



**ESTUARY TRANSIT DISTRICT  
REGULAR BOARD MEETING**  
ETD Offices, 91 N. Main St, Middletown CT with  
Remote Options  
December 09, 2022 at 10:00 AM

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**AGENDA**

- I. Call to Order — L. Strauss, Chair
- II. Roll Call — T. Griswold, Secretary
- III. Visitors' Comments
- IV. Secretary's Report — T. Griswold
  - [1.](#) Acceptance of Board Meeting Minutes of November 18, 2022
  - [2.](#) Acceptance of Facilities Committee Minutes of November 22, 2022
  - [3.](#) Acceptance of Finance Committee Minutes of December 7, 2022
- V. Communications — T. Griswold
- VI. Treasurer's Report — C. Norz
- VII. Committee Reports
  - [1.](#) Facilities Committee — J. Gay, Co-Chair
  2. Finance Committee — C. Norz, Chair
  - [3.](#) Marketing Committee — L. Strauss, Chair
  4. Legislative Committee — J. Gay, Chair
  5. Transit Advisory Committee — T. Griswold, Chair
  6. Service Study Committee — C. Norz, Chair
  7. Nominating Committee — A. McDonald, Jr., Chair
  8. Personnel Committee — K. Kilduff, Chair
  9. COG Update — J. Comerford
- VIII. Executive Director's Report — J. Comerford
- IX. Transit Planner's Report — B. Geraghty
- X. Finance Director's Report — H. Famiglietti
  - [1.](#) Budget vs. Actual
  - [2.](#) Cash Flow
- XI. Operations Director's Report — J. Whitcomb
  - [1.](#) Ridership
- XII. Maintenance Director's Report — P. Hevrin

XIII. New Business

- [1.](#) 2023-24 Town Dues
- [2.](#) 2023 Schedule of Meetings
- [3.](#) Bus Purchase Resolution
- [4.](#) Approval of PTASP Revision

XIV. Old Business

XV. Chair Comments

XVI. Board Members Comments

XVII. Executive Session for the Purpose of Discussing Strategy for Labor Contract Negotiations

XVIII. Next Meeting — January 13, 2023 at 9:00 AM with Remote Options

XIX. Adjournment

Join Zoom Meeting

<https://us02web.zoom.us/j/89041088382?pwd=ZHVXWmpkMUQ1V3V3ZnlvNFhEN2Fkdz09>

Meeting ID: 890 4108 8382

Passcode: 257072

One tap mobile

+13017158592,,89041088382#,,,,\*257072# US (Washington DC)

+13126266799,,89041088382#,,,,\*257072# US (Chicago)

*Language Assistance is available. If you need assistance, please call Chris at 860-510-0429 ext. 104 at least 48 hours prior to the meeting.*

THESE MINUTES ARE SUBJECT TO APPROVAL AT THE NEXT RVT MEETING

RIVER VALLEY TRANSIT  
REGULAR MEETING  
November 18, 2022  
Middletown Offices and via ZOOM

CALL TO ORDER

The meeting was called to order by Leslie Strauss, Chairman at 9:04 a.m.

ROLL CALL

A quorum was established with the following board members present: Leslie Strauss, Tim Griswold, DG Fitton, Dave Lahm, Joan Gay, Karl Kilduff, Charlie Norz, Beverly Lawrence (left at 10:15 a.m.), and John Hall (arrived at 9:10 a.m.).

Also in attendance: Joe Comerford, Chris Denison, Ennab Mutez, Brendan Geraghty

Absent: Angus McDonald, Jim Irish, Bobbye Knoll Peterson

VISITOR COMMENTS – None.

SECRETARY'S REPORT

Joan Gay made a motion to accept the minutes from the Personnel Committee meeting dated 8/1/22 as presented. Karl Kilduff seconded the motion. The motion passed unanimously.

Charlie Norz made a motion to accept the minutes from the Board meeting dated 10/14/22 as presented. Joan Gay seconded the motion. The motion passed unanimously.

Charlie Norz made a motion to accept the minutes from the Facilities Committee meeting dated 10/25/22 as presented. Karl Kilduff seconded the motion. The motion passed unanimously.

DG Fitton made a motion to accept the minutes from the Board meeting dated 10/31/22 as amended. Charlie Norz seconded the motion. The motion passed unanimously.

Note: Karl Kilduff was in attendance at the 10/31/22 meeting.

COMMUNICATIONS – None.

TREASURER'S REPORT – None.

COMMITTEE REPORTS

Finance Committee – None.

Facilities

Joan reported:

- The Committee met with DOT representatives to discuss a variety of projects including:

- The consultant is working with the Committee relative to the Master Plan. The Plan and the environmental review have been funded.
- Electrification – A consultant has been engaged to review state facilities for power upgrades. The Westbrook property will be included in the review.
- Shoreline Facility – the Old Saybrook site is no longer an option and an alternative site in Westbrook is being pursued (there has been difficulty in contacting the owner of the Westbrook Outlet). The pre-work the District did relative to the shoreline property is helpful to the DOT; however, they do still wish to “walk” the property.

Legislative Committee – The Committee will reach out to the recently elected Legislators to schedule a meeting (after they are sworn in in January) to provide an overview of the District.

Charlie Norz made a motion to accept the Legislative Committee report as presented. Joan Gay seconded the motion. The motion passed unanimously.

Marketing Committee

Copies of the new logo were included in the Board’s packet. The logo will be used in a variety of iterations (website, bus, letterhead, etc.).

The next phase in the Marketing Plan will include the release of the new logo and the re-branding of the District. Note that the District will legally remain the “Estuary Transit District”. “River Valley Transit” is a DBA (Doing Business As) only.

Joe reported that, at this time, MAT remains a legal entity and will remain so until open grants are “closed out”. MAT no longer receives grants, provides services or owns property. It is anticipated that MAT will be dissolved by the end of the current fiscal year.

The Fare Holiday will be marketed.

DG Fitton made a motion to accept the Legislative Committee report as presented. David Lahm seconded the motion the motion passed with Beverly Lawrence opposed to the motion.

EXECUTIVE DIRECTOR’S REPORT

Joe Comerford reported that it is anticipated that the Governor and Legislature will extend the free bus fares until the spring. The exact end date has not yet been determined. The District will continue to hold Public Hearings on potential new fares. The DOT has asked the District to facilitate our Fare Study throughout the State. They will provide funds to expand our current scope of work. The goal is to have one fare throughout the entire state.

DG Fitton made a motion to accept the Executive Director’s Report as presented. John Hall seconded the motion. The motion passed unanimously.

TRANSIT PLANNER’S REPORT

Brendan reported that the Extra Mile program in Middletown will end on 12/18/22 as funding for the pilot program ends. December 18<sup>th</sup> is the last day of Wesleyan’s semester. The program was well utilized, especially on the weekends with Wesleyan students. CARES money funded the program and Wesleyan provided limited funds. We have applied for funding to continue the program but have not yet heard back from DOT. The Old Saybrook Extra Mile program will remain in place.

Over 70 surveys have been returned and have provided favorable feedback. Public Hearings relative to fares are being held throughout the District. Additional questions posed from the public as well as merger information is also being shared at the Public Hearings. Various locations are being visited by staff to discuss the District; i.e. senior centers, libraries and the Chamber of Commerce.

DG Fitton made a motion to accept the Transit Planner's Report as presented. Tim Griswold seconded the motion. The motion passed unanimously.

NEW BUSINESS

Wage Increases –

The final TOD has not yet been received and is expected by the end of the month. The District's ability to hire and retain staff continues to be difficult. Joe recommended adjustments to wages for non-union front-line staff (total cost of approximately \$50,000). The Union contract expires in December and negotiations will begin thereafter.

DG Fitton made a motion to approve the wage increases as presented up to \$50,000 for the current fiscal year. Joan Gay seconded the motion. Discussion followed.

As negotiations are slated to begin in the near future, the Board discussed the possibility of discussing non-union wage increases in Executive Session.

DG Fitton withdrew the above motion.

OLD BUSINESS

Bus Purchase Resolution

Additional action is necessary as prices went up considerably since the Board voted on the original resolution.

Tim Griswold made a motion to add to the agenda rescinding the motion approving Resolution 23-002 (approved at the 10/31/22 meeting). Joan Gay seconded the motion. The motion passed unanimously.

Tim Griswold made a motion to rescind Resolution 23-002. Joan Gay seconded the motion. The motion passed unanimously.

DG Fitton made the following motion:

The Executive Director, Joseph Comerford, hereby is authorized on behalf of the Estuary Transit District, to negotiate and execute all necessary contract documents required to purchase up to eight (8) body-on-chassis buses for the Estuary Transit District from Coach and Equipment in an amount not to exceed \$1,545,000.00. Joan Gay seconded the motion. The motion passed unanimously.

Joan Gay seconded the motion. The motion passed unanimously.

Fare Holiday

Joan Gay made a motion that in the event that the Legislature and/or Governor approve an extension of the Bus Fare Holiday, not to extend beyond 4/1/23, ETD will participate. Charlie Norz seconded the motion. The motion passed unanimously.

OLD BUSINESS – None.

CHAIR COMMENTS

DOT has seen significant staffing changes over the past several months. Joe provided an update on the staffing including various interim positions. We have requested a meeting with Garrett Eucalitto relative to payments and fare reimbursements.

BOARD MEMBER COMMENTS – None.

EXECUTIVE SESSION – None.

Wage Increases (re-visited)

DG Fitton made a motion to authorize the Executive Director, to implement wage increases for non-union staff in an amount not to exceed a total expenditure of \$50,000. Charlie Norz seconded the motion. The motion passed unanimously.

ADJOURNMENT

Tim Griswold made a motion to adjourn the meeting at 10:18 a.m. seconded the motion. DG Fitton seconded the motion. The motion passed unanimously.

Next Meeting – December 9, 2022 – 10:00 a.m. with remote options.

Respectfully Submitted,

Suzanne Helchowski  
Clerk

THESE MINUTES ARE SUBJECT TO APPROVAL AT THE NEXT  
ESTUARY TRANSIT DISTRICT BOARD MEETING

ESTUARY TRANSIT DISTRICT  
FACILITIES COMMITTEE MEETING (**INFORMATIONAL MEETING—NO QUORUM**)  
MTD GARAGE, 91 N. Main Street, Middletown, CT with Remote Options  
TUESDAY, NOVEMBER 22, 2022, AT 2:00 PM.

CALL TO ORDER

The meeting was called to order by Joan Gay, Chair, at 2:01 p.m.

ROLL CALL

Committee members present: Joan Gay

Also in attendance:

Staff: Joe Comerford and Christina Denison

Board Members: Leslie Strauss, ETD Board Chair and Charles Norz, ETD Board Member, Old Saybrook

CT DOT: Graham Curtis, Bus Capital Programs, Asst. Administrator

FACILITIES PLAN WITH DOT

A copy of the Facilities Progress Plan was included in the meeting packet.

Architecture & Engineering

a. *Facilities Master Plan* – Curtis reported:

- Scoping of the Master Plan will be finalized in the coming days. Negotiations will then proceed.
- Arcadis, the energy consultant, has been given notice to proceed and will be visiting the Middletown property in December to review the facility for power upgrades.

Right of Way Acquisition

- a. *Shoreline Facility* –Arrangements are being made to schedule a walkthrough of the property.
- b. *Middletown Terminal Renovation* –No action will be taken until the newly appointed Bureau Chief of Public Transit takes office at the end of the year.
- c. *Environmental Study* - DOT's environmental compliance consultant has completed Phase I (analysis of the former O&G property) of the study. Funds for Phase II which includes additional follow-up soil testing on the N. Main Street property are in place, but the project needs to be funded.

Curtis answered questions from committee members.

EXECUTIVE DIRECTOR'S REPORT

No report.

OLD BUSINESS

None.

NEW BUSINESS

A copy of the 2023 Schedule of Meetings was included in the meeting packet.

NEXT MEETING

The next meeting is scheduled for Tuesday, December 27, 2022, at the MTD Garage, 91 N. Main Street, Middletown at 2:00 p.m. with remote options.

ADJOURNMENT

The meeting was adjourned at 2:12 p.m.

Respectfully submitted,

Christina Denison  
Clerk

THESE MINUTES ARE SUBJECT TO APPROVAL AT THE NEXT  
ESTUARY TRANSIT DISTRICT BOARD MEETING

ESTUARY TRANSIT DISTRICT  
FINANCE COMMITTEE MEETING  
MTD GARAGE, 91 N. Main Street, Middletown, CT with Remote Options  
WEDNESDAY, DECEMBER 7, 2022, AT 9:30 A.M.

CALL TO ORDER

The meeting was called to order by Charles Norz, Chair, at 9:31 a.m.

ROLL CALL

A quorum was established with the following committee members present: Joan Gay, Karl Kilduff and Charles Norz

Also in attendance: Joseph Comerford, Christina Denison, and Halyna Famiglietti

DISCUSSION OF BUDGET VS. ACTUALS

Copies of Budget vs. Actuals were included in the meeting packet.

The budget was reviewed and discussed. There are no issues.

DISCUSSION OF CASH FLOW

Copies of the Cash Flow report were included in the meeting packet.

Famiglietti reported that there had been concerns that the District would have to draw on its Line of Credit due to CTDOT's slow payment schedule. However, CTDOT has made several large payments over the last week and there are currently no concerns regarding cash flow.

OTHER BUSINESS

2023-24 Town Dues – Copies of proposed town dues were included in the meeting packet.

Kilduff made a motion that the Finance Committee recommend the Board approve a three (3) percent increase in town dues for FY23-24. Gay seconded the motion. The motion passed unanimously.

2023 Schedule of Meetings- Copies of the Schedule of Meetings for 2023 were included in the meeting packet.

Kilduff made a motion to approve the 2023 meeting schedule. Gay seconded the motion. The motion passed unanimously.

Other - Famiglietti reported that the auditors have filed an extension for the FY21-22 audit.

ADJOURNMENT

Gay made a motion to adjourn the meeting at 10:13 a.m. Kilduff seconded the motion. The motion passed unanimously.

Respectfully submitted,

Christina Denison  
Clerk

# FACILITIES PLAN

## FACILITIES UPDATE

- ▶ A walkthrough regarding wetlands review for the Westbrook shoreline facility will be scheduled for December.
- ▶ No action on the Middletown terminal renovation will take place until the newly appointed Bureau Chief of Public Transit takes office.
- ▶ The Environmental Compliance Consultant has completed Phase I (analysis of the N. Main Street, Middletown property). Phase II needs funding.

## FACILITIES MASTER PLAN

- ▶ Scoping of the Master Plan in Westbrook and the two sites in Middletown to be finalized after which negotiations will begin.



## ELECTRIFICATION

- ▶ The Energy consultant will review the Middletown facility for power upgrades in December.



