Union County Transportation

Public Transportation Agency Safety Plan (PTASP)

Version 6.0

January 2026

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Section 1. Transit Agency Information

General Information

Union County Transportation
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Address/Phone/Web: <u>1407 Airport Rd, Monroe, NC 28110 ● (704) 292-2511 ●</u>
<u>UnionCountyNC.gov/Transportation</u>
Modes of Service: <u>Demand Response</u>
FTA Funding Sources: <u>FTA Section 5307, 5310, 5311, 5339</u>

Modes of Service Directly Provided:

☐Bus (MB)   ☐Bus Rapid Transit (RB)   ☐Public (PB)

☒Demand Response (DR)   ☐Commuter Bus (CB)   ☐Trolleybus (TB)

☐Demand Response Taxi (DT)   ☐Jitney (JT)   ☐Vanpool (VP)

☒   UCT does not provide transit services on behalf of another transit agency or entity.

☐ UCT provides the below transit modes on behalf of the following transit agency(s) or entity(s).

Transit Agency: _____

☐Bus (MB)   ☐Bus Rapid Transit (RB)   ☐Public (PB)

☐Demand Response (DR)   ☐Commuter Bus (CB)   ☐Trolleybus (TB)

☐Demand Response Taxi (DT)   ☐Jitney (JT)   ☐Vanpool (VP)

Section 2. Plan Development, Approval, and Updates

Name of Entity That Drafted This Plan	Union County Transportation	
Signature by the Accountable Executive	**Signature of Accountable Executive**	**Date of Signature**
	Theresa Torres	12/17/2025
Safety Committee Approval	**Signature of Committee Chair**	**Date of Approval**
	Fred Baber	12/22/2025
Approval by the Board of Directors or an Equivalent Authority	**Name of Entity That Approved This Plan**	**Date of Approval**
	Union County Board of County Commissioners	
	Relevant Documentation	**Location**
	Meeting minutes	
Certification of Compliance	**Entity That Certified This Plan**	**Date of Submission**
	NCDOT	
	Relevant Documentation	
	Email	

Version Number and Updates

Record the complete history of successive versions of this plan.

Version Number	Section/Pages Affected	Reason for Change	Date Issued
2			9/7/2021
3	7, 15, 23,	Update PTASP to include staff & procedure changes	10/17/2022
4	6,7,8,11,15,27,33-37	See pg. 2	11/6/2023
5	6	See pg. 2	11/18/2024
6	All	Updated Requirements	12/17/2025

Annual Review and Update of the Public Transportation Agency Safety Plan

UCT's Public Transportation Agency Safety Plan, also referred to as Agency Safety Plan (ASP), will be reviewed by the Safety Committee. Any changes made to the ASP will need to be approved by the Safety Committee prior to approval by Union County Board of County Commissioners (BoCC).

Along with annual updates, UCT may update the plan if UCT:

- Determines its approach to mitigating safety deficiencies is ineffective.
- Makes significant changes to service delivery.
- Introduces new processes or procedures that may impact safety.
- Changes or re-prioritizes resources available to support Safety Management Systems (SMS) and the Public Transportation Agency Safety Plan (PTASP).
- Changes are made to facilities, equipment, or rolling stock with potential to impact safety.
- Significant changes to UCT's organizational structure.

Upon adoption by the (BoCC), revisions will be communicated to UCT's staff.

Section 3. Safety Performance Targets

Mode of Service	S&S Major Events (Total)	S&S Major Events (Rate)	Collisions (Rate)	Pedestrian Collision (Rate)	Vehicular Collision (Rate)	Fatalities (Total)	Fatality (Rate)	Transit Worker Fatality (Rate)
Fixed Route (MB)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Demand Response/ Paratransit (DR)	6	0.87	0.58	0.14	0.43	0	0.00	0.00

Mode of Service	Injuries (Total)	Injury (Rate)	Transit Worker Injury (Rate)	Physical Assaults on Transit Workers (Total)	Physical Assaults on Transit Workers (Rate)	Non-Physical Assaults on Transit Workers (Total)	Non-Physical Assaults on Transit Workers (Rate)	System Reliability
Fixed Route (MB)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Demand Response/ Paratransit (DR)	12	1.74	0.58	0	0.00	5	0.72	230,000

VSM = Vehicle Service Miles

S&S Major Events: Total number of reportable major safety and security events and rate per total vehicle service miles, by mode. (Event, as defined in NTD's S&S 40 and S&S 50)

Collision Rate: A vehicle accident in which there is an impact of a transit vehicle with: (divided by VSM)

- *Another transit vehicle*
- *A non-transit vehicle*
- *A fixed object*
- *A person(s) (suicide/attempted suicide included)*

- *An animal*
- *A rail vehicle*
- *A vessel*
- *A dock*

Pedestrian Collision Rate: Includes all collisions "with a person" as defined by NTD divided by mode VSM

Vehicular Collison Rate: Includes all collisions "with a motor vehicle" as defined by NTD divided by VSM

Fatalities: Total number of reportable fatalities and rate per total vehicle service miles, by mode

Transit Worker Fatality Rate: Includes all transit worker fatalities as defined by the NTD, including the categories "Transit Employee," "Transit Vehicle Operator," and "Other Transit Staff," divided by VSM

Injuries: Total number of reportable injuries and rate per total vehicle service miles, by mode

Transit Worker Injury Rate: includes all transit worker injuries as defined by the NTD, including the categories "Transit Employee," "Transit Vehicle Operator," and "Other Transit Staff," divided by VSM

Physical Assaults on Transit Workers: includes all physical assaults on transit workers as defined by the NTD

Physical Assaults on Transit Workers Rate: includes all physical assaults on transit workers as defined by the NTD divided by mode VSM

Non-Physical Assaults on Transit Workers: includes all non-physical assaults on transit workers as defined by the NTD

Non-Physical Assaults on Transit Workers Rate: includes all non-physical assaults on transit workers as defined by the NTD divided by mode VSM

System Reliability: Mean (or average) distance between major mechanical failures, by mode, defined as failures that result in the vehicle being unable to complete a scheduled run. To be considered a major mechanical failure, the problem must begin after a revenue vehicle departs from base or a maintenance facility.

Safety Performance Target Coordination		
Describe the coordination with the State and Metropolitan Planning Organization(s) (MPO) in the selection of State and MPO safety performance targets.		
Union County Transportation shares safety performance targets with Charlotte MPO annually as part of our continued coordination of transit data.		
Targets Transmitted to the State	**State Entity Name**	**Date Targets Transmitted**
	North Carolina DOT	Annually on OpStats – last day in August
Targets Transmitted to the Metropolitan Planning Organization(s)	**Metropolitan Planning Organization Name**	**Date Targets Transmitted**
	Charlotte Regional Transportation Planning Organization	Annually in mid-January, starting with FY26. Annually in mid-November for prior FYs. FY25 was transmitted 11/13/25.

Section 4. Safety Management Policy

Safety Management Policy Statement

Union County Transportation (UCT) strives to provide safe, reliable, comfortable, and innovative transportation options to every community member. The Public Transportation Agency Safety Plan (PTASP) has been developed to integrate safety into all UCT system operations. By using the procedures contained in the PTASP, UCT can continue to improve the safety and security of UCT's operations and services.

This PTASP describes the policies, procedures, and requirements to be followed by management, maintenance, and operations personnel to provide a safe environment for UCT employees, customers, and the general public. This program aims to eliminate the human and fiscal cost of avoidable personal injury and vehicle accidents.

Each department has a responsibility under the PTASP. The Director and supervisors shall provide the continuing support necessary to achieve the PTASP objectives. A key to the success of this effort is for employees to be aware that they are accountable for safely performing the requirements of their position. The success of the program also depends on all employees actively identifying potential hazards and making a commitment to the safety of others.

UCT must be aware that decisions and actions often affect the safety of those in other operations. By following the processes described in the PTASP, UCT will continue to improve performance and the system's safety while creating a culture of safety.

UCT's commitment is to:

♦ **Support** the management of safety through the provision of appropriate resources that will result in an organizational culture that fosters safe practices, encourages effective employee safety reporting and communication, and actively manages safety with the same attention to results as the attention to the results of the other management systems of the organization.

♦ **Integrate** the management of safety among the primary responsibilities of all managers and employees, including the development and annual review of this plan in cooperation with the UCT Safety Committee.

♦ **Clearly define** for all staff, managers, and employees alike their accountabilities and responsibilities for the delivery of the organization's safety performance and the performance of UCT's safety management system.

♦ **Establish and operate** hazard identification and analysis and safety risk evaluation activities--including an employee safety reporting program as a fundamental source for safety concerns and hazard identification--to eliminate or mitigate the safety risks of the consequences of hazards resulting from UCT operations or activities to a point which is consistent with an acceptable level of safety performance.

♦ **Ensure** that no action will be taken against any employee who discloses a safety concern through the employee safety reporting program unless disclosure indicates, beyond any reasonable doubt, an illegal act, gross negligence, or a deliberate or willful disregard of regulations or procedures.

♦ **Comply** with, and wherever possible exceed, legislative and regulatory requirements and standards.

♦ **Ensure** that sufficient skilled and trained human resources are available to implement safety management processes.

♦ **Ensure** that all staff are provided with adequate and appropriate safety-related information and training, are competent in safety management matters, and are allocated only tasks commensurate with their skills.

♦ **Establish and measure** safety performance against realistic and data-driven safety performance indicators and safety performance targets.

♦ **Continually improve** safety performance through management processes that ensure that appropriate safety management action is taken and is effective; and

♦ **Ensure** externally supplied systems and services to support operations are delivered, meeting established safety performance standards.

♦ **Build** a culture of safety through development, adoption, and implementation of Safety Management Systems (SMS) and modify this document to improve safety and manage risk.

UCT's Goals for Safety are established as follows:
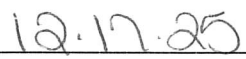
- ◆ In collaboration with Iredell County Area Transit System (ICATS) design, construct, test, and operate a transportation system that achieves an optimum level of safety, exceeding the safety performance of other transit systems of a similar size in the United States.
- ◆ Identify and evaluate, then eliminate or control hazards to employees, customers, and the public.
- ◆ Meet or exceed all government and industry occupational health and safety standards and practices.
- ◆ Maximize the safety of future operations and frontline staff by affecting the design and procurement processes to protect UCT employees.

