

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

Pursuant to KRS 96.A, the Lextran Board of Directors is to meet monthly. The next meeting will be: **Wednesday, January 19, 2022 at 10:00 a.m. EST**

The January 2022 meeting of the Lextran Board of Directors will be held via video tele-conference.

Members of the public may watch the meeting in Room 110 at the Lextran offices, located at:

200 West Loudon Avenue  
Lexington, KY 40508

There will be an opportunity to make public comment at that location. Comments may also be submitted in advance via email at [info@lextran.com](mailto:info@lextran.com)

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**

The January 2022 Board of Directors meeting will be held virtually as well as live-streamed. You may access the livestream on Youtube at:

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

## **TABLE OF CONTENTS**

AGENDA.....	#
MINUTES.....	#
MONTHLY PERFORMANCE REPORT .....	#
FINANCIALS .....	#
ACTION ITEMS .....	#
LEXTRAN AGENCY SAFETY PLAN.....	#

**BOARD OF DIRECTORS MEETING**

January 19, 2022

10:00 a.m.

**MEETING AGENDA**

- |       |                                                               |               |
|-------|---------------------------------------------------------------|---------------|
| I.    | Call to Order & Roll Call                                     | 10:00         |
| II.   | Public Comment on Agenda Items / Public Hearing               | 10:05 – 10:10 |
| III.  | Approval of December 2021 Board Meeting Minutes               | 10:10 – 10:15 |
| IV.   | Chair’s Report                                                | 10:15 – 10:20 |
| V.    | Lextran Monthly Performance Report & Financials – December    | 10:20 – 10:35 |
| VI.   | Action Items                                                  | 10:35 – 10:45 |
|       | A. Resolution 2022-01 – Agency Safety Plan                    |               |
| VII.  | Change Order Report                                           |               |
| VIII. | Old Business                                                  |               |
| IX.   | New Business                                                  | 10:40 – 10:45 |
| X.    | Proposed Agenda Items                                         | 10:45         |
|       | A. Resolution – Reserve Policy                                |               |
|       | B. Resolution – Exercise Option Year for Paratransit Services |               |
| XI.   | Closed Session                                                | 10:50         |
| XII.  | Adjournment                                                   |               |

**BOARD OF DIRECTORS MEETING****BOARD MINUTES**

December 15, 2021

**MEMBERS PRESENT**

Jamie Rodgers, Vice Chair  
Judge Lindsay Hughes Thurston  
George Ward  
Paul Schoninger  
Christian Motley

**MEMBERS ABSENT**

Harding Dowell, Chair  
Dr. Koffi Akakpo

**STAFF PRESENT**

Jill Barnett, General Manager  
Byron Robinson, Assistant General Manager  
Alan Jones, Systems Administrator  
Emily Elliott, Community Relations Manager  
Fred Combs, Director of Planning, Technology, and Community Relations  
Jason Dyal, Director of Operations  
John Givens, Director of Risk Management  
Rebecca Floyd, Customer Service Supervisor  
Stephanie Hoke, Finance Manager

**OTHERS PRESENT**

Addison Lowry, McBrayer, Lextran Counsel

## **I. CALL TO ORDER**

Vice Chair Jamie Rodgers called the December 15, 2021, meeting of the Lextran Board of Directors to order at 10:01 am. Ms. Rodgers performed a roll call to determine which members were present. Quorum was achieved.

## **II. PUBLIC COMMENT**

Mr. Demetrius France provided a public comment on Lextran service. He stated that he is a regular commuter on the service who has used other services in the past. He asked how many of the board and staff are users of the system. Mr. France stated that services do not make sense and noted several connections that could be walked faster than using the service. He stated that he has waited significantly on the weekends. He suggested that Lextran use spotters to ride the bus as normal people and report back to the organization and the Board.

## **III. APPROVAL OF MINUTES**

Ms. Rodgers called for a motion to approve the meeting minutes from the November 19, 2021, meeting of the Lextran Board of Directors. Mr. Schoninger made a motion to approve the minutes and Mr. Motley seconded. The motion passed unanimously.

