

## **NOTICE AND AGENDA OF PUBLIC MEETING OF THE TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LEXTRAN) BOARD OF DIRECTORS**

Due to the COVID-19 pandemic, state of emergency and Governor Beshear’s Executive Orders regarding social distancing, this meeting of the Lextran Board of Directors will be held via video-teleconference pursuant to Senate 150 (as signed by the Governor on March 30, 2020) and Attorney General Opinion 20-05, and in accordance with KRS 61.826, because it is not feasible to offer a primary physical location for the meeting.

Pursuant to KRS 96.A, the Lextran Board of Directors is to meet monthly. The next meeting will be: **Wednesday, January 20, 2021 at 10:00 a.m. EST**

Pursuant to KRS 61.810, the Board may enter into Closed Session, but shall not take any action in a Closed Session.

Pursuant to the Americans with Disabilities Act, persons with a disability may request a reasonable accommodation for assistance with the meeting or meeting materials. Please contact Emily Elliott at 859-255-7756. Requests made as early as possible will allow time to arrange accommodation.

### **MEETING INSTRUCTIONS**

#### **Broadcast on YouTube at:**

[bit.ly/lextranmeeting](http://bit.ly/lextranmeeting)

#### **Held via Webex Video Conference:**

Go to [www.webex.com](http://www.webex.com) or download the app, and then when prompted:

**Meeting number:** 132 000 2050

**Meeting password:** 86375187815587

#### **Audience or Lextran staff can join by phone:**

312-535-8110 OR 408-418-9388

Enter Meeting Number and Password when prompted.

Contact Alan Jones at [ajones@lextran.com](mailto:ajones@lextran.com) for assistance or for access from outside the US

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## BOARD OF DIRECTORS MEETING

January 20, 2021

10:00 a.m.

### MEETING AGENDA

|       |                                                                                                                                                                                                       |               |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| I.    | Call to Order                                                                                                                                                                                         | 10:00         |
| II.   | Public Comment on Agenda Items / Public Hearing                                                                                                                                                       | 10:05 – 10:10 |
| III.  | Approval of December 2020 Board Meeting Minutes                                                                                                                                                       | 10:10 – 10:15 |
| IV.   | Chair's Report                                                                                                                                                                                        | 10:15 – 10:20 |
| V.    | Lextran Monthly Performance Report & Financials – December                                                                                                                                            | 10:20 – 10:50 |
| VI.   | Action Items<br>A. Resolution 2021-01 – Approval of Lextran Agency Safety Plan<br>B. Resolution 2021-02 – Radio Communications<br>C. Resolution 2021-03 – Approval of EEO Officer and ADA Coordinator | 10:50 – 11:10 |
| VII.  | Change Order Report                                                                                                                                                                                   |               |
| VIII. | Old Business                                                                                                                                                                                          |               |
| IX.   | New Business                                                                                                                                                                                          |               |
| X.    | Proposed Agenda Items<br>A. Nepotism, Romantic and Familial Relationships Policy<br>B. Comprehensive Operations Analysis Update<br>C. Nicholasville Road Project                                      |               |
| XI.   | Closed Session                                                                                                                                                                                        |               |
| XII.  | Adjournment                                                                                                                                                                                           | 11:30         |

## **BOARD OF DIRECTORS MEETING**

### **BOARD MINUTES**

December 16, 2020

#### **MEMBERS PRESENT**

Christian Motley, Board Chair

Adrienne Thakur, Vice Chair

George Ward

Rick Christman

Harding Dowell

Jamie Rodgers

#### **MEMBERS ABSENT**

Joe Smith

#### **STAFF PRESENT**

Nikki Falconbury, Director of Finance and Human Resources

Fred Combs, Director of Planning, Technology, and Community Relations

John Givens, Director of Risk Management

Jason Dyal, Director of Operations

Chris Withrow, Interim Director of Maintenance

Alan Jones, Systems Administrator

Emily Elliott, Community Relations Manager

Maria Alonso, Human Resources Manager

Stephanie Hoke, Finance Manager

Catherine Waits, Payroll & Finance Coordinator

Tricia Neal, Human Resources Coordinator

Glenda Shoopman, Purchasing & Finance Coordinator

Anne-Tyler Morgan, McBrayer Law Firm, Board Attorney

#### **OTHERS PRESENT** via phone and web

Joseph David, Transportation Planner, LFUCG MPO

### **I. CALL TO ORDER**

Chairman Christian Motley called the December 16, 2020 meeting of the Lextran Board of Directors to order at 10:05 am.

Mr. Motley performed a roll call to determine which members were present. Quorum was achieved.

Due to the COVID-19 pandemic, state of emergency and Governor Beshear's Executive Orders regarding social distancing, this meeting of the Lextran Board of Directors was held via video-conference pursuant to Senate 150 (as signed by the Governor on March 30, 2020) and Attorney General Opinion 20-05, and in accordance with KRS 61.826, because it was not feasible to offer a primary physical location for the meeting.

## **II. PUBLIC COMMENT**

There was no public comment.

## **III. APPROVAL OF MINUTES**

Mr. Motley called for a motion to approve the board meeting minutes from November 18, 2020. Mr. Ward made a motion and Mr. Dowell seconded. The motion passed unanimously.

## **IV. CHAIR'S REPORT**

There was no chair's report.

## **V. ACTION ITEMS**

There were no actions items.

## **VI. LEXTRAN MONTHLY PERFORMANCE REPORT & FINANCIALS**

Mr. Combs presented the Monthly Performance Report for November 2020 found on pages 8-12 of the December 2020 board packet.

### **HIGHLIGHTS FOR NOVEMBER**

- Trust in Transit campaign had 98 participants this month after launching in late October. Mr. Motley commented on the mask and encouraged community members to take the pledge.
- A virtual public meeting was held to solicit public feedback for the December Service Improvements that reached over 200 unique viewers. This showed a significant increase compared to in person meetings of the past.
- A reduction in on-board capacity went into effect on November 22<sup>nd</sup>.
- Lextran provided a Thanksgiving meal to all employees who worked on Thanksgiving Day.

Ridership showed a consistent decrease with normal seasonal decrease seen each year. The same pattern was seen with paratransit. Ridership continues trending well below normal due to the pandemic. System productivity for both paratransit and fixed route service continues to be down, but everything is in reasonable range for paratransit and fixed route for situation with the pandemic.

Regarding the safety indicators in the board packet there was a preventable accident noted, but this was incorrect as it did not occur in revenue service. It has been fixed in the packet presented and now shows as zero for the month. Fixed route and paratransit are below target for this indicator.

For maintenance, preventive maintenance inspections continue on-track and they have completed 222 inspections in a row for the fiscal year. One of items in the plan to resume fare collection was initial quality control testing on the fare boxes and this was completed in November. Additional inspections will happen closer to the fare collection date. Mr. Ward asked if this would need to be repeated if fare collection is delayed several months. Mr. Combs replied that if the current plan to reinstate in late January stays on track the inspections should be fine. If fare collection is delayed several months, the testing may need to be repeated, but the secondary testing will be required either way.

Mr. Combs provided an update on Healthy on Board Phase IV. Front door boarding will begin in January. Staffing for maintenance and customer service is ongoing. Some passenger and agency outreach has begun and will come around again nearer to late January. Mr. Motley asked about feedback on the changes. Mr. Combs stated that there was little feedback and passengers were glad fare collection was postponed, but the effort to inform was pulled back when the date changed.

Mr. Dowell asked for a more in-depth explanation for the trend downturn toward end of year on ridership. Mr. Combs explained that seasonality is highly correlated in transportation. For Lextran specifically it is how things happen on campus and correlates to semesters. Mr. Dowell asked if we have a sense of what kind of rider has not returned to transit with more normalization in other areas. He asked who is staying away and how do we get them back. Mr. Combs stated there are some thoughts and research goes back to choice versus captive riders. People who really need us are still here and those with other options are utilizing them. Mr. Ward mentioned that the service industry has lost lots of jobs and those individuals are not needing transit at this time. Mr. Combs added that as our economy recovers, we hope to capture those riders back.

Customer Service training was completed in November and Operations training began but was not completed. It will resume in January. Current dates for pass sales are January 21<sup>st</sup> leaving the opportunity to revisit if needed at the next board meeting. Fare collection is set to begin on January 31.

