

**TAMPA-HILLSBOROUGH COUNTY EXPRESSWAY AUTHORITY
POLICIES & PROCEDURES**

400 OPERATIONS AND MAINTENANCE

400.01 Policy Statement and Public Purpose

Series 400 (the "Policy") establishes the Tampa-Hillsborough County Expressway Authority's (the "Authority" or "THEA") operating policies, procedures, financial authority, and best practices to ensure accountability and compliance with Board policy, applicable laws, rules and regulations governing the operation and maintenance of the Selmon Expressway, Reversible Express Lanes, Brandon Parkway and Meridian Street Gateway ("Expressway System"), related facilities, buildings, structures and appurtenances.

Policies in this series and any modifications thereto shall be effective upon adoption by the Board; and shall supersede previous policies and procedures.

(Effective Date and Last Amended: April 28, 2014)

400.02 Procedures

Procedures and guidelines for administering THEA's Operations and Maintenance (O & M) program will be maintained in the Operations and Maintenance Manual (the "Manual"). The Executive Director and Authority personnel involved in operations and maintenance activities are the principal users of the Manual, which will be revised and updated as necessary.

(Effective Date and Last Amended: March 23, 2009)

400.03 General Authority

Part II, Chapter 348, Florida Statutes (F.S.), and terms and conditions of Authority revenue Bonds, Covenants, and Resolutions, as amended or supplemented; and applicable state law, standards, rules and regulations.

(Effective Date and Last Amended: April 28, 2014)

400.04 Policy Suspension during an Emergency

In an emergency or extended disruption of normal facility operations, the Executive Director or his/her designee may suspend any provision or section of the Policy until the next Governing Board Meeting, and as soon as practical the action will be communicated to the Chairman and the Board.

(Effective Date and Last Amended: March 23, 2009)

400.05 Section Organization

The Operations and Maintenance Policies contained in this document include the following sections:

- 401.00 Operations / Toll Collections – Expressway System
- 401.01 Intelligent Transportation System (ITS)
- 402.00 Maintenance – Expressway System
- 403.00 Permits
- 403.01 Use - Within Limited Access Right of Way
- 403.02 Use - Outside Limited Access Right of Way
- 404.00 Delegation of Authority
- 405.00 Risk Management and Insurance
- 406.00 Insurance and Claim Management
- 407.00 Safety Procedures
- 408.00 Projects
- 409.00 Facilities - Operations and Maintenance
- 410.00 Tangible Personal Property

401.00 Operations (Toll Collection) - Expressway System

(a) The Authority is fully responsible for all aspects of the toll collection activities for the Expressway System. The Authority's responsibilities include, but are not limited to, the operation and maintenance of information technology related software, hardware equipment, and facilities for the Expressway's All-Electronic-Tolling ("AET") System. The Authority may assign or contract these services or portion of these services to a third party under provisions in its bond documents.

(b) The City of Tampa Traffic Management Group ("City") manages the operation of the Reversible Express Lanes, which provides access to the traveling public from I-75 and express service between Brandon and downtown Tampa.

(c) The Authority retains a traffic and revenue consultant to provide comprehensive traffic and gross toll revenue estimates and annual reports of the Expressway System as required by bond resolutions. The consultant's objectives and responsibilities also include annual revenue forecasting for budget purposes, certification for future bond issuances, toll rate sensitivity analysis, and other studies as required by toll covenants.

(Specific Authority Part II, Chapter 348, F.S.)

(Effective Date and Last Amended: April 28, 2014)

401.01 Intelligent Transportation Systems

Intelligent Transportation Systems ("ITS") refers to electronic traffic management and control systems, and electronic toll collection systems used in the operation of the Expressway System..

(a) The City of Tampa Traffic Department operates the REL at the Authority's Transportation Management Center ("TMC"). The City provides monitoring services and performs camera sweeps of the REL prior to gate openings or closings in accordance with defined operating procedures developed by the parties.

(b) The Authority utilizes outside consultant services and in-house employees to maintain and repair ITS elements associated with the Expressway System's field devices including warning gates, barrier gates, cameras, traffic detectors, variable message signs, control center equipment and hardware.

(Effective Date and Last Amended: April 28, 2014)

402.00 Maintenance - Expressway System

(a) The Authority is responsible for insuring, operating, maintaining and repairing the Expressway System in accordance with state standards and regulations for toll facility operation and maintenance.

(b) FDOT is responsible for inspecting the Expressway System bridges for structural soundness and safety every two years and communicating their findings to the Executive Director. FDOT is the permitting agent for utility and construction permits within the limited access rights-of-way and other road use permits.

