

**RESOLUTION OF THE TRANSIT COMMISSION OF THE UTAH TRANSIT
AUTHORITY APPROVING AND AUTHORIZING THE 2025 AND 2026 PUBLIC
TRANSIT AGENCY SAFETY PLAN**

CR2026-07-06

July 15, 2026

WHEREAS, the Utah Transit Authority (the “Authority”) is a large public transit district organized under the laws of the State of Utah and created to transact and exercise the powers provided for in the Utah Limited Purpose Local Government Entities-Special Districts Act (UTAH CODE § 17B-1-102, *et seq.*) and the Utah Public Transit District Act (UTAH CODE § 17B-28-801, *et seq.*); and

WHEREAS the Utah Public Transit District Act designates the Utah Transit Authority Transit Commission (“Commission”) as the governing body of the Utah Transit Authority (“Authority”); and

WHEREAS, the Authority operates multiple modes of public transit services; and

WHEREAS, the Federal Transit Administration (“FTA”), pursuant to 49 C.F.R. § 673, requires public transit agencies, like the Authority, to enact a Public Transit Agency Safety Plan (“PTASP”); and

WHEREAS, the FTA regulations require the Authority to develop a comprehensive PTASP to: (i) identify and evaluate safety risks related to the Authority’s transit System; (ii) implement strategies mitigating such risks; (iii) establish a process for annual reviews of the safety plan; (iv) set safety performance targets; (v) assign safety responsibilities; and (v) establish a staff safety training program; and

WHEREAS, the FTA regulations require that the PTASP, and any updates to the PTASP, be approved by the governing body of the agency and executed by a single executive who has ultimate responsibility for implementing the PTASP (the “Accountable Executive”); and

WHEREAS, the FTA regulations require the Authority to establish a Joint Labor-Management Safety Committee (“JLMSC”), composed of representatives of management and labor, to review and approve the PTASP before the governing body of the Authority can approve the plan; and

WHEREAS, the JLMSC of the Authority approved both the 2025 and 2026 PTASP on July 7, 2026; and

WHEREAS, the Commission of the Authority, as the governing body of the agency, wishes to formally approve both the 2025 and 2026 PTASP.

NOW, THEREFORE, BE IT RESOLVED by the Utah Transit Authority Transit Commission:

1. That the Commission hereby adopts and approves the 2025 PTASP in substantially the same form attached as Exhibit A.
2. That the Commission hereby adopts and approves the 2026 PTASP in substantially the same form attached as Exhibit B.
3. That Utah Transit Authority Board of Trustees Resolution R2025-01-01, reauthorizing the 2024 PTASP and Accountable Executive is hereby superseded.
4. That the Commission hereby recognizes the Authority's Executive Director as the Accountable Executive who shall execute and deliver the 2025 and 2026 PTASP on behalf of the Authority.
5. That the Commission hereby recognizes and ratifies to the extent authorized by law any and all actions previously taken by the Authority's management, staff, and counsel to prepare the PTASP.
6. That the corporate seal be attached hereto.

Approved and adopted on this 15th day of July 2026.

Signed by:

2A1A2AD91D73464...
Mike Caldwell, Chair
Utah Transit Authority Transit Commission

ATTEST:

Signed by:

5E456C296DFE451...
Secretary of the Utah Transit Authority

(Corporate Seal)

Approved as to Form:

Signed by:
David M. Wilkins
0F6F046DE4724A2...

Assistant Attorney General
Counsel to the Utah Transit Authority



EXHIBIT A
(2025 Public Transit Agency Safety Plan)

UTAH TRANSIT AUTHORITY

TRANSIT AGENCY SAFETY PLAN (TASP)



January 2025

DOCUMENT ISSUE TABLE		
POSITION	SIGNATURE	DATE
Verifier: Travis King (Director of Safety and Security Officer)		11/XX/2024
Approver: Patrick Preusser (Chief Operating Officer)		11/XX/2024
Authorizer: Jay Fox (Executive Director, Accountable Executive)		11/XX/2024

Revision Date	Description of Revisions	Person Issuing Changes
November 1999	Original SSPP issue which includes the System Security Plan	Steve Cain UTA Risk Manager
January 2001	Annual Update	Ed Buchanan Rail Safety Administrator
January 2002	Annual Update (TRAX Only Removal of Bus info.)	Ed Buchanan Rail Safety Administrator
January 2003	Annual Update (Removal of System Security Plan)	Ed Buchanan Rail Safety Administrator
January 2004	Annual Update	Ed Buchanan Rail Safety Administrator
January 2005	Annual Update	Ed Buchanan Rail Safety Administrator
April 2006	Final Rule 659 changes – New standards from UDOT	Ed Buchanan Rail Safety Administrator
April 2007	Implemented the SSPP requirements for commuter railroads using The Manual for the Development of SSPP for Commuter Railroads 5/15/06	Ed Buchanan Rail Safety Administrator
January 2009	Annual Update	Ronald W. Nickle Rail Safety Administrator
December 2009	Annual Update	Ronald W. Nickle Rail Safety Administrator
April 2010	Annual Update	Ronald W. Nickle Rail Safety Administrator
February 2011	Annual Update	Ronald W. Nickle Rail Safety Administrator
October 2012	Annual Update	Ed Buchanan Safety Department
January 2013	Annual Update	Darin L. Francom Safety Department

Transit Agency Safety Plan

UTA Safety Department

January 1, 2025

January 2014	Annual Update	Darin L. Francom Safety Department
January 2015	Annual Update, Change document to Transit Agency Safety Plan (TASP) format in preparation for the implementation of MAP-21 requirements from 49 USC 5329 (e)	Darin L. Francom Ed Buchanan Safety Department
January 2016	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2017	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2018	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2019	Annual Review and Update	Darin L. Francom Sheldon Shaw Safety Department
January 2020	Annual Review and Update	Darin L. Francom Travis King Safety Department
January 2021	Annual Review and Update	Travis King Tina Bartholomew Safety Department
January 2022	Annual Review and Update	Travis King Safety Department
January 2023	Annual Review and Update	Travis King Kent Muhlestein Safety Department
January 2024	Annual Review and Update	Travis King Safety Department
January 2025	Annual Review and Update 673 updates to safety committees and safety events	Safety Department

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DEFINITIONS AND ACRONYMS

DEFINITIONS

Accident	In accordance with 49 CFR Part 674, an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision involving a rail transit vehicle; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
Accountable Executive	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 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 Asset Management Plan in accordance with 49 U.S.C. 5326
Agency Safety and Security Committee (ASSC)	The Agency Safety and Security Committee is chaired by the Executive Director (ED) and alternately chaired by the Director of Safety and Security. The ASSC includes executives and service unit general managers. The ASSC reviews and approves safety policies, goals, and objectives. The ED, through the CSSC, is the authority for safety certification, system modification, and configuration management. The ASSC committee meets annually to review reports on safety, hazards, audit findings, and other items of concern to the ASSC.
Assault	An act that intentionally endangers or recklessly disregards the safety of a person, that interferes with, disables, or incapacitates a transit worker.
Assault on a transit worker	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.
Chief Safety Officer	An adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities.

Anonymous Close-Call Reporting	A voluntary confidential program allowing employees and contractors to report close calls. The program provides a safe environment for employees and contractors to report unsafe events and conditions.
Case Management System (CMS)	The online database and process that makes up the close call reporting.
Certifiable Items List (CIL)	A UTA-approved list of safety and security certifiable elements and sub-elements.
Corrective Action Plan (CAP)	A plan developed by the rail transit agency that describes the actions the rail transit agency will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions. These plans also refer to actions taken to address deficiencies identified through internal and external audit findings or to prevent reoccurrence of the causal factors identified from accident/incident investigations. The SSOA or the FTA may require UTA to develop and carry out a corrective action plan.
Defect	An instance where equipment or materials are found to be non-conformant with UTA's specifications or requirements.
Derailment	A Safety Event in which one or more wheels of a rail transit vehicle unintentionally leaves the rails.
Direct Recipient	means an entity that receives Federal financial assistance directly from the Federal Transit Administration.
Disabling Damage	Damage to a transit vehicle resulting from a collision and preventing the vehicle from operating under its own power.
Emergency	as defined under 49 U.S.C. 5324, a natural disaster affecting a wide area (such as a flood, hurricane, tidal wave, earthquake, severe storm, or landslide) or a catastrophic failure from any external cause, as a result of which the Governor of a State has declared an emergency and the Secretary has concurred; or the President has declared a major disaster under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170).
Equivalent Entity	means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
Evacuation for Life Safety Reasons	A condition that occurs when persons depart from transit vehicles or facilities for life safety reasons such as fire, smoke or noxious fumes, fuel leak, electrical hazard or other hazard to any person. An evacuation onto the rail right of way (not at a platform) for any reason is presumed to be an evacuation for life safety reasons.

Face Up	When two trains are moving toward each other on the same track due to system or operator error and have the potential to collide.
Front Runner System Safety Plan (FRSSP)	Commuter Rail's structured program with proactive processes and procedures, developed and implemented to identify and mitigate or eliminate hazards and the resulting risks (mirrors TASP). See 49 CFR Part 270.
Hazard	Any real or potential condition that can cause injury, illness, or death; damage to or loss of a system, equipment, or property; or damage to the environment.
Hazard Management	The process of identification and analysis of a hazard to mitigate, control, or accept it.
Incident	An event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency.
Injury	Any harm to persons as a result of a safety event that requires immediate medical attention away from the scene. Does not include harm resulting from a drug overdose, exposure to the elements, illness, natural causes, or occupational safety events occurring in administrative buildings.
National Transit Database (NTD)	An Internet-based system for reporting of major and non-major events administered by the FTA at www.NTDProgram.com
Near-miss	A narrowly avoided safety event.
Occurrence	An event where there is no personal injury, or property damage that causes disruption to rail services. Such events include vandalism/theft.
Passenger	A person who is boarding, on board, or alighting from a transit vehicle for the purpose of travel.
Positive Train Control (PTC)	A system that uses communication-based/processor-based train control technology that is capable of reliably and functionally preventing train-to-train collisions, over-speed derailments, incursions into established work zone limits, and the movement of a train through a main line switch in the wrong position.
Rail Fixed Guideway System (RFGS)	As determined by FTA, any light, heavy, or rapid rail system, monorail, inclined planer, funicular, trolley, or automated guideway not regulated by the FRA, that is included in FTA's calculation of fixed guideway route miles or receives funding under the formula program for urbanized areas.
Rail Transit Controlled Property	A property that is used by the rail transit agency and may be owned, leased, or maintained by the rail transit agency.
Rail Transit Vehicle	The rail transits agency's rolling stock, including, but not limited, to passenger or maintenance vehicles.

Safety Event	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.
Serious Occurrence	A UDOT-defined safety event category that may require a comprehensive investigation.
Revenue Service Operation	Any transit service operation that is available for public use.
Risk	An expression of possible loss over a specified period or number of operational cycles. It may be expressed as the product of hazard severity and probability.
Risk Mitigation	Method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.
Risk-Based Inspection Program	A risk-based inspection program uses qualitative and quantitative data analysis to inform ongoing inspection activities. Risk-based inspection programs are designed to prioritize inspections to address safety concerns and hazards associated with the highest levels of safety risk.
Rule	The regulations, promulgated by the Federal Transit Administration, regarding the state safety oversight of rail fixed guideway systems. The 49 CFR Part 659 Final Rule became effective May 1, 2005.
Safety	Freedom from harm resulting from unintentional acts or circumstances.
Safety Critical	A term applied to any condition, event, operation, process, or item whose proper recognition, control, performance, or tolerance is essential to safe system operation (e.g., safety-critical function, safety-critical path, safety-critical component).
S\\ Or S Drive Or Safety Drive	This is the shared network drive for the safety department, found on the UTA network at \\users\departments\safety department.
Safety Management System	A method of identifying hazards and controlling risks in a work and operational environment that continually monitors these methods for effectiveness.
Serious Injury	Serious injury means, any injury which: 1. Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received. 2. Results in a fracture of any bone (except simple fractures of fingers, toes, or nose). 3. Causes severe hemorrhages, nerve, muscle, or tendon damage. 4. Involves any internal organ. 5. Involves second or third-degree burns, or any burns affecting more than 5 percent of the body surface.

State Safety Oversight Agency (SSOA)	State Safety Oversight Agency (SSOA) means the entity, other than the rail transit agency, designated by the state or several states to implement the safety and security oversight of rail transit agencies. For this document, SSOA refers to the Utah Safety Oversight Program, managed by the Utah Department of Transportation (UDOT).
Substantial Damage (NTD Rail)	For NTD rail reporting means damage to any involved vehicles, facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the rail transit agency and adversely affects the structural strength, performance, or operating characteristics of the asset, such that it requires towing, rescue, on-site maintenance, or immediate removal prior to safe operation.
Substantial Damage (NTD Bus)	For NTD bus reporting means an estimated property damage equal to or exceeding \$25,000.
System Life Cycle	All phases of the system's life including design, research, development, test and evaluation, production, deployment (inventory), operations, support, and disposal.
UDOT Program Procedures and Standards	Program Procedures and Standards means a written document developed and adopted by the oversight agency (UDOT), that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.
System Security Plan (SSP)	A document describing the responsibilities and procedures for the security of a system.
Temporal Separation	Operating conventional freight/passenger and transit rail equipment at distinct periods of the day, and procedures to ensure strict observation of the defined operating windows.
Unintended Train Movement (formerly Runaway Train)	Any instance where a revenue vehicle is moving and is not under the control of a driver (whether or not the operator is physically on the vehicle at the time). This applies regardless of whether the event occurred in revenue service.

ACRONYMS

AC	Activation Committee	NTSB	National Transportation Safety Board
AEG	Accident Evaluation Group	OHA	Operational Hazard Analysis
AP	Activation Plan	PAR	Preventive Action Request
APTA	American Public Transportation Associates	PHA	Preliminary Hazard Analysis
ARC	Accident Review Committee	POC	Point of Contact
ASSC	Agency Safety and Security Committee	PTC	Positive Train Control
BSC	Bus Safety Committee	QA	Quality Assurance
CAP	Corrective Action Plan	QC	Quality Control
CAR	Corrective Action Request	RBI	Risk Based Inspection
CCC	Configuration Control Committee	RFGS	Rail Fixed Guideway System
CFR	Code of Federal Regulations	RGM	Regional General Manager
CIL	Certifiable Items List	RRP	Risk Reduction Program
CR	Commuter Rail	RSC	Rail Safety Committee
CSC	Construction Safety Committee	SDS	Safety Data Sheets
DHS	Department of Homeland Security	SMS	Safety Management System
DSS	Director of Safety & Security	SOP	Standard Operating Procedure
ED	Executive Director (UTA)	SSCVR	Safety and Security Certificate Verification Report
EPP	Emergency Preparedness Plan	SSO	State Safety Oversight
FAST	Fixing America's Surface Transportation	SSP	System Security Plan
FHR	Final Hazard Rating	SSPP	System Safety Program Plan (replaced by TASP)
FRA	Federal Railroad Administration	SSPS	System Safety Program Standard
FRSSP	Front Runner System Safety Program	SSRC	Safety and Security Management Review Committee
FTA	Federal Transportation Administration	SSWG	Safety and Security Working Group
GM	General Manager	TASP	Transit Agency Safety Plan (replaces SSPP)
IHR	Initial Hazard Rating	TOC	Transportation Operations Center
MAP-21	Moving Ahead for Progress in the 21st Century	TSA	Transportation Safety Administration
MOC	Management of Change	TVA	Threat and Vulnerability Assessment
NCR	Non-Conformance Report	UDOT	Utah Department of Transportation
NRC	National Response Center		
NTD	Nation Transit Database		

UOSH	Utah Occupational Safety and Health Administration	UTA	Utah Transit Authority

I SAFETY MANAGEMENT POLICY

The Transit Agency Safety Plan framework starts with the Safety Management Policy. The Safety Management Policy section is UTA's commitment to safety, its objectives, safety goals, the organizational structure established, and plans written to obtain these goals and objectives.

1.1 AUTHORITY AND POLICY STATEMENT

1.1.1 INTRODUCTION

Utah Transit Authority (UTA) is a special transportation district of the state of Utah with its headquarters at 669 West 200 South, Salt Lake City, Utah, 84101. UTA was created on March 2, 1970, by the Utah Legislature. UTA is a multimodal agency comprised of light rail (Trax), commuter rail (Front Runner), bus, and special services.

UTA's mission is to provide integrated mobility solutions to service life's connections, improve public health and enhance quality of life. In accordance with the directives of Moving Ahead for Progress in the 21st Century Act, (MAP-21) and Fixing America's Surface Transportation (FAST) Act, UTA undertook the conversion of the System Safety Program Plan (SSPP) into the Transit Agency Safety Plan (TASP) in 2015. The TASP consists of a series of policies and procedures, which must be undertaken to ensure the safety of our customers, employees, emergency responders, and the general public. Development of the TASP was completed in accordance with Title 49 Code of Federal Regulations (CFR) Chapter 53, Utah Department of Transportation (UDOT) State Safety Oversight (SSO) Program Procedures and Standards; Federal Transportation Administration (FTA) and Federal Railroad Administration (FRA); rules and regulations and Utah Occupational Safety and Health Administration (Utah OSHA). The TASP is the system-wide governing safety document for all transit modes operated by UTA.

1.1.2 AUTHORITY

FTA regulates by granting authority to develop state safety oversight programs, as defined by 49 CFR 674 - In 2017 UDOT became certified under Part 674.

The FTA recognizes UDOT as the state safety oversight agency for Utah. UDOT SSO is FTA's appointed safety oversight agency, working cooperatively to regulate UTA's light rail transit (TRAX/Streetcar), by ensuring compliance with state and federal requirements, regulations, and guidance, as applicable.

The FTA functions as both an administrator of funds for capital projects and as a federal regulator as defined by 49 CFR 659, 670 and 673. The FTA conducts regular audits of the state safety oversight agency (UDOT-SSOA), to determine the SSO's and UTA's compliance to the FTA's general requirements. UTA's light rail service TRAX/Streetcar is regulated by the FRA, FTA, and UDOT SSO agencies. Portions of TRAX right-of-way are shared with freight operations. Limited-freight operations are achieved with freight railroads through a temporal separation agreement and, and as such come under FRA jurisdiction oversight.

UTA's commuter rail service (Front Runner) is regulated by the FRA, and is not regulated by the UDOT-SSO.

1.1.3 POLICY STATEMENT





669 West 200 South
Salt Lake City, UT 84101

1.1.3 Policy Statement

To: All UTA Employees

Utah Transit Authority (UTA) is committed to promoting a positive safety culture and creating a workplace that is safe, healthy and injury free. Our employees are our most valuable asset, and the safety and health of each employee is our first priority. This policy applies to all personnel and every aspect of the company's activities. Having a positive safety culture must include ownership by each employee, willingness to identify and correct safety deficiencies, and effective communication.

UTA utilizes a Safety Management System (SMS) to prevent accidents, reduce risk of injury, and minimize damage to property and equipment. We work proactively towards identifying and reducing the existence of hazards and risks in the workplace and in our system. As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. The SMS Program is managed under my authority by the Director of Safety and Security.

UTA management will take steps to prevent workplace incidents, injuries and illnesses and will provide support of safety program initiatives. They will utilize the employee reporting program to achieving a safer, healthier workplace; keep informed about workplace safety and health hazards; and regularly review the company safety and health program. Management will work jointly with Union Leadership to address safety concerns and mitigations.

UTA supervisors are responsible for supervising and training workers in safe work practices. They are expected to enforce company safety rules and work to eliminate hazardous conditions. Supervisors will lead safety efforts by example.

All UTA employees are expected and encouraged to participate in safety and health program activities which includes reporting hazards, reporting unsafe work practices, reporting near misses and accidents immediately to their supervisor or a safety committee representative. All employees will wear required personal protective equipment (PPE) and participate in and support safety activities. Employees will serve as Safety Ambassadors by working safely, complying with requirements and serving as an example to others.

Disciplinary action will not be taken against an employee who acts to prevent an injury or who reports any incident, close call or hazard. All employees are required to abide by the standards and procedures set forth in UTA policies. Elements such as illegal activity, negligence, acts of willful misconduct, or undue care and attention shall be considered outside the scope of this policy.

Jay Fox
Executive Director
Utah Transit Authority

Travis King
Director of Safety and Security
Utah Transit Authority

1-888-RIDE-UTA www.ridexto.com

1.1.4 EXECUTIVE SIGNATURES

Following general requirements and guidelines from 49 CFR 674, in compliance with the Fixing America's Surface Transportation (FAST) Act and to meet the FTA State Safety Oversight Standard, the Utah Transit Authority has developed a combined bus and rail Transit Agency Safety Plan (TASP) as our governing system safety plan.

As UTA Executives and Senior Leaders, we have reviewed and endorse the UTA Transit Agency Safety Plan. We also understand that we have the authority and responsibility for day-to-day implementation and operation of UTA's Safety Management System (SMS).

_____ Jay Fox Executive Director	_____ Date	_____ Kim Shanklin Chief of Staff Executive Director	_____ Date
_____ Viola Miller Chief Financial Officer	_____ Date	_____ Camille Glenn Regional GM Mt. Ogden BU	_____ Date
_____ Nichol Bourdeaux Chief Planning & Engagement Officer	_____ Date	_____ Mary DeLaMare-Schaefer Regional GM Timpanogos BU	_____ Date
_____ Ann Green-Barton Chief People Officer	_____ Date	_____ Ryan Taylor Special Services GM	_____ Date
_____ Alisha Garrett Chief Enterprise Strategy Officer	_____ Date	_____ Jaron Robertson Light Rail General Manager	_____ Date
_____ David Hancock Chief Capital Services Officer	_____ Date	_____ Zachary Thomas Commuter Rail General Manager	_____ Date
_____ David M. Wilkins Assistant Attorney General Counsel	_____ Date	_____ Kevin Anderson Director of Maintenance Support	_____ Date
_____ Patrick Preusser Chief Operating Officer	_____ Date	_____ Bryan Sawyer Director of Fleet Engineering	_____ Date

1.2 GOALS AND OBJECTIVES

The Transit Agency Safety Plan (TASP) establishes formal structure and processes to be used by UTA to identify, assess, track, control, minimize, and resolve hazards associated with UTA bus and rail systems. The TASP will be used as a means of preventing injuries, incidents, accidents, system disruption, environmental damage, and other losses. It demonstrates UTA's commitment to safety and compliance through loss prevention programs. The plan is consistent with federal, state, and local regulations, and it sets forth procedures to comply with standards and conditions of industry, 49 CFR Part 659, UDOT's SSO Program Standards, and applicable FRA rules and regulations applicable to TRAX and FrontRunner as contained in 49 CFR. The safety performance targets are set by the JLMSC and used for the safety risk reduction program.

The TASP applies to the planning, design, procurement, construction, activation, operations, and maintenance services of the bus and rail system. The TASP is approved by and implemented under the direction of the Agency Safety & Security Committee (ASSC) and the JLMSC. UTA embraces and participates with the Utah Department of Transportation in achieving the statewide goal of the "Zero Fatalities" program. "This is a goal that everyone can live with".

UTA's annual safety objectives and targets are:

- A. Avoidable accident rate per 100,000 miles:
 - a. Bus less than 1.0
- B. FRA Reportable accident rate per 100,000 miles:
 - a. FrontRunner less than 0.5
- C. Safety Performance Measure: Injuries per 100,000 miles:
 - a. Light Rail less than 0.31 based a 10% reduction of the last 3-year NTD reportable data
 - b. Bus less than 0.01 based on a 10% reduction of the last 3-year NTD reportable data
- D. Safety Performance Measure: Fatalities per 100,000 miles. UTA's goal is zero fatalities:
 - a. Light Rail 0.0
 - b. Bus 0.0
 - c. FrontRunner 0.0
- E. Safety Performance Measure: Safety events per 100,000 miles:
 - a. Light Rail less than 3.1 based a 10% reduction of the last 3-year NTD reportable data
 - b. Bus less than 0.17 based a 10% reduction of the last 3-year NTD reportable data
- F. Safety Performance Measure: System Reliability. Mean distance between major mechanical failures:
 - a. Light Rail greater than 7,000 miles
 - b. FrontRunner greater than 14,000
 - c. Bus Fixed + Route Deviation greater than 18,000 miles
 - d. Paratransit greater than 23,000 miles
- G. Total monthly employee industrial injuries less than .51 per 100 employees
 - a. 10% reduction of OSHA reportable injuries
- H. Eliminate or mitigate Serious and High Hazards

1.2.1 GOALS AND MANAGEMENT RESPONSIBILITIES

The goal of UTA's TASP is to utilize and achieve the highest practical level of safety in order to protect passengers, employees, emergency responders, contractors, invitees, and property. At a minimum, the TASP ensures the following processes are incorporated into UTA's system safety programs, plans, processes, and practices to achieve its goals to:

- a. Define the physical, functional, and operational characteristics of its transit system with its potential impact on people, equipment, infrastructure, facilities, and its operating environment.
- b. Identify hazards or undesired events by examining historical data, causes, and contributing factors.
- c. Provide a level of safety that is consistent with transit bus and rail standards.
- d. Assess risks by balancing the potential frequency of a hazard occurring against the severity of the event and quantify the event into acceptable or unacceptable categories.
- e. Eliminate, mitigate, or control unacceptable or undesirable hazards to acceptable levels.
- f. Monitor hazard resolution effectiveness and determine if there are unexpected hazards.
- g. Comply with federal, state, and local rules and regulations.
- h. Determine if UTA's goals and objectives were achieved.
- i. Continually improve and evaluate system safety design.

The ASSC is responsible for the development of goals for the TASP. The Safety and Security Director is responsible for reporting directly to the ASSC on compliance with the TASP. The TASP's intent is to:

- a. Establish a clearly defined safety structure with lines of authority and responsibility to implement the program, processes, and policies that integrate safety into all aspects of UTA functions.
- b. Provide means of measuring and achieving UTA safety goals and initiatives, and compliance with rules and regulations.
- c. Provide a comprehensive hazard management program to effectively identify and resolve issues.
- d. Set procedures for review, approval, and documentation of modifications to existing systems, vehicles, facilities, and equipment.
- e. Set processes to address safety issues for activation of new systems and modifications to existing systems, facilities, and vehicles prior to initiation of service.
- f. Establish standards for emergency preparedness and management.
- g. Set procedures for conducting continual internal audits, and inspections to evaluate TASP compliance.
- h. Set procedures for ensuring compliance with safety rules and regulations that impact operations or maintenance.
- i. Set procedures for conducting an ongoing maintenance inspection program of vehicles, equipment, facilities, and maintenance cycles, with documentation and the integration of identified safety concerns into the hazard management process.
- j. Set safety training standards for employees and contractors.
- k. Establish a configuration management control process for modifications during operations.
- l. Establish standards for and compliance with the hazardous materials program.
- m. Establish standards for and compliance with the drug and alcohol program.
- n. Establish standards for and compliance with procurement processes.

1.2.2 CORPORATE SAFETY POLICIES

Guided by the principles contained in this TASP, the Director of Safety and Security, under the direction of, and as approved by the ASSC, has developed specific corporate safety and loss control policies. These policies set the framework for guiding the safety program. All UTA corporate safety policies including UTA's TASP are available on the UTA intranet. UTA employees are notified via company email on an annual basis of the newly revised TASP along with its location within UTA's Intranet.

1.2.3 INTEGRATING SAFETY INTO ALL ASPECTS OF UTA

The objective of safety at UTA is the continual improvement of our processes and operations to maximize safety to the highest practicable level. This effort is undertaken by providing continual opportunities for employees to be reminded of safety, incorporate safe practices into their operations, and multiple means for each employee to identify potential hazards.

We accomplish this through safety first messages at UTA meetings, safety committee meetings, weekly Safety messages, monthly safety posters, identification and mitigation of hazards, proactive reviews, and inspections to identify potential hazards.

Within the different departments, multiple means of incorporating safety are presented. As examples:

- a. Safety is part of the Planning Department's "Next Tier" planning meetings to plan for safety in new projects at the earliest opportunity.
- b. Safety participates in the Transit Oriented Development (TOD) meetings to identify and raise safety concerns.
- c. In new construction projects – safety is considered in the Construction Safety Committee (CDC), Design and Construction Meeting, Safety and Security Working Group (SSWG), and Activation Committee (AC) meetings.
- d. Safety has representation in the Technology Advisory Group in the selection and implementation of new technology programs.
- e. Safety works with public relations for signs, vehicle wraps, handouts, wristbands, billboards, commercials, and social media efforts to maximize the safety message to the community.
- f. Safety is fully incorporated into training in service units, conducts Roadway Worker Protection, Safety Management System (SMS), Security/Incident Command Structure training, and presents multiple updates at Manager, Corporate Staff, and Executive Team meetings.

1.3 OVERVIEW OF MANAGEMENT STRUCTURE

1.3.1 UTA BOARD OF TRUSTEES AND EXECUTIVE STAFF

UTA was incorporated on March 2, 1970, under the authority of the Utah Public Transit District Act of 1969 for the purpose of providing a public mass transportation system for Utah communities.

The governance structure of UTA includes a 3-member full-time board of trustees, which is the legislative body for UTA and determines all questions of policy. UTA's board of trustees appoints the Executive Director (ED), who is the Accountable Executive for safety and asset management. Under 2018 legislation, the board hires, sets the salaries, and develops performance targets and evaluations for the Executive Director, Internal Auditor, Chief People Officer, Chief Capital Services Officer, Chief Operating Officer, Chief Financial Officer, the Chief of Planning and Engagement, and the Chief of Enterprise Strategy. The Executive Director is charged with certain responsibilities, some of which require coordination with, or providing advice to, the board of trustees. Legal counsel is provided by the Utah Attorney General's Office.

The ED has full charge of the acquisition, construction, maintenance, and operations of the system and facilities of UTA, and of the administration of UTA business affairs. The ED supervises the executive staff of chief department officers. Included in these officers, the Chief Operating Officer who is responsible for bus, rail, special services, operations, maintenance, fleet engineering, and police — representing about 80% of UTA's workforce. The Safety and Security Director has responsibility for corporate safety. The safety department reports quarterly to the ED and executive staff during meetings of the Agency Safety & Security Committee (ASSC).

1.3.2 MANAGEMENT — KEY ROLE IN SAFETY

UTA's safety program is incorporated into every aspect of transit service by rail and bus service managers. Safe operations of bus and rail units are the responsibility of the Chief Operating Officer and regional general manager (RGM) and/or Director. Each service unit has an appointed RGM, who along with managers and supervisors are responsible for implementing policies and procedures for safe operations. The Regional General Managers or Directors are responsible for the hazard process within their area of responsibility, they have charged their management teams to effectively manage safety, and to develop safety programs, plans, procedures, training, policies, and rules to govern safety; and to fully comply with the TASP. Bus and rail maintenance facilities are staffed with a manager of maintenance responsible for the safe operation of the facility and are supported by shift supervisors and maintenance workers during their performing maintenance, servicing, and inspection.

Supervisors' responsibilities place them at the forefront of UTA's rail and bus services safety efforts. A significant portion of their duty is to serve as frontline safety officers; monitoring, ensuring, and emphasizing safety performance, rules compliance, and promoting a strong safety climate. All employees are charged with adhering to safety, but supervisors are UTA's key to improved safety-related behavior and positive safety outcomes. Supervisors have the responsibility to monitor the safety compliance of their employees and ascertain that employees understand their job functions and the safety requirements of that job.

UTA safety compliance is managed at the lowest levels. Each employee is trained in safety and job duties and given responsibility for their own safety and the safety with whom he/she works. All employees have the

authority to halt an operation if it is deemed to be unsafe. UTA's system safety processes emphasize open and fair dialog between leaders and subordinates to increase the commitment to safety at all levels.

In an oversight role, Safety Administrators report to the Safety and Security Director. Safety Administrators have a role in executing the functions necessary to ensure safety, including the following:

- a. Coordinate safety activities of the agency.
- b. Compile safety data and perform analysis to identify and assess operational risk.
- c. Assist in the investigation of accidents and incidents as appropriate.
- d. Review maintenance records to identify safety problems related to maintenance activities.
- e. Evaluate hazard resolutions proposed by departments.
- f. Perform analysis to identify and resolve hazards.
- g. Evaluate proposed system modifications from a safety perspective.
- h. Conduct safety audits, reviews, and inspections.
- i. Provide oversight for safety training content and delivery.
- j. Provide safety support such as field and laboratory testing.

The Safety Department will conduct regularly scheduled internal safety audits to evaluate compliance and conformance with UTA's TASP, UDOT-SSO Program Standards; and 49 CFR 673. Safety Administrators serve as alternates to each other. Safety Administrators work closely with management and employees, through various processes and committees, and have the authority to determine compliance. When warranted, Safety Administrators may issue corrective action plans (CAP), non-conformance reports (NCR), corrective action requests (CAR), and preventive action requests (PAR) as part of the Environmental, Quality, and Safety programs. UTA is certified under the Safety Management System (SMS). Safety Administrators are the designated contacts to regulatory agencies and serve as alternate contacts to the UDOT-SSO oversight agency, Transportation Safety Administration (TSA), and Division of Homeland Security (DHS).

1.3.3 MANAGEMENT – TRANSIT AGENCY SAFETY PLAN (TASP)

UTA's Executive Director, having authorized and endorsed the program and resulting plans, processes, and procedures, has delegated the responsibility to update and implement UTA's Transit Agency Safety Plan (TASP) to the Safety and Security Director. The Safety Department is responsible for overseeing the writing and development of the TASP, and to conduct annual updates and revisions, and disseminating the TASP document in accordance with UDOT SSO Program Standards, and 49 CFR 673, General Requirements.

The TASP is reviewed with and distributed to the ED, chief officers, regional general managers and/or Directors who comprise the Agency Safety & Security Committee (ASSC). The TASP is also distributed to members of the other safety committees (see Chapter 5) and reviewed with new employees. In addition to the above distribution list, the TASP is distributed to all employees of the Authority via email. The TASP is also made available to all UTA employees on the company intranet at "<https://rideuta.sharepoint.com/sites/Safety>". UTA employees will be notified via company email of the newly updated TASP on an annual basis. Old versions of the TASP will be removed and replaced with the latest approved TASP as they are made available. This process will be initiated and supervised under the direction of the Safety Manager.

The S:\ Drive on UTA's network is used for the purpose of storing and tracking past and current safety-sensitive information and documents; including the TASP, incident and accident reports, corrective action plans, hazard logs, inspections, audits, etc. The S:\ drive is a secured drive and only accessible to the safety department,

designated personnel, and the UDOT SSO Manager. Current Data and reports are maintained and kept by the safety department and can be reviewed by the UDOT SSO Manager at any time.

1.3.4 LIGHT RAIL SERVICE

UTA’s TRAX light rail and S-Line streetcar services are managed by the General Manager of Light Rail. TRAX service began operations on December 4, 1999, and serves Salt Lake County, with an annual ridership of 19,500,000 passengers. TRAX operates 51 stations over 93.11 miles of revenue track (58.97 tangent and 34.14 curved), with 19.72 miles of sidings and yard track. This starts with the North-South line, from Sandy to Salt Lake City. TRAX service includes the Red Line which extends from Daybreak to the University of Utah Medical Center. The Green Line starts at the West Valley City Hall and runs to the Salt Lake City International Airport. The Blue line runs from Draper City in the south (12300 South) to the Salt Lake Central Station at 500 West 300 South. The S-Line Streetcar line runs from the TRAX Central Point Station at 2250 South to Fairmont Station at McClelland St. (Approximately 11th East).

Rail maintenance facilities for light rail vehicles are located at Midvale (613 West 6960 South) and Jordan River (2264 South 900 West). Portions of TRAX are under the Federal Railroad Administration's (FRA) regulation. These segments are from 1250 South to 6100 South on the North-South line and from 6400 South to 5600 West on the Mid-Jordan line. Passenger TRAX operations are temporally separated from freight operations. TRAX operates from approximately 5:00 a.m. to midnight Monday through Sunday Freight operators utilize track on the Mid-Jordan Joint Trackage from 11:45 p.m. to 4:45 a.m. The Main Line Joint Trackage is utilized from 12:00 a.m.to 5:00 a.m., Freight movements require authorization from the TRAX Control, which operates continually.

UTA's current TRAX vehicle fleet consists of the following LRVs:

Type	Count
Siemens SD-100/160 Series	40
Siemens S70 Series	77 (3 in service as streetcars)

UTA's train control, including the automatic block system (ABS), intersects established grade crossings which are protected by gates, flashing lights, and audible signals. Intersections within the street-running portion of the downtown/university/West Valley corridors are controlled with traffic signals and additional train operating signals.

The Director of Maintenance Support is supported by managers, supervisors, and maintenance of way (MOW) employees, servicing light rail and commuter rail systems, signal and train control, track, power systems, infrastructure, and rail facilities. The Maintenance of Way department has responsibilities including light rail and commuter rail. Bus stops and rail stations and platforms, park-and-ride lots, and passenger services facilities are managed by the facilities maintenance manager.

1.3.5 COMMUTER RAIL SERVICE

UTA’s Frontrunner commuter rail services are managed by the General Manager of Commuter Rail. FrontRunner is UTA's regional commuter rail service. FrontRunner began revenue operations on April 26, 2008, and expanded services on December 11, 2012. It serves Utah, Salt Lake, Davis, and Weber Counties, with an annual ridership of

over 5.19 million passengers. FrontRunner services 16 stations on 82 miles of track, extending from Ogden to Provo.

FrontRunner is regulated by the Federal Railroad Administration and is subject to FRA rules, regulations, and inspections. Hours of operation are, generally, weekdays from 4:00 a.m. to 12:30 a.m. and Saturdays from 6:30 a.m. to 12:30 a.m., with no Sunday service.

There are daily freight industry operations that utilize FrontRunner mainline crossover switches. Freight movements require authorization from the FrontRunner Control Center. All mainline switches are powered and can be operated by personnel in the control room. There are 82 miles of exclusive track which include a total of 62 at-grade crossings. FrontRunner trains utilize cab signals and positive train control. The mainline is a single track with a station platform passing sidings. The trains are in a 'push-pull' configuration with diesel-electric locomotives on the north end of the consist and cab cars on the south end.

The senior leader at FrontRunner is the commuter rail General Manager. The manager of rail operations oversees controllers, supervisors, train operators, and train hosts. Vehicle maintenance, maintenance training, technical services, body repair, fabrication, component rebuild, and vehicle overhaul is managed by the manager of commuter rail vehicle maintenance and one assistant manager. They are supported by supervisors and commuter rail technicians, performing maintenance, servicing, and inspection on the passenger cars and locomotives. All rolling stock maintenance is performed at the Warm Springs Rail Service Center located in Salt Lake City, Utah.

UTA's FrontRunner fleet consists of the following rolling stock:

Type	Count
MP-36 Locomotives	18
Bombardier Cab Cars	22
Bombardier Coach Cars	16

1.3.6 BUS SERVICE

UTA bus operations are managed by Regional General Managers (RGM) in-service units with geographical boundaries including Salt Lake (Salt Lake County includes Central and Meadowbrook facilities); Mt. Ogden (Weber, Davis, and Southern Box Elder counties), and Timpanogos (Utah County). Special Services provides paratransit route deviation, rideshare, and vanpool services throughout the UTA service area. Paratransit services in Weber, Tooele, and Utah counties are provided by contractors.

Bus maintenance facilities are located in Ogden, Depot District, Meadowbrook (Salt Lake), and Timpanogos (Utah County). Special Services maintenance is located at Riverside (adjacent to Meadowbrook).

UTA Bus service includes 543 buses. The fleet includes electric buses, hybrid-electric buses, ski buses, over-the-road coaches, and 65 paratransit vehicles. UTA Central division has 47 compressed natural gas (CNG) buses and 17 zero-emissions battery-electric buses.

UTA runs three express bus lines in Utah County, Weber County, and Salt Lake County that offers park-and-ride lots, ticket-vending machines, upgraded stations, limited stops, faster speeds, greater frequency, signal priority,

dedicated bus lanes, and specialized buses. The Utah Valley Express (UVX) opened in December 2018 with 5 miles of dedicated bus lanes servicing 18 dedicated stops along its 10.5-mile route from the Orem and Provo Frontrunner station through downtown Provo, BYU campus, UVU campus and down University Parkway in Orem. The UVX bus fleet includes 25 sixty-foot articulated New Flyer Xcelsior electric hybrid buses that can hold up to 80-passengers with level boarding for ADA passengers.

The Ogden Express (OGX) opened in August 2023, providing service from the Ogden Central Station to McKay-Dee Hospital. The 5.3 corridor features 13 stop locations with 22 stop platforms, including 3 center street stations. This service includes 1.8 miles of dedicated bus lanes, some of which go directly through the Weber State University campus. The OGX bus fleet includes seventeen 40-foot Gillig electric buses with seating for 34, additional standing room for at least 20, and level boarding for ADA passengers.

1.3.6.1 Contractor services supplementing bus operations

Contractors providing supplemental transportation services for UTA paratransit and ski buses must adhere to the Safety Management System (SMS) principles established in UTA's Transit Agency Safety Plan (TASP). Contractors are expected to adopt a proactive approach to identifying and mitigating safety risks related to their transit operations. Documentation supporting compliance with SMS requirements—including vehicle maintenance and inspections, driver training and qualifications, accident reporting and investigation, and emergency response procedures—must be maintained and made available to the UTA contract project manager upon request.

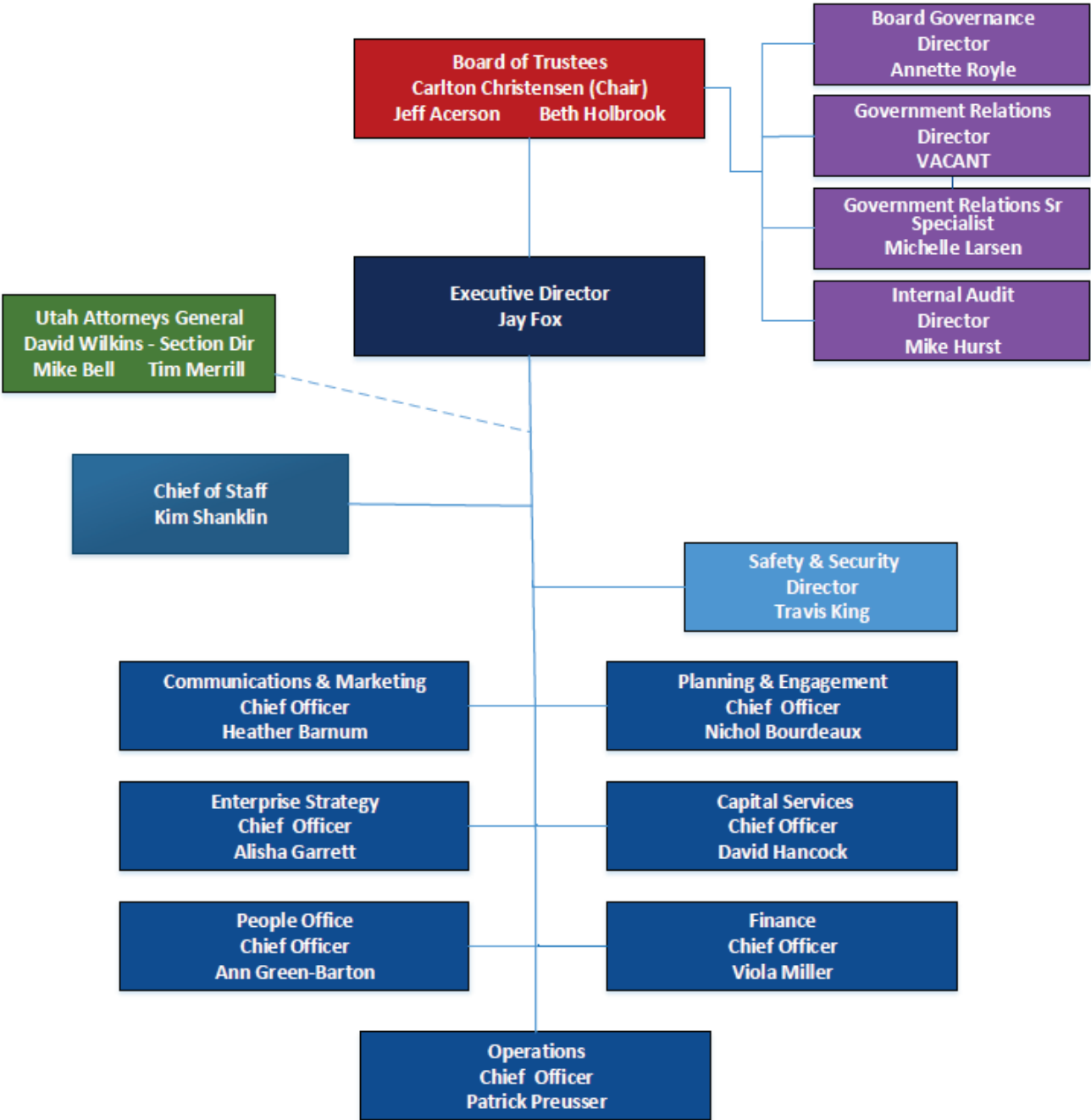
1.3.7 CLIMATE AND GEOGRAPHY

Salt Lake City normally has a semi-arid continental climate with four well-defined seasons. Summers are characterized by hot, dry weather, but the high temperatures are usually not oppressive since the relative humidity is generally low and the nights are usually cool. July is the hottest month with temperatures reading 90–100 degrees F. Winters are cold, but usually not severe. The average annual snowfall is less than 60 inches at the Salt Lake City Airport, but much higher amounts fall in higher bench locations. Heavy fog can develop under temperature inversions in the winter and may persist for several weeks. Precipitation is generally light during the summer and early fall but may be heavy in the spring when storms from the Pacific Ocean are moving through the area more frequently than at any other season of the year.

The UTA transit services extend throughout the Wasatch Front area approximately 60 miles wide (E-W) between Park City, Salt Lake City, and Tooele Co. The area also ranges from Box Elder County on the north to Payson City, Utah County in the south, extending nearly 100 miles. Service areas include high mountain valleys situated along the western slope of the Wasatch Mountains. Elevations range from approximately 4,250 feet above sea level to greater than 5,300 feet above sea level on the benches overlooking the valleys. Service to the area ski resorts rises to over 8,000 feet above sea level. The Wasatch Fault runs the length of the UTA service area from north to south roughly tracing a line along the base of the Wasatch Mountains. Fault scarps are easily observed at various locations along the fault.

1.3.8 UTAH TRANSIT AUTHORITY ORGANIZATIONAL CHART

UTA's organizational chart illustrates the management structure of the organization. The Safety and Security organizational chart focuses on the roles of Safety Department managers and Safety Administrators, showing the process available to report directly to UTA's ED.



