

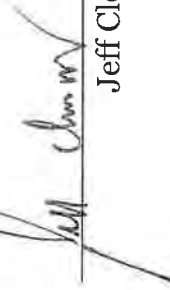
# CONGRATULATIONS ON YOUR RETIREMENT

## Troy Screws

May the blessings of good health, the joy of good friends, a loving family  
and the contentment of a job well done fill your life with happiness!

Best wishes from all of your colleagues and friends at

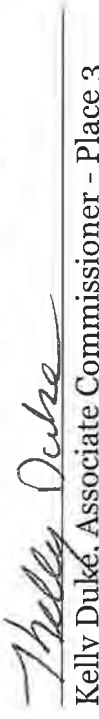
### CULLMAN COUNTY COMMISSION



Jeff Clemons, Chairman



Kerry Watson, Associate Commissioner - Place 1



Kelly Duke, Associate Commissioner - Place 3



Garry Marchman, Associate Commissioner - Place 2



Corey Freeman, Associate Commissioner - Place 4

October 1996 – July 2023

**CULLMAN COUNTY COMMISSION**  
**RESOLUTION #2023-32**

**WHEREAS**, the Cullman County Commission has elected to apply for a CDBG Competitive Grant from ADECA's Community Development Block Grant Program to reconstruct and resurface County Road 1490.

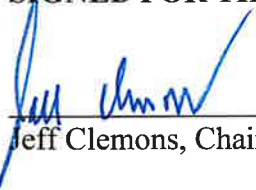
**THEREFORE**, be it resolved by the County Commission of Cullman County, Alabama, as follow:

**THAT, JEFF CLEMONS, CHAIRMAN**, is hereby authorized to execute and submit an application with appropriate assurances to the State of Alabama, Department of Economic and Community Affairs, requesting Fiscal Year 2023 Community Development Block Grant (CDBG) Funds in the amount of **\$500,000.00** to construct the above referenced road improvements; and

**THAT, THE CULLMAN COUNTY COMMISSION** will provide a local cash match of \$67,372.71 in support of the construction phase of this project and the County Street Department will provide all engineering design and inspection services required to implement the above referenced project.

**READ AND ADOPTED** this the **18th** day of **July 2023**.

**SIGNED FOR THE CULLMAN COUNTY COMMISSION:**

  
\_\_\_\_\_  
Jeff Clemons, Chairman

Attest:

  
\_\_\_\_\_  
County Clerk

**CULLMAN COUNTY COMMISSION  
RESOLUTION 2023-33**

**WHEREAS**, the Cullman County Commission plans to apply for a Community Development Block Grant that will benefit the citizens of Cullman County Road 1490;

**WHEREAS**, in accordance with federal regulations, the Cullman County Commission has solicited and received proposals from qualified grant administrative firms to provide grant administrative services required to implement the approved state grant projects in accordance with federal regulations;

**NOW, THEREFORE**, be it resolved that the Cullman County Commission has evaluated the administrative proposals received and has selected Community Consultants, Incorporated to provide all grant administrative services required to implement all approved state grant projects in accordance with all applicable federal regulations; and

**THAT**, the Cullman County Commission authorizes Community Consultants, Incorporated to, in the event the application is approved by the state funding agency, the Chairman, be and is hereby authorized to enter into a contract with Community Consultants, Incorporated to provide all project administrative services required to implement the above-referenced project in accordance with the approved administrative fee scale commensurate with the scope of services required to discharge all project administrative responsibilities associated with this project adequately.

**READ AND ADOPTED** this the **18th** day of **July 2023**.

**CULLMAN COUNTY COMMISSION:**

By: \_\_\_\_\_

  
Chairman

**Attest:**

  
County Administrator

CERTIFICATE OF INCORPORATION  
OF  
THE SOLID WASTE DISPOSAL AUTHORITY OF  
THE CITY AND COUNTY OF CULLMAN, ALABAMA

JULY 25, 2023

KNOW ALL MEN BY THESE PRESENTS:

That the undersigned, in order to form a public corporation as a solid waste disposal authority pursuant to the provisions of Chapter 89A of Title 11 of the Code of Alabama 1975, do hereby file for record this certificate of incorporation on the date and year first above written:

ARTICLE ONE

DEFINITIONS

For purposes hereof:

**Authority** means The Solid Waste Disposal Authority of the City and County of Cullman, Alabama.

**Bylaws** means the Bylaws of the Authority as at any time in effect.

**City** means the City of Cullman, Alabama.

**County** means the County of Cullman, Alabama.

**Determining Subdivisions** means collectively the City and the County.

**Enabling Law** means Chapter 89A of Title 11 of the Code of Alabama 1975.

STATE OF ALABAMA, CULLMAN, COUNTY  
I, Tammy Brown, Judge of the Probate Court of Cullman County  
Alabama, do hereby certify this document is a true and correct  
copy of the document as filed in this office as the same bears date.  
The Probate Office does not attest to the contents or validity of  
said document.

Witness by official seal this  
day of

26  
JULY 2023  
Tammy Brown  
Judge of Probate

**ARTICLE TWO**

**INCORPORATORS**

The names of the undersigned persons forming the Authority, each of whom is over the age of 21 years and is a duly qualified elector of the County, are set forth under the respective signatures thereof on this Certificate of Incorporation.

**ARTICLE THREE**

**NAME OF AUTHORITY**

The name of the Authority shall be "The Solid Waste Disposal Authority of the City and County of Cullman, Alabama."

A certificate by the Secretary of State of the State of Alabama stating that the name proposed for the Authority is not identical to that of any other corporation organized under the laws of the State of Alabama or so nearly similar thereto as to lead to confusion and uncertainty is attached hereto as Exhibit A and made a part hereof.

**ARTICLE FOUR**

**DURATION**

The period for the duration of the Authority shall be perpetual, subject to the provisions of the Enabling Law.

## ARTICLE FIVE

### DETERMINING SUBDIVISIONS

The determining subdivisions are the City and the County.

On July 18, 2023, the governing body of the County adopted a resolution and order approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit B and made a part hereof.

On July 24, 2023, the governing body of the City adopted a resolution approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit C and made a part hereof.

## ARTICLE SIX

### PRINCIPAL OFFICE

The location of the principal office of the Authority (and its post office address) shall be:

2805 Alabama Highway 69 South  
Cullman, Alabama 35057

## ARTICLE SEVEN

### ENABLING LAW

The Authority is organized pursuant to the Enabling Law.

## ARTICLE EIGHT

### POWERS

The Authority shall have and may exercise all authority and powers conferred on corporations of like nature by the Enabling Law and all other powers conferred upon corporations generally by the laws of Alabama not in conflict with the Enabling Law, provided the exercise of any of such powers may be subject to the prior approval by resolution of each of the Determining Subdivisions as provided in the Bylaws.

## ARTICLE NINE

### BOARD OF DIRECTORS

The Authority shall be governed, and all powers of the Authority shall be exercised, by a board of directors or pursuant to its authorization.

The Determining Subdivisions must appoint or elect not less than a majority of the members of the board of directors of the Authority.

The board of directors of the Authority shall consist of a total number of five (5) persons, each of whom shall be assigned a specific numbered place on the board of directors and shall be appointed for the term applicable to such place, subject to the operation of the Enabling Law with respect to the officers of the Determining Subdivisions, as follows:

1. The Director for Place One shall be appointed by the governing body of the County for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
2. The Director for Place Two shall be appointed by the governing body of the City for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
3. The Director for Place Three shall be appointed by the governing body of the County for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
4. The Director for Place Four shall be appointed by the governing body of the City for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
5. The Director for Place Five shall be appointed by the Directors holding Place One, Place Two, Place Three and Place Four for an initial term of six (6) years and each successor thereof for a term of six (6) years.

Any officer of the City, and any officer of the County, may serve as a member of the board of directors until the first to expire of the term applicable to the place on the board of directors to which such officer is appointed or the tenure of such officer.

## ARTICLE TEN

### TITLE TO PROPERTY UPON DISSOLUTION

Upon dissolution of the Authority as provided by the Enabling Law, title to all property (real, personal and mixed) of the Authority shall pass to and be vested in the Determining Subdivisions as tenants in common.

## ARTICLE ELEVEN

### BYLAWS

The Authority may adopt and amend the Bylaws from time to time pursuant to the Enabling Law and with the prior approval by resolution of each of the Determining Subdivisions.

## ARTICLE TWELVE

### NONPROFIT CORPORATION

The Authority shall be a nonprofit corporation and no part of the net earnings thereof remaining after payment of its expenses shall inure to the benefit of any individual, firm or corporation, or any other governmental entity or nongovernmental entity (whether or not organized for profit); provided, the Authority may distribute the net earnings thereof to the Determining Subdivisions as provided in the Enabling Law and the Bylaws.



IN WITNESS WHEREOF, each of the undersigned incorporators has signed this certificate of incorporation on the date and year of the respective acknowledgement thereof.



/s/

Name: Woody Jacobs



/s/

Name: John W. Cook

/s/

Name: Clarence J. Clemons

/s/

Name: Corey N. Freeman

IN WITNESS WHEREOF, each of the undersigned incorporators has signed this certificate of incorporation on the date and year of the respective acknowledgement thereof.

/s/ \_\_\_\_\_

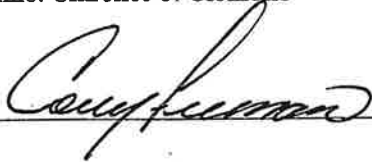
Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/  \_\_\_\_\_

Name: Clarence J. Clemons

/s/  \_\_\_\_\_

Name: Corey N. Freeman

STATE OF ALABAMA

CULLMAN COUNTY

The undersigned, a notary public in and for said County in said State, do hereby certify that Woody Jacobs, whose name is signed to the foregoing Certificate of Incorporation and who is known to me, acknowledged before me on this day that, being informed of the contents of the foregoing Certificate of Incorporation, he executed the same voluntarily.

Given under my hand and official seal, this July 24<sup>th</sup>, 2023.

Wesley A. Moore  
Notary Public



STATE OF ALABAMA

CULLMAN COUNTY

The undersigned, a notary public in and for said County in said State, do hereby certify that John W. Cook, whose name is signed to the foregoing Certificate of Incorporation and who is known to me, acknowledged before me on this day that, being informed of the contents of the foregoing Certificate of Incorporation, he executed the same voluntarily.

Given under my hand and official seal, this July 24<sup>th</sup>, 2023.

Wesley A. Moore  
Notary Public



My commission expires: 3-15-27

STATE OF ALABAMA

CULLMAN COUNTY

The undersigned, a notary public in and for said County in said State, do hereby certify that Clarence J. Clemons, whose name is signed to the foregoing Certificate of Incorporation and who is known to me, acknowledged before me on this day that, being informed of the contents of the foregoing Certificate of Incorporation, he executed the same voluntarily.

Given under my hand and official seal, this July 24, 2023.



Francis Montgomery  
Notary Public

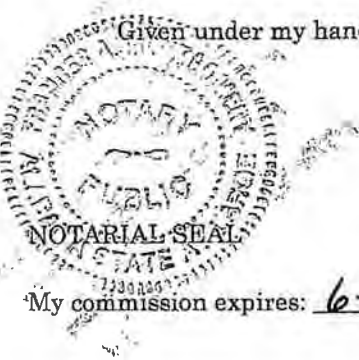
My commission expires: 6-23-2026

STATE OF ALABAMA

CULLMAN COUNTY

The undersigned, a notary public in and for said County in said State, do hereby certify that Corey N. Freeman, whose name is signed to the foregoing Certificate of Incorporation and who is known to me, acknowledged before me on this day that, being informed of the contents of the foregoing Certificate of Incorporation, he executed the same voluntarily.

Given under my hand and official seal, this July 24, 2023.



*Francis Montgomery*  
Notary Public

My commission expires: 6-23-2026

Exhibit A

Certificate of Secretary of State of State of Alabama

WES ALLEN  
SECRETARY OF STATE

ALABAMA STATE CAPITOL  
MONTGOMERY, AL 36130

# STATE OF ALABAMA

I, Wes Allen, Secretary of State of the State of Alabama, having custody of the Great and Principal Seal of said State, do hereby certify that

Pursuant to the Provisions of Title 10A, Chapter 1, Article 5, Code of Alabama 1975, and upon examination of the entity records on file in this office, the following entity name is not identical to that of any other corporation organized under the laws of the state or so nearly similar thereto as to lead to confusion and uncertainty in accordance with Alabama Code section 11-89A-4(c)(iii) and is reserved as available: **The Solid Waste Disposal Authority of the City and County of Cullman, Alabama.** This name reservation is for the exclusive use of Heyward C. Hosch, 1901 Sixth Avenue North, Suite 1700, Birmingham, Alabama 35203 for a period of one year beginning July 6, 2023 and expiring July 6, 2024.



In Testimony Whereof, I have hereunto set my hand and affixed the Great Seal of the State, at the Capitol, in the City of Montgomery, on this day.

July 6, 2023

Date

Handwritten signature of Wes Allen in black ink.

Wes Allen

Secretary of State



Exhibit B

Authorizing Resolution of Cullman County, Alabama

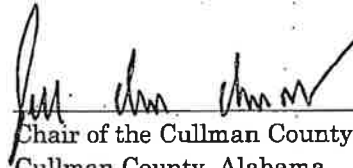
**CERTIFICATE OF CULLMAN COUNTY COMMISSION**

July 26, 2023

**Proceedings for Authorization  
of  
Formation of The Solid Waste Disposal Authority of the City and County of Cullman,  
Alabama**

I, the undersigned, do hereby certify that (1) I am the duly elected, qualified and acting Chairman of the Cullman County Commission of Cullman County, Alabama (the "Commission"); (2) as Chair of the Commission I have access to all original records of the Commission and I am duly authorized to make certified copies of its records on its behalf; (3) the attached pages constitute a complete, verbatim and compared copy of proceedings of the Commission duly had and taken during the regular meeting thereof held on July 18, 2023 pursuant to notice thereof having been given as provided by law, and with a quorum present and acting for the duration of such meeting; and (4) the resolution and order set forth in such proceedings is a true, correct and complete copy thereof which is in full force and effect without amendment or repeal, in whole or in part, thereof.

IN WITNESS WHEREOF, I have hereunto set my hand as Chair of the Commission and have affixed the official seal of the Commission, on the date and year set forth above.



Chair of the Cullman County Commission of  
Cullman County, Alabama

**MINUTES OF A REGULAR MEETING  
OF  
THE CULLMAN COUNTY COMMISSION**

---

The Cullman County Commission, as governing body of Cullman County, Alabama, held a regular meeting at the offices of the Commission at the Cullman County Courthouse in the City of Cullman, Alabama at 6:00 p.m. on July 18, 2023.

The following were present at the meeting:

Present:        Jeff Clemons, Chair  
                  Kerry Watson  
                  Garry Marchman  
                  Kelly Duke  
                  Corey Freeman

Absent:         None

The Chair stated the meeting was open for business with quorum present.

Thereupon the following resolution and order was introduced in writing by the Chairman, duly seconded, and considered by the Commission:

**RESOLUTION AND ORDER 2023-35**

**A RESOLUTION AND ORDER TO APPROVE AN APPLICATION FOR, AND TO AUTHORIZE, THE FORMATION OF:**

**THE SOLID WASTE DISPOSAL AUTHORITY OF THE CITY AND COUNTY OF CULLMAN, ALABAMA.**

---

**BE IT RESOLVED AND ORDERED BY THE CULLMAN COUNTY COMMISSION, AS GOVERNING BODY OF CULLMAN COUNTY, ALABAMA:**

**ARTICLE 1**

**Definitions**

---

For purposes hereof:

**Applicants** means collectively the natural persons signatory to the Application.

**Application** means the Application filed with the Commission pursuant to the Authorizing Act for formation of the Authority in form and of content as attached hereto as Appendix A.

**Authority** means The Solid Waste Disposal Authority of the City and County of Cullman, Alabama, proposed to be formed as a public corporation pursuant to the Authorizing Act.

**Authorizing Act** means Chapter 89A of Title 11 of the Code of Alabama 1975.

**Certificate of Incorporation** means the proposed Certificate of Incorporation of the Authority in form and of content as attached to the Application.

**Commission** means the Cullman County Commission, as governing body of the County.

**County** means Cullman County, Alabama.

## ARTICLE 2

### Representations

---

The Commission, upon evidence duly presented to and considered by it, has found and determined, and does hereby find, determine and declare as follows:

- (a) The Applicants are natural persons each of whom is over the age of 21 years and is a duly qualified elector of the County.
- (b) The Application has been duly executed by the Applicants and properly filed with the Commission as provided by the Authorizing Act.
- (c) The Certificate of Incorporation is attached to the Application.
- (d) The Commission has reviewed the contents of the Application and the Certificate of Incorporation.
- (e) The Commission has determined, and declares, that it is wise, expedient and necessary that the Authority be formed as a public corporation pursuant to the Authorizing Act.

## ARTICLE 3

### Approval; Authorization; and Ratification

---

- (a) The Commission approves the form and content of the Certificate of Incorporation.
- (b) The Commission authorizes the Applicants to proceed to form the Authority by the filing for record of the Certificate of Incorporation in accordance with the Authorizing Act.
- (c) The Commission ratifies and confirms all prior action taken, and all certificates, documents, petitions, proceedings and public notices delivered, by or on behalf of the Commission in furtherance of the transactions herein authorized.

**ARTICLE 4**  
**Approval; Authorization; and Ratification**

---

The Commission elect and appoints and elects the following named persons as directors of the Authority Alabama, for the term of office ending on the date set opposite the name thereof or on such date as the respective successor thereof is elected and qualified:

| Place | Name                | Date of End of Term |
|-------|---------------------|---------------------|
|       |                     |                     |
| One   | Clarence J. Clemons | 2025                |
|       |                     |                     |
| Three | Corey N. Freeman    | 2027                |

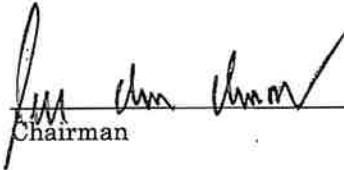
**ARTICLE 5**

**Effect of Resolution and Order**

---

The Commission authorizes this Resolution and Order to take effect immediately and repeals any provision of any resolution, order, ordinance, or proceeding of the Commission to the extent of any conflict or inconsistency thereof with the provisions of this Resolution and Order.

The foregoing Resolution and Order is adopted on this 18th day of July 2023.

  
Chairman

SEAL

Attest:

  
County Clerk

Appendix A

Application



APPLICATION FOR AUTHORITY TO INCORPORATE  
A SOLID WASTE DISPOSAL AUTHORITY

---

JULY 17, 2023

---

TO THE GOVERNING BODIES OF CULLMAN COUNTY, ALABAMA, AND THE CITY OF CULLMAN, ALABAMA:

We, the undersigned natural persons, each of whom is over the age of 21 years, make application to form a solid waste disposal authority pursuant to Chapter 89A of Title 11 of the Code of Alabama 1975 (the "Enabling Law") and file this Application:


1. This application is filed with the governing body of:
  - (a) Cullman County, Alabama; and
  - (b) the City of Cullman, Alabama.
2. The applicants propose to incorporate an authority pursuant to the provisions of the Enabling Law.
3. The proposed location of the principal office of the authority (and its post office address) shall be:

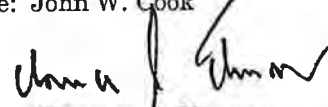
2805 Alabama Highway 69 South  
Cullman, Alabama 35057


4. Each of the applicants is a duly qualified elector of Cullman County, Alabama or the City of Cullman, Alabama.
5. The proposed certificate of incorporation of the authority is attached hereto as Appendix A and by this reference thereto is incorporated into, and made a part of, this application.
5. The applicants request that the governing body of Cullman County, Alabama, and the governing body of the City of Cullman, Alabama, each adopt a resolution declaring that it is wise, expedient, and necessary that the proposed authority be formed, approving its certificate of incorporation and authorizing the applicants to proceed to form the proposed authority by the filing for record of a certificate of incorporation in accordance with the provisions of Section 11-89A-4 of the Enabling Law.

IN WITNESS WHEREOF, each of the undersigned have executed this Application, under seal, on  
and as of the date and year first above written.

  
/s/ Woody Jacobs  
Name: Woody Jacobs

  
/s/ John W. Cook  
Name: John W. Cook

  
/s/ Clarence J. Clemons  
Name: Clarence J. Clemons

  
/s/ Corey N. Freeman  
Name: Corey N. Freeman

APPENDIX A

Proposed Certificate of Incorporation



**CERTIFICATE OF INCORPORATION  
OF  
THE SOLID WASTE DISPOSAL AUTHORITY OF  
THE CITY AND COUNTY OF CULLMAN, ALABAMA**

\_\_\_\_\_, 2023

KNOW ALL MEN BY THESE PRESENTS:

That the undersigned, in order to form a public corporation as a solid waste disposal authority pursuant to the provisions of Chapter 89A of Title 11 of the Code of Alabama 1975, do hereby file for record this certificate of incorporation on the date and year first above written:

**ARTICLE ONE**

**DEFINITIONS**

For purposes hereof:

**Authority** means The Solid Waste Disposal Authority of the City and County of Cullman, Alabama.

**Bylaws** means the Bylaws of the Authority as at any time in effect.

**City** means the City of Cullman, Alabama.

**County** means the County of Cullman, Alabama.

**Determining Subdivisions** means collectively the City and the County.

**Enabling Law** means Chapter 89A of Title 11 of the Code of Alabama 1975.

**ARTICLE TWO**

**INCORPORATORS**

The names of the undersigned persons forming the Authority, each of whom is over the age of 21 years and is a duly qualified elector of the County, are set forth under the respective signatures thereof on this Certificate of Incorporation.

**ARTICLE THREE**

**NAME OF AUTHORITY**

The name of the Authority shall be "The Solid Waste Disposal Authority of the City and County of Cullman, Alabama."

A certificate by the Secretary of State of the State of Alabama stating that the name proposed for the Authority is not identical to that of any other corporation organized under the laws of the State of Alabama or so nearly similar thereto as to lead to confusion and uncertainty is attached hereto as Exhibit A and made a part hereof.

**ARTICLE FOUR**

**DURATION**

The period for the duration of the Authority shall be perpetual, subject to the provisions of the Enabling Law.

**ARTICLE FIVE**

**DETERMINING SUBDIVISIONS**

The determining subdivisions are the City and the County.

On July 18, 2023, the governing body of the County adopted a resolution and order approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit B and made a part hereof.

On July \_\_, 2023, the governing body of the City adopted a resolution approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit C and made a part hereof.

**ARTICLE SIX**

**PRINCIPAL OFFICE**

The location of the principal office of the Authority (and its post office address) shall be:

2805 Alabama Highway 69 South  
Cullman, Alabama 35057

**ARTICLE SEVEN**

**ENABLING LAW**

The Authority is organized pursuant to the Enabling Law.

## ARTICLE EIGHT

### POWERS

The Authority shall have and may exercise all authority and powers conferred on corporations of like nature by the Enabling Law and all other powers conferred upon corporations generally by the laws of Alabama not in conflict with the Enabling Law, provided the exercise of any of such powers may be subject to the prior approval by resolution of each of the Determining Subdivisions as provided in the Bylaws.

## ARTICLE NINE

### BOARD OF DIRECTORS

The Authority shall be governed, and all powers of the Authority shall be exercised, by a board of directors or pursuant to its authorization.

The Determining Subdivisions must appoint or elect not less than a majority of the members of the board of directors of the Authority.

The board of directors of the Authority shall consist of a total number of five (5) persons, each of whom shall be assigned a specific numbered place on the board of directors and shall be appointed for the term applicable to such place, subject to the operation of the Enabling Law with respect to the officers of the Determining Subdivisions, as follows:

1. The Director for Place One shall be appointed by the governing body of the County for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
2. The Director for Place Two shall be appointed by the governing body of the City for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
3. The Director for Place Three shall be appointed by the governing body of the County for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
4. The Director for Place Four shall be appointed by the governing body of the City for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
5. The Director for Place Five shall be appointed by the Directors holding Place One, Place Two, Place Three and Place Four for an initial term of six (6) years and each successor thereof for a term of six (6) years.

Any officer of the City, and any officer of the County, may serve as a member of the board of directors until the first to expire of the term applicable to the place on the board of directors to which such officer is appointed or the tenure of such officer.



## ARTICLE TEN

### TITLE TO PROPERTY UPON DISSOLUTION

Upon dissolution of the Authority as provided by the Enabling Law, title to all property (real, personal and mixed) of the Authority shall pass to and be vested in the Determining Subdivisions as tenants in common.

## ARTICLE ELEVEN

### BYLAWS

The Authority may adopt and amend the Bylaws from time to time pursuant to the Enabling Law and with the prior approval by resolution of each of the Determining Subdivisions.

## ARTICLE TWELVE

### NONPROFIT CORPORATION

The Authority shall be a nonprofit corporation and no part of the net earnings thereof remaining after payment of its expenses shall inure to the benefit of any individual, firm or corporation, or any other governmental entity or nongovernmental entity (whether or not organized for profit); provided, the Authority may distribute the net earnings thereof to the Determining Subdivisions as provided in the Enabling Law and the Bylaws.

