

# Ulster County Area Transit Public Transportation Agency Safety Plan

## 1. Transit Agency Information

<b>Transit Agency Name</b>	Ulster County Area Transit (UCAT)		
<b>Transit Agency Address</b>	1 Danny Circle, Kingston, NY 12401		
<b>Name and Title of Accountable Executive</b>	UCAT Director Carol Hargrove		
<b>Name of Chief Safety Officer or SMS Executive</b>	UCAT Director Carol Hargrove		
<b>Mode(s) of Service Covered</b>	Fixed Route/ Paratransit/Demand Response	<b>List All FTA Funding Types</b>	5307, 5310, 5311, 5339
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	Fixed Route Bus Service, Complementary Paratransit and Demand Response Service		
<b>Does the agency provide transit services on behalf of another transit agency or entity?</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>Description of Arrangement(s)</b>
<b>Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided</b>	N/A		

## 2. Plan Development, Approval, and Updates

<b>Name of Entity That Drafted This Plan</b>	Ulster County Area Transit (UCAT)	
<b>Signature by the Accountable Executive</b>	<b>Signature of Accountable Executive</b>	<b>Date of Signature</b>
	UCAT Director, Carol Hargrove	
<b>Approval by the Board of Directors or an Equivalent Authority</b>	<b>Name of Individual/Entity That Approved This Plan</b>	<b>Date of Approval</b>
	Ulster County Safety Officer Diane Beiti	
	<b>Relevant Documentation (title and location)</b>	
	See Appendix __, Approval Form dated _____	
<b>Certification of Compliance</b>	<b>Name of Individual/Entity That Certified This Plan</b>	<b>Date of Certification</b>
	Ulster County Attorney Clinton Johnson	
	<b>Relevant Documentation (title and location)</b>	
	Certificate of Compliance dated _	

Version Number and Updates			
Version Number	Section/Pages Affected	Reason for Change	Date Issued

Annual Review and Update of the Public Transportation Agency Safety Plan
The UCAT Public Transportation Agency Safety Plan (PTASP) is a living document that is updated annually and incorporates by reference the following UCAT policies and procedures:

- Appendix A: UCAT System Safety and Security Plan
- Appendix B: UCAT Transit Asset Management Plan
- Appendix C: UCAT Background Check Procedure
- Appendix D: UCAT Substance Abuse Policy
- Appendix E: UCAT Fleet Maintenance Plan
- Appendix F: UCAT Facility Maintenance Plan
- Appendix G: UCAT Emergency Evacuation Plan
- Appendix H: UCAT Emergency Procedures for Dispatchers & Drivers
- Appendix I: UCAT Policies and Procedures
- Appendix J: UCAT Driver “Getting to Know Your Bus”
- Appendix K: UCAT Driver Maintenance Inspection Procedure
- Appendix L: UCAT Accident Packet
- Appendix M: UCAT Incident Packet
- Appendix N: Ulster County Safety Office Approval Form
- Appendix O: Ulster County Attorney Certification

UCAT Director, Deputy Director, Ulster County Safety Officer, Public Transit Dispatch and Operations Coordinator, Maintenance and Safety Coordinator and Public Transit Dispatcher/Trainer hold a meeting during October of each year to implement changes and revisions to the UCAT PTASP. On or before November 15 of each year, the PTASP is submitted to the UCAT Director for review. On or before December 1, the Director then transmits the PTASP to the Ulster County Safety Officer for review. Following approval by the Ulster County Safety Officer, the Ulster County Attorney signs the PTASP certificate of compliance. This process must be completed by January 1 of each year.

In addition to the annual review and update process, the PTASP is also reviewed or updated on an ad-hoc basis when there is a determination made that the approaches in this plan are ineffective in mitigating safety deficiencies, there are significant changes to service delivery, there are new processes or procedures implemented that impact safety, there is a substantial change in financial resources available to UCAT, and/or there is a significant change in UCAT’s organizational structure.