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

There was no chair's report.

## **V. LEXTRAN PERFORMANCE REPORT AND FINANCIALS**

Mr. Combs presented the Monthly Performance Report for November 2021 which can be found on pages 9-13 of the December 2021 board packet.

### **HIGHLIGHTS FOR NOVEMBER**

- Lextran provided free rides for passengers on Thanksgiving Day, and meals were provided for employees who worked on the holiday.
- Travelin' Tom's Coffee Truck served coffee and lemonade to employees on November 22<sup>nd</sup> and 23<sup>rd</sup>.
- LFUCG partners facilitated KYTC Long Range Transportation Plan surveys at the Transit Center on November 18<sup>th</sup> and 19<sup>th</sup> with bus passes as a thank you for participating. (<https://www.gettheretogetherky.org>)
- The Kentucky Public Transportation Association (KPTA) Conference was held in Lexington November 1<sup>st</sup> -5<sup>th</sup> and attended by General Manager, Jill Barnett and Director of Finance and Human Resources, Nikki Falconbury.

Mr. Combs shared three customer commendations:

- Bus Operator Charles Combs
- Bus Operator Antoinette Anderson
- Bus Operator Ed Herrera

Ridership for November 2021 has increased compared to November of 2020. This followed a similar pattern seen in recent months, with a bounce back from October. The same pattern was seen with paratransit. Paratransit ridership is approximately 16% below the monthly average and fixed route is approximately 31% below monthly average. Preventable accidents are doing well, and the Injury Frequency Rate (IFR) remains stable and below where it was last year. Maintenance completed all 50 preventative inspections and maintains a perfect record on those for the fiscal year.

Mr. Ward asked about paratransit On-Time Performance. For last month it was about 70 percent and for the year-to-date it was down to about 80 percent. Lextran's Assistant General Manager Byron Robinson has been working with Wheels over the last several and has implemented a weekly call with scheduling provider, RouteMatch. Lack of drivers is part of the problem. This is the lowest that the on-time performance has been for Wheels. Mr. Ward asked what the communication is to a rider in these situations. Mr. Ward expressed disappointment in the on-time performance and hopes that what we are doing can help improve it.

Ms. Barnett noted that paratransit service is being closely monitored. In addition to the weekly call with RouteMatch, Mr. Robinson has implemented more frequent and regular visits to Wheels, and in recent months Wheels staff have been invited to join the weekly Lextran staff meeting to report key performance indicators. We are also disappointed to see the number so low and are working in an effort to get it back up.

Ms. Rodgers asked if there is anything to hold Wheels to in the contract. Ms. Barnett stated there are performance incentives and disincentives outlined in the contract. Ms. Rodgers noted the wage increase to attract new drivers and asked if that has been helpful. Ms. Barnett responded that it has helped somewhat. Wheels has started advertising the pay rate in front of building. It seems to have helped but has not yet made a significant difference.

Additionally, Ms. Rodgers noted the ridership graph has stayed pretty steady at negative 30% for fixed route and paratransit negative 11% from average. Mr. Combs agreed and mentioned a recent APTA report that went through a similar calculation and showed how vehicle traffic was responding and it had returned to pre-pandemic levels. The national trends for bus transportation were shown at 60 percent. Through some of the COA information and in comparison to peers we are doing well. Ms. Rodgers discussed setting a new baseline average. Mr. Combs stated that the average will continue to pull down on its own and narrow the gap. He added that ridership numbers from 2018 are unlikely to be back soon. In addition, seasonality is very important in transit and looking at the changes month over month is important. The new normal is starting to emerge and it will be important to consider going forward.

Mr. Rodgers congratulated Ms. Barnett on her quote and highlights in a couple of articles and a big community involvement schedule.