The objectives of the PTASP are the means to achieving its goals. They also provide a method of evaluating the effectiveness of UCT's safety efforts. The PTASP objectives are:

- ◆ Integrate safety management and hazard control practices within each UCT department.
- ◆ Assign responsibilities for developing, updating, complying with, and enforcing safety policies, procedures, and requirements.
- ◆ Verify compliance with UCT safety policies, procedures, and requirements through performance evaluations, accident/incident trends, Safety Assurance activities, and internal audits.
- ◆ Investigate all accident/incident, near misses, unsafe acts/conditions including identifying and documenting the causes for the purpose of implementing corrective action to prevent a recurrence.
- ◆ Follow a system-wide risk reduction program for transit operations to improve safety by reducing the number and rates of accidents, injuries, and assaults on transit workers and pedestrian collisions.
- ◆ Increase investigation and systematic documentation of near misses.
- ◆ Identify, analyze and resolve safety hazards in a timely manner.
- ◆ Minimize system modifications during the operational phase by establishing and utilizing safety controls at system design and procurement phases.
- ◆ Ensure that system modifications do not create new hazards.
- ◆ Work closely with the UCT Safety Committee to manage and mitigate risk.
- ◆ Train employees and supervisors on the safety components of their job functions to include de-escalation and conflict resolution training for frontline and maintenance employees.

UCT takes these commitments seriously as the lives of UCT riders, employees, and the general public depend on UCT's ability to operate in a culture of safety.

_____
Accountable Executive

_____
Date

Safety Management Policy Communication

UCT realizes the importance of ensuring its employees and riders are aware of UCT safety management policies and procedures to effectively manage the system's day-to-day operations. To do this, UCT relies on several forms of effective communication.

Employees: UCT constantly evaluates existing policies and procedures to verify their effectiveness. To do this, UCT seeks input from all staff to determine if a change is necessary based on trends, data analysis, operational changes, or new assets. Several methods are used to communicate policy and/or procedure changes, including:

- ◆ Employee memorandums
- ◆ Bulletin board notices
- ◆ Employee email notification
- ◆ Departmental meetings
- ◆ Safety Committee meeting minutes
- ◆ Aladtec

UCT includes a training element for safety management policies impacting safety or service delivery, and is conducted before the policy effective date. New policies and procedures are also incorporated into orientation training for new employees.

Depending on the importance of the policy or procedure change, an acknowledgment signature is required of each employee verifying their understanding of the change.

Riders: If a rider policy is changed or added, UCT notifies riders through the following methods:

- ◆ Union County Website
- ◆ Social media
- ◆ Notices on revenue vehicles and public transit facilities
- ◆ Public meetings
- ◆ County Board Meetings

Authorities, Accountabilities, and Responsibilities

As mentioned in the Safety Policy Statement, the ultimate authority for the success of this PTASP falls to the Accountable Executive (AE). The Chief Safety Officer (CSO), the administration and management team, as well as employees fulfilling their commitment to safety on a day-to-day basis support the AE.

Accountable Executive (AE): The Accountable Executive will determine, based on feedback from senior staff, and safety risk mitigation recommended by the Safety Committee, the level of Safety Management System principles to maintain to ensure a safe work environment, rider experience, and community safety. UCT's AE is committed to providing employees with the tools and training needed to be

successful and safe in their roles with UCT. The AE will continually strive to create a culture of safety among the employees, and UCT expects each employee to play a role in maintaining a safe workplace.

UCT's AE is accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's public transportation system. The AE is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS. They may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the AE.

The current AE, Theresa Torres, is also the Transportation Director and has ultimate responsibility for carrying out the Public Transportation Agency Safety Plan; responsibility for carrying out the agency's Transit Asset Management Plan; and control or direction over the human and capital resources needed to develop and maintain both the agency's Public Transportation Agency Safety Plan, in accordance with 49 U.S.C. § 5329(d), and the agency's Transit Asset Management Plan in accordance with 49 U.S.C. § 5326.

Chief Safety Officer (CSO): UCT has concluded one CSO will be sufficient to manage the day-to-day adherence to this Plan and, while in this role, report directly to the AE. As CSO, this individual will monitor safety and security throughout the organization. All departments have been notified of the CSO's role and the established reporting requirements relating to safety-related matters. The CSO has been adequately trained for this role and has the authority and responsibility for day-to-day implementation and operation of UCT's SMS. Along with CSO responsibilities, the CSO is also the Transportation Safety Officer.

UCT's CSO will be responsible for the following:

- ♦ Developing and maintaining SMS documentation.
- ♦ Directing hazard identification and safety risk assessment.
- ♦ Monitoring safety risk mitigation activities.
- ♦ Providing periodic reports on safety performance.
- ♦ Briefing the Accountable Executive and Transportation Advisory Board on SMS implementation progress; and
- ♦ Planning or coordinating safety management training.
- ♦ Interfacing with UCT Safety Committee for meetings, annual PTASP review, and other SMS responsibilities.
- ♦ Monitoring risk identified by AE, County Departments, NCDOT, Peers and FTA.

Safety Committee

The UCT Safety Committee approves the Agency Safety Plan (ASP) and any updates to the ASP. This approval occurs before the agency's BoCC approves the ASP-See Section 2.

The Safety Committee is responsible for, at a minimum: (1) identifying and recommending risk-based mitigations or strategies necessary to reduce the likelihood and severity of consequences identified through the agency's safety risk assessment; (2) identifying mitigations or strategies that may be ineffective, inappropriate, or were not implemented as intended; and (3) identifying safety deficiencies for purposes of continuous improvement.

Safety Performance Measures (SPM) will be developed by the Safety Committee in response to identified hazards and as part of the Risk Reduction Program. The SPM's may support SPT's required as part of UCT's annual National Transit Database (NTD) requirements. The following Safety Committee SPT's are required of all Large Urbanized Area (UZA) providers and are based on a three-year rolling average and won't begin until three years of data has been collected and submitted to NTD.

Safety Performance Measures for the Safety Risk Reduction Program			
1. Major Events	6	5. Injuries	12
2. Major Event Rate	<=1.0	6. Injury Rate	<=2.0
3. Collisions	4	7. Assault on Transit Workers	5
4. Collision Rate	<=1.0	8. Assault on Transit Workers Rate	<=1.0

The Safety Committee may develop additional Safety Performance Measures in the future as risks are identified through the SMS process.

The Committee will meet monthly or as needed and will include a scribe to take minutes and record Committee decisions. Those minutes will be made available to all employees and records kept for a minimum of three years. Copies will be made available for oversight agencies or their agents upon request. A list of Committee members and their positions are located in Appendix 2.

Frontline Committee members will serve a one-year term with elections each year. Frontline members may only serve two consecutive years. The CSO will manage the meetings, assign a scribe, develop the agenda and advertise the meetings. Committee members will receive training once elected and will not receive any additional compensation for committee participation, but operations schedules will be modified as necessary to ensure full participation by all members of the committee.

The Committee may include outside agencies or subject matter experts to assist in their role in the Risk Reduction Program. Those agencies may include consultants, North Carolina DOT or FTA. On occasion an arbiter may be brought in from an outside agency to manage disputes. The arbiter will not be the AE. Information developed by manufacturers, transit associations, and peers may also be included in assisting the committee in their deliberations of safety mitigation actions.

Roll of Staff to Develop and Manage Safety Management Systems (SMS)

Accountable Executive

The Accountable Executive (AE), who also serves as Transportation Director, will work with the Chief Safety Officer (CSO) and administrative staff to adjust the PTASP as needed based on staff feedback, trends, and data analysis. The AE is vested with the primary responsibility for the activities of the transit system and overall safety performance. The AE fulfills these responsibilities by providing the resources necessary to achieve PTASP goals and objectives by exercising the approval authority for system modifications as warranted. The AE also sets the agenda and facilitates the cooperative decision making of the management team.

Chief Safety Officer (CSO)

For purposes of managing the SMS and PTASP, the CSO will report directly to the AE to determine

strategy, policy, and goals for maintaining safety and security for passengers, employees, and the general public. The CSO will monitor day to day operations and work with staff to identify and mitigate risk through evaluation, feedback, and data analysis.

Supervisors/CSO

Supervisors/CSO are responsible for the safety performance of all personnel and equipment under their supervision. They are responsible for the initial investigation of all accidents and incidents, and for reporting these accidents and incidents to the *Transportation Management and other internal county departments as needed*.

Employees

All UCT personnel are responsible for performing their work safely and for following established safety-related rules, procedures, and work practices. This includes reporting all accidents, incidents, and hazards to their Supervisor/CSO per established requirements for the protection of themselves, co-workers, customers, facilities, and equipment.

Key Staff

UCT staff will be responsible for maintaining high standards of safety, customer service, and security. The Employee Safety Reporting Program (ESRP) will define the employees' role to identify and mitigate risk through open communication to superiors including the CSO and AE. Administrative staff will be instrumental in ensuring action is taken to reduce risk and the whole system is continuously monitored to ensure actions are effective and appropriate.

UCT staff will be involved with updates, modifications and implementation of the PTASP. Each staff member brings a valued perspective to the development of policies and procedures he or she will be expected to implement. Every opportunity will be given for employees and riders to provide input to increasing safety at UCT. Those opportunities include quarterly safety meetings, driver board meetings, customer and employee surveys, and an open-door policy with access to all management staff.