**Safety / Security
Department**
As of Nov 2024

Board of Trustees
Carlton Christensen
Beth Holbrook
Jeff Acerson

**Executive Director /
Accountable Executive**
Jay Fox

Safety & Security Director
Travis King



Facility Security

**Manager of
Security**
Dan Riley

17 Facility
Security Guards

Video Security

**Video Security
Supervisor**
Cody Steffensen

**Video Security
Technician**
2

**Video Security
Specialist**
2

Field Safety

**RWP Program
Manager**
Owen Thompson

**Design /
Construction**
Jason Sisson

**Operations
Safety**

TRAX/ S-Line
Ruben Garcia
Travis Hoenshell

Bus / Paratransit
Tim Rhoades
Kent Muhlestein

Frontrunner
Travis Shingleton

Industrial Safety

OSHA / IH
Kent Muhlestein

**Safety
Training/Data
Analysis**

Safety Training
David Goodwin

1.4 TASP ANNUAL UPDATES, REVISIONS, AND CHANGES

1.4.1 WRITTEN PLANS

The Transit Agency Safety Plan (TASP), System Security Plan (SSP) and the Emergency Preparedness Plan (EPP) will be reviewed and updated annually, on or before January 1st, and submitted to UDOT SSO for approval and acceptance in accordance with UDOT's Rail Transit State Safety Oversight Program Procedures and Standards. The plans may also be revised when and as required by the Agency Safety & Security Committee (ASSC). Each yearly revision of the TASP will be approved by the joint labor-management safety committee.

UDOT SSO may request in writing, modification to the plans due to audit reports, on-site reviews, or investigations. UTA will be given at least 30 days to address any requested changes. Once UDOT has approved the revised plans, UTA will transmit a signed copy of the plans to UDOT SSO in an unalterable electronic format.

Emergency management plans have been developed for UTA and are part of the UTA Emergency Preparedness Plan (EPP). Each mode within UTA develops their specific emergency response plans.

TRAX Emergency Response Plan and FrontRunner Emergency Preparedness Plan. These plans describe activities and responsibilities for Rail Service personnel and are the responsibility of the Rail Safety Administrator. The Rail Services Emergency Preparedness Plan must meet the requirements of 49 CFR Part 239 and is reviewed annually and updated as needed.

The UTA System Security Plan (SSP) details the security program for UTA and includes the TRAX light rail and the FrontRunner commuter rail line. This plan describes the system security and the threat and vulnerability management process employed by the UTA Transit Police organization. This plan details how state and local law enforcement agencies and UTA Transit Police work together to provide a secure system. The involvement of UTA security managers and local law enforcement personnel is essential for a strong cooperative security effort.

The UTA FrontRunner Commuter Rail System Safety Plan (FRSSP) was developed in accordance with 49 CFR Part 270 FRA rules for system safety plans. This document aligns with the TASP elements and is a stand-alone plan governing system safety specifically at FrontRunner commuter rail.

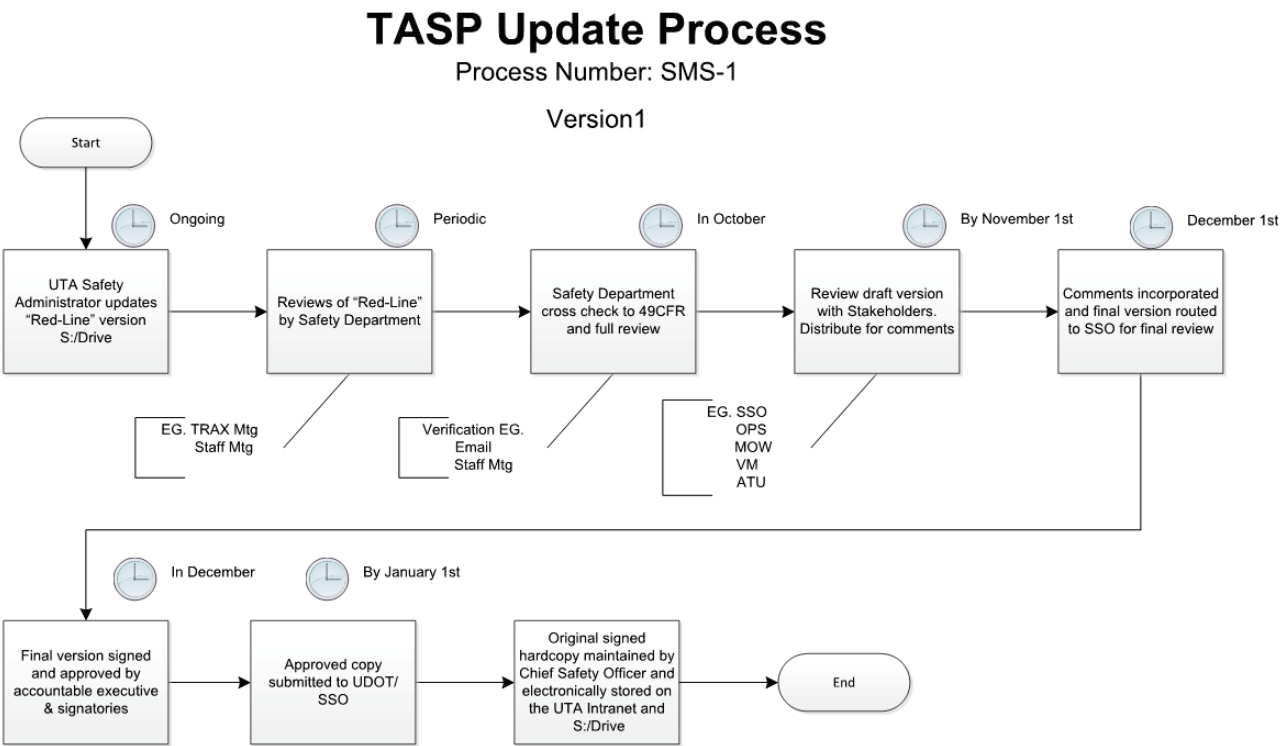
UTA's Director of Safety and Security is accountable to senior management for the accuracy and timeliness of all TASP, SSP, FRSSP, and EPP updates approvals and distribution to include FRA, UDOT, SSO manager, and managers and supervisors at the Rail Service Center. UTA's Safety Department will coordinate with UDOT-SSO to develop, review, update, and distribute the plans. UTA's safety department is responsible for evaluating compliance and or deficiencies with UTA's safety emergency preparedness programs, UDOT-SSO program, 49 CFR 673 general requirements, and FRA regulations, initiatives, and programs, as applicable.

The TASP, EPP, and FRSSP are controlled documents that apply to all UTA employees and contractors. Copies are distributed to members of the ASSC, UTA managers, and Safety Committee members and are sent to all UTA employees via email. The current TASP is also available on the intranet and is updated as new versions are made available. (Note: The SSP is not distributed as it is a security-sensitive document. It may be reviewed after an approved written request is made).

Per CFR 673.31, UTA maintains all documents set forth in the TASP, including those related to the implementation of its SMS, and results from SMS processes and activities. UTA maintains documents that are

included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out the TASP. UTA maintains these documents for a minimum of three years after they are created.

1.4.2 TASP ANNUAL UPDATE PROCESS FLOW CHART



Revised 06/21/2022

1.4.3 EMERGENCY MANAGEMENT TEAM MEETINGS

Emergency management matters are addressed within business unit safety meetings. Emergency Management training is further explained in the EPP.

Meetings with external agencies are coordinated for training, information, exercising, and to provide familiarization training for local first responders. Emergency response organizations are informed of the rail system and important life safety features. Exercises, types, reports, and frequency is also explained within the EPP.

II RISK MANAGEMENT

This section describes how UTA identifies, evaluates, tracks, and mitigates hazards and risks in the organization and on the transit system. The processes undertaken by the authority are provided in sufficient detail to be effectively undertaken. Acceptable risk levels, performance targets, and mitigation measures are established.

2.1 RISK MANAGEMENT PROGRAM

2.1.1 HAZARD MANAGEMENT

A hazard is defined as a condition or set of conditions, internal or external to the UTA system, which could cause injury or death or damage or loss of equipment or property. An unacceptable hazard is a condition that may endanger human life or property or result in system loss. This includes harm to passengers, employees, contractors, equipment, and the public. These hazardous conditions must be mitigated. Hazards are identified in several different internal and external sources. Hazards may be observed in the operating environment, through procedures, during system modifications and capital projects, accidents, extensions, or operational changes.

The Hazard Management Program applies to all UTA employees and obligates everyone to constantly observe hazards in their work areas and report them through the hazard management process. The overall hazard management program incorporates a system-wide hazard identification process, including activities for:

- a. Identification
- b. Investigation
- c. Evaluation and analysis
- d. Mitigate or eliminate
- e. Tracking
- f. Ongoing reporting to UDOT SSO and UTA corporate staff relating to hazard management activities and status
- g. Risk Based Inspections

2.1.1.1 Local Hazard Management

UTA RGMs and department managers play a key role in hazard management and are responsible for ensuring that the following processes are fully integrated within their departments:

- a. All new employees receive hazard management training and understand hazard management expectations
- b. Ensure a safe environment free of retaliation for employees to report hazards to management
- c. Ensure hazards are placed on a local hazard log for tracking and documentation
- d. Represent management or select a designee to represent management on a local safety committee
- e. Ensure each hazard has been assigned to a specific individual/POC
- f. Management or management's designee will work with a bargaining unit representative to establish the hazard rating, a safety representative will participate as arbiter and have final approval of the rating

2.1.1.2 Corporate Hazard Management

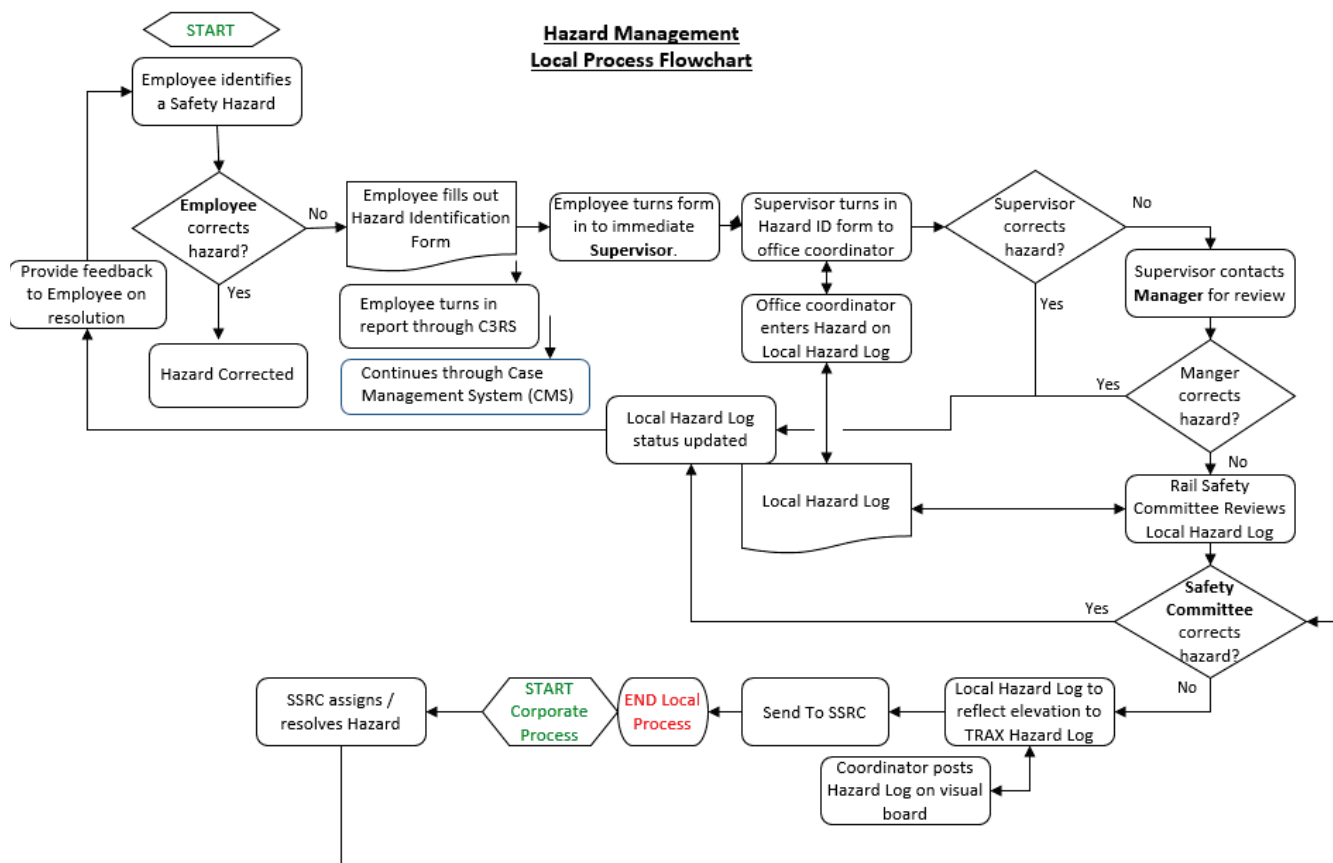
When a hazard is identified as needing mitigation with costs or changes beyond the abilities of the local safety committee or department, the hazard will be elevated to the corresponding Safety Department Hazard Logs and reviewed by the Safety and Security Review Committee (SSRC). The SSRC committee members include key department managers who can make informed decisions based on the multiple disciplines at UTA and have access to higher-level budgeted solutions.

2.1.2 HAZARD PROCESS OVERVIEW

UTA's hazard management processes include all transit modes. The following lays out an overall description of how hazards are identified, evaluated, analyzed, controlled, eliminated, tracked, and reported to UTA senior management and UDOT State Safety Oversight.

- a. The Safety Administrators assigned to each transit mode are the primary points of contact (POC) for the hazard management process.
- b. Safety Committee members identify, evaluate, and analyze hazards in their area.
- c. The Safety Administrator will enter identified hazards into the safety department hazard log for that mode (bus, TRAX, or CR-rail).
- d. The Safety Administrator and or committee develops a Corrective Action Plan (CAP) for each undesirable SERIOUS hazard over 180-days and for each unacceptable HIGH hazard and identify the point of contact or owner of the hazard and places this information on the safety department hazard log for tracking purposes.
- e. CAPs may also be created in response to hazards from other sources, such as investigations and audits. (See [CORRECTIVE ACTION 3.2.4](#))
- f. Safety committee members also participate in the evaluation and control or elimination of the hazard.
- g. Hazards must be mitigated at the lowest level possible. However, when a hazard is identified as having a mitigation that involves multiple departments or requires cost or changes beyond the safety committee or department abilities or budgets the hazard will be elevated to the Safety and Security Review Committee (SSRC). The SSRC represents key department managers and has the capability to employ multiple disciplines at UTA and has access to higher-level budgeted solutions.
- h. Recommendations/Results from Contractor or Internal audit, testing, industrial or environmental sampling results requiring corrective actions will be placed in the safety department hazard log for follow-up and possible need for retesting for compliance with Safety or environmental requirements.
- i. If mitigation or control of a hazard is not achieved through the SSRC, the hazard mitigation process may be elevated to the Agency Safety & Security Committee (ASSC) for final resolution.

Hazards identified by an employee to his/her supervisor may be resolved by the employee and supervisor. If the supervisor is unable to solve the identified hazard, he/she will forward the hazard to a safety committee representative to be brought to the safety committee for resolution. The safety committee and safety administrator will review the hazard assign an initial hazard rating (IHR) and place the hazard on the appropriate hazard log to be tracked. The following flow process is followed by employees in identifying and correcting hazards at the employee/supervisor level and actions taken to move the hazard to the safety committee and beyond if necessary.



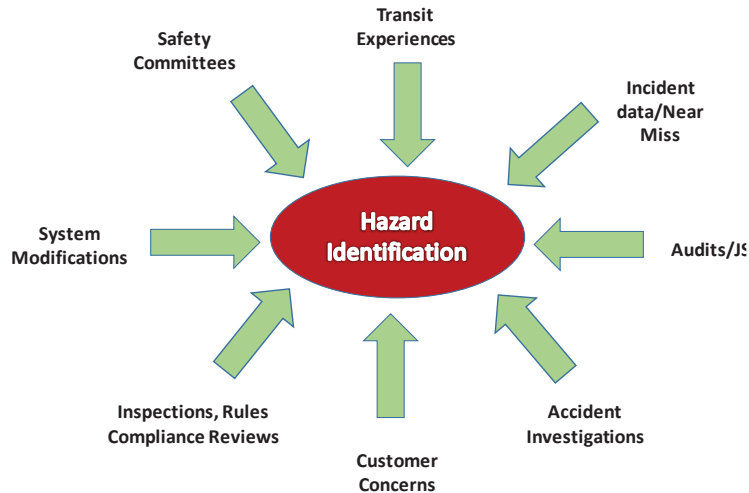
2.1.3 HAZARD IDENTIFICATION

Identification of hazards is the responsibility of all UTA employees and contractors. The continuous identification, monitoring, and elimination of hazards is key to an effective system safety program.

Hazard identification methods include, but are not limited to the following:

- Observation, inspection, and interaction of all UTA employees and contractors.
- Reports from safety committee members, passengers, customer service, and field personnel.
- Evaluation of accidents, incidents, and near misses, to include data trends and projections.
- Preliminary Hazard Analysis (PHA) of a design or new construction.
- Safety certification, system integration testing, pre-revenue testing, system modification, configuration management verification, and inspection processes.
- Operation Hazard Analysis (OHA) of revenue operations.
- Internal and external safety audits, inspections, observations, defects, findings, observations, violations, and reviews.
- Controller logs, daily operating clearances/bulletins, and training feedback
- "Lesson learned" inputs.
- Review of applicable regulatory codes and standards.
- NTSB, FRA, FTA, SSO, OSHA, safety recommendations, guidance, initiatives, and alerts.

- I. Nonconformance Reports, Corrective Action Reports, and Preventive Action Reports (NCR, CARS, and PARS) that may arise from external or UTA internal audits.



Potential Sources of Hazard Identification

2.1.3.1 Hazard Reporting

Acceptable means of reporting safety conditions include:

- a. Complete a Safety Suggestion/Hazard Report form and deposit:
 - a. With your manager or supervisor who will deliver to the local safety administrator.
 - b. With the local Safety Administrator inbox or in person.
- b. Via email or verbal notification to your supervisor, manager, local safety administrator, or other safety representative.
- c. Utilizing UTA's Anonymous Close-Call Reporting System hotline or electronic submission.
- d. Through standard radio communication or other Standard Operating Procedures for observations, tests, and accident or incident reporting.

2.1.3.2 Anonymous Close-Call Reporting System

To ensure that safety concerns are reported freely and without prejudice, UTA has established a process through which employees and contractors can report safety conditions, unsafe acts or practices, and/or close-call incidents anonymously so that it is without fear of discipline, reprisal, or penalty. These could include:

- a. Unsafe working conditions
- b. Close calls
- c. Unsafe events
- d. Hazards
- e. Policies and procedures that are not working as intended

The close call reporting is available with English (833-940-2874) or Spanish services (800-216-1288), or via an online form at the following address: <http://www.lighthouse-services.com/rideuta-hazard> or by email at reports@lighthouse-services.com.

Comments submitted through the close call reporting hotline ~~C3RS~~ will be managed and assigned through the Case Management System (CMS) to a local safety administrator. The hazard will then enter the hazard management process, with follow-up and outcome notes recorded in the CMS.

2.1.4 HAZARD INVESTIGATION, EVALUATION, AND ANALYSIS

Reported hazards will be assessed by the reporting employee and supervisor. If a resolution cannot be found, the department manager in coordination with the employee and supervisor will work toward a resolution. If a resolution cannot be determined, the Safety Administrator and or safety committee will determine if a safety hazard exists and assign an initial hazard rating (IHR) to determine if an investigation, evaluation, or analysis needs to begin.

2.1.4.1 Root Cause Analysis and Accident Evaluation

Hazards are investigated by evaluating accidents, incidents, and close calls. Hazards originating from accidents are reviewed by the Safety Administrator and accident evaluation groups as necessary. As part of evaluating accidents and incidents, root cause analysis is used to help focus on the bottom-line fundamental cause and determine the most effective solutions to mitigate hazards. An accident evaluation group (AEG) will assist in finding the cause of the accident and any factors that may have contributed to the accident. A third-party expert may be used to assist with an investigation if it is deemed necessary.

2.1.4.2 Hazard Reporting Threshold to UDOT

UTA will notify UDOT SSO of all hazardous conditions that affect the immediate safety or security of the light rail system. At a minimum, UTA will notify UDOT SSO within one business day of hazardous conditions that are rated as unacceptable (HIGH) using UTA's 21-box hazard rating matrix.

To ensure UDOT is also appropriately notified of all other hazardous conditions, accidents, incidents, and occurrences, and serious occurrences that are not rated as HIGH, UTA will also include any safety hazard discoveries that don't meet the criteria listed in section 3.2.1.2 in its safety department hazard log and hazard management process. This safety department hazard log is provided to UDOT SSO monthly.

2.1.4.3 UTA Hazard Analysis Matrix

UTA's hazard analysis matrix shown below, provides the ability to assign hazards a specific hazard rating based on a combination of severity and probability. Hazards may be rated as HIGH, SERIOUS, MEDIUM, LOW, and ELIMINATED.

SEVERITY					
Severity Level		Injury or Occupational Illness	Other than Injury		
			Property Damage (PD)	System disruption (SD)	Evacuation
1	Catastrophic	Death (does not include suicides, or death by natural causes)	> \$ 250,000;	> 24 hrs	Fire / Life Evacuation
2	Critical	Fracture, Severe Bleeding, Paralysis, Brain injury, Dismemberment	\$250,000 – \$100,000	12 - 24 hrs	
3	Marginal	Bruising, Abrasions, Bleeding, Sprains/Strains (Ambulance transport)	\$100,000 – \$25,000	4 – 12 hrs	
4	Negligible	Bruising, Abrasions, Sprains/Strains (No Ambulance transport)	< \$25,000;	< 4 hrs	

Hazard severity is a subjective measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies and/or procedural efficiencies for system, subsystem or component failure or malfunction. Hazard severity is ranked as shown above.

PROBABILITY					
Probability Level		Likelihood of event in life of an Specific item	MTBE*in Operating Hours (oh)	Occurrence within Fleet or Inventory	MTBE in days
A	Frequent	Will occur frequently	< 1,000 OH	Continuously Experienced	1 per month
B	Probable	Will occur several times	1,000 – 100,000 oh	Will occur frequently	1 per year
C	Occasional	Likely to occur sometimes	100,000 – 1,000,000 oh	Will occur several times	1 per 2 years
D	Remote	Unlikely but possible to occur	1,000,000 - 100,000,000	Unlikely, but can be expected to occur	1 per 5 years
E	Improbable	So unlikely, assumed occurrence may not be experienced.	> 100,000,000 oh	Unlikely to occur, but possible	1 per 10 years
F	Eliminate	Actions taken to remove the hazard / conflict	Never	Will not occur	N/A

*Mean Time Between Events The likelihood that hazards will be experienced during the planned life expectancy of the system can be estimated in potential occurrences per unit of time, events, population, items, or activity. The probability may be derived from research, analysis, and evaluation of historical safety data.

UTA Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	A. Frequent	High	High	Serious	Medium
	B. Probable	High	High	Serious	Medium
	C. Occasional	High	Serious	Medium	Low
	D. Remote	Serious	Medium	Medium	Low
	E. Improbable	Medium	Medium	Medium	Low
	F. Eliminated	Eliminated			
Resolution Requirements					
High *		Unacceptable	correction required		
Serious		Undesirable	correction may be required, decision by management		
Medium		Acceptable w/ review	with review and documentation by management		
Low		Acceptable	without review		
Eliminated		Acceptable	no action needed		

2.1.4.4 Hazard Severity

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards based on the modified MIL-STD-882 are as follows:

Category 1 Catastrophic - Operating conditions are such that human error, design deficiencies, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation

Category 2 Critical - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

Category 3 Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

Category 4 Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

2.1.4.5 Hazard Probability

The probability of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system. Generally, hazard probability is described qualitatively in potential occurrences per units of time, miles, trips/runs or passengers carried. A hazard probability may be derived from the analysis of transit system operating experience, evaluation of UTA safety data, the analysis of reliability and failure data, or from historical safety data from other passenger rail systems or bus systems (see [UTA Hazard Analysis Matrix 2.1.4.3](#)).

2.1.4.6 Hazard Ratings

UTA has adopted a system for assessing the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This assessment system has been incorporated into the formal system safety analysis which enables the Safety Administrators or safety committees as decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

The Hazard Matrix (see [UTA Hazard Analysis Matrix 2.1.4.3](#)) identifies the hazard risk index (HRI) based upon hazard severity category and probability and the criteria for defining further actions based upon the index.

HIGH risk hazards that receive an unacceptable initial hazard analysis made by management, safety committee or the Safety Administrator receive immediate attention/control. A high hazard rating requires corrective action. Hazards that receive a high hazard rating will be elevated from the local hazard log to the appropriate Safety Department hazard log.

SERIOUS hazards that are undesirable may require corrective action and decisions by management. Hazards that receive a serious hazard rating will remain on the local hazard logs no more than 180 days before being moved to the appropriate Safety Department Log.

MEDIUM hazards may be acceptable with review by management. Events from a medium hazard are less likely to occur and are less severe in nature.

LOW hazards do not require review and are acceptable.

ELIMINATED hazard is no longer present.

2.1.5 HAZARD CONTROL, RESOLUTION AND ELIMINATION

Safety critical hazards assigned an initial hazard rating of SERIOUS or HIGH using the above risk assessment matrix must be controlled or eliminated so that the hazard does not continue to pose a danger. This may be done in a temporary manner as long as the hazard is controlled until a long-term fix has been implemented. Hazards assigned a hazard rating of MEDIUM or LOW will be controlled to the lowest extent practicable. The process of controlling, tracking, and elimination, of hazards is recorded on hazard logs.

All undesirable SERIOUS hazard log entries over 180 days and all unacceptable HIGH hazard log entries will require the development of a corrective action plan (CAP).

Corrective action plans include the following information:

- a. Element of activity identified as deficient
- b. Planned activities to resolve deficiency
- c. UTA department responsible for implementing corrective action
- d. Scheduled completion date for implementation
- e. Estimated cost of implementation

Hazard log entries with their associated corrective action plan are reviewed regularly by the safety department, safety committees, UDOT SSO and periodically reviewed by executive management. CAP's may be tracked and sorted from the hazard log. When a CAP is closed the hazard log will reflect this action and a closed date. Individual CAP files are stored in the Safety Department file server by hazard tracking number under the hazard management folder.

2.1.5.1 Hazard Resolution and Elimination

Hazard resolution is defined as the analysis and subsequent actions taken to reduce the hazard to the lowest level practical and the risk associated with an identified hazard. Hazard resolution is not synonymous with

hazard elimination. In a transit environment, there are some hazards, which are impossible to eliminate and others, which are highly impractical to eliminate. Reduction of risk to the lowest practical level can be accomplished in a variety of ways from protective and warning devices to special procedures.

1. Design out or design to minimize hazard severity. To the extent permitted by cost and practicality, identified hazards will be eliminated or controlled by the design of equipment, systems, and facilities.
2. Hazards that cannot reasonably be eliminated or controlled through design will be controlled to the extent practicable to an acceptable level using fixed, automatic, or other protective safety design features or devices. Provisions will be made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
3. When design and safety devices cannot reasonably nor effectively, eliminate or control an identified hazard, safety warning devices will be used (to the extent practicable) to alert persons to the hazards.
4. Where it is impossible to reasonably eliminate or adequately control a hazard through the design of the use of safety warning devices, procedures, and training will be used to control the hazard.

2.1.6 HAZARD TRACKING

2.1.6.1 Local Hazard Logs

Local Hazard Logs are kept by each division within UTA to track submitted hazards and are maintained by the corresponding safety committee. Department managers ensure local hazard logs are used to track hazards at the departmental level within UTA. These logs are maintained within the department and are reviewed by the local safety committee monthly. Local logs must include both open and closed hazards and be posted on department and/or service unit safety boards.

Hazards placed on the local log receive their initial and final hazard rating using UTA's 21-box hazard rating matrix. Reporting employees, with the assistance of their manager or supervisor, will give hazards their initial rating and final ratings (see UTA Hazard Analysis Matrix). The rail safety committee can assist in this process if needed. Hazard ratings should be changed when new information is received or as a result of data analysis. If the hazard rating is changed by new information or data analysis, then the manager or designee will be notified.

2.1.6.2 Safety Department Hazard Logs

The Safety Department Hazard Log is kept is used to track Corrective action plans, and serious/high hazards from the local hazard log. Safety Administrators are responsible for the maintenance of Safety Department Hazard Logs. The Safety Department Log will be kept digitally and be directly accessible to all Safety Administrators. Logs must include both open and closed hazards for the current reporting year.

Hazard rating can be assigned by either the Safety Administrator or the SSRC. The following are specific hazards that are identified and mitigated at the corporate level:

- a. Unacceptable hazards (HIGH Hazards)
- b. Hazards identified from audits from outside agencies (UDOT SSO, FTA, FRA, OSHA)
- c. Hazards identified from accident investigations
- d. Hazards where corrective action will cost more than \$25,000
- e. Undesirable SERIOUS hazards on local department hazard logs over 180 days
- f. When deemed necessary by the Safety Department

2.1.6.3 Corrective Action Plan (CAP)

Corrective action plans are utilized within UTA for hazards that meet certain criteria. The hazards identified in the section above require the usage of a corrective action plan (CAP). CAPs are tracked on the safety department hazard logs with electronic copies directly accessible to all Safety Administrators at all times.

For hazards that receive a MEDIUM or LOW hazard rating, the use of a corrective action plan is optional depending on the complexity and ability to correct the identified hazard, e.g. clearing shrubs or trimming branches of a tree. UTA will coordinate with the UDOT SSO to determine if a CAP is necessary for medium or low hazards.

In the following instances, light rail corrective action plans must receive prior approval by the UDOT SSO Manager before corrective action plans may be carried out:

- a. Unacceptable hazards (High Hazards)
- b. Audit findings from regulatory agencies resulting in Non-conformance (UDOT, FTA, FRA, OSHA)
- c. Audit findings from internal audits resulting in Non-compliance
- d. Accident investigations requiring corrective action
- e. Testing or audits of Industrial Hygiene that potentially exceed OSHA PEL limits

2.1.6.4 Corrective Action Plan Development

Department managers or their designee will work in conjunction with the Safety Department and associated safety committees (Local Safety Committee, SSRC, and ASSC) to develop a corrective action plan and fill out a CAP form for the identified hazard. Accident Evaluation Groups are also utilized when developing CAPs resulting from hazards identified after an accident. Safety Administrators ensure that the CAP process is followed and properly tracked until it is closed.

CAPs are assigned a specific tracking number by Safety Administrators and are placed on the Safety Department hazard log with its associated hazard. CAPs must contain at a minimum:

- a. A specific deficiency/finding/hazard with an initial hazard rating
- b. Assigned Date
- c. Process, or plan to address and resolve the deficiency/finding/hazard
- d. Proposed Implementation date
- e. Responsible department, and person
- f. Source of the CAP
- g. CAP tracking ID
- h. List of proposed documents that will be submitted as verification of implementation
- i. SSO Program Manager initial approval and date
- j. Interim milestone date(s) as appropriate or issues preventing resolution
- k. Resolution of CAP
- l. Accountable Owner Signature with completion date
- m. SSO Program Manager Verification (if applicable) that CAP was implemented

2.1.6.5 Ongoing Reporting to State Safety Oversight Agency

Each CAP developed for Serious or High hazards, from investigations, audit findings or other sources will be submitted to UDOT SSO as required for initial review and approval within 30 days of identification. The CAP form

will be assigned a specific identification tracking number and placed on the safety department hazard log with its corresponding hazard for tracking purposes. A digital CAP form is maintained in the Safety Department file server for UDOT SSO access.

The Safety Administrator will monitor the current status of CAPs using the safety department hazard log and identify any issues with the resolution action and dates. Updates will be recorded on the safety department hazard log and provided to the UDOT SSO at least monthly.

Upon completion of the corrective action, the safety department will submit the CAP to UDOT SSO for adoption. UDOT will notify UTA in writing of its acceptance or rejection of the corrective action plan in accordance with procedures specified in the UDOT SSO standard. The completed CAP is formally adopted by receiving the UDOT SSO's signature on the CAP form. The UTA CAP form requires the UDOT SSO to sign and date the CAP indicating the assigned resolution and completion of the CAP.

After a hazard has been resolved, it will be assigned its final hazard rating. The Hazard Log will then be updated to show the status of the identified hazard with its CAP to "CLOSED". The completed electronic CAP form will be maintained in the safety department file server. Risk Based Inspection Program

The risk-based inspection program uses qualitative and quantitative data analysis to inform ongoing inspection activities. Risk-based inspections are designed to prioritize inspections to address safety concerns and hazards associated with the highest levels of safety risk.

In addition to the specifics outlined in this document, UTA will adopt and support Section 9 in UDOT's 2024 version of "Rail Transit State Safety Oversight Program Procedures & Standards", which outlines UDOT's Risk Based Inspections Program. This document can be found in 9 Rail Transit State Safety Oversight Program Procedures & Standards (2024) – Section 9: Risk-Based Inspections.

2.1.6.6 Ongoing Monitoring

UTA recognizes that the SSO has the authority to enter facilities that they oversee to inspect infrastructure, equipment, records, personnel, and data and these inspections may be without advance notice.

The SSO will have the authority to access for the purpose of risk-based inspection:

- a) Infrastructure
- b) Equipment
- c) Records
- d) Personnel
- e) Data

Prior to the start of an inspection, UDOT inspectors will confirm receipt of needed certifications and proper personal protective equipment to ensure compliance with UTA safety protocols and requirements related to the area of inspection (i.e. Roadway Worker Protection certification.)

2.1.6.6.1 Public Spaces

UDOT staff and contractors may conduct inspections of publicly accessible areas and transit operations without notice to UTA until the inspection has concluded. Unless accompanied by UTA personnel, these may be confined to publicly accessible areas and will not interfere with transit system operations.

Publicly accessible areas include but are not limited to:

- a) Interior and exterior of rail vehicles in revenue service of areas open to the public (i.e., not behind a compartment door)
- b) Signal systems visible from the public right-of-way
- c) Public stations, platforms, and technology available for public use (i.e., announcement speakers, monitors, emergency telephones, etc.)
- d) Track, guideway, and infrastructure visible from the public right-of-way
- e) Public facility egress and emergency equipment

2.1.6.6.2 Escorted Areas

Such locations that necessitate UTA escort and oversight for access include:

- f) Dedicated guideways / right of way requiring escort under Roadway Worker Protection
- g) Traction power substations
- h) Signal houses
- i) Electrical and mechanical rooms
- j) Maintenance of shop areas outside of a designated “safe walk” zone or areas for which access requires an additional level of personal protective equipment such as inspection pits, paint rooms, etc.
- k) Locations containing confidential employee files for which access to the area would also grant access to the files (i.e., employee violation/discipline records; drug and alcohol testing records)

2.1.6.7 Scheduling Inspections

UTA will work directly with UDOT personnel to schedule announced inspections. UDOT will designate one UDOT member as the inspection scheduler for a particular inspection. This scheduler will email a UTA Safety Administrator prior to the beginning of an announced inspection. UTA will support regularly scheduled inspections, such as track inspections, as well as unscheduled inspections, whether announced or unannounced, as outlined in 9 Rail Transit State Safety Oversight Program Procedures & Standards (2024) – Section 9: Risk-Based Inspections.

The UDOT SSO may also respond to the scene of an event to verify UTA’s treatment of the scene and the related investigation, or inspect assets following an event, which involved a new safety risk having a catastrophic or critical risk-rating, to confirm the successful repair of the asset or system-wide mitigation following the safety event.

2.1.6.8 Immediate Safety Concerns

In the case that UDOT staff observe a safety concern requiring immediate action, the inspector will notify the Light Rail Control and a UTA Safety Administrator, by phone and/or email, following physical removal of themselves from imminent danger or bodily harm. If UDOT staff identify a finding that requires attention by UTA but is seen as unlikely to cause imminent physical harm to the public or personnel, UDOT will identify the issue in the inspection report.

2.1.6.9 Defects and Corrective or Remedial Action

Defects found by UDOT personnel will be addressed using UTA’s Risk Management Program as outlined in section 2.1 of the TASP. See [Definitions](#) for more information on what is considered a defect.

2.1.6.10 CAP and Safety Risk Mitigation Verification

UTA supports UDOT's CAP and safety risk mitigation verification by following our Risk Management process as outlined in section 2.1 of the TASP.

2.1.6.11 Data Sharing

UTA will share safety data as outlined in the Risk-Based Inspection tool kit through established and existing policies and laws. Per UDOT's Procedures and Standards, UTA shares data at least on a quarterly basis with UDOT regarding key performance indicators and other safety-critical information. Some UTA data is also readily available through the Safety Dashboard and the UDOT Dashboard Addendum, which are transmitted at least monthly by the 15th of each month to the UDOT SSO. UTA and the SSO will collaborate to determine if the information included in this monthly needs to be adjusted in order to be responsive to changing conditions and concerns.

Some examples of data include:

- a) Records of events
- b) Hazard records
- c) Safety risk mitigation records
- d) Corrective action plans
- e) Records of near misses
- f) Inspection and maintenance records
- g) Work Orders
- h) Records of failures and defects
- i) Records of revenue vehicles out of service
- j) Adherence to maintenance schedules
- k) Records of speed restrictions
- l) Incident and Safety Risk Mitigation Verification
- m) Capital project schedules and progress

More information on data sharing can be found in 9 Rail Transit State Safety Oversight Program Procedures & Standards (2024) – Section 9: Risk-Based Inspections.

2.1.7 JOB SAFETY BRIEFING

Prior to beginning work, employees that perform high risk, or non-routine job tasks are required to identify hazards and discuss controls associated with that task during job safety briefings. The job briefing should include type of work, number of involved employees, additional hazard controls, emergency communication, required PPE, review of necessary training and applicable SOPs, and any additional items deemed necessary by the supervisor overseeing the work. Identified hazards that cannot be controlled with PPE or procedures must be resolved or mitigated through the hazard management process. At any time if the conditions of work change, a follow-up job briefing is required.

2.2 HAZARDOUS MATERIALS PROGRAM

2.2.1 MANAGEMENT OF HAZARDOUS MATERIALS

For any hazardous chemical used or stored in the workplace, UTA must maintain a safety data sheet (SDS) and train employees on the chemical hazards as outlined in 29 CFR 1200 (Right to Know). An SDS is a chemical safety instruction sheet that informs employees of specific safety or health hazards of chemicals in the workplace, & gives directions to employees for Protective Equipment (PPE) i.e. goggles, gloves, respirators, safety glasses, etc.

All safety data sheets are accessible through an Intranet-based system <http://otis.osmanager4.com/uta/rtk/uta>. A quick link to this website is available through the UTA SharePoint Site and on every UTA desktop home screen. Section ASSURANCE (PROCUREMENT) 3.11 describes the new chemical review workflow and approval process.

The UTA Environmental Department submits an annual Tier II inventory of hazardous chemicals to the state emergency response commission (SERC), local Emergency Planning Committee (LEPC), and local fire department. Tier II reporting requirements are limited by chemical quantity to any UTA facilities that are subject to reporting.

The common hazardous materials transported to or from and used by UTA that are subject to reporting as described in 49 CFR are:

- a. Diesel Fuel
- b. Gasoline
- c. New and used oil
- d. Antifreeze (ethylene glycol)
- e. Train wash (potassium hydroxide)
- f. Lead acid batteries (sulfuric acid)

The liquids are stored in tanks or drums within secondary containment. UTA also uses many hazardous chemicals contained in soaps, solvents, brake cleaners, paints, and aerosols. These hazardous materials are described in the product-specific safety data sheet.



UTA has a small quantity generator and conditionally exempt generator status of hazardous waste at various facilities. Hazardous waste, as defined in 40 CFR, is a hazardous material that has outlived its usefulness or has become contaminated through use.

Hazardous wastes can be generated by:

- a. Discarding a hazardous material (oil-based paint, pesticides, some soaps, expired products)
- b. Using a product (used batteries, fluorescent lamps, HID lamps, paint thinner, aerosol dregs)
- c. Any hazardous substance generated from a process or procedure critical to maintenance or operations of Frontrunner, TRAX, or Bus
- d. Infectious biohazardous waste from bloodborne pathogens clean-up or discarded sharps clean-up.

Hazardous wastes are stored in closed containers and can be collected in satellite accumulation areas. These containers are labeled as hazardous waste for chemicals or biohazard for red infectious waste bins and are located near where the waste is generated. The environmental compliance administrators are responsible for preparing appropriate manifests, scheduling hazardous materials transportation, and final disposal.

2.3 INFECTIOUS DISEASE CONTROL AND RESPONSE

UTA's Safety Department and Emergency Management teams monitor the reports of infectious disease transmission, as provided through the Utah Department of Health. Based on these reports UTA also coordinates with local health departments to identify control strategies to minimize the transmission of infectious diseases.

UTA Local Safety Committees and SSRC help determine the impact on UTA operations using the hazard risk matrix for the proper level of response to help prevent the spread of infectious disease. Infectious disease mitigations may be tracked on the local and corporate hazard logs following the hazard management process.

Updates regarding infectious hazards that may pose a risk to the health and safety of UTA customers and employees are provided as needed to the UTA executive team.

III ASSURANCE

Safety Assurance outlines how UTA implements, measures, and reviews UTA processes to ensure that it remains in compliance with established standards. These processes and reports will provide the confidence to UTA leadership that the organization and system are functioning within an acceptable level of safety. The audits, inspections, rules checks, and compliance verification procedures are described, required schedules are established, and acceptable measures are identified.

3.1 INTERNAL SAFETY AUDIT/REVIEW PROGRAM

49 CFR § 673 identifies requirements for planned and scheduled internal safety audits. They are performed to evaluate compliance with UTA's Transit Agency Safety Plan (TASP). All TRAX rail service departments and functions are subject to review. UTA's Internal Safety and Security Audit/Review Programs contain a comprehensive series of processes utilized to determine the compliance and effectiveness of UTA's TASP/ System Security Plan (SSP) and Emergency Preparedness Plan (EPP), which apply to all departments or functions.

The ED has delegated authority to establish and implement the TASP to the Director of Safety & Security (DSS) who oversees the safety performance functions of UTA. The DSS has the responsibility to develop and implement programs to promote safe operations to reduce or eliminate accidents and to monitor TASP compliance and maintenance.

The DSS assigns responsibility and authority to the Internal Audit's programs coordinator, the Safety Administrators, and assigned internal auditor team members to interface with UDOT SSO, to provide the internal oversight of the rail TASP compliance, and to oversee the internal safety audits.

The audits program coordinator utilizes UTA's audit team members who conduct ongoing, planned, and scheduled internal safety audits and perform reviews and inspections of UTA's departments and functions to evaluate compliance with TASP requirements. The audit coordinator also measures the overall effectiveness in achieving the goals and objectives of the TASP. UTA audit team members use a checklist approach to determine compliance based on 49 CFR 673.

UTA is committed to completing an accurate reporting of accidents, incidents, serious occurrences, and injuries in our system. We encourage employee reporting and will not tolerate harassment or intimidation to discourage reporting. UTA collects reports for reportable incidents. These incidents are reviewed at AEG's and any applicable CAPs are assigned to mitigate risks found. Reports submitted to the FRA are audited annually to ensure accurate and complete reporting.

UTA uses the "Recommended Best Practices for States Conducting Three-Year Safety Reviews" document produced by the FTA Office of Safety and Security in March 2009. This document identifies eight (8) types of verification methods that can be used by the internal auditors, which are listed below. These are the same guidelines that the State Safety Oversight (SSO) uses for UTA three-year Triennial audits. It is recommended that the internal auditors use more than one method to verify compliance. Depending on the area being inspected a field visit, which allows, observation of processes and personnel may be required.

1. **Document Review:** sampling the UTA TASP and referenced and or supporting procedures to ensure that each required element of the State's Program Standard and 49 CFR part 673 is addressed. (This reference/requirement is noted on the Internal Audit Form for the element being audited.)
2. **Rules Review:** Sampling of UTA operating rules and bulletins and maintenance rules and procedures to determine if they have been reviewed and updated regularly if they have been distributed to appropriate UTA personnel as specified in the TASP, if training has been offered, and if this process has been tracked. Rules compliance is verified by supervisors. Auditors should ask supervisor personnel and or Safety personnel to provide examples of rule checks that have been accomplished during the previous audit period. Safety personnel observe/audit supervisors to verify that they are conducting Rules Checks. Auditors should verify that these processes are occurring.
3. **Records Review:** Sampling of the UTA records for evidence of implementation of the TASP and referenced or supporting procedures. Records reviewed and or sampled may include but are not limited to, training records, records of employee rules compliance checks, internal safety audit reports, maintenance inspection reports, minutes of safety committee meetings, etc.
4. **Interviews with UTA Senior Management:** discussions held with senior UTA management, including the UTA Executive Director and Chief Officers, to assess their knowledge of the UTA safety program, as specified in the TASP and referenced or supporting procedures, and to gauge their commitment to the safety program.
5. **Interviews with UTA Safety personnel:** Discussion held with UTA safety personnel, including the Safety and Security Director, to assess the implementation of the UTA safety program, to identify issues in its implementation, and to highlight areas of compliance and non-compliance with Part 673 requirements. Safety personnel should provide evidence of system rides, and interviews with operators, mechanics, supervisors, and passengers to assess safety compliance and or hazard observations throughout the system.
6. **Interviews with other UTA personnel:** Discussions held with other UTA personnel (including a representative sample of rank-and-file operations and maintenance personnel) to verify their understanding of requirements specified in the TASP and referenced or supporting procedures.
7. **Field Observations:** Some departments and functions REQUIRE the auditors to make field or work area observations. This requirement will be noted on the Internal Audit Checklist for that specific area and auditors may be required to schedule times when specific field work is being done to allow for observations to be conducted. Observations and sampling were conducted on-site at the UTA to observe the implementation of the processes and procedures described in the TASP and supporting or referenced documents, procedures, and materials related to the UTA safety program. Although auditors are not expected to be experts in Rules or mechanical processes, they should make field observations to verify that managers and supervisors, who are technical experts, are performing and documenting technical field observations of frontline transit workers. Field observations should also certify that rules compliance, technical tests performed, repairs, etc. are being observed/documented.
8. **Inspections and Measurements:** Inspections and measurements conducted on-site at the UTA to ensure that the UTA infrastructure and equipment are maintained according to specifications identified in the UTA standards, procedures, and equipment manuals. Auditors should verify that supervisors are

performing periodic rules and preventative maintenance on equipment checks. This can include reviews of the key performance indicators (KPI) matrix, preventive maintenance schedules, work orders, etc.

Note: Each of these verification methods has specific strengths and limitations. To adequately assess the implementation of each TASP element required in 673, FTA believes that more than one verification method should be used.

UTA has developed an Internal Audit Checklist for the TASP. The Checklist includes the elements to be assessed, the eight (8) on-site verification methods, and recommendations for how these methods can be applied to each of the specific elements. If a specific checklist item does not have applicability to the audit topic the auditor should note that item as not applicable (N/A), with a brief description to include personnel visited with and processes discussed.

Audit teams may conduct field observations to make observations of the work process in the area being audited. Auditors should interview supervisors to verify compliance with rules and procedures. In addition to completing audit checklists, supporting documentation for verifying compliance with rules checks and compliance verification may also be submitted to the Internal Audit Coordinator as part of the audit. This will verify that rules checks and observation are an ongoing practice within the departments. Supporting documentation may be obtained from safety personnel and department supervisors. See [APPENDIX A-3](#) for samples of the internal audit inspection checklists and schedule.

