NCHRP 20-59(14C)
Strategic Plan Implementation Support for the AASHTO Special Committee on Transportation Security and Emergency Management (SCOTSEm)

Operating Procedures for the Special Committee on Transportation Security and Emergency Management

September 2015

Version 1.3

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### Revision history

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FOREWORD

These Operating Procedures provide the leaders and members of the AASHTO Special Committee on Transportation Security and Emergency Management (SCOTSEM) with guidance to properly, consistently, and efficiently conduct SCOTSEM’s business.

These procedures and guidelines were created to:

- Stabilize the structure of Special Committee business practices
- Ensure that Special Committee time is used efficiently
- Provide an educational tool for future Special Committee leaders
- Provide an educational tool for new members to SCOTSEM
- Ensure a clear and strong relationship with the AASHTO Board of Directors

This document synthesizes critical material from numerous resources and Special Committee historical practices to customize them for use by the Special Committee and their Leadership.

Nothing contained in these Operating Procedures shall be construed as being inconsistent with AASHTO Governing Documents and the Board of Directors Operating Policies (as amended). The purpose of these Procedures is to provide, in a useable format, the key procedures necessary to help SCOTSEM members understand Special Committee operations and structures.

While the core document and current appendices represent the initial operating guidance for the Special Committee, the document has been formatted to permit the addition of appendices to accommodate new needs for the membership and committee operation.
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1. PURPOSE, ORGANIZATION, OFFICERS, AND MEMBERSHIP
This chapter introduces the Special Committee on Transportation Security and Emergency Management and provides information on the committee’s charge, structure and governance roles and responsibilities.

1.1 Charge
“The purpose of the Special Committee on Transportation Security and Emergency Management shall be to guide and support AASHTO member departments as they develop transportation security and emergency management-related plans, policies, and procedures for building and operating safe and efficient transportation networks whose resiliency to all hazards threats supports the nation’s economic stability and quality of life.

The Special Committee shall promote awareness and education about transportation security and emergency management among state DOTs by supporting or organizing meetings and conferences, and preparing guidance materials on a range of topics as necessary. The Special Committee shall work with partner agencies to undertake a comprehensive program of transportation security and emergency management research. The Special Committee shall engage and partner with other federal and state-level agencies and organizations involved in transportation security and emergency management activities to promote development of security and emergency management plans, regulations, policies, programs that meet the needs of the AASHTO members.”

1.2 Mission
Serve state DOTs, other AASHTO committees, and partner organizations by developing, promoting, and supporting the coordinated implementation of all hazards infrastructure protection, emergency response, and related system operations/resilience programs.

1.3 Goals
1. Advocate for the role of all hazards infrastructure protection and emergency management in a resilient transportation system.

2. Assist in shaping and implementing national policy, legislation, funding, and regulatory development affecting transportation infrastructure protection and emergency management issues.

3. Investigate, develop, and report on recent advances in infrastructure protection, security, and emergency management issues in urban and statewide environments, including consideration of their social and economic impacts.

4. Advance the state-of-the-practice and awareness of transportation infrastructure protection and emergency management through training, technical assistance, and technology transfer activities.
5. Develop, promote and encourage effective working relationships among state transportation officials and other stakeholders responsible for various aspects of transportation infrastructure protection, emergency management and system operations.

6. Develop and promote a research and implementation plan for transportation infrastructure protection, security, and emergency management.

1.4 Organizational Structure

![AASHTO COMMITTEE ORGANIZATION Diagram]

7. APPENDIX 2 - Chart 1
AASHTO COMMITTEE ORGANIZATION
Special Committees, Joint Committees and Others Reporting to the Board of Directors

SCOTSEM ORGANIZATION

SCOTSEM Leadership Team

Research Identification and Implementation TWG
NASHTO RWG

All-Hazards Infrastructure Protection TWG
SASHTO RWG

Emergency Management TWG
MAASTO RWG

WASHTO RWG

The SCOTSEM Leadership Team consists of the Chairperson, Vice-chairperson, Secretary, TWG and Regional Leaders, FHWA, AASHTO and TRB staff

TWG – Technical Working Group

RWG – Regional Working Groups
NASHTO - CT, DE, ME, MD, MA, NH, NJ, NY, PA, RI, VT, DC, PR
SASHTO - AL, AR, FL, GA, KY, LA, MS, NC, SC, TN, VA, WV
MAASTO - IL, IN, IA, KS, KY, MI, MN, MS, OH, WI
WASHTO - AK, AZ, CA, CO, HI, ID, MT, NE, NV, NM, ND, OK, OR, SD, TX, UT, WA, WY
**2. AASHTO GOVERNING DOCUMENTS ON COMMITTEE OPERATIONS**

**General Information and Guidelines**
The following guidelines apply to all of the types of committees within AASHTO with the exception of the Board of Directors and the Executive Committee. The term "committee", below, shall be taken to mean any standing committee, subcommittee, task force or other committee of AASHTO.

