

## **MUNICIPAL ORDER 38-2020**

### **A MUNICIPAL ORDER ESTABLISHING AN AGENCY SAFETY PLAN, INCLUDING A SAFETY MANAGEMENT POLICY STATEMENT, RISK MATRIX, AND SAFETY TARGETS FOR THE OWENSBORO TRANSIT SYSTEM.**

**WHEREAS**, the Federal Transit Administration (FTA) requires local governments that operate a public transit system and receive Federal financial assistance to adopt principles and methods of safety management systems as a basis for enhancing the safety of public transportation in the United States; and

**WHEREAS**, pursuant to 49 U.S.C. §5329, the FTA has developed rules, regulations, policies, guidance, best practices, technical assistance, and standards for public transportation agency safety plans; and

**WHEREAS**, the Owensboro Transit System receives Federal financial assistance and in accordance with FTA requirements, seeks to adopt and implement an Agency Safety Plan, including a Safety Management Policy Statement, Risk Matrix, and Safety Targets, all of which are attached hereto as Exhibits “A,” “B,” “C,” and “D” and incorporated by reference.

**NOW, THEREFORE, BE IT ORDAINED BY THE CITY OF OWENSBORO, KENTUCKY, AS FOLLOWS:**

**Section 1.** The Owensboro Transit System Agency Safety Plan, including Safety Management Policy Statement, Risk Matrix, and Safety Targets are hereby adopted and established and shall be used to implement safety procedures, practices, and targets within the Owensboro Transit System.

**Section 2.** That the Mayor, City Manager, Transit Manager, and other City staff be, and they hereby are authorized, to execute any and all other instruments or documents necessary and appropriate to effectuate and implement the Agency Safety Plan.

**INTRODUCED, PUBLICLY READ AND FINALLY APPROVED ON ONE READING,** this the 1st day of December, 2020.

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Thomas H. Watson, Mayor

ATTEST:

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Beth Cecil, City Clerk

# Public Transportation Agency Safety Plan Template for Bus Transit

Version 3, Issued 12/31/19

The Federal Transit Administration (FTA) is providing the *Public Transportation Agency Safety Plan Template for Bus Transit* and accompanying *Reference Tool* to assist with the development of an Agency Safety Plan (ASP) for bus transit modes. Use of this template is voluntary. The template and reference guide are intended for use by States and operators of public transportation systems that are required to draft an ASP in accordance with 49 C.F.R. Part 673 (Part 673). The full text of Part 673 is available at <http://www.transit.dot.gov/PTASP>.

Certain requirements in Part 673 do not apply to small public transportation providers.<sup>1</sup> The relevant sections in this template are noted in red to indicate where requirements differ. Transit operators that are subject to Part 673 may choose to include additional sections beyond what is required in Part 673.

Under Part 673, a transit agency is required to maintain documents that describe its ASP, including those related to implementation and results from processes and activities. Also, a transit operator may have existing documentation that describes processes, procedures, and other information required in Part 673. You may reference these documents in your ASP by specifying the document names and locations within the appropriate sections of the plan.

## 1. Transit Agency Information

<b>Transit Agency Name</b>	City of Owensboro dba Owensboro Transit System		
<b>Transit Agency Address</b>	430 Allen St., Owensboro, KY 42301		
<b>Name and Title of Accountable Executive</b>	Pamela Canary, Manager		
<b>Name of Chief Safety Officer or SMS Executive</b>	Pamela Canary		
<b>Mode(s) of Service Covered by This Plan</b>	Fixed-route bus, paratransit	<b>List All FTA Funding Types (e.g., 5307, 5337, 5339)</b>	5307, 5339
<b>Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)</b>	Fixed-route bus, paratransit		

<sup>1</sup> Part 673 defines small public transportation provider as a recipient or subrecipient 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. (49 C.F.R. § 673.5). This includes bus transit systems with one hundred (100) or fewer vehicles in revenue service during peak regular service across all non-rail fixed route modes or in any one non-fixed route mode.