## **FINANCIAL REPORT**

Ms. Stephanie Hoke, Lextran Finance Manager, presented the November 2021 Finance Report, found on pages 14-15 of the December 2021 board packet. The balance sheet was reviewed. The difference in operating cash is the result of property taxes received and FTA funds that have been drawn down. The work in process is the difference between bus purchases between the two years. The statement of revenue was reviewed. The bulk of the property tax was received in November this year versus December of last year. There was a draw on the CRRSAA (federal) grant in November of about 3 million dollars, which is reflected in the federal funds. The professional services difference is due to timing, and will change throughout the year based on engine rebuilds.

Ms. Rodgers stated that there was a budgeted two and a half percent revenue increase over last year and asked if property tax receipts were healthier than forecasted. Ms. Hoke stated the amount is comparable but a bit more due to timing and should be on track to budget. Differences in other revenues are due to timing as well. Wages are over budget due to a bit of overtime and staffing issues and another item to consider would be holiday pay. There is a finance committee meeting scheduled in January.

## **VI. ACTION ITEMS**

### **A. Resolution – 2021-27 – Independent Audit Services**

Ms. Barnett reviewed Resolution 2021-27, requesting approval for a contract for independent audit services. An RFP was issued with proposals received on November 18<sup>th</sup>. One proposal was received from the incumbent provider and was thoroughly evaluated by the review committee. The term of the contract will be three years with two additional options.

Ms. Barnett noted that the RFP was advertised locally and through our procurement website, and in Transit Talent, a national industry publication. Ten companies downloaded the RFP and only one response was received. There were several companies who responded to the no reply form. There was one response that indicated they could not properly staff the engagement, another indicated a conflict of interest within the company, and another response noted an issue with the financial information requested.

Ms. Barnett noted Lextran had worked with Crowe for a number of years, with Scott Nickerson as the audit partner. Crowe has agreed to change partners, should Lextran proceed with a new contract, and has offered Mr. Brad Schelle who has expertise in public sector with transportation and airport authorities. Ms. Barnett recommended Crowe for contract award.

Mr. Ward made the motion to approve Resolution 2021-27, and Judge Thurston seconded. The motion was approved without opposition.

## **VII. CHANGE ORDER**

There were no change order reports.

**VIII. OLD BUSINESS**

There was no old business.

**IX. NEW BUSINESS**

Ms. Barnett mentioned that she spoke with Chair Dowell and Mr. Ward regarding the hybrid format for the board meetings. In March of 2020, the board meeting was cancelled due to the state of emergency and in April 2020, Board meetings went fully virtual. This seems to be the new standard for many agencies. Ms. Barnett requested feedback from the board regarding the hybrid format and virtual streaming of the meetings. Lextran has been providing the hybrid format, with the option for virtual participation though the desire is in-person participation. There is always the potential to return to full virtual depending on the public health and safety guidance.

Ms. Rodgers asked about the pre-Covid protocol if meetings were live streamed. Ms. Barnett responded that there were a couple of board meetings with hybrid participation because otherwise there were not enough members present to make quorum, however all other meetings were in person and were not live streamed. Ms. Rodgers noted that it is a great benefit that meetings are streamed on YouTube and that we should continue broadcasting online. Legal counsel Addison Lowry noted that due to the pandemic, the hybrid meeting option is a positive addition. There was discussion about the State and local government guidance that changed what was acceptable with the most recent option stating that hybrid options were acceptable.

Ms. Barnett stated that Fayette County Public Schools offers a physical space for a member of the public to come in and watch a livestreamed meeting that takes place virtually, in the event they do not have their own access to do so. If Lextran held a virtual meeting, we could set up the board room space for the public to view the meeting.

Mr. Motley stated that he has no concerns about hybrid meetings. His concerns center around the management of public comment and ensuring there is an option for that. There was discussion about the past virtual meetings and the ability to offer comments only during the comment period. Comments can also be submitted beforehand to be read at the meeting, but those are not completed in real time. Mr. Motley asked about providing response to public comment and feels that it would be good to respond at the next meeting.

