveness of supervisors in implementing operating rules and maintenance procedures is determined during the performance evaluation process for each supervisor. Also, during the weekly/monthly Staff meetings, the effectiveness of supervisors is monitored and used as compliance verifications.

The compliance checks with train operators are documented with comments and any actions needed. Video recordings shall be saved and retained on a separate storage media, if a train operator is observed violating CPUC General Order. Recordings shall be retained at least until the last appeal of any litigation or disciplinary action is completed. The monthly shop/site inspection for maintenance personnel are documented along with any corrective actions needed. The annual performance evaluations for supervisors are also documented. Based on reports, operators are provided instructions, advice to improve any noted deficiency or weakness.

SacRT has installed inward facing video camera monitoring systems in the operating cab of all LRVs. SacRT will use video camera recordings to conduct random monitoring and enforcement of operating rules and policies governing the use of personal electronic devices.

Light Rail Operations shall conduct, and document, random inspections of 10 percent of all active light rail operators on a quarterly basis, to ensure compliance with operating rules and policies governing the use of personal electronic devices.

The in-cab cameras video shall be reviewed for:



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- J Any derailment.
- J Any impact between a rail transit vehicle and any other vehicle, object, or person.
- J After any activity or event on the right-of-way, involving an LRV, that results in a death, or injury to any person or employee that requires medical treatment.
- J After any credible reported complaint or observation of an alleged violation of GO 172, or a rules violation that may suggest distraction due to PED use.

### 3.3.2 Compliance Monitoring Bus Operations

The effectiveness of supervisors in implementing operating rules and maintenance procedures is determined during the performance evaluation process for each supervisor. Also, during the weekly/monthly Staff meetings, the effectiveness of supervisors is monitored and used as compliance verifications.

The compliance checks of bus operators are documented with comments and any actions needed. Video recordings shall be saved and retained on a separate storage media, when needed. Recordings shall be retained at least until the last appeal of any litigation or disciplinary action is completed. The monthly shop/site inspection for maintenance personnel are documented along with any corrective actions needed. The annual performance evaluations for supervisors are also documented. Based on reports, operators are provided instructions, advice to improve any noted deficiency or weakness.

SacRT has installed inward facing video camera monitoring systems in the operator area of all buses. SacRT will use video camera recordings to conduct random monitoring and enforcement of operating rules and policies governing the use of personal electronic devices.

Bus Operations shall conduct, and document, random inspections of 10 percent of all active light operators on a quarterly basis, to ensure compliance with operating rules and policies governing the use of personal electronic devices.

The in-vehicle cameras video shall be reviewed for:

- J Any impact between a bus and any other vehicle, object, or person.
- J After any activity or event involving a bus that results in a death, or injury to any person or employee that requires medical treatment.
- J After any credible reported complaint or observation of an alleged SacRT rules violation that may suggest distraction due to PED use.

### 3.3.3 Facilities and Equipment Inspections

Facility and equipment inspections are to be conducted by all departments to identify unsafe or unhealthy conditions and to monitor District-wide compliance with SMS requirements.

Results of inspections conducted by division or departments are to be recorded in established standard formats and submitted to the Safety Department.

Periodic inspection programs are used to determine if conditions exist that require a maintenance action. Rail system inspections must be done by their respective departments in accordance with CPUC General Order 143 (current series), Sections 14.04-14.06 and the SacRT Injury and Illness Prevention Program (IIPP). Personnel conducting rail system inspections must be qualified/trained to conduct inspections.





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Each department is required to conduct facility inspections at least monthly, and equipment is inspected on a periodic basis according to preventive maintenance schedules. The frequency of equipment inspections is dependent upon the level of hazard associated with the operation, industry standards and OEM inspection requirements.

Written Checklists are used for conducting facility and equipment inspections.

### 3.4 Change Management Process

A lack of familiarity with new processes and equipment can lead to accidents that could impact the environment, lives, and property. SacRT will review the following types of changes

#### 1. Changes in Operating Procedures

Each piece of equipment comes with procedures on how to operate. Each aspect of work should have systematic end-to-end procedures that personnel can simply follow and execute repeatedly.

Whenever operation guidelines or procedures are changed or updated by the district, there is a risk for personnel to continue with old processes because they are more used to it. Years of following a particular process can lead to muscle memory, and personnel may enter a stage where they have difficulty adapting to new workflows. Accidentally following old procedures is extremely dangerous. Management of Change (MOC) is also required.

#### 2. Changes in Inspection and Test Maintenance Procedures

MOC is needed when SacRT's way of inspecting and maintaining their equipment changes. This ensures that personnel don't get exposed to associated hazards.

Procedures related to preventive maintenance of machines, an inspection of piping, and servicing of equipment should be properly documented. Any changes to these maintenance procedures must go through MOC.

#### 3. Facilities Changes

MOC is also required whenever there are changes to the facilities. When a new structure is built or if it is modified in some way, MOC must be performed. Proximity to machines and equipment can increase the risk of accidents.

#### 4. Temporary Changes

Temporary events require MOC, such as:

- ) Transfer of equipment to a temporary location
- ) Temporary procedure changes due to the installation of new equipment features
- ) Even though these changes will not become a part of your standardized processes, it is still important to be prepared for any negative impact they may have on SacRT, its facilities, and its people.
- ) It is also critical for SacRT to close out any MOC documentation of a temporary change or to update the program if the temporary change becomes permanent.



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### 3.4.1 Capitol Program Committee

The Capital Program Committee (CPC) has members from the Operating, Planning and Engineering, Integrated Services, Safety and Security, and Finance Divisions. The CPC generally meets once a month on a regular basis. Some of the key functions are as follows:

- ) Reviewing and approving capital improvement projects.
- ) Allocating funding for the implementation of the capital improvement projects.
- ) Items proposed for review by the CPC should have a safety risk evaluation identifying the current safety risk associated with the proposal.

### 3.4.2 Safety Certification Program Plan (SCPP)

#### 3.4.2.1 Design Review:

The PTASP addresses SacRT rail system design, acquisition, construction, procurement, installation, testing, safety certification and startup. All new rail system designs must be reviewed in accordance with California Public Utilities Commission (CPUC), applicable Federal Railroad Administration (FRA) requirements, and established industry standards. Light Rail and the Safety Department will participate in the system design review process from at least the 10 percent design review stage. Lessons learned from previous design problems or operational experiences should be incorporated into the design review process to control future hazards, as a part of the Safety Certification Plan (SC Plan) for a project.

#### 3.4.2.2 Safety Certification Acceptance Tests

The Safety Certification Program establishes a process to verify that operating and safety related requirements are incorporated into new rail projects to verify operational readiness prior to entering revenue service. The verification process involves system testing, employee training, start-up activities, and document the findings in a Safety Certification Verification Report (SCVR). The Chief Safety Officer is responsible for overseeing the activities of the Safety Certification Program. The CPUC General Orders requires a safety certification process be established for all major rail projects.

#### 3.4.2.3 Managing Safety System Modifications

The System Modification Review and Control Function involves the control, testing and documentation of identified modifications.

