

# LEGAL AFFAIRS DIVISION

## MISSION STATEMENT

The Mission of the Legal Affairs Division is to provide professional, cost-effective legal, safety, and risk management services, as well as ensure equal opportunity access and treatment to all stakeholders of the Authority.

## DIVISION OVERVIEW

The Legal Affairs Division is comprised of the Legal, Safety, and Risk Management Departments, and the Office of Equal Opportunity.

The Legal Department provides legal counsel and representation to the Board of Trustees and the Authority. Legal represents the GCRTA on major projects, personal injury, property damage, employment, labor, civil rights, debt collection, and contract matters. It also advises on procurement, general contract, real estate, personnel, liability, and labor matters.

The Office of Equal Opportunity ensures EEO/ADA and workplace harassment policy compliance.

The Safety Department provides accident prevention, bus system safety, industrial safety, facilities, and rail system safety program.

The Risk Management Department provides Workers' Compensation, as well as insurance expertise for the Authority and manages the purchases of both liability and property insurance consistent with GCRTA's level of self-insurance.

## 2017 ACCOMPLISHMENTS

- Provided efficient and cost-effective legal representation in all GCRTA litigation, transactional, and administrative matters
- Continued legal information program to apprise GCRTA departments of public sector legal issues that affect the Authority
- Supported construction projects and energy management initiatives
- Developed safety performance measures for managers and supervisors
- Continued a proactive approach to reducing bus and rail incidents
- Managed the Authority's EEO/ADA programs to ensure compliance with Federal, State, and local laws regarding employment practices, facilities, and services
- Investigated allegations of discrimination or non-compliance with equal opportunity policies and procedures
- Supported the Authority's Affirmative Action Plan
- Coordinated the Title VI Audit review conducted by FTA
- Worked to ensure compliance with all Federal, State, and local legislation and regulations and served as a liaison between the Authority and regulatory agencies
- Reduced Workers' Compensation on-the-job injuries
- Supported the implementation of MAP-21 and ISO 14001 programs
- Supported and enhanced the skills of the Claims employees through training opportunities

## 2018 PRIORITIES

- Provide efficient and cost-effective legal representation in all GCRTA litigation, transactional, and administrative matters
- Continue legal information program to apprise GCRTA departments of public sector legal issues that affect the Authority
- Support construction projects and energy management initiatives
- Continue safety performance measures for managers and supervisors
- Continue a proactive approach to reducing bus and rail incidents

- Continue the management of the Authority's EEO/ADA programs to ensure compliance with Federal, State, and local laws regarding employment practices, facilities, and services
- Continue to investigate allegations of discrimination or non-compliance with equal opportunity policies and procedures
- Continue to develop and monitor the Authority's Affirmative Action Plan
- Continue to ensure compliance with all Federal, State, and local legislation and regulations and serve as a liaison between the Authority and regulatory agencies
- Continue to negotiate the best terms and conditions available in the marketplace and most cost-effective renewal of GCRTA insurance programs
- Continue to monitor data entry and reporting requirements
- Support the implementation of MAP-21 and ISO 14001 programs
- Continue to update and improve our claims handling process
- Continue to review the claims process and procedures to produce best practices
- Continue to create a positive working environment that emphasizes teamwork and goal setting

## LIST OF DEPARTMENTS

Department Number	Department Name
15	Safety Department
21	Legal Department
	EEO/ADA
	Claims
22	Risk Management Department
	Workers' Compensation

# SAFETY DEPARTMENT

## MISSION STATEMENT

The Safety Department's Mission is to lead a proactive approach in decreasing On-the-Job injuries and preventable collisions. The safety of our passengers, our employees, and the general public is always our top priority.

## STRATEGIC PLAN CRITICAL ISSUES AND INDICATORS

Implementation of Safety policies, procedures, and training ensures the Authority can achieve the Vital Few Objective of Learning & Innovation to Achieve a Safety Culture. Through these practices and development of corrective actions, the Vital Few Objective of Voice of the Customer of Enhancing the Customer Experience can be achieved.