Does the agency provide transit services on behalf of another transit agency or entity?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	Description of Arrangement(s)	n/a
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	n/a			

## 2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	City of Owensboro dba Owensboro Transit System		
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature	
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval	
	Owensboro Board of Commissioners	12/1/20	
	Relevant Documentation (Title and Location)		
	See minutes of Dec. 1, 2020, Owensboro City Commission meeting		
Certification of Compliance	Name of Individual/Entity That Certified This Plan	Date of Certification	
	Thomas H. Watson, Mayor	12/1/20	
	Relevant Documentation (Title and Location)		
	See minutes of Dec. 1, 2020, Owensboro City Commission meeting		

Version Number and Updates			
<i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
001	All	Original document	12/1/20

### Annual Review and Update of the Agency Safety Plan

*Describe the process and timeline for conducting an annual review and update of the ASP.*

This plan will be jointly reviewed and updated by the Chief Safety Officer and Assistant Director of Public Works by July 1 of each year. The Accountable Executive will review and approve any changes, then forward to the City Commissioners for review and Mayors signature of approval. Also, if any changes are made to safety-related performance targets, these changes are communicated to the MPO.

## 3. Safety Performance Targets

### Safety Performance Targets

*Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.*

Mode of Transit Service	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability
Fixed-route bus	see attached						

### Safety Performance Target Coordination

*Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.*

The Accountable Executive at Owensboro Transit System (OTS) will share the ASP and safety performance targets with the Owensboro-Daviess County MPO each year after its formal adoption by the City Commission. The Accountable Executive will also provide a copy to the Kentucky Transportation Cabinet. OTS staff will assist KYTC and the MPO in the development of safety performance targets upon request.

Targets Transmitted to the State	State Entity Name	Date Targets Transmitted
	Kentucky Transportation Cabinet, Office of Transportation Delivery	11/24/20
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name	Date Targets Transmitted
	Owensboro-Daviess County MPO	11/24/20

## 4. Safety Management Policy

### Safety Management Policy Statement

*Use the written statement of safety management policy, including safety objectives.*

See attached

## Safety Management Policy Communication

*Describe how the safety management policy is communicated throughout the agency. Include dates where applicable.*

The Chief Safety Officer will introduce staff to OTS SMS principles in January of each year, at an All-Staff Safety Meeting. OTS's Safety Management Policy Statement was also distributed to each employee in the form of a handout during this meeting. OTS will post copies of the Safety Management Policy Statement on bulletin boards at the administrative office and maintenance garage. OTS will incorporate review and distribution of the Safety Management Policy Statement into new-hire training.

## Authorities, Accountabilities, and Responsibilities

*Describe the role of the following individuals for the development and management of the transit agency's Safety Management System (SMS).*

<b>Accountable Executive</b>	Maintains safety as a top priority for the authority Monitors monthly safety data Holds all staff accountable for adherence to SMS and all safety rules/regulations Allocates resources/budget to appropriately address SMS issues/goals Monitors daily and monthly safety data Manages hazard identification and safety risk evaluation activities Monitors implementation of mitigations Maintains safety management documentation Plans and organizes safety training
<b>Chief Safety Officer or SMS Executive</b>	See above
<b>Agency Leadership and Executive Management</b>	Actively supports and promotes the SMS Ensures that they and their staff comply with SMS processes and procedures Continually monitors their area of SMS responsibility Appropriately supports SMS initiatives in planning/budgeting activities
<b>Key Staff</b>	Transit Manager (Accountable Executive) Transit Manager (Chief Safety Officer) Office Manager/Dispatch/Mechanic(Key Managers/Staff)

## 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).*

OTS encourages employees to report safety concerns to management in good faith without fear of retribution. There are many ways employees can report safety conditions:

- Report directly to the dispatcher.
- Report using a comment box in the driver area.
- Report conditions directly to any manager or other official.

Examples of information typically reported include:

- Safety concerns in the operating environment (for example, road conditions or the condition of facilities or vehicles);
- Policies and procedures that are not working as intended (for example, insufficient time to complete duties);
- Events that managers might not know about (for example, near misses); and
- Information about why a safety event occurred (for example, radio communication challenges).

The Accountable Executive will review these reports in a timely manner to ensure hazards and their consequences are appropriately identified and resolved and that deficiencies and noncompliance with rules or procedures are addressed.

Any action taken to address reported safety conditions will be discussed during the staff meetings. Additionally, if the reporting employee provided his or her name, the Accountable Executive will follow up directly with him or her regardless of whether action is taken.