Mr. Combs continued with an update on the Radio Communications Project. There is a need to migrate or replace the current system with the vendor contract expiring next summer. This was identified as a top tech priority from work with the IBI group. The system is used for Dispatch and supervisors communicate with operators in vehicles. Alternatives were considered and a system like the current one and cost effectiveness were important factors leading to the decision that the best

course of action to would be to join an existing system. We are currently working with UK and LFUCG and evaluating functionality and cost. A staff recommendation and resolution will come in January with full migration by summer. Mr. Christman asked if we hired consultant for assessment. The assessment was on technology across the board and this was identified as an important issue. They helped with the cost analysis and functionality as well as looking to future endeavors for the best options. Mr. Christman asked if the City and UK choices would allow us to not to buy our own hardware. Mr. Combs stated that this was a much less expensive option than buying our own hardware, but there would still be some capital costs for Lextran, and some equipment could be reused. Mr. Christman and Mr. Combs discussed various details of the project, coming resolution and the financials. Ms. Falconbury stated that the project has been a part of the capital plan for the last three years and there will continue to be grant money to support.

Ms. Rodgers commented on the virtual meeting and the hygiene commercial airing and congratulated the team on a job well done. She asked if any of the decrease in ridership was correlated to the decreased capacity onboard buses. Mr. Combs replied that Lextran uses shadow service to make sure all trips are met despite decreased capacity to maintain ridership. Ms. Rodgers asked if we had any feedback on the decreased capacity. Mr. Combs stated that we have been monitoring passenger loads and preparing for potential need. The Executive Order from the Governor has expired so capacity will return to fifty percent. Regarding customer feedback, Ms. Rodgers asked if there were any changes regarding the increase. Mr. Combs shared that there was an increase in discourtesy and passed boardings from FY 19 to FY 20. Investigation showed that discourteous complaints increased with the institution of the rear-door boarding policy causing more separation between customers and passengers and making communication more difficult. Passed boardings show no clear trend at this time, but we will continue to monitor them. To keep the focus on feedback we are reviewing the procedures on entry of complaints and the follow through while continuing to monitor trends. Mr. Dowell asked if the terms discourtesy and passed boarding could be defined. Discourtesy is an event that happens when a customer feels that a staff member has been rude or unkind or not provided high quality customer service. A passed boarding is when someone is at a stop and the bus approaches but does not stop and leaves them waiting for a ride. After an incident is reported, then we must go back and review and investigate. There are additional categories, but these two jumped out and that was the reason for sharing.

Mr. Christman noted an article stating that some cities have more of a capacity issue and they are finding that people are buying used cars and giving up public transit. The hope is that we will regain all our riders. Mr. Combs shared that we are planning a survey in the next few months. A conversation commenced about the importance of understanding how the data will have changed from pre-pandemic to now. Members discussed the messaging and efforts to gauge non-riders,

potential riders, and newly transit dependent folks through survey and marketing efforts. The impact of rideshare companies on public transit ridership in Lexington and other larger cities were discussed as well as the financial implications on individuals who utilize these options.

Mr. Combs continued with a RAMP update noting that the project has gotten back on track with the completion of five more stops. Preliminary work is underway on stops that require additional engineering before the permitting process can begin and those stops are moving forward. Phase I is wrapping up and procurement will begin on Phase II of the project. There were about 25 completed in Phase I with a structure to continue until all the grant money was utilized with allotment for four to five more. The current contractor is a DBE contractor pouring the pads. For Phase II, the procurement will reopen, and a new bid is required based on how the procurement was proposed.

Ms. Rodgers initiated a discussion on the Performance Report for safety. The indicators were compared for this year to last year. Mr. Givens explained how the injury frequency rate is calculated and how injuries are evaluated. Lost time was discussed and indicated as the key to monitor.

Ms. Rodgers commented on the way that information is displayed and the transparency of information. Staffing was discussed and how many people were interviewed versus how many hired for the month. Ms. Falconbury clarified and mentioned that we are very close to fully staffed with a low number of open positions.

## **FINANCIAL REPORT**

Ms. Falconbury reported on the Financial Report for November 2020 found on pages 13-14 of the December 2020 board packet. On the Balance Sheet, it is noted that the operating cash is lower than normal because of the property tax extension. The payment should be received in December. Lextran has paid off more than half of the loan to Fifth Third. The Balance Sheet is similar to last month with no items that stand out. It is expected that the property tax check, that will be received in December, will be a little more than \$14 million. The total for the year is typically between \$18-19 million.

Regarding expenses, the wages and fringe benefits are on track and we are pleased with that. There is a delay in professional services, but it will catch up. Materials and supplies are over budget, due to PPE purchases that will be reimbursed under the CARES act. Paratransit expenses are still under budget and are rising with increased ridership. Mr. Motley asked if we use paratransit or a different partnership to produce shadow service. Paratransit has been used in the past, but Mr. Combs noted that the last several months has been managed in house with the increased flexibility of employees and fleet due to the UK semester break. Ms. Rodgers asked where the overtime came in and how that has been managed with increased absenteeism. Ms. Falconbury noted that it falls under wages. We have had increased overtime

especially during the month of November, but it remains under budget. Ms. Falconbury explained the extra board and how that works to support functions and reduce overtime.

#### **VII.CHANGE ORDER**

Ms. Falconbury reviewed two change orders for S&D Construction, the firm contracted for the RAMP project. There was additional sidewalk reconstruction and alterations to the original plan from LFUCG Traffic Engineering that required concrete work. It was small change order for \$1,900. Mr. Dowell asked about the identical contract values and asked for clarification. Each stop was bid individually, but then grouped as one contract and the \$160,000 was the total of stops combined.

#### **VIII.OLD BUSINESS**

There is one vacant spot for a new board member and Ms. Rodgers asked for an update. Mr. Motley shared that we are waiting to hear from the Mayor's Office and he would address this in the new year. Mr. Ward asked for an update on Mr. Joe Smith. Mr. Motley remarked that Ms. Barnett has been in touch with him by phone. It was discussed that the change in time for the meetings or the difficulty with virtual meetings may be barriers. It was noted that there is an attendance requirement in the bylaws.

#### **IX.NEW BUSINESS**

There was no new business reported.

#### **X.PROPOSED AGENDA ITEMS**

There were no proposed agenda items.

#### **XI.CLOSED SESSION**

There was no closed session.

#### **XII.ADJOURNMENT**

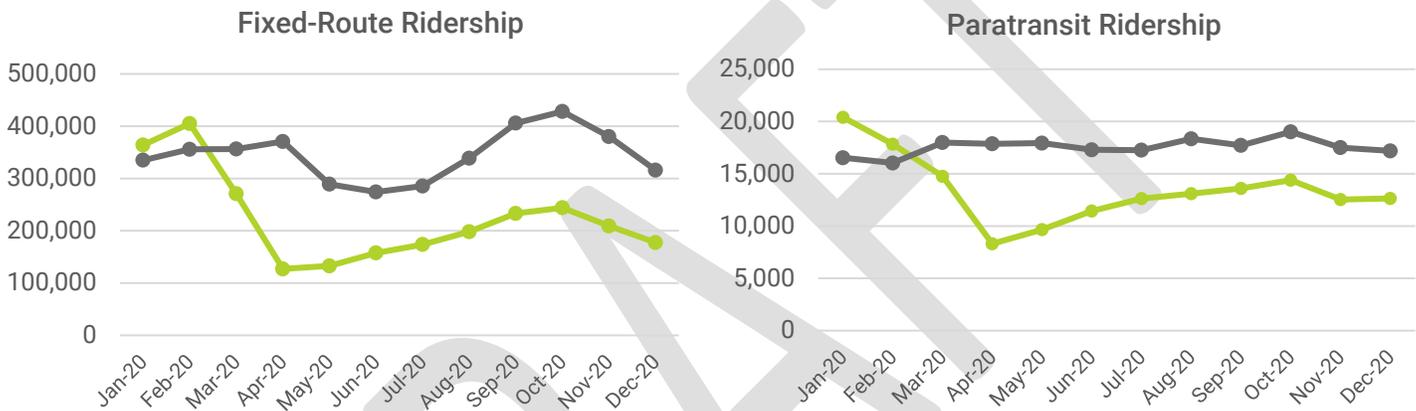
Mr. Motley called for a motion to adjourn the December 16, 2020 meeting of the Lextran Board of Directors. Mr. Dowell made a motion that was seconded by Ms. Rodgers. The meeting adjourned by consensus at 11:00 a.m.

