



Public Transportation Agency Safety Plan (PTASP)

SAN LUIS OBISPO REGIONAL TRANSIT AUTHORITY

A Small Public Transportation Provider

¹ A small public transportation provider is a recipient or subrecipient of Federal financial assistance under 49 U.S.C. § 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system. 49 C.F.R. § 673.5.

EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21st Century (MAP-21) grants the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. As a component of this safety oversight framework, MAP-21 requires recipients of FTA Chapter 53 funding to develop and implement a Public Transportation Agency Safety Plan (PTASP) that addresses performance measures, strategies, and staff training opportunities.

MAP-21 expands the regulatory authority of FTA to oversee safety, providing an opportunity for FTA to assist transit agencies in moving towards a more holistic, performance-based approach in *Safety Management Systems (SMS)*. MAP-21 puts FTA and the California Department of Transportation (Ca DOT) in a position to provide guidance that strengthens the use of safety data to support management decisions, improves the commitment of transit leadership to safety, and fosters a culture of safety that promotes awareness and responsiveness to safety risks.

The PTASP for Regional Transit Authority (RTA) is consistent with, and supports an SMS approach to safety risk management. SMS is an integrated collection of policies, processes and behaviors that ensures a formalized, proactive and data-driven approach to safety risk management. The aim of SMS is to increase the safety of transit systems by proactively identifying, assessing and controlling safety risks. The approach is flexible and scalable, so that transit agencies of all types and sizes can efficiently meet the basic requirements of MAP-21.

The PTSAP for RTA addresses the following elements outlined below.

<input type="checkbox"/>	Policy Statement:	A policy statement establishing senior management commitment to continual safety improvement, signed by the executive accountable for the operation of the agency and the board of directors.
<input type="checkbox"/>	Document Revision and Control:	A description of the regular annual process used to review and update the plan including a timeline for implementation of the process.
<input type="checkbox"/>	Description of Core Safety Responsibilities:	A description of the responsibilities, accountabilities, and authority of the accountable executive, the key safety officers, and key members of the safety management team.
<input type="checkbox"/>	Safety Risk Management Approach:	A description of the formal processes the agency uses to identify hazards, analyze and assess safety risks, and develop, implement and evaluate risk controls.
<input type="checkbox"/>	Prioritized Safety Risks:	A description of the most serious safety risks to the public, personnel and property.
<input type="checkbox"/>	Risk Control Strategies and Actions for Prioritized Safety Risks:	A description of the risk control strategies and actions that the agency will undertake to minimize exposure of the public, personnel and property to hazards, including a schedule for implementing the risk control strategies and the primary entity responsible for each strategy.
<input type="checkbox"/>	Safety Assurance:	A list of defined safety performance indicators for reach priority risk and associated targets the agency will use to determine if it is achieving the specified safety goals.
<input type="checkbox"/>	Desired Safety Outcomes or Goals:	A description of desired safety outcomes for each risk using the measureable safety performance indicators established.
<input type="checkbox"/>	Safety Training Program:	A description of the comprehensive safety training program for agency staff that ensures that staff are trained and competent to perform their safety duties.
<input type="checkbox"/>	Safety Plan Documentation and Record Keeping:	PTASP documents related to implementation of its Safety Management System (SMS), and results from the SMS processes and activities. Documents included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its PTASP. Must keep records and documents related to the plan for three years.

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Transit Agency Information

Transit Agency: San Luis Obispo Regional Transit Authority
(Hereafter referred to as "RTA")

Transit Agency Address: 179 Cross Street, Ste. A, San Luis Obispo, CA. 93401

Accountable Executive: Geoff Straw, Executive Director

Chief Safety Officer/SMS Executive: Geoff Straw, Executive Director

Modes of Service Covered by the PTASP: Fixed Route Bus, Americans with Disabilities Act (ADA) Demand Paratransit and Dial-A-Ride Services. Forty-Seven (47) Vehicles Operated in Maximum Service (VOMS), Sixty-Six (66) Vehicles Available for Maximum Service (VAMS)

List of FTA Funding Received: FTA Sections 5304, 5307, 5311, 5339, CMAQ and other FTA section that may change with future reauthorization

The Agency does provide transit services to another transit agency or service.

Other Transit Agency or Entity Served	Mailing Address	Description of the Arrangements
South County Transit	179 Cross Street, San Luis Obispo, CA	Description Below
Paso Express	179 Cross Street, San Luis Obispo, CA	Description Below
Nipomo, Shandon, Templeton	179 Cross Street, San Luis Obispo, CA	Description Below
Regional Paratransit Services	179 Cross Street, San Luis Obispo, CA	Description Below
Regional Fixed Route Services	179 Cross Street, San Luis Obispo, CA	Description Below

The Regional Transit Authority (RTA) transit system also provides management and operation services for South County Transit (SoCo) and various other County services, therefore, for the purposes of the STASP, all transit systems will be considered one operation under RTA.

Regional Transit Authority (RTA) is a Joint Powers Authority formed in 1989 that serves and connects various communities within San Luis Obispo County (and extends into Santa Barbara County to the south), including Arroyo Grande, Atascadero, Grover Beach, Morro Bay, Paso Robles, Pismo Beach, San Luis Obispo. RTA provides services in unincorporated areas (primarily in Nipomo, Shandon and Templeton), and by the City of Paso Robles to operate the Paso Express fixed route services and the Paso Robles Dial-A-Ride service.

RTA manages and provides regional fixed route service and ADA paratransit services throughout the region (including within the city of San Luis Obispo). In addition, RTA is contracted by San Luis Obispo (SLO) County to operate community based Americans with Disabilities Act (ADA) complementary paratransit service (Runabout).

RTA is a JPA (Joint Powers Authority) in San Luis Obispo County that operates bus service connecting cities throughout San Luis Obispo County and the northern portion of Santa Barbara County in the city of Santa Maria. RTA also oversees the administration of South County Transit (SoCo), which operates fixed route buses in the Five Cities area of Shell Beach, Pismo Beach, Grover Beach, Oceano and Arroyo Grande.

Plan Development, Approval, and Updates

Development

The San Luis Obispo Regional Transit Authority drafted this plan. By signature below, the Accountable Executive confirms the development of this plan.

_____	_____
Accountable Executive/Geoff Straw	Date Signed

Approval

The San Luis Obispo Regional Transit Authority Board of Directors approved this plan as so indicated by the signature of the Board of Directors' Chair on the date noted below and as specified in Plan Approval and Self Certification of Compliance Signatures. [Appendix A](#) can be located on the RTA internal computer network; "G Drive", and on the employee "ADP" computer Network and the public website (e.g. [Resolution #, March 4, 2020 Board Meeting](#), website: www.slorta.org)

_____	_____
San Luis Obispo Regional Transit Authority Board of Chair	Date Signed

Self-Certification

Public Transportation Agency Safety Plan (PTASP)
Plan Approval and Self-Certification of Compliance Signatures

The San Luis Obispo Regional Transit Authority PTASP was certified by the Accountable Executive, Geoff Straw, RTA Executive Director, on ([give date of certification](#)), as is attested to by Public Transportation Agency Safety Plan (PTASP), which can be viewed and maintained at RTA Cross Street facility on the internal computer network, "G Drive", internal employee website, "ADP" and the public website, **March 4, 2020 Board Meeting**, website: www.slorta.org.

Certification of Compliance on an annual basis	Public Transportation Agency Safety Plan (PTASP) Plan Approval	Date of Certification May 6, 2020
	Regional Transit Authority, Geoff Straw, Executive Director/PTASP Accountable Executive and San Luis Obispo Board of Directors	
	Relevant Documentation Appendix A	

Record of Revisions

Annual Review and Update of the Public Transportation Agency Safety Plan. A table that records the history of revisions made to the Agency's PTASP is contained in [Appendix B](#) of this document. The history of the changes was placed in the appendix to help preserve the page numbering to the extent possible.

Annual Review and Update of the Public Transportation Agency Safety Plan (PTASP) The PTASP Committee will review RTA's PTASP:

- Annually, each year in May.
- During the Annual Review or during the year when identified the PTASP Committee will:
 - Determine if its approach to mitigating safety deficiencies is effective;
 - Makes significant changes to service delivery as necessary;
 - Introduce new processes or procedures that may impact safety;
 - Change or re-prioritize resources available to support Safety Management Systems (SMS); and/or
 - Significantly change its organizational structure.

Revisions will be submitted to the Board annually at their July Board Meeting in which the revision will be voted upon for approval. Amendments to the PTASP will be published to the employees and the public at large in accordance with RTA's standard communication process. The RTA internal computer network; "G Drive", and on the employee "ADP" computer Network and the public website: www.slorta.org : Board Meetings.

The RTA's PTASP Committee will consist of the Accountable Executive/Chief Safety Officer, Maintenance Manager, Operations Manager, Chief Financial Officer, Safety & Training Manager, and Human Resources Administrator.

Safety Performance Targets

RTA developed safety performance targets that are reviewed monthly, bi-monthly or quarterly and updated annually. The specific performance targets are based on the safety performance measures established under the *National Public Transportation Safety Plan* and additional performance goals set by RTA outline in RTA's Strategic Business Plan.

Safety Performance Targets							
The safety performance targets will be evaluated over a fiscal year period with a baseline year of Fiscal Year 2021 (7/1/2020-6/30/2021).							
Rates for the safety performance targets are calculated per 100,000 vehicle revenue miles.							
VRM=Vehicle Revenue Miles							
Mode of Transit Service	Fatalities (total)	Fatalities (per 100,000 VRM) Rate	Injuries (total)	Injuries (per 100,000 VRM) Rate	Safety Events (total)	Safety Events (per 100,000 VRM) Rate	System Reliability (VRM / failures)
Fixed Route Bus	0	0	0	0	0	0	0
ADA / Paratransit	0	0	0	0	0	0	0

RTA has set additional safety performance measures with specify numerical targets and are based on the safety performance measures established by FTA in the National Public Transportation Safety Plan.

These are listed in an Excel Spreadsheet under tab labeled, #1 “**Safety Hazard Identification**” and placed in the [Appendix C](#) to help preserve the page numbering to the extent possible.

Safety Performance Target Coordination

Safety Performance Target Coordination		
The San Luis Obispo Council of Governments (SLOCOG) is an association of local governments in the San Luis Obispo County region. ... SLOCOG is the designated regional transportation planning agency, metropolitan planning organization (MPO), regional census data affiliate and service authority for freeways and expressways. SLOCOG works in coordination with other regional agencies that include San Luis Obispo Regional Transit Authority, the Air Pollution Control District and the California Department of Transportation.		
Targets Transmitted to the State	California Department of Transportation (Cal-Trans)	
Annually – November, thereafter	Brian Travis Senior Transportation Planner RTAP and Legislative Management Caltrans Division of Rail and Mass Transportation PO Box 942874 Sacramento, CA 94274-0001 brian_travis@dot.ca.gov (916) 654-9842	Date Targets Transmitted
	Metropolitan Planning Organization(s) Name	Date Targets Transmitted
Targets Transmitted to the Metropolitan Planning Organization (s)	San Luis Obispo Council of Governments (SLOCOG)	
	Annually – November, thereafter	

Safety Management Policy

Safety Management Policy Statement

RTA believes safety promotion is critical to the success of the four basic Safety Management elements of our safety approach:

- Top Management Commitment to Safe Operations
- Responsibility and Accountability of all Employees
- Clearly Communicated Safety Goals
- Safety Assurance and Performance Measurement for Improvement

No function of the San Luis Obispo Regional Transit Authority is as critical as to justify or to require a compromise of safety. Safety is a core business value.

Safety excellence is a key component of our mission;

Safety is a source of our competitive advantage; our business will be strengthened by making safety excellence an integral part of all our public transportation activities; and

Collisions, injuries and serious incidents are preventable and do not occur without warning or unexpectedly; there are precursors (events, behaviors, and conditions) that can be identified, assessed and mitigated through physical, administrative and behavioral proactive strategies.

Top Management Commitment to Safe Operations

Safety Management System (SMS) commitment is to ensure that the entire organization fully understands and trusts the SMS policies, procedures, and structure. It involves establishing a culture that recognizes safety as a core value, training employees in safety principles, and allowing open communications of safety issues.

Positive safety culture is generated from the top-down. The actions, attitudes, and decisions at the policy-making level must demonstrate a genuine commitment to safety. Safety must be recognized as the responsibility of each employee with the ultimate responsibility for safety resting with the Executive Director/Accountable Director/Chief Safety Officer and the Governing Board of RTA. Employees trust that they will have management support for decisions made in the interest of safety while recognizing that intentional breaches of safety will not be tolerated. We expect our employees to report their safety concerns to agency management.

Our overall safety objective is to proactively manage safety hazards and their associated safety risk, with the intent to eliminate unacceptable safety risk in our transit operations.

To that end, we will continuously examine our operations for hazards. RTA has established a non-punitive employee safety-reporting program, train staff on safety management, document our findings and safety risk mitigations, and strive for continuous improvement of our safety performance.

As required by the Federal Transit Administration, we have established annual safety performance targets to help us measure the safety of our transit service. In addition, to address our overall safety objective, we will conduct hazard identification workshops with all frontline, supervisory, and management personnel during this calendar year. RTA will actively track our safety risk mitigations. To ensure RTA will meet this objective, each department will identify, document and report quarterly the performance targets listed in the strategic business plan to the board and the results.

The Safety and Training Manager will review all statistics and the PTASP Safety Hazard Identification/Performance Goals, Risk Assessment Spreadsheets and collision statistics quarterly. Report the outcomes to department heads. To include but not limited to;

- Number and type of hazard reports received per employee each quarter and annual totals.
- Number and type of safety risk mitigations implementation in the quarter via the Safety Resource Committee or
- Preventative measures implemented by other departments

Ultimate responsibility for safety at San Luis Obispo Regional Transit Authority rests with the Accountable Executive.

Responsibility for making our operations safer for everyone lies with each one of us – from executive management to frontline employees. Each manager is responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure all reasonable steps are taken to perform activities established as part of the SMS.

COMMITMENT TO SAFETY - MAP-21 and Safety Management Systems (SMS)

The management of safety is one of our core business functions. Regional Transit Authority (RTA) is committed to developing, implementing, maintaining, and constantly improving processes to ensure that all our transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards. All levels of management and all employees are accountable for the delivery of this highest level of safety performance. RTA commitment is to:

- **Support** the management of safety through the provision of appropriate resources, that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the attention to the results of the other management systems of the organization;
- **Integrate** the management of safety among the primary responsibilities of all managers and employees,
- **Clearly define** for all staff, managers and employees alike, their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system,
- **Establish and operate** hazard identification and analysis, and safety-risk evaluation activities. Including an employee safety reporting program as a fundamental source for safety concerns and hazard identification, in order to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our acceptable level of safety performance,
- **Ensure** that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures,
- **Comply** with, and wherever possible exceed, legislative and regulatory requirements and standards
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills,
- **Establish and measure** our safety performance against realistic and data-driven safety performance indicators and safety performance targets,

- **Continually improve** our safety performance through management processes that ensure that appropriate safety management action is taken and is effective.

Safety Management Policy Communication

The Safety Management Policy is posted on employee communication bulletin boards in each driver room location and on the employee information “ADP” website. The Safety Management Policy was first shared with employees during orientation when they are hired.

RTA will communicate the revised 2020 Safety Management Policy Statement by presenting and adopting the PTASP during the March 4, 2020 San Luis Obispo Regional Transit Authority Board Meeting and publishing to the public and all RTA employees at large in accordance with RTA’s standard communication process. The RTA internal computer network; “G Drive”, and on the employee “ADP” computer Network and the public website: www.slorta.org : Board Meetings.

In addition, all employees will receive a copy of Safety Management Policy Statement during the 2020 calendar year. All newly hired employees will receive a copy of the Safety Management Policy Statement during their new hire orientation.

Authorities, Accountabilities, and Responsibilities

A comprehensive list of authorities, accountabilities, and responsibilities of the Accountable Executive/Chief Safety Officer/Accountable Executive (same Person) and a list of RTA staff Directors, Managers and RTA staff that play important leadership or support roles in providing important data or resources to accomplish RTA’s safety goals and/or the day-to-day safe operation of the RTA’s modes of transportation.

“Staff Safety Roles and Responsibilities” [Appendix D](#) to help preserve the page numbering to the extent possible.

RTA Organizational Chart is located in [Appendix E](#)

Accountable Executive

Our Accountable Executive reviewed the draft policy once it had been developed by RTA. Comments and recommended changes were taken into account when the final document was developed. The Accountable Executive then submitted the policy to the San Luis Obispo Regional Transit Authority Board of Directors for approval. Once their approval was given, the Accountable Executive signed the policy.

Additional responsibilities include, but are not limited to:

- Decision-making about resources (e.g. people and funds) to support asset management, SMS activities, and capital investments;
- Signing SMS implementation planning documents; and
- Endorsing SMS implementation team membership.

Chief Safety Officer/Accountable Executive (same Person)

Our Accountable Executive/Chief Safety Officer was the lead in supporting, development and approval of the Safety Management Policy. Our Accountable Executive/Chief Safety Officer worked with the Operations Manager, Maintenance Manager, Deputy Director/Chief Financial Officer and the Safety and Training Manager to develop the plan. Accountable Executive/Chief Safety Officer duties include, but are not limited to:

- Developing and maintaining SMS documentation;
- Directing hazard identification and safety risk assessment;
- Monitoring safety risk mitigation activities;
- Providing periodic reports on safety performance;
- Briefing the Accountable Executive and Board of Directors on SMS implementation progress; and
- Planning safety management training.
- Agency Leadership and Executive Management

Employee Safety Reporting Program

RTA is committed to the safest transit operating standards possible. To achieve this, it is imperative that RTA have uninhibited reporting of all incidents and occurrences which may compromise the safe conduct of our operations. To this end, every employee and contract service provider is responsible for the communication of any information that may affect the integrity of transit safety. No employee shall be retaliated against for reporting hazards or potential hazards, or for making suggestions related to safety.

Self-reporting is protected, there may be serious misconduct situations that are not protected; these conditions are outlined in the Employee Handbook, Section 7.3 - Misconduct That May Result in Discipline up to and Including Termination or Collective Bargaining Agreement.

Employee Handbook [Appendix F](#)

RTA has developed a reporting method with The Employee Suggestion Program, Form and Safety Resource Committee. The employee is able to report safety concerns and observation which gives them the option for reporting anonymously.

Additional Reporting Option include;

- The Employee is sent an acknowledgment that their suggestion was received.
- The Safety Resource Committee posts all agendas after each bi-monthly meeting at each agency location.
- **The Safety Resource Committee description, objectives and functions** is located in [Appendix G](#)
- **The Safety Resource Committee Suggestion Form** is located in [Appendix H](#)
- The Employee Suggestion Form is located at all agency locations and the agency intranet website
- Anonymous Employee Assistance Hotline
- Verbal or written report to a Safety Committee Member, Department Manager or Human Resources

- Safety Committee meetings meet quarterly, committee member can be reached via e-mail or telephone
- Driver meetings; Maintenance meetings and/or Supervisor meetings
- Reports issued to dispatch in person, written or verbally via the bus radio

Safety Risk Management

Safety Risk Management Process

Safety Hazard Identification:

These are listed in an Excel Spreadsheet under tab labeled, #1 “**Safety Hazard Identification**” and placed in the [Appendix C](#) to help preserve the page numbering to the extent possible.

The methods or processes to identify hazards and consequences of the hazards. Inspections are conducted and are an important source of information about hazards. Results from these inspections also help us identify areas where mitigations designed and adopted to manage safety risk are not being carried out as required. Inspections include personnel, vehicles, facilities, and data that identify potential safety concerns or issues.

Inspections and Rule compliance checks focus on hazards that may identify:

- Non-compliance with safety rules;
- Challenges in complying with safety rules; and
- Emerging practices
- Operations personnel fitness-for-duty checks, which may identify:
- Impairment;
- Fatigue;
- Absence of corrective lenses;
- Apparent injuries; and
- Uniform or equipment issues
- Radio or digital communication checks, which may identify radio failures, dead spots, and areas of high interference
- Commercial Driver License (CDL) and driver citations checks, which may identify driver non-compliance with driving regulations and requirements
- Pre-trip inspections, which may identify instances of a bus beginning revenue service after failing a pre-trip inspection
- Vehicle inspection, which may identify a series of defects in components and parts with the potential to impact the safety performance of the vehicle
- Facilities inspections, which may identify conditions with the potential to impact safety or environmental hazards
- Common safety hazard, identification methods include, but are not limited to:
- Results of the TAM Assess Condition Assessments
- Facilities Inspections
- Collision and Incident monthly review meetings, discuss causative factors using all means available
- Safety Resource Committee Bi-Monthly Meetings

- Monitor Performance Indicators
- Bus Stop Inspections
- Pre-Operation Vehicle Inspections (Pink Colored Slip is a priority for maintenance to inspect a bus write-up)
- Routine Maintenance Inspections
- Trends in the Cost of In-house Repairs
- Employee Evaluations and Reports
- Supervisor Reports
- Bus and Facility Video Cameras
- Police Reports
- Remedial actions if necessary, such as but not limited to; retraining, rerouting, policy review or implement new policy or procedure
- Federal Transit Authority Notices and Announcements
- Industry Publications
- Driver Evaluations – Check Rides, Follow Behind, and Pre-trip/Post-Trip, Inspection Evaluations
- Statewide Incident Tracking Reports from CHP
- Customer Complaints/ Passenger Courtesy Cards
- Communication Transportation Bulletin or Memo
- Near-Miss Reports
- Third Party Administrators for Workers’ Compensation and for Liability Claims
- Cal-OSHA Lost and Restricted Days Reported on the Cal-OSHA 300

Safety Risk Assessment:

The methods or processes to assess the safety risks associated with identified safety hazards and prioritizing the hazards based on this safety risk. RTA has developed safety risk in terms of likelihood (the probability of a consequence occurring) and severity (the seriousness of a consequence, if it does occur).

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

Safety Risk Assessment and Safety Mitigation:

The methods and processes are listed in an Excel Spreadsheet under tabs labeled, “#2 Risk Matrices”, [Appendix C](#) describes the probability & severity of a hazard.

Risk Assessment tab; “#3 Risk Assessment”, [Appendix C](#) to help preserve the page numbering to the extent possible.

High	<u>Unacceptable – Action Required</u> = Safety Risk must be mitigated or eliminated
Medium	<u>Undesirable – Management Decision</u> = Executive management must decide whether to accept the safety risk with monitoring or required additional action.
Low	<u>Acceptable with Review</u> = Safety Risk is acceptable pending management review

Hazard Risk Index & Acceptance Criteria

The Hazard Risk Index (HRI) provides three levels of risk priority. Acceptance Criteria indicates how the hazard should be treated based on the risk priority it poses. For instance, a hazard that has the probability to occur frequently at a catastrophic level will yield a high risk priority.

According to the Acceptance Criteria, this hazard would be unacceptable and must be controlled immediately are unacceptable and corrective action must be taken to eliminate or control them, by reducing the severity and/or probability of the hazard to an acceptable level. Proper sign-off on the acceptance of the risk by management is required. The resolution action and sign-off on the accepted risk will be coordinated by RTA Accountable Executive/Chief Safety Officer, which will maintain all records of the hazard identification, analysis, assessment, and the hazard risk acceptance process.

Resolution

The best method of resolving potential system hazards is to eliminate them. However, this may be impossible or impractical at times. Determination of the method to be employed can be made by conducting a thorough analysis of the system, considering the possible tradeoffs between various alternatives and the system safety requirements. The philosophy dictating these analyses should result in the resolution of alternatives. A number of different means can be employed to resolve identified hazards. These include design changes, the installation of controls and warning devices, and the implementation of special procedures. The order of preference for the means to be used in resolving hazards at RTA shall be as follows:

Design for Minimum Hazard: Design, redesign, refurbish, or retrofit to eliminate (a.k.a. “design out”) the hazards through design selection. This may be accomplished through the use of fail-safe devices and principles in design, the incorporation of high-reliability systems and components, and the use of redundancy in hardware. Re-routing as needed for safety.

Safety Devices: Hazards that cannot be eliminated or controlled through design selection shall be controlled to an acceptable level through the use of fixed, automatic, or other protective safety design features or devices. Examples of safety devices include protective enclosures, or machine guards. Care must be taken to ascertain that the operation of the safety device reduces the loss or risk and does not introduce an additional hazard. Safety devices shall also permit the system to continue to operate in a limited manner. Provisions shall be made for periodic functional checks of safety devices.

Procedures and Training: Where it is impossible to eliminate or adequately control a hazard through design selection or use of safety and warning devices, procedures and training shall be used to control the hazard. Procedures may include the use of personal protective equipment. Precautionary notations shall be standardized as specified by RTA. Safety critical tasks and duties and activities throughout RTA, such as maintenance or vehicle operators’ duties, shall require organizational certification of personnel proficiency.

Safety Assurance, Safety Performance Monitoring and Measurement

§673.5 Safety Risk Management means a process within a transit agency’s PTASP for identifying hazards and analyzing, assessing, and mitigating safety risk

RTA will investigate safety events and any reports from non-compliance with applicable regulations, standards, and applicable legal authority.

Safety performance monitoring and measurement;

- Monitor RTA for compliance with, and sufficiency of the procedures for operations and maintenance;
- Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended;
- Conduct investigations of safety events to identify causal factors;
- Continuous monitoring of information reported through the employee safety-reporting program; manage changes in its system;
- Monitor information reported through any internal/external safety reporting programs;

Facilities and Equipment Safety Inspections

The purpose of Facilities and Equipment Safety Inspections is to ensure that the appropriate programs and procedures are in place to detect and correct unsafe conditions and deteriorating facilities and equipment. The objectives of Facilities and Equipment Safety Inspections are to:

- Ensure the safe passage of transit vehicles;
- Ensure equipment and facilities are included in a regular inspection process, from which all safety-related findings are documented, tracked, and resolved;
- Enhance safety within the work environment for all RTA employees, contractors, and visitors;
- Minimize unnecessary disruptions to revenue service; and
- Ensure and continuously monitor compliance with RTA policies and procedures, federal and state regulations, and industry best practices.

Facility Inspections: Facility safety inspections are conducted in all facilities to identify and document hazards and/or safety issues, as well as to monitor system-wide compliance with established policies and procedures. Compliance with fire protection requirements is accomplished through fire drills, incident investigations, and periodic testing of fire protection and fire suppression systems.

Collision/Incident/Injury/Near Miss/Occurrence Reporting and Documentation

RTA investigators shall use standardized RTA report forms, which must be legibly completed and submitted to the appropriate department within the required timeframe. Lead Investigators will assemble all the pertinent evidence and information about the occurrence into a report.

Bus Collision Committee

The Bus Collision Committee comprises members of RTA management, Operations Manager, Lead Operations Supervisor and Safety and Training Manager, who review, analyze, list causative factors, and

determine actions necessary to reduce incidents and all types of hazards. This committee meets on a regular basis to develop Corrective Actions.

Causative Factors Purpose:

Identifying causative factors provides a root cause analysis of events in order to make recommendations to prevent reoccurrence. Root cause analysis is a reactive approach to hazards, and is an effective tool for understanding why and how an event occurred.

When to use: Root cause analysis is used during investigation after the occurrence of an event. Various inputs include but not limited to:

- Information gathered from investigation;
- Causal factors;
- Design;
- Human errors;
- Equipment failures;
- Training;
- Environmental conditions;
- Routing; and
- Bus stop locations

Safety Assessment and System Review [Appendix I](#)

National Transit Asset Management (TAM) System

TAM plan is review is maintained, updated and reviewed by department heads periodically. The plan includes procurement, the purpose of Procurement is to ensure that the process of obtaining vehicles, rolling stock, systems, equipment, and other materials are systematically reviewed for compliance with safety requirements and verified prior to purchase, implementation, and use. This includes management of all assets of RTA.

Safety and State of Good Repair

The State of Good Repair (SGR) standards will be defined by the National Safety Program and National Transit Asset Management (TAM) System upon FTA's final ruling. These SRG standards are conditions when a safety risk analysis must be performed on capital assets such as equipment, rolling stock, infrastructure, and facilities. RTA shall set safety performance objectives based on this definition when it is available, and make informed investments in order to strive for a State of Good Repair for all assets.

Occupational Health & Safety Programs

RTA utilizes OSHA and other industry standards as best practices for the development, implementation, and monitoring of internal workplace safety programs and requirements. RTA policies and procedures meet other federal, state, and local regulations regarding occupational health and safety. To include RTA Injury and Illness Prevention Plan.

Cal-OSHA 300 Log is maintained and posted in all employee break rooms at all locations. The results are reported quarterly to The Agency Board of Directors.

Personal Protective Equipment (PPE)

Specific work locations and job duties require the use of PPE to safeguard employees, contractors, and visitors against hazards or harmful workplace conditions. RTA department management, supported by RTA safety procedures, and evaluates the need for PPE given the hazard exposure associated with a task or location. RTA management is responsible for providing necessary PPE to employees and monitoring their use of the equipment, in compliance with all applicable rules, regulations, and standards. It is RTA's philosophy that PPE will be used as a last resort protection system, only after such remedies as engineering or administrative controls to eliminate a workplace hazard are determined to be infeasible or unable to fully protect employees from specific hazards in the workplace.