The audit team members will complete the Audit Checklist by completing all applicable verification methods of “Recommended Activities” used during the audit. Include copies of rules, processes, charts, etc. discussed as evidence of compliance or of non-compliance of specific requirements. In conjunction with the Safety Department and Internal Audit Coordinator will determine “compliance” when a department or function is substantially adhering to the TASP requirements. Determination of compliance may include recommendations for improvement of TASP process activities or prevent future determinations of non-compliance. The department or function will review the recommendation and consider measures to improve process activities. In the event the department or function is substantially not adhering to the TASP, then a finding of non-compliance, along with a corrective action plan (CAP) will be issued to the department. That department is required to sign, accepting responsibility to respond to or resolve the CAP and to provide a planned completion date. The CAP form contains a section for a proposed corrective action as well as a corrective action resolution to be filled in by the assigned department. Directors and Managers of departments have the responsibility to take corrective action plans as recommended by the audit team reports. Upon completion, the CAP must be adopted by the Safety Department, and by UDOT if required. Corrective action plans developed from audit findings of non-compliance with recommendations, and from compliance with recommendations are reviewed, accepted, and placed on the Safety Department Hazard log for tracking purposes by the Safety Department and Safety and Security Management Review Committee (SSRC) in coordination with UDOT SSO. Matters that are not resolved by the SSRC are referred to the ASSC.

Each department or function is required to be audited as per UDOT’s Rail Transit State Safety Oversight Program Procedures and Standards. The Safety Administrator is responsible for developing a three-year schedule for all internal audits. This schedule is distributed to all affected departments and to the state safety oversight manager. The schedule is furnished as a separate document to UDOT SSO.

UDOT is invited to participate in all internal audits. The Safety Administrator or audit team leader notifies the UDOT State Safety Oversight office at least 30 days prior to conducting an internal audit so that UDOT may schedule and participate in those audits as desired.

The internal audit coordinator notifies all affected departments and provides the manager of the department with a current checklist of audit requirements. Sufficient time is given to the department to prepare all necessary materials for the audit.

The Safety Administrator completes individual audit reports and submits them to UDOT within 30 days of audit completion. In addition, the annual safety audit report, detailing UTA's internal safety and security review activities are submitted for the past year, with subsequent findings. The report is certified by the Executive Director, and forwarded to UDOT, on or before February 15 of the following year.

3.2 ACCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

3.2.1 NOTIFICATION THRESHOLDS

3.2.1.1 Internal Notification

Initial internal Safety Event notification is initiated by UTA control centers (TRAX, FrontRunner, bus, paratransit, and police dispatch) electronically via text message and e-mail through the UTA emergency notification list, and the go team notification list, according to corporate policies and procedures, NO. 4.3.7 "Emergency Notification", as specified by rail service SOPs and this document.

The controller will initiate internal notification resulting in the following: ([OPS-SOP-0608](#))

- a. Events resulting in possible injury or death of persons
- b. Fire
- c. Hazardous materials spill or release
- d. Other situations that may require response by local emergency personnel

Electronic notification requires the following information:

- a. Time, date, location, and direction of travel
- b. Type of accident and description of event
- c. Number of persons injured (transported)
- d. Estimated damages

Workplace injuries that require the first report of injury form to be completed will require supervision to notify the Safety Department at the time of the events.

3.2.1.2 Contract Services Supplementing Bus Operations Notification

Contractor services supplementing bus operations will immediately report to their UTA project managers all collisions, incidents, or accidents that are investigated by a local authority having jurisdiction. The contractor will forward copies of any police reports and associated internal accident reporting and investigations to their UTA contract project manager.

3.2.1.3 UDOT/SSO Notification

UTA has included on its emergency notification list UDOT's SSO and TOC. Following an accident, the UTA Safety Department will follow up with state safety oversight, in person or by phone email, or text message within two hours of any Safety Event that results in the following:

- a. Fatality occurring at the scene or within 30 days following the accident, excluding deaths resulting from illness, natural causes, and criminal homicides
- b. Two or more persons requiring treatment away from the scene
- c. A collision resulting in one or more injuries (between a rail transit vehicle and any vehicle, object, or person)
- d. A collision involving a rail transit vehicle or another rail transit vehicle
- e. A collision resulting in disabling damage to the rail transit vehicle (disabling damage means damage to a rail transit vehicle resulting from a collision which prevents the vehicle from operating under its own power)
- f. A runaway train
- g. An evacuation for life safety reasons
- h. Any derailment of a rail transit vehicle (yard and mainline)

Serious Occurrences are to be investigated by the transit agency and reported to UDOT within one business day.

- a. Face up of rail vehicles: Two revenue transit vehicles enter the same block in signalized rail-exclusive territory; not including intentional moves such as coupling or vehicle storage, or street running territory.
- b. Signal violations or overruns. This includes cases where UTA has determined a signal violation occurred and violations of stop signals provided by a roadway worker.
- c. Malfunctions of safety-critical systems or equipment that could result in a catastrophic or single-point failure. Malfunction differs from "damage" under Incident criteria; would include more serious events such as loose railcar wheels or dropped underbody equipment.
- d. Grade crossing warning system activation failure. Includes failures of gate arms and signals/lights but does not include broken gate arms.
- e. Evacuation of the train into the right of way or onto the adjacent track for non-life safety reasons. Includes customer self-evacuation/transfer of passengers to rescue vehicles or alternant means of transportation due to obstructions, loss of power, mechanical breakdown and system failure, or damage. Evacuations for life safety reasons should instead be reported as an accident as described in an "accident".
- f. Incapacitated operator in service, i.e. An operator loses consciousness, falls asleep, or otherwise becomes physically incapable of operating the rail transit vehicle during revenue or non-revenue service.
- g. Runaway rail transit maintenance vehicle. Excludes runaway trains, which are defined in the Safety event category per FTA requirements
- h. Unpermitted rail vehicle encroachment into a work zone
- i. Vehicle door openings to no platform in revenue service, or opening during train movement

UDOT SSO contact information:

UDOT SSO Manager	Designated Back-Up
Peter Jager Pjager@utah.gov 801.910.2191	Brad Palmer bgpalmer@utah.govmailto: 801.361.8966

3.2.1.4 FRA Notification

FRA Contact	National Response Center (NRC)
Isaac McKeithen issac.mckeithen@dot.gov 909.973.6201	Call 1-800-424-0201

For accidents that occur within FRA designated territory (1300 South to 6100 South and from 700 West Freight spur to 5600 West on Mid-Jordan Red Line), the FRA representative and NRC will be notified of any incident/accident resulting in the following by telephone by the Safety Department as required by 49 CFR 225:

- a. Death of a rail passenger or a railroad employee
- b. Death of an employee of a contractor to a railroad performing work for the railroad on property owned, leased, or maintained by the contracting railroad
- c. Death or injury to five or more persons
- d. A train accident that results in serious injury to two or more train crewmember or passengers requiring their admission to a hospital
- e. A train accident resulting in the evacuation of a passenger train A fatality resulting from a train accident or train accident/incident at a highway-rail crossing when death occurs within 24 hours of the accident/incident
- f. Collision occurring at a Grade Crossing
- g. A train accident resulting in damage of \$150,000 or more to railroad and non-railroad property
- h. A train accident resulting in damage of \$25,000 or more to a passenger train, including railroad and non-railroad property
- i. A collision or derailment on a main line that is used for scheduled passenger service, or that fouls a mainline used for scheduled passenger service

3.2.1.5 NTSB Notification

The UTA Safety Department will notify the NTSB, by telephone using the National Response Center (NRC) at 1-800-424-0201, within two hours of any railroad accident/incident meeting the following criteria per 49 CFR 840:

- a. A passenger or employee fatality or serious injury to two or more crew members or passengers requiring admission to a hospital
- b. The evacuation of a passenger train
- c. Damage to a tank car or container resulting in the release of hazardous materials or involving the evacuation of the general public
- d. A fatality at a grade crossing

Notification will also be made, no later than four hours after an accident, regarding any accident resulting in:

- a. Damage of \$150,000 or more for repairs or the current replacement cost, to railroad and non-railroad property
- b. Damage of \$25,000 or more to a passenger train and to railroad and non-railroad property

3.2.1.6 FTA Notification

In accordance with 49 CFR 674.33, the transit agency must provide notification to FTA of any reportable accident within two hours for the following.

- a. Fatality
- b. Two or more injuries requiring treatment away from the scene
- c. Derailment
- d. A collision resulting in one or more injuries
- e. A collision between a rail transit vehicle and another rail transit vehicle
- f. A collision resulting in disabling damage to a rail transit vehicle
- g. Evacuation for life safety reasons
- h. Unintended train movement (formerly Runaway train)

The UTA Safety Department will notify FTA of a Safety Event by contacting the U.S. Department of Transportation, Transportation Operations Center (TOC) within two hours of a reportable accident by emailing TOC-01@dot.gov (recommended method) or by phone: 202-366-1863. Two-hour notification excludes criminal actions that result in fatalities or injuries, such as homicides and assaults.

3.2.1.7 UOSH Notification

The UTA Safety Department will notify Utah OSHA at 801-530-6901 within 8 hrs. of any workplace accident resulting in the following:

- a. Fatalities (including heart attacks)
- b. Admittance to the hospital
- c. Amputations past the first digit on the hand or foot
- d. Heat, chemical, or electrical burns that result in temporary or permanent impairment to the body
- e. Electrical shocks
- f. Major bone fractures
- g. Any loss of consciousness in the workplace
- h. Permanent or temporary impairment where part of the body is made functionally useless
- i. Deep cuts
- j. Sight impairment
- k. Any injury or illness that may shorten the worker's life or significantly alter a normal physical or mental ability (either temporarily or permanently), such as visual or hearing impairment

3.2.2 ACCIDENT AND SERIOUS OCCURRENCE INVESTIGATION PROCESS

UDOT SSO has formally authorized UTA to conduct its own investigation of Light Rail accidents and Serious Occurrences and will utilize UTA's investigation as its own investigation unless UDOT SSO decides to conduct its own investigation. UDOT may decide to conduct an independent investigation in addition to the transit agency's investigation. Accidents and Serious Occurrences that are investigated by UTA are conducted per Corporate Policy 4.5.2 Post Incident Investigation Policy and Transit Services Rail Safety Investigation Procedure.

3.2.2.1 Accident Investigation

Rail accidents that require two-hour notification to the UDOT SSO will be investigated by the Safety Department. Rail investigation will be conducted in accordance with the Rail Safety Investigation Procedure. The Rail Safety Investigation Procedure can be found on the Safety Department share drive. A third-party investigation (contract expertise) will be assessed on a case-by-case basis in consultation with UDOT.

3.2.2.2 Workplace Injury Investigations

Workplace injuries that require employees to complete the first report of injury must be investigated at a minimum by a supervisor. If during the investigation process, a hazard is identified, the hazard identification form must be filled out and tracked until the hazard is mitigated. In the event of serious injury or death, the Safety Department will conduct a formal investigation.

- a. Fatality
- b. Fractures
- c. Injury or illness resulting in immediate admittance to the hospital
- d. Amputation
- e. Deep cuts
- f. Severe burns
- g. Electric shock
- h. Sight impairment
- i. Loss of consciousness or concussions

3.2.3 REPORTING ACCIDENTS

3.2.3.1 Reporting to UDOT SSO

Reports and corrective actions are available to UDOT which includes all events that meet reportable UDOT thresholds and are reviewed during monthly coordination meetings.

In conducting an accident or serious occurrence investigation, UTA will provide UDOT SSO with the following:

Preliminary Written Report: As soon as possible after the accident, but within three business days the transit agency must email preliminary written information, including any accident investigation summary information, preliminary reports from field personnel, and other available information.

Investigation Status Report: At the request of UDOT SSO, UTA will provide a report indicating status of the investigation, including any significant new reports or report components, and any preliminary investigation conclusions within 10 days of the accident.

Draft Final Accident Report: Within 30 days of the accident, the Safety department will submit a draft final report to UDOT SSO for acceptance. This report will include the corrective action plan (CAP) as approved by the UTA Accident Evaluation Group (AEG). If UTA requires additional time to complete the investigation activities, then UTA shall request additional time from UDOT SSO.

Final Accident Report: After UDOT adopts the draft accident report, as signified by the SSO's signature, UTA will create a non-alterable version of the final report and submit it to UDOT SSO. UTA will retain final reports on the safety network drive.

The Draft Final Report must contain the following information, at a minimum:

- a. Executive summary
- b. Sequence of events, including a comprehensive description of injuries, fatalities, and property damage with estimated dollar value
- c. Clear description of events before, during, and after the accident/incident
- d. Findings and analysis, including investigation activities
- e. Description of the investigation process and methodology
- f. Description of post-accident/incident testing and research conducted
- g. Employee training, drug and alcohol testing, and fatigue considerations
- h. Information and feedback from employees interviewed
- i. Post-event inspection of infrastructure, vehicles, or facilities
- j. pre-event compliance with required maintenance
- k. Sufficiency of UTA's existing training, rules, and procedures
- l. sufficiency of existing design
- m. Conclusions, including any findings
- n. Probable and contributory causes
- o. Recommendations to prevent reoccurrence
- p. Supporting analysis to defend any recommendations made
- q. Short- and long-term actions

- r. Changes to rules, policies, or procedures
- s. CAP(s) to address any findings resulting from the investigation.

UDOT reports all reportable FTA events in an annual report.

3.2.3.2 Reporting to FRA

The UTA Safety Department will submit required reports per 49 CFR 225, for accidents/incidents using the AIRGNET reporting software, for accidents/incidents that occur within FRA operating territory.

3.2.3.3 Reporting to National Transit Database (NTD)

As part of complying with reporting requirements to the Nation Transit Database, UTA will submit monthly safety summary event reports (S&S-50) and any major event report (S&S-40) forms for both bus and light rail operations that meet reporting thresholds defined by the NTD within 30 days.

UTA submits monthly safety summary event reports (S&S-50) that include incidents of physical and non-physical assaults on transit workers and operators. These reports would then be shared with the ASSC.

3.2.3.4 Reporting within UTA

The UTA safety reports are made available to the Director of Safety and Security (DSS), Chief Operating Officer, and Regional General Managers (RGMs). Reports will be forwarded by the DSS to the ED as needed.

3.2.4 CORRECTIVE ACTION

3.2.4.1 Safety Department Review

The Safety department will initiate an investigation to determine causal or contributing factors for events it deems necessary. Findings from the investigation that identify serious or high hazards, will require a corrective action plan and will be placed on the safety department hazard log. The Safety department will then coordinate with the appropriate departments to develop a corrective action plan (CAP) and fill out a CAP for the identified hazard. The CAP form will be assigned a number and placed on the hazard log with the corresponding hazard for tracking purposes.

The corrective action plan will contain:

- a. Action to be taken
- b. Proposed completion date
- c. Individual or department responsible for implementation

3.2.4.2 UDOT Review

UTA will develop a corrective action plan (CAP) for submission to UDOT when:

- a. Results from an Safety Event investigation contain identified causal factors that are determined by UTA or UDOT as requiring corrective actions
- b. Hazards or deficiencies are identified from internal reports and audits performed by UTA or UDOT

The corrective action plan will contain:

- a. Action to be taken
- b. Proposed completion date
- c. Individual or department responsible for implementation
- d. Process or plan for implementation of plan
- e. Date Corrective action plan was opened
- f. Identify noted deficiency/finding/hazard
- g. Cost-resolving deficiency, if known or applicable

As part of developing a corrective action plan, UTA may employ the use of an accident evaluation group (AEG).

An accident evaluation group will be organized to evaluate the following events:

- a. Fatalities
- b. Incidents involving multiple medical transports from the scene
- c. Major component or system failure

The AEG will be comprised of key UTA staff from various departments that will have a role in the development of the CAP. UDOT SSO will be an invited member to applicable AEG meetings and play an active role in identifying causal or contributing factors.

Each CAP resulting from an investigation, or from hazards or deficiencies identified, will be made available to UDOT SSO for review. The CAP form will be assigned a tracking number and placed on the hazard log with its identified hazard. Upon completion of the corrective action, the Safety department will submit to UDOT the completed CAP form for adoption, signified by UDOT SSO's signature on the CAP form. The hazard log will then be updated to show the status of the identified hazard with its CAP to "CLOSED".

UTA will monitor all corrective action plans with the use of the safety department hazard log and will provide UDOT with an updated log monthly.

3.3 SAFETY DATA COLLECTION AND ANALYSIS

3.3.1 DATA COLLECTION

Safety data is collected and stored by the safety department personnel on a secured network drive (Safety Department S:\ Drive). It is reviewed, analyzed, and provided in the Agency Safety & Security Committee (ASSC) meetings to assist the organization in eliminating hazards (see [APPENDIX A-2](#)).

Safety critical hazards are identified, investigated, reviewed, resolved, and tracked by the SSRC committee through the UTA TRAX and FrontRunner Safety Department Hazard Logs. The TRAX Safety Department Hazard Log is made available to UDOT SSO at any time through the Safety Department S:\\ Drive. SSO Manager has been given access to this drive to enable UDOT to have access to various data and documents.

TRAX accidents, incidents, and other safety events are recorded and tracked by the Safety Department using the light rail event tracker. The light rail event tracker is provided to the UDOT SSO quarterly prior to the quarterly meeting. It is also stored on the S:\ Drive which UDOT has access to.

In addition, UTA personnel involved in an accident or incident are required to complete UTA's accident/incident report form (green sheet). On-scene supervisors file supervisor's accident /incident report forms. Copies of these documents, as well as any pictures are copied into the Safety Department drive by the Safety Administrator. Safety Events, require a UTA Safety Administrator to complete a safety department investigation form.

UTA also obtains data from the NTD, US DOT, the National Safety Council, NTSB, APTA, and other transit organizations.

The Safety Administrator(s) reviews TRAX and FrontRunner's control center's daily logs and records events involving the rail system. Events meeting minimum threshold levels are reported to UDOT, FRA, and FTA as required by current regulations.

System event data is entered monthly into the National Transit Database, Commuter rail, and TRAX accidents occurring in FRA territory are reported to the Federal Railroad Administration using the on-line AIRGNET software provided by FRA.

Other sources of data include:

- a. Control Logs
- b. Accident/Incident Reports
- c. Hazard Logs
- d. UTA Police Reports
- e. Employee Training records
- f. Maintenance Records
- g. Rules Checks Reports

3.3.2 DATA ANALYSIS

Data collected is analyzed on a regular basis and is used to evaluate safety performance and identify areas potentially requiring corrective action to reduce the number of events. Types of events that are used for this

analysis are areas where there is an increase or reoccurrence of accidents, incidents and occurrences as defined by the FTA.

Event data collected is also used to determine goal-specific KPIs required by the FTA in specific areas including events, injuries, fatalities, and mean time between mechanical failures. Data collected is also tracked on UTA's safety dashboard and projects current accident rates while comparing them to the prior year. This data evaluation is used to determine the effectiveness of implemented mitigations and areas needing further evaluation and corrective action.

Rules checks, close calls, and interviews are used as a means of proactive risk mitigation and are tracked on UTA's safety dashboard and are used to find, fix, and follow up on hazards identified and tracked on UTA's hazard logs.

3.3.3 CONTINUOUS IMPROVEMENT

UTA uses the concepts of continuous improvement throughout its entire organization including safety. UTA's utilization of the safety department hazard log and local department hazards logs allows for this process to be utilized. Safety committees review local department hazard logs on a monthly basis and create corrective actions for identified hazards. All closed hazards are documented and kept for historical reference for the purposes of tracking reoccurring hazards that may require additional mitigation. Safety department hazard logs are also reviewed on a monthly basis by the SSRC. The effectiveness of corrective actions that have been implemented are often used to determine if a specific hazard's risk has been sufficiently reduced needed for closure.

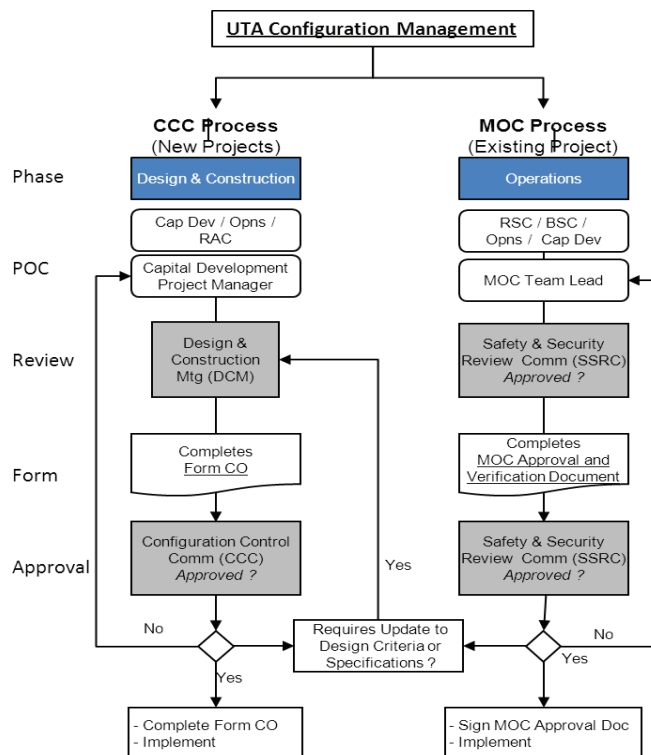
3.4 SYSTEM MODIFICATIONS (MANAGEMENT OF CHANGE)

System Modifications at UTA refer to changes in existing operating systems that require review and approval by the agency. Generally, the types of systems that operate within UTA consist of bus, light rail, and commuter rail. Included with each system type are the elements necessary to maintain revenue service operations for UTA's customers. Because existing operating systems have previously gone through UTA's rigorous safety and security verification and certification process prior to approval for beginning revenue services, system modifications at UTA utilize the Management of Change (MOC) process. The Safety and Security Review Committee (SSRC) chaired by the Safety Manager provides direction and oversight of any system modification.

The system modification process at UTA is designed to evaluate proposed changes and either mitigate entirely or minimize any impacts those changes will have on the people, procedures, equipment, vehicles, and environment of the system affected by the proposed changes. The safety and security concerns for these changes will be addressed and resolved prior to initiation of the change, or implementation within the system. All modifications of rail vehicles that meet the MOC criteria must first be reviewed and approved by the Manager of Technical Services prior to being presented to the SSRC for final approval. This process is outlined in light rail SOP 4800-0300-351 "Configuration Control of Light Rail Vehicle Fleet".

Configuration Management at UTA coordinates new systems or extensions by the Capital Projects Department before they are implemented in the existing operating environment and is managed through the Configuration Control Committee (CCC) process during design and construction. The CCC process is more fully explained in the Capital Development SOP No. #003 and outlined in [Configuration Control Committee \(CCC\) \(4.1.2.8\)](#). The CCC process is managed at UTA by the Capital Projects Department and has representatives from each process involved at UTA. Capital Projects Department personnel will follow project guidance as outlined in the Project Control User Manual, Document Control (Section 4.0), and the development of files and file codes for projects as well as the electronic storage of documents in the SIRE system.

The flowchart on this page illustrates the current configuration management process.



3.4.1 MOC AUTHORITY

The authority to manage system changes is derived from the ED of the Utah Transit Authority. The responsibility for implementing and enforcing MOC processes falls under the authority of each UTA executive and manager. Responsibility for change approvals falls under the authority of the Safety and Security Review Committee (SSRC), which is comprised of a group of experienced design, maintenance, and operational personnel from Bus, TRAX, FrontRunner, and Capital Projects Departments.

3.4.2 MANAGEMENT OF CHANGE (MOC) PROCESS

The MOC process is an internal review and approval process managed by the SSRC. Proposed configuration modifications to existing bus, rail, and facilities infrastructure, systems, equipment, or vehicles will be reviewed and formally accepted for implementation by the SSRC committee. Each proposed change must be evaluated to determine the impact on an existing system regarding the areas of maintenance, operations, safety, and environmental, and security effects prior to any changes.

The goal of the MOC process is to ensure that UTA systems continue to provide a level of safety equivalent to or better than the existing system. The MOC process applies to existing bus and rail services systems, vehicles, facilities, and equipment. This process is intended to prevent unauthorized changes that could compromise safety or introduce a hazard without approval.

The MOC process complies with UDOT SSO's program standard; FTA's general requirements, guidance, and circulars; and FRA guidelines to ensure that safety hazards and concerns are adequately addressed in modifications to existing systems, vehicles, and equipment.

The process for implementing MOC solutions is as follows:

1. During normal operations, inspections, audits, or accident evaluations the bus and rail safety committees (BSC, RSC), or Capital Projects develop corrective action plans (CAPs) or planned modifications. If the cost of the CAP requires interdepartmental, intergovernmental coordination, or exceeds \$ 5,000, the RSC/BSC will form a MOC team with a team lead (TL).
2. The TL will coordinate the resolution and complete the MOC approval and verification document (MOC document, format provided at end of this section).
3. The MOC action will be entered on the MOC log with a number assigned, as maintained by the Safety Department.
4. The issue and recommended solutions will be coordinated with the different affected departments during the development of the MOC document.
5. The MOC document, with recommended modification or corrective action, will be presented by the MOC TL at the SSRC for review and approval. It is recommended that the issue be brought to SSRC at the earliest opportunity to discuss the issue and provide direction, prior to presentation for approval.
6. The SSRC will review the proposed action, based on the considerations listed in the following section.
7. If approved by the SSRC, a minimum of two members will sign the MOC document.
8. MOC TL will implement the CAP, documenting compliance with the provisions stated.
9. When completed, the MOC TL will provide evidence to the SSRC of implementation and required integration testing or operational checks. As-built plan drawing changes and As-In-Service software (if applicable) will be given to the department responsible for future maintenance of the change.
10. Red-line drawings and As-In-Service software (if applicable) will be received from the contractor or other worker. These drawings and software will be filed within SIRE (electronically preferred) and provided to Capital Projects Engineers and or Facilities Maintenance Drawings.

The MOC log and corresponding hazard logs will be updated with the close-out date of the completed action.

3.4.3 MOC ACTION CONSIDERATIONS

The SSRC will consider, at minimum, the following issues when evaluating a MOC action for approval:

- a. Safety issues or hazards associated with the changes, including impact to safety-functional or safety-critical hazard mitigation processes
- b. Environmental compliance issues
- c. Security issues
- d. New or modified maintenance concerns
- e. Operations impacts of the change
- f. Impact on operating rule book or standard operating procedures
- g. Impact on public
- h. Impact on personnel
- i. Impact on other systems, including Positive Train Control (PTC)
- j. Funding source
- k. Schedule for implementation
- l. Effect on safety certification process and critical items list (CIL)

3.4.4 MOC LOG

The management of change log will record each requested and implemented action. A number will be assigned corresponding to the current year, then sequential number (12-001, 12-002, etc.). The MOC log will be maintained by the Safety Department on the safety drive (S:\).

3.4.5 NOTIFYING DEPARTMENTS

The MOC approval and verification document will be used to ensure notification to and coordination with affected departments. The document will provide a review of the action and recommendations to the department representative. The designated department representative will sign off on the document.

3.4.6 MOC APPROVAL AND VERIFICATION DOCUMENT

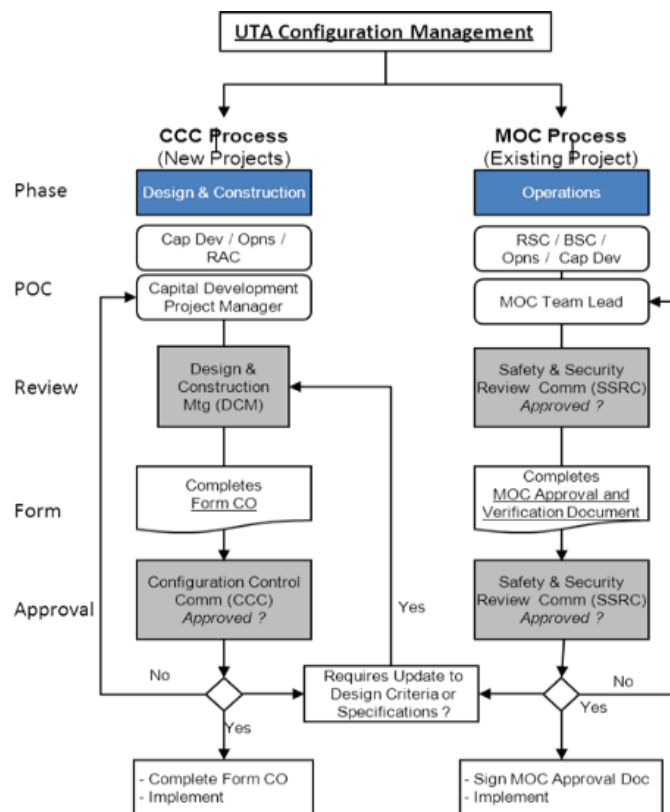
The management of change process for each action will be presented to the SSRC with an approval and verification document in the following format with the requested information. Coordination, approval, and verification of signatures will be completed at the appropriate time during the process

A sample MOC approval and verification document is provided in [APPENDIX A-10](#).

3.5 CONFIGURATION CONTROL

Configuration control within UTA is managed through the Configuration Control Committee (CCC) process during design and construction, and the O&M Change Control Committee during operations. The CCC process is managed for UTA by the Capital Projects Department. The MOC process is managed by Operations and Maintenance in coordination with the Safety and Security Director.

The CCC process is managed for UTA by Capital Projects and coordinates new systems or extensions before they are implemented in the existing operating environment. Project managers employ the Project Management Plan (PMP) to guide capital project development and implementation. The Project Management Plan (PMP) will be used in conjunction with the Project Control User Manual by the Project Control Specialist. This manual is updated periodically and contains directions for as-built and document control procedures. Specific guidance for document control procedures, File Creation (4.2), File codes, SIRE use (4.2), is provided in The Project Control User Manual Section 4.0. Smaller projects may include an abbreviated PMP specific to the project. Representatives from each involved department and safety are represented in the CCC process. Notification of project changes to existing structures or facilities that might have potential safety or security impacts to affected UTA personnel is critical. Additionally, the public or other affected groups shall be notified of any change which might have potential safety or security impacts. Affected personnel are invited to participate in project meetings and coordinate any changes. Additional training may be required. Operations and maintenance procedures, bulletins or SOPs may need to be developed. The general public may be affected. The Public Relations Department will assist with communications to outside agencies or affected groups and is an essential element of communication that must take place from the beginning of any project and at various stages of a project through completion and implementation of services impacted by a project. Any negative or hazardous impacts observed by a change must be reported to management personnel as soon as possible.



The flowchart illustrates the current configuration management process. For detailed discussion of the management of change process and documentation, see section [SYSTEM MODIFICATIONS \(MANAGEMENT OF CHANGE\)](#) 3.4.

The process always asks if any modifications to the design criteria are required. If so, changes are vetted through the Design and Construction Meeting (DCM) and incorporated into the next update of the criteria.

3.6 SYSTEM SAFETY AND SECURITY CERTIFICATION

3.6.1 SAFETY AND SECURITY CERTIFICATION PROGRAM

The Safety and Security Certification (SSC) program is intended to help ensure that safety and security concerns, hazards, threats, and vulnerabilities are adequately addressed prior to the initiation of passenger operations for new rail and bus transit systems and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment. Such projects include:

- New rail and bus transit systems or system expansions
- Major reconstruction of existing lines
- Major redesign and installation of system components
- New or significantly reconstructed maintenance and operating facilities
- New vehicle procurements or mid-life overhauls
- Other projects deemed to have significant safety implications, including projects implemented by others that have a direct impact on the operations of UTA

UTA's System Security Plan and Emergency Preparedness Plan (EPP), separate documents, integrate and interacts the process for managing threats and vulnerabilities into the safety certification process.

Safety certification takes place throughout a project. It begins at the initiation of the design of a project, is carried through construction, mitigating hazards in the process, evaluated during start-up and testing, and transitioned into operations.

UTA will also ensure that UDOT is invited to participate, as appropriate, in SSC-related meetings, document reviews such as engineering/design, and on-site project activities during the construction phase. UTA understands that UDOT may issue specific findings, guidance, or directives to the transit agency to address safety and security issues related to certifiable elements, certifiable items, and potential workarounds and will include those into the project SSC program as appropriate.

3.6.1.1 Safety and Security Major Capital Project Plans and Documents

UTA will develop a Safety and Security Certification Plan (SSCP) for each major construction or installation project. If the project is light rail-related, UTA will provide a copy of the SSCP plan to UDOT for review and comment feedback.

For FTA-funded capital projects that require an SSC program, UTA will also develop a Safety and Security Management Plan (SSMP) as part of the larger Project Management Plan requirements.

For capital projects that do not require an SSC program for FTA funding, UTA will access the project scope factoring in the size and complexity of the project to determine what elements from the SSC program to apply to ensure that the necessary safety and security elements are implemented into smaller projects. The level of the SSC program implemented for each project will be documented in the project documents along with the decision to exclude certain portions of the certification program.

The following documents guide the safety certification process during a major capital project:

Project Plans (with Safety Input)	Abbreviation	UTA Owner
Activation Plan	AP	Project Dev (Cap Dev)
Bus Fleet Management Plan	BFMP	Project Manager
Construction Emergency Mgmt & Response Plan	ERP	Contractor by Project
Construction Safety Program Manual	CSPM	Contractor
Document Control Plan	DCP	Capital Projects
Emergency Preparedness Plan	EPP	Public Safety
Operation & Maintenance Plan	O&MP	Project Manager
Operational Hazard Analysis	OHA	Safety Admin.
Preliminary Hazard Analysis	PHA	Project Manager
Project Management Plan	PMP	Project Manager
Rail Fleet Management Plan	RFMP	Project Manager
Rail Service Plan	RSP	Rail Ops
Real Estate Management Plan	RAMP	Project Manager
Safety & Security Certification Plan	SSCP	Project Manager
Safety and Security Certification Verification Report	SSCVR	Mgr Qual and Const Oversight
Safety & Security Mgmt Plan	SSMP	Project Manager
System Integration Test Plan	SITP	Contractor
System Security Plan	SSP	Manager of Security

3.6.2 HAZARD ANALYSIS

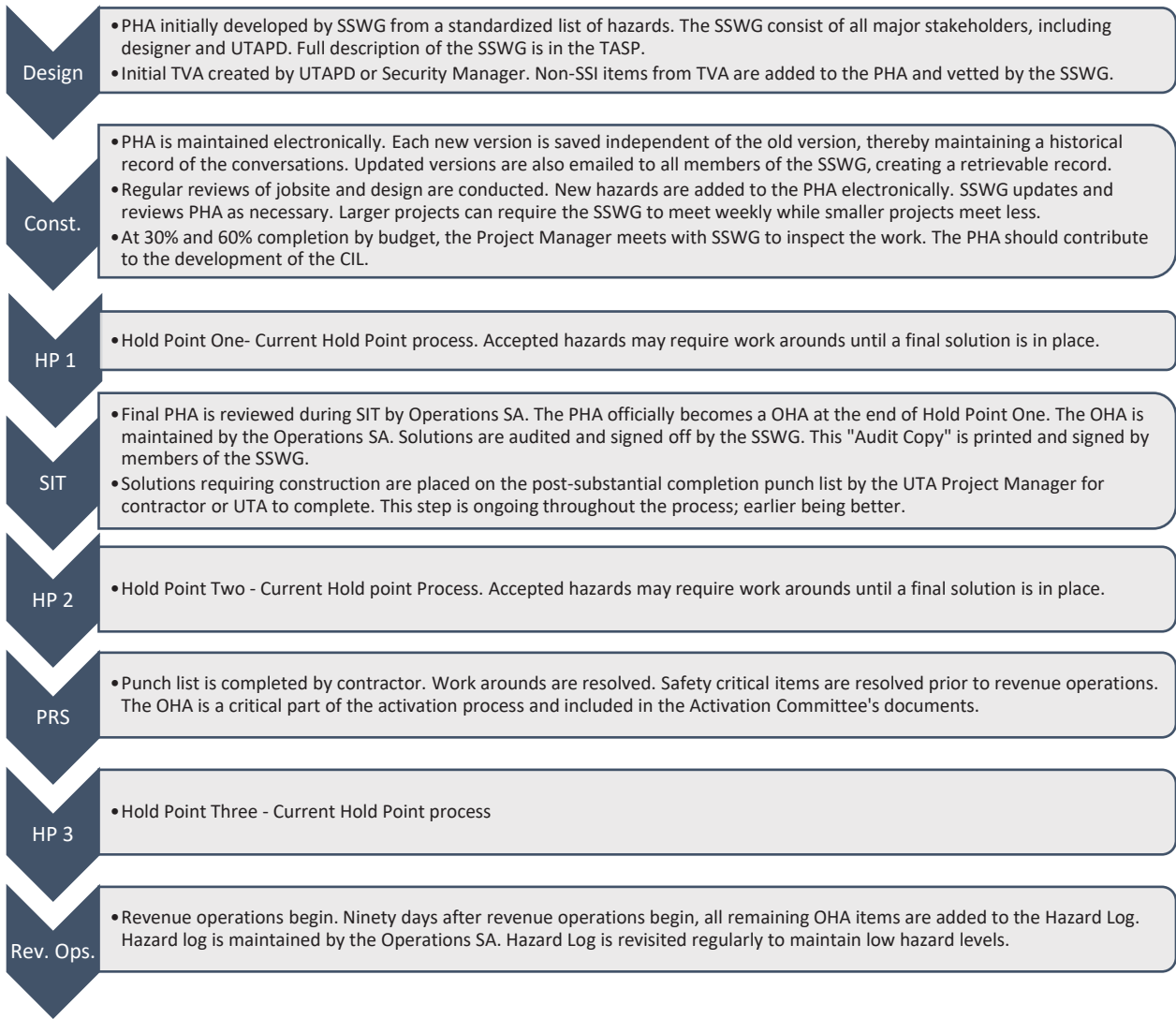
Risk analysis during the project's design and design safety reviews provides the basis for developing a preliminary hazard analysis (PHA) for the project. This PHA, typically maintained in a matrix log for the project, identifies hazards and potential hazards along the corridor, at platforms, and in park-and-ride lots. The hazards are rated based on the risk analysis matrix (see [2.1.4.3 UTA Hazard Analysis Matrix](#)) and possible solutions to these hazards are proposed. The solutions are then evaluated and incorporated into the design to mitigate or reduce the hazards to the maximum practicable extent.

Similarly for security aspects of the project, and the UTA system as a whole, a threat and vulnerability analysis (TVA) is conducted on each project. Elements identified in the TVA that can be designed out of the system, are incorporated into the construction of the project.

During the initiation of testing and systems integration, additional operating hazards are identified and incorporated into the hazard analysis matrix. This is the start of a transition from a PHA to an operating hazards analysis (OHA). Resolutions to these hazards are incorporated into the construction or testing efforts, or a procedure for operations is written to be used during operations.

At the completion of systems integration testing, and prior to pre-revenue operations, the PHA/OHA is reviewed to determine all the hazards that have been eliminated, mitigated, or accepted. The solutions implemented (design, rule, procedure) are noted on the matrix. The OHA remains active throughout pre-revenue and 90 days into revenue operations. The remaining hazards, not mitigated or accepted after 90 days, will be incorporated

into the safety department hazard log for that mode of transit (commuter rail, light rail, bus) to be tracked and resolved in the hazard management process (see [2.1.4.3 UTA Hazard Analysis Matrix](#)). An illustration of this process follows this section.



3.6.2.1 Facilities Hazard Analysis



3.6.3 PROJECT CERTIFICATION/HOLD POINT PROCESS

UTA's hold point process is important to verify that all prior steps of the certification process are complete, with any necessary hazard/open item mitigations established before the next phase begins.

UTA's "Hold Point" safety certification process is documented in the Activation Plan (AP), a separate document for each project, through the Activation Committee (AC). The AC will follow a proactive approach to examine, identify, and document safety and security critical certifiable elements and sub-elements; utilizing UTA's approved certifiable items lists (CILs) for each certifiable element.

The RAC will maintain a master safety and security certifiable items list (CIL) for internal distribution, review, consideration, and incorporation of key safety critical elements and items into the Safety and Security elements of UTA's Design Criteria and checklists. (See [APPENDIX A-8](#)). These documents are used to improve the safety and functionality of system design, promote effective and efficient use of resources, reduce the number of workarounds and change orders, and reduce hazards in service and maintenance.

Hold Points are conducted before each commissioning phase of the project. Structured reviews and associated approvals will ensure a comprehensive review of all conditions before each phase is started to minimize, mitigate, or eliminate potential safety, testing, or operating issues. These phases include the following:

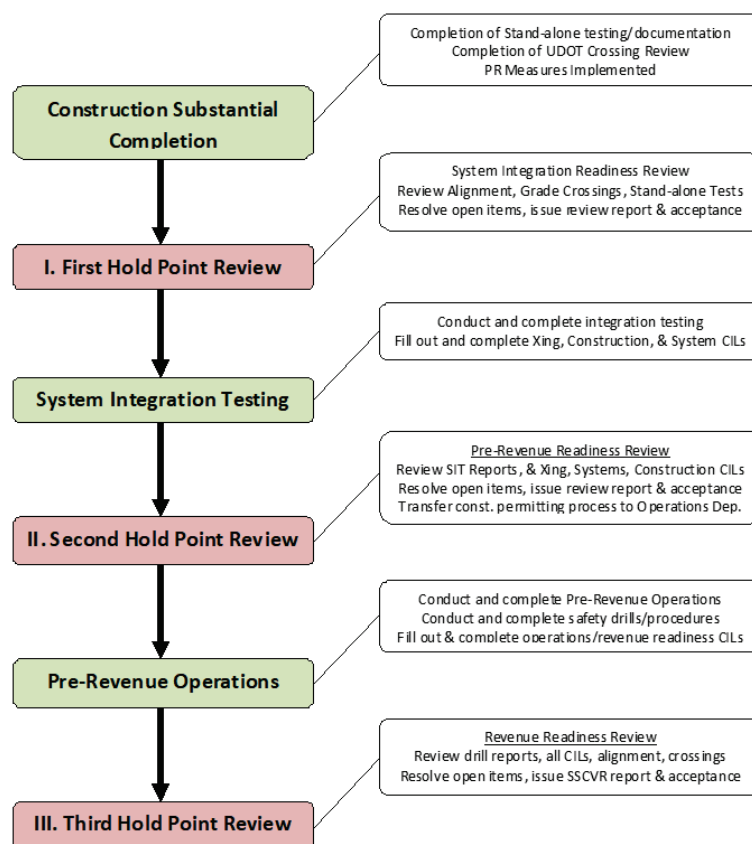
- a. System integration/testing (SIT) Hold Point 1
- b. Pre-revenue operations (PRO) Hold Point 2
- c. Revenue operations (RO) Hold Point 3

A comprehensive review of all conditions will be conducted during the hold point period to eliminate or resolve all potential safety issues. Each of the three commissioning phases of a project presents a new set of operating conditions that can introduce safety concerns and/or hazards unforeseen during the design and construction process. The rail systems activation specialist is responsible for conducting all hold point reviews. He/she will coordinate the overall safety review effort, including the issuance and distribution of each report, indicating approval, by signature, to move to the next phase of commissioning.

During the activation hold point process, a report will be generated for each of the three hold points. Generally, each report will consist of the following details:

- a. Participants - those who are required to participate in the safety review.
- b. Zones/reaches/areas which are reviewed.
- c. List and verification of items or activities (CILs, testing) required and successfully completed.
- d. Findings as a result of the review of the area, which require corrective action or approved workarounds.

Each report will be signed by the RAC members, and then by the approval authority, typically the Safety and Security Director before moving to the next phase of commissioning. Samples of the Hold Point approval documents are provided in [APPENDIX A-9](#).



The Mgr Qual and Const oversight prepares the final project safety and security certificate verification reports (SSCVR), with an exception/restriction resolution schedule and acceptable workarounds. The reports also summarize the project readiness for revenue service by issuing certificates of compliance for each certifiable element, to the SSRC for review and acceptance. At the final hold point, the SSCVR is then submitted to the UTA ED and GM for formal approval by UTA's executive management. UTA will also make available the SSCVR testing and certification documentation for UDOT review and comment at least 120 hours (five days) prior to revenue service.

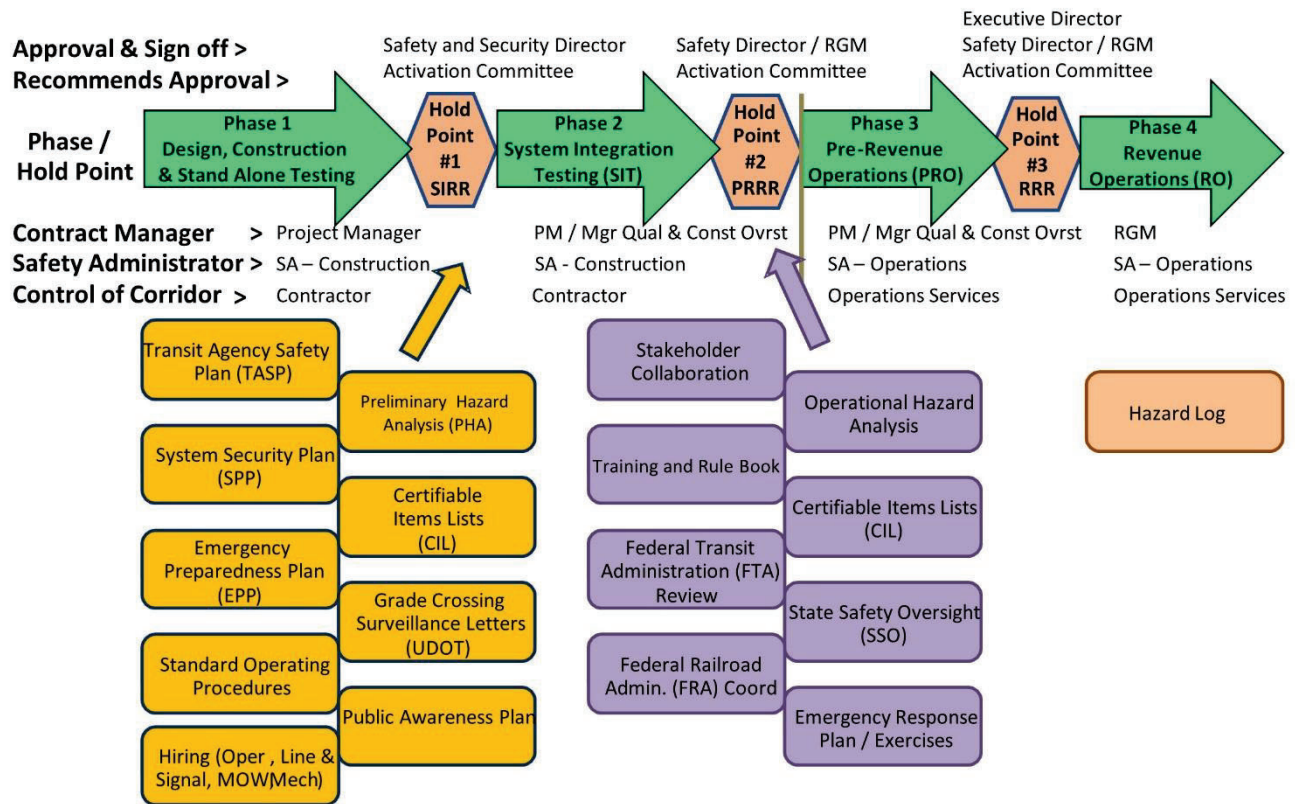
The SSCVR must include:

- Completed certificates of conformance or certificates of completion
 - Signed by all required stakeholders
 - Include an overall project certificate
 - Include individual certificates for each safety-certifiable element, such as, but not limited to, track, tunnels and structures, signaling systems, power systems, rail vehicles, facilities, stations, grade crossings, documents and plans, staffing and training
- Completed certifiable items lists with references to verification completed
- Include a list of all safety-certifiable elements that have not yet been completed, along with a description of mitigations and/or plans to complete each unfinished item

UDOT will respond with its comments no later than 48 hours (two days) before revenue service is expected to begin. If UDOT or a signatory to the SSCVR identifies open items that have not been mitigated, or testing/certification that has not been completed, revenue service cannot occur until those items have an implemented mitigation or are completed.