##### 3.4.2.3.1 Control

Changes to systems and subsystems must not be made without first determining how the change might affect the safety of that system or any other system. The proposed modification is evaluated for its potential to create additional hazards or to reduce the effectiveness of existing hazard controls. This process involves determining whether all applicable safety requirements have been met and identifying opportunities for safety improvements.

Non-Configuration Changes: System modifications of a minor nature not involving a configuration change may be made by an individual manager. Other proposed system modifications are submitted to the Safety and Risk Management Departments. Engineering, Safety, Risk Management, and Legal Services are the control points for system evaluations and analysis. They, along with the requesting department will evaluate proposed modifications as related to warranty, reliability, product liability, design immunity, strict liability, third party issues and good engineering/operating practices.



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Configuration Changes: Proposed system changes involving facilities, equipment/software or other physical plant modifications will be submitted to the Change Review Committee (CRC) for evaluation to ensure safety requirements have been met. The CRC is the District-wide central repository located within the Engineering Department.

Individual departments may also submit proposed configuration modifications to the CRC. The CRC assigns a Change Request number and forwards the Change Request to the Change Review Committee (CRC) for review and approval. The CRC then either approves or rejects the proposed configuration modification, and the departments concerned are informed accordingly.

Change Review Committee (CRC): The CRC will review and approve all configuration changes. It is chaired by the Engineering Department and comprised of various operating departments and the Safety Department, as defined in the Configuration Management Plan (CMP). The CRC will evaluate the safety implications of the proposed modification and verify that all organizational units that are, or will be, affected by the proposed modification also have the opportunity to review the proposed modification prior to implementation. The CRC is responsible for informing affected departments and committees of system modifications so that changes to rules and procedures can be made. The CRC then verifies that all training and maintenance programs, rules and procedures, plans, drawings, specifications and other system documentation items have been modified as necessary.

When implemented, the plan will assist the CRC in verifying that the status of all configurations can be easily and accurately identified at any time. It will also formalize procedures for informing departments of modifications being considered and of modifications implemented. All proposed system modifications procedure are maintained by the Engineering Department and addresses the following elements of configuration control:

- J Change Initiation
- J Change Review Committee (CRC)
- J Rail Activation Committee (RAC)
- J Drawing Revision
- J Preparing/Submitting the Change Request
- J The RAC performs cost, schedule and quality checks and forwards change request forms to the CRC for review and evaluation.

In addition to the review and approval process described in this section, rail system design and operational modifications are also submitted to the CPUC for review as required. Modifications involving configuration changes require the approval of the Change Review Committee (CRC).

### 3.4.2.3.2 Testing:

The proposed modification is tested to identify and evaluate its effects on safety and performance. If the testing requires the use of test instruments, then it must be verified that these instruments are calibrated prior to testing. A formal test plan addressing system interfaces is completed prior to testing. Test results are evaluated by the CRC and must be acceptable by all members of the CRC and concerned departments prior to implementation. The CRC is responsible for documenting this testing. Upon completion of its evaluation, the CRC provides recommendations and approval decisions.

### 3.4.2.3.3 Documentation:



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Configuration changes approved by the CRC are documented. In this process, the CRC and SMEs examine the as-built drawings, equipment drawings, schematics and specifications. It verifies that modifications to all systems are documented accurately and in a complete manner.

The Engineering Department is responsible for maintaining all documentation generated by contract close-out and which is required by Light Rail for SacRT Rail Projects (i.e. rail activation, operations and maintenance). These documents (Project Record [as built] Drawings & Specifications, Operation and Maintenance [O&M] Manuals) will be maintained under configuration- controlled conditions. Other documents (O&M deliverables) such as warranties, permits, and special tools and keys will be transferred to the responsible O&M user department.

Proposed system and equipment/design modifications (including operations software) will be evaluated to verify that all existing safety requirements are met, no new hazards are created and opportunities to improve safety are identified. Rail system equipment/design modifications are submitted to the California Public Utilities Commission for review as required. Approval must be obtained prior to incorporating the modification into the system

### 3.4.3 Change Review Committee (CRC)

The committee evaluates any planned changes to fit, form or function of SacRT equipment, vehicles, or facilities. The review process is designed to identify any safety risks that may be introduced in by the planned changes as a component of the Safety Risk Assessment process. The CRC is responsible for the following:

- J Evaluating proposed hazard resolution and making approval decisions.
- J Performing change reviews for Change Requests and making approval decisions.
- J Providing continuing and timely review of changes proposed and/or ordered to the rail system.
- J Performing cost, schedule and quality checks on Change Requests; conducting Change Technical Reviews if required; and scheduling the Change Request for CRC review.
- J Assigning Change Order numbers to approved Change Requests, maintaining a computer data base log and distributing the approved Change Orders.
- J Processing change control documents.
- J Maintaining: Change Request/Order files and records; minutes, action items and records; general drawing and change status reports; operations and maintenance manuals, specifications and other bulk publications; and permits, vendor information and parts lists.
- J Maintaining the Operations Baseline Drawing Configuration Status Accounting Report and distributing hard copies monthly or as needed.
- J Overseeing and supplying all Operations (field) Technical Libraries.
- J Fulfilling requests for latest drawing configuration, changes pending on drawings and the status of each change in the system.
- J Responding to inquiries and verifying that the user's drawing(s) are of the latest revision and that the user has copies of all outstanding (unincorporated) Change Orders against the drawings.

- J Revising drawings when Change Orders are implemented.
- J Upon completion of the revision, issuing a Notice of Revision to all (Drawing) Controlled Copy recipients.
- J Ordering drawings in hard copy media as required for distribution and updating the drawing configuration status database for release to Technical Libraries and other users as required.

#### **3.4.4 Rail Activation Committee**

The Rail Activation Committee (RAC) is comprised of professionals drawn from SacRT, Consultants and Contractors in order to provide a proactive, multi-disciplinary approach to the certification of Rail Projects.

RAC is co-chaired by the Director of Light Rail Operations and Director of Light Rail Maintenance. The committee oversees the final stages of developing test procedures, Rules and Procedures for conducting test operations, testing installations and witnessing contractor test/review of test results. Finally, with turnover of the Rail Project to the Light Rail Department, SacRT assures continuity and safety in its projects.

Some of the more specific responsibilities include:

- J Resolving problems discussed at RAC meetings.
- J Review and approve operations and maintenance plans.
- J Review and approve Rules and Procedures.
- J Preparing staffing and cost level.
- J Ensuring readiness through emergency drills.
- J Monitoring Construction Installation.
- J Managing work performance of Rail Start-Up (i.e. Training and Operational Readiness).

#### **3.5 Continuous Quality Improvement**

The Quality Management Process includes three (3) distinct methods:

1. Prospective Quality Management is used in the design and implementation phase of a project process or policy, to increase the likelihood of success. Activities include training, education, and procedure development.
2. Concurrent Quality Management is used to provide “real-time” feedback and coaching, during performance of the monitored activity. Examples of this include compliance checks, ride checks, and video observation.
3. Retrospective Quality Management is used to review prior performance, to identify areas for improvement. Those areas are then moved to the prospective quality management process for development.