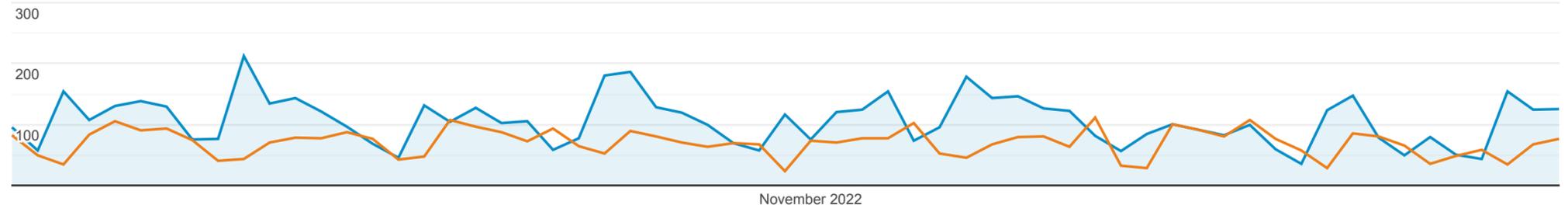
Board Report

All Users  
 +0.00% Sessions

Oct 1, 2022 - Nov 30, 2022  
 Compare to: Oct 1, 2021 - Nov 30, 2021

Report Tab

Oct 1, 2022 - Nov 30, 2022: Sessions  
 Oct 1, 2021 - Nov 30, 2021: Sessions



Mobile (Including Tablet)	Sessions ↓	Users	% New Sessions	Pageviews	Session Duration	Organic Searches
	<b>52.01%</b> ↑ 6,453 vs 4,245	<b>56.61%</b> ↑ 4,382 vs 2,798	<b>4.37%</b> ↑ 64.93% vs 62.21%	<b>26.84%</b> ↑ 10,308 vs 8,127	<b>25.86%</b> ↑ 180:56:24 vs 143:45:34	<b>28.71%</b> ↑ 1,892 vs 1,470
1. Yes						
Oct 1, 2022 - Nov 30, 2022	<b>3,633</b> (56.30%)	<b>2,077</b> (47.39%)	<b>54.53%</b>	<b>5,545</b> (53.79%)	<b>122:08:25</b> (67.50%)	<b>1,212</b> (64.06%)
Oct 1, 2021 - Nov 30, 2021	<b>2,231</b> (52.56%)	<b>1,350</b> (48.25%)	<b>57.33%</b>	<b>3,746</b> (46.09%)	<b>75:30:08</b> (52.52%)	<b>916</b> (62.31%)
<b>% Change</b>	<b>62.84%</b>	<b>53.85%</b>	<b>-4.89%</b>	<b>48.02%</b>	<b>61.77%</b>	<b>32.31%</b>
2. No						
Oct 1, 2022 - Nov 30, 2022	<b>2,820</b> (43.70%)	<b>2,306</b> (52.61%)	<b>78.33%</b>	<b>4,763</b> (46.21%)	<b>58:47:59</b> (32.50%)	<b>680</b> (35.94%)
Oct 1, 2021 - Nov 30, 2021	<b>2,014</b> (47.44%)	<b>1,448</b> (51.75%)	<b>67.63%</b>	<b>4,381</b> (53.91%)	<b>68:15:26</b> (47.48%)	<b>554</b> (37.69%)
<b>% Change</b>	<b>40.02%</b>	<b>59.25%</b>	<b>15.83%</b>	<b>8.72%</b>	<b>-13.86%</b>	<b>22.74%</b>

Rows 1 - 2 of 2



**Audience Overview**

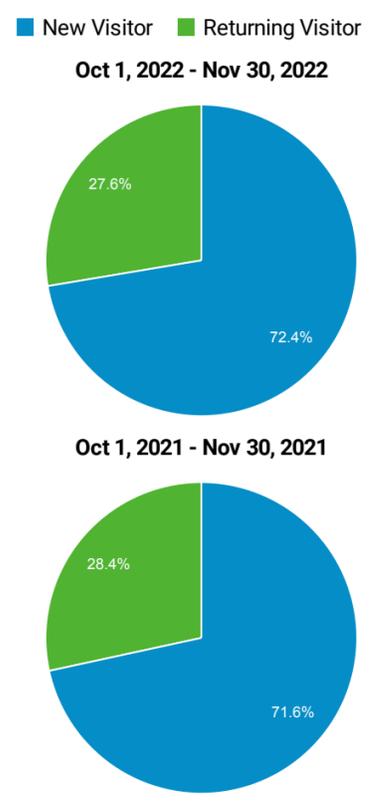

**All Users**  
 +0.00% Users

Oct 1, 2022 - Nov 30, 2022  
Compare to: Oct 1, 2021 - Nov 30, 2021

**Overview**



<b>Users</b> <b>35.02%</b> 6,474 vs 4,795	<b>New Users</b> <b>34.57%</b> 5,855 vs 4,351	<b>Sessions</b> <b>39.26%</b> 18,516 vs 13,296	<b>Number of Sessions per User</b> <b>3.14%</b> 2.86 vs 2.77
<b>Pageviews</b> <b>27.77%</b> 41,001 vs 32,089	<b>Pages / Session</b> <b>-8.25%</b> 2.21 vs 2.41	<b>Avg. Session Duration</b> <b>-8.03%</b> 00:02:23 vs 00:02:35	<b>Bounce Rate</b> <b>-0.40%</b> 50.10% vs 50.30%



Language	Users	% Users
<b>1. en-us</b>		
Oct 1, 2022 - Nov 30, 2022	6,113	94.37%
Oct 1, 2021 - Nov 30, 2021	4,581	95.46%
<b>% Change</b>	<b>33.44%</b>	<b>-1.14%</b>
<b>2. c</b>		
Oct 1, 2022 - Nov 30, 2022	93	1.44%
Oct 1, 2021 - Nov 30, 2021	7	0.15%
<b>% Change</b>	<b>1,228.57%</b>	<b>884.23%</b>
<b>3. en-gb</b>		
Oct 1, 2022 - Nov 30, 2022	61	0.94%
Oct 1, 2021 - Nov 30, 2021	42	0.88%
<b>% Change</b>	<b>45.24%</b>	<b>7.59%</b>
<b>4. es-us</b>		
Oct 1, 2022 - Nov 30, 2022	30	0.46%
Oct 1, 2021 - Nov 30, 2021	26	0.54%
<b>% Change</b>	<b>15.38%</b>	<b>-14.52%</b>
<b>5. es-419</b>		
Oct 1, 2022 - Nov 30, 2022	26	0.40%
Oct 1, 2021 - Nov 30, 2021	8	0.17%
<b>% Change</b>	<b>225.00%</b>	<b>140.76%</b>
<b>6. en</b>		
Oct 1, 2022 - Nov 30, 2022	23	0.36%
Oct 1, 2021 - Nov 30, 2021	46	0.96%
<b>% Change</b>	<b>-50.00%</b>	<b>-62.96%</b>
<b>7. tr-tr</b>		

7. <a href="#">fr-fr</a>	Oct 1, 2022 - Nov 30, 2022	20	0.31%
	Oct 1, 2021 - Nov 30, 2021	0	0.00%
	<b>% Change</b>	<b>100.00%</b>	<b>100.00%</b>
8. <a href="#">en-ca</a>			
	Oct 1, 2022 - Nov 30, 2022	19	0.29%
	Oct 1, 2021 - Nov 30, 2021	14	0.29%
	<b>% Change</b>	<b>35.71%</b>	<b>0.54%</b>
9. <a href="#">zh-cn</a>			
	Oct 1, 2022 - Nov 30, 2022	12	0.19%
	Oct 1, 2021 - Nov 30, 2021	18	0.38%
	<b>% Change</b>	<b>-33.33%</b>	<b>-50.61%</b>
10. <a href="#">en-in</a>			
	Oct 1, 2022 - Nov 30, 2022	7	0.11%
	Oct 1, 2021 - Nov 30, 2021	5	0.10%
	<b>% Change</b>	<b>40.00%</b>	<b>3.71%</b>

Section VII, Item 3.

	ESTUARY TRANSIT DISTRICT-GRANT TOTAL		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ 92,781	\$ 284,150	33%
URBAN CARES ACT	\$ 267,022	\$ 859,600	31%
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ 359,803</b>	<b>\$ 1,143,750</b>	<b>31%</b>
<b>EXPENSES</b>			
LABOR	\$ 672,431	\$ 2,820,000	24%
FRINGE BENEFITS	\$ 259,924	\$ 1,011,500	26%
PROFESSIONAL SERVICES	\$ 168,816	\$ 448,600	38%
MATERIALS & SUPPLIES	\$ 27,187	\$ 103,700	26%
RENT&UTILITIES	\$ 56,523	\$ 244,500	23%
INSURANCE	\$ 41,055	\$ 86,400	48%
MAINTENANCE	\$ 81,414	\$ 631,500	13%
FUEL	\$ 204,724	\$ 783,500	26%
MISCELLANEOUS EXPENSE	\$ 10,377	\$ 90,800	11%
PARK CONNECT	\$ 27,683	\$ 40,500	68%
PURCHASE TRANSPORTATION	\$ 678	\$ 25,000	3%
<b>TOTAL EXPENSES</b>	<b>\$ 1,550,810</b>	<b>\$ 6,286,000</b>	<b>25%</b>

<b>DEFICIT</b>	<b>\$ (1,191,007)</b>	<b>\$ (5,142,250)</b>
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<b>DOT</b>	<b>\$ 1,099,087</b>	<b>\$ 4,438,850</b>
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<b>LOCAL</b>	<b>\$ 104,658</b>	<b>\$ 703,400</b>
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<b>Surplus/(Deficit)</b>	<b>\$ 12,738</b>	<b>\$ -</b>
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	FIXED ROUTE 5307		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ 79,858	\$ 226,500	35%
URBAN CARES ACT	\$ 177,591	\$ 242,600	73%
RURAL CARE ACT			0%
<b>TOTAL REVENUE</b>	<b>\$ 257,449</b>	<b>\$ 469,100</b>	<b>55%</b>
<b>EXPENSES</b>			
LABOR	\$ 469,529	\$ 1,725,000	27%
FRINGE BENEFITS	\$ 190,892	\$ 623,750	31%
PROFESSIONAL SERVICES	\$ 128,515	\$ 285,750	45%
MATERIALS & SUPPLIES	\$ 18,856	\$ 63,000	30%
RENT&UTILITIES	\$ 46,609	\$ 156,000	30%
INSURANCE	\$ 34,398	\$ 53,000	65%
MAINTENANCE	\$ 51,296	\$ 385,000	13%
FUEL	\$ 157,975	\$ 475,000	33%
MISCELLANEOUS EXPENSE	\$ 7,228	\$ 53,500	14%
PARK CONNECT	\$ 27,683	\$ 40,500	68%
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 1,132,981</b>	<b>\$ 3,860,500</b>	<b>29%</b>

25%

<b>DEFICIT</b>	<b>\$ (875,532)</b>	<b>\$ (3,391,400)</b>
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<b>DOT</b>	<b>\$ 782,907</b>	<b>\$ 3,020,900</b>
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<b>LOCAL</b>	<b>\$ 92,625</b>	<b>\$ 370,500</b>
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<b>Surplus/(Deficit)</b>	<b>\$ -</b>	<b>\$ -</b>
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	NEW FREEDOM 5310		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ -	\$ 8,500	0%
URBAN CARES ACT			
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ -</b>	<b>\$ 8,500</b>	<b>0%</b>
<b>EXPENSES</b>			
LABOR	\$ 32,343	\$ 149,500	22%
FRINGE BENEFITS	\$ 12,387	\$ 52,250	24%
PROFESSIONAL SERVICES	\$ 7,242	\$ 23,500	31%
MATERIALS & SUPPLIES	\$ 511	\$ 6,000	9%
RENT&UTILITIES	\$ 1,228	\$ 13,750	9%
INSURANCE	\$ 492	\$ 4,750	10%
MAINTENANCE	\$ 4,001	\$ 29,500	14%
FUEL	\$ 9,558	\$ 46,500	21%
MISCELLANEOUS EXPENSE	\$ -	\$ 4,750	0%
PARK CONNECT			
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 67,762</b>	<b>\$ 330,500</b>	<b>21%</b>

25%

<b>DEFICIT</b>	<b>\$ (67,762)</b>	<b>\$ (322,000)</b>
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<b>DOT</b>	<b>\$ 80,500</b>	<b>\$ 322,000</b>
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<b>LOCAL</b>	<b>\$ -</b>	<b>\$ -</b>
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<b>Surplus/(Deficit)</b>	<b>\$ 12,738</b>	<b>\$ -</b>
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	MADISON/MIDDLETOWN (RT.81)		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ -	\$ 2,100	0%
URBAN CARES ACT	\$ 32,156	\$ 184,000	17%
RURAL CARE ACT		\$ -	0%
<b>TOTAL REVENUE</b>	<b>\$ 32,156</b>	<b>\$ 186,100</b>	<b>17%</b>
<b>EXPENSES</b>			
LABOR	\$ 16,044	\$ 76,000	21%
FRINGE BENEFITS	\$ 5,454	\$ 26,250	21%
PROFESSIONAL SERVICES	\$ 1,138	\$ 11,000	10%
MATERIALS & SUPPLIES	\$ 158	\$ 3,000	5%
RENT&UTILITIES	\$ 314	\$ 6,750	5%
INSURANCE	\$ 500	\$ 2,600	19%
MAINTENANCE	\$ 3,434	\$ 18,250	19%
FUEL	\$ 4,959	\$ 38,000	13%
MISCELLANEOUS EXPENSE	\$ 157	\$ 4,250	4%
PARK CONNECT			
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 32,156</b>	<b>\$ 186,100</b>	<b>17%</b>

25%

<b>DEFICIT</b>	\$ -	\$ -
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<b>DOT</b>	\$ -	\$ -
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<b>LOCAL</b>	\$ -	\$ -
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<b>Surplus/(Deficit)</b>	\$ -	\$ -
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	RURAL 5311		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ 6,000	\$ 10,650	56%
URBAN CARES ACT			
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ 6,000</b>	<b>\$ 10,650</b>	<b>56%</b>
<b>EXPENSES</b>			
LABOR	\$ 37,716	\$ 265,500	14%
FRINGE BENEFITS	\$ 13,170	\$ 95,000	14%
PROFESSIONAL SERVICES	\$ 8,473	\$ 41,000	21%
MATERIALS & SUPPLIES	\$ 1,572	\$ 10,500	15%
RENT&UTILITIES	\$ 2,917	\$ 23,750	12%
INSURANCE	\$ 2,428	\$ 8,000	30%
MAINTENANCE	\$ 3,622	\$ 63,000	6%
FUEL	\$ 6,199	\$ 78,000	8%
MISCELLANEOUS EXPENSE	\$ 683	\$ 10,750	6%
PARK CONNECT			
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 76,780</b>	<b>\$ 595,500</b>	<b>13%</b>