The Executive Director is an ex officio member of all AASHTO committees, is responsible for coordinating their activities, and should receive copies of the committee correspondence to be kept advised of the operations and activities.

**Committee Bylaws**
For committees not having their own approved bylaws, all official balloting involving the development of voluntary policies, specifications or manual requires a two-thirds majority vote of the committee membership for approval. On the committees represented by all Member Departments, each of the Member Departments has one vote. For the committees not represented by all Member Departments because the members are named by the President, each member of the committee has one vote. This would include such committees as the Standing Committee on Research, the Standing Committee on Highway Traffic Safety, and the Standing Committee on Aviation.

**Committee Membership**
Each AASHTO member department is entitled to membership on SCOTSEM. The chief executive officer of each member department designates his or her representative member (one voting member per member department). Member departments shall be entitled to three representatives; however, only one vote per Member Department may be cast on voting matters.

**Conduct of Polls and Questionnaires**
Each committee shall coordinate the conduct of any poll or questionnaire of the AASHTO Member Departments with the Executive Director in writing. In doing this, a written description of the poll or questionnaire should be provided to the Executive Director and sufficient time allowed for a written reply. This is to avoid duplication, control the number of such efforts, and monitor the type of information collected. The results of any poll or questionnaire should be reported to the Executive Director in a timely manner.

**Preparation of Manuscripts to Avoid Conflicts or Duplications**
Any manuscripts developed for publication by any committee should go through the appropriate standing committee and the Executive Director for review to avoid possible conflicts or duplications in AASHTO publications.

**Development of Manuscripts**
The AASHTO Reference Book contains a list of responsibilities for each major committee. Every
committee is encouraged to develop publication manuscripts for printing and distribution.

National Cooperative Research Programs
AASHTO committee chairs are encouraged to submit for consideration in the National Academy of Sciences Cooperative Research Programs any research problem statement that would be of interest or benefit to members of the committee. These include the National Cooperative Highway Research Program (NCHRP), the Transit Cooperative Research Program (TCRP), and may expand to include the Environmental and Freight Programs.

Stationery and Postage
The Association furnishes official AASHTO stationery to Chair and Secretaries, and will supply postage. The members may either request postage or bill the Association for reimbursement. As requested, the executive office in Washington will mail committee correspondence.

Reference: AASHTO Governing Documents

3. SCOTSEM ORGANIZATION
The following Section provides information on SCOTSEM’s committee structure and the roles and responsibilities of its officers and members.

3.1 Officers and Members
SCOTSEM Leadership Team – The SCOTSEM Leadership Team shall consist of the Chair, Vice-Chair, Secretary, leaders of each of the three Technical Working Groups, leaders of each of the four Regional Working Groups and an AASHTO Liaison.

The SCOTSEM has the offices of chair, vice chair, and secretary. The AASHTO President appoints the chair and vice chair of SCOTSEM with the concurrence of AASHTO’s Executive Committee. The AASHTO president also appoints the Secretary. The AASHTO President considers input for officers from the membership of SCOTSEM. The term of office, qualifications for holding office and duties of each SCOTSEM officer are explained below.

With the exception of such committee business- such as approval of publication manuscripts- controlled by AASHTO governing documents that require approval by two-thirds of SCOTSEM’s member states and approval by AASHTO Board of Directors, all decisions concerning SCOTSEM internal operations and other matters will be vested in the SCOTSEM Leadership Team.

Members of the SCOTSEM Leadership Team attend a minimum of two meetings each year, which take place at the AASHTO Annual Meeting and the SCOTSEM Annual Meeting.

Chair - The chair of SCOTSEM is typically the chief executive officer of his or her member department. The chair of SCOTSEM serves a two-year term and may be reappointed to a subsequent term. Additional terms may be appointed at the discretion of the AASHTO Executive Director and President. The chair’s
term expires at the end of the first AASHTO Annual Meeting after two calendar years have elapsed.