Combined, these three (3) methods and six (6) Safety Assurance Elements serve as the basis for the continuous quality improvement process. Data informed decision making will be used to identify areas of improvement. This includes review of operating, maintenance rules, and procedures that



## Public Transportation Agency Safety Plan

affect safety will be reviewed for effectiveness, and a determination made regarding the need to be modified.

### 3.5.1 Metrics, Benchmarks, and Goal Setting

Revisions of policies and procedures will include the development of metrics and benchmarks which will be used to evaluate the efficacy of the policy or procedure, and identify the need for change.

Information from compliance checks will be used to develop metrics; establish benchmarks; and develop goals for continuous improvement.

Data used to develop benchmarks will be obtained from the following:

- ) Workers Compensation Loss Runs
- ) US Bureau of Labor Statistics
- ) American Public Transportation Association (APTA)
- ) Federal Transportation Agency-National Transportation Database (NTD)

SacRT's transportation safety performance measures are based on the measures established under the National Public Transportation Safety Plan. These measures will be evaluated over a fiscal year period with a baseline year being Fiscal Year 2021 (7/1/2020-6/30/2021)

#### RAIL METRICS, BENCHMARKS, AND GOALS - LIGHT RAIL

Performance Measures	Targets
Fatalities	0
Fatality Rate Per 100,000 Revenue Miles	0
Reportable Injuries	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Injuries Rate Per 100,000 Revenue Miles	Based on Total Reported Injuries
Reportable Safety Events	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Safety Events Rate Per 100,000 Revenue Miles	Based on Total Reported Safety Events
System Reliability Light Rail (mean distance between major mechanical failures)	≥ 10% Increase in System Reliability based on previous year's NTD reported numbers

#### BUS METRICS, BENCHMARKS, AND GOALS - SACRAMENTO & ELK GROVE

Performance Measures	Targets
Fatalities	0
Fatality Rate Per 100,000 Revenue Miles	0
Reportable Injuries	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Injuries Rate Per 100,000 Revenue Miles	Based on Total Reported Injuries
Reportable Safety Events	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Safety Events Rate Per 100,000	Based on Total Reported Safety Events



Public Transportation Agency Safety Plan

Revenue Miles	
System Reliability Motor Coach (mean distance between major mechanical failures)	≥ 10% Increase in System Reliability based on previous year's NTD reported numbers

**BUS METRICS, BENCHMARKS, AND GOALS –COMMUNITY BUS SERVICES & SMART RIDE**

Performance Measures	Targets
Fatalities	0
Fatality Rate Per 100,000 Revenue Miles	0
Reportable Injuries	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Injuries Rate Per 100,000 Revenue Miles	Based on Total Reported Injuries
Reportable Safety Events	≥ 10% Reduction of previous year's NTD reported numbers
Reportable Safety Events Rate Per 100,000 Revenue Miles	Based on Total Reported Safety Events
System Reliability Motor Coach (mean distance between major mechanical failures)	≥ 10% Increase in System Reliability based on previous year's NTD reported numbers

**BUS METRICS, BENCHMARKS, AND GOALS – SacRT GO\***

Performance Measures	Targets
Fatalities	0
Fatality Rate Per 100,000 Revenue Miles	0
Reportable Injuries	≥ TBD Reduction of previous year's NTD reported numbers
Reportable Injuries Rate Per 100,000 Revenue Miles	Based on Total Reported Injuries
Reportable Safety Events	≥ TBD Reduction of previous year's NTD reported numbers
Reportable Safety Events Rate Per 100,000 Revenue Miles	Based on Total Reported Safety Events
System Reliability Motor Coach (mean distance between major mechanical failures)	≥ TBD Increase in System Reliability based on previous year's NTD reported numbers

\*New service baseline being established

**METRICS, BENCHMARKS, AND GOALS – VIOLENCE AGAINST OPERATORS\***

Performance Measures	Targets
Fatalities	0
Fatality Rate Per 100,000 Revenue Miles	0
Reportable Injuries	≥ TBD Reduction of previous year's NTD reported numbers
Reportable Injuries Rate Per 100,000 Revenue Miles	Based on Total Reported Injuries
Reportable Events	≥ TBD Reduction of previous year's NTD reported



## Public Transportation Agency Safety Plan

	numbers
Reportable Events Rate Per 100,000 Revenue Miles	Based on Total Reported Safety Events

\*New metric, needs one (1) year data to establish baseline

### 3.5.2 Coordination with State and Metropolitan Planning Organizations

49 CFR, Part 673, the “Public Transportation Agency Safety Plan Regulation” requires SacRT make their Strategic Performance Targets (SPT) available to their State and Metropolitan Planning Organizations (MPOs) (§ 673.15(a)). That agency would be SACOG for SacRT. SacRT also must coordinate with States and MPOs in the selection of State and MPO safety performance targets, to the maximum extent practicable (§ 673.15(b)).

During this coordination process, to ensure consistency across the transportation modes represented in the state/regional planning process, States and MPOs may request that transit agencies use specific time periods for “total number” SPTs and specific Vehicle Revenue Mile (VRM) values for rate-based Strategic Performance Targets.

When establishing SPTs for total numbers, SacRT considers the total number of fatalities, injuries, and safety events they expect to experience per year (calendar, fiscal, or NTD reporting year). The annual timeframe may be established to ensure consistency with the state/regional planning process. Likewise, in setting rates per VRM, SacRT may use total annual VRM, or another number (e.g. 100,000 VRM, 1,000,000 VRM, or 10,000,000 VRM) as needed for consistency with state/regional planning requirements.

SacRT tracks the following current NTD metrics that will be used as a baseline to determine the Strategic Performance Targets:

- ) Light Rail
  - o Fatalities
  - o Fatalities per total revenue mile
  - o Injuries
  - o Injuries per total revenue mile
  - o Safety Events (Evacuations, fires, etc.)
  - o Safety Events per total revenue mile
  - o System Reliability (Mean distance between failures)
- ) Motor Bus
  - o Fatalities
  - o Fatalities per total revenue mile
  - o Injuries
  - o Injuries per total revenue mile
  - o Safety Events (Evacuations, fires, etc.)
  - o Safety Events per total revenue mile
  - o System Reliability (Mean distance between failures)
- ) Demand Service
  - o Fatalities
  - o Fatalities per total revenue mile
  - o Injuries





## Public Transportation Agency Safety Plan

- Injuries per total revenue mile
- Safety Events (Evacuations, fires, etc.)
- Safety Events per total revenue mile
- System Reliability (Mean distance between failures)

The data is currently tracked and reported to the FTA through the National Transit Database (NTD). The responsibility to report the required data is shared between Planning, Finance, and Safety.

### 3.5.3 Safety Data Acquisition and Analysis

This function involves collecting and analyzing safety-related data in order to identify areas that require improvement. Trend analysis is also performed as a means of identifying causes of accidents and occupational injuries. Analysis addresses accident variables, procedures, human factors, environmental conditions, and other factors. A formal link has been established between the Safety Data Acquisition/Analysis function data to support the areas identified for improvement.