25%

<b>DEFICIT</b>	<b>\$ (70,780)</b>	<b>\$ (584,850)</b>
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<b>DOT</b>	<b>\$ 58,747</b>	<b>\$ 364,850</b>
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<b>LOCAL</b>	<b>\$ 12,033</b>	<b>\$ 220,000</b>
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<b>Surplus/(Deficit)</b>	<b>\$ -</b>	<b>\$ -</b>
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	MGP/ADA/DAR		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ 5,688	\$ 23,900	24%
URBAN CARES ACT			
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ 5,688</b>	<b>\$ 23,900</b>	<b>24%</b>
<b>EXPENSES</b>			
LABOR	\$ 87,439	\$ 392,500	22%
FRINGE BENEFITS	\$ 28,583	\$ 138,250	21%
PROFESSIONAL SERVICES	\$ 20,729	\$ 60,050	35%
MATERIALS & SUPPLIES	\$ 4,060	\$ 15,700	26%
RENT&UTILITIES	\$ 4,906	\$ 31,250	16%
INSURANCE	\$ 3,237	\$ 13,750	24%
MAINTENANCE	\$ 13,925	\$ 92,500	15%
FUEL	\$ 17,355	\$ 92,000	19%
MISCELLANEOUS EXPENSE	\$ 2,034	\$ 12,900	16%
PARK CONNECT			
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 182,268</b>	<b>\$ 848,900</b>	<b>21%</b>

25%

<b>DEFICIT</b>	<b>\$ (176,580)</b>	<b>\$ (825,000)</b>
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<b>DOT</b>	<b>\$ 176,580</b>	<b>\$ 712,100</b>
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<b>LOCAL</b>	<b>\$ -</b>	<b>\$ 112,900</b>
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<b>Surplus/(Deficit)</b>	<b>\$ -</b>	<b>\$ -</b>
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	X-MILE		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE			
URBAN CARES ACT	\$ 57,275	\$ 433,000	13%
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ 57,275</b>	<b>\$ 433,000</b>	<b>13%</b>
<b>EXPENSES</b>			
LABOR	\$ 29,360	\$ 211,500	14%
FRINGE BENEFITS	\$ 9,438	\$ 76,000	12%
PROFESSIONAL SERVICES	\$ 1,809	\$ 20,800	9%
MATERIALS & SUPPLIES	\$ 2,030	\$ 5,500	37%
RENT&UTILITIES	\$ 549	\$ 13,000	4%
INSURANCE	\$ -	\$ 4,300	0%
MAINTENANCE	\$ 5,136	\$ 43,250	12%
FUEL	\$ 8,678	\$ 54,000	16%
MISCELLANEOUS EXPENSE	\$ 275	\$ 4,650	6%
PARK CONNECT			
PURCHASE TRANSPORTATION			
<b>TOTAL EXPENSES</b>	<b>\$ 57,275</b>	<b>\$ 433,000</b>	<b>13%</b>

25%

<b>DEFICIT</b>	\$ -	\$ -
<b>DOT</b>	\$ -	\$ -
<b>LOCAL</b>	\$ -	\$ -
<b>Surplus/(Deficit)</b>	\$ -	\$ -

	TAXI VOUCHER		
	For the Period July 1, 2022 to September 30, 2022		
	YTD ACTUAL	BUDGET AMOUNT	YTD % of BUDGET
<b>REVENUE</b>			
FAREBOX REVENUE	\$ 1,235	\$ 12,500	10%
URBAN CARES ACT			
RURAL CARE ACT			
<b>TOTAL REVENUE</b>	<b>\$ 1,235</b>	<b>\$ 12,500</b>	<b>10%</b>
<b>EXPENSES</b>			
LABOR			
FRINGE BENEFITS			
PROFESSIONAL SERVICES	\$ 910	\$ 6,500	14%
MATERIALS & SUPPLIES			
RENT&UTILITIES			
INSURANCE			
MAINTENANCE			
FUEL			
MISCELLANEOUS EXPENSE			
PARK CONNECT			
<b>PURCHASE TRANSPORTATION</b>	<b>\$ 678</b>	<b>\$ 25,000</b>	<b>3%</b>
<b>TOTAL EXPENSES</b>	<b>\$ 1,588</b>	<b>\$ 31,500</b>	<b>5%</b>

25%

<b>DEFICIT</b>	<b>\$ (353)</b>	<b>\$ (19,000)</b>
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<b>DOT</b>	<b>\$ 353</b>	<b>\$ 19,000</b>
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<b>LOCAL</b>	<b>\$ -</b>	<b>\$ -</b>
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<b>Surplus/(Deficit)</b>	<b>\$ -</b>	<b>\$ -</b>
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**STATEMENT OF CASH FLOWS**  
**Wednesday, December 7, 2022**

<b>Combined Transit DistrictS</b>	
<b>Operating Checking</b>	<b>\$ 1,251,304</b>
<b>Payroll Checking</b>	<b>\$ 68,003</b>
<b>Capital Checking</b>	<b>\$ 121,415</b>
<b>Savings</b>	<b>\$ 2,883</b>
<b>BALANCE TOTAL</b>	<b>\$ 1,443,605</b>

<b>Account Payable</b>	<b>Dec-22</b>	<b>Jan-23</b>	<b>Feb-23</b>
<b>Payroll</b>	<b>\$ 112,250</b>	<b>\$ 224,500</b>	<b>\$ 224,500</b>
<b>Benefits</b>	<b>\$ 45,000</b>	<b>\$ 80,000</b>	<b>\$ 80,000</b>
<b>CIRMA</b>	<b>\$ 75,555</b>	<b>\$ 7,555</b>	<b>\$ 7,555</b>
<b>Fuel</b>	<b>\$ 45,000</b>	<b>\$ 65,500</b>	<b>\$ 65,500</b>
<b>Management Services</b>	<b>\$ 19,695</b>	<b>\$ 19,695</b>	<b>\$ 19,695</b>
<b>Services</b>	<b>\$ 20,750</b>	<b>\$ 30,750</b>	<b>\$ 30,750</b>
<b>Vehicle Maintenance and Repairs</b>	<b>\$ -</b>	<b>\$ 27,000</b>	<b>\$ 27,000</b>
<b>Rent &amp;Utilities</b>	<b>\$ -</b>	<b>\$ 20,500</b>	<b>\$ 20,500</b>
<b>Insurance</b>	<b>\$ -</b>	<b>\$ 10,000</b>	<b>\$ 10,000</b>
<b>Other Monthly Expenses</b>	<b>\$ 5,500</b>	<b>\$ 10,500</b>	<b>\$ 10,500</b>
<b>TOTAL EXPENSES</b>	<b>\$ 323,750</b>	<b>\$ 496,000</b>	<b>\$ 496,000</b>

<b>Account Receivable</b>			
<b>CT DOT FY21 All Grants</b>	<b>\$ 45,531</b>	<b>\$ -</b>	<b>\$ -</b>
<b>CT DOT FY22 All Grants</b>	<b>\$ 45,658</b>	<b>\$ -</b>	<b>\$ -</b>
<b>RURAL Care Act (DOT)</b>	<b>\$ 7,500</b>	<b>\$ 7,500</b>	<b>\$ 7,500</b>
<b>URBAN Care Act (FTA)</b>	<b>\$ 12,815</b>	<b>\$ 25,000</b>	<b>\$ 25,000</b>
<b>FIXED 5307</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 686,473</b>
<b>MGP Grant</b>	<b>\$ 127,300</b>	<b>\$ -</b>	<b>\$ 63,650</b>
<b>DAR</b>	<b>\$ 56,166</b>	<b>\$ -</b>	<b>\$ 28,085</b>
<b>ADA</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 65,599</b>
<b>RURAL 5311</b>	<b>\$ -</b>	<b>\$ 18,500</b>	<b>\$ 18,500</b>
<b>New Freedom 5310</b>	<b>\$ 82,673</b>	<b>\$ 27,500</b>	<b>\$ 27,500</b>
<b>Madison/Middletown (RT.81)</b>	<b>\$ 21,275</b>	<b>\$ 15,500</b>	<b>\$ 15,500</b>
<b>X-Mile</b>	<b>\$ 37,457</b>	<b>\$ 25,500</b>	<b>\$ 25,500</b>
<b>Town Dues (Jan.2023)</b>	<b>\$ 135,241</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Middlesex Hospital</b>	<b>\$ -</b>	<b>\$ 3,950</b>	<b>\$ 3,950</b>
<b>TOTAL REVENUE</b>	<b>\$ 571,616</b>	<b>\$ 123,450</b>	<b>\$ 967,257</b>

<b>Cash at the beginning of the period</b>	<b>\$ 1,443,605</b>	<b>\$ 1,691,471</b>	<b>\$ 1,318,921</b>
<b>Cash at the end of the period</b>	<b>\$ 1,691,471</b>	<b>\$ 1,318,921</b>	<b>\$ 1,790,178</b>

## 641 Old Saybrook - Madison

	January	February	March	April	May	June	July	August	September	October	November	December	Total	Change
2017	4818	4677	5464	4821	5353	5328	4816	5087	4427	4618	4344	3965	57718	-14%
2018	4116	4122	4341	4531	4912	4629	4789	5154	4282	5252	4355	3747	54230	-6%
2019	4213	3961	4358	4396	4631	3902	4021	3892	3639	3970	3222	2919	47124	-13%
2020	3525	3450	2346	568	648	1126	1546	1831	2313	2317	1683	1466	22819	-52%
2021	1502	1422	1872	1943	2186	2533	2752	2754	3239	3122	3102	2766	29193	28%
2022	2260	2660	2873	3638	3484	3753	3769	3848	3825	3954	3793		37857	
	50%	87%	53%	87%	59%	48%	37%	40%	18%	35%	84%	89%		
	-36%	-23%	-34%	-20%	-25%	-4%	-6%	-1%	-11%	-21%	-4%	-5%		

## 642 Chester

	January	February	March	April	May	June	July	August	September	October	November	December	Total	Change
2017	747	717	647	625	691	687	625	570	599	646	591	638	7783	-9%
2018	512	502	570	553	603	513	504	531	571	532	500	554	6445	-17%
2019	586	605	641	575	588	418	414	430	456	461	396	348	5918	-8%
2020	362	319	269	132	168	294	357	438	355	473	209	206	3582	-39%
2021	230	146	222	300	349	346	433	378	420	440	404	398	4066	14%
2022	287	289	344	351	388	394	424	411	408	606	434		4336	
	25%	98%	55%	17%	11%	14%	-2%	9%	-3%	38%	7%	93%		
	-21%	-9%	28%	-39%	-34%	-6%	2%	-4%	-11%	31%	10%	14%		

## 643 New London

	January	February	March	April	May	June	July	August	September	October	November	December	Total	Change
2017	641	582	675	619	678	643	564	684	588	574	537	442	7227	-26%
2018	430	508	502	492	565	541	644	654	583	775	629	595	6918	-4%
2019	582	535	661	632	709	616	527	622	445	562	448	422	6761	-2%
2020	485	436	466	260	266	394	456	412	404	467	343	343	4732	-30%
2021	359	273	393	377	361	417	505	504	467	356	282	309	4603	-3%
2022	269	269	325	338	279	430	436	577	477	578	576		4554	
	-25%	-1%	-17%	-10%	-23%	3%	-14%	14%	2%	62%	104%	-10%		
	-45%	-38%	-30%	-47%	-61%	-30%	-17%	-7%	7%	3%	29%	-27%		

644 Old Saybrook - Middletown

	January	February	March	April	May	June	July	August	September	October	November	December		
2017	700	622	647	709	787	710	631	850	909	980	801	688	9034	-9%
2018	662	721	732	776	816	737	750	801	732	844	645	543	8759	-3%
2019	613	645	656	642	592	474	539	591	609	760	584	452	7157	-18%
2020	513	526	367	151	148	227	315	307	340	390	261	208	3753	-48%
2021	194	139	219	305	281	303	301	355	404	378	409	334	3622	-3%
2022	278	379	418	415	443	541	551	528	526	459	456		4994	
	43%	173%	91%	36%	58%	79%	83%	49%	30%	21%	11%	61%		-100%
	-46%	-28%	14%	-35%	-25%	14%	2%	-11%	-14%	-40%	-22%	-26%		

645 Madison - Middletown

	January	February	March	April	May	June	July	August	September	October	November	December		
2018								22	113	197	177	187	696	
2019	227	246	291	365	271	224	286	318	333	254	215	157	3187	
2020	237	220	194	124	154	200	222	226	215	239	319	306	2656	
2021	232	212	281	302	291	269	323	261	324	275	360	358	3488	
2022	252	290	360	445	419	597	494	551	436	369	426		4639	
	9%	37%	28%	47%	44%	122%	53%	111%	35%	34%	18%	17%		
						167%	73%	73%	31%	45%	98%	128%		

Shoreline Routes Total

	January	February	March	April	May	June	July	August	September	October	November	December		
2019	6221	5992	6607	6610	6791	5634	5787	5853	5482	6007	4865	4298	70147	
2020	5122	4951	3642	1235	1384	2241	2896	3214	3627	3886	2815	2529	37542	
2021	2517	2192	2987	3227	3468	3868	4314	4252	4854	4571	4557	4165	44972	
2022	3346	3887	4320	5187	5013	5715	5674	5915	5672	5966	5685	0	56380	
	33%	77%	45%	61%	45%	48%	32%	39%	17%	31%	25%			
	-46%	-35%	-35%	-22%	-26%	1%	-2%	1%	3%	-1%	17%			

581 Saybrook Rd (Mon - Sat)

	January	February	March	April	May	June	July	August	September	October	November	December		
2022						4357	4423	4817	4707	5011	4934		28249	

582 Wesleyan Hills (Mon - Fri)

	January	February	March	April	May	June	July	August	September	October	November	December		
2022						1594	1502	2090	1993	1893	2178		11250	



Clinton Trolley

	January	February	March	April	May	June	July	August	September	October	November	December			
2019							68	245	528	0	0	0	0	841	
2020	0	0	0	0	0	0	7	46	73	41	0	0	0	167	-80%
2021	0	0	0	0	0	18	287	479	452	101	0	0	0	1337	701%
2022	0	0	0	0	0	41	284	199	148	96	0	0	0	768	
						128%	-1%	-58%	-67%	-5%					

Madison Shuttle

	January	February	March	April	May	June	July	August	September	October	November	December		
2021						5	86	97	65	18	0	0	0	271
2022						34	13	29	9	15	0	0	0	100
						580%	-85%	-70%	-86%	-17%				

XtraMile

	January	February	March	April	May	June	July	August	September	October	November	December		
2019						268	496	731	813	904	1049	1033	848	6142
2020	1019	1108	852	595	670	821	876	885	925	1073	904	1,068	10796	
2021	853	869	1130	1218	1149	1294	1447	1391	1501	1566	1554	1,566	15538	
2022	1393	1724	1954	1955	1918	2047	2029	2108	2965	3206	3112		24411	
	63%	98%	73%	61%	67%	58%	40%	52%	98%	105%	72%	47%		
							20,598							
							12244							