The duties of the chair include the following:

— Review and update SCOTSEM Strategic Plan periodically
— Attend SCOTSEM’s scheduled meetings
— Be familiar with bylaws and rules of SCOTSEM and AASHTO
— Call SCOTSEM meetings to order
— Announce in sequence business that comes before SCOTSEM
— Recognize members who are entitled to the floor
— State and put to vote all questions that come before SCOTSEM as motions or that otherwise arise in the course of proceedings
— Announce the result of votes
— Rule motions out of order, as applicable
— Decide questions of order
— Respond to inquiries relating to procedure or factual information
— Declare the meeting adjourned
— Present report on SCOTSEM activities to the AASHTO Board of Directors at the Spring and Annual Meetings

Vice chair - The vice chair of SCOTSEM serves a two-year term and may be reappointed to a subsequent term. Additional terms may be appointed at the discretion of the AASHTO Executive Director and President. The vice chair’s term expires at the end of the first AASHTO Annual Meeting after two calendar years have elapsed. The vice chair should be an experienced member of SCOTSEM. In the absence of the chair, the vice chair serves as chair. The vice chair’s responsibilities also include duties as assigned by the chair.

Secretary – The secretary serves a three-year term and may be reappointed to subsequent terms an unlimited number of times. The secretary of SCOTSEM is a staff member of the Federal Highway Administration. The secretary keeps meeting minutes and sends out the notice or “call” of meeting to the membership.

The Special Committee shall work cooperatively with the other AASHTO committees. To facilitate this cooperation, the Chair of each of the other committees is encouraged to designate a representative to serve on the Special Committee on Transportation Security and Emergency Management in a liaison capacity. The Special Committee Chair may appoint representatives from federal agencies, associations, or other governmental organizations as non-voting members.

Members- A member of SCOTSEM has the right to full participation in the special committee’s meetings, including the right to make motions, to speak in debate, and to vote. Members of SCOTSEM also attend meetings, including regular calls, of the Technical Working Groups or Regional Working Groups of which they are members. If a member is going to be absent from a meeting or call, the member notifies the
AASHTO liaison at least 5 business days in advance of the scheduled meeting. If applicable, the member also notifies the AASHTO liaison of a proposed substitute. Failure to attend three consecutive SCOTSEM meetings or calls either in person or by an approved substitute may be construed as an indication of inability or unwillingness to participate in SCOTSEM’s work and may become the basis for replacement on the committee.

If a member wishes to resign from SCOTSEM, the member notifies his or her department’s chief executive officer and the AASHTO liaison. The liaison works with the member department’s chief executive officer to appoint a replacement representative.

**AASHTO Liaison** - The AASHTO Executive Director appoints a liaison from AASHTO’s staff to assist SCOTSEM. The liaison’s duties include the following:

- Assist with coordination between SCOTSEM, its TWG/RWG’s, and other standing committees
- Have technical knowledge of the nature of the work of SCOTSEM and its TWG/RWG’s
- Assist in the development of research problem statements for submission to the National Cooperative Highway Research Program (NCHRP)
- Conduct balloting
- Keep the official membership roster
- Maintain the SCOTSEM operating procedures, including any amendments
- Keep on file all SCOTSEM reports
- Make minutes and records available to members upon request
- Notify officers and members of their appointment
- Furnish officers, members, and committees with documents required for performance of duties
- Send members a notice of each meeting
- Conduct SCOTSEM’s general correspondence
- Obtain from members any business they wish to put before SCOTSEM or SCOTSEM Leadership Team a minimum of 30 days prior to a scheduled meeting (e.g., committee reports, new business, etc.) and provide the proposed business matters to the chair for consideration
- Prepare, prior to each meeting, a meeting agenda, showing in appropriate order all matters known in advance
- Provide each SCOTSEM member with meeting materials, including the agenda, any committee materials, and other documentation, at least two weeks prior to the meeting
- Facilitate coordination between SCOTSEM and various federal agencies and partner associations (including DHS, USDOT, FHWA, TSA, ITS America, ITE, etc.)
- Encourage and facilitate private sector participation with Special Committee matters

### 3.2 Technical and Regional Working Groups

Technical and Regional Working Groups are constituted by SCOTSEM to cover a specific technical subject area. SCOTSEM created technical working groups to discharge assigned duties. All technical working groups report to the chair of SCOTSEM. The AASHTO Liaison is a member of all working groups.

SCOTSEM will have three (3) Technical Working Groups (TWG) and four (4) Regional Working Groups (RWG) defined as follows:
TWG and RWG Chair - The chair of the SCOTSEM appoints the chair of TWG/RWG with consideration of recommendations made by SCOTSEM members and AASHTO staff. The TWG/RWG chair is selected from the members of SCOTSEM committee and serves until the TWG/RWG is discontinued.

