

RESOLUTION

COLUMBUS-PHENIX CITY TRANSPORTATION STUDY  
MPO POLICY COMMITTEE

WHEREAS, the Columbus-Phenix City Transportation Study (C-PCTS) Metropolitan Planning Organization (MPO) is designated by the Governors of the States of Alabama and Georgia and who is responsible, together with the States of Alabama and Georgia, for implementing the applicable provisions of 23 USC 134 and 135 (amended by the FAST Act, Sections 1201 and 1202, December 2015); 42 USC 20000d-1, 7401; 23 CFR 450 and 500; 40 CFR Parts 51, and 93; and

WHEREAS, federal regulations require that the Metropolitan Transportation Plans and Transportation Improvement Programs include the Lee-Russell Council of Governments Public Transportation Agency Safety Plan for the Phenix City Express (PEX) and;

WHEREAS, the Technical Coordinating Committee of the Columbus-Phenix City Transportation Study in coordination with the Federal Highway Administration, Federal Transit Administration, and the Alabama Department of Transportation has reviewed the requirement to adopt the Public Transportation Agency Safety Plan for use in the transportation process;

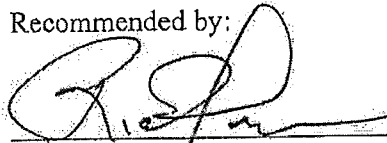
WHEREAS, the Technical Coordinating Committee at its March 11, 2021 meeting recommended that the Columbus-Phenix City Transportation Study support and adopt the Lee-Russell Council of Governments Public Transportation Agency Safety Plan approved by the Alabama Department of Transportation as follows:

NOW, THEREFORE, BE IT RESOLVED that the Policy Committee concurs with the recommendation of the Technical Coordinating Committee of that agrees to adopt the Public Transportation Safety Plan by the Lee-Russell Council of Governments .

CERTIFICATION

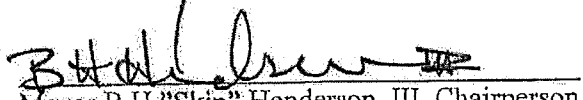
I hereby certify that the above is a true and correct copy of a Resolution adopted by the Columbus-Phenix City Transportation Study Policy Committee, at their meeting held on MARCH 16, 2021.

Recommended by:

  
\_\_\_\_\_  
TCC Chairman / MPO Director

March 11, 2021

\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Mayor B.H. "Skip" Henderson, III, Chairperson  
Columbus-Phenix City Transportation Study

March 16, 2021

\_\_\_\_\_  
Date



# ALABAMA DEPARTMENT OF TRANSPORTATION

1409 Coliseum Boulevard Montgomery, Alabama 36110



**Kay Ivey**  
Governor

**John R. Cooper**  
Transportation Director

July 20, 2020

Ms. Lisa Sandt  
Executive Director  
Lee-Russell Council of Governments and Phenix City  
2207 Gateway Drive  
Opelika, AL 36801

SUBJECT: Public Transportation Agency Safety Plan (PTASP) Certification

Dear Ms. Sandt:

In accordance with the requirements of 49 CFR Part 673 and the attached Federal Transit Administration (FTA), Version 1 Checklist, The Alabama Department of Transportation (ALDOT) has completed the review of the PTASP developed for your agency.

The Alabama Department of Transportation hereby certifies that the State, in cooperation with the Lee-Russell Council of Governments and Phenix City, has established a PTASP meeting the requirements of this rule. The date of certification is noted in Section 1. B "*Certification of Compliance*" of the attached plan. Moving forward, you will self-certify that annual updates to your PTASP meet the current rule requirements.

Consultants secured by the ALDOT are developing training to help you in the initial implementation of SMS outlined in your PTASP and look forward to your continued participation.

If you have any questions regarding the content of this correspondence, please contact Randy Stroup at (334) 242-6760.

Sincerely,

D. E. Phillips, Jr. P.E.  
State Local Transportation Engineer

DEP:rrs

Attachments  
FTA check List  
Agency PTASP

cc: File  
(via email) Garry Havron  
J.D. Allen  
Michael Hora

# Public Transportation Agency Safety Plan Checklist for Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

Based on FTA Version 1, Issued 09/09/19. *Edited 01/17/2020 – PTASP page number column added*

The Federal Transit Administration (FTA) is providing the Public Transportation Agency Safety Plan (PTASP) Checklist for Bus Transit to assist with the development of Agency Safety Plans (ASP) for bus transit modes. Use of this checklist is voluntary. The checklist is 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>.

## 1. Transit Agency Information

The ASP specifies:

Complete	PTASP Page #	Component
✓	7	Name(s) and address(es) of the transit agency(ies) that the ASP applies to.
✓	7	Mode(s) of transit service covered by the ASP.
✓	7	Mode(s) of service provided by the transit agency (directly operated or contracted service).
✓	7	FTA funding types. (e.g., 5307, 5337, 5339)
✓	6	Transit service provided by the transit agency on behalf of another transit agency or entity, including a description of the arrangement(s).
✓	7	An Accountable Executive who meets requirements in § 673.5 and § 673.23(d)(1).
✓	7	A Chief Safety Officer or SMS Executive who meets requirements in § 673.5 and § 673.23(d)(2).

## 2. Plan Development, Approval, and Updates

The ASP specifies or references documentation that specifies:

Complete	PTASP Page #	Component
✓	4	Name of the entity that drafted the ASP (e.g., State Department of Transportation).
✓	5	The Accountable Executive's signature of the ASP and date of signature.
✓	5	The Board of Directors' or Equivalent Authority's approval of the ASP and date of approval.
✓	5	Certification of compliance with Part 673, including the name of the individual or entity that certifies the ASP and date of certification.
✓	13-14	Process and timeline for conducting an annual review and update of the ASP, including the ASP version number and other relevant information.
✓	All	The ASP addresses all applicable requirements and standards as set forth in FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan.

Based on FTA Version 1, Published 09/09/19, *Edited 01/17/2020- PTASP page number column added*

*Per FTA: The guidance in this document is not legally binding in its own right and will not be relied upon by the Federal Transit Administration as a separate basis for affirmative enforcement action or other administrative penalty. Compliance with the guidance in this document (as distinct from existing statutes and regulations) is voluntary only, and noncompliance will not affect rights and obligations under existing statutes and regulations.*



### 3. Safety Performance Targets

The ASP specifies performance targets, as defined in § 673.5, for:

Complete	PTASP Page #	Component
✓	15-16	Fatalities: Total number of reportable fatalities and rate per total vehicle revenue miles, by mode.
✓	15-16	Injuries: Total number of reportable injuries and rate per total vehicle revenue miles, by mode.
✓	15-16	Safety Events: Total number of reportable events and rate per total vehicle revenue miles, by mode. (Event, as defined in § 673.5)
✓	15-16	System Reliability: Mean (or average) distance between major mechanical failures, by mode.

The ASP specifies or references documentation that specifies:

Complete	PTASP Page #	Component
✓	16	Performance targets are made available to the State to aid in the planning process.
✓	16	Performance targets are made available to the Metropolitan Planning Organization(s) (MPO) to aid in the planning process.
✓	16	Coordination with the State and MPO(s) in the selection of State and MPO safety performance targets, to the maximum extent practicable.