The board will report to meetings in person when possible. The hybrid option is available, and the meetings will continue to be broadcasted live. There is no official need for resolution or bylaws at this time. Best judgment will be used based on public health concerns and availability.

There was additional discussion about Wheels, including the option year response for the contract, management changes within Wheels and the local Red Cross chapter, the length of the relationship between Lextran and Wheels paratransit, and a request to have management come before the board to talk about concerns.

Ms. Rodgers asked about what the infrastructure bill will mean for Lextran. Ms. Barnett stated that there will be several competitive funding opportunities available. There is no certainty on what will happen with federal formula funding, but early indications are that federal formula allocation may double annually. Ms. Rodgers asked for a refresher in the near future regarding what all of these things mean and how it will impact Lextran.

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

- A. Resolution – Establish Reserve Policy
- B. Resolution – Exercise Option Year for Paratransit Services
- C. Resolution – Annual Board Approval of Agency Safety Plan

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

There was no closed session.

#### **XII. ADJOURNMENT**

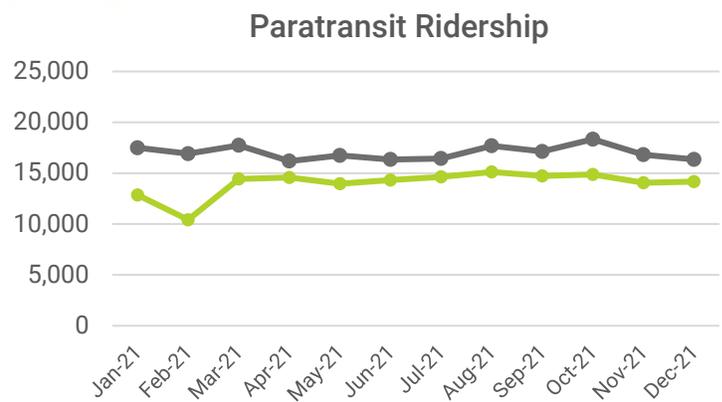
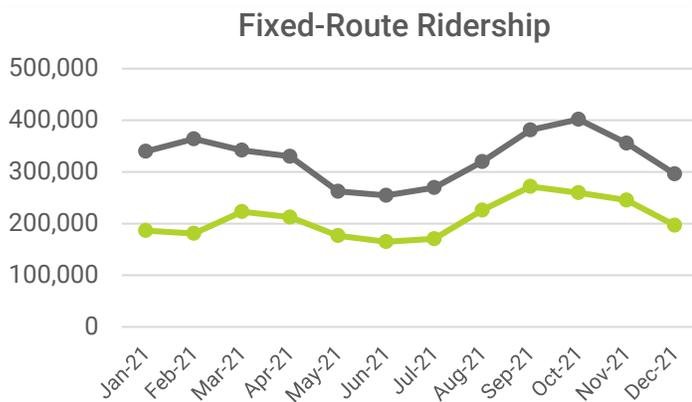
Ms. Rodgers called for a motion to adjourn the December 15, 2021, meeting of the Lextran Board of Directors. A motion was made by Mr. Ward and seconded by Mr. Motley. The meeting was adjourned by consensus at 10:42 a.m.

## LEXTRAN MONTHLY PERFORMANCE REPORT – DECEMBER 2021

We serve people and our community with mobility solutions.

In December, Lextran’s Director of Finance and Human Resources Nikki Falconbury was a panelist on Crowe’s Financial Round Table, which included finance professionals from transit agencies around the country. Lextran held customer appreciation events at the Transit Center on three separate days that included coffee and hot chocolate on December 17, a Lextran themed holiday ornament on December 22, and prepackaged snack distribution on December 28. Lextran celebrated the holiday season with Kroger gift cards and winter-themed socks for employees, and meals for employees who worked on Christmas Day. Billy Snow, Transdev National Safety Director for the Northeast Region, visited Lextran on December 9 to meet Jill Barnett, Byron Robinson, and John Givens.