Dial-A-Ride

	January	February	March	April	May	June	July	August	September	October	November	December		
2017	818	678	932	750	805	736	765	813	748	753	731	646	9175	-10%
2018	713	768	785	948	1417	1020	931	957	698	999	880	932	11048	20%
2019	1212	1141	1198	1343	1272	1022	1138	1026	915	1099	866	779	13011	18%
2020	999	934	560	200	209	276	346	272	468	616	286	536	5702	-56%
2021	593	504	800	731	661	631	559	589	916	753	692	715	8144	43%
2022	606	661	829	746	750	709	856	834	754	690	722		8157	
	2%	31%	4%	2%	13%	12%	53%	42%	-18%	22%	142%	33%		
	-100%	-73%	-45%	-80%	-70%	-44%	-33%	-23%	-21%					
						8525	6444				1493			

ADA

	January	February	March	April	May	June	July	August	September	October	November	December	
2019	0	0	0	0	0	0	7	13	42	49	51	46	208
2020	42	19	16	2	11	18	28	34	71	81	61	65	448
2021	69	47	81	76	110	112	75	97	173	186	186	273	1485
2022	216	168	193	167	204	223	1265	1099	740	994	1006		6275
	213%	257%	138%	120%	85%	99%	1587%	1033%	328%	130%	205%	320%	

**Monthly Totals**

	January	February	March	April	May	June	July	August	September	October	November	December	Total	
2017	7724	7276	8365	7524	8314	8104	7401	8004	7271	7571	7004	6379	90937	-14%
2018	6433	6621	6930	7300	8313	7440	7618	8119	6979	8599	7186	6558	88096	-3%
2019	7439	7141	7806	7956	8335	7221	7918	8246	7364	8215	6826	5981	90448	3%
2020	7188	7020	5071	2035	2278	3364	4202	4491	5153	5667	4077	4207	54753	-39%
2021	4044	3612	4998	5252	5411	6278	6971	6846	7563	7076	6989	6719	71,759	31%
2022	5561	6440	7296	8055	7960	8977	33044	36574	36837	36996	37269	0	225,009	
	38%	78%	46%	53%	47%	43%	22%	26%	25%	30%	34%	60%		

## 2023-2024 Proposed Town Dues

Town	FY 22-23	FY 23-24	
	Current	3%	Increases(\$)
CHESTER	\$ 7,955	\$ 8,195	\$ 240
CLINTON	\$ 46,240	\$ 47,625	\$ 1,385
CROMWELL	\$ 4,120	\$ 4,245	\$ 125
DEEP RIVER	\$ 11,050	\$ 11,380	\$ 330
DURHAM	\$ 19,290	\$ 19,870	\$ 580
EAST HAMPTON	\$ 55,535	\$ 57,200	\$ 1,665
ESSEX	\$ 21,245	\$ 21,885	\$ 640
KILLINGWORTH	\$ 10,060	\$ 10,365	\$ 305
LYME	\$ 3,485	\$ 3,590	\$ 105
MADISON	\$ 3,600	\$ 3,710	\$ 110
MIDDLEFIELD	\$ 17,190	\$ 17,705	\$ 515
MIDDLETOWN	\$ 397,275	\$ 409,195	\$ 11,920
OLD LYME	\$ 16,695	\$ 17,195	\$ 500
OLD SAYBROOK	\$ 32,800	\$ 33,785	\$ 985
PORTLAND	\$ 40,550	\$ 41,770	\$ 1,220
WESTBROOK	\$ 16,310	\$ 16,800	\$ 490
<b>TOTAL</b>	<b>\$ 703,400</b>	<b>\$ 724,515</b>	<b>\$ 21,115</b>



# Estuary Transit District

Section XIII, Item 2.

**Executive Board**  
*Leslie Strauss, Chairman*  
*Joan Gay, Vice Chairman*  
*Charles Norz, Treasurer*  
*Timothy Griswold, Secretary*

91 N. Main Street • Middletown, Connecticut 06457  
Telephone (860) 510-0429

**Members**  
*DG Fitton*  
*John Hall*  
*James Irish*  
*Karl Kilduff*  
*Bobbye Knoll-Peterson*  
*David Lahm*  
*Beverly Lawrence*  
*Angus McDonald*

## 2023 Schedule of Regular Meetings

The following is a schedule of regular meetings of the Board of Directors of the Estuary Transit District for the 2023 calendar year, filed in accordance of Connecticut General Statute 14 Sec 1-225 b. The Estuary Transit District meets on the second Friday of every month at 9:00 AM.

- January 13, 2023
- February 10, 2023
- March 10, 2023
- April 14, 2023
- May 12, 2023
- June 9, 2023
- July 14, 2023
- August 11, 2023
- September 8, 2023
- October 13, 2023
- November 17, 2023\*
- December 8, 2023\*\*

**Location:** Estuary Transit District, Conference Room  
91 N. Main Street  
Middletown, CT 06457

\*November meeting will be held on the third Friday of the month due to Veteran’s Day holiday falling on the second Friday

\*\*December 8, 2023, meeting will be held at 10:00 AM



**PUBLIC TRANSPORTATION AGENCY SAFETY PLAN (PTASP)**

Developed by: Connecticut Department of Transportation

Mandated by: Federal Transit Administration

Implemented by: Estuary Transit District

Effective Date: July 20, 2020

This safety plan makes reference to DOT 49 CFR Part 673.

The web address for the referenced regulations is: [49 CFR Part 673 - Public Transportation Agency Safety Plan](#)

Table of Contents

**EXECUTIVE SUMMARY ..... 1**

**ORGANIZATION INFORMATION ..... 2**

**CERTIFICATION OF COMPLIANCE ..... 3**

**PLAN DEVELOPMENT, APPROVAL, AND UPDATES ..... 3**

**RECORDKEEPING..... 3**

**SAFETY PERFORMANCE TARGETS ..... 4**

**Chapter I. SAFETY MANAGEMENT POLICY ..... 5**

**Chapter II. SAFETY RISK MANAGEMENT ..... 11**

**Chapter III. SAFETY ASSURANCE ..... 16**

**Chapter IV. SAFETY PROMOTION ..... 22**

**APPENDIX A – SAFETY TRAINING PROGRAM ..... 25**

**APPENDIX B – TRAINING COURSES (Summary) ..... 28**

**APPENDIX C – TRAINING COURSES (Description) ..... 31**

**DEFINITIONS..... 35**

**ACRONYMS ..... 38**

**EXECUTIVE SUMMARY**

The Federal Transit Administration (FTA) authorized by the Moving Ahead for Progress in the 21st Century Act (MAP-21) is requiring States and certain operators of public transportation systems that receive Federal financial assistance under 49 U.S.C. Chapter 53 to develop Public Transportation Agency Safety Plans (PTASP) based on the Safety Management System (SMS) approach. As a small public transportation provider the requirements outlined in the FTA regulations 49 CFR Part 673 apply to the Estuary Transit District.

The Connecticut Department of Transportation (CTDOT) and the Estuary Transit District have collaborated in developing this SMS (§ 673.21) to appropriately scale it to the size, scope, and complexity of this organization. The SMS is comprised of the following four components: Safety Management Policy (§ 673.23), Safety Risk Management (§ 673.25), Safety Assurance (§ 673.27), and Safety Promotion (§ 673.29). This PTASP is being implemented by the Estuary Transit District, a small public transportation provider that contracts with CTDOT for the provision of public transportation services.

The aim of the PTASP is to help manage safety risks and prioritize capital investments through performance-based planning. The established SMS framework and strategies outlined in this PTASP will ensure necessary procedures are implemented in order to identify, mitigate, and monitor safety risks at the Estuary Transit District.

This PTASP consists of the following elements:

	<b><i>Safety Performance Targets and Coordination</i></b>	The coordination efforts undertaken by the organization to share its safety performance target information (i.e., fatalities, injuries, safety events, system reliability).
<b>SAFETY MANAGEMENT POLICY</b>	<b><i>Policy Statement</i></b>	A written statement signed by the Accountable Executive establishing the organization's commitment to safety.
	<b><i>Employee Safety Reporting Program</i></b>	A program which protects and allows employees to report safety conditions to senior management.
	<b><i>Policy Communication</i></b>	The activities undertaken by the organization to communicate its safety policy throughout the organization.
	<b><i>SMS Authorities, Accountabilities, and Responsibilities</i></b>	A list of individuals who play a key role in the development and management of the organization's SMS.
<b>SAFETY RISK MANAGEMENT</b>	<b><i>Safety Hazard Identification</i></b>	The processes used by the organization to identify hazards and the consequences of those hazards.
	<b><i>Safety Risk Assessment</i></b>	The processes used by the organization to assess the safety risks associated with identified hazards.
	<b><i>Safety Risk Mitigation</i></b>	The processes used by the organization to implement strategies to mitigate or eliminate safety risks associated with identified hazards.
<b>SAFETY ASSURANCE</b>	<b><i>Safety Performance Monitoring and Measurement</i></b>	The activities undertaken by the organization to continual monitor its efforts in determining whether it is meeting its safety objectives and safety performance targets.
<b>SAFETY PROMOTION</b>	<b><i>Safety Training Program</i></b>	A comprehensive training program for organizational staff directly responsible for safety-related job duties.
	<b><i>Safety Communication</i></b>	The activities undertaken by the organization to communicate its safety and safety performance information throughout the organization.

**ORGANIZATION INFORMATION**

Organization Name: Estuary Transit District  
 Organization Address: 17 Industrial Park Rd, Ste 6, Centerbrook, CT 06409  
 Name and Title of Accountable Executive: Joseph Comerford, Executive Director  
 Name and Title of Chief Safety Officer or SMS Executive: Margaret Gomez

Mode(s) of Service Provided and Covered by this Plan		
<b>Fixed Route Bus</b>	Estuary Transit District	Contractor Name
Motorbus (MB)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Commuter Bus (CB)	<input type="checkbox"/>	<input type="checkbox"/>
Trolley Bus (TB)	<input type="checkbox"/>	<input type="checkbox"/>
Bus Rapid Transit (RB)	<input type="checkbox"/>	<input type="checkbox"/>
<b>Non-Fixed Route Bus</b>		
Demand Response (DR)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Demand Response Taxi (DT)	<input type="checkbox"/>	<input type="checkbox"/>
Vanpool (VP)	<input type="checkbox"/>	<input type="checkbox"/>

List of FTA Funding Types		
<b>Federal Program</b>	<b>Direct Recipient</b>	<b>Subrecipient</b>
Section 5307	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Section 5311	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Section 5339	<input type="checkbox"/>	<input type="checkbox"/>
Other (Section 5310)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>
Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>

Provision of Transit Services on Behalf of another Agency	
No	<input checked="" type="checkbox"/>
Yes	<input type="checkbox"/>
If yes, please describe the arrangement(s).	
Name and address of the transit agency(ies) or entity(ies) for which service is provided.	

**CERTIFICATION OF COMPLIANCE**

The Connecticut Department of Transportation (CTDOT) certifies that, on behalf of the Estuary Transit District, it has established a Public Transportation Agency Safety Plan (PTASP) meeting the requirements of 49 CFR Part 673 which become effective July 20, 2020. Annually thereafter, the Estuary Transit District (ETD) will certify its compliance with 49 CFR Part 673.

**PLAN DEVELOPMENT, APPROVAL, AND UPDATES**

This PTASP addresses all applicable requirements and standards as set forth in FTA’s Public Transportation Safety Program and the National Public Transportation Safety Plan (NSP). This PTASP was approved by the Estuary Transit District on October 16, 2020 with a copy of the authorized Board Resolution being maintained on file by the organization’s Chief Safety Officer. The Agency Safety Plan (ASP) will be reviewed and updated by the Chief Safety Officer by July 1 of each year. The Accountable Executive will review and approve any changes, signing the new ASP, then forwarding to the organization’s Board of Directors for review and approval.

\_\_\_\_\_  
Accountable Executive Signature

Joseph Comerford

December 9, 2022

Version Number and Updates			
Version Number	Section/Pages	Reason for Change	Date Issued
1		New Document	October 16, 2020
2	Safety Performance Targets p 4	Regular revision of performance targets	December 9, 2022

**RECORDKEEPING**

The Estuary Transit District, at all times, will maintain documents set forth in its PTASP, including those related to the implementation of its Safety Management System (SMS) and results from SMS processes and activities. The Estuary Transit District will maintain documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the organization uses to carry out its PTASP. Organizational staff has been made aware that these documents must be made available upon request by the Federal Transit Administration or other Federal entity, or a State Oversight Agency having jurisdiction. The Estuary Transit District will maintain these documents for a minimum of three years after they are created.

**SAFETY PERFORMANCE TARGETS**

**Safety Performance Targets (§ 673.11(a)(3))**

As required this PTASP contains safety performance targets (SPTs) that are based on the safety performance measures established under the National Public Transportation Safety Plan (January 2017). A safety performance target is a quantifiable level of performance or condition expressed as a value for the measure related to safety management activities to be achieved within a set time period (§ 673.5). A safety performance measure is a quantifiable indicator of performance or condition that is used to establish targets related to safety management activities, and to assess progress toward meeting the established targets (§ 673.5).

The Estuary Transit District uses seven (7) safety performance targets based on four (4) safety performance measure categories (fatalities, injuries, safety events, and system reliability):

- (1) Fatalities (total number of reportable fatalities)
- (2) Fatalities (fatality rate per total vehicle revenue miles by mode)
- (3) Injuries (total number of reportable injuries)
- (4) Injuries (injury rate per total vehicle revenue miles by mode)
- (5) Safety Events (total number of reportable safety events)
- (6) Safety Events (safety event rate per total vehicle revenue miles by mode)
- (7) System Reliability (mean distance between mechanical failures by mode)

**Safety Performance Targets Coordination (§ 673.15(a),(b))**

The Estuary Transit District met and consulted with representatives of the Connecticut Department of Transportation (CTDOT) and the Lower Connecticut River Valley Council of Governments Metropolitan Planning Organization (MPO) on October 14, 2020 in sharing the safety performance targets listed below. These safety performance targets are based on the review of the previous 2 years of Estuary Transit District’s safety performance data.

