SUMMARY OF REVISIONS TO NYCT DEPT. OF BUSES 2025 AGENCY SAFETY PLAN-SYSTEM SAFETY PROGRAM PLAN

Changes to typographical errors and formatting in Sections 1 thru 8
Global Change made: All Policy Instruction (P/I) numbers truncated, not including the version number, example (10.1.7, truncated to "most recent version of P/I 10.1").

- Pg 1-2: FTA Funding Types Updated
- Pg 1-3: Section 1.2 Scope Of Bus Operations – Updated to include "Bus wrapping and major accidents are conducted at shops in Queens and Bronx, while minor accidents without painting is limited to the shop in Brooklyn."
- Pg 1-5 thru 1-7: Section 1.2.4 Facilities – Environmental Compliance & Management - Responsibility updated, (see Pg1-5 and Pg1-7 in ASP)
- Pg 1-8: Section 1.2.4 Facilities – Facilities Unit - Responsibility updated to include, "Responsible for the maintenance and operation of mechanical and electrical equipment not related to fuel dispensing metering equipment."
- Pg 2-2 thru 2-3: Updated titles/signatures/approvals
- Pg 2-4 thru 2-5: Updated approval documentation – To be added once ASP approved.
- Pg3-4 thru 3-5: Section 3.4 Safety and Risk Reduction Performance Measures & Targets – Updated to and includes New York City Transit 2022 - 2024 safety and risk reduction performance measures and targets numbers in table format. (see Pg3-4 and Pg3-5 in ASP)
- Pg 4-10: Updated Agency Leadership and Executive Management
- Pg 4-11: Updated Key Staff – Department of Buses
- Pg 4-12: Updated Organization Charts
- Pg 4-14: thru 4-15: Inserted updated Safety Rule Dispute Resolution Form (SRDRF)
- Pg 4-16: Added Section 4.6.4 "Get It Fixed Reporting Website" – "An additional online reporting mechanism called "Get It Fixed" located at https://mta.info/getitfixed, has been established. Get It Fixed is an online reporting portal developed for use by NYCT employees to report issues like customer behavior, equipment issues, climate/comfort, and cleanliness among other reportable topics."
- Pg 4-16 thru 4-20: Section 4.7.1 Purpose updated, (see pg 4-16 thru pg4-20 in DOB ASP-SSPP)
- Pg 5-8: Section 5.4.1 MTA Bus/NYCT Department of Buses – Section Updated to include "NYCT Department of Buses/MTA Bus Company commonly responds to emergencies without the need of support from MTA HQ Emergency Management (HQ EM). However, in conditions where there are emergencies/incidents that will impact or potentially impact more that one (1) MTA Agency, the MTA has adopted a modified version of the National Incident Management System (NIMS) ICS Structure for the management, communication, and coordination of such events. These polices and procedures are presented in the MTA's All-Hazards Communication & Coordination Plan (AHCCP). The AHCCP is presented in Appendix AZ. "
- Pg 6-21 – 6-22: Updated Section 6.5.4 Facilities to reflect organization changes, (see pg 6-20 and 6-21 in 2025 DOB ASP-SSPP)

- Pg 6-28: Section 6.7.5 Updated to include, "The Maintenance, Support & Engineering Division follows the most recent versions of Policy Instructions 4.24.5 – Drugs and Controlled Substances and 4.13.3 – Alcohol. All Maintenance, Support & Engineering employees with safety sensitive titles are in the random drug testing program. Employees suspected of being under the influence (drug or alcohol) are sent to the Medical Assessment Center for testing. Employees are encouraged to seek assistance through their Union Assistance Program (UAP). Employees who test positive are offered counseling through Work Life Services (WLS) (formerly known as the Employee Assistance Program (EAP))."
- Pg 7-5: Section 7.1.1B Updated to include, "(for operators & dispatchers) and the Maintenance Training School (maintenance titles) have."
- Pg 7-9: Section 7.1.1G De-Escalation Training Updated to include – "All bus operators are trained biennially on the challenges of customer interaction and presented with mitigation techniques aimed at minimizing employee assaults. The mission of the training is to actively engage the operators, have open discussions on real-life concerns, team building exercises, and provide key customer service skills and techniques for de-escalating situations. The training emphasizes the direct correlation of providing great customer service as a vital step towards minimizing negative interactions with customers. Discussion forums allow participants to share challenging experiences with their peers. Instructors provide participants with feedback on current best practices and strategies to prevent situations before they occur. These tactics include having positive attitude, patience, self-discipline, respect, and empathy. Participants are taught to use a neutral tone when addressing customers, to be aware of body language, and the importance of using language that allows the customer to feel heard or validated. Critical to the training is encouraging employees to utilize MTA Work-Life Services to improve their wellbeing, discuss stressful situations, and learn how to manage emotional responses.

  Additionally, frontline employees are trained in customer service and communications, as outlined by departmental training guidance and curricula. The training entails dealing with different types of customers (timid, overly friendly, culturally diverse, etc.), as well as with angry and emotional customers, and diffusing/de-escalation of angry passengers and situations.

  Additionally, New York City Transit is committed to maintaining a workplace free from violence, threats of violence, harassment, intimidation, and other forms of disruptive behavior. All NYCT employees are trained on and required be familiar with the agency policy to promote a safe environment for all employees. An example of this is maintenance employees take an initial workplace violence prevention training P/I #P-1 training and complete an annual workplace violence prevention policy review."

- Pg 8-5: – Section added - "Maintenance Directives/Technical Service Bulletins - There are various Maintenance Directives and Technical Service Bulletins that are issued to establish policy and procedures for performing maintenance on assets, equipment and systems and to provide guidance of fixing recurring issues, which can impact performance, reliability and safety."

New York City Transit

DEPARTMENT OF BUSES
AGENCY SAFETY PLAN
(SYSTEM
SAFETY PROGRAM PLAN)

2025

2025 AGENCY SAFETY PLAN (ASP)/SYSTEM SAFETY PROGRAM PLAN (SSPP) FOR BUSES - TABLE OF CONTENTS

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1 Transit Agency Information

1.1 New York City Transit Information

Transit Agency Name: NEW YORK CITY TRANSIT (NYCT)

Transit Agency Address: 2 Broadway, New York, NY 10004

Accountable Executive:
Demetrius Crichlow, President, NYCT

SMS Executive and Chief Safety Officers:
Brian Lapp, Senior Vice President, Safety & Security, NYCT

Mode of Service Covered by This Plan: Buses

Federal Transit Administration (FTA) Funding Types:

Grant Program Type	Total Obligation Amount
CIG 5309	4,599,638,564.00
ER (5324)	5,707,741,469.00
Flexible Funds	837,733,526.00
Formula (5307)	19,599,743,487.00
Formula (5337)	8,568,314,394.00
Formula (5339)	416,534,360.00
Discretionary	377,555,185.00
Grand Total	40,107,260,985.00

Mode of Service Provided by the Transit Agency: Bus & Rail

NYCT Agency serves a large urbanized area. – New York City

1.2 Scope of Bus Operations

New York City Transit and MTA Bus Company provide local and express passenger service to the five boroughs (Manhattan, Queens, Brooklyn, Bronx, and Staten Island) of the City of New York. New York City Transit Bus and MTA Bus operate 5,932 buses on 238 local, 20 Select Bus Services (SBS) and 75 express bus routes in all five boroughs. The average weekday ridership for 2024 (was 1.3 million a day, 409 million annually within the five boroughs. The number of average weekday trips is approximately 54,000 servicing 16,000 bus stops. Buses are housed, washed, serviced, and maintained at 27 depots located in the five (5) boroughs of New York City and Westchester County. General overhauls and heavy maintenance are performed in central maintenance facilities located in the Bronx, Queens, and Brooklyn. Rebuilding of individual bus components are performed in dedicated shops located in Manhattan and Brooklyn. Wrapping and minor painting of buses is performed in shops located in Manhattan, Brooklyn and the Bronx. Bus wrapping and major accidents are conducted at shops in Queens and Bronx, while minor accidents without painting is limited to the shop in Brooklyn.

1.2.1 Division of Business Strategies and Operations Support

The Division of Business Strategies and Operations Support is responsible for providing a variety of administrative and support services to the various Bus departments and divisions.

Business Strategies & Operations Support Unit	Responsibility
Budget & Financial Reporting	Develop, control, and monitor the annual operating and capital budgets.
Business Strategies	Direct and coordinate cross-functional and inter-departmental efforts, analyze data from various sources to manage critical issues.
Material Distribution & Inventory Planning	Material planning for parts and rebuildable components, forecasting, materials cataloging, salvage and storeroom functions.
Procurement	Purchase materials, equipment, and services on behalf of MTABC. Manage all centralized NYCT and MTABC third party vendor contracts.
Bus Technology Systems	Evaluate, test, and deploy all on-board customer-oriented technology and infrastructure.
Strategic Priorities Group	Provides quality control and support for buses key priorities, projects, and initiatives. This includes but not limited to review, analysis, audit, and recommendations to improve business processes. The group also provides high level project management and oversight of the key projects and integration with bus operations.
Environmental Sustainability	Develop sustainability programs to reduce greenhouse gas and other emissions, reduce energy and water consumption, and reduce waste.
Business Process Re-Engineering	Ensures improvement of critical IT systems, and availability of key performance data. Responsible for the integrity of the weekly payroll for represented employees.

Business Strategies & Operations Support Unit	Responsibility
Administration	Manages key functions related to the planning, funding, and administration of high-level support activities for MTA Bus.

1.2.2 Operating Divisions

The Operating Divisions are responsible for delivering a safe, clean, and reliable bus service, ensuring employee and customer safety, and promoting a safe work environment in compliance with all federal, state, and local regulations. The sections are inclusive of depot, road and administrative operations for the East, West, Central, North and South Divisions.

Operating Divisions Sections	Responsibility
Central Road Service	Emergency road repairs and towing services
Road Operations	Monitor and regulate service, respond to collisions/incidents and conduct investigations, supervise bus operators, and plan detours
Division Offices	Monitor Depot and Road Operations
Depots	Service delivery, bus maintenance, human resources, customer and employee safety, budget management, implementation of policies and procedures. Monitor Depot and Road Operations.

1.2.3 Transportation, Safety, & Training

The Division of Transportation, Safety & Training is responsible for providing a variety of training, evaluations (accidents/collisions), reviews, advocacy, and development (new programs/initiatives) services to the various bus departments and divisions. The Division of Transportation, Safety & Training, consists of the Safety & Operations Performance unit, Occupational Safety Compliance unit, Transportation Operations unit, and the Customer Advocacy and Planning & Development unit.

Transportation, Safety and Training	Responsibility
Safety & Operations Performance	New bus operators and dispatchers training, 19A compliance, drivers licensing monitoring, performance evaluation, probationary reviews, respond to PTSB accidents, rate bus collisions and customer accidents
Occupational Safety	Implement and monitor environmental and industrial safety program. Develop department policies and instructions
Customer Advocacy	Responsible for customer advocacy, managed ADA Compliance, focus on quality of customer experience, identification of employee swing room
Transportation Operations	Manage safety and emergency response training, coordinate the training program, and develop the occupational and environmental safety plans.
Operations Planning	Directs the development of all new programs/initiatives

1.2.4 Facilities

The Facilities Department is responsible for providing equipment maintenance, preventive maintenance, project planning, environmental compliance, construction/engineering project oversight, budget development and cost control services for 35 locations, which include 32 facilities and 3 shops. The Facilities Department consists of P&E and Trade Group Operations, Operating Engineering & Construction Management, Environmental Compliance Management, and Business Planning and Administration.

Facilities Unit	Responsibility
Plant and Equipment (P&E) and Trade Groups Operations	Accountable for the direction and execution of the Building/Equipment maintenance program to ensure facilities functions are performed within established standards. Responsible for activities of trade groups and equipment maintenance functions in the depots, assists operating division in the prioritization and effective planning of projects.
Environmental Compliance & Management	**Chemical / Petroleum Bulk Storage Tank Systems** 1. Periodic mandatory testing of spill prevention, detection, and containment systems. 2. Maintenance and operation of mechanical and electrical components of diesel, gasoline and bulk fluid storage tanks, diesel and gasolinemetering equipment for dispensing systemsmetering equipment. , including

Facilities Unit	Responsibility
	3. Investigates Veeder Root inventory monitoring, and leak detection alarms,systems. Ensures the integrity of storage tank systems, and investigates potential releases from these systems and remotely monitors all fuel and bulk storage tanks and related systems. 4. Ensures all inventory monitoring information corresponds to NYSDEC tank registrations and facility inventory reports. 5. Ensures compliance with EPA, NYSDEC, and FDNY requirements for regulated bulk storage systems to avoid violations and fines in accordance with regulatory timeframes. 6. Permanently closes tanks (as needed) excluding subsurface investigations and track tank usage to identify tanks that may need to be closed. 7. Provides support for fueling systems and implement fuel quality program. Conducts periodic testing (twice / year) of diesel fuel in storage tanks to determine if unacceptable levels of microbial contamination are present, treat fuel with microbicide and retest the fuel as needed. **CNG Program – Monitoring Compressed Natural Gas and Alternative Fuels** 1. Manages the CNG program area, ensuring the safe and efficient use of compressed natural gas and other alternative fuels. 2. Develops training programs for the proper monitoring and maintenance of fuel systems. 3. Ensures environmental compliance in all aspects of fuel and fluid management systems. 4. Coordinates with maintenance teams and vendors to implement best practices for alternative fuel handling and storage. 5. Conducts regular audits and inspections to ensure adherence to federal, state, and local environmental and safety regulations.

Facilities Unit	Responsibility
	Environmental Compliance (not specified under bulk storage tank systems above). 1. 1.Compliance with federal and state hazardous waste regulations (RCRA). 2. 2.Compliance with federal toxic release inventory regulations (TRI). 3. 3.Compliance with federal emergency planning and right-to-know regulations (EPCRA). 4. 4.Compliance with federal and state air permitting regulations (Title V, etc.). 5. 5Compliance with NYC DEP backflow prevention regulations. 6. Compliance with federal and state stormwater regulations. 7. Responsible for managing asbestos abatement and lead disturbance programs and Acts as the departmental liaison for asbestos and lead. 8. Oil Water Separator, catch basin/storm water systems as well as code compliance regarding operating construction projects. 9. 9. Reviews operating projects for regulatory compliance. 10. Manages and oversees the service of oil/water separators. **Code Compliance Unit** **1.** Reviews Proposed Facilities Projects for compliance with NYS construction codes, NFPA, ADA, and OSHA requirements. 2. Issues Construction Permits and Code Compliance Certificates. 3. Reviews and responds to code compliance related employee complaints and NYS Department of Labor complaints. 4. Ensures compliance with NYS mandated Facilities inspections (e.g., Condition Assessments of Parking Garages and Fire Safety Inspections). 5. Advise Facilities Unit of relevant forthcoming code changes.
Operating Engineering, Design & Construction Management	Develops scopes of work for capital and operating projects performed in house and by vendors/contractors. Interface with Construction & Development (C&D) and DOB operating

Facilities Unit	Responsibility
	management on capital construction performed at Facilities. Performs construction and engineering oversight during construction projects. Assigns construction Inspectors to ensure concerns are addressed during the design and construction phase. Tracks capital construction projects from inception to completion. Responsible for the maintenance and operation of mechanical and electrical equipment not related to fuel dispensing metering equipment.
Business Planning and Administration	Directs and improves operating and capital budget development and cost control. Directs the computerized maintenance management systems MP2/7i preventive maintenance development and analysis to enhance the safety and reliability and life cycle of facility assets. Coordinate real estate functions and divisional employee training for all employees. Directs PM/night operation functions and provides support/coverage for facilities to ensure accountability, safety, and effective operations.

1.2.5 Maintenance, Support & Engineering

The Maintenance, Support & Engineering department includes five (5) major divisions: 1) Central Maintenance Facilities, 2) Maintenance Policy, Support & Engineering, 3) Business Planning and Administration, 4) Support Fleet Services, and 5) R&D/Zero-Emission Fleet Implementation. The responsibilities of the department include:

- Providing engineering support for bus maintenance, establishing, and ensuring adherence to maintenance policies, improving reliability and safety of fleets, as well as providing customer service to the divisions.
- Development of fleet wide bus fleet plans, purchasing buses, implementing new bus technologies, doing research and development, implementing Zero-Emission fleet implementation, maintenance training, and improving bus design and maintenance plans/schedules to reduce road calls and improve Mean Distance Between Failures (MDBF).
- Providing scheduled overhaul maintenance of buses and components, procuring and maintaining non-revenue vehicles, ensuring the safety of employees and customers, and promoting a safe work environment in compliance with all federal, state, and local regulations. The Division of Central Maintenance Facilities consists of three (3) overhaul shops

The five (5) divisions and their sub-divisions attend to different areas of these responsibilities while collaborating with each other. The detailed responsibilities of each division and sub-division are as follows:

Maintenance Support & Engineering	**Responsibility**
Maintenance Policy, Support & Engineering - New Bus Procurement	Governs new bus purchases, including vendor surveillance, fleet management, and financial compliance. Manages warranties. Performs FTA compliance functions, and OEM, supplier and first article inspection audits. Audits quality assurance and standards and compliance for depots, shops, and vendors. Provides support to procurement in writing specifications and RFP oversight. Develops improvements in bus design and maintenance to reduce road calls and improve Mean Distance Between Failure (MDBF). Monitors defect trends, declares fleet defects, and managers and expedites fleet campaigns.
Maintenance Policy, Support & Engineering - Maintenance Training School	Provides maintenance and technical training to all new and promoted maintenance personnel through classroom instruction, maintenance labs, and hands-on training. Curriculum includes major bus components and systems and Right-To-Know training. Coordinate new bus vendor training to train the workforce on the newly acquired buses. Responsible for the Depot Training Supervisory (DTS) program. Administers the Maintenance Probationary personnel program. Coordinates training support for field issues identified by Technical Services, Customer Services & Engineering sub-divisions

Maintenance Support & Engineering	**Responsibility**
Maintenance Policy, Support & Engineering - Technical Services, Customer Services & Engineering	Responsible for engineering support for bus maintenance. Work includes development of Scheduled Operations (SO) procedures and modification of preventive maintenance inspection cycles, development of CMF work scopes and Bills of Material (BOMs), evaluating component life cycles, and producing specifications for materials and services. Evaluates and tests vendor products to ensure vendor quality and compliance is within specifications. Manages and addresses technical portion of safety event investigation and failure forensics. Responsible for developing and maintaining a full-time field presence to improve responsiveness, problem solving, and application of uniform standards for maintenance operations. Provides feedback and communication on maintenance policies and technical issues between maintenance and the operating divisions, focusing on safety issues. Evaluates engine defects and coordinates with shop, vendor, and warranty to ensure bus is repaired properly. Responsible for industrial engineering work validating Technical Service Bulletins and labor standards development. Coordinates maintenance and assists depot maintainers in diagnosing and repairing bus defects.
Central Maintenance Facility – Overhaul Shops, Units/Fabrication & Bus Scrap, MTABC Revenue Collection & Electronic Maintenance.	Overhaul Shops – Responsible for coordinating and completing scheduled overhaul maintenance on all bus fleets, including major overhauls on electrical, mechanical, and body components. Assures that Shop Quality Control programs are met. Units/Fabrication & Bus Scrap – Responsible for refurbishing and restoring bus components (i.e., radiators, transmissions, and rear door base plates). Minimizes “out of stock” components. Responsible for retiring revenue equipment. MTABC Revenue Collection & Electronic Maintenance – Responsible for directing MTA Bus Farebox operations and creating maintenance policies to improve farebox reliability at all MTA Bus Depots. Ensures collection equipment is properly maintained, and defects are minimized.

Maintenance Support & Engineering	**Responsibility**
Support Fleet Services	Responsible for procurement and maintenance of non-revenue fleet and non-fixed equipment for NYCT and MTA Bus Company. Responsible for specification, acquisition, inspection, maintenance programs, general repair, and decommissioning. Support Fleet consists of 1,800 non-revenue vehicles and 500 pieces of equipment.
Research and Development (R&D)/Zero-Emission Fleet Implementation	Responsible for research, development, introduction, management, and execution of new bus technology initiatives such as Battery Electric Buses (BEB), and evolution of the Hybrid bus fleet. Ensures to achieve mandated Zero-Emission Fleet by year 2040.
Business Planning and Administration	Responsible for monitoring and managing operating and capital budget and administrative, planning, analytical and financial functions of all divisions in the Maintenance, Supporting & Engineering department. Manages fleet plan, bus assignment, and scrap program. Responsible for planning and budgeting the shop program, including forecasting and scheduling buses. Provides analysis of key performance indicators and maintenance data. Responsible for the development of bus maintenance Enterprise Asset Management (EAM) Program, as well as timekeeping, human resource management, and maintenance pick process.

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2 Plan Development, Approval, and Updates

2.1 Plan Development and Approval

Name of Entity That Drafted This Plan: NYCT – Office of System Safety

Signature:

Email: demetrius.crichlow@nyct.com

Demetrius Crichlow, President, New York City Transit
Accountable Executive

Signature:
Brian Lapp (Feb 4, 2026 16:35:02 EST)

Email: brian.lapp@nyct.com

Brian Lapp, Senior Vice President, Safety & Security, NYCT
Chief Safety Officer

Signature:
Frank Farrell (Feb 11, 2026 12:23:14 EST)

Email: frank.farrell@nyct.com

Frank Farrell, Executive Vice President, Department of Buses, NYCT
Department Executive Vice President

NYCT ASP Safety Committee Approval:

As designated in the Bipartisan Infrastructure Law (Infrastructure Investment and Jobs Act) the NYCT Agency Safety Plan has been approved by NYCT Safety Committee (Safety Committee) and is memorialized in the approved which can be found on page 2-4.

Signature: Brian Lapp (Feb 4, 2026 16:35:02 EST)

Email: brian.lapp@nyct.com

Brian Lapp, Senior Vice President, Safety & Security, NYCT

Signature: Frank Farrell (Feb 11, 2026 12:23:14 EST)

Email: frank.farrell@nyct.com

Frank Farrell, Executive Vice President, Department of Buses, NYCT

Signature:

Email: william.amarosa@nyct.com

William Amarosa Jr., Executive Vice President, Department of Subways, NYCT

Electronically Approved[1]

Labor Organization Representing the Plurality of the Frontline Workforce
Transport Workers Union Local 100
John Chiarello, Secretary Treasurer/Director of Safety, TWU Local 100

[1]Electronic approvals on file and page 2-4

NYCT ASP Electronic Approvals:

From: John Chiarello <jchiarello@twulocal100.org>
Sent: Monday, December 29, 2025 2:39 PM
To: Doddo, Tim <Timothy.Doddo@nyct.com>
Cc: Tony Utano <tutano@twulocal100.org>; Celeste Kirkland <ckirkland@twulocal100.org>; Eric Loegel <eloegel@twulocal100.org>
Subject: Re: For Review/Approval

Twu local 100 approves of finalized
PTASB

John V. Chiarello
President | Transport Workers Union, Local 100
195 Montague Street, Brooklyn NY 11201
Office: 212.873.6000 x2075 | **Cell:** 646.498.3738 | **Fax:** 646.998.7155
Email: jchiarello@twulocal100.org | **Web:**www.twulocal100.org

"TWU Local 100 - We Move New York"

On Dec 29, 2025, at 2:33 PM, Doddo, Tim <Timothy.Doddo@nyct.com> wrote:

John,
Per our discussion today, this is to bring this to top of your inbox. If you could respond that you approve of finalizing the PTASP documents via reply to this that would be appreciated.

I look forward to continuing our discussions as we work toward continuously improving our safety program and the PTASPs that document it.

HAPPY NEW YEAR!

Timothy J. Doddo, CSP, WSO-CSE, TSSP
Vice President
MTA New York City Transit Office of System Safety
2 Broadway (D28.53) | New York, NY 10004
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timothy.doddo@nyct.com
SAFE 247365

Approval by the MTA Board of Directors

As required by 673.23(a)(1) the 2023 Agency Safety Plans has been approved by the MTA Board of Directors and memorialized in the approved board meeting minutes which can be found below.

TO BE ADDED

2.2 Plan Updates

2.2.1 Annual Agency Safety Plan (ASP) Review

The ASP is reviewed annually to:

- Incorporate evaluations of safety performance targets
- Incorporate new or significant changes to operations/procedures
- Incorporate changes to management and organizational structure
- Incorporate modifications required by the Public Transportation Safety Board (PTSB)
- Incorporate new or modified equipment, systems and facilities
- Incorporate identification of practices that may be ineffective, inappropriate, or not implemented as intended
- Incorporate newly added safety related topics

2.2.2 Agency Safety Plan Review Timeline

- January – Office of System Safety (OSS) sends out a request to the Department of Subways (DOS) representatives for the annual ASP update.
- February - Individual meetings are held with DOS representatives to update them on any changes to the ASP (format, content, requirements…etc), if necessary.
- April – OSS collects, reviews and combines all edits from departments into 1st draft update, 1st draft update is distributed to OSS divisions for review.
- May – OSS edits/comments are incorporated into the ASP and they are redistributed back out to DOS for 2nd round review and comment.