### 4. Safety Management Policy

The ASP describes or references documentation that describes:

Complete	PTASP Page #	Component
✓	10	Written statement of Safety Management Policy (SMP), including the agency's safety objectives.
✓	10-11	Employee safety reporting program, that includes: <ul style="list-style-type: none"> <li>• A process that allows employees to report safety conditions to senior management,</li> <li>• Protections for employees who report safety conditions to senior management, and</li> <li>• A description of employee behaviors that may result in disciplinary action, and therefore are excluded from protection.</li> </ul>
✓	11-12	Communication of the SMP throughout the agency's organization.
✓	9	Authorities, accountabilities, and responsibilities necessary for the management of safety, as they relate to the development and management of the transit agency's Safety Management System (SMS), for the following individuals: <ul style="list-style-type: none"> <li>• Accountable Executive,</li> <li>• Chief Safety Officer or SMS Executive,</li> <li>• Agency leadership and executive management, and</li> <li>• Key staff.</li> </ul>

Based on FTA Version 1, Published 09/09/19, Edited 01/17/2020- PTASP page number column added

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## 5. Safety Risk Management

The ASP describes or references documentation that describes a Safety Risk Management (SRM) process for all elements of the transit agency's public transportation system, to include:

Complete	PTASP Page #	Component
✓	19-21	Safety hazard identification: Methods or processes to identify hazards and consequences of hazards, which includes data and information provided by an oversight authority and FTA as sources for hazard identification.
✓	21-23	Safety risk assessment: Methods or processes to assess the safety risks associated with identified safety hazards. This must include assessment of the likelihood and severity of the consequences of the hazards, including existing mitigations, and prioritization of the hazards based on the safety risk.
✓	23-24	Safety risk mitigation: Methods or processes to identify mitigations or strategies necessary as a result of the agency's safety risk assessment to reduce the likelihood and severity of the consequences of hazards.

## 6. Safety Assurance

The ASP describes or references documentation that describes:

Complete	PTASP Page #	Component
✓	25	Activities to monitor the transit agency's system for compliance with, and sufficiency of, the agency's procedures for operations and maintenance (i.e., Safety performance monitoring and measurement).
✓	25-26	Activities to monitor the transit agency's operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended (i.e., Safety performance monitoring and measurement).
✓	26-27	Activities to conduct investigations of safety events, including the identification of causal factors (i.e., Safety performance monitoring and measurement).
✓	27	Activities to monitor information reported through any internal safety reporting programs (i.e., Safety performance monitoring and measurement).
	N/A	Management of change: A process for identifying and assessing changes that may introduce new hazards or impact the transit agency's safety performance. These proposed changes must be evaluated through the agency's SRM process. <b>[Not Required for Small Public Transportation Providers]</b>
	N/A	Continuous improvement: A process to assess the transit agency's safety performance. If the agency identifies safety deficiencies as part of its safety performance assessment, the agency must develop and carry out, under the direction of the Accountable Executive, a plan to address the identified safety deficiencies. <b>[Not Required for Small Public Transportation Providers]</b>

Based on FTA Version 1, Published 09/09/19, Edited 01/17/2020- PTASP page number column added

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## 7. Safety Promotion

The ASP describes or references documentation that describes:

Complete	PTASP Page #	Component
✓	28-30	A comprehensive safety training program for all transit agency employees and contractors designated as directly responsible for safety in the agency's public transportation system. This program must include refresher training, as necessary.
✓	30-31	Communication of safety and safety performance information throughout the transit agency's organization that conveys, at a minimum: <ul style="list-style-type: none"><li>• Information on hazards and safety risks relevant to employees' roles and responsibilities, and</li><li>• Safety actions taken in response to reports submitted through an employee safety reporting program.</li></ul>

## Additional Information

The ASP specifies or references:

Complete	PTASP Page #	Component
✓	32-33	Documentation not included or referenced elsewhere in the ASP, related to: <ul style="list-style-type: none"><li>• Implementation of the transit agency's SMS,</li><li>• Programs, policies, and procedures that the agency uses to carry out its ASP, and</li><li>• Results from SMS processes and activities.</li></ul> <i>The documents must be maintained for three years after they are created and must be made available upon request by the FTA or other Federal entity, or a State Safety Oversight Agency having jurisdiction.</i>
✓	33-37	Definitions of terms used in the ASP.
✓	37	List of acronyms used in the ASP.

Based on FTA Version 1, Published 09/09/19, [Edited 01/17/2020- PTASP page number column added](#)

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## Lee-Russell Council of Governments (LRCOG)

## Phenix City Express (PEX)

### Public Transportation Agency Safety Plan

Version 1

Adopted May 7, 2020

In compliance with 49 CFR Part 673

Developed by the  
Alabama Department of Transportation  
in conjunction with the  
University of Alabama at Huntsville



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# Agency Safety Plan



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Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

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## 1. EXECUTIVE SUMMARY

Moving Ahead for Progress in the 21st Century (MAP-21) granted the Federal Transit Administration (FTA) the authority to establish and enforce a comprehensive framework to oversee the safety of public transportation throughout the United States. MAP-21 expanded the regulatory authority of FTA to oversee safety, providing an opportunity for FTA to assist transit agencies in moving towards a more holistic, performance-based approach in Safety Management Systems (SMS). This authority was continued through the Fixing America's Surface Transportation Act (FAST Act).

In compliance with MAP-21 and the FAST Act, FTA promulgated a Public Transportation Safety Program on August 11, 2016 that adopted SMS as the foundation for developing and implementing a Safety Program. FTA is committed to developing, implementing, and consistently improving strategies and processes to ensure that public transportation providers achieve the highest practicable level of safety. SMS helps organizations improve upon their safety performance by supporting the institutionalization of beliefs, practices, and procedures for identifying, mitigating, and monitoring safety risks.

There are several components of the national safety program including the National Public Transportation Safety Plan (NSP) that FTA published to provide guidance on managing safety risks and safety hazards. The Transit Asset Management (TAM) Plan is one component, which was developed and implemented across the industry in 2018. The Public Transportation Agency Safety Plan (PTASP) rule, 49 CFR Part 673, and guidance provided by FTA are the subject of this document.

Safety is a core business function of all public transportation providers and should be systematically applied to every aspect of service delivery. All levels of management, administration and operations are responsible for the safety of their clientele and themselves. To improve public transportation safety to the highest practicable level in the State of Alabama and comply with FTA requirements, The Alabama Department of Transportation (ALDOT) has developed this Agency Safety Plan (ASP) in collaboration with Lee-Russell Council of Government (LRCOG).

To ensure that the necessary processes are in place to accomplish both enhanced safety at the local level and contribute to the goals of the NSP, LRCOG, and PEX adopt this ASP and the tenets of SMS including a Safety Management Policy (SMP) and the processes for Safety Risk Management (SRM), Safety Assurance (SA), and Safety Promotion (SP). While safety has always been a primary function at LRCOG/PEX AND PEX, this document lays out a process to fully implement a SMS over the next several years that complies with the PTASP final rule.



# Agency Safety Plan



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Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

## A. Plan Adoption – 673.11(a)(1)

The LRCOG and PEX Public Transit Agency Safety Plan is hereby adopted, certified as compliant, and signed by:

Lisa Sandt, Executive Director

May 7, 2020

ACCOUNTABLE EXECUTIVE SIGNATURE

DATE

Approval of this plan by the LRCOG Board of Directors occurred on 7 May 2020 and is documented in RESOLUTION from the Board Meeting found in Appendix B.

## B. Certification of Compliance – 673.13(a)(b)

ALDOT certifies on 7/20/2020 that this Agency Safety Plan is in full compliance with 49 CFR Part 673 and has been adopted and will be implemented by LRCOG/PEX as evidenced by the plan adoption signature and necessary Board approvals under Section 1.A of this plan.

# Agency Safety Plan



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Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

## 2. TRANSIT AGENCY INFORMATION – 673.23(D)

LRCOG is a regional planning and development organization that serves member governments by managing programs, promoting collaborative efforts, and servicing as a clearinghouse for federal, state and local funds. Public Transit is considered a department of LRCOG. The Public Transit Department operates two systems – LRCOG Transit and PEX. LRCOG provides curb to curb service and operates a Dial-A-Ride service in designated areas within Lee & Russell Counties. PEX provides curb to curb services and operates a fixed route and paratransit service in the City of Phenix City. The mission of LRCOG/PEX is to safely and efficiently provide affordable and dependable transit service throughout Lee and Russell Counties to meet the transportation needs of the community members.