## LEXTRAN MONTHLY PERFORMANCE REPORT – DECEMBER 2020

We serve people and our community with mobility solutions.

In December, Lextran implemented service improvements for Route 8 – Versailles Road and Route 11 – Richmond Road. Additional afternoon trips were added to Route 8 to meet increasing demand along the corridor. A stop on Route 11 was relocated to the access road near Southland Christian Church to improve safety and accessibility. In addition, bay assignments at the downtown transit center were relocated to accommodate a new crosswalk being constructed as part of the Town Branch Commons project. Wayfinding signs were added to assist passengers in locating their bus.

### DEMONSTRATE VALUE TO THE COMMUNITY



| Performance Indicator    | Fixed Route System |           |           | Paratransit (Wheels) |          |          |
|--------------------------|--------------------|-----------|-----------|----------------------|----------|----------|
|                          | This Month         | FY21 YTD  | FY20 YTD  | This Month           | FY21 YTD | FY20 YTD |
| <b>System Production</b> |                    |           |           |                      |          |          |
| Total Ridership          | 177,467            | 1,235,724 | 2,281,015 | 12,645               | 78,902   | 118,188  |
| Weekday Ridership        | 149,853            | 1,038,033 | 1,965,592 | 10,825               | 66,662   | 98,618   |
| Saturday Ridership       | 15,447             | 105,172   | 177,792   | 1,096                | 6,875    | 9,669    |
| Sunday Ridership         | 11,357             | 81,577    | 124,215   | 690                  | 4,744    | 8,866    |
| Holiday Ridership        | 810                | 11,542    | 13,416    | 34                   | 621      | 1,035    |
| Total Revenue Miles      | 151,628            | 899,497   | 949,733   | 94,778               | 584,310  | 837,284  |
| Total Revenue Hours      | 15,703             | 93,869    | 99,954    | 7,887                | 47,199   | 66,436   |
| Trips per Mile           | 1.17               | 1.37      | 2.40      | 0.13                 | 0.14     | 0.14     |
| Trips per Hour           | 11.30              | 13.16     | 22.82     | 1.60                 | 1.67     | 1.78     |

- Fixed-route ridership remained consistent at 44% below the average December and has remained between 39% to 45% below the monthly average since June 2020.
- Paratransit ridership was 26% below average for the month of December but increased by 112 trips compared to last month.

## LEXTRAN IN THE MEDIA

- December 10 – Lextran postpones fare collection with modified Healthy On-Board Phase IV Plan  
<https://www.lex18.com/news/coronavirus/lextran-postpones-fare-collection-with-modified-healthy-on-board-phase-iv-plan>
- December 10 – Lextran delays fare collection to Jan. 31  
<https://www.wtvq.com/2020/12/10/lextran-delays-fare-collection-to-jan-31/>
- December 18 – Suburban sprawl and development do not help build more affordable housing  
<https://www.kentucky.com/opinion/op-ed/article247919275.html>
- December 21 – What’s Open, What’s Closed on Christmas Eve and Day 2020 in Lexington, KY?  
<https://www.aceweekly.com/2020/12/whats-open-whats-closed-on-christmas-eve-and-day-2020-in-lexington-ky/>

## MEETINGS

- December 8 – US27 Imagine Nicholasville Road Project Team Meeting
- December 9 – Transportation Technical Coordinating Committee
- December 14 – Commission for People with Disabilities Meeting
- December 15 – KRM Quarterly Meeting
- December 15 – FTA COVID-19 Listening Session
- December 16 – Mayor’s Sustainable Growth Task Force
- December 30 – Dismas Charities Community Relations Board Meeting

**DELIVER A HIGH-QUALITY PRODUCT**

| Performance Indicator                   | Fixed Route System |                 |                 | Paratransit (Wheels) |                 |                 |
|-----------------------------------------|--------------------|-----------------|-----------------|----------------------|-----------------|-----------------|
|                                         | This Month         | FY21 YTD        | FY20 YTD        | This Month           | FY21 YTD        | FY20 YTD        |
| <b>Service Quality</b>                  |                    |                 |                 |                      |                 |                 |
| On-Time Performance                     | 94.00%             | 94.00%          | 88.00%          | 95.62%               | 94.24%          | 87.69%          |
| Farebox Recovery                        | 0.00%              | 0.00%           | 6.47%           | N/A                  | N/A             | N/A             |
| Operating Expenses                      | \$1,459,487        | \$9,511,776     | \$10,065,602    | \$360,056            | \$2,312,525     | \$2,671,263     |
| Per Mile                                | \$2.37             | \$3.19          | \$3.08          | N/A                  | N/A             | N/A             |
| Per Hour                                | \$70.06            | \$72.03         | \$71.61         | N/A                  | N/A             | N/A             |
| <b>Customer Service</b>                 | <b>This Month</b>  | <b>FY21 YTD</b> | <b>FY20 YTD</b> | <b>This Month</b>    | <b>FY21 YTD</b> | <b>FY20 YTD</b> |
| Customer Feedback Totals per 100k Trips | 17.47              | 22.09           | 9.95            | 197.71               | 187.57          | 123.53          |
| Commendations                           | 0.56               | 0.89            | 1.10            | 0.00                 | 19.01           | 16.92           |
| Discourtesy                             | 2.25               | 7.45            | 2.67            | 71.17                | 62.10           | 33.00           |
| Late or Early                           | 2.25               | 1.38            | 1.36            | 0.00                 | 8.87            | 29.61           |
| Safety                                  | 3.38               | 4.13            | 2.02            | 126.53               | 96.32           | 37.23           |
| Passed Boarding                         | 2.82               | 4.61            | 1.18            | 0.00                 | 0.00            | 0.00            |
| Information and Service Requests        | 2.25               | 1.38            | 0.66            | 0.00                 | 0.00            | 0.00            |
| Other                                   | 3.94               | 2.27            | 0.96            | 0.00                 | 1.27            | 6.77            |
| Call Length                             | 1:08               | 1:06            | 1:20            | 1:14                 | 1:12            | 1:11            |
| Time to Abandon                         | 1:08               | 1:06            | 0:41            | 0:29                 | 0:26            | 0:47            |

- Total customer comments, including comments about discourtesy and passed boardings, trended lower in December.
- On-time performance for FY21 continues to exceed FY20.

**MANAGE AND SUSTAIN RESOURCES**

| Performance Indicator                   | Fixed Route System |          |          | Paratransit (Wheels) |          |          |
|-----------------------------------------|--------------------|----------|----------|----------------------|----------|----------|
|                                         | This Month         | FY21 YTD | FY20 YTD | This Month           | FY21 YTD | FY20 YTD |
| <b>Safety</b>                           |                    |          |          |                      |          |          |
| Preventable Accidents per 100,000 miles | 0.63               | 1.06     | 2.17     | 0.00                 | 0.89     | 1.86     |
| Injury Frequency Rate                   | 20.89              | 24.64    | 14.32    | N/A                  | N/A      | N/A      |
| Days with No Preventable Accidents      | 28                 | 172      | 162      | 31                   | 182      | 177      |
| Days of Lost Time                       | 7                  | 76       | 572      | N/A                  | N/A      | N/A      |
| Workers Compensation Claims             | 3                  | 23       | 14       | N/A                  | N/A      | N/A      |

- The fixed-route service has recorded 52% fewer preventable accidents to date in FY21 compared to FY20.
- There have been no preventable accidents for Wheels service in FY21, compared to seven in the same period in FY20.

| Performance Indicator                                     | Fixed Route System |          |          |
|-----------------------------------------------------------|--------------------|----------|----------|
|                                                           | This Month         | FY21 YTD | FY20 YTD |
| <b>Maintenance</b>                                        |                    |          |          |
| Miles between Road Calls                                  | 8,919              | 6,203    | 7,197    |
| Percent of Preventive Maintenance Inspections on Schedule | 100%               | 100%     | 97%      |

- Maintenance has completed 100 percent (265 of 265) of scheduled preventative maintenance in FY21 compared to 97% (251 of 260) for the same period in FY20.