### 3. Safety Performance Targets

Safety Performance Targets						
Year	Fatalities	Injuries	Safety Events	System Reliability	Preventable Accidents	Non Preventable Accidents
2019	0	0	<1% per vehicle mile	90%	1	2

Safety Performance Target Coordination		
<p><b><u>MPO Coordination:</u></b>            The Ulster County Transportation Council (UCTC), UCAT’s MPO, approves UCAT’s Transit Asset Management (TAM) Plan annually, which includes performance targets related to safety. The TAM Plan must also be approved and adopted by the UCTC. UCAT Director and/or Deputy Director attend monthly UCTC meetings during which UCTC staff are updated regarding safety performance targets on an as-needed basis.</p> <p><b><u>State DOT Coordination:</u></b>            The New York State DOT conducts regular audits of UCAT related to safety. These include: Motor Carrier Compliance Review, Vehicle and Traffic Law Section 19-A Audit, Public Transportation Safety Board Audit, Drug and Alcohol Program Audit, and bi-monthly inspections of UCAT vehicles. The results of these audits provide guidance to UCAT staff for the selection of safety performance targets.</p>		
Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	New York State Department of Transportation	January
Targets Transmitted to the Metropolitan Planning Organization	Metropolitan Planning Organization Name	Date Targets Transmitted
	Ulster County Transportation Council	January