### DEMONSTRATE VALUE TO THE COMMUNITY



Performance Indicator	Fixed Route System			Paratransit (Wheels)		
	This Month	FY22 YTD	FY21 YTD	This Month	FY22 YTD	FY21 YTD
<b>System Production</b>						
Total Ridership	196,840	1,370,619	1,244,517	14,175	87,600	78,902
Weekday Ridership	174,612	1,175,880	1,046,226	12,262	73,668	66,662
Saturday Ridership	10,715	112,530	105,172	913	7,564	6,875
Sunday Ridership	10,759	74,103	81,577	930	5,661	4,744
Holiday Ridership	754	8,106	11,542	70	707	621
Total Revenue Miles	152,846	901,630	900,471	96,508	616,602	584,310
Total Revenue Hours	17,171	101,616	94,341	7,423	48,207	47,199
Trips per Mile	1.29	1.52	1.38	0.15	0.14	0.14
Trips per Hour	11.46	13.49	13.19	1.91	1.82	1.67

- Fixed-route ridership in December increased by 11 percent compared to December 2020 and by 10 percent for FY22YTD compared to FY21YTD.
- Paratransit ridership in December increased by 12 percent compared to December 2020 and by 11 percent for FY22YTD compared to FY21YTD.

**COMMUNITY INVOLVEMENT/OTHER MEETINGS**

- December 1 – Unite Us Intro Meeting
- December 3 – Bike and Pedestrian Safety Meeting
- December 3 – Elm Tree Ln Shelter Discussion with CM Brown
- December 4 – Lexington Christmas Parade
- December 6 – Migrant Outreach Coalition Meeting
- December 8 – Cardinal Valley Community Partners Meeting
- December 8 – Transportation Coordination Technical Committee
- December 9 – West End Community Partners Meeting
- December 9 – Bluegrass Re-Entry Council Meeting
- December 9 – How to Ride – Community Member
- December 9 – Lunch and Learn Presentation – Nathaniel Mission
- December 9 – IMI & AIM Multimodal Data Integration
- December 15 – Commission for People with Disabilities Meeting
- December 15 – Virtual How to Ride – Kentucky Refugee Ministries
- December 16 – Kentucky Refugee Ministries Quarterly Meeting
- December 16 – Virtual How to Ride – Kentucky Refugee Ministries
- December 17 – Customer Appreciation Event #1
- December 22 – Customer Appreciation Event #2
- December 28 – Customer Appreciation Event #3
- December 30 – New Student Orientation – Sullivan University

**DELIVER A HIGH-QUALITY PRODUCT**

Performance Indicator	Fixed Route System			Paratransit (Wheels)		
	This Month	FY22 YTD	FY21 YTD	This Month	FY22 YTD	FY21 YTD
<b>Service Quality</b>						
On-Time Performance	89.30%	89.60%	94.20%	79.72%	80.25%	94.32%
Farebox Recovery	4.98%	4.94%	0.00%	N/A	N/A	N/A
Operating Expenses	\$1,693,764	\$10,011,196	\$9,680,125	\$363,175	\$2,175,468	\$2,312,525
Per Mile	\$3.02	\$3.25	\$3.34	N/A	N/A	N/A
Per Hour	\$71.76	\$69.81	\$72.03	N/A	N/A	N/A
<b>Customer Service</b>						
Customer Feedback Totals per 100k Trips	21.34	24.15	21.94	190.48	173.52	187.57
Commendations	2.54	2.12	0.88	14.11	4.57	19.01
Discourtesy	4.06	5.76	7.39	63.49	68.49	62.10
Late or Early	4.57	2.04	1.37	21.16	34.25	8.87
Safety	2.03	2.63	4.10	77.60	63.93	96.32
Passed Boarding	5.08	6.20	4.58	0.00	0.00	0.00
Information and Service Requests	2.03	1.90	1.37	0.00	0.00	0.00
Other	1.02	3.50	2.25	14.11	2.28	1.27
Call Length	1:09	1:13	1:06	1:26	1:15	1:12
Time to Abandon	1:16	1:03	1:06	0:42	0:59	0:26

- Paratransit on-time performance improved in December, however on-time performance remained well below the target of 90 percent.
- Lextran fixed-route on-time performance remained steady at about 89 percent, slightly below the target of 90 percent.
- Customer feedback related to discourtesy and safety continued to trend down compared to FY21YTD.

