



Board of Directors Monthly Meeting

Wednesday, January 28, 2026 | 12:00pm
Board Room at 110 Watervliet Ave.

**CDTA BOARD OF DIRECTORS
MEETING AGENDA**

Wednesday, January 28, 2026 | 12:00pm | 110 Watervliet Ave

Item	Responsibility	Page
Call to Order	Jayme Lahut	
Approve Minutes from Friday, December 12, 2025	Jayme Lahut	3
Committee Reports: (Action Items Listed)		
Board Operations Committee (01/14/26)	Jayme Lahut	
Performance Monitoring/Audit Committee (01/21/26)	Peter Wohl	
• Resolution 1 – Approve Contract for Scheduling Services		5
• Resolution 2 – Approve Annual Procurement Report		10
• Resolution 3 – Approve Safety Management System Plan		18
Community & Stakeholder Relations Committee (01/22/26)	Patrick Lance	
Strategic & Operational Planning Committee (01/22/26)	Michael Criscione	
Chief Executive Officer's Report		
Board Member Comments	Frank Annicaro	39
Upcoming Meetings		
February 25, 2026, at 12:00 PM via Microsoft Teams and at 110 Watervliet Ave.	All	
Adjourn		
	Jayme Lahut	

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
(And its Subsidiaries)
700 Patroon Creek Blvd, Albany, NY

MINUTES OF FRIDAY, DECEMBER 12, 2025, BOARD MEETING

MEMBERS PRESENT

Jayme B. Lahut, Chairman
Michael J. Criscione, Vice Chairman
Denise A. Figueroa, Treasurer
Georgeanna M. Nugent

Patrick M. Lance
Peter Wohl
Jaqueline McDonough

MEMBERS NOT PRESENT

Jaclyn L. Falotico
David M. Stackrow

OTHERS PRESENT

Frank Annicaro, Chief Executive Officer
Chris Desany, Chief Operating Officer
Lance Zarcone, VP Operations
Jaime Kazlo, Chief of Staff
Jack Grogan, Director of Safety & Training
Jonathan Scherzer, Director of Business Dev.

Patricia Cooper, Chief Financial Officer
Amanda Avery, General Counsel
Sarah Matrose, Internal Audit
Kelli Schreibvogl, Sr. Director of HR & Risk Mgmt.
Emily DeVito, Communications Manager

CALL TO ORDER - At 8:30 AM, Chairman Lahut called the meeting to order and noted a quorum was present.

APPROVAL OF THE NOVEMBER 25, 2025, BOARD MEETING MINUTES

Motion – Ms. Figueroa
Seconded – Ms. McDonough
Carried Unanimously

STRATEGIC AND OPERATIONAL PLANNING COMMITTEE

Consent Agenda Item

Resolution 51 – 2025 – Approve the Preliminary Operating & Capital Budgets for FY2027

- We are required by the State to provide a preliminary operating budget and five-year capital plan by December 31, 2025. The FY2027 budget development process has started, and over the next few months there will be opportunities for detailed discussions as we work towards a final budget before April 1, 2026.
- The preliminary operating budget is projected to be \$148 million, a 0.9% increase over the current fiscal year. The largest increases come from purchased transportation. Purchased transportation is projected to be an additional \$1 million as STAR ridership continues to grow.
- We propose keeping the wage line flat. The realignments and efficiencies we implemented in FY26 will offset the 3% contract raise in June 2027. Other Benefits will increase due to additional weekly ATU pension contributions.
- The five-year capital plan was also reviewed. The first year consists of recurring procurements such as STAR vehicles, FLEX vehicles and trolleys. Our new LOW/No grant award will fund 20 hybrid buses as part of our bus replacement program along with new Enterprise Asset Management (EAM), fluid management, and depot management systems. Beyond the first year, as we move forward with the design of our West Facility, we will continue to look for construction grants to update the new facility. Another infrastructure need is the replacement of our financial and human resources software platforms.

- The authority hereby approves a resolution for the preliminary operating and capital budgets for FY2027

Motion – Mr. Wohl
Seconded – Mr. Criscione
Carried Unanimously

UPCOMING MEETINGS

- Subject to the call of the Chair, Chairman Lahut announced the following meeting date:
 - Wednesday, January 28, 2026, at 12:00pm at 110 Watervliet Avenue

ADJOURNMENT - 8:48 AM

Motion – Ms. McDonough
Seconded – Ms. Nugent
Carried Unanimously

Respectfully submitted,

Jaclyn L. Falotico, Secretary

Dated: January 28, 2026

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

RESOLUTION NO. 1 - 2026

Approve Sole Source Contract for Scheduling Services

WHEREAS, the Capital District Transportation Authority (the “Authority”) is charged by Public Authorities Law section 1304 with the development and improvement of services within the Capital District, and

WHEREAS, the Authority currently utilizes proprietary HASTUS trip scheduling software created and published by GIRO of Montreal, Quebec, Canada, that was competitively procured by the Authority a number of years ago, and

WHEREAS, the Authority now requires professional services to make the most efficient use of HASTUS, the fixed route scheduling software, and

WHEREAS, due to the proprietary nature of the HASTUS system, Courval Scheduling, Inc. provides a unique set of skills and software licensing to deliver professional scheduling services using the HASTUS suite of products, and

WHEREAS, the Authority has been working with Courval Scheduling over the past three years and has exclusive strategic partnership with GIRO and is the sole holder of sublicensing rights for HASTUS, and

WHEREAS, staff recommends a three-year sole source contract be awarded to Courval Scheduling, Inc. of Laval, QC for the purchase of professional scheduling services for an amount not to exceed \$325,000, and staff confirms their pricing to be fair and reasonable.

NOW, THEREFORE, IT IS RESOLVED as follows:

1. The Authority hereby awards a three-year sole source professional scheduling services contract to Courval Scheduling, Inc. of Laval, QC in an amount not to exceed \$325,000, subject to compliance with all of the terms and conditions set forth in the contract and related documents.
2. Authority staff is hereby authorized to execute the necessary documents.
3. The source of funds will be from the workforce development portion of the low-no emissions federal grant program.
4. This Resolution shall take effect immediately.

CERTIFICATION

The undersigned, duly qualified and acting as Secretary of the Capital District Transportation Authority, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Capital District Transportation Authority held on the 28th day of January, 2026.

Dated: January 28, 2026

Jaclyn L. Falotico, Secretary

Capital District Transportation Authority

Agenda Action Sheet

Subject: Approve Purchase of Scheduling Services
Committee: Performance Monitoring/Audit
Meeting Date: January 21, 2026

Objective of Purchase or Service:

To purchase professional services to make the most efficient use of HASTUS, our fixed route scheduling software.

Summary of Staff Proposal:

HASTUS software, provided by GIRO Inc., is used for fixed route scheduling, run cutting, work bidding, daily work and vehicle assignments including operator payroll tracking, stop information displays, trip planning, development of stop/route/network maps and tracking customer comments. It is one of the most widely used and complex applications in place at CDTA. This system was competitively procured in 2000.

Courval Scheduling Inc., with offices in Chicago and Montreal, provides a unique set of skills and software licensing to deliver professional services on the use of the HASTUS suite of products. Courval Scheduling has been a strategic partner with GIRO for over a decade, and since 2016 has been the exclusive holder of sublicensing rights for small and medium sized North American transit agencies.

Over the past five years, several new HASTUS software modules have been implemented in our Planning, Scheduling, Customer Information, and Transportation departments. The largest of these was completed in March 2022 with the introduction of HASTUS Daily to manage work and vehicle assignments, payroll, and attendance. Based on the extent and critical nature of HASTUS, combined with the rebalancing of services over the last year and a new HASTUS 2026 version being deployed later this year, additional professional services are needed.

Over the past three years, we have been working with Courval Scheduling to assist us in several areas including:

- Training and mentoring of CDTA staff on best practices for more efficient scheduling, run cutting, and crewing of daily work and vehicle assignments.
- Staff supplementation services for scheduling, run cutting, and crewing among other functions to fill staff capacity, transitions, and onboarding.
- Advanced scheduling analysis to improve the overall cost, efficiency, and work quality for Operators as part of the larger effort of service rebalancing and optimization.
- Providing “one off” tasks such as evaluating the technical viability of implementing a four-day work week and testing new releases.

This purchase of scheduling services will include another “deep dive” review of CDTA’s existing schedule design, rules, parameters, and standard operating procedures to ensure the efficient and effective use of HASTUS as we continue to rebalance service. This includes looking at our unique system configuration to implement battery electric buses, addressing operator shortages and retention issues, modifying payroll requirements, and optimizing fixed route services, where needed.

A sole source purchase is recommended based on several important considerations. Most importantly, Courval Scheduling has an exclusive strategic partnership with GIRO for these services, and is the sole holder of sublicensing rights for HASTUS. This precludes us from pursuing these services through another vendor. Additional reasons to support this recommendation include:

- Courval Scheduling has extensive experience providing similar services to dozens of large, medium, and small transit agencies across the United States and Canada. This includes private transit operators such as Keolis, First Group, and Transdev.
- Courval Scheduling is familiar with all the technical, functional, and business aspects of the full suite of HASTUS modules used at CDTA.
- Utilizing this vendor will require no third-party integration or customization, which reduces the risk inherent in third party vendor development.
- We have documentation on file noting how the cost is justified by vendors performing similar work, which confirms fair and reasonable pricing.

Financial Summary/Cost:

Work will be funded by the workforce development portion of the low-no emissions federal grant program. A summary of the costs is provided below.

Description	Cost
Project Management Services	\$24,400
Scheduling Optimization and System Upgrade Services	\$175,100
Training Services	\$86,100
Supplemental Staffing Services	\$39,400
Annual Cost Totals:	\$325,000

Proposed Action:

I am requesting that a three-year contract be awarded to Courval Scheduling, Inc. of Laval QC, for the purchase of professional scheduling services for an amount not to exceed \$325,000.