The ED will issue the project's final safety and security certification verification statement to the appropriate oversight agencies, authorizing UTA to commence passenger service pursuant to UTA's TASP.

Activation “Hold Point” Process



3.6.4 QUALITY ASSURANCE

Large projects at UTA have a quality assurance/quality control (QA/QC) function built into the design and construction of the project. Specific personnel are responsible for QA/QC activities. In general, QA/QC activities in large projects follow standard industry practice and are subject to review by the FTA and others. Quality control during construction projects is a requirement of the contractor and is submitted in the Quality Management Plan (QMP) and approved by UTA prior to initiation of construction. UTA retains qualified inspectors and testing firms to provide Quality Assurance by document submittal reviews and periodic testing of materials throughout the project. On large federally funded projects, UTA and construction personnel will visit the manufacturing sites of rail & bus products to ensure quality prior to these products being shipped to the site.

The Supply Chain Department handles quality assurance for day-to-day procurement, inventory, and warehouse activities. Received goods are compared to items ordered, lot numbering, or other certifications as required on safety-critical items. Where applicable, receiving personnel ensure that lot number documentation is provided before materials are received or accepted. Periodically, purchasing personnel or Safety Administrators will randomly sample hardware, slings, lifting devices, and other devices for compliance with specifications. Items will also be periodically functionally tested to ensure they meet standards.

3.7 RULES COMPLIANCE

3.7.1 TRAX RULES COMPLIANCE

3.7.1.1 Documents and Publications

3.7.1.1.1 *TRAX Rule Book and Standard Operating Procedures (SOPs)*

The TRAX Rule Book and Standard Operating Procedures (SOPs) describe policies, rules, and practices regarding the TRAX light rail system. The TRAX Rule Book and SOPs are maintained by Rail Service Operations. The TRAX Rule Book is reviewed annually, and SOPs are reviewed as needed, with a deep review to be held every three years by the Light Rail Services Policy and Procedure Review Forum (PPRF) and approved by the Regional General Manager (RGM). Changes, additions, or revisions that have been reviewed and approved by the PPRF and the Light Rail General Manager are circulated to all employees, requiring each to provide their signature (either holographical when a paper version is distributed or digitally after completing a Computer Based Training (CBT) module reviewing a change) confirming they have read and understand the TRAX Rule and SOPs. Train operators and employees working in the right-of-way are required to carry a current rule book.

3.7.1.1.2 *TRAX Daily Operating Clearance:*

TRAX issues a Daily Operating Clearance (DOC) that lists and describes advisories, bulletins, work permits, and general comments. A Rule and SOP of the day are included on the Clearance. Yard and tail track movements are issued on a separate form. Employees are required to sign a daily log sheet confirming that they have read and received the daily operating clearance and yard and tail track movements for that date. UTA complies with all FRA rules, regulations, and programs with exceptions as described in the joint use waiver.

3.7.1.2 Rule Compliance Checks

3.7.1.2.1 *Operations: Operational Rule Compliance Testing*

Observation tests are conducted by operations and maintenance Light Rail System Supervisors and Managers as a part of their daily supervisory role to determine if an employee is compliant with rules, procedures, and regulations. Supervisors will conduct observed (the Rail System Supervisor is in plain view of operators) and unobserved (a Rail System Supervisor is making observations from a position that is not known or cannot be seen by operators) to ensure overall compliance. Each Rail System supervisor is required to perform observation tests every week during their field shifts at random times on random days based on train operations. All observation tests will be documented on the Operational Testing Form or by entering their observations into the Rules Observation Program (ROP). All paper records of operational tests are retained for three calendar years from the day of the test. Digital storage of entries into the ROP will be retained for three years from the date of entry.

Operations Personnel Supervisors conduct biannual efficiency checks of all train operators to determine an employee's ability to comply with rules, regulations, and procedures. The efficiency check results are recorded by the Personnel Supervisor and retained in the operator's training record folder. All operator training records are maintained by the operation training supervisor.

Light Rail System Supervisors/Light Rail Control Supervisor are evaluated for rules compliance by undergoing periodic controller and system evaluations conducted by management. Applicable evaluation forms are

completed by the management and signed by management. Completed and signed evaluation forms are filed in the evaluated supervisor's training record folder. All supervisor training records are maintained by the operations supervisor trainer.

3.7.1.2.2 Maintenance of Way

Maintenance employees are randomly checked for compliance with rules set forth by the FRA. As part of conducting rules compliance audits, supervisors fill out a corresponding form containing a rules compliance checklist for each employee. General safety compliance checks, passing and non-passing findings are tracked in a log maintained by the maintenance department.

Processes for compliance checks that are specific to UTA's roadway worker protection (RWP) program are outlined in the Roadway Worker Protection Manual.

3.7.1.2.3 LRV Maintenance

LRV Maintenance managers and supervisors conduct rules checks during their shift. These rules checks are documented on the LR vehicle maintenance pass down. Various items checked are employee adherence to using Blue Flag, Lockout Tag-Out, placement of chains (including forklifts), and crane inspections. This process is followed for all LRV running maintenance at each light rail shop. There is a QA/QC Supervisor that audits the weekly checks and reports the findings to the assistant managers for follow up and corrective action. This information is stored on the vehicle maintenance SharePoint page under QA/QC.

3.7.1.3 Reports and Data Analysis

Results of the operational tests are compiled on a rolling quarterly basis and reviewed by the Manager of Rail Operations or other designated person(s) and forwarded to the Safety Administrator every calendar quarter. A written form of the discussion and review will be provided to the Safety Department within 30 days after the end of the quarter. Additional information regarding operational tests is available to the Safety Administrator as needed on request.

3.7.1.4 Enforcement

3.7.1.4.1 Violations

Rule violations are addressed through the corporate positive people management process (PPM) which includes coaching, retraining, and formal discipline (performance agreement and termination) that may result in termination. See UTA Corporate Policy 6.3.1. Rail Operations maintains a log for all stop indications and wrong route violations and may further investigate any rules violation that is reported, or that may be part of an accident or incident. Additionally, all accidents and incidents are reviewed by ~~supervisors~~ Personnel Supervisors and the Safety Administrator to determine if rules have been violated, or if revisions, changes, or additions are necessary.

3.7.1.4.2 Hazard Management

The Safety Administrator may incorporate violation trends or deficiencies for any rule or procedure into the hazard management program for resolution. Hazards unresolved by the Rail Safety Committee (RSC) are directed to the SSRC committee for further tracking, review, resolution, and or correction.

Non-compliant audit findings determined to be hazardous are documented in the safety department hazard log. A date of observation, description of the hazardous condition, corrective action required, and implementation

date are tracked until the hazardous condition is corrected. See the Hazard Management Program portion of the TASP for further information.

The Safety Administrator conducts ongoing and regular observations, reviews, and audits to determine the effectiveness of the rule compliance program.

Rail Service and the Rail Safety Committee review rules and procedures regularly to determine if changes, revisions, or additions are necessary.

3.7.2 FRONTRUNNER RULES COMPLIANCE

3.7.2.1 Documents and Publications

3.7.2.1.1 *General Code of Operating Rules (GCOR)*

FrontRunner uses the GCOR as its primary rule book for both operations and maintenance. The GCOR is updated frequently through biannual national committee meetings and published every five years. UTA has a representative at these meetings.

3.7.2.1.2 *System Special Instructions (SSI) and General Orders*

FrontRunner publishes a set of System Special Instructions (SSI) annually which are rules and instructions that are specific to operations. These changes include GCOR rule revisions, safety rules, signals, yard procedures, etc. Between publications of the SSI, a general order may be issued to add or revise a rule if needed. All operations employees must read, sign for, and carry all issued general orders until such time as they can be incorporated in the next version of the SSI.

3.7.2.1.3 *FrontRunner Timetable*

Operations employees must remain aware of and familiar with the FrontRunner timetable. The timetable contains information such as speed restrictions, station locations, switch speeds, siding locations, and other specific information that pertains to FrontRunner track.

3.7.2.2 Rule Compliance Checks

3.7.2.2.1 *Operations: Efficiency Testing*

To enforce rule compliance all FrontRunner operators and controllers Dispatchers are subject to efficiency testing per 49 CFR 217. Efficiency testing is regulated by a designated testing officer and carried out by a select group of efficiency testing supervisors. Each efficiency testing supervisor is tasked to complete a minimum number of four efficiency tests of tests per quarter. At the end of the quarter, the designated efficiency testing officer compiles a report summarizing the results for the quarter. The report is then kept on file for review by the FRA.

All operations employees must attend yearly “rules classes.” These classes cover all rule changes, additions, deletions, and revisions. Employees must pass a test given at the end of the class with a score of at least 90 percent.

3.7.2.3 Enforcement

3.7.2.3.1 Violations

Rule violations are addressed through the corporate Positive People Management process (PPM) which includes coaching, retraining, and formal discipline (written notification and performance agreement) which may result in termination. See UTA Corporate Policy 6.3.1. De-certifiable violations are recorded in the personnel file. All accidents and incidents are reviewed by Management and the Safety Administrator to determine if rules have been violated, or if revisions, changes, or additions are necessary. Additionally, all major accidents are reviewed by an Accident Evaluation Group. Hazard Management

The Safety Administrator may incorporate violation trends or deficiencies for any rule or procedure into the hazard management program for resolution. Hazards unresolved by the Rail Safety Committee (RSC) are directed to the SSRC committee for further tracking, review, resolution, and or correction.

Non-compliant audit findings determined to be hazardous are documented in the hazard log. A date of observation, description of the hazardous condition, corrective action required, and implementation date are tracked until the hazardous condition is corrected. See the Hazard Management Program portion of the TASP for further information.

The Safety Administrator conducts ongoing and regular observations, reviews, and audits to determine the effectiveness of the rule compliance program.

Rail Service and the Rail Safety Committee review rules and procedures regularly to determine if changes, revisions, or additions are necessary.

3.7.3 BUS RULES COMPLIANCE

3.7.3.1 Documents and Publications

3.7.3.1.1 *Bus Operations Employee Handbook and Standard Operating Procedures (SOPs)*

In the Bus System, the Bus Operations Employee Handbook and Standard Operating Procedures (SOPs) describe its policies, rules, and practices regarding the Bus system. The Employee Handbook and SOPs are maintained by Bus Operations, reviewed annually, and approved by the Chief Operating Officer and Bus Regional General Managers (BGM). Changes, additions, or revisions are circulated to all employees affected by them.

3.7.3.1.2 *Detours, Bulletins, Notices and Memos*

Route detours are issued daily to all bus operators checking out their work for the day. As needed; bulletins, notices and memos addressing system issues, temporary changes in the operating system, and changes in work duties are issued as needed. Not all changes affect all operators therefore bulletins, notices, and memos issued do not require a signature from all operators. Employees are required to sign for critical information confirming that they have received, read, and understand the written instructions. UTA complies with all local, state, and federal requirements including but not limited to DOT, UOSH, FTA rules, regulations, and programs.

3.7.3.2 Rule Compliance Checks

3.7.3.2.1 Operations: Operational Rule Compliance

Light Rail management and supervisors are tasked with performing rules compliance checks and observations. Observations are conducted as a part of their role to determine if an employee is compliant with rules, procedures, and regulations. Managers and Supervisors spend time observing and performing compliance rules observations, accident investigation, responding to operational needs as they encounter them, etc.

When an Manager or Supervisor observes a rules violation they will address the issue with the Bus Operator immediately and complete an Observation Report (OR). The completed Operational Report form is then forwarded to the employee's immediate supervisor to address and follow up with the compliance issue.

Operational Supervisors issue an Operator Evaluation Report monthly to each of their team members. The Operator Evaluation Report addresses the following:

- a. Attendance
- b. Miss-outs
- c. Accidents (Both chargeable and non-chargeable)
- d. Complaints
- e. Commendations

3.7.4 SAFETY RULES COMPLIANCE CHECKS AND VERIFICATION

The Safety Department ensures Operations and Maintenance departments are in compliance with the rules and SOPs within their individual departments through the use of rules checks and verification audits. Findings from these checks are then forwarded to management for review and corrective action.

3.8 FACILITIES, STRUCTURES, AND EQUIPMENT INSPECTIONS

UTA's bus and rail facilities and equipment will be inspected on a regular basis according to company policies and SOPs, equipment manufacturer's guidelines and recommendations, and as required by local, state, and federal regulations.

Rail Facilities Maintenance employees utilize a "Facilities Management and Maintenance Plan". Assignments are made to individual maintenance employees to ensure the purpose and scope of the plan is fulfilled.

3.8.1 FACILITIES AND EQUIPMENT TO BE INSPECTED

Operating facilities and equipment routinely inspected and tested by employees, supervisors, management, and safety and environmental personnel include the following:

- a. Bus and rail maintenance/support shops/administrative offices, and equipment within the shops
- b. Fire system equipment
- c. Safety eyewash and shower systems
- d. Floor and portable hoist systems and cranes
- e. Heating, air conditioning, lighting, and ventilation systems
- f. Hydraulic presses, grinders, welders, wheel-truing equipment, lathes, etc.
- g. Hazardous materials handling and storage, etc.
- h. Locomotives, cab-cars, passenger cars, light rail vehicles, and buses
- i. Support equipment (i.e. rolling stock) including high-rail vehicles, track maintenance vehicles, bucket trucks, loaders, forklifts, aerial lifts, etc.
- j. Infrastructure including rail station platforms, track, switches, OCS, bridges, grade-crossing equipment, etc.

3.8.2 TECHNIQUES, SCHEDULES, AND PROCEDURES

Preventative maintenance inspection schedules are generated through the computer system per equipment manufacturer's guidelines and recommendations, and as required by local, state, and federal regulations. A maintenance supervisor identifies upcoming PM inspections and assigns the work to their crew for completion. Inspectors use checklists (see 0) to identify potential physical hazards, unsafe equipment, unsafe acts, and policy and procedural deficiencies with the facility or equipment being inspected. Completed inspection reports and checklists are returned to the supervisor for review. Each department is responsible for maintaining inspection and repair records to confirm the inspection process.

3.8.2.1 M.O.W. (Line, Signal, and Rail Maintenance) Standards and Procedures

Line and Signal uses a maintenance of way plan "MOW Procedures" that outlines specific testing and maintenance procedures in accordance with FRA regulations. These are in accordance 49 CFR parts 233 - 236.

Right-of-way rail maintenance uses a maintenance plan "rail maintenance standards" to maintain the track in accordance with FRA regulations 49 CFR part 213. The standard outlines all aspects of proper maintenance and inspections regarding the track.

3.8.3 TRACKING AND RESOLVING HAZARDS IDENTIFIED DURING INSPECTIONS

Most safety hazards and concerns are resolved immediately by employees, and supervisors, and require no formal tracking process. Safety-critical hazards that cannot receive immediate attention are forwarded to the appropriate supervision and will be reported to the Safety Administrator or safety committee. An observed safety critical hazard that cannot be corrected promptly will be entered into the safety department hazard log for tracking purposes and managed by the SSRC committee. A corrective action plan, responsible person, and completion date will be assigned. Follow-up inspections will verify that the hazard has been resolved.

3.8.4 RAILROAD BRIDGE SAFETY MANAGEMENT AND INSPECTION PROGRAM

The railroad Bridge Safety Management Program (BSMP) has been developed and implemented by UTA to minimize damages and identify and repair deficiencies in bridges carrying UTA traffic, to safeguard their ability to carry UTA traffic, and to minimize the risk of human casualties.

Capital Projects Department personnel have the responsibility to manage and inspect all rail bridges in accordance with 49 CFR Part 237, Bridge Safety Standard. Rail Bridge Engineers will ensure that each structure is scheduled, inspected and any repairs or upgrades need to take place. Prior to all inspections, personnel will obtain a Rail Access Permit (FrontRunner or TRAX). Personnel will be current in training for Roadway Worker Protection and fully implement all necessary safety procedures during the performance of bridge inspections. Safety Department personnel have the responsibility to verify on a periodic basis (two inspections per year) the safe performance of the bridge inspection program.

3.9 MAINTENANCE AUDITS AND INSPECTION PROGRAM

3.9.1 EQUIPMENT OR FACILITIES MAINTENANCE AUDITS AND/ INSPECTIONS

It has been a long-established UTA policy and goal of the organization to prevent untimely and costly equipment failures. To this end, UTA has established inspection and preventative maintenance procedures for its track, switches and structures, overhead catenary system, signal system, vehicles with their associated mechanical and electrical components, and support equipment. Plans and guides are provided by Original Equipment Manufacturer (OEM) recommendations, Fleet Management Plans, Facility Maintenance Plans, and System Operations and Maintenance Plans.

During preventative maintenance processes, hazards observed that are a safety issue that need further evaluation should be presented to the Safety Committee, and the issue or hazard placed on the Local Hazard log. If the hazard is considered high or serious it will be placed on the UTA Corporate Safety Hazard Log. Hazards not resolved within 180 days are elevated to the corporate Safety and Security Review Committee (SSRC).

Revenue vehicles have daily, monthly (or by miles), and annual inspections. Preventative maintenance work orders (PMs) ensure these failures do not occur. TRAX, Bus, and FrontRunner commuter rail personnel work very closely with vehicle and equipment manufacturers and vendors to ensure optimal operation. Applicable Federal Railroad Administration (FRA) maintenance requirements and UDOT state motor vehicle requirements are implemented into daily, weekly, monthly, and annual inspections for efficient and safe operation. For example, the LRV maintenance mechanics inspect light rail vehicles. Diesel locomotive maintenance mechanics maintain the FrontRunner equipment and bus maintenance mechanics maintain UTA's fleet of buses. They make sure all of the engines, transmissions, lights, warning devices, brakes, and other safety systems are working properly before putting the vehicles into service. These same vehicles are subject to preventative maintenance (PMs), where maintenance personnel inspect fluid levels, hose and line condition, brake condition, safety equipment, and other vehicle systems to ensure that these items function properly. PMs may also call for the periodic change-out of various components to prevent failures. All applicable FRA maintenance equipment is inspected and repaired according to applicable CFR sections.

Facility maintenance personnel perform maintenance not only on facility equipment such as heating and air conditioning, elevators, or escalators, but they also are responsible for the maintenance of large equipment components used to maintain trains such as the wheel truing machine, cranes, hydraulic or electric lifts, etc. that are critical to maintaining the various transportation modes.

Defects identified during inspections may be repaired immediately if the situation allows it. For those items that cannot receive immediate attention as required by regulation, a record should be made. Items on this list should be forwarded to the appropriate line authority level of supervision and/or may be reported to the appropriate safety committee. In either case, those inspecting the same area or equipment in the next cycle should maintain the list for follow-up. Notice of defects should result in a work order being generated for each item. This will allow the work order system to track the defect until it is resolved.

3.9.2 AUDITORS OF MAINTENANCE AND OPERATIONS ACTIVITIES

Managers and or Supervisors verify that maintenance procedures are performed. Triennially, UTA conducts internal audits to verify that this process is taking place. Additionally, UDOT (SSO) accompanies internal auditors

to ensure that the internal audit process is occurring. This preserves the independent nature of the audit process since other organizational units are primarily involved with the implementation of the audit items. Managers and supervisors of the areas being audited are invited to attend the audit; however, they do not conduct the internal audit. Other organizational units are required to cooperate with the rail supervisor or other designee in the conducting of internal audits.

3.9.3 AUDIT REPORT—TRACKING AND RESOLVING INTERNAL AUDIT FINDINGS

The internal auditor will schedule and conduct internal audits. UDOT is invited (with a 30-day notice) to participate in the audit functions. Upon completion, the internal auditor submits an internal audit report to the business unit general manager for review. The report will include findings, conclusions, and recommendations. A summary of all internal audits performed during the year will be included in UTA's annual report to UDOT. Reports to UDOT will include corrective action plans for hazards identified. Audit activities are reported monthly to UDOT in their monthly meetings with UTA.

3.9.4 FOLLOW-UP /ACTION PLANS

Departments and other organizational units are responsible for implementing their respective approved recommendations and corrective action plans within established time frames. Future audits will determine compliance with this requirement.

3.9.5 RESOLVING PROBLEMS AND DISAGREEMENTS

Disagreements with audit findings may be challenged by the department supervisor or manager to the internal auditor or audit group. A review of the requirements and findings/non-conformances written up will be made. A written reply will be made within 30 days. If a disagreement remains, the issue will be elevated to the ASSC meeting. A full review of the findings and disagreements will be presented at that time. The ASSC members will decide on an equitable resolution.

3.9.6 USE OF A WRITTEN CHECKLIST

Written checklists are the preferred tool for conducting an audit. Written checklists of internal audit requirements will be used when conducting all internal audits and or evaluations. The auditor will make every effort to make certain that the department manager has received a copy of the checklist prior (one week) to the audit. If areas of concern arise that are not written on the checklist, and need to be investigated, the auditor may write the questions and make it a written part of the audit process. When a final report is given to the manager, a written record of questions or issues will be given to the department manager. Written checklists aid the department manager in knowing the expectations of regulations and the auditor prior to the audit experience.

3.9.7 TRACKING AND RESOLVING HAZARDS OR CONCERNS

Defects identified during inspections may be repaired immediately, if the situation allows it, by on-site employees and supervisors. Safety critical hazards that cannot receive immediate attention will be noted on the inspection checklist (see [APPENDIX A-5](#)). Items on this list are forwarded to the appropriate line authority level of supervision and/or may be reported to the appropriate safety committee. In either case, those inspecting the

same area or equipment in the next cycle should maintain the list for follow-up. Notice of defects should result in a work order being written for each item. This will allow the work order system to track the defect until it is resolved. An observed safety critical hazard that cannot be corrected promptly will be entered into the safety department hazard log and managed by the SSRC committee. A corrective action plan (CAP), responsible person, and date will be assigned, and follow-up inspections will verify that the hazard has been resolved.

The majority of safety hazards and concerns are resolved immediately by employees and supervisors, and require no formal tracking process, other than the inspection checklist to show issues have been resolved. Some hazards or concerns that are not resolved reasonably or that involve other departments or require management review are reported to the Rail Safety Committee (RSC) and Bus Safety Committee (BSC). If the matter is not resolved at this level, it is referred to the Safety and Security Management Review Committee (SSRC). Please see the pertinent sections of the TASP describing RSC, SSRC, and hazard management processes.

3.10 DRUG AND ALCOHOL PROGRAM AND MEDICAL MONITORING

3.10.1 DRUG AND ALCOHOL PROGRAM

UTA is governed by the Federal Railroad Administration (FRA), Federal Transit Administration (FTA), and US DOT Drug and Alcohol standards found in 49 CFR Parts 40, 219, and 655. It is also governed by 49 CFR Part 29, the Drug-Free Workplace Act. In response to these requirements, UTA has established a drug and alcohol policy including an addendum for FrontRunner rail services. This UTA Corporate Policy (UTA.01.05 Drug & Alcohol Policy) meets all the above standards and is administered by UTA's designated employer representative (Department of Human Resources). The FTA and FRA regularly audit this policy and its effectiveness. The UTA drug and alcohol corporate policy and addendum for FrontRunner rail services are available to all UTA employees on the UTA intranet, under corporate policies.

3.10.2 MEDICAL MONITORING

Applying appropriate medical standards for safety-critical positions extends beyond a qualifying pre-employment examination. UTA has established ongoing standards for employees who perform safety-critical functions. Medical monitoring of employees whose conditions or physical and emotional health may not be acceptable to operate transit vehicles includes bus, special services, and light rail operators, as well as commuter rail locomotive operators. Biannual physical examinations are required for each of these employees. Annual physicals are conducted on employees whose results fall outside the established DOT requirements. Standard DOT physicals are performed with emphasis on vision, hearing, weight, drug screening, diabetes, blood pressure vitals, sleep apnea, and a physical exam by a physician. Employee's emotional health is evaluated using the employee assistance program provider. This program allows for 24 hours-a-day, 7 days-a-week availability for employee evaluations or counseling. Evaluations include alcohol/drug abuse, marital matters, personal problems, mental health, financial issues, legal difficulties, and stress/anxiety matters.

3.11 PROCUREMENT

3.11.1 MEASURES AND CONTROLS FOR THE PROCUREMENT PROCESS

The Supply Chain Department facilitates and oversees all procurement activities at UTA. Supply Chain resides within the Finance Department which operates under the direction of the Chief Financial Officer, who also acts as the Chief Procurement Officer. Procurement and Contracts Specialists facilitate procurement for large projects or contracts. All other buying is accomplished by and through the Inventory Buyers and Contract Buyers. Supply Chain also manages parts and warehousing. UTA Internal Auditing reviews purchasing procedures and practices and makes reports directly to the UTA Board of Trustees.

Employees who enter a request for goods or services using the requisition self-service portal in JD Edwards are responsible for identifying materials or services that are safety-critical in the Justification section of the request. Safety-critical items include any equipment, service, or operation with a potential for major injury or damage to UTA equipment, passengers, or employees. Requestors are responsible for including any supporting documentation to show that the requested materials or services meet Federal and State safety requirements, regulations, and standards in the Justification section of the requisition form. The requestor may enlist the help of the Safety Department to review these services or contracts for compliance with these regulations and standards prior to submitting the request. All purchasing requisitions are reviewed and approved at the department level by the requestor's direct supervisor. The safety department reviews and approves any requests for safety-critical items.

To ensure that acceptable products or services are delivered when orders are placed, vendors are provided with the specifications and required standards as supplied by the requestor in the requisition form. Prior to a contract being released, the contractor must agree to the contract language which requires personnel coming onto UTA property to follow all local, state, and federal safety and environmental laws.

All requests for the purchases of new hazardous chemical products must be recorded into a database, SafeTec, which includes a download of the chemicals safety data sheet (SDS) supplied by the vendor. Once in the database, safety and environmental administrators review the health, exposure, and other hazards for the product, and determine if the product is approved for purchase or rejected, or if safeguards should be implemented.

3.11.2 INSPECTION AND CONTROL OF MATERIALS

The Supply Chain Department handles quality assurance for day-to-day procurement activities. All materials received by UTA are inspected at the time of delivery. Receiving procedures require inspection of received goods to assure that UTA is getting the items ordered and in the condition desired. Unauthorized hazardous chemicals or defective items are returned to the vendors and not accepted by UTA. Items and equipment received that have significant value and meet the definition of major capital assets defined in the corporate asset tracking policy are tracked in the Capital Asset Accounting System.

To further control safety, all specifications for parts and shop supplies are detailed on each part number in the item master file. Specifications include size, description, safety requirements, install instructions, warranty information, supplier requirements, and reorder guidelines. The information can be viewed by all maintenance and purchasing personnel but editing access to the field is tightly restricted to the Inventory Control Analysts

and the Senior Supply Chain Manager to avoid accidental removal of data and/or specifications. Each time an item in inventory reaches calculated minimum reorder points, an automated requisition is generated by the inventory system. That form prints with all the information and instructions detailed above.

Periodically, Supply Chain personnel or safety administrators will randomly sample hardware, slings, lifting devices, etc. for compliance with specifications. Periodically items will be functionally tested to ensure they meet standards.

The UTA Tools Management Program is used to maintain the inventory of UTA-owned tools and certain personal mechanics tools if the tools require periodic calibration or verification. Tools are calibrated according to the manufacturer's required specifications and a calibration log is maintained in the tool inventory system. Supply chain parts clerks are responsible for tracking and checking out UTA-managed tools to mechanics. Any tools found outside of the manufacturer's specifications or damaged tools are sent out for repair or replacement.

IV PROMOTION

Pillar IV of the Transit Agency Safety Plan is Safety Promotion. This section describes the responsibilities of staff to the safety program, and encouragement of others to follow established policies. It describes the committee structure established to form the means of discussing, solving and if necessary, elevating safety issues and concerns to resolution. Training and certifications to enhance the qualifications and competencies of UTA staff are described, along with the reoccurring activities at UTA designed to promote and remind all employees about safety in the organization.

4.1 TASP IMPLEMENTATION ACTIVITIES AND RESPONSIBILITIES

4.1.1 TASP COMMITTEES AND POSITION RESPONSIBILITIES

UTA implements the TASP through a series of committees and department positions that have responsibility for specific areas yet work in a coordinated manner to ensure the safety of the authority. As related in section I 3.2, safety is a key responsibility of all managers at UTA. All employees have the right to present safety concerns to their immediate supervisor, manager, or Safety Administrators. Any employee, supervisor, or manager that brings an incident, accident, safety concern, or hazard, in good faith will not be adversely affected, or be subjected to harassment or intimidation. These retaliations are not tolerated by the UTA.

4.1.1.1 Safety Communication

UTA Bus, Rail and Maintenance committees communicate information regarding employee hazards and safety risks through displayed department safety boards. Hazard logs created through committees are displayed and available for employees to review. In addition, department dashboards, memos, and training may be provided to employees to communicate safety changes or hazard mitigations.

4.1.2 TASP COMMITTEES

UTA implements the TASP collaboratively through a series of committees coordinating bus and rail operation and maintenance services. Concerns, if not resolved by the manager or supervisor, will be referred to and addressed by the respective safety committee. The following hierarchy of committees at UTA is established to address all safety issues.

4.1.2.1 The Agency Safety & Security Committee (ASSC)

The Agency Safety & Security Committee is UTA's level highest-level safety committee, chaired by the Executive Director (ED). The committee is alternately chaired by the Safety and Security Director. The ASSC is comprised of the UTA corporate staff, which includes the executives, and the rail and business unit general managers.

The ASSC reviews and approves safety policies, goals, and objectives. It coordinates the support and resources needed to maintain high safety standards for all aspects of service and system safety. The ED, through the ASSC, is the ultimate authority for safety certification, system modification, and configuration management. This authority includes approving each project's safety and security certification statement.

The ASSC meets quarterly to review reports on safety, accident trends, major accidents, urgent or safety-critical concerns or hazards, internal and external audit findings, certification recommendations, items referred from the SSRC, and other items of concern to the ASSC for comment, direction, resolution, and execution. Minutes are maintained and disseminated to members of the committee.

4.1.2.2 Safety and Security Review Committee (SSRC)

The Safety and Security Review Committee is a high-level system safety and security review and coordination committee overseeing ongoing safety efforts within UTA. The committee is chaired by the Director of Safety & Security (DSS), and alternately chaired by the UTA security manager. The SSRC is comprised of the DSS, security manager, and senior managers representing Rail Services (three managers), Bus Services (three), Capital Projects (one), and information technology (one). The committee oversees or takes the following actions:

- a. Forwards unresolved safety and security issues and required certifications to the ASSC
- b. Approves corrective action plans (CAP) for major accidents and safety-critical items
- c. Decides unresolved hazards for bus and rail systems
- d. Ensures coordination of safety efforts between bus and rail systems
- e. Reviews safety and security certifications
- f. Approves solutions in the configuration management program
- g. Sets standards for and reviews results of or approves the following programs:
 - a. Hazard Management
 - b. Security
 - c. TASP updates
 - d. Project safety plans and procedures, including the following:
 - e. Rules compliance
 - f. Emergency management
 - g. Service inspection
 - h. Training and certification
 - i. Hazardous materials
 - j. Drugs and alcohol
- h. Ensures resolution of regulatory violations and non-compliance issues. (FRA, FTA, UDOT SSO, NTSB, OSHA, TSA, DHS)

Safety issues and actions are referred to the SSRC by design, construction, bus, rail, and fire/life safety committees. The SSRC may review as it selects, hazard analysis reports, risk assessments, corrective action reports, safety analysis, threat and vulnerability analysis, threat mitigations, hazard resolutions, NCRs, certification documentation, and fire/life safety concerns.

4.1.2.3 Management of Change (MOC) Teams

Configuration management within UTA consists of the CCC process during design and construction and of the management of change (MOC) process during operations. The MOC process is more extensively examined in section III 4 of this TASP.

This process is controlled by the SSRC during operations. As part of this process, MOC teams are assigned to resolve and implement corrective action plans (CAPs) to improve the system or correct an identified hazard. CAPs are developed by the respective safety committees (RSC, BSC) and approved by the SSRC. Responsible staff

to lead the MOC team are recommended by the safety committee and approved by the SSRC. CAPs costing more than \$5,000 require SSRC approval.

MOC process applies to existing bus and rail services systems, vehicles, facilities, and equipment that may not require formal safety certification, but which may have safety impacts.

4.1.2.4 Bus Safety Committee (BSC)

The bus safety committees coordinate ongoing safety efforts within the operations and maintenance services of the bus system. They meet monthly to update and mitigate hazards in their facilities and on their systems. Committees are formed for the Ogden, Salt Lake, Building-8, Timpanogos, and Special Services business units.

The BSC committees are chaired by the regional general manager's delegate, the committees consist of the following:

1. Up to any manager within the unit
2. One operator and one maintenance staff from each facility:
 - a. One Admin Representative
 - b. One Union Representative
3. The Safety Administrator over Bus, who serves as a technical advisor and Co-Chair to the committee

The BSC chair position may be rotated annually, through the department's represented in the committee, with the new appointment made at the beginning of each year. The union appoints bargaining unit employees to the BSC annually to serve as safety representatives from the ranks of each department.

Committee members are granted an opportunity to speak and to present safety issues to the BSC committee through an open communication process. Minutes of discussion and action will be maintained and distributed to the members of the BSC and be available to others.

The BSC will maintain a local hazard log listing issues, corrective actions, and close-out dates. The log will include the date entered and the responsible party to correct the action. Most safety issues will be resolved within the parameters of the BSC. Issues not resolved in the BSC, or safety-critical hazards, are referred to the SSRC.

BSC actions will include the following:

- a. Reviews facility and operations system safety issues identified by members, staff, audits, or inspections
- b. Maintains local hazard log for all facility and operational hazards
- c. Assigns responsibility for correcting hazards
- d. Reviews open items for completion
- e. Ensure safety and regulatory rule compliance (FTA, OSHA)
- f. Regularly conduct inspections of facilities and operations to verify corrective actions, and to review safety in the system
- g. Report hazard log status and system safety review results to the SSRC

4.1.2.5 Joint Labor-Management Safety Committee

The joint labor-management safety committee was established in response to the Bipartisan Infrastructure Law and is responsible for approval of any revisions or updates to the UTA Transit Agency Safety Plan (TASP) prior to approval by the UTA Board of Directors. Any revision to the TASP must be approved by a majority of this committee. This committee meets quarterly and is responsible for:

1. Review and approve UTA's Safety Plan (TASP): and any updates as required under § 673.11(a)(1)(i) and to set Annual Safety Performance Targets as required under § 673.11(a)(7)(iii). Support the Safety Management System (SMS) by.
2. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through UTA's safety risk assessment, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program;
3. Identifying safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations associated with any instance where UTA did not meet an annual safety performance target in the safety risk reduction program; and
4. Identifying safety deficiencies for purposes of continuous improvement as required at § 673.27(d), including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.

This committee is comprised of an equal number of frontline bargaining unit employee representatives and management representatives. Bargaining unit representatives are appointed by the union to serve as safety representatives. Management representatives are appointed by the UTA Chief Operating Officer and UTA Safety and Security Director. Individuals serving on this committee should have a working knowledge of safety issues, both in transit generally and specific to UTA.

4.1.2.6 Rail Safety Committee (RSC)

The rail safety committees (RSC) coordinate ongoing safety efforts within the operations and maintenance services of the rail system under the direction of the RGM. They meet monthly to update and mitigate hazards in their facilities and on their systems. A committee is formed for TRAX (light rail) and for FrontRunner (commuter rail). The RGM appoints a chairman who may be a senior manager, or alternately chaired by the maintenance facility manager. The committees consist of the Operations manager or their appointed delegate, two representatives (one Union rep, one admin rep) from operations, LRV maintenance, Facility Maintenance, Maintenance of Way, and a Safety Administrator, who serves as a technical advisor and Co-Chair to the committee. The corresponding maintenance facilities (Midvale, Jordan River, and Warm Springs rail service centers) are represented respectively on their RSC. The RSC chair position is rotated annually, through operations and the department represented in the committee, with a new appointment made at the beginning of each year. The union appoints bargaining unit employees to the RSC annually to serve as safety representatives from the ranks of each department, voicing safety concerns to the RSC.

Committee members are granted an opportunity to speak and to present safety issues to the RSC committee through an open communication process. Minutes of discussion and action will be maintained and distributed to the members of the RSC and be available to others.

The RSC will maintain a local hazard log listing issues, corrective actions, and close-out dates. The log will include the date entered and the responsible party to correct the action. Most safety issues will be resolved within the parameters of the RSC. Issues not resolved in the RSC, or safety-critical hazards, are referred to the SSRC.

RSC actions are similar to those listed under the BSC above. Additionally, the RSC examines compliance with the General Code of Operating Rules (GCOR), (FRA 49 CFR Part 214, 49 CFR 200-399; FTA 49 CFR 673).

4.1.2.7 Construction Safety Committee (CSC)

The Construction Safety Committee coordinates ongoing safety efforts between construction contractors, reviews construction safety programs, conducts roadway worker protection training, and reviews claims summaries. The CSC is chaired by a Safety Administrator and alternately chaired by the UTA safety manager. The committee consists of the Capital Projects senior program manager-construction, Safety Administrators, RWP Manager, claims manager, contractor's safety managers, and construction managers. The CSC coordinates closely with the SSWG and participates in the PHA and TVA reviews.

The purpose and scope of the committee is to prevent accidents, illness, and casualties to UTA employees involved with all aspects of construction, inspection, and maintenance activities.

4.1.2.8 Configuration Control Committee (CCC)

The Configuration Control Committee (CCC) has been established as a management tool to assist in evaluating recommended changes to a particular project and providing final approval for configuration, and budget design criteria changes. The CCC's function is to address the need for continuity throughout the entire life of the project. It is essential that changes to the project be communicated through the proper channels and that all necessary personnel have been notified. More importantly, the function is to monitor, evaluate, recommend, and carry out any changes in the scope of the project through all project stages.

The Capital Development SOP No. 003 has been developed to guide the CCC process and give direction and authority from the Director of Capital Projects to monitor the progress of capital projects. This SOP also outlines the composition of the committee.

4.1.2.9 Activation Committee (AC)

The Activation Committee is a working committee of managers that meets regularly, combining safety and security verification process functions into UTA's construction, systems integration, and testing phases of new projects. The AC is made up of an activation manager and one manager from each of the following four supporting disciplines: Safety, (Capital) Civil, Systems, and Operations.

UTA has instituted the use of the Activation Committee and the Hold Point process to bring on rail, new bus and facility projects. The membership of the committee may change slightly to best fit the role of the AC. The remainder of this section describes the project activation process.

Each discipline manager will be responsible for ensuring all certified item lists (CILs), procedures, tests, filing of documents, and any other assigned activities for his/her group are completed in accordance with applicable parts of the activation plan. Three of the four discipline managers, identified above, will each be assigned coordination responsibilities for one of the three activation primary functions-safety and security certification, system integration testing, and services. The AC will oversee and approve all activation documents and activities.

The Activation Manager (AM), with help from the AC, will ensure that the project follows the activation process, that all documents are properly completed and filed correctly, and that all necessary safety and security certifications are properly completed and signed before the project enters revenue service.

The AC will meet regularly to develop and finalize details of the AP specific to the project, and then manage activation activities against the plan. They will also discuss progress, issues, and concerns regarding activation activities and requirements. Meeting minutes will be recorded and filed each time the committee meets. An

action items list will be included with the minutes and will be updated and discussed each time the committee meets to ensure responsibility and completion of items deemed critical to successful activation. The committee will create, maintain, and adhere to an activation-specific schedule, which will help to ensure the completion of activation and start-up activities prior to scheduled revenue service dates.

Following the commencement of revenue operations, the AC provides "lessons learned" input to planning and design teams, and for improved processes for the next activation.

4.1.2.10 Safety and Security Working Group (SSWG)

The Safety and Security Working Group (SSWG) is established by the Project Manager for each project that significantly changes the interaction of employees or patrons with the UTA system. The SSWG examines the design and specifications of safety and security-critical systems on the project. The SSWG is chaired by the PM, project Director, or designee. The primary responsibilities of the SSWG are to establish the preliminary hazard analysis, focus on and mitigate hazards on the project, and coordinate the project safety elements through design, construction, and activation. The threat and vulnerability assessment (TVA), if conducted, is also coordinated by the SSWG.

The SSWG begins during the design phase and conducts regular review meetings, separate from ongoing design efforts, to focus specifically on safety issues. The project manager ensures that safety considerations are continually considered during regular design reviews. Design modifications that are recommended to be incorporated into the UTA design criteria are referred to the Capital Projects civil design manager for review at the design and construction meeting (DCM). Modifications are then forwarded to the Configuration Control Committee (CCC) for approval if the modifications are significant enough.

Core members:

- a. UTA Construction/Design Safety Admin
- b. UTA Security Manager
- c. UTA Video Security Supervisor
- d. UTA Mode Safety Admin, if applicable

Members at Large:

- a. UTA Project Manager
- b. Designer/Architect
- c. UTA Transit Police Officer
- d. End User to include, as applicable
- e. Facility Personnel

Operations

- a. MOW
- b. Admin Personnel
- c. ADA Specialist

The intent of this committee is to review systems from an end-user perspective, looking for hazards that can be 1) engineered out of the system, 2) corrected with SOP, procedures, etc., or 3) addressed with PPE. The SSWG

may not change the scope of the project but may make decisions that relate directly to the remediation of specific hazards. To this end, the SSWG should be included in the scoping phase of the project plan.

The SSWG defines the job specific CILS and creates and maintains the PHA. If the SSWG determines that the residual risk of a hazard cannot be reduced below Medium, then the SSWG presents its findings to the SSRC for final risk analysis.

4.1.2.11 Accident Evaluation Group (AEG)

The AEG is comprised of key UTA staff from various departments that would have a role in the development of a Corrective Action plan resulting in UTA-involved accidents. UDOT SSO will also be invited to applicable AEG meetings.

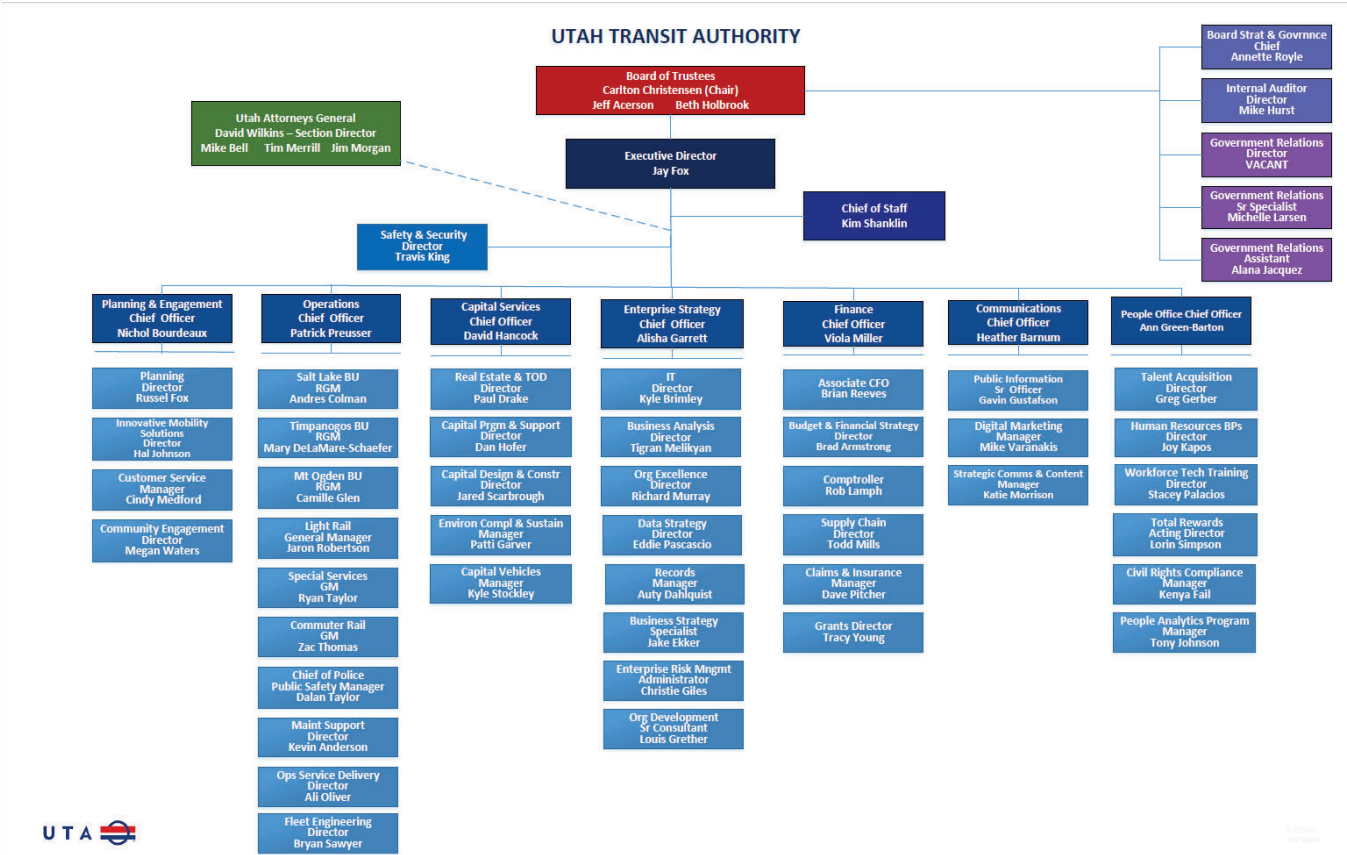
4.1.2.12 Accident Review Committee (ARC)

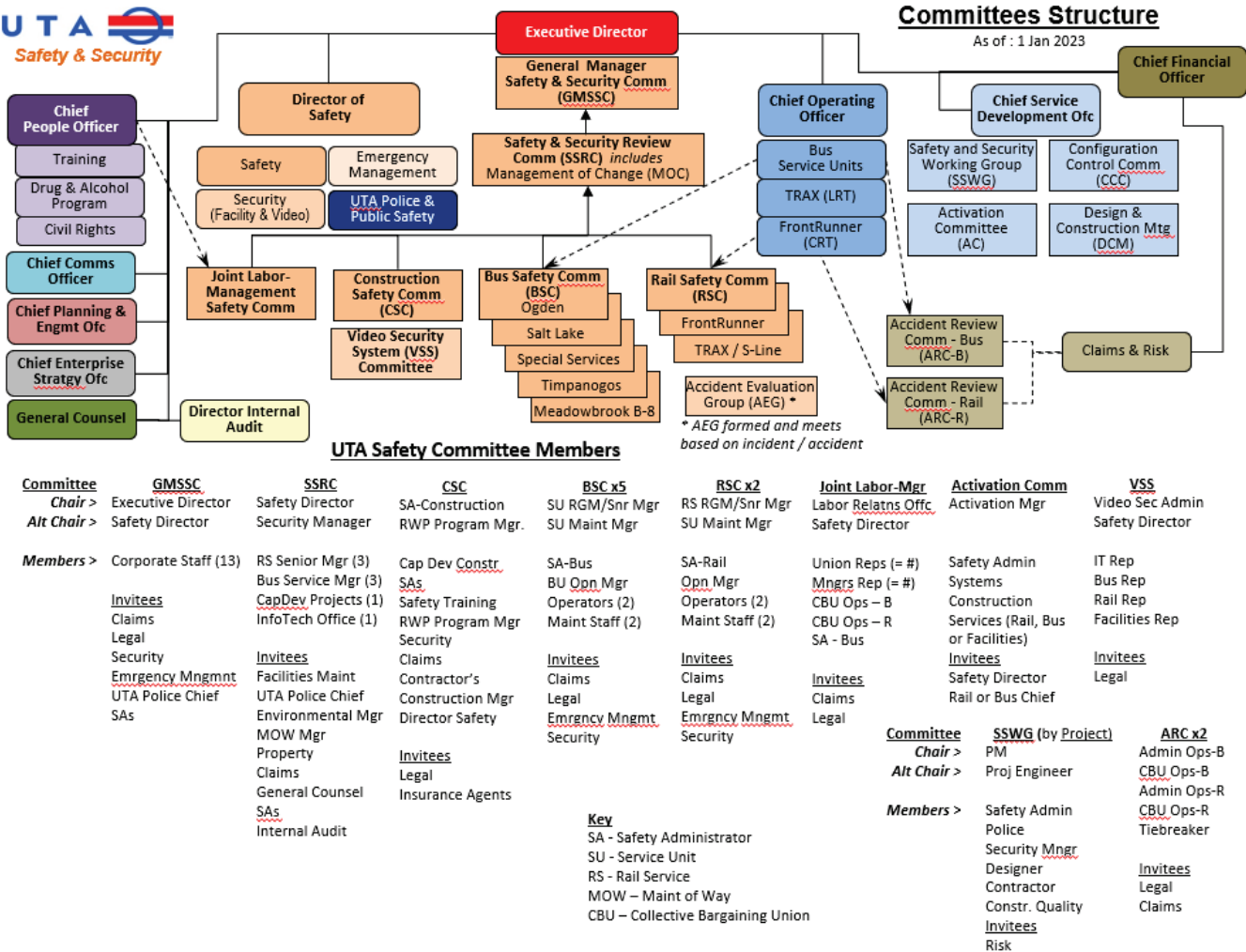
Accidents involving damage or injury are reviewed by the Accident Review Committee to determine whether it was avoidable or unavoidable. The ARC is coordinated through the claims department and consists of two members of management, and two bargaining unit employees. Each ARC will also have a tie-breaker member appointed as needed, as accepted by management and the union.

