



Survival Factors- Crashworthiness Investigation Attachment
CTA Safety Plan- Safety Management System for Rail-
Emergency Preparedness Plan

Chicago, IL

RRD24MR002

(6 pages)

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inspect and verify when it is safe to resume work.

3.4 Emergency Preparedness and Response Plan

The Chicago Transit Authority's Emergency Procedures Plan (EPP) identifies the emergency response objectives, defines the roles and responsibilities of CTA employees and codifies the CTA's interagency coordination with federal, regional, state and local officials. The EPP establishes an integrated response within the organization's chain of command that provides the highest state of readiness to minimize injury, loss of life, to protect property and maintain or restore service during emergencies.

The EPP is designed for managing emergencies that would require coordination by the Accountable Executive and Executive Management of various functional departments, and catastrophic incidents that would require assistance and coordination with City, County, State, and Federal partners. The need for coordinated emergency operations in conjunction with public safety partners is what distinguishes the major emergencies and catastrophes that this plan is designed to address from the emergencies that occur on a daily or routine basis.

The EPP establishes the command and control process and structure based on the current Chicago Transit Authority (CTA) chain of command for 24-hour a day coverage to address internal, large-scale and external emergencies, disasters and catastrophic events.

3.4.1 Purpose:

Upon declaration of an emergency by the Accountable Executive or designee the plan will:

- A. Set forth the fundamental policies, situations and assumptions, a concept of operations for response and restoration of service, as well as the responsibilities of departments during emergencies.
- B. Organize the roles and responsibilities of departments that become involved in internal and external large-scale emergencies, and catastrophic events.
- C. Require management and exempt employees to provide 24-hour coverage on two, twelve-hour shifts, seven days a week until the emergency has concluded, and the CTA returns to normal service as detailed in the Continuity of Operations Plan (COOP).
- D. Describe the process to be utilized by departments during response and recovery (restoration of normal service) operations.
- E. Require the utilization of the Incident Command System (ICS) for internal emergencies as well as Unified Command (UC) for external emergencies involving outside agencies and governmental bodies.
- F. Serve as the foundation for the development of detailed supplemental plans and procedures such as the CTA Winter Plan, CTA Central Business District Evacuation Plan and Airport Evacuation Plans.
- G. Provide the connection between CTA emergency operations and NIMS and the National Response Framework as promulgated by the Department of Homeland Security as well as the City of Chicago Emergency Procedures Plan.

3.4.2 Internal Roles & Responsibilities

The EPP describes the roles and responsibilities of all departments which may become involved in an internal large-scale or external emergency. The responsibilities of each department follow the current lines of corporate responsibility but can be flexible depending on the operational phase and variables specific to the emergency. The ICS/UC structure will provide protocols and guidance to determine operational responsibilities depending upon which department has the



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responsibility, authority or expertise required by an emergency.

All Employees and Departments should:

- A. Assist with accomplishing objectives established by Executive Management, requesting and managing resources, and providing Situational Awareness and Damage Assessment reports as required;
- B. Assign incident-specific roles to team members based upon the nature of the emergency, and develop a team roster to ensure staffing coverage for the anticipated duration of the emergency;
- C. Have a recorded log of decisions made, and the context and basis under which the decision was made;
- D. Receive objectives from Executive Management and put in place an organizational structure, operations plan, timetable, and resource requirements list, as required to accomplish the work;
- E. Provide progress updates at time intervals to be established by Situation Room Participants when the CTA Emergency Operations Center is activated;

For more specific CTA Departmental Responsibilities, please see the Chicago Transit Authority's Departmental Responsibilities section of the CTA Emergency Procedure Plan.