IN WITNESS WHEREOF, each of the undersigned incorporators has signed this certificate of incorporation on the date and year of the respective acknowledgement thereof.

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: Clarence J. Clemons

/s/ \_\_\_\_\_

Name: Corey N. Freeman

After said Resolution had been discussed and considered in full by the Commission, it was moved by Commissioner Duke that the Resolution and Order be now placed upon its final passage and adopted. The motion was seconded by Commissioner Freeman.

The question being put as to the adoption of said motion and the final passage and adoption of the Resolution, the roll was called with the following results:

Ayes:           Jeff Clemons, Chair  
                  Kerry Watson  
                  Kelly Duke  
                  Corey Freeman

Nays:           Garry Marchman

The Chairman thereupon declared said motion carried and the Resolution passed and Order and adopted as introduced and read and in evidence thereof executed the Resolution and Order as Chair.

Exhibit C

Authorizing Resolution of the City of Cullman, Alabama

**CERTIFICATE OF CITY OF CULLMAN, ALABAMA**

July 25, 2023

**Proceedings for Authorization  
and Formation of  
The Solid Waste Disposal Authority of the City and County of Cullman, Alabama  
and  
Appointment of Members of Board of Directors**

I, the undersigned, do hereby certify that (1) I am the duly appointed City Clerk of the City of Cullman, Alabama (the "City"); (2) as City Clerk, I have access to all original records of the City Council of the City (the "Council") and I am duly authorized to make certified copies of its records on behalf of the Council and on behalf of the City; (3) the attached pages constitute a complete, verbatim and compared copy of proceedings of the Council duly had and taken during the regular meeting thereof held on July 24, 2023 pursuant to notice thereof having been given as provided by law, and with a quorum present and acting for the duration of such meeting; and (4) the resolution set forth in such proceedings is a true, correct and complete copy thereof which is in full force and effect without amendment or repeal, in whole or in part, thereof.

IN WITNESS WHEREOF, I have hereunto set my hand as City Clerk of the City, and have affixed the official seal of the City, on the date and year set forth above.

[S E A L]



*Wesley A. Moore*  
City Clerk of the City of Cullman, Alabama

**MINUTES OF A REGULAR MEETING  
OF  
THE CITY COUNCIL OF THE CITY OF CULLMAN**

---

The Mayor and City Council of the City of Cullman, Alabama, met in regular session in Cullman, Alabama, in the City Hall Auditorium at Cullman City Hall on July 24, 2023, at 7:00 o'clock, p.m. The following members were present at the meeting:

| <b>Present:</b>                 | <b>Absent:</b> |
|---------------------------------|----------------|
| Jenny Folsom, Council President | None           |
| John W. Cook                    |                |
| David Moss, Jr.                 |                |
| Clint Hollingsworth             |                |
| Brad Smith                      |                |

Council President Folsom acted as the presiding officer of the meeting. Wes Moore, City Clerk, acted as secretary of the meeting. The said presiding officer declared that a quorum was present and that the meeting was open for the transaction of business.

\* \* \*

The following resolution was then introduced to the meeting:

**RESOLUTION NO. 2023-57**

**A RESOLUTION TO APPROVE AN APPLICATION FOR  
AND TO AUTHORIZE THE FORMATION OF  
THE SOLID WASTE DISPOSAL AUTHORITY  
OF THE CITY AND COUNTY OF CULLMAN, ALABAMA  
AND TO APPOINT  
MEMBERS OF THE BOARD OF DIRECTORS OF THE SAID AUTHORITY**

---

**BE IT RESOLVED** by the Mayor and City Council (the "City Council") of the City of Cullman, Alabama (the "City") as follows:

**ARTICLE 1  
Certain Defined Terms**

---

For purposes hereof:

**Applicants** means collectively the natural persons signatory to the Application.

**Application** means the Application filed with the City pursuant to the Authorizing Act for formation of the Authority in form and of content as attached hereto as Appendix A.

**Authority** means The Solid Waste Disposal Authority of the City and County of Cullman, Alabama, proposed to be formed as a public corporation pursuant to the Authorizing Act.

**Authorizing Act** means Chapter 89A of Title 11 of the Code of Alabama 1975, as amended.

**Certificate of Incorporation** means the proposed Certificate of Incorporation of the Authority in form and of content as attached to the Application.

**ARTICLE 2  
Representations**

---

The Council, upon evidence duly presented to and considered by it, has found and determined, and does hereby find, determine and declare as follows:

(a) The Applicants are natural persons, each of whom is over the age of 21 years and is a duly qualified elector of the City.

(b) The Application has been duly executed by the Applicants and properly filed with the Council as provided by the Authorizing Act.

(c) The Certificate of Incorporation is attached to the Application.

(d) The Council has reviewed the contents of the Application and the Certificate of Incorporation.

(e) The Council has determined, and declares, that it is wise, expedient and necessary that the Authority be formed as a public corporation pursuant to the Authorizing Act.

**ARTICLE 3**  
**Approval; Authorization; and Ratification**

---

(a) The Council hereby approves the form and content of the Certificate of Incorporation.

(b) The Council authorizes the Applicants to proceed to form the Authority by the filing for record of the Certificate of Incorporation in accordance with the Authorizing Act including, without limitation, Section 11-89A-4 thereof.

(c) The Council ratifies and confirms all prior action taken, and all certificates, documents, petitions, proceedings and public notices delivered, by or on behalf of the Council or the City in furtherance of the matters herein authorized.

**ARTICLE 4**  
**Election and Appointment of Directors to Authority**

---

The Council does hereby elect and appoint the following named persons as directors of the Authority, for the term of office ending on the date set opposite the name thereof or on such date as the respective successor thereof is elected and qualified:

| <b>Place</b> | <b>Name</b>  | <b>Year of End of Term</b> |
|--------------|--------------|----------------------------|
| Two          | Johnny Cook  | 2025                       |
| Four         | Woody Jacobs | 2027                       |

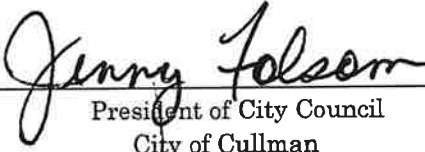
**ARTICLE 5**  
**Effect of Resolution**

---


The Council authorizes this Resolution to take effect immediately and repeals any provision of any resolution, order, ordinance, or proceeding of the City to the extent of any conflict or inconsistency thereof with the provisions of this Resolution.



Adopted and approved this 24<sup>th</sup> day of July, 2023.

  
\_\_\_\_\_  
President of City Council  
City of Cullman

Adopted and approved this 24<sup>th</sup> day of July, 2023.

  
\_\_\_\_\_  
Mayor  
City of Cullman

**Appendix A**  
**Application**

**APPLICATION FOR AUTHORITY TO INCORPORATE  
A SOLID WASTE DISPOSAL AUTHORITY**

---

**JULY 17, 2023**

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TO THE GOVERNING BODIES OF CULLMAN COUNTY, ALABAMA, AND THE CITY OF CULLMAN, ALABAMA:

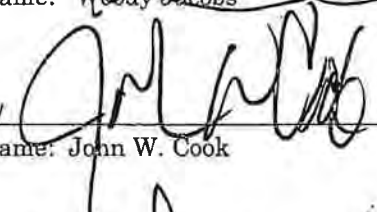
We, the undersigned natural persons, each of whom is over the age of 21 years, make application to form a solid waste disposal authority pursuant to Chapter 89A of Title 11 of the Code of Alabama 1975 (the "Enabling Law") and file this Application:

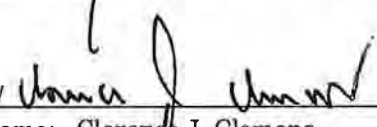
1. This application is filed with the governing body of:
  - (a) Cullman County, Alabama; and
  - (b) the City of Cullman, Alabama.
  
2. The applicants propose to incorporate an authority pursuant to the provisions of the Enabling Law.
  
3. The proposed location of the principal office of the authority (and its post office address) shall be:

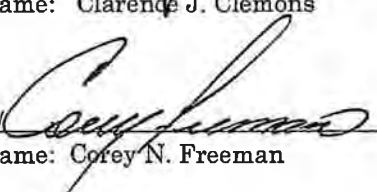
2805 Alabama Highway 69 South  
Cullman, Alabama 35057
  
4. Each of the applicants is a duly qualified elector of Cullman County, Alabama or the City of Cullman, Alabama.
  
5. The proposed certificate of incorporation of the authority is attached hereto as Appendix A and by this reference thereto is incorporated into, and made a part of, this application.
  
5. The applicants request that the governing body of Cullman County, Alabama, and the governing body of the City of Cullman, Alabama, each adopt a resolution declaring that it is wise, expedient, and necessary that the proposed authority be formed, approving its certificate of incorporation and authorizing the applicants to proceed to form the proposed authority by the filing for record of a certificate of incorporation in accordance with the provisions of Section 11-89A-4 of the Enabling Law.

IN WITNESS WHEREOF, each of the undersigned have executed this Application, under seal, on and as of the date and year first above written.

  
/s/ \_\_\_\_\_  
Name: Woody Jacobs

  
/s/ \_\_\_\_\_  
Name: John W. Cook

  
/s/ \_\_\_\_\_  
Name: Clarence J. Clemons

  
/s/ \_\_\_\_\_  
Name: Corey N. Freeman

**APPENDIX A**  
**Proposed Certificate of Incorporation**

CERTIFICATE OF INCORPORATION  
OF  
THE SOLID WASTE DISPOSAL AUTHORITY OF  
THE CITY AND COUNTY OF CULLMAN, ALABAMA

\_\_\_\_\_, 2023

KNOW ALL MEN BY THESE PRESENTS:

That the undersigned, in order to form a public corporation as a solid waste disposal authority pursuant to the provisions of Chapter 89A of Title 11 of the Code of Alabama 1975, do hereby file for record this certificate of incorporation on the date and year first above written:

**ARTICLE ONE**

**DEFINITIONS**

For purposes hereof:

**Authority** means The Solid Waste Disposal Authority of the City and County of Cullman, Alabama.

**Bylaws** means the Bylaws of the Authority as at any time in effect.

**City** means the City of Cullman, Alabama.

**County** means the County of Cullman, Alabama.

**Determining Subdivisions** means collectively the City and the County.

**Enabling Law** means Chapter 89A of Title 11 of the Code of Alabama 1975.

**ARTICLE TWO**

**INCORPORATORS**

The names of the undersigned persons forming the Authority, each of whom is over the age of 21 years and is a duly qualified elector of the County, are set forth under the respective signatures thereof on this Certificate of Incorporation.

**ARTICLE THREE**

**NAME OF AUTHORITY**

The name of the Authority shall be "The Solid Waste Disposal Authority of the City and County of Cullman, Alabama."

A certificate by the Secretary of State of the State of Alabama stating that the name proposed for the Authority is not identical to that of any other corporation organized under the laws of the State of Alabama or so nearly similar thereto as to lead to confusion and uncertainty is attached hereto as Exhibit A and made a part hereof.

**ARTICLE FOUR**

**DURATION**

The period for the duration of the Authority shall be perpetual, subject to the provisions of the Enabling Law.

**ARTICLE FIVE**

**DETERMINING SUBDIVISIONS**

The determining subdivisions are the City and the County.

On July 18, 2023, the governing body of the County adopted a resolution and order approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit B and made a part hereof.

On July 24, 2023, the governing body of the City adopted a resolution approving and authorizing the incorporation of the Authority in accordance with the Enabling Law, a certified copy of which is attached hereto as Exhibit C and made a part hereof.

**ARTICLE SIX**

**PRINCIPAL OFFICE**

The location of the principal office of the Authority (and its post office address) shall be:

2805 Alabama Highway 69 South  
Cullman, Alabama 35057

**ARTICLE SEVEN**

**ENABLING LAW**

The Authority is organized pursuant to the Enabling Law.

**ARTICLE EIGHT**

**POWERS**

The Authority shall have and may exercise all authority and powers conferred on corporations of like nature by the Enabling Law and all other powers conferred upon corporations generally by the laws of Alabama not in conflict with the Enabling Law, provided the exercise of any of such powers may be subject to the prior approval by resolution of each of the Determining Subdivisions as provided in the Bylaws.

**ARTICLE NINE**

**BOARD OF DIRECTORS**

The Authority shall be governed, and all powers of the Authority shall be exercised, by a board of directors or pursuant to its authorization.

The Determining Subdivisions must appoint or elect not less than a majority of the members of the board of directors of the Authority.

The board of directors of the Authority shall consist of a total number of five (5) persons, each of whom shall be assigned a specific numbered place on the board of directors and shall be appointed

for the term applicable to such place, subject to the operation of the Enabling Law with respect to the officers of the Determining Subdivisions, as follows:

1. The Director for Place One shall be appointed by the governing body of the County for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
2. The Director for Place Two shall be appointed by the governing body of the City for an initial term of two (2) years, and each successor thereof for a term of six (6) years.
3. The Director for Place Three shall be appointed by the governing body of the County for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
4. The Director for Place Four shall be appointed by the governing body of the City for an initial term of four (4) years, and each successor thereof for a term of six (6) years.
5. The Director for Place Five shall be appointed by the Directors holding Place One, Place Two, Place Three and Place Four for an initial term of six (6) years and each successor thereof for a term of six (6) years.

Any officer of the City, and any officer of the County, may serve as a member of the board of directors until the first to expire of the term applicable to the place on the board of directors to which such officer is appointed or the tenure of such officer.

#### **ARTICLE TEN**

##### **TITLE TO PROPERTY UPON DISSOLUTION**

Upon dissolution of the Authority as provided by the Enabling Law, title to all property (real, personal and mixed) of the Authority shall pass to and be vested in the Determining Subdivisions as tenants in common.

#### **ARTICLE ELEVEN**

##### **BYLAWS**

The Authority may adopt and amend the Bylaws from time to time pursuant to the Enabling Law and with the prior approval by resolution of each of the Determining Subdivisions.

#### **ARTICLE TWELVE**

##### **NONPROFIT CORPORATION**

The Authority shall be a nonprofit corporation and no part of the net earnings thereof remaining after payment of its expenses shall inure to the benefit of any individual, firm or corporation, or any

other governmental entity or nongovernmental entity (whether or not organized for profit); provided, the Authority may distribute the net earnings thereof to the Determining Subdivisions as provided in the Enabling Law and the Bylaws.

IN WITNESS WHEREOF, each of the undersigned incorporators has signed this certificate of incorporation on the date and year of the respective acknowledgement thereof.

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: \_\_\_\_\_

/s/ \_\_\_\_\_

Name: \_\_\_\_\_



After said Resolution had been discussed and considered in full by the Council, it was moved by Council Member David Moss that the Resolution be now placed upon its final passage and adopted. The motion was seconded by Council Member Brad Smith.

The question being put as to the adoption of said motion and the final passage and adoption of the Resolution, the roll was called with the following results:

| <b>Ayes:</b>        | <b>Abstentions:</b> | <b>Nays:</b> |
|---------------------|---------------------|--------------|
| Jenny Folsom        | John W. Cook        | None         |
| David Moss, Jr.     |                     |              |
| Clint Hollingsworth |                     |              |
| Brad Smith          |                     |              |

Council President Folsom, as presiding officer of the meeting, thereupon declared said motion carried and the Resolution was passed and approved by the Council.

\* \* \*

There being no further business to come before the meeting, it was moved and seconded that the meeting be adjourned. Motion carried.

**MEMORANDUM OF EXECUTIVE APPROVAL**

To: All Employees, Volunteers, and Contractors  
From: Jeff Clemons, Chairman Cullman County Commission  
Date: September 18, 2023  
Subject: System Safety Security and Emergency Preparedness Program

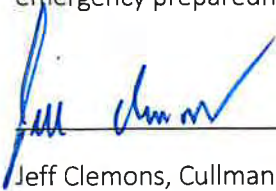
It is the objective of Cullman Area Rural Transportation System (Agency), to provide safe, secure, and reliable service for its passengers and employees. To demonstrate our commitment, the Agency has developed this Safety, Security and Emergency Preparedness Plan (SSEPP).

The Agency has a sincere concern for the welfare and safety of its employees (and volunteers and contractors) as well as the public it serves. The operation and maintenance of the Agency requires a continual emphasis on security, from the procurement of new systems and equipment, through the hiring and training of employees, to the management of the agency and the provision of service. The security function must be supported by an effective capability for emergency response, both to support the resolution of those incidents that occur on transit property and those events that affect the surrounding community served by the Agency.

This SSEPP describes the policies, procedures, and requirements to be followed by management, maintenance, and operating personnel to provide a secure environment for agency employees, volunteers, and contractors, and to support community emergency response. All personnel are expected and required to adhere to the policies, procedures, and requirements established herein and to perform security-related functions properly and diligently as a condition of employment or support for the Agency.

The Agency management will provide leadership in promoting safety, security, and emergency preparedness throughout the organization. The Executive and Staff will be continually and directly involved in formulating, reviewing, and revising safety, security, and emergency preparedness policies, goals, and objectives. Each Agency employee, volunteer, and contractor is governed by the requirements and terms of this Plan and must conscientiously learn and follow prescribed security and emergency rules and procedures. Each employee must operate safely, use equipment, tools, and materials properly, and be trained in the work rules and procedures for his/her areas of responsibility, including contingency plans for abnormal and emergency conditions. Each employee shall take an active part in the identification and resolution of security concerns.

Supervisors shall actively participate in all activities regarding safety, security, and emergency preparedness; shall fully cooperate with the policies and objectives specified in this Plan; and shall receive the full cooperation and support of executive management in their activities for improved security and emergency preparedness.

  
\_\_\_\_\_  
Jeff Clemons, Cullman County Commission Chairman

7/18/23  
\_\_\_\_\_  
Date



## ALABAMA DEPARTMENT OF TRANSPORTATION

### Local Transportation Bureau

1409 Coliseum Blvd., Montgomery, Alabama 36110-2060  
Phone: (334) 242-6207 FAX: (334) 353-6550  
Internet: <http://www.dot.state.al.us>



Kay Ivey  
Governor

John R. Cooper  
Transportation Director

August 30, 2023

Ms. Joyce Echols, Director  
Cullman County Commission  
P.O. Box 2518  
Cullman, AL 35056-2518

**SUBJECT: Safe, Security, and Emergency Preparedness Plan (SSEPP)**

Dear Ms. Echols:

The Alabama Department of Transportation has completed its review of the Cullman County Commission Public Transportation's Transit Safety, Security, and Emergency Preparedness Plan. The plan meets the program requirements and is hereby approved.

If you have any questions, please contact Wiley Brooks at (334) 242-6767.

Sincerely,

Bradley B. Lindsey, P.E.  
State Local Transportation Engineer

BBL:WB:cr  
CC: Agency's file

TRANSIT SAFETY, SECURITY, &  
EMERGENCY PREPAREDNESS PLAN

Cullman Area Rural Transportation System

07/18/2023

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## PREFACE

Community transportation systems operate in a wide variety of environments. These systems include fixed-route, shared ride, paratransit, and specialized service for the public, as well as high-risk passengers such as individuals with disabilities, the elderly, and young children.

The aftermath of the terrorist attacks on September 11, 2001, and the transit attacks in Madrid and London, heightened transit security concerns for the Federal Transit Administration (FTA), state Departments of Transportation, and local community transportation providers. The destruction wrought by Hurricanes Katrina, Harvey, and other acts of nature has renewed national awareness of the role that public transportation can play as a first responder resource. The recent COVID-19 pandemic highlighted serious health concerns and the role of transit and response during heightened transmission and recovery.

Transit systems in the United States – whether a large fixed-route bus service or a small rural provider – are asked to designate safety, security, and emergency preparedness as a top priority, and to prepare for the wide array of critical incidents faced by transit.

Critical Incidents may include accidents, natural disasters, disease outbreaks, sabotage, civil unrest, hazardous materials spills, criminal activity, or acts of terrorism. Regardless of the cause, critical incidents require swift, decisive action to protect life, information, and property. Stabilization of critical incidents before resuming regular service or activities is essential, and successful resolution typically requires cooperative efforts by a variety of responding agencies.

To establish the importance of safety, security, and emergency preparedness in all aspects of our organization, Cullman Area Rural Transportation System (hereafter referred to as Agency) has developed this Safety, Security, & Emergency Preparedness Plan (SSEPP). This SSEPP outlines the process used by the Agency to make informed decisions appropriate for our operations, passengers, employees, and communities regarding the development and implementation of a comprehensive security and emergency preparedness program.

As a result of this plan, the Agency achieves not only an effective physical security program but enhances our associations with the local public safety agencies in our service area. Improved communication increases awareness of our resources and capabilities and improves our readiness to support efforts in managing community-wide emergencies.

To be effective, the activities documented in this SSEPP focus on establishing responsibilities for safety, security, and emergency preparedness, identifying our methodology for documenting, and analyzing potential safety, security, and emergency preparedness issues, and developing the management system to track and monitor our progress in addressing these issues.

# 1. INTRODUCTION

## 1.1 Authority

The authority for implementing the Transit Safety, Security, & Emergency Preparedness Plan (SSEPP) resides with the Cullman Area Rural Transportation System (Agency), Joyce Echols, Transit Director, and the Cullman County Commission.

## 1.2 Purpose

The purpose of the SSEPP is to optimize the level of protection afforded to the Agency's passengers, employees, volunteers, contractors, and any other individuals who encounter the system, both during normal operations and under emergency conditions, within the constraints of time, cost, and operational effectiveness.

The SSEPP offers a valuable tool to support the efforts of the Agency managers to address system safety and security questions and mitigate and manage emergency events that cannot be prevented. The Federal Transit Administration (FTA) defines system security and emergency preparedness as follows:

**SYSTEM SECURITY:** The application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective uses of available resources.

**EMERGENCY PREPAREDNESS:** A uniform basis for operating policies and procedures for mobilizing public transportation systems and other public safety resources to assure rapid, controlled, and predictable responses to various types of transportation and community emergencies.

The SSEPP supports the Agency's efforts to address and resolve critical incidents within its service area. Critical incidents may include accidents, natural disasters, sabotage, civil unrest, hazardous materials spills, criminal activity, or acts of terrorism. Regardless of the cause, critical incidents require swift, decisive action to protect life, information, and property. Stabilization of critical incidents before resuming regular service or activities is essential, and successful resolution typically requires cooperative efforts by a variety of responding agencies.



This SSEPP demonstrates the Agency's commitment to the following:

- PREPARE
  - Identify assets essential to our mission
  - Identify key threats facing our agency and our community
  - Coordinate with other emergency response organizations
- PREVENT
  - Take steps to eliminate threats where possible
  - Institute policies and procedures to reduce the likelihood of incidents occurring
  - Take steps that reduce the impact on system assets when incidents do occur
- RESPOND
  - React quickly and decisively to critical incidents based on the protection of self, protection of others, protection of resources, and stabilization of the incident.
- RECOVER
  - Resume service delivery based on the availability of resources
  - Repair and replace critical assets
  - Assess incident response actions
  - Adapt plan based on lessons learned

### 1.3 Goals

The SSEPP provides the Agency with safety, security, and emergency preparedness capability that will:

1. Ensure safety, security, and emergency preparedness are addressed during all phases of system operation including hiring and training of personnel, procurement and maintenance of equipment, development of policies and procedures, and coordination with local emergency management and first responder agencies.
2. Create an agency culture that supports employee safety and security through the appropriate use and operation of equipment and resources.
3. Promote analysis tools and methodologies that identify changing threat conditions and bolster agency response capabilities.
4. Ensure our Agency achieves a level of security performance and emergency readiness that meets or exceeds the operating experience of similarly sized agencies.
5. Make every effort to ensure, if confronted with a safety or security event or major emergency, our personnel will respond effectively, use good judgment, and build on best practices identified in policies and procedures and exercised through drills and training.

### 1.4 Objectives

In this new environment, not every threat can be identified and eliminated, but the Agency takes steps for greater awareness, better protection of passengers, employees, facilities, and equipment, and stands ready to support community needs in response to a critical incident. To this end, our SSEPP has five objectives:

1. Achieve a level of security performance and emergency readiness that meets or exceeds the operating experience of similarly sized agencies in the country.
2. Strengthen community involvement and participation in the safety and security of our system.

3. Develop and implement a risk assessment to establish a course of action for improving safety and security measures and emergency response capabilities.
4. Expand our training program for employees, volunteers, and contractors to address safety and security awareness and emergency management concerns.
5. Enhance our coordination with partner agencies regarding safety, security, and emergency preparedness issues.

## **1.5 Definitions**

In this SSEPP, the terms “transit vehicle” or “bus” are used to describe all types of transit surface conveyances including sedans, minivans, vans, body-on-chassis, mini-buses, and a wide range of full-size coaches.