Members of the ARC committee review all the evidence for each accident individually and then render a sealed vote as to whether the accident is avoidable or unavoidable. The sealed votes are counted by the facilitator with a member of management, and a union representative. Avoidable accidents are charged against the operator or driver and then classified for damage and injury severity, by UTA's claims unit. Avoidable severity classifications have varying degrees of disciplinary action, up to and including termination.

4.1.2.13 System Safety Committee Organizational Process Chart

UTA has formed a number of committees to combine and coordinate the efforts between system safety, rail service, capital projects, and other departments or agencies, to effectively address safety and security concerns. The current diagram of safety-related committees is provided below.





4.1.3 DEPARTMENT POSITION RESPONSIBILITIES

All employees have the right and responsibility to address safety in their work area, and on the system, and to present safety concerns to their immediate supervisor, manager, or Safety Administrators. The Manager coordinates with safety committees and the Safety Department to ensure that hazards are quickly and effectively eliminated. Specific departments and positions within UTA have inherent safety responsibilities. Those departments, illustrated in the UTA Safety Organization chart, and positions are addressed in the following matrix and sections.

4.1.3.1 System Safety and Related Tasks Matrix:

Safety Tasks	System Safety	Rail Ops.	Rail Veh. Maint	Rail MOW	Cap Dev	Fac. Maint	RSC/BSC	SSRC	ASSC	UTA Board	HR
Prepare safety policy statements	P	S	S	S	S	S	RC, A	RC, A	A		S
Approve UTA corporate policy statements	S	S	S	S	S	S	S	S	A	A	S
Update TASP	P	RC,S	RC,S	P	RC,S	RC,S	S	RC, S	RC, A		RC,S
Hazard management process	P	S	S	S	S	S	P	P	P		
System modification	P	S	S	S	P	S	S	A			
Safety certification	P	S	S	S	P	S	S	P, RC	A		
Safety data collection and analysis	P	S	S	S	S	S	P	P	RC,A		
Accident/incident investigations	P	P	P	P		P	S	RC, A	RC,A		
Emergency management	P	S	S	S	S	S	S	RC, A	RC,A		
Internal safety audits and reviews	S	S	S	S	S	S	S	RC,A	RC,A		S
Rules compliance	P	P	P	P	P	P	S	RC,A			
Facilities/ equipment inspections	S	S	P	P	S	P	S	S			
Maintenance audits/inspections	S	S	P	P	S	P	S	S			
Training/ certification program-employees and contractors	P	P	P	P	P	P	S	S			
Configuration management/ control	P	S	S	S	P	S	S	RC,A	RC,A		
Local, state, and federal requirements	P	P	P	P	P	P	S	S			
Hazardous material programs	P	S	P	P	P	P	S	S			
Drug and alcohol program	S	P	P	P	P	P	S	S			P
Procurement	S	P	P	P	P	P	S	RC,A			
Roadway worker program	P	S	P	P	P	P	S	S			
FRA rules, regulations, safety initiatives, programs	P	P	P	P	P	P	S	S			

P Primary Responsibility
 S..... Support Responsibility
 RC Review and Comment
 A Approval

4.1.3.2 Safety Department

The Safety Department has review responsibility for Design, Construction, Light Rail (TRAX), Commuter Rail (FrontRunner), Bus, and Paratransit safety. Safety Administrators in the department have specific responsibilities within their areas - but are coordinated to assist throughout the organization. The Safety Department also promotes safety within UTA through weekly safety messages, monthly safety posters, and involving UTA employees by rewarding good acts of safety and ideas. UTA also promotes safety within the community through

ongoing education outreach through Operation Life Saver, community safety fair, and trucking association presentations.

4.1.3.2.1 Director of Safety and Security

UTA Safety Department is led by the Director of Safety and Security who has direct reporting responsibility to the ED. The DSS has been delegated specific responsibilities, by the ED, for the management of: system safety, occupational safety and health, accident and incident investigation, the continuous hazard management process, the internal safety audit process, oversight of construction safety, safety, and security certification, safety data collection and analysis, industrial hygiene, safety training, safety program implementation, regulatory compliance, and monitoring the implementation of the TASP.

The DSS typically meets with the ED weekly, typically during Corporate Staff and Executive Team meetings to provide updates on safety issues, safety priorities and hazard management, and the impacts of budget reductions and resource constraints on the performance of safety-related maintenance activities and requirements. The DSS coordinates safety activities with all other executives.

DSS leads the ASSC and the SSRC meetings, manages the Safety Administrator, and coordinates construction safety with the Capital Projects Department. DSS serves as the approving authority during the System Safety Certification Program "hold point" process.

The DSS coordinates all activities of the Safety Administrators serving the operational functions of rail and bus.

4.1.3.2.2 Safety Administrator

The Safety Administrators develop and administer system safety within UTA including Transit Systems, Construction, and Instructional Design/Training. These responsibilities include: hazard mitigation and tracking logs, rules observations and compliance, developing, updating and conducting training on OSHA, SMS programs, and roadway worker protection for all contractors and administrative staff, conducts outreach in coordination with Planning and Public Relations, oversees safety curriculum, and maintains required training assignments, certifies safety trainers, oversees record keeping across UTA, completes weekly safety reports, coordinates with safety committees, coordinates FTA, FRA, UDOT SSO, TSA, OSHA activities and audits, conducts safety training programs, conducts and leads Fire Life Safety Committee activities and drills, enters and tracks NTD, and AIRGET accident data, oversees safety on all construction and renovation projects, conduct investigations, and inspections, verifies safety certification through activation phases of capital projects, collects safety data and prepares reports on incidents, accidents, and corrective actions plans.

4.1.3.2.3 Emergency Management Program Manager

The Emergency Management Program Manager (EMPM) has the responsibility for coordinating and implementing UTA's emergency management activities (planning, training, exercises, response, and recovery), ensuring plans, SOPs, and SOGs are relevant. Additionally, the EMPM recommends and helps coordinate UTA emergency response supplies and equipment, coordinates UTA's response plans with external agencies, and oversees UTA's Emergency Preparedness Plan, and Emergency Response Plan.

4.1.3.2.4 UTA Chief of Police/Public Safety Manager

The UTA Chief of Police/Public Safety Manager reports to the Chief Operating Officer and is responsible for the day-to-day management of the safety and security of all operations, maintenance, and administration facilities of UTA rail, bus, and paratransit systems.

4.1.3.2.5 *Roadway Worker Protection Program Manager*

The UTA RWP Program Manager reports to the Director of Safety and Security and is responsible for the day-to-day management of the Roadway Worker Protection Program.

4.1.3.3 *Operations Department*

4.1.3.3.1 *Chief Operating Officer*

The Chief Operating Officer reports directly to the ED and is responsible for bus, rail, special services, operations, maintenance, fleet engineering, and police — representing about 80% of UTA’s workforce. The COO collaborates with the Safety and Security Director and all members of the Executive Team to effectively implement this Transit Agency Safety Plan, Safety and Security Certification Program Plan, and Security Program Plans through the development and implementation of required plans, procedures, and work instructions. The COO also ensures appropriate resources are allocated for the implementation of safety projects and plans.

4.1.3.3.2 *Light Rail General Manager*

The Light Rail Service General Manager is responsible for guiding the planning, organizing, directing and controlling of all functions and activities of TRAX light rail and streetcar, technical services including administration, development, employee relations, safety (with oversight from the Safety Department), budget, compliance, and customer service. Guides the development and implementation of procedures and work instructions, safety regulations (with oversight from the Safety Department), and fee schedules for Light Rail in compliance with federal, state, county, and municipal rules and regulations. Oversees planning and development of Light Rail programs and projects. Assists the Chief Operating Officer in developing programs to meet the needs of citizens. Helps provide a culture of employee engagement by ensuring that all labor and employee relations matters, and activities are conducted in a manner consistent with UTA goals and mission.

4.1.3.3.3 *Commuter Rail General Manager*

The Commuter Rail Service General Manager is responsible for guiding the planning, organizing, directing and controlling all functions and activities of FrontRunner Commuter Rail, technical services including administration, development, employee relations, safety (with oversight from the Safety Department), budget, compliance, and customer service, provides oversight and development and implementation of procedures and work instructions, and safety regulations, for commuter rail in compliance with federal, state, county and municipal rules and regulations. The Commuter Rail Service GM oversees planning and development of Commuter Rail programs and projects and assists the Chief Operating Officer in developing programs to meet the needs of citizens. Additionally, the Commuter Rail Service GM helps provide a culture of employee engagement by ensuring that all labor and employee relations matters, and activities are conducted in a manner consistent with UTA goals and mission,

4.1.3.3.4 *Director of Maintenance Support*

The Director of Maintenance Support is responsible for all rail maintenance facilities and all rail corridor and system infrastructure (Maintenance of Way). The director ensures compliance with roadway worker protection training, training for all equipment workers within facilities.

The Director coordinates with safety committees and the Safety Department to ensure that hazards are quickly and effectively eliminated.

4.1.3.3.5 Regional/Service General Managers (Bus/Special)

The Regional General Managers report to the COO and have the day-to-day responsibility for the safe operation, and hazard processes of the bus and paratransit systems and maintenance facilities. The RGMs ensure compliance with driver and maintenance operations and safety training.

4.1.3.3.6 Chief Financial Officer

The Chief Financial Officer reports directly to the ED and has the responsibility for the offices of Accounting, Fares, Supply Chain, and Claims. Has responsibility for ensuring that only approved chemical and hazardous materials are procured, the requesting departments have coordinated safety and environmental requirements of contracts prior to advertisement.

4.1.3.3.7 Director of Capital Design and Construction

The Director of Capital Design and Construction reports to the Chief Capital Services Officer and has the responsibility for project development and delivery, construction, State of Good Repair projects, environmental, and grant administration. The Director has the responsibility for ensuring approved designers and contractors are retained, design criteria, and safety programs for construction are in place on all projects, and construction and systems integration testing for all new rail, bus, and facility projects.

4.1.3.3.8 Senior Program Managers

Senior Program Managers report to the Director of Capital Projects and have responsibility for Project Delivery, Construction and Quality, and Environmental compliance and mitigation. System Safety Certification Program, with "hold points", is the responsibility of the SPM project delivery.

4.1.3.3.9 Information Technology Director

The IT Director reports to the Chief of Enterprise Strategy and is responsible for developing, maintaining and securing UTA's enterprise computer systems and architecture; ensuring appropriate backup and recovery during emergency services; researching and implementing new technology systems to enhance transit services, and electronic fare collection.

4.1.3.3.10 Chief of Planning and Engagement Officer

The Chief Planning and Engagement Officer reports directly to the ED. They oversee the planning department, Community Engagement, Customer Experience, Innovative Mobility Solutions, and Customer Service.

4.1.3.3.11 Director of Planning

The Planning Director reports to the Chief of Planning and Engagement Officer They oversee a staff that is responsible for all the agencies' long-range transit planning, strategic business planning, financial planning and funds programming, transit-oriented development planning, as well as project development and system optimization

4.1.3.3.12 Senior Counsel to the Utah Transit Authority

The Senior Counsel reports directly to the ED, and is responsible to review and provide necessary legal advice on safety and environmental issues, managing liability and worker's compensation claims, and reviewing new safety and environmental legislation, or regulations that may impact UTA's functions or operations,

4.1.3.3.13 Chief of Enterprise Strategy Officer

The Chief of Enterprise Strategy Officer oversees the Policy & Risk departments, Information Technology, Operations Analysis & Solutions, and Culture & Continuous Improvement.

4.2 TRAINING AND CERTIFICATION PROGRAMS

4.2.1 EMPLOYEE AND CONTRACTOR SAFETY TRAINING

Training and certification are paramount concerns, and as such UTA has developed a number of educational programs. The following employee classifications perform work that requires safety training and or certification:

- a. Train operators
- b. Operations personnel (hosts, report, etc.)
- c. Vehicle maintenance
- d. Maintenance of way (infrastructure/systems)
- e. Facility maintenance
- f. Passenger facilities maintenance
- g. Controllers
- h. Other personnel and contractors that foul or potentially foul UTA's rail right of way

4.2.1.1 Line and Signal Technicians and Rail Maintenance Workers

Line and Signal technicians and Rail Maintenance workers are required to complete roadway worker training on an annual basis. Line and Signal Technicians undergo training that is conducted by Union Pacific Railroad. This training consists of 4 two-week phases and includes all elements related to signals and crossings and their maintenance, troubleshooting, and repair. In addition to signal training employees may participate in a lineman's correspondence course after completing all phases of the signalmen's school. All equipment training is conducted as on-the-job training and is provided by the employee's direct supervisor. Rail Maintenance workers participate in two correspondence training courses: "Basic Principles of track maintenance and advanced principles of track maintenance". After the completion of these courses, a track maintenance worker must complete one year of maintenance work and must obtain approval of management before becoming a track inspector. Track Maintenance Supervisors must complete the same training to be able to inspect the track. All equipment training is conducted as on-the-job training and is provided by the employee's direct supervisor.

4.2.2 TRAINING AND CERTIFICATION FOR EMPLOYEES AND CONTRACTORS

UTA employees and contractor personnel, whether construction or service contractors are required to follow applicable UTA rules and standard operating procedures (SOP) as well as local, state, and federal safety regulations. Service contractors who perform specific jobs under contract are required to follow specific safety or environmental laws that are or may be affected by their work.

UTA has developed a Construction Safety Program Manual that governs contractor safety specifically for contracted construction workers for UTA. This manual outlines the procedures and responsibilities of UTA project managers and contractor personnel who contract with UTA to perform construction work activities. Additionally, the UTA safety goal is to achieve accident-free construction projects.

The UTA Construction Safety Program Manual reflects minimal standards. All general contractors, contractors, and their sub-tiers will be expected to meet or exceed the standards and good safe practices outlined in the manual and their own safety program, whichever is more stringent.

The UTA grants and contract administrator will review and implement contract language requirements for the contract employees to meet. These contracts are written and reviewed by UTA's legal counsel as well as the contract administrator to ensure that specific safety and environmental requirements for contract employees are met.

4.2.3 WORK-REQUIRED TRAINING FOR EMPLOYEES AND CONTRACTORS

All UTA employees and contractor personnel who will be working in the TRAX or FrontRunner corridors, who foul or have the potential to foul the tracks (within 10' of the centerline of the track), must receive the roadway worker protection training prior to beginning their work.

Contractors are responsible for training their employees on OSHA-required training prior to performing UTA projects. Other related training that contract employees and UTA employees will be current on includes the following:

- a. Hazard communication
- b. Blood-borne pathogen awareness
- c. Hazardous energy control
- d. General safety awareness
- e. Work-required training for safety-sensitive employees and contractors

Employees and contractors, who are under a legal contract with UTA, are obligated to comply with specific safety and environmental requirements and demonstrate quality of workmanship by observation and records reviews. Employees and or contract employees will meet the training, inspections, testing, and maintenance specifications as outlined in 49 CFR as it relates to commuter rail vehicle maintenance and personnel training. UTA supervisors, managers, and Safety Administrators are authorized to make regular observations of work being performed and will determine whether safety and environmental requirements are being complied with. The quality of materials and construction processes will also be reviewed by designated quality assurance personnel. Training courses given to employees and contractors will require that tests be completed prior to the completion of coursework. These will be the primary methods used to assure that compliance is obtained.

UTA identified tasks related to the inspection, testing, and maintenance required by Part 238.109 that must be performed on each type of equipment that FrontRunner operates.

4.2.4 CONSTRUCTION SAFETY REQUIREMENTS

The construction safety program is developed and managed by UTA Safety Administrators. This program defines construction safety functions and responsibilities and other construction safety requirements such as safety equipment, documentation, and safety personnel. All contractors and UTA employees must comply with Occupation Safety and Health Administration (OSHA) rules and the requirements of the construction safety program, UTA Rail Services rule books, SOPs, and individual company contract agreements with UTA.

Contractors who have personnel working around rail systems may be regulated by 49 CFR Part 214, the Roadway Worker Protection Act. Responsive to that requirement, UTA has established a training and certification class for rail roadway workers. All construction and UTA employees who may work on or near the tracks are required to attend this training annually and obtain a certification card or sticker to keep on their person.

The UTA construction safety program will be reviewed and updated on a bi-annual (two-year) basis. The Safety Administrator will have primary responsibility for this update.

4.2.5 RETRAINING AND CERTIFICATION TRAINING, COURSES, EDUCATION

All safety-related courses that are conducted in a classroom environment or through computer-based delivery are maintained electronically by the Safety Administrator over Safety training or by training staff at the service unit level.

Records for the following training: lineman's course, signal certification, and basic/advanced track principles are maintained in the employee training records, in paper form and are available for audit and review. These records are available directly from the rail department managers. The training supervisor and management review the training records to determine completion. Most training is done annually, with all operators, employees, and supervisors being trained in the same month. These records are reviewed during the scheduled internal audits.

4.2.5.1 De-Escalation Training

Training on the de-escalation of potentially hostile interactions with members of the public is provided to operations and maintenance personnel. Local training groups are given the discretion to select or develop training content to best fit the specific needs and scenarios most likely to be encountered by UTA employees in their supported areas.

4.2.5.2 Safety Administrators Certification

The Safety Department recognizes the FTA Transportation Safety Institute (TSI) to administer transit safety and security training certifications for all Safety Administrators at UTA. Any Safety Administrators assigned to Trax department will complete the TSSP within the first two years of their safety assignment. This certification involves the successful completion of the Transit Safety and Security Program Certificate as outlined by the TSI training manual. Courses required are:

- a. Transit Rail/Bus System Safety
- b. Transit Rail/Bus Incident Investigation
- c. Effectively Managing Transit Emergencies
- d. Safety Management Systems
- e. SMS Awareness CBT
- f. SMS Assurance Webinar

Note: Safety refresher training is typically held during safety department meetings.

UTA Safety Administrators are TSSP Certified through the Transportation Safety Institute and are eligible to receive additional safety certification through the World Safety Organization. Safety-related instruction is emphasized through UTA's corporate policies and procedures, maintained on UTA's intranet.

4.2.6 TRAINING COMPLIANCE REVIEW

UTA Safety shall conduct periodic reviews of training materials and records to ensure compliance with safety training requirements.

4.2.6.1 Review of Assignment Completion and Record-Keeping

The Safety Administrator responsible for safety training will review safety training records every six months to determine the status of safety training compliance. Other parties, such as the RWP Program Manager and additional Safety Training Administrators may be invited to participate in the review process, based on the current needs and situation. This review will include the following actions:

1. Ascertain the level of compliance with existing safety training assignments across UTA
2. Discover and highlight any shortfalls or issues with training compliance, including a review of previously reported issues with training compliance to confirm they have been resolved
3. Forward these findings and recommendations to the Safety Committees responsible for impacted areas

Safety Committees will then be responsible to review the reported safety concerns and determine the appropriate interventions using the existing Hazard Management process.

4.2.6.2 Review of Training Content

Training content shall be reviewed as part of the process in place for the review and updating of the related UTA Safety Policies and Procedures.

4.3 LOCAL, STATE, AND FEDERAL REQUIREMENTS

4.3.1 UTA SAFETY POLICIES/CORPORATE POLICIES

The board of trustees, in their Policy Operational Directive for Safety (2.1. Safety No. 1.2.1), creates the foundation that ensures the safety of employees, passengers, and the public. The following standards are incorporated into UTA’s agency-wide safety standard operating procedures and written policies that include local codes, state, federal, and OES&H standards, and other safety initiatives. Safety requirements are applicable to UTA employees, contractors, passengers, and the public.

UTA.03.01	Employee and Public Safety
4.3.2	Fire Protection and Evacuation Plans
4.3.3	Hazard Communication or Right to Know Policy (OSHA)
4.3.12	Personal Protective Equipment
4.3.6	Visitor Access
AGCY.03.01	Emergency Notification Policy
4.3.10	Bloodborne Pathogens Policy
3.xx.xx	New Chemical Approval Policy

4.3.1.1 Agency Safety Standard Operating Procedures

OSH	4.211 Machine Equipment Safety Guarding Plan
OSH	4.146 Confined Space entry
OSH	4.1030 Exposure Control (BBP)
OSH	4.22 Fall Protection
OSH	4.147 Hazard Energy Control
OSH	4.95 Hearing Protection
OSH	4.33 Hot Work
OSH	4.176 Power Industrial Truck and Forklift Safety
OSH	4.179 Overhead lifting
OSH	4.1903 Regulatory Inspection Response
OSH	4.134 Respiratory protection
OSH	4.25 Roadway Response Safety
OSH	4.5 Safety Inspections and Audits
OSH	4.94 Spray Painting Operation
OSH	4.21-30 Walk and Working Surfaces

4.3.1.2 IV 3.3 Health and Environmental

4.4.1	Environmental Protection (Renumbered 4.1.5)
4.4.1-1	Environmental Protection (SOP)
4.4.2	Battery Recycling (SOP)
4.4.3	Electronic Waste and Mercury-Containing Equipment (SOP)
4.4.4	Hazardous Waste Management (SOP)
4.4.5	Parts Washer Solution Management (SOP)
4.4.6	Industrial Waste Water (SOP)

- 4.4.7 Public Transit Shelter Cleaning (SOP)
- 4.4.8 Spill Response and Reporting (SOP)
- 4.4.9 Storm Water Pollution Prevention (SOP)
- 4.4.10 Universal Waste Management (SOP)
- 4.4.11 Used Oil Filter Management (SOP)
- 4.4.12 Used Oil Management (SOP)
- 4.4.13 Vehicle Engine Idling

4.3.2 OCCUPATIONAL, ENVIRONMENTAL, SAFETY AND HEALTH (OES&H)

An important aspect of safety compliance falls under Occupational, Environmental, Safety, and Health (OES&H) rules, regulations, guidance, and initiatives. UTA's Safety Administrators work closely with managers, supervisors, and employees to ensure an understanding of the various requirements of OES&H, as well as to other federal, state, and local rules, standards, and ordinances. All new UTA employees receive awareness training from their supervisors on department environmental procedures including, chemical safety data sheets (SDS) and hazard communication, recycling, spill response, minimizing excess idling, energy management, water conservation, and strategies to reduce UTA's carbon footprint (greenhouse gas reduction).

The UTA Environmental Corporate Policy specifically requires UTA to comply with the legal requirements of all local, state, and federal laws.

Contractors performing work at UTA facilities who bring chemicals onto UTA property must notify their UTA contract project manager of all chemicals brought on-site. Contractors are responsible for providing copies of the corresponding chemical Safety Data Sheets (SDS) to their UTA project manager. The UTA project manager will ensure that UTA is aware of the potential risks for spills, releases, and other impacts to UTA for chemicals brought on-site if they are not handled according to the manufacturer's recommendations. Contractors must also present their work plan and employee personal protection procedures for handling chemicals associated with the contracted work at UTA to the UTA project manager. Any Contractor personnel who demonstrate a lack of understanding of applicable safety rules and procedures may be removed from the work site and required to complete additional safety training. The UTA project manager is responsible for maintaining copies of all chemical SDS sheets and the contractor work plans.

4.3.2.1 Construction Safety

Construction safety is administered in accordance with contract specifications, and applicable Federal, State, and local safety requirements. The UTA Safety Administrator-Construction has primary responsibility for safety oversight of construction projects. The program is based on and complies with applicable federal, state, and local safety codes and regulations, including UOSH. Procedures have been established for the control of operating hazards, including but not limited to chemicals, noise, cut and abrasion injuries, strain, and sprain injuries. Contractors are required to comply with these requirements for the safety of their employees as well as to safeguard UTA employees, contractors, passengers, and the public.

Engineering and Project Management approves the contractor's safety program plan and supporting documentation, with the concurrence of the Safety Department. Particular emphasis is placed on work that may affect UTA operations, passengers, facilities, and personnel. All contractors working in the UTA rail rights of way or interfacing with UTA Rail Operations are required to attend Roadway Worker Protection (RWP) safety

training. This training covers track access, right-of-way flagging, and operating procedures. Audits of the contractors are conducted to assure compliance with Federal and State Law, and the UTA requirements.

4.3.2.2 Employee and Contractor Awareness of FRA Requirements

UTA employees and contractors are required to be aware of and comply with specific FRA regulations. Roadway Worker Protection (RWP) (49 CFR 214) is a safety requirement that employees and contractors must follow. Employees and contractors who may foul the tracks or have the potential to foul the tracks while performing their work are required to receive specific Roadway Worker Protection training before they perform roadway work. The rail control centers have established a Work Permit which must be completed and submitted for approval prior to working on the tracks. Contractors and employees must receive RWP training and verify competency through testing. The Track Access Coordinator reviews and verifies training requirements prior to approving work permits. Safety personnel and Rail Supervisor personnel may remove an employee or contractor from a worksite if he/she demonstrates a lack of knowledge and understanding of applicable RWP rules and procedures.

Contracts require compliance with specific UOSH regulations and employee safety programs as applicable to the work being performed. Safety personnel and rail supervisory personally conduct inspections of contractor worksites to assess contractor employee knowledge of and compliance with regulatory and contract requirements. Deficiencies are brought to the attention of contractor project managers for corrective action.

Specific UTA employees must comply with Hours of Service requirements set forth by the FRA while in the performance of specific job duties. Currently, Train Operators, Operations Supervisor/Controllers, and Line and Signal Technicians must comply with Hours of Service requirements.

4.3.2.3 Personal Protective Equipment

Appropriate personal protective equipment (PPE) such as safety glasses, safety boots, gloves, face shields, work uniforms, etc. is provided and is required to be used in performing various work by UTA personnel. This equipment is evaluated and approved by the safety department prior to procurement. Employees who are required to wear approved safety work boots use a tool or uniform allowance or may use a UTA P-card to make the purchase. UTA provides personal protective equipment and supervisors approve purchases as needed by the employees.

4.3.2.4 Safety and Industrial Hygiene Studies and Reviews

The safety department is responsible for monitoring facility compliance with applicable UOSH standards (29 CFR 1910, General Industry and 29 CFR 1926 Construction Standards). Safety personnel work with managers and supervisors to develop programs to ensure a safe and healthful work environment. The safety department performs periodic safety audits/inspections of facilities and work equipment. The safety department develops processes for safety procedures such as confined spaces, blood-borne pathogens, hazard communication, respiratory protection, and personal protective equipment.

Industrial hygiene studies are conducted periodically to evaluate the degree of employee exposure to chemical and or physical agents encountered in the work environment. The evaluation results are utilized to determine the necessary corrective action, including the implementation of engineering and administrative controls required and the use of PPE. Examples of industrial hygiene testing performed include:

- a. Noise level monitoring

- b. Organic vapors or solvents
- c. Measuring the particulate level of air quality
- d. Concentrations of silica

4.3.2.5 Safety Training Effectiveness and Knowledge of Employees

UTA provides safety training for employees in accordance with UOSH requirements. Employees are tested on their knowledge of the course materials upon completion of the course. Supervisors are required to assess employee knowledge as necessary. Safety department personnel perform observations of employee and supervisor knowledge of safety regulatory requirements as part of facility and worksite inspections and audits and may recommend refresher training as required.

4.3.3 FEDERAL RAILROAD ADMINISTRATION AND TRAX LIGHT RAIL

UTA's light rail service (TRAX) is one of the few transit agencies in America that is also regulated by the FRA, in addition to FTA, and UDOT SSO agencies. Portions of UTA's light railroad tracks share limited freight operations with railroad operators through temporal separation, and as such come under FRA jurisdiction. UTA ensures compliance with FRA regulations, as specified by 49 CFR Parts 213 to 240. UTA has received FRA waivers for a number of the CFR parts, as defined by a number of waiver agreements.

Joint FRA/FTA policy statements explain how these agencies coordinate their safety authority.

UTA rail Safety Administrators work closely with the FRA to ensure compliance, and to develop safety initiatives and programs to satisfy regulatory requirements.

4.3.4 FEDERAL RAILROAD ADMINISTRATION AND FRONTRUNNER COMMUTER RAIL

It is the intent of this Transit Agency Safety Plan to meet all of the applicable FRA requirements for commuter rail (FrontRunner) as well as the Light Rail system. This plan will not identify all of the specific requirements of 49 CFR; however, it will identify the parts that will be regulated by the FRA. Specific standard operating procedures (SOP) will be developed in each of the operating areas of maintenance and operations, with the exception of waivers that have been approved by the FRA for the operation of the Light Rail system. These procedures will identify the inspection, testing, and maintenance of numerous tasks. The following is a list of the Code of Federal Railroad Administration Regulations (49 CFR) relating to commuter rail operating equipment on standard gage rail that operates on or is connected to the general railroad system. This list is taken from the Manual for the Development of System Safety Program Plans for Commuter Railroads published May 15, 2006, by APTA.

Part	49 CFR Title	Purpose or Brief Summary of the Standard
213	Track Safety Guidelines	Prescribes minimum safety requirements for railroad track maintenance.
214	Railroad Workplace Safety	Prevent accidents and injury while working on or near the track. Roadway Worker Protection Parts A, B, C, D.
217	Railroad Operating Rules	Rules and practices with respect to the operation of trains and equipment on the general railroad.

Part	49 CFR Title	Purpose or Brief Summary of the Standard
218	Railroad Operating Practices	Contains the minimum requirements for operating rules and practices, timetables, and special instructions.
219	Control of Alcohol and Drug Use	Prevent accidents in railroad operations that result from impairment of employees by alcohol or drugs.
40	Transportation Workplace Drug Testing	DOT procedures for drug and alcohol testing in the workplace.
220	Radio Guidelines and Procedures	Minimum requirements governing the use of wireless communication with railroad operations.
221	Rear-End Marking Devices	Minimum requirements governing highly visible marking devices for the trailing end of the rear car for all passenger, commuter, and freight trains.
222	Use of Locomotive Horns at Public Grade Crossings	To provide safety at public highway-rail grade crossings by requiring locomotive horn use at public highway rail-grade.
223	Safety Glazing Standards - Locomotives	Provides minimum standards for glazing materials in order to protect railroad employees and passengers from objects striking windows of locomotive, caboose, and passenger cars.
225	Railroad Accident and incidents Reports, Classifications, and Investigations	Provide FRA accurate information concerning hazards and risks that exist on the nation's railroads.
228	Hours of Service of Railroad Employees	Prescribes reporting and record keeping requirements with respect to the hours of service of certain railroad employees. (See SOP 101.09)
229	Railroad Locomotive Safety Guidelines	This part prescribes minimum federal safety standards for all locomotives except those propelled by steam power.
231	Railroad Safety Appliance Guidelines	Appliances such as hand braking applications, coupling, running boards, ladders, steps, clearances, roof handholds, side handholds, etc.
232	Brake System Safety Standards for Freight and Other Non-Passenger Trains and Equipment; End of Train Devices	Sub-part "E" is for passenger trains; prescribes federal safety standards for freight and other non-passenger train brake systems and equipment. Sub-part "E" of this part prescribes federal safety standards not only for freight and other non-passenger trains, but also for passenger train brake systems.
233	Signal System Reporting Requirements	This part prescribes reporting requirements with respect to methods of train operation, block signal systems, automatic train stop, train control, and cab signal systems, or other similar appliances, methods, and systems.

Part	49 CFR Title	Purpose or Brief Summary of the Standard
234	Grade Crossing Signal System Safety	This part imposes minimum maintenance, inspection, and testing standards for highway-rail grade-crossing warning systems. This part also prescribes standards for the reporting of failures of such systems and prescribes minimum actions railroads must take when such warning systems malfunction.
236	Rules the Installation, Inspection, Maintenance, and Repair of Signal and Train Control Systems,	This part establishes the minimum requirements for rules, standards, and instructions for testing, inspection, and maintenance of train signal devices and appliances.
238	Passenger Equipment Safety Standards	The purpose of this part is to establish minimum safety planning requirements that will lead to the prevention of collisions, derailments, and other occurrences involving railroad passenger equipment that causes injury or death to railroad employees, railroad passengers, or the general public; and occurrences to the extent they cannot be prevented.
239	Passenger Train Emergency Preparedness	Applies to passenger railroads and prescribes minimum federal safety standards for the preparation, adoption, and implementation of emergency preparedness plans by railroads connected with the operation of passenger trains and requires each affected railroad to instruct its employees on the provisions of its plan.
240	Qualifications and Certification of Locomotive Engineers	Applies to all railroads, and establishes the minimum federal safety standards for training, testing, certification, and monitoring of all locomotive engineers to whom it applies regardless of the fact that a person may have a job classification title other than that of locomotive engineer.

V APPENDICES

Appendix A: JOINT LABOR-MANAGEMENT SAFETY COMMITTEE

CHARTER

1. Purpose

The purpose of the Joint Labor-Management Safety Committee (JLMSC), pursuant to the federal Infrastructure Investment and Jobs Act (49 U.S.C. §5329), is to enhance the health, well-being, and safety performance of the Utah Transit Authority and its employees. The goal of the JLMSC is to eliminate and reduce identified safety risks to the lowest level practicable by reviewing safety information, performance targets, and other means necessary to recommend and make reasonable suggestions and take actions to improve safety at UTA for its employees.

2. Responsibilities

The JLMSC's responsibilities are to facilitate cooperation between UTA and the Union in safety, health, and well-being matters of the organization; to review and approve the Transit Agency Safety Plan (TASP); to set annual Safety Performance Targets as required under §673.11(a)(7)(iii); and jointly to develop RRP's (Risk Reduction Plans) and support the Safety Management System (SMS). A. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified by the JLMSC, including safety risk mitigations associated with any instance identified by the JLMSC as not meeting an annual safety performance target set by the JLMSC in the safety risk reduction program.

B. Identifying safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended, including safety risk mitigations associated with any instance in which UTA did not meet an annual safety performance target in the safety risk reduction program, as identified by the JLMSC.

C. Identifying safety deficiencies for purposes of continuous improvement as required by §673.27(d), including any instance in which the transit agency did not meet an annual safety performance target in the safety risk reduction program, as identified by the JLMSC.

3. Appointment And Term of Appointment

The JLMSC will consist of an equal number of committee members, with UTA and ATU Local 382 selecting their respective members. The term of each appointed committee member will be decided by the respective party, and UTA and the Union may replace their respective members at any time they see fit.

4. Number of Representatives; Resignations; Vacancies

Each party will elect or appoint its respective members to the committee using its own selection process. Each party will determine the length of service on this committee for its appointed members. If a current JLMSC member is unable to attend a scheduled JLMSC meeting, that party may choose an alternate to attend the meeting in the absence of the member who is unable to attend.

5. Dispute Resolution

Pursuant to 49 CFR 673.19(c)(8), or any applicable law, the Joint Labor-Management Safety Committee (JLMSC) shall maintain a documented process for resolving disputes to ensure the Committee can carry out its operations effectively. Neutral Facilitator/Tiebreaker UTA and ATU Local 382 (the Parties) shall attempt to select, by mutual agreement, a neutral individual with safety experience to serve as a Facilitator/Tiebreaker from among the names provided by the organizations listed below. No Facilitator/Tiebreaker on the list will have worked with, be seeking to work with, or have had a prior relationship with UTA, nor be affiliated with the ATU.

- University of Utah
- Weber State
- University Rocky Mountain Center for Occupational and Environmental Health

In the event the Parties cannot mutually agree on a Facilitator/Tiebreaker from the list of names provided by the organizations, the Parties shall select the Facilitator/Tiebreaker by striking names from the list. The Parties shall flip a coin to determine who shall strike a name first and alternately strike names until only one name remains. The individual whose name remains shall serve as the Facilitator/Tiebreaker. The Facilitator/Tiebreaker shall attend all meetings to be up-to-date on all aspects/issues surrounding the JLMSC. The Facilitator/Tiebreaker shall be paid by UTA.

Role of the Facilitator/Tiebreaker

In the event that the JLMSC cannot reach agreement on an issue by majority vote, the JLMSC shall refer the issue over which the JLMSC is deadlocked to the Facilitator/Tiebreaker.

- The Facilitator/Tiebreaker shall first attempt to achieve consensus by working with both Parties.
- If consensus cannot be achieved, the Facilitator/Tiebreaker shall cast the tiebreaking vote, and that decision shall be final with respect to the matter under dispute.

Annual Review

The Parties shall meet once per year to jointly evaluate the effectiveness of the Facilitator/Tiebreaker process and determine whether any adjustments are necessary to improve fairness, efficiency, and compliance.

6. Duties of the (Co) Chairpersons

An assigned UTA representative and a Union representative will both act as Co-Chairs of the JLMSC. The Co-Chairs will work together and decide who will conduct JLMSC meetings, as well as develop the agenda, on a rotating basis. Finalized agendas will be submitted to the committee at least 48 hours in advance. UTA staff will provide all materials and support requested and necessary for the members of the JLMSC. UTA staff will provide the JLMSC with, including but not limited to, the following: Provide correspondence and reports requested by members of the JLMSC; Prepare meeting minutes and recorded decisions to be approved by the JLMSC members; Provide access to necessary and required information, resources, tools, and technical experts; Provide access to submissions to the transit worker safety reporting program to support its deliberations.

7.Training

All representatives of the Committee will be trained on any new regulatory updates and changes at the first JLMSC meeting of each year. The JLMSC will determine the training necessary to support its purpose, SMS principles, responsibilities, processes, and tools to address safety concerns.

8.Meeting

The JLMSC will meet no less than quarterly. The JLMSC may meet more frequently if the members of the committee deem it necessary. Each meeting will be scheduled on the second Tuesday of the second month of each quarter from 10:00 a.m. to noon and will be adjusted as necessary by the members of the JLMSC. JLMSC members will be provided materials and given a reasonable time to prepare for upcoming JLMSC meetings.

- February
- May
- August
- November

9.Attendance and Alternatives

Regular attendance at scheduled meetings is expected of JLMSC members. Each party will provide an alternate representative to attend if necessary. UTA and the Union shall encourage cooperation and regular attendance. UTA will pay the BU representatives for attending any JLMSC or related meetings.

10.Agenda

Agendas for each JLMSC meeting will be agreed to by the JLMSC Co-Chairs.

11.Minutes

UTA will provide support staff, as agreed to by the JLMSC members, to take and maintain the minutes of JLMSC meetings and to provide and record the recommendations, decisions, and actions taken by the JLMSC. The meeting minutes will then be provided to all JLMSC members to review and amend if necessary. The final meeting minutes will then be provided to the JLMSC members for final review and approval at the next scheduled meeting. Once the minutes are approved by the JLMSC, a copy of the approved minutes will be provided to the Union President/BA and to UTA, which will retain copies of the minutes for three years or as otherwise required by 49 CFR.

12.Voting Quorum

The voting quorum will consist of the JLMSC members. All JLMSC members (or an alternate, if necessary, for an absent JLMSC member) must be present to vote on any JLMSC actions. A majority vote of all representatives is required to approve Safety Committee actions.

13.Employee Involvement

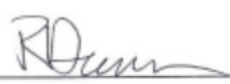
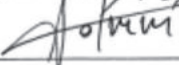
Any JLMSC member may bring hazards to the committee for discussion at any time. Hazard logs and employee concerns and incidents will be provided to and reviewed by committee members.

14. Language Warranty

The JLMSC and this charter are applicable and in effect only so long as required by applicable federal laws and regulations.

15. Effective Date

This Charter shall be effective on 5/14/2026. The JLMSC may amend this Charter at any time with the full agreement of both parties' appointed members.