## 2017 ACCOMPLISHMENTS

- Performed off-shift inspections for a more comprehensive view of bus and rail safety evaluations
- Provided training on TSI certification for Safety Department personnel
- Enhanced safety procedures and training involving alternative fuels
- Continued enhancement of a safety culture within the Authority
- Developed corrective actions from audits and incidents
- Assisted with implementation of ISO 14001 at Hayden and Triskett Districts
- Determined areas for improvement in bus and audit bus similarly to rail
- Continued participation of Safety and Security Certification of Rail Transit projects
- Enhanced and provided safety efforts during the CAVS Championship games and Indian's Championship and World Series games

## 2018 PRIORITIES

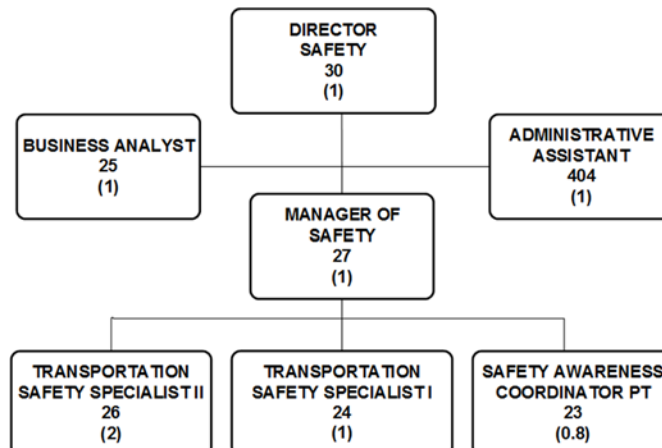
- Continue Safety procedures and training involving alternative fuels
- Continue enhancement of a safety culture within the Authority
- Develop corrective actions from audits and incidents
- Continue assistance with ISO 14001 at Hayden and Triskett Districts
- Identify areas of improvement with bus and bus audits
- Continue performing off-shift inspections of bus and rail safety evaluations
- Continue participation of Safety and Security Certification of Rail Transit projects
- Continue TSI certification and training of Safety Department personnel

## SAFETY DEPARTMENT BUDGET

Object Class	Description	2016 Actual	2017 Actual	2018 Budget	2018 Amended Budget
<b>501200</b>	Hourly Employees Payroll	3,184	15,679	39,998	39,998
<b>501210</b>	Overtime – Hourly Employees	0	1.0	0	0
<b>501300</b>	Labor - Salaried Employees	443,206	467,328	457,964	457,964
<b>501310</b>	Overtime - Salaried Employees	3,523	3497	0	0
<b>502000</b>	Fringe Benefits	167,956	195,219	174,925	174,925
<b>503000</b>	Services	185,325	142,697	62,500	62,500
<b>503049</b>	Temporary Help	23,704	0	0	0
<b>503052</b>	Other Maintenance Contracts	71,466	58,440	195,200	195,200
<b>504000</b>	Material & Supplies	22,615	19,672	27,500	27,500
<b>509000</b>	Miscellaneous Expenses	49,065	18,598	43,800	36,150
<b>509022</b>	Meals & Concessions	411	237	4,900	4,900
<b>Total</b>		<b>970,434</b>	<b>921,368</b>	<b>1,006,787</b>	<b>999,137</b>

## SAFETY DEPARTMENT STAFFING

Grade	Job Name	2015	2016	2017	2018
<b>04</b>	0404 Administrative Assistant	1.0	1.0	1.0	1.0
<b>23</b>	1151 Safety Awareness Coordinator PT	0.0	0.5	0.8	0.8
	1151 Safety Awareness Coordinator	1.0	1.0	0.0	0.0
<b>24</b>	1195 Transportation Safety Specialist I	0.0	0.0	1.0	1.0
<b>25</b>	1085 Business Analyst	1.0	1.0	1.0	1.0
<b>26</b>	1196 Transportation Safety Specialist II	2.0	2.0	2.0	2.0
<b>27</b>	0872 Manager of Safety	1.0	1.0	1.0	1.0
<b>30</b>	1443 Director	1.0	1.0	1.0	1.0
<b>Total</b>		<b>7.0</b>	<b>7.5</b>	<b>7.8</b>	<b>7.8</b>



# LEGAL DEPARTMENT

## MISSION STATEMENT

The mission of the Legal Department is to provide comprehensive and effective legal services to the Authority including representing the Authority in lawsuits, administrative and arbitration hearings, preparing legal opinions, documents, and providing advice in labor negotiations.