The Lead, Fire Response is a key CTA representative when an emergency occurs, and external coordination is required. The Lead, Fire Response shall respond to:

- A. Events received from the Control Center or event notifications from but not limited to Infrastructure, Rail/Bus Operations, Security, Fire, Police, MABAS, Airport Operations Center, OEMC, Municipalities, etc.
- B. Events which V.P. Safety & CSSO deem necessary.
- C. Events the General Manager of Fire Protection, Emergency Response deems necessary. This response is in association with the proactive approach to any situation that is observed or reported on.
- D. All derailments.
- E. All evacuations.
- F. Trapped trains when the Fire Departments are responding.
- G. Reports of fire or smoke of major significance in the subway are an automatic response.
- H. All CTA equipment fires where flames are confirmed on in service CTA buses, trains, or in the passenger area.
- I. Fire or smoke in CTA structures. Including all fire alarm activation regardless if it is from malicious, accidental, or surges in the system that do not warrant a response, but visible smoke or fire would require one.
- J. Occurrences adjacent to the right-of-way which may have an impact on service or safety. Such as a fire or building collapse.
- K. Persons under or trapped by a train or bus.
- L. Events in which a person contacts with the 3rd rail
- M. Events where vehicle has struck a train.
- N. Events that will have a major impact on CTA service.

3.4.3 External Roles and Responsibilities

External coordination is required for use during internal large-scale and external emergencies, but not limited to natural disasters, transportation or technological incidents/accidents, threats or realization of terrorism, severe property damage, multiple injuries and loss of life.



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The CTA coordinates emergency preparedness with a variety of local emergency management agencies that may share responsibility in the event of an emergency or other cross-jurisdictional event. These agencies include:

City of Chicago Office of Emergency Management and Communications (OEMC) performs 911 and 311 Operations; coordinate the City's Homeland Security planning and response efforts; provide logistics and resource management; provide traffic management; coordinate financial reimbursement processes via IEMA; lead the City's recovery efforts.

Local Municipal Fire Departments perform fire suppression and investigation, search & rescue operations, triage, treatment & transport; assist in population protection; mitigate hazardous material incidents. CTA coordinates fire response and emergency activities with the fire departments of Chicago, Cicero, Evanston, Forest Park, Oak Park, Rosemont, Skokie, and Wilmette.

Local Municipal Police Departments provide law enforcement, public safety & security, and population protection services. CTA coordinates law enforcement activities with the police departments of Chicago, Cicero, Evanston, Forest Park, Oak Park, Rosemont, Skokie, and Wilmette.

Chicago Department of Streets and Sanitation provides traffic services, heavy equipment and manpower support; perform damage assessment and debris management.

Illinois Department of Transportation (IDOT) District 1 provides resources on debris removal and coordination of some highway or street closures.

Illinois Emergency Management Agency prepares the State of Illinois for natural, manmade or technological disasters, hazards, or acts of terrorism. IEMA coordinates the State's disaster mitigation, preparedness, response and recovery programs and activities, functions as the State Emergency Response Commission, and maintains a 24-hour Communication Center and State Emergency Operations Center (SEOC).

Illinois Terrorism Task Force is the local representatives of the FBI who analyze intelligence from dozens of U.S. law enforcement agencies in the investigation and analysis of domestic and international terrorism. They then communicate to the CPD Mass Transit unit and through CTA Security Services to provide updates or alerts.

3.4.4 Emergency Communications

The CTA Control Center Operations (CCO) Department manages the communication and traction power distribution for the CTA. The CCO is also responsible for the direction of operation and communications with all CTA vehicles in revenue service and can communicate with all CTA resources system wide. In addition, the Control Center Operations is responsible for maintaining, removing and restoring the 600-volt traction power throughout the CTA Rail System and the Supervisory Control and Data Acquisition (SCADA) system. During an emergency, CCO serves as the nerve center for the Situation Room Team and the location for disseminating warnings and information to the public. Communications between the Situation Room and CTA, the scene, transfer points will be conducted by radio, telephone, Internet, or Everbridge.

During normal daily operations each department operates under the supervision of its Executive, Manager or Supervisor. When an emergency occurs, the Accountable Executive



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is ultimately responsible for the management of the Authority as outlined in Section 27 of the Metropolitan Transit Authority Act (70 ILCS 3605/27). During an emergency the department heads continue to provide direction to their employees.

3.4.5 Threat and Vulnerability Management

A TVA is an analytical process which provides additional hazard and risk data for CTA's EPP. The TVA identifies mitigations to reduce the risk of terrorism or impact of natural hazards. TVA assessment uses a combination of quantitative and qualitative techniques to identify security requirements, including historical analysis of past events, intelligence assessments, physical surveys and subject matter expertise. The TVA follows an 8-step process. The product of the TVA feeds into the CTA Safety Risk Management process and follows this continuum until the hazard or vulnerability is mitigated or eliminated.