- June OSS integrates all 2nd round comments into 2nd round draft and resubmits to DOS departments for approval and/or to finalize any additional comments.
- July – OSS 2nd draft update is distributed to OSS divisions for review and/or approval. Any outstanding comments/edits are addressed.
- August - The ASP is routed to Public Transportation Safety Board (PTSB) for DRAFT review. Any PTSB submitted comments are reviewed by OSS and if necessary, reviewed by the department/division too which the comments are intended for and incorporated into the ASP.
- September – ASP is routed to NYCT ASP Safety Committee and the PTSB (for DRAFT review only) review, comment and/or approval. Any NYCT ASP Safety Committee's and PTSB submitted comments are reviewed by OSS and if necessary, reviewed by the department/division too which the comments are intended for and incorporated into the ASPs.
- October - If necessary, an updated ASP with ASP Safety Council comments is resubmitted to the ASP Safety Council for approval. ASPs routed for signature/approval to head of OSS, DOS, DOB, C&D and president. Council for review and/or approval.
- November - Board Package submitted to MTA Safety, Chief Safety Officer for submittal to Chief Administrative Officer and Ass. Associate Council (General Councils Office). The board package submittals are for the MTA Safety Committee to review and approve during a meeting the precedes the MTA Board meeting. The MTA Safety committee

recommends approval to the MTA Board during the separate standalone board meeting. Once board approval letter has been obtained by the board Secretary, it is inserted into the final submittal of the ASP for the PTSB, along with the OSS transmittal letter and sent via email to PTSB.

2.2.3 Agency Safety Plan Control and Update

The purpose of this plan is to provide a formalized action plan that addresses all applicable requirements and standards from the FTA's Public Transportation Safety Program and National Safety Plan and will ensure that safety and environmental compliance is integrated into all phases of the division/department including design, procurement, construction, modification/rehabilitation, operation, maintenance, and disposal. The Agency Safety Plan establishes a coordinated safety effort that is responsible to the needs of the operating and support departments such that all personnel are working toward the common goal of minimizing the occurrence of employee assaults, customer and employee accidents, and other safety concerns by providing safe revenue service to our customers and a safe work environment for our employees. The Agency Safety Plan fosters commitment and involvement by management and staff in safety and environmental activities.

The complexity of the New York City Transit (NYCT)/MTA Bus Company has required that the Agency Safety Plan be organized into sections that illustrate how the Department of Buses will work together in achieving the goal of providing safe transportation in New York City. The Department of Buses Safety and the Office of System Safety has prepared this volume of the Agency Safety Plan that outlines the tasks and functions of NYCT/MTA Bus Company.
OSS is responsible for analysis, review, revision, and publication of the ASP. OSS sends out a written request to DOB for liaisons that will work with OSS to solicit and collect edits to and input from the various divisions within the DOB and the Safety Committee. Once the liaisons are identified, working drafts are distributed via email to the DOB liaisons who distribute to all DOB departments with a request to provide feedback on, update and edit the ASP. The updates, edits and feedback are combined in word tracked changes and sent to OSS for review. OSS reviews the updates, edits, and feedback and reaches out to DOB with any questions, clarifications, concerns or recommendations for discussion and feedback via email or voice. Once all the updates and edits have been discussed, finalized and clarified, the 2nd round working draft is redistributed to DOB again for another round of review and updates via email. Any noted edits or updates as a result of the 2nd round review are incorporated into the working draft and a final review is completed by DOB. Once the final working draft is complete it is distributed via email to the Safety Committee for review and comments, any comments or edits are discussed with the specific DOB department and OSS until finalized, when a final draft is issued to senior DOB and OSS management for review and approval and board review leading to ultimate final approval.

Pursuant to the Bipartisan Infrastructure Law (49 U.S.C § 5329(d)) the Safety Committee is required to approve an agency's Agency Safety Plan (ASP) and any updates to the ASP. This approval must occur before the agency's board of directors approves the ASP or update. The Safety Committee is a collaborative labor-management committee that is focused on critical safety issues including needed mitigations for known safety hazards. The NYCT Safety Committee consists of Senior Vice President of Safety and Security, Executive Vice President of Subways,

Executive Vice President of Buses, and Senior TWU 100 Representatives. The procedures, timelines, and programs detailed in this document (including those in referenced policy documents) have been reviewed and approved by all the members of the Safety Committee and amendments/modifications to any of these procedures, timelines, and programs will be reviewed and approved by the Safety Committee prior to submittal of the ASP. The Safety Committee has access to any available safety data upon request of the Safety Committee to facilitate this process.

OSS submits the final ASP to the President of NYC Transit, the Senior Vice President of the Department of Buses, the Deputy Chief Development Officer of MTA Construction & Development, and the Senior Vice President of the Safety and Security for review, approval, and to affix their signature to the plan. The final plan is posted on the agency intranet electronically and departmental liaisons are alerted when an updated plan is posted.

2.2.4 Agency Safety Plan Review and Approval by the Oversight Agency

New York City Transit conducts an annual revision of the ASP in accordance with 49 CFR Part 673. NYCT submits ASP modifications and any subsequent modified procedures to the New York State Public Transportation Safety Board (PTSB) for review and approval. Through the annual review process and implementation audits, NYCT will ensure that the Safety Management Systems (SMS) is appropriately scaled to the size, scope, and complexity of NYCT and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

In accordance with PTSB guidelines, the ASP is submitted to the PTSB for their review and approval for an annual recertification or when changes in conditions require any modifications. Following the approval process, the PTSB issues a formal letter of approval to New York City Transit.

On July 19, 2018, FTA published the Public Transportation Agency Safety Plan (PTASP) Final Rule, which requires operators of urban public transportation systems that receive federal funds to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). The System Safety Program Plan that was developed pursuant to 49 CFR Part 659 and shall serve as NYCT DOB's interim safety plan until PTSB review and approval of NYCT's Agency Safety Plan complying with the requirements of 49 CFR Part 673.

2.2.5 Tracking Versions/Updates

Version Number and Updates*			
Version Number	**Section/Pages Affected**	**Reason for Change**	**Date Issued**
1.0	None	Original	2020
2.0	1 - 8	Annual Update	2021
3.0	1 - 8	Annual Update	2022
4.0	1 - 8	Annual Update	2023

5.0	1 - 8	Annual Update	2024
6.0	1 - 8	Annual Update*	2025

*See Summary of Revisions to NYCT Dept. of Buses 2025 Agency Safety Plan preceding the cover page of this document

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3 Safety and Risk Reduction Program (Program Measures & Targets)

3.1 Risk Reduction Program Overview

The NYCT safety risk reduction program aims to improve safety performance of transit operations by reducing the number and rates of accidents, injuries, and assaults on transit workers. This section outlines the required safety risk reduction program measures, sets targets for them, and lists initiatives for the risk reduction program.

In addition, this section outlines the safety committees' roles and responsibilities within NYCT and the risk reduction program.

3.2 New York City Transit Safety and Risk Reduction Performance Measures & Targets

NYCT safety performance targets are compared to data generated from a 3-year rolling average of National Transportation Database (NTD) data (2021-2023) and based on the safety performance measures in the National Public Transportation Safety Plan (NPTSP). These measures will be used to identify actions to take to improve safety outcomes. NYCT in conjunction with the Safety Committee, selected performance targets that are appropriate to the operation and environment and in accordance with a specific, measurable, attainable, relevant, and time-bound (SMART) approach that are in compliance all applicable requirements and standards from the FTA's Public Transportation Safety Program and National Safety Plan. The measures will be regularly monitored to ensure they are being met and improving safety. The measures will also be reevaluated on an annual basis to refine the sub-measures developed and performance targets selected.

NYCT Safety Risk Reduction Program (SRRP) Measures and their rates, include:

- Major Events
- Collisions
- Injuries
- Injuries Assaults on Transit Workers

NYCT additional Safety Performance Measures and their rates, include the above-mentioned as well as:

- Pedestrian Collisions
- Vehicular Collision
- Fatalities
- System Reliability (mean distance between major mechanical failures by mode)
- Transit Worker Fatality (rate only)

- Transit Worker Injury (rate only)
- System Reliability

3.3 Target Coordination & Development

Based on analysis of historical and current leading and lagging indicators, NYCT sets feasible performance goals to support data-based continuous safety and reliability improvements. These targets are intended to guide prioritizing resources and investments that support meeting performance targets.

NYCT provides safety performance targets to the New York State Department of Transportation, Public Transportation Safety Board (NYSDOT/PTSB) via the PTASP review and approval process. NYCT incorporates PTSB comments into the PTASP through this collaborative review and comment process and may adjust performance targets as a result. This supports the PTSB in the federally required transportation planning process in compliance with the Statewide Transportation Improvement Program (STIP) and Transportation Improvement Program (TIP). MTA Capital Funding sends a copy of the approved ASP to the New York Metropolitan Transportation Council (NYMTC), the designated Metropolitan Planning Organization (MPO), as required in the STIP and TIP.

NYCT will submit safety performance targets to the New York State Department of Transportation, Public Transportation Safety Board (NYSDOT/PTSB).

Targets are transmitted to the State per Section 3 of the PTASP.

State Entity Name: NYSDOT/PTSB

Date Targets Transmitted: Submitted with ASP

3.4 Safety and Risk Reduction Performance Measures & Targets

Public Transportation Agency Safety Plans (PTASP) National Transit Database (NTD) 3-Year Rolling Average Data 2022-2024

National Transit Database (NTD) 3-Year Average Data
2022-2024

Safety Performance Measure	Description	Results Nominal	Results Goal (2%)	Results Nominal	Results Goal (2%)	(NYCT & MTA Bus) Nominal	(NYCT & MTA Bus) Goal (2%)	Definitions**
Measure 1a—Major Events (SRRP)	This includes all safety and security major events as defined by the NTD.	831.00	**814.38**	154.67	**151.57**	985.67	**965.95**	Events based on **Safety**, **System Security**, and **Personal Security** contains reportable thresholds that include, but not limited to: •Fatality (includes suicides) •One or more persons immediately transported for medical attention (injury -- which includes attempted suicides) •Serious injury •Substantial damage (for NYCT and MTA Bus, any damaged Transit property that exceeds $25,000). •Evacuations of a transit facility or vehicle for life safety reasons or to the rail right-of-way •All mainline/yard derailments • Rail transit vehicle collisions occurring at a grade crossing or intersection •Rail transit vehicle collisions with an individual (regardless of injury) •Rail transit vehicle collisions with another revenue or non- revenue rail transit vehicle *Including maintenance/hi-rail vehicles •Incidents involving a moving runaway train *Applies to revenue vehicles only
Measure 1b—Major Event Rate (SRRP)	This includes all safety and security major events as defined by the NTD, divided by VRM.	7.03E-06	**6.89E-06**	5.97E-06	**5.85E-06**	6.84E-06	**6.70E-06**	
Measure 1.0 - Collisions	This includes all collisions reported to the NTD.	629.33	**616.75**	124.33	**121.85**	753.67	**738.59**	Consist of Revenue Vehicle (Bus or Train) making contact with a person, another Revenue Vehicle (this also applies to Maintenance Trains or Hi-Rails), and fixed objects.
Measure 1.1—Collision Rate (SRRP)	This includes all collisions reported to the NTD, divided by VRM.	5.32E-06	**5.21E-06**	4.80E-06	**4.70E-06**	5.23E-06	**5.12E-06**	
Measure 1.1.1—Pedestrian Collision Rate	This includes all collisions "with a person," as defined by the NTD, divided by VRM.	1.62E-06	**1.59E-06**	7.07E-07	**6.93E-07**	1.45E-06	**1.43E-06**	
Measure 1.1.2—Vehicular Collision Rate	This includes all collisions "with a motor vehicle," as defined by the NTD, divided by VRM.	4.44E-06	**4.35E-06**	3.92E-06	**3.84E-06**	4.34E-06	**4.26E-06**	
Measure 2a—Fatalities	This includes all fatalities as defined by the NTD.	5.00	**4.90**	1.33	**1.31**	6.33	**6.21**	Based on Major events to which needs to be confirmed within 30 days of incident. Fatalities are based on major event categories that includes: **Collisions** (Person contact with a vehicle or vehicle makes contact to another vehicle), **Derailments** (Mainline or Yard), Fires, Acts of God, **Suicides**, **Bombing**, **Hazardous Material Spill**, **Chemical/Biological/Radiological/Nuclear Release**, **Homicide**, and **Other Safety or Security Event** (Slip,Trip,Fall ; Electrocution; Projectiles, other Miscellaneous occurrences) However, other fatalities that includes illness, drug overdoses, or other natural causes are **not** considered reportable.
Measure 2b—Fatality Rate	This includes all fatalities as defined by the NTD, divided by VRM.	4.23E-08	**4.14E-08**	5.14E-08	**5.04E-08**	4.39E-08	**4.30E-08**	
Measure 2.1—Transit Worker Fatality Rate	This includes all transit worker fatalities as defined by the NTD, including the categories "Transit Employee/Contractor," "Transit Vehicle Operator," and "Other Transit Staff," divided by VRM.	0	**0.00E+00**	0	**0.00E+00**	0	**0.00E+00**	
Measure 3a—Injuries (SRRP)	This includes all injuries as defined by the NTD.	1224.67	**1200.17**	223.00	**218.54**	1447.67	**1418.71**	Based on Major events which requires immediate transport away for medical attention based one or more person.
Measure 3b—Injury Rate (SRRP)	This includes all injuries as defined by the NTD, divided by VRM.	1.04E-05	**1.01E-05**	8.60E-06	**8.43E-06**	1.00E-05	**9.84E-06**	
Measure 3.1—Transit Worker Injury Rate	This includes all transit worker injuries as defined by the NTD, including the categories "Transit Employee/Contractor," "Transit Vehicle Operator," and "Other Transit Staff," divided by VRM.	2.54E-06	**2.49E-06**	1.97E-06	**1.93E-06**	2.44E-06	**2.39E-06**	
Measure 4a—Assaults on Transit Worker (SRRP)	This includes all assaults on transit workers as defined by the NTD.	123.00	**120.54**	17.00	**16.66**	140.00	**137.20**	**Assault**: An attack by one person on another without lawful authority or permission. • An **assault on a transit worker** is a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker. The "Worker Assault Detail Type" is collected for Assaults on Transit Operators or Other Transit Workers: • **Physical Assault on a Transit Worker**: An assault in which the attack involves physical contact with the transit worker. This could include any physical contact with the victim from the attacker's body, a weapon, a projectile, or other item (this would also be reported as a non-major event if **no injury** occurred). • **Non-Physical Assault on a Transit Worker**: An assault in which the attack involves no physical contact with the transit worker. This could include threats or intimidation. that do not result in any physical contact with the transit worker. This event would be reported as a Non-Major incident.
Measure 4b—Rate of Assaults on Transit Workers (SRRP)	This includes all assaults on transit workers as defined by the NTD, divided by VRM.	1.04E-06	**1.02E-06**	6.56E-07	**6.43E-07**	9.71E-07	**9.52E-07**	

Measure 5—System Reliability	This includes Major Mechanical System failures as defined by the NTD.	NA	NA	NA	NA	NA	NA	Mechanical System Failures based on breakdown on revenue vehicles (not reportable unless customer are at imminent danger and/or requires customer to evacuate on the right-of-way and not from train-to-train or station platform).

*** NYCT Subways (HR) and NYCT Buses (Motorbus (MB), Commuter Bus (CB), Rapid Transit Bus (RB), Demand Response(DR)).**

**** Information provided from the National Transit Database - Safety & Security Policy Manual (February 2024 edition).**

SRRP - Safety Risk Reduction Program

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4 Safety Management Policy

This section is the statement of NYCT's safety management policy, incorporating safety objectives.

4.1 Safety Management Policy Statement/Commitment to Safety

The ASP establishes a coordinated safety effort that is responsible to the needs of the operating and support departments such that all personnel are working toward the common goal of minimizing the occurrence of customer and employee accidents by providing safe revenue service to our customers and a safe work environment for our employees. The ASP fosters commitment and involvement by management and staff in safety and environmental activities.

In accordance with the most recent version of NYCT's Policy Instruction (P/I) - Safety Policy Instruction 10.1 (Appendix A) it is the policy of NYCT to provide a safe system for customers, safe working conditions for employees, and to uphold sound environmental management principles. It is recognized that safety and environmental protection are critical elements of providing clean and reliable transportation. All managers, supervisors, and employees are held accountable for integrating safety and environmental protection into all operations. Additionally, all NYCT employees are expected to refuse unsafe work and alert supervision per departmental procedures, and as applicable, per their collective bargaining agreement through the Safety Rule Dispute Resolution Form (found in section 4.6.2) if faced with unsafe situations which require further discussion.

4.2 Goals and Objectives

The goals of this ASP are to ensure the safety of customers, employees, and the public; and to comply with PTSB requirements. The goals are reviewed and updated annually. The objectives of the ASP are to define safety related activities, management controls and plans and establish a process for monitoring and assuring safety in accordance with NYCT Policy. The purpose of these goals and objectives is to minimize public, personnel and NYCT property exposure to hazards and unsafe conditions.

4.2.1 Goals

The NYCT DOB and MTA Bus safety goals are the following:

- To strive to reduce customer and employee accidents and injuries each year.
- To provide a safe, reliable, and economical transportation system.
- To identify, eliminate, minimize and/or control safety hazards and risks.
- To ensure compliance with safety, health, and environmental laws, regulations, and codes.

- To maintain a high level of ability to respond to emergency/disaster conditions.

- To establish requirements, lines of authority, levels of responsibility and accountability for implementation of the ASP within the organization.

- Ensure that the SMS is appropriately scaled to the size, scope, and complexity of NYCT and includes Safety Management Policy, Safety Risk Management, Safety Assurance, and Safety Promotion.

4.2.2 Objectives

The ASP goals are attained by achieving the following objectives:

- Implementation of the ASP and updating the plan annually.

- Enforcement of the NYCT and MTA Bus Rules and Regulations. Development and enforcement of departmental safety rules. Implementation of operational Policy Instructions, Bulletins, and Directives.

- Development and implementation of departmental Safety Goal Action Plans.

- Establishment, implementation, and evaluation of maintenance, operational, and inspection programs for NYCT DOB and MTA Bus Company.

- Establishment, implementation, and evaluation of a maintenance program, a pre-trip inspection program, and procedures for the safe operation of revenue and non-revenue vehicles.

- Establishment, implementation, and evaluation of procedures for Facility/Bus maintenance.

- Response to divisional requests for repairs to facilities and equipment to ensure customer and employee safety.

- Development, implementation, and evaluation of technical training on equipment/vehicle maintenance and operation, new technology, equipment modifications, programs, safety training (i.e., respirator, hearing conservation, right to know, etc.), and refresher courses for employees and ensuring that all appropriate personnel attend.

- Establishment and implementation of emergency response procedures for facilities, depots, and equipment failures in service, collisions, fires, inclement weather, and release of hazardous materials.

- Reviewing Federal, State, and local safety and environmental regulations as well as NYCT and MTA Bus operations to determine if Safety Policy/Instructions should be developed.

- Developing and implementation of safety and environmental Policy/Instructions when necessary.

- Reviewing Federal, State, and local safety regulations as well as NYCT and MTA Bus operations to determine the necessity of safety training and assist training with the development of the course.

- Investigation of all fatal employee and customer injuries, conduct a Board of Inquiry when required, and develop corrective action plans or safety risk mitigations to prevent recurrence per the most recent version of P/I 10.28 - Accident Investigation (Appendix C).

- Investigation of fire-related incidents, structural/equipment failures NYCT and MTA Bus collision/fatality incidents and develop corrective action plans or safety risk mitigations to prevent recurrence.

- Conducting Hazard Analyses on safety critical system/equipment, operating procedures/rule changes in accordance with established system safety principals outlined in Military Standard 882E.

- Conducting industrial hygiene investigations of work sites and customer areas and identifying corrective measures or safety risk mitigations (i.e., product substitution, engineering, administrative changes, and/or personal protective equipment).

- Conducting inspections of operating department work locations and the customer environment to identify hazards and resolutions.

- Conducting internal safety audits of the NYCT and MTA Bus operating units to ensure compliance with the ASP.

- Coordinating quarterly updates of the Safety Goal Action Plan. Facets of the Safety Goal Action plan include individual programs such as “We're Serious about Safety”, "Safety Talk” Posters and “Safety Times” Newsletters, as well as the Accident Information Signs.

- Evaluation of the work and customer environment to ensure that all safety Policy/Instructions are implemented.

- Evaluation of the long-term safety and environmental compliance related initiatives in the capital program during the development phase and make recommendations to assist in the prioritization process.

4.3 Management's Responsibilities for Safety

Management and supervision at all levels are responsible for implementing and enforcing the ASP which includes safety policies and rules and regulations to ensure a safe work environment for their employees, a safe system for customers, and environmental protection. To effectively implement the program, responsibilities are delegated as outlined below:

The President of NYCT (Accountable Executive) is responsible for promoting a safety culture where all employees embrace safety as a core value and optimize the safety of our employees and customers. Specifically:

- Ensure that safety is a top priority at NYCT.
- Ensure that operational and maintenance activities and the capital program are supported by an appropriate allocation of resources.
- Enforce the management of safety as an explicit responsibility of all managers and employees.
- Ensure the Safety Policy is appropriate and communicated throughout NYCT.
- Implement safety risk mitigations for the safety risk reduction program that are included in the Agency Safety Plan.
- Consider all other safety risk mitigations (related or unrelated to the safety risk reduction program) recommended by the Safety Committee. If the Accountable Executive decides not to implement the safety risk mitigation, they must prepare a written statement explaining their decision, pursuant to recordkeeping requirements. The Accountable Executive must submit and present this explanation to the transit agency's Safety Committee and Board of Directors.

The Senior Vice President of Safety and Security, Vice President of System Safety and Chief Safety Officer of the Department of Buses (SMS Executives) are responsible for developing safety and environmental policies and programs, implementing SMS components and principles, communicating safety information, analyzing data, and monitoring safety performance. Specifically:

- Develop the overall required standards for a formalized ASP. This plan focuses all personnel on a common goal of preventing customer and employee accidents by providing safe revenue service and a safe work environment, as well as protecting the environment.
- Manage the SMS implementation plan by ensuring that the four components/pillars of SMS (Safety Policy, Safety Risk Management, Safety Assurance and Safety Promotion) are being addressed.

- Coordinate the development of departmental Safety Goal Action Plans (SGAP) that outline how they will implement the overall safety program set forth by the Office of System Safety.

- Develop safety policies and guidelines to ensure compliance with federal, state, and local laws and regulations including emergency response.

- Maintain safety documentation.

- Direct and facilitate hazard identification, safety risk analysis and assessment, and the development and implementation of controls and corrective measures.

- Provide technical safety services in the areas of hazard analysis, asbestos/lead management, environmental management, industrial hygiene, fire safety, safety engineering, safety event and near miss incident investigation.

- Develop an effective safety reporting program.

- Promote a positive safety culture.

- Monitor the operating and support departments' implementation and enforcement of safety and environmental requirements.

- Review the implementation of the ASP annually.

- Report to the executive level on safety performance and any requirements for improvements.

Agency Leadership and Executive Management are responsible for the implementation and enforcement of the ASP and SMS Plan components. Specifically:

- Direct and facilitate the identification of high-risk hazards, the development and implementation of control measures to mitigate those hazards and monitor the implementation and the effectiveness of control measures.

- Demonstrate by their actions and during discussions with Department/Division Heads that every task must be performed in the safest manner possible.

- Establish employee safety, customer safety, and environmental goals that focus on preventing accidents and protecting the environment in areas under their jurisdiction and track the status of the goals.

- Establish and maintain safety programs that will enable the achievement of the employee safety goals, customer safety goals, and environmental protection.

- As part of the SMS Plan, develop safety performance objectives (leading indicators) and safety performance targets to measure and continually improve safety performance.

- Develop and implement a tracking system to record the implementation of all corrective actions necessary to remedy identified safety, occupational health, and environmental hazards.

4.4 Safety Management Policy Communication

This section describes how the safety management policy is communicated throughout the organization.

The following are used to communicate the safety management policy:

- NYCT Safety Policy/Instructions are posted on the MTA Today intranet website that is available to employees.