 _____ Travis King Date: <u>6/18/2026</u>	 _____ Rod Dunn Date: <u>06/18/2026</u>
 _____ Andres Colman Date: <u>6/18/2026</u>	 _____ Norm Blessant Date: <u>18 June 2026</u>
 _____ Ann Green-Barton Date: <u>06/18/2026</u>	 _____ Doug Underwood Date: <u>6-18-26</u>

5. INTERNAL REVIEW SCHEDULE (2025-2027)

UTA TRAX Internal Review Schedule SAFETY 2025 to 2027						As of: 13 November 2024		
#	TASP (SSPP) Internal Review Item/Chapter Departments Audited	Audit Frequency	UDOT Scheduled date	UDOT Notice Y/N	Date Last Completed	UTA Next Audit Date Completed / Due Date		
						2025	2026	2027
1	Policy Statement, and Authority for Transit Agency Safety Plan (TASP) {Rail System Safety}	*Triennial			11/20			2027
2	TASP Goals and Objectives {Rail System Safety}	*Triennial			11/19		2026	
3	Overview of Management Structure {Rail System Safety}	*Triennial			11/20			2027
4	TASP Control and Update Procedure {Rail System Safety}	*Triennial			11/19		2026	
5	TASP Implementation Activities and Responsibilities {Rail System Safety}	*Triennial			11/20			2027
6	Hazard Management Process {Rail System Safety, Capital Development, Rail Safety Comm (RSC), Rail Activation Comm (RAC), Safety & Security Review Comm (SSRC)}	Triennial			11/19		2026	
7	System Modification {Capital Development, RAC, SSRC, Fire Life Safety & Security Committee (FLSSC)}	Triennial			10/18	2025		
8	Safety Certification {Capital Development, RAC, SSRC, FLSSC}	*Triennial			11/19		2026	
9	Safety Data Collection and Analysis {Rail System Safety, Rail Operations, Claims}	Triennial			11/20			2027
10	Accident/Incident Notifications Investigations – also Includes FR and TRAX FRA reporting AirgNet. {Rail System Safety, Rail Opns, MOW, Vehicle Maint}	Annual			11/20	2025	2026	2027
11	Emergency Management Program {Rail System Safety, Public Safety, Rail Operations, Special Projects}	Triennial			11/19		2026	
12	Internal Safety Audits/Reviews {Rail System Safety, Public Safety}	Triennial			11/20			2027
13	Rule Compliance {Rail Operations, MOW, Vehicle Maintenance, Passenger Services Facilities}	*Triennial			11/19		2026	
14	Facilities, and Equipment Inspections {MOW facilities, Passenger Services Facilities, SRC, Vehicle Maintenance}	*Triennial			10/18	2025		
15	Maintenance Audits, and Inspections {Vehicle Maint, Rail Systems, Rail Infrastructure}	Triennial			11/19		2026	

16	Training and Certification Program for Employees and Contractors {Rail Operation Training, Vehicle Maintenance Training, MOW Training }	Triennial			10/18	2025		
17	Configuration Management and Control {Capital Development , RAC, SSRC, FLSSC}	Triennial			10/18	2025		
18	Local, State, and Federal Requirements {Rail operations, MOW, Vehicle Maintenance, Passenger Services Facilities}	Triennial			11/20			2027
19	Hazardous Materials Program {MOW, Vehicle Maintenance, Environment}	Triennial			11/20			2027
20	Drug and Alcohol Program {HR, Rail Operations}	Triennial			10/18	2025		
21	Procurement {Purchasing, Vehicle Maint, MOW, Capital Dev}	Triennial			10/18	2025		
22	System Security {Public Safety}	Triennial			See Security Below			
*was annual								

UTA Internal Review Schedule - SECURITY 2021 to 2023

Item #	System Security Plan (SSP) Internal Review Item	Date/ Frequency	UDOT Scheduled date	Notice to <u>UDOT ?</u>	Date Last Completed	UTA Next Audit Date Completed / Due Date	
1	Policy Statements	Triennial				2025	
2	System Description	Triennial				2025	
3	Management of the System Security Program	Triennial				2025	
4	System Security Program Components	Triennial				2025	
5	Threat and Vulnerability Identification, Assessment and Resolution	Triennial			11/20		2027
6	Implementation and Evaluation of the System Security Plan (SSP)	Triennial			11/20		2027
7	Modification of the SSP	Triennial			11/20		2027

UTA External Review Schedule - SAFETY 2019 to 2022

External Reviewing Agency	Date / Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS) OSHAS 18001	Recert: Triennial Update: Annual		NA		

UTA External Review Schedule - SECURITY 2019 to 2022

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Date next Scheduled
TSA BASE Audit	Triennial		NA		

UTA TRAX Internal Review Schedule SAFETY 2025 to 2027

As of: 13 November 2024

#	TASP (SSPP) Internal Review Item/Chapter Departments Audited	Audit Frequency	UDOT Scheduled date	UDOT Notice Y/N	Date Last Completed	UTA Next Audit Date Completed/Due Date		
						2025	2026	2027
UTA Policy								
1	Authority and policy Statement	Triennial					2026	
2	Goals and Objectives	Triennial				2025		
3	Overview of Management Structure	Triennial					2026	
4	TASP annual updates, Revisions and Changes	Triennial				2025		
Risk Management								
5	Risk Management Program	Triennial				2025		
6	Hazardous Materials Program	Triennial					2026	
Assurance								
7	Internal Safety Audit/Review Program	Triennial					2026	
8	Accident Notification, Investigation, and Reporting	Triennial						2027
9	Safety Data Collection and Analysis	Triennial					2026	
10	System Modifications (Management of Change)	Triennial						2027
11	Configuration Control	Triennial						2027
12	System Safety and Security Certification	Triennial				2025		
13	Rules Compliance	Triennial				2025		
14	Facilities, Structures and Equipment Inspections	Triennial				2025	2026	2027
15	Maintenance Audits and Inspection Program	Triennial				2025	2026	2027

16	Drug and Alcohol Program and Medical Monitoring	Triennial						2027
17	Procurement	Triennial						2027
Promotion								
18	TASP Implementation Activities and Responsibilities	Triennial			11/20		2026	
19	Training and Certification Program	Triennial			11/20			2027
20	Local, State, and Federal Requirements	Triennial			10/18		2026	
<i>*was annual</i>								

UTA Internal Review Schedule - SECURITY 2025 to 2027

Item #	System Security Plan (SSP) Internal Review Item	Date/ Frequency	UDOT Scheduled date	Notice to UDOT ?	Date Last Completed	UTA Next Audit Date Completed/Due Date	
1	Policy Statements	Triennial				2025	
2	System Description	Triennial				2025	
3	Management of the System Security Program	Triennial				2025	
4	System Security Program Components	Triennial				2025	
5	Threat and Vulnerability Identification, Assessment and Resolution	Triennial			11/20		2027
6	Implementation and Evaluation of the System Security Plan (SSP)	Triennial			11/20		2027
7	Modification of the SSP	Triennial			11/20		2027

UTA External Review Schedule - SAFETY 2025 to 2027

External Reviewing Agency	Date / Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS)	Recert: Triennial Update: Annual		NA		

**UTA External Review Schedule -
SAFETY 2015 to 2018**

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS)	Recert: Triennial Update: Annual		NA		

**UTA External Review Schedule –
SECURITY 2025 to 2027**

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Date next Scheduled
TSA BASE Audit	Triennial		NA		

6. SAMPLE DOCUMENTS

Appendix A-1 SAFETY DASHBOARD (SAMPLE)



Hazard Mitigation - Compliance - Continual Improvement


**SAFETY &
EMERGENCY MANAGEMENT
Dashboard
August 2024**

 Reactive → Proactive → Predictive
Find → Fix → Follow Up
Leading / Influencing Indicators

Safety Events	Monthly				Monthly			
	Admin	Bus	TRAX	FR	Total	Goal	%	YTD
Safety Committee Mtgs	1	5	1	1	8	8	100%	74
Education Outreach	6	2	2	2	12	5	240%	101
# interviews	-	61	10	2	73	64	114%	686
# rides / observations	-	38	2	1	41	24	171%	356
Rules Checks-Safety	-	23	849	135	1,007	na	na	792
Rules Violations-Safety	-	3	17	8	28	na	na	501
Avg days on Hazard Log	-	155	607	206	242	180	na	na
# "High" open hazards	-	-	1	-	1	na	na	na
Hazards Closed (YTD)	-	11	16	-	27	na	na	27
Broken Gates	na	na	20	5	25	na	na	177
Trespassers	na	na	67	7	74	na	na	620
Emergency Brake	na	na	56	24	80	na	na	639
Near Miss Reports	na	na	na	0	-	na	na	40

Audits Rcmd / Findings
 Triennial 2021
 UDOT HOS (Aug 2022)
 Totals

Rcmd	Findings	Submt	Closed	% Closed
22	10	0	30	94%
0	2	0	2	100%
22	12	0	32	94%

**Lagging Indicators**

(Graphs on second page)

Bus	All Accidents			Avoidable Acc.			NTD Major			Pace
	Mo	YTD		Mo	YTD	%YTD	Mo	YTD		
Meadowbrook	18	219		2	46	21%	1	14	306	297
Central	5	92		0	31	34%	1	4	141	125
Special Svcs	3	40		3	16	40%	0	0	79	54
Ogden	11	115		3	21	18%	0	11	155	156
Timpanogos	2	62		0	21	34%	1	6	122	84
All Incidents	39	528		8	135	26%	3	35	803	528

NTD Major Incidents	Monthly			2023	2024	Pace
	Mo	YTD				
NTD Major Incidents	3	35	2-OV R-end stopped bus, 1-Bus L-turn co	42	47	
NTD Major - injuries	2	9	2-(1-pass), (1-Driver OV)-resulting from coll	20	12	
Summary injuries	-	2		9	3	
Fatalities	-	-		0	0	

Employee Injuries	Aug-24			2023	2024	Pace
	Mo	YTD				
Lost Time Injury	10	43	1-Fracture, 1-Inhalation, 6-Strain, 2-Contusi	73	58	
Medical Injury	10	88	1-Laceration, 3-Inhalation, 3-Strain, 1-Heat,	120	119	
WC Report Only	13	109	1-Laceration, 2-Inhalation, 2-Stress, Fall, 2-I	141	148	

Employee Assaults			
	Mo	YTD	
Bus	2	3	
Light Rail	1	3	
Commuter Rail	-	-	

Construction
 Depot District
 Ogden BRT

%	Lost	Recordabl	First
Comple	Time	e	Aid
99%	0	0	0
99%	0	0	1

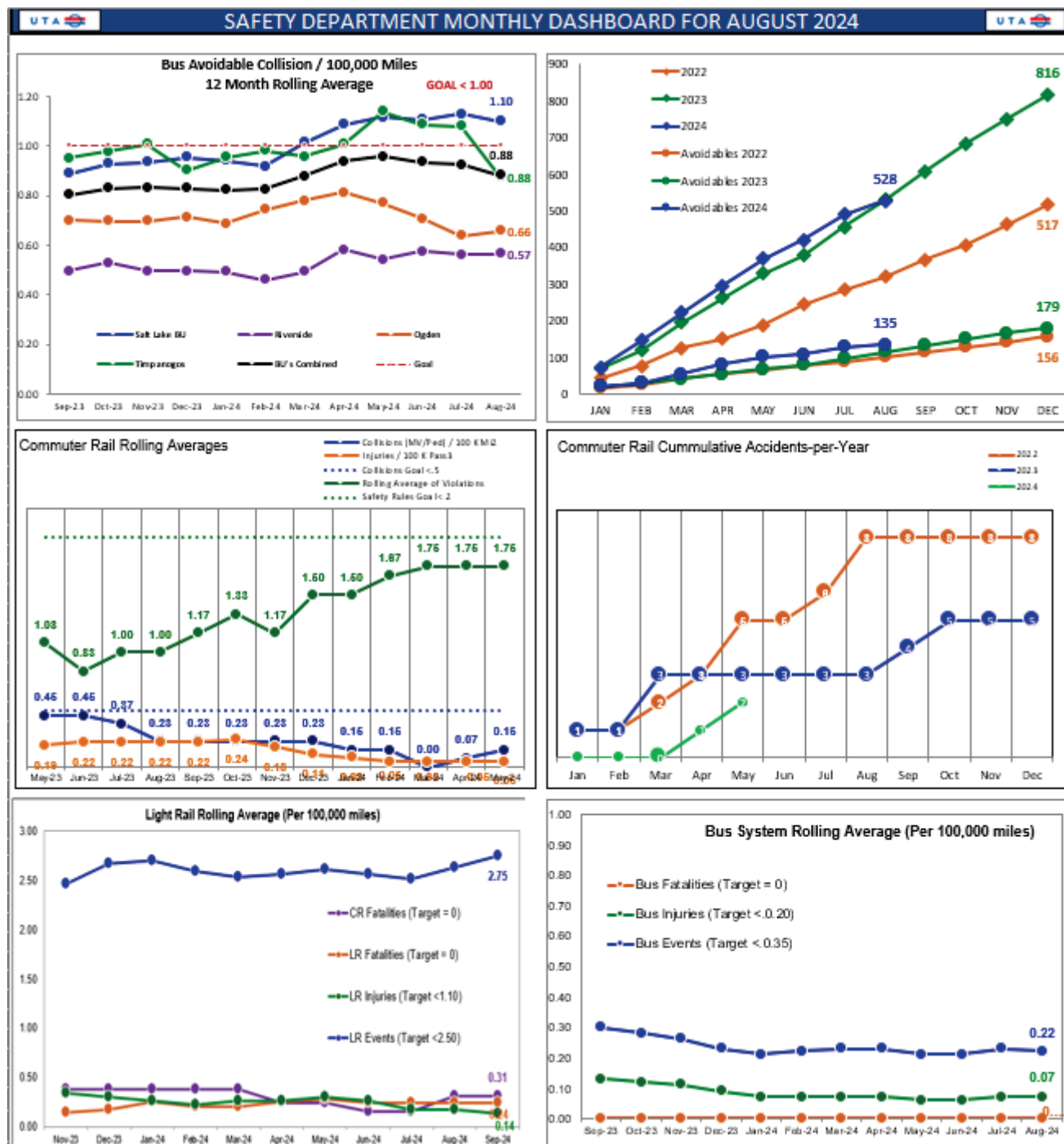
TRAX -	Mo	YTD	Monthly	2023	2024
NTD Major Incidents	4	33	Tr v MV (5), Derail (3) Train v F	43	40
NTD Major Injuries	0	4	Tr v MV (0) Tr v Ped (1) Train v v	8	5
Summary Injuries	7	19	Passenger Fall (7) Worker ou	20	23
Fatalities	0	4	Tr v Tres (0) Tr v Test (1) Tr v Au	5	5

S-LINE +	Mo	YTD	Monthly	2023	2024
NTD Major Incidents	0	0	NA / Train v MV	0	-
NTD Major Injuries	0	0		0	-
Summary Injuries	0	0		0	-
Fatalities	0	0		0	-

FrontRunner -	Mo	YTD	Monthly	2023	2024
FRA Major incidents	0	0	na	5	-
Injuries	0	0	na	20	-
Fatalities	0	0	na	5	-

Improving / Good	+
Stable / Acceptable	o
Declining / Poor	-

Appendix A-2 COLLISIONS/INJURIES ROLLING AVERAGE INDEX (SAMPLE)



Appendix A-3 INTERNAL AUDIT INSPECTION CHECKLISTS AND SCHEDULE (SAMPLE)

TASP # 1: Authority and Policy Statement

TASP # 1: Goal and Objectives Table

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the TASP

VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
Document Review	Review TASP Policy Statement, ensuring: That it endorses UTA's safety program; that it has the signature of UTAs General Manager (GM, Executive Director (ED), or Chief Executive Officer (CEO); that it describes the authority that establishes the TASP; and that it is dated.		
Rules Review	n.a.		
Records Review	n.a.		
Interviews with UTAs Senior Management	Conduct a meeting with UTAs Executive Director, Director of Safety, and Senior Management in Operations, Maintenance, Engineering, Human Resources/Training, Procurement, and Legal to discuss: - How the authority conferred in UTA's policy statement to the Safety Department is reinforced with UTA personnel during meetings, bulletins, or other methods. - How the UTA's safety policy is consistent with the commitment to safety expressed by UTA's ED and UTA Senior Management. - Whether safety is included as a regular topic at UTA Board Meetings, and whether the UTA Director of Safety gives reports. - Formal meetings that are held and attended by UTA Executive Leadership to discuss safety performance (such as ongoing evaluation of goals and targets).		

TASP # 1: Goal and Objectives Table

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the TASP

VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
	• UTA ED and UTA Senior Management awareness of high priority safety issues and the status of corrective actions. • The UTA Safety Department's reporting relationship to UTA ED, UTA's Safety Committee Structure, and the participation of the UTA's Senior Management in this structure. • Where in the organization safety decisions are made and the involvement of UTA Senior Management in making them. • The process for the periodic review of the resources devoted to safety by the ED and UTA Senior Management. • The inclusion of safety activities and requirements in employee job descriptions and training programs at UTA. • The inclusion of safety responsibilities in job evaluations for managers, supervisors, and employees. • The implementation of UTA's internal safety audit process, to include a clearly defined scope, checklists, procedures, an effective findings resolution process, and annual certification of the TASP compliance from the UTA ED. • Use of risk assessment and hazard management as part of the overall safety program. • Efficiency and proficiency testing programs for operations and maintenance employees, and how these programs ensure compliance with safety-critical rules. • UTA's accident investigation program and its focus on cause finding and correction.		

TASP # 1: Goal and Objectives Table

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the TASP

VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
Interviews with UTA Safety Personnel	Interview the Director of Safety and representatives from the Safety Department to see if they feel empowered, authorized, and supported by Executive Management in carrying out the TASP, as specified in the Policy Statement. Ask for three (3) examples of where management support has made the difference in getting a specific safety concern addressed.		
Interviews with Other UTA Personnel	Conduct interviews with a representative sample of rank-and-file UTA operations and maintenance personnel to verify their familiarity with the TASP, UTA's safety programs and authorities, and their obligation to perform work safely and to report safety issues and potential hazards.		
Field Observations	n.a.		
Inspections and Measurements	n.a.		

Audit Date:

Auditor:

Participants

Audit Location:

Auditor:

Title/Company

Findings of Non-Compliance:

Findings of Compliance with Recommendations:

Notes:

Reference: 49 CFR Part 673 Public Transportation Agency Safety Plans

Appendix A-4 FACILITY PM INSPECTION CHECKLIST (SAMPLE)

Meadowbrook							
Unit	Description	ServiceType	Scheduled Date	Inspection Date	Status	WorkOrder	
100000	Meadowbrook Facility Yard	MONTHLY	02/01/2012	02/29/2012	On Time	798434	
111010	RUPS EMERGENCY GENERATOR	MONTHLY	02/01/2012	02/07/2012	On Time	798489	
130007	Parallelogram Platform Hoist	MONTHLY	02/01/2012	02/28/2012	On Time	798507	
130310	EMERG.GENERATOR	MONTHLY	02/01/2012	02/07/2012	On Time	798508	
130340	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798509	
130350	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798510	
130360	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798511	
130440	SUMP PUMP	MONTHLY	02/01/2012	02/29/2012	On Time	798512	
130450	SUMP PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798513	
130460	ENGINE COOLANT PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798514	
130470	AUTO TRANS FLUID PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798515	
130490	DIFF.OIL PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798516	
130500	ENGINE OIL PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798517	
131970	Cathodic Protection Rectifier	MONTHLY	02/01/2012	02/28/2012	On Time	798520	
132660	Rotary Screw Air Compressor	MONTHLY	02/01/2012	02/28/2012	On Time	798521	
132760	Bus Hoist (above ground post)	MONTHLY	02/01/2012	02/28/2012	On Time	798523	
132770	Bus Hoist (above ground post)	MONTHLY	02/01/2012	02/28/2012	On Time	798524	
132780	Bus Hoist (above ground hoist)	MONTHLY	02/01/2012	02/28/2012	On Time	798525	
140050	DIESEL PUMP 1A	MONTHLY	02/01/2012	02/14/2012	On Time	798527	
140070	DIESEL PUMP 1B	MONTHLY	02/01/2012	02/14/2012	On Time	798529	
140090	DIESEL PUMP 1C	MONTHLY	02/01/2012	02/14/2012	On Time	798531	
140120	Diesel Dispenser	MONTHLY	02/01/2012	02/28/2012	On Time	798533	
140140	UNLEADED PUMP2B	MONTHLY	02/01/2012	02/28/2012	On Time	798535	
140810	Cathodic Protection Rectifier	MONTHLY	02/01/2012	02/28/2012	On Time	798541	
140820	Soap Pump and Mixer	MONTHLY	02/01/2012	02/28/2012	On Time	798542	
150001	Platform Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798544	
150130	SUMP PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798545	
150190	BRUSH ARM ASSEM	MONTHLY	02/01/2012	02/28/2012	On Time	798546	
150200	MOP GEAR MOTOR	MONTHLY	02/01/2012	02/28/2012	On Time	798547	
150210	WATER PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798548	
150220	WATER PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798549	
150300	WATER RECLAIM PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798551	
150400	PARALLELOGRAM LIFT	MONTHLY	02/01/2012	02/29/2012	On Time	798552	
150630	Hot Water Pressure Washer	MONTHLY	02/01/2012	02/28/2012	On Time	798553	
150850	Parallel Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798554	
160120	Canopy A Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798556	
160130	Canopy A South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798557	
160140	Canopy B Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798558	
160150	Canopy B South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798559	
160160	Canopy C Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798560	
160170	Canopy C South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798561	
160180	Canopy D Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798562	
160190	Canopy D South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798563	
160200	Canopy E Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798564	
160210	Canopy E South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798565	
170001	Emergency Generator	MONTHLY	02/01/2012	02/07/2012	On Time	798567	
180730	AMER. CLEANER STEAM CLEANER	MONTHLY	02/01/2012	02/10/2012	On Time	798582	
180740	L & A STEAM CLEANER	MONTHLY	02/01/2012	02/10/2012	On Time	798583	
180870	WATER SOFTENER	MONTHLY	02/01/2012	02/28/2012	On Time	798585	
180880	WATER SOFTENER	MONTHLY	02/01/2012	02/28/2012	On Time	798586	
182250	AIR DRYER	MONTHLY	02/01/2012	02/14/2012	On Time	798600	
183250	Oil Water Separator	MONTHLY	02/01/2012	02/28/2012	On Time	798604	
183280	Hunter Scissor Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798605	
183970	Parts Washer	MONTHLY	02/01/2012	02/10/2012	On Time	798609	

Inspection Summary:

Total Inspections:	54	
Total Overdue Inspections:	0	0.00%
Total Inspections Completed Late:	0	0.00%
Total Inspections Completed Early:	0	0.00%
Total Inspections Completed on Time:	54	100.00%
Total Inspections Due this Current Month that have not been Completed Yet:	0	0.00%

Early: Any inspections done in the months previous to when they were scheduled to be done.
Late: Any inspections done in the months after they were scheduled to be done.
On Time: Any Inspections done within the same month they were scheduled.

Appendix A-5 MONTHLY SAFETY ENVIRONMENTAL CHECK LIST (SAMPLE)

Monthly Facility and Shop Inspection Checklist - Correct Unsafe Conditions Immediately -															Revision Date 10/21/2013 Revision number 1									
Date:				= Not applicable				= Not required (note comment if issue is found)																
Safety Administrator: Name:																								
Signature:																								
Maintenance Safety Rep: Name:																								
Signature:																								
		Bay 1	Bay 2	Bay 3	Bay 4	Bay 5	Bay 6	Bay 7	Bay 8	Bay 9	M. Shop	Parts	Paint	8										
1. Are Floors Clean/Clear of Debris?		S	S	S																				
2. Are Blue Flag Chains serviceable at both ends of the bay?		S	S	S																				
3. Are fire extinguishers readily available? Check two for current insp.		S	S	S																				
4. Does overhead lighting properly work?		1	S	S																				
5. Are hoses and equipment properly stored?		S	2	S																				
6. Are containers properly stored and labeled?		S	S	3																				
7. Are Safety glass area lines visible and in good condition?		S	S	S																				
8. Are compressed gas cylinders properly stored? (Chained)				S																				
9. Are Safety Chains in place?			S	S																				
10. Are pits clear of rags, trash and other debris			S	S																				
11. Are Bio-Hazard kits available and properly stocked?		S																						
12. Are Face Shields available for blow down pit?			S																					
13. Are Safety Chains in place around Wheel truing pit?				S																				
14. Are pit fans in working order (Check 3 random fans)																								
15. Is the oil storage area free of slip hazards?																								
16. Do eye wash stations / showers have current inspection?				S																				
17. Is the spill kit available and properly stocked?																								
18. Are Safety Glasses, gloves and respirators available																								
19. Are Cranes Inspected prior to use? Are inspections current?				S																				
20. Are safety guards in place?																								
Findings/comments:																								
1. Several Lights are out. Work order needs to be placed																								
2. Hoses were strung out across bay 2 no employees in area																								
3. Containers in cleaning area were unlabeled.																								
Note: Customize location and area to be inspected to make it specific to your facility																								

7. BLANK FORMS

Appendix A-6 NON-CONFORMANCE CORRECTIVE ACTION PLAN (NCAP) FORM

Accountable Manager/Owner: <i>Click here to enter text.</i>		Corrective Action Plan #: <i>Click here to enter text.</i>
Category: <i>Choose an item.</i>	Issue Identified by: <i>Choose an item.</i>	IHR: Enter Initial Hazard Rating.
Location: <i>Click here to enter text.</i>	Department: <i>Enter responsible Dep.</i>	FHR: Enter Final Hazard Rating.
Assigned to: <i>Click here to enter text.</i>		Date Assigned: <i>Click here to enter a date.</i>

Description of Non-Conformance/Safety Hazard: <i>Click here to enter text. Provide a detailed description of the Non-Conformity or safety hazard.</i>

Root Cause Analysis: <i>Click here to enter text. Provide information regarding cause or contributing factors (If applicable).</i>

Corrective Action Plan: <i>Click here to enter text. Provide a detailed plan and/or list of corrective actions.</i>
Proposed Implementation Date: <i>Click here to enter a date.</i>
Corrective Action Plan Initial Approval by UDOT SSO: <i>Click here to enter a date.</i>

Resolution Of Corrective Action Plan: <i>Click here to enter text. Provide a detailed description of actions implemented.</i>

Accountable Manager/Owner:	Sign and date below when CAP been completed and documented.	
Name: <i>Click here to enter text.</i>	Date: <i>Click here to enter a date.</i>	Signature:

SSO Manager: (If Applicable)	CAP Verification and Final Approval (Actual Implementation Date)	
Name: James W. Golden	Date:	Signature:



Safety Hazard Report/Close Call Report

Check one:

☐

Safety Hazard

☐

Close Call

Use this form to report safety hazards and close calls. After completion, please turn this form into your immediate Supervisor or Safety Administrator for proper follow up by management and your safety committee. You may also report via: Website: (www.lighthouse-services.com/rideuta-hazard), Telephone: (833.940.2874), or by E-mail: reports@lighthouse-services.com (mention Utah Transit Authority)

Safety Hazard: Name not mandatory unless you want feedback.

Close Calls: Leave name blank to maintain confidentiality,

Name: _____

Date Submitted and/or Time of Close Call: _____

Bus/Rail Route or Facility: _____

Direction: _____

Safety Hazard or Close Call: *(Be as specific as possible- what is the root cause?)*

Proposed Solution: *(Be as specific as possible-how can it be avoided in the future?)*

Response:

Would you like a response?

Yes: _____

No: _____

Appendix A-7 SAFETY SUGGESTION/HAZARD REPORT FORM

Use this form for safety questions, suggestions and reporting hazards. Your Supervisor will respond to your suggestions or forward it to your UTA Safety Committee. The Safety Committee will meet monthly to address these issues and provide feedback as soon as possible. Please be as specific as possible when describing the safety concern and making recommendations

Name: _____ Date: _____
(Not required unless you want feedback)

Bus/Rail route or Facility: _____ Direction: _____ Time: _____

Safety Question, Suggestion, or Hazard: *(Be as specific as possible)*

Proposed Solution: *(Be as specific as possible)*

Response:

Would you like a response? Yes: [] No: []

Supervisors Initials: _____ Date Received: _____ Response Date: _____

Suggestion forwarded to: _____ Forward Date: _____

Person or Committee responding: _____ Response Date: _____

Reviewed by RGM: _____ Date Reviewed: _____

Date Closed: _____

Appendix A-8 SAFETY AND SECURITY CERTIFIABLE ITEMS CHECKLIST



Certifiable Element: Revenue Readiness

Sub-element: Fire, Safety and Security Documents and Training

Safety and Security Certification

Certifiable Items Checklist

Verification: _____
Date: _____

Location

Discipline: Revenue Readiness
Contract No:
Site/Area: Sugar House Street Car

Means of Verification

Construction
CM= Measurement
CT= Test
CV= Visual Inspection

Design
PS= Plans and Specifications
S= Submittal
CN/CO= Change Notice/Order

Commissioning
T= Test
V= Visual Inspection
R= Review

Status

C= Closed
O= Open
OW= Open with identified workaround

Item No.	Certifiable Item Description	Certifiable Item Verification				Certifiable Item Status	
		Reference Documentation (As applicable)	Verified By	Date	Means of Verification	Status	Description of Workaround
1	Fire protection & Alarm systems. (Facilities)	Local FD jurisdiction site review			T, V, R		
2	UTA Emergency Notification & Regulator Notification	SSPP section 10, UTA SOP 4.2.23			V, R		
3	Functional Response Drills	EPP, SSPP Section 11. 49 CFR 659			V, R		
4	Table Top Response Drills	EPP, SSPP Section 11. 49 CFR 659			V, R		
5	Emergency Preparedness Plan (EPP) Review	EPP, 49 CFR 659					
6	System Safety Program Plan (SSPP) Review	49 CFR 659, SSO Procedures/Stdts.			R		
7	System Security Plan (SSP) Review	SSP, 49 CFR 659 Security Haz Log			R		
8	Vehicle familiarization orientation (FD, PD, SWAT)	Familiarization Training			V, R		
9	Emergency Response Evacuation (Facilities)	EPP, 49 CFR 659			R		
10	Threat and Vulnerability Analysis (TVA)	SSP, 49 CFR 659					
11	Preliminary Hazard Analysis (PHA)	SSPP section 6. 8. SSCP, RAP			R		
12	Operations Hazard Analysis (OHA)	SSPP section 6. 8. SSCP, RAP			R		
13	Hold Points 1.2 .3 process review and verification	SSPP Section 8, RAP, SSCP			R		
14							

Safety and Security Certification
Certifiable Items List
RAC Approved 3/29/2013 Rev. 2.0

Note: Only list items which are safety and/or security critical

Page 1 of 1

Appendix A-9 UTA SAFETY CERTIFICATION HOLD POINT APPROVAL FORMS

See following pages for hold point forms 1, 2, and 3.

System Integration Readiness Review Report

Hold Point #1

Project: _____

This Hold Point Review is established to verify readiness to enter the System Integration Commissioning/Testing Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Appropriate Civil, GC, Systems CILs complete (see items identified on attached index).
- ☐ 2. Appropriate Contractor Stand Alone Testing complete (see items identified on attached index).
- ☐ 3. UDOT Surveillance Reports completed and deficiencies corrected.
- ☐ 4. Public Awareness Safety Outreach Plan measures started and ongoing.
- ☐ 5. Preliminary Hazard Analysis completed/ Hazards mitigated.
- ☐ 6. TVA completed.
- ☐ 7. Rail Corridor ready for System Integration.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:
(Describe below, include responsible party).

- 1. _____
- 2. _____
- 3. _____
- 4. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Carolyn Anderson Date

Systems Discipline Mgr. – Jared Scarbrough Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Sheldon Shaw Date

System Integration Readiness Review Report

Hold Point #2

Project: _____

This Hold Point Review is established to verify readiness to enter the Pre-Revenue Commissioning/Testing Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Grade Crossing CILs Complete.
- ☐ 2. Systems CILs Complete.
- ☐ 3. System Integration Testing and Documentation Complete.
- ☐ 4. Operational Hazard Analysis Complete.
- ☐ 5. Transfer of permitting process (Track Access) from Contractor to UTA Operations Complete.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:

(Describe below, include responsible party).

- 5. _____
- 6. _____
- 7. _____
- 8. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Carolyn Anderson Date

Systems Discipline Mgr. – Jared Scarbrough Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Sheldon Shaw Date

System Integration Readiness Review Report

Hold Point #3

Project: _____

This Hold Point Review is established to verify readiness to enter the Revenue Operations Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Previous Hold Point Review Documents are signed and complete.
- ☐ 2. CILs are complete, with any workarounds noted, approved, and implemented.
- ☐ 3. Pre-Revenue operator training/testing/drills, Pre-Revenue Operations are complete.
- ☐ 4. Grand Opening Plan and Public Outreach Plan developed.
- ☐ 5. Agency Reviews completed and notifications given.
- ☐ 6. Safety & Security Certification Verification Report (SSCVR) is finished and ready to submit.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:

(Describe below, include responsible party).

- 9. _____
- 10. _____
- 11. _____
- 12. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Carolyn Anderson Date

Systems Discipline Mgr. – Jared Scarbrough Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Sheldon Shaw Date

Executive Director Date

Appendix A-10 MANAGEMENT OF CHANGE (MOC) APPROVAL AND VERIFICATION DOCUMENT

Title:	MOC #:	Date Initiated:
Team Lead/Members:		
Description:		
Evaluation/Solutions:		
Recommendation:		
Cost/Funding Source/Schedule/POC :		
Proposed changes to existing Design Criteria/Specs/Procedures:		
Enclosures/Drawings/Photos/Attachments:		

CONCURRENCE

The following UTA staff have reviewed the evaluation and concur with the recommended modifications.

Name	Position	Signature	Date
Comments/Provisions:			

APPROVAL

Indicates approval “to go do”. Requires signatures from any two SSRC members.

Name	Position	Signature	Date
SSRC Date:			
Comments/Provisions:			

COMPLETION VERIFICATION

Enclosures:	☐ Photos	☐ Drawings	☐ Specifications	☐ Other:
As Built Plans	Dated:	Copy to:	Name:	Signature:

Design Criteria updated?*	☐ Yes ☐ No	If yes, Date:

**If yes, copy must be provided.*

ACCEPTANCE

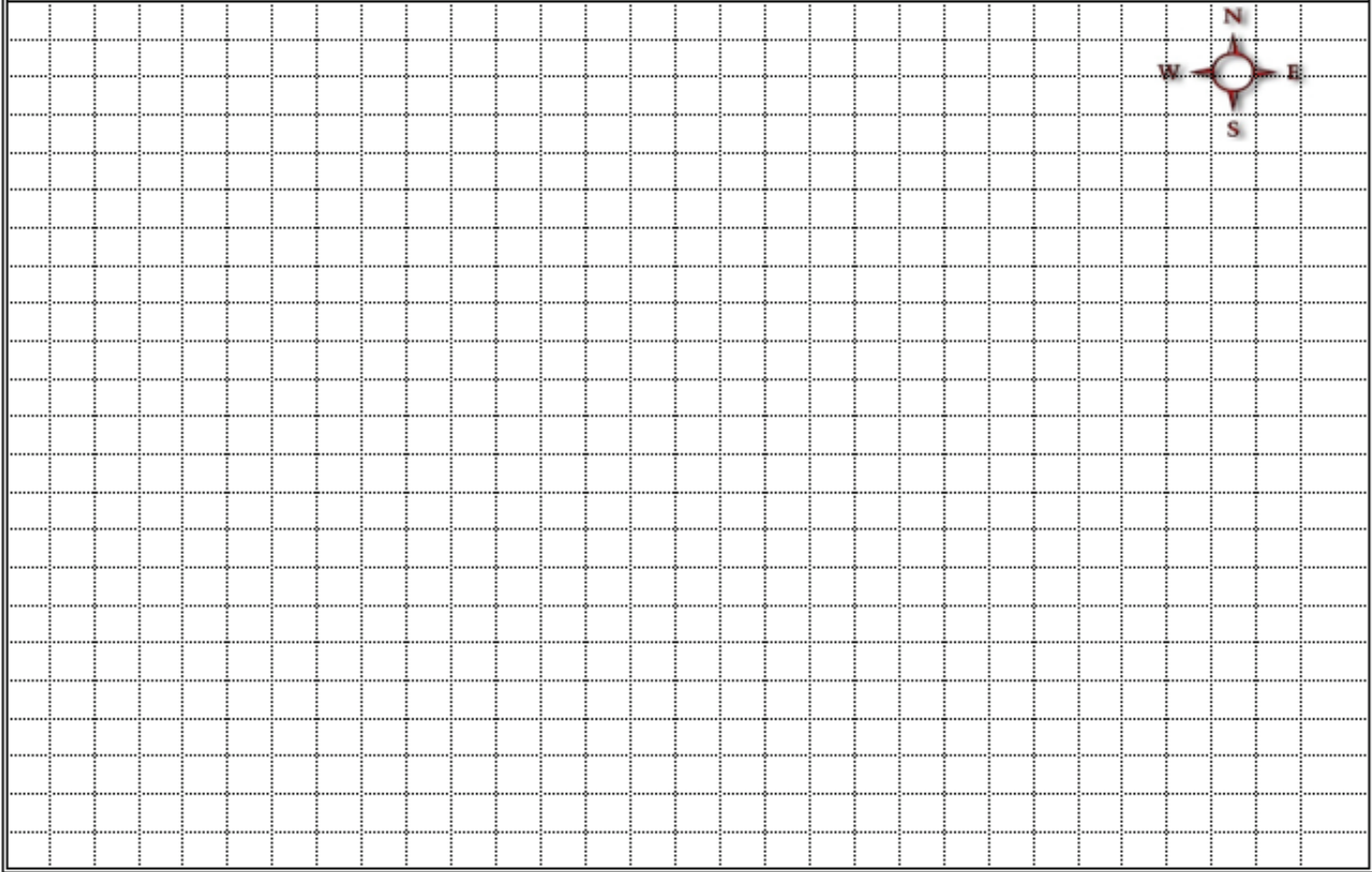
Work is completed and accepted. Requires signatures from any two SSRC members.

Name	Position	Signature	Date

SSRC Date:			

Appendix A-11 SAFETY DEPARTMENT INVESTIGATION FORM

		SAFETY INVESTIGATION FORM		Report #: Enter #	
				NTD Reportable: Yes/No/NA	
BASIC INFORMATION					
Date of Incident: enter date		Time: enter time AM or PM		Location: enter text	
Report type: Choose an item		Investigation type: Choose an item		GPS Coordinates:	
Mode: Choose an item		Train/Bus #: enter text		DOT Crossing #: enter text	
Op./Emp. #: enter text		Vehicle ID's: enter text		# of Cars in Consist:	
Weather Conditions: Clear/Cloudy, (Rain/Snow), (Wind), (Temperature)					
NOTIFICATIONS					
SSO Notified: Yes/No/NA Enter date/time		OSHA Notified: Yes/No/NA		FRA Territory: Yes/No/NA	
National Response Center (NTSB/FRA Notified): Yes/No/NA Case #: Enter NRC Case # here.					
Transportation Operations Center (FTA Notified): Yes/No/NA ; Choose an item.					
EVENT SUMMARY					
Description of Event: Provide a detailed description of the incident, including a clear sequence of events.					
INVESTIGATION					
# of Fatalities: Select #		# of Serious Injuries: Select #		# of Other Injuries: Select #	
				# Pass on Transit: Select #	
				# Pass in POV: Select #	
Were vehicles towed from the scene due to disabling damages: Yes/No/NA					
Damages to POV Veh (\$): enter text		Damages to Transit Veh (\$): enter text		Total Damages (\$): enter text	
Accident Evaluation Group Held? Yes/No/NA		AEG Members: enter text			
Give a brief review of outcomes resulting from AEG: enter text					
Corrective Action Plan: Enter the Corrective Action Plan (CAP) number.					
FACTORS					
1. Communication:		7. Ped Treatments:		13. Weather Conditions:	
2. Crossing Operation:		8. Rules/Policies:		14. Work Environment:	
3. Drug/Alcohol Use:		9. Sight Lines:		15. Distracted Behavior:	
4. Fatigue Management:		10. Train Functionality:		16. Failure to Yield:	
5. Lighting:		11. Vehicle Speeds:		17. Medical Condition:	
6. Location History:		12. Warning Signage:		18. Other:	
Give brief explanation of any contributing factors: Enter text					
DOCUMENTATION					
UTA Police Report:		Radio Recordings:		Vehicle Recorder Download:	
External Police Report:		Video Recordings:		Grade Crossing Download:	
Medical Examiners report:		Scene Photos:		Damage Estimates:	
Employee Green Sheet:		Controller Log:		Maintenance Records:	
Supervisors Report:		Drug/Alcohol Testing:		Operator Certification:	
Witness Statements:		Bulletins/Orders:		HOS of Service:	
Measurements:		Employee History:		Employee Injury Report:	
Documentation Notes or Explanations: Enter text					

INCIDENT DIAGRAM	
	

Report compiled by: (Safety)	Name: Enter text here.	Date: Select Date	Signature:
Report Adopted by: (UDOT SSO)	Name: James W. Golden	Date:	Signature:

Appendix A-12 TRAX SYSTEM SUPERVISOR’S ACCIDENT/INCIDENT REPORT FORM

Supervisor's Accident/Incident Report Form			
Date of Accident:		Time:	Photos?:
Supervisor name:		Asst. Supervisor name:	
Location of Accident:			City:
DOT Crossing #:			
UTA Information			
Operators Name:		Employee #:	SS#: SSN on File
Operators Supervisor:		Department:	
Vehicle ID's:		Train #:	Block #

Police Investigation -		
Police Department:	Officer name:	
Case #:	Citation issued:	If yes, to whom:
What was citation for?		

Number of Other Vehicles Involved:			
Vehicle #2			
Driver Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
DL:	DL State:	Sex:	Date of Birth:
Year:	Make:	Model:	Color:
			Plate#:
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Insurance Co.:	Policy #:		
Agent:	Phone:		
Vehicle #3			
Driver Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
DL:	DL State:	Sex:	Date of Birth:
Year:	Make:	Model:	Color:
			Plate#:
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Insurance Co.:	Policy #:		
Agent:	Phone:		
Vehicle #4			
Driver Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
DL:	DL State:	Sex:	Date of Birth:
Year:	Make:	Model:	Color:
			Plate#:
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Insurance Co.:	Policy #:		
Agent:	Phone:		

Damaged Property Reports:			
Property #1			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Describe Property:			
Extent of Damage:			
If the damaged property was a vehicle, was it towed?			
Property #2			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Describe Property:			
Extent of Damage:			
If the damaged property was a vehicle, was it towed?			

Property #3			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Describe Property:			
Extent of Damage:			
If the damaged property was a vehicle, was it towed?			

Number of Injured Parties:			
Injured #1			
Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Injured person was:(check one)	Driver (veh #)	Passenger (veh #)	Pedestrian
Sex:	DOB:	Transported:	If yes, where:
Nature of the Injuries:			
Injured #2			
Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Injured person was:(check one)	Driver (veh #)	Passenger (veh #)	Pedestrian
Sex:	DOB:	Transported:	If yes, where:
Nature of the Injuries:			
Injured #3			
Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Injured person was:(check one)	Driver (veh #)	Passenger (veh #)	Pedestrian
Sex:	DOB:	Transported:	If yes, where:
Nature of the Injuries:			

Number of Witnesses:			
Witness #1			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Witnesses Statement:			
Witness #2			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Witnesses Statement:			
Witness #3			
Owner Name:	H Phone:	W Phone:	
Address:	City:	State:	Zip:
Witnesses Statement:			

First Report of Injury-			
Supervisor:	Date:	Time:	
Drug Testing -			
Supervisor:			
Drug test ordered:	Type of test:	Date ordered:	Time ordered
Alcohol test done within 2 hours after accident?		If no, why not:	

Description of Accident/Incident (all items <u>must</u> be completed)			
Estimated Train speed:	Posted Speed:	Timetable Direction:	
Weather Conditions:	Road Surface Conditions:	Track Conditions:	
Light Conditions:			
Train was:	Vehicle #2 was:	Vehicle #3 was:	
Traffic Controls:	Last RailService signal :- if stop indication, was bypass : authorized:		

Narratives	

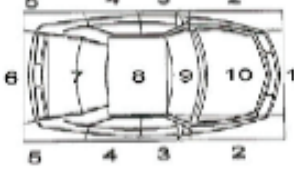
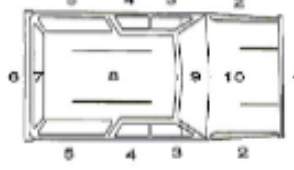
Accident/Incident Report Form (Complete ALL fields)												
Claim #:		OFFICE USE ONLY				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; text-align: center;">IF AL</td> <td style="width: 33%; text-align: center;">LIAB EP</td> <td style="width: 33%; text-align: center;">SUBRO CL</td> </tr> </table>				IF AL	LIAB EP	SUBRO CL
IF AL	LIAB EP	SUBRO CL										
Cause Code:												
TRANSIT VEHICLE INFORMATION (Vehicle #1)												
Camera Activation: Did you manually activate the security camera? ☐ YES ☐ NO ☐ N/A explain:												
Employee name:					Cell #:		Badge #:					
Employee's Supervisor:			Scene Supervisor:				Division:					
Accident Date:	Time:	TCC Notified: ☐ YES ☐ NO	Location:				City:					
UTA Vehicle/Train #:		Block #:		Route/Run #:		# of Passengers:		# of Courtesy Cards:				
Describe Damage to UTA Property:												
POLICE INVESTIGATION												
Police Investigation: Yes No		If no police investigation please explain why:										
Police Department:					Case #:		Citation: Yes No					
Officer's name:					To whom was citation issued:							
OTHER VEHICLE INFORMATION												
Vehicle #2					Vehicle #3							
Driver Information Name:			Phone:		Driver Information Name:			Phone:				
Address:					Address:							
City:		State:		Zip:		City:		State:				
DL #:		State:		DL #:		State:		State:				
Insurer:			Policy #:		Insurer:			Policy #:				
Vehicle Information		Plate #:		State:		Vehicle Information		Plate #:				
Year:	Make:	Model:	Color:		Year:	Make:	Model:	Color:				
Owner Information Name:			Phone:		Owner Information Name:			Phone:				
Address:					Address:							
City:		State:		Zip:		City:		State:				
Describe Damage:					Describe Damage:							
INJURY INFORMATION												
Injured #1					Injured #2							
Name:			Phone:		Name:			Phone:				
Address:					Address:							
City:		State:		Zip:		City:		State:				
CHECK ONE (indicate vehicle #) ☐ Driver (Veh #) ☐ Passenger (Veh #) ☐ Pedestrian					CHECK ONE (indicate vehicle #) ☐ Driver (Veh #) ☐ Passenger (Veh #) ☐ Pedestrian							
Describe injury:					Describe injury:							
Transported by ambulance: Yes No Where:					Transported by ambulance: Yes No Where:							
If a UTA passenger he/she was:					If a UTA passenger he/she was:							
☐ Boarding ☐ Alighting ☐ Standing ☐ Sitting					☐ Boarding ☐ Alighting ☐ Standing ☐ Sitting							
PROPERTY DAMAGE INFORMATION - (other than vehicles)												
Owner's Name:			Phone:		Describe the property and damage:							
Address:												
City:		State:		Zip:								

Recommendations:	

Describe UTA Vehicle Damage:

Accident Classifications - ☒ Check if applicable

If damage does not meet one of the criteria below – describe here:

Property Damage																													
Enter the vehicle number in each applicable zone of damage using the zone key for the type of vehicle.																													
Passenger Vehicle										Sport Utility Vehicle										Pickup Truck									
																													
1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8	9	10	1	2	3	4	5	6	7	8		
Bumper, Headlights, Grill	Fender, Wheel	Door, Glass, Pillar	Door, Glass, Pillar	Quarter Panel, Wheel	Bumper, Tail lights, Rear panel	Trunk, Floor Pan, Rear Glass	Roof	Windshield	Hood	Bumper, Headlights, Grill	Fender, Wheel	Door, Glass, Pillar	Door, Glass, Pillar	Quarter Panel, Wheel	Bumper, Tail lights, Rear panel	Trunk, Floor Pan, Rear Glass	Roof	Windshield	Hood	Bumper, Headlights, Grill	Fender, Wheel	Door, Glass, Pillar	Bedside, Wheel, Front Panel	Bumper, Tail lights, Rear panel	Inner Bed	Roof, Rear glass, Back panel	Hood, Cowl		
15	6	11	11	12	13	15	6	8	3	20	5	14	14	16	6	10	8	2	5	19	9	20	12	11	8	12	9		

Personal Injury			
Put in the number of persons injured under each classification	Other Vehicle Passenger/Driver	UTA Passenger	Pedestrian
Class A: Bruising, Abrasions, Minor to Moderate Bleeding, Sprains and Strains:			
Class B: Unconsciousness, Fractures, Severe Bleeding:			
Class C: Death, Paralysis, Dismemberment:			
Totals:			

Accident Diagram

Appendix A-13 BUS SUPERVISORS ACCIDENT/INCIDENT REPORT FORM

Accident/Incident Report Form (Complete ALL fields)															
Claim #: ARC RO				OFFICE USE ONLY			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; padding: 2px;">IF</td> <td style="width: 33%; padding: 2px;">LIAB</td> <td style="width: 33%; padding: 2px;">SUBRO</td> </tr> <tr> <td style="padding: 2px;">AL</td> <td style="padding: 2px;">FP</td> <td style="padding: 2px;">GL</td> </tr> </table>			IF	LIAB	SUBRO	AL	FP	GL
IF	LIAB	SUBRO													
AL	FP	GL													
Cause Code: _____															
TRANSIT VEHICLE INFORMATION (Vehicle #1)															
Operator name: _____						Badge #: _____									
Supervisor: _____					Scene Supervisor: _____										
Accident Date: _____		Military Time of accident: Military Time reported:		Location: _____			City: _____								
UTA Vehicle #: _____		Block #: _____		Route #: _____		# of Passengers: _____		# of Courtesy Cards: _____							
Check Division	Operations		☐ 21 MBK	☐ 22 TIMP	☐ 23 MT OGD	☐ 24 CNTL	☐ 29 RVRS	☐ TRAX	☐ OTHER						
	Maintenance		☐ 31 MBK	☐ 32 TIMP	☐ 33 MT OGD	☐ 34 CNTL	☐ 39 RVRS	☐ TRAX							
Describe Damage to UTA Property: _____															
POLICE INVESTIGATION															
Police Investigation: Yes No			Police Department: _____			Case #: _____		Citation: Yes No							
Officer's name: _____				To whom was citation issued: _____											
OTHER VEHICLE INFORMATION															
Vehicle #2					Vehicle #3										
Driver Information Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____ DL #: _____ State: _____ Insurer: _____ Policy #: _____					Driver Information Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____ DL #: _____ State: _____ Insurer: _____ Policy #: _____										
Vehicle Information Plate #: _____ State: _____ Year: _____ Make: _____ Model: _____ Color: _____					Vehicle Information Plate #: _____ State: _____ Year: _____ Make: _____ Model: _____ Color: _____										
Owner Information Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____ Describe Damage: _____					Owner Information Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____ Describe Damage: _____										
INJURY INFORMATION															
Injured #1					Injured #2										
Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____					Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____										
CHECK ONE (indicate vehicle #) ☐ Driver (Veh #) ☐ Passenger (Veh #) ☐ Pedestrian					CHECK ONE (indicate vehicle #) ☐ Driver (Veh #) ☐ Passenger (Veh #) ☐ Pedestrian										
Describe injury: _____					Describe injury: _____										
Transported by ambulance: Yes No Where: _____ If a UTA passenger he/she was: ☐ Boarding ☐ Alighting ☐ Standing ☐ Sitting					Transported by ambulance: Yes No Where: _____ If a UTA passenger he/she was: ☐ Boarding ☐ Alighting ☐ Standing ☐ Sitting										
If a UTA passenger was he/she carrying anything: Yes No If yes, what? _____					If a UTA passenger was he/she carrying anything: Yes No If yes, what? _____										
PROPERTY DAMAGE INFORMATION - (other than vehicles)															
Owner's Name: _____ Phone: _____ Address: _____ City: _____ State: _____ Zip: _____					Describe the property and damage: _____										

Appendix A-14 EMPLOYEE ACCIDENT /INCIDENT REPORT FORM PAGE

COMPLETE OTHER SIDE ➔

V. PREVIOUS MEDICAL TREATMENT (providing incomplete information may constitute fraud)

Have you injured or had pain/symptoms in this area before? Yes _____ No _____

If yes, please explain: _____

Please list all medical practitioners or facilities previously involved with treatment of this area. _____

VI. EMPLOYEE SIGNATURE

WORKERS'S COMPENSATION INFORMATION

- "Any person who knowingly presents false or fraudulent underwriting information, files or causes to be filed a false or fraudulent claim for disability compensation or medical benefits, or submits a false or fraudulent report or billing for health care fees or other professional services is guilty of a crime and may be subject to fines and confinement in state prison."
- The first three days of lost time for an on-the-job injury are not compensated unless you are off duty more than two weeks. You may use accrued sick leave or vacation time for those first three days.
- If your doctor releases you to modified or light duty, and modified or light duty is available, acceptance is mandatory. Failure to accept light duty will result in loss of compensation benefits.
- It is your responsibility to contact your supervisor and dispatch regularly to let them know of your work status.
- It is your responsibility to make sure your time is properly coded for worker's compensation time, vacations, and holidays. Contact your supervisor at least weekly.