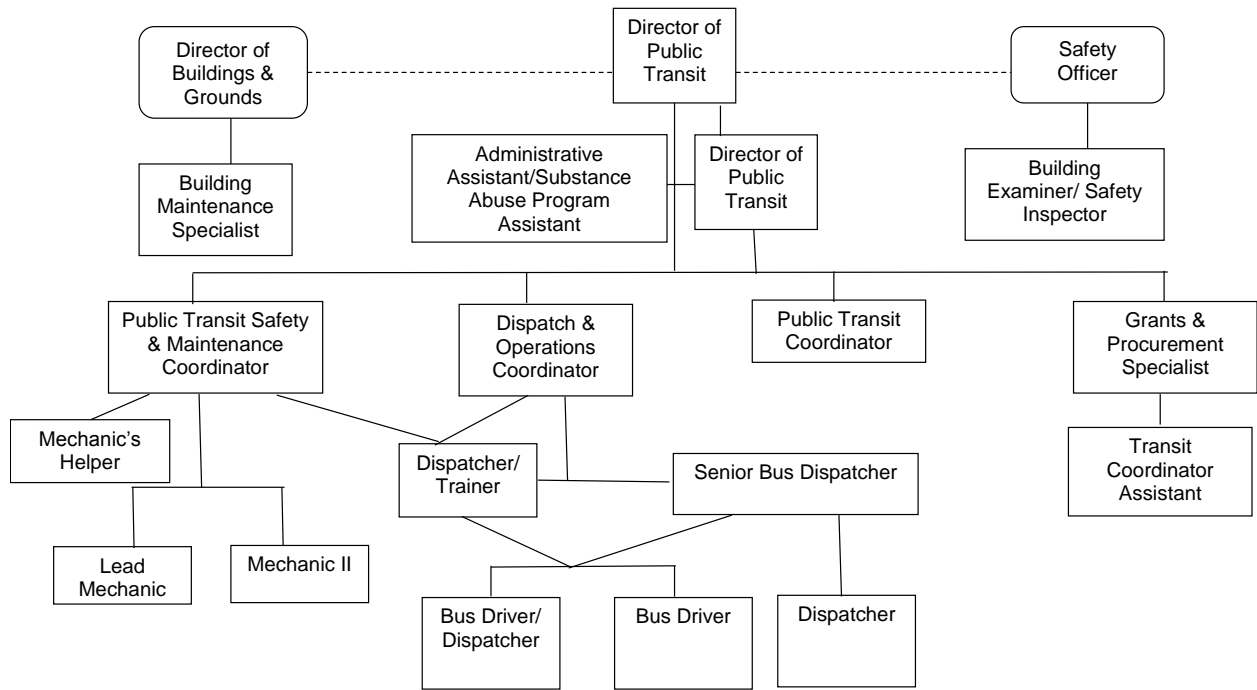
## 4. Safety Management Policy

<b>Safety Management Policy Statement</b>	
<p>UCAT seeks to establish an ongoing series of activities that maintain and enhance the existing transportation system's safety &amp; security and to maintain a coordinated, effective, efficient and comprehensive safety &amp; security program. Future improvements are a positive force in shaping the public transportation and employee workplace environments.</p> <p>Each year, UCAT strives to prevent mechanical failures, decrease out of service rates, reduce its number of road calls and service interruptions. UCAT also seeks to reduce the number of accidents per vehicle mile traveled, and prevent fatalities and injuries to riders and UCAT drivers.</p> <p>UCAT promotes general safety for the public and employees, contingency plans for security and emergency situations and appropriate recordkeeping and analysis of all such activities. Employees are thoroughly trained in operational safety &amp; security procedures, hazard avoidance and are encouraged to enhance their professional skills.</p>	
<b>Safety Management Policy Communication</b>	
<p>UCAT's Safety Management Policies are communicated upon employee hire and regularly to all employees. Safety training is included in UCAT's mandatory annual training day (held the second Saturday of September). All Bus Drivers, Bus Driver/Dispatchers, and Operations Personnel are required to be trained and certified in both New York State Vehicle and Traffic Law 19A and New York State CDL requirements. Day-to-day safety issues and conditions are communicated verbally to drivers by dispatchers at the start of driver shifts upon check-in, provided on white boards/bulletin boards in the check-in area, via radio to drivers as issues arise, through monthly newsletters provided to all staff, and through written memos posted in employee areas and requiring signature acknowledging receipt.</p>	
<b>Authorities, Accountabilities, and Responsibilities</b>	
<b>Accountable Executive</b>	Director, UCAT
<b>Chief Safety Officer or SMS Executive</b>	Director, UCAT

<b>Agency Leadership and Executive Management</b>	UCAT Deputy Director
<b>Key Staff</b>	Ulster County Safety Officer, Public Transit Safety/Maintenance Coordinator, Trainer, Facilities Manager

**System Safety Organization Chart:**

**UCAT SAFETY REPORTING RELATIONSHIPS ORGANIZATIONAL CHART**



**Employee Safety Reporting Program**

*Describe the process and protections for employees to report safety conditions to senior management. Describe employee behaviors that may result in disciplinary action (and therefore, are excluded from protection).*

**Regular Vehicle Safety Defects Reporting Program:**

Drivers complete pre- and post-trip vehicle inspections using an approved NYSDOT inspection log to report safety or mechanical defects. The completed form is turned into dispatch. If a safety or vehicle defect is reported, dispatch personnel faxes a copy to the maintenance department and the vehicle is placed out of service. A copy is also placed in the UCAT Director's mailbox for review. Maintenance staff collects the form and creates a work order in the Asset Works Fleet Management program. The work order is assigned to a mechanic and necessary repairs are completed. Details are entered into the Asset

Works program and all related documentation is placed in the vehicle's bus file. The pre-post trip form and pre-post trip book are signed off by the mechanic and faxed back to dispatch. The vehicle is then returned to service.

### **On-Route Safety Issue Reporting Procedures:**

All events, incidents or accidents are reported by the driver to dispatch via two-way radio communication. Dispatch will advise the driver if an incident report must be completed and/or refer the issue to the Director/Deputy Director if necessary. If an incident or accident occurs, the driver or reporting staff will complete the incident or accident report packet and turn into dispatch. The incident or accident report packet is placed in the Director's mailbox for review. The full accident procedure is detailed on p. 13. The Director/Deputy Director will make a determination as to whether a retraining form must be completed and distribute to the Maintenance and Safety Coordinator and/or Trainer as necessary for follow up.