- The current Department of Buses Agency Safety Plan (DOB ASP/SSPP) is posted on MTA Today intranet site. The current DOB ASP/SSPP was posted on MTA Today intranet site.

- Senior management meets with supervisors to communicate departmental safety goals. Supervisors meet with hourly employees to discuss these safety goals during toolbox talks and pre-job briefings.

- Safety Times Newsletters, Safety Talk Posters, and Safety Advisories are distributed to employees to communicate safety values, address areas of concern, or other safety information.

4.5 Authorities, Accountabilities, and Responsibilities

This section describes the authorities, accountabilities, and responsibilities of the following individuals for the development and management of the transit agency's Safety Management System (SMS).

4.5.1 Personnel

Accountable Executives

Demetrius Crichlow, President, New York City Transit and Frank Farrell Executive Vice-President, NYCT Department of Buses/MTA Bus Company are the accountable executives responsible for ensuring that the agency's Safety Management System (SMS) is effectively implemented, maintained, and that action is taken to address substandard performance regarding the NYCT SMS and MTA Bus Company SMS respectively, via the below documents.

NYCT has determined that the Senior Vice President, Security and Safety, the Vice President, OSS and all unit heads reporting to the Vice President, OSS are SMS "designated personnel". NYCT continues to assure the required Public Transportation Safety Certification Training Program (PTSCTP) requirements are met by required staff.

METROPOLITAN TRANSPORTATION AUTHORITY

APPOINTMENT AND DELEGATION OF AUTHORITY

In accordance with 49 CFR § 673.23(d)(1) I, Janno Lieber, the duly appointed Chairman and Chief Executive Officer of the Metropolitan Transportation Authority ("MTA" or "Authority"), do hereby delegate to Demetrius Crichlow, the duly appointed President of New York City Transit Authority ("NYCT") and MTA Bus Company, the responsibilities and all actions required of the Accountable Executive for the NYCT Public Transportation Agency Safety Plan ("PTASP").

The responsibilities are to ensure the agency's PTASP and Safety Management System ("SMS") are effectively implemented and maintained, and that action is taken, if needed, to address substandard performance of the NYCT SMS. The NYCT President also must maintain a direct line reporting relationship to key NYCT staff responsible for day-to-day operations and the safety management system.

Pursuant to 49 CFR § 673.23(d)(1), I retain ultimate accountability for the transit agency's safety performance and, under 49 CFR § 673.5, the MTA Transit Asset Management Plan.

Janno Lieber
Chairman and Chief Executive Officer

Dated: February 13, 2025

SMS Executives and Chief Safety Officers

Brian Lapp, Senior Vice President, Safety & Security the Chief Safety Officer for New York City Transit designated by Accountable Executive, Demetrius Crichlow, President, holds a direct line of reporting to the Accountable Executive, is adequately trained (PTSCPT Certified), has the authority and responsibility for day-to-day operations and its safety management system, and does not serve in other operational or maintenance capacities. Sajida Fhamy, the Chief Safety & Environment Management Officer for MTA Bus designated by Accountable Executive, Frank Farrell, holds a direct line to of reporting to the Accountable Executive, has the authority and responsibility for day-to-day operations and its safety management system, and does not serve in other operational or maintenance capacities.

Agency Leadership and Executive Management

<u>President Executive Team</u>

Bernard Jackson – Chief Operating Officer
William Amarosa Jr.- Executive Vice President, Subways
Frank Farrell – Acting Executive Vice President, NYCT Dept. of Buses/MTA Bus Co.
Brian Lapp - Senior Vice President, Safety & Security
Shanifah Rieara - Chief Customer Officer
Aliaa Abdelrahman - Deputy Chief, Labor Relations
Louis Montanti - Deputy Chief, Procurement
Theresa Murphy – MTA Deputy General Counsel
Franck Joseph - Chief of Staff
Rachel Cohen - Vice President, Paratransit
Quemuel Arroyo - Chief Accessibility Officer
David Farber - General Counsel, NYCT & MTA Bus
Lourdes Zapata – Chief Diversity and Inclusion Officer
Monica Murray - Auditor General
Timothy Doddo – Vice President, Office of System Safety
Gaby Celiba – Vice President, Security
Jamie Torres-Springer - President, MTA Construction & Development
Sarah Wyss – Acting Chief Operations Planning
Mark Roche - Deputy Chief Development Officer, MTA Construction & Development
Ausberto Huertas Jr., Vice President, Safety, MTA Construction & Development

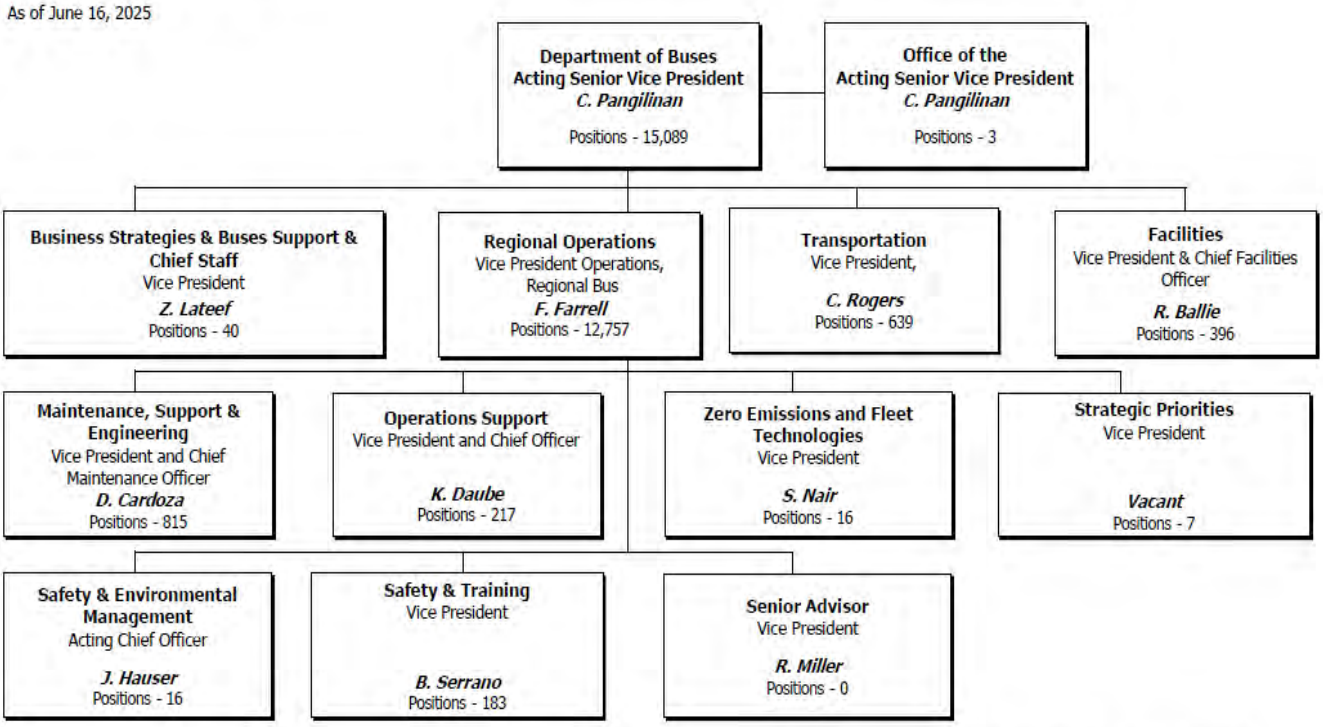
Key Staff

Department of Buses

Frank Farrell	Executive Vice President, NYCT Dept of Buses/MTA Bus Co.
Kenneth Daube Jr.	Vice President and Chief Officer, Operations Support
Benjamin Serrano	Vice President, Transportation, Safety & Training
Daniel Cardoza	Vice President & Chief Maintenance Officer, NYCT Department of Buses
Leonyi Chay	Vice President & Chief Facilities Officer
Dorian Statum	Acting Chief of Staff & VP Business Strategies & Buses Support
Sunil Nair	Vice President, Zero Emissions and Fleet Technologies
Meredith Luning	Chief Officer Business Intelligence
Sajida Fhamy	Chief Officer Safety & Environmental Management

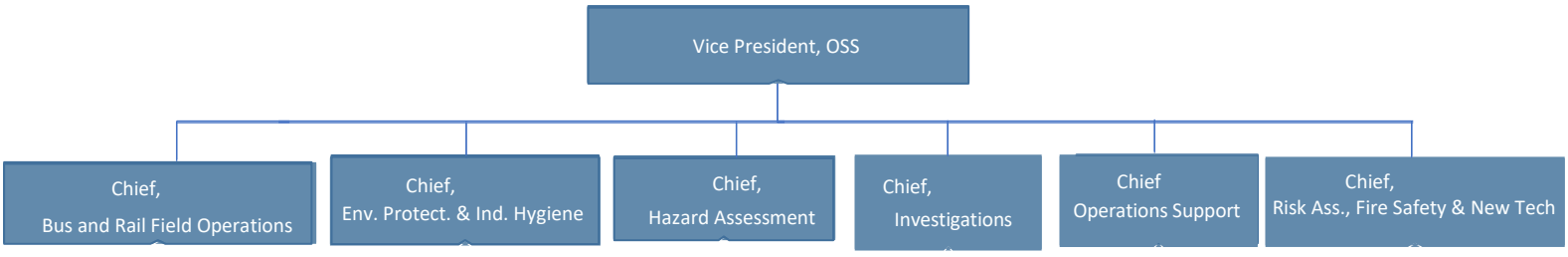
Department of Buses

As of June 16, 2025



Employee Group	Full-Time Positions			Part-Time
	Non-Reimb.	Reimb.	Total	
Managerial	486	50	536	0
Prof., Technical & Engineering	76	12	88	0
Administrative & Clerical	41	1	42	16
Operating Supervisors	1,180	12	1,192	0
Hourly	13,080	151	13,231	0
Total	**14,863**	**226**	**15,089**	**16**

OSS Organizational Chart



4.6 Employee Safety Reporting Program

This section describes the process and protections for employees to report safety conditions to senior management.

Employees are expected to constantly evaluate the workplace for hazards and take action to have them corrected. It is the duty of all employees to immediately report all dangerous, hazardous, or defective conditions to supervision and follow departmental-specific rules and procedures for resolving them. All employees, including supervision, are required to extend maximum cooperation to all Department of Buses' Investigation Units. At no time will an employee be required to conduct work that is unsafe.

4.6.1 Notification

All employees who observe safety infractions on the part of visitors, contractors, vendors, or other employees can notify supervision, management, union representation, Department of Buses-Safety, and the Office of System Safety.

4.6.2 Safety Rule Dispute Resolution Form

A form utilized by an employee, as identified in the collective bargaining agreement, who is alleging a violation of a department or applicable NYCT-wide safety rule or a section of an applicable law. Additionally, all NYCT employees are expected to refuse unsafe work and alert supervision per departmental procedures, and as applicable, per their collective bargaining agreement through the Safety Rule Dispute Resolution Form (found below and presented in Appendix B) if faced with unsafe situations which require further discussion.

SAFETY RULE DISPUTE RESOLUTION FORM

DEPARTMENT OF BUSSES

This section is for the employee who is alleging a violation of a departmental or applicable NYC Transit-wide safety rule or a section of an applicable law.

An employee or group of employees directed by supervision to violate a departmental or applicable NYC Transit-wide safety rule or applicable law can utilize the following procedure in order to have the situation immediately reviewed by a supervisor and manager, if necessary.

If a manager is present when the issue is raised, the alleged violation need only be reviewed by the manager.

This procedure does not supersede or replace the provisions of the Collective Bargaining Agreement.

Employee Name	
Title	Pass #
Dept/Division	
Supervisor	Pass #
Date	Time
Task Being Performed	
Location	

1. In this section the employee must specifically describe the alleged violation. Indicate or describe the rule or standard being violated.

_____

_____

_____

_____

_____

_____

Time:____a.m.____p.m. Date__/__/____

_____

Employee Signature (required)

2. In this section the supervisor at the location must indicate what actions he/she took regarding the concerns that the employee has indicated. If the employee does not agree with the explanation or action, indicate what the disagreement is and refer the matter to a manager who must notify his/her divisional Control Center and advise them to immediately notify the TWU of the issue (347-916-0579). If there is no divisional Control Center the manager must notify the TWU. The manager must immediately review the matter.

_____

_____

_____

Employee Agree ☐ Disagree ☐

_____

Employee Signature

Time ___ a.m. ___ p.m. Date __/__/____

_____

Supervisor Signature (required)

3. In this section a manager from the division must indicate what actions he/she took regarding the concerns that the employee indicated above. Upon explaining to the employees what changes will be made at the work site or that the challenge is not valid, the manager will direct the employee back to work. If the employee/gang refuses the manager's decision, appropriate action may be taken against the employee(s). If the supervisor/manager fails to correct a valid safety condition, appropriate action will be taken against the supervisor/manager.

_____

_____

_____

_____

Time ___ a.m. ___ p.m. Date __/__/____

_____

Manager Signature (required) Print Name/Pass Number

Forward completed forms to the division head, Office of System Safety (SRDRForm.OSSMailbox@nyct.com), Department of Buses (DOBBuses-Safety@nyct.com) and TWU Director of Safety and Health (Safety.Hotline@twulocal100.org)

Effective 4/24/2023

Policy and Procedure for Resolving a Safety Rule Dispute

An employee or group of employees who allege that they have been directed by supervision to violate a departmental or applicable NYC Transit-wide safety rule or applicable law can utilize the following procedure in order to have the situation immediately reviewed by a supervisor and manager, if necessary. Supervisors and managers must have this form on site and make it available to any employee that wishes to initiate a review.

If a manager is present when the issue is raised, the disputed issue need only be reviewed by the manager.

This procedure does not supersede or replace the provisions of the Collective Bargaining Agreement.

All employees must follow these policies and procedures when they allege a violation of a departmental or applicable NYC Transit-wide safety rule or applicable law in effect at a job location.

The Safety Rule Dispute Resolution Form is provided on the reverse side to document the allegation. The form must be completed as follows:

The employee alleging the violation must fill out the employee section of the form and give it to his/her immediate supervisor. The employee must be as specific as possible if supervision/management is to conduct an appropriate review and resolve the issue as expeditiously as possible.

The immediate supervisor will discuss the specific concerns and explain the rule/law in effect at the work site. The immediate supervisor will fill out section 2 of the form and indicate whether the employee agrees with the explanation; if a change in on-site procedures is necessary, the change will be made. The employee signs that he/she agrees or disagrees with the supervisor's action in section 2 of the form. If a disagreement exists, the issue will be immediately referred to a manager for immediate resolution. The manager must notify his/her divisional Control center and advise them to immediately notify the TWU of the issue (347-916-0579).

The manager must interview the employee and the immediate supervisor prior to rendering his/her decision. If the manager can resolve the issue over the phone based on the verbal description of the events the manager's decision can be communicated verbally to the supervisor, employee, and union representative, if one is present. By the end of the shift, the manager must complete his/her section on the form and indicate whether the employee is satisfied with the explanation, if a change in on-site procedures is necessary or if a disagreement still exists. If the manager is unable to resolve the issue based on the verbal description, the manager must report to the location of the incident before rendering a decision and the form must be completed immediately.

When the manger renders the decision, he/she will direct the employee back to work. If the employee/gang refuses the manager's decision, appropriate action may be taken against the employees. If the supervisor/manager fails to correct a valid safety issue, appropriate action will be taken against the supervisor/manager.

Safety Rule Dispute Divisional Review Panel

(This section applies to supervisors and managers only)

To ensure consistent application of the safety rules or applicable law, a Divisional Review Panel will be established.

The Division Head will chair this panel and it will include a representative of the Office of System Safety.

The Panel will review all Safety Rule Dispute Resolution Forms quarterly. The Panel will also provide a written report of their meetings to the Departmental Senior Vice President and the Vice President of the Office of System Safety.

Forward completed forms to the division head, Office of System Safety (SRDRForm.OSSMailbox@nyct.com), Department of Buses (DOBBuses-Safety@nyct.com) and TWU Director of Safety and Health (Safety.Hotline@twulocal100.org)

Upon completion of the Safety Rule Dispute Resolution Form a copy is forwarded to the Division Head, OSS and the TWU Director of Safety and Health.

4.6.3 Employee Safety Call Center

The NYCT Employee Safety Call Center provides personnel with an additional process to report a non-emergency safety concern. The call center is not intended to replace departmental incident reporting protocols for unsafe conditions; however, serves as a critical complement to existing procedures. The Employee Safety Call Center also provides employees with the option to anonymously report their safety concerns. Employees can also call back to the hotline to find out more information about their incident using a reference number assigned to the report to maintain their anonymity.

The Employee Safety Call Center can be reached at 718-858-7272.

4.6.4 Get It Fixed Reporting Website

An additional online reporting mechanism called "Get It Fixed" located at https://mta.info/getitfixed, has been established. Get It Fixed is an online reporting portal developed for use by NYCT employees to report issues like customer behavior, equipment issues, climate/comfort, and cleanliness among other reportable topics.

4.7 Safety Committee

This section outlines the roles and responsibilities of the Joint Labor-Management New York City Transit Safety Committee (Safety Committee).

Currently, the Safety Committee consists of three (3) voting members from NYCT management appointed by: Demetrius Crichlow, President and three (3) voting members from TWU Local 100 frontline transit worker representatives.

The Safety Committee roles, responsibilities, and procedures are as follows:

4.7.1 PURPOSE

The New York City Transit Safety Committee ("Committee" or "Safety Committee") shall fulfill its responsibilities under 49 U.S.C. § 5329(d) and 49 C.F.R. Part 673. The responsibilities outlined below fulfill the requirement under 49 C.F.R. § 673.19(c).

I. COMMITTEE MEMBERSHIP

a. The Safety Committee shall consist of at least three frontline transit worker representatives and at least three management representatives.
b. The Safety Committee must at all times consist of an equal number of frontline transit worker representatives and management representatives.

c. Management representatives shall be selected by the New York City Transit Authority ("NYCT").
d. Frontline transit worker representatives shall be selected by Transport Workers Union Local 100 ("TWU"), the labor organization representing the plurality of frontline NYCT workers.
e. NYCT and TWU shall each select one of their representatives to serve as co-chairs of the Committee (each a "Co-Chair").
f. The Co-Chairs may mutually agree to add additional Committee members, as long as the Committee remains comprised of equal numbers of management and frontline worker representatives.
g. NYCT and TWU may each replace their representatives at any time, with or without cause.
h. No representative shall receive a salary or compensation for their service to the Committee.
i. Appendix A to this document shall contain an accurate and up to date list of the names and contact information of all Committee representatives and related parties. The Committee shall ensure that this list is kept up to date.

4.7.2 COMMITTEE MEETINGS

j. The Committee shall meet quarterly, and more frequently as circumstances dictate.
k. No business shall be conducted nor any vote taken without a quorum present. A quorum shall be present when there is a majority of NYCT representatives present and a majority of TWU representatives present.
l. A Co-Chair may call for an emergency meeting of the Committee. If a quorum is not present at the emergency meeting, it shall be rescheduled for the following business day.
m. The Co-Chairs shall develop the agenda for a meeting and distribute it to at least one week prior to the scheduled date of a meeting or, in the event of an emergency meeting, as soon as practicable.
n. The Committee shall cause adequate minutes to be kept of all its proceedings, which shall include records of any action taken and any dissent there on, and shall be kept for a period of at least seven years.
o. The Committee may request that any person whose advice and counsel are sought attend any meeting of the Committee to provide such pertinent information as the Committee requests.

4.7.3 KEY RESPONSIBILITIES

To fulfill its purpose, the Committee shall:

p. Review and approve NYCT's Public Transportation Agency Safety Plan ("PTASP") at least annually as required by 49 C.F.R. § 673.11(a)(5), on a timeline that permits the MTA Board to review and approve the PTASP in a timely manner.
q. Set annual safety performance targets for the safety risk reduction program as required by 49 C.F.R. § 673.11(a)(7)(iii).
r. Support the operation of NYCT's Safety Management System ("SMS") by:
    i. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through NYCT's safety risk assessment, including safety risk mitigations associated with any instance where NYCT did not meet an annual safety performance target in the safety risk reduction program;
    ii. Identifying safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations associated with any instance where NYCT did not meet an annual safety performance target in the safety risk reduction program; and
    iii. Identifying safety deficiencies for purposes of continuous improvement as required at 49 C.F.R. § 673.27(d), including any instance where NYCT did not meet an annual safety performance target in the risk reduction program.*
s. The responsibilities and role of the Safety Committee are not intended to diminish or otherwise alter the authority of the Accountable Executive in their role under 49 U.S.C. § 5329(d) and 49 C.F.R. Part 673.

* When the Safety Committee recommends a safety risk mitigation unrelated to the safety risk reduction program, and the Accountable Executive decides not to implement the safety risk mitigation, the Accountable Executive must prepare a written statement explaining their decision. The Accountable Executive must submit and present this explanation to the transit agency's Safety Committee and Board of Directors.

4.7.4 PUBLIC TRANSPORTATION AGENCY SAFETY PLAN REVIEW AND APPROVAL

The Committee shall review, update, and approve NYCT's PTASP at least annually, ensuring its continued conformity with the requirements of federal law. Approval of the PTASP shall require a majority vote of the Committee representatives present. The annual update of the PTASP shall include, at a minimum:

t. The updated annual safety performance targets set by the Safety Committee for the safety risk reduction program pursuant to 49 C.F.R. § 673.19(d)(2).

u. Any item required by changes regulation or law that have occurred since the last PTASP update.
v. In the event of a missed safety performance target from the preceding year, safety risk mitigations that are reasonably likely to assist NYCT in meeting the safety performance target in the future.

After the Committee has approved the PTASP, the Committee shall transmit the PTASP to the MTA Board for approval.

4.7.5 SAFETY PERFORMANCE TARGETS

The Safety Committee shall set annual safety performance targets for NYCT's safety risk reduction program. The Committee shall set these targets based on a three-year rolling average of the data submitted by NYCT to the National Transit Database ("NTD"), and on the level of detail NYCT is required to report to the NTD. The Committee shall agree on the annual safety performance targets by a majority vote.

4.7.6 SAFETY MANAGEMENT SYSTEM SUPPORT

The Safety Committee shall support the operation of NYCT's Safety Management System ("SMS") by:

a. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through NYCT's safety risk assessment, including safety risk mitigations associated with any instance where NYCT did not meet an annual safety performance target in its safety risk reduction program.
b. Identifying safety risk mitigations that may have been ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations where NYCT did not meet an annual safety performance target in its safety risk reduction program.
c. Identifying safety deficiencies for purposes of continuous improvement as required at 49 C.F.R. § 673.27(d), including any instance where NYCT did not meet an annual safety performance target in its safety risk reduction program.

A safety risk mitigation shall be considered identified and recommended by the Safety Committee when a majority of the Committee votes in favor of the action.
Where the Safety Committee identifies and recommends a safety risk mitigation related to NYCT's risk reduction program and based on a safety risk assessment, the safety risk mitigation must be included in NYCT's PTASP.

4.7.7 TRAINING

Within 90 days of appointment to the Committee, a representative must complete the following activities:

w. The SMS Awareness Course published by the Federal Transit Administration ("FTA").
x. Review the FTA's Public Transportation Agency Safety Plan ("PTASP") FAQ.
y. Review NYCT's PTASP.

By mutual consent, the Co-Chairs may revise the training activities required to be completed by new representatives or may impose additional required training on incumbent representation.

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5 Safety Risk Management

This section describes the elements for the development and implementation of a Safety Risk Management process.

The Safety Risk Management process is the primary tool utilized to ensure the safety of New York City Transit activities, operations, passengers, employees, vehicles, equipment, and facilities. It is a process whereby hazards are identified, assessed for potential impacts, and mitigated in a manner acceptable to management.

The Safety Risk Management process is comprised of hazard identification, risk assessment and risk mitigation.

5.1 Hazard Identification

Hazard identification is the initial step in the Safety Risk Management process. Hazard identification is achieved through safety inspections, safety reviews, safety event investigations, environmental compliance, industrial hygiene, and fire safety surveys. In addition, trend analyses are performed focusing on employee and customer accidents and injuries, near miss incidents and fire incidents and common deficiencies resulting from inspections, investigations, reviews, surveys, and at the request/recommendation of the Safety Committee. Additionally, hazard assessments performed in accordance with the most recent version of Military Standard 882 and the safety certification process are two other methods utilized in the hazard identification process. Methods utilized in hazard identification are further discussed below:

Inspections – Safety hazards can be introduced over time as workstations, processes and employees change, equipment and tools become worn and as facility layouts and designs are modified. Therefore, regular inspections and preventive maintenance of operations, equipment, work areas and facilities are performed to ensure compliance with internal policies/standards, best management practices, defined industry standards and regulatory requirements. Documentation of inspections is performed to verify identified safety hazards are addressed and corrected. Additionally, joint labor/management inspection teams perform safety inspections at facilities to identify deficiencies/hazards which are tracked to completion.