There will be no repercussions from OTS toward employees who report safety conditions in good faith. However, disciplinary action may occur if the report involves incidents such as:

- Willful participation in illegal activity;
- Gross negligence; or
- Deliberate or willful disregard of regulations or procedures.

## 5. Safety Risk Management

### Safety Risk Management Process

*Describe the Safety Risk Management process, including:*

- *Safety Hazard Identification: The methods or processes to identify hazards and consequences of the hazards.*
- *Safety Risk Assessment: The methods or processes to assess the safety risks associated with identified safety hazards.*
- *Safety Risk Mitigation: The methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.*

Safety Risk Management is a process to identify hazards and their consequences, assess their potential safety risk and resolve them. This allows Owensboro Transit to examine what could cause harm and determine whether it has taken sufficient precautions to minimize it.

#### SAFETY HAZARD IDENTIFICATION

Hazards can be identified through a variety of sources, such as:

- Employee reporting;
- Review of camera footage;
- Review of monthly performance data and safety performance targets;
- Observations from supervisors;
- Maintenance reports;
- Comments from third parties such as passengers;
- Investigations into safety events, incidents, and occurrences; and
- Federal Transit Administration (FTA) and other oversight authorities.

All safety concerns are reported to OTS's Accountable Executive. The AE reviews these sources for hazards and documents them in a Safety Risk Register.

Entries may also come from reviews of operations and maintenance, the results of audits and observations and information received from FTA and other oversight authorities, as well as the National Transportation Safety Board.

The AE can use this data identify additional consequences and to prioritize hazards risk assessment.

Information gathered for this prioritization can come from actions such as:

- Speaking to the reporting party, if available;
- Visiting the indicated area to obtain photographs or other documentation;
- Interviewing employees in the area;
- Reviewing any documentation associated with the hazard (records, reports, procedures, inspections, technical documents, etc.);
- Reviewing past reported hazards of a similar nature; and
- Evaluate tasks and/or processes associated with the reported hazard.

Any identified hazard that poses a real and immediate threat to life, property or the environment must immediately be addressed through the SRM process for safety risk assessment and mitigation. This means that Accountable Executive believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment that would constitute a violation of environmental protection standards. Otherwise, the AE will prioritize hazards for further SRM activity.



## SAFETY RISK ASSESSMENT

OTS has adopted a safety risk assessment process to produce an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

Hazards will be prioritized using OTS's Risk Matrix. (See Owensboro Transit System Safety Targets document)

This matrix grades assessed risk as a combination of severity and likelihood, also referred to as a hazard rating. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium or Low, based on the likelihood of occurrence and severity of the outcome.

"High" hazard ratings will be considered unacceptable and require immediate action to mitigate the safety risk;

"Medium" hazard ratings will be considered undesirable and require the AE to make a decision regarding acceptability; and

"Low" hazard ratings may be accepted without additional review.

Using a categorization of High, Medium, or Low allows for hazards to be prioritized for mitigation based on their associated safety risk.

## SAFETY RISK MITIGATION

OTS's Accountable Executive will establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards. The AE can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards.

Prioritization of safety risk mitigations is based on the results of safety risk assessments. OTS's Accountable executive will track and update safety risk mitigation information in the Safety Risk Register and makes the Register available to staff upon request.

In the Safety Risk Register, the AE will document any specific measures or activities that will be conducted to monitor the effectiveness of mitigations once implemented.

# 6. Safety Assurance

## Safety Performance Monitoring and Measurement

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

OTS has many processes in place to monitor its entire transit system for compliance with operations and maintenance procedures, including:

- Safety audits;
- Informal inspections;
- Regular review of onboard camera footage;
- Safety surveys;
- Employee Safety Reporting Program (ESRP);
- Investigation of safety occurrences; and
- Regular vehicle inspections and preventative maintenance.

*Describe activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.*

OTS's Accountable Executive monitors operations to identify mitigations that may be ineffective, inappropriate, or not implemented as intended by:

- Reviewing results from accident, incident, and occurrence investigations;
- Monitoring employee safety reporting;

- Reviewing results of internal safety audits and inspections; and

- Analyzing operational and safety data to identify emerging safety concerns.

The Chief Safety Officer works with the Safety Committee and Accountable Executive to carry out and document all monitoring activities.