Organization Chart
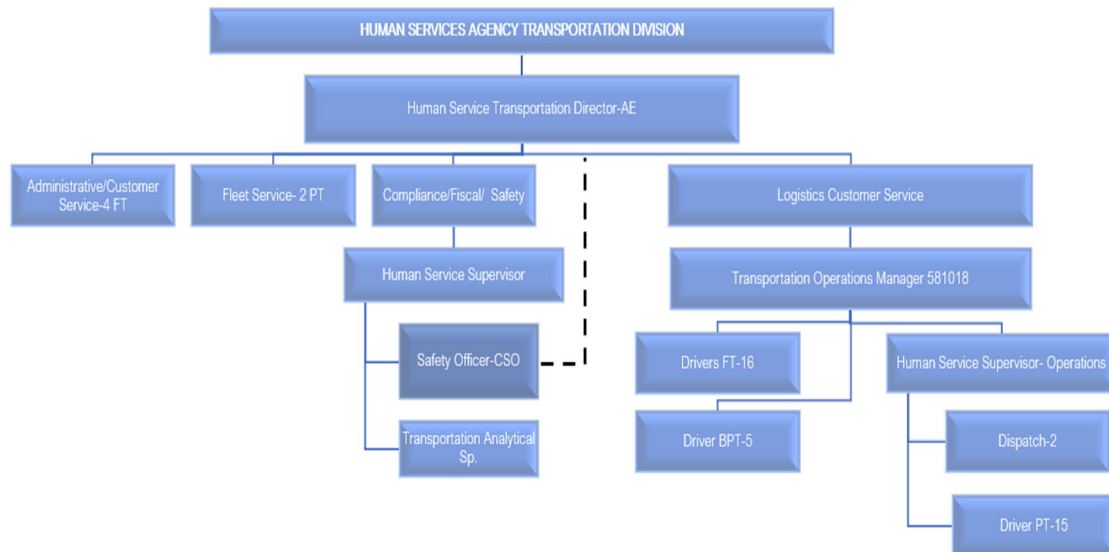
Employee Safety Reporting Program (ESRP)

As stated in the [Safety Management Policy Statement](), UCT is determined to provide a safe working environment for its employees, customers and the general public. To ensure success, UCT has developed an ESRP to enable employees to report any risk or perceived risk to a supervisor, CSO, or member of administration without reprisal unless disclosure indicates participation in illegal activity, gross negligence or deliberate disregard or policies and procedures.

All hazards reported through the Employee Safety Reporting Program go straight to the CSO for review, assessment, investigation, mitigation and follow-up and summary for the Safety Committee. If the hazard directly impacts the working relationship between two or more employees, the CSO will ensure no retaliation or hostile work environment will take place. UCT will ensure that no action will be taken against any employee who discloses a safety concern through the respective Employee Safety Reporting Program unless the employee engaged in the following:

- ♦ Willful participation in illegal activity, such as assault or theft.
- ♦ Gross negligence, such as knowingly utilizing heavy equipment for purposes other than intended such that people or property are put at risk; or
- ♦ Deliberate or willful disregard of regulations or procedures, such as reporting to work under the influence of controlled substances.

The ESRP allows each employee to report detailed information and observations whether they are a driver in service, maintenance staff, or other on-duty employees. The CSO will report any safety risks identified through this process to the Safety Committee as part of the Risk Reduction Program.

UCT's Employee Safety Reporting Program encourages employees who identify safety concerns in their day-to-day duties to report them to senior management in good faith without fear of retribution. Employees should report safety conditions directly to CSO/Supervisor/Manager, or Director.

Examples of information typically reported include:

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

This program dovetails with other methods currently in place to proactively identify hazards or threats. These methods include but are not limited to the following:

- ♦ Pre/Post Trip Inspections
- ♦ Preventive Maintenance Inspections
- ♦ Employee Evaluations
- ♦ Facility Maintenance Plan

- ♦ Service Evaluation and Planning Program
- ♦ Training Program
- ♦ Rider and Public Complaint/Compliment Process
- ♦ Safety and Employee Meetings
- ♦ Incident/Accident Policies
- ♦ Identified hazards by manufacturer vendors, subject matter experts and oversight agencies to include but not limited to NCDOT, FTA, OSHA, and CDC.
- ♦ Safety Committee
- ♦ Safety Assurance Process
- ♦ Hazard Report Form

Hazard Reporting Process

UCT has developed a Hazard Report Form used to identify and provide information about hazards observed by UCT employees while on-duty. The form identifies vital information to assist employees in determining an action to mitigate the threat or hazard. This form is not meant to replace accident forms currently being used but instead used in conjunction with the accident forms. It is a proactive reporting method to identify a perceived threat or hazard, potentially endangering employees, riders or the general public. The form is located in Appendix 1 of this Plan.

Effective July 20, 2020 all UCT employees will receive training on the procedures associated with the Hazard Report Form. The training will cover the following areas:

- ♦ Locations of blank Hazard Report Form
- ♦ When to use a Hazard Report Form
- ♦ Capturing critical information on the form
- ♦ Notification process depending on the hazard
- ♦ Proper assessment of the reported hazard
- ♦ Levels of likelihood of repeat
- ♦ Supervisor and CSO role in completing the form
- ♦ Follow-up process to determine effectiveness of mitigation

The following process is used as part of the ESRP.

Immediate Action Required

If an UCT employee has identified a hazard which is perceived to be a risk to the employee, fellow employees, passengers, or the public the employee must report it immediately to the on-duty Supervisor/Dispatcher/Safety Officer. Once reported, the employee must determine if immediate action is necessary to prevent additional risk. If so, communication to Supervisor/Safety Officer is needed before taking action, if time allows. Once action has been taken to mitigate the potential harm, results of actions are reported to Supervisor/Safety Officer. A report of the event is required as soon as the employee is able to do so and additional mitigations may be implemented.

An example of immediate action or primary mitigation would be setting up hazard barricades around an area of water caused by a pipe leaking. The initial action does not mitigate the hazard, but reduces the risk of someone slipping on the slick surface. Additional mitigation steps would include cleaning up the water, fixing the pipe and repairing any damage from the water leak or repair.

Delayed Action Required

Once a hazard has been identified, the UCT employee should assess if the hazard requires immediate action to reduce the risk of if delayed action can be taken. If the employee determines delayed action is appropriate a full report must be completed using the Hazard Report Form and submitted to the Operations Supervisor/CSO/Manager.

Role of Supervisor/Safety Officer

The on-duty Supervisor/Safety Officer is responsible for advising the employee on immediate action or delayed action to mitigate a hazard. The Supervisor/CSO must then review the Hazard Report Form to ensure all information is included and adding additional information as needed. Once the form is complete it must be reviewed by the CSO to determine action necessary, investigate root cause of hazard and follow-up.

The CSO is responsible for determining the status of each hazard reported. In some cases, hazards may be identified and are not able to be resolved but actions are taken to reduce the risk of the hazard. It is UCT's goal to eliminate all identified hazards if possible. Some hazards may require continuous monitoring to ensure the hazard does not elevate to an action level.

All hazard reports will be documented and integrated into current performance measures and data collection to include Safety Committee safety performance data collection. The CSO will track each hazard to completion and recommend policy or procedural changes if needed as a result of the hazard mitigation.

UCT's Responsibility

UCT takes every hazard report seriously and investigates each one to determine if it's an isolated case, or emerging trend requiring evaluation of policies and procedures or service modifications. Employees reporting hazards will not face disciplinary action unless that employee contributed to the hazard. UCT wants to encourage all employees to report any hazard or threat they observe and help make the UCT system as safe as possible for its employees, riders, and the general public. Employees may report the hazard to their immediate supervisor or go directly to the CSO to submit and discuss their report.

The following process chart illustrates the steps taken as part of the SMS process through the ESRP.

Define the System
- Define the physical and functional characteristics, and evaluate the people, procedures, facilities, equipment, and environment

Identify Hazards
- Identify hazards and undesired events
- Determine the causes of hazards

Assess Hazards
- Determine severity
- Determine probability
- Decide to accept risk or eliminate/control

Resolve Hazards
- Assume risk or
- Implement mitigation actions
  - Eliminate
  - Control

Follow-up
- Monitor for effectiveness
- Determine if different or additional action is needed
- Review data to determine commonalities and trends

Section 5. Safety Risk Management

UCT provides training to all personnel in the identification of hazards and security threats while also providing tools to enable personnel to report these risks. Once the risk has been identified UCT conducts an assessment of the risk to determine the necessary response and response time. The response may include further investigation or monitoring, action(s) to mitigate the hazard or security threat and follow-up assessment to ensure action taken is appropriate and effective.

Risk Reduction Program

The Risk Reduction Program is meant to improve safety performance by reducing the number and rates of safety events, injuries and assaults on transit workers.

UCT has taken steps through its Risk Reduction Program to use the SMS elements described in the ASP to provide additional focus to increase safety by reducing the number and rates of accidents, injuries, and assaults on transit workers based on data submitted to the National Transit Database (NTD) under section 5335 to include:

- A reduction of vehicular and pedestrian accidents involving buses that includes measures to reduce visibility impairments for bus operators that contribute to accidents, including retrofits to buses in revenue service and specifications for future procurements that reduce visibility impairments; and

- The mitigation of assaults on transit workers, including the deployment of assault mitigation infrastructure and technology on buses, including barriers to restrict the unwanted entry of individuals and objects into the workstations of bus operators when a risk analysis performed by the safety committee of the system determines that such barriers or other measures would reduce assaults on transit workers and injuries to transit workers.

Additional Safety Performance Targets have been developed by the Safety Committee and added to the existing systemwide SPT's to include:

1. Major Events (total): Based on safety and security major events as defined by the NTD.
2. Major Event Rate: Based on safety and security major events as defined by the NTD, divided by VSM.
3. Collisions (total): Based on collisions reported to the NTD.
4. Collision Rate: Based on collisions reported to the NTD, divided by VSM.
5. Injuries (total): Based on injuries as defined by the NTD.
6. Injury Rate: Based on injuries as defined by the NTD, divided by VRM.
7. Assaults on Transit Workers (total): Based on assaults on transit workers as defined by the NTD.
8. Rate of Assaults on Transit Workers: Based on assaults on transit workers as defined by the NTD, divided by VSM.

Transit Employee Assaults
Bus Operator Assaults Defined

- Defined as "a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker."

Frontline personnel must interact with passengers and the public on a daily basis. All UCT employees are trained to be professional, respectful, and safe. All frontline employees at UCT are provided training on de-escalation techniques, emergency response, and security awareness as part of the UCT on-boarding and refresher training program. See Section 7

The UCT AE and CSO are constantly reviewing policies, processes, passenger incidents, and safety events to determine if current mitigation strategies are effective at keeping transit employees safe. Additionally, by monitoring safety performance measures, soliciting frontline employee feedback, and conducting route and service evaluations, UCT is able to identify potential trends impacting employee safety and develop mitigation strategies. Those strategies often include information exchange with local authorities.