Table 1 contains agency information, while an organizational chart for LRCOG/PEX is provided in Figure 1.

**Table 1: Agency Information**

Information Type	Information
Full Transit Agency Name	Lee-Russell Council of Governments and Phenix City Express
Transit Agency Address	2207 Gateway Drive, Opelika, Alabama, 36801
Name and Title of Accountable Executive 673.23(d)(1)	Lisa Sandt, Executive Director
Name of Chief Safety Officer or SMS Executive 673.23(d)(2)	Karl Westfall, Transit Director
KEY STAFF	Van Vanoy Blake Coulter
Mode(s) of Service Covered by This Plan 673.11(b)	Fixed Route, Paratransit & Demand Response
List All FTA Funding Types (e.g., 5307, 5310, 5311)	5307, 5310, 5311 and 5316
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Fixed Route, Paratransit & Demand Response
Number of Vehicles Operated	3 buses and 30-Paratransit/Demand Response Vehicles in Dial-A-Ride



# Agency Safety Plan

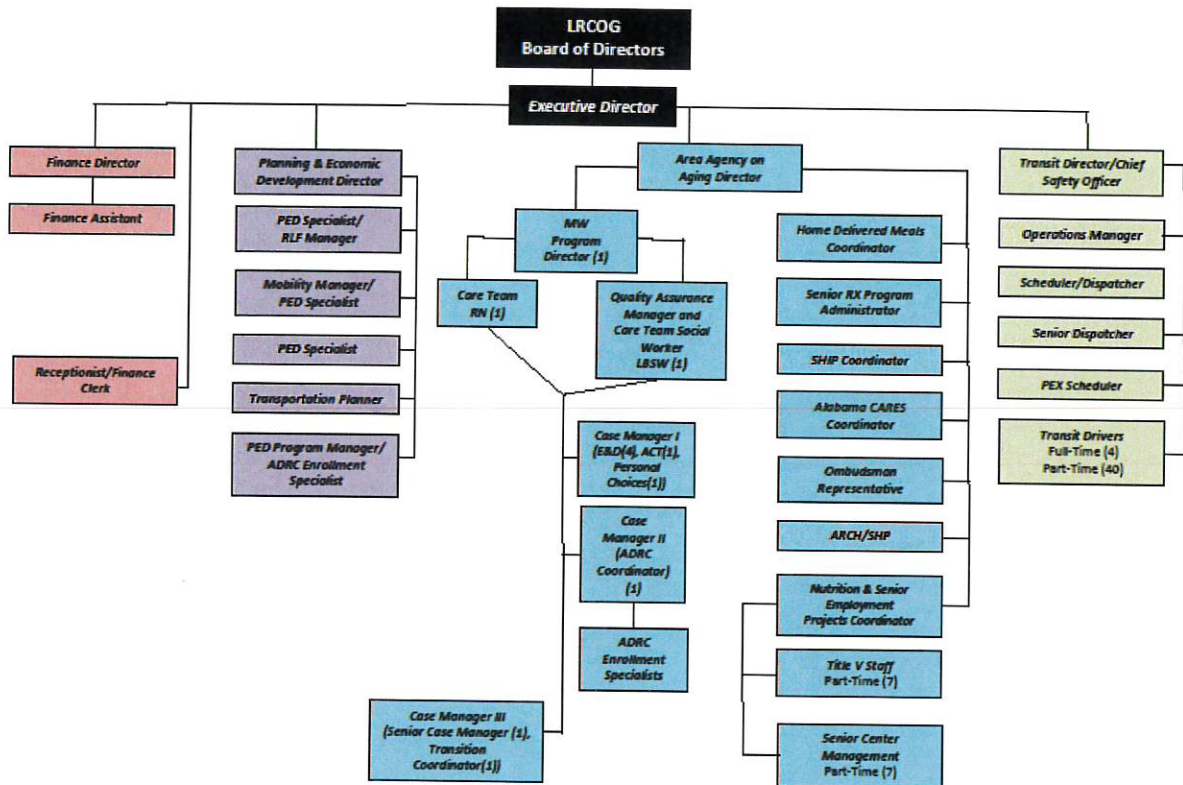


Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

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Figure 1: LRCOG Organizational Chart

## Lee-Russell Council of Governments Organizational Chart



April 2019



## A. Authorities & Responsibilities – 673.23(d)

As stated in 49 CFR Part 673.23(d), LRCOG/PEX is establishing the necessary authority, accountabilities, and responsibilities for the management of safety amongst the key individuals within the organization, as those individuals relate to the development and management of our SMS. In general, the following defines the authority and responsibilities associated with our organization.

The **Accountable Executive** has ultimate responsibility for carrying out the SMS of our public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the ASP in accordance with 49 U.S.C. 5329(d), and the agency's TAM Plan (in accordance with 49 U.S.C. 5326). The Accountable Executive has authority and responsibility to address substandard performance in the LRCOG/PEX AND PEX's SMS per 673.23(d)(1).

**Agency leadership and executive management** include members of our agency leadership or executive management, other than the Accountable Executive, Chief Safety Officer (CSO), or SMS Executive, who have authority or responsibility for day-to-day implementation and operation of our agency's SMS.

The **CSO** is an adequately trained individual who has the authority and responsibility as designated by the accountable executive for the day-to-day implementation and operation of LRCOG/PEX AND PEX'S SMS. As such, the CSO can report directly to our transit agency's chief Accountable Executive.

**Key staff** are staff, groups of staff, or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating our agency's SMS.

**Front line employees** perform the daily tasks and activities where hazards can be readily identified so the hazards can be addressed before the hazards become adverse events. These employees are critical to SMS success through each employee's respective role in reporting safety hazards, which is where an effective SMS and a positive safety culture begins.

In addition, over the next year, LRCOG/PEX will be reviewing and modifying, if necessary, our current job descriptions to ensure the descriptions comply with 49 CFR Part 673.

## 3. SAFETY POLICIES AND PROCEDURES

### A. Policy Statement – 673.23(a)

Safety is LRCOG/PEX's first priority. LRCOG/PEX is committed to implementing, developing, and improving strategies, management systems, and processes to ensure that all our activities uphold the highest level of safety performance and meet required safety standards.

We will develop and embed a safety culture in all our activities that recognizes the importance and value of effective safety management and always acknowledges that safety is paramount.

We will clearly explain for all staff their accountabilities and responsibilities for the development and operation of the SMS.

For passengers and employees, we will minimize the safety risk associated with transit service to as low as reasonably practicable and we will work to comply with and, wherever possible, exceed legislative and regulatory requirements and standards. We also will work to ensure that all employees are provided with adequate and appropriate safety information and training, are competent in safety matters, and are only allocated tasks commensurate with their skills.

We have established safety performance targets (SPT) to help us measure the overall effectiveness of our processes and ensure we meet our safety objectives. We will issue quarterly reports to the entire organization documenting how well we met our SPTs and describing the safety risk mitigations we implemented to reduce safety risk.

### I. Employee Safety Reporting Program – 673.23(b)

Frontline employees are a significant source of safety data. These employees are typically the first to spot unsafe conditions that arise from unplanned conditions either on the vehicles, in the maintenance shop, or in the field during operations. For this reason, the Employee Safety Reporting System (ESRP) is a major tenet of the PTASP Rule. Agencies must establish and implement a process that allows employees to report safety conditions to senior management, protections for employees who report safety conditions to senior management, and a description of employee behaviors that may result in disciplinary action.

LRCOG/PEX has two forms that drivers must submit at the end of each shift if an incident occurs called the *Vehicle Accident Report Form* and *Incident/Injury Report Form* (Appendix A, Table 8 shows the document name, file name, and date of adoption). Over the next year, LRCOG/PEX will review, modify, if necessary, the procedure to ensure it complies with 49 CFR Part 673.