I have read and understand the above information. The information I have provided on this form is true and accurate.

Employee signature: _____ Date: _____

VII. SUPERVISOR'S VERIFICATION

I have reviewed this report. I will complete a supervisor's report and submit it to the Office of General Counsel, Claims Unit immediately.

Signature of supervisor
 verifying the report: _____ Date: _____

QUESTIONS OR CONCERNS ABOUT THIS REPORT SHOULD BE DIRECTED TO TRICIA MCDONALD ext. 2311 OR 287-4534.

Appendix A-15 RAIL SERVICE CENTER SAFETY CHECKLISTS/AUDIT FORMS

Forms on the following two pages.

The



Jordan River Rail Service Center, 2264 South 900 West, Salt Lake City, UT 84119

S70 Daily Preventive Maintenance Inspection

Vehicle Number	
Work Order Number	

Inspection Date	
Mileage	

WARNING: TO PREVENT SERIOUS INJURY, ALL PERSONNEL DIRECTLY OR INDIRECTLY INVOLVED WITH THE INSPECTION, MAINTENANCE, REPAIR, AND OPERATION OF THESE VEHICLES MUST FOLLOW THE FOLLOWING PRECAUTIONS:

1. Observe all Utah Transit Authority safety rules and regulations.
2. The vehicle must be located in the assigned maintenance area or authorized track.
3. Ensure that the wheels are chocked when working on the brake system.
4. The vehicle must be keyed down, pantograph down and auxiliary off when working on roof or under the vehicle.
5. The catenary power must be removed and low voltage isolated. The stinger and shop track disconnect switch must be locked and red tag when working on roof and when handling equipment electrical connections or when checking electrical continuity.
6. Ensure that the area is well ventilated when working with materials that produce dangerous fumes and wear protective gear when handling materials that are injurious to the skin or eyes.
7. To protect against flying debris, wear protective gear when cleaning using compressed air.
8. When handling heavy components, it is your responsibility to select a lifting apparatus of adequate type and capacity for the weight and size involved.
9. When fasteners removed from car equipment are not satisfactory for re-use, care must be taken to select replacements that match the originals.
10. Follow all WARNINGS, CAUTIONS and NOTES found throughout S70 RUNNING MAINTENANCE MANUAL.

SPECIAL INSTRUCTIONS:

1. Fill in Badge #, Name, Signature, Initial and Date in BLACK or BLUE ink in the space provided below.
2. Fill in initials in BLACK or BLUE ink besides EACH inspection task you completed.
3. Make comments in the space provided at the end of the inspection. Identify the comment to the specific inspection line number.
4. Findings requiring a repair must be reported immediately to the supervisor.
5. Report material shortages to the supervisor.
6. Report damaged or missing tools.
7. Clean up your work area.

Badge #	Inspector's Name	Signature	Initial	Date

Line	Inspection	A-End	B-End
1.	Check the Headlights and the Railroad Light for proper operation\condition.	_____	_____
2.	Check the Marker Lights and the Brake\ Tail Turn Lights for proper operation and condition.	_____	_____
3.	Check the Vehicle Fault Light (White), the Brakes Status Light (Red), and the Door Status Light (Yellow) for proper operation and condition.	_____	_____
4.	Verify proper operation of the HVAC System.	_____	_____
5.	Verify illumination and proper operation of all Destination signs and Train Number signs.	_____	_____
6.	Verify the Cab Light for proper operation.	_____	_____
7.	Check the Radio for proper operation.	_____	_____
8.	Verify the presence of the Fire Extinguisher.	_____	_____
9.	Check P.A. System, Passenger Intercom System and Automated Message System for proper operation.	_____	_____
10.	Check the VOD Display Function.	_____	_____
11.	Check the camera display for proper operation.	_____	_____
12.	Check if Bypass seals are installed and intact.	_____	_____
13.	Perform a Console Lamp Test.	_____	_____



Jordan River Rail Service Center, 2264 South 900 West, Salt Lake City, UT 84119

S70 Daily Preventive Maintenance Inspection

Line	Inspection	A-End	B-End
14.	Verify proper operation of all Cab Pushbuttons and Foot pedals (Including Horn & Gong).	_____	_____
15.	Check the Sanding system for proper operation.	_____	_____
16.	Verify the operation of the Track Brakes.	_____	_____
17.	Verify proper operation and quality of the Windshield Wipers and Washer.	_____	_____
18.	Fill washer reservoir and inspect washer tubing for damage or loose connection to nozzle.	_____	_____
19.	Verify proper operation and illumination of all Doors, Door Pushbuttons, Warning Lights & Buzzer.	_____	_____
20.	Verify all Interior and Exterior Consoles and Panels are secure.	_____	_____
21.	Check the Hand Rails and Stanchions for damage or loose fit.	_____	_____
22.	Check the Passenger Seats and Cushions for missing hardware and cuts or tears. Replace the cushions if necessary.	_____	_____
23.	Check the level of sand in Sand boxes.	_____	_____
24.	Check the Passenger Windows for damages and graffiti.	_____	_____
25.	Check the Passenger Lights for normal operation.	_____	_____
26.	Inspect Coupler's Mechanical and Electrical Head for damage.	_____	_____
27.	Visually Inspect the Wheel-sets for completeness or damage.	_____	_____
	_____ A-truck _____ C-truck _____ B-truck		

Vehicle Finding Log:

Item #	Finding	Logged By:		Status (Work Order Number)
		Badge	Initial	

This certifies that light rail vehicle # _____ was inspected and found to present no potential safety hazards. No items requiring repairs for safe operation exist except as noted. Findings found are described in the Vehicle Finding Log.

Supervisor's Signature: _____

Date: _____

Supervisors' Name: _____

Badge #: _____

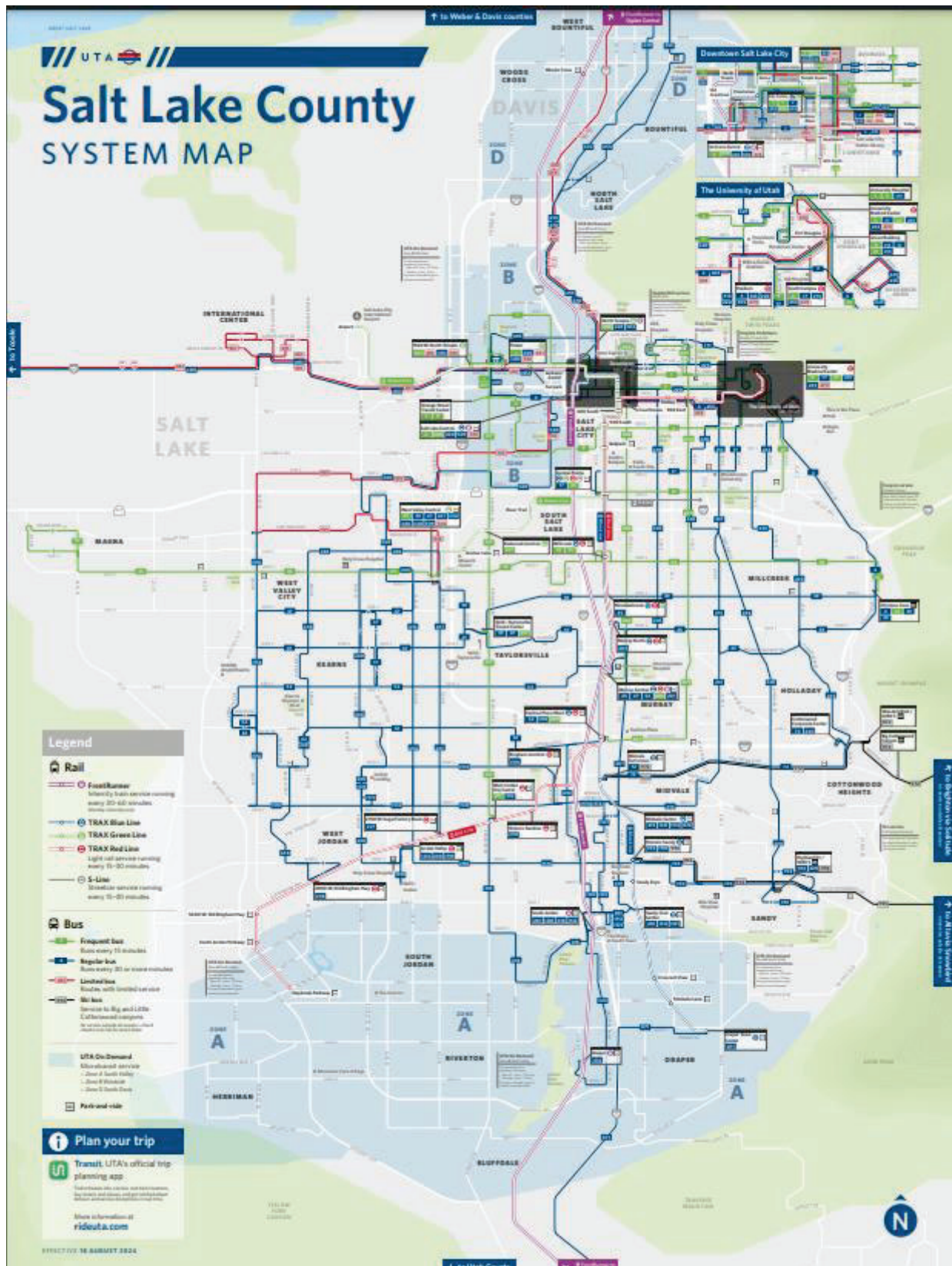
Appendix A-16 JOB SAFETY ANALYSIS (JSA) FORM

		Job Safety Analysis Form Utah Transit Authority, 200 South 669 West, Salt Lake City, UT 84101 – www.Rideuta.com	
Picture of task/equipment: 	Task:		
	Shop or Dept:		
	Reviewed by:		
	Date:		
Required PPE:			
1. 2. 3. 4.			
Required Training or Special Permits:			
1. Rail Access Work Permit YES / NO 2. Roadway Worker Protection (RWP) Training YES / NO 3. Confined Space Entry Permit YES / NO 4. Hot Work Permit YES / NO 5. Electrical / Energized Work Permit YES / NO 6. Lockout Tagout YES / NO 7. Other:			
TASK	HAZARDS		CONTROLS
1.	1a. 1b. 1c.	1a. 1b. 1c.	
2.	2a. 2b. 2c.	2a. 2b. 2c.	
3.	3a. 3b. 3c.	3a. 3b. 3c.	
4.	4a. 4b. 4c.	4a. 4b. 4c.	
5.	5a. 5b. 5c.	5a. 5b. 5c.	
6.			

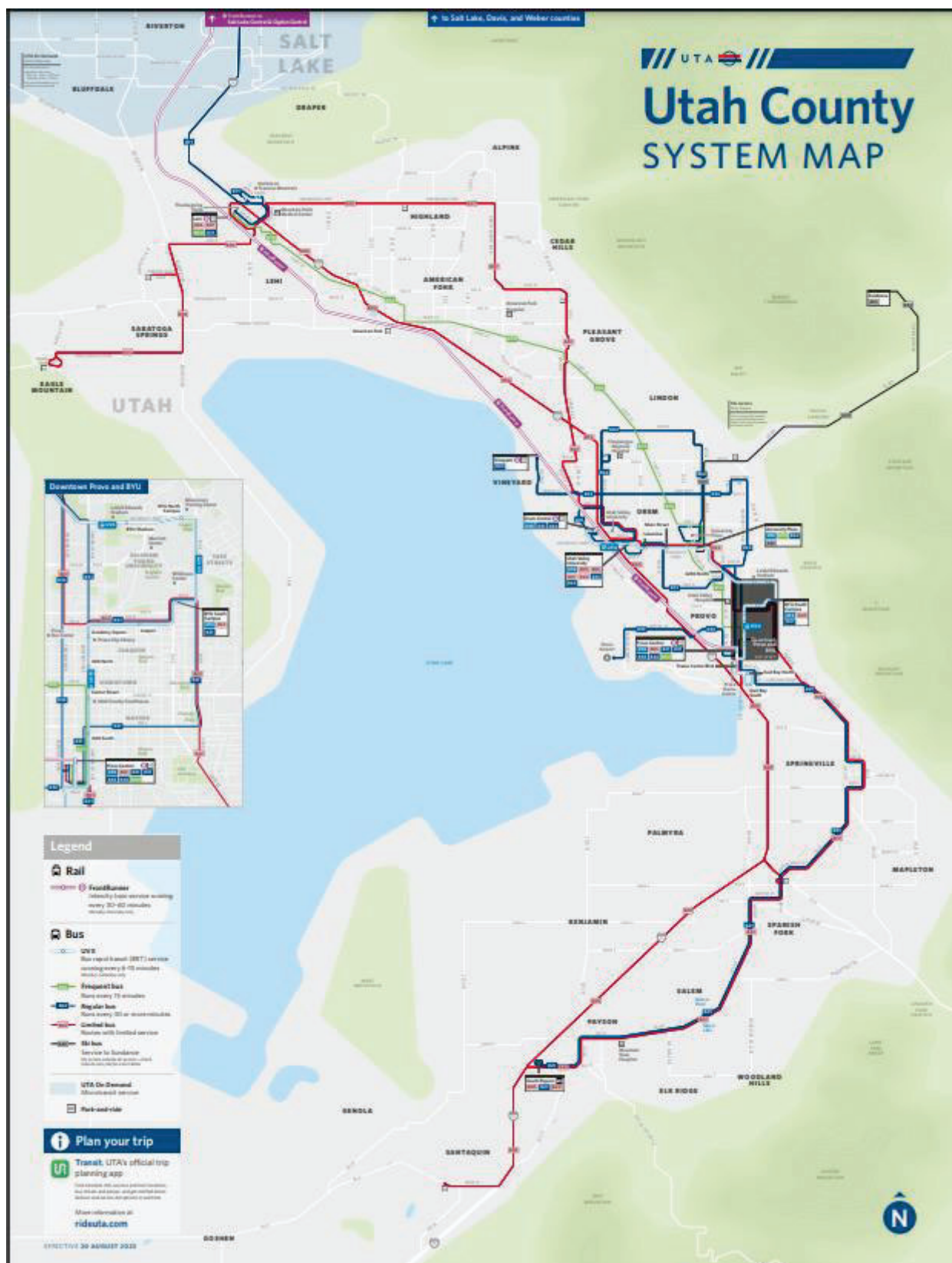
Instructions: TASK	HAZARD	CONTROLS
Task Information • Provide the task title or description, the department involved, and the job title of the person performing the task. • If available, include a photo in the upper left-hand box. • JSA can be reviewed by the Department Manager, Supervisor or a Safety Administrator. Personal Protective Equipment (PPE) & Permits: • List the required PPE for the task, along with any required Permits. Breaking Down the Task: • Break the task into distinct steps. This sequence of steps will eventually become the basis of the safe work procedure. • For each step of the task, write down everything the worker does, ensuring that essential actions are recorded. • After identifying each step, you can refine the process by combining steps or removing unnecessary detail. • Limit the number of steps to maintain clarity. If there are more than 10-15 steps in your job analysis, consider dividing the job into two job assessments. Involving Workers: • Ensure workers are involved as their input is crucial for identifying hazards and controls.	Hazard Identification For each job step, identify and list the hazards present. Examples of Hazards Safety Hazards Common safety hazards include: • Falls or slips • Pinching, Crushing • Sharp edges, Cuts • Electric shock • Suffocation • Burns • Traffic • Moving, rotating machinery • Exposure to high noise levels • Working at heights (elev. > 4') • Pressure hazards • Extreme temperatures • Fire or explosion risks • Flying objects Health Hazard Potential health hazards involve: • Chemicals (Acid, solvent, fumes) • Biological agents (Blood, virus, bacteria, fungus) Musculoskeletal Hazards Physical strain examples: • Poor body positioning • Awkward posture • Excessive body extensions • Repetitive motion or tasks Other Hazards Consider any additional hazards specific to the task not included in the categories above. Initial Hazard Rating (IHR): • Before implementing hazard controls, assess the task and assign an IHR: High, Serious, Medium, Low • Refer to the UTA Risk Assessment Matrix (21 box) from Section 6.	Control Measures For each identified hazard, specify the control measure you will use to mitigate or eliminate the risk. At the Source (Engineering Controls): Aim to control hazards at their source whenever possible. • Elimination: Remove the hazard. • Substitution: Use safer alternative • Lockout-Tagout (LOTO): Isolate energy sources • Redesign/Isolate/Automation: Modify equipment, isolate hazards, or use machine to automate tasks. Along the path (Intermediate Controls): Control hazards between the source and the worker. • Relocation: Move hazardous operations away from workers. • Barriers: Install guards or shields. • Absorption/Dilution: Use materials or ventilation to reduce exposure. At Worker's Level (Administrative & PPE Controls): • Reference SOPs, and establish clear work procedures • Emergency planning • Training & supervision • Housekeeping, hygiene practices • PPE (e.g., safety glasses, goggles, hard hats, boots, gloves, hi-vis, earplugs, respirator, etc.) Other: List any additional controls specific to the task. Final Hazard Rating (FHR): • After hazard controls are applied, reassess the tasks and assign an FHR: High, Serious, Medium, Low, Eliminated

8. SYSTEM MAPS

Appendix A-17 SALT LAKE BUS SYSTEM MAP



Appendix A-18 UTAH COUNTY SYSTEM MAP





Appendix A-20 RAIL (TRAX AND FRONTRUNNER) AND UVX MAP



9. RAIL TRANSIT STATE SAFETY OVERSIGHT PROGRAM PROCEDURES & STANDARDS (2024) – SECTION 9: RISK-BASED INSPECTIONS

Placeholder for the finalized version of the 2024 version of the “Rail Transit State Safety Oversight Program Procedures & Standards”, owned by the UDOT SSO, pending UTA’s TASP review and approval process.

EXHIBIT B
(2026 Public Transit Agency Safety Plan)

UTAH TRANSIT AUTHORITY

TRANSIT AGENCY SAFETY PLAN (TASP)



January 2026

Revision Date	Description of Revisions	Person Issuing Changes
November 1999	Original SSPP issue which includes the System Security Plan	Steve Cain UTA Risk Manager
January 2001	Annual Update	Ed Buchanan Rail Safety Administrator
January 2002	Annual Update (TRAX Only Removal of Bus info.)	Ed Buchanan Rail Safety Administrator
January 2003	Annual Update (Removal of System Security Plan)	Ed Buchanan Rail Safety Administrator
January 2004	Annual Update	Ed Buchanan Rail Safety Administrator
January 2005	Annual Update	Ed Buchanan Rail Safety Administrator
April 2006	Final Rule 659 changes – New standards from UDOT	Ed Buchanan Rail Safety Administrator
April 2007	Implemented the SSPP requirements for commuter railroads using The Manual for the Development of SSPP for Commuter Railroads 5/15/06	Ed Buchanan Rail Safety Administrator
January 2009	Annual Update	Ronald W. Nickle Rail Safety Administrator
December 2009	Annual Update	Ronald W. Nickle Rail Safety Administrator
April 2010	Annual Update	Ronald W. Nickle Rail Safety Administrator
February 2011	Annual Update	Ronald W. Nickle Rail Safety Administrator
October 2012	Annual Update	Ed Buchanan Safety Department
January 2013	Annual Update	Darin L. Francom Safety Department

Transit Agency Safety Plan

UTA Safety Department

January 1, 2026

January 2014	Annual Update	Darin L. Francom Safety Department
January 2015	Annual Update, Change document to Transit Agency Safety Plan (TASP) format in preparation for the implementation of MAP-21 requirements from 49 USC 5329 (e)	Darin L. Francom Ed Buchanan Safety Department
January 2016	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2017	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2018	Annual Update	Darin L. Francom Ed Buchanan Safety Department
January 2019	Annual Review and Update	Darin L. Francom Sheldon Shaw Safety Department
January 2020	Annual Review and Update	Darin L. Francom Travis King Safety Department
January 2021	Annual Review and Update	Travis King Tina Bartholomew Safety Department
January 2022	Annual Review and Update	Travis King Safety Department
January 2023	Annual Review and Update	Travis King Kent Muhlestein Safety Department
January 2024	Annual Review and Update	Travis King Safety Department
January 2025	Annual Review and Update 673 updates to safety committees and safety events	Safety Department

January 2026	Annual Review and Update	Ruben Garcia Safety Department

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DEFINITIONS AND ACRONYMS

DEFINITIONS

Accident	In accordance with 49 CFR Part 674, an event that involves any of the following: a loss of life; a report of a serious injury to a person; a collision involving a rail transit vehicle; a runaway train; an evacuation for life safety reasons; or any derailment of a rail transit vehicle, at any location, at any time, whatever the cause.
Accountable Executive	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 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 Asset Management Plan in accordance with 49 U.S.C. 5326
Agency Safety and Security Committee (ASSC)	The Agency Safety and Security Committee is chaired by the Executive Director (ED) and alternately chaired by the Director of Safety and Security. The ASSC includes executives and service unit general managers. The ASSC reviews and approves safety policies, goals, and objectives. The ED, through the CSSC, is the authority for safety certification, system modification, and configuration management. The ASSC committee meets annually to review reports on safety, hazards, audit findings, and other items of concern to the ASSC.
Assault	An act that intentionally endangers or recklessly disregards the safety of a person, that interferes with, disables, or incapacitates a transit worker.
Assault on a transit worker	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.
Chief Safety Officer	An adequately trained individual who has responsibility for safety and reports directly to a transit agency's chief executive officer, general manager, president, or equivalent officer. A Chief Safety Officer may not serve in other operational or maintenance capacities.

Anonymous Close-Call Reporting	A voluntary confidential program allowing employees and contractors to report close calls. The program provides a safe environment for employees and contractors to report unsafe events and conditions.
Case Management System (CMS)	The online database and process that makes up the close call reporting.
Certifiable Items List (CIL)	A UTA-approved list of safety and security certifiable elements and sub-elements.
Corrective Action Plan (CAP)	A plan developed by the rail transit agency that describes the actions the rail transit agency will take to minimize, control, correct, or eliminate hazards, and the schedule for implementing those actions. These plans also refer to actions taken to address deficiencies identified through internal and external audit findings or to prevent reoccurrence of the causal factors identified from accident/incident investigations. The SSOA or the FTA may require UTA to develop and carry out a corrective action plan.
Defect	An instance where equipment or materials are found to be non-conformant with UTA's specifications or requirements.
Derailment	A Safety Event in which one or more wheels of a rail transit vehicle unintentionally leaves the rails.
Direct Recipient	means an entity that receives Federal financial assistance directly from the Federal Transit Administration.
Disabling Damage	Damage to a transit vehicle resulting from a collision and preventing the vehicle from operating under its own power.
Emergency	as defined under 49 U.S.C. 5324, a natural disaster affecting a wide area (such as a flood, hurricane, tidal wave, earthquake, severe storm, or landslide) or a catastrophic failure from any external cause, as a result of which the Governor of a State has declared an emergency and the Secretary has concurred; or the President has declared a major disaster under section 401 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5170).
Equivalent Entity	means an entity that carries out duties similar to that of a Board of Directors, for a recipient or subrecipient of FTA funds under 49 U.S.C. Chapter 53, including sufficient authority to review and approve a recipient or subrecipient's Public Transportation Agency Safety Plan.
Evacuation for Life Safety Reasons	A condition that occurs when persons depart from transit vehicles or facilities for life safety reasons such as fire, smoke or noxious fumes, fuel leak, electrical hazard or other hazard to any person. An evacuation onto the rail right of way (not at a platform) for any reason is presumed to be an evacuation for life safety reasons.

Face Up	When two trains are moving toward each other on the same track due to system or operator error and have the potential to collide.
Front Runner System Safety Plan (FRSSP)	Commuter Rail's structured program with proactive processes and procedures, developed and implemented to identify and mitigate or eliminate hazards and the resulting risks (mirrors TASP). See 49 CFR Part 270.
Hazard	Any real or potential condition that can cause injury, illness, or death; damage to or loss of a system, equipment, or property; or damage to the environment.
Hazard Management	The process of identification and analysis of a hazard to mitigate, control, or accept it.
Incident	An event that involves any of the following: a personal injury that is not a serious injury; one or more injuries requiring medical transport; or damage to facilities, equipment, rolling stock, or infrastructure that disrupts the operations of a rail transit agency.
Injury	Any harm to persons as a result of a safety event that requires immediate medical attention away from the scene. Does not include harm resulting from a drug overdose, exposure to the elements, illness, natural causes, or occupational safety events occurring in administrative buildings.
National Transit Database (NTD)	An Internet-based system for reporting of major and non-major events administered by the FTA at www.NTDProgram.com
Near-miss	A narrowly avoided safety event.
Occurrence	An event where there is no personal injury, or property damage that causes disruption to rail services. Such events include vandalism/theft.
Passenger	A person who is boarding, on board, or alighting from a transit vehicle for the purpose of travel.
Positive Train Control (PTC)	A system that uses communication-based/processor-based train control technology that is capable of reliably and functionally preventing train-to-train collisions, over-speed derailments, incursions into established work zone limits, and the movement of a train through a main line switch in the wrong position.
Rail Fixed Guideway System (RFGS)	As determined by FTA, any light, heavy, or rapid rail system, monorail, inclined planer, funicular, trolley, or automated guideway not regulated by the FRA, that is included in FTA's calculation of fixed guideway route miles or receives funding under the formula program for urbanized areas.
Rail Transit Controlled Property	A property that is used by the rail transit agency and may be owned, leased, or maintained by the rail transit agency.
Rail Transit Vehicle	The rail transits agency's rolling stock, including, but not limited, to passenger or maintenance vehicles.

Safety Event	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.
Serious Occurrence	A UDOT-defined safety event category that may require a comprehensive investigation.
Revenue Service Operation	Any transit service operation that is available for public use.
Risk	An expression of possible loss over a specified period or number of operational cycles. It may be expressed as the product of hazard severity and probability.
Risk Mitigation	Method or methods to eliminate or reduce the severity and/or likelihood of a potential consequence of a hazard.
Risk-Based Inspection Program	A risk-based inspection program uses qualitative and quantitative data analysis to inform ongoing inspection activities. Risk-based inspection programs are designed to prioritize inspections to address safety concerns and hazards associated with the highest levels of safety risk.
Rule	The regulations, promulgated by the Federal Transit Administration, regarding the state safety oversight of rail fixed guideway systems. The 49 CFR Part 659 Final Rule became effective May 1, 2005.
Safety	Freedom from harm resulting from unintentional acts or circumstances.
Safety Critical	A term applied to any condition, event, operation, process, or item whose proper recognition, control, performance, or tolerance is essential to safe system operation (e.g., safety-critical function, safety-critical path, safety-critical component).
S\\ Or S Drive Or Safety Drive	This is the shared network drive for the safety department, found on the UTA network at \\users\departments\safety department.
Safety Management System	A method of identifying hazards and controlling risks in a work and operational environment that continually monitors these methods for effectiveness.
Serious Injury	Serious injury means, any injury which: 1. Requires hospitalization for more than 48 hours, commencing within 7 days from the date of the injury was received. 2. Results in a fracture of any bone (except simple fractures of fingers, toes, or nose). 3. Causes severe hemorrhages, nerve, muscle, or tendon damage. 4. Involves any internal organ. 5. Involves second or third-degree burns, or any burns affecting more than 5 percent of the body surface.

State Safety Oversight Agency (SSOA)	State Safety Oversight Agency (SSOA) means the entity, other than the rail transit agency, designated by the state or several states to implement the safety and security oversight of rail transit agencies. For this document, SSOA refers to the Utah Safety Oversight Program, managed by the Utah Department of Transportation (UDOT).
Substantial Damage (NTD Rail)	For NTD rail reporting means damage to any involved vehicles, facilities, equipment, rolling stock, or infrastructure that disrupts the operations of the rail transit agency and adversely affects the structural strength, performance, or operating characteristics of the asset, such that it requires towing, rescue, on-site maintenance, or immediate removal prior to safe operation.
Substantial Damage (NTD Bus)	For NTD bus reporting means an estimated property damage equal to or exceeding \$25,000.
System Life Cycle	All phases of the system's life including design, research, development, test and evaluation, production, deployment (inventory), operations, support, and disposal.
UDOT Program Procedures and Standards	Program Procedures and Standards means a written document developed and adopted by the oversight agency (UDOT), that describes the policies, objectives, responsibilities, and procedures used to provide rail transit agency safety and security oversight.
System Security Plan (SSP)	A document describing the responsibilities and procedures for the security of a system.
Temporal Separation	Operating conventional freight/passenger and transit rail equipment at distinct periods of the day, and procedures to ensure strict observation of the defined operating windows.
Unintended Train Movement (formerly Runaway Train)	Any instance where a revenue vehicle is moving and is not under the control of a driver (whether or not the operator is physically on the vehicle at the time). This applies regardless of whether the event occurred in revenue service.

ACRONYMS

AC	Activation Committee	NTSB	National Transportation Safety Board
AEG	Accident Evaluation Group	OHA	Operational Hazard Analysis
AP	Activation Plan	PAR	Preventive Action Request
APTA	American Public Transportation Associates	PHA	Preliminary Hazard Analysis
ARC	Accident Review Committee	POC	Point of Contact
ASSC	Agency Safety and Security Committee	PTC	Positive Train Control
BSC	Bus Safety Committee	QA	Quality Assurance
CAP	Corrective Action Plan	QC	Quality Control
CAR	Corrective Action Request	RBI	Risk Based Inspection
CCC	Configuration Control Committee	RFGS	Rail Fixed Guideway System
CFR	Code of Federal Regulations	RGM	Regional General Manager
CIL	Certifiable Items List	RRP	Risk Reduction Program
CR	Commuter Rail	RSC	Rail Safety Committee
CSC	Construction Safety Committee	SDS	Safety Data Sheets
DHS	Department of Homeland Security	SMS	Safety Management System
DSS	Director of Safety & Security	SOP	Standard Operating Procedure
ED	Executive Director (UTA)	SSCVR	Safety and Security Certificate Verification Report
EPP	Emergency Preparedness Plan	SSO	State Safety Oversight
FAST	Fixing America's Surface Transportation	SSP	System Security Plan
FHR	Final Hazard Rating	SSPP	System Safety Program Plan (replaced by TASP)
FRA	Federal Railroad Administration	SSPS	System Safety Program Standard
FRSSP	Front Runner System Safety Program	SSRC	Safety and Security Management Review Committee
FTA	Federal Transportation Administration	SSWG	Safety and Security Working Group
GM	General Manager	TASP	Transit Agency Safety Plan (replaces SSPP)
IHR	Initial Hazard Rating	TOC	Transportation Operations Center
MAP-21	Moving Ahead for Progress in the 21st Century	TSA	Transportation Safety Administration
MOC	Management of Change	TVA	Threat and Vulnerability Assessment
NCR	Non-Conformance Report	UDOT	Utah Department of Transportation
NRC	National Response Center		
NTD	Nation Transit Database		

UOSH	Utah Occupational Safety and Health Administration	UTA	Utah Transit Authority

I SAFETY MANAGEMENT POLICY

The Transit Agency Safety Plan framework starts with the Safety Management Policy. The Safety Management Policy section is UTA's commitment to safety, its objectives, safety goals, the organizational structure established, and plans written to obtain these goals and objectives.

1.1 AUTHORITY AND POLICY STATEMENT

1.1.1 INTRODUCTION

Utah Transit Authority (UTA) is a special transportation district of the state of Utah with its headquarters at 669 West 200 South, Salt Lake City, Utah, 84101. UTA was created on March 2, 1970, by the Utah Legislature. UTA is a multimodal agency comprised of light rail (Trax), commuter rail (Front Runner), bus, and special services.

UTA's mission is to provide integrated mobility solutions to service life's connections, improve public health and enhance quality of life. In accordance with the directives of Moving Ahead for Progress in the 21st Century Act, (MAP-21) and Fixing America's Surface Transportation (FAST) Act, UTA undertook the conversion of the System Safety Program Plan (SSPP) into the Transit Agency Safety Plan (TASP) in 2015. The TASP consists of a series of policies and procedures, which must be undertaken to ensure the safety of our customers, employees, emergency responders, and the general public. Development of the TASP was completed in accordance with Title 49 Code of Federal Regulations (CFR) Chapter 53, Utah Department of Transportation (UDOT) State Safety Oversight (SSO) Program Procedures and Standards; Federal Transportation Administration (FTA) and Federal Railroad Administration (FRA); rules and regulations and Utah Occupational Safety and Health Administration (Utah OSHA). The TASP is the system-wide governing safety document for all transit modes operated by UTA.

1.1.2 AUTHORITY

FTA regulates by granting authority to develop state safety oversight programs, as defined by 49 CFR 674 - In 2017 UDOT became certified under Part 674.

The FTA recognizes UDOT as the state safety oversight agency for Utah. UDOT SSO is FTA's appointed safety oversight agency, working cooperatively to regulate UTA's light rail transit (TRAX/Streetcar), by ensuring compliance with state and federal requirements, regulations, and guidance, as applicable.

The FTA functions as both an administrator of funds for capital projects and as a federal regulator as defined by 49 CFR 659, 670 and 673. The FTA conducts regular audits of the state safety oversight agency (UDOT-SSOA), to determine the SSO's and UTA's compliance to the FTA's general requirements. UTA's light rail service TRAX/Streetcar is regulated by the FRA, FTA, and UDOT SSO agencies. Portions of TRAX right-of-way are shared with freight operations. Limited-freight operations are achieved with freight railroads through a temporal separation agreement and, and as such come under FRA jurisdiction oversight.

UTA's commuter rail service (Front Runner) is regulated by the FRA, and is not regulated by the UDOT-SSO.

1.1.3 POLICY STATEMENT



669 West 200 South
Salt Lake City, UT 84101

1.1.3 Policy Statement

UTA Safety Policy

To: All UTA Employees

Utah Transit Authority (UTA) is committed to promoting a positive safety culture and creating a workplace that is safe, healthy and injury free. Our employees are our most valuable asset, and the safety and health of each employee is our first priority. This policy applies to all personnel and every aspect of the company's activities. Having a positive safety culture must include ownership by each employee, willingness to identify and correct safety deficiencies, and effective communication.

UTA utilizes a Safety Management System (SMS) to prevent accidents, reduce risk of injury, and minimize damage to property and equipment. We work proactively towards identifying and reducing the existence of hazards and risks in the workplace and in our system. As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. The SMS Program is managed under my authority by the Director of Safety and Security.

UTA management will take steps to prevent workplace incidents, injuries and illnesses and will provide support of safety program initiatives. They will utilize the employee reporting program to achieving a safer, healthier workplace; keep informed about workplace safety and health hazards; and regularly review the company safety and health program. Management will work jointly with Union Leadership to address safety concerns and mitigations.

UTA supervisors are responsible for supervising and training workers in safe work practices. They are expected to enforce company safety rules and work to eliminate hazardous conditions. Supervisors will lead safety efforts by example.

All UTA employees are expected and encouraged to participate in safety and health program activities which includes reporting hazards, reporting unsafe work practices, reporting near misses and accidents immediately to their supervisor or a safety committee representative. All employees will wear required personal protective equipment (PPE) and participate in and support safety activities. Employees will serve as Safety Ambassadors by working safely, complying with requirements and serving as an example to others.

Disciplinary action will not be taken against an employee who acts to prevent an injury or who reports any incident, close call or hazard. All employees are required to abide by the standards and procedures set forth in UTA policies. Elements such as illegal activity, negligence, acts of willful misconduct, or undue care and attention shall be considered outside the scope of this policy.

Jay Fox
Executive Director
Utah Transit Authority

Travis King
Director of Safety and Security
Utah Transit Authority

1.1.4 EXECUTIVE SIGNATURES

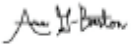
Following general requirements and guidelines from 49 CFR 674, in compliance with the Fixing America's Surface Transportation (FAST) Act and to meet the FTA State Safety Oversight Standard, the Utah Transit Authority has developed a combined bus and rail Transit Agency Safety Plan (TASP) as our governing system safety plan.

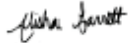
As UTA Executives and Senior Leaders, we have reviewed and endorse the UTA Transit Agency Safety Plan. We also understand that we have the authority and responsibility for day-to-day implementation and operation of UTA's Safety Management System (SMS).


 Date 12/29/25
 Jay Fox
 Executive Director

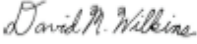

 Date 12/29/25
 Viola Miller
 Chief Financial Officer


 Date 12/29/25
 Nichol Bourdeaux
 Chief Planning & Engagement Officer


 Date 12/29/25
 Ann Green-Barton
 Chief People Officer


 Date 12/29/25
 Alisha Garrett
 Chief Enterprise Strategy Officer


 Date 12/29/25
 Jared Scarbrough
 Acting Chief Capital Services Officer


 Date 12/29/25
 David M. Wilkins
 Assistant Attorney General, Counsel to the Utah Transit Authority


 Date 12/29/25
 Andres Colman
 Chief Operations Officer


 Date 12/29/25
 Travis King
 Director Safety & Security


 Date 12/29/25
 Kim Shanklin
 Chief of Staff


 Date 12/29/25
 Camille Glenn
 Regional GM Mt. Ogden BU


 Date 12/29/25
 Mary DeLaMare-Schaefer
 Regional GM Timpanogos BU


 Date 12/29/25
 Ryan Taylor
 Special Services GM


 Date 12/29/25
 Bryan Sawyer
 Director of Fleet Engineering


 Date 12/29/25
 Kevin Anderson
 Director of Maintenance Support


 Date 12/29/25
 Tony Berger
 Director of Operations


 Date 12/29/25
 Duane Sayers
 Director of Operations (Rail)

1.2 GOALS AND OBJECTIVES

The Transit Agency Safety Plan (TASP) establishes formal structure and processes to be used by UTA to identify, assess, track, control, minimize, and resolve hazards associated with UTA bus and rail systems. The TASP will be used as a means of preventing injuries, incidents, accidents, system disruption, environmental damage, and other losses. It demonstrates UTA's commitment to safety and compliance through loss prevention programs. The plan is consistent with federal, state, and local regulations, and it sets forth procedures to comply with standards and conditions of industry, 49 CFR Part 659, UDOT's SSO Program Standards, and applicable FRA rules and regulations applicable to TRAX and FrontRunner as contained in 49 CFR. The safety performance targets are set by the JLMSC and used for the safety risk reduction program.

The TASP applies to the planning, design, procurement, construction, activation, operations, and maintenance services of the bus and rail system. The TASP is approved by and implemented under the direction of the Agency Safety & Security Committee (ASSC) and the JLMSC. UTA embraces and participates with the Utah Department of Transportation in achieving the statewide goal of the "Zero Fatalities" program. "This is a goal that everyone can live with".

UTA's annual safety objectives and targets are:

- A. Avoidable accident rate per 100,000 miles:
 - a. Bus less than 1.0
- B. FRA Reportable accident rate per 100,000 miles:
 - a. FrontRunner less than 0.5
- C. Safety Performance Measure: Injuries per 100,000 miles:
 - a. Light Rail less than 0.31 based a 10% reduction of the last 3-year NTD reportable data
 - b. Bus less than 0.01 based on a 10% reduction of the last 3-year NTD reportable data
- D. Safety Performance Measure: Fatalities per 100,000 miles. UTA's goal is zero fatalities:
 - a. Light Rail 0.0
 - b. Bus 0.0
 - c. FrontRunner 0.0
- E. Safety Performance Measure: Safety events per 100,000 miles:
 - a. Light Rail less than 3.1 based a 10% reduction of the last 3-year NTD reportable data
 - b. Bus less than 0.17 based a 10% reduction of the last 3-year NTD reportable data
- F. Safety Performance Measure: System Reliability. Mean distance between major mechanical failures:
 - a. Light Rail greater than 7,000 miles
 - b. FrontRunner greater than 14,000
 - c. Bus Fixed + Route Deviation greater than 18,000 miles
 - d. Paratransit greater than 23,000 miles
- G. Total monthly employee industrial injuries less than .51 per 100 employees
 - a. 10% reduction of OSHA reportable injuries
- H. Eliminate or mitigate Serious and High Hazards

1.2.1 GOALS AND MANAGEMENT RESPONSIBILITIES

The goal of UTA's TASP is to utilize and achieve the highest practical level of safety in order to protect passengers, employees, emergency responders, contractors, invitees, and property. At a minimum, the TASP ensures the following processes are incorporated into UTA's system safety programs, plans, processes, and practices to achieve its goals to:

- a. Define the physical, functional, and operational characteristics of its transit system with its potential impact on people, equipment, infrastructure, facilities, and its operating environment.
- b. Identify hazards or undesired events by examining historical data, causes, and contributing factors.
- c. Provide a level of safety that is consistent with transit bus and rail standards.
- d. Assess risks by balancing the potential frequency of a hazard occurring against the severity of the event and quantify the event into acceptable or unacceptable categories.
- e. Eliminate, mitigate, or control unacceptable or undesirable hazards to acceptable levels.
- f. Monitor hazard resolution effectiveness and determine if there are unexpected hazards.
- g. Comply with federal, state, and local rules and regulations.
- h. Determine if UTA's goals and objectives were achieved.
- i. Continually improve and evaluate system safety design.

The ASSC is responsible for the development of goals for the TASP. The Safety and Security Director is responsible for reporting directly to the ASSC on compliance with the TASP. The TASP's intent is to:

- a. Establish a clearly defined safety structure with lines of authority and responsibility to implement the program, processes, and policies that integrate safety into all aspects of UTA functions.
- b. Provide means of measuring and achieving UTA safety goals and initiatives, and compliance with rules and regulations.
- c. Provide a comprehensive hazard management program to effectively identify and resolve issues.
- d. Set procedures for review, approval, and documentation of modifications to existing systems, vehicles, facilities, and equipment.
- e. Set processes to address safety issues for activation of new systems and modifications to existing systems, facilities, and vehicles prior to initiation of service.
- f. Establish standards for emergency preparedness and management.
- g. Set procedures for conducting continual internal audits, and inspections to evaluate TASP compliance.
- h. Set procedures for ensuring compliance with safety rules and regulations that impact operations or maintenance.
- i. Set procedures for conducting an ongoing maintenance inspection program of vehicles, equipment, facilities, and maintenance cycles, with documentation and the integration of identified safety concerns into the hazard management process.
- j. Set safety training standards for employees and contractors.
- k. Establish a configuration management control process for modifications during operations.
- l. Establish standards for and compliance with the hazardous materials program.
- m. Establish standards for and compliance with the drug and alcohol program.

- n. Establish standards for and compliance with procurement processes.

1.2.2 CORPORATE SAFETY POLICIES

Guided by the principles contained in this TASP, the Director of Safety and Security, under the direction of, and as approved by the ASSC, has developed specific corporate safety and loss control policies. These policies set the framework for guiding the safety program. All UTA corporate safety policies including UTA's TASP are available on the UTA intranet. UTA employees are notified via company email on an annual basis of the newly revised TASP along with its location within UTA's Intranet.

1.2.3 INTEGRATING SAFETY INTO ALL ASPECTS OF UTA

The objective of safety at UTA is the continual improvement of our processes and operations to maximize safety to the highest practicable level. This effort is undertaken by providing continual opportunities for employees to be reminded of safety, incorporate safe practices into their operations, and multiple means for each employee to identify potential hazards.

We accomplish this through safety first messages at UTA meetings, safety committee meetings, weekly Safety messages, monthly safety posters, identification and mitigation of hazards, proactive reviews, and inspections to identify potential hazards.

Within the different departments, multiple means of incorporating safety are presented. As examples:

- a. Safety is part of the Planning Department's "Next Tier" planning meetings to plan for safety in new projects at the earliest opportunity.
- b. Safety participates in the Transit Oriented Development (TOD) meetings to identify and raise safety concerns.
- c. In new construction projects – safety is considered in the Construction Safety Committee (CDC), Design and Construction Meeting, Safety and Security Working Group (SSWG), and Activation Committee (AC) meetings.
- d. Safety has representation in the Technology Advisory Group in the selection and implementation of new technology programs.
- e. Safety works with public relations for signs, vehicle wraps, handouts, wristbands, billboards, commercials, and social media efforts to maximize the safety message to the community.
- f. Safety is fully incorporated into training in service units, conducts Roadway Worker Protection, Safety Management System (SMS), Security/Incident Command Structure training, and presents multiple updates at Manager, Corporate Staff, and Executive Team meetings.

1.3 OVERVIEW OF MANAGEMENT STRUCTURE

1.3.1 UTA BOARD OF TRUSTEES AND EXECUTIVE STAFF

UTA was incorporated on March 2, 1970, under the authority of the Utah Public Transit District Act of 1969 for the purpose of providing a public mass transportation system for Utah communities.

The governance structure of UTA includes a 3-member full-time board of trustees, which is the legislative body for UTA and determines all questions of policy. UTA's board of trustees appoints the Executive Director (ED), who is the Accountable Executive for safety and asset management. Under 2018 legislation, the board hires, sets the salaries, and develops performance targets and evaluations for the Executive Director, Internal Auditor, Chief People Officer, Chief Capital Services Officer, Chief Operating Officer, Chief Financial Officer, the Chief of Planning and Engagement, and the Chief of Enterprise Strategy. The Executive Director is charged with certain responsibilities, some of which require coordination with, or providing advice to, the board of trustees. Legal counsel is provided by the Utah Attorney General's Office.

The ED has full charge of the acquisition, construction, maintenance, and operations of the system and facilities of UTA, and of the administration of UTA business affairs. The ED supervises the executive staff of chief department officers. Included in these officers, the Chief Operating Officer who is responsible for bus, rail, special services, operations, maintenance, fleet engineering, and police — representing about 80% of UTA's workforce. The Safety and Security Director has responsibility for corporate safety. The safety department reports quarterly to the ED and executive staff during meetings of the Agency Safety & Security Committee (ASSC).