Manager:

Thomas Guggisberg, Director of Information Technology

CAPITAL DISTRICT TRANSPORTATION AUTHORITY
Staff Contract Award Certification

1. TYPE OF CONTRACT (check one):

Construction & Maintenance Goods, Commodities & Supplies Bus Purchase
 Services & Consultants Transportation & Operational Services

2. TERMS OF PERFORMANCE (check one):

One-Shot Deal: Complete scope and fixed value
 Fixed Fee For Services: Time and materials - open value
 Exclusive Purchase Contract: Fixed cost for defined commodity with indefinite quantity
 Open Purchase Contract: Commitment on specifications and price but no obligation to buy
 Change Order: Add on to existing contract

3. CONTRACT VALUE:

\$325,000 **fixed** estimated (circle one)

4. PROCUREMENT METHOD (check one):

Request for Proposals (RFP) Invitation for Bids (IFB) Other

5. TYPE OF PROCEDURE USED (check one):

Micro Purchases (Purchases up to \$2,499.00) Small Purchases (\$25,000 up to \$100,000)
 Sealed Bid/Invitation for Bids (IFB) (Over \$100,000) Request for Proposals (RFP)
 Professional Services (Over \$25,000) Sole or Single Source (Non-Competitive)

6. SELECTION CRITERION USED:

Number of Proposals/Bids Solicited # 1 or Advertised
Number of Proposals/Bids Received # 1

Attach Summary of Bids/Proposals

7. Disadvantaged Business Enterprise (DBE) involvement

Are there known DBEs that provide this good or service? Yes No

Number of DBEs bidding/proposing _____

DBE Certification on file? Yes No Not Applicable

Was contract awarded to a DBE? Yes No

Number of DBE Subcontractors _____ 0

DBE Subcontractor Name and Certification Type:

8. LEGAL NAME and ADDRESS OF CONTRACTOR/VENDOR: Courval Scheduling, Inc.

300 Lacasse Avenue

Laval, QC H7K 1J4

8. SOURCE OF FUNDS: Lo/No Federal Grant

9. COMPLIANCE WITH STATE AND FEDERAL RULES:

Non-Collusion Affidavit of Bidder (Yes, No, N/A)
Disclosure & Certificate of Prior Non-Responsibility Determinations (Yes, No, N/A)
Disclosure of Contacts (only RFPs) (Yes, No, N/A)
Certification with FTA's Bus Testing Requirements (Yes, No, N/A)

10. RESPONSIBLE STAFF CERTIFIES THE INTEGRITY OF THIS PROCUREMENT/CONTRACT:

Stacy Sansky, Director of Procurement

DATED: January 21, 2026

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

RESOLUTION NO. 2 - 2026

Approve Annual Procurement Report

WHEREAS, by Resolution 5-2005 the Capital District Transportation Authority (the “Authority”) authorized the Chief Executive Officer, as General Manager, to dispose of surplus equipment and vehicles, and

WHEREAS, the Authority must dispose of various items of personal property when they reach the end of their useful life or when they are no longer needed as authorized by Public Authorities Law section 1306 (7) and by such manner as is required by various state and federal laws, and

WHEREAS, the Authority has required an annual report from the Director of Procurement, pertaining to the disposition of all surplus property that has been provided for in 2025 in a form that has been reviewed, and is satisfactory,

NOW, THEREFORE, IT IS RESOLVED AS FOLLOWS:

1. The Authority accepts the Procurement Report Summary for the 2025 calendar year.
2. The Authority continues to delegate to the Chief Executive Officer the authority to declare personal property, equipment and vehicles to be surplus and to dispose of such property in accordance with the applicable law; transferring title to any such item to the appropriate federal or state agency expressing a desire for same; or, if unwanted there, advertising for public sale and sold to the highest bidders; or if no bids are received, disposing of unwanted items as scrap.
3. The Authority directs that if the depreciated value of the asset is \$5,000 or more the Chief Executive Officer or designee shall henceforth report about any such specific disposition at the next regular meeting following the disposition. A total of \$101,810 was returned to the operating budget from the disposition of surplus materials in 2025.
4. The Authority directs that henceforth the Chief Executive Officer or designee shall report in January about such dispositions for the preceding calendar year by describing the property that was disposed of, the manner of disposition and the costs or amounts recovered associated with each individual lot of surplus equipment and/or vehicles.

5. This Resolution shall take effect immediately.

CERTIFICATION

The undersigned, duly qualified and acting as Secretary of the Capital District Transportation Authority, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Capital District Transportation Authority held on 28th day of January, 2026.

Dated: January 28, 2026

Jaclyn L. Falotico, Secretary

Capital District Transportation Authority Agenda Action Sheet

Subject: Summary of vehicles, equipment, and parts disposed of in 2025
Committee: Performance Monitoring/Audit
Meeting Date: January 21, 2026

Objective of Purchase or Service:

CDTA disposes of items that have surpassed their useful life, are no longer needed, or not working properly and then reports on these disposals on an annual basis.

Summary of Staff Proposal:

Vehicles are auctioned to the highest bidder on eBay. If no bid is received it is sold for scrap metal value. Some vehicles are donated to not-for-profit organizations or transferred to other federally funded transit systems. Electronics are often auctioned off to employees. Other items with little or no value on the open market were recycled or disposed of in the most environmentally friendly way possible.

Financial Summary/Cost:

\$101,810 was returned to the operating budget. CDTA collected sales tax for applicable transactions.

Proposed Action:

I recommend approval of the annual surplus sale report.

Manager:

Stacy Sansky, Director of Procurement

Notes:

The itemized list of disposed items is attached.

Memorandum

January 21, 2026

To: Members, Performance Monitoring/Audit Committee

From: Stacy Sansky, Director of Procurement

Subject: Calendar Year 2025 Procurement Report Summary

This is the annual report on procurement activities. This report reviews the procurement process for surplus sales, change orders, sole source contracts and our Minority/Women Business Enterprise (MWBE)/Service-Disabled Veteran Owned Business (SDVOB) programs.

Surplus Sale

A surplus sale is a method for staff to dispose of equipment, vehicles and parts that have surpassed their useful life. Items are disposed through recycling, donation, and sale through eBay. Sales tax is collected for applicable transactions.

The 2025 proceeds from surplus sales were \$101,810.84. These funds have been returned to the operating budget. For comparison purposes, in 2024 the proceeds were \$50,327, in 2023 the proceeds were \$87,528, 2022 the proceeds were \$37,301.

The Agenda Action Proposal is attached for the 2025 Surplus Sales.

Change Orders

A change order is work that is added to or deleted from the original scope of a contract, which alters the original contract amount and/or completion date. Change orders that exceed 20% of the original contract value or \$100,000 (whichever is greater) require Board approval. There were no change orders that required Board approval.

For informational purposes, there were change orders that fell under the Board approval threshold for the past year. As CDTA had projects in various stages of completion this is not unusual.

Sole Source Contracts

Sole source contracts are used when no competition is available or when there is an emergency procurement. All sole source contracts valued at \$50,000 or more that are not on New York State Contract, require Board approval. Sole source agreements are closely monitored and minimized whenever possible. During 2025 there were several sole source agreements under the Board approval threshold with a combined value of \$125,995. Projects included: purchase of software, and consulting services.

Minority/Women's Business Enterprise (MWBE)

The Minority/Women's Business Enterprise (MWBE) program is a state required initiative to level the playing field for qualified minority/women owned businesses in the state.

We met our MWBE participation target to meet the state mandated goal of 30%. Our MWBE participation rate for the prior three calendar years (CY) was 30%.

In addition to current contracts with MWBE firms, the following contracts were issued that to MWBE contractors during CY2025:

- Managed Print Services (WBE)
- Electrical Contractor for Bus Shelters (WBE)
- Rail Station Security (MBE)

Service-Disabled Veteran Owned Business (SDVOB)

The Service-Disabled Veteran Owned Business (SDVOB) program is a state required initiative with the aim of fostering business opportunities between state agencies and authorities and Service-Disabled Veterans.

We have an ambitious state mandated utilization of 6% for this program with slightly more than 1,000 certified firms in the directory.

CDTA utilization was 4.5%. The previous year was 6.00%. While CDTA fell short of the mandated participation, staff continues outreach to engage with SDVOB for procurement opportunities.

Contracts and purchases from SDVOB during CY2025:

- Facilities Equipment & Supplies
- Print & Copy Services
- Office Supplies

Recommendation

There are no recommended changes to these programs.

Copy: Chief Executive Officer
Chief Operating Officer

Part/Bus/Tag #	Description	VIN if applicable	Mileage/Serial #	Sold To	Amount	Date
276	Ford Shuttle Bus 2016	1FDEE3F67KDC03219	129623	Donation to Teresian House Nursing Home Co., I	\$0.00	1/14/2025
4056	Gillig 40' Low Floor Transit Bus 2010	15GGD2713A1177840	570074	Scrap	\$3,290.00	3/4/2025
4057	Gillig 40' Low Floor Transit Bus 2010	15GGD2715A1177841	572223	Scrap	\$3,087.50	3/13/2025
4059	Gillig 40' Low Floor Transit Bus 2010	15GGD2719A1177843	536872	Scrap	\$3,077.51	3/13/2025
4060	Gillig 40' Low Floor Transit Bus 2010	15GGD2710A1177844	616738	Scrap	\$3,102.51	3/4/2025
4061	Gillig 40' Low Floor Transit Bus 2010	15GGD2712A1177845	569474	Scrap	\$3,117.49	3/13/2025
4062	Gillig 40' Low Floor Transit Bus 2010	15GGD2714A1177846	509968	Scrap	\$3,218.66	3/21/2025
4063	Gillig 40' Low Floor Transit Bus 2010	15GGD2716A1177847	537763	Scrap	\$3,132.50	3/13/2025
4070	Gillig 40' Low Floor Transit Bus 2010	15GGD2713A1177854	557960	Scrap	\$2,670.00	3/31/2025
4071	Gillig 40' Low Floor Transit Bus 2010	15GGD2715A1177855	530702	Scrap	\$3,276.59	3/21/2025
Fork Lift	1978 Hyster Forklift	n/a	n/a	Sold to Parsuram Koobeer	\$750.00	2/14/2025
273	Ford E350 2019	1FDEE3F61KDC03216	203515	Sold to Sergio Khorosh	\$3,061.00	5/2/2025
327	MCI Bus	1M8PDMBA3DP012769	399784	Sold to Wallace Inman / Georgia Peach LLC	\$3,451.00	4/29/2025
270	2017 Ford E350	1FDEE3FSXHDC63940	245,874.00	Scrap	\$838.13	5/20/2025
271	2017 Ford E350	1FDEE3FS1HDC63941	252,448.00	Scrap	\$862.49	6/19/2025
272	2017 Ford E350	1FDEE3FS3HDC63942	257,933.00	Scrap	\$868.12	6/19/2025
A107	2011 Ford E150	1FTNE1EW0BDA45350	152,703.00	Sold to Hashir Ahmed	\$786.00	6/20/2025
A113	2011 Ford E150	1FTNE1EW9BDB31482	294,549.00	Sold to Parsuram Koobeer	\$810.00	6/25/2025
A116	2014 Ford Explorer AWD	1FM5K8D83EJA38945	232,737.00	Sold to Parsuram Koobeer	\$2,142.72	6/25/2025
T112	2011 Ford F350	1FDRF3H63BEB90846	196,408.00	Sold Rafael Alvarez	\$2,082.00	6/26/2025
274	2019 Ford E-350	1FDEE3F63KDC03217	N/A	Scrap	\$862.49	6/19/2025
T118	2014 Ford F-250	1FTBF2B62EEA49215	149,910.00	Sold to Alec Rohaley	\$4,100.00	8/5/2025
T119	2014 Ford F-250	1FTBF2B64EEA49216	127,347.00	Sold to Affordable Housing Management	\$7,020.00	10/8/2025
A138	2019 Ford Explorer	1FMK5K8D81KGB3208	131,668.00	Sold to Hashir Ahmed	\$4,280.00	10/22/2025
4073	2012 Gillig 40' Bus	15GGD2718C1181076	515,655.00	Sold to Uptown Transport Inc	\$4,150.00	10/29/2025
4075	2012 Gillig 40' Bus	15GGD2718C1181078	491,702.00	Sold to Golani Bus LLC	\$2,900.00	10/29/2025
4076	2012 Gillig 40' Bus	15GGD2713C1181079	523,072.00	Sold to Darius Pinkston	\$1,575.00	10/24/2025
4077	2012 Gillig 40' Bus	15GGD2718C1181080	507,474.00	Sold to Uptown Transport Inc	\$1,550.00	10/29/2025
4078	2012 Gillig 40' Bus	15GGD2711C1181081	542,543.00	Sold to Darius Pinkston	\$1,525.00	10/24/2025
4074	2012 Gillig 40' Bus	15GGD2718C1181077	494,343.00	Scrap	\$2,706.43	11/17/2025
4082	2012 Gillig 40' Bus	15GGD2719C1181085	570,806.00	Sold to Golani Bus LLC	\$1,900.00	11/10/2025
4085	2012 Gillig 40' Bus	15GGD2714C1181088	507,204.00	Sold to Darius Pinkston	\$1,525.00	11/25/2025
4086	2012 Gillig 40' Bus	15GGD2716C1181089	550,796.00	Sold to Golani Bus LLC	\$3,050.00	11/10/2025
4087	2012 Gillig 40' Bus	15GGD2712C1181090	501,465.00	Scrap	\$2,715.00	12/3/2025
4093	2013 Gillig 40' Bus	15GGD2714D1182551	571,591.00	Scrap	\$2,762.17	11/11/2025
5501H	2010 Gillig Hybrid 40' Bus	15GGD301XA1177818	647,447.00	Scrap	\$2,811.43	11/17/2025
5505H	2010 Gillig Hybrid 40' Bus	15GGD3011A1177822	658,395.00	Scrap	\$2,790.00	11/20/2025
5509H	2010 Gillig Hybrid 40' Bus	15GGD3019A1177826	647,080.00	Scrap	\$2,781.43	11/25/2025
5510H	2010 Gillig Hybrid 40' Bus	15GGD3010A1177827	657,908.00	Sold to Patrick Parents Jr	\$1,500.00	11/13/2025
5511H	2010 Gillig Hybrid 40' Bus	15GGD3012A1177828	656,296.00	Sold to Darius Pinkston	\$1,500.00	11/25/2025
A109	2011 Ford Escape	1FMCU9EG2BK27427	104,191.00	Sold to Dominic Rapp	\$594.00	9/30/2025
T105	2011 Ford F-350	1FT7X2B67BEA47829	140,804.00	Sold to Melissa Haigh	\$1,328.00	10/2/2025
1104	2017 Ford Villager	1F66F5DY1H0A15580	68,459.00	Donation to Albany County Sheriff's Dept	\$0.00	4/2/2025
4079	2012 Gillig 40' Bus	15GGD2713C1181082	555,012.00	Scrap	\$2,695.70	12/9/2025
5513H	2010 Gillig Hybrid 40' Bus	15GDD3010A1177830	671,212.00	Scrap	\$2,841.45	12/9/2025
na	HP Elitebook 840 G5	na	na	Terrilia Guy	125.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Ethan Warren	106.02	4/25/2025
na	HP Elitebook 840 G5	na	na	Lashaw Wesley	100.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Rajkumar Etaroo	100.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Blake R Connery	100.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Terrilia Guy	100.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Trish Cooper	100.00	4/25/2025