## 2. TRANSIT SYSTEM OVERVIEW

### 2.1 System Description

#### 2.1.1 *Organizational Description*

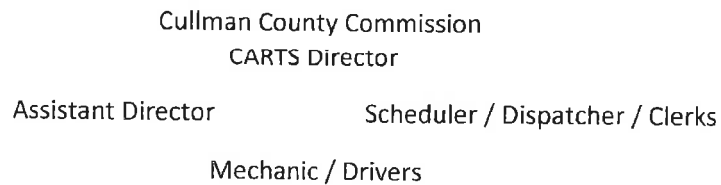
Our goal is to provide transportation for citizens, improve the quality of life for senior and special needs citizens through access mobility, as well as the general public. The goal of CARTS is to provide safe and affordable public transit to all citizens of Cullman County while emphasizing the needs to our senior, disabled, special needs and low-income citizens; plus, provide transit assistance to workers and students. Public transit is a means of eliminating vehicles on our congested roads and highways while reducing the hazardous emissions into our environment.

Public transit is critical for our economic development and workforce development through developing commuter routes and assisting with major events and festivals throughout our County.

#### 2.1.2 *Mission Statement*

It is the mission of the CARTS program to offer safe, affordable and reliable transportation to the citizens of Cullman County in order to help promote a strong economy, protect our environment, conserve energy and enhance lives. We strive to provide the citizens of Cullman County prolonged independent living; remaining in their own home as long as possible.

#### 2.1.3 *Organizational Structure*



#### **2.1.4 Service Area**

Cullman County is located in the North Central part of Alabama. The north side boundaries are Morgan and Marshall Counties. The east side boundaries are Marshall and Blount Counties. The south side boundaries are Blount and Walker Counties. The west side boundaries are Winston and Laurence Counties. Other municipalities include: Baileyton, Colony, Dodge City, Fairview, Garden City, Good Hope, Hanceville, Holly Pond, South Vinemont and West Point.

#### **2.1.5 Service Design**

CARTS is the Public Transportation provider for Cullman County residents; providing medical trips, shopping trips, trips to employment, and other various transit trips. The Cullman Area Rural Transportation System proposed to provide demand/response service to all of Cullman County. Demand/response services include the following: shopping routes, appointments, (i.e. dialysis, doctors, rehab and personal). We also propose to provide service through ALDOT approved third party contracts.

#### **2.1.6 Funding Sources**

CARTS obtains funding from Federal Funding through ALDOT and Local funding from the Cullman County Commission.

#### **2.1.7 Vehicles and Facilities**

CARTS has 38 buses, etc. that we provide transportation services with. Our property is totally fenced with a locked gate for security.

### **2.2 System Capability**

An understanding of the system's safety, security, and emergency preparedness capability are essential to acknowledge areas of strength and opportunities for improvement. Agency personnel have completed a Capabilities Assessment to review the level of safety, security, and emergency preparedness of current operations. The results from the Capabilities Assessment will identify the current baseline regarding safety, security, and emergency preparedness activities. A completed Capabilities Assessment is provided in *Section 8.1*.

### **2.3 SSEPP Roles and Responsibilities**

#### **2.3.1 Philosophy**

Agency makes all efforts to ensure that, if confronted with a safety or security event or major emergency, Agency personnel will respond effectively, use good judgment, ensure due diligence, and build on best practices as stated in Agency rules and procedures and exercised through drills and training.

This level of proficiency requires the establishment of formal mechanisms to be used by all Agency personnel to identify safety or security threats and vulnerabilities associated with Agency operations and to develop controls to eliminate or minimize them. The SSEPP also requires the Agency to:

- Coordinate with local law enforcement and other public safety agencies to manage the response to any incident that occurs on a transit vehicle or affects transit operations and
- Identify a process for integrating Agency resources and capabilities into the community response effort to support the management of a major safety or security event affecting the community.

Agency management expects all employees, volunteers, and contractors, especially those working directly with passengers, to support the SSEPP.

### **2.3.2 Division of Responsibilities**

#### ***All Personnel***

Agency personnel understand and adopt their specific roles and responsibilities, as identified in the SSEPP, thereby increasing their safety and security and that of their passengers during normal operations and in emergency conditions.

Agency personnel should carry out the following responsibilities during an incident:

- Become familiar with and operate within all security and emergency preparedness procedures for assigned work activity,
- Use proper judgment and follow crisis management guidelines when managing dangerous passengers and potentially volatile situations,
- Report all suspicious activity to the Transit Director or their designee,
- Notify the Transit Director or their designee of any physical or mental condition or required medications or therapies that may impair an employee's ability to perform security or emergency preparedness functions,
- Report all security incidents immediately, and
- Participate in security and emergency preparedness training, including drills and exercises.

#### ***Specific Job Function Responsibilities***

The following job roles within the Agency have defined responsibilities relevant to safety and security concerns. A detailed list of Key Personnel and SSEPP Responsibilities is provided in *Section 8.2*.

- Transit Director
- Managers/Supervisors
- Dispatcher/Scheduler
- Mechanics
- Administrative/Communications Staff
- Drivers
- All Employees

### 3. THREAT AND VULNERABILITY

A threat is any action with the potential to cause harm in the form of death, injury, destruction of property, interruption of operations, or denial of services. A vulnerability is anything that can make an agency more susceptible to a threat including vulnerabilities in safety/security procedures and practices involving transit facilities, transit equipment, and transit staff.

The Agency used historical data, incident reports, and information from federal and state agencies and local law enforcement to identify threats to and vulnerabilities of the system. Additional data sources included employee comment/concern statements, staff meeting notes, bus maintenance reports, passenger comments, statistical reports, risk management reports, and marketing surveys.

The Agency has conducted a threat and vulnerability assessment, an analytical process to evaluate the likelihood a specific threat will endanger the system. This assessment includes an asset analysis, threat identification, scenario-based risk assessment, and countermeasure recommendations. This process will help the Agency identify critical assets, list threats, prioritize these threats, and develop countermeasures to address the top 15 threats to the system.

#### 3.1 Asset Analysis

In security terms, assets are defined as:

**PEOPLE:** Passengers, employees, visitors, contractors, vendors, community members, and others who encounter the system.

**INFORMATION:** Employee and customer information, computer network configurations and passwords, ridership, revenue and service statistics, operating and maintenance procedures, and vehicle identification systems.

**PROPERTY:** Revenue and non-revenue vehicles, storage facilities, passenger facilities, maintenance facilities and equipment, administrative offices, computer systems, and communications equipment.

Assets are critical when their loss either endangers human life or impacts the Agency's ability to maintain service. The Agency reviews assets to determine which have the greatest consequences for the system to sustain service. These critical assets may require higher or special protection.

The Agency conducted an asset analysis of system-wide assets that considered critical to the mission, asset replacement cost, the severity of impact on public health and safety, and impact on other assets including intangible assets such as public trust and employee morale. The results from the asset analysis identified critical assets and will assist Agency management in prioritizing the allocation of limited resources for protecting the most vital elements of its operation. The Asset Analysis is provided in *Section 8.3*.

#### 3.2 Transit System Threats

The Agency has identified the threats below and assigned them to the following categories: accidents and incidents, acts of nature, critical infrastructure, hazardous materials, criminal activity, and terrorism.

**Transit vehicle accident:** Collision with other vehicles, objects, or persons with the potential for damage to people and/or property and the possibility of lawsuits and/or criminal charges.

**Transit passenger incident:** Passenger fall, injury relating to lifting and securement operation, injury before boarding or after alighting, and passenger illness.

**Employee accident and incident:** Injury within the office, on official travel, while maintaining equipment, and on-premises, but not while operating a vehicle for public transport. Such accidents and incidents create the possibility of the loss of workforce, lawsuits, and worker's compensation claims.

**Flood:** Heavy rain, storm surge, rapid snowmelt, ice jam, dam break, or levee failure can cause floods that can result in loss of life, facility damage, hazardous driving conditions, and loss of power and communications. May require the use of transit system assets for evacuation purposes.

**Winter weather:** Snow and ice storms can cause power failures, make roads dangerous or impassable, cause sidewalk hazards, and affect transit service.

**Tornado/hurricane:** High winds can potentially cause flying debris, down trees and/or power lines, make roadways impassable or dangerous, damage facilities or vehicles, and threaten the safety of passengers and employees. May require the use of transit system assets for evacuation purposes.

**Thunderstorm:** May trigger flash flooding, be accompanied by strong winds, hail, or lightning, cause power or communication system outages, damage facilities, and equipment, and make roads dangerous or impassable.

**Wildfire:** Whether natural or human-caused, are particularly dangerous in drought conditions, can reduce visibility, impair air quality, and have the potential to damage facilities, and equipment and make roadways impassable. May require the use of transit system assets for evacuation purposes.

**Earthquake:** Has the potential to extensively damage buildings, water systems, power systems, communications systems, roads, bridges, and other transportation infrastructure. Such events often overwhelm first responder resources. In coastal areas, tsunamis or tidal waves are a potential hazard following major earthquakes and underwater tectonic activity. A transit system's assets may be used for evacuation purposes after damage assessment.

**Landslide/Avalanche:** Has the potential to close roadways, damage vehicles and facilities, and injure employees and passengers.

**Dust storm:** Usually arrives suddenly in the form of an advancing wall of dust and debris which may be miles long and several thousand feet high. Blinding and choking dust can quickly reduce visibility, causing accidents. While dust storms may only last a few minutes, they tend to strike with little warning.

**Epidemic/Pandemic:** Widespread infection across communities or entire countries, affecting the health of transit passengers and employees. Such events may result in significant staffing and ridership shortages, which have long-term effects on the transit economy and operations.

**Power outage:** Whether short or long in duration, can impact the overall ability to operate transit services and limit the functional nature of transit equipment and facilities.

**Computer crash/cyberattack:** Can cause loss of critical data and negatively impact the ability to schedule and dispatch services.

**Communication system failure:** Can have serious effects on the ability to deliver service and maintain employee safety.

**Supply chain interruption:** Transit service is dependent upon a continuous supply of fuel, lubricants, tires, spare parts, tools, etc. Interruption of material supplies due to weather conditions, roadway closures, acts of terrorism, acts of war, or loss of supplier facilities can limit the ability to maintain service.

**Vehicle fire:** Potential to cause injury and death to transit employees and passengers, damage or loss of transit equipment, and the potential for lawsuits.

**Facility loss:** Loss of administrative, maintenance, or operations facilities – whether caused by structural collapse, presence of toxic materials, violation of municipal codes, or significant events on neighboring properties – can hamper the ability to sustain service.

**Structural fire:** Whether natural or human-caused, can threaten employees and customers as well as damage facilities and equipment. Such an event may require the use of transit vehicles for temporary shelter or evacuation purposes.

**Staff shortage:** Can be caused by labor disputes, poor human resource management, or regional employee shortages. It can have immediate impacts on the ability to deliver service and longer-term impacts on facility and equipment resources.

**Employee malfeasance:** Illegal and illicit behavior by agency employees, particularly when in uniform or on duty, can seriously damage intangible assets such as organizational image and employee morale.

**Bloodborne pathogen:** Exposure can put drivers, passengers, maintenance employees, and bus cleaners at risk of contracting disease.

**Toxic material spill:** Toxic materials fall into four basic categories: blister agents such as solvents, cardio-pulmonary agents such as chlorine gas, biological agents such as anthrax, and nerve agents such as Sarin. Low-level exposure to maintenance-related chemicals and vehicle fluids can pose a risk to employees and environmental health.

**Radiological emergency:** May include the accidental release of radioactivity from power plants or materials being transported through the service area by truck or train. Has the potential to cause danger to human life or the need to use transit system assets for evacuation purposes.

**Fuel-related event:** Includes accidental release of natural gas and petroleum, rupture of pipelines, and fire and explosion involving alternative fuel use. Dangers include risk of human life, damage to facilities and vehicles, and events that may require the use of transit system assets for evacuation purposes.



|                   |  |
|-------------------|--|
| CRIMINAL ACTIVITY | <b>Trespassing:</b> Penetration of organizational security system can increase vulnerability to criminal mischief, theft, workplace violence, and terrorist attack   |
|                   | <b>Vandalism/Criminal mischief:</b> Graffiti, slashing, loitering, or other such events that damage buses, bus stops, shelters, transit facilities, and/or organizational image.   |
|                   | <b>Theft and burglary:</b> Loss of assets due to break-ins to facilities and into vehicles, as well as employee theft, can threaten information assets, property assets, and organizational image.   |
|                   | <b>Workplace violence:</b> Assaults by employees on employees, passengers on passengers, and passengers on employees including menacing, battery, sexual assault, and murder.  |
|                   | <b>Commandeered vehicle:</b> The taking of a transit vehicle to perpetrate a crime and the taking of hostages as a negotiating tool. Places the lives of transit employees and passengers at risk.   |
| TERRORISM         | <b>Dangerous mail:</b> Chemical, biological, radiological, and explosive devices delivered through the mail put the lives of transit employees and occupants of transit facilities at risk and have the potential for damage to facilities and equipment.  |
|                   | <b>Suicide bomber:</b> Internationally, transit systems have been common terrorist targets. Transit systems by design are open and accessible, have predictable routines/schedules, and may have access to secure facilities and a wide variety of sites, all of which are major inherent vulnerabilities and make transit an attractive target.   |
|                   | <b>Improvised Explosive Device:</b> Activities may involve the use of conventional weapons and improvised explosive devices or bombs on transit vehicles, within transit facilities, or in the environment of the transit service area, putting the lives of transit employees, passengers, and community members at risk. Such events may require the use of transit vehicles in evacuation activities. |
|                   | <b>Weapon of mass destruction:</b> The use of chemical, biological, or radiological weapons may cause massive loss of life involving the entire community and lead to the destruction of transit vehicles and facilities, as well as require the use of transit vehicles for evacuation purposes.  |

### 3.3 Scenario-Based Risk Assessment

Risk assessment is a method used to identify and analyze the probability and potential impact of each threat scenario. Probability is the likelihood of a threat occurring and is ranked from improbable to frequent. The impact is the severity of the threat and is ranked from negligible to catastrophic. The risk assessment will prioritize the threats facing the agency. The results from the risk assessment will help assess the tolerability of the risk, develop strategies to mitigate the risk, and inform the allocation of resources.

The Agency conducted a risk assessment to determine the probability and degree of impact for each threat identified in [Section 3.2](#). A completed Risk Assessment is provided in [Section 8.4](#).

### 3.4 Countermeasure Recommendations

Countermeasures are strategies to eliminate, mitigate, transfer, and/or accept specific risks to the system. Risk elimination implies changes to equipment, facilities, training, or operational implementation to no longer be exposed to risk (for example, moving the maintenance facilities out of the floodplain). Risk mitigation implies changes in policies or procedures that reduce the likelihood of an event or reduce its impact on critical assets (for example, requiring employees to complete defensive driver training). Risk transference implies that the risk exposure is borne by someone else (for example, acquiring hazard and liability insurance).

Agency staff evaluated the top 15 threat scenarios from the prioritized list produced from the risk assessment in Section 3.3. This evaluation identified risk reduction strategies currently implemented at the Agency and additional strategies that can be implemented. While developing countermeasures, Agency staff brainstormed different countermeasures available to protect an asset and the varying cost or effectiveness of alternative measures. In many cases, there is a point beyond which adding countermeasures will raise costs without appreciably enhancing the protection afforded. A completed Countermeasures Recommendations form is provided in *Section 8.5*.

## 4. PREVENTION STRATEGIES

This section describes the suite of prevention strategies implemented by the Agency. These strategies aim to eliminate, mitigate, transfer, and/or accept specific risks identified in *Section 3.2*.

### 4.1 System Communication

#### 4.1.1 Transit Threat Alert System

The Federal Transit Administration developed a transit *Threat Condition Model* that parallels the Department of Homeland Security's previous color-coded advisory system. The FTA model progresses from green through red to indicate threat levels from low to severe. It also includes purple designating disaster recovery. This model, along with its recommended protective measures, has been adapted for use by the Agency. The Safety/Security Alert System is provided in *Section 8.6*.

#### 4.1.2 Notification Protocol

##### *Internal Contact information*

The Agency maintains accurate and up-to-date internal contact information on key staff and board members required to respond to safety and security emergencies. A completed Internal Contact List is provided in *Section 8.7*.

##### *External Contact Information*

The Agency maintains accurate and up-to-date external contact information on key community emergency management personnel and first responders to be notified in the case of safety and security emergencies. A completed External Contact List is provided in *Section 8.7*.

#### 4.1.3 Emergency Response Team Roster

The Agency maintains an accurate and up-to-date roster that includes contact information of the transit incident management team in advance of any incident. The roster identifies personnel and roles for emergency response. This team is based on the Incident Command System (ICS) discussed in *Section 5.4*. A completed Emergency Response Team Roster is provided in *Section 8.8*.

#### 4.1.4 Succession Plan

The Agency maintains a plan to ensure continuity of management throughout any emergency incident. The succession plan provides an internal chain of command for the automatic delegation of authority in cases where:

- The Emergency Response Coordinator (ERC) or other Agency incident response personnel are no longer able to perform incident-related duties due to injury, illness, exhaustion/rest and/or recuperation.
- A member of the incident response team is temporarily unable to perform incident-related duties due to a loss of radio or phone service.

- Regular members of the agency incident response team are unavailable due to travel (e.g., vacation and professional development).

The succession plan designates the next most senior leader required to manage temporary duties normally assigned to higher-level personnel. A completed Succession Plan is provided in *Section 8.9*.

#### **4.1.5 Radio Communication**

To ensure the safety of our drivers and passengers and to enhance the performance of our operations, all Agency employees are familiar with two-way radio operations. Basic procedures are as follows:

- Staff using the two-way radio will follow the standard use practices of the Federal Communications Commission (FCC). Profanity, abusive language, or other inappropriate transmissions are not allowed and may result in disciplinary action.
- All transmissions will be as brief as possible.
- All base stations and vehicle units shall always be tuned to the appropriate assigned frequency.
- Staff will initiate communications by first stating whom they are calling, followed by who is making the call. After the transmission, both parties will indicate that the transmission is completed by stating their call sign and “clear.”
- Except in the event of an emergency, all staff will listen for five seconds before transmitting to ensure there are no transmissions in progress. Other units’ transmissions will not be interrupted unless it is an emergency.
- When an emergency is declared, all non-emergency transmissions will cease until a supervisor clears the emergency.
- In the event of an emergency, staff will establish communications on the primary frequency and immediately shift to the second frequency. They will state the nature of the emergency and what assistance is required. To ensure appropriate help arrives promptly, staff will transmit the following information as soon as possible:
  - Detailed description of who they are and their location
  - Assistance required
  - Number of passengers involved and the nature of their condition(s)
- Staff not involved with the emergency will stay off the radio. Communications will be between Dispatch and the unit requesting assistance.
- After the initial contact, emergency communications may also take place between a supervisor and the unit, or between Dispatch and a supervisor.

## **4.2 Internal Prevention Strategies**

The Agency has implemented the following strategies within its system. In addition, the FTA developed a benchmark self-assessment tool for the entire transit industry. The Top 20 Security Action Items Checklist helps transit agencies assess their current state of security readiness, identify any gaps, and improve their security posture. The Agency completed the FTA Top 20 Security Action Items Checklist which is provided in *Section 8.10*.

## 4.2.1 Agency Policies and Procedures

### OSHA Requirements

The Agency periodically inspects its facilities and staff working conditions to ensure the Agency is compliant with all applicable Occupational Safety and Health Administration (OSHA) requirements.

### Emergency Operations Policies

The Agency has Operations Policies to address emergency response. Particular attention is given to the following issues:

- **Checking Weather and Other Hazardous Conditions:** Managers are responsible for checking the weather and other reports to ensure it is safe to send vehicles on the road. The designated individual checks this information before each shift and at appropriate intervals, especially if severe weather is expected. Drivers performing their routes continuously assess road conditions, evaluating weather, construction, accidents, and other situations to ensure it is safe to proceed. Every effort is made to avoid sending drivers on routes if it is unsafe to do so. If a condition arises requiring a driver to abort a route, the dispatcher will contact the driver (or the driver will alert the dispatcher), and the dispatcher will provide instructions on how to proceed. A dispatcher log is maintained with a narrative description of what occurs during each shift. This enables the incoming dispatcher to read the previous shift log and know what needs to be tracked, problem areas of concern, or what is going right and wrong. The Agency uses National Weather Service warnings, forecasts, advisories available on The Weather Channel<sup>1</sup>, and weather radios monitored at the dispatch site to track real-time information on the following conditions:

|                                  |                               |                          |
|----------------------------------|-------------------------------|--------------------------|
| Hazardous weather outlooks       | Heavy freezing spray warnings | Gale warnings            |
| Special weather statements       | Dense fog warnings            | Tornado watches/warnings |
| Winter storm watches             | Fire weather forecasts        | Hurricanes               |
| Winter storm warnings            | High wind warnings            | Flood warnings           |
| Snow and blowing snow advisories | High wind watches             | Flood statements         |
| Winter weather advisories        | Wind advisories               | Coastal flood statements |

- **Aborting or Changing Route Due to a Hazard:** As much as possible, the Agency will avoid dispatching vehicles in potentially hazardous conditions. The primary policy during hazardous or emergency events requires the driver to immediately communicate with the dispatcher to describe the situation and awaits instruction. The exception to this policy is if there is a life-threatening situation where the driver must act first and communicate with the Agency dispatcher second. Policies are in place for a range of situations.

Protocol to report unsafe route conditions:

- If the driver notes the hazard, he/she must call the dispatcher, describe the situation, and await further instruction.

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<sup>1</sup> [www.weather.gov](http://www.weather.gov)

- If non-driver staff notes the hazard (e.g., the dispatcher becomes aware that a tornado is approaching), the dispatcher will contact the driver and provide direction.

Response to unsafe route conditions may be as follows:

- To abort the route and locate passengers to the nearest emergency drop point (see policy on emergency drop points)
- To abort the route and return to the Agency (particularly if there are no passengers on the vehicle)
- To drop off some or all passengers at the next stops and then abort the route, following dispatcher instructions (returning to the Agency or using an emergency drop point)

- **Emergency Drop Points:** Pre-existing agreements are in place for drop points. The Agency maintains and reviews a list of drop points every quarter. Emergency drop points are pre-designated safe locations used by drivers to drop off passengers when instructed to do so by the dispatcher or designated backup. In the event of an emergency, the dispatcher contacts the driver and provides instructions about where to drop off passengers and the estimated time to drop them off.

Drop point selection is based on the following factors:

- Staffing (All drop points must be staffed.)
- Geographic distribution
- Physical safety of drop points
- Prioritization of passenger needs based on critical factors (i.e., medical needs of persons in the area, environmental conditions, etc.)
- Availability of on-site personnel to address passenger needs

#### *Drug and Alcohol Policies*

A critical element of the Agency's commitment to safe operations is ensuring that employees are not impaired due to the use of alcohol, illegal drugs, prescription drugs, or over-the-counter medication.

The Agency follows the requirements set forth under 49CFR Part 655 and 49CFR Part 40 amended as mandated by the FTA. The main point is the protection of the riding public and transit employees, and all efforts are geared toward this end. The Agency's drug and alcohol program includes specific policies, procedures, and responsibilities, or references the appropriate master document containing the information.

#### **4.2.2 Employee Training Documentation**

The Agency maintains complete and accurate records of all driver training and certification, as well as the training materials and grading mechanism. Drivers are required to demonstrate skill and performance competency in the type of vehicle to which they are assigned as part of training requirements. Because training transit operations personnel is not a one-time activity, the Agency provides ongoing/recurring training necessary to reinforce policies and procedures as well as to provide a mechanism to brief drivers on new policies, procedures, and/or regulations.

### **4.2.3 Exercises and Drills**

The Agency is committed to assessing its emergency preparedness plans through disaster drills and exercises and participating in community emergency response exercises. This commitment requires the transportation system and community public response agencies to plan and conduct increasingly challenging exercises over time. Implementation of such a program allows the collective community to achieve and maintain competency in executing the transportation component of local emergency response plans.

This program comprises five major exercises, each with a different purpose and requirement. Each step is progressively more sophisticated in nature and will be undertaken in a step-by-step and long-term implementation plan that is integrated into the overall community response.

1. Basic awareness training to familiarize participants with roles, plans, and procedures, and resolve questions of coordination and assignment of responsibilities
2. Operational training to familiarize front-line staff with roles, plans, and procedures, and resolve questions of coordination and assignment of responsibilities.
3. Tabletop exercises that simulate emergencies in an informal, low-stress environment. These exercises are designed to elicit discussion as participants examine and resolve problems based on existing crisis management plans and practical working experience.
4. Drills that test, develop, or maintain skills in a single response procedure (e.g., communications, notification, lockdown, and evacuation procedures). Drills can be managed within the organization, or coordinated with partner agencies, depending upon the drill objective(s). Drills help prepare players for more complex exercises in which several functions are simultaneously coordinated and evaluated.
5. Functional exercises are full-scale simulated incidents that evaluate one or more functions in a time-pressured realistic situation that focuses on policies, procedures, roles, and responsibilities. It includes the mobilization of emergency personnel and the resources appropriate to the scale of the mock incident. Functional exercises measure the operational capability of emergency response management systems in an interactive manner resembling a real emergency as closely as possible.

### **4.2.4 Driver Selection and Training**

Driver selection is critical to the Agency's safe transit operations. The driver of an Agency transit vehicle is directly responsible for the safety of his or her passengers and other drivers that share the road with the transit vehicle. The driver selection criterion addresses specific, safety-related items.