| Performance Indicator        | Fixed Route System |            |           |
|------------------------------|--------------------|------------|-----------|
|                              | This Month         | Interviews | New Hires |
| <b>Hiring and Recruiting</b> |                    |            |           |
| Open Positions               | 13                 | 4          | 0         |
| Operations                   | 10                 | 0          | 0         |
| Maintenance                  | 1                  | 1          | 0         |
| Administration               | 2                  | 3          | 0         |

| Performance Indicator           | Fixed Route System |          |
|---------------------------------|--------------------|----------|
|                                 | This Month         | FY21 YTD |
| <b>Training Activities</b>      |                    |          |
| Post-Accident Remedial Training | 5                  | 21       |
| Return to Work Training         | 2                  | 14       |
| Electric Bus Training           | 5                  | 14       |
| Smith System Training           | 5                  | 97       |

### Procurement

|                                        |                          |
|----------------------------------------|--------------------------|
| Radio Communications                   | January Board Resolution |
| Electric Bus                           | In Review                |
| CNG Station Maintenance and Monitoring | Upcoming RFP             |
| Management Services                    | Upcoming RFP             |
| Pension Fund Management Services       | Upcoming RFP             |
| RAMP Phase II                          | Upcoming RFP             |

**FINANCIALS**
**BALANCE SHEET**

as of December 31, 2020

|                                           | CURRENT<br>YEAR-TO-DATE    | LAST<br>YEAR-TO-DATE       |
|-------------------------------------------|----------------------------|----------------------------|
| <b>ASSETS</b>                             |                            |                            |
| Current assets                            |                            |                            |
| Operating Cash                            | \$24,535,204               | \$18,732,815               |
| Accounts receivable                       | \$3,600,731                | \$3,743,435                |
| Inventory                                 | \$696,981                  | \$676,271                  |
| Work in process                           | \$876,943                  | \$1,798,002                |
| Prepaid                                   | \$624,773                  | \$630,555                  |
| Total Current Assets                      | <u>\$30,334,631</u>        | <u>\$25,581,079</u>        |
| Long term note - Lextran Foundation Inc.  | \$8,355,000                | \$8,355,000                |
| Long term asset - Pension                 | \$2,285,415                | \$2,322,984                |
| Total Long Term Assets                    | <u>\$10,640,415</u>        | <u>\$10,677,984</u>        |
| Net capital and related assets            | \$24,103,578               | \$24,961,860               |
| <b>TOTAL ASSETS</b>                       | <u><u>\$65,078,624</u></u> | <u><u>\$61,220,923</u></u> |
| <b>LIABILITIES</b>                        |                            |                            |
| Current liabilities                       |                            |                            |
| Accounts payable                          | \$235,731                  | \$989,175                  |
| Payroll liabilities                       | \$790,253                  | \$744,770                  |
| Short term note - Fifth Third Bank        | \$980,342                  | \$951,214                  |
| Total Current Liabilities                 | <u>\$2,006,325</u>         | <u>\$2,685,160</u>         |
| Long term note - Fifth Third Bank         | \$3,443,936                | \$4,426,672                |
| Long term liability - Pension             | \$2,589,356                | \$2,911,112                |
| Total Long Term Liabilities               | <u>\$6,033,292</u>         | <u>\$7,337,783</u>         |
| <b>NET POSITION</b>                       | \$57,039,007               | \$51,197,980               |
| <b>TOTAL LIABILITIES AND NET POSITION</b> | <u><u>\$65,078,624</u></u> | <u><u>\$61,220,923</u></u> |

**Financials**
**STATEMENT OF REVENUES, EXPENSES AND CHANGE IN NET POSITION**

DECEMBER 2020

|                               | FY2021<br>ACTUAL    | FY2021<br>BUDGET    | FY2021<br>VARIANCE   | FY 2020<br>ACTUAL   |
|-------------------------------|---------------------|---------------------|----------------------|---------------------|
| <b>REVENUES</b>               |                     |                     |                      |                     |
| Property taxes                | \$15,018,630        | \$12,390,400        | \$2,628,230          | \$16,242,106        |
| Passenger revenue             | \$14,954            | \$446,500           | (\$431,546)          | \$679,955           |
| Federal funds                 | \$5,459,741         | \$2,150,000         | \$3,309,741          | \$2,713,845         |
| State funds                   | \$0                 | \$0                 | \$0                  | \$497,500           |
| Advertising revenue           | \$260,000           | \$260,000           | \$0                  | \$260,000           |
| Other revenue                 | \$1,132,518         | \$943,146           | \$189,372            | \$1,284,573         |
| <b>TOTAL REVENUES</b>         | <b>\$21,885,843</b> | <b>\$16,190,046</b> | <b>\$5,695,796</b>   | <b>\$21,677,979</b> |
| <b>EXPENSES</b>               |                     |                     |                      |                     |
| Wages                         | \$4,751,396         | \$4,864,583         | (\$113,188)          | \$4,881,601         |
| Fringe benefits               | \$2,710,438         | \$2,842,862         | (\$132,423)          | \$2,660,620         |
| Professional services         | \$464,777           | \$716,678           | (\$251,901)          | \$434,761           |
| Materials and supplies        | \$682,541           | \$553,750           | \$128,791            | \$574,505           |
| Fuel-Diesel                   | \$280,593           | \$542,750           | (\$262,157)          | \$452,731           |
| Fuel-Other                    | \$112,719           | \$162,000           | (\$49,281)           | \$127,722           |
| Utilities - Facilities        | \$168,370           | \$173,982           | (\$5,611)            | \$161,566           |
| Utilities - Electric Bus      | \$38,218            | \$60,000            | (\$21,782)           | \$51,008            |
| Insurance                     | \$382,468           | \$409,000           | (\$26,532)           | \$379,764           |
| Fuel taxes                    | \$89,680            | \$112,500           | (\$22,820)           | \$110,780           |
| Paratransit Expenses          | \$2,505,113         | \$3,150,000         | (\$644,887)          | \$3,007,396         |
| Vanpool Expenses              | \$7,200             | \$12,600            | (\$5,400)            | \$10,839            |
| Dues and subscriptions        | \$33,786            | \$19,000            | \$14,786             | \$28,792            |
| Travel, training and meetings | \$44,632            | \$88,950            | (\$44,318)           | \$37,378            |
| Media advertising             | \$42,797            | \$92,500            | (\$49,703)           | \$120,114           |
| Miscellaneous                 | \$17,083            | \$29,800            | (\$12,717)           | \$28,399            |
| Interest Expense              | \$70,523            | \$87,408            | (\$16,885)           | \$84,797            |
| Leases and rentals            | \$413,028           | \$413,029           | (\$1)                | \$402,908           |
| Depreciation                  | \$1,738,753         | \$1,738,753         | \$0                  | \$1,646,011         |
| <b>TOTAL EXPENSES</b>         | <b>\$14,554,117</b> | <b>\$16,070,144</b> | <b>(\$1,516,027)</b> | <b>\$15,201,691</b> |
| <b>CHANGE IN NET POSITION</b> | <b>\$7,331,726</b>  | <b>\$119,902</b>    | <b>\$7,211,824</b>   | <b>\$6,476,287</b>  |

## MEMORANDUM

January 20, 2021

TO: Lextran Board of Directors

FROM: Jill Barnett, General Manager

SUBJECT: Approval of Lextran's 2021 Agency Safety Plan

Attached is a resolution of Lextran's 2021 Agency Safety Plan Program. This plan, which is a requirement of [United States Code Title 49 Transportation, Subtitle III General and Intermodal Programs, Chapter 53 Public Transportation, Section 5329 Public Transportation Safety Program](#), provides that public transportation agencies prepare and maintain an agency safety plan. On July 19, 2018, Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

This plan was previously approved by the Board of Directors on May 20, 2020. The plan is to be approved annually by January 31. Additionally, the regulations call for the designation of an Accountable Executive and Chief Safety Officer. This resolution recommends Jill Barnett, General Manager, serve as the Accountable Executive, with John Givens, Director of Risk Management, being recommended to serve as the Chief Safety Officer.

In addition, the plan attached incorporates data from 2020.

Budget / Source of Funds: There is no direct spend for this plan or this resolution.

If you have any questions, please call me at 255-7756.

**RESOLUTION 2021-01****TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY  
GOVERNMENT****JANUARY 20, 2021**

**WHEREAS**, United States Code, Title 49. Transportation, Subtitle III General and Intermodal Programs, Chapter 53 Public Transportation, Section 5329 Public Transportation Safety Program provides that public transportation agencies prepare and maintain an agency safety plan. On July 19, 2018, Federal Transit Administration (FTA) published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires certain operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS).