na	HP Elitebook 840 G5	na	na	Jessica Rucinski	100.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Brian Gariepy (2 laptops)	200.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Chris Hyuck	80.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Natarshal Miles	80.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Tracie McNeil	76.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Alison Farison	75.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Allison Johnson	75.00	4/25/2025
na	HP Elitebook 840 G5	na	na	Steve Micelli	75.00	4/25/2025
na	Samsung Odyssey Curved Monitor	na	na	Renee Sambets	\$255.50	4/25/2025
na	HP Elitebook 840 G5	na	na	Jill Fagan	\$150	8/15/2025
na	HP Elitebook 840 G5	na	na	Jeanette Stumbaugh	\$101	8/15/2025
na	HP Elitebook 840 G5	na	na	Chip Annello	\$125	8/15/2025
na	HP Elitebook 840 G5	na	na	Lori Ana Valentin	\$100	8/15/2025
na	HP Elitebook 840 G5	na	na	Edna Pettit	\$100	8/15/2025
na	HP Elitebook 840 G5	na	na	Sarmad Shaheen	\$100	8/15/2025
na	HP Elitebook 840 G5	na	na	Sarmad Shaheen	\$100	8/15/2025
na	HP Elitebook 840 G5	na	na	Steve Micelli	\$100	8/15/2025
na	HP Elitebook 840 G5	na	na	Richard Parodie	\$100	8/15/2025
TOTAL					\$107,810.84	

Items Disposed of at Authority's Expense:

Item Description	Item Location	Asset Tag #	Serial #	Depreciable Value over \$10,000?	Usable Condition	Date
Meraki	Pallet In Stockroom		6655	Q2KW8P4UJVZT	No	5/22/2025
Meraki	Pallet In Stockroom		6657	Q2KW8QUDQXQS	No	5/22/2025
Meraki ms250	Pallet In Stockroom		6703	Q2QW-9JPL-8XYC	No	5/22/2025
Meraki ms225	Pallet In Stockroom		6661	Q2KW-83RAZ7BT	No	5/22/2025
Meraki ms225	Pallet In Stockroom		6660	Q2KW-7Q5GF7MT	No	5/22/2025
Meraki ms225	Pallet In Stockroom		6656	Q2KW-77MDN4ZC	No	5/22/2025
Meraki MX100	Pallet In Stockroom		6252	Q2JNZWQJLAJV	No	5/22/2025
Meraki MS225-48FP	Pallet In Stockroom		7074	Q2KW-F95YLZKD	No	5/22/2025
Meraki MS225-48FP	Pallet In Stockroom		6667	Q2KW-84K3X2EL	No	5/22/2025
Meraki MX100	Pallet In Stockroom	N/A		Q2JN4GNLU2BB	No	5/22/2025
Cisco Switch 3560g	Pallet In Stockroom	N/A		FOC11111Y3PU	No	5/22/2025
Cisco Switch 3560g	Pallet In Stockroom	N/A		FOC1420Z418	No	5/22/2025
Cisco ASA 5508	Pallet In Stockroom	N/A		JMX2102Y1P3	No	5/22/2025
Cisco ASA 5508	Pallet In Stockroom	N/A		JMX2550X2KH	No	5/22/2025
Cisco ASA 5508	Pallet In Stockroom	N/A		JMX2102Y1PB	No	5/22/2025
Cisco ASA 5505	Pallet In Stockroom	N/A		JMX1525Z2EW	No	5/22/2025
Cisco 3850	Pallet In Stockroom	N/A		FOC1820U0JU	No	5/22/2025
Cisco 3850	Pallet In Stockroom	N/A		FCW1828COHP	No	5/22/2025
Cisco 3850	Pallet In Stockroom	N/A		GCW1820C06P	No	5/22/2025
HP Elitedesk 800 g5	Pallet In Stockroom		6761	MLX0112ZPN	No	5/22/2025
HP Elitedesk 800 g4	Pallet In Stockroom		6620	MLX8513VZD	No	5/22/2025
HP Elitedesk 800 g4	Pallet In Stockroom		6705	MLX9283HQC	No	5/22/2025
HP Elitedesk 800 g4	Pallet In Stockroom		6614	MLX8513VZG	No	5/22/2025
HP Elitedesk 800 g6	Pallet In Stockroom		6758	5CG01336LK	No	5/22/2025
HP Elitedesk 800 g6	Pallet In Stockroom		6756	5CG01556XP	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6682	2UA8242SS2	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6494	MLX72711DM	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6676	2UA8242SRL	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6762	MLX0112ZN8	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6735	MLX0094J5C	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom		6693	2UA8242SSW	No	5/22/2025

HP EliteDesk 800 g3	Pallet In Stockroom	6740	MXL0091YCM	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	6706	MXL928HQR	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	6493	MXL72711DX	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	6649	2UA8242SRQ	No	No	5/22/2025
HP Elitebook 840 g7	Pallet In Stockroom	6826	5CG04914Q	No	No	5/22/2025
Latitude 5430 rugged	Pallet In Stockroom	8028	H5ZXDD3	No	No	5/22/2025
Laserjet pro MFP	Pallet In Stockroom	B20352	Cnckk903m1	No	No	5/22/2025
Laserjet P3015	Pallet In Stockroom	B20326	VNB3151634	No	No	5/22/2025
Laserjet Pro MFP	Pallet In Stockroom	B20367	CNB7J150JS	No	No	5/22/2025
Samsung tablet trapeze	Pallet In Stockroom	Samt827k	3.56E+14	No	No	5/22/2025
Verizon Samsung Tablet	Pallet In Stockroom	N/A	3.57E+14	No	No	5/22/2025
Laserjet m203dw	Pallet In Stockroom	N/A	VND3B88873	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	2ua8242ss	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	Mxl009435h	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	Mxl0094368	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	8CG7392T0G	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	8CG8258QLF	No	No	5/22/2025
HP EliteDesk 800 g3	Pallet In Stockroom	N/A	MXL72711DL	No	No	5/22/2025
HP EliteDesk 800 g4	Pallet In Stockroom	N/A	MXL9283HS7	No	No	5/22/2025
HP Elitebook 840 g6	Pallet In Stockroom	N/A	5CG01556Y2-6	No	No	5/22/2025
Dynabook x40-f	Pallet In Stockroom	N/A	30145267H	No	No	5/22/2025
HP Elitebook 840 g7	Pallet In Stockroom	N/A	5CG04913LW-6	No	No	5/22/2025
HP Elitebook 840 g6	Pallet In Stockroom	N/A	5CG82962Y0-6	No	No	5/22/2025
Poly 600media phone	Pallet In Stockroom	N/A	64167FA236E	No	No	5/22/2025
Poly 500media phone	Pallet In Stockroom	N/A	64167FE1D00A	No	No	5/22/2025
Poly 500media Phone	Pallet In Stockroom	N/A	64167FE1D5BE	No	No	5/22/2025
Poly 600media phone	Pallet In Stockroom	N/A	64167F7A2119	No	No	5/22/2025
Poly 600media phone	Pallet In Stockroom	N/A	64167FA1BB2	No	No	5/22/2025
AC C4501HD Telephone	Pallet In Stockroom	N/A	SC10245437	No	No	5/22/2025
Avaya Telephone	Pallet In Stockroom	N/A	61635501793	No	No	5/22/2025
Avaya Telephone	Pallet In Stockroom	N/A	09FA52436086	No	No	5/22/2025
Audiocodes c450	Pallet In Stockroom	N/A	SC10248855	No	No	5/22/2025
HP Ultrasmart Docking Station	Pallet In Stockroom	N/A	2TK947XGKQ	No	No	5/22/2025
HP Ultrasmart Docking Station	Pallet In Stockroom	N/A	2TK003XDKS	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	8CM416195N	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM344238W	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM416195H	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM45110C2	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM45110C4	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM451101T	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM45110C6	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM41695H	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM45110C4	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM451101T	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM4101QGN	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM4511022	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM4101QCR	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM416195J	No	No	5/22/2025
HP EliteDisplay e201	Pallet In Stockroom	N/A	6CM533050D	No	No	5/22/2025
HP EliteDisplay e202	Pallet In Stockroom	N/A	3CQ6804MB	No	No	5/22/2025
HP EliteDisplay e202	Pallet In Stockroom	N/A	3CQ648C4LT	No	No	5/22/2025
HP CompaqLA monitor	Pallet In Stockroom	N/A	3CQ1200DKK	No	No	5/22/2025

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

RESOLUTION No. 3 - 2026

Approve Safety Management System Plan

WHEREAS, the Capital District Transportation Authority (Authority) is a recipient of federal funds for assistance with capital and operating expenses, and

WHEREAS, the Federal Transit Administration (FTA) requires that all public transit agencies have a Safety Management System Plan (SMS) which must be approved by the Board on an annual basis, and

WHEREAS, the SMS is a formal process to communicate and manage safety from the leadership level of the Authority to all employees, and the contents of the SMS will help enhance our commitment to safety and meet the standards set by the FTA, and

WHEREAS, the Safety Committee has reviewed the 2026 SMS plan updates and Authority staff now recommends approval of the 2026 SMS plan in accordance with FTA requirements.