Safety Performance Targets							
Mode of Transit Service	Fatalities		Injuries		Safety Events		System Reliability
	total	per 100 thousand VRM <sup>1</sup>	total	per 100 thousand VRM	total	per 100 thousand VRM	VRM / mechanical failures
MB	0	0	6	1.5	32	3.2	25,000
CB	n/a	n/a	n/a	n/a	n/a	n/a	n/a
TB	n/a	n/a	n/a	n/a	n/a	n/a	n/a
RB	n/a	n/a	n/a	n/a	n/a	n/a	n/a
DR	0	0	2	1.75	7	.5	30,000
DT	n/a	n/a	n/a	n/a	n/a	n/a	n/a
VP	n/a	n/a	n/a	n/a	n/a	n/a	n/a

<sup>1</sup> VRM - Vehicle Revenue Miles

**Chapter I. SAFETY MANAGEMENT POLICY**

**Policy Statement and Safety Objectives (§ 673.23(a))**

The Estuary Transit District has adopted this Safety Management System (SMS) which is effective on October 16, 2020. The management team at Estuary Transit District is committed to implementing a comprehensive safety plan which strongly supports a philosophy of fostering and maintaining a safe working environment for its employees, ensuring safety for its customers and the general public, and providing the necessary resources (i.e., people, processes, and technology) in order to carry out these responsibilities. All levels of management and frontline employees are committed to safety and understand that safety is the primary responsibility of all employees.

Estuary Transit District is committed to the following safety objectives:

- Communicating the purpose and benefits of the SMS to all staff, managers, supervisors, and employees. This communication will specifically define the duties and responsibilities of each employee throughout the organization and all employees will receive appropriate information and SMS training.
- Providing appropriate management involvement and the necessary resources to establish an effective reporting system that will encourage employees to communicate and report any unsafe work conditions, hazards, or at-risk behavior to the management team.
- Identifying hazardous and unsafe work conditions and analyzing data from the employee reporting system. After thoroughly analyzing provided data, the transit operations division will develop processes and procedures to mitigate safety risk to an acceptable level.
- Ensuring that no action will be taken against employees who disclose safety concerns through the reporting system, unless disclosure indicates an illegal act, gross negligence, or deliberate or willful disregard of regulations or procedures.
- Establishing safety performance targets that are realistic, measurable, and data driven.
- Continually improving our safety performance through management processes that ensure appropriate safety management action is taken and is effective.

Accountable Executive Signature

Joseph Comerford

December 6, 2022

**Employee Safety Reporting Program (§ 673.23(b))**

Our organization fully supports an Employee Safety Reporting Program (ESRP) which allows employees to report safety conditions to senior management in good faith without fear of retribution. Individuals are encouraged to be vigilant in their day-to-day duties when safety concerns or potential safety issues are noticed.

**ESRP Benefits**

The following are several examples of the benefits that our organization gains as safety issues are reported:

Reduction in Injuries – By keeping everyone focused on safety, the number of injuries experienced by the organization will go down.

Increased Productivity – The reduction in injuries and other benefits will often lead to an overall increase in the productivity of the organization.

Improved Morale – As safety concerns are reported to and acted upon by the organization, employees' morale will improve knowing that their employer cares about them.

### Protection of Employees

No disciplinary action will be taken against any employee who communicates a safety concern through the Estuary Transit District safety reporting program unless such disclosure indicates the following: an illegal act, gross misconduct and/or negligence, or a deliberate or willful disregard of Estuary Transit District rules, policies, and procedures.

As an organization, it is important that we are able to ask questions and raise concerns about any safety issues freely, and with an expectation that our concerns will be taken seriously and treated fairly. Our organization is committed to protecting employees who raise concerns in good faith and we are committed to protecting the rights of those who:

- Report safety concerns honestly and in good faith.
- Cooperate in safety-related investigations.
- Raise questions about the organization's safety practices and procedures.
- Seek guidance on how to handle a particular safety-related situation.

### Employee Behaviors That May Result in Disciplinary Action

Disciplinary action may be taken by the Estuary Transit District in the following situations when a safety reporting issue involves:

- A deliberate reporting of false safety information,
- An intent not to report a safety concern,
- The willful participation in an illegal activity, such as assault or theft,
- Making false accusations with the intent to retaliate (i.e., harm, intimidate, harass) against another individual,
- Gross negligence, such as knowingly utilizing heavy equipment for the purposes other than intended such that people or property are put at risk,
- The withholding of critical safety information during an investigation of a reported safety concern, or
- The deliberate or willful disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.

### Safety Reporting Methods

There are numerous methods in which an identified safety concern can be reported to senior management:

Hazard Report Form – A Hazard Report Form is available by contacting a Supervisor or Manager.

Safety Hotline – By calling the organization’s Safety Hotline 1-860-662-4365 the individual reporting the safety concern remains anonymous.

Safety Email – A safety concern can be reported by sending an email to [safety@estuarytransit.org](mailto:safety@estuarytransit.org).

Dispatch – The dispatcher will enter safety reported issues into the organization’s dispatch Operations Log.

Safety Committee – Any safety issue can be reported to any member of the organization’s Safety Committee.

Driver Meetings – This type of forum allows for an open discussion and informs everyone in attendance of any safety issues that other employees may be encountering.

Direct Reporting – Safety issues can be reported directly to any Dispatcher, Supervisor, Manager, the Chief Safety Officer, or the Accountable Executive.

### Types of Safety Concerns to Report

The following are examples of safety concerns that can be reported. This list is not comprehensive, but it covers a wide array of potential safety conditions that could exist:

- Speeding on bus routes
- Failure to complete pre-trip inspections
- Lack of scheduled vehicle maintenance (i.e., cracked tires, worn brake pads)
- Damaged equipment/uncalibrated tools
- Detours and traffic work zones on route
- Non-working traffic lights or crossing gates
- Damage to terminals and bus stops that might impact safety
- Defective roadways (i.e., potholes, worn striping, crumbling asphalt)
- Clearance issues
- Safety hazards in the operating environment
- Weather conditions (i.e., snow, ice, fog)
- Policies and procedures that aren’t working as intended
- Events that senior managers might not otherwise know about (i.e., near misses)
- Information about why a safety event occurred (i.e., radio communication challenges)

### Results of Safety Reporting and Safety Actions Taken

The Chief Safety Officer (CSO) takes the following steps on a daily basis to ensure each reported safety issue is investigated and any resultant actions taken by the organization are communicated to employees:

- (1) The CSO reviews different sources of safety information such as, the dispatch Operations Log, Safety Event Log, and the dedicated email address, and documents all identified safety conditions into the organization’s Safety Risk Register,
- (2) Each reported safety issue is investigated by the CSO who may consult with the relevant Supervisor/Manager to gather additional information on the safety-reported issue,
- (3) The CSO shares this information with the Safety Committee during its quarterly meetings,
- (4) The reported safety issue (i.e., identified hazard and consequences) is addressed, resolved, and managed through the organization’s Safety Risk Management (SRM) and Safety Assurance (SA) processes, and

- (5) Upon the recommendation of the Safety Committee, the CSO and/or the relevant Supervisor/Manager communicates any safety mitigations implemented directly to the employee if the reporting employee provided his or her name during the reporting process.

To reinforce the organization's safety message employees are informed of any safety actions taken by the organization in response to a reported safety concern by sharing this safety information through the organization's Monthly Safety Newsletter that is posted on the organization's bulletins boards and common work areas.

All reported safety concerns are collected and categorized into the organization's Safety Risk Register. Evaluating this safety data assists the organization in determining how to improve future processes in order to reduce safety risks across all aspects of our organization. We continuously engage and encourage employees to utilize the ESRP and make necessary changes to the ESRP in order to help support a positive safety culture within our organization.

#### Safety Management Policy Communication (§ 673.23(c))

The Estuary Transit District Safety Management Policy Statement was communicated throughout the organization with each employee being given a copy by their respective supervisors/managers during the month of October 2020. The Statement was also posted on the organization's bulletin boards, common work areas, and website. During the organization's October 16, 2020 Board Meeting, the Statement was distributed and discussed. In addition, the CSO forwarded a copy of the Statement to the contractor(s). The organization has also incorporated review and distribution of the Statement into new hire training and all-staff annual refresher training.

#### Authorities, Accountabilities, and Responsibilities (§ 673.23(d))

The Accountable Executive has designated a CSO who will be responsible for the day-to-day implementation and operation of our organization's SMS. The ultimate responsibility for safety at the organization will rest with the Accountable Executive. Each one of us from executive management to frontline employees will be responsible for making our organization safer. Supervisors and managers will be responsible for implementing the SMS in their area of responsibility and will be held accountable to ensure that all reasonable steps are taken to perform activities established as part of the SMS.

All key personnel listed below will visibly demonstrate and communicate a commitment to safety as a top priority of the organization and abide by the organization's safety policies and procedures. In addition, all key personnel will acquire knowledge and keep up to date on safety-related information through attendance at safety training classes. The authorities, accountabilities, and responsibilities under the Agency's Safety Plan (ASP) have been assigned as follows:

**Accountable Executive** - The Accountable Executive's role and responsibilities in overseeing all aspects of the ASP include:

- Controlling and directing human and capital resources needed to develop and maintain the ASP and SMS,
- Designating an adequately trained Chief Safety Officer who is a direct report,
- Ensuring that SMS is effectively implemented,
- Assuming ultimate responsibility for carrying out the ASP and SMS,
- Communicating that employee safety is a performance expectation of all positions,
- Signing SMS implementation planning documents,
- Endorsing SMS implementation team membership,
- Notifying the Board of Directors of all situations related to safety events, hazards, consequences, risks, and risk mitigation efforts undertaken by the organization, and

- Recognizing the organization's safety achievements.

**Chief Safety Officer (CSO)** - The CSO designated by the Accountable Executive ensures the policies and procedures of the ASP are implemented and complied with on a daily basis. Duties of the CSO include:

- Developing the ASP including SMS policies and procedures,
- Managing the Employee Safety Reporting Program (ESRP),
- Ensuring organization policies are consistent with organization safety objectives,
- Chairing the Safety Committee and,
  - Coordinating its activities,
  - Establishing and maintaining the organization's Safety Risk Register and Safety Event Log to monitor and analyze trends in hazards, occurrences, incidents and accidents, and
  - Maintaining and distributing minutes of committee meetings.
- Developing and maintaining SMS documentation,
- Directing hazard identification and safety risk assessment,
- Monitoring safety risk mitigation activities,
- Providing periodic reports on safety performance and any safety actions taken (i.e., safety reports) to all employees, contractors, and the Accountable Executive,
- Briefing the Accountable Executive and Board of Directors on SMS implementation progress,
- Ensuring all employees are informed of the organization's safety plan,
- Communicating regularly with Supervisors/Managers,
- Proactively consulting with Contractors, and
- Planning safety management training.

**Estuary Transit District Leadership and Executive Management** - Estuary Transit District's Leadership and Executive Management also have authorities and responsibilities for day-to-day SMS implementation and operation of Estuary Transit District's SMS under this plan. Estuary Transit District's Leadership and Executive Management include:

- Operations Manager, Margaret Gomez
- Executive Director, Joseph Comerford

Estuary Transit District's Leadership and Executive Management personnel help foster a strong work safety culture by providing safety leadership and setting a good example. They have the following authorities, accountabilities, and responsibilities:

- Modifying policies in their departments consistent with implementation of the SMS, as necessary,
- Demonstrating a commitment to safety performance,
- Conducting regular safety meetings with employees to discuss safety issues,
- Participating as members of the organization's Safety Committee,
- Regularly communicating with the CSO,
- Immediately reporting any safety concerns to the CSO,
- Ensuring safe work procedures are followed,
- Promoting and implementing safety initiatives, and
- Providing subject matter expertise to support implementation of the SMS including SRM activities, investigation of safety events, development of safety risk mitigations, and monitoring of mitigation effectiveness.

**Board of Directors** - The Board of Directors will be responsible for:

- Approving the ASP and any subsequent updates, and
- Meeting with the Accountable Executive at Board Meetings to discuss safety-related matters.

**Key Staff and Activities** - Employees will act as frontline safety ambassadors for our organization on a daily basis. All employees must take reasonable care for their own safety while they are at work and take reasonable care that their acts or omissions do not adversely affect the safety of other persons. Employee safety responsibilities will include:

- Taking reasonable care to work safely,
- Making sure that the work area is safe when leaving it,
- Making proper use of all appropriate safeguards, safety devices, and personal protective equipment,
- Following agreed safe working practices and rules, and
- Reporting safety concerns to senior management.

Additionally, the Estuary Transit District's Safety Committee which supports its SMS and safety programs is comprised of the following members representing different aspects of the organization and will be responsible for meeting on a quarterly basis to discuss safety-related topics, evaluating in coordination with the CSO any identified hazards, and making recommendations to improve safety:

- Kim Gagne, Operations Manager
- Julio Martinez, Dispatcher
- Kathy Singer, Bus Operator
- D Sirios, Bus Operator
- Billie Kowaleski, Road Supervisor

Lastly, contractors will be required to report any safety concerns to senior management, engage in safe work practices, and ensure the safety of the general public and other employees in the workplace, and provide feedback to the organization on safety-related matters by consulting with the organization's CSO.

**Chapter II. SAFETY RISK MANAGEMENT**

**Safety Risk Management Process (§ 673.25(a))**

The Estuary Transit District has implemented a Safety Risk Management (SRM) process for all elements of its public transportation system. The organization’s process involves identifying hazards and consequences, evaluating the risks associated with those hazards, and implementing strategies to decrease those risks. These three core activities help support the organization’s efforts to foster a positive and strong safety culture, and ensure the safety of our operations, passengers, employees, vehicles, and facilities.

The organization’s Chief Safety Officer (CSO) is responsible for ensuring hazard identification techniques including processes for assessing and mitigating safety risks have been established. The organization’s SRM process is periodically reviewed and modified with results being documented in our Safety Risk Register. In its Safety Risk Register the Estuary Transit District uses the table below to classify the types of hazards identified, assessed, and mitigated:

Hazard Category		
Organizational	Technical	Environmental
Resourcing	Supervisory	Equipment
Procedural	Operational	Weather
Training	Maintenance	Natural

**Safety Risk Register**

The Safety Risk Register maintained by the Chief Safety Officer contains collected information on the organization’s Safety Risk Assessment and Safety Risk Mitigation processes. Listed below are the categories of information collected about hazards and their analyses under the organization’s Safety Risk Assessment Register:

- A description of the hazard,
- Type of hazard,
- Date the hazard was identified,
- How the hazard was identified (source),
- Date analysis was performed,
- Potential consequences associated with the hazard (worst possible, worst credible, or most common),
- What mitigations are currently in place to address potential consequences associated with hazard,
- The initial safety risk rating, as defined by the severity of the consequences and likelihood of the consequences taking into account existing safety risk mitigations only,
- The revised safety risk index (risk rating with additional safety risk mitigations implemented),
- The department responsible for implementing the safety risk mitigations,
- Estimated due date for the safety risk mitigations to be implemented, and
- Contact person.

The organization’s Safety Risk Mitigation Register collects information for status tracking and monitoring the effectiveness of implemented safety risk mitigations. The Safety Risk Mitigation Register includes:

- The safety risk mitigation monitoring parameters (safety performance indicators (SPIs) and targets),
- Associated timeframe,
- Monitoring activities, and

- The responsibilities for monitoring.