## STRATEGIC PLAN CRITICAL ISSUES AND INDICATORS

Through legal counsel, EEO/ADA services, and claims processing, the Legal Department ensures the Authority can achieve the Vital Few Objective of Learning and Innovation through Improving Employee Development and VFO Fiscal Responsibility through Enhancing Fiscal Responsibility by providing comprehensive and effective services.

## 2017 ACCOMPLISHMENTS

- Provided legal service to the Authority including tort and contract claims; Workers' Compensation cases and associated lawsuits; Federal, State, and local administrative proceedings and hearings; grievance hearings, and labor negotiations
- Conducted training sessions on significant legal topics affecting the Authority
- Conducted investigations on all EEO and ADA allegations
- Provided legal support for all phases of development projects, land use, and acquisition
- Provided legal support for the development, drafting, and revision of policies and procedures, including those for Procurement, contract, and personnel forms
- Provided support for public records compliance
- Provided support for update of GCRTA Board Code Book

## 2018 PRIORITIES

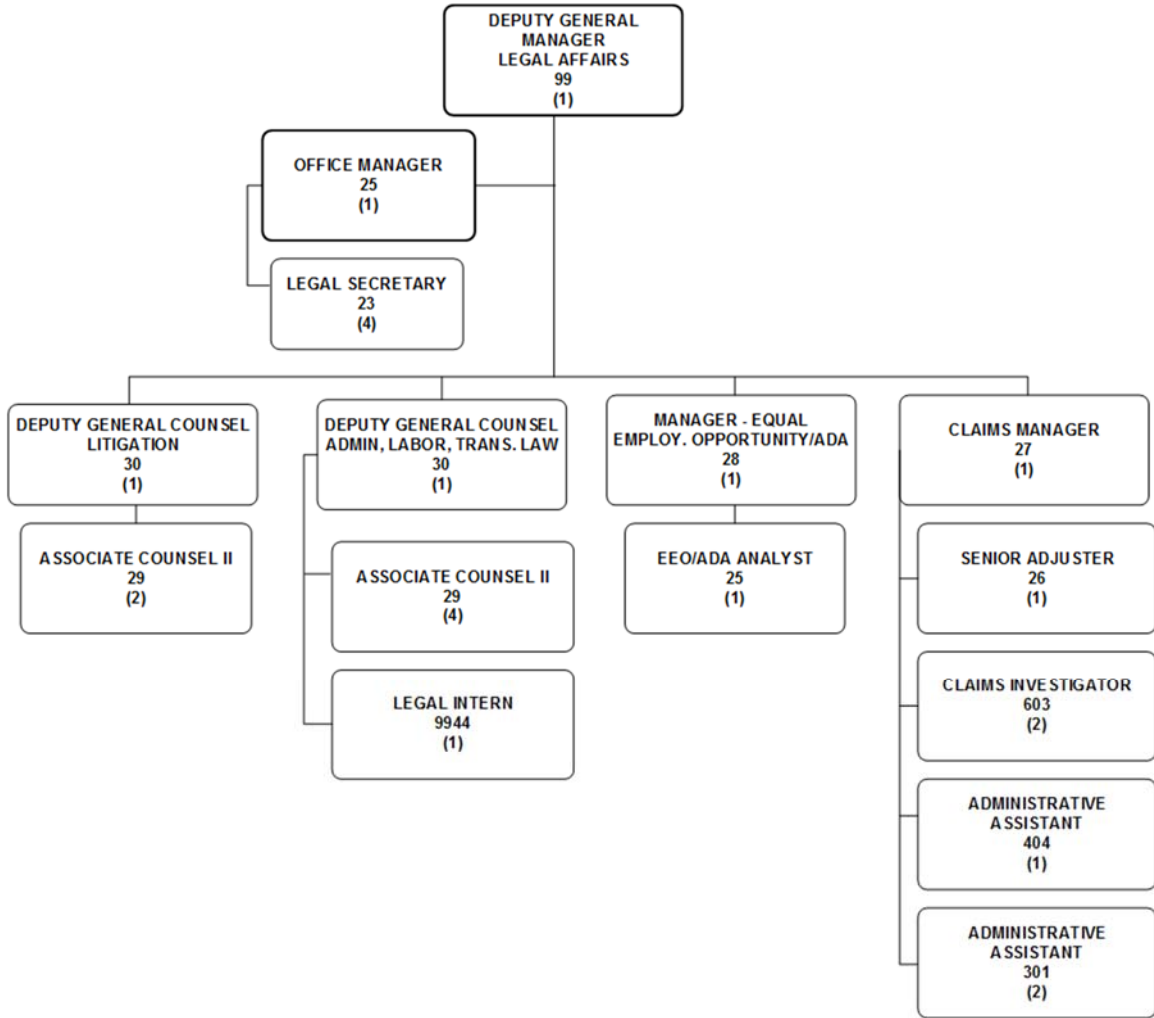
- Provide legal service to the Authority including tort and contract claims; Workers' Compensation cases and associated lawsuits; Federal, State, and local administrative proceedings and hearings; grievance hearings, and labor negotiations
- Conduct training sessions on significant legal topics affecting the Authority
- Conduct investigations on all EEO and ADA allegations
- Provide legal support for all phases of development projects, land use, and acquisition
- Provide legal support for the development, drafting, and revision of policies and procedures, including those for Procurement, contract, and personnel forms