### **Driver Behaviors/Retraining Procedures:**

If the driver or staff has accountability relating to an incident or accident, a retraining form is completed and the driver/staff is retrained. All retraining documentation is signed by the employee and Dispatcher/Trainer, and filed in the retraining book. Any driver behavior determined to be "at-risk" results in driver retraining. Any driver behavior determined to be reckless results in punitive/disciplinary measures.

### **Other Employee Safety Reporting Procedures:**

In addition to the vehicle safety defect reports, incident reports, accident reports, and retraining reports, UCAT employees and all are encouraged to report any safety conditions directly to supervisors, and may do so anonymously. Employees can also report safety issues to the Ulster County Safety Office.

## **5. Safety Risk Management**

### **Safety Risk Management Process**

- **Safety Hazard Identification Process**

UCAT's first level of employees identifying hazards are drivers, who then report to Bus Driver/Dispatchers, Dispatcher/Trainer and the Public Transit trainers. It is the duty of dispatchers/trainers to determine whether the hazard poses a risk triggering risk assessment.

-Potential Vehicle Hazards: Identified through driver pre-post trip inspections, NYSDOT bi-monthly inspections of fleet, NYSDOT audits, and vehicle recall information recordkeeping by Maintenance Coordinator.

-Driver Physical Condition Hazards: drivers are subject to drug testing and DOT medical exams, monitoring by other UCAT staff. Ulster County provides Employee Assistance Programs for mental health and substance abuse.

-Driver Condition and Skill Hazards: Monitored by dispatcher/trainer, dispatchers, driver 19A files

-Road Condition Hazards: Monitored by Bus Drivers/Dispatchers and occasionally through coordination with UCTC

- Other Criminal Hazards: Monitored by the Ulster County Sheriff's Office, which has a set protocol to help maintain the security of the Transit Center. Deputies regularly patrol the exterior of the Transit Center to prevent unlawful entry, discourage vandalism, and provide 24 hour security. The Sheriff's Office is capable of responding to any incident (terrorist, hazardous situation, etc.) involving a UCAT vehicle with a Mobile Incident Command (MIC) vehicle. The MIC is able to communicate with UCAT buses on UCAT's radio frequency.

-Fire and Emergency Drills: Monitored by 6 unscheduled drills annually to recreate real life scenarios

- **Safety Risk Assessment**

UCAT Deputy Director inputs all incident, accident, and retraining forms into a database that is reviewed by a safety committee on a quarterly basis. The Deputy Director assess safety hazards described above as they arise using the Risk Assessment Matrix below used by the Department of Defense:



RISK ASSESSMENT MATRIX				
SEVERITY PROBABILITY	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	Serious	Medium
Probable (B)	High	High	Serious	Medium
Occasional (C)	High	Serious	Medium	Low
Remote (D)	Serious	Medium	Medium	Low
Improbable (E)	Medium	Medium	Medium	Low
Eliminated (F)	Eliminated			

- **Safety Risk Mitigation**

Following risk assessment based on the matrix above, UCAT supervisors including Director, Deputy Director, Maintenance and Safety Coordinator, Trainer, and Dispatchers communicate how to reduce or avoid the risk to affected and/or all employees. The following modes of communication are employed for the categories of risks:

- (1) Low: a temporary risk that occurs without frequency is communicated via radio to all affected drivers/posted on white board

**Example:** When a driver reports a tree limb in the road used in multiple routes, the hazard/risk is communicated to all drivers via radio and posted on the check-in area white board until resolved.

- (2) Medium: a risk of a more permanent nature but without immediate consequences is communicated via memorandum issued to all employees and in employee newsletter, as well as the required communication for low risk events.

**Example:** Routine gas line work/construction is being done in the City of Kingston for one month resulting in active construction sites along many UCAT routes. Drivers are reminded via radio, white board, memo and in the employee newsletter.

- (3) Serious: a risk occurring with frequency and with consequences to employee and public safety is communicated via inclusion in employee training day, memorandum issued to all employees requiring signature of acknowledgement, and methods of communication in low and medium risk events.