Hazard Communication/Right-to-Know:

RTA is subject to the requirements OSHA Hazard Communication Standard (29 CFR 1910.1200). Right-to-Know requirements include the following:

Posted Right-to-Know workplace notices, Safety Data Sheets (SDS), product labeling, and training of employees who work with chemicals and hazardous materials. Required training for affected employees includes initial training within 30 days from date of hire, and refresher training.

Hazardous Materials Program and Storm Water Run-Off

Hazardous Materials Program and training is to prescribe responsibilities and direction in facilitating the management and storage of hazardous materials, hazardous waste, universal waste, and chemical information at RTA facilities at a standard consistent with federal and state regulation, as well as industry best practices. RTA maintenance goal is to conduct Storm Water Run-Off training to all maintenance and utility employees once each year. Last training conducted 12/19/2019. During orientation for newly hired employees.

The Hazardous Materials Program objectives are to:

- Ensure employees are trained and qualified in the proper handling of hazardous materials and waste, throughout the material's life cycle;
- Ensure measures and procedures are in place to prevent, respond to, and recover from a spill or other emergency event involving hazardous materials;
- Comply with all applicable health, safety, and environmental requirements; and
- Ensure public safety and environmental protection through proper use, storage, and disposal of hazardous materials.

Management of Change

This section is not required for Small Public Transportation Providers – fewer than 100 vehicles during peak service periods, nevertheless it is imperative that RTA is prepared to address changes in its safety program. This is paramount as RTA looks forward to a new building. RTA strives to improve safety and takes advantage of opportunities for identifying and assessing changes that may introduce new hazards or impact safety performance.

EXAMPLES OF CHANGES

- Changes with safety performance impacts can come from many sources and may include:
- Regulatory requirements
- Audit results
- City or regional planning
- Service environment. Routes, modes
- New technology
- New processes or procedures
- Switching to new products (parts or chemicals)
- Design and construction of major capital projects
- New employee contracts
- Organizational changes

Safety Promotion

Competencies and Training

RTA requires employees including the Chief Safety Officer to complete training to be able to fulfill their safety-related roles and responsibilities. Initial training will be completed at hire/assignment, and refresher training will be provided when behaviors indicate a need, and/or there are changes to the PTASP, operations, procedures, organizational structure, and when new hazards are identified and mitigation measures are developed.

Overview

All RTA personnel are trained to perform their jobs according to laws, regulations, rules and procedures applicable to their jobs. The manager of each department within the agency is responsible for maintaining and making available to employees of that department, all appropriate procedure manuals, equipment service manuals, and safety manuals that are job related. Rules and Procedures are reviewed periodically and/or when an investigation of a Collision/Incident/Injury/Near Miss/Occurrence shows a rule or a procedure was not adequate to protect the employee or the equipment and/or may have contributed to that event. This review process involves identifying operational hazards to determine whether these rules and/or procedures adequately protect against exposure to hazards. If necessary, a special bulletin, notice or order is issued to maximize safety and mitigate the identified hazard or situation. Employees are responsible for accepting responsibility and carrying out policies and procedures. Employees attend training and instruction sessions and pass quizzes, tests, and examinations, and meet qualifications that are applicable to; laws and ordinances; licenses; equipment and supplies; and related employee injuries.

Training, policies, and procedures include requirements related to general safety; personal protective equipment; personal appearance and work clothing; electrical safety; Lockout and Tag out; welding and cutting; tools, equipment, and machinery; hazardous materials; material handling; ladders; forklifts, trucks, and yard safety; fueling vehicles; and the operation and servicing and inspection of vehicles.

Training & Certification Programs

Bus Operations employees participate in an intensive training programs upon accepting employment at the RTA. This training includes a combination of classroom instruction, reviewing rules and regulations, and on road bus operations under the supervision of a DOT Transportation Safety Institute certified instructor. All new hire employees receive orientation and safety training.

The safety training efforts of RTA fall into three (3) main types of training:

- Initial
- Periodic
- Retraining/Refresher/Recertification

Personnel Qualification Standards

Each job position classification has specific job qualifications, education, certifications, physical requirements and standards, etc. Provide continuous development of skills and capabilities through ongoing training and development programs that foster personal and professional growth.

Department Heads develop training plans as part of annual budget-making process, according the following minimum standards and additional to include but not limited to:

- A. Maintenance: 30 Hours per technician annually.
 - RTA staff has greatly benefited from the Southern California Regional Transit Training Consortium, providing significant training resources which has been of significant benefit to the agency.
 - Basic Sexual Harassment Training – 1 hour

- Storm-Water Run-Off – 1 hour
- B. Operations Supervisors: 24 Hours annually.
 - Operations and training staff attended a series of CARE Training conducted by County Mental Health professionals.
 - Operations and training staff have attended observation training with San Luis Obispo County 911 operators.
 - Operations and training staff are rotating to attend observation training with San Luis Obispo Police Department.
- C. RTA staff completes 2-hour Management Sexual Harassment Training every two-years.
- D. Bus Operators: Bus Operator training includes:
 - State-mandated minimum of 8 hours of *Verification of Transit Training* annually.
 - Six-month refresher for new Bus Operators.
 - Focused and customized training designed specifically for Bus Operators at their second anniversary.
- E. Bus Operators and Supervisors/Dispatcher/Training Staff:
 - California Highway Patrol, “Distracted Driving”
 - San Luis Obispo District Attorney Office, “Human Trafficking”
 - Basic Sexual Harassment Training -1 hour (Every two years)
- F. Finance and Administration: 16 Hours per employee annually.

Training

RTA has partnered with the FTA, through the Transportation Safety Institute (TSI), The California Transit Indemnity Pool (CalTIP), San Luis Obispo County agencies and other training agencies to provide employees, at all levels of the organization, with the most up to-date safety and security training available in the industry. FTA online safety course. These training entities have provided on-site training, as well as "Train the Trainer" programs to Bus Operations, Human Resources, Maintenance, Facilities and Safety personnel to ensure that the training programs can be provided on an ongoing basis. The fundamental purpose of this training is to provide personnel with specific knowledge necessary to perform the functions of their jobs.

The courses hosted by RTA and offered by TSI included but not limited to:

- Bus System Safety
- Supervisor Course
- Bus Operator Training Course
- Two Instructors Completed – TSI Fundamentals of Bus Collision Investigation

Safety Communication

Typical methods of communication include but not limited to:

- Open Door Policy for all Management Employees
- Safety Suggestion Form
- Safety Resource Committee Meetings
- Safety Training Classes
- Safety Bulletin Boards
- Safety Posters
- Facility and Maintenance Meetings
- Operations Supervisor & Dispatcher Meetings
- Bulletins and Information Flyers Posted in the Buses, Bus Shelters, and Transit Centers
- Staff Reports to or from the Executive Director/Strategic Business Plan/Board Agendas/Memos
- Quarterly, Semiannual, or Annual Reports to Executive Directors.
- Safety Award Program
- Annual Celebrating Safety Day (all agency locations)
- Employee of the Quarter Awards (B-B-Q)
- Post Collision Statistics quarterly
- Posted Bulletins/Memos
- Occupational Safety and Health Programs
- 24 Hour Free Nurse Hotline
- Employee Assistance Program (Free)
- Internal/External Public Websites - Internal Newsletter

Safety Plan Documentation and Record Keeping

At all times RTAS will maintain documents that set forth its PTASP, including those related to the implementation of its SMS, and results from SMS process and activities. RTA will maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that RTA uses to carry out its PTASP. These documents will be made available upon request by the Federal Transit Administration or other federal entity, or a state oversight agency having jurisdiction.

In addition to the documents indicated above, RTA will maintain, at a minimum, the following records: safety risk mitigations, results from a transit agency's safety performance assessment, and records of employee safety training. Document system dedicated to tracking employee safety training and for safety performance monitoring and measurement. RTA maintain documentation that it uses to determine how well it is meeting its safety objectives and safety performance targets, as well as safety performance indicators used to determine the effectiveness of SMS implementation.

RTA will keep all records and documents related to the PTASP for three years. Records and documents will include employee training records, inspections, safety performance assessments, safety risk mitigations

Closing Statement

This document is designed to provide information and guidance for the continued safe operation of the bus transit system operated by San Luis Obispo Regional Transit Authority. It expresses the RTA's commitment to the public, bus passengers and employee safety. The Public Transportation Agency Safety Plan is meant to serve RTA as a guideline to bus transit hazard management. This document should not be interpreted as imposing any legal obligations upon the RTA or providing the basis for liability in any legal action.

Appendices

Appendix A	Plan Approval and Self Certification of Compliance Signatures
Appendix B	Annual Review and Update of the Public Transportation Agency Safety Plan. A table that records the history of revisions made to the Agency's PTASP
Appendix C	Safety Risk Assessment and Safety Mitigation methods and processes Excel Spreadsheet to help preserve the page numbering to the extent possible listed under tabs labeled; "#1 Safety Hazard Identification" "#2 Risk Matrices" tab describes the probability & severity of a hazard "#3 Risk Assessment/Mitigation the Risk"
Appendix D	Staff Safety Roles and Responsibilities
Appendix E	RTA Organizational Chart
Appendix F	Employee Handbook, Section 7.3 - Misconduct
Appendix G	The Safety Resource Committee description, objectives and functions
Appendix H	Employee Suggestion Form
Appendix I	Safety Assessment and System Review

Glossary of Terms

Term	Definition
Accident	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. (per § 673.5)
Accountable Executive	§ 673.5 Definitions – Accountable Executive means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human

Term	Definition
	<p>and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.</p> <p>§ 673.23(d) (1) – The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the Accountable Executive.</p> <p>Each transit agency must identify an Accountable Executive within its organization who ultimately is responsible for carrying out and implementing its Safety Plan. A State that drafts a plan on behalf of another recipient or sub-recipient is not the Accountable Executive.</p>
Agency Leadership and Executive Management	A transit agency must identify those members of its leadership or executive management, other than an Accountable Executive, Chief Safety Officer, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS. [673.23(d)(3)]
Baseline	A baseline is a point in time measure of a known performance level used as reference for subsequent measurements. A minimum or starting point used for comparison.
Chief Safety Officer/SMS Executive	<p>§ 673.31 Definitions – 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 Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.</p> <p>Safety Management System (SMS) Executive means a Chief Safety Officer or an equivalent.</p> <p>§ 673.23(d)(2) – The Accountable Executive must designate a Chief Safety Officer or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of an agency's SMS. The Chief Safety Officer or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the Chief Safety Officer or SMS Executive.</p> <p><i>Each transit agency must identify a Chief Safety Officer or SMS Executive within its organization who has the authority and responsibility for day-to-day implementation and operation of the agency's SMS. The Chief Safety Officer or SMS Executive must meet the requirements specified in § 673.31 and § 673.23(d)(2). For SMS to be successful and effective, this person should have a strong working</i></p>

Term	Definition
	<p><i>relationship with the operations and asset management functions at the transit agency.</i></p> <p><i>Small public transportation providers may designate a Chief Safety Officer or SMS Executive who also manages other functions, such as operations, maintenance, and grant administration. For these transit agencies, the Chief Safety Officer or SMS Executive may be a full-time employee of the transit system who has responsibility for duties other than safety, a part-time employee of the transit system, or a contracted employee.</i></p> <p><i>Bus transit systems that operate more than 100 vehicles in peak revenue service should have a dedicated Chief Safety Officer, given the increased safety risk of those systems. However, this is not a requirement.</i></p>
Consequence	Consequences are outcomes or what those conditions can cause. Transit agencies should assess the likelihood and severity of the <i>consequences</i> of a hazard, not of the hazard itself (per § 673.5)
Employee Safety Reporting Program	A transit agency must establish and implement a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action. [673.23(b)]
Event “any Accident, Incident, or Occurrence” (49 .F.R. § 673.5)	<p>Accident means an Event that involves any of the following:</p> <ul style="list-style-type: none"> (1) A loss of life; (2) A report of a serious injury to a person; (3) A collision of public transportation vehicles; <p>Incident means an Event that involves any of the following:</p> <ul style="list-style-type: none"> (1) A personal injury that is not a serious injury; (2) One or more injuries requiring medical transport; (3) or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency. <p>Occurrence means an Event</p> <ul style="list-style-type: none"> (1) Without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.
Fatalities	Deaths, excluding suicides or trespassers. Total number of reportable fatalities. Fixed Route and Paratransit rate per total revenue miles or years and all employees
Hazard	Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment. Hazards are conditions. (per § 673.5)
What is a Hazard?	The Federal Transit Administration (FTA) defines a hazard in 49 C.F.R. Part 673.5 as “any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.” There are many sources within a transit agency to support hazard identification, including the very

Term	Definition
	important reporting of safety concerns by employees. A hazard holds potential that, when triggered, results in a consequence(s) that may cause harm or damage. The severity of the potential consequence(s) may range from negligible to catastrophic, depending on the nature of the hazard and the particular operational conditions.
Hazards versus Consequences	<p>Hazard means any real or potential condition that can cause injury, illness or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.</p> <p>Hazards are conditions, while consequences are outcomes of what those conditions can cause. Transit agencies should assess the likelihood and severity of the consequences of a hazard, not of the hazard itself.</p>
Hazards versus Consequences	<p>Hazard means any real or potential condition that can cause injury, illness or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.</p> <p>Hazards are conditions, while consequences are outcomes of what those conditions can cause. Transit agencies should assess the likelihood and severity of the consequences of a hazard, not of the hazard itself.</p>
Incident	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. (per § 673.5)
Injuries	<p>Total number of reportable injuries and rate per total revenue service miles by Fixed route and Paratransit or years all employees</p> <p>Previously, two or more individuals transported for medical attention triggered reporting and investigation. Under Part 674, one “serious” injury would trigger reporting and non-serious injuries would not require reporting and investigation.</p> <p>Not including assaults or injuries due to crimes</p>
Investigation	Investigation means the process of determining the causal and contributing factors of an accident, incident, or hazard, for the purpose of preventing recurrence and mitigating risk
Key Staff	A transit agency may designate key staff, groups of staff, or committees to support the Accountable Executive, Chief Safety Officer, or SMS Executive in developing, implementing, and operating the agency’s SMS. [673.23(d)(4)]
National Public Transportation Safety Plan	National Public Transportation Safety Plan means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.
Non-Preventable	The employee is discounted as a contributing factor to the collision or incident
Occurrence	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. (per § 673.5)

Term	Definition
Performance measure	Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.
Performance Target	Performance target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA). (per § 673.5)
Preventable Collision/Incident	Employee did not do everything possible to avoid the collision or incident
Property Damage:	Under Part 674, FTA moves away from a monetary value (\$25,000) to trigger notification and investigation and instead uses “ substantial damage ” as the threshold for reporting.
Risk	Risk means the composite of predicted severity and likelihood of the potential effect of the hazard
Risk Mitigation	Risk mitigations means a method or methods to eliminate or reduce the effects of hazards.
Routine Maintenance	A repair that does not require specialized equipment, professional services, or contractors, but rather can be corrected within the budget and skill set of typical property maintenance staff.
Safety Assurance	Safety Assurance means processes within a transit agency’s Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety Communication	A transit agency must communicate safety and safety performance information throughout the agency’s organization that, at a minimum, conveys information on hazards and safety risks relevant to employees’ roles and responsibilities and informs employees of safety actions taken in response to reports submitted through an employee safety-reporting program. [673.29(b)]
Safety Event	Reportable derailments, collisions, fires, and evacuations. Total number of reportable events and rate per total revenue service miles fixed route and paratransit vehicle miles, or years and all employees
Safety Hazard Identification	A transit agency must establish methods or processes to identify hazards and consequences of the hazards. [673.25(b)(1)] A transit agency must consider, as a source for hazard identification, data and information provided by an oversight authority and the FTA. [673.25(b)(2)]
Safety Management Policy Communication	The safety management policy must be communicated throughout the agency’s organization. [673.23(c)] The transit agency must identify an Accountable Executive.
Safety Management Policy	Means a transit agency’s documented commitment to safety, which defines the transit agency’s safety objectives and the accountabilities and responsibilities of its employees concerning safety. [673.23]
Safety Management Policy Statement	A transit agency must establish its organizational accountabilities and responsibilities and have a written statement of safety management policy that includes the agency’s safety objectives. [673.23(a)]

Term	Definition
Safety Promotion	<p>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.</p> <p>Competencies and Training</p> <p>A transit agency must establish and implement a comprehensive safety-training program for all agency employees and contractors directly responsible for safety in the agency's public transportation system. The training program must include refresher training, as necessary. [673.29(a)]</p>
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
Safety Performance Measuring	<p>To enable safety performance monitoring and measurement activities, a transit agency should establish safety performance indicators (SPIs) and safety performance targets (SPTs) based on its safety objectives.</p> <p>Safety Objective: Minimize passenger slip and fall events in buses.</p> <p>SPI: The number of passenger slip and fall events on a vehicle per [number] of vehicle revenue miles.</p> <p>SPT: Reduce the number of passenger slip and fall events on a vehicle by [percent] per [number] of vehicle revenue miles over the next [time period].</p>
Safety Performance Monitoring and Measurement	<p>A transit agency must establish activities to:</p> <p>Monitor its system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance.</p> <p>Monitor its operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.</p> <p>Conduct investigations of safety events to identify causal factors.</p> <p>Monitor information reported through any internal safety reporting programs. [673.27(b)]</p>
Safety Performance Target	Safety performance target means a Performance Target related to safety management activities. (per § 673.5)
Safety Risk Assessment	<p>A transit agency must establish methods or processes to assess the safety risks associated with identified safety hazards. [673.25(c)(1)]</p> <p>A safety risk assessment includes an assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations and prioritization of the hazards based on the safety risk. [673.25(c)(2)]</p>
Safety Risk Mitigation	A transit agency must establish methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences. [673.25(d)]

Term	Definition
Serious Injury	<p>Serious injury means any injury which:</p> <p>(1) Requires hospitalization for more than 48 hours, commencing within 7 days from the date the injury was received;</p> <p>(2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses);</p> <p>(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. (per § 673.5)</p> <p>(4) Involves any internal organ; or</p> <p>(5) Involves second- or third-degree burns, or any burns affecting more than 5 percent of the body surface (49 C.F.R. § 673.5).</p>
SMS Authorities, Accountabilities, and Responsibilities	The transit agency must establish the necessary authorities, accountabilities, and responsibilities for the management of safety among the following individuals within its organization as they relate to the development and management of the transit agency's Safety Management System (SMS). [673.23(d)]
State of Good Repair	State of Good Repair means the condition in which a capital asset is able to operate at a full level of performance.
State Safety Oversight Agency	State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations set forth in 49 CFR part 674.
"Substantial damage"	FTA defines substantial damage as "any physical damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure ... which adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment, rolling stock, or infrastructure requiring towing, rescue, onsite maintenance, or immediate removal prior to safe operation."
System Reliability/Road Calls	Mean distance between failures revenue service and Paratransit.
Training Documentation	<p>Training documentation may include:</p> <ul style="list-style-type: none"> ○ Records of training needs analysis for curriculum development ○ Curricula for initial and refresher training ○ Training schedules and records of all completed training ○ Procedures for revising training materials
Transit Asset Management Plan (TAM)	<p>Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.</p> <p>A plan that includes an inventory of capital assets, a condition assessment of inventoried assets, a decision support tool, and a prioritization of investments.</p>

LIST OF ACRONYMS USED IN THE SAFETY PLAN

Acronym	Word or Phrase
CA DOT	California Department of Transportation
Cal-OHSA	California Occupational Safety and Health
Cal-Trans	California Department of Transportation
CFO	Chief Financial Officer
CSO	Chief Safety Officer
FTA	Federal Transit Administration
IIPP	Injury and Illness Prevention Plan, required by Cal-OSHA
PPE	Personal Protective Equipment
PTASP	Public Transportation Agency Safety Plan, required by FTA
RTA	Regional Transit Authority
SLO	San Luis Obispo
SLOCOG	San Luis Obispo Council of Governments
SMP	Safety Management Policy
SMS	Safety Management System
SoCo	South County Transit
SSOA	State Safety Oversight Agency
TAM	Transit Asset Management

2018 NTD Safety & Security Quick Reference Guide - Non-Rail Mode Reporting

Reportable Event: A safety or security event occurring: on transit right-of-way or infrastructure, at a transit revenue facility, at a maintenance facility or rail yard, during a transit-related maintenance activity, or involving a transit revenue vehicle. Excluded from this event reporting requirement are events that occur off transit property where affected persons, vehicles, or objects come to rest on transit property after the event, OSHA events in administrative buildings, deaths that are a result of illness or other natural causes, other events (assault, robbery, non-transit vehicle collisions, etc.) occurring at bus stops or shelters that are not on transit-controlled property, collisions that occur while travelling to or from a transit-related maintenance activity, collisions involving a supervisor car, or other transit service vehicle operating on public roads.

Alaska (AR) and Commuter rail (CR) modes report only SECURITY events that meet a Major event threshold.

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
MAJOR THRESHOLDS	NON-MAJOR THRESHOLDS
<p>An event meeting the reportable event definition AND meeting <i>one or more</i> of the following reporting thresholds:</p> <p>A fatality confirmed within 30 days (including suicide)</p> <p>An injury requiring transport away from the scene for medical attention for one or more persons (partial exception in the case of Other Safety Events)</p> <p>Estimated property damage equal to or exceeding \$25,000</p> <p>An evacuation for life safety reasons</p> <p>Collisions involving transit roadway revenue vehicles that require towing away of a transit roadway vehicle or other non-transit roadway vehicle</p> <p>Reports are due within 30 days of the date of the event.</p>	<p>Less severe Other Safety Occurrence Not Otherwise Classified (OSONOC) injuries meeting the reportable event definition that is NOT a result of a collision, derailment, evacuation, security event, hazmat spill, or Act of God and non-major fires.</p> <p>OSONOC:</p> <p>Single injury event requiring transport away from the scene for medical attention (do not report "minor" collisions on S&S-50)</p> <p>Fires:</p> <p>Requires suppression that does not meet a major incident reporting threshold <i>injury, fatality, evacuation, or property damage of \$25,000 or more</i>)</p> <p>Reports due by the end of the following month (e.g., January data due by end of February)</p>

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
EVENT TYPES	EVENT TYPES
A collision (including suicide/attempted suicide)	OSONOC:
A fire	Injury due to:
A hazardous material spill (requires <i>specialized</i> clean-up)	Slip/trip
Acts of God (nature)	Fall
System security:	Including person making contact with a non-moving transit vehicle
Arson	Injury to maintenance workers
Bomb threat/bombing	Boarding/alighting
Burglary/vandalism	Electric shock/burns
Chemical/biological/radiological/nuclear release	Abrupt or evasive transit vehicle maneuvers
Cyber security event	Mobility device (e.g. wheelchair) securement issues
Hijacking	Injury sustained on a mobility device lift
Sabotage	Stairs/elevator/escalator injury
Suspicious package	Fire:
Other security event (shots fired, projectiles, etc.)	Requires suppression but no major threshold is met
Personal Security:	Small fire in transit station
Assault	Small engine fire on transit vehicle
Homicide	
Robbery	
Larceny/theft	
Motor vehicle theft	
Rape	

S&S-40 Major Event Report	S&S-50 Non-Major Monthly Summary
EVENT TYPES	EVENT TYPES
Other personal security events (non-collision suicide/attempted suicide, etc.)	
OSONOC (two injuries and/or another threshold)	
Miscellaneous events that meet a threshold	

References

Public Transportation Agency Safety Plan Comparison of Definitions: Part 673 versus Part 659

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/regulations-and-guidance/safety/public-transportation-agency-safety-program/117731/ptasp-comparison-definitions-part-673-versus-part-659.pdf>

The FTA template, on which this document is based, and the FTA reference guide are intended for use by states and operators of public transportation systems that are required to draft a Safety Plan in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>.



179 Cross Street, Suite A
San Luis Obispo, CA 93401
(805) 781-4472 Fax (805) 781-1291
www.slorta.org

March 10, 2020

To: Brian Travis, Senior Transportation Planner
RTAP and Legislative Management
Caltrans Division of Rail and Mass Transportation
P.O. Box 942874
Sacramento, CA. 94274-0001

Re: Public Transportation Agency Safety Plan (PTASP)
Plan Approval, RTA will Draft and Certify its own Agency Safety Plan (ASP)

The Federal Transit Administration (FTA) Public Transportation Agency Safety Plan regulation, at 49 CFR Part 673, requires State Departments of Transportation (DOTs) to draft and certify Agency Safety Plans (ASPs) on behalf of small public transportation providers. However, a State DOT is not required to draft an Agency Safety Plan (ASP) for a small public transportation provider if the small transit provider notifies the State that it will draft its own plan (Opt-Out).

This letter serves to notify the California Department of Transportation that San Luis Obispo Regional Transit Authority (RTA) will draft and certify its own ASP to address Part 673 requirements. The ASP will be signed by the Accountable Executive, Geoff Straw, Executive Director, and approved by the San Luis Obispo Board of Directors.

The PTASP Accountable Director, RTA Executive Director, and RTA Board of Directors in cooperation with Federal Transit Administration (FTA) has reviewed the Public Transportation Agency Safety Plan 49 U.S.C. § 5329 and assures that the its content has met the requirements of Section § 5329(d) of MAP-21 through the establishment of a comprehensive Safety Management Systems (SMS) framework. RTA complies with 49C.F.R. Part 673.

RTA Public Transportation Agency Safety Plan Self Certification and Approval

Geoff Straw, PTASP Accountable Director

Date

San Luis Obispo Regional Transit Authority Board of Directors

Date

The Regional Transit Authority is a Joint Powers Agency serving residents and visitors of:

Arroyo Grande Atascadero Grover Beach Morro Bay Paso Robles Pismo Beach San Luis Obispo and The County of
San Luis Obispo



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March 10, 2020

To: Brian Travis, Senior Transportation Planner
RTAP and Legislative Management
Caltrans Division of Rail and Mass Transportation
P.O. Box 942874
Sacramento, CA. 94274-0001

Re: Public Transportation Agency Safety Plan (PTASP)
Plan Approval and Self Certification of Compliance Signatures

San Luis Obispo Regional Transit Authority (RTA) is committed to Safety Management as a systematic and comprehensive approach to identifying safety hazards and risks associated with transit system operations and related maintenance activities. RTA has adopted a Safety Management Systems (SMS) framework as an explicit element of the agency's responsibility by establishing safety policy; identifying hazards and controlling risks; goal setting, planning and measuring performance. RTA has adopted Safety Management System (SMS) as means by which to foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

To ensure transit safety and in order to comply with Federal Transit Administration (FTA) requirements, RTA has developed and adopted this Public Transportation Agency Safety Plan (PTASP). This plan complies with FTA regulations established by Section 5329(d) of the Moving Ahead for Progress in the 21st Century (MAP-21) Act signed into law by President Barack Obama on July 6, 2012.

The PTASP Accountable Director, RTA Executive Director, and RTA Board of Directors in cooperation with Federal Transit Administration (FTA) has reviewed the Public Transportation Agency Safety Plan 49 U.S.C. § 5329 and assures that the its content has met the requirements of Section § 5329(d) of MAP-21 through the establishment of a comprehensive Safety Management Systems (SMS) framework. RTA complies with 49C.F.R. Part 673.

RTA Public Transportation Agency Safety Plan Self Certification and Approval

Geoff Straw, PTASP Accountable Director

Date

San Luis Obispo Regional Transit Authority Board of Directors

Date

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179 Cross Street, Suite A
San Luis Obispo, CA 93401
(805) 781-4472 Fax (805) 781-1291
www.slorta.org

March 4, 2020

To: Brian Travis, Senior Transportation Planner
RTAP and Legislative Management
Caltrans Division of Rail and Mass Transportation
P.O. Box 942874
Sacramento, CA. 94274-0001


Re: Public Transportation Agency Safety Plan (PTASP)
Plan Approval, RTA will Draft and Certify its own Agency Safety Plan (ASP)

The Federal Transit Administration (FTA) Public Transportation Agency Safety Plan regulation, at 49 CFR Part 673, requires State Departments of Transportation (DOTs) to draft and certify Agency Safety Plans (ASPs) on behalf of small public transportation providers. However, a State DOT is not required to draft an Agency Safety Plan (ASP) for a small public transportation provider if the small transit provider notifies the State that it will draft its own plan (Opt-Out).

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The PTASP Accountable Director, RTA Executive Director, and RTA Board of Directors in cooperation with Federal Transit Administration (FTA) has reviewed the Public Transportation Agency Safety Plan 49 U.S.C. § 5329 and assures that the its content has met the requirements of Section § 5329(d) of MAP-21 through the establishment of a comprehensive Safety Management Systems (SMS) framework. RTA complies with 49C.F.R. Part 673.