*Describe activities to conduct investigations of safety events, including the identification of causal factors.*

OTS's Accountable Executive maintains documentation of all investigation policies, processes, forms, checklists, activities and results. In this capacity the AE reviews a information gathered about an incident to determining whether:

- The accident was preventable;
- Personnel require discipline or retraining;
- Causal factor(s) indicate(s) a safety hazard contributed to or was present during the event; and
- The accident appears to involve underlying organizational causal factors beyond just individual employee behavior.

*Describe activities to monitor information reported through internal safety reporting programs.*

The Accountable Executive routinely reviews safety data captured from sources such as employee safety reports, and customer complaints. When necessary, the AE ensures the concerns are investigated or analyzed through the SRM process.

The AE also reviews internal and external reviews, including audits and assessments, with findings concerning safety performance, compliance with operations and maintenance procedures or the effectiveness of safety risk mitigations.

**Management of Change (Not Required for Small Public Transportation Providers)**

*Describe the process for identifying and assessing changes that may introduce new hazards or impact safety performance.*

**Continuous Improvement (Not Required for Small Public Transportation Providers)**

*Describe the process for assessing safety performance. Describe the process for developing and carrying out plans to address identified safety deficiencies.*

## 7. Safety Promotion

**Competencies and Training**

*Describe the safety training program for all agency employees and contractors directly responsible for safety.*

All new employees are provided a copy of the Employee Training Handbook which contains OTS's Safety Management Policy and the procedures associated with the Employee Safety Reporting Program. The handbook is reviewed as part of the new-hire orientation process.

New bus operators complete a 2 to 4 -week training program which includes many modules related to safety including video training for safe operation of OTS vehicles. During the training program, an employee will learn about the Incident/Accident Form, safety meetings and the other safety reporting opportunities throughout the organization.

Existing bus operators receive defensive driving video training annually.

OTS also conducts monthly mandatory safety meetings. Every meeting contains at least one safety item. This is another venue to train employees on a specific safety area, initiative, mitigation, or topic that was identified by OTS management.

In accordance with OTS's Drug & Alcohol Program, OTS conducts reasonable suspicion training for 2 or more managers.

**Safety Communication**

*Describe processes and activities to communicate safety and safety performance information throughout the organization.*

There are many ways in which OTS continually communicating to our workforce about safety performance.

- The employee communication board is located in an area of the facility that is regularly seen by all employees. It is updated annually with the number of workplace injuries and illnesses as required by OSHA.
- The OTS Safety Committee also provides monthly Safety Talks. These are mandatory talks that focus on a specific safety area, initiative, mitigation, or topic that was identified by management. This is a great way to quickly train an entire section of the workforce on new mitigations, new processes, or new safety procedures.
- At the conclusion of each year, OTS holds an Annual Safety Celebration where those employees that completed the period without a preventable accident are recognized.
- OTS hangs and regularly updates Safety Posters throughout the organization related to Drug & Alcohol awareness and general safety practices.
- When updates to OTS Employee Handbook or other important policy changes are necessary, OTS distributes copies of the new material along with an affidavit of receipt to be placed in the employee's personnel file.

## Additional Information

### Supporting Documentation

*Include or reference documentation used to implement and carry out the ASP that are not included elsewhere in this Plan.*

Owensboro Transit System Risk Management document

Owensboro Transit System Safety Targets

Owensboro Transit System Safety Management Policy Statement

All documents are available in the office of the Owensboro Transit System Manager

#### Definitions of Special Terms Used in the ASP

Term	Definition

#### List of Acronyms Used in the ASP

Acronym	Word or Phrase



## City of Owensboro Kentucky

P.O. BOX 10003  
OWENSBORO, KENTUCKY 42302-9003

### Owensboro Transit System Safety Management Policy Statement

Safety Management of safety is a core business function at the Owensboro Transit System (OTS).

OTS is committed to developing, implementing, maintaining and constantly improving processes to ensure that all transit service delivery activities take place under a balanced allocation of organizational resources, aimed at achieving the highest level of safety performance and meeting established standards.

All levels of management and all employees are accountable for the delivery of this highest level of safety performance, starting with the OTS Manager.