(c) The Authority retains the services of a General Consulting Engineer ("GEC") to advise the Authority on the operation, maintenance and repair of the Expressway System. The GEC also provides independent budgetary reviews and System bridge inspections and assessment reports at least every two years.

(d) The Authority has the responsibility to acquire insurance on the system and is responsible for maintaining the railroad crossings, landscape and hardscape features of the Brandon and Meridian Street Gateways. The Authority also maintains its buildings, vehicles and is responsible for inspections and repair / replacement of the Intelligent Transportation Systems (ITS) equipment.

(e) The Executive Director oversees maintenance and operation activities on the entire system and recommends reallocation of resources, reassignment of personnel and implements new procedures.

(f) The Authority and FDOT proactively coordinate inspection, maintenance and construction activities in an effort to reduce impacts to the general public by scheduling activities at night or on weekends when possible. Public outreach regarding activities cited above will be disseminated through electronic and print media, providing location, duration and contact information for questions or issue that customers may have.

(Effective Date and Last Amended: April 28, 2014)

403.00 Permits

403.01 Use - Within the Limited Access Rights of Way and Other Road Use Permits

(a) Requests for drainage, utility, outdoor advertising/billboard, overweight/over-dimensional permits, general use, special use and filming permits within the Expressway System limited access right of way ("LA R/W") are issued by the Permit Section of FDOT District VII Maintenance Office. Utility companies, other government agencies, private citizens or contractors must apply to FDOT for a permit prior to installation or any work activity within the Expressway System LA R/W. All such permits are reviewed by THEA for concurrence prior to FDOT approval. Permit fees may be established by FDOT and/or the Authority.

(b) Permitted work or use is a permissive use only and shall be in accordance with FDOT utility accommodation guides, applicable sections of FDOT specs and design index, and local or other

jurisdictional requirements. Proper restoration and stabilization of the right of way is required prior to acceptance of work by FDOT and the Authority.

(c) Permit application instructions and FDOT/Authority contact information is available in the Manual.

(Specific authority: Part IV, Chapter 348, F.S., Sections 316.003(19) F.S., 334.044(28) F.S., 335.10, F.S., and 337.401 F.S.)

(Effective Date and Last Amended: March 23, 2009)

403.02 Use - Outside the Limited Access Right of Way

Under the provisions of Section 348.54, Florida Statutes, the Governing Board of the Authority may sell, lease, permit, transfer or dispose of any real property or property interest belonging to the Authority whenever the Board determines that it is in the best interest of the Authority to deem such property surplus as to the Authority's construction, operation and maintenance needs and requirements. Use is managed by license, permit, easement, short and/or long-term lease.

The Authority's application process for use or disposal of the Authority's property or interest therein incorporates the following procedures:

1. Pre-application review: Executive Director shall determine if the real property is available and require confirmation from the applicant that such use would not be in conflict with zoning or land development codes of any affected local government or other applicable laws, ordinances, rules and regulations.
2. Application fee: If subject property is deemed available, an application package is provided to applicant for completion and submittal of a \$2,000 application fee \$250 of which is non-refundable fee.
3. Applicant costs: Applicant is responsible for payment of costs incurred by THEA for related outside consultant reviews, required legal notices, and costs related to a title report, survey information, appraisal and incidental costs.
4. Property appraisal: A fair market rental value or purchase price will be determined by an independent appraisal and a negotiated price will be presented to the Board for consideration.
5. Long-term use requires Board approval and a written lease, license or permit agreement with required indemnification provisions for the Authority.
6. Public notice: Prior to entering into any sale, long-term lease, or disposition of real property, THEA shall provide public notice pursuant to Section 348.54(14) F.S.
7. License agreements shall not be subject to Section 6.

(Specific authority: Part IV, Chapter 348, F.S.)

(Effective Date March 23, 2009 and Last Amended April 9, 2012)

404.00 Delegations of Authority

The Governing Board delegates the following duties to the Executive Director or his/her designee, subject to General Counsel's review for legal form and sufficiency:

- (a) Special use, landscape use, right of entry, licenses and leases for a short term (five (5) years or less) or on an interim basis may be issued by the Executive Director.
- (b) The Executive Director may execute public utility easements or general permits for use of Authority real property for utility services or access and egress permits that are processed and issued by FDOT or other local agencies as further described above in Section 403.01.
- (c) Minor modifications to a special use, license, or permit may be approved by the Executive Director.
- (d) Mitigation project agreements or special agreements to establish, operate, or enforce mitigation projects may be entered into by the Executive Director.

Status reports will be provided to the Board on an annual basis.