RTA Public Transportation Agency Safety Plan Self Certification and Approval



Geoff Straw, PTASP Accountable Director

3-4-2020

Date



San Luis Obispo Regional Transit Authority Board of Directors

3-4-2020

Date

The Regional Transit Authority is a Joint Powers Agency serving residents and visitors of:

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San Luis Obispo



Appendix B

Annual Review and Update of the Public Transportation Agency Safety Plan

Described below are the process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan.

Regional Transit Authority management will review the PTASP annually, update the document as necessary, and implement the changes within a timeframe that will allow the agency to timely submit the annual self-certification of compliance to the California Department of Transportation (CA DOT), Federal Transit Administration (FTA). Annual self-certification will consist of the Executive Director signing and dating page 1 of this document and submitting to CA DOT for review. RTA as part of the PTASP review will conduct the annual review of the PTASP in **June** of each calendar year. Necessary updates outside the annual update window will be handled as PTASP addendums, which will be incorporated in the body of the PTASP. Reviews of the PTASP by the local agency, any subsequent updates and addendums, adoption, and distribution activities will be documented in the PTASP Document Activity Log included at the beginning of this document.

Record of Revisions

A table that records the history of revisions made to the agency's PTASP is contained in the table that follows. The history of the changes was placed in this appendix to help preserve the page numbering to the extent possible.

Version Number and Updates Record the complete history of successive versions of this plan			
Version Number	Section/Pages Affected	Activity- Reason For Change (Review/Update/Addendum/Adoption/Distribution)	Date Issued

SAFETY HAZARD IDENTIFICATION MATRIX

[Hazard Identification.xlsx](#)

The Safety Performance Matrix allows Regional Transit Authority RTA to organize, monitor and evaluate identified safety goals and objectives/outcomes.

Completed by:	Last Updated: INSERT DATE	49C.F.R. §673.25(C)(1)	§673.11(a)(3)
GOAL 1: SMS TO REDUCE CASUALTIES/OCCURRENCES RTA/SoCo will utilize a safety management systems framework to identify safety hazards, mitigate risk and reduce casualties and occurrences resulting from transit operations.			
OBJECTIVE/OUTCOME Develop a corrective action plan and mitigation strategies to address identified hazards	METRICS Percent of corrective action strategies completed per specified period of time	BASELINES- Identify Baseline A baseline is a point in time measure of a known performance level used as reference for subsequent measurements. A minimum or starting point used for comparison.	SAFETY PERFORMANCE TARGETS A level of performance we are aiming to reach in the future.
Safety Officer, Department Heads and Safety & Training Manager	3 years of Transit Safety and Training experience, Transit Safety and Security Program (TSSP) certification. Within three years. Bus Curriculum FTA Office of Safety and Oversight Recommendation • Transit Bus System Safety Certification Training Program website <input type="checkbox"/> Fundamentals of Bus Collision Investigation <input type="checkbox"/> SMS Awareness Transportation Safety Institute (TSI) <input type="checkbox"/> SMS Safety Assurance <input type="checkbox"/> SMS Principles for Transit	World Safety Certification of Safety & Training Manager, • High school diploma or equivalent, required. • TSI certification required. • TSSP certification required or World Safety Certified	A transit professional that successfully completes the four (4) required courses within a consecutive three (3) year timeframe is eligible
Fatality of any person when related to the movement of a transit vehicle. <i>The total number of injuries and fatalities is the total number of reportable injuries and fatalities per total vehicle revenue miles. The total number (includes non-preventable incidents)</i>	RTA 1,581,000 revenue miles per year	RTA Seven Years – Zero Fatalities	Zero fatalities 3 year period
	SoCo zero Fatalities per 235,000 revenue miles per year	SoCo 10 Years - Zero Fatalities	Zero fatalities 15 year period
Reduce the number Third Party Injuries- such as; collision, bike, pedestrian	Measured by annual claims rate. Third Party Injuries- such as; collision, bike, pedestrian	Identify a baseline	Establish reasonable measure using past and present performance data and trends
Reduce the number of Passenger transit related injuries	Measured by annual Accident/Incident Reports or claims rate and severity Review Quarterly	FY 2018-2019 = 21 Reports	Reduce by 50% or to 10 injuries FY 2020
Reduce the number of Driver/Employee related injuries	All work comp claims are reported to RTA carrier and investigated immediately. Measured Worker Comp claims rate and severity. FY 2018-2019 Review Quarterly	10 Driver Injury Claims FY 2018-2019	Reduce by 50% or to 5 injuries FY 2020
Reduce the number of Mechanic/Utility related injuries	All work comp claims are reported to RTA carrier and investigated immediately. Measured Worker Comp claims rate and severity. FY 2018-2019 Review Quarterly	1 - Injury Claims FY 2018-2019	Not to exceed 1 - annually
Reduce the number of Administrative Employee injuries	All claims are reported to RTA carrier and investigated immediately. Review Quarterly	Zero Injury Claims FY 2018-2019	Not to exceed zero annually.
Employee (<i>Preventable</i>) workers compensation lost-time claims	All work comp claims are reported to RTA carrier and investigated immediately. Measured Worker Comp claims rate and severity. FY 2018-2019 Review Quarterly	11 - Preventable lost time claims FY 2018-2019	6- Preventable lost time claims, annually

Employee (<i>Preventable</i>) medical-only claims	All work comp claims are reported to RTA carrier and investigated immediately. Measured Worker Comp claims rate and severity. FY 2018-2019	10 - Preventable medical only FY 2018-2019	5 - Preventable medical only, annually
Safety Events	The total number of reportable events and rate per total in service revenue vehicle miles by all modes of service (fixed route and paratransit, Dial-A-Ride). (Typically reported safety violations, customer safety related complaints, employee close call / near miss reporting, etc.)		
Preventable vehicle collisions. Fixed Route & Paratransit	Revenue service miles per 100,000 revenue service miles Review Monthly	1.14 % per 100,000 2018-2019	Rate of preventable vehicle collisions will not exceed 1.0 per 100,000 miles. FY 2021
Backing Transit Vehicles related to the movement of a transit vehicle	Measured by monthly Preventable collision Reports and revenue service miles annually	2018-2019 - 1	NO more than 1 per FY 2021
Fixed Objects related to the movement of a transit vehicle	Measured by monthly Preventable collision Reports, and revenue service miles annually	FY 2018-2019 total of 9 incidents or .50% of preventable collisions	Reduce by 50% or 4 incidents FY 2020 FY 2021
Safety Resource Committee Reports	Address all safety hazards identified by the Safety Resource Committee. Monitored and tracked agenda items are completed- closed-out. Meets Every other month, on the first Tuesday of the month. Bi-Monthly	FY 2018-2019 - Twenty-Seven action items, opened 37 new suggestion items and 17 open action items remain on the agenda.	No more than 10 open agenda items at the end of each fiscal year. Completed items as soon as reported or in a timely manner.
Service Delivery rate for all regularly-scheduled / year-round services	scheduled fixed route bus trip is delivered ahead of the next scheduled bus trip, then service is considered "delivered". Review Quarterly	Shall be 99% or greater Reviewed quarterly by Operations, and reported by Executive Director bi-annually to the Board.	99% https://www.slorta.org/wordpress/wp-content/uploads/Final-Agenda-4-Sept-2019.pdf
On-Time Performance Fixed Route	On-time" is defined as no later than six minutes from any time point in the published schedule. Review Quarterly	Local fixed-route shall be 85% or greater. Route deviation services shall be 70% or greater.	85% on time performance fixed route and 80% deviation services
On-Time Performance Paratransit	on-time if the van arrives within 30 minutes of the appointed pick-up time. Review Quarterly	99% FY2019 - Strategic Business Plan	Runabout and other demand response services shall be 95% or greater.
Annual fiscal and compliance audit findings. FTA Triennial Audit	Finance and Administration will report any negative audit findings to the RTA Board.	Consistently achieves positive annual fiscal and compliance reports with no significant financial audit findings.	No significant annual fiscal and compliance audit findings.
Customer and community perception of system safety	As measured in biannual	100% FY2019 Strategic Business Plan	Based on Community Perception Survey At least 90% overall Rating. Achieve an 80% favorable rating of bus stop appearance.
Total risk management costs	Reported monthly in financials and YTD budget. Reported bimonthly to the RTA Board.	At or Below Market - Strategic Business Plan	Not exceed industry norms. FY2019 Achieved Goal
Recruit, promote and retain highly qualified employees to achieve our service standards. Increase employee safety training opportunities and attendance	Provide continuous development of skills and capabilities through ongoing training and development programs. Ongoing	Department Heads develop training plans as part of annual budget-making process, according the following minimum standards: Strategic Business Plan	A. Maintenance: 30 Hours per technician annually. B. Operations Supervisors: 24 Hours annually. C. Finance and Administration: 16 Hours per employee annually.

Bus Operator Training	Training Manual and Content based on policies, procedures, state and federal laws and regulations	Completed all mandated for all employees annually. Six-week training program for all newly hired bus operators. Strategic Business Plan	A. State-mandated minimum of 8 hours of Verification of Transit Training annually. B. Six-month refresher for new Bus Operators. C. Focused and customized training designed specifically for Bus Operators at second anniversary.
Fatigue Awareness	Fatigue is the state of feeling very tired, weary or sleepy resulting from insufficient sleep, prolonged mental or physical work, or extended periods of stress or anxiety. Boring or repetitive tasks can intensify feelings of fatigue. Fatigue can be described as either acute or chronic.	Employee Health Incentives, Outside Employment Tracking, Comply with state and federal laws, hours of service, Employee Assistance Hotline. Pre-employment, for cause, random, drug testing, and pass DOT physical examination.	Continue with training, awareness and current programs. Maintain effective procedures to ensure employee fitness for duty and medical qualification
Assault Prevention	We continually stress the tenets of Verbal Defense and Influence,	Focused how to communicate more effectively with each other and our customers – particularly in difficult or threatening situations. Training drivers and staff regarding Mental Health and Human Trafficking Situations	Review and train as needed. Discussions during Monthly Operations Staff Meetings, Maintenance Meetings, and Department Heads meetings
Employee Performance	Grading measurement of attainment of department objectives developed during the budget process and achievement of RTA's Standards and RTA's KPIs	Goals and Objectives established previous year	Employees will be evaluated annually
Bus Operators Evaluations	On Board, Follow Behind and Yard Check Evaluations to ensure the public's safety.	Based on Collective Bargaining Agreement (CBA) and Both Technicians and Bus Operators are evaluated as part of the RTA Safety Awards program. Bus Operator Driver matrix	Conduct individual evaluations annually. Safety Award on anniversary dates. Must meet RTA/SoCo performance standards. Employee retraining as needed.
Fleet Road Calls - System Reliability	A road call is defined as all mechanical or other vehicle-related failures that affect the completion of a scheduled revenue trip or the start of the next scheduled revenue trip, including failures during deadheading and layover. Review Quarterly	Reasonable measures are based on past and present performance data and trends. FY 2018-2019, 4.7 Tracked and reported by the Maintenance Department, and reported biannually to the RTA Board. Strategic Business Plan	Road calls will not exceed five per 100,000 vehicle service miles. Standard 5.0
Achieve all federal and state-mandated maintenance minimums, as well as vendor recommended maintenance schedules, for our fleet and facilities.	Preventative maintenance schedules for all equipment shall be done on a timely basis (3,000 mile intervals or as mandated by equipment OEM vendor).	No findings in area for all listed categories	No negative CHP Annual Terminal Inspection, FTA Triennial Review or TDA Triennial Performance Audit findings. Reported annually to the RTA Board.

GOAL 2: CULTURE

TRANSIT AGENCY will foster agency-wide support for transit safety by establishing a culture where management is held accountable for safety and everyone in the organization takes an active role in securing transit safety.

OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Design Hazard	Building Design walkway employee parking through bus yard to operations building.	Walkways through the bus yard and bus wash	Design walkway hazard out through design of new building. FY 2022
Establish regular transit safety meetings comprised of staff at varying levels, including executives, officers, managers, operators and maintenance personnel	Safety Committee/Employee Suggestion Report and Collision Review meetings held afterward	Meetings are held the first Tuesday every other month	Assigned tasks to appropriate department member, follow up, agenda items monitored and tracked and completed.

Develop and promote a Non-Punitive Reporting Policy	100% of staff receiving Non-Punitive Reporting Policy - Safety Suggestion Forms	Non-Putative with the exception of violating Drug & Alcohol Policy (positive testing results), Violation of Sexual Harassment or Policy Against Violence in the Workplace or false accusations of any policy listed above.	Encourage all employees to participate in Reporting, follow up agendas printed for all employees at all locations after meetings.
Increase the reporting of near miss occurrences and incidents that would otherwise go unreported	Number of near miss occurrences. Incidents reported per specified revenue service miles or per specified period of time	FY Collision Log	Establish reasonable measure using past and present performance data and trends
Increase safety material distributed amongst employees and the general public	Manuals, brochures, posters or Safety Campaign Posters, distributed (monthly, bi-monthly, quarterly, annually). Operations Supervisor/Dispatcher Monthly Meetings, Administrative Monthly Meetings, Mechanic Monthly Meetings, Utilities Monthly Meetings, Facility Inspection Checklists (monthly, bi-monthly, quarterly, annually) Onboard Bus Car Cards, ADP Website for employees, Public Website	New Fleet, Cal-Tip Training, Safety Posters	Training New Fleet to all drivers, Monthly Safety Posters, Two Full Day Cal-Tip Training Classes annually
GOAL 3: SYSTEMS/EQUIPMENT:			
TRANSIT AGENCY will provide a safe and efficient transit operation by ensuring that all vehicles, equipment and facilities are regularly inspected, maintained and serviced as needed.			
OBJECTIVE/OUTCOME	METRICS	BASELINES	TARGETS
Road Calls	5.0 per 1000,000 miles is Industry Standards-The RTA uses the same definition of a road call as used in the National Transit Database. Strategic Business Plan. Review Quarterly	4.7 per 100,000 miles	5.0 per 100,000 miles
Scheduled preventative maintenance	Monthly, Semi- annually and annually preventative maintenance inspections are completed and per specified period of time or specified vehicle mileage	There were no negative findings TDA Triennial Performance Audit nor in the last FTA Triennial Review. Preventable maintenance has been completed on a timely basis, with no CHP findings. All inspections are documented and filed	No negative findings in the next TDA Triennial Performance Audit or in the 2021 FTA Triennial Review or the annual CHP audits.

Safety Risk Assessment Matrices Bus Transit Agencies

Safety Risk Index	Criteria by Index
High	Unacceptable – Action Required = Safety Risk must be mitigated or eliminated
Medium	Undesirable – Management Decision = Executive management must decide whether to accept the safety risk with monitoring or required additional action.
Low	Acceptable with Review = Safety Risk is acceptable pending management review

Likelihood Levels			
Description	Level	Individual Item	System or Vehicle Fleet
Frequent	A	Likely to occur more than once or more per day, week or month	Continuously experienced. Potential consequence may be experienced by the agency more than once per 40,000 vehicle revenue miles or more than 8 instances a year. <i>Or potential consequence will be experienced more than once per year throughout vehicle life cycle.</i>
Occasional	C	Will occur several times in the life of the item.	Will occur several times. Potential consequence may be experienced once per 40,000-145,000 vehicle revenue miles or more than 9 instances a year. <i>Or potential consequence will be experienced at least once every two years throughout vehicle life cycle.</i>
Remote	D	Unlikely to occur but possible, but can reasonably be expected to occur. Experienced less than once per year or decade but more than once in life of the system.	Unlikely but can reasonably be expected to occur. Potential consequence may be experienced once between 145,000 and 435,000 revenue service hours. Not more than 1 instance or fewer every 2.5 or more years.

Severity Categories §673.5		
Description	Severity Category	Criteria
Catastrophic	1	Could result in one or more of the following: death or multiple deaths, permanent total disability, or loss exceeding \$250,000, system shutdown lasting 4 or more hours, irreversible severe environment damage that violates the law or regulation.
Serious	2	Could result in one or more of the following: death, permanent partial disability, injury or occupational illness that may result in hospitalization of at least one person, property damage exceeding \$25,000 but less than \$250,000, system shutdown lasting between 1 hour and 4 hours, or reversible environmental damage that violates the law or regulation. as “Any physical damage to transit or non-transit property including vehicles, facilities, equipment, rolling stock, or infrastructure ... which adversely affects the structural strength, performance, or operating characteristics of the vehicle, facility, equipment, rolling stock, or infrastructure requiring towing, rescue, onsite maintenance, or immediate removal prior to safe operation.”
Marginal	3	Could result in one or more of the following: injury or occupational illness resulting one or more lost work day(s), injury or property damage claims up to \$25,000, system shutdown of less than 1 hour, or mitigated environmental damage, without violation of the law or regulation.

Risk Assessment Matrix §673.5			
Likelihood/Severity	Catastrophic (1)	Serious (2)	Marginal (3)
Frequent (A)	High	High	High
Occasional (B)	High	Medium	Medium
Remote (C)	Medium	Medium	Low

APPENDIX E

HAZARD IDENTIFICATION AND RISK ASSESSMENT LOG

C.F.R. §673.5

The Hazard Identification and Risk Assessment Log shown used to provide a record of the identified hazards and the actions that should be taken. A specified individual, typically the appropriate manager responsible for addressing that particular risk, and a target date for completion, must address the recommended action. Entries in the log should not be cleared until the required action is completed. The Safety Manager (SM) should retain the hazard log and action completion records permanently.

COMPLETED BY: _____ DATE: _____

Risk Type	Risk Description	Current Measures to Reduce Risk	Safety Risk Rating	Likelihood Risk Rating	Severity Risk Rating	Further Action Required to Reduce Risk	Staff Responsibility	Target Date
Operational	Backing	Check Ride/Follow Behind Evaluations, Use of cones when backing, Call in 10-16 to dispatch before backing. Retraining, monitoring locations, collision review committee determining causative factors. Tracking incidents using collision log. Tracking Locations, Years of Experience, Routes	Low	Frequent	Marginal	Lack of employee compliance with operating procedures - Policy to reinforce need for compliance. Encourage employees to report hazards. Collision Prevention Team to visit high hazard locations to determine tight clearances and narrow lanes if re-routing is an option. Re-Training Reporting Procedures	Operations & Safety & Training Managers-Supervisors and Training Staff	Monitor & Report Findings June 1, 2020
Operational	Fixed Objects	Retraining, monitoring locations, collision review committee determining causative factors. Tracking incidents using collision log. Tracking Locations, Years of Experience, Routes	Low	Frequent	Marginal	Lack of employee compliance with operating procedures - Policy to reinforce need for compliance. Encourage employees to report hazards. Collision Prevention Team to visit high hazard locations to determine tight clearances and narrow lanes if re-routing is an option. Re-Training Reporting Procedures	Operations & Safety & Training Managers-Supervisors and Training Staff	Monitor & Report Findings June 1, 2020
Operational	Employee Injury, Slips, Trips, Falls	Safety vest policy, shop training for select employees & all others do not enter maintenance area, Policy no standing on vehicle bumpers, wear slip resistant shoes, three point contact on stairways, training how to enter and exit vehicles, Safety Reminder Posters. Retraining as recommended. Coaching & counselling by supervisors using Driver Performance Matrix for training consistency when operations staff coaches drivers.	Medium	Occasional	Serious	Lack of employee compliance with operating procedures - Policy to reinforce need for compliance. Encourage employees to report hazards. Collision Prevention Team to visit high hazard locations to determine tight clearances and narrow lanes if re-routing is an option. Re-Training Reporting Procedures.	Operations & Safety & Training Managers-Supervisors and Training Staff	Monitor & Report Findings June 1, 2020
Operational	Passenger/Third-Party Injury	Wheelchair securement training & retraining & visual checks before closing passenger vehicle doors.	Medium	Occasional	Serious	Lack of employee compliance with operating procedures - Policy to reinforce need for compliance. Encourage employees to report hazards. Collision Prevention Team to visit high hazard locations to determine tight clearances and narrow lanes if re-routing is an option. Re-Training Reporting Procedures. ADA Mobility Specialist will ask for additional information during eligibility appointment regarding up location to assess driver and customer safety issues. Add special instructions for customers, such as, will pick up and drop at the sidewalk for unsafe drieways, etc. Inform drivers if needed.	Operations & Safety & Training Managers-Supervisors and Training Staff	Monitor & Report Findings June 1, 2020
Agency	Employee Reported Events	Review all unsafe behaviors or unsafe conditions reported to department heads.	Low	Occasional	Marginal	Implement policies or procedures when needed.	Department Heads	.
	
	
	
	
	

Hazard Identification, Risk Assessment, Risk Mitigation (Classification System)

Operational Hazards

Bicycle lane in front of, or adjacent to, a bus stop
Other drivers following a bus too closely or speeding
Pedestrian crossings
Tight clearances and narrow lanes
Multi-tasking limiting the effectiveness of bus dispatchers
Construction work zones and detours
Obstructions on the road, including debris , tree limbs
Bus stops on hills or curves

Maintenance Hazards

Uneven wear on bus brake rotors
Wear and defects in exhaust gas recirculation systems on buses
Wear and defects in electrical system components on buses

Design Hazards

Inability to use rear view and side mirrors on a bus without the operator adjusting their body and head position

Equipment Hazards

Tools not properly calibrated
Flashlight batteries do not hold their charge
Inoperable communications equipment
Worn and dirty personal protective equipment is no longer reflective
Loose lug nuts
Tire thread depth

Weather Hazards

Rain, fog, and thunderstorms
Flooding
Freezing rain and icing conditions

Natural Hazards

Wildlife (deer on roadway)
Adverse terrain (hills, curves, bridges)

Supervisory Hazards 49 C.F.R. Part 673.25(b)(1)

Lack of employee performance monitoring
Inaccurate or confusing work instructions or verbal directions
Lack of employee compliance with operating and maintenance rules
Lack of or ineffective work observation procedures

Training Hazards

Lack of or incomplete training on current procedures and requirements
Lack of internal and external communication to support training delivery,

Procedural Hazards

Incorrect, incomplete, or outdated procedures or manuals for conducting operations activities
Lack of or ineffective procedures to address fatigue in employee work scheduling
Lack of or ineffective policies and procedures for managing substance abuse, over the counter medications, and prescription medications

Resource Hazards

Inability of the agency to staff and resource departments
Lack of transition planning to manage turnover in key management and skilled labor positions

Safety Events	
Collisions	<p>meet an injury, fatality, property damage, or evacuation threshold;</p> <ul style="list-style-type: none"> • involve transit revenue roadway vehicles and the towing away of any vehicles (transit or non-transit) from the scene; • include suicides or attempted suicides that involve contact with a transit vehicle; or • do not involve a transit revenue vehicle but meet a threshold. <p>Estimated property damage equal to or exceeding \$25,000 Reporting threshold</p>
Other Safety Events	<p>(events that do not fall into any of the other categories, yet meet a reporting threshold other than immediate transport for medical attention for one person)</p>
Injuries	<p>Immediate transport away from the scene for medical attention (1 or more persons)</p>
Serious Injuries	<ul style="list-style-type: none"> • requires hospitalization for more than 48 hours within 7 days of the event; • results in a fracture of any bone (except simple fractures of fingers, toes, or nose); • causes severe hemorrhages, or nerve, muscle, or tendon damage; <p>involves an internal organ; or</p> <ul style="list-style-type: none"> • involves second- or third-degree burns, or any burns affecting more than five percent of the body surface.
Fires	
Hazardous Material Spills	
Acts of God	

When person receives immediate medical attention away from the event and does not meet a threshold for serious injury. If an individual seeks medical care several hours after an event or in the days following an event, that individual is not reportable as an injury.

A reportable evacuation is a condition that occurs when persons depart from transit vehicles or facilities for life-safety reasons. Evacuations include both transit-directed evacuations and self-evacuations. **Self-evacuations occur when people vacate transit property without direction from transit personnel or another authority.**

Self-evacuation is not a reporting threshold.

If a bus breaks down during service, and passengers must evacuate to the sidewalk or highway shoulder lane, the agency would not report the event unless another threshold is met.



APPENDIX D

STAFF SAFETY ROLES AND RESPONSIBILITIES

Complete the Staff Safety Roles and Responsibilities table below in addition to the written narrative of staff roles and responsibilities provided in the Public Transit Agency Safety Plan (PTASP). Safety Management Systems (SMS) stresses the importance of a holistic safety approach. Be sure to include any and all staff that might have some role in a safe transit agency. For example, staff at the Executive Level, from Human Resources or Finance might be included.

Completed by: RTA	Date: Insert Date
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Position Title	Position Description	Safety Responsibilities
Accountable Executive	<p>Executive Director</p> <p>Has the ultimate responsibility for carrying out the agency safety plan, Public Transportation Agency Safety Plan (PTASP) and Transit Asset Management (TAM) Plan</p> <p>§673.11(a) (1) §673.11(a) (5) §673.11(a) (4) §673.23(d) (2)</p>	<ul style="list-style-type: none"> Promoting safety awareness throughout the organization; Control or direction over human and capital resources needed to maintain and Agency Safety Plan and Tam Plan Accountable for ensuring that the agency's Safety Management System (SMS) is effectively implemented, and action taken, as necessary, to address standard performance in the agency's SMS Responsible for Public Transportation Agency Safety Plan (PTASP) approval and the Board of Directors approval Responsible for PTASP annual Review/Update Responsible for compliance with the Public Transportation Safety Plan/National Safety Plan Assignment of Chief Safety Officer The Accountable Executive is responsible approving the transit agency's Public Transportation Agency Safety Plan, and any updates thereto. The Accountable Executive is responsible for the implementation and maintenance of the SMS. This Accountable Executive also is responsible for making decisions over the human and capital resources needed to develop and maintain the agency's Transit Asset Management Plan required by 49 U.S.C. 5326. FTA intends that the individual who is responsible for making decisions related to the condition of the agency's capital assets, particularly whether those assets are in a state of good repair, is also



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STAFF SAFETY ROLES AND RESPONSIBILITIES

		<p>responsible for implementing the agency's SMS and determining whether those assets are presenting any safety risks.</p> <ul style="list-style-type: none"> • This individual must have the ability to make budgetary, operational, and capital program decisions to address these competing needs and issues. • Accountable Executive regarding the proposed capital and operating budgets are presented for approval to the transit agency's Board of Directors or equivalent entity.
Chief Safety Officer (CSO) or SMS Executive	Executive Director, §673..5 / 673.23 (d) (2)	<ul style="list-style-type: none"> • Designed by CSO? SMS Executive or Accountable Executive • Reports directly to Accountable Executive • Adequately trained with authority and responsibility for day-to-day implementation and operation of SMS
Agency Leadership and Executive Management	Executive Director, Chief Financial Officer/Director Administration, Operations Manager, Maintenance and Facilities Manager	<ul style="list-style-type: none"> • Promotes safety awareness throughout the organization • Ensure coordinated development and implementation of the PTASP • Responsible for compliance and communication with the PTASP and SMS within assigned department employees • Reviews TAM Plan • Engineering controls • Organizational safety policies and procedures • Management training • Emergency preparedness plans internal and external
Operations Manager	Promoting safety awareness throughout the Operations Department employees	<ul style="list-style-type: none"> • Reports directly to Accountable Executive • Reports Facilitates Collison/Incident Causative Factors Meetings, • Monitors Insurance Claims, investigation results • Monitors Customer Compliments and Complaints • Ensure the public adheres to RTA Code of Conduct • Department Safety Meetings & Staff Training • The development of service routes and the timing associated with those routes



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<p>Safety & Training Manager</p>	<p>Ensure coordinated development and implementation of the PTASP Manage and Train Driver Instructors Manage ADA Mobility Specialist</p>	<ul style="list-style-type: none"> • Driver evaluation results • Reports to Operations Manager • Promoting safety awareness throughout the organization; • Ensuring that safety documentation is current and accessible to all employees; • Communicating changes in safety documents to all personnel; • Monitoring the effectiveness of corrective actions; • Providing periodic reports on safety performance; • Rendering independent advice to the Executive Director, senior managers, and other personnel on safety-related matters; and • Ensuring that safety management has a high priority throughout the organization • Analyzing current risks and identifying potential risks that are affecting the agency • Implements Safety Resource/Communication Committee Employee Communication quarterly meetings and facilitates Inter-agency coordination and safety meetings • Collision Statistics, employee years of experience, location, type and causative factors • Identify training needs, pass/fail rates for new drivers, and evaluations of current drivers • Annual 8- hour driver training • Post Collision retraining • 6-month refresher training for new drivers • New employee training for all positions • Emergency preparedness training and drills • Instructors must ensure that all drivers understand their role in preventive maintenance during pre-trip and post-trip vehicle inspections. • Department Safety Meetings & Staff Training • Ensure drivers are trained the proper starting, shifting, and braking procedures to extend the life of the equipment.
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		<ul style="list-style-type: none"> • Trainers must ensure that all drivers understand their role in preventive maintenance. • SSPP program information • Trainers must make sure that drivers understand and can perform their preventive maintenance roles well.
Transit Dispatchers & Supervisors	Dispatchers & Supervisors are responsible for communicating the transit agency's safety policies to all employees.	<ul style="list-style-type: none"> • Reports to Operations Manager • Having full knowledge of all standard and safety operating procedures • Ensuring that drivers make safety a primary concern when on the job • Listening and acting upon any safety concerns raised by the drivers • Immediately reporting safety concerns to Safety Management • Provide leadership and direction to employees during security incidents • Handle minor non-threatening rule violations • Defuse minor arguments • Determine when to call for assistance • Respond to fare disputes and service complaints • Respond to security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance • Complete necessary security and safety related reports • Take photographs of damage and injuries • Coordinate with all outside agencies at incident scenes • Oversee Daily Transit Operations • Random inspections of Department for safety compliance (pre-trip inspections, driver files, on bus driver check rides, medical and license renewals, etc.) • Inter-agency coordination and safety meetings • Operations personnel fitness-for-duty checks which may identify