TWG and RWG Vice chair - The chair of the TWG/RWG may appoint a vice chair with consideration of the recommendations made by the AASHTO liaison. The TWG/RWG vice chair is selected from the members of the SCOTSEM and serves until the TWG/RWG is discontinued.

Members of TWG - The membership of each TWG shall be 8 members with 2 each for each of the AASHTO regions and other members as defined by the TWG Chair to include outside AASHTO members and/or outside experts.

Members of RWG – The membership of each RWG shall consist of the voting and non-voting members of each of the regions as defined.

4. SCOTSEM, TWG AND RWG MEETINGS, ACTIVITIES AND REPORTING

SCOTSEM and each of the TWGs that report to SCOTSEM should develop operating procedures. The information below provides guidance to operating procedure contents.

Following approval by a two-thirds vote of the committee’s members, the chair of SCOTSEM is provided the proposed operating procedures for consideration and approval by the SCOTSEM LEADERSHIP TEAM. Amendments to the operating procedures also are subject to approval by the SCOTSEM LEADERSHIP TEAM.

SCOTSEM and its TWG/RWG should include the following information in their operating procedures:

— Charge statement
— Organization chart
— Officers
— Members
— Communication—procedures for communicating with other committees and SCOTSEM
— Meetings – purpose, frequency, scheduling, agenda/material preparation and distribution, minutes, and conduct drawing on Roberts’ Rules of Order
— Voting and balloting – procedures for voting, drawing on Roberts’ Rules of Order and the policies established by SCOTSEM Operating Procedures and AASHTO’s Governing Documents
4.1 Activity Reports
The officers and members of SCOTSEM rely upon TWG/RWG activity reports to guide decision-making. Each TWG/RWG that reports directly to SCOTSEM submits an activity report to the AASHTO liaison no later than thirty (30) days prior to the AASHTO Annual Meeting.

The AASHTO liaison provides all committee activity reports to SCOTSEM members at least two weeks prior to the meeting. SCOTSEM members review the activity reports and raise to the attention of the SCOTSEM chair and liaison any questions or issues with TWG/RWG activities at the meeting.

The activity reports include a status report on ongoing projects. At a minimum, the following information is provided in each activity report:

- TWG/RWG name
- Names of the officers
- Summary of activities and accomplishments to date
- Names of other committees involved or with an interest in each activity
- Dates and locations of future committee meetings

4.2 Work Plans
Each TWG/RWG that reports directly to SCOTSEM submits a work plan to the AASHTO liaison no later than thirty (30) days prior to the AASHTO Spring Meeting. The AASHTO liaison provides all work plans to SCOTSEM members prior to the AASHTO Spring Meeting.

The work plans include planned activities of SCOTSEM and each TWG/RWG for the coming year. The following information is provided in each work plan:

- Committee name
- Names of the committee’s officers
- Review of the committee’s charge statement
- Summary of planned activities and proposed publications, including schedules for completion
- Names of other committees with potential interest in each activity
- Goals for the next 1–5 years
- Dates and locations of future committee meetings

Once approved by the SCOTSEM LEADERSHIP TEAM, the TWG/RWG may initiate work.

4.3 Meetings, Fees and Sponsorships
SCOTSEM will follow the guidelines and procedures established for Standing Committees/Subcommittees and Special Committees meetings and fees as established in AASHTO Governing documents (and as amended) as noted here:

Selection of Meeting Dates and Sites -Dates of committee meetings or sessions, other than those of the annual conference, must be cleared with the Executive Director, who is charged with approving the location of meetings to minimize conflicts and keep down costs and travel time.
Meeting Expenses - A registration fee should be collected if funds are needed for other committee meeting expenses, such as food, coffee, etc., since the AASHTO budget does not cover such items.

Open Meetings - It is the general policy of the Association that all of its meetings shall be open except when matters of personnel, litigation and like sensitive issues are being discussed, at which time a meeting may be closed for that purpose only.

Joint Committee Meetings - Any AASHTO committee wishing to meet jointly with another AASHTO committee to discuss matters of mutual interest to both should coordinate such a joint meeting through the Executive Director, and the Executive Director is to be advised of the meeting date and its results.

Sponsorships - It is the policy of AASHTO, under the conditions listed below, to accept sponsorship dollars and in-kind contributions.

Sponsorship means dollars that are given to AASHTO headquarters to reduce meeting expenses or for other authorized activities. In-kind contributions are those that a company or organization may give AASHTO to support authorized activities (e.g., meetings, awards, committees) in exchange for recognition appropriate to the activity.