The Safety Data Acquisition/Analysis Function also involves acquiring technical information and data for use in the Design Review and the System Modification Review and Control Functions. Sources for such data include, but are not limited to, the following:

- )] American National Standards Institute (ANSI)
- )] American Railway Engineering and Maintenance Association (AREMA)
- )] American Society for Testing and Materials (ASTM)
- )] American Public Transportation Association (APTA)
- )] National Fire Protection Association (NFPA)
- )] California Code of Regulations (CCR)
- )] California Public Utilities Commission (CPUC)
- )] Federal Railroad Administration (FRA)
- )] Federal Transit Administration (FTA)
- )] Safety Data Sheets (SDS)
- )] Society of Automotive Engineers (SAE)
- )] SacRT Accident and Employee Injury Data

Other data sources include building codes, professional society guidelines and others. Safety data is exchanged with other transit systems and is provided to external agencies as required. Safety provides required safety statistics to the California Public Utilities Commission and to the Department of Industrial Relations. The Safety Department reports statistical information to the Federal Transit Administration.

The Safety Department has access to accident data utilizing the IRIS database. Safety can perform various analyses and provide information to other departments utilizing this software. Similarly, Risk Management maintains claims data and provides analyses and reports on request. Exposure trends and recommendations are reported to SacRT management. The following are some of the core safety information reports that are available to all concerned departments:

- )] OSHA recordable injury rate
- )] Lost time cases
- )] Severity rate
- )] Days Away Restricted or Transferred (DART) Rate



## Public Transportation Agency Safety Plan

- ) Injuries by department
- ) Injuries by job title
- ) Employee claims by injury type
- ) Injuries by day of week
- ) Accident by description
- ) Accident by category
- ) Accident by location
- ) Accident by day of week
- ) Accident by seniority
- ) Accident by type
- ) Accident by time of day
- ) Accident frequency per 100,000 miles
- ) Accident by route

The Key Performance Indicators for reduction of employee lost time injuries per 100 employees, and bus/rail accidents are established using the latest available Bureau of Labor Statistics (BLS) data for the SIC or NAICS code.



## Public Transportation Agency Safety Plan

### **Safety Promotion**





## Public Transportation Agency Safety Plan

### 4 Communication

SacRT Public Transportation Agency Safety Plan (PTASP), Organizational Safety Policies (OSPs), including all changes in policies or procedures are communicated to all SacRT personnel, managers, and executives, as well as SacRT contractors and to the Board of Directors. The PTASP and OSPs are accessible at:

- ) SacRT Intranet – SacRT personnel may access the PTASP and OSPs electronically at the Safety Division intranet website.
- ) SacRT Internet – SacRT contractors may access the PTASP and OSPs electronically at the SacRT internet website.
- ) Employee Handbook – All existing employees will be provided access to the PTASP and OSPs.
- ) Safety Bulletin Boards – Changes to the PTASP and OSPs are posted on each Safety Bulletin Board located at each SacRT Division, where applicable.
- ) New Employee Orientation – The PTASP and OSPs are presented at the new employee orientation process.

#### 4.1 Safety Risk Communication

SacRT personnel will have access to view the risk register and the status of corrective action plans (CAPs). The access will be through SacRT Intranet.

The following methods or processes are used to convey information on hazards and safety risks relevant to the roles and responsibilities of various personnel:

- ) Pre-shift briefings
- ) Pre-task briefings
- ) Job Hazard Analysis (JHA) review
- ) Departmental Bulletin Boards
- ) Bulletins
- ) Notices
- ) Safety Data Sheets
- ) Chemical Hazard Analysis
- ) Toolbox Talks
- ) Training Programs
- ) InformaCast Announcements

Other methods of risk communication includes the labor management committees or safety committees.

#### 4.2 SSOA Communication

The Safety Department will serve as the SacRT single point of contact (SPOC) for communication with the SSOA. Required notification to the SSOA includes:

- ) 2-Hour Notification of reportable events as defined by the CPUC General Order 164 (current series)
- ) Notification of investigation
  - o Final Investigation Report must be completed within 60 days



## Public Transportation Agency Safety Plan

- Interim status report every 30 days for reports which take more than 60 days
- Notify SSOA when additional investigation is conducted by an investigation team or panel performing interviews, questioning witnesses, or conducting inspections, measurements, examinations, or tests, etc. as part of the investigation beyond the initial on scene investigation
- Provide for SSOA's participation to the fullest extent possible in accident investigations, and make all information related to the accident investigation, including data from event recorders, available to SSOA for review.
- )] Safety Risks with a risk assessment code (RAC) of unacceptable
  - This notification will be as soon as is practicable
- )] Monthly Service Records and Event and/or Hazard and Corrective Action Plan (MSREHCAP) Summary
- )] Internal safety and security audit schedule
- )] Internal safety and security audit certification letter
- )] Annual PTASP review and modification notification
- )] Proposed Corrective Action Plan (CAP) resulting from:
  - Final Investigation Report (FIR) of rail reportable events;
  - SSOA Inspection;
  - Triennial audit findings
  - Internal audit findings
- )] Monthly status updates of CAPs under regulatory oversight by the SSOA
- )] Safety Certification Plan
- )] Rail Related SOP changes and notices

### 4.3 Safety Management System Committees

The Safety Management System (SMS) Committee is comprised of professionals drawn from SacRT, Consultants and Contractors in order to provide a proactive, multi-disciplinary approach to support the development, implementation and operation of SacRT's safety promotion.

SacRT will conduct the following meetings, chaired by a member of the Safety Department, at least quarterly to review the safety risk register, corrective action plans, and SMS metrics:

- )] Bus SMS Committee includes members from:
  - Bus Operations Department
  - Bus Maintenance Department
  - Facilities Maintenance Department
  - Engineering Department
  - Risk Management Department
  - Safety Department
  - Police Services
- )] Light Rail SMS Committee includes members from:
  - Light Rail Operations Department
  - Light Rail Vehicle Maintenance Department
  - Wayside Maintenance Department
  - Facilities Maintenance Department
  - Engineering Department



## Public Transportation Agency Safety Plan

- Risk Management Department
- Safety Department
- Police Services
- SSOA

### 4.4 Training

Employee safety training programs are developed to comply with federal, state and local regulatory requirements. The Safety Department develops these programs, facilitates implementation by other departments and monitors the programs.