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		<ul style="list-style-type: none"> ○ Impairment ○ Fatigue ○ Absence of corrective lenses ○ Apparent injuries and ○ Uniform or equipment issues • Provide safe and reliable public transportation services to fixed route and the paratransit mobility impaired • Comply with hours of service regulations • Notify appropriate emergency personnel when required • Manage and Report safety incidents, collisions, bus maintenance • Radio communications checks • Respond to customer Complaints
Bus Operators	Drivers are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing security incidents, and in responding to emergencies.	<ul style="list-style-type: none"> • Take charge of a hazard incident scene until the arrival of supervisory or emergency personnel • Collect fares in accordance with agency policy • Be familiar with RTA/SoCo Employee Manual and Procedures • Attempt to handle minor non-threatening rule violations • Respond verbally to complaints • Attempt to defuse minor arguments • Determine when to call for assistance • Maintain control of the vehicle • Report all safety incidents to Supervisor on duty • Complete all necessary safety related reports
Deputy Director/Chief Financial Officer (CFO)	<p>Promoting safety awareness throughout the Finance and Administrative Department employees</p> <p>Training and developing Safety Procedures for Staff NTD reporting programs</p>	<ul style="list-style-type: none"> • Reports directly to Accountable Executive • Maintains records of insurance policies and claims • Reviews any new major contracts or internal business proposals • Provides management with information necessary to make strategic decisions at any time during the year • Purchasing controls • Follow the secure method for receipt, transfer and storage of cash and appropriate staff members are trained on them



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STAFF SAFETY ROLES AND RESPONSIBILITIES

		<ul style="list-style-type: none"> • Cash is transported by security agency • Incident reporting format and procedures have been established and staff briefed on them • Department Safety Meetings & Training • The provision of data collection and/or analytical programs • Report revenue mileage, insurance costs, and experience modification
Human Resources Administrator	Implementing Human Resource Health & Safety Procedures	<ul style="list-style-type: none"> • Reports to Deputy Director/CFO • Background checks conducted and verified on all prospective new hires • Record of emergency data on file for each employee • Understand the health and safety responsibilities of employers, managers, supervisors and employees within the organization • Implement personnel management policies to ensure that everyone in the workplace is aware of his/her responsibilities • Establish effective ways of meeting health and safety responsibilities; and • Ensure that employees fulfill their health and safety responsibilities as outlined in the organizational policies and programs. • Tracking, Reporting employee illness and injury • Preventing work related injuries and illnesses • Fostering a workplace safety culture in which employees and their supervisors work together to ensure workplace safety • Establishing administrative procedures that encourage employees to report unsafe conditions and unsafe practices to their supervisors without fear of being disciplined • Developing appropriate hiring, training and performance appraisal practices • Reports Turnover Numbers • Recruiting and retaining the best employees who care about their own well-being and the well-being of co-workers • Ensuring that the health and safety policies and procedures conform with the applicable occupational health and safety legislation and accepted best practices in similar organizations



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		<ul style="list-style-type: none"> • Establishing procedures for enforcing company safety rules • Helping reduce costs associated with losses due to absenteeism injuries, Workers' Compensation, disability, and health care • Maintaining records of injuries, illnesses and workers' compensation • Providing advice to employees and the employer in matters of occupational health and safety
Maintenance and Utility Manager	Maintain a written maintenance plan to include maintenance safety	<ul style="list-style-type: none"> • Reports directly to Accountable Executive • Department Safety Meetings & Staff Training • Responsible for regular maintenance to keep equipment, machines and the work environment safe and reliable • Monthly inspections • Lock-out, tag-out procedures trained and enforced • Personal Protective Equipment (PPE) procedures trained and enforced • Training Programs • Department Safety Meetings • Warranty compliance and recovery • Maintenance data, frequency and cost of materials and labor for in-house repairs • Protect the public investment in real property and equipment purchased with state or federal public transportation funds • The proper management of parts, equipment, facilities, fleet, and personnel • Management must be sure that staff is properly trained in preventive maintenance. The manager must know all parts of the preventive maintenance program, supervise its implementation and evaluate its effectiveness through audits and fiscal control • A fleet life plan
Mechanics, Bus Washers, Utility	<p>Promoting safety awareness throughout the Maintenance Department employees</p> <p>Training and developing Safety Procedures for Staff</p>	<ul style="list-style-type: none"> • Random inspections of Department for safety compliance (maintenance records, etc.) • Inter-agency coordination and safety meetings



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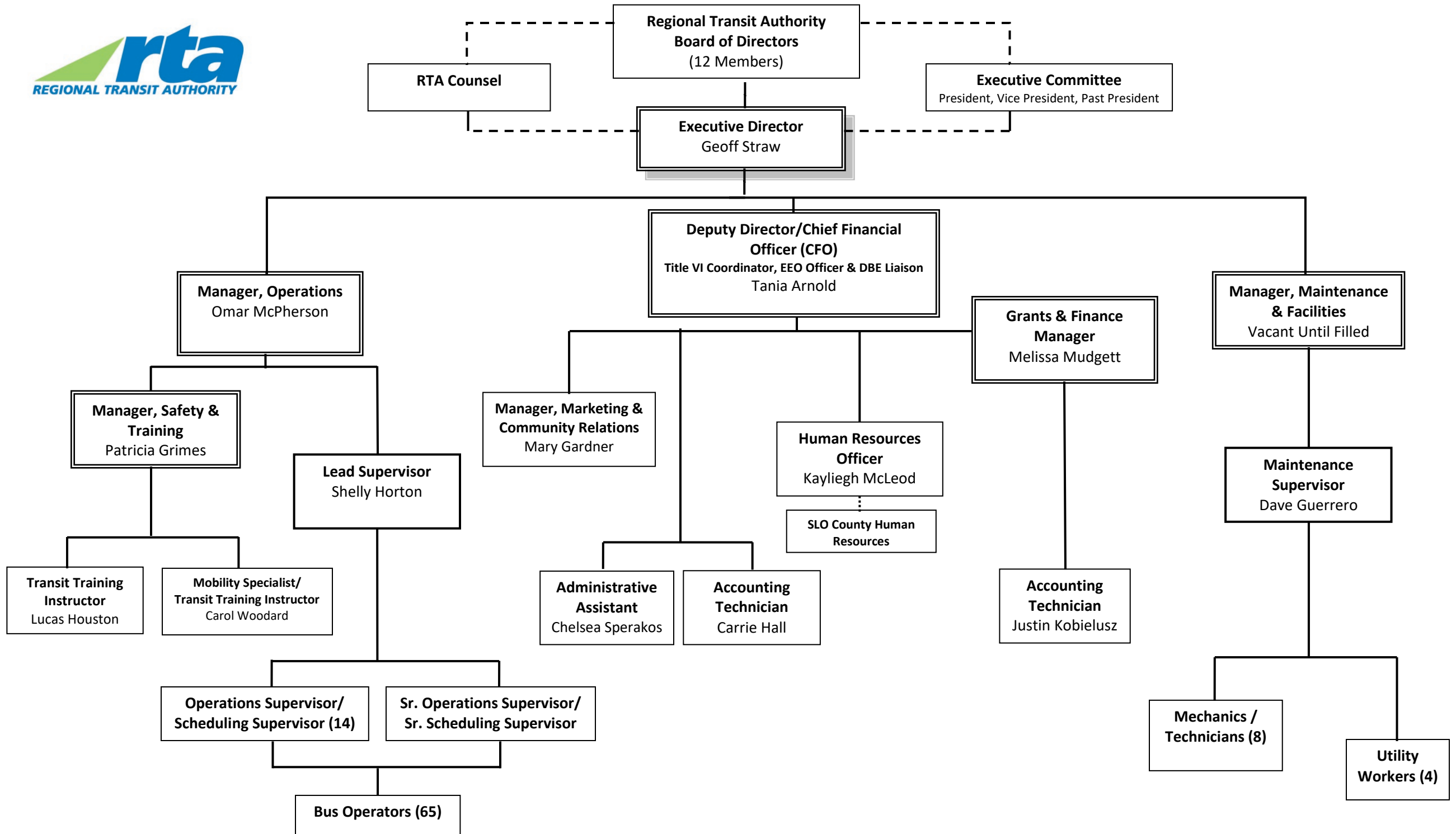
		<ul style="list-style-type: none"> • Mechanics are the most accountable in the preventive maintenance process. • Due to the variety of vehicles, ensure mechanics are specifically trained for each type of vehicle they might maintain. • Document Preventive maintenance (PM) inspections and services • All documentation are kept for the life of the vehicle • Document all road calls • Maintain the ADA features of the facilities and vehicles in operative condition, including elevators and ADA doors • Fire extinguishers installed at all appropriate locations • Fire extinguishers in buildings (monthly checks) and in vehicles inspections and charged • Smoke detectors and fire alarms installed, fire alarms checked twice each year • Is a first aid kits present and maintained in appropriate vehicles and building locations • Electrical devices, outlets, circuit breakers and cords free of damage that may pose a shock hazard • All electrical circuit, gas, and telephone boxes, if accessible from the outside, locked to prevent tampering • All outdoor trash containers and storage bins are located away from the building in the event of a fire • Preventive maintenance inspections and scheduled services and documented
Union Leadership		Working with RTA and employees to: <ul style="list-style-type: none"> • Promote and ensure safe work conditions and reporting to RTA • Resolve workplace issues by being a voice for employees • Representative during bargaining negotiations
INSERT POSITION TITLE	INSERT POSITION DESCRIPTION	• INSERT SAFETY RESPONSIBILITIES



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All staff members receive safety and security training appropriate to their position and level of responsibility





Message from the Executive Director

Welcome Aboard!

Whether you have just joined our staff or have been at the Regional Transit Authority (RTA) for a while, we are confident that you will find our company a dynamic and rewarding place in which to work. We consider the employees of the RTA to be one of our most valuable resources, and we look forward to a productive and successful relationship. This Handbook has been written to serve as the guide for the employer/employee relationship.

The Handbook begins with a summary of RTA's Strategic Business Plan, which includes our Vision, Mission Statement and Goals. We have selected you to be part of the RTA Team primarily because of your skills, knowledge and abilities that you have demonstrated to us when we were considering you for a position at the RTA. You are also part of the RTA Team because we believe that you can substantially contribute to our mission of providing safe, friendly, and reliable service to the citizens of and visitors to the County of San Luis Obispo.

It is great to have you a part of our team!

Sincerely,

Geoff Straw
Executive Director

San Luis Obispo Regional Transit Authority VISION, MISSION, STRATEGIC DIRECTION & GOALS

VISION

The RTA of the future is an integral part of the “SLO lifestyle.” From the vineyards in North County, to the secluded beach towns on the North Coast, to multi-faceted communities in the South County, residents and visitors use public transportation rather than relying on their cars.

Vision Elements

- Continue successful partnerships with jurisdictions, county, other public agencies, businesses and schools.
- Provide excellent, reliable, sustainable seamless service that is effective in getting residents and visitors where they want to travel.
- Secure reliable funding.
- Implement an Intelligent Transportation Systems (ITS) program to improve service quality and provide efficiencies.
- Develop a well-executed image-building campaign with a single face for public transportation.

MISSION

The Mission of RTA is to provide safe, reliable and efficient transportation services that improve and enhance the quality of life for the citizens and visitors of San Luis Obispo County.

STRATEGIC DIRECTION

- Stabilize and grow funding.
- Continue to improve service quality: On-time performance, scheduling and routing, customer amenities on our vehicles and at our bus stops, operating procedures.
- Consolidate and streamline operations to improve efficiency and effectiveness of public transportation throughout the county.
- Include public transportation as part of the lifestyle evolution needed to confront climate change.
- Reduce Vehicle Miles Traveled.
- Embrace technological improvements that will positively impact efficiency and quality of service.

SAN LUIS OBISPO REGIONAL TRANSIT AUTHORITY VALUES

Commitment to Serve

Provide valuable services to the public and direct our energies in strengthening our relationships with our customers and the community while maintaining responsible ethical fiscal management.

Leadership

Be trustworthy, credible, confident, progressive and influential in all we do.

Teamwork

Work together with trust, support and mutual cooperation and respect. Provide an environment that fosters frank and open communication. Have fun in our daily activities and keep issues in perspective. Have pride in our accomplishments while taking on our challenges with spirit and vigor.

Integrity

Promote honesty, loyalty, dignity, respect, decency, fairness, courtesy, responsibility, and character.

Human Development

Provide the appropriate resources and environment for employees to be successful, motivate individuals to take initiative and to be creative in all of our efforts.

**San Luis Obispo Regional Transit Authority
EMPLOYEE POLICIES AND PROCEDURES HANDBOOK**

Article 1 Introduction

Article 2 Employment

Article 3 Compensation and Benefits

Article 4 Equal Opportunity / Discrimination and Harassment Prevention

Article 5 Recruitment and Selection

Article 6 Performance Evaluation

Article 7 Disciplinary Actions

Appendix A: RTA Job Classifications (provided electronically at www.slorta.org)

ARTICLE 1

INTRODUCTION

Section 1.1 Employee Policies & Procedures Handbook

The purpose of this handbook is to provide the San Luis Obispo Regional Transit Authority (RTA) staff with guidance on major aspects of the RTA's policies and procedures. It shall be the duty of all RTA employees to comply with and support the provisions of this Handbook, all laws and regulations, and any internal management memoranda as the RTA Executive Director shall issue.

This Handbook supersedes and replaces all previous personnel policies, practices, work rules and guidelines. The RTA reserves full discretion to add to, modify, or delete provisions of this Handbook, or the policies and procedures on which they may be based, at any time, in accordance with the amendment procedure contained herein. In the event of any change to the policies set forth herein, all employees will receive notification from the RTA Executive Director or designee detailing the changes made.

This Handbook has been reviewed and adopted by the RTA Board of Directors (the Board). If any part of these policies and procedures is deemed illegal, unenforceable, or void for any reason, it will not affect the validity of the remaining portion. **As a condition of employment, each employee is required to review the policies and procedures and execute the acknowledgment of receipt at the end of the Handbook.**

Section 1.2 Applicability

This Employee Handbook applies to all employees of the RTA and its affiliates.

Section 1.3 Adopting Authority

The Employee Policies & Procedures contained herein have been adopted by the RTA Board of Directors July 11, 2018 and any subsequent amendments.

Section 1.4 References to County Ordinance and Reliance on County Policies

The RTA is an independent agency separate from the County of San Luis Obispo (the County) and is not subject to the County Civil Service ordinances. Nonetheless, in recognition of the RTA' Board's direction for consistency between many RTA and County employee policies, and a desire to minimize the length and level of detail in this document where possible, certain sections of the County's ordinances are referred to herein and incorporated by reference when applicable. As referenced throughout the Handbook, the County Human Resources Department serves as the "third party contractor providing human resource services to RTA" and provides expertise on personnel matters as needed. Any conflicts between the County's ordinances and

these Employee Policies and Procedures shall be construed in favor of the Policies and Procedures.

Section 1.5 Role in San Luis Obispo County Emergency Response Plan

Employees of the RTA will participate in a supporting role as part of the San Luis Obispo County Nuclear Power Plant Emergency Response Plan as set forth in the Standard Operating Procedures for County Public Works and Transportation. In addition, employees of the RTA will support the San Luis Obispo County Emergency Operations Plan transportation tasks.

Section 1.6 Amendments to This Policy

All amendments to the policies in this document shall be made only through the approval of the RTA Board. All amendments must be consistent with the requirements of applicable statutes. Immediate changes required by statute will be made by the Executive Director and ratified at the next available RTA Board meeting. The RTA Executive Director or designee also has the authority to issue day-to-day operational guidelines through Transportation, Maintenance and Administrative Bulletins, which are not required to be amended into the Handbook. Bulletins are distributed to RTA employees and posted at RTA operating facilities.

ARTICLE 2 EMPLOYMENT

Section 2.1. Employee Status

2.1.1 Definitions:

2.1.1.1 Regularly Scheduled: The employee status designations described below will be determined by averaging the number of weekly hours worked during the previous four (4) pay periods and will include an analysis of the average number of weekly hours the RTA expects the employee to work over the ensuing four (4) pay periods.

2.1.1.2 Full-Time Employee: An employee who is regularly scheduled to work more than 35 hours per pay period week. RTA-designated Full-Time employees are eligible for benefits as described in this Handbook.

2.1.1.3 Part-Time Health-Benefited Employee: An employee who is regularly scheduled to work between 30 and 35 hours per pay period week.

2.1.1.4 Part-Time Employee: An employee who is regularly scheduled to work less than 30 hours per pay period week and who regularly works more than 20 hours over two consecutive pay periods.

2.1.1.5 Casual Employee: An employee who is not promised a regular schedule with regular hours each week.

2.1.1.6 Exempt Employee: Exempt employees are those employees who are exempt (as defined by the Fair Labor Standards Act (FLSA)) from earning overtime compensation, and are paid a fixed amount on a per pay period basis.

2.1.2 Terms of Employment

There are two terms of Employment at RTA: At-will and Agreement.

2.1.2.1 At-will: The RTA or the employee may terminate the employment relationship “at will” and there is no expressed or implied property right to a position with the RTA. The RTA retains the right to demote, discipline, change job duties, or alter the terms of employment, at any time, as provided herein. No one other than the RTA Board has the authority to alter this arrangement, to enter into a verbal or written agreement for employment for a specified period of time, or to make any agreement contrary to this policy. Any such agreement must be in writing and approved by the RTA Board.

There may be times when the business needs or interests of the RTA or its Member Jurisdictions become inconsistent with your experience, skills, talents, abilities, or desires. There may also be situations in which efforts to train, support, or encourage you to become more successful in the workplace are unsuccessful. In such circumstances, particularly when your continued employment may have a negative impact on co-workers, the RTA, or the public, the RTA retains the right to terminate your employment, with or without “cause” and with or without notice, depending on the facts and circumstances of a given situation.

At-will status means that an employee may be terminated for any lawful reason, even if it doesn’t rise to the level of “cause,” which is misconduct or a willful violation of workplace standards of behavior. For example, an at-will employee may be terminated for performance-based reasons after provided with direction and an opportunity to improve, even if the performance deficiency does not constitute misconduct.

This policy may not be modified by the conduct of any employee or agent of the RTA or by any verbal representation of any manager. No employee other than the Board or Executive Director can modify this policy in any manner or enter into any agreement that is contrary to this policy unless it is in writing and signed by the Executive Director and subsequently reported to the RTA Board at its next regularly-scheduled meeting.

2.1.2.2 Collective Bargaining Agreement (CBA): an agreement between the RTA and a trade union setting forth the terms and conditions of employment or containing provisions in regard to rates of pay, hours of work and other working conditions.

2.1.3 Resignations

Employees who choose to leave our employment are asked to give as much notice as possible.

Terminating employees will be asked to participate in an exit interview. The purpose of the interview is to be certain the reasons for the employee’s termination are not founded on a misunderstanding or erroneous situation and also assist in helping increase RTA’s retention efforts by identifying reasons employees are voluntarily separating. The interview will also cover what compensation the employee will be paid upon separation and when termination of benefits will occur.

Employees are expected to turn in all property assigned to them at the time of separation.

2.1.3.1 Return of Property: The RTA may loan you property, materials or written information to help you do your job. You are responsible for protecting and controlling any property we loan you. You must also return any property given to you promptly upon request. If you terminate your employment at the RTA, you must return all organization property at the time of separation.

The following are items that may be issued to you (not all employees will receive each and every item):

- Badges
- Keys
- Cell Phones
- Protective Equipment
- Security Passwords
- Tools
- Uniforms
- Credit Card(s)
- Laptop Computer

If you do not return our property and if the law allows, we may take money from your regular or final paycheck to cover the current replacement cost of all unreturned or damaged property. We may also take legal action to secure the RTA property.

2.1.4 Re-employment Policy

Employees who left our employment in good standing will be considered for open positions along with other applicants.

Section 2.2 Immigration Control and Enforcement Policy

Our policy to fully comply with the regulations of the Immigration Reform and Control Act of 1986 (as amended) enforced by the Department of Homeland Security. We will hire only American citizens and non-citizens who are authorized to work in the United States.

The law requires the RTA to do five things:

1. All new employees must complete Section 1 of the I-9 form within three business days of hire.
2. Check documents establishing employees' identity and eligibility to work.
3. The authorized RTA employee examining the documents must complete Section 2 of the I-9 Form and the Certification Section.
4. Retain the form for at least three years or until one year after the person leaves our employment.
5. Present the form for inspection to the Department of Homeland Security or Department of Labor officer upon request.

If an employee is hired for less than three days, Form I-9 still must be completed before the end of the employee's first working day. The I-9 Form contains instructions for completion. The employee assigned to this task must follow those instructions completely. I-9 Forms are to be kept separate from all other personnel records.

Section 2.3 Management Authority

2.3.1 Introduction

The RTA Executive Director is appointed by the RTA Board and is responsible for administration of and adherence to the personnel system, and may delegate any such powers and duties to any other officer or employee. The RTA Executive Director, or designee, shall have the authority to appoint, promote, transfer, discipline and terminate any employee of RTA in accordance with the procedures set forth herein. The RTA, acting by and through the RTA Executive Director, reserves to itself the exclusive authority to: determine the administrative goals and objectives of the agency; set standards of performance; determine the procedures and standards of selection for employment and promotion; direct employees; take disciplinary action; lay off employees due to lack of work, funding, or other legitimate reasons; maintain the efficiency of the RTA's activities; determine the methods, means, and personnel by which the RTA's activities are to be conducted; determine the content of position classifications; and exercise control and discretion over the organization and the equipment and technology required to perform its goals and objectives. The RTA Executive Director may report to the Board or the Executive Committee of the Board on the status of personnel issues and relations within the RTA.

2.3.2 Change in Employment Assignments (refer to CBA for those covered)

The RTA reserves the right to change the job assignment of any employee within their current job classification at any time.

2.3.3 Hiring Powers

The RTA Executive Director and any other positions designated by the Board are hired by, and serve at the pleasure of, the Board pursuant to Contracts for Employment. All other employees of the RTA are hired by the RTA Executive Director and are subject to the policies and procedures contained in this Handbook, as well as all other RTA policies, rules, practices and procedures.

2.3.4 Reduction in Work Force (Layoff) (reference the CBA for those covered)

Whenever, in the judgment of the RTA Executive Director and/or the RTA Board, it becomes necessary to reduce the number of positions, the Board may abolish a position or positions, and if necessary reduce personnel by laying off employees.

Determination of which classifications to reduce shall be at the sole discretion of the RTA Board or in accordance with contract agreements.

2.3.4.1 Determination of which employees to lay off shall be at the sole discretion of the RTA Executive Director, based first on financial, organizational and programmatic needs.

2.3.4.2 Written Notice: Written notice of layoff shall be served on affected employees in person or by certified letter mailed to the last address on file with the RTA. Notice will be served or mailed at least thirty (30) calendar days prior to the effective date of the separation. Notice shall be deemed served upon personal service or, in the case of certified mail, upon mailing.

Section 2.4 Medical Qualification

2.4.1 Medical Standards Policy

Employees shall meet the medical standards of the position to which they are appointed and are required to perform the essential functions of their position with or without reasonable accommodation. Application and interpretation of this article shall be subject to the provisions of the Americans with Disabilities Act, California Fair Employment and Housing Act, and all other related statutes and regulations.

2.4.2 New Employee Medical Qualification

After receiving a conditional offer of employment and prior to starting work, candidates who will control the movement of an RTA revenue vehicle shall be required to take and pass a qualifying medical examination as a condition of employment. Qualifying medical examinations shall be made at the expense of RTA.

2.4.3 Medical Standards

Minimum medical standards for each position shall be maintained in writing by Human Resources and kept updated for all job classifications. Positions within a classification may have additional standards, which may be identified at the time of a medical evaluation.

2.4.4 Current Employee Medical Examination

Employees whose position entails the movement or control of an RTA revenue vehicle will be required to maintain a valid Medical Examiner's Certificate in order to remain in compliance with Commercial Drivers' License and other requirements. This Certificate will be maintained at the RTA's expense. If a first medical examination results in a medical disqualification, a current employee may request that a second qualifying medical examination be performed by a different medical examiner at their expense.

In addition, a current RTA employee may be required to submit to a medical examination when the RTA Executive Director, or designee, reasonably believes that a medical or psychological condition is affecting an employee's ability to perform the essential functions of the job, when an employee is re-assigned or promoted to a position which has substantially different essential functions that warrant a determination of medical qualification, or upon return from a medical leave of absence. If upon return from a medical leave of absence, the employee will be on an

administrative leave of absence until the initial exam and initial results are provided. Final determination regarding medical qualification shall rest with the RTA Executive Director, or designee.

2.4.5 Medical Disqualification

2.4.5.1 Candidates for Employment: A candidate for employment who fails to meet the medical standards of the position applied for shall be disqualified and their name removed from the eligible list for the job. Human Resources shall notify the candidate in writing of the disqualification and such notification shall include a general statement describing the reason for disqualification.

2.4.5.2 Current Employees: A current employee who fails to meet the medical standards of their position as demonstrated during a periodic medical recertification shall be placed on an unpaid leave of absence to provide an opportunity to obtain a valid medical certificate. If the employee is unable to obtain a valid medical upon the end of the leave of absence, the RTA will conduct an Interactive Process to evaluate potential reasonable accommodations, if any.

If the findings from this fitness for duty examination demonstrate a failure to meet the medical standards of their position, the employee shall be placed on an unpaid leave of absence to provide an opportunity to obtain a valid fitness for duty certification. If the employee is unable to obtain a valid fitness for duty certification by the end of the leave of absence, the RTA will conduct an Interactive Process to evaluate potential reasonable accommodations, if any. An employee who refuses to participate in a fitness for duty examination will be disqualified and their employment terminated without fault.

Compliance with the Americans with Disabilities Act and the California Fair Employment & Housing Act shall be evaluated prior to any such termination decision. Employees who are terminated for medical disqualification shall be issued a Notice of Termination by Medical Disqualification, which shall be served upon the employee in-person, by certified mail, or by other means confirming delivery. Service of the order shall be deemed complete upon personal service or, in the case of certified mail, upon mailing.

2.4.6 Review of Medical Disqualification (refer to the CBA for those covered)

Candidates for employment who fail a qualifying medical examination and are disqualified for employment shall have no contractual rights to appeal the final determination. Current at-will RTA employees who fail a qualifying medical examination and are terminated due to medical disqualification have no rights to appeal the final determination.

Section 2.5 Personnel Records

2.5.1 Official Personnel Records

The RTA Executive Director, or his or her designee, shall be responsible for maintaining a paper or electronic official personnel file for each employee.

2.5.1.1 Content of Official Personnel File: The file shall include, but not be limited to the following information:

- a. Original application materials.
- b. Employment contracts, if applicable.
- c. Information regarding change of Employee Status or Classification.
- d. Performance Evaluations.
- e. Payroll withholding authorizations.
- f. W-4 form.
- g. Disciplinary and other performance memoranda.
- h. Letters of appreciation.
- i. Copies of Licensure and Certificates required for employee's position (Training File).
- j. Academic or training certificates related to employee's position (Training File).

2.5.1.2 Excluded Content: The following documents shall not be placed in an employee's official personnel file:

- a. I-9 Forms.
- b. Any medical evaluation information, medical notes from a physician or documentation regarding an employee's medical condition or fitness for duty.
- c. Any medical information pertaining to leaves of absence, requested or approved.
- d. Any documentation with EEO statistics or other protected status information.
- e. Any documentation prohibited from an employee's file by federal or state law.

2.5.2 Confidential Medical File

Medical information must not be placed in an employee's official personnel file or training file. Human Resources shall maintain a confidential medical file for each employee that is kept physically separate from the employee's official personnel file and training file. The confidential medical file shall contain the following:

- a. Family /Medical leave or pregnancy-disability leave request forms if the employee has disclosed the nature of his or her illness.
- b. Return to work releases with any information regarding the employee's condition, prognosis or prescribed medications or specific treatment regimens.
- c. Workers' compensation records.
- d. Medical information about the employee related to reasonable accommodation under the Americans with Disabilities Act or Fair Employment and Housing Act.
- e. Any documentation related to a fitness for duty examination or determination.
- f. Any other medical information.