In order to accept sponsorship funds or in-kind contributions the funding and contributions must be processed through AASHTO headquarters. For meetings where AASHTO is helping to raise sponsorship or in-kind contributions all financial transactions will be processed through the headquarters office including gathering information, dollars and paying meeting expenses. After all meeting expenses are paid and all costs covered then any remaining funds will be applied to meeting expense budgets and used to offset costs of other meetings and activities as designated by the Executive Director.

Meetings where sponsorship dollars will be raised will vary in size, cost, location, types of speakers and other factors. Because of this it will be up to AASHTO headquarters, under the direction of the Executive Director, to determine the appropriate amounts for contributions and also what the forms of recognition would be for each meeting. However, no service or consideration will be offered or expected as a result of the financial contribution.

5. AWARDS AND CERTIFICATES
SCOTSEM, with the prior approval of the AASHTO Executive Director, may establish and present appropriate awards and certificates within the committee. All awards and certificates are recorded in the SCOTSEM minutes. SCOTSEM may present the following awards:

5.1 AASHTO President’s Transportation Award
The AASHTO President’s Transportation Awards are presented each year at the AASHTO Annual Meeting to individuals or teams who meet the criteria for the awards. Each award is titled “AASHTO President’s Transportation Award for (subject area).” SCOTSEM LEADERSHIP TEAM recommends to the Executive Committee subject areas wherein they would like to make awards. SCOTSEM LEADERSHIP TEAM develops criteria for their awards, which are reviewed and approved by the Executive Committee to maintain a standard of excellence across the Association.

Nominations may be made by the chief executive officer of a member department or by the chair of
SCOTSEM based on the nominees having performed exemplary service during the year furthering the transportation activities of his/her member department which has or potentially could have a salutary impact on transportation nationwide, or on a regional basis, and such additional criteria as shall be established by the Executive Committee. The Executive Committee approves uniform nomination forms for the awards, and all nominations shall be reviewed and approved by the chief executive officer of the person’s member department. The award committee is comprised of the AASHTO President and the presidents of the four regional associations.

5.2 Professional Development Hours
If professional development hours (PDHs) are desired for a meeting of SCOTSEM or one of it’s Technical Working Groups, the chair with AASHTO staff assistance should do the following:

Determine which segment(s) of the meeting or its activities meets the standards set by the National Council of Examiners for Engineering and Surveying (http://ncees.org/wp-content/uploads/2012/11/CPC-Guidelines-20131.pdf) as PDHs.

If the PDH offering is to be advertised on the agenda, submit a request to AASHTO for verification prior to the meeting. Include the draft agenda and an estimate of PDHs to be claimed.

Most State Licensing Boards have elected to distribute information on what is and is not acceptable and leave it up to the licensee to ensure that the activity qualifies. Some jurisdictions do pre-approve courses for surveyors and/or engineers; others approve sponsors of CPC activities. Note that AASHTO has not been “pre-approved” by any state as a sponsor of continuing professional competency activities, but leaves it to the licensee to ensure that the credits provided meet his/her state’s requirements.

The requirement to maintain adequate records is the responsibility of the licensee. Licensing boards may conduct audits of licensees for verification purposes.

Further information on this topic is contained in Appendix III

5.3 Other Awards and Certificates
SCOTSEM may give out other awards as noted in their operating procedures. Certificates may also be given to the membership of SCOTSEM and its TWG/RWGs to recognize both outstanding service and years of service to the committee.
## Appendix I - Model Call or Meeting Agenda and Minutes

**AASHTO Special Committee on Transportation Security and Emergency Management**

**{Insert name of} Technical/ Regional Working Group**

**Conference Call**

**Agenda**

{date}

{time}

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<td>10 min</td>
<td><strong>Welcome</strong>&lt;br&gt;Introductions/Attendance&lt;br&gt;Purpose of Call/Agenda</td>
<td>TWG or RWG Leader</td>
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<td><strong>PREPARATION MATERIALS</strong>&lt;br&gt;Agenda attached to call invite&lt;br&gt;Notes from previous call provided by recorder</td>
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<td>15 min</td>
<td><strong>II. LT/TWG/AASHTO Status Reports</strong>&lt;br&gt;- Goal performance/Implementation steps status&lt;br&gt;- Action items status&lt;br&gt;- Research needs status&lt;br&gt;- Key deadlines and upcoming events&lt;br&gt;- Training initiatives&lt;br&gt;- Other announcements</td>
<td>TWG or RWG Leader(s)&lt;br&gt;AASHTO Staff</td>
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<td><strong>PREPARATION MATERIALS</strong>&lt;br&gt;Draft research problem statements&lt;br&gt;Draft committee reports, white papers, etc.</td>
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<td>30 min</td>
<td><strong>III. Invited Presentation/Briefing (optional)</strong>&lt;br&gt;(Every state should give a 30 minute presentation at least once in a two-year period.)</td>
<td>State Presenter&lt;br&gt;Other Agency Briefer</td>
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<td><strong>PREPARATION MATERIALS</strong>&lt;br&gt;Presentation/briefing materials distributed prior to call</td>
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<td>30 min</td>
<td><strong>IV. Member Status Reports/Announcements (optional)</strong>&lt;br&gt;{This period can be used for a round-robin information exchange between call participants.}</td>
<td>Working Group Members&lt;br&gt;Working Group Guests</td>
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The purpose of this model agenda is to provide some consistency and structure across SCOTSEM’s seven working groups while also allowing the maximum amount of flexibility for group leaders to customize their agendas to best meet the needs and interests of their members.