In general, LRCOG/PEX's ESRP policy will ensure that all employees are encouraged to report safety conditions to senior management or their direct supervisor for elevation to senior management. This policy will include any contract employees. The policy will also spell out what protections are afforded



employees who report safety related conditions and will describe employee behaviors that are not covered by those protections. The policy will also elaborate on how safety conditions that are reported will be reported back to the originator – either to the individual or groups of individuals or organization dependent on the nature of the condition – or if necessary, agency wide.

To bolster the information received from frontline employees, LRCOG/PEX will also review our current policy for how LRCOG/PEX receives information and safety related data from employees and customers. If necessary, LRCOG/PEX will develop additional means for receiving, investigating and reporting the results from investigations back to the initiator (s) – either to the person, groups of persons, or distributed agency-wide to ensure that future reporting is encouraged.

## II. Communicating the Policy throughout the Agency – 673.23(c)

LRCOG/PEX is committed to ensuring the safety of our clientele, personnel and operations. Part of that commitment is developing an SMS and agency wide safety culture that reduces agency risk to lowest level possible. The first step in developing a full SMS and agency wide safety culture is communicating our SMP throughout the agency.

The SMP and safety objectives will be at the forefront of all communications. This communications strategy will include posting the policy in prominent work locations for existing employees and adding the policy statement to the on-boarding material for all new employees. In addition, the policy statement will become part of our regular safety meetings and other safety communications efforts. The policy will be signed by the Accountable Executive so that all employees know that the policy is supported by management.

## B. PTASP Development – 673.11(d)

This PTASP has been developed by ALDOT, on behalf of LRCOG/PEX in accordance with all requirements stated in 49 CFR Part 673 applicable to a small public transportation provider. ALDOT mailed a formal call for participation in a State sponsored PTASP development process to all Alabama Section 5307 small bus transit agencies on January 15, 2019 and followed that call with a series of phone calls and additional correspondence. LRCOG/PEX provided a letter to ALDOT opting into participation on March 15, 2019 and has been an active participant in the development of this plan through sharing existing documentation and participating in communication and coordination throughout the development of this plan. The LRCOG/PEX documentation used in the development of this plan is presented in Table 8, in Appendix A.

In support of tracking performance on our SA and SP processes, LRCOG/PEX conducts a yearly safety culture survey. The survey is intended to help LRCOG/PEX assess how well we communicate safety and safety performance information throughout our organization by gauging how safety is perceived and embraced by LRCOG/PEX's administrators, supervisors, staff and contractors. The survey is designed to help us assess how well we are conveying information on hazards and safety risks relevant to



# Agency Safety Plan



Lee-Russell Council of Governments (LRCOG) and Phenix City Express (PEX)

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employees' roles and responsibilities and informing employees of safety actions taken in response to reports submitted through our ESRP. Results from our most recent survey were analyzed and incorporated into the implementation strategies contained in this ASP.

Once the documents were reviewed, an on-site interview was conducted with LRCOG/PEX to gain a better understanding of the agency and its personnel. This understanding was necessary to ensure that the ASP was developed to fit LRCOG/PEX's size, operational characteristics, and capabilities.

The draft ASP was delivered to LRCOG/PEX in January 2020 for review and comment. Once review was completed and any adjustments made, the final was delivered to LRCOG for review and adoption.

## C. PTASP Annual Review – 673.11(a)(5)

As part of LRCOG/PEX's ongoing commitment to fully implementing SMS and engaging our employees in developing a robust safety culture, LRCOG/PEX will review the ASP and all supporting documentation annually. The review will be conducted as a precursor to certifying to FTA that the ASP is fully compliant with 49 CFR Part 673 and accurately reflects the agencies current implementation status. Certification will be accomplished through LRCOG/PEX annual Certifications and Assurances reporting to FTA.

The annual review will include the LRCOG/PEX and supporting documents (Standard Operating Procedures [SOPs], Policies, Manuals, etc.) that are used to fully implement all the processes utilized to manage safety at LRCOG/PEX. All changes will be noted (as discussed below) and the Accountable Executive will sign and date the title page of this document and provide documentation of approval by the LRCOG, whether by signature or by reference to resolution.

The annual ASP review will follow the update activities and schedule provided below in Table 2. As processes are changed to fully implement SMS or new processes are developed, LRCOG/PEX will track those changes for use in the annual review.

**Table 2: ASP Annual Update Timeline**

Task	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept
Review Agency Operations	→							
Review SMS Documentation <ul style="list-style-type: none"> <li>• <i>Safety Policy;</i></li> <li>• <i>Risk Management;</i></li> <li>• <i>Safety Assurance; and</i></li> <li>• <i>Safety Promotion.</i></li> </ul>		→						
Review Previous Targets and set or Continue Targets			→					
Report Targets to NTD, ALDOT, Auburn-Opelika MPO					→			
Make any necessary adjustments to PTASP						→		
Update Version No., Adopt & Certify Plan Compliance								★



The following Table 3 will be used to record final changes made to the ASP during the annual update. This will be a permanent record of the changes to the ASP over time.

**Table 3: ASP Record of Changes**

Document Version	Section/Pages Changed	Reason for Change	Reviewer Name	Date of Change
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text
Header	Text	Text	Text	Text

The implementation of SMS is an ongoing and iterative process, and as such, this PTASP is a working document. A clear record of changes and adjustments is kept for the benefit of safety plan performance management and to comply with Federal statutes.

## ***D. PTASP Maintenance – 673.11(a)(2); (c)***

LRCOG/PEX will follow the annual review process outlined above and adjust this ASP as necessary to accurately reflect current implementation status. This plan will document the processes and activities related to SMS implementation as required under 49 CFR Part 673 Subpart C and will make necessary updates to this ASP as LRCOG/PEX continues to develop and refine our SMS implementation.

## ***E. PTASP Documentation and Recordkeeping – 673.31***

At all times, LRCOG/PEX will maintain documents that set forth its ASP, including those related to the implementation of LRCOG/PEX AND PEX's SMS, and results from SMS processes and activities. LRCOG/PEX will also maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out its ASP and all iterations of those documents. These documents will be made available upon request to the FTA or other Federal entity, or ALDOT. LRCOG/PEX will maintain these documents for a minimum of three years after they are created. These additional supporting documents are catalogued in Appendix A and the list will be kept current as a part of the annual ASP review and update.

## ***F. Safety Performance Measures – 673.11(a)(3)***

The PTASP Final Rule, 49 CFR Part 673.11(a)(3), requires all public transportation providers that must develop an ASP, to include SPTs based on the safety performance measures established under the NSP. The safety performance measures outlined in the NSP were developed to ensure that the measures can be applied to all modes of public transportation and are based on data currently being submitted to the National Transit Database (NTD). The safety performance measures included in the NSP are fatalities, injuries, safety events, and system reliability (state of good repair as developed and tracked in the TAM Plan).



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There are seven (7) SPTs that must be included in each ASP that are based on the four (4) performance measures in the NSP. These SPTs are presented in terms of total numbers reported and rate per Vehicle Revenue Mile (VRM). Each of the seven (7) are required to be reported by mode as shown in Table 4.

**Table 4: NSP Safety Performance Measures**

Safety Performance Measure	SPT	SPT
Fatalities	Total Number Reported	Rate Per Total VRM
Injuries	Total Number Reported	Rate Per Total VRM
Safety Events	Total Number Reported	Rate Per Total VRM
System Reliability	Mean distance between major mechanical failure	

Table 5 presents baseline numbers for each of the performance measures. LRCOG/PEX collected the past five (5) years of reported data to develop the averages listed in the table.