**WHEREAS**, this final rule requires the Authority to designate an individual to serve as the Accountable Executive and to designate an individual to serve as a Chief Safety Officer, and;

**WHEREAS**, Jill Barnett, General Manager, will serve as the Accountable Executive; and

**WHEREAS**, John Givens, Director of Risk Management, will serve as the Chief Safety Officer, and;

**NOW, THEREFORE BE IT RESOLVED**, that the Board of Directors of the Transit Authority of Lexington-Fayette Urban County Government hereby authorizes the designation of Jill Barnett, General Manager, as the Accountable Executive; and John Givens, Director of Risk Management, as the Chief Safety Officer, and hereby approves the 2021 Agency Safety Plan.

**MOTION:** \_\_\_\_\_ **SECOND:** \_\_\_\_\_

\_\_\_\_\_  
**CHAIRPERSON**

\_\_\_\_\_  
**DATE**

# AGENCY SAFETY PLAN 2021



**DOCUMENT INFORMATION AND REVISIONS**

|                                                 |                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Title:</b>                                   | Agency Safety Plan                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Description:</b>                             | Summary document of required elements of Lextran’s Safety Plan, formerly Safety Management System                                                                                                                                                                                                                                                                                            |
| <b>Prepared by:</b>                             | John Givens<br>Director of Risk Management                                                                                                                                                                                                                                                                                                                                                   |
| <b>Issuing Department:</b>                      | Risk Management / Safety / Training                                                                                                                                                                                                                                                                                                                                                          |
| <b>Issue Date:</b>                              | This plan was approved by the Board of Directors for the Transit Authority of the Lexington-Fayette Urban County Government on January 20, 2021 and reflected in the official, approved board minutes. Minutes are available by request or at <a href="http://www.lextran.com/about/board-of-directors">http://www.lextran.com/about/board-of-directors</a> under the Board Packets section. |
| <b>Revision Number:</b>                         | 1                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Approvals:</b>                               | Lextran Board of Directors Resolution 2021-01 on January 20, 2021                                                                                                                                                                                                                                                                                                                            |
| <b>Name and Title of Accountable Executive:</b> | Jill Barnett<br>General Manager                                                                                                                                                                                                                                                                                                                                                              |
| <b>Signature:</b>                               | _____                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Name and Title of Chief Safety Officer:</b>  | John Givens<br>Director of Risk Management                                                                                                                                                                                                                                                                                                                                                   |
| <b>Signature:</b>                               | _____                                                                                                                                                                                                                                                                                                                                                                                        |

| Revision Number | Date         | Responsible Person | Description of Change                                               |
|-----------------|--------------|--------------------|---------------------------------------------------------------------|
| 0               | May 15, 2020 | John Givens        | New document                                                        |
| 1               | Jan 01, 2021 | John Givens        | Document updates; Accountable Executive, Safety Performance Targets |
|                 |              |                    |                                                                     |
|                 |              |                    |                                                                     |

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**SAFETY MANAGEMENT POLICY STATEMENT**

The safety goal of the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) is to provide the safest possible environment for our employees, passengers, and the public we interact with. To accomplish this, we will dedicate the needed resources to ensure the safest possible delivery of service to our community.

All levels of management and all employees, including contractors, are accountable for the delivery of the highest level of safety performance, starting with the Board of Directors, Executives, Directors, Managers, Supervisors, Employees, and Contractors.

Lextran is committed to supporting the reporting of identified safety hazards and risks in day to day duties by employees to senior management without fear of reprisal so that the hazards and risks can be mitigated or eliminated. To that end, Lextran encourages all employees to participate in the Safety Reporting System without fear of retaliation. Unacceptable behavior, which would be considered an exception to this policy, would be knowingly making a false report.

This Safety Management Policy Statement is communicated to the Board of Directors via the annual review and approval process. It is also communicated through the use of communication boards, located at each of Lextran's facilities, as well as on our website at [www.lextran.com](http://www.lextran.com). An employee may also request a printed copy through the Lextran Safety Department.

Signature by the Accountable Executive: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**Jill Barnett**  
**General Manager**

Signature by the Chief Safety Officer: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

**John Givens**  
**Director of Risk Management**

## 1 TRANSIT AGENCY INFORMATION

### 1.1 Background

Lextran, the Transit Authority of Lexington-Fayette Urban County Government, as it is known today was established in 1973 by the Commonwealth of Kentucky as a Mass Transportation Authority per Kentucky Revised Statutes, Title IX – Counties, Cities and Other Local Units, Chapter 96A, Mass Transit Authorities. Our mission “We serve people and our community with mobility solutions” is accomplished by focusing on three key pillars: Deliver High Quality Product and Service, Demonstrate Value to the Community, and Manage and Sustain Resources.

Lextran provides 4.5 million trips annually with service to residents and visitors of Lexington-Fayette County on 26 fixed routes, county-wide paratransit, and regional vanpool seven days a week, 365 days a year. The annual combined operating and capital budget of \$32 million includes more than 200 team members and a fleet of 120 vehicles. The fleet includes compressed natural gas, zero emission battery electric buses, diesel and gasoline fueled vehicles. Wheels, our door-to-door paratransit service for people with disabilities, is operated by American Red Cross.

### 1.2 Applicability

As a recipient of funds under 49 U.S.C. 5307, the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) is required to develop a Public Transit Agency Safety Plan or ASP. This document will serve as the ASP for Lextran.

### 1.3 Policy

Lextran has adopted the principles and methods of Safety Management Systems (SMS) as the basis for enhancing safety and will follow the principles and practices of SMS in the delivery of service to our community.

### 1.4 Transition from SSPP to ASP

Lextran previously utilized a System Safety Program Plan (SSPP), which documented the overall safety program for Lextran fixed-route bus service. That SSPP was constituted by safety elements that outlined and described the policies, processes, and procedures associated with the safety program.

On July 19, 2018, FTA published the Public Transportation Agency Safety Plan (ASP) Final Rule. It requires individual operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). The effective date of this rule is July 19, 2019. As a result, Transit operators must certify they have a safety plan in place, meeting the requirements of the standard by July 20, 2020. The plan must be updated and approved by the transit agency annually.

As of approval and certification of this Plan, Lextran will transition from the System Safety Program Plan model and system safety to the Agency Safety Plan, which incorporates safety management systems.

### 1.5 **Safety Management System (SMS) Implementation**

To implement the Safety Management System, the Authority has taken a four-phase approach based upon a continuous improvement cycle of Plan, Do, Check, and Act. Within these four phases are twenty-nine identified tasks. To aid in implementation and annual reviews, Lextran has created an Excel Workbook called G.A.T.I.S. for Gap Analysis Tool for Implementing SMS. The gap analysis tool contains questions based upon the needs and requirements of each of the SMS components; answering these questions aided in discovering any needed procedures, processes, and documentation. Identified needs then became tasks within the SMS Implementation Plan tab. The Safety department is responsible for leading implementation with assistance from the Safety Review Committee, which also serves as the SMS implementation team.

### 1.6 **Accountable Executive and Board of Directors approvals**

Under 49 U.S.C. 5329(d)(1)(A), the Accountable Executive and Lextran Board of Directors must approve this plan. Accomplishment by the signature of the Accountable Executive will be affixed to this plan and by the formal Board of Directors Motion. A copy of that Motion will be included in the Appendices of this document. Additionally, the ASP will be submitted for approval to the Accountable Executive and Board of Directors annually.

### 1.7 **Modes Covered by this Plan**

This ASP covers Lextran's Fixed Route bus service and Wheels Paratransit service.

## 2 **SAFETY PLAN DEVELOPMENT, UPDATE, AND CERTIFICATION**

The Risk Management Department of Lextran developed this plan under 49 U.S.C. 5329(d)(1)(A). It will be reviewed for compliance on an annual basis. Annually, the Chief Safety Officer (or Designee) will lead a review of the ASP in conjunction with affected departments and update the ASP, as necessary. Route extensions, significant changes to the operational practices, or other events may be cause for a review at any time. The ASP and any updates must be reviewed and approved by the Lextran Board of Directors.

### 2.1 **ASP Review Schedule**

The ASP will be reviewed annually and submitted to the Lextran Board of Directors for review and approval before January 31.

### 2.2 **ASP Control and Update Procedure**

The Chief Safety Officer is responsible for the control and update of the ASP. Input for annual reviews will be solicited from all Lextran departments by the end of the calendar year (December 31) and before submission to the Board of Directors.