**MANAGE AND SUSTAIN RESOURCES**

Performance Indicator	Fixed Route System			Paratransit (Wheels)		
	This Month	FY22 YTD	FY21 YTD	This Month	FY22 YTD	FY21 YTD
<b>Safety</b>						
Preventable Accidents per 100,000 miles	3.14	1.69	1.06	2.71	1.70	0.30
Injury Frequency Rate	6.91	6.40	9.64	N/A	N/A	N/A
Days with No Preventable Accidents	26	166	172	28	172	182
Days of Lost Time	63	151	364	N/A	N/A	N/A
Workers Compensation Claims	1	6	9	N/A	N/A	N/A

- Preventable accidents on fixed-route and paratransit were slightly elevated in December compared to the total for FY22.
- The overall injury frequency rate (IFR) for fixed route remained steady for the year, trending down from FY21 IFR levels.

Performance Indicator	Fixed Route System		
	This Month	FY22 YTD	FY21 YTD
<b>Maintenance</b>			
Miles between Road Calls	13,895	8,927	6,665
Percent of Preventive Maintenance Inspections on Schedule	100%	100%	100%

- Maintenance completed 100% (45 of 45) of scheduled preventive maintenance inspections in November. The maintenance department has maintained a perfect record on preventive inspections since January 2020.
- In December, the maintenance department reported the most miles between road calls for a single month since at least July 2013.

Performance Indicator	Fixed Route System	
	This Month	FY22 YTD
<b>Training Activities</b>		
Operator Refresher	105	105
Electric Bus Training	10	97
Smith System Training	4	26
Accident/Incident Remedial Training	4	27

Hiring and Recruiting	This Month	Interviews	New Hires
Open Positions	29	11	0
Operations	20	8	3
Maintenance	6	2	0
Administration	3	1	0

Procurements	
Fire Alarm Monitoring	Upcoming RFQ
HVAC Maintenance Service	Upcoming RFP
Plumbing Maintenance Service	Upcoming RFP
Janitorial Supplies	Upcoming RFP
Transit Center Exterior Project-General Contractor	Upcoming IFB

**FINANCIALS**
**BALANCE SHEET**

as of December 31, 2021

	CURRENT YEAR-TO- DATE	LAST YEAR-TO-DATE
<b>ASSETS</b>		
Current assets		
Operating Cash	\$29,091,855	\$24,535,204
Accounts receivable	\$851,110	\$3,600,731
Inventory	\$827,768	\$696,981
Work in process	\$2,947,051	\$876,943
Prepaid	\$677,237	\$624,773
Total Current Assets	<u>\$34,395,020</u>	<u>\$30,334,631</u>
Long term note - Lextran Foundation Inc.	\$8,355,000	\$8,355,000
Long term asset - Pension	\$1,757,883	\$2,285,414
Total Long Term Assets	<u>\$10,112,883</u>	<u>\$10,640,414</u>
Net capital and related assets	\$23,584,435	\$24,103,578
<b>TOTAL ASSETS</b>	<u><u>\$68,092,338</u></u>	<u><u>\$65,078,623</u></u>
<b>LIABILITIES</b>		
Current liabilities		
Accounts payable	\$868,136	\$235,730
Payroll liabilities	\$852,952	\$790,253
Short term note - Fifth Third Bank	\$0	\$980,342
Total Current Liabilities	<u>\$1,721,088</u>	<u>\$2,006,324</u>
Long term note - Fifth Third Bank	\$0	\$3,443,936
Long term liability - Pension	\$1,301,871	\$2,589,356
Total Long Term Liabilities	<u>\$1,301,871</u>	<u>\$6,033,292</u>
<b>NET POSITION</b>	\$65,069,379	\$57,039,007
<b>TOTAL LIABILITIES AND NET POSITION</b>	<u><u>\$68,092,338</u></u>	<u><u>\$65,078,623</u></u>