Reviews – The review, collection and organization of information is performed to identify safety hazards that may be present, which workers may be exposed or potentially exposed and to ensure standards and regulations are complied with. These include reviews of equipment and machinery operating manuals, safety data sheets (SDS), Injury-On-Duty (IOD) records and reports, patterns of frequently occurring injuries, existing safety & health programs (lockout/tagout, confined spaces, personal protective equipment, etc.), training programs, new/modified products and equipment, new/modified procedures and new construction and design or renovation of facilities and structures. In addition, comprehensive reviews of the implementation of the Agency Safety Plan and Safety Goal Action Plan are performed to identify hazards and potential problem areas.

Safety Event Investigations – Event investigations are performed to identify root causes to prevent future occurrences. Investigations are performed on serious employee industrial events, employee/customer fatalities, collisions, bus/vehicle collisions/fires, accidents that cause an employee/customer injury, near miss incidents and property loss event. Other high visibility collisions and fires involving NYCT property are also investigated. Additionally, all employee safety events are investigated by operating department supervision whereby the root cause of the event is identified. Safety event investigations are conducted in accordance with the most recent version of Policy Instruction Accident Investigation 10.28 which is discussed in more detail in Section 6.3 Investigations and is presented in Appendix C.

Surveys – Environmental, safety and industrial hygiene site surveys are performed at operating departmental work locations and in the customer environment to identify site specific hazards. Additionally, fire safety surveys are performed at depots and facilities to identify fire related hazards.

Hazard Analyses – Hazard analyses are performed on hazards identified as a result of work and customer environment inspections, on equipment/facility design changes, new equipment/facilities and changes in operating procedures, new operating procedures, or other system changes in accordance with established system safety principles outlined in the most recent version of Military Standard 882. The analysis is conducted to identify the hazards, assess the hazards relative to their severity and probability of occurrence and identify corrective actions or safety risk mitigations to bring the hazard to an acceptable level. Hazard Analyses of safety critical systems/equipment are performed in accordance with the most recent version of Policy Instruction 10.26 System Safety Analysis which is presented in Appendix D.

Trend Analyses – Statistical analysis is performed to identify employee/customer event/injury trends. Safety event trend analyses are broken down by division, responsibility center, event type, event location, and injury type. In addition, trend analyses are performed whenever a critical component fails that can cause loss of control, collision, fire, and operator/customer/pedestrian injury.

Alternative means of hazard identification:

- Complaints/inquiries from customers regarding service, equipment, and facilities.
- Complaints/inquiries from employees regarding facilities, equipment, operating procedures, work locations etc.
- Complaints/inquiries from Department of Labor (DOL), FTA, CDC, SSOA, City and State Department of Health, regarding service, equipment, facilities, operating procedures, work locations, etc.
- Union inquiries regarding work practices, equipment, facilities, and environmental conditions.
- Employee Focus on Safety Surveys/Audits.
- Interagency Emergency Preparedness and familiarization exercises are performed. The emergency preparedness exercise simulates various types of emergencies that involve public transportation, as time and resources allow. Various New York City (NYC) emergency response agencies participate in the exercise. The exercise is critiqued to

identify areas where problems were not fully addressed and require additional focus during future exercises
- Union-Management Safety Committee meetings.
- Evaluation of media productions conducted by outside organizations at NYCT properties to ensure that customer and employee safety is not jeopardized.
- At the request/recommendation of the Safety Committee

5.2 Safety Risk Assessment

This subsection outlines the NYCT methods or processes to assess the safety risks associated with identified safety hazards.

5.2.1 Hazard Classification

As previously mentioned, one of the methods utilized by NYCT to identify hazards is through performing a hazard analysis in accordance with Military Standard 882E. The Office of System Safety (OSS) reviews hazard analyses on critical systems/equipment and operating procedures/rule changes in accordance with established system safety principals outlined in Military Standard 882E. This methodology incorporates hazard classification by assessing the severity (effects) of the hazard and the probability (likelihood) of hazard occurrence.

The severity category is determined for a given hazard at a given point in time through the assessment of the potential for death or injury, environmental impact, or monetary loss as defined in Table 5-1. A given hazard may have the potential to affect one or all of these three (3) areas.

Table 5-1: Severity Categories

SEVERITY CATEGORIES		
Description	**Severity Category**	**Mishap Result Criteria**
Catastrophic	1	Could result in one or more of the following: death, permanent total disability, irreversible significant environmental impact, or monetary loss equal to or exceeding $10M.
Critical	2	Could result in one or more of the following: permanent partial disability, injuries or occupational illness that may result in hospitalization of at least three personnel, reversible significant environmental impact, or monetary loss equal to or exceeding $1M but less than $10M.
Marginal	3	Could result in one or more of the following: injury or occupational illness resulting in one or more lost workday(s), reversible moderate environmental impact, or monetary loss equal to or exceeding $100K but less than $1M.
Negligible	4	Could result in one or more of the following: injury or occupational illness not resulting in a lost workday, minimal environmental impact, or monetary loss less than $100K.

The appropriate probability level is determined for a given hazard at a given point in time, assess the likelihood of occurrence of a mishap as defined in Table 5-2. Probability level F is used to document cases where the hazard is no longer present.

Table 5-2: Probability Levels

PROBABILITY LEVELS				
Description	**Level**	**Individual Item (Qualitative Analysis)**	**Fleet/Inventory * (Qualitative Analysis)**	**Quantitative Analysis**
Frequent	A	Likely to occur often in the life of an item	Continuously experienced.	Probability of occurrence greater than or equal to 10^{-1}.
Probable	B	Will occur several times in the life of an item	Will occur frequently.	Probability of occurrence less than 10^{-1} but greater than or equal to 10^{-2}.
Occasional	C	Likely to occur sometime in the life of an item	Will occur several times.	Probability of occurrence less than 10^{-2} but greater than or equal to 10^{-3}.
Remote	D	Unlikely, but possible to occur in the life of an item	Unlikely but can reasonably be expected to occur.	Probability of occurrence less than 10^{-3} but greater than or equal to 10^{-6}.
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item	Unlikely to occur, but possible.	Probability of occurrence less than 10^{-6}.
Eliminated	F	Incapable of occurrence within the life of an item. This category is used when potential hazards are identified and later eliminated.		

*The size of the fleet or inventory should be defined.

Assessed risks are expressed as a Risk Assessment Code (RAC) which is a combination of one severity category and one probability level. For example, a RAC of 1A is the combination of a Catastrophic severity category and a Frequent probability level. Table 5-3 assigns a risk level of High, Serious, Medium, or Low for each RAC.

Table 5-3: Risk Assessment Matrix

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

Categorizing the hazards as depicted in the table allows for the hazards to be prioritized for safety risk mitigations. Categorization may be based on severity since not all hazards are of equal magnitude or criticality as the anticipated consequences of hazardous events may be minimal, while in others it could be catastrophic.
Hazard categorization also involves the determination of the likelihood of a hazardous event occurring. The likelihood of occurrence can be assigned in non-numeric (qualitative) or numeric (quantitative) terms.

5.3 Safety Risk Mitigation

This subsection outlines NYCT methods or processes to identify mitigations or strategies necessary as a result of safety risk assessment.

5.3.1 Hazard Resolution

The hazard resolution for each risk level as determined in the Risk Assessment Matrix is as follows:

- High hazards are unacceptable
- Serious hazards are undesirable and require a management decision to reduce the hazard
- Medium hazards are acceptable with review by management
- Low hazards are acceptable without review by management.

Therefore, high hazards may require immediate safety risk mitigations, serious hazards would require a management decision, while medium hazards requiring management review would have

a lower priority. When efforts to eliminate a hazard are not feasible, its resolution may be a result of mitigating the risk to an acceptable level.

In addition to recommendations that result in conducting a hazard analysis, OSS makes recommendations to resolve or minimize the risk of hazards identified as a result of inspections, surveys, investigations, reviews, trend analysis etc. The recommendations are submitted to Department of Subways (DOS) for action. OSS maintains recommendation tracking databases whereby all recommendations are logged and tracked until safety risk mitigations are implemented and the hazard is resolved and tracked to closure.

OSS may also request departments to develop a Corrective Action {Plan (CAP) to minimize, control, correct, or eliminate any risks and/or hazards identified from rules noncompliance, audit findings, safety event investigation, internal safety review, or insufficient safety risk mitigation, etc.

The CAP developed will include a schedule, description of the actions that will be taken as well as those who will be responsible for the implementation. Once OSS reviews and approves the CAP, it will be sent to the PTSB for review and approval. Once approval by OSS and PTSB has been granted, all actions taken, and documentation requirements, scheduled status updates etc. will be shared with the PTSB and monitored to completion by OSS. Once all the necessary outlined actions have been implemented the CAP can be closed. Once closed some CAPs may require monitored thru a safety assurance/review process implemented by the responsible department and monitored/audited by OSS with scheduled updates submitted to the PTSB..

The Safety Risk Management process is also used when developing new projects and system modifications. First, hazards are identified and documented in Engineering Change Requests (ECRs) or other official correspondence. Second, the proposed modification and its associated risk assessment is performed by the system supplier, NYCT, and the NYCT-Independent Safety Assessor. Third, risk mitigation techniques such as new and additional training, and changes to maintenance operational practices are created to address any possible procedural impacts and safety hazards. Finally, the NYCT System Safety Certification Board (SSCB), comprising of senior NYCT representatives from various departments discuss, review, and oversee the entire process.

5.3.2 Coordinating with the State Oversight Agency

For conditions or events assessed through a hazard analysis, the results are submitted to and reviewed by the Vice President of the OSS. If the Vice President determines that the condition is an unacceptable hazard and catastrophic in nature, the hazard will be reported to the New York State (NYS) Public Transportation Safety Board (PTSB) as the state oversight agency.
OSS is NYCT's state oversight agency liaison and coordinates all communication, inquiries, and requests to/from the PTSB.

In addition to the hazard analyses, the recommendations that result from hazards, including the status of the recommendations are provided to the PTSB for the following:

- All fatal events .
- Any event which results in five (5) or more injuries to persons involved in the accident.

- All event caused by mechanical failure including but not limited to all fires that occur in revenue service that require passenger evacuation and response by a fire department regardless of if injuries were incurred.

OSS generates the following reports for review:

- Bus Safety Performance – Bus Collisions & Customer Accidents (Monthly & Yearly).
- Employee Accidents Statistics (Monthly & Yearly).
- Monthly Operation Report.
- Employee Lost Time Accident vs Job Titles and Accident Type (Yearly).

5.4 Emergency Preparedness and Response Plan

5.4.1 MTA Bus/NYCT Department of Buses

All emergency conditions at a location are immediately reported to the Bus Command Center (BCC) for appropriate notifications and/or action. In the event that the BCC (located in East New York) is rendered temporarily inviable, the Department of Buses (DOB)/MTA Bus Company will transfer command operations to a mobile Bus Command Center for DOB/MTA Bus Company personnel to conduct all of the functions associated with normal operations. The BCC would relocate to its alternate site at Brooklyn Division's Fresh Pond Depot. The evacuation procedures are outlined in "Emergency Evacuation & Mobile Command Center Bus Procedures" (Appendix W).

All operating supervisory and managerial personnel are responsible for enforcing emergency procedures such as SPCC/SPR, Winter Operations Manual (Appendix X), Strike Contingency Plans, Hurricane/Storm Plan (Appendix Y), DOB's Heightened Awareness Plan (Appendix Z), etc.

All divisions within the DOB and MTA Bus Company participate in interagency and intercity disaster response/emergency drills.

All divisions within the DOB are responsible for ensuring that the most recent version of Policy/Instruction 10.3 "Building Evacuation Procedures" (Appendix E) is enforced and kept current. All facilities are required to have an Emergency Evacuation Plan, evacuation diagrams, and exit locations posted throughout the facility. All employees are also to participate in fire drills at the locations in concert with their Fire Safety & Evacuation Plan.

NYCT Department of Buses/MTA Bus Company commonly responds to emergencies without the need of support from MTA HQ Emergency Management (HQ EM). However, in conditions where there are emergencies/incidents that will impact or potentially impact more that one (1) MTA Agency, the MTA has adopted a modified version of the National Incident Management System (NIMS) ICS Structure for the management, communication, and coordination of such events. These polices and procedures are presented in the MTA's All-Hazards Communication & Coordination Plan (AHCCP). The AHCCP is presented in Appendix AZ.

5.4.2 Office of System Safety

OSS is responsible for responding to emergencies involving significant fires, hazardous materials, employee fatalities, and bus incidents that meet the PTSB reporting criteria. OSS evaluates the emergency response activities during the actual emergency and as a result of investigations after the emergency incident such as post incident inquiries and hearings. PTSB reportable events are also investigated, and catastrophic incidents may be investigated by the National Transportation Safety Board (NTSB) at their discretion. Investigation findings are forwarded to OSS and in some cases include evaluations of emergency response efforts.

Throughout the year, OSS conducts familiarization exercises and when time/resources allow interagency large-scale drill involving the DOB. OSS identifies the type of emergency that will be enacted, coordinates with the Operating and Support Divisions in identifying the location, and notifies outside agencies (Fire Department, Police, EMS, and the NYC Office of Emergency Management). The responses to the drills are evaluated through observations in real time which is critiqued through an after actions process.

OSS is responsible for responding to asbestos and lead concerns/complaints and determining whether an asbestos or lead related condition is to be classified as an emergency. OSS responds to asbestos and lead related emergencies on a 24-hours per day basis and coordinates clean-up efforts through the use of outside contractors or in-house forces. Notifications, where applicable, are made to the NYS Department of Labor (DOL) and the US Environmental Protection Agency (EPA) when necessary.

OSS is responsible for the proper management of chemical spills. OSS responds to hazardous materials and/or chemical releases, that meet a criterion, on a 24-hours per day basis and coordinates clean-up efforts through the use of an outside contractor or in-house forces. OSS is also responsible for reporting spills to the appropriate regulatory agencies. OSS evaluates the spill and provides subject matter expertise regarding the regulatory requirements for proper management and remediation of spills.

5.5 Environmental Management

OSS and all DOB divisions are required to monitor and implement the most recent versions of the following programs in their respective divisions:

- Environmental Management Program Policy Instruction 10.27 (Appendix H) incorporating hazardous and universal waste management
- Infection Control Policy 10.15 (Appendix I)
- Lead Particulate Management Program 10.33 (Appendix J)
- Asbestos Management Program 10.16 (Appendix K)
- Respirable Crystalline Silica Policy 10.39 (Appendix AS)
- Storm Water Management Program – Best Management Practices (Appendix L)
- Permanent Bulletin 03.14.02 – Department of Environmental Protection Noise Code (Appendix AR)
- Spill Prevention Countermeasures Control/Spill Prevention Report Program

- Hazardous and Toxic Chemicals Reporting Program – Community Right-to-Know
- Back Flow Preventer Program
- Obsolete Raw Materials Program
- Air Pollution Control Program
- Chemical and Petroleum Bulk Storage Program

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6 Safety Assurance

This section describes the elements for the development and implementation of a safety assurance process. Processes have been developed for safety performance monitoring and measurement, management of change, and continuous improvement. Procedures under the safety assurance process have been designed to ensure that safety risk mitigations are effective, to collect safety performance data that will help NYCT to predict future safety events and mitigate or prevent them, and to analyze the safety risk of any new practices or procedures that NYCT adopts.

6.1 Safety Performance Monitoring and Measurement

This subsection describes the following activities:

- Monitor the system for compliance with procedures for operations and maintenance.
- Monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.
- Conduct investigations of safety events to identify causal factors.
- Monitor information reported through internal safety reporting programs.

6.1.1 Compliance with Procedures for Operations and Maintenance

This subsection describes activities to monitor the system for compliance with procedures for operations and maintenance.

Process for Ensuring Rules Compliance

Various operating departments/divisions effect the operation of buses within the NYCT DOB/MTA Bus Company. DOB distributes a copy of the MTA NYCT Rules and Regulations (Appendix F) and DOB Safety Guidebook (Appendix G) to all employees and posts them on DOBIC. Each department/division employs strategies for ensuring compliance with these rules and regulations, and their divisional rules and procedures. The following processes are in place for ensuring rules compliance:

6.1.1A Business Strategies & Operations Support

I. Each unit head is responsible for ensuring that OSHA regulations are enforced at the locations where employees are assigned.

II. Internal Controls are established for areas having negative audit report findings.

III. Unit heads comply with the most recent version of Permanent Directive 01.14.05 Safety Monitoring of Employees on Duty (Appendix AI) to ensure employees are fit for duty and managers interact with employees.

6.1.1B Operating Divisions

I. The Assistant General Manager (AGM) and staff are responsible for ensuring that all safety Policy Instructions are followed. The Depot/Shop Safety Inspection Checklist (Appendix M) will assist with compliance with all safety P/I's. Inspections are performed once per week on a rotating tour to include one Sunday by Maintenance Supervisors and verified monthly by General Superintendents, Safety & Environmental Management (GSSEMs).

II. GSSEMs are responsible for compliance with all OSHA regulations through job-site monitoring. In addition, the Facility Code Compliance Officer shall review and ensure that the work to be performed complies with pertinent regulations.

III. Per most recent version of Directive 01.14.05 – Safety Monitoring of Employees on Duty (Appendix AI), first line supervision and managers monitor employees when they report for work assignments as well as during their tour. Additionally, all employees in safety sensitive related positions are subject to random testing the drugs and alcohol per the New York City Transit Authority's Drug and Alcohol Policy Statement.

IV. Depot management monitors and enforces all DOL/OSHA regulations at the locations where employees are assigned. Applicable OSHA regulations are communicated via policy instructions, bulletins, directives, and memorandums. Updates regarding OSHA regulation is an ongoing process.

V. Operating divisions supervisory/management personnel continually monitor vendor activity within NYCT DOB and MTA Bus property to ensure that contractors and vendors performing work for the DOB and MTA Bus adhere to NYCT, Federal, State, and Local safety rules and regulations.

6.1.1C Transportation, Safety & Training

I. Bus Operator Safety Performance is monitored by the Safety, Training & Performance unit. Employee performance is monitored by managers and supervisors in charge, during daily interaction with Bus Operators. Managers monitor Dispatcher performance daily and as needed.

II. All Sub-Division Heads are responsible for ensuring that the applicable safety Policy/Instructions have been properly implemented. Division management performs safety audits.

III. Instructors continuously monitor trainees throughout the day for adherence to safety rules and document their evaluations on daily task sheets. Instructors are updated on all new safety rules via bulletins and directives from the Chief Maintenance Officer as well as in staff meetings.

IV. Safety & Operations Performance unit managers perform a quality control check of licenses, driving abstracts, and other items to ensure that the selection criteria for bus operators are effective.

V. The (PMP) Performance Monitoring Program monitors the performance of B/Os with sub-par records, and identifies retraining, monitoring, and discipline. Each employee on probation is monitored and tracked by the training department.

VI. Discreet undercover supervisory observation rides are conducted on all operators involved in a subsequent preventable events less than twelve (12) months from the date of attending Performance & Evaluation (P&E) training.

6.1.1D Facilities

I. Periodic inspections are performed in accordance with the applicable safety Policy Instructions including required training and certifications. In addition, Facilities participates in monthly Labor/Management Safety Walks. At Facilities, Bathgate Shop, the Depot/Shop Safety Inspection Checklist (Appendix M) and Monthly Office Inspection (Appendix N) is conducted.

II. Facilities manages the construction of DOB infrastructure to ensure that the construction activities do not compromise the safety of employees or customers. Facilities enforces all safety rules and regulations for operating construction projects of Bus properties.

III. MTA Construction & Development (C&D) will ensure that contractors hired to perform construction activities on NYCT property have an acceptable safety program and that a designated Design Builder/ Contractor safety representative is present on the construction site during all work activities. The Engineering group works in partnership with C&D in overseeing construction projects on DOB properties. Project Chief Executive Officer (PCEO), Project Management Consultant (PMC), Consultant Construction Manager (CCM), ensures the contractor provides and enforces safety rules and regulations for all operating construction projects. A daily written report on the contractor's activities and safety risk mitigations are shared with the manager.

6.1.1E Maintenance, Support & Engineering

I. Location Managers/Line Supervisors conduct Depot/Shop Safety Inspection Checklist Inspection Checklist (Appendix M). These inspections are performed once per week, rotating the tour, and are verified by management.

II. Once a month, location managers work with GSSEM to conduct observations and discussions relevant to the employee's work tasks with both supervisor and employees and document any safety concerns and corrective actions on the "Employee Focus on Safety Evaluation Form."

III. Safety committees and management meet on a regular basis to ensure compliance with all safety P/Is, audits, inspections, reviews, and to evaluate the workplace. Management performs monthly safety walks and safety audits and labor management performs monthly safety walk-around inspections.

IV. Method of enforcing Occupational Safety and Health Administration (OSHA) regulations includes audits for compliance (internal audits by Maintenance and external audits by OSS).

V. Line supervision and management enforce all rules and regulations which is supplemented by Senior MSS management safety audits.

VI. To help ensure the safety of employees and customers, managers and supervisors are required to interact with employees at the start and/or throughout their tour of duty to make a conscious assessment of the employee's fitness for duty and/or ability to perform (following Directive 01.14.05 – Appendix AI). Additionally, all employees in safety sensitive related positions are subject to random testing of drugs and alcohol per the New York City Transit's Authority's Drug and Alcohol Policy Statement.

6.1.1F Office of System Safety

Independently of DOB, the OSS performs periodic field safety inspections to monitor compliance with safety rules and Safety Policy/Instructions.

In addition, OSS develops and maintains the Policy/Instruction on "Establishing Safety Goals and Action Plans - Policy Instruction 10.18 (Appendix O). OSS provides guidance and coordinates with the operating and support departments in the development of realistic and measurable customer and employee safety goals. OSS helps in the development of departmental action plans that outline the steps necessary to realize the goals and enable the tracking of the implementation of the goals and conducts a quarterly evaluation of the status of the implementation of the safety goal action plans. OSS Bus Field Operations unit conducts periodic reviews/audits on the implementation status of the DOB Safety Goal Action Plan. Written reports are sent to the operating department with recommendations, corrective actions, or safety risk mitigations when required. They are also responsible for conducting unannounced safety inspections, attending safety meetings, and monitoring ASP compliance.

6.2 Safety Risk Mitigation

This subsection describes activities to monitor operations to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended. Systems operated by the DOB are subject to scheduled maintenance programs. The programs include established maintenance cycles, methods for tracking maintenance activities, and audits utilized to ensure the effectiveness of the maintenance performed.

6.2.1 Revenue and Non-Revenue Vehicle Maintenance Programs/Procedures

Bus Operators, maintainers, supervisors, and managers strictly follow all safety laws and regulations, including New York State Vehicle and Traffic Code Article 19-A and applicable federal laws. Maintenance policies and procedures for fixed route buses and for non-revenue vehicles are established by the Vice President/Chief Maintenance Officer of the Bus Maintenance, Support and Engineering Division. Maintenance procedures are developed for each bus and vehicle model based on manufacturer's specifications with the fleet/vehicle types.

A computerized maintenance management program (SPEAR 4i) is used in all NYCT DOB and MTA Bus Company depots and shops. This maintenance program provides managers with the tools to maintain both the revenue and non-revenue fleet in a state of good repair to ensure safety and operational reliability.

In addition, the program helps schedule work to effectively manage fleet inspection, preventive maintenance tasks and repairs as well as track warranty data. Preventive Maintenance and Scheduled Operations inspections and intervals are presented in NYCT/MTA Bus Maintenance Policy Plans (Appendices AU-AW) and schedule operation forms for non-revenue vehicles (Appendix AX and AY).

Divisions within DOB that have vehicles require users of such vehicles to verify that they are safe and in good condition before and after use. In accordance with MTA All Agency Directive P/I 11-037 - Assignment and Use of Support Fleet Vehicles (Appendix Q), NYCT P/I 2.3- Assignment and Use of Support Fleet Vehicles (Appendix T), and most recent version of Permanent Directive 02.89 – Non-Revenue Vehicle Usage and Mileage Sheets (Appendix P), Bulletin 01.10 – Pre-Trip Inspection and Post Trip Report (Appendix R) drivers must complete the daily vehicle usage mileage report and perform visual inspections of the vehicle prior to departure and report any defects noted. All vehicle component failures, bus system failures, trouble/delay events are reported and tracked in SPEAR for depot, division, and central support personnel for analysis and response. The CMF Support Fleet Services Unit manages the maintenance of non-revenue vehicles in accordance with manufacturer's specifications. Fleet Services contacts the non-revenue vehicle liaison when a vehicle is due for maintenance or inspection. All documentation is submitted and tracked in SPEAR.