**Table 5: Baseline 2019 Safety Performance Measures**

Mode	Fatalities	Rate of Fatalities*	Injuries	Rate of Injuries*	Safety Events	Rate of Safety Events*	Mean Distance Between Major Mechanical Failure
Fixed Route (Bus)	0	0	0	0	4	0.000263219	14,774
Demand Response	0	0	3	0.02481781	16	0.00005814	42,996

\*rate = total number for the year/total revenue vehicle miles traveled

While safety has always been a major component of the LRCOG/PEX operation, the adoption of this ASP will result in several changes across all aspects of the organization. The SPTs set in Table 6 and Table 7 reflect an acknowledgement that SMS implementation will produce new information that will be needed to accurately set meaningful SPTs. We set our targets at the current NTD reported five-year average as we begin the process of fully implementing our SMS and developing our targeted safety improvements. This will ensure that we do no worse than our baseline performance over the last five years.

**Table 6: Fixed Route (Bus) Safety Performance Targets**

Mode	Baseline	Target
Fatalities	0	0
Rate of Fatalities*	0	0
Injuries	0	0
Rate of Injuries*	0	0
Safety Events	4	4
Rate of Safety Events*	0.000263219	0.000263219



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Mode	Baseline	Target
Mean Distance Between Major Mechanical Failure	14,774	14,774

\*rate = total number for the year/total revenue vehicle miles traveled

**Table 7: Demand Response Safety Performance Targets**

Mode	Baseline	Target
Fatalities	0	0
Injuries	3	3
Safety Events	16	12
System Reliability	42,996	42,996

\*rate = total number for the year/total revenue vehicle miles traveled

As part of the annual review of the ASP, LRCOG/PEX will reevaluate our safety performance targets and determine if they need to be refined. As more data is collected as part of the SRM process discussed later in this plan, LRCOG/PEX may begin developing safety performance indicators to help inform management on safety related investments.

## G. Safety Performance Target Coordination – 673.15(a)(b)

LRCOG/PEX will make our SPTs available to ALDOT and the Auburn-Opelika Metropolitan Planning Organization (MPO) to aid in their respective regional and long-range planning processes. To the maximum extent practicable, LRCOG/PEX will coordinate with ALDOT and the Auburn-Opelika MPO in the selection of State and MPO SPTs as documented in the Interagency Memorandum of Understanding (MOU) to the maximum extent practicable.

Each year during the FTA Certifications and Assurances reporting process, LRCOG/PEX will transmit any updates to our SPTs to both the Auburn-Opelika MPO and ALDOT (unless those agencies specify another time in writing).

## 4. SAFETY MANAGEMENT SYSTEMS – 673 SUBPART C

As noted previously, the FTA has adopted SMS as the basis for improving safety across the public transportation industry. In compliance with the National Safety Program, National Public Transportation Safety Plan, and 49 CFR Part 673, LRCOG/PEX is adopting SMS as the basis for directing and managing safety and risk at our agency. LRCOG/PEX has always viewed safety as a core business function. All levels of management and employees are accountable for appropriately identifying and effectively managing risk in all activities and operations in order to deliver improvements in safety and reduce risk to the lowest during service delivery.

As noted in the graphic below, SMS is comprised of four basic components – SMP, SRM, SA, and SP. The SMP and SP are the enablers that provide structure and supporting activities that make SRM and SA possible and sustainable. The SRM and SA are the processes and activities for effectively managing safety as presented in Figure 2.

Figure 2: Safety Management Systems





Implementing SMS at LRCOG/PEX will be a major undertaking over the next several years. This ASP is the first step to putting in place a systematic approach to managing the agencies risk. LRCOG/PEX has already taken several steps to implementing SMS such as developing this initial ASP and designating a CSO. During the first year of implementation, LRCOG/PEX will be identify SMS roles and responsibilities, key stakeholder groups, and key staff to provide support. LRCOG/PEX will also ensure key staff receive SMS training, develop a plan for implementing SMS, inform stakeholders about the ASP, and discuss our progress toward implementation with the Board and planning partners.

## A. Safety Risk Management – 673.25

By adopting this ASP, LRCOG/PEX is establishing the SRM process shown in Figure 3 for identifying hazards and analyzing, assessing and mitigating safety risk in compliance with the requirements of 49 CFR Part 673.25. The SRM processes described in this section are designed to implement the LRCOG/PEX SMS.

Figure 3: Safety Risk Management Process




The implementation of the SRM component of the SMS will be carried out over the course of the next year, through a program of improvement during which the SRM processes will be implemented, reviewed, evaluated, and revised as necessary, to ensure the processes are achieving the intended safety objectives as the processes are fully incorporated into LRCOG/PEXSOPs.

The SRM is focused on implementing and improving actionable strategies that LRCOG/PEX has undertaken to identify, assess and mitigate risk. One of the tools being used in that process is the creation of a risk register that serves as an accessible resource for documenting the SRM process, tracking the identified risks, and documenting the effectiveness of mitigation strategies in meeting defined safety objectives and performance measures. The draft Risk Register is shown in Figure 4.

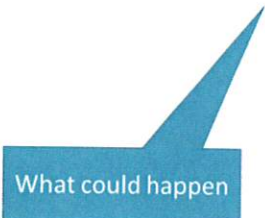


Figure 4: Draft Risk Register


Hazard	Type	Likelihood	Consequence	Resolution



What is wrong?



What could happen



What could mitigate this?

As the SRM process progresses through the steps of identifying what may be wrong, what could happen as a result, and what steps LRCOG/PEX is taking to resolve the risk and mitigate the hazard, the Risk Manager completes and publishes the various components of the Risk Register. These components include the use of safety hazard identification, safety risk assessment, and safety risk mitigation.

## I. Safety Hazard Identification – 673.25(b)

To ensure compliance with 49 CFR Part 673, LRCOG/PEX is working to implement the following SRM.

LRCOG/PEX SRM process is a forward-looking effort to identify safety hazards that could potentially result in negative safety outcomes. In the SRM process, a Hazard is 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.

- Hazard identification focuses on out of the norm conditions that need special attention or immediate action, new procedures or training to resolve a condition that is unacceptable and return conditions to an acceptable level. LRCOG/PEX uses a variety of mechanisms for identifying and documenting hazards, namely:
- Through training and reporting procedures, LRCOG/PEX ensures personnel are capable of identifying hazards and that each employee clearly understands that they have a responsibility to immediately report any safety hazards identified to their supervisors. Continued training helps employees to develop and improve the skills needed to identify hazards.

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- Employee hazard training coupled with the ESRP ensures that LRCOG/PEX has full use of information from frontline employees for hazard identification.
- Upon receiving the hazard report, supervisors report the identified hazard to the Risk Manager for entry into the risk register for risk assessment, classification and possible mitigation.
- Standard reporting forms (e.g. *Vehicle Accident Report Form* and *Incident/Injury Report Form*) and other reports completed on a routine basis by administrative, operational and maintenance. LRCOG/PEX will establish SOPs that contain procedures for flagging and reporting hazards as a part of day-to-day operations.
- Supervisors are responsible for performing and documenting regular safety assessments, which include reporting and recommending methods to reduce identified hazards.
- LRCOG/PEX uses incident reports and records to determine specific areas of training that need to be covered with employees to ensure safety hazard identification is continually improved, and so that hazards are identified before an event recurrence.
- Incident reports are also analyzed by the risk management team to identify any recurring patterns or themes that would help to identify underlying hazards and root causes of the event that can be mitigated to prevent recurrence.
- If a hazard is such that an employee would be reluctant to report the information due to perceived negative consequences (e.g. disciplinary action), alternative, anonymous reporting mechanisms are available through an anonymous suggestion box or anonymous online reporting form, or other secure mechanism.
- The Risk Manager, risk management personnel and subject matter experts are also encouraged to participate in available professional development activities and peer-to-peer exchanges as a source of expertise and information on lessons learned and best practices in hazard identification.
- Other sources for hazard identification include:
  - ESRP
  - Inspections of personnel job performance, vehicles, facilities and other data
  - Investigations of safety events
  - Safety trend analysis on data currently collected
  - Training and evaluation records
  - Internal safety audits
  - External sources of hazard information could include:
    - FTA and other federal or state authorities
    - Reports from the public
    - Safety bulletins from manufacturers or industry associations



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In addition to identifying the hazard, the hazard identification process also classifies the hazard by type (organizational, technical or environmental) to assist the Risk Manager in identifying the optimal combination of departmental leadership and subject matter expertise to select in assembling the safety risk assessment team.