NOW, THEREFORE, IT IS RESOLVED as follows:

1. The Authority hereby approves and adopts the 2026 SMS plan in accordance with FTA requirements.
2. This Resolution shall take effect immediately.

CERTIFICATION

The undersigned, duly qualified and acting as Secretary of the Capital District Transportation Authority, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Capital District Transportation Authority held on 28th day of January, 2026.

Dated: January 28, 2026

Jaclyn L. Falotico, Secretary

Capital District Transportation Authority Agenda Action Sheet

Subject: Resolution to approve the Safety Management System Plan
Committee: Performance Monitoring/Audit
Meeting Date: January 21, 2026

Objective of Purchase or Service:

The Federal Transit Administration (FTA) requires a Board resolution to approve the annual Safety Management System (SMS) Plan.

Summary of Staff Proposal:

SMS is an organization-wide, data driven approach to mitigate risk. The plan facilitates communication, management, and enhances the safety efforts within the organization. The plan includes Key Performance Targets, such as the Safety Management Policy, Safety Risk Management, and Safety Promotion and Communication.

The plan is updated throughout the year to ensure it remains comprehensive, collaborative, and compliant. Updates have been reviewed and approved by the Safety Committee. The plan was reviewed and approved by the FTA during the last Triennial Audit completed in 2025.

Improvements made to the plan since the last adoption include:

- Established a policy for conflict resolution for safety committee
- New safety glasses policy in all maintenance facilities
- Incorporated video mirror technology into the fleet
- Rebranded and replaced safety signage
- Safety Committee helps identify and proactively address safety hazards, issues and employee concerns

Next steps:

- Partner with NYS Department of Labor for bus operator training simulator program
- Monthly safety facility inspections
- Establish a pilot program for “Mobileye Shield” collision avoidance warning system
- New refresher training programs for employees.

Financial Summary and Source of Funds:

None at this time.

Proposed Action:

I recommend the approval of the SMS plan in accordance with FTA requirements. A copy of the plan is included in the packet.

Manager:

Rich Nasso, Superintendent of Safety & Training

CAPITAL DISTRICT TRANSPORTATION AUTHORITY

Public Transportation Agency Safety Plan (PTASP)

2026

Introduction

On July 19, 2018, the FTA published the Public Transportation Agency Safety Plan Final Rule which requires operators of public transportation systems that receive federal funds under FTA's Urbanized Area Formula Grants to develop safety plans that include the processes and procedures to implement Safety Management Systems (SMS). On July 19, 2019, the ruling took effect.

This plan will be used by the Capital District Transportation Authority as a guide to strengthen the current safety processes in place, while meeting the new regulations set forth in 49 CFR Part 673 of the federal guidelines.

The Public Transportation Agency Safety Plan (PTASP) calls for a formal process to communicate and manage safety from the highest level of management. The updated plan will guide the agency in safety risk management, safety assurance and communication and promoting safety within the organization. There will be an annual review of the plan to review the safety performance measures and determine improvements that may be needed to improve the organizational safety targets.

Agency Background

The Capital District Transportation Authority (CDTA) is the premier mobility provider in the Capital Region, providing local, paratransit, express, commuter and bus rapid transit services across its six-county, 3500 square-mile service area. CDTA also operates a regional bike share program, provides micro transit services, and has introduced electric buses to its fleet. CDTA owns and operates the Joseph L. Bruno Rail Station and Saratoga Springs Train Station.

The Authority consists of a 10-member board, appointed by the Governor, and confirmed by the State Senate. The enabling legislation was modified in 2009 to include a non-voting member representing labor. All policy decisions reside with this board and implemented by the Chief Executive Officer.

The Capital District Transportation Authority operates in Albany, Rensselaer, Saratoga, Schenectady, Montgomery, and Warren Counties. We work daily to meet the mobility needs within the Capital Region. There are 55 routes and more than 3000 stops within the system providing service to more than 16 million passengers a year.

Using our Transit Development Plan as a guide, we have dramatically improved our service network, reduced operating costs, and sharpened our community image. This includes innovative projects like Upstate New York's first Bus Rapid Transit service, Universal Access program, a regional bike share program (CDPH Cycle!), micro transit service (FLEX) and the first property in upstate New York to introduce electric buses to its fleet.

Transit Agency Information

Transit Agency Name	Capital District Transportation Plan		
Transit Agency Address	110 Watervliet Avenue Albany, NY 12206		
Name and Title of Accountable Executive	Frank Annicaro, Chief Executive Officer		
Name of Chief Safety Officer or SMS Executive	Jack Grogan, Director of Safety & Training		
Mode(s) of Service Covered by This Plan	Bus Commuter Bus Demand Response (Paratransit) Demand Response – Taxi (Paratransit)	List All FTA Funding Types (e.g., 5307, 5337, 5339)	5307 5311 5339
Mode(s) of Service Provided by the Transit Agency (Directly operated or contracted service)	Bus Commuter Bus Demand Response (Paratransit) Demand Response – Taxi (Paratransit) Vanpool		
Does the agency provide transit services on behalf of another transit agency or entity?	No	Description of Arrangement(s)	N/A
Name and Address of Transit Agency(ies) or Entity(ies) for Which Service Is Provided	N/A		

Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Rich Nasso Jr., Superintendent of Safety & Training	
Signature by the Accountable Executive	Signature of Accountable Executive	Date of Signature
	Frank Annicaro Chief Executive Officer	
Approval by the Board of Directors or an Equivalent Authority	Name of Individual/Entity That Approved This Plan	Date of Approval
	Capital District Transportation Authority	
	Relevant Documentation (Title and Location)	
	Board Resolution No.	
	A copy of all resolutions passed by the Board of Directors of the Capital District Transportation Authority can be found online at www.cdta.org . The original copy is maintained on file with the Superintendent of Safety and Training.	
Approval of the Safety Committee	Approved – November 2025	

Version Number and Updates <i>Record the complete history of successive versions of this plan.</i>			
Version Number	Section/Pages Affected	Reason for Change	Date Issued
1	N/A	Board Adoption – No. 26 - 2020	June 24, 2020
2	Safety Targets	Annual Update and Approval No. 48 – 2021	Oct. 27, 2021
3	Safety Targets	Annual Update and Approval 2022	Dec. 21, 2022
4	Safety Targets	Annual Update and Approval 2023	Dec. 20, 2023
5	Safety Committee	Annual Update and Approval – No. 39 - 2024	Dec. 18, 2024
7	2, 4, 6	Staff & New Requirements Update	June 24, 2025
8	Many	Title Changes	January 16, 2026
Annual Review and Update of the Agency Safety Plan <i>Describe the process and timeline for conducting an annual review and update of the ASP.</i>			
<p>The plan will be reviewed and updated in November of each year by the Superintendent of Safety and Training at a mandatory annual safety meeting. The Safety Committee will review and approve any and all changes. Once approved by the Safety Committee, the Superintendent of Safety & Training will review the updated plan with all department heads that are responsible for reporting on safety objectives and performance targets.</p> <p>Any new implemented policies and procedures will be reviewed for their effectiveness. The agency's ability to meet performance targets will also be presented, and the need to modify performance targets for the coming year will be considered. Any updates to the plan will be reviewed and approved by the Chief Executive Officer and the Board of Directors.</p> <p>All versions of the plan and associated documents used to carry out the ASP mentioned within the plan must be kept on file for no less than (3) years as required by the FTA and kept available for no less than seven (7) years as required by CDTA's record retention process. Documents will be made available upon request by FTA or other Federal or State entity.</p> <p>Any changes made to the Safety Plan will be distributed for all employees to review after approval is made by the CEO and the Board of Directors. The Chief Safety Officer will draft a notice to all Employees and Managers listing the updates to the plan. The notice will be communicated through the communication channels listed in this plan.</p>			

Safety Performance Targets

Safety Performance Targets <i>Specify performance targets based on the safety performance measures established under the National Public Transportation Safety Plan.</i>							
Mode of Transit Service	Fatalities (Total)	Fatalities (Rate)	Injuries (Total)	Injuries (Rate)	Safety Events (Total)	Safety Events (Rate)	System Reliability
Bus	0	0	14	.014	17	.017	36,000
Commuter Bus	0	0	0	6.9	0	10.4	70,000
Demand Response (Paratransit)	0	0	2	5.1	2	2.1	46,000
Demand Response – Taxi (Paratransit)	0	0	1	0.7	1	.07	0
Total	0	0	17	5.9	20	4.1	152,000
Other Safety Targets							Total or Rate
Major Events (Total)							36
Major Event Rate (# of events divided by Vehicle Revenue Miles – VRM)							444,000
Collisions (Total)							430
Collision Rate (# of Collisions divided by VRM)							37,209
Pedestrian Collision Rate							1
Transit Worker Fatality Rate							0
Transit Worker Injury Rate							222,000
Assaults on Transit Workers (Total)							18
Rate of Assaults on Transit Workers (# of Assaults divided by VRM)							888,889
Safety Performance Target Coordination							
<i>Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.</i>							
The regional MPO for the Albany, NY area is the Capital Regional Transportation Council (CRTC) and overall transit safety for New York State is the responsibility of the Department of Transportation (NYSDOT). CDTA, CRTC, and NYSDOT are partners on many projects and initiatives related to the regional transportation network – including safety of the transit system. There is close and ongoing coordination and correspondence between the three entities. CDTA and NYSDOT are members of CRTC's Planning Committee, Policy Board, and its Administrative & Financial (A&F) Standing Subcommittee. CDTA is also the host agency for CRTC.							
CDTA coordinates with CRTC and NYSDOT in the selection of safety performance targets to the maximum extent practical and makes the safety performance targets available to both State and MPO organizations to aid in the planning process.							
The Superintendent of Safety & Training provides a copy of the ASP to CRTC, NYSDOT Region 1, and the Public Transportation Safety Board. This includes the description of the Safety Performance Targets described in the ASP. The ASP and performance targets have been adopted by the MPO.							
Targets Transmitted to the State	State Entity Name			Date Targets Transmitted			
	New York State Department of Transportation – Public Transportation Safety Board			21/21/25			
Targets Transmitted to the Metropolitan Planning Organization(s)	Metropolitan Planning Organization Name			Date Targets Transmitted			
	Capital Regional Transportation Council			3/1/24			

Safety Management Policy

Safety Management Policy Statement

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

CDTA's leadership, Board of Directors, and the joint-labor Safety Committee comprised of management and front-line workers, are committed to the safety of its employees and customers and promoting a culture of safety. The Chief Executive Officer is ultimately responsible for the safety throughout all aspects of CDTA's operation. That responsibility includes ensuring the proper personnel and material resources are available to implement safety policies and procedures and sufficient and appropriate monitoring and reporting systems are in place. CDTA recognizes its responsibility to provide a culture of safety through Safety Risk Management, Safety Assurance, and Safety Promotion and Communication.

To ensure these measures are met, subject matter experts have been identified and assigned to roles in which they can further the culture of safety within all departments. Those responsible for safety have been provided with the resources and authority necessary to obtain those goals. CDTA trains all employees to promote safe working conditions and provide them with the appropriate forum needed to communicate their ideas to continue building a better workplace driven by a culture of safety. It is the responsibility of all managers and supervisors to administer proactive and reactive accident prevention measures that benefit the transit system, its employees, and the public.