SacRT has implemented the following Employee Safety Training Programs for personnel:

Training	LRV Maintenance	Wayside Maintenance	Facilities Maintenance	Bus Maintenance	Bus Operations	LRV Operations	Other Personnel
Injury and Illness Prevention Program (IIPP)	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Hazard Communication Program	Yes	Yes	Yes	Yes	Yes	Yes	Awareness Level
SMS Orientation Program	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Asbestos Awareness Program	Yes	Yes	Yes	Yes	Yes	Yes	Yes
First Aid, CPR, & AED training	Yes	Yes	Yes	Yes	No	No	Job dependent
Bloodborne Pathogens/Infection Prevention Program	Yes	Yes	Yes	Yes	Awareness Level	Awareness Level	Awareness Level
Job Hazard Analysis	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level
Hazardous Materials Management	Yes	Yes	Yes	Yes	Awareness Level	Awareness Level	Awareness Level
Universal Waste Management	Yes	Yes	Yes	Yes	Awareness Level	Awareness Level	Awareness Level
Spill Prevention, Control, and Countermeasures	Yes	Yes	Yes	Yes	Awareness Level	Awareness Level	Awareness Level
Lockout - Tagout Program	Yes	Yes	Yes	Yes	No	No	Job dependent
Electrical Worker Safety	Yes	Yes	Yes	Yes	No	No	Job dependent
Qualified	No	Job	No	Job	No	No	No



## Public Transportation Agency Safety Plan

Training	LRV Maintenance	Wayside Maintenance	Facilities Maintenance	Bus Maintenance	Bus Operations	LRV Operations	Other Personnel
Electrical Worker Training		dependent		dependent			
Personal Protective Equipment	Yes	Yes	Yes	Yes	Awareness Level	Awareness Level	Awareness Level
Heat Illness Awareness and Prevention	Yes	Yes	Yes	Yes	No	No	Job dependent
Respiratory Protection Program	Yes	Yes	Yes	Yes	No	No	Job dependent
Hearing Conservation Program	Yes	Yes	Yes	Yes	No	No	Job dependent
Fall Protection Program	Job dependent	Job dependent	Job dependent	Job dependent	No	No	Job dependent
Confined Space Safety Program	No	Job dependent	Job dependent	No	No	No	Job dependent
Aerial Work Platform Operator Training	No	Job dependent	Job dependent	No	No	No	Job dependent
Powered Industrial Truck Operator Training	Job dependent	Job dependent	Job dependent	Job dependent	No	No	No
Business Continuity and Recovery Plan	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Training Level Job dependent
Contagious Disease Response Plan	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Awareness Level	Training Level Job dependent
Drug and Alcohol Policy	Yes	Yes	Yes	Yes	Yes	Yes	Job dependent
On-Track Safety Program	Yes	Yes	Yes	No	No	Yes	Job dependent
Personal Electronic Devices (PED) Procedure	Yes	Yes	Yes	No	Yes	Yes	Job dependent
Roadway Worker Protection Program	Yes	Yes	Yes	No	No	Yes	Job dependent

Personnel who conduct safety audits and examinations of public transportation systems and those who are directly responsible for safety oversight of public transportation agencies are also required to comply with the Public Transportation Safety Certification Training Program requirements. The



## Public Transportation Agency Safety Plan

training program includes the following training provided through the FTA’s Transportation Safety Institute.

Personnel who fill any of the positions listed below have three (3) years from their appointment to the position to complete the available training.

The training for rail personnel who conduct safety audits and examinations includes:

Job	SMS Awareness Training	SMS Safety Assurance	SMS Principles for Transit	Transit Rail System Safety	Effectively Managing Transit Emergencies	Transit Rail Incident Investigation
Director of Light Rail Operations	Yes	Yes	Yes	Yes	Yes	Yes
Director of Light Rail Maintenance	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Operations Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Vehicle Maintenance Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Wayside Maintenance Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Police Service Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Transportation Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Vehicle Maintenance Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
Light Rail Wayside Maintenance Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
Police Service Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
CSO & Safety Department Personnel	Yes	Yes	Yes	Yes	Yes	Yes

The training for bus personnel who conduct safety audits and examinations includes:

Job	SMS Awareness Training	SMS Safety Assurance	SMS Principles for Transit	Transit Bus System Safety	Effectively Managing Transit Emergencies	Transit Bus Incident Investigation
Director of Bus Operations (includes CBS and SacRT GO)	Yes	Yes	Yes	Yes	Yes	Yes
Director of Bus	Yes	Yes	Yes	Yes	Yes	Yes





## Public Transportation Agency Safety Plan

Maintenance						
Bus Operations Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Bus Maintenance Superintendent	Yes	Yes	Yes	Yes	Yes	Yes
Bus Transportation Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
Bus Maintenance Supervisor	Yes	Yes	Yes	Yes	Yes	Yes
CSO & Safety Department Personnel	Yes	Yes	Yes	Yes	Yes	Yes

### 4.5 Refresher Training

Personnel who have previously completed training required by the Public Transportation Safety Certification Training Program must complete refresher training every three (3) years. Development of the refresher training requirement will be completed in consultation with the SSOA.

### 4.6 Safety Training Records

Safety training records are maintained electronically, in compliance with the SacRT Record Retention Policy.

### 4.7 Toolbox Talks

SacRT will provide a standardized monthly safety related toolbox topics, distributed to each maintenance department by the Safety Department. Each department will distribute, and present the toolbox talks to their personnel.

### 4.8 Public Safety Training

An On-Track Safety program has been developed for contractors working on or near rail tracks. The purpose of this program is to prevent accidents and casualties caused by moving LRVs or roadway maintenance machines striking roadway workers or roadway maintenance machines.

This program prescribes minimum safety standards for roadway workers. Each contractor may prescribe additional or more stringent operating rules, safety rules, and other special instructions that are consistent with this program.

This program prescribes safety standards related to the movement of roadway maintenance machines where such movements affect the safety of roadway workers. Employees, and Contractors prior to working within ten (10) feet of the rail tracks are required to attend the SacRT's On Track Safety Program.

SacRT maintains electronic records for persons, and organizations that have received On-Track Safety (OTS) training.

Completion of contractor OTS training is verified by the Safety Department as the final component of the Track Warrant Permit process.



## Public Transportation Agency Safety Plan

### **4.9 *Drug and Alcohol Program***

The SacRT Drug and Alcohol Program Policy defines the methods of compliance to promote a drug and alcohol-free workforce. The program is in compliance with 49 CFR Part 655.

### **4.10 *Hazard Resolution Fire Life Safety Committee (HRFLSC)***

SacRT will at least annually hold a HRFLSC meeting to review and coordinate with emergency services, utility companies, and public works to offer On-Track Safety training, system/facility changes, familiarization with accessing and safely working around the SacRT system.