2.5.2.1 HIPAA and CMIA: The RTA will follow the Health Insurance Portability and Accountability Act (HIPAA) and the California Confidentiality of Medical Information Act (CMIA) privacy and security provisions which apply to Protected Health Information (PHI) maintained by the organization

2.5.3 Employee Review of Personnel File

Employees or their authorized representatives have the right to review the contents of their official personnel file by providing Human Resources with a written request. Human Resources will provide access to the file within five (5) work days at the RTA Administrative office or other appropriate location. Employees or their representatives do not have the right to review the contents of the confidential medical file; the RTA will produce confidential medical files sought through an administrative or judicial process and with the employee's express authorization. The RTA shall keep a record of inspections of employee records by persons other than the RTA Executive Director or his or her authorized designee. Such record shall include employee name, date, name and signature of person reviewing the employee file.

2.5.4 Personal Data Changes

It is important that the RTA maintain certain personal information about its employees. Employees are responsible to inform Human Resources whenever there is a change in mailing address, telephone numbers, marital status, dependents' information, educational accomplishments, and other possibly related information.

The RTA also maintains information about who to contact in case of an emergency. If an employee needs to change personal information or has questions about what information is required, the employee should contact Human Resources.

2.5.5 Confidentiality of Employee Records

The confidentiality of employee records shall be maintained by designated RTA personnel. These records shall only be made available to individuals specifically authorized by this policy or by the RTA Executive Director.

Personnel files are the property of the RTA and may not be removed from RTA premises without written authorization from the RTA Executive Director.

2.5.6 Employment References

It is the policy of the RTA that professional or character references will not be given for current and former employees except by the RTA Executive Director or his or her designee. Reference requests should be referred to and handled by Human Resources. Responses to requests will include dates of employment, title, classification and rate of pay (if accompanied by a signed authorization by the former or current employee to release such information) only.

Section 2.6 Work Regulations

2.6.1 Attendance/Punctuality Policy (reference the CBA for those covered)

We expect employees to be reliable and punctual. Employees should report for work on time and as scheduled. If an employee cannot report to work as scheduled, the employee must notify his or her immediate supervisor as soon as possible.

Unplanned absences can disrupt work, inconvenience other employees, and affect productivity. Employees who demonstrated poor attendance record or excessive tardiness may be subject to disciplinary action, up to and including termination of employment. Disciplinary action will begin with the fourth (4) counted unexcused absence or tardiness within a floating 180-day period. This policy will be interpreted and enforced consistently with the Federal Family & Medical Leave Act (FMLA), the California Family Rights Act (CFRA), the California Fair Employment and Housing Act and pregnancy disability leave provisions, for employees who use authorized intermittent leave.

2.6.2 Personal Telephone Calls (reference the CBA for those covered)

Personal telephone calls whether on RTA office phones or personal mobile phones are to be limited to essential matters and kept as brief as possible. Under no circumstances may an employee use a mobile phone or other personal electronic device while sitting in the driver's seat of a moving vehicle or while a vehicle is stopped in the lane of travel. Continued excessive use of phones for personal matters is subject to disciplinary action.

2.6.3 Smoking and Use of Tobacco Products

The RTA prohibits the use of tobacco products or the use of smokeless (“vaping”) products in the workplace, including without limitation marijuana. Smoking is prohibited within the confines of any RTA office and prohibited within 25 feet of RTA buildings, bus stops or vehicles. Smoking will be permitted out of doors only in an area designated by the RTA Executive Director or City Ordinances. Cigarettes or other smoking devices or materials are to be extinguished and properly disposed of prior to entering any RTA office or vehicle.

2.6.3.1 San Luis Obispo Ordinance on Smoking in Public Areas

San Luis Obispo city ordinance 1545 prohibits smoking in public places where nonsmokers are present or reasonably expected to arrive. This includes the Government Center and the downtown area of San Luis Obispo. RTA employees are prohibited from smoking in a public place within the City of San Luis Obispo limits while on duty. The City defines a “Public Place” as: “any place, public or private, open to the general public regardless of any fee or age requirement, including, for example, streets, sidewalks, parking lots, parking garages, bars, restaurants, clubs, stores, stadiums, parks, playgrounds, taxis and buses.”

2.6.4 Dress and Grooming Standards

The RTA considers the presentation of RTA’s image to its clients, customers and the public to be extremely important. Accordingly, it is expected that employees will wear apparel provided or approved by RTA while on-duty for those covered by the CBA and Operations Supervisors who will be interacting with the public. Each employee is expected to be neat and clean in appearance, with clean RTA apparel and good personal hygiene. Non-CBA covered employees are expected to be in business casual attire with name badges on while at work.

2.6.5 Employment of Relatives

The RTA will require a cooperatively developed supervisory plan with the RTA Executive Director or his or her designee for any employee promoted into a supervisory position that oversees a relative, or member of his or her household. The RTA will not hire someone in a position where he or she is directly or indirectly supervised by a relative or member of his or her household. “Relatives” are defined as husband, wife, son or daughter (including in-laws and step children), father or mother (including in-laws and step parents), brother or sister (including in-laws and step siblings), grandchild or grandparents and persons related by marriage or domestic partnership.

2.6.6 Use of Technology, Networks and Internet Policy

Employees using RTA computing and information resources are expected to act in a responsible and professional manner by complying with all policies, relevant laws, and contractual agreements related to computers, RTA-issued mobile devices, networks, software, computer

information and data to which an employee has access. Employees shall comply with acceptable use technology-related policies adopted by the RTA.

Internet access is provided to individuals based upon business needs that benefit the organization through connection to worldwide information resources. Wireless accessibility via personal devices (smartphones, tablets etc.) will not be provided to employees unless authorized by the RTA Executive Director. Employees have a responsibility to maintain and enhance the RTA's public image while accessing the Internet by following these guidelines:

- a. Employees using Internet access via our hardware and software are representing the organization. As such, their conduct should be ethical and lawful at all times. Channels may be accessed for official organizational business to gain technical or analytical information and to establish business contacts.
- b. Internet access should not be used for personal gain or advancement of personal views, for solicitation of non-RTA business, or result in the disruption of our organizational network operation or interfere with personal productivity at work.
- c. Employees are responsible for the content of text, audio, or images they place or send over the Internet. Fraudulent, harassing, or obscene messages are prohibited. Messages transmitted for RTA business purposes on the Internet should be identified with the employee's name. Employees may not obscure the origin of messages and the information published should not violate or infringe upon the rights of others. Abusive, profane or offensive language transmitted through the system is strictly prohibited.
- d. Employees may not download software without the express acknowledgement and support of the Network Administrator to ensure that proper licenses are obtained and viruses are not transmitted.
- e. Employees may not send or upload any copyrighted materials, trade secrets, proprietary information, or similar materials to third parties. Employees may not violate the copyright laws in regard to receipt/download of materials available on the Internet by copying and disseminating information, except for purposes falling under the category of "fair use".
- f. Messages created, sent, or retrieved over the Internet are the property of the RTA and should be considered public information. The RTA reserves the right to access and monitor messages and files on the computer system at any time. Communications can be disclosed to law enforcement officials or other third parties without prior consent of the sender or the receiver. More details are outlined in the Public Records Act.
- g. Harassment of any kind is strictly prohibited. Messages with derogatory or inflammatory remarks regarding race, religion, national origin or citizenship, sexual orientation, gender identity or expression, disability, or other protected attributes may not be transmitted.

Violations of this Policy may result in disciplinary action up to and including termination and illegal activities may result in prosecution by legal authorities.

2.6.6.1 Personal Blogs/Social Networking

- a. Employees are not allowed to use organization-owned equipment, including computers, organization licensed software or other electronic devices, equipment or facilities on organization time to conduct personal blogging or social network activities.
- b. Employees may not use the organization logo or trademark on their personal blogs or networks.
- c. Employees may not post photographs or videos of other employees or their family members, customers, or vendors on personal posts without their permission.
- d. Employees are not to link from a personal blog or social network to the organization's internal or external websites.
- e. Employees are responsible for their commentary on blogs and social networks. Employees can be held personally liable for comments that are slanderous, obscene, defamatory or libelous by any offended party. Posts that include illegal content may result in prosecution by legal authorities.

Employees who have any questions regarding the proper use of social networking/blogging should contact their supervisor, manager, or director. Violations of this Policy may result in disciplinary action up to and including termination

2.6.7 Conflicts of Interest

Employees are expected to devote their best efforts and attention to the performance of their jobs. Employees are expected to use good judgment, to adhere to high ethical standards, and to avoid situations that create an actual or potential conflict between the employee's personal interests and the interests of the RTA. A conflict of interest exists where the employee's loyalties or actions are divided between the RTA's interests and those of another, such as a business, individual or another public agency with which the RTA's interests may conflict. Both the fact and the appearance of a conflict of interest should be avoided. Employees unsure as to whether a certain transaction, activity or relationship constitutes a conflict of interest should refer to the Conflict of Interest Policy and discuss it with their immediate supervisor or the RTA Executive Director for clarification.

While it is not feasible to describe all possible conflicts of interest that could develop, some of the more common conflicts, from which employees should refrain, include the following:

- a. Accepting personal gifts or entertainment (including meals) from individuals, other public agencies, customers, suppliers, or potential suppliers;
- b. Working for any individual, business or entity with which the RTA's interests may conflict, including those listed above;

- c. Having a direct or indirect financial interest in or relationship with any individual, business or entity with which the RTA's interests may conflict, or with whom the RTA has a business relationship, including those listed above;
- d. Engaging in self-employment in competition with the RTA;
- e. Using proprietary or confidential RTA information for personal gain or to the RTA's detriment;
- f. Using RTA assets or labor for personal use;
- g. Acquiring any interest in property or assets of any kind, including a service-related business, for the purpose of selling or leasing the property, assets or services to the RTA;
- h. Unauthorized commitment of RTA financial or staff resources or other support to any outside activity, organization, or person;
- i. Developing a personal relationship with a subordinate employee of the RTA that might interfere with the exercise of impartial judgment in decisions affecting the RTA or any employees of the RTA. If an employee or someone with whom an employee has a close relationship (a family member or close companion) has a financial or employment relationship with a supplier, potential supplier, customer, business, individual or another public agency, with which the RTA's interests conflict the employee must disclose this fact in writing to the RTA Executive Director. Employees should be aware that if they enter into a personal relationship with a subordinate employee or with an employee of a supplier, potential supplier, customer, business, individual or another public agency, with which the RTA's interests conflict, a conflict of interest may exist which requires full disclosure to the RTA.

Employees planning to engage in outside employment must first disclose such employment to the RTA Executive Director to ensure it does not pose a conflict of interest or is otherwise incompatible with the RTA or its mission. Failure to adhere to this guideline, including failure to disclose any conflicts or to seek an exception, will result in discipline, up to and including termination of employment.

No employee shall use the authority, information or privileges associated with his or her position for personal gain. Evidence of using a position for personal gain may be interpreted as a breach of terms of employment and serve as a basis for discipline up to and including termination.

2.6.8 Safety

The Occupational Safety and Health Act (OSHA) require all employers to provide a safe and healthful workplace for their employees. In this regard, it is important that adequate policies and procedures be developed and adhered to in order to ensure safe, efficient operating conditions, thereby safeguarding employees and facilities.

Our organization will not knowingly permit unsafe conditions to exist, nor will it permit employees to indulge in unsafe acts. In-depth information is outlined in the *System Safety Program Plan (SSPP)*. The RTA SSPP includes an Injury and Illness Prevention Plan. Violations of organization rules and regulations will result in disciplinary action. The organization believes that the safety of employees and physical property can best be ensured by a meaningful safety program.

2.6.9 Security/Violence in the Workplace

As detailed in the *RTA Policy Against Workplace Violence*, the RTA will not tolerate violent acts or threats of violence, whether verbal, written, or implied, towards employees by other RTA employees, customers or members of the public. For purposes of this policy, “violence” includes any willful touching of a person in a harmful, threatening or unwanted way. A “threat” of violence includes any statement, course of conduct or other action that would cause a reasonable person to believe that violence may occur. Any incident of violence or threat of violence by any RTA personnel or any other person should be reported promptly to the employee’s supervisor, Human Resources or the RTA Executive Director. Supervisors or any other employee of the RTA who receive complaints or who observe conduct in violation of this policy shall inform Human Resources and the RTA Executive Director immediately.

2.6.10 Drug-Free Workplace Policy

The RTA recognizes that the abuse of alcohol and use of illegal drugs by any employee threatens the health and safety of that employee, the employee’s co-workers, and the general public. The RTA also recognizes that employees should be able to work in an alcohol and drug-free environment, and to work with other employees who are alcohol and drug-free. The RTA has, therefore, adopted drug and alcohol testing policies for all employees and prospective employees. Refer to the *RTA Drug & Alcohol Policy, Program and Procedures* and the *RTA Non-DOT Drug and Alcohol Policy and Testing Provisions* for more information.

2.6.11 Vehicle Collision and Incident Reporting (reference the CBA for those covered)

Every employee shall make one (1) report for each vehicle collision or safety incident occurring during the employee’s run or shift, as required by the RTA. Such report shall be made not later than the completion of the employee’s run or shift.

The RTA pays 100% of the premium on insurance provided by our Workers’ Compensation program. This law was designed to provide employees with benefits for any injury which an employee incurs arising out of their employment with the organization.

Under the provisions of the law, if an employee is injured while at work for the organization, this injury must be reported immediately to his or her supervisor, no matter how slight it might seem. Failure to do so could result in a denial by the insurer of any claim an employee may

submit for Workers' Compensation benefits. Even late reported injuries may result in delay or denial of Workers' Compensation benefits.

2.6.11.1 Paid Time to Complete Report: Employees who are required to make a report shall be allowed up to twenty (20) minutes of paid time, except that no allowance shall be granted when said report can be completed in time already being paid on the date report is being made. In the event travel is required, the employee shall be paid travel time (scheduled running time) and same shall be subject to the overtime provision (if applicable). Other reports and interviews required by the RTA shall be paid for at the straight time rate.

2.6.11.2 Determination of Preventability: Vehicle collisions and safety incidents will be reviewed by the Operations Manager or designated Safety Committee. Where a collision or incident is determined to have been preventable, the employee will be notified in writing within ten (10) work days from the date of the RTA knowledge of a collision or incident (except in rare cases, such as insufficient information for the decision of preventability to be made). Discipline may apply if the employee's conduct that led to the collision or incident was found to be improper. Any determination of preventability or disciplinary action will be based on the circumstances of the incident but will not adversely affect the processing of any Workers' Compensation claim or industrial injury benefits. Determinations of whether or not a claim of industrial injury is compensable under applicable workers' compensation standards will be made by the RTA's third-party claims administrator.

2.6.12 Solicitation Prohibited

Employees are prohibited from soliciting (personally or via electronic mail or text messaging) for membership, pledges, subscriptions, the collection of money or for any other unauthorized purpose anywhere on RTA property during work time, especially those of a partisan or political nature. "Work time" includes time spent in actual performance of job duties but does not include lunch periods or breaks. Non-working employees may not solicit or distribute to working employees. Persons who are not employed by the RTA may not solicit or distribute for membership, pledges, subscriptions, literature or petitions on the RTA's premises at any time for any reason. Employees are prohibited from distributing, circulating or posting (on non general purpose bulletin boards, refrigerators, walls, etc.) literature, petitions or other materials at any time for any purpose without the prior approval of the RTA Executive Director or his or her designee.

2.6.13 Visitors at Work

Visitors, including an employee's family members, who wish to see an employee during working hours, must first check in at the front office. Visitors may be required to sign in and receive a visitor's badge. If a visit involves an emergency, the employee will be notified immediately, and will receive all possible cooperation from management.

Visitors should not disrupt business. Please remind your friends and relatives that unless there is an emergency involved, they should not disturb you while you are working. Refer to the *Transporting Family and Friends Bulletin* if they will be using the RTA as their way of transportation.

Section 2.7 Work Week and Work Schedules

2.7.1 Workweek Defined

For the purposes of payroll and the Fair Labor Standards Act salary calculation, the workweek shall begin at 12:00 am on Sunday and will end at 11:59 pm on Saturday.

2.7.2 Assignment of Work Schedules (refer to the CBA for those covered)

For at-will employees, the RTA Executive Director or his or her designee has sole discretion to assign the work schedule of all employees working for the RTA. To the extent possible, at least 24-hours advance notice shall be provided for any short-term or temporary reassignment of work schedule; at least 7 days advance notice shall be provided for any long-term reassignment of work schedule.

2.7.3 Break and Meal Periods (refer to the CBA for those covered)

The RTA will design shifts to comply with regulations regarding wages, hours and working conditions.

2.7.3.1 Break Periods: For all at-will employees, California law states employers need only to provide rest breaks, but not ensure that rest breaks are taken. Every employer must authorize and permit nonexempt employees to take rest breaks, which if practicable should be in the middle of each work period. The rest break must be based on the total hours worked daily at the rate of 10 minutes rest time per four hours of work. Rest breaks need not be allowed for employees whose total work time is less than 3 1/2 hours per day.

2.7.3.2 Meal Periods: For all at-will employees, no employee should work more than five hours without having a meal period of at least 30 minutes, except when a work period of not more than six hours will complete the day's work the meal period may be waived by mutual consent of the employer and the employee in writing. Employees shall be relieved from all duties during their meal period. If the employee is not relieved of all duty during a meal period, the meal period shall be considered an "on duty" meal period and is counted as time worked. On-duty meal periods should be noted on time records for the applicable pay period. We encourage all employees to take their meal period and be relieved from duty during that period.

2.7.4 Work Schedule During a Holiday Week (refer to the CBA for those covered)

During any week in which a holiday occurs, all full-time employees shall receive pay for all hours worked in addition to Holiday pay (if applicable).

2.7.5 Overtime

Nonexempt status employees shall receive pay calculated at time and one-half (1½) for all authorized overtime worked during the pay period. Exempt employees are not eligible for overtime pay.

2.7.5.1 Overtime Defined: Overtime and overtime pay shall be defined and calculated pursuant to the provisions of the Fair Labor Standards Act. In general, "overtime" means the time spent in the performance of work ordered or authorized by the Supervisor which is in excess of forty (40) productive hours worked in any work week. Productive hours include only regular time worked and does not include holidays, vacation, PTO, sick, administrative, personal, or other authorized leave.

2.7.5.2 Prior Authorization: Nonexempt employees may only work overtime that has been approved in advance by their Supervisor. In the rare event that overtime must be worked and prior approval is not feasible, the employee shall notify their Supervisor as soon as reasonable.

2.7.5.3 Travel: Employees traveling to and from locations outside of San Luis Obispo County that involve RTA matters in which the employee is required to attend as a condition of his or her employment are expected to do so within the hours available during a normal 40-hour work week, if feasible and practical. If not feasible or practical, and travel time results in greater than 40 hours worked, such time will be compensated with paid time off or other pay as specified above. Seminars, conferences and related events are generally considered to be a privilege and not a condition of employment, unless the employee is expressly directed by a Supervisor to attend or participate.

Employees who wish to attend such events are expected to arrange for transportation and travel time during normal RTA working hours to the extent possible, or on their own non-compensable time outside of normal working hours. If warranted by circumstances, the RTA Executive Director is authorized to approve, in advance, paid time for such travel on a case-by-case basis.

2.7.6 Miss-Outs and Work Assignment (refer to the CBA for those covered)

A “miss-out” is defined to be: Each failure of any employee to report for duty at the proper time and at the proper place at which his or her assigned duties are scheduled to start. An employee who fails to report for their assignment at the proper time and place, or who fails to provide timely advance notice of for use of authorized intermittent leave, shall be charged with a miss-out. Disciplinary action up to and including termination is determined and enforced by each Department.

2.7.6.1 Waiver: The department manager may waive the imposition of a disciplinary penalty for a “miss-out” as hereinabove provided whenever, in his or her opinion, a valid reason for such “miss-out” exists.

2.7.7 Emergency Call-Back Minimum Hours (refer to the CBA for those covered)

Whenever an employee has completed a normally scheduled shift and has left the worksite and their supervisor or designee calls the employee back to work when not regularly scheduled to be on duty, compensation will be for a minimum of half of their regularly scheduled shift.

On an unscheduled emergency, an employee shall receive a minimum of (1) one hour pay at the applicable overtime rate (if applicable).

2.7.8 Premium Pay (refer to the CBA for those covered)

A Bus Operator who is assigned by the RTA Supervisor to work with a trainee, fill in as Dispatcher or Scheduler or other RTA Executive Director-approved duties will be paid a premium, in addition to the employee’s hourly wage rate, while performing these duties.

2.7.9 Driver’s Log

Those employees who obtain and Commercial Driver’s License (CDL) are required to keep a log of hours worked per the Federal Motor Carrier laws. A log is required under the following conditions.

1. On duty twelve (12) hours or more in a day: When an employee works more than twelve (12) hours in a day they fail to meet the exception in CCR Title 13, Div. 2, Chap. 6.5, Art. 3, Sec. 1212(e) and therefore must complete a log.
2. Days a CDL employee works two (2) jobs in one day: A log is required in this case so that the CDL employee can demonstrate to each employer AND the CHP that they are not in violation.

ARTICLE 3

COMPENSATION, BENEFITS AND LEAVES

Section 3.1 Compensation

3.1.1 Regulation of Compensation by the RTA Board (refer to the CBA for those covered)

Compensation of all employees of the RTA shall be determined by the RTA Board of Directors except as otherwise required by law. Human Resources shall maintain a salary table that includes all active classification titles and a corresponding seven step pay scale for each classification. A copy of the job classifications is included as Appendix A, which may be updated annually during the budget-making process. The RTA Board of Directors shall establish the first step for each classification in the table, also known as the salary range. Employees shall be paid a base salary, no less than Step 1 and no greater than Step 7 of the salary range approved by the RTA Board for the classification to which they are appointed.

3.1.2 Administration of the compensation plan

The RTA Executive Director shall have discretion to set the salary of an employee at any step within the salary range approved by the RTA Board for the classification to which the employee is appointed, subject to the following conditions:

3.1.2.1 Any employee who is promoted to a classification with a higher salary range shall receive a salary increase to a step in the new salary range that is not less than the pay previously received. In no case shall the new salary exceed the highest step of the salary range.

3.1.2.2 Market adjustments are done on a position-by-position basis based upon market data and could result in pay adjustments for the individuals in those positions at anytime. The market adjustment is not intended to compensate employees for general inflation or cost of living increases. Market adjustments require approval of the RTA Board as part of an amendment to Appendix B.

3.1.2.3 Upon receiving a “Satisfactory” or better performance evaluation, the RTA Executive Director may grant an employee a salary increase to the next step in the salary range. In no case shall the new salary exceed the highest step of the salary range. The performance evaluation may be a regular evaluation or probationary evaluation.

3.1.2.4 Upon receiving an overall “Unsatisfactory” performance evaluation, the RTA Executive Director may lock an employee’s salary at his or her current salary until the employee’s performance is improved to “Satisfactory” or better. The performance evaluation may be a regular evaluation or probationary evaluation. An ensuing “Unsatisfactory” performance evaluation shall be subject to the provisions of Article 7 (Disciplinary Actions) of this policy.

3.1.2.5 An employee who voluntarily demotes to avoid layoff or voluntarily demotes due to personal reasons may be placed by the RTA Executive Director at any step in the salary range of the new classification not to exceed their current step without a concurrent performance evaluation.

3.1.3 Compensation – Payment Procedures (refer to the CBA for those covered)

Policies and procedures for payment of compensation can be summarized as follows:

3.1.3.1 Time-Keeping: All employees (exempt and nonexempt) are required to record their hours worked. The RTA Executive Director will designate those nonexempt employee classifications that are required to clock in and out at the beginning and end of their shift and for their lunches. If for any reason an employee is unable to use the time clock, the employee must submit an Exception Timesheet with the clock in/out times listed. For exempt employees time-keeping is for business purposes unrelated to compensation for hours worked, whereas nonexempt are paid only for hours worked.

3.1.3.2 Biweekly Payment: The RTA will make every effort to issue the payroll every other Friday starting no later 5:00 AM. In the event a Holiday falls on a Friday, the RTA will make every effort to issue the payroll on the previous day. However, should a system breakdown occur, the payroll will be issued no later than the following Wednesday. No loss in pay will result should this occur.

3.1.4 Direct Deposit

Employees are encouraged to participate in the RTA's direct deposit of wages program. Human Resources will make the arrangement for direct deposit with any credit union or bank that has electronic transmission capability. Your entire paycheck, or a specified amount, can be deposited. Human Resources will provide the necessary forms upon request.

3.1.5 Final/Termination Paycheck

Final paychecks will be issued as part of the normal payroll cycle. The RTA will attempt to accommodate early release of final/termination paychecks, including accrued but unused vacation, when it is able.

Section 3.2 Employee Benefits

3.2.1 Vacation Policy (reference the CBA for those covered)

Paid vacation is one of the ways the RTA recognizes length of service and performance. Employees covered by a CBA are provided vacation time as outlined in the agreement.

Eligible employees earn paid vacation based on length of continuous service, starting with their first year and increasing throughout their service in a pre-determined accrual formula. Please contact your immediate supervisor for more details.

VACATION ACCRUAL SCHEDULE:

Service Time	Days/year	Accrual Rate	Max Accrual
first year	10	3.08	160
second year	11	3.38	176
third year	12	3.69	192
fourth year	13	4.00	208
fifth year	15	4.62	240
sixth & seventh year	16	4.92	256
eighth & ninth year	17	5.23	272
tenth & eleventh year	18	5.54	288
twelfth & thirteenth year	19	5.85	304
fourteenth + year	20	6.15	320

Employees shall not carry a vacation balance of more than two times their annual rate from one fiscal year to the next. Balances in excess will be forfeited at the end of the calendar year. Vacation time may be taken at the request of the employee with the prior approval of his or her manager/supervisor. Vacation time may be approved or denied based on business needs at the time.

All accrued vacation provided by the policy that has not been taken at the time of termination will be paid to the employee. The right to vacation constitutes deferred wages for services rendered. Employment contracts and organization policies may not provide for forfeiture of vested paid time.

3.2.2.1 Maximum Vacation Accrual: The vacation accrual year will be January to December. Employees may accumulate vacation time from one year to the next year up to the maximum hours outlined in the table above. Should an employee's vacation bank exceed this amount, they will cease to accrue hours over maximum not taken at the end of the calendar year. An employee who has had scheduled vacation canceled due to scheduling conflicts will be given an opportunity to schedule the unused vacation in the following vacation accrual year.

3.2.2 Vacation Usage (refer to the CBA for those covered)

3.2.2.1 Use of Vacation Pay: All requests for scheduled use of vacation pay shall be considered and granted at the discretion of the department manager/supervisor. All requests for scheduled vacation shall be made in writing. Requests for the scheduled

use of vacation of one day or less shall be made a minimum of two work days prior to the start of the time-off. Requests for the scheduled use of vacation of two or three days shall be made at least one week prior to the start of the employee's time-off. Requests of more than three days shall be made at least twice as many work days prior to the vacation days being requested (e.g., one week of vacation must be requested at least two weeks in advance). The advance notice requirement may be waived, if warranted, at the discretion of the department manager/supervisor on a case-by-case basis. To the extent possible, the use of vacation during periods of sick leave shall be made with a minimum of two hours' notice to the department manager/supervisor when all sick leave available has been exhausted.

3.2.2.2 Vacation Cash-out: After one year of service with the RTA, employees are eligible to cash-out a portion of their vacation time accrued. A vacation balance in excess of 120 hours may be cashed out during the last pay date of each calendar year. Vacation cash-out eligible employees are required to inform Human Resources one (1) week prior to the last pay date of each calendar year of their request to cash-out and the amount.

3.2.2.3 Vacation Donation: vacation donation allows a qualified employee to voluntarily donate vacation to another qualified employee who is unable to work because of an extended serious illness or injury. The procedure to initiate this process involves sharing the donating employee's intentions with their supervisor and Human Resources. The vacation donation will be limited to 50% of accrued vacation. The RTA will ensure that donated vacation pay will only be used for medical sick leave purposes. Donating employees may only donate hours from their account when it is in excess of sixty (60) hours and only those hours that are in an excess of sixty (60). Donations will be calculated based on the donating and recipient's pay rates. Contact Human Resources for more information regarding donating or applying to receive donated vacation leave.

3.2.2.4 Limitation on Vacation Pay Usage: Vacation shall be paid at the employee's basic straight-time rate on a regularly scheduled workday, but not to exceed scheduled hours per day. Vacation payments to employees who are covered under California Workers' Compensation or disability insurance will be reduced by the amount of disability benefits payable under such plan. In no event will an employee receive pay in excess of his or her regular pay. Vacation pay shall not duplicate any other RTA pay.

3.2.2.5 Vacation Pay Cannot Cause Overtime: Vacation time taken cannot be used to put an employee into an overtime pay status.