The various hazard types can also be categorized by subcategory for each type. For example, organizational hazards can be subcategorized into resourcing, procedural, training or supervisory hazards. Each of the subcategories imply different types of mitigation strategies and potentially affect overall agency resources through varying costs for implementation. Technical hazards can be subcategorized into operational, maintenance, design and equipment. Additionally, environmental hazards can be subcategorized into weather and natural, which is always a factor for every operation.

## II. Safety Risk Assessment – 673.25(c)

As part of the new SRM process, LRCOG/PEX has established methods to assess the likelihood and severity of the consequences of identified hazards, and prioritize the hazards based on the safety risk. The process continues the use of the risk register to address the next two components.

To accurately assess a risk, LRCOG/PEX may need to perform an investigation. LRCOG/PEX currently investigates accidents or crashes, but will need to develop a full investigation procedure to inform the SRM process. The investigation procedure can start with the *Vehicle Accident Report Form* and *Incident/Injury Report Form* and will be developed to cover all risk assessment. Once fully developed the document will become the Investigation SOP. The SOP will include accident investigation procedures as well as risk investigation procedures. These procedures will be used to investigate risks identified from multiple sources including the ESRP.

Safety risk is based on an assessment of the likelihood of a potential consequence and the potential severity of the consequences in terms of resulting harm or damage. The risk assessment also considers any previous mitigation efforts and the effectiveness of those efforts. The results of the assessment are used to populate the third and fourth components of the Risk Register as shown in Figure 5.



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Figure 5: Safety Risk Assessment Steps in Populating the Risk Register

Hazard	Type	Likelihood	Consequence	Resolution

The risk assessment is conducted by the CSO and their risk management team through the safety compliance committee supplemented by subject matter experts from the respective department or section to which the risk applies. The process employs a safety risk matrix similar to the one shown in Figure 6 that allows the safety team to visualize the assessed likelihood and severity to help decision-makers to understand when actions are necessary to reduce or mitigate safety risk.

Figure 6: Safety Risk Assessment Matrix

RISK ASSESSMENT MATRIX				
SEVERITY LIKELIHOOD	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

Although the current version of the matrix relies heavily on the examples and samples that are listed on the PTASP Technical Assistance Center website, lessons learned from the implementation process during the coming years will be used to customize the matrix that LRCOG/PEX will use to address our unique operating realities and leadership guidance.

The Risk Assessment Matrix is an important tool. If a risk is assessed and falls within one of the red zones, the risk is determined to be unacceptable under existing circumstances. This determination means that management must take action to mitigate the situation. This is the point in the process when SRMs are developed. If the risk is assessed and falls within one of the yellow zones, the risk is determined to be acceptable, but monitoring is necessary. If the risk falls within one of the green zones, the risk is acceptable under the existing circumstances.

Once a hazard's likelihood and severity have been assessed, the Risk Manager enters the hazard assessment into the risk register that is used to document the individual hazard and the type of risk it represents. This information is used to move to the next step, which is hazard mitigation.

### III. Safety Risk Mitigation – 673.25(d)

LRCOG/PEX currently has a *Risk Reduction Plan* (Appendix A, Table 8) that provides a list of vulnerabilities, the current mitigation strategies and additional mitigation actions, if necessary. The information in the table is populated based on previous risk identification and is reviewed annually. This plan will be reviewed in conjunction with the Draft Risk Register (Figure 4) and will include additional aspects the SRM process in line with 49 CFR Part 673.

Upon completion of the risk assessment, the Risk Manager and the safety committee continue populating the Risk Register by identifying mitigations or strategies necessary to reduce the likelihood and/or severity of the consequences. In this step the goal is to avoid or eliminate the hazard or, when elimination is not likely or feasible, reduce the assessed risk rating to an acceptable level (Figure 7). However, mitigations do not typically eliminate the risk entirely.

**Figure 7: Risk Register Mitigation Component**

Hazard	Type	Likelihood	Consequence	Resolution

To accomplish this objective the Risk Manager, through the safety compliance committee, works with subject matter experts from the respective department or section to which the risk applies. The risk management team then conducts a brainstorming exercise to elicit feedback from staff and supervisors with the highest level of expertise in the components of the hazard.



Documented risk resolution and hazard mitigation activities from previous risk register entries and their documented level of success at achieving the desired safety objectives may also be reviewed and considered in the process. If the hazard is external (e.g. roadway construction by an outside agency) information and input from external actors or experts may also be sought in order to take advantage of all reasonably available resources and avoid any unintended consequences.

Once a mitigation strategy is selected and adopted, the strategy is assigned to an appropriate staff member or team for implementation. The assigned personnel and their specific responsibilities are entered into the risk register. Among the responsibilities of the mitigation team leader is the documentation of the mitigation effort including whether the mitigation was carried out as designed and whether the intended safety objectives were achieved. This information is recorded in the appendix to the risk register for use in subsequent SA activities and to monitor the effectiveness of the SRM program.

## **B. Safety Assurance – 673.27 (a)**

Safety Assurance means processes within the LRCOG/PEX SMS that function to ensure a) the implementation and effectiveness of safety risk mitigation, and b) to ensure that LRCOG/PEX meets or exceeds our safety objectives through the collection, measurement, analysis and assessment of information.

SA helps to ensure early identification of potential safety issues. SA also ensures that safeguards are in place and are effective in meeting LRCOG/PEX's critical safety objectives and contributing towards SPTs.

### **I. Safety Performance Monitoring and Measuring – 673.27 (b)**

As the first step in the LRCOG/PEX SA program, LRCOG/PEX collects and monitors data on safety performance indicators through a variety of mechanisms described in the following sections. Safety performance indicators can provide early warning signs about safety risks. LRCOG/PEX currently relies primarily on lagging indicators representing negative safety outcomes that should be avoided or mitigated in the future. But initiatives are underway to adopt a more robust set of leading indicators that monitor conditions that are likely to contribute to negative outcomes in the future. In addition to the day-to-day monitoring and investigation procedures detailed below LRCOG/PEX will review and document the safety performance monitoring and measuring processes as part of the annual update of this ASP.

#### **MONITORING COMPLIANCE AND SUFFICIENCY OF PROCEDURES – 673.27 (B)(1)**

LRCOG/PEX monitors our system for personnel compliance with operations and maintenance procedures and monitors these procedures for sufficiency in meeting safety objectives. A list of documents describing this safety related operations and maintenance procedures cited in this ASP is provided in Appendix A of this document.

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Supervisors monitor employee compliance with LRCOG/PEX SOPs through direct observation, and review of information from internal reporting systems from both employees and customers.

LRCOG/PEX address non-compliance with standard procedures for operations and maintenance activities through a variety of actions including revision to training materials and delivery of employee and supervisor training if the non-compliance is systemic. If the non-compliance is situational, then activities may include supplemental individualized training, coaching, and heightened management oversight, among other remedies.

Sometimes personnel are fully complying with the procedures, but the operations and maintenance procedures are inadequate and pose the risk of negative safety outcomes. In this case, the cognizant person submits the deficiency or description of the inadequate procedures to the SRM process. Through the SRM process, the SRM team will then evaluate and analyze the potential organizational hazard and assign the identified hazard for mitigation and resolution, as appropriate. The SRM team will also conduct periodic self-evaluation and mitigation of any identified deficiencies in the SRM process itself.