# Public Transportation Agency Safety Plan (PTASP)

Lisa Hinz, VP of Safety, Security and Customer Satisfaction  
October 26, 2020

- PTASP required by FTA and CPUC
  - Explains SacRT's Safety Processes
  - Data-driven approach to manage hazards
  - Includes performance measures and targets
  - Draft plan coordinated with internal stakeholders and provided training
  
- Based on Safety Management System (SMS) Principles
  - Four Components to SMS:
    1. Safety Management Policy
    2. Safety Risk Management
    3. Safety Assurance
    4. Safety Promotion

## Safety Management System Components

### Safety Management Policy

- Assigns authorities, accountabilities, and responsibilities for all SacRT staff
- Integration with Emergency Management
- SMS Documentation and Records

### Safety Risk Management

- Safety Hazard Identification
- Safety Risk Assessment
- Safety Risk Mitigation

### Safety Assurance

- Safety Performance Monitoring and Measurement
- Management of Change
- Continuous Improvement

### Safety Promotion

- Safety Training Program
- Safety Communication

## SacRT's Safety Performance Measures

### RAIL MEASURES AND TARGETS

Performance Measures	Targets
Fatalities	0
Fatality Rate per 100000 Revenue Miles	0
Reportable Injuries	≥5% Reduction of previous year's NTD reported numbers
Reportable Injuries Rate per 100000 Revenue Miles	Based on Total Reported Injuries
Reportable Safety Events	≥5% Reduction of previous year's NTD reported numbers
Reportable Safety Events Rate per 100000 Revenue Miles	Based on Total Reported Safety Events
System Reliability Rail (mean distance between major mechanical failures)	≥ 5% Increase in System Reliability based on previous year's NTD reported numbers

Deadline for PTASP: December 31, 2020

Steps:

1. Safety staff has reviewed and commented on initial draft
2. Other affected stakeholders comment period on initial draft
3. Submit final draft for comments
4. Submit final draft to CPUC for approval.
5. Presentation to Board for approval (October 26, 2020)
6. Board votes on PTASP (Final version October 26, 2020)
7. Roll out PTASP effective November 1, 2020



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Shelly Valenton, VP, Integrated Services and Strategic Initiatives  
**SUBJ:** ADOPTING THE SACRAMENTO REGIONAL TRANSIT DISTRICT STRATEGIC PLAN 2021-2025

### RECOMMENDATION

Adopt the Attached Resolution.

### RESULT OF RECOMMENDED ACTION

If approved, the Sacramento Regional Transit District Strategic Plan 2021-2025 will be implemented at SacRT.

### FISCAL IMPACT

None as a result of this action.

### DISCUSSION

The Sacramento Regional Transit (SacRT) Strategic Plan 2021-2025 updates the previous plan adopted by the Board on January 26, 2015. The Plan, which is provided in Exhibit A, updates the mission statement, vision statement, values and strategic initiatives outlining the highest priority projects on which teams and individuals within the agency will work. SacRT strives to balance the delivery of a high-quality customer experience with value to taxpayers, and this strategic plan offers a platform from which the agency will take aim at these high-level aspirations.

The SacRT Executive Management Team and management staff, with input from employees at various levels of the organization representing different functional areas, developed strategic priorities and how SacRT will work to achieve them. The plan introduces specific work tactics and a comprehensive performance scorecard system that SacRT management and division leaders will use to monitor organizational and division performance on a quarterly basis.

Staff will implement the new Strategic Plan by continuing to create a culture of change and ownership, engaging with our labor partners and community stakeholders, and developing robust performance management systems for tracking and reporting.

RESOLUTION NO. 20-10-0126

Adopted by the Board of Directors of the Sacramento Regional Transit District on this date:

October 26, 2020

**ADOPTING THE SACRAMENTO REGIONAL TRANSIT DISTRICT  
STRATEGIC PLAN 2021-2025**

NOW, THEREFORE, BE IT HEREBY RESOLVED BY THE BOARD OF DIRECTORS OF THE SACRAMENTO REGIONAL TRANSIT DISTRICT AS FOLLOWS:

THAT, the Sacramento Regional Transit District Strategic Plan 2021-2025 as set forth in Exhibit A, attached hereto, is hereby adopted and approved.

\_\_\_\_\_  
STEVE HANSEN, Chair

A T T E S T:

HENRY LI, Secretary

By: \_\_\_\_\_  
Cindy Brooks, Assistant Secretary

# EXHIBIT A

## Sacramento Regional Transit District Strategic Plan 2021-2025



# Strategic Plan 2021-25

Sacramento



Regional  
Transit

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## 1

# Introduction

General Manager /  
CEO Henry Li

## We Are Moving Sacramento



The disruptive impact of the COVID-19 pandemic precisely demonstrates the need for a strategic plan – especially for organizations that are publicly funded like the Sacramento Regional Transit District (SacRT). The pandemic is a major hurdle; however, it's also an opportunity for our industry to show the vital role public transit plays in keeping the Sacramento community moving. One thing that has been consistent from the start of the crisis is that public transit is a lifeline for many – providing critical mobility options for millions of front-line health care, public safety, grocery, and service industry workers fulfilling essential roles during the crisis.

A well-crafted strategic plan provides the management team and stakeholders with guiding goals, projects, and programs to be implemented in the short term to achieve longer-term outcomes. In the event of an unforeseeable incident, like a global pandemic, the plan can be easily resumed once the crisis has been managed or has passed. By having clarity on the bigger picture, it also provides the organization with the freedom and flexibility to adapt the plan to changing conditions.

This strategic plan details SacRT's aspirations and the steps for attaining goals. It articulates the agency's vision for operational excellence, for an

elevated customer experience, for a valuable partnership with the Sacramento community, and for an engaged workforce.

The plan also introduces the SacRT performance scorecard. The scorecard, which is comprised of quarterly metrics, will be used to actively report to the Board, our customers, and the community how well we are performing in efforts to achieve our goals.

No one can accurately predict what the coronavirus will do next, nor when it will be safe for all of us to resume "life as normal." For the time being, all of us at SacRT will continue to do all that we can to get our customers where they want to go – as safely and as efficiently as possible.

SacRT's Strategic Plan for FY2021-25 will serve as for the guiding vision for post-pandemic strategic success.

I am thankful to all staff that helped with the planning process and believe that this plan will elevate SacRT to new heights through a focused pursuit of excellence.

Sincerely,

Henry Li  
General Manager / CEO



# 2 Mission, Vision & Values

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## Mission

Moving you where you want to go,  
when you want to go.



# Vision

A leader in providing mobility options for our community.

# Values

Six core principles guide individuals, teams, and the entire SacRT organization:

## Collaboration

**I work with a collaborative spirit** to help my colleagues and our customers to succeed.

## Respect

**I communicate clearly, respectfully, and honorably** – in a way that would make my family proud – to my colleagues and our customers.

## Trust

**I trust my teammates and empower them to make decisions** that improve the quality of life for their colleagues, our customers, and the community that supports us.

## Diversity

**I recognize and honor diversity and social justice**, and seek out and listen for voices different than mine.

## Innovation

**I challenge the easy** and inspire myself and others to look for innovative solutions.

## Excellence

**I work to deliver excellence** to our customers through clean, safe, reliable, and convenient service.

# 3 Executive Summary

## Introduction

Sacramento Regional Transit's (SacRT) Strategic Plan represents strategic initiatives outlining the highest priority projects that teams and individuals within the agency will work on over the 2021-25 fiscal years.

The SacRT Executive Management Team and management staff, with input from employees from various functional areas, developed the plan to serve as a blueprint for operational excellence.

SacRT strives to balance the delivery of a high-quality customer experience with value to taxpayers, and this strategic plan offers a platform from which the agency will take aim at these two high level aspirations.

This strategic plan is crafted for personnel at all levels of the organization as well as SacRT stakeholders in the community. Its contents convey with great clarity objectives for the fiscal year and how SacRT will work to achieve them.

The plan introduces a comprehensive performance scorecard that SacRT management and division leaders will monitor and report on every quarter over the course

of the year. The scorecard will allow SacRT – and all the organization's stakeholders -- to track the agency's performance and how well it is living up to its mission, vision, and goals for the year.