3.2.3 Sick Leave (refer to the CBA for those covered)

The RTA provides paid sick time benefits to eligible employees who are temporarily absent due to illness or injury.

3.2.3.1 ELIGIBILITY: All full and part-time employees are eligible. Employees covered by a CBA should refer to the agreement.

All full-time employees accrue sick time benefits at the rate of 12 days per year. Employees shall use paid earned sick time for personal sick time off or FMLA/CFRA leave to care for eligible dependents. See section 3.2.10 for more information.

An employee who is unable to report to work because of an illness or injury should notify his or her supervisor before the scheduled start of his or her workday, if possible. The employee's supervisor must also be contacted on each additional day of absence. Before an employee can return to work after a sick leave absence of five (5) calendar days or more, you must provide a doctor's statement releasing to return to full or modified duty.

An employee on sick leave for an extended absence because of an illness or injury must apply for any other available compensation and benefits, such as workers' compensation and/or disability. Sick leave benefits will be used to supplement any payments that an employee is eligible to receive from workers' compensation or the RTA provided disability insurance program(s). The combination of these disability payments and sick leave may not exceed normal weekly pay.

Sick time is not eligible for cash out.

3.2.4 Holidays (refer to the CBA for those covered)

The RTA recognizes the following seven holidays: Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Day after Thanksgiving Day (admin staff only), Christmas Day, and New Year's Day.

3.2.4.1 Full-Time Employee Eligibility: All eligible full-time employees shall receive eight (8) hours at their regular straight time rate of pay for the applicable Holidays outlined above, provided such employee completes their work assignment on their last scheduled or assigned work day prior to such holiday and their first scheduled or assigned work day after such holidays. Those employees who are scheduled to work and are late on the day before or the day after the holiday will be paid for the holiday time provided the employee reports within one (1) hour of his or her report time and in proper uniform. Holiday time shall not be counted when computing overtime pay.

3.2.4.2 Pay Rate for Holidays Worked: If an employee works on an RTA-recognized holiday, that employee will be paid eight hours Holiday pay plus the Holiday rate (time and a half) applicable for the actual hours worked.

3.2.4.3 Day Shifting: For Administrative staff, in the event one of the holidays mentioned in this section falls on a Sunday, the Monday following the Sunday shall be the holiday.

Should a holiday fall on a Saturday, the preceding Friday shall be the holiday. Fixed date holidays (New Year's Day, Christmas Day and Independence Day) are exempt from the day shifting. Please contact your supervisor to verify eligibility.

3.2.4.4 Floating Holidays: Eligible full-time employees receive six (6) floating holidays January 1st of each year. Floating holidays are to be used within the calendar year. If you do not use all floating holidays provided, you will lose them by December 31st of each year. Floating holidays do not roll over from year to year and are not paid out upon termination of employment with the RTA.

3.2.5 Salary Reduction (125) Plan (Pre-Tax Premiums Deductions)

Pre-Tax Premiums is a voluntary program that allows employees to pay the premiums for medical, vision and dental benefits with pre-tax dollars. Under Section 125 of the Internal Revenue Code, an employee may annually elect to reduce his or her taxable salary by the amount paid towards medical, dental and vision premiums. Participation in the salary reduction plan can result in an employee paying less federal, state and Medicare taxes.

Because of the tax savings employees receive, the federal government places certain restrictions on what an employee can and cannot do under this plan. This is an irrevocable choice, meaning that an employee wishing to change a decision to have premiums deducted pre-tax, as well as canceling or changing the benefits associated with these deductions, is not allowed until the next open enrollment period unless an employee experiences a qualifying event as defined in federal law.

3.2.6 Health, Dental, Vision and Life Insurance (refer to the CBA for those covered)

The RTA shall provide the administration of the Group Insurance Plan using Human Resources staff resources or contracted third-party resources.

3.2.6.1 Eligibility: Eligible full-time employees shall be any full-time employee as defined in Section 2.1.1.

3.2.6.2 Coverage Levels: the RTA will cover a portion or all of the medical plan monthly premium offered to each full-time employee for the employee-only option. Unless otherwise stated in your offer letter, the RTA will pay for 95% of the monthly premiums to provide the base healthcare plan (as of January 1, 2018, this plan is known as the "Solutions PPO Plan") for the employee. The employee will be responsible for the remaining 5% through payroll deductions, as well as 100% of the additional monthly premiums should the employee choose a richer medical plan. See Human Resources for more information. In addition, RTA will cover 100% of the dental plan and vision plans for employee-only options unless otherwise stated in your offer letter. Should the employee wish to cover their spouse and/or dependents, the employee shall do so

solely at their expense through payroll deductions. Refer to your offer letter for coverage information.

For Part-Time Health-Benefited employees, the RTA will pay for 95% of the monthly premiums to provide the base healthcare plan for the employee. The employee will be responsible for the remaining 5%, as well as 100% of the additional monthly premiums should the employee choose a richer medical plan and/or to cover a spouse/dependents.

The RTA may change insurance carriers at any time, and will strive to provide a comparable level of insurance benefits if a change is necessary.

3.2.6.3 Medical: The medical insurance plan at the RTA offers employees and dependents access to medical care insurance benefits. Only Full-Time and Part-Time Health Benefited employees are eligible to participate in the medical insurance plan.

Eligible employees may participate in the medical insurance plan subject to the terms and conditions of the agreement between the RTA and the insurance carrier.

You will find details of the medical insurance plan in the Summary Plan Description (SPD) posted on the RTA payroll website. When you become eligible, you will receive your SPD and rate information prior to the enrollment date. For questions about medical insurance, contact Human Resources for additional information.

3.2.6.4 Dental: The RTA offers dental coverage for full-time employees.

3.2.6.5 Vision: The RTA offers vision coverage for full-time employees.

3.2.6.6 Incidental Benefit for Opting Out: RTA-designated full-time benefited employees who can demonstrate during Open Enrollment that they have Affordable Care Act (ACA) qualifying Medical benefits, as well as Dental and Vision Benefits, through another means and who do not elect to receive Medical, Dental and Vision Benefits through the RTA may “opt out” of these benefits and shall receive an incidental payment of \$175 monthly in lieu of the contribution as defined above.

Full-Time Benefited and/or Part-Time Health-Benefited employees who can demonstrate during Open Enrollment that they have ACA-qualifying Medical Benefits through another means and who do not elect to receive Medical Benefits through the RTA may “opt out” of the medical benefit and shall receive an incidental payment of \$125 monthly in lieu of the contribution as defined above.

3.2.6.7 Life Insurance: The RTA offers a basic life insurance plan for eligible full-time employees. The basic life insurance plan includes Accidental Death and Dismemberment (AD&D) insurance. AD&D provides benefits in case an accident causes a serious injury or

death. Full-time employees may enroll in a supplemental life insurance plan at their own cost, subject to provider approval. There are more details about our basic life insurance plan in the Summary Plan Description. If you have questions about our life insurance plan, contact the Human Resources for more information.

3.2.6.8 Short Term Disability: The RTA has a short-term disability (STD) benefits program for all employees. STD benefits are paid to employees who cannot work because of qualifying disability conditions caused by an injury or illness.

Employees may participate in the STD plan subject to the terms and conditions of the agreement between the RTA and its insurance carrier. If the disability is based on being pregnant or a pregnancy-related illness, it will be treated the same as any other illness that prevents an employee from working.

If the disability is covered by workers' compensation, it will not be covered by the STD plan. There are more details in the STD Summary Plan Description, including how much can be paid and when, the limits, the restrictions, and what is not covered. If you have questions about STD benefits, contact Human Resources for more information.

3.2.6.9 Long Term Disability: The RTA provides long-term disability (LTD) benefits to full-time employees who have an illness or injury that results in a long-term absence. Our LTD plan is designed to ensure a continuing income in the event an eligible employee becomes disabled and unable to work.

Eligible employees may participate in the LTD plan subject to the terms and conditions of the agreement between the RTA and its insurance carrier.

The LTD benefits will be offset by any amounts you receive under Social Security or workers' compensation for the same time period. You will find details about the LTD benefits plan including benefit amounts, limitations, and restrictions in the Summary Plan Description. If you have questions, Human Resources can provide more information.

3.2.7 457 Savings Plan (refer to the CBA for those covered)

The 457 plan is a type of nonqualified, tax advantaged deferred-compensation retirement plan that is available for governmental and certain non-governmental employers in the United States. The employer provides the plan and the employee defers compensation into it on a pre-tax or after-tax (Roth) basis. Employees elect how much salary to contribute and to direct the investment so that each employee can tailor his or her own retirement package to meet his or her individual needs.

The RTA has established a 457 plan to provide eligible employees with the potential for financial security in their retirement. Employees should refer to their employment offer letter for specific information.

Employees become eligible for the 457 plan on the first of the month following the employee's full-time hire date. Eligible employees may participate in the 457 plan subject to all terms and conditions of the plan.

The RTA will also contribute an additional amount to each employee's 457 contribution based on the table below. Complete details of the 457 plan are described in the Summary Plan Description, and Human Resources can provide more information about the 457 plan.

Service Time	Employer Contribution
First year*	2.00%
Second year*	2.20%
Third year*	2.42%
Fourth year*	2.66%
Fifth year*	2.93%
Sixth year*	3.22%
Seventh + years*	3.54%

*The structure is based on years in the eligible position

3.2.8 Uniform Policy (reference the CBA for those covered)

The RTA allows the supervisors to wear the RTA company provided uniform (shirt and pants) or wear business casual attire when not operating an RTA vehicle. Supervisors who wear an approved RTA uniform more than 50% of the time will be eligible to receive the RTA company provided uniform annually. Supervisors may choose to purchase their own approved pants and will receive a \$100 annual uniform allowance.

Supervisors who choose to wear business casual attire are not eligible for the \$100 annual uniform allowance.

3.2.9 Employee Assistance Program (EAP)

The RTA EAP is designed to provide confidential assistance to employees who are having personal or work related problems by providing professional consultation, assessment, and referral. The EAP is available to all employees and their families on the first day of employment at no charge and can assist with most personal problems affecting the quality of life at home and on the job. Contact Human Resources for further details.

3.2.10 Wellness Program

In accordance with the RTA's commitment to health and safety, we have established a Voluntary Wellness Program for the following purposes:

- a. To maintain and enhance employee interest in health and safety issues.
- b. To ensure that managers, supervisors and employees are aware through training activities that they are responsible for the prevention of workplace accidents.
- c. To help make health and safety activities an integral part of the organization's operating procedures, culture and programs.
- d. To provide an opportunity for discussion of health and safety problems and possible solutions.
- e. To inform and educate employees and supervisors about health and safety issues and research findings, etc.
- f. To help reduce the risk of workplace injuries and illness.
- g. To help ensure compliance with federal and state health and safety standards.

For additional information about RTA wellness programs, see Human Resources.

3.2.11 Suggestion Program

We have a suggestion program at the RTA. All employees are eligible to participate in the suggestion program.

A suggestion is an idea that will help the RTA solve a problem, reduce costs, improve operations or procedures, enhance customer service, eliminate waste or spoilage, or make the RTA a better or safer place to work. A suggestion should identify the problem and offer possible ideas for solving or improving an issue or provide a possible solution. A suggestion should not focus on personal attributes of co-workers or management.

Employees should submit suggestions to a supervisor, manager, or director. After it is reviewed, it will be forwarded to the appropriate parties for possible implementation.

3.2.12 Jury Duty (refer to the CBA for those covered)

The RTA encourages employees to fulfill civic responsibilities by serving jury duty when required. If an employee receives a jury duty summons, it should be presented to his or her immediate supervisor as soon as possible so that arrangements can be made to accommodate the employee's possible absence from work.

Should any full-time employee be required to serve on a jury duty, said employee will be paid his or her regular straight time rate of pay on a basis of eight (8) hours per day, less jury duty compensation, for a period of time not to exceed one (1) week excluding Saturdays and Sundays in a floating one (1) year period.

3.2.13 Voting

The RTA encourages employees to fulfill civic responsibilities by voting in elections. Generally, the polls are open for several hours in the morning and evening and we expect that employees will be able to vote either before or after work hours. If an employee does not have sufficient time before or after work, the employee may request up to two hours off without loss of pay for the express purpose of voting. This time needs to be requested in advance.

3.2.14 Bereavement (refer to the CBA for those covered)

Bereavement leave is provided to full-time employees in the event of the death of an employee's: Father, Mother, Brother, Sister, Spouse, Child, Step-Father, Step-Mother, Step-Child, Father-in-law, Mother-in-law, Son-in-law, Daughter-in-law, Brother-in-Law, Sister-in-law, Grandchild, Grandparent and domestic partners registered with the State of California.

Paid time off will be given up to a maximum of three (3) eight (8) hour days for full-time employees.

If more than three (3) days are needed, the employee is permitted to take personal days, vacation days, or leave without pay, with the approval of the employee's immediate supervisor. Part-time and temporary employees may take unpaid bereavement leave.

3.2.15 Unemployment Insurance

If an employee's employment is terminated, the employee may be eligible to receive unemployment insurance. The terminated employee must file a claim with the local Employment Development Department office in order to collect this benefit. If terminated, the employee should inquire about unemployment insurance at the time of separation from RTA. The full cost of unemployment insurance is paid by RTA.

3.2.16 Social Security/Medicare/Medicaid

The RTA participates in the provisions of the Social Security, Medicare and Medicaid programs. Employees' contributions are deducted from each paycheck and the RTA contributes as established by federal law at the applicable wage base.

Section 3.3 Leaves of Absences

3.3.1 Family and Medical Leave Act (FMLA)

Under the provisions of the federal Family and Medical Leave Act (FMLA), eligible employees are entitled to take 12 weeks of family/medical leave within a rolling 12-month period for the following reasons:

- The birth of a child or placement of a child for adoption or foster care;
- To bond with a child (leave must be taken within 1 year of the child's birth or placement);
- To care for the employee's spouse, child, or parent who has a qualifying serious health condition;
- For the employee's own qualifying serious health condition that makes the employee unable to perform the employee's job;

For qualifying exigencies, as defined in the FMLA, related to the foreign deployment of a military member who is the employee's spouse, child, or parent.

- An eligible employee who is a covered service member's spouse, child, parent, or next of kin may also take up to 26 weeks of FMLA leave in a single 12-month period to care for the service member with a serious injury or illness.

The rolling 12-month period is measured backward from the date of the most recent use of leave for a covered FMLA event. This means that each time an employee requests a leave under the provisions of this policy, the available time for a leave of absence will be the balance of the total 12 weeks that has not been used during the 12-month period immediately preceding the commencement of leave.

3.3.1.1 Eligibility: To be eligible for leave, an employee must meet following requirements:

- Have worked for the employer for at least 12 months (52 weeks, not necessarily consecutively);
- Have at least 1,250 hours of service in the 12 months immediately preceding the use of the leave; and
- Work at a location where the employer has at least 20 employees within 75 miles of the employee's worksite.

3.3.1.2 Serious Health Condition: The term "serious health condition" means an illness, injury, impairment or physical or mental condition that involves inpatient care in a hospital, hospice or residential medical care facility or continuing treatment by a health care provider which prevents an employee from performing the essential functions of

his or her job or prevents a close family member from performing the functions of their job or attending school. An employee should contact his or her immediate supervisor to determine what qualifies as a serious health condition.

3.3.1.3 Notice Requirements: An employee requesting a leave of absence under this policy should see his or her supervisor and complete the proper leave request form. Where the need for leave is known in advance, the request must be submitted at least thirty (30) days prior to the desired beginning of the leave of absence. Failure to give at least thirty (30) days' notice of foreseeable need for a leave of absence may delay the start of such leave until thirty (30) days after the date the notice is received by the organization. If the request is less than thirty (30) days, the employee may be required to give an explanation of why advance notice was not feasible. If timely notice is not given, the period of delay counts as a non-FMLA absence.

If the need for a leave is not foreseeable or is an emergency situation, the employee must provide at least verbal notification to his or her immediate supervisor as soon as possible and must follow our call-in procedures. Employees must supply sufficient information to enable the RTA to determine if the leave qualifies for FMLA, as well as the duration and timing of the leave.

3.3.1.4 Certification of the Need for Leave: Any employee who needs to have an FMLA-covered medical leave of absence must present certification completed by the employee's health care provider verifying the need for a leave of absence along with the leave request form. This certification must be provided within fifteen (15) days of the request unless it is not feasible under the circumstances. Human Resources has certification forms available for an employee to have completed by his or her health care provider. Failure to provide certification may result in the employee's leave being delayed, denied, or revoked. Note: The RTA reserves the right to a second or third medical certification at our expense.

The RTA also reserves the right to require recertification of the continuance of a serious health condition every six (6) months. Recertification may also be required if:

1. An employee requests an extension of leave;
2. Circumstances described by the original certification have changed significantly;
3. We receive information that casts doubt upon the continuing validity of the certification; or
4. An employee is unable to return to work because of the continuation, recurrence, or on-set of a serious health condition.

3.3.1.5 Intermittent Leave: Generally, FMLA leave must be taken in a single block. Under certain circumstances, however, FMLA leave may be taken on a reduced work schedule basis if the employee and the organization can agree on the schedule requested by the employee.

If intermittent leave is considered medically necessary for the employee or seriously ill family member, the requesting employee produces the required certification by a health care provider that there is a medical need for a leave of absence and that the medical need is best accommodated through an intermittent leave or reduced work schedule. The RTA reserves the right to require a second or third medical opinion in appropriate cases where authorized to do so by the FMLA.

If medical leave is requested on an intermittent or reduced work schedule basis, the RTA may, at the discretion of the RTA Executive Director, transfer the employee temporarily to an available alternative position for which the employee is qualified and which better accommodates recurring periods of leave than does the employee's regular position. Any such transfer will be to a job that offers pay and benefits that are equivalent to those available in the employee's regular job. Employees on authorized intermittent leave with episodic or unforeseeable intermittent absences will not be required to transfer to an alternative job.

A fitness for duty certification can be required every thirty (30) days in the case of intermittent or reduced schedule leaves if reasonable safety concerns exist. The employee has fifteen (15) days to provide this certification.

3.3.1.6 FMLA Leave is Unpaid Leave: Employees on approved FMLA leave of absence will be required to use any earned, unused vacation and sick days during the approved leave of absence unless the leave is for the employee's own serious health condition. Employees must follow the same terms and conditions of RTA's leave policy as those employees not on FMLA. The RTA and employee may mutually agree to supplement worker's compensation or other disability benefits with any other form of paid time off benefits the employee may be entitled to, if state law permits.

3.3.1.7 Spouse Aggregation: In the case where both an employee and his or her spouse are employed by the RTA, the aggregate number of weeks to which both employees are entitled because of the birth or placement of a child or to care for a parent with a serious health condition will be limited to twelve (12) workweeks during any twelve (12) month period. This limitation does not apply in instances where leave is taken because of an employee's own serious health condition or to care for a spouse or child with a serious health condition.

3.3.1.8 Health Insurance: FMLA is benefit protected leave and the RTA will continue to pay its customary portion of group medical insurance coverage. An employee away from work due to FMLA leave may continue medical insurance coverage while on leave by timely payment of his or her portion of the monthly insurance premium on the same day such payment would be required if payment were made by payroll deduction. Where the need for family leave of absence is foreseeable, the employee will be asked to sign an agreement before the leave of absence begins that:

- Discloses the amount that the employee must remit on a timely basis to retain the coverage; and
- Indicates that the employee understands his or her insurance premium payment obligations.

If the FMLA leave is not foreseeable, this agreement must be signed as soon as possible after the leave begins. An employee's failure to pay premiums within thirty days of the due date for such premiums will result in the loss of his or her insurance coverage. If an employee does not return to work at the end of an approved FMLA leave, he or she may be required to repay the organization for the insurance premiums it paid.

3.3.1.9 Health Insurance Continuation – COBRA: The federal Consolidated Omnibus Budget Reconciliation Act (COBRA) was enacted to ensure that employees and their dependents can continue their health insurance once they are no longer eligible under our health plan.

If an employee continues insurance under COBRA, the employee will pay the full cost of the insurance at the RTA's group rates plus an administration fee. When an employee is eligible for RTA's health insurance plan, the employee will receive a written notice describing COBRA rights, applicable deadlines, and what to do if to take continuation coverage under COBRA. As such, it is important that the employee read it carefully and maintain it with insurance documents/records. Employees should contact your Human Resources with any questions regarding COBRA.

3.3.1.10 Benefits During Leave: Employees on a FMLA-related leave do not accrue benefits, including holiday pay, while on unpaid leave. Employees will not accrue vacation and sick pay while on unpaid leave. Vacation and sick pay will begin accruing when the employee returns to work.

3.3.2 California Family Rights Act (CFRA)

Under the provisions of the California Family Rights Act (CFRA), eligible employees are entitled to take 12 weeks of family leave within a rolling 12-month period for the following reasons:

- The birth of a child or placement of a child for adoption or foster care;
- To bond with a child (leave must be taken within 1 year of the child's birth or placement);
- To care for the employee's spouse, domestic partner, child, or parent who has a qualifying serious health condition;
- For the employee's own qualifying serious health condition that makes the employee unable to perform the employee's job;

The rolling 12-month period is measured backward from the date of the most recent use of leave for a covered CFRA event. This means that each time an employee requests a leave under the provisions of this policy, the available time for a leave of absence will be the balance of the total 12 weeks that has not been used during the 12-month period immediately preceding the commencement of leave.

3.3.2.1 Eligibility: To be eligible for leave, an employee must meet following requirements:

- Have worked for the employer for at least 12 months (52 weeks, not necessarily consecutively);
- Have at least 1,250 hours of service in the 12 months immediately preceding the beginning of the leave; and
- Work at a location where the employer has at least 20 employees within 75 miles of the employee's worksite.

3.3.2.2 Serious Health Condition: The term "serious health condition" means an illness, injury, impairment or physical or mental condition that involves continuing treatment by a health care provider which prevents an employee from performing the functions of his or her job or prevents the family member from performing the functions of his or her job or attending school. Employees should contact his or her immediate supervisor with any questions regarding what qualifies as a serious health condition.

3.3.2.3 Notice Requirements: An employee requesting a leave of absence under this policy should see his or her supervisor and complete the proper leave request form. Where the need for leave is known in advance, the request must be submitted at least thirty (30) days prior to the desired beginning of the leave of absence. Failure to give at least thirty (30) days' notice of foreseeable need for a leave of absence may delay the start of such leave until thirty (30) days after the date the notice is received by the organization. If the request is less than thirty (30) days, the employee may be required to give an explanation of why advance notice was not feasible. If timely notice is not given, the period of delay counts as a non-CFRA absence.

If the need for a leave is not foreseeable or is an emergency situation or providing notice is not practicable, the employee must provide at least verbal notification to their immediate supervisor as soon as possible and must follow our call-in procedures. Employees must supply sufficient information to enable the RTA to determine if the leave qualifies for FMLA and the duration and timing of the leave.

3.3.2.4 Certification of the Need for Leave: Any employee who needs to have an CFRA-covered medical leave of absence must present certification by a health care provider of the need for a leave of absence along with the leave request form. This certification must be provided within fifteen (15) days of the request unless it is not feasible under

the circumstances. Human Resources has forms available for an employee to have completed by their health care provider. Failure to provide certification may result in the employee's leave being delayed, denied, or revoked. Note: We reserve the right to a second or third medical certification at our expense.

We also reserve the right to require recertification of the continuance of a serious health condition every six (6) months. Recertification may also be required if:

- The duration for the leave, as stated on the certification has expired and the employee requests an extension of leave;
or
- An employee is unable to return to work because of the continuation, recurrence, or on-set of a serious health condition.

3.3.2.5 Intermittent Leave: Generally, CFRA leave must be taken in a single block. Under certain circumstances, however, CFRA leave may be taken on a reduced work schedule basis if the employee and the organization can agree on the schedule requested by the employee.

If intermittent leave is considered medically necessary for self or seriously ill family member, the requesting employee produces the required certification that there is a medical need for a leave of absence and that the medical need is best accommodated through an intermittent leave or reduced work schedule, intermittent leave will be approved. The RTA reserves the right to require a second or third medical opinion in appropriate cases where authorized to do so by the CFRA, including circumstances where the RTA has an objective, good faith reason to question the validity of the certification.

If medical leave is requested on an intermittent or reduced work schedule basis, the organization may, at the discretion of management, transfer the employee temporarily to an available alternative position for which the employee is qualified and which better accommodates recurring periods of leave than does the employee's regular position. Any such transfer will be to a job that offers pay and benefits that are equivalent to those available in the employee's regular job. Employees on unforeseeable intermittent leave will not be required to transfer to an alternative job.

A fitness for duty certification can be required every thirty (30) days in the case of intermittent or reduced schedule leaves if reasonable safety concerns exist. The employee has fifteen (15) days to provide this certification.

3.3.2.6 CFRA Leave is Unpaid Leave: Employees on approved CFRA leave of absence will be required to use any earned, unused vacation and/or sick days during the approved leave of absence unless the leave is for the employee's own serious health condition. If the employee is receiving partial wage replacement other than industrial injury benefits

from a third-party source (private disability insurance), the employee may mutually agree with RTA to apply paid leave accruals. Employees must follow the same terms and conditions of our leave policy as those employees not on CFRA. The RTA and the employee may mutually agree to supplement worker's compensation or other disability benefits with any other form of paid time off benefits the employee may be entitled to, if state law permits.

3.3.2.7 Parent Aggregation: In the case where both parents are employed by the RTA, the aggregate number of weeks to which both employees are entitled because of the birth or placement of a child or to care for a parent with a serious health condition will be limited to twelve (12) workweeks during any twelve (12) month period. This limitation does not apply in instances where leave is taken because of an employee's own serious health condition or to care for a spouse, registered domestic partner, or child with a serious health condition.

3.3.2.8 Health Insurance: CFRA is benefit-protected leave and the RTA will continue to make its customary payment for the employee's group benefits. Employees remain responsible to cover their customary personal contributions in order to keep their benefits in effect. An employee away from work due to CFRA leave may continue medical insurance coverage while on leave by timely payment of his or her portion of the monthly insurance premium on the same day such payment would be required if payment were made by payroll deduction. Where the need for family leave of absence is foreseeable, the employee will be asked to sign an agreement before the leave of absence begins that:

- Discloses the amount that the employee must remit on a timely basis to retain the coverage; and
- Indicates that the employee understands his or her insurance premium payment obligations.

If the CFRA leave is not foreseeable, this agreement must be signed as soon as possible after the leave begins. An employee's failure to pay premiums within thirty days of the due date for such premiums will result in the loss of his or her insurance coverage. If an employee does not return to work at the end of an approved CFRA leave, he or she may be required to repay the organization for the insurance premiums it paid.

3.3.2.9 Health Insurance Continuation – COBRA: The federal Consolidated Omnibus Budget Reconciliation Act (COBRA) was enacted to ensure that employees and their dependents can continue their health insurance once they are no longer eligible under our health plan.

If you continue your insurance under COBRA, you will pay the full cost of the insurance at our group rates plus an administration fee. When you are eligible for our health insurance plan, you will receive a written notice describing your COBRA rights. This

notice contains important information about your rights, strict deadlines to elect continuation coverage, and what to do if you need COBRA so it is important that you read it carefully and maintain it with your insurance documents. If you have any questions regarding COBRA, please contact your Human Resources.

3.3.2.10 Benefits During Leave: Employees on a CFRA-related leave do not accrue benefits, including holiday pay, while on unpaid leave. Employees will not accrue vacation and sick pay while on unpaid leave. Vacation and sick pay will begin accruing when the employee returns to work.

3.3.3 Pregnancy Disability Leave (PDL)

A pregnancy disability is a physical or mental condition related to pregnancy or childbirth that prevents you from performing essential duties of your job, or if your job would cause undue risk to you or your pregnancy's successful completion. Your health care provider should determine whether or not you have a pregnancy disability.

Pregnancy-related disability leave ("PDL"), as part of the California Fair Employment and Housing Act, may be taken for the duration of the disability up to four months (17.3 weeks) for each pregnancy. PDL may be used in a continuous block of leave, or applied intermittently when the need for intermittent or reduced schedule leave is medically verified by the employee's health care provider. This assumes that the employee is disabled by childbirth or related medical conditions for four months. Pregnancy-related disability leave is counted towards an employee's FMLA entitlement and the RTA will always apply PDL and FMLA concurrently. When an employee is no longer eligible for PDL, there is continued leave available for "Baby Bonding" under CFRA.

3.3.3.1 Eligibility: All employees who experience disabilities relating to pregnancy, childbirth or related medical conditions (meaning a physical or mental condition intrinsic to pregnancy or childbirth) may request leave or a reasonable accommodation under this policy.