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

DECEMBER 2021

	FY2022 ACTUAL	FY2022 BUDGET	FY2022 VARIANCE	FY 2021 ACTUAL	FY 2020 ACTUAL
<b>REVENUES</b>					
Property taxes	\$17,527,454	\$16,800,116	\$727,338	\$15,018,630	\$16,242,106
Passenger revenue	\$494,259	\$394,000	\$100,259	\$14,954	\$679,955
Federal funds	\$4,903,164	\$3,460,555	\$1,442,609	\$5,459,741	\$2,713,845
State funds	\$0	\$0	\$0	\$0	\$497,500
Advertising revenue	\$260,000	\$260,000	\$0	\$260,000	\$260,000
Other revenue	\$136,839	\$1,145,676	(\$1,008,837)	\$1,132,518	\$1,284,573
<b>TOTAL REVENUES</b>	<b>\$23,321,716</b>	<b>\$22,060,347</b>	<b>\$1,261,369</b>	<b>\$21,885,843</b>	<b>\$21,677,979</b>
<b>EXPENSES</b>					
Wages	\$5,186,432	\$4,984,039	\$202,393	\$4,751,396	\$4,881,601
Fringe benefits	\$2,791,457	\$3,075,811	(\$284,354)	\$2,710,438	\$2,660,620
Professional services	\$421,224	\$878,381	(\$457,157)	\$464,777	\$434,761
Materials and supplies	\$530,384	\$640,750	(\$110,366)	\$682,541	\$574,505
Fuel-Diesel	\$433,795	\$543,500	(\$109,705)	\$280,593	\$452,731
Fuel-Other	\$179,996	\$159,500	\$20,496	\$112,719	\$127,722
Utilities - Facilities	\$176,902	\$181,925	(\$5,023)	\$168,370	\$161,566
Utilities - Electric Bus	\$20,885	\$50,000	(\$29,115)	\$38,218	\$51,008
Insurance	\$403,302	\$441,270	(\$37,968)	\$382,468	\$379,764
Fuel taxes	\$95,845	\$100,000	(\$4,155)	\$89,680	\$110,780
Paratransit Expenses	\$2,431,834	\$2,600,000	(\$168,166)	\$2,505,113	\$3,007,396
Vanpool Expenses	\$7,301	\$12,600	(\$5,299)	\$7,200	\$10,839
Dues and subscriptions	\$32,886	\$31,540	\$1,346	\$33,786	\$28,792
Travel, training and meetings	\$35,665	\$80,675	(\$45,010)	\$44,632	\$37,378
Media advertising	\$47,443	\$78,500	(\$31,057)	\$42,797	\$120,114
Miscellaneous	\$36,994	\$30,050	\$6,944	\$17,083	\$28,399
Interest Expense	\$0	\$0	\$0	\$70,523	\$84,797
Leases and rentals	\$105,444	\$105,260	\$184	\$413,028	\$402,908
Depreciation	\$1,504,736	\$1,504,736	\$0	\$1,738,753	\$1,646,011
<b>TOTAL EXPENSES</b>	<b>\$14,442,525</b>	<b>\$15,498,538</b>	<b>(\$1,056,013)</b>	<b>\$14,554,117</b>	<b>\$15,201,691</b>
<b>CHANGE IN NET POSITION</b>	<b>\$8,879,191</b>	<b>\$6,561,809</b>	<b>\$2,317,382</b>	<b>\$7,331,726</b>	<b>\$6,476,287</b>

**MEMORANDUM**

January 19, 2022

**TO: Lextran Board of Directors****FROM: Jill Barnett, General Manager****SUBJECT: Approval of Lextran's 2022 Agency Safety Plan**

Attached is a resolution of Lextran's 2022 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 5307 Urbanized Area Formula Grants 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 builds on previous versions of Lextran's Safety Management System and Health and Safety Mission Statement. The regulations require the designation of an Accountable Executive and a Chief Safety Officer. Resolution 2021-01 previously designated Jill Barnett, General Manager, as the Accountable Executive, and John Givens, Director of Risk Management, as the the Chief Safety Officer. Resolution 2022-01 reaffirms those designations.