In its simplest form, the Strategic Plan represents four fundamental and integrated elements:

1. **WHY** SacRT leaders, teams, and staff are driven to deliver high quality service. This includes Mission, Vision, and organizational Values.
2. **WHAT** outcomes SacRT strives to achieve. This encompasses annual goals.
3. **HOW** SacRT will work toward achieving the goals. This includes identification of specific work plan tactics that will be implemented by SacRT teams.
4. **WHO** within SacRT is contributing to achievement of the goals. This encompasses the use of a performance scorecard system to monitor organizational and division performance on a quarterly basis.

## 1

## WHY?

**Mission Statement**

Moving you where you want to go, when you want to go.

**Vision Statement**

A leader in providing mobility options for our community.

**Values**

Collaboration  
Diversity  
Innovation  
Respect  
Trust  
Excellence

## 2

## WHAT?

**Annual Objectives**

It will be a successful year for Sacramento Regional Transit if we:

1. Establish a baseline of customer satisfaction.
2. Deliver operational excellence across the organization.
3. Establish a baseline of the community's perception of SacRT as a trusted partner.
4. Improve employee engagement over the prior year.

## 3

## HOW?

With clarity of goals, strategic priorities were identified to help narrow focus on areas of service and operations that most closely align with stated goals. Then, a work plan was developed to encompass projects and programs that SacRT teams will strive to complete over the coming year.

1. Customer Satisfaction
2. Operational Excellence
3. Community Value
4. Employee Engagement

## 4

## WHO?

Performance in operational areas will be measured over the course of the year with a quarterly agency performance scorecard.

The performance scorecard is comprised of metrics that are significant to the quest for service excellence and value to taxpayers and which tie directly to the four strategic priorities identified. With the scorecard – and the Division level performance scorecards, all members of the workforce can see how their efforts support the success of the entire agency.

## WHY

**Mission**

Moving you where you want to go, when you want to go.

**Vision**

A leader in providing mobility options for our community.

**Values**

Collaboration  
Diversity  
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The SacRT organization strives to balance the delivery of a high quality customer experience with value to taxpayers, and this strategic plan offers a platform from which the agency will take aim at these two high level aspirations.

## WHAT

**Annual Outcomes**

1. Establish a baseline of customer satisfaction
2. Deliver operational excellence across the organization.
3. Establish a baseline of the community's perception of SacRT as a trusted partner.
4. Improve employee engagement over prior year.



## HOW

**Tactical Activities**

Team tactics describe how annual goals will be attained. Primary focus this year is on Customer Satisfaction, Operational Excellence, Community Value, and Employee Engagement

1.

**Customer Satisfaction**

- ✓ Establish Baseline for Customer Satisfaction

2.

**Operational Excellence**

- ✓ ADA Service Transition
- ✓ Asset Management Planning
- ✓ Capital Improvements Program
- ✓ Develop Key Performance Indicator Standards for Grants
- ✓ Improve Project Management and Performance In Line with Strategic Plan
- ✓ Improve Technology Sources
- ✓ Increase On-Time Performance
- ✓ Increase Vehicle Reliability
- ✓ Proactive Maintenance Planning
- ✓ Procurement Standards
- ✓ Rebuilding Ridership
- ✓ Reduce Cancellations
- ✓ Refine Finance Key Performance Indicator Standards for Various Decision-Making Processes
- ✓ Scheduling to Allow Safety Measures and Achievable Schedules
- ✓ Successful Implementation of SMS
- ✓ Successful System Cleanliness Audit



# HOW



## Tactical Activities

Focused team tactics organized according to the four strategic priority areas of the Strategic Plan:

3.

### Community Value

- ✓ Communications Plan and Marketing Campaign
- ✓ Economic Impact in Station Areas (TOD) and Community Benefit
- ✓ Establish Baseline Goals for Police Services Perception with Customers and Employees
- ✓ Long Range Plan

4.

### Employee Engagement

- ✓ Employee Engagement and Implementation Program
- ✓ Employee Retention
- ✓ Reduce Risks (Workers Compensation Claims, Accidents, Claims)



This Strategic Plan introduces the SacRT Scorecard, a new tool to measure and monitor performance in key areas identified as essential to success for SacRT.

# WHO



**Quarterly Scorecard Metrics** to measure performance according to each of the four strategic priority areas.

1.

### Customer Satisfaction

- ▶ Customer Perception of SacRT's Value
- ▶ Overall Customer Satisfaction
- ▶ On-Time Performance Satisfaction
- ▶ System Cleanliness Satisfaction

2.

### Operational Excellence

- ▶ Rebuild Ridership Trust
- ▶ System Cleanliness
- ▶ Operating Cost Per Vehicle Revenue Hour
- ▶ On-Time Performance
- ▶ In-Service Failures
- ▶ Preventable Accidents

3.

### Community Value

- ▶ Community Perception of SacRT's Value to the Region
- ▶ Community Perception of Economic Impact to Sacramento Region
- ▶ Social Media Engagement
- ▶ Community Perception of Transit Accessibility
- ▶ Economic Impact in Station Areas (TOD) and Community Benefit

4.

### Employee Engagement

- ▶ % Agree They Receive Timely Feedback on Performance from Supervisor
- ▶ % Agree Teamwork is Encouraged and Practiced
- ▶ % Agree They Receive Enough Training to be Their Best at Work
- ▶ % Agree They are Overall Happy at Work
- ▶ % Agree They Have a Good Working Relationship with Those Around Them



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## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** Henry Li, General Manager/CEO  
**SUBJ:** GENERAL MANAGER'S REPORT

### RECOMMENDATION

No Recommendation — For Information Only.

### **Capitol Corridor Joint Powers Authority Meeting – September 16, 2020 (Miller)**

Written report has been provided.

### **San Joaquin Joint Powers Authority Meeting – September 25, 2020 (Hume)**

Written report has been provided.

### **SacRT Meeting Calendar**

#### **Regional Transit Board Meeting**

November 9, 2020  
SacRT Auditorium / Webconference  
5:30 P.M

#### **Quarterly Retirement Board Meeting**

December 9, 2020  
SacRT Auditorium / Webconference  
9:00 A.M.

#### **Mobility Advisory Council Meeting**

November 5, 2020  
SacRT Auditorium / Webconference  
2:30 P.M.