**LICENSING:** Driver is properly licensed, and the license is appropriate for the type of vehicle the driver is assigned. Licensing also considers local authority requirements.

**DRIVING RECORD:** Driver has an acceptable past driving record over a reasonable period of time. The driving record demonstrates an ability to follow traffic rules and regulations and thus avoid accidents.

**PHYSICAL REQUIREMENTS:** Driver is physically able to perform the functions associated with the assignment. These factors include good eyesight with true color perception, good hearing, physical

strength, dexterity to assist disabled passengers (especially in demand responsive/para-transit assignments), or other factors that may be unique to the service area and/or specific driving assignments.

**BACKGROUND CHECKS:** The Agency performs background checks on all employees to protect against hiring personnel with a history of aberrant behavior.

Once qualified candidates are identified and hired, the Agency provides initial and ongoing refresher training critical to ensure proper operations and adherence to the Agency rules and regulations. The Agency understands that proper qualification of operating and maintenance personnel is a vital part of a safe transit environment. Driver training addresses specific safety-related issues appropriate to the type of vehicle and driving assignment. Special consideration is also given to crisis management concerns such as fire and evacuation. Training courses include:

**TRAFFIC REGULATIONS:** Training addresses state and local traffic rules and regulations, traffic signs and signals, and proper vehicle operations (including proper use of hand signals).

**DEFENSIVE DRIVING AND ACCIDENT PREVENTION:** Training stresses defensive driving principles, collision prevention, and concepts of preventable accidents as a measure of defensive driving success. Special attention is given to driving in hazardous conditions.

**TYPE OF VEHICLE IN SERVICE:** Training focuses on the type of vehicle that will be used in service. Significant differences can exist among different bus models and different manufacturers, and equipment may have characteristics that are unique to the service environment.

**BASIC DRIVING MANEUVERS:** Training includes all core driving maneuvers for the type of vehicle in service, including the difficulties in backing maneuvers that can lead to accidents, stopping distance requirements, and equipment-specific functions such as door opening and closing procedures for passenger boarding and alighting.

**CRISIS MANAGEMENT TRAINING:** Training covers emergencies the driver may face while operating the bus. Topics of this training range from breakdowns to accidents to fire/evacuation to managing violent perpetrators. The training includes the following subjects:

- Accidents
- Fire safety
- Securing the vehicle
- Vehicle evacuation
- Ill and injured passengers
- Bloodborne pathogens
- Handling conflict
- Basic crisis management steps
- Transit security

**PASSENGER ASSISTANCE TRAINING:** Training covers topics ranging from general customer service techniques to elderly and disabled sensitivity to technical skills in lift and securement. The training includes the following subjects:

- Understanding passenger needs



- Understanding disabilities
- Americans with Disabilities Act (ADA)
- Communicating with passengers
- Sensitivity to passenger needs
- Mobility devices
- Lifting and body mechanics
- Aiding passengers
- Wheelchair management
- Lift and ramp operations
- Emergency procedures

**FIRST AID:** Training includes triage and procedures, focusing on clearing air passages, controlling bleeding, bloodborne pathogen protection, handling shock victims, and reacting to seizures.

#### **4.2.5 Facilities Readiness**

The Agency continually assesses the physical and procedural security systems and exposures of its facilities. The Agency will consider threats and vulnerabilities previously identified. Conditions affecting facility security change constantly. A facility's contents, layout, operation, staffing, and types of threats may vary with time. Even mundane changes such as overgrown vegetation surrounding a facility's exterior may shield the view of potential intruders thereby lowering security. The Agency reviews security measures periodically, including when facilities or other conditions change significantly.

The Agency also performs the following:

- Updates risk assessments and site surveys
- Evaluates employee and contractor compliance with security procedures
- Determines whether security procedures need modification
- Establishes ongoing testing and maintenance of security systems including access control, intrusion detection, and video surveillance

The Agency gives special attention to:

- Developing and modifying security plans
- Encouraging personnel to maintain a heightened awareness of suspicious activity
- Providing special attention to perimeter security and access control
- Maintaining proactive facility visitor access and control efforts
- Verifying the identity of service and delivery personnel
- Heightening security measures involving buses and other vehicles
- Securing access to utilities, boiler rooms, and other facility maintenance operations
- Examining and enhancing physical security measures related to outside access to HVAC (e.g., heating, ventilation, and air conditioning) systems and utility controls (e.g., electrical, gas, water, phone)
- Securing chemical and cleaning product storage areas and maintaining appropriate records of such items
- Conducting status checks of emergency communication mechanisms
- Implementing information security programs including website access to sensitive information

- Identifying high-risk facilities, organizations, and potential targets in the community surrounding the transit facility
- Using ID badges for all employees for security purposes
- Using surveillance cameras to monitor facilities and/or transit vehicles
- Ensuring adequate lighting for the facility grounds
- Installing fencing or similar barrier around the perimeter of the facility and storage areas
- Developing, reviewing, refining, and testing crisis preparedness procedures

#### **4.2.6 Bus Stop Locations**

When a decision is made to establish a bus stop, the Agency assesses bus stop locations to ensure stops are in the most secure areas possible. Guidelines for this assessment include areas that are highly visible, well-lit, located in populated areas, located away from unsafe areas, and co-located with other activity centers.

#### **4.2.7 Computers**

Computer backups of key financial data, personnel information, dispatch records, and other information are performed regularly to prevent data loss in the event of a system failure or corruption. A data backup solution such as cloud storage is utilized to ensure the recovery of sensitive information.

#### **4.2.8 Vehicle Readiness**

##### *On-Board Safety Equipment*

It is the Agency's policy to maintain fully stocked first aid kits, biohazard cleanup packs, fire suppression equipment, vehicle emergency equipment, and emergency instructions in all vehicles. Batteries for battery-operated equipment will be replaced semi-annually. The assigned driver inspects the vehicle daily for the following emergency supplies and documents results on the pre-trip inspection sheet. In addition, when a mechanic returns a vehicle to service, they ensure the required safety equipment is on the vehicle. Safety equipment includes, but is not limited to, a first aid kit; fire extinguisher, seat belt cutter, bio-hazard kit, triangles, and flashlight.

##### *Driver's Vehicle Checklist*

Agency drivers complete a vehicle pre-trip inspection checklist when placing a vehicle into service. This pre-trip inspection includes:

- Inspecting the vehicle's required safety equipment
- Inspecting vehicle interior to detect unauthorized objects or tampering
- Inspecting interior lights to ensure they are untampered and operational
- Inspecting vehicle undercarriage to detect items taped or attached to the frame
- Inspecting vehicle exterior for unusual scratches or marks made by tools, signs of tampering, unusually clean or dirty compartments, or items attached using magnets or duct tape
- Following established policy governing suspicious packages, devices, or substances to determine if an unattended item or an unknown substance found during inspection is potentially dangerous
- Immediately notifying a supervisor in the case of potentially suspicious package(s) or evidence of tampering (driver should not start or move the vehicle or use electronic means of communication)

### *Mechanic's Vehicle Checklist*

Agency mechanics or contracted mechanics make the following security checks before releasing a vehicle for revenue service:

- Ensure required safety equipment is on the vehicle
- Inspect vehicle interior for unauthorized objects or tampering
- Inspect interior lights to ensure they are untampered and operational
- Inspect vehicle undercarriage for items taped or attached to the frame
- Inspect vehicle exterior for unusual scratches or marks made by tools, signs of tampering, unusually clean or dirty compartments, or items attached using magnets or duct tape
- Inspect the engine compartment and other areas to detect foreign objects or false compartments in the air filter area or the cold oil filter and search for additional wires running to or from the battery compartment while taking note of unusually clean components and devices
- Inspect the fuel and air tanks to detect inconsistent and missing connections

If the mechanic finds an unattended item or an unknown substance while conducting the inspection, the policy on suspicious packages, devices, or substances to determine whether the package is potentially dangerous is followed, and a supervisor is immediately notified.

### *Vehicle Maintenance*

The Agency provides proper maintenance of vehicles and equipment critical to the continued safe operation of the transit system. Unsafe vehicles present unnecessary hazards to the driver, passengers, and other vehicles on the road. Basic vehicle maintenance practices regularly address safety-related vehicle equipment to ensure that no unsafe vehicles are dispatched for service. Safety-related vehicle equipment includes:

- Service brakes and the parking brake
- Tires, wheels, and rims
- Steering mechanism
- Vehicle suspension
- Mirrors and other rear vision devices (e.g., video monitors)
- Lighting and reflectors or reflective markings
- Wheelchair lifts

Most safety-related equipment is inspected during a pre-trip inspection to ensure the vehicle is fit for service. The Agency has established a formal plan to target the maintenance requirements of our vehicles and equipment. The vehicle maintenance plan addresses the following categories:

- Daily servicing needs: These needs relate to fueling as well as checking and maintaining proper fluid levels (e.g., oil, water, etc.), vehicle cleanliness, pre-and post-trip inspections, and maintenance of operational records and procedures.
- Periodic inspection: Inspections are scheduled to provide maintenance personnel with an opportunity to detect and repair damage or wear conditions before major repairs are necessary. Inspection items include suspension elements, leaks, belts, electrical connections, tire wear, and any noticeable problems.

- Interval-related maintenance: This maintenance identifies wear, alignment, or deterioration problems of parts or fluids. Replacement intervals of these items are determined through transit agency experience and manufacturer recommendations.
- Failure maintenance: Regardless of the preventative maintenance activities, in-service failures will occur. When an encountered failure creates unsafe operating conditions, the vehicle is removed from service and returned to the garage for repair.

#### *Vehicle Storage*

When possible, Agency vehicles are stored in a secured and well-lit location.

#### **4.2.9 Safety Data Acquisition/Analysis Procedures**

The Agency analyzes safety and security data to optimize the allocation of finite resources and implement safety program elements. Data on safety-related events (e.g., passenger injuries or claims, passenger complaints, employee injuries, accidents, incidents, EOLs, turnarounds, bus stops, and shelters) is used to determine trends in system operations. The goal is to identify and mitigate hazards before they cause accidents, thus boosting system performance and delivery of service to the riding public.

#### **4.2.10 “Be on the Look Out” Procedures**

The Agency understands its role as the community’s eyes, ears, liability, and general first line of defense. Therefore, it is committed to training and encouraging all employees to “Be on the Look Out” for any suspicious people, activities, vehicles, packages, or substances. Employees are trained to trust their instincts and report suspicious items, vehicles, people, or activities to dispatch/management who will then immediately share this information with the appropriate authorities.

#### *Suspicious Item*

Public transportation systems frequently deal with items left unattended in stations and vehicles. Although these unattended items are rarely linked to explosive devices, they all represent a potential threat and require systematic examination. If an unattended item is deemed unsuspecting, it will be treated as lost property and managed according to agency protocol.

The Agency trains employees to identify items, packages, and devices as suspicious if they meet any of the following criteria:

- Threatening message is attached
- Unusual wires or batteries are visible
- Tanks, bottles, or bags are visible
- Clock or timer is attached.
- Stains, leaks, or powdery residue
- Strange odor, cloud, mist, vapor, or sound emanates from it
- Active attempt has been made to hide it
- Abandoned by someone who quickly leaves the scene
- No one in the immediate area claims it
- Common objects in abnormal locations or uncommon objects in common locations
- Sealed with excessive amounts of tape or string

- Addressed with cut and paste lettering and/or have simple words misspelled
- Lopsided or lumpy in appearance
- Excessive postage attached

Once an item, package, or device is determined to be suspicious, the following steps are taken:

- Item is not touched or moved,
- The area or vehicle is immediately evacuated upwind,
- System management is notified (not using a radio or cell phone within 300 feet), and
- Appropriate action is taken (i.e., notifying of bomb analysis team).

### *Suspicious Vehicle*

The Agency understands that vehicles (e.g., cars, trucks, boats, and bikes) are frequently used in criminal or terrorist attacks. Therefore, Agency employees are trained to be alert to suspicious vehicles in and around their work environment. Employees are told to report vehicles to system management and authorities when they notice any of the following:

- They contain unusual equipment which may be used in a violent act.
- They are overloaded and/or have bulging tires or sagging frames.
- They show signs of forced entry.
- They have altered or makeshift company insignia or license plates.
- They emit unusual odors, leaks, or residues.
- They are in an unauthorized area or near a potential, catastrophic target.

### *Suspicious Person and Activity*

The Agency trains its employees to be aware of suspicious people and activities. Employees are taught to focus on behaviors and not on a person's color, nationality, ethnicity, or religion. Determining what is suspicious is based on 1) where someone is, 2) when he or she is there, and 3) what he or she is doing. Employees are encouraged to trust their judgment based on their experience in the community and transit system, and they typically use a combination of factors to accurately identify a suspicious person or act.

Specific actions of concern that may meet the suspicious reporting threshold include people appearing to be:

- Gathering intelligence
- Running security tests
- Attempting infiltration
- Conducting a dry run/drill
- Deploying assets

The Agency trains employees to determine if a behavior is suspicious based on the following categories:

- Attitude of the person
- Apparel and accessories
- Body language
- Actions in and around crowds
- Reaction to a uniformed presence
- Attention to secure or high-profile locations

### **4.3 External Coordination**

The Agency will proactively coordinate with local emergency management, law enforcement, and other first responders for an integrated response to emergencies and security-related events. The Agency will meet regularly with local emergency management staff, local law enforcement, and other first responders to review local and transit agency emergency plans. These meetings will ensure transit is integrated into these plans and is prepared to play its defined role in an emergency.

#### **4.3.1 Community Emergency Management**

Effective emergency response is the result of planning, training, exercising, and intra/interagency cooperation, coordination, and communication. Integration into the local community's emergency planning process is central to the success of the Agency SSEPP and the preparedness of the system. The Agency coordinates with local community emergency management to fulfill all SSEPP functions including threat mitigation, consequence management planning, exercising, training, and post-incident analysis. A Memorandum of Understanding between the Agency and the Community Emergency Management is provided in *Section 8.11*.

#### **4.3.2 Law Enforcement**

The Agency management regularly works with local and state law enforcement to improve security and emergency/incident preparedness and response capabilities. These activities include:

- Maintaining regular communications with law enforcement
- Meeting at least once a year to ensure transit issues are understood by law enforcement
- Developing an emergency contact list for dispatchers
- Communicating regularly on optimal incident reporting methods that will offer law enforcement all necessary information
- Participating in cooperative emergency preparedness training programs
- Establishing appropriate methods of communication for continuous coordination during an emergency
- Establishing procedures for supplying the unique types of emergency services that may be required in emergencies

#### **4.3.3 Fire Department**

The Agency works with the local fire departments regularly to support improved security and emergency/incident preparedness and response. The following activities are included:

- Maintaining regular communications with fire services
- Establishing the level of service (e.g., equipment and personnel) to be delivered in response to various types of emergencies
- Specifying in advance the level of notification, command and control, and degree of responsibility that will apply on site
- Establishing appropriate methods of communication and developing procedures for continuous coordination and transfer of command
- Providing training for fire department personnel to familiarize them with transit vehicles and equipment, including wheelchair lifts and access/egress procedures

- Conducting periodic drills in cooperation with the fire department
- Scheduling a meeting at least annually to ensure transit issues (e.g., evacuation of transit vehicles and considerations for persons with disabilities) are understood by fire officials
- Identifying any special tools and equipment the firefighters might need to address transit emergencies (particularly items that they would not normally possess)
- Inviting firefighters to visit the Agency annually and walking them through transit vehicles and facilities
- Reviewing current fire-related plans and policies
- Ensuring fire annunciation and evacuation procedures are part of the standard procedures and training for operators

#### **4.3.4 Emergency Medical Services**

The Agency works with the local emergency medical services (including hospitals) regularly to support improved medical response. Preparations include the following activities:

- Maintaining regular communications with emergency medical services (EMS)
- Scheduling a meeting on transit property or at the offices of EMS at least annually to ensure transit issues are understood by the organization
- Establishing appropriate EMS unit jurisdictions
- Establishing the level of service (equipment, personnel, etc.) to be delivered in response to various types and degrees of emergencies
- Establishing appropriate methods of communication for continuous coordination during a response
- Familiarizing EMS personnel with transit vehicles and facilities
- Conducting periodic drills in conjunction with EMS personnel

#### **4.3.5 Transit Equipment Training for First Responders**

The Agency holds annual training with local first responders to improve familiarity with the transit fleets, facilities, and operations. Key areas covered include:

- Vehicle and facility entry (windows, doors, and hatches)
- Hazardous materials
- Facility exit routes and safety zones
- Equipment shutdown
- Emergency dump valves
- Battery cut-off switches
- Appropriate zones to breach transit vehicles in event of an incident
- Communications compatibility

## 5. RESPONSE

### 5.1 Emergency Information Dissemination

During critical incidents, the Agency understands that what is communicated to the public is critically important. Public affairs preparedness includes fostering positive relationships with elected and appointed officials, civic leaders, and the media to help the Agency meet its goals for ridership, revenue, and public recognition on a day-to-day basis. During a crisis, the media relations/public information function proactively works with these constituent audiences to provide accurate and verified information regarding what has happened, what the agency is doing about it, and how it might affect the community. In incidents involving injuries and deaths, the release of certain information is subject to a variety of federal laws. Particular attention is given to monitoring the appropriate release of sensitive security-related transit information to the public.

#### Response Objectives

- Providing timely, accurate, and coordinated public information
- Minimizing negative publicity
- Highlighting positive response efforts of agency and staff

#### Priority Response Actions

- Crafting messages incorporating verifiable incident information
- Distributing approved messages to internal audiences (board, staff, advisory committees) and responding to requests for information
- Distributing approved messages to external audiences (media and public) and respond to requests for information

#### Critical Concerns

- Impact on service delivery
- Message coordination
- Expected release of incident investigation reports
- Media coverage and public perception
- Relationships with elected officials, partner agencies, and internal audiences



## 5.2 Internal Incident Response

Agency frontline employees may be responsible for managing security incidents and threats (potential or actual). These employees are taught to assess the situation and decide on the appropriate action. It is also their responsibility to manage incidents and threats until emergency responders arrive. They are instructed to serve as a resource to emergency responders until the incident or threat is resolved.

### Response Objectives

- Protecting/preserving self
- Protecting passengers/others
- Protecting/securing vehicle/property
- Stabilizing incident

### Priority Response Actions

- Performing triage
- Managing risk
- Requesting incident resources

### Critical Concerns

- Accurate analysis and scene assessment
- Delegation to able-bodied passengers
- Passenger accountability

### 5.2.2 Incident Management Requirements

- Attend a safety orientation.
- Maintain a calm demeanor.
- Use quick thinking and be decisive.
- Be adaptable and flexible.
- Be proactive.
- Be realistic about personnel and agency limitations.

### 5.2.3 Incident Management Constraints

- Decisions and actions need to be made promptly.
- Limited resources may be available.
- Minimal information may be available.
- Environment may be demanding and highly stressful.
- Communication systems may be compromised.

### 5.2.4 Incident Management Steps

1. INFORMATION GATHERING AND ANALYSIS: Pre-incident information includes knowledge of patterns, trends, or history of any similar events. Empirical or perceptual information is what is observed. Cognitive information is what has been learned through training and experience.

2. **PROBLEM IDENTIFICATION AND ASSESSMENT:** Hazards must be identified. The type of hazard and the credibility of the threat are included in this determination. Risk must be determined by considering the number of potential victims, critical assets exposed, and the extent of the impact area.
3. **DEVELOPING A STRATEGY AND TACTICS:** A strategy is an overall goal or desired outcome to be achieved while minimizing injury, property damage, and service disruption. Tactics are specific objectives and the corresponding tasks that will be used to achieve the goal or strategy.
4. **IMPLEMENTING A PLAN:** Plan implementation includes directing others, communicating, delegating, notifying, and requesting resources.
5. **EVALUATING RESULTS:** Plans must be evaluated on an ongoing basis to ensure tactics remain appropriate and are having a positive effect.

### **5.3 Suspension/Restoration of Service**

Agency management will evaluate the vulnerability of agency assets (people, information, and property) in the event of an emergency to determine whether transit operations can be maintained and at what level. If transit operations must be suspended, the Emergency Response Team will coordinate service suspension protocols and, when practical, restore essential transit services within the constraints of resource availability and safety considerations. Communication regarding the suspension and restoration of transit services should be executed according to procedures described in Section 5.1.

## **5.4 Incident Management**

### **5.4.1 National Incident Management System**

The Federal Emergency Management Agency (FEMA) developed the National Incident Management System (NIMS) to help government and private stakeholders at all levels respond effectively to emergencies and disasters. Most incidents are managed daily by a single authority at the local level, often by fire personnel, EMS, and law enforcement. Even for incidents with limited scopes, coordination and cooperation among the responding organizations, including transit, are essential for an effective response.

The NIMS provides a set of standardized organizational structures such as the Incident Command System and processes, procedures, and systems. These processes and procedures are designed to improve interoperability among jurisdictions and disciplines in various areas (command and management), resource management, training, and communications.

The Agency management is committed to training and working within the NIMS structure as part of the community emergency response team. FEMA's *An Introduction to the National Incident Management System (IS-700.B)*<sup>2</sup> course provides the requirements. This SSEPP takes an all-hazards approach using a common standard of efficient and coordinated response across multiple agencies, which is consistent with

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<sup>2</sup> <http://training.fema.gov/EMIVWeb/IS/is700.asp>

the overall structure of NIMS that includes resource management, command and coordination, and communications and information management.

#### **5.4.2 Incident Command System**

The Incident Command System (ICS) is a standardized on-scene incident management concept designed specifically to allow responders, including transit, to adopt an integrated organizational structure equal to the complexity and demands of any single incident or multiple incidents, without hindrance by jurisdictional boundaries.

The Agency management is committed to training and working within the Incident Command System structure as part of the community emergency response team. Three FEMA courses provide ICS information and requirements, as follows:

- Introduction to the Incident Command System (IS-100.C)<sup>3</sup>
- Basic Incident Command System for Initial Response (IS-200.C)<sup>4</sup>
- Introduction to the National Incident Management System (IS-700.B)<sup>5</sup>

### **5.5 Interagency Emergency Response**

The local emergency manager or their designee will contact the Agency when an emergency occurs in the community and a state of emergency is declared that requires transit agency participation, response, or awareness. The Agency will follow emergency response procedures based on whether the event is during normal hours or after hours of operation. Both emergency responses are described below.

#### **5.5.1 Normal Hours Emergency Response**

During normal operating hours, the following policy is followed:

- Initial contact is made by the emergency manager or his/her designee using the first responder checklist maintained in the Emergency Management Plan.
- The most senior person on duty is the initial Agency Emergency Response Coordinator (ERC). The ERC gives a phone number to the individual calling (or another means through which the ERC will remain constantly available) for updated emergency information communications during the emergency.
- The ERC performs the following functions:
  - Contacts all on-duty vehicles (by radio) to notify them that they are needed for emergency response.
  - Directs all affected drivers to unload their passengers at a designated point and proceed to the staging area designated by the Agency.
  - Records an approximate time of arrival (estimated time of arrival - ETA) at that staging area with notification upon arrival.

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<sup>3</sup> <https://training.fema.gov/is/courseoverview.aspx?code=IS-100.c>

<sup>4</sup> <https://training.fema.gov/is/courseoverview.aspx?code=IS-200.c>

<sup>5</sup> <http://training.fema.gov/EMIWWeb/IS/is700.asp>

- The ERC calls employees on the emergency phone list and informs them that the Agency is responding to a community emergency.
- Establishes an Agency incident command center at the transit facility or other available location as circumstances dictate.
- The ERC remains in charge of all response activities throughout the emergency unless relieved by a more senior manager.
- The ERC has the authority to allocate all Agency personnel and equipment as necessary to respond to the emergency at hand.
- The ERC has the emergency authority to procure parts, fuel, and other essentials necessary to continue and sustain the Agency emergency response activities.
- The ERC continues to make efforts to contact all Agency personnel, as well as Agency board members (as time and response efforts may permit), to inform them of our participation.
- The ERC provides personnel and resources in the quantities requested and to various locations as directed by the emergency manager or his/her designee.
- The ERC remains on-duty in an active status until relieved or directed by the emergency manager or his/her designee that the transit agency's participation in the emergency response is no longer required.
- The ERC remains in communication with the Transit Director to the maximum extent possible.

### **5.5.2 After Hours Emergency Response**

After normal operating hours, the Agency will adhere to the following policy:

- Emergency Manager or their designee will initiate contact based on the Agency's emergency contact list.
- Emergency Response Coordinator (ERC) is either determined by the Emergency Manager or the most senior person available. ERC provides their phone number to be used for communications during the emergency.
- ERC begins to call persons listed on the internal contact list to inform them that the Agency is responding to a community emergency. During this stage, the ERC:
  - Coordinates the opening of the transit facility where the Agency vehicles are located and
  - Establishes an Agency incident command center at the transit facility or other available location as circumstances dictate.
- The ERC remains in charge of all response activities throughout the emergency unless relieved by a more senior manager.
- The ERC has the authority to allocate all Agency personnel and equipment as necessary to respond to the emergency at hand.
- The ERC has the emergency authority to procure parts, fuel, and other essentials necessary to continue and sustain the Agency emergency response activities.
- The ERC continues to contact all Agency personnel, as well as the Agency board members (as time and response efforts may permit) to inform them of our participation.
- The ERC provides personnel and resources in the quantities requested and to various locations as may be directed by the emergency manager or his/her designee.