## LEGAL DEPARTMENT BUDGET

Object Class	Description	2016 Actual	2017 Actual	2018 Budget	2018 Amended Budget
501200	Hourly Employees Payroll	27,170	26,023	32,000	32,000
501210	Hourly Overtime	6	0	0	0
501300	Labor - Salaried Employees	1,681,065	1,744,449	1,726,214	1,762,110
501310	Overtime - Salaried Employees	4,580	1,765	0	0
502000	Fringe Benefits	617,593	672,712	598,836	756,768
503000	Services	169,945	509,292	331,000	331,000
503049	Temporary Help	80,779	33,477	40,000	40,000
504000	Material & Supplies	7,215	5,046	8,700	8,450
506040	Liabilities & Property Claims	1,216,285	1,054,133	1,450,000	1,175,000
509000	Miscellaneous Expenses	29,808	27,964	21,800	12,700
509022	Meals & Concessions	744	345	2,500	2,500
512000	Leases & Rentals	34,302	31,905	53,760	53,760
<b>Total</b>		<b>3,869,491</b>	<b>4,107,112</b>	<b>4,264,810</b>	<b>4,174,288</b>

## LEGAL DEPARTMENT STAFFING

Grade	Job Name	2015	2016	2017	2018
01	9944 Legal Intern	1.0	1.0	1.0	1.0
03	0301 Administrative Assistant	2.0	2.0	2.0	2.0
04	0404 Administrative Assistant	1.0	1.0	1.0	1.0
06	0603 Claims Investigator	2.0	2.0	2.0	2.0
23	0724 Legal Secretary	4.0	4.0	4.0	4.0
25	1675 Office Manager	1.0	1.0	1.0	1.0
	1720 EEO & ADA Specialist	1.0	1.0	1.0	1.0
26	0876 Senior Adjuster	1.0	1.0	1.0	1.0
27	0773 Manager Claims	1.0	1.0	1.0	1.0
28	0880 Manager EEO/ADA	1.0	1.0	1.0	1.0
29	1440 Associate Counsel II	6.0	6.0	6.0	6.0
30	1618 Deputy Counsel – Litigation	1.0	1.0	1.0	1.0
	1680 Deputy General Counsel	1.0	1.0	1.0	1.0
99	9951 DGM Legal Affairs	1.0	1.0	1.0	1.0
<b>Total</b>		<b>24.0</b>	<b>24.0</b>	<b>24.0</b>	<b>24.0</b>



# RISK MANAGEMENT DEPARTMENT

## MISSION STATEMENT

The mission of the Risk Management Department is to protect the assets of the Authority from catastrophic losses through risk identification and analysis, risk avoidance, mitigation, and risk transfer. The Department is also responsible for managing the Authority's property and casualty insurance and self-insurance programs, and Workers' Compensation.