UCT has or is planning to take the following steps to reduce transit employee assaults:

- Continuous refresher training to include latest trends.
- Police training exercises with public transit vehicle, employees or facility.

- ♦ Discussion and guidance from professionals on triggers and response to mental health issues.
- ♦ Conduct assessments of passenger and pedestrian interaction with the transit system to identify situational risks that may impact the transit systems safety and security.
- ♦ Automated Vehicle Location (AVL) system has been installed on each vehicle to assist dispatch in knowing the exact location of every vehicle.

Pedestrian Safety

Passenger boarding and alighting may be unpredictable in their path to and from the bus. UCT employees are trained to be aware of passenger's location prior to moving the vehicle to ensure no passenger or pedestrian are at risk of being struck. Along with continuous training on pedestrian safety, UCT takes other steps to reduce pedestrian collisions including:

- ♦ Daily pre-trip inspections of each vehicle to include evaluating windshields, side windows, transit doors, sider view mirrors, and backing cameras for condition and cleanliness;
- ♦ Work with proper agency on areas of pedestrian safety concerns that might require additional safety infrastructure like lighting, crosswalks, signalization, bus stop modifications, audible traffic light warnings or other pedestrian safety measures;
- ♦ Documentation and examination of near misses;
- ♦ Discussions with front line personnel on a regular basis (safety meetings, periodic evaluations, ESRP)

The Safety Committee using the SPT's along with 3 years of historic NTD submitted safety data, will be able to make recommendations of technology, physical barrier modifications, or new procurement specifications to reduce the risk of accidents from reduced visibility and operator assaults.

All recommendations from the Safety Committee concerning existing, modified, and new mitigation are considered for inclusion in changes to ASP and associated policies, practices, and training. The Committee will be responsible for addressing safety performance targets not met as part of the Risk Reduction Program and help determine recommended changes for continuous improvement. As mentioned earlier, the Safety Committee will approve the ASP annually prior to the BoCC approval. The committee will share documents, investigations, and decisions.

In addition, UCT will conduct periodic and random reviews of driver safety training programs to ensure proper education is being provided to new and existing operators on the line-of-sight challenges for each vehicle they may operate, and methods of de-escalating and conflict resolution with disruptive passengers. Each review of a safety training program will be documented by the CSO with review results shared with the Safety Committee and training subject matter experts to determine if change is necessary to increase operator safety.

Pedestrian safety events will be investigated for causal factors and like all safety events recorded in a Safety Assessment Index to include mitigation steps impacting infrastructure, training, policy, or modification to the vehicle. The Safety Committee and CSO will monitor all mitigations and performance targets and track them for effectiveness, making changes as needed.

The Risk Reduction Program incorporates other SMS elements like Transit Worker Safety Reporting Program, Safety Risk Assessment, Safety Assurance, and Safety Promotion. Any safety risk mitigation recommended by the Safety Committee unrelated to the safety risk reduction program will be

submitted to the AE for review and decision. If the mitigation is not implemented, the AE will provide a written statement to the Safety Committee or equivalent entity.

If UCT finds the Risk Reduction Program is failing to meet performance targets for the above SPTs the system will allocate 0.75 percent of safety related project funding in the next fiscal year to projects that are reasonably likely to assist in meeting the performance targets.

Safety Hazard Identification:

Hazard and security threats are identified through different methods of monitoring the system. This includes system, employee, and asset assessments conducted daily and on incremental basis. Additionally, UCT communicates with peers across the state, FTA, and NCDOT to identify common hazards impacting multiple systems. UCT conducts the following routine and random evaluations of the system in the following departments:

Personnel
Each UCT employee is evaluated annually to ensure they are performing their job to the expectations of the Agency. As part of their orientation process the employee is provided training and tools to perform their job while not receiving permanent status until completing 1 year of employment (part time employee can be released at will). During the first year period, the employee is evaluated to determine if they are properly prepared to perform their job.

Additional evaluations of the employee are conducted throughout the year through spot-checks of some aspects of their job function. If, through spot-checks or annual evaluations, it is determined the employee's performance does not meet expectations or training standards, remedial training will be provided, and additional evaluations will take place to ensure remedial training was effective.

Assets
Rolling stock, facilities, and equipment are monitored through a vigorous preventive maintenance plan aimed at identifying hazards and deficiencies as part of daily and scheduled inspections. Operations and Maintenance Departments coordinate the preventive maintenance program including daily Inspection reports, incremental, and annual inspections.

UCT updates the FTA required Transit Asset Management (TAM) Plan annually with data relevant to each asset to include a condition assessment, miles (with rolling stock and non-revenue vehicles), and age as to whether the asset is in a State of Good Repair (SGR). The TAM Plan allows UCT management to plan asset replacement or rehabilitation for future years.

System
All front-line staff have been trained to note any changes to service which may be considered a hazard or security threat and through the ESRP, notify their supervisors/Safety Officer immediately or upon return to UCT depending on the severity of the hazard.

Safety Assurance activities will play a vital role in identifying hazards in a proactive manner by monitoring safety trends and performance measure; conducting periodic evaluations of the system, its employees and its assets; and monitoring threats or hazards identified by other transit agencies, NCDOT, FTA or other oversight entities.

Minimizing Exposure to Infectious Diseases

> **Defined**
>
> **According to the Center for Disease Control and Prevention (CDC) National Center for Emerging and Zoonotic Infectious Diseases (NCEZID)** Infectious diseases are illnesses caused by germs (such as bacteria, viruses, and fungi) that enter the body, multiply, and can cause an infection.
>
> - Some infectious diseases are contagious (or communicable), that is, spread from one person to another.
> - Other infectious diseases can be spread by germs carried in air, water, food, or soil. They can also be spread by vectors (like biting insects) or by animals.

UCT makes every effort to minimize risk to employees, passengers, and the community from infectious diseases through proactive monitoring of various information sources and emergency alerts. Once a potential threat has been identified, UCT takes immediate steps to minimize risk by implementing appropriate mitigation strategies outlined by CDC and State of North Carolina Department of Health and Human Services. Those steps may include the following actions:

- Communication of threat to employees and passengers.
- Temporary, long-term, or permanent policy changes.
- Immediate training of all employees in proper mitigation and health precautions.
- Coordination with Union County Public Health Department response and prevention methods.
- Based on threat level, activate staff to implement transit's mission in the Local, County, or Statewide Emergency Management Plan.
- Make necessary risk reducing modifications to assets to possibly include protective barriers, reduction of available seats for social distancing.
- Modify existing asset cleaning procedures as needed and,
- Follow emergency response plan for modified service levels.

Hazard Identification Procedure

Any employee seeing something through inspection or observation they deem to be a hazard are instructed to immediately report that hazard to the immediate Supervisor/Safety Officer regardless of the perceived level of threat. Depending on the situation, either the immediate Supervisor/Safety Officer or the employee will complete a Hazard Report Form and submit it to the CSO.

If the hazard requires immediate mitigation, the employee will be instructed on steps to take to reduce the risk which may or may not alleviate the risk completely. Additional actions may be taken once the immediate risk mitigation has been taken. Some hazards may not pose an immediate risk but are still reported and the CSO will be responsible for risk assessment, investigation, and mitigation strategy.

In some cases, a passenger or member of the general public may call UCT with a complaint about a front-line employee which may rise to the level of hazardous behavior or actions. UCT currently documents all customer complaints/compliments and takes appropriate action to investigate any

complaints. Complaints deemed hazardous will trigger immediate action by on-duty Supervisors/Safety Officer.

Hazard Report Forms are accessible online for UCT Staff, Fleet/Facilities Departments and Security Risk Management. A copy of the form is located in Appendix 1.

The Hazard Report Form will require the employee to briefly describe the hazard noting date, time of day, location, and other pertinent information. The form includes a section for the CSO or immediate supervisor to document immediate action taken to reduce risk, a risk assessment chart prioritizing the risk, and a section for additional follow-up action. All forms will be processed by the CSO and summarized periodically for trend analysis and included in safety performance measures.

> **49 CFR part 673.5**
>
> *Hazard* means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment. Hazards are conditions.

Assault on Transit Worker Identification

Assault on a transit worker, as defined under 49 U.S.C. 5302, means a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.

Physical assault is the assault on a transit worker in which the attack involves physical contact with the transit worker. This could include any physical contact with the victim from a weapon, a projectile, or other item.

Examples of a physical assault include

• A transit rider strikes a station agent with a metal bar.
• A passenger intentionally spits on a bus operator.
• A passenger intentionally shoves a transit worker.

Non-physical assault is the assault on a transit worker in which the attack involves no physical contact with the transit worker which could include verbal threats, intimidation, harassment, or other interference with a transit worker's duties.
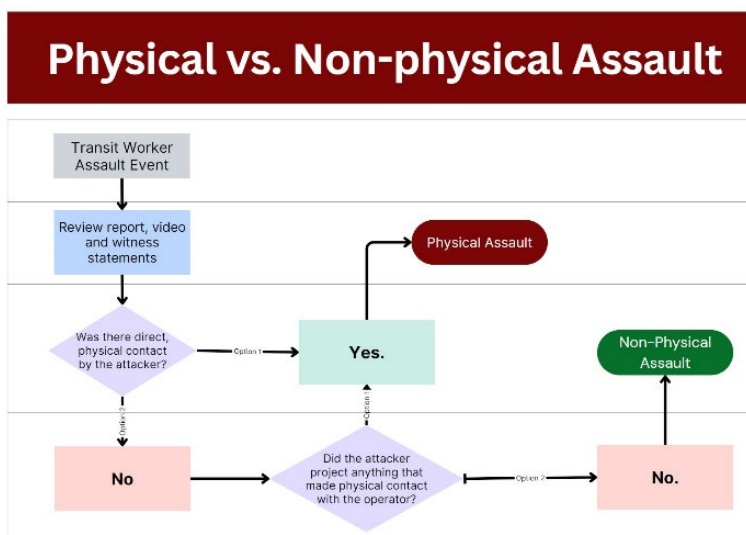
Examples of a non-physical assault include

• A transit rider attempts to strike a supervisor with a metal bar but makes no physical contact.