- The ERC remains on duty in an active status until relieved or directed by the emergency manager or his/her designee that the transit agency's participation in the emergency response is no longer required.
- The ERC maintains a time annotated log of all activities as well as a contact log.

### **5.5.3 Evacuation Procedures**

The Agency provides evacuation and transportation support to the Incident Command Post (ICP) and those parts of the community affected by the disaster.

#### ***General***

- At the direction of incident command or the transit base station, drivers will pick up evacuees from specifically designated locations and transport them to designated shelters or secure locations.
- To the maximum extent possible, drivers will track where special needs passengers are delivered.

#### ***Transit Management***

- Coordinate with EOC and IC.
- Report to the transit agency incident command center.
- Provide drivers with assembly points and conduct briefings.
- Determine the location of all shelters and identify the logistical support required.
- Communicate this information to the transit base station and to supporting bases.
- As directed by the incident commander or his/her designee, respond to changing requirements for transportation and evacuation support.
- Identify support facilities for drivers.

#### ***Dispatcher***

- Establish communications and provide support to transit management and the ICP as requested.
- Notify support social service and contract agencies of disruptions and/or cancellations of service.
- Sustain whatever level of routine operations is feasible.
- Begin contingency planning for driver replacement, rest, and recycling.

#### ***Bus Drivers***

- Communicate with dispatch.
- Follow the guidance provided by the transit incident command center, dispatch, and the ICP.
- Do not take risks that place driver, passengers, or vehicle at significant risk.
- As needed, help passengers that have visual, hearing, or mobility impairments to get on or off the bus.
- Rest, refuel, and eat when possible.
- If fatigue becomes a safety issue, notify transit management immediately.

## **6. RECOVERY**

### **6.1 Restoration of Operations**

After an emergency, the Agency staff evaluates the status of its assets, the condition of the community environment, and the needs of its customers. Upon the completion of that evaluation, steps are taken to restore essential transit services as soon as practical and possible and within the constraints of environmental realities, resource availability, and safety considerations.

### **6.2 Cleanup and Inspection**

The Agency inspects facilities, vehicles, and agency property for damage or need for cleanup after an emergency. The purpose of this activity is to restore the Agency and its assets to the previous state before the emergency. Some recovery activities may be immediate while others may be long-term (e.g., replacement of vehicles or facilities).

### **6.3 Documentation of All Agency Resources**

After an emergency, the Agency management documents the use of agency resources including any vehicles used during the event — as well as the status and condition of the resources — to begin the process of maintaining assets and reinstating their service.

### **6.4 Follow-Up Debriefing**

To mitigate the possible negative psychological effects of an emergency, Agency staff involved in emergency incidents meet to discuss response activities and to process emotional issues that may arise. Agency managers should ensure the availability of support services to all parties who may have been directly or secondarily impacted by the event, including family members of all employees involved.

### **6.5 After Incident Report**

Following an incident, Agency management completes a report to assess the responses of personnel during the incident. This information is used to modify policies, provide additional training, and give feedback to those involved to enhance future incident responses. This report focuses on such issues as the emergency notification process, the establishment of incident command, the incident communication system, and the strengths and weaknesses of the response effort. An After Incident Report template to be used for each security incident is provided in *Section 8.13*.

### **6.6 Insurance**

Agency management reviews its insurance policies and coverage and contacts its insurance carriers to ensure timely reimbursement response. Additionally, it makes appropriate changes to future insurance policies as may be deemed appropriate based on an evaluation of the effectiveness of existing coverage.

## **6.7 Counseling Support for Staff**

Agency management recognizes that an incident may have adverse psychological effects on employees, including Post Traumatic Stress Disorder. Agency will ensure that employees have access to support services including a mandatory post-incident debriefing, provide information on professional counseling resources, and serve as an empathetic listener to aid those involved in emergencies or incidents of violence. The Agency will also consider providing support services to family members of personnel who may be impacted.

## **6.8 Long-Term Recovery**

The goal of long-term recovery is to ensure that the Agency emerges from the crisis even stronger than before the event. The long-term recovery initiatives include the following steps:

- Analyzing the After Incident Report to develop and implement long-term recovery strategies
- Determining the fiscal impact of the emergency on the transit agency and budgeting for recovery, including insurance reimbursement and non-reimbursement issues as well as federal and state financial assistance opportunities
- Building upon existing relationships with emergency management and first responders based on unmet coordination needs identified by the interagency response effort to the incident
- Initiating public relations activities to rebuild confidence in the transit operation for customers and the community as a whole

## 7. ACTIVATE AND UPDATE SSEPP

Agency management is committed to providing a safe, secure, and reliable environment and service for its passengers and employees. It is committed to being a safety, security, and emergency preparedness resource to the community, region, and nation. To this end, the SSEPP is an important and ongoing cornerstone of this system's transit operation.

### 7.1 Activation

This SSEPP has been activated through a Memorandum of Executive Approval which has been shared with all employees of the Agency and all key stakeholders within the community. A completed Memorandum of Executive Approval of the SSEPP is provided in Section 8.14.

### 7.2 Evaluation and Modification of SSEPP

This SSEPP is a "living document" and, therefore, addresses issues associated with safety, security, and emergency preparedness on a timely and proactive basis. It is incumbent upon all appropriate Agency personnel to continually evaluate the effectiveness of this SSEPP and the effectiveness of its implementation.

The SSEPP is thoroughly reviewed periodically (annually at a minimum). Any changes in information pertinent to the SSEPP will be updated as needed. Agency management is responsible for this review, which includes:

- Updating contact information contained in the SSEPP for accuracy
- Assessing employee knowledge and awareness
- Revising programs and procedures included in the SSEPP
- Performing an annual review of the chain of command and updating as needed
- Coordinating with designated entities who serve as backup locations for operational relocation during an emergency to ensure that they are cognizant of agreements in place

In addition, certain changes in the agency may require immediate revision to the SSEPP, including:

- The addition of new members to the organization and outside the organization with specific roles identified in the SSEPP
- New operations or processes that affect the SSEPP
- New or renovated facilities or changes in layout
- Changes in relationships with outside agencies
- Changes in the identification of potential threats and accompanying vulnerabilities

Following the use of the SSEPP in emergencies, the Agency management reviews the organization's response and compares it with the procedures and requirements outlined in the SSEPP. Based on this review, Agency management identifies areas that can be improved or adjusted in the plan to ensure more effective responses in the future.



### **7.3 Updating SSEPP**

After internal and external evaluations, and based upon SSEPP review findings, the Agency management will revise this SSEPP and supporting documentation and training to reflect new practices, policies, and procedures. The revised SSEPP, accompanied by a new Memorandum of Executive Approval of the SSEPP, will then be shared with all transit employees and all key stakeholders within the community.

## 8. SUPPORTING DOCUMENTS

The Agency has completed the following supporting documents as a part of the SSEPP. These supporting documents will be revised based on changing threat information, system vulnerabilities, emergency management structure, and personnel working in a safe and security-related capacity, either inside the organization or within the community.

8.1 Capabilities Assessment

8.2 Key Personnel and SSEPP Responsibilities

8.3 Asset Analysis

8.4 Risk Assessment

8.5 Countermeasure Recommendations

8.6 Transit Safety/Security Alert System

8.7 Internal and External Contact Lists

8.8 Emergency Response Team Roster

8.9 Succession Plan

8.10 FTA Top 20 Security Action Items Checklist

8.11 Memorandum of Understanding with the Community Emergency Management

8.12 Memorandum of Understanding with First Responders

8.13 After Incident Report

8.14 Memorandum of Executive Approval of the SSEPP

## 8.1 Capabilities Assessment

The Capabilities Assessment consists of a checklist to determine the status of the security and emergency preparedness of the Agency's current operations. The assessment is separated into seven sections that include Security Awareness & Threat Management, Security and Preparedness Planning, Security & Preparedness Management, Threat & Vulnerability Assessment, Physical Security, Emergency Response Capabilities, and Previous Experience. This assessment will identify the Agency's existing baseline concerning security and emergency preparedness.

*Instructions: Each question pertains to specific security and/or emergency preparedness activity. Please check Yes, No, or Not Applicable (N/A) for each question and the status of whether the Agency performs the activity.*

- *YES indicates the Agency performs the activity.*
- *NO indicates the Agency does not perform the activity.*
- *N/A indicates the activity is not applicable to the operation, size, mode of service, or management of the system.*

1. Does your system check the National Terrorism Advisory System<sup>6</sup>?
 

YES       NO       N/A
2. Has your system performed a Terrorism Vulnerability Self-Assessment, as recommended by the Federal Bureau of Investigation (FBI), in cooperation with local law enforcement?
 

YES       NO       N/A
3. Does your system receive threat information and warnings from local law enforcement, state agencies, or other systems regarding local threat levels?
 

YES       NO       N/A
4. Do personnel at your system keep informed of major community activities and events?
 

YES       NO       N/A
5. Are personnel at your system aware of ongoing law enforcement concerns regarding specific communities or events that may be targeted for terrorist activity?
 

YES       NO       N/A
6. Have system personnel been trained to challenge people who do not appear to belong in restricted areas or who do not have the appropriate identification displayed?
 

YES       NO       N/A
7. Does the system have procedures in place for reporting suspicious occurrences in a manner that supports appropriate evaluation and decision-making by supervisors and management?
 

YES       NO       N/A
8. Does your system have policies in place to ensure that security, operations, or maintenance personnel routinely check unattended public or open areas, such as restrooms, stairways, parking garages, and elevators for unusual, out-of-place, or abandoned items?
 

YES       NO       N/A
9. Has the system trained personnel on recognizing and reporting unusual, out-of-place, or unattended objects?
 

YES       NO       N/A
10. Has your system reviewed its policies for managing these objects (i.e., identifying lost-and-found items and reporting suspicious objects to management for further review)?
 

YES       NO       N/A

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<sup>6</sup> <https://www.dhs.gov/national-terrorism-advisory-system>

11. Has your system incorporated security checks into policies for pre-trip inspections, vehicle cleaning, and vehicle fueling?
- YES       NO       N/A
12. Have appropriate personnel at your system received and reviewed security and emergency management materials from the FTA?
- YES       NO       N/A
13. Have appropriate personnel at your system received security or emergency management training from the FTA or another source?
- YES       NO       N/A
14. Has management accepted responsibility for security vulnerabilities during the design, engineering, construction, testing, start-up, and operation of the transportation system related to rehabilitations, extensions, and modifications?
- YES       NO       N/A
15. Has Executive Management endorsed a policy to ensure that security vulnerabilities are identified, communicated, and resolved through a process promoting accountability for decisions made?
- YES       NO       N/A
16. Does your system have unambiguous lines of authority and responsibility for ensuring that security is addressed at all organizational levels within the operation (including contractors)?
- YES       NO       N/A
17. Does your system have access to personnel with security management experience, knowledge, skills, and abilities?
- YES       NO       N/A
18. Does your system ensure that resources are effectively allocated to address security considerations?
- YES       NO       N/A
19. Is the protection of passengers, employees, contractors, emergency responders, and the public a priority whenever activities are planned and performed in the system?
- YES       NO       N/A
20. Wherever possible, does your system guide design, engineering, and procurement activity with an agreed-upon set of security standards and requirements (including design criteria manuals, vehicle specifications, and contracting guidelines)?
- YES       NO       N/A

21. Does your system routinely evaluate its capabilities to provide adequate assurance that the public and employees are protected from adverse consequences?
- YES       NO       N/A
22. Has your system committed to developing security mitigation measures to prevent and manage security vulnerabilities?
- YES       NO       N/A
23. Has your system appropriately documented its security measures in plans, procedures, training, and project requirements, specifications, and contracts?
- YES       NO       N/A
24. Does your system have a formal system safety security program documented in a plan?
- YES       NO       N/A
25. If yes, is the security plan current, reflecting current security operations and system configuration?
- YES       NO       N/A
26. If no, does your system have plans in place to develop a security plan?
- YES       NO       N/A
27. If no, prepare a brief list of all activities performed at your system that address security and preparedness concerns. (Include procedures for handling difficult people, workplace violence program, bomb threat management plan, procedures for identifying and reporting unusual occurrences, facility and vehicle evacuation and search procedures, and coordination with local law enforcement)
- YES       NO       N/A
28. Does your system have a police or security department to implement the security program?
- YES       NO       N/A
29. If no, does your system use adjunct security personnel to support security for administrative and non-revenue facilities?
- YES       NO       N/A
30. If no, describe the activities performed by your system to coordinate security response with local law enforcement. Include memorandum of understandings (MOUs) and any reports that may be received regarding the occurrence of crime in the transportation system.
- YES       NO       N/A

31. Does your system have specific plans for managing bomb threats, threats regarding the release of chemical, biological, or radioactive materials, and/or threats against specific individuals?
- YES       NO       N/A
32. Does your system have specific plans to guide facility and vehicle evacuations and searches for unusual, out-of-place, or unattended packages?
- YES       NO       N/A
33. Does your system coordinate with local law enforcement to ensure a timely and effective response to identify a potential explosive device or other hazardous material?
- YES       NO       N/A
34. Does your system coordinate its security activities with neighborhood watch programs, other community and business security programs, and school safety programs to support integrated and coordinated approaches to shared problems?
- YES       NO       N/A
35. Has your system reviewed its procedures for managing mail and deliveries to assess security considerations?
- YES       NO       N/A
36. Are your employees trained to recognize and report threatening behavior and those activities that may be associated with the placement of an explosive device or the potential release of a hostile agent into the transportation environment?
- YES       NO       N/A
37. Do your employees understand their roles and responsibilities for protecting passengers, other employees, and the public from security threats?
- YES       NO       N/A
38. Have your employees received security-related training for dispute resolution and conflict management?
- YES       NO       N/A
39. Has your system developed a program to address workplace violence?
- YES       NO       N/A
40. Has your system provided local law enforcement and public safety organizations with transportation awareness training?
- YES       NO       N/A

41. Has your system ever conducted a formal threat and vulnerability assessment?
- YES       NO       N/A
42. Does your system have a current listing of its critical assets?
- YES       NO       N/A
43. Does your system have a current description of physical and procedural security measures in place to protect these assets?
- YES       NO       N/A
44. Does your system have a current assessment of specific threats to its operation?
- YES       NO       N/A
45. Has your system identified worst-case scenarios regarding security vulnerabilities to acts of terrorism and extreme violence?
- YES       NO       N/A
46. Has your system ever assessed its capabilities to identify and manage those activities that may indicate the release of a hostile agent in the transportation environment or the placement of an explosive device?
- YES       NO       N/A
47. Does your system have a prioritized listing of current security vulnerabilities?
- YES       NO       N/A
48. Does your system have a current program in place to implement security measures that address these vulnerabilities?
- YES       NO       N/A
49. Does your system provide access control systems to protect administrative and non-revenue facilities?
- YES       NO       N/A
50. Does your system require that employees wear badges or other forms of identification?
- YES       NO       N/A
51. Does your system have procedures in place to verify access authorization for visitors, contractors, and delivery personnel?
- YES       NO       N/A



52. Does your system have procedures to log non-routine entries (e.g., visitors, personnel during off-shift, and personnel not normally assigned) to administrative and non-revenue facilities?
- YES       NO       N/A
53. Does your system have procedures to verify the identity of a visitor before issuing a badge, pass, or credential?
- YES       NO       N/A
54. Does your system have procedures to verify the access authorization of vehicles before they can be parked within 50 feet of administrative and non-revenue facilities?
- YES       NO       N/A
55. Does your system have inventory control procedures for access badges, uniforms, and equipment?
- YES       NO       N/A
56. Does your system have procedures for reporting stolen badges, uniforms, or equipment?
- YES       NO       N/A
57. Does your system issue advisories or bulletins regarding potential security threats?
- YES       NO       N/A
58. Does your system screen personnel and packages before providing access to secure facilities (control center, revenue collection facilities, etc.)?
- YES       NO       N/A
59. Does your system authorize the search of hand-carried items or packages entering or leaving a security area?
- YES       NO       N/A
60. Does your system provide perimeter controls for administrative and non-revenue facilities, including fencing, gates, motion-detected lighting systems, or other?
- YES       NO       N/A
61. Does your system routinely patrol and/or inspect exterior security area perimeter barriers to verify the integrity and detect unauthorized objects or conditions (e.g., excessive soil erosion under the fence)?
- YES       NO       N/A
62. Does your system follow pre-determined procedures to lock down and open administrative, non-revenue, and passenger facilities each day?
- YES       NO       N/A

63. Does your system have procedures to control the issuance of keys and combinations to locks and control panels?

YES       NO       N/A

64. Are your administrative and non-revenue facilities protected with intrusion detection alarm systems?

YES       NO       N/A

65. Are your administrative and non-revenue facilities covered by a Closed-Circuit Television (CCTV)?

YES       NO       N/A

66. Are there other security systems in place to protect your system's administrative and non-revenue facilities?

YES       NO       N/A

67. Does your system use security technology to support monitoring and management of passengers in stations, terminals, and on vehicles (examples include CCTV, emergency telephones, designated passenger waiting areas; emergency alarms on buses, alarms and intercoms on trains, and public address systems in stations)?

YES       NO       N/A

68. If yes, please describe this technology. Attach description.

YES       NO       N/A

69. Has your system conducted blast hardening or mitigation as part of the station and administrative facility design or renovation process?

YES       NO       N/A

70. Do vehicle barriers, blast barriers, or other perimeter controls that limit or deny direct vehicle access to critical assets protect your facilities?

YES       NO       N/A

71. Please describe the security technology used by your police or security department (if applicable). Attach description.

YES       NO       N/A

72. Does your system have an emergency plan?

YES       NO       N/A

73. Does your system have emergency operating procedures?

YES       NO       N/A

74. Does your system have an incident response plan for terrorism, as an appendix to the emergency plan or as a separate plan?
- YES       NO       N/A
75. Does your system coordinate with local public safety organizations on the development, implementation, and review of the emergency plan and procedures?
- YES       NO       N/A
76. Does your emergency plan specify the use of the incident command system?
- YES       NO       N/A
77. Have your employees been trained in the emergency plan and procedures?
- YES       NO       N/A
78. Does your system conduct routine simulation drills, tabletop exercises, and refresher training?
- YES       NO       N/A
79. Does your system coordinate its drilling and training for emergency response with local public safety organizations?
- YES       NO       N/A
80. Does your system conduct briefings of after-action reports to assess performance during the simulation drill or exercise and identify areas in need of improvement?
- YES       NO       N/A
81. Have members of your system participated in domestic preparedness training programs sponsored by the federal government (FEMA, FBI, DOD, etc.)?
- YES       NO       N/A
82. Has your system participated in capabilities assessment readiness (CAR) exercise programs supported by the local emergency management agency (EMA)?
- YES       NO       N/A
83. Has your system experienced an emergency in the last 12 months?
- YES       NO       N/A
84. If yes, were you satisfied with the system's level of response?
- YES       NO       N/A

85. Has your system received a bomb threat in the last 12 months?

YES       NO       N/A

86. Has your system evacuated its facilities in the last 12 months as a result of a bomb threat?

YES       NO       N/A

87. Has your system conducted a physical search of a facility in response to a bomb threat?

YES       NO       N/A

## 8.2 Key Personnel and SSEPP Responsibilities (EMA Director is in charge and dictates all tasks)

| Position Title                        | Responsibilities  |
|---------------------------------------|---|
| Transit Director                      | <ul style="list-style-type: none"> <li>▪ Ensuring sufficient resources are provided to support the SSEPP program, including the provision of proper training and equipment to employees to allow an effective response to security incidents and emergencies</li> <li>▪ Development of an effective notification and reporting system for security incidents and emergencies</li> <li>▪ Designating a Point of Contact (POC) to manage the SSEPP Program</li> <li>▪ Communicating security and emergency preparedness as top priorities to all employees</li> <li>▪ Developing relations with external organizations that contribute to the SSEPP program, including local public safety and emergency planning agencies</li> </ul> |
| Manager / Supervisor                  | <ul style="list-style-type: none"> <li>▪ Maintain full knowledge of all standard and emergency operating procedures</li> <li>▪ Communicate the transit agency's security policies to all employees, volunteers, and contractors</li> <li>▪ Ensure drivers make security and emergency preparedness a primary concern when on the job</li> <li>▪ Cooperate fully with the SSEPP regarding any accident investigations as well as listen to any security concerns raised by drivers and take appropriate action</li> </ul>  |
| Dispatcher                            | <ul style="list-style-type: none"> <li>▪ Receive calls for assistance</li> <li>▪ Dispatch supervisors and emergency response personnel</li> <li>▪ Coordinate with law enforcement and emergency medical service communications centers</li> <li>▪ Notify supervisory and management staff of serious incidents</li> <li>▪ Establish on-scene communication</li> <li>▪ Complete any required security-related reports</li> <li>▪ Provide direction to on-scene personnel</li> </ul>  |
| Administrative / Communications Staff | <ul style="list-style-type: none"> <li>▪ Request assistance from transit public safety resources as needed for special events</li> <li>▪ Provide insight into potential threats and vulnerabilities through feedback from customer focus groups and other information sources</li> <li>▪ Designate a Public Information Officer (PIO) for media contact regarding security incidents and issues</li> </ul>  |
| Human Resources Staff                 | <ul style="list-style-type: none"> <li>▪ Ensure all pre-employment screening processes are conducted effectively</li> <li>▪ Notify the Executive Director of employee disciplinary action that may result in the affected employee becoming a risk to the Agency facilities, systems, passengers, employees, or other assets</li> <li>▪ Educate employees on employee ID policy and procedure</li> </ul>  |
| Mechanic                              | <ul style="list-style-type: none"> <li>▪ Use the checkout form to certify that vehicles released for service have been inspected, including security checklist items</li> <li>▪ Ensure hazardous materials are stored safely and securely</li> <li>▪ Report vandalism</li> <li>▪ Report threats and vulnerabilities of vehicle storage facilities</li> <li>▪ Provide priority response to safety and security-critical items such as lighting</li> <li>▪ Maintain facility alarm systems</li> </ul>   |

### 8.3 Asset Analysis

The Asset Analysis is a qualitative process to determine the criticality of system-wide assets to the mission, asset replacement cost, the severity of impact on public health and safety, and impact on other assets including intangible assets such as public trust and employee morale. The results from the asset analysis identify the critical assets and will assist Agency management to prioritize the allocation of limited resources for protecting the most vital elements of its operation.

*Instructions: For each asset rank the asset's criticality to the mission, replacement value, loss impact on health and safety, and loss impact on other assets. A brief description and respective scales are provided below for each factor. The overall score is described below with a calculation.*

- A. *CRITICALITY: The degree to which the asset is essential to fulfill the Agency's mission, from minor impact to inability to perform the mission. Scale: Low criticality (1) to Essential (10)*
- B. *REPLACEMENT VALUE: The cost to replace the asset minus any insurance reimbursements in the event the asset was compromised. Scale: Inexpensive (1) to Expensive (10)*
- C. *LOSS IMPACT TO HEALTH/SAFETY: The level of significance and immediateness of the loss of the asset would affect public health and safety. Scale: Little impact (1) to Devastating (10)*
- D. *LOSS IMPACT TO OTHER ASSETS: The level of significance and immediateness of the loss of the asset would affect the Agency's ability to utilize other agency assets. Scale: Little impact (1) to Devastating (10)*
- E. *SCORE: The relative importance of each asset to the Agency. The lower the score the less important (less critical) the asset. The higher the score the more important (most critical) the asset. The score is calculated as follows:  $(A \times B) + C + D$*

| Asset                    | A<br>Criticality | B<br>Replacement | C<br>Loss Impact<br>on Health/<br>Safety | D<br>Loss Impact<br>on Other<br>Assets | E<br>Score |
|--------------------------|------------------|------------------|--|--|------------|
| PEOPLE                   |                  |                  |  |  |            |
| Drivers                  | 5                | 2                | 2  | 2                                      | 14         |
| Dispatchers              | 5                | 2                | 2  | 2                                      | 14         |
| Administrators           | 5                | 2                | 2  | 2                                      | 14         |
| Mechanics                | 5                | 2                | 2  | 2                                      | 14         |
| Passengers               | -                | -                | -  | -                                      | -          |
| Partner Agencies         | -                | -                | -  | -                                      | -          |
| INFORMATION              |                  |                  |  |  |            |
| Computer Data            | 5                | 2                | 2  | 2                                      | 14         |
| Employee Info            | -                | -                | -  | -                                      | -          |
| Customer Info            | -                | -                | -  | -                                      | -          |
| Policies/Procedures      | -                | -                | -  | -                                      | -          |
| PROPERTY                 |                  |                  |  |  |            |
| Vehicles                 | -                | -                | -  | -                                      | -          |
| Non-Revenue Vehicles     | -                | -                | -  | -                                      | -          |
| Fare Boxes               | -                | -                | -  | -                                      | -          |
| Radio Systems            | 2                | 1                | 1  | 1                                      | 4          |
| Tools                    | 2                | 1                | 1  | 1                                      | 4          |
| Maintenance<br>Equipment | 5                | 2                | 2  | 2                                      | 14         |
| Fuel                     | -                | -                | -  | -                                      | -          |
| Bus Stops                | -                | -                | -  | -                                      | -          |
| Bus Shelters             | -                | -                | -  | -                                      | -          |
| Park and Rides           | -                | -                | -  | -                                      | -          |
| Admin. Facilities        | 5                | 2                | 2  | 2                                      | 14         |
| Vehicle Storage          | -                | -                | -  | -                                      | -          |
| Maintenance Facilities   | 5                | 2                | 2  | 2                                      | 14         |
| Operations Facilities    | 5                | 2                | 2  | 2                                      | 14         |
| Office Furniture         | 2                | 1                | 1  | 1                                      | 4          |
| Computer Systems         | 5                | 2                | 2  | 2                                      | 14         |
| Telephone Systems        | 5                | 2                | 2  | 2                                      | 14         |
| Internet Access          | 5                | 2                | 2  | 2                                      | 14         |

## 8.4 Risk Assessment

The risk assessment identifies the risk level for each threat scenario to prioritize on a scale from high to low. The risk level is determined by the likelihood of occurrence (or probability) and severity of occurrence (impact) for each scenario. Probability and impact are ranked based on the scales described below. The risk level is determined based on the Risk Level Matrix table below. The results from the risk assessment will provide a prioritized list of risks to focus on high-risk threats and develop strategies to mitigate the risk and inform the allocation of resources.