Owensboro Transit System is committed to:

- **Support** the management of safety by providing appropriate resources to create a culture that encourages safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the other management systems of the organization;
- **Integrate** the management of safety among the primary responsibilities of all managers and employees;
- **Clearly define** for all staff, managers and employees their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of our safety management system;
- **Establish and operate** hazard identification and analysis, and safety risk evaluation activities, including an employee safety reporting program as a fundamental source for safety concerns and hazard identification. The goal of these activities is to eliminate or mitigate the safety risks of the consequences of hazards resulting from our operations or activities to a point which is consistent with our standards of safety performance;
- **Ensure** that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program, unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures;
- **Comply** with, and where possible exceed, legislative and regulatory requirements and standards;
- **Ensure** that sufficient, skilled and trained human resources are available to implement safety management processes;
- **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills;
- **Establish and measure** our safety performance against realistic and data-driven safety performance indicators and safety performance targets; and
- **Continually improve** our safety performance through management processes that ensure that appropriate safety management action is taken and is effective.

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Pamela Canary  
Manager, Owensboro Transit System

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Date





Exhibit "C"

City of Owensboro  
Kentucky

P.O. BOX 10003  
OWENSBORO, KENTUCKY 42302-9003

The Owensboro Transit System has adopted a safety risk assessment process to produce an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

Hazards will be prioritized using OTS's Risk Matrix.

	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	High	High	High	Medium
Probable (B)	High	High	Medium	Medium
Occasional (C)	High	Medium	Medium	Low
Remote (D)	Medium	Medium	Low	Low
Improbable (E)	Medium	Low	Low	Low

This matrix illustrates assessed risk as a combination of severity and likelihood, also referred to as a hazard rating. For example, a risk may be assessed as "1A" or the combination of a Catastrophic (1) severity category and a Frequent (A) probability level.

This matrix also categorizes combined risks into levels, High, Medium, or Low, based on the likelihood of occurrence and severity of the outcome.

- "High" hazard ratings will be considered unacceptable and require immediate action to mitigate the safety risk;
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- "Low" hazard ratings may be accepted without additional review.

Using a categorization of High, Medium or Low allows for hazards to be prioritized for mitigation based on the associated safety risk.



# City of Owensboro Kentucky

P.O. BOX 10003  
OWENSBORO, KENTUCKY 42302-9003

Owensboro Transit System has established the following Safety Targets in compliance with its Agency Safety Plan (ASP). These targets are based on a review of OTS safety incidents from 2016 through October 2020. The targets will be reviewed and updated every three years.

**Fatalities:** 0

**Serious Injuries:** 0

**Safety Events:** 10% reduction from previous year

**Major Events Affecting System Performance:** 10% reduction from previous year

	2016	2017	2018	2019	2020	Total
<b>Fatalities</b>	0	0	0	0	0	0
<b>Serious Injuries</b>	0	1	4	1	0	6
<b>Safety Events</b>	1	4	6	5	4	20
<b>System Performance Events</b>	2	1	0	0	1	4

**Fatalities – 0**

## **Serious injuries**

2019 – Passenger fell trying to change seats and was taken to ER

2018 – Bus hit by car; Driver taken to hospital

2018 – Passenger fell because of hard braking and was taken to ER

2018 – Passenger fell, and was taken to ER

2018 – Car struck bus, and passenger taken to ER

2017 – Car struck bus, and passenger taken to ER

## **Safety events**

2020 – Bus rear-ended

2020 – Bus backed into garage door

2020 – Bus backed into fence

2020 – Bus hit car in parking lot

2019 – Bus side-swiped truck

2019 – Bus struck by car

2019 – Truck side-swiped bus

2019 – Passenger fell trying to change seats and was taken to ER

2019 – Trolley side-swiped a car



2018 – Bus hit by car; Driver taken to hospital  
2018 – Passenger fell because of hard braking and was taken to ER  
2018 – Passenger fell and was taken to ER  
2018 – Car hit trolley  
2018 – panel on bus came open and hit a car  
2018 – Car struck bus, and passenger taken to ER

2017 – Bus rolled into a car  
2017 – Car struck bus, and passenger taken to ER  
2017 – Car hit bus  
2017 – Car hit bus

2016 – Bus side-swiped a car

**Major breakdowns affecting service**

Bus	Incident	Date
147	Rebuilt Engine	12/12/16
145	Replace Transmission	9/30/16
146	Replace Transmission	9/5/17
154	Replace Engine	5/26/20