### 2.3 **ASP Review and Approval by Lextran Board of Directors**

Under 49 U.S.C. 5329 (d)(1)(A) the Lextran Board of Directors is required to review and approve the ASP, including updates.

## 2.4 ASP Change Management

Any changes to the ASP will be documented in the Change Record. This Change Record will contain a summary that identifies and explains the modifications for submittal to the Board of Directors annually.

## 2.5 Compliance

This plan is certified compliant by Lextran as of the issue date.

# 3 SAFETY PERFORMANCE TARGETS

## 3.1 Development

Safety Performance Measures aid Lextran in monitoring performance. Safety performance measures also focus on improving safety performance through the reduction of safety events, fatalities, and injuries. The performance targets are based on the history of the system, as documented in the National Transit Database (NTD) Safety and Security Time Series, from the start of revenue service in January 2018 through December 2020. And per the National Public Transportation Safety Plan the following annual Safety Performance Targets have been identified:

**Table 1 - Safety Performance Targets**

| Mode of Transit Service | Fatalities (Total) | Fatalities (Rate) | Injuries (Total) | Injuries (Rate) | Safety Events (Total) | Safety Events (Rate) | System Reliability |
|-------------------------|--------------------|-------------------|------------------|-----------------|-----------------------|----------------------|--------------------|
| Fixed Route             | 0                  | 0.00              | 33               | 21.91           | 47                    | 31.21                | 6434               |
| Paratransit             | 0                  | 0.00              | 13               | 10.39           | 8                     | 6.40                 | N/A                |

\*Rates calculated as occurring per 100,000 revenue miles.

## 3.2 Coordination with the Metropolitan Planning Organization (MPO)

Annually Lextran will create Safety Performance and State of Good Repair Measures and Targets for Lextran Fixed Route service as well as Wheels paratransit service based upon the principle of continuous improvement. These measures and targets will be provided to the MPO via electronic communication by January 31.

# 4 SAFETY MANAGEMENT POLICY

Safety Management Policy establishes necessary organizational structures, roles, and responsibilities. It also ensures safety is on the same priority level as other organizational functions. And it provides direction for effective safety risk management, assurance, and promotion. Lastly, it provides and ensures sufficient resources.

## 4.1 Safety Management Policy Statement

The safety goal of Lextran is to provide the safest possible environment for our employees, passengers, and the interacting public. To accomplish this, we will dedicate the needed resources to ensure the safest possible delivery of service to our community. All levels are accountable for the delivery of the highest level of safety performance, starting with the Board of Directors, Executives, Directors, Managers, Supervisors, employees, and contractors.

Lextran is committed to supporting the reporting of identified safety hazards and risks in day-to-day duties by employees to senior management without fear of reprisal so that the hazards and risks can be mitigated or eliminated. Lextran encourages all employees to participate in the Safety Reporting System (SRS) without fear of retaliation. Except for illegal activities or intentional disregard for regulations, policies, or procedures, no employee will be disciplined for reporting safety hazards or events.

## **4.2 Safety Management Policy Communication**

The Safety Management Policy Statement is communicated to the Board of Directors through the annual review and approval process. It is also communicated to employees through the use of communication boards, located at each of the facilities, as well as on our website [www.lextran.com](http://www.lextran.com). An employee may also request a printed copy through the Lextran Safety Department. A signed copy of the Safety Management Policy Statement is contained in the Appendices.

## **4.3 Employee Safety Reporting Program**

Lextran has established a Safety Reporting System for the public and employees to report identified hazards or safety concerns. Employees are encouraged to report safety concerns and may do so through the following means including but not limited to: Employee Safety Committee, immediate Manager/Supervisor, Senior Management, Operator Report, Employee Safety Concern form, and via electronic communication directly to the Lextran Safety Department. The public may report concerns to the customer service department, who will notify Lextran Safety and document the concern in their communications log software. To close the feedback loop, Lextran will provide an update to employees regarding the results of any investigations and (or) action taken arising out of their report.

## **4.4 Authorities, Accountabilities, and Responsibilities**

### **4.4.1 Accountable Executive**

The General Manager serves as the Accountable Executive for Lextran and is ultimately responsible for the Safety Program. The Accountable Executive is responsible for ensuring there are adequate resources to develop and maintain both the Agency Safety Plan and Transit Asset Management Plan and approving the ASP annually.

### **4.4.2 Chief Safety Officer**

The Director of Risk Management serves as the Chief Safety Officer, reports directly to the Accountable Executive, and is responsible for the following: Developing and maintaining SMS documentation; Directing hazard identification and safety risk assessment; Monitoring safety risk mitigation activities; Providing periodic reports on safety performance; Briefing the Accountable Executive and Board of Directors on SMS implementation progress; and planning safety management training.

#### 4.4.3 Agency Leadership and Executive Management

In addition to the GM, who serves as the Accountable Executive and Director of Risk Management, who serves as the Chief Safety Officer, the Lextran Executive Management Team has Authority and responsibility for the day-to-day implementation of the Safety Management System for the Authority.

#### 4.4.4 Key Staff

The Risk Management Department, along with the Safety Security Review Committee (SSRC), are designated as key staff to support the Accountable Executive and Chief Safety Officer in developing, implementing, and operating the Authority's SMS. Additionally, the SSRC will serve as SMS Ambassadors to promote the SMS program through communication and training.

#### 4.4.5 Safety Security Review Committee

The Safety and Security Review Committee (SSRC) is a multi-disciplinary working group that serves as a high-level committee to address all safety and security issues as well as review and approval of configuration management items. Committee membership includes representation from the following functional areas: safety, security, planning, operations, and maintenance. The committee chair is the Chief Safety Officer. For more detailed information about the SSRC, please refer to the Lextran Safety Security Review Committee procedure.

## 5 SAFETY RISK MANAGEMENT

Safety Risk Management (SRM) is vital to the success of the SMS. And before an SMS can be effectively built or improved, safety hazards must be identified and mitigations in place to manage the safety risk. Safety risk management is a continuous process, which includes the following activities: Safety hazard identification, safety risk assessment, and safety risk mitigation. The Safety Risk Management Process identifies and analyzes hazards and potential consequences. It then expresses safety risks for each consequence in terms of probability and severity to determine if the risk is acceptable and if not utilizes safety risk mitigation to lower the safety risk. The process also includes interaction with safety assurance to ensure hazards are tracked after safety risk mitigation has taken place. In all cases, safety risk mitigation activities are documented.

### 5.1 Safety Hazard Identification

Valid Hazard Identification is supported by sources, training on proper identification and reporting, and promotion of the safety reporting program to employees and the public. Potential sources for hazard identification and their consequences include the following: Safety Reporting System (employee program and public reporting), Safety Event (accidents, incidents occurrences), internal audits, safety committees, Government Sources (FTA, NTSB), Industry Partners (APTA) operational observations, review of historical data, scenario development and review, Job Hazard Analysis (JHA)/Job Safety Analysis (JSA), Accident/Incident Investigations Data review and ad hoc hazard reporting.

Lextran has established a Hazard Tracking Log, which reflects the consolidation of information in the hazard management process. The Hazard Tracking log will contain all hazards identified through the methods applied by Lextran. The Hazard Tracking log will be submitted to the Accountable Executive or their designee on the 15th day after the end of the month. In addition to the Hazard Tracking Log, Lextran will maintain an ongoing Operating Hazard Analysis (OHA). The purpose of the OHA is to identify hazards associated with operation-related, safety-

critical elements, which will be mitigated to their lowest acceptable levels and continually monitored to ensure no new hazards are introduced.

## 5.2 Safety Risk Assessment

To assess risk Lextran will identify the hazard and analyze the potential (future) events that may negatively impact individuals, assets, and or the environment. The process then determines which hazards are unacceptable based on their severity and probability of occurrence. The hazard severity, probability, and cost combination for unacceptable risks are then ranked. Lextran Management will prioritize and allocate the resources available to eliminate or correct the unacceptable hazards.

## 5.3 Safety Risk Mitigation

To reduce the likelihood and severity of consequences related to hazards, Lextran will employ the following risk mitigation strategies as appropriate. Hazard elimination, reduction of risk through alteration, incorporation of engineered features or devices, provision of warning devices, or the incorporation of signage, procedures, training, and personal protective equipment. Safety risk mitigation may include more than one measure to achieve the most acceptable result. Any employed risk mitigation measure will be monitored for its effectiveness. This will be accomplished through regular review of performance measures and event reports determining recurrence and or trends.