6.2.2 Depot and Shop Equipment Maintenance Programs/Procedures

The Facility Maintenance Plan – Standard Operating Procedure (SAOP) FMP-001 (Appendix AB) governs the development and implementation of all facility maintenance activities and ensures compliance with OSHA, Federal, State, and applicable regulatory requirements.

P&E personnel enter shop equipment defects in MP2 or 7i to create work orders to track inspections, maintenance, and defects and employees report defects using the daily logbook. The MP2/7i provides history of the maintenance activities and historical defects. Management reviews and evaluates the records on an ongoing basis to ensure that all issues are corrected and addressed.

Divisional depot personnel use facilities work order system MP2 or 7i to report defects, generate work orders, and track requests. The facility managers prioritize work orders and give the highest priority to requests or work orders where employee safety is at risk. The Facility Maintenance Plan Unscheduled (Corrective) Maintenance Workflow Process is followed. If the work can be performed by the Facility Manager's employees, then it is completed by the Facility Manager's workforce.

If additional resources are required, the Facility Manager must seek approval from his or her supervisor. The Facilities Engineering department evaluates these programs to ensure standardization and compliance is assured.

6.2.3 Transportation, Safety & Training Programs/Procedures

To meet the goal and improve customer safety, the Bus Command Center (BCC) performs the following:

- Broadcast customer safety advisories through the bus radio.
- Conduct unannounced check rides on operators having customer complaints

The primary customer safety goal of the Safety & Operations Performance unit is to support the DOB's reduction goal of Bus Customer Accidents per Million Customers through performing the following:

- Perform 19A Performance Evaluation
- Evaluate Customer Service Skill – interaction with customers
- Defensive Driving Classes
- Monitor new bus operators in the Probationary Review Program
- Monitor and improve the performance of all employees through the PMP
- Review and rate customer events to determine preventability

The Transportation, Safety & Training division supports DOB's lost time events department wide goal of zero through the following efforts:

- Reinforce employee safety through 19A Performance Evaluations (i.e., seatbelt usage, proper mirror adjustment, etc.)
- Hire bus operators through the BOSS (Bus Operator Selection System)
- Investigate safety event and implementing prescriptive interventions through the Performance Monitoring Program
- Provide the required Right-To-Know training to new hires prior to their training graduation.
- Aggressively pursue employee safety event reduction by following the Safety Goal Action Plan (SGAP) and implement strategies developed by DOB Safety Committees.
- All accident signs are kept up on a regular basis and safety newsletters and posters are distributed quarterly by the Occupational Safety Compliance Unit

Transportation Operations participates in the ongoing effort to reduce employee accidents by:

- Employee safety event are properly investigated and monitored for trends
- Safety rules are routinely enforced, and appropriate action is taken to address violations
- Safety posters are displayed in the work area to advise employees

All drivers are to abide by the following bulletins when operating a vehicle:

- Safe Operations – the most recent version of Bulletin No. 01.17.10 (Appendix S)
- Movement of vehicles inside the depot – the most recent version of Bulletin 1.34.05 (Appendix U)

Adherence to traffic laws, rules, and regulation – the most recent version of Bulletin 01.52044 (Appendix V).In addition, DOB issues several other bulletins that require bus operators as well as other employees to adhere to policies when operating vehicles. These include bulletins on Mandatory Seat Belt Usage, Movement of Buses, Cellular Phone, Smart Watch, Pager and Personal Electronic Communication Device Restrictions, Pre-Trip Inspections and Post Trip Reporting, Securing Your Bus, and Vehicle and Traffic Law (Article 19-A) Requirements Governing the Operation of Buses.

6.2.4 Evaluation of employee accidents for trends and corrective measures

Employee safety events are recorded on the IOD log and analyzed to identify trends. In addition, employee safety events are documented on DOB's data visual tool (Tableau) to assist with statistical visualization and data analysis. Operations Support analyzes employee safety event data which is accessible on the DOB Information Center (DOBIC) so that operational departments can identify trends. Once a trend is identified, bulletin, directive (permanent or temporary) or memo is generated to address the safety event trend. The OSS receives a copy of the trend analysis report and assists in developing corrective measures to address these trends.

The Operating Division, through the General Manager NYCT/MTA Bus Company Operations, Chief Transportation Officer (CTO) and the Chief Maintenance Officer (CMO) periodically review bulletins, policy instructions, and directives posted on Department of Buses Intranet Channel "DOBIC" and are updated, revised, or deleted as needed. They are distributed and posted to all DOB and MTA Bus Company facilities. Bulletins, Directives or Policy Instructions are developed on as need basis and/or in response to a planned business requirement or to communicate and disseminate critical and urgent messages.

Trend analyses are also conducted on critical component failures that can cause loss of control, collision, fire, and operator/customer/pedestrian injury. Critical component failures are entered in SPEAR. Corrective measures such as campaigns are taken when a critical trend is identified. The vendor is also notified when the component is still under warranty and the vendor will perform their own campaign. A course of action is determined contingent on the nature of the failure, and is then tracked in SPEAR and Tableau.

6.2.5 Maintenance, Support & Engineering Programs/Procedures

Methods and frequency of evaluating effectiveness of the maintenance programs include:

- Daily review of bus defects by ACMO, Technical Service, Customer Services & Engineering (for selected incidents as reviewed in the depot logs) and involved depot to determine cause and resolution to prevent recurrence.
- Critique of bus defects and ongoing critical maintenance initiatives at the meetings that cover and focus on the key bus maintenance, repair, new technology, material, engineering, and safety issues relative to buses.
- Periodically review SPEAR data to validate current maintenance strategies and patterns to improve fleet/component(s) performance.
- The safety event investigation process includes investigation by a member or members of the Assistant General Manager Committee appointed by senior MSE management, as well as documentation or recommended corrective measures to prevent recurrence of similar accidents(s). A timely preliminary recommendation (e.g., remove equipment from service, repair, and release by OSS for further disposition) is provided as a part of every safety events investigation.

Depending on circumstances, additional action(s) may include:

- Campaign buses to implement fix (repair) and/or survey of similar conditions.
- Develop and issue official technical documentation (Maintenance Directives, Technical Services Bulletins, etc.) to preclude recurrence.
- Comply with OSS recommendation(s) (whenever issued) to preclude recurrence.
- Inspect/Repair equipment in accordance with Original Equipment Manufacturer (OEM) specifications and maintenance manuals.
- Conduct independent laboratory analysis of involved materials or parts as necessary.
- Review with consultant/vendor/ OEM to preclude recurrence.

6.2.6 Office of System Safety Programs/Procedures

The following are programs and procedures that OSS conducts to identify safety risk mitigations:

- **Assist the Operating and Support Departments in developing safety goals in accordance with the most recent version of Policy/Instruction 10.18 - Establishing Safety Goals and Action Plans (Appendix O).** OSS develops and maintains the Policy/Instruction 10.18 - Establishing Safety Goals and Action Plans (Appendix O). OSS provides guidance and coordinates with the operating and support departments in the development of realistic and measurable customer and employee safety goals.

- **Assist in the development and monitoring of departmental safety goal action plans that outline the steps necessary to realize the goals and enable the tracking of the implementation of the goals.** OSS conducts quarterly evaluations of the status of the implementation of the safety goal action plans and issues written reports to the operating department with recommendations, corrective actions, and safety risk mitigations when

required. OSS ensures that all identified deficiencies are addressed. Additionally, OSS Bus Field Operations (BFO) unit conducts periodic review/audits on the implementation status of the DOB SGAP.

- **Receive all employee on the job injury reports and maintain a database of the on-the-job injuries for statistical analysis.** OSS and the Department of Law receive Employee on the Job Injury Reports. The Department of Law enters the data into the Worker Compensation Information System database and OSS periodically downloads the data into a database for use in developing reports.

- **Produce and distribute periodic reports for departmental accident prevention efforts and for evaluating managerial safety performance.** OSS regularly publishes safety events statistics in the monthly Employee Lost Time Accident Rate Update.

- This report contains information related to recordable lost time accidents. Safety reports are prepared periodically for the NYCT President and their staff. These reports contain information related to the overall safety performance of NYCT, as well as a selected safety area. OSS prepares a Safety Report, which is published in the MTA Committee Agenda. This report includes statistical information related to customer and employee accidents, bus incidents and fires. OSS also prepares specific reports as requested by the operating and support departments to aid in their safety event prevention efforts.

- **Respond to requests for accident data from external agencies and internal operating/support departments.** OSS gathers incident data; compiles reports and submits the reports as requested by external agencies and internal operating/support departments. The reports vary depending on the request. However, they generally involve employee and customer safety event statistics relative to a specific problem area. In most instances the reports are generated utilizing data that is available in existing databases. If the requested information is not available in existing databases, OSS conducts the necessary research to obtain the information from sources within NYCT and other transportation properties as necessary.

- **Conduct statistical analyses to identify employee/customer accident trends.** OSS regularly conducts statistical safety event analyses by division, responsibility center, event location, event type, and injury type. OSS publishes information annually in the statistical package of lost time vs. safety event types and job titles.

- **Maintain a database for all NYCT, NTSB, and PTSB collision investigation recommendations.** OSS may make recommendations as the result of an incident investigation and receives NTSB and PTSB recommendations that may be issued relative to their safety event investigations. OSS tracks the status of the recommendations to ensure that they are implemented.

- **Provide safety reports to upper-level management.** OSS prepares and distributes regular safety performance reports to upper-level management. The regular reports

include the monthly Employee Lost Time Accident Rate update, periodic safety reports to update the MTA Chairman and the President and their staff on the safety performance of NYCT, and the Safety Report that is published in the MTA Committee Agenda.

6.2.7 Hours of Service

NYCT works in conjunction with frontline workers to ensure all workers are rested and prepared to safely complete their duties. NYCT is exploring additional strategies to continue to improve its fatigue mitigation efforts.

6.3 Investigations

This section addresses how NYCT and MTA Bus conduct investigations of safety events to identify causal factors and the criteria associated with the identification of collision and incidents that require an investigation, notification to external agencies, and the generation of required collision/incident reports. Additionally, this section outlines the investigative processes associated with bus collisions, industrial accidents, employee fatalities, and employee on the job injuries.

The Office of System Safety Surface Transit Investigations (STI) division conducts investigations of Public Transportation Safety Board (PTSB)_bus collisions and incidents. After the completion of an investigation, a final report with or without recommendation(s) is issued. Congruently, the final report is also sent to the PTSB. The Department of Buses (DOB) responds to the recommendation(s) and if applicable, develops a Corrective Action Plan (CAP) or safety risk mitigations to ensure that the actions by DOB will minimize, control, correct or eliminate the risk and hazards identified by the recommendation(s). The recommendation(s) are entered into a database and tracked until it is closed. Once a CAP is closed by OSS, the CAP including all documentation that pertains to the closure of the CAP are sent to the PTSB.

6.3.1 Employee on the Job Injury Reporting and Investigation

All managers and supervisors follow the Employee Injury Reporting & Investigations Procedure Manual for Managers and Supervisors (Appendix AC). Operating supervision/management at the scene of the incident must complete the Injury on Duty form and submit it to the DOB Safety Unit within forty-eight (48) hours of the accident. Documentations are as follows; On-The-Job-Injury Form, On-The-Job Investigation Form, Telephonic Employee Accident Reporting Script, BCC Brief, and other pertinent documents. Furthermore, supervision is required to call the accident/safety event reporting desk immediately upon notification. The General Superintendent, Safety & Environmental Management (GSSEM) and General Superintendents of Maintenance and Transportation review the investigation to determine/identify root cause(s) and recommendations to prevent recurrence. This is documented on the IOD management follow-up form. The GSSEM records and submits a follow-up report weekly to DOB Safety Unit.

The DOB Safety Unit is responsible for coordinating all employee IOD reporting and working with all locations to ensure thorough investigations of employee incidents and implementation of recommendations to prevent similar occurrences. All injuries are investigated in accordance with the most recent version of DOB Permanent Directive 01.01.07 – Accident/Incident Investigation

Procedure (Appendix AA), and MTA NYCT "Employee On-The-Job Injury Investigation Guidelines" (Appendix AD). The Occupational Safety Compliance Unit receives the initial incident report within forty-eight (48) hours and ensures that it is submitted to Workers Compensation (NYCT/MTA Bus) and OSS Staff. Transportation, Safety & Training personnel will obtain the injury history of involved employees from OSS and evaluate if any trends exist. Contract carriers are responsible for performing employee safety event investigations. Every lost time safety event is reported to the Bus Command Center accident/ safety event desk during tour of occurrence to obtain a brief and for dissemination throughout DOB.

6.3.2 Investigations of Motor Vehicle Collisions

The Bus Safety and Training (BST) Division rate motor vehicle collisions as preventable or not-preventable using guidance from the most recent version of Directive 1.25. – Guide to Determine Preventability of Accidents (Appendix AE). The General Superintendent administers appropriate discipline based upon employee personal action file records and/or the progressive discipline process.

All managers and supervisors who evaluate collisions and the safe operation of vehicles follow the guidelines of the most recent version of Directive 1.25., "Guide to Determine Preventability of Accidents" (Appendix AE). Safety & Operations Performance personnel are responsible to rate all bus collision and customer incidents, review employee records, and make recommendations to the employee reporting location as to the resolution of that incident (preventable or not-preventable). Employees are retrained in the area if deemed necessary. If discipline is deemed appropriate, the training department forwards the completed investigation/rating package to the employees reporting location General Superintendent for action.

6.3.3 Contractor Injury and Investigation

Contractor injuries are to be handled by the individual contractor, which is monitored by MTA C&D or the Division of Facilities for Operating Contracts. Serious contractor events are investigated by C&D Safety and in some instances OSS.

For incidents involving Contractor or Subcontractor personnel, the public, and/or property damage, the Project Chief Executive Officer (PCEO), Project Management Consultant (PMC), Consultant Construction Manager (CCM) or Design Manager (DM) shall ensure that the Contractor complies with the requirements of the contract by the Contractors Project Safety Representative (CSE/CSS/CSM/SM/SC). submitting a properly completed MTA Supervisor's Accident Investigation Report (SAIR). For accidents classified as OSHA recordable, the Contractor shall also provide a copy of the C-2F. The PCEO/PMC shall retain the original report(s) in the contract file and forward a copy of the completed event report(s) to each of the following within twenty-four (24) hours of the accident:

- C&D, VP Safety Executive, 2 Broadway, 8th Floor
- OSS, 2 Broadway, 28th Floor
- MTA Risk Management, 2 Broadway, 16th Floor (when applicable)

The PCEO/PMC shall also ensure that the contractor provides a completed Supervisor's Accident Investigation Report for any event where no lost time is incurred or is not deemed OSHA Recordable to the Chief of Safety Management, C&D.

After any serious event , the PCEO/PMC shall ensure that the contractor convenes an investigative meeting within twenty-four (24) hours for the purpose of determining the cause of the event and actions to be taken by the Contractor to prevent a recurrence of the event. The PCEO/PMC shall ensure the Contractor makes all personnel involved in or witness to the safety event available at this investigative meeting for interviews. The PCEO/PMC or his representative and the Contractors Project Safety Representative are required to attend the investigative meeting. They will also notify C&D Business Unit Safety and C&D Safety Oversight so that they may send a representative. The Contractors Project Safety Representative shall update Accident Prevention Program/Hazard Communication Program and Safe Work Plan (SWP) to include post-event measures to prevent recurrence of the event if necessary.

6.3.4 Customer Injury and Investigations

Bus Operators report customer incidents to the Bus Command Center (BCC) console. The BCC receives all notifications of reported customer incidents and ensures that incident briefs are submitted to the Department of Law and various other appropriate divisions/departments and are also posted to Department of Bus Information Center (DOBIC.)

6.3.5 Investigations of Safety Critical Systems Failures

All critical system failures are reported to the BCC, which then notifies the Senior Vice President/Chief of Operations, OSS, and other appropriate personnel. The manager's/supervisor's findings are reported on the Supervisor's Accident/Crime Investigation Report (Appendix AF).

Operating Division personnel (Road Operations) respond to all revenue vehicle collisions or safety critical systems failures (e.g., brake systems, door systems, wheelchair systems, emergency door opening systems, Compressed Natural Gas (CNG) systems, fire suppression systems, steering systems, etc.). Failures of safety critical systems which result in a PTSB reportable incident are rated by BST Division personnel, forwarded to Maintenance, Support & Engineering for investigation and resolution, reported to OSS and C&D safety representatives.

Maintenance, Support & Engineering investigates bus collisions, fires, and mechanical failures in accordance with the most recent version of P/I 10.28 (Appendix C). Incidents are documented by means of a Maintenance, Support & Engineering investigation team. The Maintenance, Support & Engineering investigation team investigates the following incidents, but not limited to: collisions involving five (5) or more individuals, fatality, mechanical failure (e.g., brake systems, door systems, wheel-chair systems, emergency door opening systems, CNG systems, fire suppression systems, steering systems, etc.), or collisions which may require a campaign to implement a repair and/or survey the fleet for similar conditions.

Facilities' Engineering Unit investigates and prepares reports on system failures (e.g., ventilation equipment, fire protection equipment, emergency lighting, power, communications, fuel storage/dispensing systems, CNG storage/dispensing systems, bus lifts, etc.). Based on the investigation, changes to training, procedures, equipment, and policy may be implemented to eliminate or minimize recurrences.

6.3.6 Office of System Safety Notifications

I. Public Transportation Safety Board (PTSB) Criteria Collisions

OSS shall notify the Surface Transit Incident Command Center (STICC) of the incident (Phone number (800) 866-9368 or (518) 457-3765 within ninety (90) minutes of all incidents for which the PTSB has primary responsibility in accordance with Title 49 CFR, Part 674.

II. Federal Transit Administration (FTA) Criteria Collisions

OSS shall notify the FTA (Phone number (202) 366-1863 within two (2) hours of all accidents for which the FTA has primary responsibility in accordance with Title 49 CFR, Part 674.

III. National Transportation Safety Board (NTSB) Criteria Collisions

OSS shall notify the National Response Center, Phone number (800) 424-0201 within two (2) hours of all accidents that the NTSB may assume primary responsibility in accordance with Title 49 CFR, Part 840.3

IV. Department of Labor (DOL) notification:

Notifying the Department of Labor (DOL) within eight (8) hours of any fatality or the hospitalization of two (2) or more employees. Environmental Protection and Industrial Hygiene will liaison with the DOL.

V. Union notification:

The BCC shall notify the Safety Director or delegate according to the BCC notification matrix (Appendix AZ) of the relevant union(s) of any accidents, fatalities, hospitalizations, or other events which must be reported to a government safety regulator or investigative agency.

NOTE: OSS is the only authorized liaison between NYCT/MTA Bus Company and outside regulatory/investigative agencies (NTSB/PTSB/FTA/DOL). All requests for information from these agencies will be forwarded and responded through OSS.

NOTE: OSS and the DOB shall provide administrative and technical support to the NTSB, PTSB, FTA, and DOL during their investigations of criteria incidents.

In addition, OSS notifies the NTSB and the PTSB of emergencies as follows:

NTSB (Bus)

- Catastrophic bus collision

PTSB (Bus)

- All fatal collisions
- Any collisions which results in five (5) or more injuries to persons involved in the collisions
- All collisions caused by mechanical failure, including but not limited to all fires that occur in revenue service that require passenger evacuation and response by a fire department regardless of whether or not injuries were incurred

6.3.7 Office of System Safety Incident Reporting & Investigation

The OSS is responsible for investigating:

- Serious industrial incidents (e.g., amputation, puncture, crashing, burn, chemical exposure, etc.) resulting in hospitalization or death
- Significant property loss accidents
- All High Visibility Incidents regardless of type and/or severity that result in significant media, political or regulatory interest regardless of forgoing criteria, or at the discretion of the Vice President of OSS
- All fires in NYCT facilities and buses, and calls regarding gas or diesel odors when requested by the operating/support divisions
- Structural and equipment failures resulting in unsafe conditions
- Bus collisions that result in a fatal injury, five (5) or more injuries to persons involved in the collision, or a mechanical failure, including but not limited to all fires that occur in revenue service that require passenger evacuation, and response by a fire department regardless of whether or not injuries were incurred

6.3.8 Office of System Safety Investigation Procedures for Bus Incidents Resulting in Serious Injury or Death to an Employee

Whenever an incident occurs that results in the death to an employee, a Board of Inquiry (BOI) shall be convened by the Executive Vice President of NYCT Department of Buses/MTA Bus Company to investigate the circumstances of the incident, make findings of fact, determine principal causation and responsibility, and develop recommendations for preventing similar occurrences. In addition, the Executive Vice President may convene the Board of Inquiry (BOI) at his/her discretion to investigate a serious employee injury.

The BOI shall:

- Question all witnesses.
- Compile all documentary evidence.
- Ascertain all applicable safety rules.

- Upon completion of its investigation, prepare a written report, which shall:
  - Set forth the material facts leading to and causing the incident.
  - Determine principal and contributing causes of the incident.
  - Reach conclusions as to the persons, policies, procedures, practices, and divisions, as applicable, responsible for the incident.
  - As applicable, provide recommendations for changes in safety rules, work rules, or other policies, practices, and procedures of the NYCT/MTA Bus Company to prevent the occurrence of similar incidents.

6.4 Internal Safety Reviews

This section describes the process NYCT uses to ensure that planned and scheduled internal safety reviews are performed to evaluate compliance with the Agency Safety Plan (ASP). The internal safety review process will determine if all organizational elements, equipment, procedures, and functions are performing as intended from a safety perspective.

6.4.1 Scope of Activities

The objectives of the review process are to provide a mechanism for determining if the plan has been effectively implemented. The internal safety review objectives are as follows:

- Verify that safety programs have been developed/implemented in accordance with ASP elements.
- Assess the effectiveness of the safety programs.
- Identify program deficiencies.
- Verify that corrective actions or safety risk mitigations are being developed, implemented, and tracked to closure.
- Recommend improvements to the ASP.
- Provide management with an assessment of the adequacy of the ASP.
- Assure continuing evaluation of the safety related programs.

6.4.2 Office of System Safety

The OSS is responsible to plan, schedule, and implement an internal safety review program in compliance with state and federal regulations. All of the divisions within the DOB are responsible to provide support and assistance with performing safety reviews and implementing corrective actions or safety risk mitigations as needed. Typical review activities include record reviews, physical inspection of buses, depots, shops, plant and equipment, interviews and observations of operations and other operational activities. While ongoing inspections may be conducted on an unannounced basis, the reviews will be performed on a coordinated basis with management support. Safety reviews focus on safety related NYCT activities identified within the ASP.

Additionally, Safety Goal Action Plan (SGAP) program is used in NYCT as a means to help drive the Safety Management System (SMS) process and enhance customer and employee safety at NYCT. The SGAP program is monitored and audited by OSS. The SGAP program uses safety goals and action plans that are updated quarterly and developed by each department, with a

statement of a target result and list of tasks, to be achieved within a specific period of time, that, when achieved, will have a positive, measurable effect on employee and/or customer safety. All SGAP quarterly updates and audit records are kept by OSS and submitted to the PTSB for review. A complete outline of the SGAP program can be found in the most recent version of P/I 10.18.

6.4.3 Managing the Review Process

Under direction of the Accountable Executive and the Chief Safety Officer, OSS is responsible for managing the review process, ensuring its independent nature, as well as carrying out a plan to address the identified safety deficiencies with consideration for Safety Committee input, data analysis, and corresponding respective items. The DOB shall support the review process by ensuring personnel are available that are needed to participate in the review, provide access to the locations being reviewed, and provide required documentation. The following is the OSS internal Safety Plan review program:

- OSS conducts an annual review of the DOB ASP.
- OSS holds an opening conference with senior management to discuss the purpose and requirements of the reviewing process.
- OSS maintains a checklist to include all the elements of the ASP section to be reviewed.
- OSS conducts comprehensive ASP reviews through meetings with the identified responsible units, interviewing managers and supervisors, conducting site inspections, and collecting and reviewing supporting documents.
- OSS holds Closing Conference at the conclusion of the review process with senior management to discuss all the significant findings and recommendations.
- OSS issues a final report and the checklist detailing all review findings and recommendations for correcting deficiencies.
- The final reports are distributed to senior management.
- Senior Management is required to provide OSS with a CAP indicating action taken/to be taken; implementation schedule; and individual or Department responsible for the implementation.
- OSS tracks the status of implementation of the CAP to ensure that the recommendations are implemented.

6.4.4 Safety Audits Conducted by MTA Audit

In addition to the systematic OSS ASP reviews, MTA Audit conducts audits that focus on compliance with safety requirements.