## MONITORING OPERATIONS – 673.27(B)(2)

Department Directors are required to monitor investigation reports of safety events and SRM resolution reports to monitor operations and to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. If it is determined that the safety risk mitigation did not bring the risk to an acceptable level or otherwise failed to meet safety objectives, then the supervisor resubmits the safety risk/hazard to the SRM process. The risk manager will work with the supervisor and subject matter experts to reanalyze the hazard and consequences and identify additional mitigation or alternative approaches to implementing the mitigation.

## II. Safety Event Investigation – 673.27(b)(3)

LRCOG/PEX currently conducts investigations of safety events. From an SA perspective, the objective of the investigation is to identify causal factors of the event to identify actionable strategies that LRCOG/PEX can employ to address any identifiable organizational, technical or environmental hazard at the root cause of the safety event.

LRCOG/PEX AND PEX's current investigation process (based on LRCOG/PEX AND PEX's *Vehicle Accident Report Form* and *Incident/Injury Report Form*) meets current local, state and federal procedural guidelines and requirements, but relies heavily on existing available supporting materials (e.g. driver and witness statements, supervisor reports and police reports, etc.). Over the next year, LRCOG/PEX will begin to develop additional investigative documentation focused on systemic causal factors in order to better inform the SRM process. The investigation procedure will start with the LRCOG/PEX AND PEX's *Vehicle Accident Report Form* and *Incident/Injury Report Form* framework and will be developed to cover all risk assessment. Once fully developed, the document will become the Investigation SOP. The SOP will



include accident investigation documentation procedures as well as risk/hazard investigation procedures. These procedures will be used to investigate risks/hazards identified from multiple sources including the ESRP.

Hazards identified through the investigative process, including previous mitigation in place at the time of the safety event, will be submitted to the SRM process, analyzed, evaluated and if appropriate assigned for mitigation and resolution.

#### MONITORING INTERNAL SAFETY REPORTING PROGRAMS – 673.27(B)(4)

As a primary part of the internal safety reporting program, LRCOG/PEX monitors information reported using the *Vehicle Accident Report* and *Incident/Injury Report Forms*. When a report originating through this process documents a safety hazard, the supervisor submits the hazards identified through the internal reporting process, including previous mitigation in place at the time of the safety event, to the SRM process to be analyzed, evaluated and if appropriate assigned for mitigation and resolution.

#### OTHER SAFETY ASSURANCE INITIATIVES

Because leading indicators can be more useful for safety performance monitoring and measurement than lagging indicators, LRCOG/PEX is undertaking efforts to implement processes to identify and monitor more leading indicators or conditions that have the potential to become or contribute to negative safety outcomes. This may include trend analysis of environmental conditions through monitoring National Weather Service data; monitoring trends toward or away from meeting the identified SPTs; or other indicators as appropriate.

## C. Safety Promotion – 673.29

Management support is essential to developing and implementing SMS. SP includes all aspects of how, why, when and to whom management communicates safety related topics. SP also includes when and how training is provided. The following sections outline both the safety competencies and training that LRCOG/PEX will implement and how safety related information will be communicated.

### I. Safety Competencies and Training – 673.29(a)

LRCOG/PEX provides comprehensive training to all employees regarding each employee's job duties and general responsibilities. This training includes safety responsibilities related to their position. In addition, regular driver safety meetings are held to ensure that safety related information is relayed.

As part of SMS implementation, LRCOG/PEX will be conducting the following activities:

- Conduct a thorough review of all current general staff categories (administrative, driver, supervisor, mechanic, maintenance, etc.) and their safety related responsibilities.
- Assess the training requirements spelled out in 49 CFR Part 672 and the various courses required for different positions (LRCOG/PEX is not subject to the requirements under 49 CFR Part 672, but will

review the training requirements to understand what training is being required of other larger agencies in the event they might be useful).

- Assess the training material available on the FTA PTASP Technical Assistance Center website.
- Review other training material available from industry sources such as the Community Transportation Association of American and the American Public Transportation Association websites.
- Develop a set of competencies and training required to meet the safety related activities for each general staff category.
- Include expectations for ongoing safety training and safety meeting attendance.
- Develop a training matrix to track progress on individuals and groups within the organization.
- Adjust job notices associated with general staff categories to ensure that new personnel understand the safety related competencies and training needs and the safety related responsibilities of the job.
- Include refresher training in all trainings and apply it to agency personnel and contractors.

## II. Safety Communication – 673.29(b)

LRCOG/PEX regularly communicates safety and safety performance information throughout our agency's organization that, at a minimum, conveys information on hazards and safety risks relevant to employees' roles and responsibilities and informs employees of safety actions taken in response to reports submitted through the ESRP (noted in Section 3.A.I) or other means.

LRCOG/PEX reports any safety related information to the Board of Directors at their regular meetings and will begin including safety performance information. In addition, LRCOG/PEX holds regularly scheduled meetings with drivers to ensure that any safety related information is passed along that would affect the execution of their duties. LRCOG/PEX also posts safety related and other pertinent information in a common room for all employees.

- LRCOG/PEX will begin systematically collecting, cataloging and where appropriate, analyzing and reporting safety and performance information to all staff. To determine what information should be reported, how and to whom, LRCOG/PEX will answer the following questions:
- What information does this individual need to do their job?
- How can we ensure the individual understands what is communicated?
- How can we ensure the individual understands what action they must take as a result of the information?
- How can we ensure the information is accurate and kept up to date?
- Are there any privacy or security concerns to consider when sharing information? If so, what should we do to address these concerns?

In addition, LRCOG/PEX will review our current communications strategies and determine if others are needed. As part of this effort, LRCOG/PEX has conducted, and will continue to conduct, a safety culture



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survey to understand how safety is perceived in the workplace and what areas LRCOG/PEX should be addressing to fully implement a safety culture at our agency.

## 5. APPENDIX A

**Table 8: PTASP Supporting Documents**

File Name	Revision Date	Document Name	Document Owner
_protocol_transit_vehicle_accident_incident (1).doc	N/A	LRTP Emergency Response Protocol for Serious Vehicle Accident/Incident	LRCOG/PEX
28 January 2019 Substance Abuse Policy.doc	7/23/2019	Lee-Russell Council of Governments Substance Abuse Policy	LRCOG
2018 TAM Plan Statement.pdf	1/1/2017	ALDOT Subrecipients Transit Asset Management (TAM) Plan Statement	LRCOG
All_hazards.pdf	May 2010	An Introduction to All-Hazards Preparedness for Transit Agencies	FTA
AREA AGENCY ON AGING 20.doc	N/A	Area Agency on Aging	LRCOG/PEX
BYLAWS LRCOG FinalApril07.doc	4/25/2007	Bylaws of the Lee-Russell Council of Governments	LRCOG
incident_report_form (1).doc	N/A	Incident/Injury Report Form	LRCOG/PEX
Lee Co LRPT MOU.pdf	9/26/2012	MOU LRPT Public Transit Agency and Community First Responders	LRCOG/PEX
LRCOG HISTORY.pdf	N/A	LRCOG History	LRCOG
LRCOG Org Chart Color.pdf	Apr-19	Lee-Russell Council of Governments Organizational Chart	LRCOG
MOU Russell Co LRPT/PEX	N/A	MOU LRPT/PEX Public Transit Agency and Community First Responders	LRCOG/PEX
PLANNING AND ECONOMIC DEVELOPMENT2019.doc	N/A	Planning and Economic Development	LRCOG
PUBLIC TRANSIT SYSTEM 2020.docx	N/A	Public Transit System	LRCOG
Risk Reduction Plan 2012.docx	2012	Risk Reduction Plan	LRCOG/PEX
Transit Goals 2020.docm	N/A	Transit Department Division Goals	LRCOG



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vehicle_accident_report_form.doc	N/A	Vehicle Accident Report Form	LRCOG/PEX
LRPT/PEX Passenger Guide March 2018.pdf	LRPT July 2019	LEE-RUSSELL PUBLIC TRANSIT Passenger Guide	LRCOG/PEX
	PEX Paratransit July 2019	PHENIX CITY EXPRESS Fixed Route Passenger Guide	
	PEX Fixed March 2019	PHENIX CITY EXPRESS Paratransit Passenger Guide	

## A. Glossary of Terms

**Accident** means an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision of rail transit vehicles; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.