• A train cleaner accidentally brushes a passenger's foot. The passenger threatens the cleaner with bodily harm. The cleaner is not transported for medical attention.

• A passenger verbally threatens a transit worker.

The assault on transit worker identification process offers UCT the ability to identify assaults and potential consequences in the operation of our system. Assaults can be identified through a variety of sources, including:

- ♦ Employee Safety Reporting Program
- ♦ Comments from drivers, passengers, and third parties
- ♦ Safety committee and staff meetings
- ♦ Assault assessments
- ♦ Incident reports
- ♦ Video surveillance footage
- ♦ Supervisor or employee observation
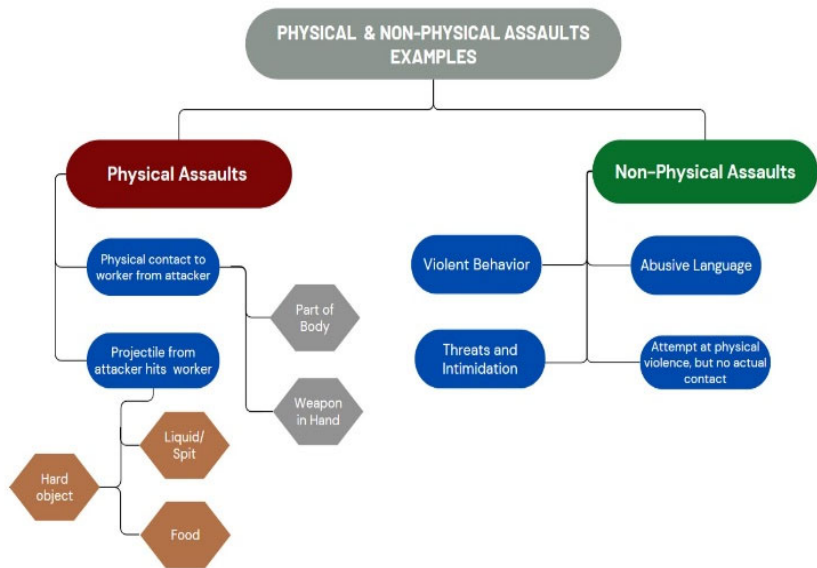
Assault Identification Procedure

When an assault on a transit worker is identified, whatever the source, it is reported to UCT Chief Safety Officer or designee. Procedures for reporting assaults on a transit worker are reviewed during new hire orientation and at the employee safety meetings. The Chief Safety Officer or designee may conduct further analyses of assaults and consequences to collect information and identify additional consequences and to inform which assaults should be prioritized for safety risk assessment. In following up on identified assaults, the Chief Safety Officer or designee may:

- Reach out to the reporting party, if available, to gather all known information about the reported assault
- Conduct interviews with witnesses that were present during the incident to collect potentially relevant information on the reported assault
- Review any documentation associated with the assault (employee incident reports, interview notes, etc.)
- Contact other departments that may have association with or technical knowledge relevant to the reported assault (example law enforcement officers)

- Review any past reported assaults of a similar nature
- Evaluate tasks and/or processes associated with the reported assault to determine potential cause for the assault.

The CSO or designee will prepare an agenda to discuss identified assaults and consequences during the next Safety Committee meeting. Any identified assaults that pose a real and immediate threat to life, property, or the environment must immediately be brought to the attention of the Accountable Executive and addressed through the Safety Risk Management process for safety risk assessment and mitigation. This means the Chief Safety Officer believes immediate intervention is necessary to preserve life or prevent major property destruction. Otherwise, the UCT Safety Committee will prioritize hazards for further Safety Risk Management activity.

Safety Risk Assessment

UCT assesses safety risk associated with identified safety hazards using its safety risk assessment process. This includes an assessment of the likelihood and severity of the consequences of hazards, including existing mitigations, and prioritizing hazards based on safety risk.

All UCT's staff have been provided with training appropriate for their positions within the organization. UCT expects its employees to respond to hazards or threats with professional judgement as sometimes there might not be time to contact a Supervisor/Safety Officer to prevent a safety event. In cases where the hazard can be reported without immediate risk, the employee will make an initial assessment of the risk as part of their report.

Once received by the CSO, the initial risk assessment may be amended requiring immediate, short, or long-term response using the following scale.

Level 1 - Immediate: A deficiency, threat, or hazard requiring immediate attention to mitigate risk either temporarily until further action can be taken or complete mitigation.
Level 2 - Short Term: Action is needed within seven days to mitigate an identified deficiency, threat or hazard. The deficiency, threat or hazard does not pose immediate danger, but if no action is taken, it could elevate to an Immediate level risk.
Level 3 - Long Term: A deficiency, threat, or hazard has been identified and does not pose a threat currently, but could at a later time. Continued monitoring and awareness are required.
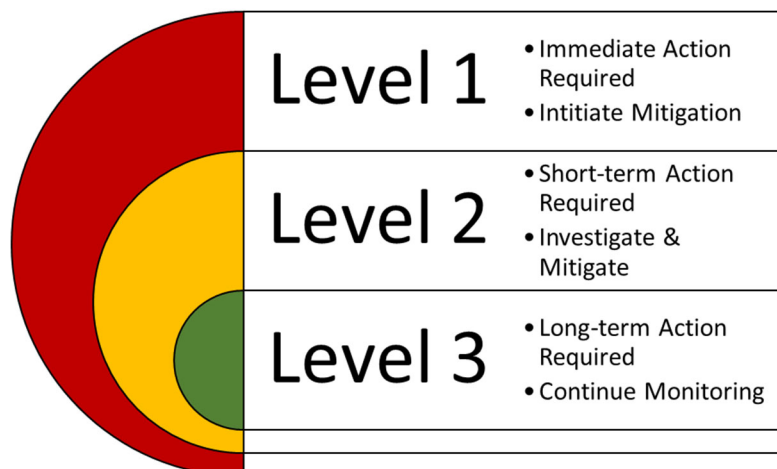
Additionally, the CSO or Supervisor will conduct an additional risk assessment to determine the level and timeline of mitigation response using the Risk Assessment Matrix below. The matrix allows UCT to further define the initial assessment as well as modify mitigation strategies as appropriate. In some cases, complete risk removal may not be achieved but reduced to the point of safe operation with routine monitoring of the risk.

The Risk Assessment Matrix below includes four levels of consequence severity and five levels of likelihood of the risk/hazard repeating. For example, broken glass at a bus stop shelter may be the result of an isolated incident with a "Occasional" chance of repeating, but the consequence of not mitigating the broken glass may have "Critical" level of severity if not mitigated resulting in a "Medium" level of response. Initial mitigation actions might include sending a notice to all passengers through web and social media outlets indicating the stop is closed until further notice; place safety tape around the stop; instruct all drivers on the route of the hazard; remove all remnants of broken glass. Additional actions would be to schedule glass repairs or shelter replacement.

The CSO, in coordination with staff, will investigate each identified hazard, assess the risk, and take appropriate action to mitigate the risk. Additional mitigation may be needed based on follow-up monitoring of the action taken.

Risk Assessment Matrix

Likelihood/ Severity	Catastrophic (1)	Critical (2)	Marginal (3)	Negligible (4)
Frequent (A)	HIGH	HIGH	HIGH	MEDIUM
Probable (B)	HIGH	HIGH	MEDIUM	MEDIUM
Occasional (C)	HIGH	MEDIUM	MEDIUM	LOW
Remote (D)	MEDIUM	MEDIUM	LOW	LOW
Improbable (E)	LOW	LOW	LOW	LOW

Safety Risk Index	Criteria by Index
HIGH	Unacceptable – Action Required: Safety risk must be mitigated or eliminated.
MEDIUM	Undesirable – Management Decision: Executive management must decide whether to accept safety risk with monitoring or require additional action.
LOW	Acceptable with Review: Safety risk is acceptable pending management review.

UCT's Accountable Executive and Chief Safety Officer review current methods of safety risk mitigation and establish methods or procedures to mitigate or eliminate safety risk associated with specific hazards based on recommendations from the Safety Committee.

UCT can reduce safety risk by reducing the likelihood and/or severity of potential consequences of hazards. In response to all identified and assessed hazards, UCT will take steps to mitigate the hazard and reduce or eliminate the risk to employees, customers, and public. Mitigation strategies will be dependent on results of investigation into the elements contributing to the risks. The investigation may include more than one department and may include interviews outside of the transit system with subject matter experts.

Actions to mitigate risk will include all employees, customers, and public who may be impacted by either the hazard or the actions to reduce or alleviate the risk. UCT will communicate actions to appropriate staff through methods appropriate based on risk assessment. In some cases, immediate communication through two-way communications (dispatch system, text burst, email, or web alert) may be necessary. In other cases, bulletin board notices or memorandum posting may be appropriate.

Once a risk mitigation strategy has been implemented UCT Safety Committee will monitor the actions to determine if full mitigation is possible and if not, is additional action necessary to alleviate the risk or is stepped up monitoring necessary. Some risks may not be completely mitigated but awareness to the risk is a top priority.

All actions taken to mitigate risk will be responsibility of the CSO, documented and linked to the initial deficiency, threat, or hazard identification step. Mitigation steps include a comprehensive staff training program for all employees, including frontline, operations support staff, maintenance, and administrative staff that includes onboarding safety training upon hire, continuing safety education and training, and de-escalation training.

Section 6. Safety Assurance

Safety assurance involves the continual monitoring of the transit agency's activities to understand safety performance. Through these efforts, UCT can determine whether it is meeting its safety objectives and safety performance targets, as well as the extent to which it is effectively implementing Safety Management Systems (SMS).

UCT is constantly striving to maintain the highest level of safety through its monitoring methods to include adherence to policies and procedures, safety and maintenance plans, and system and employee evaluation processes. These methods allow UCT to determine the need to make changes to improve policies, employee training and service delivery.

The CSO will monitor operations daily through observation, data analysis, communication and safety updates to identify mitigation strategies that may be ineffective. If mitigation actions are found to be ineffective, additional strategies will be developed through key and impacted staff feedback.