## STAFF REPORT

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**DATE:** October 26, 2020

**TO:** Sacramento Regional Transit Board of Directors

**FROM:** Michael Cormiae, Director, Light Rail Maintenance

**SUBJ:** SUMMARY FOR THE CAPITOL CORRIDOR JOINT POWERS AUTHORITY MEETING OF SEPTEMBER 16, 2020

### RECOMMENDATION

No Recommendation – For Information Only

- I. Call to Order – 10:08 a.m.
- II. Roll Call and Pledge of Allegiance - Present for the District: Director Miller.
- III. Report of the Chair: Thanks for joining the virtual meeting as per Governors orders. No live streaming today.
- IV. Consent Calendar - *Approved*
  1. Approve Minutes of the June 17, 2020
  2. Approve 2021 CCJPA Board of Directors meeting schedule swap venues to Suisun
- V. Action and Discussion Items
  1. COVID-19 Update *Info.*: *[Slide Presentation] Impacts, ridership & revenue up 10%. Social distance will be accommodated with 4 car trains instead of 5. Aug 20, 2020 – Partial restoration of bus service from Emeryville to SF. Continued enhanced cleaning. Draft business plan.*
    - \*Public Comment – *Mike Barnbaum – Thanks to the first ever corridor conversation Emeryville service to SF. Possibility public transit provider for that service.*
    - \*Director Comments – *Raburn has received comments from passengers regarding café car closures. People seemed to understand the reason (COVID).*
  2. CCJPA FY 2020-2021 Budget *Action* – Administration, Marketing, information, customer support services, and supplemental. FY annual allocation letter (CTA) reviewed. Decrease 18.5%. Adopt \$9.05M FY 2021 Budget.
    - \*Public Comment – *Roland - Why was the allocation limit less compared to BART?*
    - \*Director Raburn – *Concerned with the cuts to the budget and impacts to minor capital projects fencing, maintenance, security.*
    - Rob Padgette: Cashflow issue. If revenue comes back, we'll spend in real time.*
    - \*Director Allen – *Budget slide, Concerned with Administrative 4.0% increase. Responded – Entire staff, BART, Rate of inflation in the bay area for the increase per state guidance. – Approved*
  3. Legislative Matters FY 2020-2021 State Budget *Info* - *Cares Act update working with Congress. Fast Act expires in December.*
    - \*Public Comments – *Accolades to Senator Weiner.*
  4. South Bay Connect Update *Info* – *Scoping outreach for the project. Townhall meetings regarding environmental analysis.*

*\*Public Comments – Mike Barnbaum – via email, participated in both townhall meetings, listened to negative comments, separate passenger from freight.*

*\*Public Comments – Roman – South-bay connect “Orangeline” different versions, serious issues with plan and the connections.*

*\*Public Comments - E. Ames “District 6”– concern project is premature, needs to complete study. Would like the board to respond, questioning why we need more trains to SJ.*

*\*Public Comments – Joe Bolty – Thanks for upgrading the webpage, concerned with no bus service connecting Ardenwood. Agrees there is competing rail services.*

*\*Director Li – How are the concerns addressed? Redundant service is appreciated and is needed.*

*\*Director Raburn – Agrees with redundancy for passenger service.*

*\*Director Allen – Is funding identified and committed? Yes, TCRP committed, several minor funding sources with funding tables. Please note Director Ames’ concern on the study.*

5. Capital Projects Update: **Info** [Slide presentation] - Transbay Rail Crossing Project report with proposed second bay crossing from SF to Oakland, and 21 county market in the Megaregional Plan.

*\*Public Comment – Director Ames – Reconsider the vision to solve gaps in ridership.*

*\*Public Comment – Phone Caller – critical that BART needs to be a partner. Able to deliver a large project. BART needs to carve out funding for the Transbay tube.*

*\*Public Comment – Transbay coalition – How do we prioritize ridership projects?*

*\*Public Comment – Joe Bolty – We have severe connectivity issues on both sides of the bay.*

*\*Director Raburn – Likes the Link21 name, opens doors to resolving issues, and helping financing.*

*\*Director O’Neal – How do we get a project done in a timely fashion?*

*\*Director Li – Align with previous director.*

6. Managing Directors report **Info** – Performance - Ridership levels down 45%, Down \$500k per month. ROW incidents fencing and safety improvements. Moving encampments, 12 fatalities.

7. Work Completed **Info**

- a. CCJPA Anti-Racism Statement – Viewed Board put together a statement.

- b. Martinez Lighting Enhancement

- c. Richmond Clean-Up

- d. Flooring Repair work

- e. Marketing and Communications Activities (June 2020 –August 2020) \*

8. Work in Progress **Info**

- a. Onboard Wi-Fi Upgrade

- b. California Passenger Information Display System (CalPIDS) Modernization

- c. Davis Crossovers and Signal Replacement Project

- d. Renewable Diesel Pilot Program, Phase II

- e. Sacramento-Roseville 3rd Track Project – Phase 1

- f. Santa Clara Siding

- g. Marketing and Communications Activities

*\*Public Comment - Mike Barnbaum – another great board meeting today. Like the Corridor Conversations.*

- vi. Board Directors report **Info** – Raburn – Thanked staff for following up East Oakland, cut fences, encampments, clean up neighborhoods.

- vii. Public Comments – *Caller – rodeo citizens coalition – Wants a train, next door to Hercules.*
- viii. Adjournment. 12:00pm - *Next Meeting Date: 10:30 a.m., November 18, 2020 at Sacramento City Hall, Council Chambers, 915 I Street, Sacramento, CA 95814*



## STAFF REPORT

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**DATE:** October 26, 2020  
**TO:** Sacramento Regional Transit Board of Directors  
**FROM:** James Drake, Principal Planner  
**SUBJ:** SAN JOAQUIN JOINT POWERS AUTHORITY MEETING SUMMARY -  
SEPTEMBER 25, 2020

### RECOMMENDATION

No Recommendation — For Information Only.

Director Hume attended the meeting representing SacRT.

The Consent Calendar was approved by the San Joaquin Joint Powers Authority (SJJPA) Board. The next meeting will most likely be held as a virtual meeting due to COVID.

Item 4: Authorizing the Chair to Execute an Amendment to the 2020 San Joaquin's Intercity Passenger Rail Service Operating Agreement with Amtrak – Approved.

Item 5: Approving Amendment 1 with AECOM to Increase the Total Consideration Amount by \$50,000 for the Completion of Project Development Consulting Services for Madera Station Relocation Project, Revised Total Contract Amount Not-to-Exceed \$416,000 and Authorizing the Executive Director to Execute Any and All Documents Related to the Project – Approved.

SacRT Staff joined the meeting late at 10:00 am during Item 8, an informational item on construction which has begun to improve the Turlock PNR lot to a bus loop.

Item 9 was an update on the Valley Rail project to bring additional San Joaquin train service into Sacramento on the 20th Street corridor. The Environmental Impact Report (EIR) is out for public review on the Valley Rail plan. Notable changes include removal from the project of a maintenance facility at the planned Natomas station which will be the northern terminal. The maintenance facility would have required considerable ROW acquisition which was cost-prohibitive and was determined to be non-essential. Station will still have a park-and-ride (PNR) lot and bus bays.

The planned Elk Grove station location has also been moved. The original planned location was near SacRT's Franklin light rail station, adjacent to the Sacramento Regional Sanitation District. During development of the EIR, City of Elk Grove responded with a proposal to find an alternative location closer to the City of Elk Grove itself.

Item 9 also included an informational update on the Stockton Diamond Grade Separation project at the junction of the Union Pacific Railroad (UPRR) and Burlington Northern/Santa Fe near the Port of Stockton.

Item 10 was an informational update on customer outreach during the COVID pandemic.

The meeting adjourned at 10:41 am.