6.5 Management of Change

This subsection describes the process for identifying and assessing changes that may introduce new hazards or impact safety performance.

NYCT utilizes elements of a configuration management process to address system modifications where safety certification is necessary. Configuration management involves the monitoring of a system's/item's performance throughout its life cycle, while ensuring that all efforts are made to avoid introducing new hazards and thereby minimizing the potential for negative repercussions. When modifications to a system/item are made, the subsequent need for new/additional training or changes to maintenance/operational practices is also taken into account in order to address any possible procedural impacts.

6.5.1 Business Strategies and Operations Support

- **Submit contract design specifications for new or modified designs to Office of System Safety for review.** The Business Strategies and Operations Support Department, in conjunction with Maintenance Support & Engineering, and OSS are periodically requested to review new/modified designs specifications. Equipment design, operating procedures and rule changes are accomplished in accordance with applicable NYCT Policy/Instruction documents requirements (e.g., the most recent version of System Safety Analysis 10.26 – (Appendix D).

- **Ensure that requests for new personal protective equipment and chemical products are submitted to Office of System Safety for review/approval prior to purchase**. Material and Contract Services submits all request for new personal protective equipment and chemical products, STOCK CATALOG MAINTENANCE (G-10) approval form, and/or a Facility & Bus Maintenance Requisitions requiring approval for OSS to review/approve prior to purchases. Once approved by OSS, the new equipment/product is purchased via PeopleSoft requisition or is set up as an inventory stock item. The DOB Chemical Safety Representative requests approval from OSS for all chemicals.

6.5.2 Operating Divisions

- **Ensure that changes in operational procedures that have an effect on the safety of NYCT customers/employees are reviewed by OSS prior to implementation.** The Chief Maintenance Officer, or the Senior Vice President/Chief of Operations submits all changes in operational procedures to OSS for review prior to implementation by Division personnel.

- **Ensure that specifications for new equipment or modifications of existing equipment that pertains to the health or welfare of any customers or employees is submitted to OSS for review.** New Equipment is purchased via the Transit Purchase Requisition process, which ensures that the OSS approves safety sensitive issues related to new purchases. Maintenance and/or Facilities personnel perform modifications to existing equipment upon Facilities Engineering and/or OSS review and approval.

- **Ensure that requests for new personal protective equipment and chemical products are submitted to OSS for review/approval prior to purchase.** The most recent version of Policy Instruction 10.21 "Personal Protective Equipment" (Appendix AH) and internal controls regulating acquisition of products and services assure that the OSS is part of the design/procurement procedure. Operating procedures and rule changes are submitted to OSS for approval when appropriate. DOB Chemical Safety Representative submits all new chemical requests to OSS for review and approval.

- Ensure that new types of equipment, including zero-emission buses, are safely integrated into the existing fleet. All new equipment is evaluated under the standards outlined in the ASP and other governing documents prior to procurement and, upon request, the Safety Committee is informed of respective procurements of equipment covered under this plan to provide input and make recommendations to ensure proper safety measures are adopted for these new vehicles. Maintainers and Technicians working on new equipment will receive appropriate training specific to that equipment on safe work practices and any PPE that may be required of the task.

6.5.3 Transportation, Safety & Training

- **Ensure that changes in operational procedures that have an effect on the safety of the customers /employees are reviewed by Office of System Safety prior to implementation.** The General Manager NYCT/MTA Bus Operations will inform OSS whenever there is a change in operational procedures that may affect the safety of customers and/or employees. Within their jurisdiction the Safety & Operations Performance unit will train employees on new equipment or updated rule changes.

- **Ensure that requests for new PPE and chemical products are submitted to OSS for review/approval prior to purchase.** The Department of Operations Support,

Materiel Division, ensures that all chemical commodities purchased are first approved by the OSS.

6.5.4 Facilities

Ensure that changes in operational procedures that have an effect on the safety of the customers/employees comply with applicable requirements. Any change in operational procedures that can impact the health and safety of employees will be conducted in accordance with applicable policies and information provided in applicable training courses. Facilities will consult Bus Safety is such operational procedures are not included in existing policies or existing training courses. Buses-Safety will forward such documents to OSS for review an approval.

Ensure that specifications for new equipment or modifications of existing equipment pertaining to the health or welfare of any customers/employees is submitted to OSS for review/approval. Specifications for new equipment or modifications to existing equipment that can impact the health and safety of employees (e.g., non-capital fire suppression system installations) are developed and approved by Facilities Engineering or through a vendor with the concurrence of the manufacturer. Facilities Engineering ensures all specifications are reviewed and approved by Facilities Code Compliance, Facilities Environmental Compliance & Management as applicable, and Buses-Safety. Buses Safety will forward such documents to OSS for review and approval.

- **Submit design specifications for new/modified designs for Alteration Level 2 or Higher Projects (as defined by the New York State Building Code) to OSS for review and approval.**.

  Alteration Level 2 or Higher Projects (as defined by the New York State Existing Building Code) shall undergo concurrent review by Facilities Code Compliance, Facilities Environmental Compliance & Management, Buses Safety, and Office of System Safety. The timeframe for review will be defined at the outset of submission based on the size and scope of the project but shall never exceed 15 business days.

  Alteration Level 1 Projects (as defined by the New York State Existing Building Code (i.e., replacement-in-kind) do not require Office of System Safety review or approval. These projects may process with internal review by Facilities and Buses-Safety.

- **Ensure that requests for new personal protective equipment and chemical products are submitted to OSS for review/approval prior to purchase** Facilities complies with the PPE Policy Instruction for PPE. Facilities will consult with Bus Safety if PPE which is not included in the Policy Instruction is required. New PPE will be sent to OSS for review and concurrence prior to implementation.

  Facilities submits requests for the review and approval of chemical products to OSS via Buses' Chemical Safety Representative in accordance with the Hazard Communication Policy Instruction.

Ensure manufacturer/vendor submit safety analysis of equipment/facilities regarding alternate fuels (i.e., CNG) to OSS for review and approval. Facilities will obtain OSS' approval of designs for new or modified equipment for alternate fuels (e.g., CNG) for projects managed by Buses.

6.5.5 Maintenance, Support & Engineering

- **Ensure that changes in operational procedures that have an effect on the safety of the customers/employees are reviewed by OSS prior to implementation.** Operational changes are developed and approved by the MSE, then sent to OSS for review before implementation.

- **Ensure that specifications for new equipment or modifications of existing equipment that pertains to the health or welfare of any customers or employees are submitted to OSS for review.** Specifications for new equipment or modifications are developed and approved by the MSE or through a vendor with concurrence of the manufacturer; subsequently OSS is consulted for final approval.

- **Ensure that requests for new personal protective equipment and chemical products are submitted to OSS for review/approval prior to purchase.** Requests for new PPE are processed through the Department of Operations Support, Division of Material. All requests for the purchase of new chemical materials pass through Maintenance Support, which is responsible for obtaining OSS approval for use. Safety Data Sheets (SDS) are reviewed to ensure that none of the listed ingredients are prohibited substances, and then the application method that will be used is determined. A Chemical Review Request Form is submitted to OSS via a memorandum together with, the appropriate material/product SDS and technical information sheet. The Division of Material will not act upon any Formal Purchase Requisition (U-Req.) or establish a commodity number for a product (G-10) for chemical material without a signature from an authorized chemical products representative which signifies that the material has been approved for use. This procedure is in compliance with the most recent version of Hazard Communication Policy Instruction 10.10 (Appendix AG).

6.5.6 Office of System Safety

- **Conduct design reviews for new construction/equipment and rehabilitation projects.** OSS participates in the various design review stages and provides input relative to safety requirements that should be designed into the project in accordance with internal NYCT standards/guidelines and federal, state, or local regulations. OSS ensures that identified hazards are resolved during the design stages of the project. OSS attends acceptance testing of all fire alarm and fire protection systems. OSS oversees those changes to internal NYCT designs, guidelines, and standards are documented and approved at appropriate levels in NYCT. OSS ensures that safety sensitive equipment (for example but not limited to bus lifts, ladders, platforms and fall protection equipment) is evaluated prior to their procurement.

- **Conduct or review ergonomic studies associated with system/equipment design.** If an employee workstation is being designed or redesigned and human factors engineering issues must be addressed, OSS is consulted to conduct the evaluation of the proposed workstation relative to the tasks that will be performed at the workstation. If a contractor/consultant conducts an ergonomic evaluation of a proposed employee workstation, OSS reviews the ergonomic evaluation to ensure that all human factors engineering issues are addressed. In instances where a workstation cannot be designed within current ergonomic guidelines, OSS must determine if the design is acceptable.

- **Conducts or reviews Hazard Analyses on safety critical system/equipment, operating procedures/rule changes in accordance with established system safety principals outlined in most recent version of Military Standard 882.** When requested by the DOB, hazard analyses are conducted on equipment/facility design changes, new equipment/facilities, and changes in operating procedures, new operating procedures, or other system changes that may affect the safety of employees or passengers. Hazard Analysis of Safety Critical Systems/ Equipment shall be in accordance with the most recent version of Policy/ Instruction 10.26 (Appendix D).

- OSS reviews Hazard Analyses that are conducted on the system components or operating procedures by contractors or consultants to ensure that they are conducted consistently with the Military Standard 882E. The analyses are conducted to identify hazards, assess the hazards relative to their severity and probability of occurrence, and identify resolutions to address the unacceptable hazards. The analysis technique utilized most frequently is Preliminary Hazard Analysis. The analyses are conducted in accordance with the system safety principles outlined in Military Standard 882E. The hazard severity and probability are identified in accordance with the categories identified in the Military Standard. The acceptability of the various combinations of severity and probability ratings is determined based on the Risk Assessment Matrix that is also summarized in the Military Standard. Hazards with a “High” assessment are unacceptable, a “serious” assessment are undesirable, and a management decision is necessary, a “medium” assessment is acceptable with management review, and “low” or “eliminated” assessments are acceptable.

6.6 Continuous Improvement

This subsection describes the process for assessing safety performance and the process for developing and carrying out plans to address identified safety deficiencies.

6.6.1 Office of System Safety

The OSS developed a Safety Executive meeting, which is conducted monthly to review safety key performance indicators, as well as discuss any high priority safety related items. The meetings are co-chaired by the Vice President and the Senior Vice President, Safety and Security and occur once a month.

For the meetings, OSS compiles data on the following: bus collisions; bus collision injuries; employee LTAs, pedestrian/bicycle collision fatalities; customer events; and customer event injuries. The data is provided to senior staff in rolling annul, year over year, and month over month data format for the three (3) previous years.

6.6.2 NYCT Bus/MTA Bus Company

The continuous improvement of safety performance is a crucial component of NYCT's Safety Program as outlined in the most recent version of NYCT's Policy Instruction (P/I) – Safety Policy Instruction 10.1 (Appendix A). Continuous improvement of NYCT's Safety Program is an essential part of providing a safe system for customers, a safe working environment for employees, and to uphold sound environmental management principles. The process of continuous safety performance assessment and the development and implementation of safety plans is accomplished through the perpetual review, modification (as required) and execution of several practices and programs:

- **Resource Allocation:** To ensure and maintain a culture that values and fosters safe work practices, mitigates risk of injuries to our employees and customers, and encourages effective employee safety reporting and communication.
- **Hazard Identification/Analysis Procedures:** To establish early identification and resolution of safety and environmental hazards.
- **Work/Operation Procedures:** To ensure compliance with and/or exceed all federal, state, and local safety laws and regulations and to verify safety control measures are appropriate and implemented.
- **Safety Reporting Program:** To ensure safety rule violations are reviewed and addressed.
- **Safety Training Program:** To ensure personnel are provided the appropriate and required training and are competent in safety management.
- **Safety Performance Analysis:** To measure against data-driven safety performance indicators and safety performance targets.
- **Safety Communication:** To ensure all employees are aware of the safety management policy and processes that are relevant to their responsibilities.

- **Emergency/Disaster Program:** To maintain and ensure a high level of ability to respond to such conditions.

The following activities and actions described in the previous sections of this plan are used to support these practices and programs and track improved safety performance:

- Safety Committees/Safety Meetings
- Safety Reporting for Customer and Employee safety events, Bus Accidents and Fires
- Hazard/Trend Analysis on Safety Critical Systems, safety events/accidnets, Injuries, Materials, Equipment, Operating Procedures and Rule Changes
- Accident/Injury Investigation and Cause Analysis Reporting
- Inspection/Audits and Hazard Tracking Systems
- Maintenance Campaigns
- Design Reviews for Construction, Equipment and Rehabilitation Projects
- Emergency Exercises/Drills
- Annual State Agency Audit Requirements
- Training Development/Evaluation
- Ergonomic Studies and Industrial Hygiene Surveys
- Employee Reporting System

Review, Distribution/Posting of Technical Documentation (Policies, Directives, Bulletins, etc.)

6.7 Employee Monitoring (Drug & Alcohol Program)

NYCT/MTA Bus is committed to operating and maintaining an alcohol-free and drug-free workplace to provide a safe environment for its passengers and employees. NYCT policies, consistent with federal and state law, prohibit all employees from using, possessing, or being under the influence of alcohol during an employee's tour of duty, while an employee is on NYC Transit's premises, or otherwise engaged in NYCT business and/or when such use would make them unfit to report for duty or to be on duty. NYCT policy prohibits the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances at the workplace. In addition, the unlawful use of any drug or controlled substance at any time is also prohibited. NYCT requires all employees to abide by the terms of these policies as a condition of employment. Violation of the alcohol, drugs and controlled substance policies is considered to be a major offense. Employees who violate these policies will be disciplined, with punishment up to and including termination from employment. NYCT performs drug and alcohol tests of employees who perform safety-sensitive functions pursuant to Federal Transit Administration (FTA) regulations. All NYCT/MTA Bus Company employees are subject to drug and alcohol testing in additional circumstances pursuant to internal policy and/or collective bargaining agreements. In addition, it is the policy to provide eligible employees the opportunity to rehabilitate themselves by use of counseling services.

The Department of the Executive Vice President issued the most recent versions of P/I 4.24 *Drugs and Controlled Substances* (Appendix AM) and P/I 4.13 *Alcohol* (Appendix AN). These Policy/Instructions are followed by the Department of Buses and the MTA Bus Company.

To ensure employees receive knowledge of the aforementioned P/Is the hourly employees and supervisors are provided with a substance abuse training course during induction training. In addition, this information is available on the NYCT intranet TENS (Transit Employee News Service), and copies of the policies are available from management.

Each department/division employs different strategies to administer an effective drug & alcohol testing program (most recent version of Policy Instruction 5.7).

6.7.1 Business Strategies and Operations Support

Operations Support follows the most recent versions of Policy Instructions 4.24 – Drugs and Controlled Substances (Appendix AM) and 4.13 – Alcohol (Appendix AN). Employees suspected to be under the influence (drug or alcohol) are sent for Medical Assessment Center for testing.

6.7.2 Operating Divisions

This program relies on a chain of confidentiality to ensure the safety of our employees and customers through monitoring by first line supervision/management and random drug/alcohol testing.

Employees are encouraged to seek assistance through their Union Assistance Program (UAP). Employees who test positive are offered counseling in the Employee Assistance Program (EAP). Failure to complete these programs or repeat offenses are grounds for dismissal.

6.7.3 Transportation, Safety & Training

The Transportation, Safety & Training is the departmental liaison for the DOB and administers/coordinates the random drug and alcohol testing program (the most recent versions of Policy Statement 4.30 – Appendix AO & P/I 4.13 – Appendix (AN) for all of DOB, including its own employees. Related procedures are administered on a day-to-day basis, in accordance with the Departmental Liaison Procedure Manual, issued by the Occupational Health Services Division.

Employees scheduled for random testing are received on a weekly basis. The list is verified (location, etc.) and each location is contacted. Only authorized managers are given the list of employees to be tested. Identified employees are sent for testing. The no-show lists are administered in a similar manner. All records are filed for documentation and audit purposes. All employees in safety sensitive titles and required to maintain a Commercial Driver's License (CDL) are monitored.

The General Manager NYCT/MTA Bus Company operations issues Directives and Permanent Bulletins requiring that testing is administered in accordance with the Policy/Instructions for the Drug and Alcohol Testing Program. Employees that test positive for drugs and/or alcohol are handled in accordance with NYCT and DOB policy and the Collective Bargaining Agreements, if applicable.

6.7.4 Facilities

Facilities follow the most recent versions of Policy Instructions 4.24 - Drugs and Controlled Substances (Appendix AM) and 4.13 – Alcohol (Appendix AN). Employees suspected by their supervisors to be under the influence of alcohol or drugs are sent for testing, along with the random drug testing program. All Facilities employees with safety sensitive titles are in the random drug testing program.

6.7.5 Maintenance, Support & Engineering

This program is administered by the Division of Transportation, Safety & Training, and relies on a chain of confidentiality to ensure the safety of our employees and customers through monitoring by first line supervision/management and random drug/alcohol testing. The Maintenance, Support & Engineering Division follows the most recent versions of Policy Instructions 4.24.5 – Drugs and Controlled Substances and 4.13.3 – Alcohol.

All Maintenance, Support & Engineering employees with safety sensitive titles are in the random drug testing program. Employees suspected of being under the influence (drug or alcohol) are sent to the Medical Assessment Center for testing. Employees are encouraged to seek assistance through their Union Assistance Program (UAP). Employees who test positive are offered counseling through Work Life Services (WLS) (formerly known as the Employee Assistance Program (EAP)). Failure to complete these programs or repeat offenses are grounds for dismissal.

6.8 Workplace Violence Prevention Program (Transit Worker Assault Prevention and Response)

6.8.1 New York State Workplace Violence Prevention Law

DOB follows the most recent version of Workplace Violence Prevention Program Policy Instruction #1.20 (Appendix AP). In fulfillment of the NYS Workplace Violence Prevention law, NYCT created a multi-faceted Workplace Violence Prevention Program. By legal mandate, this program is comprised of a number of required documented elements in fulfilment of the NYS law. As the centerpiece of this Program, MTA/NYCT issued its official Workplace Violence Prevention Program (WVPP) Policy Instruction (1.20) in 2015. While NYCT Office of Security principally manages the Program requirements, through designated WVPP Liaisons, all NYCT departments are stakeholders in the Program's success, in particular, DOS, DOB, Law, OSS, Central Labor Relations, and Human Resources.

The NYS Workplace Violence Prevention Program begins with prevention and carries through to workplace violence post-incident review and analysis. The overarching goals of the NYCT Workplace Violence Prevention Program are the:

- Identification of "risk factors" in the workplace that could engender workplace violence incidents
- Proactive application of "reasonable" mitigations as countermeasures to identified risk
- Sharing pattern/trend information on consummated workplace violence incidents with NYCT employees, particularly those potentially impacted
- Engagement of law enforcement officers to apprehend workplace perpetrators
- Engagement of the NYCT Law Department to liaise with NYC prosecutors in the successful conviction and incarceration of workplace violence offenders

The NYCT maintains a zero-tolerance policy toward and NYCT does not tolerate any act of violence in our system. Assaults on transit workers are a crime and immediately responded to by the appropriate internal and external departments following the guidelines outlined in the WVPP.

6.8.2 Transit Worker Assault Prevention

NYCT is committed to providing a safe working environment for all employees, including access to secure spaces in our system, where feasible. NYCT continuously explores options to improve availability of such spaces such as access to areas located away from the public, locked and/or isolated operating cabs, and secure break rooms to improve the assault protection in existing equipment/infrastructure.

NYCT provides all of its customer-facing employees with regular de-escalation training. This training is recurrent on a regular basis and provides workers the opportunity to practice de-escalation skills.

Employee parking lots, station platforms, and other common areas transited by NYCT employees are constantly evaluated for security mitigations such as adequate lighting and security cameras, where indicated by security surveys. As new facilities are constructed and

come on-line, NYCT is committed to ensuring employee safety is a core tenet of the design and functionality of the facility.

Operators and conductors who feel at risk of imminent assault are instructed to contact dispatch through a radio line to dispatch. Station agents, cleaners, track workers, and other workers in the subway system who do not have access to a radio to dispatch are instructed to contact their supervisor and/or respective command center through a dedicated phone line. Other forms of communication, such as the Emergency button on station platform Help Points, are also available to employees. Dispatchers, phone operators, and other staff receiving these calls are trained to immediately address threats before returning to other work by directing law enforcement to the location and helping the threatened worker find a safe space.

The Safety Committee will explore enhancements such as personal emergency alert systems for employees (i.e., panic button) that could be leveraged to immediately report a threat directly to command centers to decrease response times.

NYCT in conjunction with MTA Legal, is pursuing a policy of excluding violent individuals from the system, as well as those likely to assault workers based on past recidivist behavior.

6.8.3 Transit Worker Assault Response

As dictated by the NYCT WVPP policy, following any act of workplace violence, including assault, law enforcement authorities are immediately notified. . Employee victims of workplace violence are provided the time necessary to work with law enforcement as well as to recover from the incident. NYCT Security will prepare and disseminate NYCT Security Alerts of individuals wanted for workplace violence in order to sensitize and galvanize all employees for general awareness and engagement. NYCT fully cooperates with all law enforcement actions to apprehend and prosecute perpetrators of workplace violence against transit workers. Such actions include directly liaising with the assigned police detective-investigators and the review of any associated CCTV video of alleged incidents to assist law enforcement and prosecutors in timely arrests and successful prosecutions.

The NYCT department responsible for the worksite where an act of workplace violence occurs, including assault, assists the Department of Security in its evaluation of each incident to determine what countermeasures or mitigations may be beneficial to lower the risk of a reoccurrence.

Notifications of workplace violence incidents are communicated in near-real-time through various NYCT Command Centers. These include email notifications to NYCT leadership and designated department-level WVPP Liaisons. Following an assault, union representatives provide counsel to employee-victims prior to any interview with OSS or other management representatives. The Safety Committee is provided a regular summary report, at least quarterly, of all employee assaults in the system.

6.8.4 Workplace Violence Prevention Program (P/I 1.20.0)

MTA NEW YORK CITY TRANSIT
POLICY/INSTRUCTION

Workplace Violence Prevention Program	Classification General	1/08/15	Number 1.20.0

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ATTACHMENTS

Appendix A: Workplace Violence Prevention Policy Statement (posted where notices to employees are normally posted).

Appendix B: Workplace Violence Prevention Policy/Program *"Physical Site Survey and Best Practice/Policy Controls – Generic Checklist"*

Workplace Violence Prevention Program	Classification General	1/08/15	Number 1.20.0

1.0 POLICY

It is the policy of MTA New York City Transit, including the Manhattan and Bronx Surface Transit Operating Authority ("MaBSTOA") and Staten Island Rapid Transit Operating Authority ("SIRTOA"), hereinafter collectively referred to as "NYC Transit" or "NYCT," to evaluate its workplaces and determine risk factors for workplace violence and to develop procedures to reasonably prevent or minimize the potential for such violence, including, when necessary, working with law enforcement to effectively prosecute cases where NYC Transit employees are victims of workplace violence. Threats, threatening behavior, or acts of violence against employees or anyone on Authority property will be thoroughly investigated and appropriate action will be taken, including summoning the police, where warranted. **All employees** are responsible for immediately reporting instances of workplace violence to their immediate supervisor or manager. Threats, assaults, or acts of violence that require immediate attention must be reported to the police at 911.

2.0 PROGRAM COMPLIANCE

The New York State Department of Labor requires that a Workplace Violence Prevention Program include the following elements:

1. A list of the risk factors identified in the workplace examination.
   a. *Identified risk factors resulting from all physical site surveys (i.e., workplace evaluations) of NYCT workplaces will be entered into the Workplace Violence Database. This database will be the central repository for listing site-specific risk factors.*

2. The methods the employer will use to prevent the incidence of workplace violence incidents.
   a. *Methods to prevent or reduce incidents will vary, depending on the nature of the specific incident, but may involve personnel training, repair of infrastructure, installation of new or additional security technology/equipment, physical hardening/engineered modification of the worksite, or a combination of these measures.*

3. A hierarchy of controls to which the program shall adhere as follows: engineering controls, work practice controls, and finally personal protective equipment.
   a. *By application of the MTA and NYCT official security strategy of "Defense in Depth," a layered approach to reducing worksite risk*

factors will be used. With layering, a combination of one or more synergized safeguards reinforces the other(s), as needed.