The agenda can be adapted to 30, 60 or 90 minutes call durations by including optional Sections III or IV, as desired.

Note that the preparation materials identified can be produced and made available to the participants prior to the call.

The model assumes that the recorder role change for each call, distributing the workload among the Group membership. Some Groups may prefer to have a more permanent Recorder assigned.

Note: State member presentations could provide peer-useful information such as but not limited to:

A. S&EM background (size, organizational structure, working relationships)
B. Biggest concerns (threat/hazard)
C. Dates of most recent updates of fundamental plans
D. Training and exercise schedule/budget and how it is arrived at
E. How new senior execs get brought up to speed
F. How presenter learned the job
G. How and how much of the workforce is engaged in training and exercises for security awareness, infrastructure protection, and emergency response (e.g., who gets what ICS training?)
H. Most recent major event or exercise
I. Two effective practices or resources they recommend (for sharing through the TWGs)
J. Two requests for information on effective practices from others

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<td><em>Next call date and time</em></td>
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<td><em>On-deck recorder member</em></td>
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AASHTO Special Committee on Transportation Security and Emergency Management
__________________________________________LT/TWG/RWG
Conference Call/Meeting Minutes
[Date/Time:]

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<thead>
<tr>
<th>Moderator:</th>
</tr>
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<tbody>
<tr>
<td>Participants (optional):</td>
</tr>
<tr>
<td>Next call/meeting:</td>
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**Announcements**
[List all announcements made on the call. For example, new members, change of event, etc.]

**Discussion**
[Summarize the discussion for each item, state the outcome, and assign action items.]

**Roundtable**
[Summarize each State or other participant report.]

**Action Items/Assignments**
[Summarize any action items, assignments, decisions or outstanding issues]
Appendix II – Summary of Guidance for Assigning Professional Development Hours (PDHs)

Summary of Guidance for Assigning Professional Development Hours (PDHs)

Based on the National Council of Examiners for Engineering and Surveying’s Continuing Professional Competency Guidelines, 2013:


The National Council of Examiners for Engineering and Surveying (NCEES) provides guidelines for jurisdictions that have continuing professional competency (CPC) requirements for licensure renewal. NCEES encourages State Licensing Boards to follow the NCEES Model Rules as outlined in the NCEES Continuing Professional Competency Guidelines when adopting CPC requirements. However, licensees are expected to meet the CPC requirements of the states in which they have been granted a license. Information regarding the requirements of individual State Licensing Boards can be accessed at http://ncees.org/licensing-boards/.

The following information is summarized from “Section 3 – Criteria for Activities” of the NCEES Continuing Professional Competency Guidelines. This information has been excerpted because it relates to the most common types of AASHTO committee work.

- **Definitions**
  - **PDH:** The term professional development hour (PDH) is defined as a contact hour (nominal) of instruction or presentation.
  - **Course or Activity:** Any qualifying course or activity with a clear purpose and objective which will maintain, improve, or expand the skills and knowledge relevant to the licensee’s field of practice.

- **Calculating Credit**
  - **Attending Qualifying Courses or Activities:** One PDH is earned for each contact hour (nominal) of instruction or presentation, including course work, seminars, or professional or technical presentations made at meetings, conventions, or conferences. (It is recommended that PDHs be rounded and reported to the nearest half hour. For example, a qualifying activity of 50 minutes would be reported as 1 PDH, and an activity of 40 minutes would be reported as ½ PDH.)
  - **Teaching:** Teaching qualifying courses, seminars, or tutorials earns PDHs for the instructor at twice that of the students (i.e., multiply the PDHs x 2). Teaching credit is valid only for the first offering or presentation.
o **Publishing a Paper, Article, or Book:** The author must have his/her work actually published before credit can be claimed. The PDH credit is established at 10 PDHs for each peer-reviewed paper or book in the licensee’s area of professional practice and 5 PDHs for all other published papers or articles in the licensee’s area of professional practice.

o **Active Participation in Professional and Technical Societies:** Two PDHs can be earned per organization if the licensee is an officer or committee member who actively participates within the organization or committee.