Maintenance

Maintenance Standards and Procedures. Standards and procedures are included in the UCT Vehicle Maintenance Plan. In general, maintenance procedures are designed to ensure that the maintenance recommendations of the manufacturer are met, maximum efficiency in performance and operation is obtained, and maximum bus life and condition are maintained. Daily bus inspections, an active Preventive Maintenance Program, and careful monitoring are included in procedures to ensure the safety of buses and adequacy of the Fleet Maintenance Plan.

In addition, maintenance employees are trained to perform maintenance functions based on industry standards, manufacture guidelines, and safety standards established by Federal, State, and local regulatory agencies. Maintenance services on UCT assets are essential to managing risk and also support an effective transit asset management program.

Operator Inspections. All operators are required to perform a pre-trip and post-trip inspection to ensure that the vehicle is safe and in good operating condition. If any defects are noted by the operator, a service appointment is obtained and, depending on the severity and extent of the defect, the vehicle may be repaired or taken out of service until a repair can be made. In the case of a defect that develops or is noted once a vehicle is in service, the operator is required to communicate the problem to Operations, who will then notify Maintenance.

Mileage-Based Maintenance Inspections. All buses receive preventive maintenance inspections (PM) at designated mileage intervals. Mileages are determined by vehicle and subcomponent manufacturers and real-world experience. A description of the schedule and type of inspection and service performed for each bus series is included in the UCT Maintenance Plan.

Operations

Facility Monitoring
Formal facility inspections of all UCT facilities and grounds are conducted by Union County Security Risk Management Department. The purpose of the inspections is to perform a safety walk through to identify any unsafe or unhealthy conditions which may exist. Each facility is also visually inspected for compliance with OSHA and local fire codes.

Any guests to UCT's administration facility must check in through a secured process requiring check-in and validation of visit purpose. Employees are trained on procedures for visitors in the workplace and facility access is limited through security systems.

Frequency
The Security Risk Management Department handles inspections annually.

Reporting
When deficiencies are noted during inspections, they are documented and reported to the proper contact in the Facilities Department. Additionally, the Director of the department in which the safety hazard is located will be notified if the issue might affect the employees working in that building. Identified deficiencies are also reported to the CSO.

When safety hazards are noted by non-scheduled observation, they must be reported by the observer to a supervisor/CSO. The CSO will complete the Hazard Report Form, evaluate the concern and, when necessary, propose a resolution.

Hazard Resolution

The primary purpose of facility inspections and hazard reporting is to identify conditions that could lead to accidents and losses. In view of this, it is crucial that all departments and employees be involved in the Facility Inspection and the Hazard Identification and Resolution processes. Hazard resolution is related to the severity of the hazard and the probability and severity of a negative consequence of the hazard.

Follow-up

Corrective action for a confirmed hazard that has been identified by any established process is the responsibility of the Facilities Department, Director of the department area in which the hazard exists, or the CSO. This includes arranging for the services of other UCT departments or outside parties, as necessary, to eliminate or control the hazard.

Documentation

Hazards that have been identified, proposed resolutions, and corrective actions are recorded in hard copy by the Safety Committee and maintained by CSO.

All front-line personnel are responsible for monitoring safety and security as part of their respective positions. If a hazard is identified through observation or interaction with customers or the general public, it is reported to the immediate supervisor as well as following UCT's hazard reporting process.

Employee Hazard Reporting Process

Loss Reports

Employees can fill out a Hazard Report Form which is turned into the effected department and the CSO, talk with a supervisor or the Operations Manager. Depending on the severity/risk of the hazard identified, immediate action may be taken, or the input will be brought to the Safety Committee/CSO for discussion. Feedback will be provided to the employee on what action, if any, will be taken. All employees follow the Employee Hazard Reporting.

Route/Operations Safety

Employees can fill out a Hazard Report Form or discuss suggestions for making the system/route safer. UCT encourages employees to be advocates for safety while also suggesting methods of increasing performance. Management has an open-door policy and makes clear the importance of both positive and negative employee feedback.

Safety Events

Accident and Incident Reporting Process

All accidents and loss incidents are to be investigated. UCT's safe driving standards require professional safe performance of all operators. To ensure better than average safety performance, UCT employs the TAPTCO and CTAA PASS guidelines to determine if a collision or onboard incident could have been prevented. All personnel operating any UCT vehicle are held to this standard.

The UCT Procedures Manual includes procedures and responsibilities for accident/incident reporting. The manual establish procedures for accident notification and response.

Most accidents and incidents involving UCT are relatively minor in severity and are investigated by the Safety Officer. Since most accidents involve buses, this section focuses on bus accidents. However, all non-bus accidents and incidents are also investigated.

Notification

Bus Operators are to notify the Operations Supervisor/Safety Officer anytime an UCT vehicle might have been damaged, anytime an UCT vehicle and another vehicle come into contact, or anytime an instance occurs in where a customer may have been injured. An Operations Supervisor/ Safety Officer may be directed to the scene. Police and ambulance will be dispatched, if necessary.

At-Scene Procedures

Bus Operators will adhere to the following procedures defined in the UCT Emergency Response Guide/Emergency Protocol:

- ♦ Assist the injured.
- ♦ If blocking traffic, set out reflective triangles.
- ♦ Do not move the vehicle unless required to do so by an operations supervisor, fire or police order, or impending danger from traffic.
- ♦ Obtain names, addresses, and phone numbers of all witnesses.

Safety Officer/Supervisor is responsible for conducting investigations of accidents and incidents. Depending on the severity and the nature of the event, various mechanisms will be used for preserving transient evidence. These may include digital photography, bus video, interviews, and observations.

Investigation

An attempt is made to complete the investigation of most accidents within a timely manner. The Safety Officer will work with the bus operator to complete a General Liability/Vehicle Incident Report. The report is filed electronically and depending on the severity of the event, it is submitted to the state.

An Employee Injury Form must be completed if an employee suffers an injury or illness as a result of an accident or incident.

Accident Review Process

Accidents and Incidents are classified as Preventable or Non-Preventable.

Preventable accidents are defined as those accidents that could have been reasonably avoided if the operator had followed all defensive driving techniques as established by our operations procedures, policies and training.

After reviewing all related documents and evidence, the investigating CSO/Risk Manager makes an independent determination of whether the accident was preventable.

The CSO investigation may include reviews of accident and injury reports, vehicle condition reports, witness statements, employee interviews, bus videos, physical evidence, training manuals, and accident site visits. Employees who are not in agreement with the determination can appeal directly to the Safety Committee by providing additional evidence and testimony. If the employee is not in agreement with

the appeal results, he or she can make a second and final appeal to the Accountable Executive. The AE may review all relevant information, interview the employee making the appeal, interview Safety Committee members, and confer with any available person or resource he or she considers valuable to his or her deliberation.

Hazard Resolution

The primary purpose of the Accident Investigation process is to determine the cause(s) of accidents so that they may be prevented or mitigated in the future. To this end, it is crucial that all relevant departments be appropriately involved in the process. A serious attempt is made to use lessons learned through the investigatory process to incorporate hazard resolutions into future procedures, designs, construction, modifications, training, and procurements.

Follow-up

Follow-up in the form of corrective actions is the responsibility of the employee's director. The responsibility may be delegated to the employee's manager, supervisor or CSO.

Any disciplinary action will be assessed using Union County's Personnel Resolution. Disciplinary consequences for accidents may include warnings, suspensions, and discharge.

Training will be provided, in most cases, for employees who have been involved in preventable accidents.

Internal Reporting

The CSO is responsible for ensuring that all accident reports are completed and filed with Risk Management. Risk Management may advise on the history of the employee if a pattern of safety events is evident. Internal reporting includes all elements used to monitor the system for safety and security trends that may indicate a need for action to mitigate a trend. To support SMS, performance measures are used to provide summary data relating to safety, maintenance, and operations. Review of the reporting process is part of the annual review of the ASP. This process includes reporting process, reporting forms, data management, and data review.

Documentation

CSO/Risk Manager maintain the accident investigation documentation and it is kept on file for a minimum of three years past the safety event date. Results of investigations are available upon request from the CSO/Risk Manager. Information beneficial from the investigation will be shared with employees through one of the various communication formats mentioned earlier in the Plan. All safety related documentation will be made available to oversight agencies including NCDOT and FTA, upon request through the AE.

Continuous Improvement

UCT manages and evaluates performance annually for all performance measures listed in the following section. Some measures are monitored monthly and/or quarterly to identify safety trends that require immediate action versus those that can be addressed annually. In collaboration with the Safety Committee, UCT identifies deficiencies in the SMS program through comparison of safety performance measures at least annually prior to approval of this ASP.

Evaluating performance measures related to maintenance, operations, and safety is the responsibility of the UCT management team. Additional coordination with area peers, NCDOT and the MPO take place annually as part of the ASP update process. If trends showing increased risk are identified through this process, mitigation response(s) will be developed and implemented under the direction of the AE.

Management of Change

As mentioned earlier as part of the mitigation of risk, any new mitigation strategy introduced as a solution to alleviate or reduce risk will be evaluated by the Safety Committee, CSO, Management team and AE to determine if the solution will include new or additional risk. Additionally, UCT will evaluate the anticipated impact of safety performance with risks associated with mitigation strategies using its risk assessment process.

General Process
The UCT bus system is regularly modified in response to operational experience, the addition of new types of service, and changes in service design and levels. UCT's philosophy is to use appropriate new technologies to benefit the environment and the community it serves. The challenge is to review any proposed modification adequately before it is approved. Any proposed modification should be evaluated to ensure it is compatible with existing systems and does not introduce new hazards to the system or reduce the effectiveness of existing hazard controls.

Equipment modifications may be proposed by any employee of any department that uses the equipment. Changes may also occur from an analysis of reliability performance, historical data, and available improvements in equipment design and components.

Modification Design Review
A review of any modification in equipment design shall be made by the director and managers/Supervisors/CSO of the department responsible for the equipment. The impact on the safety of all designs and specifications should be identified and evaluated before the change is approved. Some of the areas to be considered include but are not limited to:

- Hazardous Materials (handling and use)
- Motor Vehicle Safety
- Human Factor
- Occupational Health and Safety
- Materials Compatibility
- Fire Protection
- Lighting
- Braking systems
- Mirrors
- Warning Devices
- Operator Visual Obstructions

Testing may be performed to evaluate the safety of the proposed modification.