3.3.3.3 Transfer and accommodation: The RTA also provides reasonable accommodations, to the extent required by law, for conditions related to pregnancy, childbirth or related medical conditions. In addition, a transfer to a less strenuous or hazardous position or duties may be available pursuant to an employee's request, if such a transfer is medically advisable. Employees requesting a leave or reasonable accommodation should promptly notify human resources

3.3.3.3 Notice Requirements: Anyone requesting a leave of absence under this policy should see his or her supervisor and complete the proper leave request form. Where the need for leave is known in advance, the request must be submitted at least thirty (30) days prior to the desired beginning of the leave of absence. Failure to give at least thirty (30) days' notice of foreseeable need for a leave of absence may delay the start of

such leave until thirty (30) days after the date the notice is received by the organization. If the request is less than thirty (30) days, the employee may be required to give an explanation of why advance notice was not feasible.

If the need for a leave is not foreseeable, is an emergency situation or is not practicable, the employee must provide at least verbal notification to their immediate supervisor as soon as possible and must follow our call-in procedures. Employees must supply sufficient information to enable The RTA to determine if the leave qualifies for FMLA and the duration and timing of the leave.

3.3.3.4 Certification of the Need for Leave: Any employee who needs to have a PDL-covered medical leave of absence must present certification of the need for a leave of absence along with the leave request form. This certification must be provided within fifteen (15) days of the request unless it is not feasible under the circumstances. Human Resources has forms available for an employee to have completed by their health care provider. Failure to provide certification may result in the employee's leave being delayed, denied, or revoked. Note: We reserve the right to a second or third medical certification at our expense.

3.3.3.5 PDL Leave is Unpaid Leave: Pregnancy-related disability leaves are unpaid. An employee who is granted a pregnancy-related disability leave may elect to use any accrued but unused paid time off benefits (i.e. vacation or sick leave) during the period of the leave. Any portion of a leave that occurs after all paid time off benefits have been exhausted is without pay. Any unpaid or paid portions of this leave policy shall be added together and will not extend the 4-month (17.3 weeks) total leave period limitation allowed under this pregnancy-related disability leave policy. Employees may mutually agree to supplement disability benefits with any other form of paid time off benefits the employee may be entitled to, if state law permits.

3.3.3.6 Health Insurance: PDL is benefit-protected leave. The RTA will continue to pay its customary premium payments for the employee's health insurance benefit for a maximum of four months of PDL, and a maximum of 12 weeks of CFRA child bonding leave. Employees are responsible for their customary personal premium payment for their own or family coverage, including any additional premium due to adding a new child to the employee's family plan. An employee away from work due to PDL leave, and any CFRA child bonding leave that is taken consecutively to PDL, may continue medical insurance coverage while on leave by timely payment of his or her portion of the monthly insurance premium on the same day such payment would be required if payment were made by payroll deduction. Where the need for family leave of absence is foreseeable, the employee will be asked to sign an agreement before the leave of absence begins that:

- Discloses the amount that the employee must remit on a timely basis to retain the coverage; and

- Indicates that the employee understands his or her insurance premium payment obligations.

If the PDL leave is not foreseeable, this agreement must be signed as soon as possible after the leave begins. An employee's failure to pay premiums within thirty days of the due date for such premiums will result in the loss of his or her insurance coverage. If an employee does not return to work at the end of an approved PDL leave, he or she may be required to repay the organization for the insurance premiums it paid.

3.3.3.7 Health Insurance Continuation – COBRA: The federal Consolidated Omnibus Budget Reconciliation Act (COBRA) was enacted to ensure that employees and their dependents can continue their health insurance once they are no longer eligible under our health plan.

If you continue your insurance under COBRA, you will pay the full cost of the insurance at our group rates plus an administration fee. When you are eligible for our health insurance plan, you will receive a written notice describing your COBRA rights. This notice contains important information about your rights, strict deadlines to elect continuation coverage, and what to do if you need COBRA so it is important that you read it carefully and maintain it with your insurance documents. If you have any questions regarding COBRA, please contact your Human Resources.

3.3.3.8 Benefits During Leave: Employees on a pregnancy-related disability leave do not accrue benefits, including holiday pay, while on unpaid leave. Employees will not accrue vacation and sick pay while on unpaid leave. vacation and sick pay will begin accruing when the employee returns to work.

3.3.3.9 Lactation Policy: We will accommodate employees who desire to express breast milk during working hours by providing a reasonable amount of break time to be used for this purpose and provide a room for a mother who desires to express milk in private. In the event that an employee requires additional time, other than the scheduled rest or meal periods, additional unpaid time off will be provided for this purpose.

3.3.4 Worker's Compensation

The RTA carries workers' compensation insurance coverage as required by law to protect employees who are injured on the job. This insurance provides medical, surgical, and hospital treatment in addition to disability payments, as provided by law, for work-related injuries. Compensation payments begin from the first day of an employee's hospitalization or after the third day following injury if an employee is not hospitalized. The cost of this coverage is paid completely by the RTA.

3.3.4.1 Duty to Report: If an employee is injured while working, he or she must report it immediately to his or her supervisor, regardless of how minor the injury may appear to

be. Failure to immediately report an on-the-job injury may result in disciplinary action up to and including termination.

3.3.4.2 Limit of Liability: The RTA and its worker's compensation insurance carrier are not liable for the payment of any benefits for an injury that arises out of an employee's voluntary participation in any off-duty recreational, social, or athletic activity which is not a part of the employee's work-related duties. The workers' compensation insurance carrier determines whether the claim is covered under worker's compensation.

3.3.5 Personal Leave of Absence Without Pay (refer to the CBA for those covered)

A Personal Leave of Absence (LOA) is an unpaid absence of five (5) or more consecutive days. The general intent of the RTA's LOA policy is to provide extended time off for illnesses and other reasonable conditions that prevent an employee from reporting to work. With the exception of FMLA, CFRA and PDL, in no case shall a personal LOA be granted for more than 30 days. An important point to remember about a LOA is that, with certain exceptions such as leaves for military duty or jury duty purposes, the RTA provides no assurances or guarantees that a job will be held open until an employee returns.

3.3.5.1 Request for LOA: The granting of an LOA shall be at the sole discretion of the RTA Executive Director or designee. All requests for LOA shall be in writing and shall include a description of the reason for the request. The advance timing of the request shall follow the protocol required for scheduled use of vacation leave, unless the request is for a medical or emergency purpose.

3.3.5.2 Impact on Health Insurance: Full-time employees who have RTA-funded health and other insurance must make financial arrangements with Human Resources if he or she wishes to maintain insurance coverage during an LOA that extends beyond authorized job protected leave, such as FMLA, CFRA and PDL. . During periods when no wages are earned, a personal premium payment plan can be worked out to keep the insurance coverage in force. Unless special arrangements are made, insurance coverage will be canceled on the last day of any month where there is no income and no personal payment is made.

3.3.5.3 Return to Work: When an employee is on an LOA for greater than 30 days, the employee must complete a retraining regimen approved by the Manager, Safety and Training.

3.3.5.4 Gainful Occupation: An employee, who accepts gainful occupation while on a leave of absence or sick leave, terminates his or her employment with the RTA unless otherwise mutually agreed to between the RTA and the employee.

3.3.6 Kin Care

Under California Labor Code Section 233, Kin Care is a right granted to eligible employees under the California Labor Code. Kin Care authorizes employees to use up to one-half of the sick leave that they accrue annually to take time off to care for a sick family member. Kin Care is a protected leave.

A portion of the employee's current sick leave (up to 50%) may be applied as Kin Care for family care leave for a close family member.

Up to half an employee's annual accrual of sick leave may be used for care of children, siblings, parents (be they natural, adoptive, step, foster of the employee or their current spouse, if the employee is married), and spouse in a 12-month period beginning January 1st and ending December 31st.

3.3.7 Military Service Leave (USERRA) and California Military & Veterans Code

The Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) and other federal and state laws provide for certain LOA rights if an employee is called to active duty military service. In accordance with federal and state laws, this leave allows for five years of leave time and reinstatement rights. Under USERRA, employees returning from military service will be placed in the position they would have attained had they remained continuously employed, or a comparable position depending upon the length of military service. This leave is unpaid, but job protected and benefit protected.

Leave may also be available under the California Military & Veterans Code, if an employee is ordered to military service, including temporary military duty ordered for purposes of active military training, inactive duty training, encampment, naval cruises, special exercises, or similar activities. The leave is unpaid, but job protected and benefit protected, with full reinstatement rights. In certain situations, public employees may be eligible for civilian pay, based upon specific eligibility requirements. Employees ordered to active or reserve service should consult Human Resources about eligibility and leave options.

An employee who is a member of the reserve corps of the armed forces, of the National Guard or the Naval Militia and who has one full year of continuous service immediately preceding the leave, and who takes temporary military leave of 180 days or less (including ordered travel time) shall be maintained in his or her position. Upon the employee's return to duty after the prescribed period of temporary leave, the employee shall receive all vacation, sick leave and benefits arising from seniority in the RTA and in the class which he or she would have accrued had he or she not been absent on military leave.

An employee who has satisfactorily completed six months of continuous service immediately prior to taking ordered military leave shall receive payment equal to one-half month's compensation the employee would otherwise have received for the first one-half month of the

military leave and an employee who has one full year of continuous service immediately prior to taking ordered military leave shall receive a payment equal to a full month's salary that would otherwise have been received for the first full month of military leave upon submitting satisfactory evidence of military service.

3.3.8 Military Spouse Leave

The California Military and Veterans Code Section 394.5 applies to employees whose spouses are members of the United States Armed Forces, National Guard or the Reserves, and who have been deployed during a period of military conflict. The RTA will provide any eligible employee under this policy an unpaid leave of absence during their spouse's leave from deployment for up to 10 days. To be eligible for leave under this policy, employees must work an average of at least 20 hours per week. Employees must notify his or her supervisor of the intent to take leave as far in advance as possible, but no later than two business days after receiving official notice that the spouse will be on leave from deployment. The RTA may ask for written documentation certifying that the spouse will be on a qualifying leave from deployment. This leave is unpaid, but an employee may choose to use accrued vacation leave.

3.3.9 Rehabilitation Leave

The RTA is committed to providing assistance to employees to overcome substance abuse problems. The RTA will reasonably accommodate any employee who wishes to voluntarily enter and participate in an alcohol or drug rehabilitation program as defined in the *RTA Drug and Alcohol Policy*. This accommodation may include unpaid time off for up to 30 calendar days, or an adjusted work schedule, provided the accommodation does not impose an undue hardship on business operations. Leave is unpaid but an employee may choose to apply accrued unused vacation and sick time.

In certain circumstances, and with a Health Care Provider's Certification, substance abuse may be a serious health condition under the CFRA. If properly certified and authorized as CFRA leave, an employee must use Sick Leave in accordance with the terms and conditions of CFRA leave described in this Handbook.

3.3.10 School Appearance Leave

Under California Labor Code Section 230.7, employees may need to appear at his or her child's or grandchild's school in connection with disciplinary action by the school. This is an unpaid leave, although employees can choose to use available vacation leave. Documentation from the school noting the date and time of the employee's visit is required.

3.3.11 School and Child Care Activities Leave and Child Care Emergencies Leave

Under California Labor Code Section 230.8, parents, guardians, or grandparents of a child in kindergarten, grades 1-12, or a licensed day care center may wish to take time off without pay to visit his or her child's school or day care center for a school activity. The time off must not be

more than eight hours each calendar month (up to a maximum of 40 hours each calendar year), provided reasonable notice is given for the planned absence.

This is an unpaid leave, and employees can choose to use available vacation leave. For scheduled events, employees should provide reasonable advance notice. In emergencies, the RTA asks that employees provide at least one day notice or call before the beginning of the work day.

Child Care Emergencies Leave is available if an employee's child cannot remain in school or with a child care provider. An employee (parent, step parent, legal guardian or person who stands in loco parentis to a child) may use unpaid time off for a "child care emergency," which is defined as:

- The school or child care provider has requested that the child be picked up or has an attendance policy excluding planned holidays, that prohibits the child from attending or requires the child to be picked up from the school or child care provider;
- Behavior or discipline problems;
- Closure or unexpected unavailability of the school or child care provider, excluding planned holidays; or
- Natural disaster, including but not limited to fire, earthquake, or flood.

All time off for child care emergencies is unpaid. An employee can choose to use accrued unused vacation leave.

3.3.12 Volunteer Civil Service / Emergency Responder Leave

Under California Labor Code Sections 230.3 and 230.4, time off to perform emergency duty as a volunteer firefighter, peace officer, or emergency rescue personnel (an officer, employee, or member of a fire department, fire protection, or firefighting of the federal government, state of California, or other local governments, or other special districts; an officer of a sheriff's department, police department, or private fire department).

A total of 14 days per calendar year, to engage in fire, law enforcement or emergency rescue training is also allowed.

All time off to serve is unpaid. An employee can choose to use accrued unused vacation leave.

3.3.13 Volunteer Civil Air Patrol

Under California Military and Veterans Code 395.10, a volunteer member of the California Wing of the civilian auxiliary of the U.S. Air Force Civil Air Patrol, responding to an emergency operation mission is entitled up to 10 days of leave per year. However, the leave for a single emergency mission cannot exceed 3 days, unless the emergency is extended by the entity in charge of the operation.

All time off to serve is unpaid, and an employee can choose to use accrued unused vacation leave.

3.3.14 English Literacy Programs

If you identify an English literacy challenge, for which you are enrolling in an English literacy course, we will seek to accommodate your work schedule (subject to make-up or alternate work schedules as allowed by law) as long as it does not unduly burden the workplace or RTA operations.

All time off needed for literacy programs is unpaid. Employees, however, may use accrued vacation leave during the period of work missed to attend literacy classes.

3.3.15 Domestic Violence, Sexual Assault and Stalking Leave

Under California Labor Code Section 230, employees who are victims of domestic violence, sexual assault, or stalking are eligible for unpaid leave. Leave may be requested for judicial action, such as obtaining restraining orders, appearing in court to obtain relief to ensure your health, safety, or welfare, or that of your child, or for medical treatment or psychological counseling related to an experience covered by this policy. The RTA will, to the extent allowed by law, maintain the confidentiality of an employee requesting leave under this provision.

This is an unpaid leave, and employees can choose to use available sick leave or vacation leave. Domestic violence, sexual assault and stalking victims' leave for medical treatment or counseling services will run concurrently with FMLA-CFRA, allowing for 12 weeks in a 12-month period, less any previous FMLA-CFRA time taken.

The RTA provides reasonable accommodations, to the extent required by law, for employees under circumstances where domestic violence or talking requires security measures or time off to obtain resources or services. Reasonable accommodations may include a temporary transfer, modified schedule, changed work telephone or email, installed lock, assistance in documenting domestic violence or stalking that occurs in the workplace or other safety procedures. The RTA will implement reasonable accommodations that do not create an undue hardship. The RTA will also take all necessary and appropriate steps to prevent any form of actual or threatened retaliation against an employee who takes time off or requests other reasonable accommodations under this policy. An employee who believes that reasonable accommodations are required should contact Human Resources.

3.3.16 Crime Victims' Leave

Under California Labor Code Section 230.2, any employee who has been a victim of a serious or violent crime, may take time off work to attend judicial proceedings related to the crime. Such crimes may include any of the following: vehicular manslaughter while intoxicated; felony child abuse likely to produce great bodily harm or a death; assault resulting in the death of a child under eight years of age; felony domestic violence; felony physical abuse of an elder or

dependent adult; felony stalking; solicitation for murder; a serious felony; hit-and-run causing death or injury; felony driving under the influence causing injury; and sexual assault. Judicial proceedings for purposes of this policy also include any court proceeding where the victim's rights are in issue, including a delinquency proceeding involving a post-arrest release decision, plea, sentencing or post-conviction release decision.

Employees may also take time off if an immediate family member, domestic partner or domestic partner's child has been a victim of such crimes and needs to attend judicial proceedings related to the crime. Immediate family member is defined as spouse, child, stepchild, registered domestic partner or child of domestic partner, brother, stepbrother, sister, stepsister, mother, stepmother, father, or stepfather.

Employees must give Human Resources reasonable advance notice of the need to take time off, unless advance notice is "not feasible." If an unscheduled absence occurs, no adverse action may be taken or threatened if the employee provides a certification to the employer regarding the absence. A certification shall be deemed sufficient if it is one of the following: (1) a police report indicating the employee was a victim of a specified offense; (2) a court order protecting or separating the employee from the perpetrator or other evidence from the court or prosecutor that the employee appeared in court; OR (3) documentation from a health care provider, domestic violence or sexual assault victim's advocate, or other counsel showing that the employee was undergoing treatment related to being a victim of an offense as specified above.

Employees may elect to use accrued paid vacation time, paid sick leave time, or other paid time off for the absence. If the employee does not elect to use paid time off, the absence will be unpaid. However, exempt employees will be paid their full salary for any workweek interrupted by the need for time off under this policy. Unpaid leave for documented purposes under this provision will be authorized and such leave is both job-protected and benefit-protected.

3.3.17 Witness Duty (refer to the CBA for those covered)

If you are summoned to be a witness for the RTA or if we ask you to testify, we will give you time off with pay.

Any regular full-time or regular part-time employee who is required to act as a witness in a non-work related legal proceeding will be required to use vacation or leave without pay to attend court. Employees who need to be a witness in their domestic violence proceeding or as a victim of specified crimes for self or close family will be allowed to use up to 3 days/24 hours of sick leave for this purpose. Documentation may be requested.

If you need time off to be a witness for the RTA or non-work related reasons, show the subpoena, police report, letter from prosecutor, etc. to your immediate supervisor as soon as you receive it. We expect you to report for work whenever you are not needed in court.

Section 3.4 Policy Against Retaliation Regarding Leaves

No employee will be subject to, and the RTA prohibits, any form of discipline or retaliation for reporting in good faith incidents of unlawful discrimination, pursuing any such claim, or cooperating in any way in the investigation of such reports. The RTA does not condone and will not tolerate retaliation against any employee for cooperating in an investigation, for making a truthful complaint of a violation of this policy in good faith, for opposing perceived violations of this policy, or for filing an administrative claim with the California Department of Fair Employment and Housing (DFEH) and/or the Equal Employment Opportunity Commission (EEOC), even if the allegations are not substantiated by the RTA's investigation. Any employee who feels he or she has experienced or witnessed any conduct which he or she believes to be retaliatory in nature, should follow the reporting procedures described above.

RTA will not discriminate against any employee in the following situations:

- a. For taking time off to perform emergency duty as a volunteer firefighter, a reserve peace officer, or emergency rescue personnel
- b. For taking time off to serve on a jury or appearing as a witness in court.
- c. An employee who is a victim of domestic violence and/or a victim of sexual assault for taking time off from work to obtain relief or attempt to obtain relief to help ensure his or her health, safety, or welfare, or that of his or her children
- d. For using, or attempting to exercise the right to use sick leave to attend to the illness of a child, parent, spouse, domestic partner, or child of the domestic partner of the employee.
- e. For any other conduct that is protected by public policy.

ARTICLE 4

EQUAL OPPORTUNITY, DISCRIMINATION AND HARASSMENT

Section 4.1 Policy

The RTA Board maintains a strong commitment to support equal employment opportunity and to prohibit and prevent discrimination, harassment and retaliation in employment. The RTA sets forth this procedure for reporting, investigating and resolving internal complaints related to discrimination, harassment and retaliation. All covered individuals are encouraged to report, as soon as possible, any conduct that is believed to violate this policy. Such conduct need not rise to the level of a violation of law to violate this policy. Conduct which may lead to discrimination, harassment or retaliation is in violation of this policy and will not be tolerated. Violation of this policy by any officer, employee, agent, or volunteer shall be grounds for discipline or other appropriate sanctions. In support of this policy, all employees of the RTA shall receive discrimination and harassment prevention training upon hire.

4.1.2 American with Disabilities Act (ADA) and Fair Employment and Housing Act (FEHA) Policy

Reasonable accommodation is available to an employee with a disability when the disability affects the performance of job functions. The RTA makes employment decisions based on the qualifications in accordance with defined criteria, not the disability of the individual.

Qualified individuals with disabilities are entitled to equal pay and other forms of compensation (or changes in compensation) as well as job assignments, classifications, organizational structures, position descriptions, lines of progression, and seniority lists.

We follow all state or local laws that give more protection to a person with a disability than the ADA gives, including without limitation the California Fair Employment & Housing Act. The RTA will provide reasonable accommodations, where appropriate and necessary, and we have an established process for evaluating requests for accommodations.

The RTA is committed to taking all other actions that are necessary to ensure equal employment opportunity for persons with disabilities in accordance with the ADA and any other applicable federal, state, and local laws.

Section 4.2 Equal Employment Opportunity

The RTA maintains and promotes a policy of equal employment opportunity. The RTA is committed to maintaining a work environment that is merit based, and free from illegal discrimination, which includes harassment and retaliation.

The Board of Directors, its managers, employees, agents, and volunteers will not discriminate against any applicant for employment, employee, intern, volunteer, contractor, subcontractor,

vendor, or client because of age, ancestry, color, creed, marital status, medical condition (cancer or genetic characteristics), national origin, citizenship, physical or mental disability, political affiliation or belief, pregnancy, race, religion, sex, sexual orientation, gender identity or expression, or any other legally protected characteristic or status.

This policy shall apply to all employment actions including, but not limited to: recruitment, testing, hiring, training, promotion, demotion, transfer, layoff, performance evaluation, discipline, salary and benefits administration, terms and conditions of employment, and participation or appointment to all boards and commissions. All employment decisions shall be made on the basis of individual qualifications, bona fide occupational qualifications for the job in question, and the feasibility of any necessary job accommodations.

This policy shall apply to all RTA worksites, and to the conduct of all individuals who interact with RTA employees, including contractors, vendors, suppliers, business partners, visitors that are discriminatory toward RTA employees or creates a hostile, offensive, intimidating or abusive work environment for any RTA employee.

4.2.1 Policy Against Discriminatory Harassment

It is the policy of the RTA that all employees shall have a working environment free of unlawful discrimination. A businesslike workplace helps to ensure courteous treatment for both employees and the public we serve. Harassment of an applicant or employee by any employee or officer on the basis of age, ancestry, color, creed, marital status, medical condition (cancer or genetic characteristics), national origin, physical or mental disability, political affiliation or belief, pregnancy, race, religion, sex, sexual orientation, gender identity or expression, or any other legally protected status is employee misconduct that constitutes illegal discrimination and is grounds for disciplinary action up to and including termination. The RTA requires that all employees and officers treat the public and other employees with courtesy and respect.

Discriminatory harassment includes unwelcome derogatory comments, physical acts, written or visual insults which are made on the basis of an employee's protected status (race, religion, etc.). In order for the harassing conduct to be considered discriminatory harassment, it must unreasonably interfere with an employee's work performance by creating an intimidating, hostile or offensive working environment.

Because the RTA seeks to prevent any form of illegal harassment, behavior such as unnecessary touching, sexual or discriminatory remarks or joking, which may lead to illegal harassment, will not be tolerated and shall be the basis for immediate and appropriate corrective action, including discipline or termination.

4.2.1.1 Abusive Conduct: In addition to harassment based on a protected characteristic, the RTA prohibits acts of bullying or abusive conduct, whether by words, gestures, written or electronic communications. A safe and civil environment is necessary for employees to achieve the high standards we expect. Demonstration of appropriate

behavior, treating others with civility and respect, and refusing to tolerate harassment and bullying are expected of all employees.

Under California law effective January 1, 2015, abusive conduct is defined as “conduct of an employer or employee in the workplace, with malice, that a reasonable person would find hostile, offensive, and unrelated to an employer’s legitimate business interests.”

4.2.1.2 Bullying: In addition to harassment based on a protected characteristic, or membership in a protected class, the RTA prohibits acts of bullying, whether by words, gestures, written or electronic communications. A safe and civil environment is necessary for employees to achieve the high standards we expect. Demonstration of appropriate behavior, treating others with civility and respect, and refusing to tolerate harassment and bullying are expected of all employees. Bullying is repeated, health-harming mistreatment of another employee. Examples of prohibited bullying include, but aren’t limited to: screaming; swearing; name calling; stealing; giving dangerous work assignments; using threatening, intimidating, or cruel behaviors; deliberately humiliating a person; denying advancement; and stealing work credit.

Generally, bullying involves: (1) written, verbal, graphic or physical acts (including electronically transmitted content, such as using the Internet, a cell phone, a personal digital assistant (PDA), or a wireless handheld device); (2) behavior that substantially interferes with work, opportunities, and benefits of one or more employees, sometimes through actual sabotaging of work; (3) behavior that adversely affects an employee’s ability to function at work by placing the employee in reasonable fear of physical harm or by causing emotional distress.

Because bystander support can encourage bullying, the RTA also prohibits both active and passive support for acts of bullying. Employees should either walk away from these acts when they see them or attempt to stop them. In either case, employees should report incidents to a manager or supervisor, or to Human Resources. Those who engage in bullying or retaliation for complaints about bullying will be subject to appropriate discipline up to and including termination of employment.

4.2.2 Policy Against Sexual Harassment

It is the policy of the RTA that all employees shall have a working environment free of sexual harassment. A businesslike workplace helps to ensure courteous treatment for both employees and the public we serve. Sexual harassment of an applicant or employee by any employee or officer is employee misconduct that constitutes illegal discrimination and is grounds for disciplinary action up to and including termination. The RTA requires that all employees treat the public and other employees with courtesy and respect.

Sexual harassment includes unwelcome sexual overtures by any officer, employee, supervisor or manager, whether written, physical, visual or verbal (may include sexual innuendo, graphic or explicit jokes, suggestive sounds, or stories of a sexual nature), where submission is made a term or condition of employment or the basis of an employment decision. Sexually harassing conduct unreasonably interferes with an individual's work performance or creates an intimidating, hostile or offensive working environment.

Some of the basic forms of sexual harassment include:

- a. Unwelcome sexual advances, where submission to the conduct is an explicit or implicit term or condition of employment.
- b. Unwelcome sexual advances, where submission to, or rejection of, the conduct is used as the basis for an employment decision.
- c. The conduct had the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.
- d. Sexual harassment includes behavior by women directed at men, by men directed at women, same-sex harassment, and harassment based on sexual orientation.
- e. Under California law, the conduct does not have to be motivated by sexual desire in order to constitute illegal harassment.

Because the RTA seeks to prevent any form of illegal harassment, behavior such as unnecessary touching, sexual or discriminatory remarks or joking, which may lead to illegal harassment, will not be tolerated.

Section 4.3 Reporting Discrimination or Harassment

Any incident of harassment, including work-related harassment by any RTA personnel or any other person, should be reported promptly to the employee's supervisor, Human Resources, or the RTA Executive Director, or to the County of San Luis Obispo Human Resources (which provides third party contractor providing human resource services to the RTA). Supervisors who receive complaints or who observe harassing conduct are required to inform the RTA Executive Director immediately.

The RTA emphasizes that an employee is not required to complain first to his or her supervisor if that supervisor is the individual who is harassing the employee; rather a complaint about the employee's supervisor should be made to the RTA Executive Director, or to the County Human Resources department.

Upon receipt of a complaint, the RTA will conduct a timely investigation to determine the facts and any appropriate corrective action. The investigation is a neutral fact-finding inquiry by a qualified investigator. Should the RTA determine that the individual circumstances require an independent investigator to ensure impartiality, the RTA will take appropriate steps to engage a qualified investigator. All individuals who participate in the investigation, whether as the person

making the complaint, the person(s) whose behavior is being investigated, or individual witnesses will be treated with respect and will be afforded due process.

The RTA will ensure that statements of the complainant, alleged offender and all witnesses are documented thoroughly and that the investigation is conducted in a thorough, objective and neutral manner, and is considerate of the rights and emotions of all the parties involved. After all evidence and information is collected and evaluated, the RTA will reach prompt and reasonable conclusions.

In addition to notifying the RTA about harassment or retaliation complaints, affected employees may also direct their complaints to the DFEH and/or the EEOC, which has the authority to conduct investigations of the facts. Employees can contact the nearest DFEH office at the locations listed on the RTA's DFEH poster or by checking the state government listings in the local telephone directory.

Disciplinary action for a violation of the policies described herein can range from verbal or written warnings up to and including immediate termination, depending upon the circumstances.

This policy applies to all areas of employment including recruitment, hiring, training, promotion, compensation, benefits, transfer, imposition of discipline, and social and recreational programs. It is the responsibility of all RTA personnel to conscientiously follow this policy. Any employee having any questions regarding this policy should discuss them with his or her immediate supervisor, the RTA Executive Director, or to the County Human Resources department.

Section 4.4 Policy Against Retaliation

The RTA prohibits any adverse employment action, including threats of reprisals against those who in good faith report, or supports someone who reports violations of RTA policy or State / Federal law, or engages in other legally protected activity. The RTA further prohibits retaliation against anyone who participates (as witnesses or accused) in investigations into complaints of alleged misconduct. Disciplinary action, up to and including termination, will be taken against an employee or officer who is found to have violated this policy. Any consultant or contractor who violates this policy will be subject to appropriate sanctions. This policy applies to all RTA officers, employees, volunteers, interns, consultants, contractors and vendors, and prohibits retaliation because of any of the protected activity as defined herein.