### Safety Committee Meetings

The Estuary Transit District Safety Committee which supports its SMS and safety programs is comprised of the CSO and other members representing different aspects of the organization. The CSO is responsible for conducting the meetings and disseminating pertinent safety information to the committee members for their review. The committee meeting minutes are prepared and maintained by the CSO and include the meeting date, time, and location, attendance, a summary of issues discussed, proposed actions to be taken, and the person(s) responsible for follow-up on each item. An agenda and the previous committee meeting minutes are provided to each committee member prior to the next meeting. Agenda items to be discussed during the quarterly Safety Committee meetings may include the following:

- (1) Call to Order
- (2) Old Business
- (3) Safety Risk Management Update
- (4) Safety Risk Mitigation Monitoring Update
- (5) Safety Events Update
- (6) New Business
- (7) Next Meeting Date

Typical duties of the Safety Committee include:

- Meeting on a quarterly basis,
- Assessing and prioritizing safety risks,
- Reporting unsafe conditions and suggesting corrective actions,
- Reviewing the Safety Event Log which is maintained by the CSO,
- Contributing ideas and suggestions for improvements in safety, and
- Promoting safety.

### Safety Hazard Identification (§ 673.25(b)(1),(b)(2))

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. A consequence is an effect of a hazard and identifies what could happen. The identified potential consequence may be minor or catastrophic, depending on the nature of the hazard.

Hazard identification is the organization's first line of defense against preventing these types of outcomes. Individual and group-based approaches have been put in-place to help the organization identify hazards and potential consequences that could lead to unsafe work conditions. Hazards are identified through the following activities:

Employee Safety Reporting Program (ESRP) – The ongoing ESRP is a vital source of information for the management of safety. Individuals who observe safety concerns in their day-to-day duties are encouraged to report their concerns.

Workplace Walkthroughs – On a daily basis all employees are encouraged to walk around their work area in order to observe and determine if there are any safety concerns worth bringing to the attention of senior personnel. Workplace walkthroughs can help reveal any shortcomings so that they can be addressed before they become a safety concern. Workplace premises covered during walkthroughs may include office space, storage rooms, equipment bays, and the organization's grounds.

Workplace Inspections – Monthly inspections carried out solely by supervisors/managers focus on specific work tasks and workplace locations. Such inspection activities include consulting with employees, observing work being performed, taking photos of problematic areas, and completing an Inspection Report. Inspections are conducted independently of workplace walkthroughs.

Quarterly Safety Committee Meetings – Any safety issue can be discussed and reported during a safety committee meeting.

Driver Meetings – This type of forum allows for an open discussion and informs everyone in attendance of any safety issues that other employees may have encountered.

Brainstorming Sessions – Monthly group meetings facilitated by supervisors/managers with their staff encourages imaginative thinking and offers opportunities for employees to freely discuss their safety concerns.

Data Analysis – The organization collects, organizes, and reviews safety information to determine what types of hazards may exist in which the organization could be potentially exposed to. The organization closely monitors, on a weekly basis, key data sources to determine whether any patterns have emerged showing how hazards have arisen and are likely to happen again. The organization's key safety information is derived from the following sources:

- Records of previous injuries
- Workers' compensation statistics
- Patterns of frequently occurring injuries
- Employee training records
- Safety Risk Register
- Inspection reports
- Input from surveys

Other hazard identification activities engaged by the organization include:

- Review of vehicle camera footage
- Maintenance reports
- Surveys
- Comments from the general public
- Investigations into safety events
- FTA and other oversight authorities

The organization's hazard identification protocols include:

- (1) Any observed and reported safety issue is reviewed by the CSO who is accountable for logging identified hazards into the organization's Safety Risk Register,
- (2) Further analysis (i.e., investigation) of the identified hazard may be conducted by the CSO in order to validate its existence and the potential consequence associated with it. Such follow-up actions taken by the CSO may include:
  - a. Reaching out to the reporting party, if available, to gather all known information about the reported hazard,

- b. Conducting a walkthrough of the affected area, assessing the possible hazardous condition, generating visual documentation (i.e., photographs and/or video), and taking any measurements deemed necessary,
  - c. Conducting interviews with employees in the area to gather potentially relevant information on the reported hazard,
  - d. Reviewing any documentation associated with the hazard (i.e., records, reports, procedures, inspections, technical documents, etc.),
  - e. Contacting other departments that may have association with or technical knowledge relevant to the reported hazard,
  - f. Reviewing any past reported hazards of a similar nature, and
  - g. Evaluating tasks and/or processes associated with the reported hazard.
- (3) Prior to the Safety Committee meeting the CSO requests Safety Committee members to submit any safety-related topics for discussion,
  - (4) The CSO then prepares and disseminates an agenda which includes 'Safety Risk Management Update' as a topic for discussion and forwards the Safety Risk Register containing the list of identified hazards and consequences to the Safety Committee members for review, and
  - (5) During the 'Safety Risk Management Update' portion of the Safety Committee meeting agenda the CSO requests the Safety Committee members to participate by sharing their knowledge and input including any questions regarding the current list of identified hazards and consequences being reviewed.

Any identified hazard that poses a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the organization's SRM process (with or without the full Safety Committee) for safety risk assessment and mitigation. This means that the Chief Safety Officer believes immediate intervention is necessary to preserve life, prevent major property destruction, or avoid harm to the environment which would constitute a violation of Environmental Protection Agency or the State of Connecticut environmental protection standards. Otherwise the Safety Committee will prioritize hazards for further SRM activity.

### **Safety Risk Assessment (§ 673.25(c)(1-2))**

Once a hazard has been identified, the organization assesses the safety risk associated with the identified safety hazard. The organization assesses the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritization of the hazards based on the safety risk involved. A risk means the composite of predicted severity and likelihood of the potential effect of a hazard.

The CSO is accountable for logging identified hazards into the organization's Safety Risk Register. These hazards are prioritized using the organization's Safety Risk Assessment Matrix (see table below):

**Safety Risk Assessment Matrix**

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

The matrix expresses assessed risk as a combination of one severity category and one likelihood level, also referred to as a hazard rating. This matrix also categorizes risks into levels: High, Medium, or Low based on the likelihood of occurrence and severity of the outcome (see table below):

**Safety Risk Level Categories**

Safety Risk Index	Criteria by Index
High	<i>Unacceptable – Action Required:</i> The safety risk must be mitigated or eliminated.
Medium	<i>Undesirable – Management Decision:</i> The Safety Committee must decide whether to accept safety risk with monitoring or require additional action.
Low	<i>Acceptable with Review:</i> Safety risk is acceptable by the Chief Safety Officer 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.

The organization’s risk assessment protocols are as follows:

- (1) Prior to the quarterly Safety Committee meeting the CSO prepares and forwards the Safety Risk Register to the Safety Committee members for review,
- (2) During the ‘Safety Risk Management Update’ portion of the Safety Committee meeting agenda the CSO requests the Safety Committee members to discuss the likelihood and severity of the consequences of each identified hazard. As each identified hazard is assessed the committee prioritizes the hazard to determine which hazards pose the greater risk allowing action to be taken to resolve the most serious safety issues first, and

- (3) After consulting with the Safety Committee on the most recent assessment and prioritization of hazards the CSO then updates the Safety Risk Register accordingly.

### Safety Risk Mitigation (§ 673.25(d))

Upon a hazard being assessed and prioritized, the organization identifies strategies to reduce or eliminate the safety risk associated with the potential consequences of the hazard. Risk mitigation means a method or methods to eliminate or reduce the effects of hazards. The organization's risk mitigation protocols include:

- (1) The CSO periodically conducts on-going research via the internet, communicates with other organizations, and consults with employees and senior management to better understand the established mitigation efforts that have been implemented for similar identified hazards encountered by other organizations,
- (2) Prior to the Safety Committee meeting the CSO prepares and forwards the Safety Risk Register to the Safety Committee members for review,
- (3) During the 'Safety Risk Management Update' portion of the Safety Committee meeting agenda the CSO requests the Safety Committee members to discuss their ideas and suggestions on how to mitigate each assessed and prioritized hazard,
- (4) The mitigation strategy for each assessed/prioritized hazard is determined by the committee then the CSO assigns an individual (member) responsible for implementing the necessary steps to mitigate the hazard including an estimated implementation date, and
- (5) After consulting with the Safety Committee on the most recent hazard mitigation strategies the CSO then updates the Safety Risk Register accordingly.

Results from the Estuary Transit District Safety Risk Management processes are shared by the Chief Safety Officer with the Accountable Executive during monthly Safety Briefings. Also, the Accountable Executive updates the Board of Directors on all safety-related activities conducted by the organization.

## Chapter III. SAFETY ASSURANCE

### Safety Assurance Process (§ 673.27(a))

The Estuary Transit District's safety assurance process helps our agency to ensure the safety risk mitigation strategies developed through our safety risk management processes are adequate, effective and implemented as intended. Through the collection of statistical safety data and information, the analysis of safety trends, and the assessment of safety-related information our organization is able to determine what is working well and whether we are meeting or exceeding our safety objectives.

### Safety Performance Monitoring and Measurement (§ 673.27(b)(1-4))

Safety performance monitoring and measurement which involves the continual monitoring of our organization's activities allows us to measure the effectiveness of risk controls against our safety objectives. These measurements provide the CSO and the Safety Committee with valuable information in order to make informed decisions on how to continuously improve safety throughout the organization.

### Monitoring Operations and Maintenance Procedures

The Estuary Transit District monitors its entire transit system for compliance with operations and maintenance procedures by conducting the following activities:

Safety Event Investigations – An investigation into a safety-related matter is a critical factor for preventing future safety events and provides the opportunity for monitoring the effectiveness of hazard mitigations. Further information on this subject can be found within this Chapter under the ‘Safety Event Investigations’ section.

Internal Safety Audits – An annual safety audit performed by the CSO identifies areas where corrective actions are needed.

ESRP – The ongoing ESRP is a vital source of information for the management of safety. Additional information on the Estuary Transit District’s ESRP is shown in Chapter I. Safety Management Policy.

Workplace Inspections – Weekly inspections carried out solely by supervisors/managers focus on specific work tasks and workplace locations and provide valuable information on where problematic areas may arise and need to be addressed.

Safety Surveys – Relevant safety-related information received from quarterly surveys allows our organization to further identify and prevent safety events from potentially happening.

Vehicle Inspections and Preventive Maintenance – Regular vehicle inspections and preventive maintenance are conducted to ensure the proper performance and safety of the organization’s vehicles. Procedures for regular vehicle inspections and preventive maintenance can be found in the Estuary Transit District’s Maintenance Plan.

Results from the above activities are compared against recent performance trends quarterly and annually by the CSO to determine where corrective action needs to be taken. The CSO enters any identified non-compliant or ineffective activities, including mitigations, back into the SRM process for reevaluation by the Safety Committee.

### **Monitoring Safety Risk Mitigations**

The Estuary Transit District continually evaluates safety risk mitigation strategies that have been implemented and conducts a periodic assessment to determine the effectiveness of these strategies. The findings from these activities assist the organization in identifying which mitigations may be ineffective, inappropriate, or may not have been implemented as intended.

The Estuary Transit District’s collection and evaluation of safety information may show whether any adverse safety patterns are emerging and whether any mitigation practices are ineffective. Any mitigation practices would result in the establishment and implementation of new (updated) mitigation strategies. Our organization monitors the effectiveness of its mitigation strategies through the:

- Quarterly activities performed by the Safety Committee which include:
  - Reviewing the current Safety Risk Register,
  - Discussing mitigation strategies,
  - Determining mitigation strategies that are working, and
  - Recommending alternative actions to reduce mitigations that are not working as intended.
- Weekly review of safety data by the CSO contained in the:
  - Safety Risk Register, and
  - Safety Event Log.

- Weekly comparison by the CSO of established safety performance indicators and targets including key safety-related metrics.

These key safety-related metrics may include:

- Records of previous injuries
- Workers' compensation statistics
- Employee workdays lost to injuries
- Patterns of frequently occurring injuries
- Bus driver assaults
- Traffic tickets issued to bus drivers
- Bus accidents
- Positive drug/alcohol tests
- Employee training records
- Inspection reports
- Input from surveys

The organization's safety risk monitoring protocols include:

- (1) During the 'Safety Risk Mitigation Monitoring Update' portion of the quarterly Safety Committee meeting agenda the CSO and the committee members will review the list of safety risk mitigations contained in the Safety Risk Register which is maintained by the CSO,
- (2) The Safety Committee member assigned by the CSO responsible for implementing a specific mitigation strategy provides an update to the committee on the status of the mitigation including the timeframe and the monitoring mechanism used to determine if the mitigation strategy is not implemented or performing as intended,
- (3) As each mitigation strategy is reviewed, the CSO and the Safety Committee determine which mitigation strategies are performing acceptably,
- (4) For those strategies that are not working as intended, the CSO and the Safety Committee will recommend alternative measures (i.e., options) or additional actions to reduce the mitigation to an acceptable level,
- (5) After consulting with the Safety Committee on the most recent hazard mitigation strategies requiring additional actions, the CSO will approve the appropriate course of action for each mitigation strategy and assign it to the individual (safety committee member) to oversee its execution (i.e., implementation), and
- (6) The CSO then updates the Safety Risk Register accordingly.

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

### **Safety Event Investigation**

Safety event investigations by the Estuary Transit District are conducted in order to identify the causal factors of any accidents, incidents, or occurrences. Our organization maintains documentation through its Safety Event Reporting and Investigation Program which is intended to support our efforts in:

- Tracking safety events (via the Safety Event Log),
- Determining the pertinent facts surrounding a safety event,
- Determining the causal factors to a safety event, and
- Implementing corrective actions to minimize or eliminate the cause of the safety event.

All employees and new hires receive training on the Safety Event Reporting and Investigation Program. Also, supervisors/managers are appropriately trained on how to conduct safety event investigations and are informed of their roles and responsibilities in carrying out procedures according to the program.

The Estuary Transit District uses the following definitions when conducting safety event investigations:

Safety Event Investigator – The supervisor/manager responsible for performing the initial portion of the safety event investigation.

Safety Event Report Form – A form completed by the Safety Event Investigator which captures information regarding a safety event or near miss and includes an initial assessment of the causal factors to the safety event.

Safety Investigation Report Form – A form completed by the Chief Safety Officer which captures information regarding a safety event or near miss and includes an initial recommendation on the implementation of corrective actions to minimize or eliminate the cause of the safety event.

Near Miss – An event that could have resulted in personal injury or property damage.

Causal Factors – Factors that contributed to a safety event or near miss. Examples include: ineffective or lack of training provided, no job safety analysis, no written procedures, poor management, lack of rule enforcement, or worker distraction.

Minor Injury – An injury or abrasion requiring first aid (i.e., bandage or ice).