**Activities**

Most State Licensing Boards have elected to distribute information on what is and is not acceptable and leave it up to the licensee to ensure that the activity qualifies. Some jurisdictions do pre-approve courses for surveyors and/or engineers; others approve sponsors of CPC activities. Note that AASHTO has not been “pre-approved” by any state as a sponsor of continuing professional competency activities, but leaves it to the licensee to ensure that the credits provided meet his/her state’s requirements.

o **Examples of Qualifying Activities:**
  - Completing or attending courses, seminars, instruction, in-house programs, or training of engineering or surveying content related to the licensee’s field of practice
  - Attending technical or professional society meetings when an engineering/surveying topic is presented as a principal part of the program
  - Teaching a course for the first time or teaching a course previously taught if substantial time was spent in updating material
  - Completing management or ethics courses that relate to the improvement of one’s business or profession
  - Attending satellite down-link video courses where attendance is verified and program material meets the requirements
  - Completing computer software instructional courses that relate to the improvement of one’s business or profession
  - Completing correspondence courses on an engineering/surveying topic where lessons are prepared and returned for correction and/or grading and where testing at the end of the course is required

o **Examples of Non-qualifying Activities:**
  - Topics not relevant to engineering or surveying professions
  - Equipment demonstrations or trade show displays
  - Attending committee meetings or general business meetings of any organization
  - Repetitive attendance or teaching of the same course
  - Enrollment without attendance at courses, seminars, etc.
  - Self-study

**Recordkeeping**
The requirement to maintain adequate records is the responsibility of the licensee. Licensing boards may conduct audits of licensees for verification purposes. Records are required to include, but are not limited to, the following:

- a log showing the type of activity claimed, sponsoring organization, location, duration, instructor or speaker’s name, and PDHs earned
- attendance verification records in the form of completion certificates or other documents supporting evidence of attendance
Appendix III – Special Committee Activity Reporting Work Flow
ADOPTED BY SCOTSEM LEADERSHIP TEAM
OCTOBER 7, 2015

Purpose

The purpose of this Appendix is to expand on and document the workflow process requirements identified in SCOTSEM Operating Procedures Section 4.0. It is intended for use by SCOTSEM leadership as they prepare necessary documentation of the Committee’s activities in support of the goals and objectives outlined in the Strategic Plan.

The information includes multiple work flow scenarios outlining the document; the roles and responsibilities of SCOTSEM members in relation to that document and a set of actions to include create, revise, approve, distribute and archive reflecting the document’s life cycle.

Application of Work Plans and Activity Reports

**TELECONFERENCE and MEETING MINUTES** are used to document the activities, decisions and action items of the Leadership Team, the three Technical Working Groups, the four Regional Working Groups, *ad hoc* committees such as the Annual Meeting Planning Committee and the Special Committee meeting as a whole. These minutes capture the institutional “memory” of the Special Committee and provide several benefits to its members.

- Inform members and stakeholders of the outcome of events that they missed.
- Provide a knowledge archive for new members and leaders to better orient themselves.
- Document actions and responsibilities in order to minimize confusion and missed deadlines.
- Create a documented record that can be used in preparing the annual report to the AASHTO BOD, in performing the Special Committees internal strategic assessment and in communicating with external stakeholders.

It is the responsibility of each event moderator to assign a recorder for each event who is responsible for summarizing the outcomes of that event. Appendix A provides an example of a simple form to document calls and working group meetings. Best practice is to rotate the Recorder responsibility for each event so that the role does not evolve into a *de facto* Secretary position.

The recorder develops the first draft minutes and distributes them to the meeting participants for review, revision (if necessary) and acceptance.

The recorder then sends this accepted version to the SCOTSEM Secretary and to AASHTO staff for subsequent general distribution and archiving on both the AASHTO website and SCOTSEM’s NOCoE Forum.

This activity should be completed in a timely manner, as defined by SCOTSEM’s performance goals (e.g., minutes should be available within 10 working days from the date of the event).
**WORK PLANS** are developed annually and outline the planned activities of SCOTSEM and the individual Technical Working Groups (i.e., Research, IP, EM) for the coming year. The following information is to be provided in each work plan:

- TWG name
- Names of the TWG leadership
- Review and identification of the TWG’s mission or charge statement
- Summary of planned activities including schedules for completion
- Linkages between these activities and the strategic plan
- Names of others with potential interest in each activity
- Goals for the next 1–3 years
- Dates and locations of future meetings, calls and sponsored events

The Work Plan contents and outline may be adjusted as necessary for the specific use of those who are preparing it.