**Accountable Executive** (typically the highest executive in the agency) means a single, identifiable person who has ultimate responsibility for carrying out the SMS of a public transportation agency, and control or direction over the human and capital resources needed to develop and maintain both the agency's PTASP, in accordance with 49 U.S.C. 5329(d), and the agency's TAM Plan in accordance with 49 U.S.C. 5326.

**Agency leadership and executive management** means members of agency leadership or executive management, other than an Accountable Executive, CSO, or SMS Executive, who have authorities or responsibilities for day-to-day implementation and operation of an agency's SMS.

**Chief Safety Officer (CSO)** 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 CSO may not serve in other operational or maintenance capacities, unless the CSO 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.

**Corrective Maintenance** refers to specific, unscheduled maintenance typically performed to identify, isolate, and rectify a condition or fault so that the failed asset or asset component can be restored to a safe operational condition within the tolerances or limits established for in-service operations.

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



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**Event** means an accident, incident, or occurrence.

**Federal Transit Administration (FTA)** refers to 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, for the purpose of preventing recurrence and mitigating risk.

**Key staff means staff**, groups of staff, or committees to support the Accountable Executive, CSO, or SMS Executive in developing, implementing, and operating the agency's SMS.

**Major Mechanical Failures** are failures caused by vehicle malfunctions or subpar vehicle condition which requires that it be pulled from service.

**National Public Transportation Safety Plan (NSP)** 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).

**Passenger** means a person other than an operator who is on board, boarding, or alighting from a vehicle on a public transportation system for the purpose of travel.

**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 established targets.

**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 FTA.

**Preventive Maintenance** means regular, scheduled, and/or recurring maintenance of assets (equipment and facilities) as required by manufacturer or vendor requirements, typically for the purpose of maintaining assets in satisfactory operating condition. Preventative maintenance is conducted by providing for systematic inspection, detection, and correction of anticipated failures either before they

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occur or before they develop into major defects. Maintenance, including tests, measurements, adjustments, and parts replacement, performed specifically to prevent faults from occurring. The primary goal of maintenance is to avoid or mitigate the consequences of failure of equipment.

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

**Rail Fixed Guideway Public Transportation System** means any fixed guideway system that uses rail, is operated for public transportation, is within the jurisdiction of a State, and is not subject to the jurisdiction of the Federal Railroad Administration, or any such system in engineering or construction. Rail fixed guideway public transportation systems include but are not limited to rapid rail, heavy rail, light rail, monorail, trolley, inclined plane, funicular, and automated guideway.

**Rail Transit Agency** means any entity that provides services on a rail fixed guideway public transportation system.

**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.

**Road Calls** means specific, unscheduled maintenance requiring either the emergency repair or service of a piece of equipment in the field or the towing of the unit to the garage or shop

**Safety Assurance (SA)** means the process within a transit agency's SMS 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 Management Policy (SMP)** 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, data-driven, 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 CSO or an equivalent.

**Safety Objective** means a general goal or desired outcome related to safety.

**Safety Performance** means an organization's safety effectiveness and efficiency, as defined by safety performance indicators and targets, measured against the organization's safety objectives.

**Safety Performance Indicator** refers to a data-driven, quantifiable parameter used for monitoring and assessing safety performance.



**Safety Performance Measure** is an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets.

**Safety Performance Monitoring** means activities aimed at the quantification of an organization's safety effectiveness and efficiency during service delivery operations, through a combination of safety performance indicators and safety performance targets.

**Safety Performance Target (SPT)** means a quantifiable level of performance or condition, expressed as a value for a given performance measure, achieved over a specified timeframe related to safety management activities.

**Safety Promotion (SP)** 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** means the assessed probability and severity of the potential consequence(s) of a hazard, using as reference the worst foreseeable, but credible, outcome.

**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 (SRM)** means a process within a Rail Transit Agency's Safety Plan for identifying hazards, assessing the hazards, and mitigating safety risk.

**Safety risk mitigation** means the activities whereby a public transportation agency controls the probability or severity of the potential consequences of hazards.

**Safety Risk Probability** means the likelihood that a consequence might occur, taking as reference the worst foreseeable—but credible—condition.

**Safety Risk Severity** means the anticipated effects of a consequence, should it materialize, taking as reference the worst foreseeable—but credible—condition.

**Serious Injury** means any injury which:

- Requires hospitalization for more than 48 hours, commencing within seven days from the date of the injury was received;
- Results in a fracture of any bone (except simple fractures of fingers, toes, or nose);
- Causes severe hemorrhages, nerve, muscle, or tendon damage;
- Involves any internal organ; or
- 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 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.

**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 set forth in 49 CFR part 674.

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

**Transit Asset Management (TAM) 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, for the purpose of providing safe, cost-effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR part 625.

**Vehicle Revenue Miles (VRM)** Means the miles that vehicles are scheduled to or travel while in revenue service. Vehicle revenue miles include layover / recovery time and exclude deadhead; operator training; vehicle maintenance testing; and school bus and charter services.

## ***B. Additional Acronyms Used***

**ALDOT** Alabama Department of Transportation

**ASP** Agency Safety Plan

**Board** LRCOG Board of Directors

**ESRP** Employee Safety Reporting System

**LRCOG** Lee-Russell Council of Government

**MAP-21** Moving Ahead for Progress in the 21<sup>st</sup> Century

**MOU** Memorandum of Understanding

**MPO** Metropolitan Planning Organization

**NSP** National Safety Plan

**NTD** National Transit Database

**PA** Project Administrator



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**PEX** Phenix City Express

**SOP** Standard Operating Procedure

**VRM** Vehicle Revenue Mile

# Agency Safety Plan



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## 6. APPENDIX B

### A. Board Resolution



LEE-RUSSELL  
COUNCIL OF GOVERNMENTS

#### RESOLUTION NO. 20-10

#### LEE-RUSSELL PUBLIC TRANSIT (LRPT) AND PHENIX CITY EXPRESS (PEX) PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

WHEREAS, the Board of Directors of Lee-Russell Council of Governments has reviewed the updated Lee-Russell Public Transit (LRPT) and Phenix City Express (PEX) Public Transportation Agency Safety Plan and

WHEREAS, the approval and adoption of the Lee-Russell Public Transit (LRPT) and Phenix City Express (PEX) Public Transportation Agency Safety Plan by the Board of Directors is required by the Alabama Department of Transportation,

WHEREAS, the Board feels that this policy is in the best interest of the public, the transit service and the agency:

NOW, THEREFORE BE IT RESOLVED that the Board of Directors of the Lee-Russell Council of Governments hereby approves and adopts the Lee-Russell Public Transit (LRPT) and Phenix City Express (PEX) Public Transportation Agency Safety Plan

Passed, adopted, and approved the 7th day of May, 2020.

#### CERTIFICATION

The undersigned duly qualified and acting Executive Director of the Lee-Russell Council of Governments certifies that the foregoing is a true and correct copy of a resolution, adopted at a legally convened meeting of the Board of Directors held on May 7, 2020.

Signature:

Lisa Sandt  
Executive Director  
Lee-Russell Council of Governments

Attest:

Donna R. Rowell  
Finance Clerk  
Lee-Russell Council of Governments

Mayor Eddie Lowe, Chairman Lisa Sandt, Executive Director

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