The procedures in response to a safety event are outlined in the organization's Safety Procedures manual. The following is a general overview of the organization's initial steps taken which lead up to the investigation of the safety event:

#### **Actions Taken by the Safety Event Investigator**

- (1) Upon recognizing a safety event has been reported, the supervisor/manager (Safety Event Investigator) present will evaluate whether the situation is an emergency or non-emergency and secure the scene,
- (2) If a supervisor/manager is not present, the next immediate available supervisor/manager will be notified of the safety event and will be required to conduct the safety event investigation,
- (3) Any employee that is seriously injured and requires medical attention, the Safety Event Investigator will ensure the employee is transported to a medical facility,
- (4) Any employee with a minor injury will be tended to (treated),

The organization's safety event investigation protocols include:

- (5) Within 24 hours of notification of the safety event the Safety Event Investigator will begin the investigation process by:
- a. Conducting interviews of the affected employee(s) and potential witnesses to gather relevant information on the safety event,
  - b. Conducting a walkthrough of the affected area and generating visual documentation (i.e., photographs and/or video),
  - c. Gathering and reviewing information to determine any potential patterns or trends,
  - d. Determining the sequence of events that may have led to the safety event in order to discover all the causal factors, and
  - e. Preparing and submitting a completed Safety Event Report Form, within 48 hours of notification of the safety event, to the CSO containing an initial assessment on what may have been the causal factor(s) of the safety event.

#### **Actions Taken by the CSO**

- (6) Upon receipt of the completed Safety Event Report Form the CSO, if necessary, may consult with the Safety Event Investigator and/or the affected employee(s) to gather additional information on the safety event,
- (7) Within 24 hours of receiving the completed Safety Event Report Form, the CSO will prepare and complete a Safety Investigation Report with an initial recommendation on how the agency can implement corrective actions to minimize or eliminate the cause of the safety event,

#### **Actions Taken by the Safety Committee**

- (8) Prior to the quarterly Safety Committee meeting the CSO prepares and forwards the Safety Risk Register, Safety Event Log, Safety Event Reports, and Safety Investigation Reports to the Safety Committee members for review,
- (9) During the 'Safety Events Update' portion of the quarterly Safety Committee meeting agenda the CSO requests the Safety Committee members to discuss their ideas and suggestions on how to implement corrective actions to minimize or eliminate the cause for each of the safety events being reviewed, and
- (10) Upon final recommendation of the Safety Committee on how to implement corrective actions to minimize or eliminate the cause for each of the safety events, the CSO will then update the Safety Risk Register accordingly. The CSO will also disseminate the final recommendation to all supervisors/managers who in turn will communicate this information to all employees.

Additionally, any action taken by the organization as a result of a safety event investigation is shared with the organization through its Monthly Safety Newsletter that is posted on the organization's bulletins boards and common work areas.

#### **Monitoring Internal Safety Reporting**

The Estuary Transit District considers information collected through its internal reporting safety programs to be a valuable tool in monitoring and evaluating any potential safety concerns. On a weekly basis, the CSO reviewing any

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safety concern received through our organization's internal reporting safety programs that reveals a pattern or trend requiring further investigation will be placed as an agenda item during the quarterly Safety Committee meetings and will be analyzed through the Estuary Transit District's Safety Risk Management process.

## Chapter IV. SAFETY PROMOTION

### Competencies and Training (§ 673.29(a))

#### Safety Culture

The Estuary Transit District primary goal of safety promotion is to develop a positive and strong safety culture, which empowers its employees at all levels to understand and proactively control safety risks. Our organization creates and maintains a positive and strong safety culture by:

- Communicating safety is a top priority,
- Establishing and providing a safety training program to employees,
- Empowering and involving employees in safety-related activities,
- Motivating employees to accept their safety responsibilities, and
- Communicating safety and safety performance information.

#### Safety Training Program

Through our organization's comprehensive safety training program employees develop and maintain the necessary skills and knowledge to perform their jobs in an efficient and safe manner. More importantly, an effective safety training program teaches employees to learn their jobs properly, improve their performance, reinforces existing ideas and best practices, and puts the safety program into action.

The safety training program which includes new-hire and refresher training has been developed to support and educate key personnel in fulfilling their safety-related roles and responsibilities for the organization. Each employee as part of new hire training receives the Estuary Transit District Employee Handbook and Operating Policy Manual which includes safety policies and procedures. It is the organization's objective to ensure employees receive specific training to become familiar with, experienced in, and maintain their set of skills to safely perform their job duties so that a safe work environment can be achieved.

The table in [Appendix A - Safety Training Program](#) illustrates the safety training sessions that cover a range of topics currently making up the organization's comprehensive safety training program for all key personnel. Additional details (i.e., training provider, delivery method, length, etc.) on each training course can be found in [Appendix B - Training Courses \(Summary\)](#) and [Appendix C - Training Courses \(Description\)](#). Other training information is referenced in the organization's Employee Training Program policy.

We recognize the safety-critical functions performed daily by our organization's personnel and have made it a priority to provide safety-related skill training in the following areas:

- Bus Operations
  - New-hire bus vehicle operator classroom and hands-on skill training,
  - Bus vehicle operator refresher training,
  - Bus vehicle operator retraining (recertification or return to work),
  - Vehicle inspections training,
  - Defensive driver training,
  - Classroom and on-the-job training for dispatchers,
  - Classroom and on-the-job training for operations supervisors and managers, and
  - Accident investigation training for operations supervisors and managers.

- Vehicle Maintenance
  - Ongoing vehicle maintenance technician skill training,
  - Ongoing skill training for vehicle maintenance supervisors,
  - Accident investigation training for vehicle maintenance supervisors,
  - Ongoing hazardous material training for vehicle maintenance technicians and supervisors, and
  - Training provided by vendors.

As the organization's SMS evolves, we consult with employees and supervisors/managers to evaluate and identify our safety training needs and modify the organization's safety training program to ensure appropriate safety practices and procedures are consistent and up to date.

The following list provides a brief description of key personnel who are directly responsible for safety and their roles in carrying out the organization's safety policies:

All Employees<sup>2</sup> - All employees receive safety training to become familiar with the basic principles of the organization's SMS. Training assists employees in understanding the importance of the Employee Safety Reporting Program and acquiring the skills and techniques to effectively communicate with organizations and passengers when a crisis occurs. All employees receive training to learn their safety responsibilities in order to comply with the organization's safety policies.

Drivers – Drivers act as front-line ambassadors of the organization when interacting with the general public in providing safe transportation services. Training assists drivers in acquiring the vital skills and knowledge in order for them to recognize the many safety tasks they perform on a daily basis in a demanding position. In addition to receiving SMS Awareness training, other training activities include, but are not limited to, opportunities to learn the skills and strategies necessary to reduce the likelihood of bus operator assault incidents from occurring and the fundamentals of defensive driving.

Mechanics – Mechanics have an utmost responsibility to ensure the proper performance and safety of the organization's vehicles. Mechanics have an advanced knowledge of engine maintenance and repair and perform many of their job duties under physical demanding conditions. Safety training reinforces safety practices that establish a safe working environment.

Supervisors/Managers – It is imperative that the organization's supervisors/managers are committed to ensuring employees are aware and understand the organization's safety procedures and policies. Each supervisor/manager has a pivotal role in conveying a consistent safety message throughout their respective work area and the entire organization.

Chief Safety Officer (CSO) – The CSO is responsible for carrying out the numerous safety obligations of the organization's SMS. The CSO ensures safety responsibilities and activities are being carried out by all key personnel.

Contractors – Contractors representing the organization are accountable for engaging in safe work practices. Meaningful dialogue with contractors only strengthens the organization's implementation of best practices to mitigate and eliminate safety risks.

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<sup>2</sup> All Employees includes the agency's drivers, supervisors/managers, board of directors, accountable executive, chief safety officer, and contractors.

Also, the Accountable Executive including the Estuary Transit District's Leadership and Executive Management team must complete FTA's SMS Awareness online training which is offered through the USDOT Transportation Safety Institute.

### Safety Communication (§ 673.29(b))

Estuary Transit District recognizes the importance of having open communication across all levels of the organization. We make personnel aware of any recognized hazards and safety risks relevant to employees' roles and responsibilities. Our organization focuses on the exchange of ideas and information to improve workplace safety and prevent accidents so that personnel knows that leadership is looking out for their safety. We continually share pertinent safety-related information including safety actions taken in response to reports submitted through our ESRP.

Safety information typically communicated throughout the organization includes safety alerts, safety performance statistics, recent hazard mitigation efforts implemented by the organization, safety achievements, and Safety Committee minutes. The following activities describe how the Estuary Transit District communicates its safety and safety performance information throughout the organization:

Staff Meetings – These open forums allow employees to communicate their safety concerns to their coworkers and management and ask any pertinent questions related to the organization's current safety performance.

Bulletin Boards – Flyers containing safety-related information are posted and regularly updated on the organization's bulletin boards.

Common Work Areas – Signs are strategically posted throughout the organization (i.e., office reception areas, break rooms, equipment areas, etc.) in order for employees to visibly see and be informed of safety-related information.

Quarterly Safety Newsletter – The quarterly newsletter containing updates on safety-related information and activities undertaken by the organization may also include pictures showing examples of proper safety actions being demonstrated.

APPENDIX A – SAFETY TRAINING PROGRAM						
Training	All Employees <sup>3</sup>	Drivers	Mechanics	Supervisors/ Managers	CSO	Contractors
<a href="#">Advanced Mobility Device Securement</a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">All-Hazards Awareness and Preparedness for Transit Employees</a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Assault Awareness and Prevention for Transit Operators</a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Bus Maintenance and Bus Testing Program Peer-to-Peer Exchange</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Certified Community Transit Supervisor (CCTS)</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Certified Safety and Security Officer (CSSO) Program</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Crisis Communication for Transit Employees</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Curbing Transit Employee Distracted Driving</a>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Defensive Driving</a>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>3</sup> All Employees include the organization’s drivers, mechanics, supervisors/managers, board of directors, accountable executive, chief safety officer, and contractors.

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

APPENDIX A – SAFETY TRAINING PROGRAM						
Training	All Employees <sup>3</sup>	Drivers	Mechanics	Supervisors/ Managers	CSO	Contractors
<a href="#">2 the Point - Defensive Driving</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Developing a Transit Emergency Management Plan</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">2 the Point - Distracted Driving</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Fatigue and Sleep Apnea Awareness for Transit Employees</a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Passenger Assistance and Sensitivity (PASS) - Driver Certification</a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Passenger Assistance and Sensitivity (PASS) - Trainer Certification</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Post-Accident Testing</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">Pre-Trip and Post-Trip Inspections</a>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">Reasonable Suspicion Testing</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#">SMS Awareness</a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

<b>APPENDIX A – SAFETY TRAINING PROGRAM</b>						
<b>Training</b>	<b>All Employees<sup>3</sup></b>	<b>Drivers</b>	<b>Mechanics</b>	<b>Supervisors/ Managers</b>	<b>CSO</b>	<b>Contractors</b>
<a href="#"><u>Safety Training and Rural Transit (START)</u></a>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<a href="#"><u>Transit Bus System Safety</u></a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#"><u>Transit Maintenance Leadership Workshop</u></a>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#"><u>Transit Safety and Security Audit Course</u></a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<a href="#"><u>Violence in the Transit Workplace - Prevention, Response and Recovery</u></a>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

<b>APPENDIX B – TRAINING COURSES (Summary)</b>						
<b>Training</b>	<b>Training Provider</b>	<b>Delivery Method</b>	<b>Cost</b>	<b>Length</b>	<b>Refresher</b>	<b>Website</b>
<a href="#">Advanced Mobility Device Securement</a>	National Transit Institute (NTI)	Instructor-led (direct delivery)	Free	2 days	<input checked="" type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">All-Hazards Awareness and Preparedness for Transit Employees</a>	National Transit Institute (NTI)	Instructor-led (direct delivery)	Free	4 hours	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">Assault Awareness and Prevention for Transit Operators</a>	National Transit Institute (NTI)	Instructor-led (direct delivery)	Free	3 hours	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">Bus Maintenance and Bus Testing Program Peer-to-Peer Exchange</a>	National Transit Institute (NTI)	Instructor-led	Contact Training Provider	1 day	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">Certified Community Transit Supervisor (CCTS)</a>	Community Transportation Association of America (CTAA)	Instructor-led	\$8,375 (class size: minimum 10, maximum 25 persons)	2 days	3 years	<a href="http://www.ctaa.org">www.ctaa.org</a>
<a href="#">Certified Safety and Security Officer (CSSO) Program</a>	Community Transportation Association of America (CTAA)	Instructor-led	\$6,500 (class size limited to 20 persons)	2 days	<input checked="" type="checkbox"/>	<a href="http://www.ctaa.org">www.ctaa.org</a>
<a href="#">Crisis Communication for Transit Employees</a>	National Transit Institute (NTI)	Instructor-led (direct delivery)	Free	4 hours	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">Curbing Transit Employee Distracted Driving</a>	Transit Safety Institute (TSI)	Online	Free	30 minutes	<input checked="" type="checkbox"/>	<a href="http://www.transportation.gov/transportation-safety-institute">www.transportation.gov/transportation-safety-institute</a>
<a href="#">Defensive Driving</a>	National Safety Council (NSC)	Instructor-led	Contact Training Provider	4, 6, or 8 hour sessions	<input checked="" type="checkbox"/>	<a href="http://www.nsc.org">www.nsc.org</a>
<a href="#">2 the Point - Defensive Driving</a>	National Rural Transportation Assistance Program	Training Cards	Free	Individual Pace	<input checked="" type="checkbox"/>	<a href="http://www.nationalrtap.org/Training/Training-Overview">www.nationalrtap.org/Training/Training-Overview</a>