It is the responsibility of all employees to be vigilant of safety hazards, to work safely, and to be cognizant of CDTA's safety rules. As the frontline workers of the agency, all employees are encouraged to report any and all safety hazards identified, either on the road or within our facilities. This can be done through direct reporting to supervisors, or anonymously, through our employee reporting process. Employees will not be disciplined for reporting in good faith any safety concern that is not attributable to the employee's own action or inaction. The Authority, along with the support of the Amalgamated Transit Union (ATU), will not allow repercussions by management or the leadership of the ATU, in the event an employee's report verifies a hazardous condition due to employee negligence. In the event an investigation reveals carelessness on the part of the employee or the employee filing the report, the actions of the unsafe employee may be reason for discipline and/or remedial training.

Upon receiving a report of a hazard, a review will be initiated by the appropriate personnel. If action is deemed appropriate, CDTA will work in good faith to implement risk mitigation measures that are appropriate and timely. Action taken by the Authority will be promptly communicated to all employees. CDTA's regular employee training and retraining program will aim to keep staff up to date with the latest policies and operational procedures. Further, CDTA has zero tolerance for employees who may put customers and employees at undue risk. Employees with an unacceptable safety record will be counseled and may be subject to the disciplinary process.

CDTA's mission is to provide safe and dependable transportation services at a reasonable cost. No function will ever compromise safety. In this regard, the planning and execution of any job or project must include full recognition of the risks involved and the best methods for addressing and minimizing them. Our collective ability to work safely has a direct effect on the overall efficiency of our operation. Operating in an unsafe manner not only could negatively impact an employee's well-being but can also cast a negative light on the organization to our community partners and the general public that relies on our services.

Frank Annicaro - Chief Executive Officer

Public Employer Health Emergency Plan

Describe how the agency strategies to minimize the exposure to hazards and unsafe conditions.

CDTA developed a Public Employer Health Emergency Plan in accordance with NYS legislation S8617B/A10832 that was approved by the Amalgamated Transit Union and CEO in February 2021.

The Public Employer Health Emergency Plan establishes policy and guidance to outline the mission critical functions of CDTA and how to minimize exposure of a hazard to the public, personnel, and property. This plan considers data from the CDC and State health authorities.

Future changes to the Public Employer Health Emergency Plan will be communicated to all employees via bulletin boards and inclusion in the Employee Handbook.

<p>Safety Management Policy Communication</p> <p><i>Describe how the safety management policy is communicated throughout the agency. Include dates where applicable.</i></p>	
<p>The SMS principles and plan was approved by the Safety Committee in November 2025 and subsequently adopted by the Board of Directors at its January 28, 2026 meeting with Board Resolution No.</p> <p>The Safety Management Policy is distributed to every active employee in a number of ways including but not limited to, email, person-to-person distribution and posted on bulletin boards in key communication areas. This policy is included in the employee handbooks provided to all new employees, and new employees are expected to review and certify that they acknowledge and comply with all standards and practices. Future changes to the safety policy will be communicated to all employees via public posting and email communication.</p>	
<p>CDTA has a joint labor-management Safety Committee comprised of frontline Transportation, non-essential Transportation, Maintenance, and Management staff. The committee consists of an equal number of frontline employee representatives selected by the labor union and management representatives to appropriately represent the size, scope, and complexity of the agency. The committee has at a minimum, the responsibility for identifying and recommending risk-based mitigations to reduce the likelihood and severity of items identified through the risk assessment process, as well as identifying strategies or mitigations that may be ineffective, inappropriate, or not working as intended. It is the responsibility of these committee members to identify safety deficiencies for purposes of ensuring continuous improvement agency wide. The Safety Committee is governed by a separate policy developed by Management and Union representatives that includes agenda creation, meeting minutes, and organizational structure requirements.</p>	
<p>Authorities, Accountabilities, and Responsibilities</p> <p><i>Describe the role of the following individuals for the development and management of the transit agency's Safety Management System (SMS).</i></p>	
<p>Accountable Executive</p>	<p><u>Chief Executive Officer</u> (Frank Annicaro) Reports directly to the Board of Directors and serves as the accountable executive pertaining to the overall execution of the Agency Safety Plan and the Transit Asset Management Plan. It is the responsibility of the CEO to supervise all administrative functions of the authority which includes carrying out the Public Transportation Agency Safety Plan of a public transportation agency; for carrying out the agency's Transit Asset Management Plan; and has direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, and the agency's Transit Asset Management Plan.</p> <p>The CEO also ensures that the SMS is effectively implemented through oversight and reports by department managers presented at the annual safety meeting and through other routine meetings throughout the year. THE CEO is responsible for implementing safety risk mitigations for the safety risk reduction program and receives and considers all other safety risk mitigations recommended by the Safety Committee. The CEO is also responsible for ensuring that the SMS effectively implemented be delegated to qualified staff hired and/or appointed to the appropriate positions to effectively oversee the safety plan. The CEO's oversight and direction of personnel and capital ensures appropriate action is taken when needed and that action is in line with the principles of the Agency Safety Plan.</p>
<p>Chief Safety Officer or SMS Executive</p>	<p><u>Director of Safety & Training</u> (Jack Grogan) - Serves as the Chief Safety Officer reporting directly to the Chief Executive Officer. This position is responsible for directing and managing the organization's safety and training department and initiatives. Designated by the Accountable Executive, the Chief Safety Officer is an adequately trained individual who has responsibility for safety, has the authority and responsibility for day-to-day implementation and operation of the SMS.</p> <p>The Chief Safety Officer reviews and approves any changes to the ASP, sets annual safety performance targets for the safety risk reduction program, identifies and recommends safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through the safety risk assessment, identifies safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, and identifies safety deficiencies for purposes of continuous improvement.</p> <p>Responsible for oversight of the safety roles and responsibilities of the Superintendent of Safety. Including but not limited to; annual revisions of SMS by ensuring that departmental responsibilities are updated in the plan and the approval process is followed, ensuring that the Safety Department staff have been extensively trained in the presentation of the Transportation Safety Institute's (TSI) Bus Operator Training Program and have attended the TSI Basic Accident Investigation Course. Ensure the Drug and Alcohol Policy and Federal regulations in 49 CFR Part 40 and Part 655 are administered properly.</p>

Agency Leadership & Executive Management	<p><u>Vice President of Operations</u> (Lance Zarcone) - Reports directly to the Chief Operating Officer. The VP of Operations is responsible for the management of all transportation and maintenance activities of all divisions (Albany, Schenectady, Troy, Glens Falls) and STAR (paratransit service) to ensure that all processes in the SMS along with other policies and procedures are properly executed by both the Transportation and Maintenance Departments.</p> <p><u>Chief Operating Officer</u> (Chris Desany) - Reports directly to the Chief Executive Officer. The position directs and manages the organization's strategic planning, service development, information technology and facilities programs. Departmental roles and responsibilities include managing strategic and service planning, scheduling, project management, system administration, business process improvement, and physical plant infrastructure.</p> <p><u>General Counsel</u> (Amanda Avery) - Reports directly to the Chief Executive Officer. The General Counsel is responsible for providing legal advice to management on issues such as contracts, procurement, employment law and ensures compliance with all Federal, State, and local laws and regulations.</p>
Key Staff	<p><u>Superintendent of Safety & Training</u> (Rich Nasso Jr.) - Reports to the Director of Safety & Training. Primary responsibility for identifying safety improvements and administering safety programs.</p> <ul style="list-style-type: none"> Ensures adherence to applicable statutes and rules. Regular review of all operators' safety records to identify candidates for remedial training. Review and establish determinations of preventability for all accidents. Request follow-up training for operators having preventable accidents or deteriorating safety records. Requests may be for remedial, refresher training, on-board observations, or any other pertinent individualized training. Prepare a monthly safety report, with recommendations for improving performance; also includes update of divisional goals and progress. Provides direction and oversight to Safety Committees. Hire, train, supervise and direct training staff. Manages the Safety Awards Program. Manages the Drug and Alcohol Program and DMV 19-A program. Inspect facilities and monitors operating practices, including regular field safety patrols. Liaison with Public Transportation Safety Board. <p><u>Safety Supervisors</u> (multiple) – Reports to the Superintendent of Safety & Training.</p> <ul style="list-style-type: none"> Train new bus operators and facilitate safety refresher training and remedial training for experienced bus operators. Assist the Superintendent of Safety in the development of new programs and revision of existing programs for bus operators. Periodic field observations to check operator compliance with safety rules. Assist in periodic building and safe working conditions inspections. Investigate accidents and submit reports to Superintendent of Safety. Perform all 19-A Requirements for compliance. <p><u>Director of Planning</u> (Mike Williams) - Reports to the Chief Operating Officer. This position is responsible for Planning and Scheduling preliminary design for capital projects, route patterns and schedules, and strategic / long-term initiatives. They coordinate with the Superintendent of Safety to make safety recommendations for new service and to ensure that our schedules meet safety guidelines. Works closely with local municipalities so that our service is being considered for all major construction projects in the counties in which we serve.</p> <p><u>Director of Facilities</u> (Jeremy Smith) - Reports to the Chief Operating Officer has overall responsibility for the management of the Facilities Department whose primary function is to provide safe, effective, and efficient maintenance, improvement, and operation of all CDTA buildings and grounds. Facilities include but are not limited to, office structures, vehicle storage and maintenance facilities, trains stations, surface parking and structures (facility related and park-and-ride), bus stops, shelters, and terminals. Collaborates with the Director of Planning, Director of Safety & Training, and Superintendent of Safety as it relates to all projects.</p> <p><u>Director of Transportation, Director of Maintenance, and Director of Service Quality Superintendents</u> – Reports to VP of Operations. They are responsible for overseeing the day-to-day operations within their assigned division. The Directors ensures compliance with all policies and procedures and makes sure</p>

	<p>that all safety standards from the Agency Safety Plan are carried out. The Directors are directly responsible for the Transportation Supervisors and Maintenance Forman who are tasked with performing Quality Assurance checks on our vehicles. This is one way that we can verify the effectiveness of the System Safety Plan.</p> <p>Drivers' Forums and Mechanic Forums: CDTA holds quarterly meetings with drivers/supervisors and mechanics/foreman to discuss any upcoming changes to service, policies, or procedures. CDTA will include an agenda item dedicated to safety allowing attendees the opportunity to inform staff of potential hazards and for Directors and Superintendent of Safety to reinforce safety protocols.</p>
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Employee Safety Reporting Program

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

CDTA has a system in place that allows operators, mechanics, and all other employees to report incidents, accidents, hazards, and other information that may require attention such as assaults on transit workers, near-misses, and unsafe acts and conditions.

Employees can report hazardous conditions using the following reporting tools:

- Operators report conditions directly to Central Communications (radio dispatcher)
- Mechanics report conditions directly to their foreman
- File a report using CDTA's reporting software – MobileForms
- Employee forums – If it is a low-risk concern
- Safety Committee – low risk concerns
- All other employees report conditions directly to any supervisor, manager, or director.

Immediate Response

Below is a list of examples where safety concerns may be reported for an immediate response or may require follow-up by various departments within the organization.