The Work Plan is designed for use by the 3 Technical Working Groups and the SCOTSEM Leadership Team on an annual basis. Optionally, the four Regional Working groups may wish to develop Work Plans, as well.

The Work Plans shall be prepared in advance of the SCOTSEM Annual Meeting for consideration by the Leadership Team and discussion with those in attendance at the event. The SCOTSEM Secretary working with the AASHTO Liaison is responsible for posting them on the NOCoE website and related websites after adoption by the Leadership Team. They shall also be reported on in Special Committee Newsletter.

The Work Plans will be incorporated by reference in SCOTSEM Annual Work Plan. The Work Plans will be prepared and submitted 60 days in advance of the Annual Business Meeting.

Technical and Regional Group Work Plans are to be forwarded to the SCOTSEM Secretary and to the AASHTO liaison for distribution and archiving.

**ACTIVITY REPORTS** provide a status report on ongoing projects. At a minimum, the following information is provided in each activity report:

- TWG/RWG name
- Names of the officers
- Summary of activities and accomplishments to date
- Names of other committees involved or with an interest in each activity
- Dates and locations of future working group meetings or conference calls

TWG/RWG may include and modify the annual activity reports to highlight activities unique to their duties and any issues they feel are necessary to be addressed.

SCOTSEM relies upon TWG/RWG activity reports to guide decision-making. Each TWG/RWG that reports directly to SCOTSEM shall submits an annual activity report to the AASHTO liaison no later than thirty (30) days prior to the SCOTSEM Annual Business Meeting.

The AASHTO liaison will provide all activity reports to SCOTSEM members at least two weeks prior
to the annual business meeting. SCOTSEM members review the activity reports and shall bring to the attention of the SCOTSEM chair and liaison any questions or issues with TWG/RWG activities prior to the meeting.

**ANNUAL MEETING SUMMARY REPORT** documents key decisions made by the SCOTSEM Leadership Team and the Committee and summarize key information and trends collected and reported by attendees.

This Report shall contain, at a minimum, the following Sections:

1. Summary Of SCOTSEM Leadership Decisions
2. Participant and Observer Reported Recommendations, Observations and Trends
3. Conclusions

This Report shall be prepared under the direction of the Secretary who is responsible for its distribution and archiving.

Draft and final copies of this Report shall be sent to the AASHTO Liaison.

### WORK FLOW SUMMARY TABLE

<table>
<thead>
<tr>
<th>REQUIRED PRODUCT</th>
<th>ACCOUNTABILITY</th>
<th>WHEN REQUIRED</th>
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<tbody>
<tr>
<td>TELECONFERENCE/MEETING MINUTES</td>
<td>MEETING RECORDER</td>
<td>WITHIN 14 DAYS OF THE EVENT</td>
</tr>
<tr>
<td>WORK PLANS</td>
<td>TWG CHAIRS (3) LEADERSHIP TEAM CHAIR</td>
<td>SUBMITTED 60 DAYS IN ADVANCE OF SCOTSEM BUSINESS MEETING</td>
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</tbody>
</table>
| ACTIVITY REPORTS                          | TWG CHAIRS
R WG CHAIRS
LEADERSHIP TEAM CHAIR | SUBMITTED 30 DAYS IN ADVANCE OF SCOTSEM BUSINESS MEETING |
| ANNUAL MEETING SUMMARY                    | SCOTSEM SECRETARY         | WITHIN 30 DAYS OF COMPLETING THE ANNUAL MEETING       |
| ANNUAL AASHTO BOARD OF DIRECTORS STATUS REPORT | SCOTSEM SECRETARY/ AASHTO LIAISON | 30 DAYS IN ADVANCE OF BOARD OF DIRECTOR ANNUAL AND SPRING MEETINGS |
AASHTO Special Committee on Transportation Security and Emergency Management

_____________________________LT/TWG/RWG

Conference Call/Meeting Minutes

[Date/Time:]

Moderator: 
Recorder: 
Participants (optional): 
Next call/meeting: 

I. Announcements

[List all announcements made on the call. For example, new members, change of event, etc.]

II. Discussion

[Summarize the discussion for each item, state the outcome, and assign action items.]

III. Roundtable

[Summarize each State or other participant report.]

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