**Example:** Medical marijuana is legalized in the state but DOT drug testing and UCAT policies prohibit use. A module on medical marijuana is included as part of UCAT's mandatory annual employee training day, a memorandum requiring signature is issued to all employees

- (4) High: a risk occurring with frequency or with catastrophic consequences to the public or employee safety requires immediate communication with the public safety personnel, including the NYSDOT Public Transportation Safety Board if necessary, immediate retraining of employees, and use of emergency procedures.

**Example:** County facilities are subject to bomb threats. All employees are retrained on proper safety protocols and reporting to local law enforcement. When the threat is mitigated, UCAT personnel are debriefed. All modes of communication used for other categories of risk are also employed.

## 6. Safety Assurance

### Safety Performance Monitoring and Measurement

*Describe activities to monitor the system for compliance with procedures for operations and maintenance.*

### Data Collection and Recordkeeping

UCAT and the Ulster County Safety Office collect data in several ways. An important subset of data includes accident and road surveillance incidents. All of the Safety Office data is filed electronically and searchable for determination of trends. Troubled or weak areas are noted for review and development of action plans for improvement.

The following reports are collected and maintained from all involved areas in UCAT. They include, but are not limited to:

- Scheduled Maintenance Reports, filed in the maintenance office
- Corrective Maintenance Reports, filed in the maintenance office
- Bus Pre- and Post-Trip Safety Inspection Reports, signed and filed in the maintenance area
- Random Pre-Post trip inspections, filed in the trainers' office
- Bus Safety Inspection Reports, filed in the maintenance area
- Driver retraining reports, filed in the trainers area
- Drug & Alcohol testing filed in a secure room in administration on the 2nd floor 19A files, filed in the trainers' office

## **Safety Event Monitoring**

UCAT Director monitors all responses to safety events to determine if proper procedures were followed and if additional communication is needed. The UCAT Director is notified of all out of service vehicles and road call events.

## **Driver Safety Monitoring**

Driver safety issues are monitored at the first instance by the UCAT Trainer. Once every two years employees are required to take a safety training test based on the tools given them, safety manuals and procedures. They are given time to read the information and then are tested to be sure they are familiar with the rules. Feedback is given by the employee on ideas and areas needed to be covered in the future. The training department keeps results as required by 19A.

All employees that drive county owned vehicles or drive as part of their jobs must attend defensive driving course provided by UCAT, a minimum of once every three years. Any driver involved in a motor vehicle accident or receiving a traffic violation may, at the discretion of the Safety Office, be required to attend more often. Habitual offenders will have their county driving privileges revoked.

A strict retraining program is in place for all drivers based on customer complaints and on board training and testing for defensive driving, customer service, emergency procedures, bus orientation and operating procedures. Retraining results for each driver is kept on file in the trainers' office.

## **Facility Monitoring**

The Safety Office provides oversight so that the transit center and transit operations are kept in a safe and healthful condition. Monthly unscheduled inspections of the facility are done by the Safety Department and reports and feedback are generated and sent to the Director of UCAT and a Deputy County Executive for action if necessary.

## *Internal Review Processes*

Internal reviews will be performed bi-annually to ensure all areas of UCAT are in compliance with the System Safety Plan and PTASP.

Utilizing the checklists below, the reviewer will evaluate data and information for compliance with the provisions of the PTASP and other reference documentation. The major issues and activities involved in performing the internal safety review include:

- Examination of documentation
- Analysis of safety data and information

- Observation of equipment, facilities and in-process tasks
- Evaluation of system operation and employee workplace
- Interviews with management and relevant staff
- Examination of Maintenance procedures including Training manuals, Equipment specifications and recall information
- Examples of agency-type documentation include: System Safety Program Plan, Standard Operating Procedures, Emergency Procedures, Hazardous Materials Management Plan, Administrative Procedures, Rule Book, Safety Rules

External reviews/audits are also conducted by NYSDOT

### *Safety Event Investigations*

#### **Accident/Incident Packets**

Accident and Incident Packets are submitted to the Director, Deputy Director and Trainer to determine if retraining is necessary and/or a mode of risk management communication is necessary.