- Mechanical issues – brakes, steering, fumes, or anything that may interfere with the operation of the vehicle.
- Shelter/Stop – broken glass in a shelter, interference at a stop such as construction, snowbanks or anything that may require the stop to be temporarily or permanently relocated.
- Policies and procedures that do not work as intended that may not be eliminating safety concerns or could be causing higher risk.
- Events that senior managers might not otherwise know about (for example, near misses)
- Information about why a safety event occurred (for example, radio communication challenges).

The Safety and Training department reviews reports daily. Recommendations are made to address safety concerns issues with support of operations and the direct oversite and guidance from the Chief Safety officer. All discussions regarding safety concerns will be brought up and discussed in Safety Committees and Employee forums. If the employee submitting a report provides their name, the Chief Safety Officer or other appropriate senior staff member can follow up with that employee directly.

All safety concerns are logged in a database with a date and timeframe of when the issue should be resolved. Results of Safety Committee activities are issued on an Employee Communication Board in each division.

Employees will not be disciplined for reporting in good faith any safety concern that is not attributable to the employee's own action or inaction. The Authority, along with the support of the ATU, will not allow there to be any discipline initiated by management or the leadership of the ATU, in the event there is found there was negligence of the authority or a member of the ATU.

In the event an investigation reveals carelessness on the part of an employee or the employee filing the report, the actions of the unsafe employee may be reason for discipline and/or remedial training

Safety Risk Management

Safety Risk Management Process

Describe the Safety Risk Management process, including:

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

Safety Risk Management Process

CDTA has introduced a process to conduct Safety Risk Management among existing operations as well as implementing changes to the service, street amenities, and its facilities. The purpose is to form a consistent process that defines the terminology that should be used and create a formula that can be used as a guide to identify hazards and the potential consequences. Safety Risk Management provides the CDTA with a process to quantify a potential safety risk and then develop a response prior to the hazard escalating into an incident and is comprised of the following activities: hazard identification, safety risk assessment, and safety risk mitigation.

The Chief Safety Officer or designee will verify whether the process for identifying risk is helping to improve systems such as our operations and maintenance; facilities and vehicles; and personnel recruitment, training, and supervision.

CDTA will use the following terminology when referring to Safety Risk Management,

- Hazard – Any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure belonging to CDTA; or damage to the environment.
- Consequence – An effect of a hazard involving injury, illness, death, or damage to CDTA property or the environment.
- Event – Any accident, incident, or occurrence
- Risk – Composite of predicted severity and likelihood of the potential effect of a hazard.
- Risk Mitigation – Method(s) to eliminate or reduce the effects of hazards.
- Safety Hazard Identification

When identifying hazards and the potential consequences, the Safety department uses various sources. These sources include:

- Safety analyses conducted during periodic facility inspections.
- Review of vehicle camera footage after a report is filed.
- Review of monthly performance data and safety performance targets
- Supervisor observations
- Maintenance reports
- Pre/post trip inspection reports which may indicate defect trends within individual vehicles.
- Customer comments
- Safety committees and employee forums
- Safety audits by the internal and external auditors of compliance with the AGS, Maintenance Inspections, and Security procedures
- External safety data sources may include architectural, engineering, or surveyors site drawings that may be provided to Safety for an evaluation of potential safety hazards.
- Investigations into safety events, incidents, and occurrences identified through Safety Assurance activities.
- Federal Transit Administration (FTA) and other oversight authority's review
- Data and information regarding exposure to infectious disease provided by the CDC or State health authority
- Safety concerns identified through Safety Assurance activities

Safety Risk Assessment

CDTA has established a process to assess the safety risk associated with identified hazards. All hazards identified are reviewed by the Safety Department, including the Superintendent of Safety and Safety Supervisors to determine the level of risk. Risk level is divided into three categories – High, Medium, or Low which are defined as:

- High hazard ratings will be considered unacceptable and require immediate action from CDTA to mitigate the safety risk,
- Medium hazard ratings will be considered undesirable and require CDTA's Chief Safety Officer or designee to make a decision regarding their acceptability, and
- Low hazard ratings may be accepted by the Superintendent of Safety without additional review.

These risk classifications are awarded based on a consideration of the likelihood for an incident to occur due to a hazard and the potential negative consequences of that incident.

Safety Risk Mitigation

CDTA has established a method for identifying safety risk mitigations necessary as a result of the safety risk assessment to reduce the likelihood and severity of the potential consequences. The safety risk assessment takes into account existing safety risk mitigations and determines the necessity and prioritization of safety risk mitigations.

Mitigation of hazards is determined based on the level of risk and the nature of the hazard. For example, hazards with higher risk are dealt with immediately and the response can be as substantial as eliminating bus stops that have become unsafe, stopping service outright, or limiting areas for operations in bus garages.

As many identified hazards are of a lower risk, the Safety Department in conjunction with the Safety Committee and related departments develop solutions that will be long-term and impactful. This can be through a new policy or procedure or by constructing new infrastructure (ex. installing sidewalk and crosswalk at the bus stop that requires improved accessibility).

The intent of any mitigation effort is to limit the hazard and prevent any future accidents or incidents. For new projects, risk mitigation is proactive instead of reactive. For example, the Safety Department reviews design documents of capital projects led by the Planning and Facility Department and the Superintendent of Safety provides a list of concerns or potential safety risks. Designs are then updated to mitigate these risks during the planning phase and prior to construction.

Exposure to the Hazard – Used to identify the probability of level.

Risk Assessment Value – By combining table 1 and 2, the value table guides you to determining the level of risk and determine what level of action needs to be taken.

The SRM process will be the responsibility of the Chief Safety Officer and Safety Department with the assistance of the Safety Committee. This will promote consistency in risk evaluations. Review by safety subject matter experts will increase the quality of risk measures and implementation of appropriate action. CDTA utilizes guidance provided by oversight authorities such as the FTA, CDC, and State health authorities when needed. As a source for safety risk mitigation, CDTA considers guidance to prevent or control exposure to infectious diseases provided by CDC or other State health authorities.

After a level of risk is determined for a hazard, CDTA reduces that risk by implementing mitigation measures designed and intended to reduce the probability of occurrence and/or severity of consequences. Once a new operational element or procedure is in place, short term monitoring will evaluate its effectiveness and identify any negative safety hazards it may have created unintentionally. Long term monitoring will evaluate the mitigation measure effectiveness by considering changes to measured risk.

Risk Reduction Program

Establish performance targets for the risk reduction program using a 3-year rolling average of the data submitted to the National Transit Database for all modes of transportation.

CDTA assesses and mitigates the associated safety risk based on the results of the safety risk assessment using its safety risk mitigation process. The Safety & Training Department utilizes the Risk Reduction Program, in coordination with the Safety Risk Assessment, to establish proactive measures that reduce the amount of risk and allow CDTA to meet the established performance targets. The Risk Reduction Program includes a focus on reducing the assaults on transit workers, vehicular and pedestrian accidents, and injuries by taking appropriate measures to mitigate the risk of these occurrences.

CDTA and the Safety Committee are focused on reducing visibility impairments for transit vehicle operators that contribute to accidents, deployment of assault mitigation infrastructure and technology on transit vehicles and in transit facilities, and safety risk mitigation relating to vehicular and pedestrian safety events involving transit vehicles or assaults on transit workers based on the safety risk assessment. If CDTA fails to meet the performance targets an amount not less than 0.75% of the allocated 5307 funds to fund safety-related projects and initiatives that are reasonably likely to assist in meeting the performance targets in the following year.

If the Safety Committee recommends a safety risk mitigation unrelated to the safety risk reduction program, and the Accountable Executive decides not to implement the mitigation, the Account Executive will provide a written statement explaining their decision and submit and present this explanation to the Safety Committee and the Board of Directors.

Table 1: Definition of Severity

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.

Table 2: Definition of Exposure

PROBABILITY LEVELS			
Description	Level	Specific Individual Item	Fleet or Inventory
Frequent	A	Likely to occur often in the life of an item.	Continuously experienced.
Probable	B	Will occur several times in the life of an item.	Will occur frequently.
Occasional	C	Likely to occur sometime in the life of an item.	Will occur several times.
Remote	D	Unlikely, but possible to occur in the life of an item.	Unlikely, but can reasonably be expected to occur.
Improbable	E	So unlikely, it can be assumed occurrence may not be experienced in the life of an item.	Unlikely to occur, but possible.
Eliminated	F	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.	Incapable of occurrence. This level is used when potential hazards are identified and later eliminated.

Table 3: Risk Assessment Value

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

Safety Assurance

Safety Performance Monitoring and Measurement
<i>Describe activities to monitor the system for compliance with procedures for operations and maintenance.</i>
The following are activities conducted to monitor and ensure safety compliance throughout the CDTA transit system by monitoring the system for compliance and to identify any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended:
<p><u>Internal Audits</u> – CDTA has an internal auditor that is responsible for evaluating systems established to ensure compliance with the policies, plans, procedures, laws, and regulations which could impact the organization. The audit process is used to ascertain whether specific operations or programs are meeting the goals and objectives as planned.</p> <p><u>Maintenance Audits</u>– Extensive audits of maintenance are conducted by an external firm regularly to monitor performance and recommend improvements. Currently the audit is performed by Transportation Resource Center, based in Oviedo Florida. The audit consists of:</p> <p>Inspection of 30% of the fleet (70 buses) using State and Federal standards. Defects are broken out into two types of defects.</p> <p>A Defect – An “A” defect requires immediate attention and repair. Once identified, it would keep a bus from returning to service if not corrected. “A” defects include inadequate brakes and tire tread, non-functioning turn signals and major oil or fuel leaks.</p> <p>B Defect – A “B” defect requires attention at or before the vehicles’ next service inspection (it would not necessarily require a bus to be held from service). Examples of a B defect includes loose grab rails, exterior damage, leaky windows, and minor oil leaks.</p> <p>A separate group of vehicles are selected for records review.</p> <p>The facilities are reviewed for the conditions of the maintenance shop, cleanliness, and adherence to the safety standards in the shop.</p> <p><u>Field Observations / Route Checks</u> – Transportation Supervisors and Safety Supervisors are used to verify processes on the streets/roadways are being executed properly with quality assurance checks when observing service operations. These observations monitor a variety of areas such as driver conduct, bus speeds, turning movements, boarding/alighting passengers, securing bus during layovers.</p> <p><u>Camera Observations</u>: The process of pulling bus video becomes available when an incident is logged. All live and historic data is available for review regardless of an incident. Real-time information for the facilities is available in the dispatcher locations to review.</p>

Employee Reporting – Employees have a process to communicate safety hazards through an electronic safety reporting system, through supervision or employee forums. All safety concerns require an inspection and follow up by field supervisors with the assistance of safety.

Safety Committee – Utilizing the Safety Committee to assist in identifying any safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended.

Departmental Goals – Through the performance review process, department heads task staff to ensure the safety responsibilities covered in the safety plan and other operating procedures are followed. Adherence to this task is part of an employee's performance evaluation.

Information Technology – Mobile Statics data provide by the INIT CAD/AVL system is used to verify that targets are met, addressing issues pertaining to service, and guide the Chief Safety Officers in determining where safety hazards may need to be addressed to prevent an event from occurring.

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

With the new Intelligent Transportation Management System (ITMS) and in cooperation with the IT department, the Safety Department has created a driver excellence dashboard. This new system allows for the Chief Safety Officer to identify aggressive driving by using data to find trends. The data will help identify the following:

- On time performance of a route due to aggressive driving.
- Operator habits.
- Up to date data pertaining to meeting safety targets.
- Show high accident locations though its mapping module.
- Data collected can be used to initiate an investigation and the hazard identification processes.
- In some cases, the findings may require a change in routes, schedules, and/or processes.
- Safety Committee meetings.