PUBLIC TRANSPORTATION AGENCY SAFETY PLAN

<b>APPENDIX B – TRAINING COURSES (Summary)</b>						
<b>Training</b>	<b>Training Provider</b>	<b>Delivery Method</b>	<b>Cost</b>	<b>Length</b>	<b>Refresher</b>	<b>Website</b>
<a href="#">Developing a Transit Emergency Management Plan</a>	National Transit Institute (NTI)	Instructor-led	Free	1 and ½ days	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">2 the Point - Distracted Driving</a>	National Rural Transportation Assistance Program	Training Cards	Free	Individual Pace	<input checked="" type="checkbox"/>	<a href="http://www.nationalrtap.org/Training/Training-Overview">www.nationalrtap.org/Training/Training-Overview</a>
<a href="#">Fatigue and Sleep Apnea Awareness for Transit Employees</a>	Transit Safety Institute (TSI)	Online	Free	50 minutes	<input type="checkbox"/>	<a href="http://www.transportation.gov/transportation-safety-institute">www.transportation.gov/transportation-safety-institute</a>
<a href="#">Passenger Assistance Safety and Sensitivity (PASS) - Driver Certification</a>	Community Transportation Association of America (CTAA)	Instructor-led	\$7,500 (\$500 per participant, class size limited to 16 persons)	2 days	<input checked="" type="checkbox"/>	<a href="http://www.ctaa.org">www.ctaa.org</a>
<a href="#">Passenger Assistance Safety and Sensitivity (PASS) - Trainer Certification</a>	Community Transportation Association of America (CTAA)	Instructor-led	\$7,500 (\$500 per participant, class size limited to 16 persons)	3 days	<input checked="" type="checkbox"/>	<a href="http://www.ctaa.org">www.ctaa.org</a>
<a href="#">Post-Accident Testing</a>	Connecticut Statewide Drug and Alcohol Testing Consortium	Instructor-led	Free	2 hours	<input type="checkbox"/>	<a href="http://www.hartfordtransit.org">www.hartfordtransit.org</a>
<a href="#">Pre-Trip and Post-Trip Inspections</a>	Organization	Supervisor/Manager-led	Free		<input type="checkbox"/>	
<a href="#">Reasonable Suspicion Testing</a>	Connecticut Statewide Drug and Alcohol Testing Consortium	Instructor-led	Free	2 hours	<input checked="" type="checkbox"/>	<a href="http://www.hartfordtransit.org">www.hartfordtransit.org</a>
<a href="#">SMS Awareness</a>	Transit Safety Institute (TSI)	Online	Free	1 hour	<input type="checkbox"/>	<a href="http://www.transportation.gov/transportation-safety-institute">www.transportation.gov/transportation-safety-institute</a>

<b>APPENDIX B – TRAINING COURSES (Summary)</b>						
<b>Training</b>	<b>Training Provider</b>	<b>Delivery Method</b>	<b>Cost</b>	<b>Length</b>	<b>Refresher</b>	<b>Website</b>
<a href="#">Safety Training and Rural Transit (START)</a>	National Rural Transportation Assistance Program	Online	Free	Individual Pace	<input checked="" type="checkbox"/>	<a href="http://www.nationalrtap.org/Training/Training-Overview">www.nationalrtap.org/Training/Training-Overview</a>
<a href="#">Transit Bus System Safety</a>	Transit Safety Institute (TSI)	Instructor-led	\$115.00 per participant	4 and ½ days	<input type="checkbox"/>	<a href="http://www.transportation.gov/transportation-safety-institute">www.transportation.gov/transportation-safety-institute</a>
<a href="#">Transit Maintenance Leadership Workshop</a>	National Transit Institute (NTI)	Instructor-led	\$2,095.00 per participant	4 and ½ days	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>
<a href="#">Transit Safety and Security Audit Course</a>	Transit Safety Institute (TSI)	Instructor-led	\$60.00 per participant	3 days	<input type="checkbox"/>	<a href="http://www.transportation.gov/transportation-safety-institute">www.transportation.gov/transportation-safety-institute</a>
<a href="#">Violence in the Transit Workplace - Prevention, Response and Recovery</a>	National Transit Institute (NTI)	Instructor-led (direct delivery)	Free	4 hours	<input type="checkbox"/>	<a href="http://www.ntionline.com">www.ntionline.com</a>

## APPENDIX C – TRAINING COURSES (Description)

Advanced Mobility Device Securement – Transit agencies have the responsibility to provide safe transportation and respect the civil rights of all passengers, including those who use mobility devices. In order to fulfill this responsibility, bus operators secure mobility devices and place seat belts on the passengers who use mobility devices as transit seating. This important task is becoming increasingly challenging as operators are confronted with a variety of powered mobility devices that often lack traditional securement points and may not have been addressed in basic securement training. This workshop gives transit professionals responsible for preparing operators an opportunity to address these securement challenges, explore related issues with peers, and enhance their knowledge and skills. [www.ntionline.com](http://www.ntionline.com)

All-Hazards Awareness and Preparedness for Transit Employees – All-Hazards Awareness and Preparedness for Transit Employees is designed to help transit employees develop the observation, communication, and response skills needed to address all-hazards incidents while ensuring their own safety and that of their customers. The objectives of the course are to describe the importance of taking an all-hazards approach to transit incidents and events, explain their responsibilities and priorities during all-hazards incidents and events, distinguish between notice and no-notice incidents and events and select appropriate response and reporting strategies for all-hazards incidents and events. [www.ntionline.com](http://www.ntionline.com)

Assault Awareness and Prevention for Transit Operators – The goal of this course is to give bus operators in the transit industry the knowledge and skills needed to reduce the likelihood of assault incidents from occurring. Prevention methods covered include defining assault, discussing the types of incidents that could be considered assault and recognizing key vulnerability factors. Prevention strategies focus on communication and response skills, and the value of reporting incidents. In addition, the training includes information on the importance of seeking assistance to recover from assault incidents. [www.ntionline.com](http://www.ntionline.com)

Bus Maintenance and Bus Testing Program Peer-to-Peer Exchange – During this workshop participants will share best practices in frontline maintenance worker training, share model bus maintenance programs from both the original equipment manufacturers (OEM) and transit agency perspectives - especially related to new alternative fuel vehicles and educate transit agencies about the bus testing program. [www.ntionline.com](http://www.ntionline.com)

Certified Community Transit Supervisor (CCTS) – This two-day classroom workshop has been updated to include a wide variety of skills necessary to successfully manage front-line employees and a web-based prerequisite course. The workshop will provide comprehensive training in leadership, working effectively within a team, communication skills, coaching skills, performance gap analysis, motivation, use of positive & progressive discipline, dealing with emotional employees and how to use feedback effectively. [www.ctaa.org](http://www.ctaa.org)

Certified Safety and Security Officer (CSSO) Program – The CSSO Program is designed to help personnel build the transportation organization, enhance the professionalism of the internal team, safely serve its customers, fulfill its responsibilities in assisting in community preparedness, identify internal safety and security strengths and weaknesses and reduce system exposure to liability. [www.ctaa.org](http://www.ctaa.org)

Crisis Communication for Transit Employees – Effective communication is essential to the management of transit crises - whether they are derailments, power outages or prolonged service delays. Crisis Communication Training for Transit Employees will equip frontline and supervisory transit personnel with the skills and techniques they need to communicate effectively within their organizations and with passengers throughout a crisis to enable successful response and recovery. [www.ntionline.com](http://www.ntionline.com)

Curbing Transit Employee Distracted Driving – This 30-minute on-line course is designed to raise awareness of distracted driving with the desired outcome of reducing the risk of distracted driving by public transportation professionals. The training covers the definition of the term "distracted", risks of driving while distracted, typical distractions, tips for preventing distracted driving, and regulations, laws, and company policies using wireless devices. [www.transportation.gov/transportation-safety-institute](http://www.transportation.gov/transportation-safety-institute)

Defensive Driving – The Defensive Driving Course is the fundamental driver safety training program of the National Safety Council providing learners with core defensive driving knowledge and techniques. The Defensive Driving Course can be delivered in 8-hours, 6-hours or 4-hours based on the participant's needs and the organization's training requirements. [www.nsc.org](http://www.nsc.org)

2 the Point – Defensive Driving – National RTAP 2 the Point Training Cards have been designed to be quick refresher trainings for transportation drivers that can be reviewed in the break room, while parked and waiting for a passenger to finish an appointment, or at the beginning of the day before beginning a route. Each card has training information on the front and a set of questions on the back. After the driver finishes reviewing the information, he/she can answer the short quiz. There is space at the bottom of the card for both the driver's and his/her supervisor's signature. [www.nationalrtap.org/Training/Training-Overview](http://www.nationalrtap.org/Training/Training-Overview)

Defensive Driving covers: en-route inspection, personal preparedness risk factors, I.P.D.E. driving method, unintentional skids, night driving, reduced visibility, driving through water, winter driving, summer driving, speed and following distance, braking distance, mirror and blind spots, backing, passing, freeway safety, yielding, pedestrians and bicyclists. [www.nationalrtap.org/Training/Training-Overview](http://www.nationalrtap.org/Training/Training-Overview)

Developing a Transit Emergency Management Plan – To be able to safely and efficiently resolve emergencies and interact successfully with emergency responders, transit agencies need to have plans in place before an emergency occurs. This workshop is designed to equip transit employees who are responsible for developing or updating emergency management plans with the skills they need to do so effectively. Participants will learn what elements to include in a plan, how emergency management ties into the activities that their agency and employees already perform, and useful strategies for developing, implementing, and updating their plans. [www.ntionline.com](http://www.ntionline.com)

2 the Point - Distracted Driving – National RTAP 2 the Point Training Cards have been designed to be quick refresher trainings for transportation drivers that can be reviewed in the break room, while parked and waiting for a passenger

to finish an appointment, or at the beginning of the day before beginning a route. Each card has training information on the front and a set of questions on the back. After the driver finishes reviewing the information, he/she can answer the short quiz. There is space at the bottom of the card for both the driver's and his/her supervisor's signature.

Distracted Driving covers: what distractions are, facts about distracted driving, and how to be distraction free.  
[www.nationalrtap.org/Training/Training-Overview](http://www.nationalrtap.org/Training/Training-Overview)

Fatigue and Sleep Apnea Awareness for Transit Employees – This 50-minute course is designed to inform and guide transit operators and systems regarding the identification and treatment of individuals at high risk for obstructive sleep apnea and other sleep disorders, as well as general concepts about sleep and fatigue.  
[www.transportation.gov/transportation-safety-institute](http://www.transportation.gov/transportation-safety-institute)

Passenger Assistance Safety and Sensitivity (PASS) Driver Certification – The Passenger Assistance Safety and Sensitivity (PASS) Trainer and Driver Certification program ensures that community transportation drivers have current expertise in passenger assistance techniques and sensitivity skills appropriate for serving persons with disabilities. [www.ctaa.org](http://www.ctaa.org)

Passenger Assistance Safety and Sensitivity (PASS) Trainer Certification – The Passenger Assistance Safety and Sensitivity (PASS) Trainer and Driver Certification program ensures that community transportation drivers have current expertise in passenger assistance techniques and sensitivity skills appropriate for serving persons with disabilities. [www.ctaa.org](http://www.ctaa.org)

Post-Accident Testing – The core objective of this on-site training is to provide a concise review of pertinent regulations governing the FTA post-accident testing determination process and incorporate experience and expertise from consortium members who are confronted daily with this challenging responsibility.

Each attendee will learn regulation requirements, gain insight from peers about ideas and practices they have put in place to overcome scheduling and logistical challenges. This will serve to encourage members to formulate/formalize post-accident testing practices based on their own specific needs and unique allocation of resources. This training will instill confidence to make good decisions that enhance safety and ensure compliance with DOT/FTA regulations.  
[www.hartfordtransit.org](http://www.hartfordtransit.org)

Pre-Trip and Post-Trip Inspections – This training will focus on assisting the driver in identifying and documenting any vehicle defects prior to the movement of the vehicle and at the end of the trip. These vehicle inspections are essential to the safe and efficient operation of the fleet and will improve the agency's fleet maintenance by reducing costly repairs.

Reasonable Suspicion Testing – Individuals authorized to determine when it is appropriate to administer reasonable suspicion testing will become aware of the impact of drug abuse and alcohol misuse on society and the transportation industry, understand the effects of drug abuse and alcohol misuse, identify the at-risk employee, and learn how to encounter and refer an employee to the Employee Assistance Program and the rehabilitation process. [www.hartfordtransit.org](http://www.hartfordtransit.org)

SMS Awareness – This course will introduce the participant to Safety Management Systems (SMS), describe the four components of FTA’s SMS Framework, and identify the importance of Employee Safety Reporting Systems to the success of SMS. [www.transportation.gov/transportation-safety-institute](http://www.transportation.gov/transportation-safety-institute)

Safety Training and Rural Transit (START) – START offers basic information for new drivers or refresher training for experienced drivers and is broken into three sections: Vehicle Safety, Driver/Operator Safety, and Passenger Safety. START Online consists of eight lessons within these sections, plus the original four videos. It uses e-learning tools to enhance and reinforce learning: scenarios, games, quizzes, and more. [www.nationalrtap.org/Training/Training-Overview](http://www.nationalrtap.org/Training/Training-Overview)

Transit Bus System Safety – Study the four pillars of Safety Management Systems (SMS) and how SMS and System Safety work together to help create a safer working environment. Discover how the application of engineering and management principles, criteria and techniques can help to lower safety risk to acceptable levels. Explore the concepts of safety climate, safety risk management, the hazard reduction matrix as well as the hazard reduction precedence. [www.transportation.gov/transportation-safety-institute](http://www.transportation.gov/transportation-safety-institute)

Transit Maintenance Leadership Workshop – The Transit Maintenance Leadership Workshop was created specifically for senior-level public transit maintenance managers. The workshop will focus on supporting the development of leadership skill, exploring strategic maintenance planning, facilitating the sharing of best practices, and building a network of transit maintenance professionals. [www.ntionline.com](http://www.ntionline.com)

Transit Safety and Security Audit Course – Discover what makes an effective audit. Prepare for and conduct a simulated safety audit of operational processes to verify safety performance. Evaluate the effectiveness of and conformance to safety risk controls. Learn the expectations for planning and conducting audits, reporting audit results and maintaining records. [www.transportation.gov/transportation-safety-institute](http://www.transportation.gov/transportation-safety-institute)

Violence in the Transit Workplace – Prevention, Response and Recovery –The goal of this course is to provide participants with knowledge and skills to prevent, respond to and recover from workplace violence. Prevention methods covered include implementing system and personal security measures, recognizing and reporting the warning signs of potentially violent behavior and using effective interpersonal skills for dealing with different, difficult and dangerous people. Response strategies focus on self-preservation and the importance of accurate reporting. The recovery module addresses the stress associated workplace violence and what employees can do to address the impact of it on themselves and co-workers. [www.ntionline.com](http://www.ntionline.com)

## DEFINITIONS

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

Chief Safety Officer means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that 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.

Equivalent Authority means an entity that carries out duties similar to 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.

Event means any Accident, Incident, or Occurrence.

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

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.

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

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

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

Performance measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the 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 Federal Transit Administration (FTA).

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

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.

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

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

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

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

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

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

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

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

Serious injury means any injury which:

- Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received;
- Results in a fracture of any bone (except simple fractures of fingers, toes, or noses);
- 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.

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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 is able to 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 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.

**ACRONYMS**

<u>Acronym</u>	<u>Definition</u>
AE	Accountable Executive
ASP	Agency Safety Plan
CFR	Code of Federal Regulations
CSO	Chief Safety Officer
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
MPO	Metropolitan Planning Organization
NSP	National Public Transportation Safety Plan
PTASP	Public Transportation Agency Safety Plan
SA	Safety Assurance
SMP	Safety Management Policy
SMS	Safety Management System
SP	Safety Promotion
SPI	Safety Performance Indicator
SPT	Safety Performance Target
SRM	Safety Risk Management
TAM	Transit Asset Management
TSSP	Transit Safety and Security Program
USDOT	United States Department of Transportation
VRM	Vehicle Revenue Miles