*Instructions: Determine the degree of probability and impact for each threat scenario. The probability and impact scales are provided below. Look up the risk level for each threat scenario using the Risk Level Matrix described below.*

*Probability (Likelihood of Occurrence):*

- *Improbable (Event will not occur)*
- *Remote (Possible but unlikely)*
- *Occasional (May or may not occur)*
- *Probable (Expect event to occur)*
- *Frequent (Event will occur)*

*Impact (Severity of Occurrence):*

- *Negligible (Limited or no impact)*
- *Marginal (Inconsequential)*
- *Critical (Survivable but costly)*
- *Catastrophic (Disastrous event)*

| PROBABILITY | Risk Level Matrix |          |          |            |
|-------------|-------------------|----------|----------|------------|
|             | IMPACT            |          |          |            |
|             | Catastrophic      | Critical | Marginal | Negligible |
| Frequent    | HIGH              | HIGH     | SERIOUS  | MEDIUM     |
| Probable    | HIGH              | HIGH     | SERIOUS  | MEDIUM     |
| Occasional  | HIGH              | SERIOUS  | MEDIUM   | LOW        |
| Remote      | SERIOUS           | MEDIUM   | MEDIUM   | LOW        |
| Improbable  | MEDIUM            | MEDIUM   | LOW      | LOW        |



| Threat Scenario                                   | Probability | Impact     | Risk Level |
|---|-------------|------------|------------|
| <b>ACCIDENTS &amp; INCIDENTS</b>                  |             |            |            |
| Minor Vehicle Collision (No Injuries)             | Occasional  | Negligible | Low        |
| Minor Vehicle Collision (With Injuries)           | Remote      | Marginal   | Medium     |
| Major Vehicle Collision (No Injuries)             | Occasional  | Negligible | Low        |
| Major Vehicle Collision (With Injuries)           | Remote      | Marginal   | Medium     |
| Mass Casualty Collision                           | Remote      | Critical   | Medium     |
| Passenger Injury Before Boarding/ After Alighting | Remote      | Negligible | Low        |
| Passenger Fall (With Injury)                      | Remote      | Marginal   | Medium     |
| Employee Injury (Trip/Fall/Cut)                   | Remote      | Negligible | Low        |
| <b>ACTS OF NATURE</b>                             |             |            |            |
| Flooding in Community                             | Remote      | Negligible | Low        |
| Flooding of Transit Facilities                    | Improbable  | Negligible | Low        |
| Severe Winter Weather                             | Improbable  | Negligible | Low        |
| Severe Ice / Freezing Rain                        | Improbable  | Negligible | Low        |
| Tornado / Severe Wind                             | Remote      | Marginal   | Medium     |
| Hurricane   | Improbable  | Negligible | Low        |
| Severe Thunderstorm / Hail                        | Occasional  | Marginal   | Low        |
| Wildfire  | Improbable  | Negligible | Low        |
| Earthquake  | Improbable  | Negligible | Low        |
| Volcano   | Improbable  | Negligible | Low        |
| Tsunami   | Improbable  | Negligible | Low        |
| Tsunami   | Improbable  | Negligible | Low        |
| Landslide   | Improbable  | Negligible | Low        |
| Snowslide   | Improbable  | Negligible | Low        |
| Dust Storm  | Improbable  | Negligible | Low        |
| Epidemic / Pandemic                               | Remote      | Negligible | Low        |
| <b>CRITICAL INFRASTRUCTURE</b>                    |             |            |            |
| Brief Power Outage                                | Occasional  | Negligible | Low        |

|                                      |            |              |         |
|--------------------------------------|------------|--------------|---------|
| Extended Power Outage                | Remote     | Marginal     | Medium  |
| Hard Drive Crash / Cyber Attack      | Remote     | Marginal     | Medium  |
| Information Loss                     | Remote     | Marginal     | Medium  |
| Loss of Telephone System/Service     | Remote     | Marginal     | Medium  |
| Loss of Internet Access              | Remote     | Marginal     | Medium  |
| Loss of Radio System                 | Remote     | Marginal     | Medium  |
| Minor Structural Fire                | Remote     | Marginal     | Medium  |
| Major Structural Fire                | Remote     | Critical     | Medium  |
| Vehicle Fire (No Injuries)           | Remote     | Marginal     | Medium  |
| Vehicle Fire (With Injuries)         | Remote     | Critical     | Medium  |
| Supply Chain Interruption            | Remote     | Marginal     | Medium  |
| Loss of Administration Facility      | Remote     | Critical     | Medium  |
| Loss of Maintenance Facility         | Remote     | Marginal     | Medium  |
| Loss of Operations Facilities        | Remote     | Critical     | Medium  |
| Loss of Funding                      | Remote     | Catastrophic | Serious |
| Employee Shortage                    | Occasional | Critical     | Serious |
| Organized Labor Dispute              | Improbable | Negligible   | Low     |
| Employee Malfeasance                 | Remote     | Marginal     | Medium  |
| HAZARDOUS MATERIALS                  |            |              |         |
| Blood-Borne Pathogen Spill           | Remote     | Marginal     | Medium  |
| Spill of Solvents or Blister Agents  | Improbable | Negligible   | Low     |
| Fertilizer Fire/ Explosion           | Improbable | Negligible   | Low     |
| Poisonous Gases (e.g., Chlorine)     | Improbable | Negligible   | Low     |
| Nerve Agent Spill (e.g., Fertilizer) | Improbable | Negligible   | Low     |
| Accidental Radiological Release      | Improbable | Negligible   | Low     |
| Fuel Spill                           | Remote     | Negligible   | Low     |
| Accidental Release of Natural Gas    | Remote     | Negligible   | Low     |
| Alternative Fuels Explosion          | Improbable | Negligible   | Low     |

| CRIMINAL ACTIVITY           |            |            |     |
|-----------------------------|------------|------------|-----|
| Trespassing                 | Remote     | Negligible | Low |
| Graffiti                    | Improbable | Negligible | Low |
| Vandalism                   | Remote     | Negligible | Low |
| Mugging                     | Remote     | Negligible | Low |
| Drunkenness                 | Remote     | Negligible | Low |
| Disorderly Conduct          | Remote     | Negligible | Low |
| Disputes                    | Remote     | Negligible | Low |
| Property Theft              | Remote     | Negligible | Low |
| Information Theft           | Remote     | Negligible | Low |
| Menacing                    | Remote     | Negligible | Low |
| Minor Assault               | Remote     | Negligible | Low |
| Assault and Battery         | Remote     | Negligible | Low |
| Sexual Assault              | Remote     | Negligible | Low |
| Attempted Homicide          | Remote     | Negligible | Low |
| Homicide                    | Remote     | Negligible | Low |
| Suicide                     | Remote     | Negligible | Low |
| Commandeered Vehicle        | Remote     | Negligible | Low |
| Kidnap / Hostage Situation  | Remote     | Negligible | Low |
| Bomb Threats                | Remote     | Negligible | Low |
| SOCIETAL                    |            |            |     |
| Civil Unrest or Riot        | Remote     | Negligible | Low |
| Strike                      | Remote     | Negligible | Low |
| Civil Panic or Looting      | Remote     | Negligible | Low |
| TERRORISM                   |            |            |     |
| Dangerous Mail              | Remote     | Negligible | Low |
| Improvised Explosive Device | Remote     | Negligible | Low |
| Chemical Weapon             | Remote     | Negligible | Low |
| Biological Weapon           | Remote     | Negligible | Low |
| Radiological Weapon         | Remote     | Negligible | Low |

## 8.5 Countermeasure Recommendations

Countermeasures are strategies to eliminate, mitigate, transfer, and/or accept specific risks to the system. The Countermeasure Recommendations focus on the top 15 threat scenarios from the prioritized list produced from the risk assessment in *Section 8.4*. The Countermeasure Recommendations help to identify risk reduction strategies currently implemented at the agency and additional strategies that can be implemented. While developing countermeasures, Agency staff are asked to brainstorm different countermeasures available to protect an asset and the varying cost or effectiveness of alternative measures. In many cases, there is a point beyond which adding countermeasures will raise costs without appreciably enhancing the protection afforded.

*Instructions: For each top 15 threats identified in the Risk Assessment, identify the current risk reduction strategies and brainstorm additional mitigation actions the Agency can implement in the next twelve (12) months. Countermeasures can include strategies to affect planning, hiring, training, and exercising programs, operations, system surveillance and security, maintenance, data acquisition and analysis, and coordination with local responders.*

|    | <b>Threat</b>                | <b>Current Risk Reduction Strategies</b> | <b>Additional Mitigation Actions Planned</b> |
|----|------------------------------|--|--|
| 1  | Tornado/Severe Wind          | Stop Operations/Seek Shelter             | Training/Drill                               |
| 2  | Loss of Funding              | Actively Seek Additional Funding         | Seek Funding from Municipalities             |
| 3  | Employee Shortage            | Run Ads/Seek Recruits                    | Job Fairs, Social Media, Radio Ads           |
| 4  | Vehicle Fire                 | Routine Maintenance                      | Training/Drill                               |
| 5  | Minor Vehicle Collision      | Defensive Driving Training               | Drill  |
| 6  | Hard Drive Crash             | IT Department Back-ups/Firewalls         | N/A  |
| 7  | Mass Casualty Collision      | Defensive Driving Training               | Drill  |
| 8  | Passenger Fall w/Injury      | Training                                 | Drill  |
| 9  | Loss of Admin Facility       | Relocate to Another County Facility      | Seek Alternative Facility                    |
| 10 | Loss of Radio System         | Generator                                | Seek Back-up Radio System                    |
| 11 | Loss of Telephone System     | Use Cell phones                          | N/A  |
| 12 | Information Loss/IT Crash    | IT Department Back-ups/Firewalls         | N/A  |
| 13 | Loss of Maintenance Facility | Outsource Repairs                        | Seek Alternative Facility                    |
| 14 | Extended Power Outage        | Generator                                | Training/Drill                               |
| 15 | Blood Borne Pathogen Spill   | Spill Kit                                | Training/Drill                               |

## 8.6 Transit Safety/Security Alert System



**RECOVERY**  
*"Service resumption, and repair/replacement of disaster losses"*

When overseeing long-term recovery from an incident:

1. Activate (or hastily develop) Business Recovery Plan
2. Restore transit service
3. Repair or replace essential disaster-damaged facilities
4. Guard against secondary Attacks
5. Identify and implement corrective measures to reduce the likelihood of a repeat of the incident
6. Restore Public confidence by announcing new protective measures/lessons learned
7. Return to appropriate the threat level indicator
8. Identify Short- and Long-Term Capital replacement needs, develop plans and detailed designs
9. Coordinate funding and other needs for transit system restoration with FTA/state Department of Transportation
10. Complete an After-Action Report

## SEVERE

### *"Major accident/incident or state of emergency"*

When responding to a major incident involving loss of critical assets, injuries, or fatalities, or assisting with evacuations or other mission assignments related to a community disaster:

1. Activate Incident Response Team
2. Assess immediately impact on transit service and facilities and adjust or terminate services as required
3. Activate mitigation measures
4. Designate the Incident Commander
5. Activate Transit Emergency Command Center and/or dispatch representatives to the appropriate Emergency Operations Center
6. Cancel or postpone non-vital work activities
7. Identify available assets to support the response effort
8. Redirect personnel and equipment to address critical emergency needs, as appropriate
9. Evacuate any non-essential personnel and visitors from your facilities
10. Activate the Joint Information System/Center to provide fast, accurate, coordinated, timely, understandable, and appropriate (FACTUAL) emergency information to internal and external audiences
11. Perform incident notification to board members and key stakeholders as dictated by your emergency response plan
12. Coordinate closing of public roads and facilities with local authorities
13. Increase security to a maximum sustainable level to ensure absolute control of command, control, and communications centers

## ELEVATED

"Below risk of accidents/incidents"

When there is a substantial risk for accidents, natural disasters, criminal activity, and other common transit hazards and threats:

1. Mobilize additional resources as required to protect assets and/or continue to fulfill the mission
2. Place the incident response team on standby
3. Activate service suspension thresholds as appropriate
4. Communicate threats/hazards to frontline staff with an operational need to know. Post-Security Alert as appropriate
5. Reinforce employee awareness of their emergency roles and responsibilities
6. Inform partner agencies with an operational need to know of the increased threat/hazard and operational precautions you are exercising
7. Check to ensure all emergency telephone, radio, intercom, and satellite communication devices are in place and operational
8. Review the critical incident notification plan
9. Discuss communications procedures and backup plans with all concerned
10. Secure all buildings and storage areas, reducing the number of access points for vehicles and personnel to a minimum
11. Increase patrols/supervision in facilities and along routes
12. Increase patrolling at night and ensure all vulnerable critical points are secure
13. Instruct employees working at remote locations to check in periodically
14. Minimize administrative travel
15. Limit access to designated facilities to those personnel who have a legitimate and verifiable need to enter the facility. Inspect all vehicles entering key areas/facilities for dangerous items
16. Consult with local authorities about road closures and other local response actions
17. Coordinate emergency plans with other jurisdictions as appropriate
18. Activate contingency and emergency response plans and personnel as needed
19. Make necessary preparations to establish Command Center(s) and/or to dispatch staff in case of an incident
20. Prepare to execute contingency procedures, such as moving to an alternate site or dispersing the workforce.

## GUARDED

*"Deteriorating or potentially dangerous environment"*

When there is a heightened risk for accidents, natural disasters, criminal activity, and other common transit hazards and threats:

1. Review situational forecasts from the National Weather Service, local law enforcement, avalanche advisory center, or other appropriate sources
2. Review incident response plan
3. Consider additional resource requirements and place resources on stand-by as appropriate
4. Inspect safety/security equipment to ensure availability and operability
5. Assess the integrity of barriers such as perimeter fencing and security systems
6. Strengthen watch procedures for unusual activity, unidentified vehicles, and persons, and abandoned packages and parcels
7. Communicate threats/hazards to supervisors, and provide additional staff oversight as appropriate
8. Pre-set thresholds for protective actions such as notification of partner agencies and service suspension protocols

## LOW

*"Normal operating environment"*

When things are proceeding normally:

1. Follow standard operating procedures ensuring system safety and security
2. Refine and exercise risk reduction strategies
3. Explore opportunities for staff training in safety, security, and emergency preparedness
4. Maintain best practices in access control of facilities and equipment
5. Survey equipment, facilities, and operations for changes in your risk environment
6. Assess the need for enhanced emergency response equipment, particularly communications systems
7. Develop and implement security and backup protocols for computer-based operating systems
8. Foster relationships with first responders including fire, law enforcement, emergency medical services, and local emergency management planning
9. Incorporate security awareness into public education programs
10. Develop thresholds and procedures for service suspension and resumption
11. Conduct disaster drills and exercises including facility evacuations, shelter-in-place actions, staff accountability drills, and simulated mobilization of the transit incident response team



## 8.7 Internal and External Contact Lists

| Internal Contact List    |               |              |              |                            |
|--------------------------|---------------|--------------|--------------|----------------------------|
| TITLE                    | NAME          | WORK PHONE   | CELL PHONE   | EMAIL ADDRESS              |
| Transit Manager          | Joyce Echols  | 256-734-1246 | 256-531-3957 | jechols@co.cullman.al.us   |
| Operations Director      | Gary Campbell | 256-734-1246 | 256-507-2031 | gcampbell@co.cullman.al.us |
| Maintenance Director     | Ralph Laney   | 256-734-1246 | 256-736-5929 | none                       |
| Marketing Director       | N/A           |              |              |                            |
| Finance / Admin Director | N/A           |              |              |                            |
| Board Chair              | Jeff Clemons  | 256-775-4878 | 256-255-5011 | jclemons@co.cullman.al.us  |
| Insurance Contact        | John Tucker   | 256-775-4948 | 256-531-7591 | jtucker@co.cullman.al.us   |

| External Contact List       |                 |              |              |                           |
|-----------------------------|-----------------|--------------|--------------|---------------------------|
| TITLE                       | NAME            | WORK PHONE   | CELL PHONE   | EMAIL ADDRESS             |
| Police Chief                | David Nassetta  | 256-734-1524 | 256-734-1434 | dnassetta@cullmanal.gov   |
| Sheriff                     | Matt Gentry     | 256-734-0342 | 256-595-8862 | mgentry@co.cullman.al.us  |
| Fire Chief                  | Brian Bradberry | 256-775-7186 | Tim Sartin   | cullmanfire@cullmanal.gov |
| Emergency Medical Services  | James Curtis    | 256-734-1524 | Tim Sartin   | cullmanems@cullmanal.gov  |
| EOC Director                | Tim Sartin      | 256-739-5410 | 256-917-6200 | tsartin@co.cullman.al.us  |
| Mayor                       | Woody Jacobs    | 256-775-7109 | 256-736-3073 | wjacobs@cullmanal.gov     |
| Chair, County Commissioners | Jeff Clemons    | 256-775-4878 | 256-255-5011 | jclemons@co.cullman.al.us |
| Hospital ER                 | N/A             |              |              |                           |
| Public Health Director      | N/A             |              |              |                           |
| Radio News                  | N/A             |              |              |                           |
| Radio News                  | N/A             |              |              |                           |
| TV News Desk                | N/A             |              |              |                           |
| TV News Desk                | N/A             |              |              |                           |

## 8.8 Emergency Response Team Roster

| Functional Responsibility          |           | Regular Job Title      | Name             | Phone Number |
|------------------------------------|-----------|------------------------|------------------|--------------|
| Team Leader                        | Primary   | EMA Director           | Tim Sartin       | 256-917-6200 |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Deputy Team Leader                 | Primary   | EMA Assistant Director | Scott McDonald   | 256-739-5410 |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Safety Officer                     | Primary   | County Safety Director | John Tucker      | 256-531-7349 |
|                                    | Alternate | Asst. Safety Director  | Delitha Marchman | 256-590-6061 |
| Info Officer / Interagency Liaison | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Deputy Info Officer                | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Operations Manager                 | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Incident Planning Lead             | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Incident Logistics Lead            | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |
| Incident Finance / Admin Lead      | Primary   | Set by EMA Director    |                  |              |
|                                    | Alternate | Set by EMA Director    |                  |              |

## 8.9 Succession Plan

The following is the succession personnel and emergency chain of command

| <b>Name</b>    | <b>Job Title</b>      | <b>Work Phone</b> | <b>Cell Phone</b> |
|----------------|-----------------------|-------------------|-------------------|
| Joyce Echols   | Transit Director      | 256-734-1246      | 256-531-3957      |
| Gary Campbell  | Asst Transit Director | 256-734-1246      | 256-507-2031      |
| James Arnold   | Scheduling Manager    | 256-734-1246      | 256-590-6030      |
| Nena Evans     | Dispatch Manager      | 256-734-1246      | 256-338-2870      |
| Wayne Chandler | Training Manager      | 256-734-1246      | 256-347-2083      |
| Keith Johnson  | Finance Manager       | 256-734-1246      | 256-590-9295      |
| Jerry Bradford | Driver                | 256-734-1246      | 256-339-4739      |
| Richard Harris | Driver                | 256-734-1246      | 256-615-3799      |
| Gary Smith     | Driver                | 256-734-1246      | 256-620-3609      |
| Don Bonacci    | Driver                | 256-734-1246      | 724-448-1494      |

## **8.10 FTA Top 20 Security Program Action Items Checklist**

The FTA developed a benchmark self-assessment tool for the entire transit industry. Through the Top 20 Security Action Items Checklist, transit agencies could assess their current state of security readiness, identify any gaps, and improve their security posture. This checklist includes 20 topics related to Management and Accountability, Security Program Identification, Employee Selection, Training, Audits and Drills, Document Control, Access Control, and Homeland Security.

Baseline Practices are considered the minimum requirements needed to meet the overall security action item; Exemplary practices are additional/supplemental activities associated with exceeding the minimum requirements and are candidates for industry best practices.

## MANAGEMENT AND ACCOUNTABILITY

1. Written security programs and emergency management plans are established.
  - a. Baseline Practices
    - Does a System Safety Security Plan exist? Yes
    - Does an Emergency Management Plan exist? Yes
    - Do standard and emergency operations procedures (SOPs/EOPs) for each mode operated, including operations control centers, exist?
  - b. Exemplary Practices
    - Do Continuity of Operations Plans exist?
    - Does a Business Recovery Plan (administration, computer systems, operations, etc.) exist?
2. The security and emergency management plans are updated to reflect anti-terrorist measures and any current threat conditions.
  - a. Baseline Practices
    - What is the date of the latest update? July 18, 2023
    - Are security plans reviewed at least annually? Yes
    - Are reviews and changes to the plans documented?
    - Does the plan now include weapons of mass destruction protocols?
3. The security and emergency management plans are an integrated system safety security program, including regional coordination with other agencies, security design criteria in procurements, and organizational charts for incident command and management systems.
  - a. Baseline Practices
    - Are emergency management plans integrated with the regional emergency management authority plans? Yes
    - Do management and staff participate in planning and conducting emergency security activities (e.g., drills and committees)? Yes
    - Does management coordinate with the FTA regional office? ALDOT
    - Are mutual aid agreements with other regional public agencies (e.g., local government, fire, police, and other transit agencies) approved and signed?
    - Does an inter-departmental program review committee exist and address security issues?
  - b. Exemplary Practice

- Are security design criteria/crime prevention through environmental design (CP TED) included in the system safety security program plan?
- 4. The security and emergency management plans are signed, endorsed, and approved by top management.
  - a. Baseline Practice
    - Is there a policy statement emphasizing the importance of the security plan?
    - Is the security plan approved and signed by the top official?
- 5. The security and emergency management programs are assigned to a senior-level manager.
  - a. Baseline Practice
    - What are the name and title of the security program manager? EMA Director
    - Is there a current organizational chart identifying the reporting structure for the security program manager?
- 6. Security responsibilities are defined and delegated from management to the front-line employees.
  - a. Baseline Practice
    - Are security plans distributed to appropriate departments in the organization?
    - Do regular senior and middle management security coordinating meetings occur?
    - Do informational briefings occur whenever security protocols are updated?
    - Are lines of delegated authority/succession of security responsibilities established and known?
- 7. All operations and maintenance supervisors, forepersons, and managers are held accountable for security issues under their control.
  - a. Baseline Practice
    - Are regular supervisor and foreperson security reviews and coordinating briefings held?
    - Does a security breach reporting system exist and are reports addressed through the security program review Committee?
    - Is facility security (e.g., perimeter/access control) supervision compliance monitored regularly?

#### SECURITY PROBLEM IDENTIFICATION

- 8. A threat and vulnerability assessment resolution process is established and used.
  - a. Baseline Practice
    - Does a threat and vulnerability process exist and is it documented?

- Is a threat and vulnerability assessment conducted whenever a new asset/facility is added to the system?
  - Have management & staff responsible for managing the threat and vulnerability assessment process received adequate training?
  - Is the threat and vulnerability process used to prioritize security investments?
9. Security-sensitive intelligence information sharing is improved by joining the FBI Joint Terrorism Task Force (JTTF) or other regional anti-terrorism task force; the Surface Transportation Intelligence Sharing & Analysis Center (ISAC); and security information is reported through the National Transit Database (NTD).
- a. Baseline Practice
- Does the transit agency participate in its region's JTTF or coordinate with key police and intelligence agencies?
  - Has the transit agency joined the ST-ISAC?
  - Does the transit agency provide security information to the National Transit Database?

#### EMPLOYEE SELECTION

10. Background investigations are conducted on all new front-line operations and maintenance employees (i.e., criminal history and motor vehicle records).
- a. Baseline Practice
- Are background checks conducted consistent with state and local laws?
  - Is the background investigation process documented?
11. Criteria for background investigations are established.
- a. Baseline Practice
- Are the criteria for background checks by employee type (operator, maintenance, safety/security sensitive, contractor, etc.) documented?