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

CDTA has a process in place that requires an investigation for all accidents, incidents, and occurrences, as defined by FTA, including identifying causal factors. During a safety event, a field supervisor is dispatched to investigate the event and collect all relevant information required. All available reports, witness statements, and videos are reviewed by the Safety Department.

The collected data is used to investigate if there is a pattern of accident types, locations or anything that may identify a causal factor. Once this investigation is completed a determination of preventability is made.

The Safety Department maintains all documented processes, investigations, determinations, and data reports that are filed. All files are maintained in accordance with CDTA's record retention policy.

The determination process of all accidents will follow the same process:

- All information is gathered pertaining to the accident, reports, pictures, video, and witness statements if available.
- Safety Supervisor does the initial investigation and makes a recommendation on preventability.
- Email is sent to the Superintendent(s) over seeing the employee to review, along with the Director of Transportation.

Should there be any questions regarding the accident determination the Superintendent will reach out to the Superintendent of Safety to discuss. If it is agreed that the recommendation is not the right decision, then the change will be made to the recommendation in writing by the Chief Safety Officer or designee. The Chief Safety officer or designee will make the final decision of preventability when there is a disagreement to ensure consistency. If there is no objection, the recommendation will be final, and the Superintendent will notify the operator of the preventable determination.

Discipline will be addressed as written in CDTA's progressive discipline processes.

In the event the employee does not agree with the determination of the accident, he or she will be allowed to submit a request for their accident to be reviewed by the Accident Review Board. The accident review board will consist of the following:

- Operations Superintendent that does not have direct oversight of the employee
- Union Official that does not work in the division of the employee
- Outside official with direct knowledge of accident investigation. This is usually a police officer from various municipalities

All involved must receive training on the differences of fault vs. preventability. All parties must be impartial and come to a decision without any prejudice.

Any hazards that may be a contributing factor to the event are documented and will be addressed with the appropriate parties to avoid any risk of a future event. All of these factors are part of the reduction and mitigation part of the Safety Risk Reduction Program to assist us in reducing the risk of vehicular and pedestrian safety events involving transit vehicles.

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

The internal reporting of safety for the transit system is provided to the Board of Directors on a monthly basis as part of the Monthly Non-Financial Report at the Performance Monitoring/Audit Committee. Key Performance Indicators (KPIs) are continuously monitored and reported in order to observe trends of the SMS hazard mitigation efforts. These KPIs are compared to the prior months and the same month of the previous year to show trends. If there are substantial increases or decreases an explanation is provided to the board.

On a yearly basis, the Superintendent of Safety and the Chief Safety Officer provide a report and presentation to the Performance Monitoring/Audit Committee which provides an overview of the year, identification of system-wide safety issues, and how these will be addressed in the coming year.

Although infrequent, if a safety event is of a substantial nature, it will be discussed with the Board at the Committee Meeting level.

All safety concerns, either reported by employees, the general public, or as a result of incidents, are logged in a database. Subsequent mitigation actions implemented as a result are included with each entry. These are also classified as *open* or *closed*.

Management of Change

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

The transportation industry is continually advancing and with that advancement is the potential for new hazards that will impact safety performance. To address this, CDTA has given the Safety Department the authority to take a more proactive approach.

New technologies and modes of transportation administered by CDTA may be operated in a way that is different from past practices. This requires CDTA to be flexible and change infrastructure and operations after a new service is implemented. The Safety Department and the team managing a specific project will monitor its operations to determine if any unforeseen safety issues arise.

The Safety Department collaborates on strategic planning efforts such as CDTA's Transit Development Plan (TDP). This ensures the Safety Department a hands-on approach to the direction of the organization and future projects and policies that may be implemented. This allows the Safety Department to flag any potential issues that may arise.

The Safety Department is co-author of sections of Project Management Plans (PMP's) for major capital projects such as the Washington-Western and River Corridor Bus Rapid Transit lines. The PMP's outline Safety & Security during construction and the role of the Safety Department in these projects.

CDTA has conducted major service changes over the past decade related to county-wide route restructurings, implementation of BRT lines, and other major increases/decreases of service. The Safety Department is a part of the planning process of these service changes to provide necessary feedback (and eventual approval or disapproval) of routing and stops of new bus lines. This early involvement allows concepts that would be determined as unsafe to not progress past the planning process and alternatives created to still meet customer travel needs.

The Safety Department works with the maintenance and I.T department when procuring new vehicles, updating current bus builds, and introducing new programs that can be used to safely operate and manage the vehicle and the routes it is serving.

Continuous Improvement

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

Assessing Safety Performance

The following are processes for assessing safety performance throughout the year annually:

- Monthly monitoring by the CDTA Board of Directors (detail on page 8)
Focused monitoring allows anomalies to become apparent and related safety issues to be addressed.
- CDTA has embarked on a new program identifying Key Performance Indicators (KPIs) which will assist in monitoring nearly all operational activities. The KPIs include Total Accidents, Collisions, Non-Collisions, Preventable Accidents, and Non-Preventable Accidents. The frequency over time of these KPIs will be used to in the evaluation of hazard mitigation measures. Examples of the KPIs include:
 - Collisions: Vehicle operated by CDTA employee striking another vehicle, object, pedestrian, etc.
 - Non-Collisions – Safety Events
 - Preventable Accidents: Incident that occurred due to oversight by employee, i.e., delayed routine maintenance causing malfunction to vehicle.
 - Non-Preventable Accidents.
- Risk Reduction Program
 - A review of accidents, injuries and incidents reported to NTD to reduce hazards, pedestrian incidents and injuries, and assaults on transit workers.
 - A review of the SMS to identify deficiencies and the agencies' performance against safety performance targets set by the Safety Committee, for the safety reduction program, and general targets.
 - Training for de-escalation to assist in the reduction and mitigation of assaults on transit workers.
 - Utilizing the Safety Committee's role in continuous improvement to monitor targets set by the Committee and assess the associated safety risks through the safety risk assessment process using the safety risk mitigation process.

CDTA has a joint labor-management safety committee comprised of labor selected front line employee representatives from Transportation and Maintenance, as well as Management representatives. This committee meets regularly to discuss safety issues and any recent incidents. The committee is focused on improving safety by reducing the number and rates of accidents, injuries, and assaults on transit workers by reviewing items such as visual impairments on bus routes, bus functionality, assault mitigation techniques and training.

Accident Review Board – All accidents are investigated by the Accident Review Board. The ARB is comprised of a representative from the company, from the Union, and from an impartial outside agency, usually a Police Department. The representatives are selected from a pool of members based on availability and which division the employee works in.

The SRM process may result in the implementation of changes to standard operating procedures within facilities or on the road. Changes will be communicated to employees via training and retraining. Significant changes may require immediate retraining of portions of the staff, while other changes will be included in regular employee training schedules (detailed further below).

CDTA also regularly communicates safety incidents and resulting changes to policy or practice via safety bulletins posted visibly in employee areas. These bulletins may contain the results of an investigation following an incident, lessons learned, and other important information. Employees are encouraged to review these bulletins on a regular basis.

The safety risk reduction program will be used to assess associated safety risk, mitigate associated safety risk by using the methods identified within this plan if performance targets set by the Safety Committee are not met.

Additionally, if established annual safety performance targets set by the Safety Committee are not met, the agency will allocate its safety set-aside in the following fiscal year to safety-related projects eligible under 49 U.S.C. 5307 that are reasonably likely to help meet safety performance targets for the safety risk reduction program in the future. All plans will be carried out under the direction of the Account Executive.

Safety Promotion

Competencies and Training

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

Our training comprehensive safety training program includes all operational transit workers, maintenance workers, and transit workers directly responsible for safety.

Maintenance Employees

Completion of a safety training program that includes de-escalating training.

Release from Training.

Acknowledgment Form for Prevention of Harassment in the Workplace.

Acknowledgement of Training Checklist for New Hires.

Omnibus Transportation Testing Act Acknowledgement.

Better Bus Procedures Final Wipe Down Evaluation (**Cleaners Only.**)

Workplace Safety – Annual Training for Preventing Workplace injuries.

CLEANERS AND CLEANER B ONLY: Are issued the below listed materials.

Pre-trip Inspection, Radio Procedures, Service Island Procedures, Lock-Out/Tag-Out Procedures, Hotsy, CDL

At discretion of management HELPER ONLY:

Module 1: Tool Use and Shop Equipment Use and Safety Module 2: Introduction to Mechanics

Module 3: Basic Preventative Maintenance 2nd CLASS ONLY:

Module 1: Tool Use and Shop Equipment Use and Safety Module 2: Basic Electric

Module 3: PMI Procedures and Standards Module 4: Chassis

Module 5: Engine/Transmission Basics Module 6: Diagnostic Equipment Use Module 7: ADA Systems

Module 8: Basic HVAC

Operations Supervisor - Foreman

All employees promoted to the role of Supervisor must go through a safety training program in the following areas before they can be released. Training consists of:

- 1. Role of a Supervisor-Foreman** - Gives an overview of what the expectations are of a Supervisor/Foreman. This introduction is done by the Chief Executive Officer, Director of Transportation, and Director of Maintenance.

<p>2. LEADERSHIP</p> <ul style="list-style-type: none"> ○ Defining Leadership ○ Styles of Leadership ○ Becoming a Leader <p>3. COACHING FOR SUCCESS</p> <ul style="list-style-type: none"> ○ Code of Conduct/ Suspension of Service ○ Coaching Vs. Discipline ○ Effective Coaching ○ CDTA Discipline Process ○ Background of Security at CDTA ○ Security Procedures and Protocols ○ Security Incident Review ○ NIMS-100 Program Review <p>4. WORKPLACE SAFETY</p> <ul style="list-style-type: none"> ○ Background of Workplace Safety at CDTA ○ On the Job Injury Statistics ○ Supervisor Investigation of On-the-Job Accidents ○ Web-Based Reporting/Photos ○ Background of Maintenance Department Activities ○ Discussion of Types and Risks of Bus Defects ○ Troubleshooting High Risk Bus Defects on the Road ○ Effective Management of Road Calls ○ Utilizing Spear to assist in work management. ○ De-Escalation Training ○ Safety Concern Identification and Reporting Training ○ Refresher Training <p>5. QUALITY ASSURANCE</p> <ul style="list-style-type: none"> ○ Review of CDTA Comment Types and Frequency ○ Supervisor's Role in Complaint Investigation ○ Marketing and Customer Service ○ Managing Personnel & Work Assignments ○ Planning & Scheduling Work ○ Performance Oversight ○ Communication & Teamwork ○ Scheduled vs. Unscheduled Work ○ Maintenance & Performance Indicators ○ "Driving" Maintenance ○ Safety & Quality Control <p>6. COMMUNICATION & TEAMWORK</p> <ul style="list-style-type: none"> ○ Styles of Communication ○ Communicating Clearly ○ Teamwork ○ Program Wrap Up <p>7. ACCIDENT/INCIDENT INVESTIGATION</p> <ul style="list-style-type: none"> ○ Accident Investigation ○ Data Collection ○ Accident Claim Tracking ○ Accident Exercise ○ Taking Witness Statements <p>8. DRUG & ALCOHOL POLICY</p> <ul style="list-style-type: none"> ○ Drug and Alcohol Procedures/ Forms ○ Data Collection ○ Reasonable Suspicion

Pedestrian Awareness – Talks about the hazards that pedestrians pose to large vehicles.