4. The methods and means by which the employer shall address each specific hazard identified in the workplace evaluation.
    a. *Each department head shall be responsible for ensuring physical site surveys are completed and timely and that reasonable corrective measures are applied to specifically identified risk factors. Authorized Employee Representatives ("AER"), defined in Section 4.4, will be invited to participate. An Executive Coordinating Committee will oversee program compliance.*

5. A system designed and implemented by the employer to report any workplace incidents that occur in the workplace. The reports must be in writing and maintained for the annual program review.
    a. *Workplace incidents as well as other security-related incidents are reported in the computerized Security Incident Tracking System ("SITS") database in accordance with NYCT Policy Instruction #1.14.0 of 02/16/10. This is a mandated reporting protocol.*

6. A written outline or lesson plan for employee program training.
    a. *This material will inform, educate and sensitize employees to bolster their knowledge and aid in the prevention of workplace violence, starting with the identification of some typical examples of workplace violence "risk factors," mitigation strategies, and measures for protection.*

7. A plan for program review and update on at least an annual basis. Such review and update shall set forth any mitigating steps taken in response to any incident of workplace violence.
    a. *An Executive Coordinating Workplace Violence Prevention Committee, comprised of the NYCT President's senior staff or their respective designees, will be responsible for the annual review and update of the program as well as the examination of any incident of workplace violence and ensuring mitigation steps in response. AERs will be invited to participate.*

Workplace Violence Prevention Program	Classification General	1/08/15	Number 1.20.0

3.0 PURPOSE

The purpose of this Policy Instruction is to:

3.1 Establish and constitute the Workplace Violence Prevention Program for NYCT as required under the New York State Workplace Violence Prevention Act ("WVPA"), N.Y. Labor Law §27-b, and the implementing regulations of the New York State Department of Labor, 12 N.Y.C.R.R. 800.6. To this end, this Policy Instruction:

3.1.1 Establishes an Executive Coordinating Workplace Violence Prevention Committee to oversee and direct NYCT's workplace violence prevention efforts through effective and efficient use of NYCT resources.

3.1.2 Establishes procedures that will ensure compliance with the WVPA.

3.1.3 Establishes responsibilities for the development and enforcement of NYCT's Workplace Violence Prevention Policy.

3.1.4 Establishes procedures that will ensure the early identification and reasonable mitigation strategies for minimizing workplace violence.

Workplace Violence Prevention Program	Classification General	1/08/15	Number 1.20.0

4.0 DEFINITIONS

4.1 **Workplace Violence** is defined by DOL as "any physical assault or acts of aggressive behavior occurring where a public employee performs any work-related duty in the course of his or her employment." "Physical assault or acts of aggressive behavior," in turn, is defined by the DOL to include, among other things, attempts of threatening behavior, whether physical or verbal, or intentional display of force, or non-consensual intentional or wrongful physical contact, or stalking with intent to cause fear of material harm to another in the workplace.

4.2 **Workplace** is defined by the DOL as "[a]ny location away from an employee's domicile, permanent or temporary, where an employee performs any work-related duty in the course of his or her employment by an employer."

4.3 **Risk Factors** are defined by the DOL as employment situations that may present higher risks of workplace violence, although workplace violence may occur in any workplace setting.

4.4 **Authorized Employee Representative** ("AER") is defined by the DOL as "[a]n employee authorized by the employees or the designated representative of an employee organization recognized or certified to represent the employees pursuant to Article 14 of the Civil Service Law."

4.5 **Security Incident Tracking System** ("SITS") is a NYCT-wide, intranet based, database used for documenting and recording security incidents provided for in NYCT Policy Instruction # 1.14.0, dated 02/16/10.

4.6 **Workplace Violence Prevention Program**, pursuant to the DOL regulations, is "[a]n employer program designed to prevent, minimize and respond to any workplace violence, the development and implementation of which is required by Article 2, Section 27-b of the New York State Labor Law."

4.7 **Workplace Violence Prevention Departmental Liaison** is a senior level manager designated by each Department Head to serve as the central point of contact for that specific department, to help ensure its compliance with all Workplace Violence Prevention policy/program requirements. This individual will maintain communication with the Department of Security

and the Executive Committee, as necessary, thereby facilitating resolution of issues.

4.8 **Workplace Violence Database** is a NYCT-wide, intranet-based computer program utilized for documenting and recording applicable, site-specific risk factors. It features design elements for worksite customization to reflect the diverse work environment of NYCT locations. Tracking Reports will be generated from the Database to ensure compliance with the program and timely resolution of issues.

4.9 **Executive Coordinating Workplace Violence Prevention Committee** is the group responsible for the oversight of the Workplace Violence Prevention Program and shall be comprised of the President's Senior Staff or their respective designee(s). The Chair of the Executive Coordinating Committee shall be the Vice President, Department of Security. The Vice President, Department of Security, shall also serve as Technical Advisor to the committee.

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5.0 RESPONSIBILITIES

5.1 The Executive Coordinating Workplace Violence Prevention Committee shall meet at the direction of the Chair of that committee, but not less than annually.

A. The Executive Coordinating Workplace Violence Prevention Committee shall be responsible for the following:

1. Defining NYCT's overall goals on Workplace Violence Prevention.
2. Monitoring compliance with the goals spelled out in this policy and ensuring that decisions made by this committee are implemented.
3. Resolving outstanding critical Workplace Violence Prevention issues forwarded by Departments.
4. Reviewing Human Resources Training lesson plans and curriculum.
5. Reviewing Workplace Violence Prevention statistics and possible patterns.
6. Instituting a plan for the review and update, if necessary, of the Workplace Violence Prevention Program and its seven (7) elements (see Section 2.0, Program Compliance), including Physical Site and Administrative Risk Factor reviews, on at least an annual basis. Such review and update shall set forth any mitigating steps taken in response to any incident of workplace violence.

B. The NYCT Departments listed below shall have the following responsibilities:

1. **Department of Security** shall, working in consultation with the Department of Law, the Office of System Safety, and the Office of Labor Relations, be responsible for annual review of NYCT's written Workplace Violence Prevention Program relating to risk factors. AERs will be invited to participate in this annual review process.

   a. The Department of Security shall also be responsible for providing subject matter expertise in the areas of threat, vulnerability and risk analysis, and vulnerability mitigation, as well as coordinating with MTA Information Technology (IT) on developing a database to track vulnerabilities/risk factors and the corresponding implemented mitigations as identified and reported by each department.

   b. The Department of Security will maintain dialogue and communication with each Department's Workplace Violence Prevention Liaison, as designated by the Department Head.

   c. The Department of Security will produce Workplace Violence Prevention Database Tracking Reports, tracking and identifying open items (vulnerabilities/risk factors) for action and resolution by the Executive Committee.
      i. Workplace Violence Prevention Database Tracking Reports will be forwarded from Security to the:
         1. Departmental Liaison; and
         2. Executive Coordinating Workplace Violence Prevention Committee.

   d. The Department of Security will produce statistical reports of Workplace Violence incidents as reported by employees through the Security Incident Tracking System (SITS – NYCT Policy Instruction # 1.14.0, dated 02/16/10.).

i. Such statistical reports will be forwarded from Security to the:
   1. Departmental Liaison; and
   2. Executive Coordinating Workplace Violence Prevention Committee.

2. **Office of Labor Relations** is responsible for the Workplace Violence Prevention Policy Statement and ensuring that the policy is posted where notices to employees are normally posted (Appendix A).

3. **Department of Law** shall provide legal counsel in the preparation of the Workplace Violence Prevention Program and, if necessary, the annual updating of same.

4. **Division of Human Resources**, upon completion of the Workplace Violence Prevention Program, shall be responsible for the following:

   a. **Informing Employees:** Providing and implementing a training program in compliance with DOL Regulations, including providing employees with information regarding the following:

      (1) NYCT's requirements under the WVPA;

      (2) typical risk factors identified in employees' workplaces and measures an employee can take to protect himself/herself; and updating lesson plans to incorporate information on new or unique risk factors as communicated by Department Heads; and

      (3) location and availability of NYCT's written Workplace Violence Prevention Program and Workplace Violence Prevention Policy Statement.

   b. **Employee Training** shall take place at the time of the employee's initial assignment and annually thereafter. Additionally, information shall be provided to affected employees whenever significant changes are made to NYCT's written Workplace Violence Prevention Program.

5. **MTA Information Technology (IT) Department** shall develop a web-based database featuring design elements for worksite customization, working with all Departments, to ensure data entry access rights as well as to provide technical support in resolving database issues. Working with the Department of Security and the Office of System Safety, create reports to satisfy all State reporting requirements.

6. **Office of System Safety** shall share, for comprehensiveness, security-related data it collects with the Department of Security.

5.2 Each Department Head shall be responsible for the following:

1. Ensuring that Local Staff (managers and supervisors) are immediately investigating and reporting on all incidents of workplace violence in their workplaces in accordance with Security Incident Tracking System Policy Instruction # 1.14.0. After taking initial steps to ascertain what occurred and identify potential witnesses, local management in consultation with Labor Relations, should determine whether the workplace violence incident is of such a nature that it should be referred to the Special Investigations & Review Division for investigation. Special Investigations & Review will retain final decision making authority as to whether it will investigate the referral.
2. Designating a Workplace Violence Prevention Departmental Liaison to serve as the overall Department's central point of contact to ensure compliance with all policy/program requirements.
3. Ensuring that physical site surveys are conducted and documented, per departmental procedure, including documented invitations for AER participation. Documented site evaluations are required at newly acquired, or newly constructed, facilities, stations, railcars and buses per departmental procedure. Site survey locations must be revisited if there is a significant change in workplace characteristics or if there is a significant increase in the frequency or occurrence of workplace violence at a particular site.

Note: For NYCT administrative buildings containing multiple departments and units, which do not possess a single,

unified hierarchy for local and departmental committee chain of review (e.g., 2 Broadway and 130 Livingston Street), the Department of Security will assist the building management as it conducts the physical site, risk factor / vulnerability assessments. Space Management/Facilities is the NYCT point of contact for all leased property. Together with MTA Real-Estate, Space Management/Facilities will coordinate corrective risk factor mitigations / counter measures.

4. Ensuring that all required information is entered into the Workplace Violence Prevention Database by the appropriate personnel.
5. Ensuring that reasonable, corrective measures for identified risk factors are implemented. The following are examples of controls that may be considered in prescribing corrective measures: employee training; engineering design modifications; equipment issuance, e.g. flashlights, etc.
6. Ensuring that Workplace Violence Prevention employee training takes place at the time of the employee's initial assignment and annually thereafter.
7. Ensuring that unique or unusual risk factors that have been identified are communicated to the Department of Security and the Division of Human Resources.
8. Meeting semi-annually with appropriate managers to review Workplace Violence Prevention reports, and outstanding issues that have yet to be addressed and closed in the system.
9. Meeting with the AER annually to review and discuss workplace violence incident statistics, trends and/or patterns (i.e., "annual records review") as reported through the Security Incident Tracking System.
10. Summarizing the discussions outlined above (items 6-7) for the Executive Coordinating Workplace Violence Prevention Committee on an annual basis.

5.3 **Managers and Supervisors** shall, with respect to incidents involving workplace violence, be responsible for the following:

1. Immediately commencing the appropriate steps to address all allegations of workplace violence;
2. Immediately notifying internal and external entities, through established procedural protocols, as appropriate, e.g. immediate chain of command supervisor/manager, law enforcement authorities, etc.;
3. Implementing stopgap measures to mitigate any immediate reoccurrence;
4. Preparing and forwarding appropriate documentation, e.g. SITS report;
5. Recommending to senior management through chain-of-command any actions to mitigate any future reoccurrence involving subject employee(s), e.g. counseling, training, disciplinary action, etc.

5.4 **All Employees** shall immediately report instances of workplace violence to their immediate supervisor or manager as well as follow any individual departmental notification procedures.

Note: Many of the responsibilities outlined above include the gathering and transmittal of different kinds of information. Please note that, with respect to the disclosure of information, the NYS DOL Regulations regarding Workplace Violence Prevention Programs do not require employers to disclose in their Programs any information kept confidential for security reasons (e.g., non-routine investigative techniques, anti-terrorism measures, confidential sources, information that endangers the life or safety of any person) or privacy concerns (e.g., injury resulting from a sexual assault or from contaminated or potentially hazardous materials, mental illness, HIV infection).

5.5 No employee shall be discharged, suspended, demoted, penalized, or discriminated against or shall suffer from an adverse employment action in the terms and conditions of his/her employment because he/she has reported an incident or incidents of workplace violence.

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6.0 ATTACHMENTS

Appendix A: Workplace Violence Prevention Policy Statement (posted where notices to employees are normally posted)

Appendix B: Workplace Violence Prevention Policy/Program *"Physical Site Survey and Best Practice/Policy Controls – Generic Checklist"*

7.0 REFERENCES

Security Incident Tracking System (SITS) NYCT Policy Instruction # 1.14.0, dated 02/16/10.

Carmen Bianco
President

Date: 1.8.15

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7 Safety Promotion

7.1 Competency and Training

This section describes the elements for the development and implementation of a comprehensive employee evaluation and safety training program for all NYCT employees directly responsible for safety, and to establish and maintain the means for communicating safety performance and safety management information. Elements under this program include employee training and awareness, employee monitoring programs, and employee and interagency communication in an effort to support safety.

7.1.1 Training

Specific employee training requirements are outlined in New York City Transit's DOB/MTA Bus Company Training Matrix (Appendix AT). The training matrix is reviewed annually and is accessible on the DOB Information Center (DOBIC).

Each department/division employs different strategies to ensure that the necessary safety, technical and refresher training are in place and that all appropriate personnel attend.

7.1.1A Business Strategies and Operations Support

- **Ensure that the necessary technical training and refresher courses for Business Strategies and Operations Support employees are in place and that all appropriate personnel attend.** It is required that management assess the skill levels of the personnel reporting to them and schedule appropriate training. This training is designed to enhance employee performance or to prepare the employee to perform certain job functions adequately. Training on new equipment and/or procedures may also be given. Employees generally attend training during or in place of their normal work assignment.

- **Ensure all Business Strategies and Operations Support employees take refresher training in consultation with OSS, Human Resources Training, and Training.** Currently, required safety training received for the large majority of Business Strategies and Operations Support employees in these areas are Right-to-Know and Safety Management in accordance with the DOB/MTA Bus Company.

Safety Training Matrix. Refresher training is provided in accordance with established P/Is and when existing procedures change or when an employee requires additional types of training. Material Services personnel who frequently work in depots or shops are scheduled for annual Right-to-Know refresher training.

- **Ensure that employees receive all required employee safety training (i.e., respirator, hearing conservation, right to know, etc.)** All employee titles requiring safety training are incorporated into the DOB Training matrix. Management at each location ensures that these training records are entered into PeopleSoft by the training school or employee's location.

- **Implement the National Safety Council (NSC) Safety Training Program in conjunction with OSS.** Unit heads in Business Strategies and Operations Support are responsible for ensuring that new employees are sent for appropriate NSC training as designated in the DOB training matrix.

7.1.1B Operating Divisions

- **Develop, implement, and evaluate technical training (equipment/vehicle maintenance and operational) programs for employees and ensure that all appropriate personnel attend.** Transportation, Safety & Training (for operators & dispatchers) and the Maintenance Training School (maintenance titles) have developed courses to enhance the skills of supervisors and hourly employees in the most current procedures required to safely operate and maintain our fleet. The General Superintendent of Maintenance/Transportation and the 19-A Dispatcher and/or Depot Training Supervisor schedule supervisory and hourly employees for courses appropriate to their titles and/or picked job or to maintain proficiency and safety practices.

- **Ensure that the necessary technical training and frequency of refresher courses for employees are in place and that all appropriate personnel attend the training.** The Depot General Superintendent of Transportation and Maintenance determine the need for refresher technical training as determined by new equipment, new procedures, product updates and /or proficiency. The 19-A Dispatcher and/or Depot Training Supervisor (DTS) schedule all training. -

- **Ensure that training programs are kept up to date with respect to new technology, equipment modifications, and maintenance procedures.** The DOB training section, in conjunction with the Chief Maintenance and Transportation Operations Support Officer provide timely and current technical training for the latest design and technological changes to equipment design and maintenance procedures.

- **Ensure that employees receive all required employee safety training (i.e., respirator, hearing conservation, right to know, etc.)** Employees are scheduled for safety related training as their job criteria requires and in accordance with the DOB Safety Training Requirement matrix. The General Superintendent, Safety & Environmental Management (GSSEM) maintains a matrix of required training for all job tasks. This matrix is compared to the work force and training is scheduled as required.

- **Implement the National Safety Council (NSC) safety training program in conjunction with OSS.** The programs are "living" activities, which are ongoing. New employees are

scheduled as part of their core training. All managers and operating supervisors receive two days of training – Line Supervisor course provided by the Human Resource Division.

7.1.1C Transportation, Safety & Training

- **Develop, implement, and evaluate training programs for B/Os and Surface Line Dispatchers (SLD), and ensure that all appropriate personnel attend the training.** The NYCT Department of Human Resources, along with DOB's Safety & Operations Performance Unit, provides the required initial and refresher safety training to employees. These courses are based on, but not limited to, the training requirements listed in OSHA, Federal and State Laws, OSS Policy Instructions, Safety Training Matrix, and manufacturer's instructions. The Safety & Operations Performance Unit qualifies Dispatchers as certified NYS 19-A Examiners in compliance with Article 19-A of the Vehicle and Traffic law. Technical training requirements and certifications are achieved through the Training Center along with the NYCT Department of Human resources, as illustrated in the Safety Training Matrix by title.

- **Ensure that the necessary training and refresher courses for employees other than bus operators and surface line dispatchers are in place and that all appropriate personnel attend the training.** It is required that management assess the skill levels of the personnel reporting to them and determine what training is needed, before scheduling the necessary training. This training is designed to enhance employee performance or to prepare the employee to perform certain job functions adequately. Training on new equipment and/or procedures may also be given. Employees generally attend training during or in place of their normal work assignment.

- **Ensure that the necessary safety training and refresher courses for Transportation, Safety & Training Division employees are in place and that all appropriate personnel attend.** The NYCT Department of Operations Training, along with the DOB's Safety & Operations Performance Unit, provides the required initial and refresher safety/technical training to all employees. These courses are based on, but not limited to, the training requirements listed in OSHA, Federal and State Laws, OSS Policy Instructions, the Safety Training Matrix, and manufacturer's instructions. The Safety & Operations Performance Unit provides & delivers Transportation and Customer Service Refresher Training to all employees when new procedures/equipment are created, and existing procedures/equipment upgraded. Division 19-A Dispatchers-Examiner's review Bus Operator annual Defensive Driving Performance and perform bi-annual Behind the Wheel Road Tests, in compliance with Article 19-A of the Vehicle and Traffic law. The Division conducts re-qualification training for all bus operators who have been out of passenger service for ninety (90) days or more.

- **Determine the need for, and frequency of, refresher training in consultation with OSS and Training and Operations Performance Division.** Transportation coordinates with OSS and the Safety & Operations Performance Unit when new equipment or procedures are introduced. Dependent upon the complexity of the equipment or procedures, refresher training may be given to improve safety and/or efficiency.

- **Ensure that training programs are kept up to date with respect to new technology, equipment modifications, and operating procedures.** When procedures or equipment change, Bulletins and Directives are reviewed, revised and/or updated to provide current information on the new technology that is introduced. As new technology and equipment modifications change, training programs are revised as required.

- **Ensure that OSS reviews the training programs.** Where applicable, OSS is notified when training programs for Transportation personnel need review.

- **Ensure that employees receive all required employee safety training (i.e., right to know, respirator, hearing conservation, etc.)** Transportation, Safety & Training managers monitor the individual records of their employees to ensure that they receive the required safety training, in accordance with the DOB Safety Training Matrix, Policy/Instructions and other NYCT safety programs. The General Superintendent, Safety & Environmental Management for the Central Maintenance Facility serves as the GSSEM for the Zerega Avenue Training facility. A General Superintendent in the BCC serves as the GSSEM for Transportation Support at East New York (ENY.) They schedule/monitor Safety Training by using the training module from Employee Information System (EIS)/PeopleSoft and the Safety Training Requirement Plans.

- **Implement the National Safety Council (NSC) Safety Training Program in conjunction with OSS.** All managers and operating supervisors receive two (2) days of NSC Supervisor Safety training. Professional/Technical, Administrative/Clerical & Hourly employees receive, DuPont "Actions Employees Can Take" course which is taught by 19-A Dispatchers and Superintendents.

7.1.1D Facilities

- **Ensure that the necessary Technical Training and refresher courses for Facilities Operations employees are in place and that all appropriate personnel attend such programs.** Facilities Director of Training maintains a database of all training required for each title and what training was given to each employee in that title. The ELM program shall be deployed to track all possible training records. Working closely with Human Resources Training, Operations Training and the Department of Buses' Division of Training, the Director of Training regularly reviews in-house course offerings and requests training for all titles, such as, safety training, professional development, and computer courses. If in-house courses are unavailable, outside training shall be investigated and contracted. In (Mahattan & Bronx Surface Transit Operating Authority (MABSTOA), Facilities maintains a list of employees who have passed practical examinations for individual trades and the Facility Maintainer title. When these lists require replenishment, Facilities offers preparation classes for eligible MABSTOA employees. All Facilities employees are offered OEM training for new equipment installed at their locations; NYCT provided training for required certifications; and training provided by third party contractors. Recent third-party training has included: steam trap maintenance and inspection; boiler and heating plant maintenance and inspection; and HVAC filter

maintenance and inspection. Facilities has developed and implemented core training curriculums for new supervisory and hourly employees.

- **Determine the need for, and frequency of, refresher training in consultation with OSS, Human Resources Training, and Training and Operations Performance.** The need for and frequency of refresher training is determined by the DOB Safety Training Matrix, the Office of System Safety, and Training.

- **Ensure that training programs are kept up to date with respect to new technology, equipment modifications, and maintenance procedures.** When new capital equipment is installed or modified the vendor or the manufacturer provides operations and maintenance training as well as all necessary technical information (manuals, etc.).

- **Ensure that employees receive all required employee safety training (such as respirator, hearing conservation, Right to Know, etc.) in accordance with the DOB safety training matrix.** The Director of Training will maintain a database of all Facilities training and schedule training for all titles as required by the Training Requirements as indicated on the training matrix. A report link to ELM has been created, which can be accessed in DOBIC.

- **Implement the National Safety Council (NSC) Safety Training Program in conjunction with OSS.** All managers and operating supervisors receive two days of NSC Supervisor Safety training. Professional/Technical, Administrative/Clerical & Hourly employees receive the four-hour, DuPont "Actions Employees Can Take" course.

7.1.1E Maintenance, Support & Engineering

- **Maintenance Training develops, implements, and evaluates technical training (equipment/vehicle maintenance and operation) programs for employees and ensure that all appropriate personnel attend.** Methods of determining the need for various maintenance technical training programs include management review of bus performance during VP/CMO's meetings on significant bus issues. In addition, bus builders and vendors supplying products and/or systems are required to supply recommended training, which assures appropriate maintenance of their product. Maintenance programs are developed and implemented by the Maintenance, Support & Engineering department. When necessary, outside consultants, vendors/suppliers and institutions of higher learning are solicited to participate in development of new maintenance programs.

<u>Method of ensuring that all employees that must be trained include:</u>

- Cycling new employees through specific training classes developed for their title to assure that they have the skills to do their daily work assignments and be safe in the workplace for themselves and others.

- Cycling experienced personnel through specific training in response to new bus/equipment/technology requirements and/or to changes in work assignments.

- Depot Training Supervisors (DTS) support depot management with on-the-job training.

- **ACMO, Maintenance Training ensures that the necessary technical training and frequency of refresher courses for employees are in place and that all appropriate personnel attend the training.** The need for refresher training is established through ongoing review of bus performance, safety-related incident analysis, regulatory mandate, and recommendation by MSE personnel/consultant/vendor. Additionally, the introduction of new technology/new equipment and manufacturer recommended configuration changes are considered. The frequency of refresher training is determined by subject matter experts, Human Resources Training, and MSE training staff recommendation, regulatory requirement and/or recommendation by relevant outside group (i.e., OEM, consultant, supplier, bus builder).

- **Ensure that technical training programs are kept up to date with respect to new technology, equipment modifications, and maintenance procedures.** Training programs are kept up to date by requiring suppliers, vendors, OEM's, and consultants to recommend specific training appropriate for maintenance of the product provided to all MTABC and NYCT departments

- **Ensure that employees receive all required employee safety training (i.e., respirator, hearing conservation, right-to-know, spirometer testing, etc.)** Employees are scheduled for safety related training as their job criteria requires and in accordance with the Safety Training Matrix. The ACMO, Safety and Training and General Superintendent, Safety & Environmental Management maintains a matrix of required training for all job tasks. This matrix is compared to the work force and training is scheduled as required. Maintenance Training includes safety training in the core training for each maintenance hourly and supervisory titles. These safety training courses for the hourlies include RTK modules 1, 2, 3, personal protective equipment (PPE), lockout/tagout, hybrid safety, spill response, biological safety, storm water management, actions employee can take (AECT) and certificates of fitness.