# 6 SAFETY ASSURANCE

Safety Assurance, in SMS, gives Lextran the ability to know if and how well our mitigations are working by providing essential information for data-driven informed decision making, by the collection and analysis of safety performance data, and the provision of timely safety performance information. Finally, it provides safety performance verification and validates the effectiveness of our safety risk mitigation activities.

## 6.1 Safety Performance Monitoring and Measurement

Safety performance monitoring and measurement involves continual monitoring of our activities to understand safety performance. This is accomplished through monitoring and evaluating adherence to operational and maintenance procedures, risk mitigations, and safety event investigation to identify causal factors and to monitor internal safety reporting programs.

### 6.1.1 Roles and Responsibilities

The Safety Department has the responsibility to monitor the safety performance of operations and maintenance. Safety data is collected and analyzed to determine if safety performance meets established safety goals. This data includes injuries to passengers, Safety Department personnel, and public; potentially hazardous equipment failures; unacceptable hazardous conditions, and rules and procedure violations. A closed-loop reporting system for identifying and monitoring safety-related items has been established. To close out each incident, safety verification activities and results are reviewed and audited by the Chief Safety Officer or their designee.

### 6.1.2 Data Acquisition process

The Safety Department is responsible for information regarding accidents, incidents, hazardous conditions, and operations obtained from several different reporting mechanisms. These include, but are not limited to: Email, text messages, accident/incident reports, daily operations report, employee occupational injury reports. Employees are also encouraged to bring any safety-related issues to the attention of managers and supervisors.

### 6.1.3 Data Analysis

The tracking of data is used to identify trends. These trends are further analyzed and investigated to determine causal factors. This is accomplished by interviews with personnel in the affected department(s) and analysis of pertinent documentation. Identified hazards are submitted with corrective action recommendations or requests for corrective action development.

### 6.1.4 Reports

Safety performance trend and analysis reports are provided to the Safety Security Review Committee for review and discussion. All other departments receive safety trend and analysis reports relative to the area of interest. The safety trend and analysis reports are also the basis for the annual safety performance report to the Accountable Executive and Board of Directors. The annual report includes collision data, passenger and employee injury data, injury data affecting the public, program audit findings and trends, and corrective action plans. The annual report also describes the strategies for the achievement of the stated safety and security objectives

### 6.1.5 Procedures Monitoring and Measuring

Procedures monitoring and measuring are initiated through the capture of safety event data, which includes collisions, injuries (employee and passengers), and near-miss occurrence for both operations and maintenance. Examples of procedures monitoring, and measuring include, but are not limited to, turn procedures, mobility device securement, and distracted driving. This type of data is then captured, analyzed, and reported to affected departments.

### 6.1.6 Safety Risk Mitigation Monitoring and Measurement

The following activities will take place to determine if safety risk mitigations are effective, appropriate, and implemented as intended: 1) monitoring of safety performance target trends, 2) feedback from the employee safety program, 3) feedback from the public, and 4) observations.

### 6.1.7 Safety Event Investigations

Safety Events are investigated in the context in which they occur. Collision events are investigated by the Risk Management Department to administer protection of liability. The Safety Department evaluates the collision based upon the preventability and root cause of the event. Likewise, employee injuries, whether in service or while maintaining facilities or equipment, are investigated by the worker's compensation claims adjuster to determine compensability. The Safety Department investigates the event, in coordination with the department supervisor, to determine the root cause to prevent a recurrence.

### 6.1.8 Internal Programs Monitoring and Measurement

The monitoring and measurement of internal safety reporting programs are accomplished through the review and analysis of accident/incident reports, employee injury reports, and employee safety reporting. The Safety, Risk Management Process, will address any new hazard identified through this activity.

## 7 SAFETY PROMOTION

Safety Promotion improves safety performance by increased awareness through communication and training. It also displays continuous management commitment to communication. One of management's most important responsibilities of management is to encourage and motivate others to want to communicate openly, authentically, and without concern of reprisal. Training also documents executive management responsibilities to allocate resources to training and maintain the relationship between safety training and safety risk management and safety assurance.

### 7.1 Training and Certification Program

Bus Operators, Mechanics, and Service Workers all receive initial training in bus operations and then move on to occupational skill-related as well as safety-related training. Bus Operators are trained on all types of buses driven, and Mechanics receive bus-specific training. All employees receive, either through initial orientation or through refresher training, instruction on safety data sheets, severe weather, and response to emergencies such as fires, bomb threats, and evacuations.

### 7.2 Bus Operators

Lextran utilizes the Transit and Paratransit Company (TAPTCO) program for bus operator training. Training is conducted by the Lextran Operations Training Department, and Bus Operators receive eight weeks of initial training. The training culminates in a final evaluation trip, which starts the 90 regularly scheduled workday probationary period. After the probationary period, they become regular bus operators.

### 7.3 Maintenance Team Members

Maintenance personnel receive occupational safety training on various topics including, but not limited to, hazard communication, powered industrial lift trucks, the control of hazardous energy (lockout tagout), fall protection, and bloodborne pathogens.

### 7.4 Refresher Training

All employees receive some form of ongoing refresher training. Bus Operators may receive up to 16 hours of a refresher, including but not limited to: customer service, emergency egress, bloodborne pathogen awareness, defensive driving, farebox, and mobility device securement. Maintenance personnel receives refresher training in equipment and OSHA-required subjects on an annual basis. Specialized training may occur on an as-needed basis such as coach operation, updates to policies such as mobility devices, service animals, etc.

### 7.5 Contractor Training

All bus-related projects require the completion of a safety orientation before beginning work. Other requirements may apply as outlined in the Lextran Contractor Safety Program and/or Lextran Procurement guidelines.

### 7.6 Safety Communication

Communication of safety and safety performance information is posted on safety-dedicated bulletin boards located in common areas as well as video monitors located throughout all facilities. The safety communication boards have general safety and security bulletins posted monthly. The provided information includes, but is not

limited to, general safety bulletins, seasonal hazards, ongoing traffic issues, the results of incidents, audits, and inspections at specific locations and other topics pertinent to employees' roles and responsibilities. Other communication actions include, but are not limited to, employee meetings such as tool talks and awareness activities such as safety meetings where employees receive supplemental information related to ongoing hazards. Safety actions taken in response to reports submitted through an employee safety reporting program are also communicated via the safety communication boards.

## **8 RECORDKEEPING**

Per 49 CFR Part 673.31, Lextran must maintain the documents utilized to create the Agency Safety Plan, including those related to the implementation of the Safety Management System (SMS), and results from SMS processes and activities. Lextran must also maintain documents (e.g., procedures, plans) that are included in whole, or by reference, that describe the programs, policies, and procedures that are used to carry out the Agency Safety Plan. These documents will be made available upon request by the Federal Transit Administration or other Federal entities. All these documents require minimum retention of three years after creation.

## 9 APPENDICES

## 9.1 Definitions of Special Terms Used in the Safety Plan

**Accident** means any happening or occurrence on or near a Lextran vehicle involving a passenger, another vehicle, bicycle, pedestrian, domestic animal, or stationary object which might result in a claim against Lextran. Additionally, this could result in a claim made by Lextran or result in damage to Lextran property, and any happening, occurrence, or injury to an employee.

**Accountable Executive** means a single, identifiable person who has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan of a public transportation agency. Responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. 5326.

**Chief Safety Officer** means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part or a public transportation provider that does not operate a rail fixed guideway public transportation system.

**Consequence** means a potential outcome of a safety hazard

**Equivalent Authority** means an entity that carries out duties similar to that of a Board of Directors, for a recipient or sub-recipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient Authority to review and approve a recipient or sub recipient's Public Transportation Agency Safety Plan.

**Event** means any Accident, Incident, or Occurrence.

**FTA** means the Federal Transit Administration, an operating administration within the United States Department of Transportation.

**Hazard** means any real or potential condition that can cause injury, illness, or death, damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system, or damage to the environment.

**Incident** means an event that involves any of the following: A personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a transit agency.

**Investigation** means the process of determining the causal and contributing factors of an accident, incident, or hazard, to prevent recurrence and mitigating risk.

**National Public Transportation Safety Plan** means the plan to improve the safety of all public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53.