Pre-Trip Inspections – Emphasizes the importance of inspecting the bus every day before leaving the property.

Merging – Points out the hazards when changing lanes.

Safety concern identification and report training.

All operations and maintenance personnel are re-trained on safety education aspects of this program bi-annually.

Authority Staff

Through the evaluation process all levels of management are responsible for ensuring that safety is part of each employee's daily work function. Evaluations will be used to ensure compliance with all Authority and Departmental safety and security policies and procedures. An employee meeting expectation must:

- Exhibit a conscientious approach to identify safety compromises in the immediate working environment.
- Take the initiative to alleviate potential and existing hazards affecting self and other employees.
- Promote all applicable safety aspects of the job responsibilities.

Contractors

General Contractor must submit OSHA 10 safety training cards for each person working at the site and keep them up to date as new personnel are added. The Construction Management Consultant will ensure contractors have on site, at all times, at least one person skilled in safety and health procedures and familiar with State and Federal safety and health regulations, whose responsibility it will be to monitor methods and procedures. This person shall be deemed qualified by the Contractor/Subcontractor by virtue of training and experience, will attend the pre- construction meeting and will review and approve all safety plans and procedures the Contractor/Subcontractor will employ in the performance of the work.

All workers on a project will be OSHA trained. The Construction Management Consultant must have a Health & Safety Plan on file in the Field Office and be available to staff. Contractors and sub-contracts will be required to provide OSHA 10 cards and training certification to CDTA. The Construction Management Consultant will review each worker's OSHA-10 card, photocopy and file with project records.

Safety Communication

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

Management's commitment to safety is outlined to all employees by their direct supervisors beginning on the first day of employment. The Safety Committee is intended to facilitate communication on safety-related matters between front line employees, management representatives, and the Chief Safety Officer. The employee reporting process is intended to facilitate the free exchange of information between all levels of the organization. Safety Incentive Awards are presented annually to those employees who meet safety standards established by the company.

The Director of Safety & Training meets with all new operator classes and covers De-escalation Training, Radio Communications Training as it relates to life threatening situations, and Gang Violence Training. The balance of the material is covered by Training and Safety personnel. In addition to the initial training CDTA provides periodic security and emergency training to all employees.

CDTA also regularly communicates safety incidents, including Safety Committee activities, and resulting changes to policy or practice via safety bulletins posted visibly in employee areas. These bulletins may contain the results of an investigation following an incident, lessons learned, and other important information. Employees are encouraged to review these bulletins on a regular basis.

Internal Communications use different tools to communicate with CDTA employees. Methods ranging from e-mails to employee mailings, PowerPoint presentations and internal advertising are some of the ways employees are informed of corporate initiatives. As the company moves forward and explores new ideas and technology, the Communications Department will continue to identify needs and best ways to address them.

COMMUNICATION TOOLS

1. **All User Email**- "All User" email covers all CDTA employees, except Operators and Maintenance employees. This should not be a primary communication tool when the content is focused on the Operations staff.
2. **Internal Campaigns**- Safety Campaigns are used to help promote a culture of safety within the organization. All internal campaigns must be created by the Chief Safety Officer in collaboration with the Director of Corporate Communications and the Marketing Department.
3. **PowerPoint Presentations** – PowerPoint presentations are used for CDTA's Board of Directors, Employee Forums, Training, and other Stakeholder meetings.
4. **Digital Signage** – Safety information can be posted to digital boards located throughout CDTA facilities and fixed route vehicles.

- 5. **Company Newsletter (iRide Express)** – The company newsletter is produced five times a year (once a quarter and a special issue during the holiday season). It is used to communicate company news with employees and retirees. The Chief Safety Officer will work with operations and the Safety Committee to get the content that will be used by the Director of Corporate Communications and Marketing.
- 6. **Everbridge** – The Everbridge system is a mass notification system used to reach a large number of employees at one time regarding accidents, incidents, and some corporate events. The CDTA Transportation Department is the primary user of Everbridge. All content being sent for safety must be approved by the Director of Corporate Communications and sent by the Chief Safety Officer.
- 7. **BLINK** – Employee app dedicated to notifying all staff on safety initiatives. All content being sent for safety must be approved by the Director of Corporate Communications and sent by the Chief Safety Officer.
- 8. **Onboard Signage** – Messages are programmed in the CAD/AVL system that allows for operators to communicate safety messages to the passengers through-out the trip as needed. In addition, safety messages are programmed to make announcements without operator involvement.

List of Acronyms Used in the ASP

Acronym	Word of Phrase
CRTC	Capital Region Transportation Council
CDTA	Capital District Transportation Authority
NYSDOT	New York State Department of Transportation
ARB	Accident Review Board
PTSB	Public Transit Safety Board (New York State)



Memorandum

January 28, 2026

To: Chairman of the Board
Board Members

From: Frank Annicaro, Chief Executive Officer

Subject: CEO Report for January 2026

I'm excited to kick off 2026 alongside our employees and Board members. We have much to look forward to—and important work ahead—as we continue advancing our mission and strengthening service across the Capital Region.

As we begin the year, our focus will be on several key initiatives: completing Phases 3 and 4 of our service realignment; formally adopting our success outcomes; and launching CDTA's refreshed core values. We will also collaborate closely with the Community and Stakeholder Relations Committee to develop a renewed vision statement that reflects our evolving role and future direction. In addition, examples of just a few other initiatives include introducing a new employee recognition program, piloting full bus operator enclosures, and delivering upgrades to employee facilities—investments that strengthen safety, morale, and operational excellence.

I am happy to begin the year with positive performance news. CDTA has achieved a 5% improvement in fixed-route on-time performance (OTP). Savings generated through service realignments have been reinvested directly into running times, demonstrating that our strategic work not only helps balance the budget but also meaningfully improves service quality for our customers and working conditions for our bus operators. STAR will continue to require focused attention as we work to improve OTP and the overall customer experience while also managing increasing ridership levels and escalating purchased transportation costs.

Looking ahead, as we enter the final quarter of our fiscal year, our focus has shifted to state advocacy. We have been engaging elected leaders to highlight the work we do, the progress we've made, and what it will take to sustain our services, including the need for reliable, predictable state funding.

New York Governor Kathy Hochul has released her FY2027 Executive Budget totaling \$260 billion. The Executive Budget proposes a 5.75% increase in State Operating Assistance (STOA) for CDTA. The proposal maintains overall support for transit agencies statewide. It's a good start but falls short of the 15% needed to sustain optimal mobility services in the capital region.

On the capital side, the Executive Budget proposes \$223.5 million in capital appropriations to non-MTA systems, a \$22 million decline from last year. We are working with NYPTA and our regional partners to better understand potential impacts. A signature part of our advocacy is the annual State of CDTA event, where we will highlight our work and the importance of cooperative efforts. A date for this event is forthcoming.

There is promising news at the federal level. The House and Senate Appropriations Committees have released a bipartisan draft of the FY2026 Transportation, Housing, and Urban Development (THUD) Appropriations Act. The draft includes \$21.1 billion for public transit, an increase of more than \$160 million over FY2025, as well as \$3.3 billion for the Capital Investment Grants (CIG) program. This proposal delivers much of the funding transit advocates have been seeking and aligns closely with the public transit and passenger rail investments authorized under the Infrastructure Investment and Jobs Act (IIJA).

From a financial standpoint, CDTA remains in a satisfactory but guarded position as we enter the final quarter of our fiscal year, with a current \$3.7 million surplus. We will continue to closely monitor financial conditions and will keep the board informed of any changes.

Finally, I want to recognize the outstanding efforts of the CDTA team during the winter storm this past weekend. Despite challenging conditions, our employees worked tirelessly to provide safe, reliable, and largely on-time service. While there were a few reroutes, minor delays, and one minor accident, the overall response was exceptional. I extend my sincere thanks to our technicians, bus operators, shelter crews, and operations team who kept the Capital Region moving safely, allowing municipalities to focus on clearing roadways and restoring normal conditions.

December 2025 Performance Summary

Revenue:

- Customer fares are 11.2% under budget for December and 6.1% under budget YTD.
- MRT is over budget 23.6% YTD.
- New York State Operating Assistance is 3.78% under budget YTD due to the variance between our 9% budgeted projection and the actual 4.88% enacted in the final state budget.

Expenses:

- Wages are 5.3% under budget YTD
- Health Benefits are 0.7% under budget YTD
- Purchased Transportation is 5.5% over budget YTD.
- Overall Expenses: 3.23% under budget YTD

Overall, CDTA remains in a satisfactory budget position as we continue to drive efficiency and service rebalancing in alignment with our TDP and in response to the FY2027 budget challenges.

Ridership:

- Total Ridership (December 2025): 1.288M (-10.9% vs. December 2024)
- YTD Ridership: 13.833M (- 1.7% vs. YTD 2024)
- STAR (December 2025): 31,622 riders (+5.4%) vs. December 2024)
- FLEX (December 2025): 8,262 riders (-22%) vs. December 2024)
- NX (December 2025): 6,668 riders (+2.9%) vs December 2024)

Operations:

- Trip Completion Rate: 99.93%
- Accidents: 42 total; 22 preventable
- Scheduled Maintenance Compliance: 77.9%

Preventive Maintenance Inspections (PMI): 99.4% on-time

- MDBSI: 20,543 miles
- Employee Availability: 89.6%

- On-Time Performance:
 - Fixed Route: 73.82%
 - STAR: 66.2% (within 10-minute window)

Customer Experience:

- Customer Comments: 317 total (99 related to STAR)
- Fixed Route Complaints: 204
- Other Complaints: 14
- Website Traffic: 822,162 page views

CEO Activity:

I continued my outreach across the Capital Region, meeting with elected officials, community leaders, and partners to strengthen relationships and explore collaboration opportunities.

December 24, 2025

I volunteered with several CDTA employees for the Morning of Kindness at the Mohawk Hudson Humane Society. We helped the organization load a CDTA trolley with donations and organized them.

January 5, 2026

I met with Assembly Member Angelo Santabarbara as well as elected leaders from Glenville to discuss the town wanting shelters at a few bus stop locations.

January 8, 2026

I, along with several CDTA employees, participated in NYPTA's Transit 101 seminar with Bob Zerillo. It gave everyone a deep understanding of state and federal transit funding of transit systems.

January 15, 2026

I spoke to NYPTA's PTI class along with Board Member David Stackrow. I gave them more insight into CDTA and how the authority operates, as well as the board governance structure and the relationship between the CEO and the Board of Directors.

January 16, 2026

I met with Board Member Jackie McDonough, who introduced me to Rensselaer County Minority Leader Mark Fleming.

January 22, 2026

I testified in front of the New York State Assembly regarding CDTA's bike share program, CDPHP Cycle! and how we safely operate it.

January 23, 2026

I attended and spoke at the City of Albany press conference regarding preparation for the winter storm.

Upcoming Items & Events:

- CDTA will "Glow Red" in partnership with the American Heart Association to raise awareness of cardiovascular disease.
- CDTA will host its annual State of CDTA, bringing together elected officials and key stakeholders. A calendar invitation will be distributed once the date is finalized.

- CDTA will recognize and celebrate our workforce on March 18 in honor of Transit Worker Appreciation Day.