(Effective Date and Last Amended: March 23, 2009)

404.01 Other Delegation – Execution of Time Sensitive Actions

Time-Sensitive Actions: The Chairman or the Executive Director may execute any power otherwise vested in the Governing Board when time is of the essence and it would not be in the best interest of the Authority to delay the exercise of that power until the next Governing Board meeting. Communication of any action must be provided to the Board as soon as practical.

(Effective Date and Last Amended: March 23, 2009)

405.00 Risk Management Policy

Policy Statement and Purpose

This policy establishes the process for administering the Authority's Risk Management program and acquisition of property, liability and business interruption insurance for the Authority's real and personal property and related facilities. The Policy is consistent with the Authority's bond documents, applicable laws, rules and regulations of the State of Florida, and good business practices.

This policy requires all individuals and companies doing business with the Authority to comply with its insurance requirements.

(Effective Date and Last Amended: March 23, 2009)

405.01 Risk Management Procedures

Procedures and forms will be maintained in the Risk Management section of the O&M Manual or as put forth in separate insurance and claims management binders.

(Effective Date and Last Amended: March 23, 2009)

406.00 Insurance and Claims Management

The Authority will maintain adequate insurance coverage to protect the properties, facilities and interest of the Authority. The Authority may consult with qualified insurance brokers when soliciting insurance coverages. To minimize unexpected losses, claims and costs, the following procedures and claims administration will be implemented:

- (a) Insurance will be provided by responsible insurance companies eligible to do business in the State of Florida and performable in Hillsborough County.
- (b) Insurance will be obtained as:
 - required by law or contractual agreement,
 - typically incorporated in a project's insurance requirements for construction and engineering services, loss control, claims handling services, or legal defense services, and
 - deemed preferable to leaving the risk uninsured.
- (c) Consultant/Contractor Requirements: Individuals and companies conducting business with the Authority are required to maintain adequate insurance coverage and provide current certifications of insurance identifying the limits of the coverage and advance notice of policy cancellation or any exclusion that could adversely affect the Authority in the event of a loss or damage incident.
- (d) Comprehensive Recovery of Costs: It is the policy of the Authority that appropriate efforts be taken to recover costs for damages to Authority roadway facilities or property. The Authority and its asset maintenance contractors will work with FDOT, Hillsborough County Sheriff, the Florida Highway Patrol (FHP) and the City of Tampa Police Department to recover the maximum amount due for repairs to damaged expressway property and facilities.
(Effective Date and Last Amended: March 23, 2009)

406.01 Insurance Binder

Accident / Loss Reporting and Investigation

Procedures for accident and loss (Incident) reporting and investigating will be provided in the O & M Manual or separate binder. All incidents that are subject to a claim for or against the Authority or which may signify a hazardous condition or practice should be reported in a timely manner. Emergency situations should first be reported to 911. The following steps should be followed:

- (a) Any employee with knowledge of an incident resulting in property damage or bodily injury shall promptly report such incident to the Executive Director or his/her designee.
- (b) A written description of the injury or property damage/loss shall be provided by the Authority employee by the next working day and the report shall be scanned and filed in the Authority's electronic document files.

The written report should be reviewed by the Executive Director or his/her designee to assure completeness and accuracy.

(Effective Date and Last Amended: March 23, 2009)

407.00 Safety Procedures

Employees are expected to exercise due care in the course of their work to prevent injuries to themselves or other workers and loss of material resources. Each employee shall:

- report unsafe conditions to the Executive Director or his/her designee,
- obey safety rules and follow work instructions,
- report accidents immediately to the Executive Director or one's supervisor, and
- keep work areas clean and orderly

(Effective Date and Last Amended: March 23, 2009)

407.01 Authority Vehicles

Company-owned vehicle(s) may be used by staff and Board members for official business purposes only. The driver of a company-owned vehicle must hold a valid driver's license and have a satisfactory driving record with the Department of Motor Vehicles. In the event of an accident, the driver must complete an accident report form located in the vehicle glove box and notify the Executive Director or his/her designee.

Additional guidelines for this policy are located in the Facilities Section of the Manual. All employees driving an Authority vehicle must:

- possess a valid Florida driver's license,
- inspect the vehicle before operating, and report evidence of damage to the Executive Director or supervisor,
- immediately report any known safety deficiency and avoid driving the vehicle,
- wear seat belts while driving or riding in a vehicle,
- notify FHP, the sheriff or police department about an accident involving an Authority vehicle and provide written report to the Executive Director or his designee, and
- notify the Executive Director of unsatisfactory driving record or current driver's license suspension.