ARTICLE 5

RECRUITMENT, SELECTION AND CLASSIFICATION

Section 5.1 Policy (refer to the CBA for those covered)

All employee selections and promotions shall be made according to merit, qualifications, and the job requirements. The policies and procedures outlined below are consistent with policies regarding Equal Opportunity Employment laws as enforced by the Department of Labor.

Section 5.2 Job Descriptions

The RTA strives to develop and maintain accurate job descriptions for all job classifications. A job description includes the following sections:

- Job information;
- Job summary (gives a general overview of the job's purpose);
- Essential duties and responsibilities;
- Qualifications (includes education and/or experience, language skills, mathematical skills, reasoning ability, and any certification required);
- Physical demands; and
- Work environment.

The RTA uses job descriptions to identify the requirements of a job, set up the hiring criteria, set standards for employee performance evaluations, and establish a basis for making reasonable accommodations for individuals with disabilities.

In cooperation with the lead supervisor, manager or director of your department, Human Resources will prepare a job description when a new job is created. Human Resources reviews existing job descriptions and update them when a job changes. A job description does not necessarily cover every task or duty that an employee might be assigned; an employee may be assigned additional responsibilities as necessary. If an employee has questions or concerns about his or her job description, the employee should discuss those concerns with his or her immediate supervisor.

Section 5.3 Recruitment (refer to the CBA for those covered)

Whenever a position vacancy occurs, it may be filled in one of the following three ways as determined by each department manager:

- Open/On-going Recruitment – A competitive process in which all interested persons are eligible to apply for a vacant position.
- Internal Recruitment – A competitive process in which only current RTA employees are eligible to apply for a vacant position.

- Direct Appointment – Upon approval of the RTA Board, a position may be filled through direct appointment.

5.3.1 Duration of Recruitments

All open/on-going recruitments must be announced to the general public for a minimum of five (5) work days. All internal recruitments must be announced to RTA employees for a minimum of ten (10) work days. The RTA Executive Director may authorize extending a previously established final filing date.

5.3.2 Recruitment Announcement

All open external recruitments shall, at a minimum, be announced through an online “Employment Opportunities” page and be available to the public upon request. Announcement of all internal recruitments shall be posted on a bulletin board accessible by all RTA employees. The recruitment announcement shall, at a minimum, include the title of the position, the salary range, the minimum qualifications for admission to the recruitment process, and the final filing date.

5.3.3 Applications

Persons interested in employment or promotion with the RTA must submit an application for employment or promotion using the systems and methods included in the recruitment announcement. Applications shall be accepted until 11:59 pm (external) and 4:30 PM (internal) of the final filing date. False information on an application may be considered grounds for removal from the recruitment or, if already employed, may be considered grounds for termination of employment.

5.3.4 Minimum Qualifications

All employees shall meet the minimum qualifications of the position to which they are assigned, and shall possess and maintain licensure as required in the job specifications. Only applicants who meet the minimum qualifications for the job (as described in the job specifications) may compete in the selection process. Applicants who do not meet the minimum qualifications shall be notified as such and shall have five (5) work days from the date of the notice to provide additional information to be considered in the minimum qualifications determination.

5.3.5 Employee Referral Program

Employees who know of someone who is interested in working for the RTA should refer him or her to Human Resources.

For each applicant that an existing RTA employee refers that is hired will receive a monetary reward after the new employee has completed his or her probationary period.

Section 5.4 Selection (refer to the CBA for those covered)

Except for a direct appointment approved by the RTA Board, selection and promotion of employees by department managers and Human Resources shall be by a competitive selection process.

5.4.1 Selection Process

Applicants that meet the minimum qualifications of the job and are eligible to compete in the selection process shall be considered to be “candidates.” All open recruitments or internal recruitments must include one or more competitive selection elements. These elements may include, but are not limited to: oral interview, competitive application rating, written test, practical performance test, or any other valid and reliable selection method. All selection elements shall be job related and based on merit principles. At the conclusion of the recruitment process, all candidates shall be placed on an eligible list in rank order based on his or her final evaluation, including Veteran’s preference. An eligible list shall remain in effect for no less than six (6) months.

5.4.1.1 Selection Notification: Candidates shall be notified of their results in any element of a selection element in which they participated. Such notification shall, at a minimum, include whether they passed or failed that element of the selection process.

5.4.1.2 Selection Records: Records of a competitive selection shall be maintained for a period of not less than one year. Selection materials are confidential and are not subject to direct review by candidates.

5.4.1.3 Veterans Preference: A candidate who competes in an open recruitment and has a valid Veterans Certificate on file with the San Luis Obispo County Veterans Services office or the U.S. Veterans Administration shall be given preference amongst all other applicants, provided the Veteran can perform the essential duties of the position.

5.4.2 Interview of Certified Candidates

Upon establishment of the eligible list and prior to filling a position, the department manager and Human Resources shall at a minimum invite the top three ranked candidates on the eligible list to be interviewed. Subsequent ranks may be invited for an interview, however in no instance may ranks be skipped. Failure of a candidate to respond to an invitation for an interview shall be considered a decline to interview.

5.4.3 Background and Reference Checks

To ensure that individuals who join the RTA meet our standard qualifications and have a strong potential to be productive and successful, it is our policy to check the employment references and criminal background checks of all applicants after a conditional offer of employment is provided. For some positions, such as management, or positions requiring access to financial, confidential data or other positions of trust, the RTA also requires a credit check in accordance with the applicable federal and state standards.

In addition to checking references of applicants, we will respond in writing only to those reference check inquiries that are submitted in writing on former employees. Responses to such inquiries will be limited to factual information that can be substantiated by our records. The RTA will only provide dates of employment, title and rehire status without written consent. Wage information will be provided upon written authorization and release signed by the individual who is the subject of the inquiry.

5.4.4 Licensing

The following provides a summary of licensing and medical certification required for the Bus Operator position and other RTA positions that control the movement of an RTA revenue vehicle:

5.4.4.1 DMV License: It is the employee's responsibility to cover the costs of obtaining a Commercial Driver's License (CDL) and any renewals.

5.4.4.2 Medical Certificate for Safety Sensitive Position for New Hires: the RTA will provide to each candidate with a list of authorized examining doctors that will complete the US DOT required physical examination at no cost to the employee.

5.4.4.3 Medical Certificate for Existing Employees: the RTA shall post a list of employees who are due to renew their medical certificate on the first day of each month. If the employee chooses to use a doctor that is not on the RTA-provided list, the employee will be solely responsible for the costs of the physical examination.

5.4.4.4 Unpaid Time to Obtain/Maintain Licensing: Candidates for new safety sensitive positions and existing employees shall obtain or maintain commercial driver's licenses and/or medical certificates on their own time, with the exception of RTA-provided Verification of Transit Training paid time. In no case shall the RTA be liable for pay or other benefits while the candidate or employee is conducting such off-site licensing business.

Section 5.5 Recruitment and Selection Services

The RTA may contract with third party providers of recruitment and selection services. The third party service provider shall have broad discretion in interpretation of RTA policies related to recruitment and selection in order to ensure adherence to merit principles and equal opportunity in employment. The provisions of this article shall be interpreted to allow for conformance with the third-party systems and processes. Applicants and candidates shall use the systems and comply with the requirements of the third party service provider authorized by the RTA Board.

Section 5.6 Classification

The RTA shall prepare and maintain written job specifications for each classification approved by the RTA Board. All positions shall be assigned to an approved classification. See Appendix B for details on RTA job classifications.

5.6.1 Approval of Job Specifications

Job Specifications for newly created classifications or revisions to job specifications for existing classifications must be submitted to and approved by the RTA Board.

5.6.2 Upward Reclassification of Positions (refer to the CBA for those covered)

At the sole discretion of the RTA Executive Director, a position that has been assigned to a classification series may be reassigned to a higher level classification within that series. Such reassignment of classification is known as a career series promotion. A career series promotion is a non-competitive promotion.

ARTICLE 6

EMPLOYEE PERFORMANCE EVALUATION

Section 6.1 Background and Scope (refer to the CBA for those covered)

The RTA Executive Director shall establish, implement and maintain an effective system for periodic evaluation of the performance and conduct of employees at the RTA. The objective of this system shall be to record the performance of employees during the past evaluation period, assist supervisors and their employees in measuring progress toward work goals, identify employee development needs and establish a basis for personnel decisions.

Section 6.2 Evaluation Procedure (refer to the CBA for those covered)

In accordance with RTA procedures and on forms approved by the RTA Executive Director, managers/supervisors shall evaluate, record and report the performance of their direct-report employees. Performance evaluations shall be one of the following:

- a. Regular Evaluation: Employees shall receive an annual performance evaluation in July of each year, unless hired in the three months prior.
- b. Special Evaluation/Performance Improvement Plan: The RTA Executive Director may, at his or her discretion, issue a special evaluation. All special evaluations shall be created and administered in accordance with the provisions of this Rule.

Each evaluation shall be discussed with the employee by their supervisor and the employee shall be given a copy of the evaluation report following the discussion. The employee shall sign the report last as an acknowledgement that the report was discussed with him/her. The employee shall have the right to review the performance evaluation report with the RTA Executive Director or designated representative. The evaluation report shall be maintained in the employee's official personnel record.

Our objectives are to:

- a. Motivate and guide employees toward improved work performance, professional growth and development by discussing significant strengths and areas needing improvement in a positive, constructive manner.
- b. To promote communication between you and your supervisor to work-related matters.
- c. To provide a uniform process for supervisors to assess employee performance in relation to performance requirements. Additionally, supervisors can use performance appraisals to recommend merit increases. Therefore, no employee should expect to receive a salary increase based solely on the passage of time.
- d. To provide a method of evaluating employee suitability for continuation of employment, job transfers and/or promotions.
- e. To provide a record of employee progress.

This program is not a guarantee of advancement. The RTA Board of Directors and economic forces affecting the budget are the ultimate consideration regarding salaries.

ARTICLE 7

PERSONAL CONDUCT

Section 7.1 Personal Conduct (refer to the CBA for those covered)

The orderly and efficient operation of RTA facilities and work sites requires that all employees maintain certain standards of job performance and good conduct. When performance or conduct do not meet RTA standards, the RTA will endeavor when it deems appropriate to provide all employees a reasonable opportunity to correct the deficiency. If, however, you fail to make the correction, you will be subject to discipline, including termination of employment.

Section 7.2 Job Performance (refer to the CBA for those covered)

All RTA employees are expected to observe professional standards of job performance and conduct in support of the mission and vision of the RTA, and to show courtesy and respect to co-workers and the public we serve.

When performance or conduct does not meet the standards and expectations of RTA, employees should be given an opportunity, when appropriate, to correct the deficiency. If, however, the employee fails to make the correction, he or she will be subject to discipline.

It is not possible to provide employees a complete list of every possible type of action which may result in discipline or termination. Management reserves the right to establish standards of conduct as it deems necessary. However, in order to provide employees some guidance concerning unacceptable behavior, the following are considered impermissible. Employees who engage in misconduct or whose performance is unsatisfactory may be subject to disciplinary action, up to and possibly including termination. The list below is intended simply to provide some examples of disciplinary offenses.

Employees may be disciplined up to and including termination for poor performance including, but not limited to, the following:

1. Below-average work quality or quantity as set forth in job description and compensation plan, or as determined by executive or division managers.
2. Poor attitude (for example, discourtesy, rudeness or lack of cooperation) or failure to follow the instructions of a supervisor or manager.
3. Excessive absenteeism, tardiness or abuse of break and lunch privileges.
4. A demonstrated pattern of erratic or poor attendance that is not part of an authorized leave of absence or other reasonable accommodation established by the RTA.
5. Failure to follow instructions or RTA procedures.
6. Failure to follow established safety regulations, policies, procedures or hazard communication training.

7. Reporting to work or attempting to work when physically or mentally unfit for reasons such as: illness, injury, lack of sleep, influence of stimulants, depressants, liquor or drugs, emotional strain or other unfit condition.
8. Creating or contributing to unhealthful, unsanitary or unsafe conditions, including littering, graffiti or failure to properly dispose of debris, expired food items or other trash in proper areas.
9. Loafing, wasting time or sleeping during working hours.
10. Failure to meet a reasonable measure of efficiency or to follow business-related instructions from a manager or supervisor.
11. Failure to be at work position at start of shift or end of lunch period and/or failure to remain at work position up to start of lunch period or end of shift.
12. Repeated refusal of overtime work assignments without satisfactory reasons or authorized reasonable accommodations.
13. Inattention, carelessness or negligence (willful or otherwise) which causes or could cause injury to other employees or damage to RTA property.
14. Horseplay or mischief which endangers the safety of others or creates the possibility of damage to RTA property.
15. Repetitive violation of industrial safety rules and/or regulations.

Section 7.3 Misconduct That May Result in Discipline up to and Including Termination
(refer to the CBA for those covered)

1. Theft, abuse or defacing of any property belonging to the RTA or fellow workers, including stealing from customers' property.
2. Falsification or forgery of or making a material omission on forms, records, or reports, including time cards, applications for employment, customer records or checks, entertainment receipts, or RTA credit cards.
3. Lying to any supervisor or manager or submitting false or misleading documentation to support any requested benefit, including use of sick leave or other leaves of absence.
4. Actual or threatened physical violence towards another employee or subcontractor of the RTA.
5. Possessing or bringing firearms, knives, weapons, or chemicals on or to RTA property.
6. Insubordination, refusing to follow a supervisor's directions, or other disrespectful conduct to a supervisor.
7. Use of abusive language, verbal or visual, to any other person on RTA premises. Loud screaming, laughing or disruptive behavior.
8. Destroying or damaging property, records or other materials owned or leased by the RTA or any employee or subcontractor performing work pursuant to an agreement with the RTA.
9. Violating safety or health rules or practices or engaging in conduct that creates a safety or health hazard.

10. Using, possessing, distributing, selling or being under the influence of alcohol or unlawful drugs while on duty, while on RTA's property or customer premises, or while operating an RTA owned or leased vehicle.
11. Sexual harassment or other unlawful harassment bullying or abusive conducted directed toward another employee.
12. Misappropriation or theft of the RTA's funds, including unauthorized use of RTA funds, RTA credit cards and charge accounts for personal use.
13. Copying of any confidential information or records for known or unknown use by others outside the RTA.
14. Bringing to work or displaying any writings, posters, pictures or literature on RTA premises unless authorized in writing by management.
15. Solicitation to customers or other employees for sale of products including cosmetics, kitchenware or other items during business hours. Employees are urged to limit this type of activity to after hours.
16. Violation of RTA policies including breaches of security or trade secret disclosure.
17. Tampering with or in any way falsifying a document or record submitted to the RTA to support any request for benefits, including sick leave, other leaves of absence, or compensation.
18. Tampering with, destroying or in any way falsifying an RTA business record.
19. Any behavior that brings discredit to the RTA.
20. Absence of two or more days without authorization.
21. Failure to pass a drug test administered pursuant to the established RTA drug testing policy.
22. Punching another employee's time card.

Section 7.4 Investigation of Employees for Misconduct

The RTA may occasionally find it necessary to investigate employees, where behavior or other relevant circumstances raise questions concerning work performance, reliability, honesty, trustworthiness, or potential threat to the safety of coworkers or others. Employee investigations may, where appropriate, include credit reports and investigations of criminal records (including appropriate inquiries about any arrest for a crime of dishonesty, theft, drugs or violence) and for which the employee is out on bail or awaiting trial. Employees subject to an investigation are required to cooperate with the RTA's lawful efforts to obtain relevant information.

The purpose of the investigation is to discover the underlying reasons for the problem so that management can take corrective action. Investigations are a tool for management to use in analyzing the reasons for problems or gathering data to make management decisions.

7.4.1 Reports or Complaints of Misconduct:

The RTA will also investigate any possible fraudulent or dishonest use or misuse of RTA resources or property by management or employees, or other misconduct. Anyone found to

have engaged in a fraudulent or dishonest conduct is subject to disciplinary action by the RTA up to and including termination of employment. The RTA also may pursue civil or criminal prosecution when warranted.

7.4.2 Policy Against Retaliation for Reporting:

The RTA will not retaliate against any employee who makes a report or complaint in good faith, believing the allegations to be true, whether or not the ultimate investigation substantiates the perceived misconduct.

7.4.3 Duties of Employees Participating in Investigations:

Any employee who participates in an official RTA investigation, whether as reporting/complaining party or as independent witness, is required to provide truthful, good faith information that is within your personal knowledge. Violations of this policy may result in discipline, up to and including termination. Providing false information, when substantiated, will result in automatic termination.

7.4.4 Policy Against Baseless Allegations:

Any employee who makes allegations with reckless disregard for their truth or falsity, as determined by a neutral investigation, may be subject to disciplinary action and /or legal claims by individuals accused of misconduct.

7.4.5 Compliance with Policies and Procedures

RTA employees shall be in compliance with all rules, regulations, policies and procedures, orders, bulletins, and instructions provided by the RTA. Ignorance on the aforementioned will not be accepted as a valid reason for failing to comply.

Section 7.5 Notice of Change in Employment Status

When there is a change of employment status, whether termination, leave of absence, or switching from an employee to independent contractor relationship, the RTA will provide you with a written notice on RTA letterhead providing (a) your name, (b) the type of change in employment status, and (c) the effective date of the change. The RTA is not required to specify the reason for the employment status change.

If the change in status is because the RTA has terminated, laid off, or placed an employee on a leave of absence, then the RTA shall provide to the employee a copy of the Employment Development Department pamphlet DE 2320, "For Your Benefit, California's Program for the Unemployed".

Section 7.6 Exit Interview

Upon separation from the RTA, every employee will be asked to participate in an exit interview. This gives both the employee and the RTA an opportunity to discuss the reasons the employee is leaving and the employment relationship. Management is always anxious to receive constructive comments on its business operations and the satisfaction of employees. The exit interview provides this opportunity.

EMPLOYEE ACKNOWLEDGEMENT

I have received my copy of the RTA Employee Policies and Procedures Handbook. I understand and agree that it is my responsibility to read and familiarize myself with the policies and procedures including the Harassment Policy contained in the Handbook.

I understand that, any and all policies or practices can be changed at any time by the RTA. The RTA reserves the right to change my hours, wages, and working conditions at any time. I understand and agree that other than the RTA Executive Director, no manager, supervisor, or representative of the RTA has the authority to enter into any agreement, express or implied, for employment for any specific period of time, or to make any agreement for employment other than at-will; only the RTA Executive Director has the authority to make any such agreement and then only in writing, signed by the RTA Executive Director.

I understand and agree that nothing in the Handbook creates or is intended to create a promise or representation of continued employment and that employment at the RTA is employment at-will: employment may be terminated at the will of either the RTA or myself. My signature certifies that I understand that the foregoing agreement on at-will status is the sole and entire agreement between the RTA and myself concerning the duration of my employment and the circumstances under which my employment may be terminated. It supersedes all prior agreements, understandings, and representations concerning my employment with the RTA.

Any information that I learn about the RTA or its representatives as a result of working for the RTA that is not otherwise publicly available constitutes confidential information. I may not disclose confidential information to anyone who is not employed by the RTA or to other persons employed by the RTA who do not need to know such information to assist in rendering services. The disclosure, distribution, electronic transmission or copying of the RTA's confidential information is prohibited. Any employee who discloses confidential RTA information will be subject to disciplinary action (including possible termination), even if he or she does not actually benefit from the disclosure of such information. I understand the above policy and pledge not to disclose confidential information.

Employee's Signature

Date

Objective: To bring together employees from each department in a non-adversarial, cooperative effort to promote safety, communicate concerns and submit suggestions in all areas at Regional Transit Authority (RTA)/ South County Transit (SCT) and for all employees.

Employee Suggestion Committee:

1. The Safety Resource Committee is made up of department representatives. The committee is chaired by the Safety & Training Manager or designee. Representatives typically serve for one year. The director/manager/lead supervisor makes appointments of the representatives from their department. Bus Operators and Mechanics may apply based on established criteria; or qualified applicants may be selected by a random draw.

The members are:

- Operations Manager
- Safety & Training Manager
- Maintenance & Facilities Manager or designee
- Maintenance Supervisor
- South County Transit (SoCo) Supervisor
- SoCo Bus Operator
- RTA Bus Operator
- RTA Operations Supervisor
- RTA Paratransit Operator
- Administrative employee
- Transit Instructor

2. The committee regularly meets bi-monthly on the first Tuesday at 9 AM at a location determined by the Safety & Training Manager or designee. If any member is unable to attend a scheduled meeting, they should notify their supervisor so that an alternate may be sent in their place.
3. One week prior to each meeting the Safety & Training Manager or designee, will send a reminder to all committee members as to the date and time of the next meeting.
4. The Safety & Training Manager or designee will prepare and make copies of an agenda and make copies of the previous meeting minutes to bring to each meeting. A template of the agenda and Word documents of all previous meeting minutes are stored on the public G drive/ folder/ Safety Resource Committee.
5. The Safety & Training Manager or designee will chair the meeting by ensuring: attendance is taken, previous meeting minutes are reviewed and updated, each member is allowed to introduce new items, results of any inspections and/or inspections performed the previous month are reviewed. The committee is updated on any follow-up items and the focus of the meeting stays on the topic of safety, communicated concerns and submitted suggestions or health. The Safety & Training Manager will also attempt to ensure meetings do not last longer than 1 hour.
6. At the conclusion of each meeting, the Safety & Training Manager or designee shall thank the members for their participation.
7. Within 2 weeks after each meeting the Safety & Training Manager or designee will prepare the minutes of the meeting, send a draft to all committee members by e-mail or hard copies placed in employee mail slots, and allow 1 week for comments, corrections and suggestions. After the review period, the minutes shall be e-mailed to all RTA/SCT employees and hard copies shall be posted in areas where employees normally gather.
8. Following each meeting the Safety & Training Manager or designee will address or coordinate with the representative(s) all items needing follow-up prior to the next scheduled meeting.

9. Prior to newly appointed representatives attending their first committee meeting, they will meet with the Safety & Training Manager or designee for an introductory meeting.

10. Suggestion Form Routing:

South County Transit (SoCo) and Paso Transportation Satellite Locations)

- a) Suggestions go to the Satellite Office Supervisor (unless operator needs HR confidentiality)
- b) The Satellite Office Supervisor sends the Suggestion Form to the Safety & Training Manager or designee
- c) Satellite Office Supervisor (and/or team) takes timely action (ASAP)
- d) Satellite Office Supervisor writes response for Department Manager (s) review if needed
- e) Satellite Office Supervisor issues response to employee submitting the Suggestion Form
- f) Provide a respectful follow through which tells our employees they make a difference and we care about safety and their concerns

RTA

- a) Suggestions go to Safety & Training Manager or designee (unless operator needs HR confidentiality)
- b) Safety & Training Manager or designee logs the suggestion
- c) Safety & Training Manager or designee sends copies to the appropriate department
- d) Team (department) takes timely action (ASAP)
- e) Team (department) leader writes response and gets it reviewed
- f) Provide a respectful follow through which tells our employees they make a difference and we care about safety and their concerns.

Employee Suggestions

RTA and SoCo co-workers are encouraged to submit suggestions about ways to improve the company. Suggestions regarding Operations, Safety, Security, Maintenance, Facilities, Training, Scheduling, Marketing, Human Resources or any other areas of concern are welcome. Please make your suggestions/feedback as specific as possible. For example, if you have a run time adjustment, include the route, direction, bus stops, times etc.

Please turn in the form to the RTA Manager of Safety & Training or your location's Supervisor. It can also be sealed in an envelope and delivered to Human Resources if the content is confidential.

FEEDBACK:

SUGGESTIONS FOR IMPROVEMENT:

Name: (Optional)

Date:

Return to: Lucas Houston, Transit Training Instructor 541-2228 ext. 1147 fx781-1291 lhouston@slorta.org
Or Kayleigh McLeod/Human Resources Officer/RTA, 179 Cross Street, SLO Ca 93401
kmcleod@slorta.org

Please be aware that the Company forbids retaliation against persons who make complaints under Company policies or participate as witnesses in related investigations. Any person who engages in retaliation against a complainant or witness in this investigation will be subject to disciplinary action or other corrective measures. Injury and Illness Prevention Program (8CCR, Section 3202)



Regional Transit Authority

APPENDIX I

SAFETY ASSESSMENT AND SYSTEM REVIEW

Complete the Safety Assessment and System Review (annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately. If you have additional questions that are relevant to your department specifically, be sure to include those questions.

Completed by: INSERT REVIEWER NAME		Date: INSERT DATE		
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
Safety Policies:	• Are all safety policies up to date and reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a Public Transit Agency Safety Plan (PTASP) or any other System Safety Plan written for the transit system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the Drug and Alcohol Policy current and up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
New Hire Employee Files:	• Was there a structured interview conducted and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the applicant asked the questions relating to previous experience with drug and alcohol testing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is the offer of employment documented in writing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a pre-employment drug screen?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a pre-employment physical exam?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are safety sensitive responsibilities outlined in the job description?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a completed Substance Abuse Policy and Drug Free Workplace Policy Acknowledgement form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is there a Current Policies and Procedures Acknowledgement Form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Post Hire Employee Files:	• Is a current employee roster available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are the employee files maintained by the transit system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do existing employee files contain:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Background check?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Previous employer request form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Verification of current driver's license and CDL?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Current Motor Vehicle Record?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Current copy of physical exam certificate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Signed Substance Abuse Policy Acknowledgement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Drug and Alcohol Testing Record with Chain Of Custody and authorization forms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	➢ Record of annual supervisor ride checks and evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SAFETY ASSESSMENT AND SYSTEM REVIEW

Complete the Safety Assessment and System Review (annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately. If you have additional questions that are relevant to your department specifically, be sure to include those questions.

Completed by: INSERT REVIEWER NAME		Date: INSERT DATE		
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
Education and Training:	<ul style="list-style-type: none"> Are operator certifications current and up to date? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Have managers completed Safety Management Systems (SMS) training? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are employees familiar with OSHA topics, including: <ul style="list-style-type: none"> Hazard Communication? Emergency Action Planning? Bloodborne Pathogens? Lockout/Tagout? Personal Protective Equipment (PPE)? Injury Prevention Planning? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Have all safety sensitive employees received Drug and Alcohol Training? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do new mechanics receive classroom training? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do existing mechanics receive ongoing training? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety Meetings:	<ul style="list-style-type: none"> Is there an active Safety Committee at the transit agency? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are safety meetings held on a regular basis? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are safety meetings and sign in sheets documented, with publically posted agendas and minutes? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do senior managers attend safety meetings? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do vehicle operators attend safety meetings? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Do mechanics attend safety meetings? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Incident and Accident Investigation Procedures:	<ul style="list-style-type: none"> Are policies in place dictating which incidents are reported and which are not? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are incident report forms kept on board the vehicle? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are accident reports completed for all situations? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> Are incident/accident reports used as pre-accident training material? 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Regional Transit Authority

APPENDIX I

SAFETY ASSESSMENT AND SYSTEM REVIEW

Complete the Safety Assessment and System Review (annually) to identify potential safety hazards. It is imperative that the individual completing this review is honest and assures that all information is accurate and correct. Data collected from this assessment will guide resource allocation and focus priority needs appropriately. If you have additional questions that are relevant to your department specifically, be sure to include those questions.

Completed by: INSERT REVIEWER NAME		Date: INSERT DATE		
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
	• Are incident/accident reports used as post-accident training material?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident/accident reports used to identify potential hazards and analyzed in a Risk Assessment Matrix (RAM)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are complaint forms kept on all vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all operators provided with safety vests on their vehicles?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are incident/accident photos taken?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substance Abuse:	• Is there a current and updated Drug and Alcohol Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Do all staff members understand the Drug and Alcohol Policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is random testing being completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is reasonable suspicion testing being completed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Facility and Shop Inspections:	• Are monthly facility inspections conducted as scheduled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are facility inspection forms completed properly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are unsafe conditions or acts, corrected regarding the facility and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are fire extinguishers up to date with annual servicing requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are fire extinguishers inspected on a monthly basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are routing inspections of the fire extinguishers documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are eye wash stations available with unobstructed access?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are eye wash stations inspected on a scheduled basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is machine guarding in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are batteries stored safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are all containers marked with the contents clearly identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are floors clear of tripping hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are hazardous materials stored safely?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are emergency exits clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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Completed by: INSERT REVIEWER NAME	Date: INSERT DATE
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
	• Are lights out?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are jack stands available for use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are jack stands used whenever a vehicle is elevated on a lift?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a lock out tag out program in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asset Management (Vehicles):	• Is a current and updated list of vehicles readily available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is all maintenance activity completed on vehicles tracked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Is a regular maintenance schedule written and followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are work order forms, service order forms and parts requested documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are vehicle inspection forms completed on a regular basis and available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are maintenance issues analyzed and used to forecast future vehicle needs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are maintenance issues analyzed and used to identify potential hazards and evaluated in a Risk Assessment Matrix (RAM)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are pre-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	• Are post-trip inspection forms completed daily?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:



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Completed by: INSERT REVIEWER NAME	Date: INSERT DATE
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SECTION	REVIEW QUESTIONS	YES	NO	N/A
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