Further, Resolution 2022-01 incorporates an updated budget number and updated Safety Performance Targets (SPTs).

The plan is to be approved annually by January 31.

If you have any questions, please call me at 859.255.7756.

**RESOLUTION 2022-01  
TRANSIT AUTHORITY OF LEXINGTON-FAYETTE  
URBAN COUNTY GOVERNMENT**

**JANUARY 19, 2022**

**WHEREAS**, United States Code, Title 49. Transportation, Subtitle III General and Intermodal Programs, Chapter 53 Public Transportation, Section 5307 Urbanized Area Formula Grants 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); and

**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 2022 Agency Safety Plan.

---

**MOTION**

---

**SECOND**

---

**CHAIRPERSON**

---

**DATE**

# AGENCY SAFETY PLAN 2022



**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 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-lextran/board-of-directors/board-meetings">http://www.lextran.com/about-lextran/board-of-directors/board-meetings</a>
<b>Revision Number:</b>	2
<b>Approvals:</b>	Lextran Board of Directors Resolution 2021-01 on January 20, 2021
<b>Name and Title of Accountable Executive:</b>	Jill Barnett General Manager
<b>Signature:</b>	_____
<b>Name and Title of Chief Safety Officer:</b>	John Givens 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,
2	Jan 01, 2022		Document updates; Annual Budget, Safety Performance Targets,



## TABLE OF CONTENTS

1	TRANSIT AGENCY INFORMATION .....	6
1.1	Background .....	6
1.2	Applicability .....	6
1.3	Policy .....	6
1.4	Transition from SSPP to ASP .....	6
1.5	Safety Management System (SMS) Implementation .....	7
1.6	Accountable Executive and Board of Directors approvals .....	7
1.7	Modes Covered by this Plan.....	7
2	Safety Plan Development, Update, and Certification .....	7
2.1	ASP Review Schedule .....	7
2.2	ASP Control and Update Procedure.....	7
2.3	ASP Review and Approval by Lextran Board of Directors.....	7
2.4	ASP Change Management .....	8
2.5	Compliance .....	8
3	Safety Performance Targets.....	8
3.1	Development .....	8
3.2	Coordination with the Metropolitan Planning Organization (MPO).....	8
4	Safety Management Policy .....	8
4.1	Safety Management Policy Statement .....	8
4.2	Safety Management Policy Communication .....	9
4.3	Employee Safety Reporting Program.....	9
4.4	Authorities, Accountabilities, and Responsibilities .....	9
5	Safety Risk Management .....	10
5.1	Safety Hazard Identification.....	10
5.2	Safety Risk Assessment .....	11
5.3	Safety Risk Mitigation .....	11
6	Safety Assurance.....	11
6.1	Safety Performance Monitoring and Measurement .....	11
7	Safety Promotion.....	12
7.1	Training and Certification Program.....	13
7.2	Bus Operators .....	13

7.3	Maintenance Team Members .....	13
7.4	Refresher Training.....	13
7.5	Contractor Training.....	13
7.6	Safety Communication .....	13
8	Recordkeeping .....	14
9	Appendices .....	15
9.1	Definitions of Special Terms Used in the Safety Plan.....	16
9.2	List of Acronyms Used in the Safety Plan .....	19
<b>9.3</b>	<b>Lextran Board of Directors Resolution.....</b>	<b>20</b>
9.4	Safety Management Policy Statement .....	21

## **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 \$37.6 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	13	9	15	11	2,133
Paratransit	0	0	2	2	2	2	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 interacting public. 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