#### TRAINING

12. Security orientation or awareness materials are provided to all front-line employees.
- a. Baseline Practice
- Are security orientation and awareness training materials updated to include counterterrorism/WMD information?
  - Is there a system in place to track who received what training and when?
13. Ongoing training programs on safety, security, and emergency procedures by the work area are provided.

a. Baseline Practice

- Are training programs, materials, and informational briefings tailored to specific work groups' activities?
- Are training program campaigns held whenever there are substantial updates to security and emergency management plans?

14. Public awareness materials are developed and distributed on a system-wide basis.

a. Baseline Practice

- Are security awareness materials prominently displayed throughout the system (e.g., reminder signage, print/digital posters, and fliers)?
- Are transit system information, status, and updates communicated and accessible to the public (e.g., through a transit alert and route planning app, website, or social media outlet)?
- Is the transit agency participating in the industry's Transit Watch program?

#### AUDITS AND DRILLS

15. Periodic audits of security policies and procedures are conducted.

a. Baseline Practice

- Are audits conducted periodically?
- Is there a disposition process for handling the findings and recommendations from the audits?

16. Tabletop and functional drills are conducted at least once every six months and full-scale exercises, coordinated with regional emergency response providers, are performed at least annually.

a. Baseline Practice

- Are tabletop exercises conducted at least every six months?
- Does the agency participate in full-scale, regional field drills, held at least annually?
- Are tabletop and drill debriefings conducted?
- Are after-action reports produced and reviewed for all tabletop exercises and field drills?
- Are plans, protocols, and processes updated to reflect after-action report recommendations/findings?



## DOCUMENT CONTROL

17. Access to documents of security-critical systems and facilities is controlled.

a. Baseline Practice

- Have security-critical systems, such as tunnel HVAC systems and intrusion alarm detection systems, been identified and documented?

b. Exemplary Practice

- Is access to security critical systems' documents controlled?
- Is there an identified department/person responsible for administering the policy?
- Do regular security committee meetings/briefings include reviewing document control compliance issues?

18. Access to security-sensitive information is controlled.

a. Baseline Practice

- Have security sensitive information (SSI) documents, such as security plans and protocols, been identified?

b. Exemplary Practice

- Is there a documented policy for designating and properly handling SSI documents?
- Do regular security committee meetings/briefings include reviews or SSI-related matters?

## ACCESS CONTROL

19. Background investigations are conducted of contractors or others who require access to security-critical facilities, and ID badges are used for all visitors, employees and contractors to control access to key critical facilities.

a. Baseline Practice

- Have security critical facilities been identified?
- Is the contractor background investigation process documented?
- Is the quality control of the process monitored on a regular basis?
- Are the criteria for contractor background checks documented?
- Are ID badges used for employee access control? (Both policy and actual practice)
- Are ID badges used for visitors and contractors? (Both policy and actual practice)
- Are there documented policies for restricting access to security critical facilities?

## HOMELAND SECURITY

20. Protocols have been established to respond to the Office of Homeland Security National Terrorism Advisory System.

a. Baseline Practice

- Is the system ready to follow the guidance provided by state and local officials when NTAS advisories are announced on the Alert or Bulletin?
- Are specific protective measures defined and developed?

## **8.11 Memorandum of Understanding with the Community Emergency Management**

The following sample Memorandum of Understanding (MOU) is provided for the Agency to use with the Community Emergency Management. The sample MOU can be altered to best meet the Agency's needs.

## MEMORANDUM OF UNDERSTANDING

### Cullman Area Rural Transportation System AND Cullman County EMA

**Purpose:** To establish specific agreement between transit agency staff and Community Emergency Management in the event of a community incident/emergency or an incident/emergency on board a transit vehicle or on transit agency property.

**Policy/Authority:** This Memorandum of Understanding is established by Cullman County and covers and is agreed to by the following agency: Cullman County EMA

#### **Authority of Command:**

- The authority of command at any incident/emergency will lie with the first officer on the scene until such time as the officer assigned to the call arrives at the scene. At that point, the assigned officer is in command unless relieved by a supervisor or the EMA Director or if the officer relinquishes command to another officer because of specialized skills or assignment.
- Whenever the EMA Director is not available, the SUCCESSION STANDARD applies.

#### **Definitions:**

- *Incident Command System (ICS)* – A standard organizational system for the management of emergencies. The purpose of the ICS is to bring people, communications, and information together to manage emergency situations. ICS provides common terminology and procedures to ensure effective coordination among a variety of agencies.
- *Incident Commander* – The person that is responsible for the overall direction and control of a disaster or other emergency.
- *Inner Perimeter* – The immediate areas of a disaster site or police emergency.
- *Outer Perimeter* – The demarcation of the area is subject to controlled access. Areas outside the Outer Perimeter are deemed safe and open to the public. The areas inside the Outer Perimeter are deemed unstable or dangerous.
- *Operations Commander* – The person in charge of any operation unit handling an emergency. The operations commanders include the police supervisor, fire supervisor, medical director, or public service coordinator. These individuals are under the direction of the Incident Commander.
- *Safety Officer* – The officer assigned responsibility for assessing hazardous or unsafe situations and developing measures for assuring personnel safety. Although the safety officer may exercise emergency authority to take immediate action to address critical safety issues, he/she normally works through the Incident of Operations Commanders.
- *Staging Area* – Location away from the site for the congregation of equipment and personnel.
- *Temporary Morgue* – A facility established to temporarily store, process, and identify the deceased at the scene of a disaster.

### General Procedures:

1. The initial response to, and the containment of, the scene is the responsibility of the on-duty patrol officer. The assigned officer takes initial command of the scene and safely directs other responding units. The first officer's priorities are to request the proper resources and secure the inner perimeter.
2. The officer assuming command of an incident will identify his/herself as the Incident Commander (IC) to dispatch other responding units. The Incident Commander is responsible for:
  - Request for fire, rescue, or ambulance service
  - Evacuation of injured victims and bystanders
  - Establishment of an outer perimeter around the scene
  - Establishment of a command post and incident command.
  - Coordination and communication with other agencies
  - Selection of a primary and alternate staging area along with a temporary morgue if needed.
  - Initial determination of how and where equipment and personnel should be distributed.
  - Arrange for special transportation needs which may be required.
  - Authorization for new media access, and news media policy.
3. Transfer of command will be face-to-face whenever possible. Transfer of command will occur when another agency has primary responsibility for the emergency, (such as fire, hazmat, etc.). A transfer may also occur if the supervisor or chief elects to assume command after arriving at the scene. Dispatch will be notified immediately.
4. The Incident Commander (IC) will implement the Incident Command System (ICS) to the extent needed to effectively manage the incident.
5. The Incident Commander will make use of a unified Command whenever the incident spans multiple jurisdictions unless the agency commanders agree to a single Incident Commander.
6. The Cullman County EMA Incident Response Plan will be used for major emergencies occurring in the Town/County.

**Interface/Coordination with Transit Agency:**

1. In the event of an incident/emergency on board a transit vehicle or on transit agency property, Cullman Area Rural Transportation System will follow the following protocols:


|   |   |
|---|---|
| Vehicle accident                                      | Notify Dispatch, Notify County Safety Officer then notify any other necessary agencies. |
| Personal injury to a passenger or pedestrian          | Notify Dispatch, Notify County Safety Officer then notify any other necessary agencies. |
| Violent passenger, driver, another employee, or other | Notify Dispatch, Notify County Safety Officer then notify any other necessary agencies. |
| Vehicle fire  | Notify Dispatch, Notify County Safety Officer then notify any other necessary agencies. |
| Other (specify)                                       | N/A   |

2. In the event of a community incident/emergency (such as flood, tornado, blizzard, fire, civil disturbance, terrorist attack, or other disturbance) Cullman Area Rural Transportation System is available to assist as needed. This may include:
  - Assisting in the evacuation of citizens in the affected area
  - Transporting First Responders to and from the scene
  - Using transit vehicles in the staging area as a protected environment for First Responders or victims of the incident/emergency
  - Evacuating the elderly and/or persons with disabilities to or from nursing homes or other care facilities
  - Other, as determined by agency management and/or the Incident Commander (IC).
3. The Incident Commander will determine the Agency’s response in conjunction with the agency director or his/her designee.

  
 \_\_\_\_\_  
 Tim Sartin, EMA Director

  
 \_\_\_\_\_  
 Date

  
 \_\_\_\_\_  
 Joyce Echols, CARTS Director

  
 \_\_\_\_\_  
 Date

## **8.12 After Incident Report**

Following an incident, Agency management completes an After Incident Report to assess the responses of personnel during the incident. This information is used to modify policies, provide additional training, and give feedback to those involved to enhance future incident responses. This report focuses on such issues as the emergency notification process, the establishment of incident command, the incident communication system, and the strengths and weaknesses of the response effort. The following sample can be altered to best meet the Agency's needs.

EVALUATION FORM FOR TRANSIT INCIDENTS

Date(s) of Incident: \_\_\_\_/\_\_\_\_/\_\_\_\_ to \_\_\_\_/\_\_\_\_/\_\_\_\_

Please Check One:  Incident  Drill

Evaluator Name: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Address: \_\_\_\_\_

Time exercise initiated: \_\_\_\_\_

Method of notification to fire department, police, ambulance service, EMS, hospitals: \_\_\_\_\_

Upon arrival at scene, how was the command post established? \_\_\_\_\_

Was there adequate radio communication equipment? \_\_\_\_\_

When responding units arrived on the scene, did they report to the command post? \_\_\_\_\_

Principal weaknesses observed \_\_\_\_\_

Principal strengths observed? \_\_\_\_\_

Additional remarks: \_\_\_\_\_

Recommendations: \_\_\_\_\_



### **8.13 Memorandum of Executive Approval of the SSEPP**

The following sample Memorandums of Executive Approval is provided for the Agency to authorize the SSEPP. The memorandum is shared with all Agency employees and key stakeholders within the community. The sample memorandum can be altered to best meet the Agency's needs.

**MEMORANDUM OF EXECUTIVE APPROVAL**

To: All Employees, Volunteers, and Contractors  
From: Jeff Clemons, Chairman Cullman County Commission  
Date: [DATE]  
Subject: System Safety Security and Emergency Preparedness Program

It is the objective of Cullman Area Rural Transportation System (Agency), to provide safe, secure, and reliable service for its passengers and employees. To demonstrate our commitment, the Agency has developed this Safety, Security and Emergency Preparedness Plan (SSEPP).

The Agency has a sincere concern for the welfare and safety of its employees (and volunteers and contractors) as well as the public it serves. The operation and maintenance of the Agency requires a continual emphasis on security, from the procurement of new systems and equipment, through the hiring and training of employees, to the management of the agency and the provision of service. The security function must be supported by an effective capability for emergency response, both to support the resolution of those incidents that occur on transit property and those events that affect the surrounding community served by the Agency.

This SSEPP describes the policies, procedures, and requirements to be followed by management, maintenance, and operating personnel to provide a secure environment for agency employees, volunteers, and contractors, and to support community emergency response. All personnel are expected and required to adhere to the policies, procedures, and requirements established herein and to perform security-related functions properly and diligently as a condition of employment or support for the Agency.

The Agency management will provide leadership in promoting safety, security, and emergency preparedness throughout the organization. The Executive and Staff will be continually and directly involved in formulating, reviewing, and revising safety, security, and emergency preparedness policies, goals, and objectives. Each Agency employee, volunteer, and contractor is governed by the requirements and terms of this Plan and must conscientiously learn and follow prescribed security and emergency rules and procedures. Each employee must operate safely, use equipment, tools, and materials properly, and be trained in the work rules and procedures for his/her areas of responsibility, including contingency plans for abnormal and emergency conditions. Each employee shall take an active part in the identification and resolution of security concerns.

Supervisors shall actively participate in all activities regarding safety, security, and emergency preparedness; shall fully cooperate with the policies and objectives specified in this Plan; and shall receive the full cooperation and support of executive management in their activities for improved security and emergency preparedness.

---

Executive Signature

---

Date





# FY Cullman County Rebuild Alabama Contractor Report

Cullman County



Pursuant to Section 9a of the Rebuild Alabama Act, the Cullman County Commission submits the following list of contractors that were awarded projects utilizing Rebuild Alabama Funds for the above stated fiscal year.

Signed: Jim Clemmons

Date: 7/18/23

Chairman, Jeff Clemmons County Commission

| Project No.  | Road Name/ Number | Description of Work  | Contractor Awarded Work | County Rebuild Alabama Funds, Federal Aid Exchange Funds or both |
|--------------|-------------------|--|-------------------------|--|
| CCP 22-15-22 | CR 18             | FDR, Resurfacing and Traffic Striping from AL Hwy 91 to Walker Co. Line.           | Annual County Bid       | CRAF   |
| CCP 22-17-22 | CR 222            | Resurfacing and Traffic Striping from CR 831 to CR 813                             | Annual County Bid       | FAEF/CRAF  |
| CCP 22-18-22 | CR 702            | Resurfacing and Traffic Striping from CR 715 to CR 700                             | Annual County Bid       | CRAF   |
| CCP 22-19-22 | CR 715            | Resurfacing and Traffic Striping from CR 3rd Ave to CR 702                         | Annual County Bid       | CRAF   |
| CCP 22-13-20 | CR 4 & 6          | FDR, Resurfacing K/J/G and Traffic Striping from EGM Raceway of CR 6 to AL Hwy 91. | Annual County Bid       | RAF  |
| CCP 22-22-22 | CR 1823           | Construction of New Bridge over Tibb Creek   | County Forces           | RAF  |
| CCP 22-23-22 | CR 1834           | Construction of New Bridge over Riley Maze Creek                                   | County Forces           | RAF  |
| CCP 22-24-22 | CR 832            | Construction of New Bridge over Rock Creek   | County Forces           | RAF  |
| CCP 22-25-22 | CR 1763           | Construction of New Bridge over Tibb Creek   | County Forces           | RAF  |
|              |                   |  |                         |  |



# FY 2024 County Transportation Plan

## Cullman County

Date Approved by Cullman County Commission: June 22, 2023

Date Amended by the Cullman County Commission: July 18, 2023



| Map Index                       | Project No.  | Road Name/Number | Begin   |          | End     |          | Road Improvement Project | Bridge Improvement Project | Project Length (miles) | Description of Work  | Total Project Estimated Cost   | Estimated Amount Expended Utilizing Under Competitive Bid | Estimated Amount Planned To Be Utilizing Public Works | County Rebuild Alabama Funds or Federal Aid Exchange Funds (List kind type separated for projects involving both CRAF's and FAEF's) | CRAF Amount   | FAEF Amount           |  |                    |               |
|---------------------------------|--------------|------------------|---------|----------|---------|----------|--------------------------|----------------------------|------------------------|--|--|---|---|---|---------------|-----------------------|--|--------------------|---------------|
|                                 |              |                  | Lat.    | Long.    | Lat.    | Long.    |                          |                            |                        |  |  |   |   |   |               |                       |  |                    |               |
| <b>Beginning Balance</b>        |              |                  |         |          |         |          |                          |                            |                        |  |  |   |   |   |               |                       |  |                    |               |
| <b>Estimated Annual Revenue</b> |              |                  |         |          |         |          |                          |                            |                        |  |  |   |   |   |               |                       |  |                    |               |
| 1                               | CCP 22-40-24 | CR 783           | 32.5700 | -86.4000 | 33.4000 | -86.6000 | X                        |                            | 3.99                   | Resurfacing and Traffic Striping/Marking from AHwy 91 to US 278              | \$473,461.45   |   | \$473,461.45  | CRAF/FAEF   | \$73,461.45   | \$400,000.00          |  |                    |               |
| 2                               | CCP 22-41-24 | CR 1224          | 34.2533 | -86.9721 | 34.2895 | -86.9469 | X                        |                            | 3.92                   | Widening, Resurfacing and Traffic Striping/Marking from US 157 to CR 1212    | \$916,155.64   |   | \$916,155.64  | CRAF  | \$916,155.64  |                       |  |                    |               |
| 3                               | CCP 22-42-24 | CR 1670          | 34.2241 | -86.7345 | 34.1959 | -86.6916 | X                        |                            | 3.20                   | Resurfacing and Traffic Striping/Marking from Hwy 69 to Duck River Reservoir | \$442,853.88   |   | \$442,853.88  | CRAF  | \$250,000.00  |                       |  |                    |               |
| <b>Total/ Page Totals</b>       |              |                  |         |          |         |          |                          |                            |                        |  | <b>Total Miles Addressed by CTP (Total Mileage Does Not Include Bridge Projects)</b> | <b>11.11</b>  | <b>Total CTP Estimated Costs</b>                      | <b>\$1,832,470.77</b>   | <b>\$0.00</b> | <b>\$1,832,470.77</b> | <b>Total CRAF/FAEF Remaining Estimated</b> | <b>\$60,382.91</b> | <b>\$0.00</b> |

Note: Any Amendments to the CTP shall follow the same guidelines and procedures as the original approval process.

Remarks

**ACCA LEGISLATIVE COMMITTEE NOMINEE FORM**

On July 18, 2023 (date), by majority vote of the  
Cullman (county) County Commission,  
Judge / Chairman / Commissioner (circle one)  
Kerry Watson (name) was appointed to serve  
on the 2023-2024 ACCA Legislative Committee.

Signature   
County Administrator

*Please return this form to Lisa Fiore by email (lfiore@alabamacounties.org) or fax  
(334-263-7678) before the August 1, 2023 deadline.*

July 7, 2023

Jeff Clemons, Chairman  
Cullman County Commission  
500 2nd Avenue S.W., Room 105  
Cullman, Alabama 35055

Re: G17 Disclosures / Underwriter Engagement Letter  
Cullman County (AL) General Obligation Bonds, Series 2023 (the "Securities")

Dear Chairman Clemons:

On behalf of Piper Sandler & Co. ("us" or "Piper Sandler"), we are writing concerning a potential municipal securities transaction as identified above. This letter confirms that you engage Piper Sandler as an underwriter respecting the Securities, subject to the conditions and limitations described below.

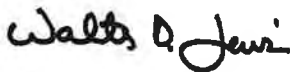
This engagement is preliminary in nature, non-binding and may be terminated at any time by you or us. Although you intend or reasonably expect to use Piper Sandler as an underwriter respecting the Securities, this engagement is subject to any applicable procurement laws and the formal approval of Piper Sandler as underwriter by your board or governing body, and is also subject to mutual agreement as to the final structure for the Securities and the terms and conditions of a bond purchase or similar agreement. This engagement does not restrict you from using other underwriters respecting the Securities or any other municipal securities transaction or prevent you from delaying or cancelling the Bond issue or selecting an underwriting syndicate that does not include Piper Sandler.

As an underwriter, Piper Sandler may provide advice concerning the structure, timing, terms, and other similar matters concerning the Securities. However, Piper Sandler intends to serve as an underwriter and not as a financial advisor to you, and the primary role of Piper Sandler is to purchase securities for resale to investors in an arm's-length commercial transaction between you and Piper Sandler. Piper Sandler has financial and other interests that differ from your interests.

Attached to this letter are regulatory disclosures required by the Securities and Exchange Commission and the Municipal Securities Rulemaking Board to be made by us at this time because of this engagement. We may be required to send you additional disclosures regarding the material financial characteristics and risks of such transaction or describing any conflicts. At that time, we also will seek your acknowledgement of receipt of any such additional disclosures. It is our understanding that you have the authority to bind the issuer by contract with us, and that you are not a party to any conflict of interest relating to the Securities. If our understanding is incorrect, please notify the undersigned immediately.

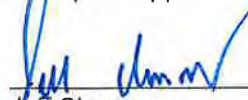
We wish to receive your written acknowledgement that you have received the Appendix A disclosures and that this engagement is approved. Accordingly, please send me an email to that effect or sign and return the enclosed copy of this letter to me.

Sincerely,



Walter D. Lewis  
Managing Director  
Piper Sandler & Co.

Acknowledgement and Approval of Engagement and  
Receipt of Appendix A Disclosures



Jeff Clemons  
Chairman  
Cullman County Commission

Date: 7/18/23

## Appendix A – G-17 Disclosure

Thank you for engaging Piper Sandler & Co. (“Piper Sandler”) to serve as your underwriter. We are writing to provide you with certain disclosures relating to the captioned bond issue (Bonds), as required by Municipal Securities Rulemaking Board (MSRB) Rule G-17 as set forth in MSRB Notice 2019-20 (Nov. 8, 2019).<sup>1</sup>

Piper Sandler & Co. intends to serve as an underwriter, and not as a financial advisor or municipal advisor, in connection with the issuance of the Bonds. As part of our underwriting services, we may provide advice concerning the structure, timing, terms, and other similar matters concerning the issuance of the Bonds.

The following G-17 conflict of interest disclosures are now broken down into three types, including: 1) dealer-specific conflicts of interest disclosures (if applicable); 2) transaction-specific disclosures (if applicable); and 3) standard disclosures.

### ***Dealer-Specific Conflicts of Interest Disclosures***

Piper Sandler has identified the following actual or potential<sup>2</sup> material conflicts of interest:

- We have entered into a separate agreement with Charles Schwab & Co., Inc. that enables Charles Schwab & Co., Inc. to distribute certain new issue municipal securities underwritten by or allocated to us which could include the Bonds. Under that agreement, we will share with Charles Schwab & Co., a portion of the fee or commission paid to us.

### ***Transaction-Specific Disclosures***

- Disclosures Concerning Complex Municipal Securities Financing:
  - : Since we have not recommended a “complex municipal securities financing” to the Issuer or Obligor, additional disclosures regarding the financing structure for the Bonds are not required under MSRB Rule G-17.

### ***Standard Disclosures***

- Disclosures Concerning the Underwriters' Role:
  - MSRB Rule G-17 requires an underwriter to deal fairly at all times with both issuers and investors.
  - The underwriters' primary role is to purchase the Bonds with a view to distribution in an arm's-length commercial transaction with the Issuer. The underwriters have financial and other interests that differ from those of the Issuer.
  - Unlike a municipal advisor, an underwriter does not have a fiduciary duty to the Issuer under the federal securities laws and is, therefore, not required by federal law to act in the best interests of the Issuer without regard to its own financial or other interests.
  - The Issuer may choose to engage the services of a municipal advisor with a fiduciary obligation to represent the Issuer's interest in this transaction.
  - The underwriters have a duty to purchase the Bonds from the Issuer at a fair and reasonable price, but must balance that duty with their duty to sell the Bonds to investors at prices that are fair and reasonable.

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<sup>1</sup> Revised Interpretive Notice Concerning the Application of MSRB Rule G-17 to Underwriters of Municipal Securities (effective Mar. 31, 2021).

<sup>2</sup> When we refer to *potential* material conflicts throughout this letter, we refer to ones that are reasonably likely to mature into *actual* material conflicts during the course of the transaction, which is the standard required by MSRB Rule G-17.



- o The underwriters will review the official statement for the Bonds in accordance with, and a part of, their respective responsibilities to investors under the federal securities laws, as applied to the facts and circumstances of this transaction.<sup>3</sup>
- Disclosures Concerning the Underwriters' Compensation:
  - o The underwriters will be compensated by a fee and/or an underwriting discount that will be set forth in the bond purchase agreement to be negotiated and entered into in connection with the issuance of the Bonds. Payment or receipt of the underwriting fee or discount will be contingent on the closing of the transaction and the amount of the fee or discount may be based, in whole or in part, on a percentage of the principal amount of the Bonds. While this form of compensation is customary in the municipal securities market, it presents a conflict of interest since the underwriters may have an incentive to recommend to the Issuer a transaction that is unnecessary or to recommend that the size of the transaction be larger than is necessary.

If you or any other Issuer officials have any questions or concerns about these disclosures, please make those questions or concerns known immediately to the undersigned. In addition, you should consult with the Issuer's own financial and/or municipal, legal, accounting, tax and other advisors, as applicable, to the extent you deem appropriate.

Please note that nothing in this letter should be viewed as a commitment by the underwriters to purchase or sell all the Bonds and any such commitment will only exist upon the execution of any bond purchase agreement or similar agreement and then only in accordance with the terms and conditions thereof.

You have been identified by the Issuer as a primary contact for the Issuer's receipt of these disclosures, and that you are not a party to any disclosed conflict of interest relating to the subject transaction. If our understanding is incorrect, please notify the undersigned immediately. We are required to seek your acknowledgement that you have received this letter. Accordingly, please send me an email to that effect, or sign and return the enclosed copy of this letter to me at the address set forth above. Otherwise, an email read receipt from you or automatic response confirming that our email was opened by you will serve as an acknowledgment that you received these disclosures.

Depending on the structure of the transaction that the Issuer decides to pursue, or if additional actual or potential material conflicts are identified, we may be required to send you additional disclosures regarding the material financial characteristics and risks of such transaction and/or describing those conflicts. At that time, we also will seek your acknowledgement of receipt of any such additional disclosures.