(Effective Date and Last Amended: <March 23, 2009)

407.02 Hazardous Conditions - Reporting and Investigation

Authority employees are expected to be alert to hazardous conditions and to take appropriate steps to avoid or mitigate such conditions. Employees should promptly contact the Executive Director or his/her designee. Additional procedures and forms are provided in the insurance section of the O & M Manual.

(Effective Date and Last Amended: March 23, 2009)

407.03 Fire and Safety Program

The Authority's insurance provider will coordinate fire and safety training. Facilities inspections and fire drills will be conducted periodically with fire safety professionals as required.

(Effective Date and Last Amended: March 23, 2009)

408.00 Projects

408.01 Capital Projects

The Executive Director shall review all capital project needs and resource allocations and work closely with Authority staff and the GEC to develop Authority work programs. The Executive Director is responsible for presenting capital project requests to the Board for review and consideration.

(Effective Date and Last Amended: March 23, 2009)

408.02 Maintenance and Construction Projects

The Executive Director prioritizes the ongoing and recurring maintenance activities and provides a brief description with estimated cost projection and justification. Estimates will be presented to the based on cost thresholds. Work activities will not start and materials will not be ordered until receipt of Committee and/or Board approval, unless emergency maintenance or repair is required. Series 500 - Procurement Policy and Procedure – provides purchasing thresholds and cost benefit requirements.

The Executive Director is responsible for developing annual budgets and spending limits for project maintenance and operations. The annual budget process also considers physical condition and repair/replacement needs of Authority facilities.

(Effective Date and Last Amended: March 23, 2009)

408.03 Aesthetic Enhancement Projects

It is the policy of the Authority to incorporate aesthetically pleasing features into its facilities to enhance the quality of life for the citizens of and visitors to Hillsborough County. Such enhancements shall be within existing Authority property and shall not conflict with service, safety or operational functions of the expressway system.

(Effective Date and last Amended: 04/09/2012)

409.00 Facilities – Operations and Maintenance

The Executive Director is responsible for operation and maintenance of Authority Facilities and related service contracts. Facilities include the Transportation Management Center (TMC), ITS system and components, facility parking operations, other buildings and grounds, vehicles, equipment, HVAC equipment, electrical, plumbing fixtures and all other physical assets of THEA. The Executive Director shall also oversee the Authority's emergency/disaster response plan and evacuation procedures.

Additional information and procedures regarding facility operation, maintenance, office space utilization, safety and security requirements and emergency evacuation procedures will be located in the Facilities Section of the O & M Manual.

(Effective Date and Last Amended: March 23, 2009)

409.01 Business Hours and Access

Business hours at the Authority's TMC are from 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding official Hillsborough County holidays or emergency closings. Public access to the building during business hours is located at the front entrance of the building. Elevator access is available to the 2nd and 3rd floors. Access cards for other entrance points are issued to authorized personnel, tenants and consultants.

(Effective Date and Last Amended: March 23, 2009)

409.02 Use of Facilities

The primary use of the TMC Boardroom is for Authority Board meetings and administrative functions or other government agency use. Authority facilities are not available for political or private events.

Designated areas in the TMC may be used by tenants and other governmental and non-profit public agencies during normal business hours, subject to availability and other restrictions. All requests to use the Authority's facilities must be submitted in writing and approved by the Executive Director or his designee.

The Authority reserves the right to cancel or alter a scheduled use or reservation based on any unforeseen schedule conflict or security or safety concern.

(Effective Date and Last Amended: March 23, 2009)

410.00 Tangible Personal Property

Property under this section is all tangible personal property of a nonconsumable nature owned by THEA.

(Specific authority Section 274.01(3))

(Effective Date and Last Amended: March 23, 2009)

410.01 Inventory and Control

The Authority shall establish the requirements for recording of property and periodic physical inspection and inventory of property. Such records shall be maintained according to Generally Acceptable Accounting Procedures and general retention requirements.

(Specific authority Section 274.02(1)(2),F.S.)

(Effective Date and Last Amended: March 23, 2009)

410.02 Surplus Property

The Authority may classify property as surplus which is deemed obsolete or has no useful function or is determined that continued use would be uneconomical or inefficient.

Property with an estimated value of under \$5,000 may be disposed of in the most efficient and cost-effective means such as a transfer or donation to a public or non-profit agency, advertisement or other public sale, or by direct sale or transfer to a scrap/recycling dealer or private vendor.

Property valued at \$5,000 or more shall be sold only to the highest responsible bidder or by public auction after publication of notice pursuant to Section 274.06, F.S., and approval by the Authority Board. In all situations, the receiving agency or person is responsible for transportation or disposal costs.

(Specific authority Chapter 274, F.S.)

(Effective Date and Last Amended: March 23, 2009)