3.4.6 Emergency Preparedness Training, Drill & Exercises, & Evaluation

Training:

The EPP codifies the Emergency Management training NIMS/Incident Command System (ICS) requirements for all CTA employees. The National Incident Management System (NIMS) is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines. It is intended to:

- A. Be applicable across a full spectrum of potential incidents, hazards, and impacts regardless of size, location or complexity;
- B. Improve coordination and cooperation between the CTA, State, Local and private entities in a variety of incident management activities;
- C. Provide a common standard for overall incident management.

CTA Standard Operation Procedures require that all operational and managerial employees adhere to the ICS when responding to incidents involving the CTA only or in complex incidents. Each of the required ICS training courses can be taken online through the FEMA website or by the CTA Training and Workforce Development Department.

Drills & Exercises:

Drills and exercises are a set of tools that help the Chicago Transit Authority ensure that plans and procedures are tailored to the unique needs of internal and external CTA Shareholders for hazards most likely to be exposed. Drills or exercises shall be coordinated by the Senior Manager of Emergency Preparedness or at the discretion of either the Chief Safety & Security Officer or Vice President of Safety.

An exercise is an event designed to practice and test procedures, which may be used in an actual emergency, in order to improve performance and identify deficiencies. Examples of exercises include tabletop, functional, and full-scale events. When a drill or exercise is used to prepare staff in emergency response as a part of the CTA's overall preparedness plans, the following shall be considered:

- A. The testing plans and SOPs already in place;
- B. To prove capabilities and resources are present for that part of the plan;
- C. Collaboratively planning, drills or exercise practices in coordination with all responding agencies and groups including the CTA Fire/Life Safety and Security Committee;
- D. Designing of high-quality drill or exercise objectives;
- E. Proactively engaging IL-SSOA in drill activities and sharing After Action Results;
- F. Conducting evacuation drills across multiple working shifts.



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After Action Review

Following significant events or exercises the Safety Department facilitates an After-Action Review (AAR). These lessons learned during exercises or following events can be used to develop and enhance emergency management plans and, consequently, better ensure the safety and preparedness of the entire organization. Once the AAR is completed, a draft summary report is developed. Any hazards or corrective actions identified will be assigned to the responsible party and tracked through the SRM or Corrective Action process respectively.

After Action Review should include:

- A. Feedback from both drill participants and evaluators;
- B. Assist executives and departments analyze how employees, passengers and first responders' function during an actual emergency;
- C. Provide situational data with which to identify gaps or weaknesses of the response process;
- D. Contribute to continual improvement of future drills and plan updates.

3.4.7 System Security

Security, within the Safety Department, is responsible for the administration of the CTA's Security and Emergency Preparedness Plan. The plan includes specific system security tasks and responsibilities and describes how CTA provides for and monitors security activities throughout the transit system.

3.4.8 Office of Security

Security investigates system events and works closely with the Chicago Police Department and suburban police departments. Through staffing and data sharing agreement, Security participates in analyzing crime trends and determining appropriate police and patrol activities. Security also manages contracted security personnel the CTA hires to monitor entry and exit at bus garages, as well as provide a security presence at CTA facilities, rail yards and stations.

3.4.9 Police Department Security

The Chicago Police Department provides law enforcement services to the CTA and is primarily responsible for enforcement and mitigation and prevention. Officers from the Chicago's (22) Police Districts provide the bulk of service directed at Bus Operations and routes. These services are also supported by CTA funded overtime Voluntary Special Employment Program (VSEP), administered by the Mass Transit Unit of the Chicago Police Department. Personnel volunteer for the overtime and are assigned to various locations and posts throughout the system. Officers assigned to Mass Transit and/or the VSEP may be assigned in the following manner:

- A. Riding buses and/or rail cars;
- B. Assigned to specific routes (CTA funded vehicles);
- C. High visibility uniform patrols;
- D. Plain-clothes enforcement missions;
- E. Crime analysis and manpower assignments; and
- F. Homeland Security missions.

3.4.10 Contracted Security Guards

The CTA hires security guards to help protect employees, passengers and equipment at stations and at certain CTA facilities, including bus garages. Guards monitor and control access to CTA property and summon reinforcements or exert force as necessary. These security guards are not police and they are unarmed.