**Occurrence** means an event without any personal injury in which any damage to facilities, equipment, rolling stock, or infrastructure does not disrupt the operations of a transit agency.

**Operator of a public transportation system** means a provider of public transportation as defined under 49 U.S.C. 5302(14).

**Performance measure** means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the set goals.

**Performance target** means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the Federal Transit Administration (FTA).

**Public Transportation Agency Safety Plan** means the documented comprehensive agency safety plan for a transit agency that is required by 49 U.S.C. 5329 and this part.

**Risk** means the composite of predicted severity and likelihood of the potential effect of a hazard.

**Risk mitigation** means a method or methods to eliminate or reduce the effects of hazards.

**Safety Assurance** means processes within a transit agency's Safety Management System that functions to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

**Safety Deficiency** means a condition that is a source of hazards and allows the perpetuation of the hazards in time.

**Safety Management Policy** means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities of its employees regarding safety.

**Safety Management System (SMS)** means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing risks and hazards.

**Safety Management System (SMS) Executive** means a Chief Safety Officer or an equivalent.

**Safety performance target** means a Performance Target related to safety management activities.

**Safety Promotion** means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system.

**Safety risk assessment** means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks.

**Safety Risk Management** means a process within a transit agency's Public Transportation Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating safety risks.

**Serious injury** means any injury which:

- (1) Requires hospitalization for more than 48 hours, commencing within seven days from the date of the injury was received.
- (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or noses);
- (3) Causes severe hemorrhages, nerve, muscle, or tendon damage.
- (4) Involves any internal organ; or
- (5) Involves second or third-degree burns, or any burns affecting more than 5 percent of the body surface.

***Small public transportation provider*** means a recipient or sub-recipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service and does not operate a rail fixed guideway public transportation system.

***State*** means a State of the United States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the Virgin Islands.

***State of good repair*** means the condition in which a capital asset can operate at a full level of performance.

***State Safety Oversight Agency*** means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and the regulations outlined in 49 CFR part 674.

***Transit agency*** means an operator of a public transportation system.

***Transit Asset Management Plan*** means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, to provide safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

## 9.2 List of Acronyms Used in the Safety Plan

APTA – American Public Transportation Association

ASP – Agency Safety Plan

CFR – Code of Federal Regulations

FTA – Federal Transit Administration

NTSB – National Transportation Safety Board

SMS – Safety Management System

SPT – Safety Performance Targets

SSRC – Safety Security Review Committee

MPO – Metropolitan Planning Organization

**9.3 Lextran Board of Directors Resolution**

#### 9.4 Safety Management Policy Statement

The safety goal of the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) is to provide the safest possible environment for our employees, passengers, and the public we interact with. To accomplish this, we will dedicate the needed resources to ensure the safest possible delivery of service to our community.

All levels of management and all employees, including contractors, are accountable for the delivery of the highest level of safety performance, starting with the Board of Directors, Executives, Directors, Managers, Supervisors, Employees, and Contractors.

Lextran is committed to supporting the reporting of identified safety hazards and risks in day to day duties by employees to senior management without fear of reprisal so that the hazards and risks can be mitigated or eliminated. To that end, Lextran encourages all employees to participate in the Safety Reporting System without fear of retaliation. Unacceptable behavior, which would be considered an exception to this policy, would be knowingly making a false report.

This Safety Management Policy Statement is communicated to the Board of Directors via the annual review and approval process. It is also communicated through the use of communication boards, located at each of Lextran's facilities, as well as on our website at [www.lextran.com](http://www.lextran.com). An employee may also request a printed copy through the Lextran Safety Department.

Signature by the Accountable Executive: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

Jill Barnett

General Manager

Signature by the Chief Safety Officer: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

John Givens

Director of Risk Management

## MEMORANDUM

January 20, 2021

**TO:** Lextran Board of Directors

**FROM:** Jill Barnett, General Manager

**SUBJECT:** Resolution to Enter into an Agreement for Radio Communications

Attached is a resolution requesting authority to enter into an agreement for radio communications.

Lextran is currently under a service agreement with Lexington Call Mobile for radio communications between buses, dispatch, and maintenance on the subscriber units, which includes mobile, portable, and fixed control stations. The current service agreement with Lexington Call Mobile expires on June 30, 2021.

Lextran is requesting authority to enter into an agreement with the Lexington-Fayette Urban County Government to provide radio communications. The total cost of this agreement is \$100,066.60. The term of the new agreement will be for five (5) years. This project was included in the FY2021 capital budget, approved by the Board of Directors on April 15, 2020.

| Support Year                       | Unit Subscription Cost | Number of Units | Annual Cost         |
|------------------------------------|------------------------|-----------------|---------------------|
| Year 1                             | \$131.13               | 140             | \$18,358.20         |
| Year 2                             | \$135.06               | 140             | \$18,908.40         |
| Year 3                             | \$139.12               | 140             | \$19,476.80         |
| Year 4                             | \$143.29               | 140             | \$20,060.60         |
| Year 5                             | \$147.59               | 140             | \$20,662.60         |
| Total                              |                        |                 | \$97,466.60         |
| Subscriber Unit Identification Fee |                        |                 | \$2,600             |
| <b>Grand Total</b>                 |                        |                 | <b>\$100,066.60</b> |

The source of funds for radio communications are as follows:

| Funding Source           | Federal Share | Local Share | Total Spend  |
|--------------------------|---------------|-------------|--------------|
| Federal 5307 Grant Funds | \$80,053.28   | \$20,013.32 | \$100,066.60 |

If you have any questions, please call me at 255-7756.

**RESOLUTION 2021-02****TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY  
GOVERNMENT****JANUARY 20, 2021**

**WHEREAS**, the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) requires communications between vehicles, dispatch, maintenance, and other key personnel; and

**WHEREAS**, the current agreement with Lexington Call Mobile expires on June 30, 2021; and

**WHEREAS**, the Lexington-Fayette Urban County Government maintains a radio system that is ready and able to meet Lextran's communications needs;

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Directors of the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) hereby authorizes and directs the General Manager to execute an agreement with the Lexington-Fayette Urban County Government to provide radio communications to fulfill the Authority's communications needs. The term of the agreement will be for five (5) years. The cost for the radio communications agreement is not to exceed \$100,066.60.

**MOTION:** \_\_\_\_\_**SECOND:** \_\_\_\_\_\_\_\_\_\_  
**CHAIRPERSON**\_\_\_\_\_  
**DATE**

## MEMORANDUM

January 20, 2021

**TO:** Lextran Board of Directors

**FROM:** Jill Barnett, General Manager

**SUBJECT:** Designation of EEO and ADA Officer

Lextran's original Equal Employment Opportunity (EEO) plan was developed in 1979 with updates every three to five years. The program plan directs the Board and management staff to assure Lextran's compliance with federal, state and local Civil Rights regulations, including EEO, ADA, and Title VI, through auditing, monitoring, tracking and reporting.

The latest version of the program plan was approved by the board on April 15, 2020.

Requirements of the plan call for the designation of an EEO Officer and Americans with Disabilities Coordinator. At this time, we will name Nikki Falconbury, Director of Finance and Human Resources, as our EEO Officer and ADA Coordinator.

Budget / Source of Funds: There is no direct spend for this resolution.

If you have any questions, please call me at 255-7756.

**RESOLUTION 2021-03**  
**TRANSIT AUTHORITY OF LEXINGTON-FAYETTE URBAN COUNTY**  
**GOVERNMENT**  
**JANUARY 20, 2021**

**WHEREAS**, FTA Circular 4704.1A requires the Transit Authority of the Lexington-Fayette Urban County Government (Lextran) name an Equal Employment Opportunity (EEO) Officer, and;

**WHEREAS**, FTA Circular 4710.1 further requires the Authority to designate an individual to coordinate Americans with Disabilities Act (ADA) compliance, and;

**WHEREAS**, Director of Finance and Human Resources, Nikki Falconbury, will serve as the EEO Officer and ADA Coordinator, and;

**NOW, THEREFORE BE IT RESOLVED**, that the Board of Directors of the Transit Authority of the Lexington-Fayette Urban County Government hereby authorizes the appointment of Nikki Falconbury the Equal Employment Opportunity Officer and ADA Coordinator.

**MOTION:** \_\_\_\_\_ **SECOND:** \_\_\_\_\_

\_\_\_\_\_  
**CHAIRPERSON**

\_\_\_\_\_  
**DATE**