Monitoring

Once a modification is put in place, feedback from the operating department may be solicited to evaluate the performance of the modification. Unsolicited input from the operating department and its employees (end users) is also encouraged.

Documentation

Facilities and Fleet Management is responsible for documenting any facility or vehicle modifications. Documentation may include changing diagrams, schematics, manuals, service bulletins, service intervals, and/or standard operating procedures, etc. Security Risk Management is responsible for updating any Safety Data Sheets (SDS) on the County database based on input from other County departments regarding product manufacturers for materials they have purchased or store at County facilities. The CSO maintains the Safety Data Sheets for materials purchased by UCT, which is also provided to Safety and Risk Management for maintaining the County database.

UCT may look to peers, vendors, oversight agencies, FTA or subject matter experts to help determine the associated risk with a particular change to policy, process or infrastructure.

Performance Measures

Through a series of performance measures relative to operations, maintenance, and safety, UCT can monitor the system's safety by identifying trends and gaps in policies, procedures, training, and monitoring efforts. The following performance measures are on a daily, monthly, quarterly and/or annual basis.

Maintenance

- ♦ **Preventive Maintenance On-time Inspection Percentage** – determines the effectiveness of the maintenance department to ensure all inspections are conducted per manufacturing and UCT mileage intervals.
- ♦ **Vehicles Removed from Revenue Service** – tracks vehicles removed from service due to a mechanical defect developed while in service, requiring immediate service either on-site of failure or once returned to the facility. Mechanical defects are failures that prevent the vehicle from completing a scheduled run. To be considered a mechanical failure, the problem must begin after the run was accepted and the vehicle departed the pullout location.
- ♦ **System Reliability** – (also a Safety Performance Target) – serves as an indicator of maintenance performance based on vehicle service miles between major mechanical breakdowns and monitored annually. Major mechanical defects are failures that prevent the vehicle from completing a scheduled run. To be considered a mechanical failure, the problem must begin after the run was accepted and the vehicle departed the pullout location.

Operations

- ♦ **Customer Complaints Quarterly**– tracks all customer complaints to identify areas of deficiency with vehicle, driver, or other UCT areas. Safety-related complaints are immediately routed to a supervisor on duty or the CSO for investigation, mitigation, and response. Complaints may be a result of phone calls, websites, or UCT public forums.
- ♦ **On-time Performance** – serves as an indicator to issues with time management, environmental factors, scheduling, and vehicle and driver performance.
- ♦ **Surveys** –allows UCT to receive rider feedback about operations, customer service, and vehicle safety.

Safety

- **Fatalities** - total number of reportable fatalities and rate per total vehicle service miles by mode.
- **Transit Worker Fatality Rate** – transit worker reportable fatalities rate per total vehicle service miles by mode.
- **Injuries** - total number of reportable injuries and rate per total vehicle service miles by mode.
- **Transit Worker Injuries** - total number of reportable transit worker injuries and rate per total vehicle service miles by mode.
- **System Reliability** - mean distance between major mechanical failures by mode.
- **Transit Worker Assaults** - total number of reportable assaults on transit employees and rate per total vehicle service miles by mode.
- **Major Events** – total number of major safety events and rate by mode per total vehicle service miles.
- **Collisions Rate** –reportable collisions rate per total vehicle service miles by mode.
- **Pedestrian Collisions Rate** - reportable pedestrian collisions rate per total vehicle service miles by mode.
- **Vehicular Collision Rate -** reportable vehicle collisions rate per total vehicle service miles by mode.

Section 7. Safety Promotion

Competencies and Training

Safety promotion ensures that UCT employees are aware of policies and procedures related to agency operation's safety, and specifically as related to their areas of work. UCT's comprehensive safety training program applies to all UCT employees directly responsible for safety, including:

- Bus vehicle operators
- Dispatchers
- Maintenance technicians
- Managers and supervisors
- Agency Leadership
- Chief Safety Officer
- Accountable Executive

Training has been developed for each designated position throughout the agency, appropriate to the position's safety-related job responsibilities and role in the SMS. This training includes instruction and testing to verify individuals in positions are adequately trained, and refresher training and recertification requirements to ensure employees remain current on the agency's policies and procedures.

Operations safety-related skill training includes the following:

- New hire bus operator classroom and hands-on skill training; Bus operator refresher training.
- De-escalation training for all front-line employees.
- Near miss, unsafe conditions and hazard reporting
- Employee Safety Reporting Program (ESRP)
- Drug and Alcohol Program

- ♦ Bloodborne Pathogen
- ♦ ADA Safety and Sensitivity
- ♦ Classroom and on-the-job training for transit service supervisors at the time of external hire or internal promotion; and
- ♦ Safety Committee Training

Emergency Response Planning and Coordination

Details are contained in Emergency Response/Protocol and COOP Plan.

Safety Communication

UCT conveys all safety information to employees, vendors, visitors, and passengers through various methods depending on the risk assessment process. By using the SMS process, UCT can identify, assess, and mitigate risk. Through this process, communication with employees is essential to the mitigation steps.

Hazard and threat assessments will result in scaled mitigation that may require immediate sharing of the assessment results or periodic updates on hazards with minimal consequences or likelihood of happening. Risk identified through Safety Risk Management, Safety Assurance and Safety Promotion will be communicated with all staff and passengers through various methods.

Communication methods vary depending on threat and condition assessments. High priority communications require immediate notifications and may be tied to weather events, security events, or other situations where immediate alerts are necessary. These alerts may be conveyed using the following methods:

- ♦ Text burst to all or certain employees
- ♦ Two-way radio transmissions with or without 10 codes
- ♦ Tablet notification alert
- ♦ Email notification

Lower priority communications will be conveyed through the following methods:

- • Posted bulletin
- • Email or company memorandum
- • Training element/handout
- • Company meeting announcement

In accordance with UCT's SMP statement, UCT actively encourages the open sharing of information on all safety issues throughout our organization. To ensure effective communication throughout the agency, UCT has established formal processes and approaches, including:

> Dissemination of safety and safety performance information throughout UCT's organization. The communication of safety performance information follows the top-down, agency wide model of the agency's SMS. The CSO is responsible for reporting on the agency's safety performance to the Accountable Executive. These reports may include, but not limited to, performance relative to the agency's safety performance targets, updates related to mitigation monitoring plans, and unusual events.

According to guidance distributed by the CSO, leadership throughout the agency (including senior executives, directors, managers, and supervisors) is responsible for communicating safety performance information with their teams.

The CSO is responsible for using the safety log to develop regular status reports on safety risk mitigations for dissemination to the Safety Committee for discussion.

The CSO also issues reports to the Safety Committee on UCT's safety performance and progress in meeting the safety objectives outlined in the SMP statement throughout the agency.

♦ Communication of information on hazards and safety risk relevant to employees' roles and responsibilities throughout the agency. As part of new-hire training, UCT distributes safety policies and procedures, included in the UCT Procedure Manual and PTASP, to all employees. UCT provides training on these policies and procedures and discusses them during safety talks between supervisors and bus operators. For newly emerging safety issues or safety events at the agency, UCT's CSO issues bulletins or messages to employees that are reinforced by supervisors in group discussions with employees.

♦ The CSO works with UCT's Director, Safety Committee, and management teams (representing all appropriate functions) to define specific, safety-related information that UCT needs to communicate to different employee groups. UCT also uses multiple approaches to communicate pertinent safety information to the TAB, management, and individual employees across all UCT functions, as appropriate.

♦ Explaining actions taken in response to employee reporting. UCT provides targeted communications to inform employees of safety actions taken in response to reports submitted through the ESRP, such as emails, handouts and flyers, safety talks, updates to bulletin boards, and one-on-one discussions between employees and supervisors.

The CSO works to ensure that all SMS and safety communication-related activities take place as scheduled. The CSO also maintains documentation of communication processes and procedures and records of safety communications.

UCT's CSO is responsible for maintaining the Agency's documents, which set forth its PTASP, including those documents related to the implementation of its SMS, and results from SMS processes and activities. The ASP and SMS documents include in whole, or by reference, the programs, policies, and procedures that UCT uses to carry out its ASP. All ASP and SMS documents are maintained for a minimum of three years after they are created.

For reviews, investigations, audits, or other purposes, any ASP or SMS related documents will be made available upon request by FTA, NCDOT, and other Federal and State entities having jurisdiction.

Section 8. Definitions of Terms Used in the Safety Plan

UCT incorporates all of FTA's definitions that are in 49 CFR § 673.5 of the Public Transportation Agency Safety Plan regulation.

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

The transit agency must identify an Accountable Executive. The Accountable Executive is accountable for ensuring that the agency's SMS is effectively implemented throughout the agency's public transportation system. The Accountable Executive is accountable for ensuring action is taken, as necessary, to address substandard performance in the agency's SMS. The Accountable Executive may delegate specific responsibilities, but the ultimate accountability for the transit agency's safety performance cannot be delegated and always rests with the Accountable Executive. (per § 673.23(d)(1)

Assault On a Transit Worker means, as defined under 49 U.S.C. 5302, a circumstance in which an individual knowingly, without lawful authority or permission, and with intent to endanger the safety of any individual, or with a reckless disregard for the safety of human life, interferes with, disables, or incapacitates a transit worker while the transit worker is performing the duties of the transit worker.

CDC means the Centers for Disease Control and Prevention of the United States Department of Health and Human Services.

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

Equivalent Entity means an entity that carries out duties similar to that of a Board of Trustees for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan. (per § 673.5)

Hazard means any real or potential condition that can cause injury, illness, or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment. Hazards are conditions. (per § 673.5)

Investigation means the process of determining the causal and contributing factors of a safety event, or hazard, for the purpose of preventing recurrence and mitigating safety risk. (per § 673.5)

Joint Labor-Management Process means a formal approach to discuss topics affecting transit workers and the public transportation system.

Large urbanized area provider means a recipient or subrecipient of financial assistance under 49 U.S.C. 5307 that serves an urbanized area with a population of 200,000 or more as determined by Census data.

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

Near-miss means a narrowly avoided safety event.

Operator of a Public Transportation System means a provider of public transportation.