## STRATEGIC PLAN CRITICAL ISSUES AND INDICATORS

Through risk identification and analysis, and well as managing the Authority's insurance programs, the Risk Management Department ensures the Authority can achieve the Vital Few Objective of Learning and Innovation through Improving Employee Development and VFO Fiscal Responsibility through Enhancing Fiscal Responsibility by providing comprehensive and effective services.

## 2017 ACCOMPLISHMENTS

- Provided Risk Management expertise to Legal, Procurement, and Engineering Departments for on-going construction projects and procurements
- Held the focus on workplace injuries and the frequency and cost reductions, as well as the increased accountability by District personnel
- Negotiated the best terms and conditions available in the market place and most cost effective renewal for property/casualty insurance programs for GCRTA
- Continued Risk Assessment exercises for cyber liability risk exposures for the Authority via completion of insurance application along with IT, other stakeholders and Casualty Insurance Broker
- Worked with Casualty Insurance Broker to finalize W/C and Liability Claim audits and implement recommendations for improvement of W/C and Liability claim processes and results to ensure alignment with industry best practices

## 2018 PRIORITIES

- Provide Risk Management expertise to Legal, Procurement, and Engineering Departments for on-going construction projects and procurements
- Hold the focus on workplace injuries and the frequency and cost reductions, as well as the increased accountability by District personnel
- Negotiate the best terms and conditions available in the market place and most cost effective renewal for property/casualty insurance programs for GCRTA
- Complete Risk Assessment exercises for cyber liability risk exposures for the Authority via completion of insurance application along with IT, other stakeholders and Casualty Insurance Broker
- Work with Casualty Insurance Broker to finalize W/C and Liability Claim audits and implement recommendations for improvement of W/C and Liability claim processes and results to ensure alignment with industry best practices



## RISK MANAGEMENT DEPARTMENT BUDGET

Object Class	Description	2016 Actual	2017 Actual	2018 Budget	2018 Amended Budget
501200	Hourly Employees Payroll	2,914	149	0	0
501300	Labor - Salaried Employees	489,732	483,491	471,062	505,491
501310	Overtime - Salaried Employees	39	285	0	0
502000	Fringe Benefits	187,126	195,405	183,330	438,993
502071	W/C – Injuries & Damages	925,079	817,271	1,150,000	925,000
502082	W/C – Medical Payments	537,583	421,540	750,000	625,000
503000	Services	256,241	262,512	299,500	299,500
503030	W/C Administration Fee	398,561	381,593	349,000	349,000
503049	Temporary Help	18,401	68,461	0	0
504000	Material & Supplies	2,458	3,903	4,200	4,200
506000	Casualty & Liability Costs	395,633	358,843	414,379	414,379
506010	Physical Damage Insurance	543,825	490,412	657,854	626,854
506040	Liability & Property Claims	(450)	0	0	0
506200	W/C – Settlement & Lawsuit Expense	76,000	140,050	215,000	190,000
509000	Miscellaneous Expenses	2,379	4,598	3,235	1,035
509022	Meals & Concessions	0	0	50	0
<b>Total</b>		<b>3,835,521</b>	<b>3,628,514</b>	<b>4,497,610</b>	<b>4,379,452</b>

## RISK MANAGEMENT DEPARTMENT STAFFING

Grade	Job Name	2015	2016	2017	2018
03	0322 Workers' Comp Clerk	1.0	1.0	1.0	1.0
23	0757 Administrative Assistant	1.0	1.0	1.0	1.0
25	0885 Risk Analyst I	1.0	1.0	1.0	1.0
	1627 RTW – Transitional Coordinator	0.5	0.5	0	0
26	0905 Risk Analyst II	1.0	1.0	1.0	1.0
	1165 Workers' Comp/Dis Claim Examiner	3.0	3.0	3.0	3.0
30	0771 Director	1.0	1.0	1.0	1.0
<b>Total</b>		<b>8.5</b>	<b>8.5</b>	<b>8.0</b>	<b>8.0</b>