#### **Accident Investigations**

All accidents are investigated by UCAT personnel who are BAITFISH certified and Ulster County Safety Office. Accidents are reviewed for PTSB criteria reporting as to causes and contributing factors. Drivers will be interviewed and a full investigation report filed with the Insurance Department and administration with recommendations regarding preventability and re-training. Necessary disciplinary actions and re-training will be conducted in a timely manner.

Full investigation report files with results and recommendations are distributed to the Insurance Department, Safety Department and administration.

Analysis of accidents require the Director's review and signature upon completion of cost of repair, personal injury and lost work days.

Accident surveillance data are kept at the Ulster County Safety Office on all county departments including UCAT. Photographs are taken at the scene of the accident. If needed, skid marks are measured with a measuring wheel. Information is recorded on a voice recording if practicable and in writing.

All accident/incident investigation reports are filed by date and retained as required within UCAT's file at both UCAT and the Safety Office. 19A files are maintained for all drivers which readily show date and description of all accidents/incidents involved in during their employment with Ulster County. An affidavit of compliance is reported to NYS 19A annually.

## 7. Safety Promotion

### Competencies and Training

UCAT's Safety Training program is reviewed for content and updated twice a year. Safety training is included in our yearly training day and is part of our overall training program plan.

#### Safety Training Upon Hire

All employees must attend an orientation given by the Ulster County Personnel Department. At this time County policies are explained with emphasis placed on probationary periods, benefits, and all safety policies including disciplinary consequences related to the above. All Bus Drivers, Bus Driver/Dispatchers, and Operational Personnel are required to be trained and certified in both 19A and CDL requirements. UCAT Director and Deputy Director also complete additional drug and alcohol training.

#### Annual Training Day

Safety training is included in our yearly training day which is mandatory for all employees. The Ulster County Safety Office gives a presentation, and each training session is tied to safety. The most recent training day presentation is attached as Appendix \_.

#### Safety Training Test

Once every two years employees are required to take a safety training test based on the tools given them, safety manuals and procedures. They are given time to read the information and then are tested to be sure they are familiar with the rules. Feedback is given by the employee on ideas and areas needed to be covered in the future. The training department keeps results as required by 19A.

#### Route Training

All drivers are given route training. Length of training depends upon the diversity and length of the route(s) involved. Training generally involves four to six weeks. New drivers first ride with a trainer to get acquainted with the route and procedures and then are trained for the rest of the time with hands-on practice, always with an experienced driver aboard. Passenger safety shall always be a primary concern to the driver. He/she shall maintain safe speeds at all times and adjust his speed for road conditions. Drivers will pay particular attention to the safety of passengers while boarding and departing from the vehicle especially in congested areas. All drivers are required to check, as part of their pre-trip inspections every morning, the rear emergency door and emergency windows as well as verify that all window and door buzzers are in working order.

#### Emergency Training

Employees are trained in emergency procedures for the following areas: (See emergency procedures for dispatch and drivers)

1. Severe weather (snow or flooding)
2. Traffic accidents
3. On-board smoke or fire

4. Collisions
5. Passenger injury or illness (use of bodily fluids kit)
6. Improper conduct by a passenger
7. Theft of property
8. Accident Packets
9. Suspicious Packages

### **Professional Development Training**

UCAT participates in FMCSA, FTA, NTI, NYSDOT and NYPTA training for professional development and encourages participation in refresher courses when available.

## **Safety Communication**

### Safety Communication Methods

- 2-way radio
- Whiteboard/Bulletin Board in Staff Areas
- Notices Posted in Staff Areas
- Memoranda Issued to All Employees via Mailbox
- Newsletter
- Memoranda Issued to All Employees requiring Signature
- Retraining Forms
- Disciplinary Charges Related to Safety