Performance Measure means an expression based on a quantifiable indicator of performance or condition that is used to establish targets and to assess progress toward meeting the established targets. (per § 673.5)

Performance Target means a quantifiable level of performance or condition, expressed as a value for the measure, to be achieved within a time period required by the FTA. (per § 673.5)

Potential Consequences means the effect of a hazard. (per § 673.5)

Public transportation means, as defined under 49 U.S.C. 5302, regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and does not include:

- ♦ intercity passenger rail transportation provided by the entity described in 49 U.S.C. chapter 243 (or a successor to such entity);
- ♦ intercity bus service;
- ♦ charter bus service;
- ♦ school bus service;
- ♦ sightseeing service;
- ♦ courtesy shuttle service for patrons of one or more specific establishments; or
- ♦ intra-terminal or intra-facility shuttle services. (per § 673.5)

Public Transportation Agency Safety Plan (or Agency Safety Plan) means the documented comprehensive Agency Safety Plan for a transit agency that is required by 49 U.S.C. 5329 and Part 673. (per § 673.5)

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

Recipient means a State or local governmental authority, or any other operator of a public transportation system, that receives financial assistance under 49 U.S.C. chapter 53.

Roadway means land on which rail transit tracks and support infrastructure have been constructed to support the movement of rail transit vehicles, excluding station platforms.

Safety Assurance means processes within a transit agency's SMS that function to ensure the implementation and effectiveness of safety risk mitigation, and to ensure that the transit agency meets or exceeds its safety objectives through the collection, analysis, and assessment of information. (per § 673.5)

Safety Committee means the formal joint labor-management committee on issues related to safety that is required by 49 U.S.C. 5329 and this part.

Safety Event means an unexpected outcome resulting in injury or death; damage to or loss of the facilities, equipment, rolling stock, or infrastructure of a public transportation system; or damage to the environment.

Safety Management Policy means a transit agency's documented commitment to safety, which defines the transit agency's safety objectives and the accountabilities and responsibilities for the management of safety. (per § 673.5)

Safety Management System (SMS) means the formal, organization-wide approach to managing safety risk and assuring the effectiveness of a transit agency's safety risk mitigation. SMS includes systematic procedures, practices, and policies for managing hazards and safety risks. (per § 673.5)

Safety Management System (SMS) Executive means a CSO or an equivalent. (per § 673.31). The Accountable Executive must designate a CSO or SMS Executive who has the authority and responsibility for day-to-day implementation and operation of an agency's SMS. The CSO or SMS Executive must hold a direct line of reporting to the Accountable Executive. A transit agency may allow the Accountable Executive to also serve as the CSO. (per § 673.23(d)(2))

Safety Performance Target means a performance target related to safety management activities. (per § 673.5)

Safety Promotion means a combination of training and communication of safety information to support SMS as applied to the transit agency's public transportation system. (per § 673.5)

Safety Risk Assessment means the formal activity whereby a transit agency determines Safety Risk Management priorities by establishing the significance or value of its safety risks. (per § 673.5)

Safety Risk means the composite of predicted severity and likelihood of a potential consequence of a hazard.

Safety Risk Management means a process within a transit agency's Agency Safety Plan for identifying hazards and analyzing, assessing, and mitigating the safety risk of their potential consequences. (per § 673.5)

Safety Risk Mitigation means a method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.

Safety Set Aside means the allocation of not less than 0.75 percent of assistance received by a large urbanized area provider under 49 U.S.C. 5307 to safety related projects eligible under 49 U.S.C. 5307.

Small Public Transportation Provider means a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 that has one hundred (100) or fewer vehicles in peak revenue service across all non-rail fixed route modes or in any one non-fixed route mode and does not operate a rail fixed guideway public transportation system.

State Safety Oversight Agency means an agency established by a State that meets the requirements and performs the functions specified by 49 U.S.C. 5329(e) and (k) and the regulations set forth in 49 CFR part 674.

Subrecipient means an entity that receives Federal transit grant funds indirectly through a State or a direct recipient.

Transit Agency means an operator of a public transportation system that is a recipient or subrecipient of Federal financial assistance under 49 U.S.C. 5307 or a rail transit agency.

Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

Transit Worker means any employee, contractor, or volunteer working on behalf of the transit agency.

Urbanized Area means, as defined under 49 U.S.C. 5302, an area encompassing a population of 50,000 or more that has been defined and designated in the most recent decennial census as an "urbanized area" by the Secretary of Commerce.

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

Transit agency means an operator of a public transportation system.

Transit Asset Management Plan means the strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost effective, and reliable public transportation, as required by 49 U.S.C. 5326 and 49 CFR Part 625.

Section 9. Commonly Used Acronyms

Acronym	Word or Phrase
ADA	Americans with Disabilities Act of 1990
AE	Accountable Executive
ASP	Agency Safety Plan (also referred to as a PTASP in Part 673)
BoCC	Board of County Commissioners
CDC	Centers for Disease Control
CFR	Code of Federal Regulations
CRTPO	Charlotte Regional Transportation Planning Organization
CSO	Chief Safety Officer
CT	County Transit
DR	Demand Response
ESRP	Employee Safety Reporting Program
FTA	Federal Transit Administration
IMD	Integrated Mobility Division (NCDOT)
MPO	Metropolitan Planning Organization

NCDOT	North Carolina Department of Transportation
OSHA	Occupational Safety and Health Administration
Part 673	49 CFR Part 673 (Public Transportation Agency Safety Plan)
PM	Preventive Maintenance
PTASP	Public Transportation Agency Safety Plan
SRM	Safety Risk Management
SMS	Safety Management System
SSP	System Safety Plan
TAB	Transportation Advisory Board
TAPTCO	Transit & Paratransit Company
UCT	Union County Transportation
U.S.C.	United States Code
UZA	Large Urbanized Area
VRM	Vehicle Revenue Miles
VSM	Vehicle Service Miles

Section 10. Additional Information

This PTASP was developed from information in other UCT documents, policies and procedures and manuals. Some of the documents are listed below:

- UCT Procedures Manual
- COOP
- Vehicle Maintenance Plan

Appendix 1

Hazard Report Form

Union County Transportation

Instructions: It is the responsibility of all UCT employees to immediately report possible hazards to their supervisor. After the hazard has been reported, either the supervisor or the employee must fill out this form and turn it into the Safety Officer. If a hazard requires immediate attention, please take the necessary steps to reduce the risks before reporting, as long as doing so will not put you in danger. This form could also be used to make suggestions.

Section 1: Hazard Reporting Form

Reporting Employee (type none if you would like to remain anonymous): * (?)

Reporting Date *

Date will be captured on form submission

Reporting Time: *

Time will be captured on form submission

Hazard Date *

Hazard Time *

AM

Type of Hazard: (Check all that apply) *

- ☐ Vehicle
- ☐ Facility
- ☐ Weather Related
- ☐ Security
- ☐ Assault - Physical
- ☐ Other

- ☐ Passenger
- ☐ Employee
- ☐ Road Condition
- ☐ Near Miss
- ☐ Assault - Non-Physical

County Vehicle # (if applicable)

Client Name (if applicable)

Describe the potential incident/hazard/concern: *

Describe actions taken (if any) to mitigate hazard: *

[   ]

Hazard Location *

[   ]

Attachments

Feel free to upload any documentation or pictures you deem necessary.

[Upload]

You may upload up to 5 attachments with a maximum file size of 5 MB each

Initial Assessment of Hazard (check one option only): * (?)

☐

Level 1- Immediate: A deficiency, threat, or hazard requiring immediate attention to mitigate risk either temporarily until further action can be taken or complete mitigation.

☐

Level 2- Short Term: Action is needed within seven days to mitigate an identified deficiency, threat, or hazard. The deficiency, threat, or hazard does not pose immediate danger, but if no action is taken could elevate to an immediate level risk.

☐

Level 3- Long Term: A deficiency, threat or hazard has been identified but does not pose a threat currently, but could at a later time. Continued monitoring and awareness are required.

Likeliness of re-occurrence of this hazard (1-10): * (?)

| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |

[Submit]   [Save as Draft]

Section 2: UCT Supervisor Review

Received By:

[   ]

Signature

_____ Sign _____

Received Date:

[   ]

Received Time:

[   ] [AM]

Notes from Supervisor Receiving the Report (optional):

[   ]

Section 3: Hazard Mitigation

Investigation Completed by:

[   ]

Title: *

[   ]

Date of Investigation: *

[   ]

Time: *

[   ] [AM]

Additional Information:

[   ]

Assessment Classification: *

○ Level 1   ○ Level 2   ○ Level 3

MItigation Action(s) Taken: *

[   ]

Action(s) Designed to:

○ Eliminate   ○ Control

Describe Communication Action(s):

```
[                                                                    ]
[                                                                    ]
[                                                                    ]
```

Follow up:

```
[                                                                    ]
[                                                                    ]
[                                                                    ]
```

Date:

```
[                                                                    ]
```

Is additional action needed:

○ Yes ○ No

Status of Action Taken:

```
[                                                                    ]
[                                                                    ]
[                                                                    ]
```

Additional Action Taken:

```
[                                                                    ]
[                                                                    ]
[                                                                    ]
```

File Upload

[Upload]

Section 4: Hazard Classification

Category of Hazard:

Vehicle:

☐ Exterior
☐ Interior
☐ Lift/Ramp/Securement
☐ Mechanical
☐ Performance
☐ Safety Equipment

Passenger:

☐ Behavior
☐ Medical
☐ Mobility Device
☐ Weapon

Facility:

Employee:

- ☐ Computer/Data
- ☐ Electrical
- ☐ Equipment
- ☐ Fencing/Gate
- ☐ Foundation
- ☐ Hazardous Materials
- ☐ HVAC/Heat
- ☐ Parking
- ☐ Plumbing
- ☐ Roof
- ☐ Safety Equipment
- ☐ Security System

- ☐ Behavior
- ☐ Endangering others
- ☐ Illegal Activity
- ☐ Property Abuse
- ☐ Theft

Safety Review Submittal Date & Time

[   ] 📅

[Submit]

Appendix 2

Safety Committee

Office	Dispatch	Drivers
UCT Director Safety Officer Operations Manager Human Services Supervisor	One Dispatcher	4 Drivers