7.1.1F Office of System Safety

- **Evaluate operating department training programs as necessary.** OSS evaluates proposed safety related training programs to ensure that the training addresses the concerns for which it was developed. In the event that an safety event trend is identified, training programs that are intended to address the problem area are re-evaluated to identify inadequacies and enhancements are recommended.

- **Coordinate the Fire Department Certificate of Certification program in accordance with the Policy/Instruction "Fire Department Permits and Certificates" (most recent version of P/I 10.5) (Appendix AJ).** OSS identifies the need for fire department certifications for various job tasks. The operating and support departments are advised of

the certification requirements in the Policy/Instruction "Fire Department Permits and Certificates" and coordinates the development of the necessary training programs with the Training Division. OSS oversees that the training program addresses the educational requirements of the certifications.

- **Review federal, state, and local safety regulations as well as NYC Transit operations to determine the necessity of safety training and assist Training with the development of the course.** OSS is familiar with the Occupational, Fire, and Environmental regulations that are mandated by federal, state, or local regulatory agencies as well as NYCT operations. Additionally, OSS regularly receives copies of changes or additions to existing regulations. OSS evaluates the regulations in light of the NYCT operations and determines if safety training is necessary. OSS evaluates operating procedures and identifies the need for safety training when necessary. In instances when training is necessary to address safety concerns, OSS assists the Training Division in the development of the training to ensure that all critical technical components necessary to address the safety concerns are addressed.

- **Oversee that the "Training" sections of the safety Policy/Instructions are addressed by Training, Department of Buses, and Support departments. (i.e., "Flammable & Combustible Liquids" (most recent version of P/I 10.6– Appendix AK) and "Handling, Storage & Transportation of Compressed and Liquefied Petroleum Gases" (most recent version of P/I 10.7– Appendix AL).** OSS develops safety Policy/Instructions and includes training as necessary. The Policy/Instructions provide instructions to the Training Division detailing the necessary content of the course. OSS evaluates the training programs, as they are developed, to ensure that all necessary components are addressed. Additionally, the training programs are re-evaluated as necessary to ensure that the training is kept up to date. Compliance with the training requirements is verified during the OSS safety evaluation/audit program. If evaluation of safety event trends indicate that the training is not being conducted or is inadequate, the operating or support department is investigated to identify the cause for the lack of training, or the training program is re-evaluated and updated to address the deficiencies.

- **Administer the National Safety Council (NSC) Safety Training Program.** All System Safety Supervisory personnel are to attend the NSC Supervisor Safety Program. New hires, promotions, etc. are scheduled as appropriate on an ongoing basis.

7.1.1G De-Escalation Training

All bus operators are trained biennially on the challenges of customer interaction and presented with mitigation techniques aimed at minimizing employee assaults. The mission of the training is to actively engage the operators, have open discussions on real-life concerns, team building exercises, and provide key customer service skills and techniques for de-escalating situations. The training emphasizes the direct correlation of providing great customer service as a vital step towards minimizing negative interactions with customers. Discussion forums allow participants to share challenging experiences with their peers. Instructors provide participants with feedback on current best practices and strategies to prevent situations before they occur. These tactics

include having positive attitude, patience, self-discipline, respect, and empathy. Participants are taught to use a neutral tone when addressing customers, to be aware of body language, and the importance of using language that allows the customer to feel heard or validated. Critical to the training is encouraging employees to utilize MTA Work-Life Services to improve their wellbeing, discuss stressful situations, and learn how to manage emotional responses.

Additionally, frontline employees are trained in customer service and communications, as outlined by departmental training guidance and curricula. The training entails dealing with different types of customers (timid, overly friendly, culturally diverse, etc.), as well as with angry and emotional customers, and diffusing/de-escalation of angry passengers and situations.

Additionally, New York City Transit is committed to maintaining a workplace free from violence, threats of violence, harassment, intimidation, and other forms of disruptive behavior. All NYCT employees are trained on and required be familiar with the agency policy to promote a safe environment for all employees. An example of this is maintenance employees take an initial workplace violence prevention training P/I #P-1 training and complete an annual workplace violence prevention policy review.

7.2 Safety Communication

This section describes the elements of communicating safety and safety performance information throughout NYCT to ensure that all personnel are aware of information relevant to their safety-related roles and responsibilities as well as with Local, State and Federal Agencies regarding NYCT's safety program.

7.2.1 Employee Communication

New York City Transit, DOB is committed to operating an effective safety communication program. The most recent version of Policy Instruction 10.10– Hazard Communication (Appendix AG) was developed to establish an effective hazard communication program, assist managers, supervisors, and employees to accomplish their responsibilities with respect to hazard communication and to ensure compliance with the Federal Hazard Communication Standard (OSHA 29 CFR 1910.1200) and New York State Toxic Substance Law (Right-To-Know, 12 NYCRR Part 820).

Safety and hazard performance information throughout NYCT DOB and MTA Bus is accomplished with the use of safety committees as described in the most recent version of Policy Instruction 10.30–Safety Committees (Appendix AQ). There are various safety committees within NYCT, DOB:

- **Executive Level Committee:** This is the highest-level safety committee. The committee consists of the President and Executive Staff. The committee meets on an as needed basis or at the request of the President.

- **Departmental Safety Committee:** These committees meet quarterly and consist of department heads or their designee and division heads or their designee.

- **Divisional Safety Committee:** These committees are established at the discretion of the department and meet regularly. The committees are chaired by division heads or their designee.

- **Labor-Management Safety Committees:** These committees consist of the responsibility center head or their designee and the designated Union representative and meet monthly. Additional personnel may attend these meetings for the purpose of providing support or information regarding safety issues.

The following processes and activities are also used to communicate and promote safety and safety performance information throughout the organization:

- As previously identified in the ASP, employees are provided copies of the NYCT/MTA Rules and Regulations (Appendix F) and the DOB Safety Guidebook (Appendix G). This information is also available on DOBIC and TENS.

- Safety Bulletins/Directives/Advisories/Alerts: Through the Maintenance, Support & Engineering department produce such materials that are distributed to all NYCT DOB and MTA Bus facilities and are posted on DOBIC.

- Safety Letters: Through the President's Office safety letters regarding various subjects (i.e., heat stress, heat stroke, cold temperatures, etc.) are distributed to all NYCT DOB and MTA Bus Company facilities and are posted on TENS.

- Safety Times Newsletters: Each quarter the DOB prepares and distributes a Safety Times newsletter. The newsletters are used to communicate safety values, address areas of concern or other safety information. These are distributed to all NYCT DOB and MTA Bus facilities.

- Safety Talk Posters: DOB develops and posts "Safety Talk" safety posters that are relevant to work tasks and environment, addresses safety concerns/trends and reminds employees of safe behavior that will prevent accidents. The safety posters are distributed to all NYCT DOB and MTA Bus Company facilities.

- Safety Toolbox Talks: On a daily basis line supervision has a safety toolbox talk at the start of the shift. The safety rule of the day, employees job task and any safety concerns are discussed.

- Safety Meetings: There are safety meetings held at all levels of the organization to share and discuss safety information.

- Safety Stand-downs: Periodically DOB will initiate a safety stand down where employees are informed of new safety policies or safety initiatives.

- Employee Focus on Safety (EFOS): These safety surveys are performed monthly at all NYCT DOB and MTA Bus facilities. The safety topics and findings of the surveys are directly communicated with employees.

- Employee Survey – Safety Climate Barometer: Employees can anonymously provide feedback on workplace safety. Survey results are communicated to employees through memos from senior management.

Employee Safety Hotline: Employees who have reported an incident can call the hotline with a reference number to inquire about actions taken in response to their report.

7.2.2 Interagency Communication/Coordination

OSS is responsible for the communication with Local, State, and Federal Agencies regarding safety issues, notices of violations, information requests, inquiries, and inspections.

Act as liaison between the NYC Transit and the NYS Department of Labor.

OSS coordinates the receipt, distribution, and resolution of Department of Labor notices of violations by working with the department responsible for the resolution and the Law Department.

OSS is the NYCT contact for all Department of Labor correspondence and inquiries. OSS obtains information requested as a result of Department of Labor inquiries into employee fatalities and injuries.

OSS notifies the Department of Labor of all accidents whereby an employee is injured or killed as required by the Department of Labor.

Act as liaison between NYCT and the NTSB and the PTSB.

OSS is responsible for responding to all requests or inquires made by the NTSB or PTSB by obtaining relevant information from the operating divisions, reviewing the information, and forwarding it to the requesting agency.

OSS is responsible for coordinating all field visits as part of PTSB and/or NTSB investigative efforts.

Act as liaison between NYCT and the FDNY.

OSS coordinates the receipt, distribution, and resolution of FDNY violations by working with the department responsible for the resolution.

OSS is the NYCT contact for all FDNY correspondence and inquiries. OSS obtains information requested as a result of FDNY inquiries.

Act as a liaison between NYCT and the United States Environmental Protection Agency, the NYS Department of Environmental Conservation and the New York City Department of Environmental Protection (EPA, DEC, and DEP respectively).

OSS is the NYCT contact for all correspondence and inquiries regarding environmental matters, excluding those related to activities under Construction & Development's (C&D) subsurface spill remediation program.

OSS obtains requested/required information pertaining to actual or planned releases of potential environmental contaminants (e.g., waste stream characterization, volumes, etc.).

OSS responds to violations issued by external agencies and ensures appropriate corrective action is initiated by operating departments.

8 Additional Information – Definitions, Acronyms, and Appendices

NYCT/MTA Bus Company is dedicated to delivering safe public transportation and committed to providing a safe environment for our customers, employees, contractors, and the public. As a result, NYCT/MTA Bus Company has developed numerous safety and operational reference documents that will ensure that safety and environmental compliance is integrated into all phases of the division/department including design, procurement, construction, modification/rehabilitation, operation, maintenance, and disposal. Several of these documents are referenced and included as appendices in the Agency Safety Plan. Presented below are additional NYCT/MTA Bus Company safety-related and operational documents not specifically referenced in the plan but are used to implement, execute, and fulfil the ASP requirements.

Presented below are definitions and acronyms used throughout this ASP.

List of Definitions per 49 C.F.R. 673.5 and 674.7:

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

Administrator means the Federal Transit Administrator or the Administrator's designee. Contractor means an entity that performs tasks on behalf of FTA, a State Safety Oversight Agency, or a Rail Transit Agency, through contract or other agreement.

Chief Safety Officer (CSO) means an adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities, unless the Chief Safety Officer is employed by a transit agency that is a small public transportation provider as defined in this part, or a public transportation provider that does not operate a rail fixed guideway public transportation system.

Corrective Action Plan (CAP) means a plan developed by a Rail Transit Agency that describes the actions the Rail Transit Agency will take to minimize, control, correct, or eliminate risks and hazards, and the schedule for taking those actions. Either a State Safety Oversight Agency or FTA may require a Rail Transit Agency to develop and carry out a corrective action plan.

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 an Accident, Collision, Incident or Occurrence.

FRA means the Federal Railroad Administration, an agency within the United States Department of Transportation.

FTA means the Federal Transit Administration, an agency within the United States Department of Transportation.

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a rail fixed guideway public transportation system; or damage to the environment.

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.

NTSB means the National Transportation Safety Board, an independent Federal 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).

Person means a passenger, employee, contractor, pedestrian, trespasser, or any individual on the property of a rail fixed guideway public transportation system.

Public Transportation Agency Safety Plan (PTASP) means the comprehensive agency safety plan for a transit agency, including a Rail Transit Agency, that is required by 49 U.S.C. 5329(d) and based on a Safety Management System. Until one year after the effective date of FTA's PTASP final rule, a System Safety Program Plan (SSPP) developed pursuant to 49 CFR part 659 will serve as the rail transit agency's safety plan.

Public Transportation Safety Certification Training Program (PTSCTP) means either the certification training program for Federal and State employees, or other designated personnel, who conduct safety audits and examinations of public transportation systems, and employees of public transportation agencies directly responsible for safety oversight, established through interim provisions in accordance with 49 U.S.C. 5329(c)(2), or the program authorized by 49 U.S.C. 5329(c)(1).

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 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 Executive means a Chief Safety Officer or an equivalent.

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

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

Serious injury means any injury which: (1) Requires hospitalization for more than forty-eight (48) hours, commencing within seven (7) days from the date of the injury was received; (2) Results in a fracture of any bone (except simple fractures of fingers, toes, or nose); (3) Causes severe hemorrhages, nerve, muscle, or tendon damage; (4) Involves any internal organ; or (5) Involves second or third-degree burns, or any burns affecting more than five (5) percent of the body surface.

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 Safety Oversight Agency (SSOA) 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 this part.

Vehicle means any rolling stock used on a rail fixed guideway public transportation system, including but not limited to passenger and maintenance vehicles.

Policy Instructions (x denotes most recent available version):
3.1.x – Capital Program Management System Procedures and Guidelines
3.5.x – Fire Suppression System Policy
4.20.x – Restricted Work
4.21.x – Smoke-Free Workplace Policy
4.26.x – Stand Down on Safety Sensitive Employees

4.28.x – Medical Assessments of Applicants and Employees
5.5.x - The Public Employee Safety and Health Act (PESH) Department of Labor
5.7.x - Post Accident/Incident Drug and Alcohol Testing
6.1.x - Disciplinary Action
6.5.1x – Managerial Discipline
8.1 – Winter Operations
10.2.x – Inspection and Testing of New Water Based Fire Protection Systems
10.4.x - Portable Fire Extinguishers
10.9.x - Respiratory Protection Program
10.14.x - Hearing Conservation Program
10.17.x - Painting Safety Program
10.19.x - Confined Spaces
10.20.x - Lockout/Tagout
10.23.x – Inspection Testing & Maintenance of Existing Water Based Fire Protection Systems
10.29.x – Emergency Exits
10.34.x – Inspection, Testing & Maintaining of Existing Fire Alarm Systems
10.36.x – Powered Industrial Trucks
10.37.x – Pandemic Plan
4.24 – Drugs and control substance

Policy Directives:
11-004 – Background Verification
11-013 – All Agency Policy Directive – Safety Management
11-055 – Smoke Free Workplace
11-064 – Emergency Management Center Staffing
11-065 – Emergency Notification

Permanent Directives:
01.03.08 – Public Transportation Safety Board Accident Cases
01.11.05 – All Employee Assaults
01.19.02 – Use of Headlights Inside Depots
01.18.04 – Headlights and Interior Light on for Safety
01.41.06 – Accident Description Report (ADR): Documenting Post-Accidents (FTA) or NYCT/MTA Bus Testing Decisions
01.43.02 – Supervisors Accident/Crime Investigation Report Form
02.67.04 – On-the-Job Injury Reporting
02.73.04 – Post-Accident/Incident & Reasonable Suspicion Testing
03.03.03 – Communication Between Emergency Management & Bus Command Center

Permanent Bulletins:
01.02.09 – Reporting of Accidents/Incidents
01.03.06 – Observing Road Conditions
01.04.02 – Safety Related Defects on Service Operated Buses
01.05.05 – Operating on Wet and Oily Road Surfaces
01.10.06 - Pre-Trip Inspections and Post Trip Reporting

01.11.07 - Right Side Bus Collisions
01.13.04 – Emergency Braking
01.14.05 – Proper Usage of Parking Brake
01.16.04 – Reporting Unsafe Conditions & Road Defects
01.19.06 – Movement of Buses
01.20.07 – Pulling into Bus Stops and Parallel Curbing
01.22.06 – Bus Fire Protection
01.23.06 – Mandatory Seat Belt Usage by All Vehicle Operators
01.33.10 - Eight Hour Rule – Employee Work Hours
01.43.02 – Fuel Island Safety & Required Personal Protective Equipment
01.45.05 – Chemical and Petroleum Spills
01.46.08 – Bus Security and Bus Operator Safety

01.56.05 – Loose Wheel Nut Indicators (Flags)
01.57.04 – Bus Operator Personal Safety & Conflict Resolution
01.65.01 – Vision Zero – 25 Miles per Hour Speed Limit
01.69.03 – Inspection of MTA Vehicles before Operation
01.71.03 – Securing Your Bus
02.07.12 – Bus Operator Compliance with Required Medical Examinations (19A & Revisit)
02.09.06 – Alcohol Beverages/Drugs Prohibited
02.16.09 – Dual Employment/Outside Activity Approval Request
02.29.03 – Vehicle and Traffic Law (Article 19-A) Requirements Governing The Operation of Buses
03.88.00 – Cellular Phone/Personal Electronic Communication Device Restrictions,
02.44.02 – Drug and Alcohol Recheck Program Procedures
03.15.10 – MTA Vehicle Engine Idling & Emissions Control Policy

Safety Advisories:
There are various Safety Advisories that are issued annually regarding diverse safety/compliance subjects applicable to current bus operations and practices.

Maintenance Directives/Technical Service Bulletins

There are various Maintenance Directives and Technical Service Bulletins that are issued to establish policy and procedures for performing maintenance on assets, equipment and systems and to provide guidance of fixing recurring issues, which can impact performance, reliability and safety.

Other Safety Plans/Policies:
MTABC001 – MTA Bus Drug & Alcohol Policy Statement
MTA Bus Operations Situation Room Concept of Operation
Storm Preparation Manual

List of Acronyms:

ACFO – Assistant Chief Facility Officer
ACMO – Assistant Chief Maintenance Officer
AECT – Action Employees Can Take
AGM – Assistant General Manager
AIRS - Accident Inventory Reporting System
ANSI – American National Standards Institute
ASP – Agency Safety Plan
BCC – Bus Command Center
BOSS - Bus Operator Selection System
CAPs – Corrective Action Plans
CDL – Commercial Driver's License
CFR – Code of Federal Regulations
CMF – Central Maintenance Facility
CMO - Chief Maintenance Officer
CNG – Compressed Natural Gas
COO – Chief Operating Officer
CSO – Chief Safey Officer
C&D – Construction & Development
DCAS - Department of Citywide Administrative Services
DEC – Department of Environmental Conservation
DMV – Department of Motor Vehicle
DOB – Department of Buses
DOBIC – Department of Buses Information Center
DOL – Department of Labor
DTS - Depot Training Supervisor
EAP – Employee Assistance Program
EFOS – Employee Focus on Safety
ELM – Enterprise Learning Management
EMS – Emergency Medical Services
ENY – East New York
EPA – Environmental Protection Agency
EPIH – Environmental Protection & Industrial Hygiene
ER – Emergency Response
FARS - Fatality Reporting System
FDNY – Fire Department of New York
FMP – Facility Maintenance Plan
FTA – Federal Transit Administration
GSSEM - General Superintendent, Safety & Environmental Management
HR – Human Resources
HVAC -Heating Ventilation Air Conditioning
IME – Independent Medical Examiner
IOD – Injury on Duty
KPI – Key Performance Indicator
LSO – Location Safety Officer
LT – Lost Time
MABSTOA – Manhattan and Bronx Surface Transit Operating Authority

MD – Maintenance Directive
MPO – Metropolitan Planning Organization
MPR – Managerial Performance Review
MSS – Maintenance & Support Services
NLT – No Lost Time
NSC – National Safety Council
NSTB – National Safety Transportation Board
NYC – New York City
NYCOEM – New York City Office of Emergency Management
NYCRR – New York Code of Rules & Regulations
NYCT – New York City Transit
NYMTC – New York Metropolitan Transportation Council
NYS – New York State
NYSDOT - New York State Department of Transportation
OA – Operating Authority
OEM – Original Equipment Manufacturer
OSHA – Occupational Safety Health Administration
OSS – The Office of System Safety
P&E – Plant and Equipment
PI – Policy Instruction
PT – Part Time
PCB - Polychlorinated Biphenyls
PMP – Performance Monitoring Program
PPE – Personal Protective Equipment
PTASP – Public Transportation Agency Safety Plan
PTSB – Public Transportation Safety Board
RAC – Risk Assessment Code
RTK – Right-To-Know
SDS – Safety Data Sheets
SLD – Surface Line Dispatcher
SMS – Safety Management Systems
SPCC/SPR – Spill Prevention Countermeasures Control / Spill Prevention Report
SSPP – System Safety Program Plan
SVP – Senior Vice President
TA – Transit Agency
TENS – Transit Employee News Service
TIP – Transportation Improvement Program
TLC – Taxi and Limousine Commission
TST - Transportation Safety and Training
UAP – Union Assistance Program
UDWP - Unified Planning Work Program
UTS – Unified Time Keeping System
VMT - Vehicle Miles Traveled
VP – Vice President

List of Appendices:
(x – denotes most recent version of policy/instruction)

Appendix A - Policy Instruction 10.1.x - Safety Policy Instruction

Appendix B – Safety Dispute Resolution Form

Appendix C – Policy Instruction 10.28.x – Accident Investigation

Appendix D – Policy Instruction 10.26.x – System Safety Analysis

Appendix E - Policy Instruction 10.3.x - Building Evacuation Procedures

Appendix F - MTA NYCT Rules and Regulations

Appendix G - DOB Safety Guidebook

Appendix H – Policy Instruction 10.27.x - Environmental Management Program Policy

Appendix I – Policy Instruction 10.15.x - Infection Control Policy

Appendix J – Policy Instruction 10.33.x - Lead Particulate Management Program

Appendix K – Policy Instruction 10.16.x - Asbestos Management Program

Appendix L – Storm Water Protection – Best Management Practices

Appendix M – Depot/Shop Safety Inspection Checklist

Appendix N - Monthly Office Inspection

Appendix O – Policy Instruction 10.18.x - Establishing Safety Goals and Action Plans

Appendix P – Permanent Directive 02.89.00 - Non-Revenue Usage and Mileage Sheets

Appendix Q - MTA All Agency Policy Directive 11-037 - Assignment and Use of Official Vehicles

Appendix R – Permanent Bulletin 1.10.06 - Pre-Trip Inspection and Post Trip Report

Appendix S – Permanent Bulletin 01.17.09 - Safe Operations

Appendix T – Policy Instruction 2.3.x - Assignment and Use of Support Fleet Vehicle

Appendix U – Permanent Bulletin 1.34.05 - Movement of Vehicles Inside NYCT/MTA Facilities

Appendix V – Permanent Bulletin 1.52.04 - Adherence to Traffic Laws, Rules and Regulations

Appendix W - Emergency Evacuation & Mobile Command Center Bus Procedures

Appendix X - DOB's Winter Operations Manual

Appendix Y – Hurricane/StormPlan

Appendix Z - DOB's Heightened Awareness Plan

Appendix AA - DOB Permanent Directive 01.01.07 – Accident/Incident Investigation Procedures

Appendix AB - Facility Maintenance Plan – Standard Operating Procedure FMP-001

Appendix AC – Employee Injury Reporting & Investigations Procedure Manual for Managers and Supervisors

Appendix AD - Employee On-The-Job Injury Investigation Guidelines

Appendix AE – Permanent Bulletin 1.25.02 – Guide to Determine Preventability of Accidents

Appendix AF - Supervisor's Accident/Crime Investigation Report

Appendix AG – Policy Instruction 10.10.x - Hazard Communication

Appendix AH – Policy Instruction 10.21.x - Personal Protective Equipment

Appendix AI - Permanent Directive 01.14.05 - Safety Monitoring of Employees on Duty

Appendix AJ - Policy/Instruction 10.5.x - Fire Department Permits and Certificates

Appendix AK – Policy Instruction 10.6.x - Flammable & Combustible Liquid

Appendix AL – Policy Instruction 10.7.x - Handling, Storage & Transportation of Compressed and Liquefied Petroleum Gases

Appendix AM – Policy Instruction 4.24.x - Drugs and Controlled Substances

Appendix AN – Policy Instruction 4.13.x – Alcohol

Appendix AO – Policy Statement 4.30.x - Random Drug Testing

Appendix AP – Policy Instruction 1.20.x - Workplace Violence Prevention Program

Appendix AQ - Policy Instruction 10.30.x – Safety Committees

Appendix AR - Permanent Bulletin 03.14.02 – Department of Environmental Protection Noise Code

Appendix AS – Policy Instruction 10.39.x Respirable Crystalline Silica

Appendix AT – New York City Transit's DOB/MTA Bus Training Matrix

Appendix AU – 2021/2022 Maintenance Policy Plan NYCT

Appendix AV – 2021/2022 Maintenance Policy Plan MTA Bus Company

Appendix AW – 2016 Maintenance Policy Plan Non-Revenue Vehicles MTA Bus Company

Appendix AX – Schedule Operations Forms – Med-Heavy Truck Non-Revenue

Appendix AY – Schedule Operations Form – Car and Light Truck Non-Revenue

Appendix AZ – MTA All-Hazards Communication & Coordination Plan