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<sup>3</sup> Under federal securities law, an issuer of securities has the primary responsibility for disclosure to investors. The review of the official statement by the underwriters is solely for purposes of satisfying the underwriters' obligations under the federal securities laws and such review should not be construed by an issuer as a guarantee of the accuracy or completeness of the information in the official statement.

## Appendix B – Fixed Rate Bonds

The following is a general description of the financial characteristics and security structures of fixed rate municipal bonds (“Fixed Rate Bonds”), as well as a general description of certain financial risks that are known to us and reasonably foreseeable at this time and that you should consider before deciding whether to issue Fixed Rate Bonds. If you have any questions or concerns about these disclosures, please make those questions or concerns known immediately to us. In addition, you should consult with your financial and/or municipal, legal, accounting, tax, and other advisors, as applicable, to the extent you deem appropriate.

### **Financial Characteristics**

**Maturity and Interest.** Fixed Rate Bonds are interest-bearing debt securities issued by state and local governments, political subdivisions and agencies and authorities, whether for their benefit or as a conduit issuer for a nongovernmental entity. Maturity dates for Fixed Rate Bonds are fixed at the time of issuance and may include serial maturities (specified principal amounts are payable on the same date in each year until final maturity) or one or more term maturities (specified principal amounts are payable on each term maturity date) or a combination of serial and term maturities. The final maturity date typically will range between 10 and 30 years from the date of issuance. Interest on the Fixed Rate Bonds typically is paid semiannually at a stated fixed rate or rates for each maturity date.

**Redemption.** Fixed Rate Bonds may be subject to optional redemption, which allows you, at your option, to redeem some or all the bonds on a date prior to scheduled maturity, such as in connection with the issuance of refunding bonds to take advantage of lower interest rates. Fixed Rate Bonds will be subject to optional redemption only after the passage of a specified period, often approximately ten years from the date of issuance, and upon payment of the redemption price set forth in the bonds, which may include a redemption premium. You will be required to send out a notice of optional redemption to the holders of the bonds, usually not less than 30 days prior to the redemption date. Fixed Rate Bonds with term maturity dates also may be subject to mandatory sinking fund redemption, which requires you to redeem specified principal amounts of the bonds annually in advance of the term maturity date. The mandatory sinking fund redemption price is 100% of the principal amount of the bonds to be redeemed.

### **Security**

Payment of principal of and interest on a municipal security, including Fixed Rate Bonds, may be backed by various types of pledges and forms of security, some of which are described below.

**General Obligation Bonds.** “General obligation (GO) bonds” are debt securities to which your full faith and credit is pledged to pay principal and interest. If you have taxing power, generally you will pledge to use your ad valorem (property) taxing power to pay principal and interest. The debt service on “unlimited tax” GO bonds are paid from ad valorem taxes which are not subject to state constitutional property tax millage limits, whereas “limited tax” GO Bonds are subject to such limits.

General obligation bonds constitute a debt and, depending on applicable state law, may require that you obtain approval by voters prior to issuance. In the event of default in required payments of interest or principal, the holders of general obligation bonds generally will have certain rights under state law to compel you to impose a tax levy.

**Revenue Bonds.** “Revenue bonds” are debt securities that are payable only from a specific source or sources of revenues. Revenue bonds are not a pledge of your full faith and credit, and you (or, if you are a conduit issuer, the obligor, as described in the following paragraph) are obligated to pay principal and interest on your revenue bonds only from the revenue source(s) specifically pledged to the bonds. Revenue bonds do not permit the bondholders to compel you to impose a tax levy for payment of debt service. Pledged revenues may be derived from operation of the financed project or system, grants or excise or other specified taxes. Generally, subject to state law or local charter requirements, you are not required to obtain voter approval prior to issuance of revenue bonds. If the specified source(s) of revenue become inadequate, a default in payment of principal or interest may occur. Various types of pledges of revenue may be used to secure interest and principal payments on revenue bonds. The nature of these pledges may differ widely based on state law, the type of issuer, the type of revenue stream and other factors.

Some revenue bonds (conduit revenue bonds) may be issued by a governmental issuer acting as a conduit for the benefit of a private sector entity or a 501(c)(3) organization (the obligor). Conduit revenue bonds commonly are issued for not-for-profit hospitals, educational institutions, single and multi-family housing, airports, industrial or economic development projects, and student loan programs, among other obligors. Principal and interest on conduit revenue bonds normally are paid exclusively from revenues pledged by the obligor. Unless otherwise specified under the terms of the bonds, you are not required to make payments of principal or interest if the obligor defaults.

The description above regarding “Security” is only a summary of certain possible security provisions for the bonds and is not intended as legal advice. You should consult with your bond counsel for further information regarding the security for the bonds.

## **Financial Risk Considerations**

Certain risks may arise in connection with your issuance of Fixed Rate Bonds, including some or all the following (generally, the obligor, rather than the issuer, will bear these risks for conduit revenue bonds):

**Issuer Default Risk.** You may be in default if the funds pledged to secure your bonds are not enough to pay debt service on the bonds when due. The consequences of a default may be serious for you and, depending on applicable state law and the terms of the authorizing documents, the holders of the bonds, the trustee and any credit support provider may be able to exercise a range of available remedies against you. For example, if the bonds are secured by a general obligation pledge, you may be ordered by a court to raise taxes. Other budgetary adjustments also may be necessary to enable you to provide sufficient funds to pay debt service on the bonds. If the bonds are revenue bonds, you may be required to take steps to increase the available revenues that are pledged as security for the bonds. A default may negatively impact your credit ratings and may effectively limit your ability to publicly offer bonds or other securities at market interest rate levels. Further, if you are unable to provide sufficient funds to remedy the default, subject to applicable state law and the terms of the authorizing documents, you may find it necessary to consider available alternatives under state law, including (for some issuers) state-mandated receivership or bankruptcy. A default also may occur if you are unable to comply with covenants or other provisions agreed to in connection with the issuance of the bonds.

This description is only a summary of issues relating to defaults and is not intended as legal advice. You should consult with your bond counsel for further information regarding defaults and remedies.

Bonds payable from the general fund, particularly bonds without a defined revenue stream identified to pay debt service, reduce your flexibility to balance the general fund. Because a fixed debt service payment is required to be paid regardless of how your general fund is impacted by

revenue losses or by increased expenses, you have less flexibility in the options available to you in assuring a balanced budget for your general fund.

**General Fund Obligations that are Project Based.** Some general fund obligations are issued for projects which are expected to generate revenues that will pay for some or all of the debt service on the bonds. In the event the project does not generate the anticipated levels of revenues available for debt service, or, in the extreme case, does not create any revenue available for debt service, you may need to make payments from other available general fund revenues. This may force you to reduce other expenditures or to make difficult decisions about how to pay your debt service obligation while meeting other expenditure needs.

**General Fund Obligations that are Subject to Annual Appropriation.** Some general fund obligations require that debt service is subject to annual appropriation by your governing body. If your governing body decides not to appropriate payments for debt service, your credit ratings may be negatively impacted and you may be forced to pay a higher interest rate on future debt issuance or may be unable to access the market for future debt issuance.

For all bonds, a default may negatively impact your credit ratings and may effectively limit your ability to publicly offer bonds or other securities at market interest rate levels. Further, if you are unable to provide sufficient funds to remedy the default, subject to applicable state law and the terms of the authorizing documents, it may be necessary for you to consider available alternatives under state law, including (for some issuers) state-mandated receivership or bankruptcy. A default also may occur if you are unable to comply with covenants or other provisions agreed to in connection with the issuance of the bonds.

**Redemption Risk.** Your ability to redeem the bonds prior to maturity may be limited, depending on the terms of any optional redemption provisions. If interest rates decline, you may be unable to take advantage of the lower interest rates to reduce debt service.

**Refinancing Risk.** If your financing plan contemplates refinancing some or all the bonds at maturity (for example, if you have term maturities or if you choose a shorter final maturity than might otherwise be permitted under the applicable federal tax rules), market conditions or changes in law may limit or prevent you from refinancing those bonds when required.

**Reinvestment Risk.** You may have proceeds from the issuance of the bonds available to invest prior to the time that you are able to spend those proceeds for the authorized purpose. Depending on market conditions, you may not be able to invest those proceeds at or near the rate of interest that you are paying on the bonds, which is referred to as “negative arbitrage”.

**Tax Compliance Risk.** The issuance of tax-exempt bonds is subject to several requirements under the United States Internal Revenue Code, as enforced by the Internal Revenue Service (IRS). You must take certain steps and make certain representations prior to the issuance of tax-exempt bonds. You also must covenant to take certain additional actions after issuance of tax-exempt bonds. A breach of your representations or your failure to comply with certain tax-related covenants may cause the interest on bonds to become taxable retroactively to the date of issuance of the bonds, which may result in an increase in the interest rate that you pay on the bonds or the mandatory redemption of the bonds. The IRS also may audit you or your bonds, in some cases on a random basis and in other cases targeted to specific types of bond issues or tax concerns. If tax-exempt bonds are declared taxable, or if you are subject to audit, the market price of your bonds may be adversely affected. Further, your ability to issue other tax-exempt bonds also may be limited.

This description of tax compliance risks is not intended as legal advice and you should consult with your bond counsel regarding tax implications of issuing the bonds.

**PHILIP WIDNER, P.E.**  
County Engineer  
pwidner@co.cullman.al.us



**JON BRUNNER, P.E.**  
Assistant Engineer  
jbrunner@co.cullman.al.us

## **Cullman County Engineering Department**

2883 Highway 69 North - Cullman, AL 35058  
Phone: 256-796-1336    Fax: 256-796-7039

July 5, 2023

### **Proposed considerations for upcoming Commission meeting on July 18, 2023.**

- Proposed plat Serenity Pointe Cabins Phase 1. A minor subdivision containing 2 Lots located off County Road 338.

**PHILIP WIDNER, P.E.**  
County Engineer  
pwidner@co.cullman.al.us



**JON BRUNNER, P.E.**  
Assistant Engineer  
jbrunner@co.cullman.al.us

## **Cullman County Engineering Department**

2883 Highway 69 North - Cullman, AL 35058

Phone: 256-796-1336    Fax: 256-796-7039

July 5, 2023

### **Proposed considerations for upcoming Commission meeting on July 18, 2023.**

- Proposed plat Wilson Hill Subdivision. A minor subdivision containing 2 Lots located at 12188 Hwy 278 East Holly Pond.

|                            | Vulcan | CA Lanford | Wiregrass | Whitaker |
|----------------------------|--------|------------|-----------|----------|
| ALDOT #2 Crushed Limestone | 22     | 19         | 18.15     | 17.5     |
| ALDOT #4                   | 22     | 18.5       | 18.4      | 17.5     |
| ALDOT #5 (Washed)          | 22     | 18.5       | 18.4      | 18.5     |
| ALDOT #57                  | 22     | 18.5       | 18.55     | 17       |
| ALDOT #6 (Washed)          | 22     | 19         | 18.8      | 18.5     |
| ALDOT #67                  | 22     | 19.5       | 18.8      | 17       |
| ALDOT #7 or #78 (Washed)   | 24.5   | 23         | 19.05     | 19       |
| ALDOT #8 (Washed)          | No Bid | 25         | 19.4      | 19.5     |
| ALDOT #810 OR #8910        | 10     | 19         | 18.4      | 12       |
| ALDOT #89                  | No Bid | 20         | 19.4      | 19       |
| ALDOT #10                  | No Bid | 25         | No Bid    | No Bid   |
| 3/4" Crusher Run           | 16.25  | 18.5       | 17.55     | 15.5     |
| 1" Crusher Run             | 16.25  | 18.5       | 17.55     | 15.5     |
| 1 1/4" Crusher Run         | No Bid | 18.5       | 17.55     | 15.5     |
| 1 1/2" Crusher Run         | 16.25  | 18.5       | 17.55     | 15.5     |
| Cusher Agg Base, Type B    | 16.5   | 20         | 17.65     | 15.5     |
| Rip Rap I & II             | 23.75  | 22         | 20        | 20       |
| Rip Rap III & IV           | 26     | No Bid     | 24        | 21       |
| Rip Rap Quarry Run         | 19.75  | 18         | 18.25     | 17       |
| Commercal Screening AGG    | 10     | No Bid     | No Bid    | 15       |
| Total                      | 154.75 | 198        | 187.9     | 181.5    |





INVITATION TO BIDDERS

The Cullman County Commission will be receiving bids until 2:00 p.m. Tuesday, July 11, 2023 in Room 105 of the Cullman County Courthouse, Cullman, Alabama, for aggregate for the Cullman County Road Dept. and various municipalities in Cullman County. At this time sealed bids will be publicly opened and read aloud.

This bid will a cooperative bid between the Cullman County Commission and the following municipalities located within Cullman County. City of Good Hope, Town of Colony, Town of Garden City, Town of Dodge City, Town of Holly Pond, Town of Baileyton, Town of Fairview, Town of West Point, City of Hanceville, City of Cullman, Cullman County Commission on Education, and the Town of Berlin. Each participating governmental entity will be responsible for issuing its own purchase orders, deliver instructions, invoicing, insurance requirements, and issue its own tax exemption certificates as required by vendors.

The award of this bid will be made by the Cullman County Commission on behalf of all indicated governmental entities.

The Cullman County Commission reserves the right to reject any/or all bids and to waive any formalities in the bidding.

Any questions regarding this bid should be directed to Philip Widner, County Engineer, 256-796-1336.

COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535. AS AMENDED BY ACT 2012-491)

By signing this contract, grant, or other agreement, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom. The Contractor is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

**W-9 TAX DOCUMENTS and E-VERIFY ARE REQUIRED TO BE SUBMITTED WITH THIS BID. FAILURE TO DO SO WILL RESULT IN REJECTION OF BIDDERS SUBMITTAL**

Vulcan Materials Company  
Company

256-808-8285  
Phone/Fax

1200 Urban Center Dr  
Mailing Address

Todd Boyer  
Representative (Please Print)

Prichard, AL 35242

[Signature]  
Representative Signature

**BID PROPOSAL FOR COMMERCIAL AGGREGATE**

| <u>ITEM</u>                      | <u>BID PRICE</u><br><u>F.O.B. QUARRY</u> |
|----------------------------------|--|
| ALDOT #2 Crushed Limestone       | \$ <u>22.00</u> price per ton            |
| ALDOT #4                         | \$ <u>22.00</u> price per ton            |
| ALDOT #5 (Washed)                | \$ <u>22.00</u> price per ton            |
| ALDOT #57                        | \$ <u>22.00</u> price per ton            |
| ALDOT #6 (Washed)                | \$ <u>22.00</u> price per ton            |
| ALDOT #67                        | \$ <u>22.00</u> price per ton            |
| ALDOT #7 or #78 (Washed)         | \$ <u>24.50</u> price per ton            |
| ALDOT #8 (Washed)                | \$ <u>NO Bid</u> price per ton           |
| ALDOT #810 or 8910               | \$ <u>10.00</u> price per ton            |
| ALDOT #89                        | \$ <u>NO Bid</u> price per ton           |
| ALDOT #10                        | \$ <u>NO Bid</u> price per ton           |
| ¾" Crusher Run                   | \$ <u>16.25</u> price per ton            |
| 1" Crusher Run                   | \$ <u>16.25</u> price per ton            |
| 1 ¼" Crusher Run                 | \$ <u>NO Bid</u> price per ton           |
| 1 ½" Crusher Run                 | \$ <u>16.25</u> price per ton            |
| Crushed Aggregate Base. Type "B" | \$ <u>16.50</u> price per ton            |
| Rip-Rap. Class I & II            | \$ <u>23.75</u> price per ton            |
| Rip-Rap. Class III & IV          | \$ <u>26.00</u> price per ton            |
| Rip-Rap. Quarry Run. Ungraded    | \$ <u>19.75</u> price per ton            |

Commercial Screenings Aggregate meeting the following gradation for percent passing:

|      |        |                               |
|------|--------|-------------------------------|
| #8   | 80-90% |                               |
| #16  | 55-65% |                               |
| #50  | 25-35% |                               |
| #100 | 15-25% |                               |
| #200 | 10-20% | \$ <u>10.00</u> price per ton |

BMT-91 or equivalent test report(s) must be furnished upon request.

Cullman County reserves the right to jointly award the bid in a manner that affords the best value to Cullman County based off of transportation costs.

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The Cullman County Commission reserves the right to reject any/or all bids and to waive any formalities in the bidding.

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W-9 TAX DOCUMENTS and E-VERIFY ARE REQUIRED TO BE SUBMITTED WITH THIS BID. FAILURE TO DO SO WILL RESULT IN REJECTION OF BIDDERS SUBMITTAL

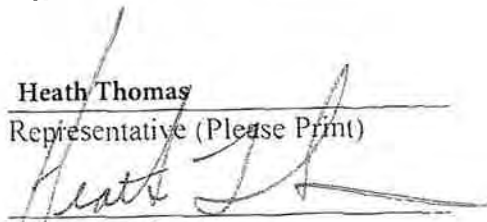
Whitaker Contracting Corp. dba Madison Materials  
Company

256-582-2636/256-582-2672  
Phone/Fax

P.O. Box 306  
Mailing Address

Heath Thomas  
Representative (Please Print)

Guntersville, Al. 35976

  
Representative Signature

**BID PROPOSAL FOR COMMERCIAL AGGREGATE**

| <u>ITEM</u>  | <u>BID PRICE</u><br><u>F.O.B. QUARRY</u> |
|--|--|
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| ALDOT #57  | \$ <u>18.55</u> price per ton            |
| ALDOT #6 (Washed)  | \$ <u>18.80</u> price per ton            |
| ALDOT #67  | \$ <u>18.80</u> price per ton            |
| ALDOT #7 or #78 (Washed)   | \$ <u>19.05</u> price per ton            |
| ALDOT #8 (Washed)  | \$ <u>19.40</u> price per ton            |
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| ALDOT #89  | \$ <u>19.40</u> price per ton            |
| ALDOT #10  | \$ <u>N/B</u> price per ton              |
| ¾" Crusher Run   | \$ <u>17.55</u> price per ton            |
| 1" Crusher Run   | \$ <u>17.55</u> price per ton            |
| 1 ¼" Crusher Run   | \$ <u>17.55</u> price per ton            |
| 1 ½" Crusher Run   | \$ <u>17.55</u> price per ton            |
| Crushed Aggregate Base, Type "B"   | \$ <u>17.65</u> price per ton            |
| Rip-Rap, Class I & II  | \$ <u>20.00</u> price per ton            |
| Rip-Rap, Class III & IV  | \$ <u>24.00</u> price per ton            |
| Rip-Rap, Quarry Run, Ungraded  | \$ <u>18.25</u> price per ton            |
| Commercial Screenings Aggregate meeting the following gradation for percent passing: |  |
| #8   | 80-90%                                   |
| #16  | 55-65%                                   |
| #50  | 25-35%                                   |
| #100   | 15-25%                                   |
| #200   | 10-20%                                   |
|  | \$ <u>N/B</u> price per ton              |

BMT-91 or equivalent test report(s) must be furnished upon request.

Cullman County reserves the right to jointly award the bid in a manner that affords the best value to Cullman County based off of transportation costs.

INVITATION TO BIDDERS

The Cullman County Commission will be receiving bids until 2:00 p.m. Tuesday, July 11, 2023 in Room 105 of the Cullman County Courthouse, Cullman, Alabama, for aggregate for the Cullman County Road Dept. and various municipalities in Cullman County. At this time sealed bids will be publicly opened and read aloud.

This bid will a cooperative bid between the Cullman County Commission and the following municipalities located within Cullman County. City of Good Hope, Town of Colony, Town of Garden City, Town of Dodge City, Town of Holly Pond, Town of Baileyton, Town of Fairview, Town of West Point, City of Hanceville, City of Cullman, Cullman County Commission on Education, and the Town of Berlin. Each participating governmental entity will be responsible for issuing its own purchase orders, deliver instructions, invoicing, insurance requirements, and issue its own tax exemption certificates as required by vendors.

The award of this bid will be made by the Cullman County Commission on behalf of all indicated governmental entities.

The Cullman County Commission reserves the right to reject any/or all bids and to waive any formalities in the bidding.

Any questions regarding this bid should be directed to Philip Widner, County Engineer, 256-796-1336.

COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, AS AMENDED BY ACT 2012-491)

By signing this contract, grant, or other agreement, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom. The Contractor is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

W-9 TAX DOCUMENTS and E-VERIFY ARE REQUIRED TO BE SUBMITTED WITH THIS BID. FAILURE TO DO SO WILL RESULT IN REJECTION OF BIDDERS SUBMITTAL

C.A. LANGFORD Co. INC  
Company

256 582-5773 / 256 582-4524  
Phone/Fax

2120 W ARRENTON RD  
Mailing Address

CHARLES A. LANGFORD III  
Representative (Please Print)

CULLMAN, AL 35956

Charles A. Langford III  
Representative Signature

**BID PROPOSAL FOR COMMERCIAL AGGREGATE**

| <u>ITEM</u>                      | <u>BID PRICE</u><br><u>F.O.B. QUARRY</u> |
|----------------------------------|--|
| ALDOT #2 Crushed Limestone       | \$ <u>19.00</u> price per ton            |
| ALDOT #4                         | \$ <u>18.50</u> price per ton            |
| ALDOT #5 (Washed)                | \$ <u>18.50</u> price per ton            |
| ALDOT #57                        | \$ <u>18.50</u> price per ton            |
| ALDOT #6 (Washed)                | \$ <u>19.00</u> price per ton            |
| ALDOT #67                        | \$ <u>19.50</u> price per ton            |
| ALDOT #7 or #78 (Washed)         | \$ <u>23.00</u> price per ton            |
| ALDOT #8 (Washed)                | \$ <u>25.00</u> price per ton            |
| ALDOT #810 or 8910               | \$ <u>19.00</u> price per ton            |
| ALDOT #89                        | \$ <u>24.00</u> price per ton            |
| ALDOT #10                        | \$ <u>25.00</u> price per ton            |
| ¾" Crusher Run                   | \$ <u>18.50</u> price per ton            |
| 1" Crusher Run                   | \$ <u>18.50</u> price per ton            |
| 1 ¼" Crusher Run                 | \$ <u>18.50</u> price per ton            |
| 1 ½" Crusher Run                 | \$ <u>18.50</u> price per ton            |
| Crushed Aggregate Base. Type "B" | \$ <u>20.00</u> price per ton            |
| Rip-Rap. Class I & II            | \$ <u>22.00</u> price per ton            |
| Rip-Rap. Class III & IV          | \$ <u>No Bid</u> price per ton           |
| Rip-Rap. Quarry Run, Ungraded    | \$ <u>18.00</u> price per ton            |

Commercial Screenings Aggregate meeting the following gradation for percent passing:

|      |        |                                |
|------|--------|--------------------------------|
| #8   | 80-90% |                                |
| #16  | 55-65% |                                |
| #50  | 25-35% |                                |
| #100 | 15-25% |                                |
| #200 | 10-20% |                                |
|      |        | \$ <u>No Bid</u> price per ton |

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COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT  
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**W-9 TAX DOCUMENTS and E-VERIFY ARE REQUIRED TO BE SUBMITTED WITH THIS BID. FAILURE TO DO SO WILL RESULT IN REJECTION OF BIDDERS SUBMITTAL**

Wiregrass Construction Company Inc

334-699-6800

Company

Phone/Fax

1830 Hartford Highway, Dothan AL 36301

Bryan Langdon

Mailing Address

Representative (Please Print)

  
Representative Signature

**BID PROPOSAL FOR COMMERCIAL AGGREGATE**

| <u>ITEM</u>                      | <u>BID PRICE</u><br><u>F.O.B. QUARRY</u> |
|----------------------------------|--|
| ALDOT #2 Crushed Limestone       | \$ <u>17.50</u> price per ton            |
| ALDOT #4                         | \$ <u>17.50</u> price per ton            |
| ALDOT #5 (Washed)                | \$ <u>18.50</u> price per ton            |
| ALDOT #57                        | \$ <u>17.00</u> price per ton            |
| ALDOT #6 (Washed)                | \$ <u>18.50</u> price per ton            |
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| ALDOT #8 (Washed)                | \$ <u>19.50</u> price per ton            |
| ALDOT #810 or 8910               | \$ <u>12.00</u> price per ton            |
| ALDOT #89                        | \$ <u>19.00</u> price per ton            |
| ALDOT #10                        | \$ <u>NB</u> price per ton               |
| ¾" Crusher Run                   | \$ <u>15.50</u> price per ton            |
| 1" Crusher Run                   | \$ <u>15.50</u> price per ton            |
| 1 ¼" Crusher Run                 | \$ <u>15.50</u> price per ton            |
| 1 ½" Crusher Run                 | \$ <u>15.50</u> price per ton            |
| Crushed Aggregate Base, Type "B" | \$ <u>15.50</u> price per ton            |
| Rip-Rap, Class I & II            | \$ <u>20.00</u> price per ton            |
| Rip-Rap, Class III & IV          | \$ <u>21.00</u> price per ton            |
| Rip-Rap, Quarry Run, Ungraded    | \$ <u>17.00</u> price per ton            |

Commercial Screenings Aggregate meeting the following gradation for percent passing:

|      |        |                               |
|------|--------|-------------------------------|
| #8   | 80-90% |                               |
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