1.3.2 MANAGEMENT — KEY ROLE IN SAFETY

UTA's safety program is incorporated into every aspect of transit service by rail and bus service managers. Safe operations of bus and rail units are the responsibility of the Chief Officer, Director, and regional general manager (RGM). Each service unit has an appointed RGM or Director, who, along with managers and supervisors are responsible for implementing policies and procedures for safe operations. The Regional General Managers or Directors are responsible for the hazard process within their area of responsibility, they have charged their management teams to effectively manage safety, and to develop safety programs, plans, procedures, training, policies, and rules to govern safety; and to fully comply with the TASP. Bus and rail maintenance facilities are staffed with a Director of Maintenance Support who is responsible for the safe operation of the facility and are supported by shift supervisors and maintenance workers during their performing maintenance, servicing, and inspection.

Supervisors' responsibilities place them at the forefront of UTA's rail and bus services safety efforts. A significant portion of their duty is to serve as frontline safety officers; monitoring, ensuring, and emphasizing safety performance, rules compliance, and promoting a strong safety climate. All employees are charged with adhering to safety, but supervisors are UTA's key to improved safety-related behavior and positive safety outcomes. Supervisors have the responsibility to monitor the safety compliance of their employees and ascertain that employees understand their job functions and the safety requirements of that job.

UTA safety compliance is managed at the lowest levels. Each employee is trained in safety and job duties and given responsibility for their own safety and the safety with whom he/she works. All employees have the authority to halt an operation if it is deemed to be unsafe. UTA's system safety processes emphasize open and fair dialog between leaders and subordinates to increase the commitment to safety at all levels.

In an oversight role, Safety Administrators report to the Safety and Security Director. Safety Administrators have a role in executing the functions necessary to ensure safety, including the following:

- a. Coordinate safety activities of the agency.
- b. Compile safety data and perform analysis to identify and assess operational risk.
- c. Assist in the investigation of accidents and incidents as appropriate.
- d. Review maintenance records to identify safety problems related to maintenance activities.
- e. Evaluate hazard resolutions proposed by departments.
- f. Perform analysis to identify and resolve hazards.
- g. Evaluate proposed system modifications from a safety perspective.
- h. Conduct safety audits, reviews, and inspections.
- i. Provide oversight for safety training content and delivery.
- j. Provide safety support such as field and laboratory testing.

The Safety Department will conduct regularly scheduled internal safety audits to evaluate compliance and conformance with UTA's TASP, UDOT-SSO Program Standards; and 49 CFR 673. Safety Administrators serve as alternates to each other. Safety Administrators work closely with management and employees, through various processes and committees, and have the authority to determine compliance. When warranted, Safety Administrators may issue corrective action plans (CAP), non-conformance reports (NCR), corrective action requests (CAR), and preventive action requests (PAR) as part of the Environmental, Quality, and Safety programs. UTA is certified under the Safety Management System (SMS). Safety Administrators are the designated contacts to regulatory agencies and serve as alternate contacts to the UDOT-SSO oversight agency, Transportation Safety Administration (TSA), and Division of Homeland Security (DHS).

1.3.3 MANAGEMENT – TRANSIT AGENCY SAFETY PLAN (TASP)

UTA's Executive Director, having authorized and endorsed the program and resulting plans, processes, and procedures, has delegated the responsibility to update and implement UTA's Transit Agency Safety Plan (TASP) to the Safety and Security Director. The Safety Department is responsible for overseeing the writing and development of the TASP, and to conduct annual updates and revisions, and disseminating the TASP document in accordance with UDOT SSO Program Standards, and 49 CFR 673, General Requirements.

The TASP is reviewed with and distributed to the ED, chief officers, regional general managers and/or Directors who comprise the Agency Safety & Security Committee (ASSC). The TASP is also distributed to members of the other safety committees (see Chapter 5) and reviewed with new employees. In addition to the above distribution list, the TASP is distributed to all employees of the Authority via email. The TASP is also made available to all UTA employees on the company intranet at ["https://rideuta.sharepoint.com/sites/Safety"](https://rideuta.sharepoint.com/sites/Safety). UTA employees will be notified via company email of the

newly updated TASP on an annual basis. Old versions of the TASP will be removed and replaced with the latest approved TASP as they are made available. This process will be initiated and supervised under the direction of the Safety Manager.

The S:\ Drive on UTA’s network is used for the purpose of storing and tracking past and current safety-sensitive information and documents; including the TASP, incident and accident reports, corrective action plans, hazard logs, inspections, audits, etc. The S:\ drive is a secured drive and only accessible to the safety department, designated personnel, and the UDOT SSO Manager. Current Data and reports are maintained and kept by the safety department and can be reviewed by the UDOT SSO Manager at any time.

1.3.4 LIGHT RAIL SERVICE

UTA’s TRAX light rail and S-Line streetcar services are managed by the Director of Operations (Rail). TRAX service began operations on December 4, 1999, and serves Salt Lake County, with an annual ridership of 19,500,000 passengers. TRAX operates 57 stations over 93.11 miles of revenue track (58.97 tangent and 34.14 curved), with 19.72 miles of sidings and yard track. This starts with the North-South line, from Sandy to Salt Lake City. TRAX service includes the Red Line which extends from Daybreak to the University of Utah Medical Center. The Green Line starts at the West Valley City Hall and runs to the Salt Lake City International Airport. The Blue line runs from Draper City in the south (12300 South) to the Salt Lake Central Station at 500 West 300 South. The S-Line Streetcar line runs from the TRAX Central Point Station at 2250 South to Fairmont Station at McClelland St. (Approximately 11th East).

Rail maintenance facilities for light rail vehicles are located at Midvale (613 West 6960 South) and Jordan River (2264 South 900 West). Portions of TRAX are under the Federal Railroad Administration's (FRA) regulation. These segments are from 1250 South to 6100 South on the North-South line and from 6400 South to 5600 West on the Mid-Jordan line. Passenger TRAX operations are temporally separated from freight operations. TRAX operates from approximately 5:00 a.m. to midnight Monday through Sunday Freight operators utilize track on the Mid-Jordan Joint Trackage from 11:45 p.m. to 4:45 a.m. The Main Line Joint Trackage is utilized from 12:00 a.m.to 5:00 a.m., Freight movements require authorization from the TRAX Control, which operates continually.

UTA's current TRAX vehicle fleet consists of the following LRVs:

Type	Count
Siemens SD-100/160 Series	40
Siemens S70 Series	77 (3 in service as streetcars)

UTA's train control, including the automatic block system (ABS), intersects established grade crossings which are protected by gates, flashing lights, and audible signals. Intersections within the street-running portion of the downtown/university/West Valley corridors are controlled with traffic signals and additional train operating signals.

The Director of Maintenance Support is supported by managers, supervisors, and maintenance of way (MOW) employees, servicing light rail and commuter rail systems, signal and train control, track, power systems, infrastructure, and rail facilities. The Maintenance of Way department has responsibilities

including light rail and commuter rail. Bus stops and rail stations and platforms, park-and-ride lots, and passenger services facilities are managed by the facilities maintenance manager.

1.3.5 COMMUTER RAIL SERVICE

UTA’s Frontrunner commuter rail services are managed by the Director of Operations (Rail). FrontRunner is UTA's regional commuter rail service. FrontRunner began revenue operations on April 26, 2008, and expanded services on December 11, 2012. It serves Utah, Salt Lake, Davis, and Weber Counties, with an annual ridership of over 5.19 million passengers. FrontRunner services 16 stations on 82 miles of track, extending from Ogden to Provo.

FrontRunner is regulated by the Federal Railroad Administration and is subject to FRA rules, regulations, and inspections. Hours of operation are, generally, weekdays from 4:00 a.m. to 12:30 a.m. and Saturdays from 6:30 a.m. to 12:30 a.m., with no Sunday service.

There are daily freight industry operations that utilize FrontRunner mainline crossover switches. Freight movements require authorization from the FrontRunner Control Center. All mainline switches are powered and can be operated by personnel in the control room. There are 82 miles of exclusive track which include a total of 62 at-grade crossings. FrontRunner trains utilize cab signals and positive train control. The mainline is a single track with a station platform passing sidings. The trains are in a 'push-pull' configuration with diesel-electric locomotives on the north end of the consist and cab cars on the south end.

The senior leader at FrontRunner is the Director of Operations (Rail).. The Director of Operations (OC) oversees controllers. The Director of Operations (Rail) oversees Mangers, Assistant Managers, Field supervisors, Personnel supervisors, train operators, and train hosts. The Director of Fleet Engineering oversees Vehicle maintenance, maintenance training, technical services, body repair, fabrication, component rebuild, and vehicle overhaul is managed by the manager of commuter rail vehicle maintenance and one assistant manager. They are supported by supervisors and commuter rail technicians, performing maintenance, servicing, and inspection on the passenger cars and locomotives. All rolling stock maintenance is performed at the Warm Springs Rail Service Center located in Salt Lake City, Utah.

UTA's FrontRunner fleet consists of the following rolling stock:

Type	Count
MP-36 Locomotives	18
Bombardier Cab Cars	22
Bombardier Coach Cars	16

1.3.6 BUS SERVICE

UTA bus operations are managed by Regional General Managers (RGM) in-service units with geographical boundaries including Salt Lake (Salt Lake County includes Depot District and Meadowbrook facilities); Mt. Ogden (Weber, , and Southern Box Elder counties), and Timpanogos (Utah

County). Special Services provides paratransit route deviation, rideshare, and vanpool services throughout the UTA service area. Paratransit services in Weber, Davis county, Tooele, and Utah are provided by contractors.

Bus maintenance facilities are located in Ogden, Depot District, Meadowbrook (Salt Lake), and Timpanogos (Utah County). Special Services maintenance is located at Riverside (adjacent to Meadowbrook).

UTA Bus service includes 543 buses. The fleet includes electric buses, hybrid-electric buses, ski buses, over-the-road coaches, and 65 paratransit vehicles. UTA Central division has 47 compressed natural gas (CNG) buses and 17 zero-emissions battery-electric buses.

UTA runs three express bus lines in Utah County, Weber County, and Salt Lake County that offers park-and-ride lots, ticket-vending machines, upgraded stations, limited stops, faster speeds, greater frequency, signal priority, dedicated bus lanes, and specialized buses. The Utah Valley Express (UVX) opened in December 2018 with 5 miles of dedicated bus lanes servicing 18 dedicated stops along its 10.5-mile route from the Orem and Provo Frontrunner station through downtown Provo, BYU campus, UVU campus and down University Parkway in Orem. The UVX bus fleet includes 25 sixty-foot articulated New Flyer Xcelsior electric hybrid buses that can hold up to 80-passengers with level boarding for ADA passengers.

The Ogden Express (OGX) opened in August 2023, providing service from the Ogden Central Station to McKay-Dee Hospital. The 5.3 corridor features 13 stop locations with 22 stop platforms, including 3 center street stations. This service includes 1.8 miles of dedicated bus lanes, some of which go directly through the Weber State University campus. The OGX bus fleet includes seventeen 40-foot Gillig electric buses with seating for 34, additional standing room for at least 20, and level boarding for ADA passengers.

1.3.6.1 Contractor services supplementing bus operations

Contractors providing supplemental transportation services for UTA paratransit and ski buses must adhere to the Safety Management System (SMS) principles established in UTA’s Transit Agency Safety Plan (TASP). Contractors are expected to adopt a proactive approach to identifying and mitigating safety risks related to their transit operations. Documentation supporting compliance with SMS requirements—including vehicle maintenance and inspections, driver training and qualifications, accident reporting and investigation, and emergency response procedures—must be maintained and made available to the UTA contract project manager upon request.

1.3.7 CLIMATE AND GEOGRAPHY

Salt Lake City normally has a semi-arid continental climate with four well-defined seasons. Summers are characterized by hot, dry weather, but the high temperatures are usually not oppressive since the relative humidity is generally low and the nights are usually cool. July is the hottest month with temperatures reading 90–100 degrees F. Winters are cold, but usually not severe. The average annual snowfall is less than 60 inches at the Salt Lake City Airport, but much higher amounts fall in higher bench locations. Heavy fog can develop under temperature inversions in the winter and may persist for several weeks. Precipitation is generally light during the summer and early fall but may be heavy in the spring

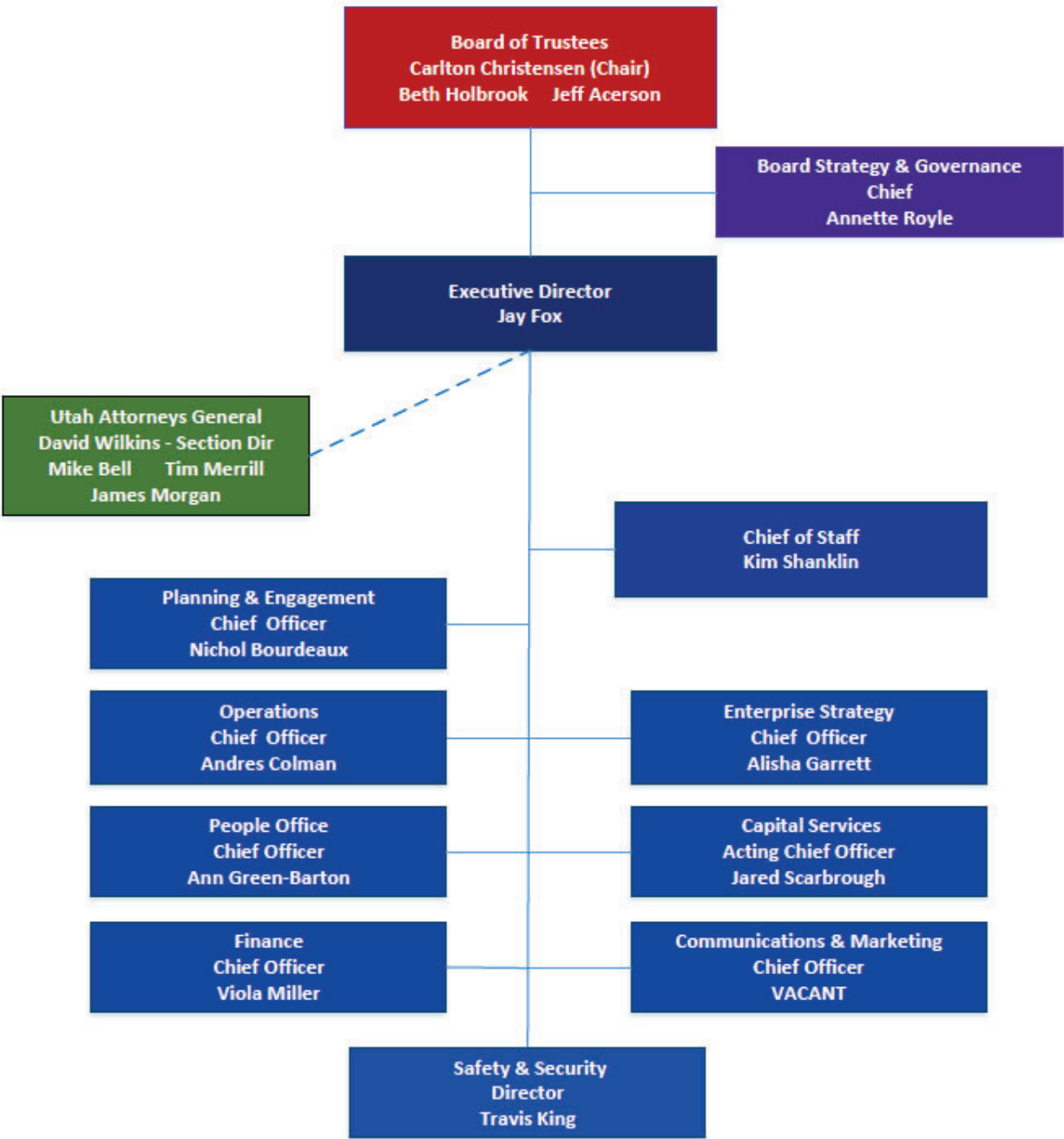
when storms from the Pacific Ocean are moving through the area more frequently than at any other season of the year.

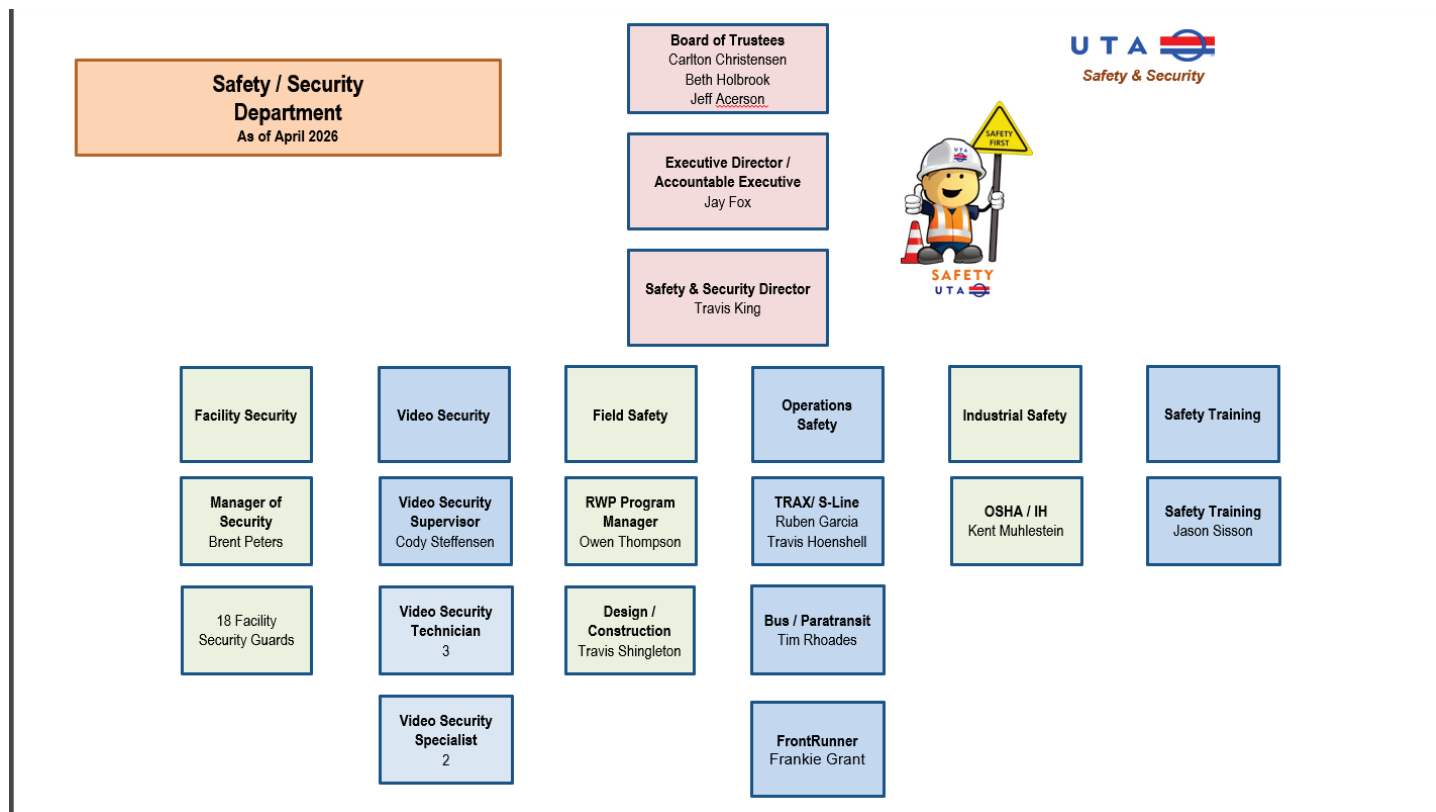
The UTA transit services extend throughout the Wasatch Front area approximately 60 miles wide (E-W) between Park City, Salt Lake City, and Tooele Co. The area also ranges from Box Elder County on the north to Payson City, Utah County in the south, extending nearly 100 miles. Service areas include high mountain valleys situated along the western slope of the Wasatch Mountains. Elevations range from approximately 4,250 feet above sea level to greater than 5,300 feet above sea level on the benches overlooking the valleys. Service to the area ski resorts rises to over 8,000 feet above sea level. The Wasatch Fault runs the length of the UTA service area from north to south roughly tracing a line along the base of the Wasatch Mountains. Fault scarps are easily observed at various locations along the fault.

1.3.8 UTAH TRANSIT AUTHORITY ORGANIZATIONAL CHART

UTA's organizational chart illustrates the management structure of the organization. The Safety and Security organizational chart focuses on the roles of Safety Department managers and Safety Administrators, showing the process available to report directly to UTA's ED.

UTAH TRANSIT AUTHORITY





1.4 TASP ANNUAL UPDATES, REVISIONS, AND CHANGES

1.4.1 WRITTEN PLANS

The Transit Agency Safety Plan (TASP), System Security Plan (SSP) and the Emergency Preparedness Plan (EPP) will be reviewed and updated annually, on or before January 1st, and submitted to UDOT SSO for approval and acceptance in accordance with UDOT's Rail Transit State Safety Oversight Program Procedures and Standards. The plans may also be revised when and as required by the Agency Safety & Security Committee (ASSC). Each yearly revision of the TASP will be approved by the joint labor-management safety committee.

UDOT SSO may request in writing, modification to the plans due to audit reports, on-site reviews, or investigations. UTA will be given at least 30 days to address any requested changes. Once UDOT has approved the revised plans, UTA will transmit a signed copy of the plans to UDOT SSO in an unalterable electronic format.

Emergency management plans have been developed for UTA and are part of the UTA Emergency Preparedness Plan (EPP). Each mode within UTA develops their specific emergency response plans.

TRAX Emergency Response Plan and FrontRunner Emergency Preparedness Plan. These plans describe activities and responsibilities for Rail Service personnel and are the responsibility of the Rail Safety Administrator. The Rail Services Emergency Preparedness Plan must meet the requirements of 49 CFR Part 239 and is reviewed annually and updated as needed.

The UTA System Security Plan (SSP) details the security program for UTA and includes the TRAX light rail and the FrontRunner commuter rail line. This plan describes the system security and the threat and vulnerability management process employed by the UTA Transit Police organization. This plan details how state and local law enforcement agencies and UTA Transit Police work together to provide a secure system. The involvement of UTA security managers and local law enforcement personnel is essential for a strong cooperative security effort.

The UTA FrontRunner Commuter Rail System Safety Plan (FRSSP) was developed in accordance with 49 CFR Part 270 FRA rules for system safety plans. This document aligns with the TASP elements and is a stand-alone plan governing system safety specifically at FrontRunner commuter rail.

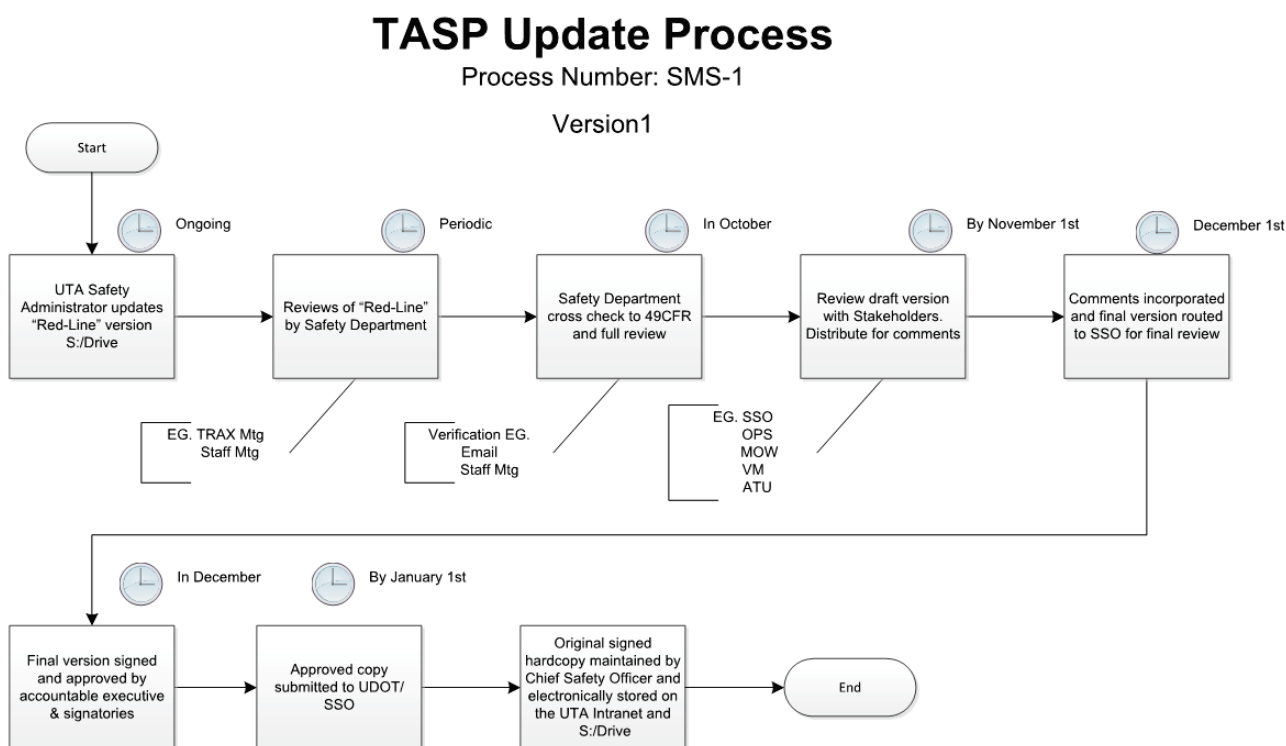
UTA's Director of Safety and Security is accountable to senior management for the accuracy and timeliness of all TASP, SSP, FRSSP, and EPP updates approvals and distribution to include FRA, UDOT, SSO manager, and managers and supervisors at the Rail Service Center. UTA's Safety Department will coordinate with UDOT-SSO to develop, review, update, and distribute the plans. UTA's safety department is responsible for evaluating compliance and or deficiencies with UTA's safety emergency preparedness programs, UDOT-SSO program, 49 CFR 673 general requirements, and FRA regulations, initiatives, and programs, as applicable.

The TASP, EPP, and FRSSP are controlled documents that apply to all UTA employees and contractors. Copies are distributed to members of the ASSC, UTA managers, and Safety Committee members and are sent to all UTA employees via email. The current TASP is also available on the intranet and is updated as

new versions are made available. (Note: The SSP is not distributed as it is a security-sensitive document. It may be reviewed after an approved written request is made).

Per CFR 673.31, UTA maintains all documents set forth in the TASP, including those related to the implementation of its SMS, and results from SMS processes and activities. UTA maintains documents that are included in whole, or by reference, that describe the programs, policies, and procedures that the agency uses to carry out the TASP. UTA maintains these documents for a minimum of three years after they are created.

1.4.2 TASP ANNUAL UPDATE PROCESS FLOW CHART



Process Owner: Director of Safety & Security

Revised 06/21/2022

1.4.3 EMERGENCY MANAGEMENT TEAM MEETINGS

Emergency management matters are addressed within service unit safety meetings. Emergency Management training is further explained in the EPP.

Meetings with external agencies are coordinated for training, information, exercising, and to provide familiarization training for local first responders. Emergency response organizations are informed of the rail system and important life safety features. Exercises, types, reports, and frequency is also explained within the EPP.

II RISK MANAGEMENT

This section describes how UTA identifies, evaluates, tracks, and mitigates hazards and risks in the organization and on the transit system. The processes undertaken by the authority are provided in sufficient detail to be effectively undertaken. Acceptable risk levels, performance targets, and mitigation measures are established.

2.1 RISK MANAGEMENT PROGRAM

2.1.1 HAZARD MANAGEMENT

A hazard is defined as a condition or set of conditions, internal or external to the UTA system, which could cause injury or death or damage or loss of equipment or property. An unacceptable hazard is a condition that may endanger human life or property or result in system loss. This includes harm to passengers, employees, contractors, equipment, and the public. These hazardous conditions must be mitigated. Hazards are identified in several different internal and external sources. Hazards may be observed in the operating environment, through procedures, during system modifications and capital projects, accidents, extensions, or operational changes.

The Hazard Management Program applies to all UTA employees and obligates everyone to constantly observe hazards in their work areas and report them through the hazard management process. The overall hazard management program incorporates a system-wide hazard identification process, including activities for:

- a. Identification
- b. Investigation
- c. Evaluation and analysis
- d. Mitigate or eliminate
- e. Tracking
- f. Ongoing reporting to UDOT SSO and UTA corporate staff relating to hazard management activities and status
- g. Risk Based Inspections

2.1.1.1 Local Hazard Management

UTA Directors, RGMs and department managers play a key role in hazard management and are responsible for ensuring that the following processes are fully integrated within their departments:

- a. All new employees receive hazard management training and understand hazard management expectations
- b. Ensure a safe environment free of retaliation for employees to report hazards to management
- c. Ensure hazards are placed on a local hazard log for tracking and documentation
- d. Represent management or select a designee to represent management on a local safety committee
- e. Ensure each hazard has been assigned to a specific individual/POC

- f. Management or management's designee will work with a bargaining unit representative to establish the hazard rating, a safety representative will participate as arbiter and have final approval of the rating

2.1.1.2 Corporate Hazard Management

When a hazard is identified as needing mitigation with costs or changes beyond the abilities of the local safety committee or department, the hazard will be elevated to the corresponding Safety Department Hazard Logs and reviewed by the Safety and Security Review Committee (SSRC). The SSRC committee members include key department managers who can make informed decisions based on the multiple disciplines at UTA and have access to higher-level budgeted solutions.

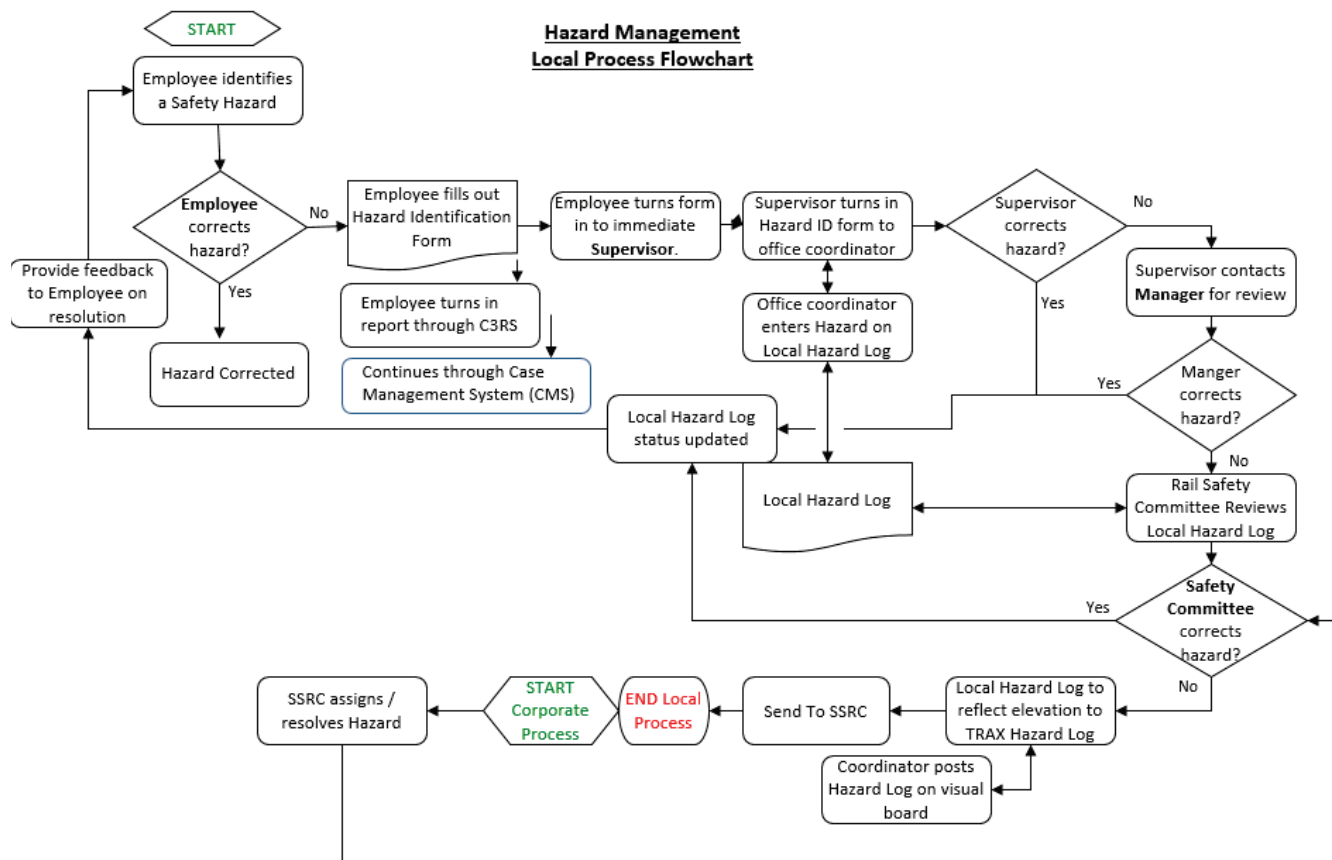
2.1.2 HAZARD PROCESS OVERVIEW

UTA's hazard management processes include all transit modes. The following lays out an overall description of how hazards are identified, evaluated, analyzed, controlled, eliminated, tracked, and reported to UTA senior management and UDOT State Safety Oversight.

- a. The Safety Administrators assigned to each transit mode are the primary points of contact (POC) for the hazard management process.
- b. Safety Committee members identify, evaluate, and analyze hazards in their area.
- c. The Safety Administrator will enter identified hazards into the safety department hazard log for that mode (bus, TRAX, or CR-rail).
- d. The Safety Administrator and or committee develops a Corrective Action Plan (CAP) for each undesirable SERIOUS hazard over 180-days and for each unacceptable HIGH hazard and identify the point of contact or owner of the hazard and places this information on the safety department hazard log for tracking purposes.
- e. CAPs may also be created in response to hazards from other sources, such as investigations and audits. (See [CORRECTIVE ACTION 3.2.4](#))
- f. Safety committee members also participate in the evaluation and control or elimination of the hazard.
- g. Hazards must be mitigated at the lowest level possible. However, when a hazard is identified as having a mitigation that involves multiple departments or requires cost or changes beyond the safety committee or department abilities or budgets the hazard will be elevated to the Safety and Security Review Committee (SSRC). The SSRC represents key department managers and has the capability to employ multiple disciplines at UTA and has access to higher-level budgeted solutions.
- h. Recommendations/Results from Contractor or Internal audit, testing, industrial or environmental sampling results requiring corrective actions will be placed in the safety department hazard log for follow-up and possible need for retesting for compliance with Safety or environmental requirements.
- i. If mitigation or control of a hazard is not achieved through the SSRC, the hazard mitigation process may be elevated to the Agency Safety & Security Committee (ASSC) for final resolution.

Hazards identified by an employee to his/her supervisor may be resolved by the employee and supervisor. If the supervisor is unable to solve the identified hazard, he/she will forward the hazard to a

safety committee representative to be brought to the safety committee for resolution. The safety committee and safety administrator will review the hazard assign an initial hazard rating (IHR) and place the hazard on the appropriate hazard log to be tracked. The following flow process is followed by employees in identifying and correcting hazards at the employee/supervisor level and actions taken to move the hazard to the safety committee and beyond if necessary.



2.1.3 HAZARD IDENTIFICATION

Identification of hazards is the responsibility of all UTA employees and contractors. The continuous identification, monitoring, and elimination of hazards is key to an effective system safety program.

Hazard identification methods include, but are not limited to the following:

- Observation, inspection, and interaction of all UTA employees and contractors.
- Reports from safety committee members, passengers, customer service, and field personnel.
- Evaluation of accidents, incidents, and near misses, to include data trends and projections.
- Preliminary Hazard Analysis (PHA) of a design or new construction.
- Safety certification, system integration testing, pre-revenue testing, system modification, configuration management verification, and inspection processes.
- Operation Hazard Analysis (OHA) of revenue operations.

- g. Internal and external safety audits, inspections, observations, defects, findings, observations, violations, and reviews.
- h. Controller logs, daily operating clearances/bulletins, and training feedback
- i. "Lesson learned" inputs.
- j. Review of applicable regulatory codes and standards.
- k. NTSB, FRA, FTA, SSO, OSHA, safety recommendations, guidance, initiatives, and alerts.
- l. Nonconformance Reports, Corrective Action Reports, and Preventive Action Reports (NCR, CARS, and PARS) that may arise from external or UTA internal audits.



Potential Sources of Hazard Identification

2.1.3.1 Hazard Reporting

Acceptable means of reporting safety conditions include:

- a. Complete a Safety Suggestion/Hazard Report form and deposit:
 - a. With your manager or supervisor who will deliver to the local safety administrator.
 - b. With the local Safety Administrator inbox or in person.
- b. Via email or verbal notification to your supervisor, manager, local safety administrator, or other safety representative.
- c. Utilizing UTA's Anonymous Close-Call Reporting System hotline or electronic submission.
- d. Through standard radio communication or other Standard Operating Procedures for observations, tests, and accident or incident reporting.

2.1.3.2 Anonymous Close-Call Reporting System

To ensure that safety concerns are reported freely and without prejudice, UTA has established a process through which employees and contractors can report safety conditions, unsafe acts or practices, and/or close-call incidents anonymously so that it is without fear of discipline, reprisal, or penalty. These could include:

- a. Unsafe working conditions

- b. Close calls
- c. Unsafe events
- d. Hazards
- e. Policies and procedures that are not working as intended

The close call reporting is available with English (833-940-2874) or Spanish services (800-216-1288), or via an online form at the following address: <http://www.lighthouse-services.com/rideuta-hazard> or by email at reports@lighthouse-services.com.

Comments submitted through the close call reporting hotline will be managed and assigned through the Case Management System (CMS) to a local safety administrator. The hazard will then enter the hazard management process, with follow-up and outcome notes recorded in the CMS.

2.1.4 HAZARD INVESTIGATION, EVALUATION, AND ANALYSIS

Reported hazards will be assessed by the reporting employee and supervisor. If a resolution cannot be found, the department manager in coordination with the employee and supervisor will work toward a resolution. If a resolution cannot be determined, the Safety Administrator and or safety committee will determine if a safety hazard exists and assign an initial hazard rating (IHR) to determine if an investigation, evaluation, or analysis needs to begin.

2.1.4.1 Root Cause Analysis and Accident Evaluation

Hazards are investigated by evaluating accidents, incidents, and close calls. Hazards originating from accidents are reviewed by the Safety Administrator and accident evaluation groups as necessary. As part of evaluating accidents and incidents, root cause analysis is used to help focus on the bottom-line fundamental cause and determine the most effective solutions to mitigate hazards. An accident evaluation group (AEG) will assist in finding the cause of the accident and any factors that may have contributed to the accident. A third-party expert may be used to assist with an investigation if it is deemed necessary.

2.1.4.2 Hazard Reporting Threshold to UDOT

UTA will notify UDOT SSO of all hazardous conditions that affect the immediate safety or security of the light rail system. At a minimum, UTA will notify UDOT SSO within one business day of hazardous conditions that are rated as unacceptable (HIGH) using UTA's 21-box hazard rating matrix.

To ensure UDOT is also appropriately notified of all other hazardous conditions, accidents, incidents, and occurrences, and serious occurrences that are not rated as HIGH, UTA will also include any safety hazard discoveries that don't meet the criteria listed in section 3.2.1.2 in its safety department hazard log and hazard management process. This safety department hazard log is provided to UDOT SSO monthly.

2.1.4.3 UTA Hazard Analysis Matrix

UTA's hazard analysis matrix shown below, provides the ability to assign hazards a specific hazard rating based on a combination of severity and probability. Hazards may be rated as HIGH, SERIOUS, MEDIUM, LOW, and ELIMINATED.

SEVERITY					
Severity Level		Injury or Occupational Illness	Other than Injury		
			Property Damage (PD)	System disruption (SD)	Evacuation
1	Catastrophic	Death (does not include suicides, or death by natural causes)	> \$ 250,000;	> 24 hrs	Fire / Life Evacuation
2	Critical	Fracture, Severe Bleeding, Paralysis, Brain injury, Dismemberment	\$250,000 – \$100,000	12 - 24 hrs	
3	Marginal	Bruising, Abrasions, Bleeding, Sprains/Strains (Ambulance transport)	\$100,000 – \$25,000	4 – 12 hrs	
4	Negligible	Bruising, Abrasions, Sprains/Strains (No Ambulance transport)	< \$25,000;	< 4 hrs	

Hazard severity is a subjective measure of the worst credible mishap resulting from personnel error, environmental conditions, design inadequacies and/or procedural efficiencies for system, subsystem or component failure or malfunction. Hazard severity is ranked as shown above.

PROBABILITY					
Probability Level		Likelihood of event in life of an Specific item	MTBE*in Operating Hours (oh)	Occurrence within Fleet or Inventory	MTBE in days
A	Frequent	Will occur frequently	< 1,000 OH	Continuously Experienced	1 per month
B	Probable	Will occur several times	1,000 – 100,000 oh	Will occur frequently	1 per year
C	Occasional	Likely to occur sometimes	100,000 – 1,000,000 oh	Will occur several times	1 per 2 years
D	Remote	Unlikely but possible to occur	1,000,000 - 100,000,000	Unlikely, but can be expected to occur	1 per 5 years
E	Improbable	So unlikely, assumed occurrence may not be experienced.	> 100,000,000 oh	Unlikely to occur, but possible	1 per 10 years
F	Eliminate	Actions taken to remove the hazard / conflict	Never	Will not occur	N/A

*Mean Time Between Events The likelihood that hazards will be experienced during the planned life expectancy of the system can be estimated in potential occurrences per unit of time, events, population, items, or activity. The probability may be derived from research, analysis, and evaluation of historical safety data.

UTA Risk Assessment Matrix		SEVERITY			
		1. Catastrophic	2. Critical	3. Marginal	4. Negligible
PROBABILITY	A. Frequent	High	High	Serious	Medium
	B. Probable	High	High	Serious	Medium
	C. Occasional	High	Serious	Medium	Low
	D. Remote	Serious	Medium	Medium	Low
	E. Improbable	Medium	Medium	Medium	Low
	F. Eliminated	Eliminated			
Resolution Requirements					
High *		Unacceptable	correction required		
Serious		Undesirable	correction may be required, decision by management		
Medium		Acceptable w/ review	with review and documentation by management		
Low		Acceptable	without review		
Eliminated		Acceptable	no action needed		

2.1.4.4 Hazard Severity

Hazard severity is a subjective determination of the worst case that could be anticipated to result from human error, design inadequacies, component failure or malfunction. The categories of hazards based on the modified MIL-STD-882 are as follows:

Category 1 Catastrophic - Operating conditions are such that human error, design deficiencies, element, subsystem or component failure or procedural deficiencies may cause death or major system loss and require immediate termination of the unsafe activity or operation

Category 2 Critical - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies may cause severe injury, severe occupational illness or major system damage and require immediate corrective action.

Category 3 Marginal - Operating conditions are such that they may result in minor injury, occupational illness or system damage and are such that human error, subsystem or component failures can be counteracted or controlled.

Category 4 Negligible - Operating conditions are such that human error, subsystem or component failure or procedural deficiencies will result in less than minor injury, occupational illness or system damage.

The categorization of hazards is consistent with risk-based criteria for severity; it reflects the principle that not all hazards pose an equal amount of risk to personal safety.

2.1.4.5 Hazard Probability

The probability of a particular event or a specific hazard occurring may be defined as a non-dimensional ratio of the number of times that a specific event occurs to the total number of trials in which this event will occur during the planned life expectancy of a system. Generally, hazard probability is described qualitatively in potential occurrences per units of time, miles, trips/runs or passengers carried. A hazard probability may be derived from the analysis of transit system operating experience, evaluation of UTA safety data, the analysis of reliability and failure data, or from historical safety data from other passenger rail systems or bus systems (see [UTA Hazard Analysis Matrix 2.1.4.3](#)).

2.1.4.6 Hazard Ratings

UTA has adopted a system for assessing the level of risk for each identified hazard to determine what action(s) must be taken to correct or document the hazard risk. This assessment system has been incorporated into the formal system safety analysis which enables the Safety Administrators or safety committees as decision makers to understand the amount of risk involved in accepting the hazard in relation to the cost (schedule, cost, operations) to reduce the hazard to an acceptable level.

The Hazard Matrix (see [UTA Hazard Analysis Matrix 2.1.4.3](#)) identifies the hazard risk index (HRI) based upon hazard severity category and probability and the criteria for defining further actions based upon the index.

HIGH risk hazards that receive an unacceptable initial hazard analysis made by management, safety committee or the Safety Administrator Safety Administrator receive immediate attention/control. A high hazard rating requires corrective action. Hazards that receive a high hazard rating will be elevated from the local hazard log to the appropriate Safety Department hazard log.

SERIOUS hazards that are undesirable may require corrective action and decisions by management. Hazards that receive a serious hazard rating will remain on the local hazard logs no more than 180 days before being moved to the appropriate Safety Department Log.

MEDIUM hazards may be acceptable with review by management. Events from a medium hazard are less likely to occur and are less severe in nature.

LOW hazards do not require review and are acceptable.

ELIMINATED hazard is no longer present.

2.1.5 HAZARD CONTROL, RESOLUTION AND ELIMINATION

Safety critical hazards assigned an initial hazard rating of SERIOUS or HIGH using the above risk assessment matrix must be controlled or eliminated so that the hazard does not continue to pose a danger. This may be done in a temporary manner as long as the hazard is controlled until a long-term fix has been implemented. Hazards assigned a hazard rating of MEDIUM or LOW will be controlled to the lowest extent practicable. The process of controlling, tracking, and elimination of hazards is recorded on hazard logs.

All undesirable SERIOUS hazard log entries over 180 days and all unacceptable HIGH hazard log entries will require the development of a corrective action plan (CAP).

Corrective action plans include the following information:

- a. Element of activity identified as deficient
- b. Planned activities to resolve deficiency
- c. UTA department responsible for implementing corrective action
- d. Scheduled completion date for implementation
- e. Estimated cost of implementation

Hazard log entries with their associated corrective action plan are reviewed regularly by the safety department, safety committees, UDOT SSO and periodically reviewed by executive management. CAP's may be tracked and sorted from the hazard log. When a CAP is closed the hazard log will reflect this action and a closed date. CAPs should be submitted no less than seven days prior to the originally approved closure date. Individual CAP files are stored in the Safety Department file server by hazard tracking number under the hazard management folder.

2.1.5.1 Hazard Resolution and Elimination

Hazard resolution is defined as the analysis and subsequent actions taken to reduce the hazard to the lowest level practical and the risk associated with an identified hazard. Hazard resolution is not synonymous with hazard elimination. In a transit environment, there are some hazards, which are impossible to eliminate and others, which are highly impractical to eliminate. Reduction of risk to the lowest practical level can be accomplished in a variety of ways from protective and warning devices to special procedures.

1. Design out or design to minimize hazard severity. To the extent permitted by cost and practicality, identified hazards will be eliminated or controlled by the design of equipment, systems, and facilities.
2. Hazards that cannot reasonably be eliminated or controlled through design will be controlled to the extent practicable to an acceptable level using fixed, automatic, or other protective safety design features or devices. Provisions will be made for periodic functional checks of safety devices and training for employees to ensure that system safety objectives are met.
3. When design and safety devices cannot reasonably nor effectively, eliminate or control an identified hazard, safety warning devices will be used (to the extent practicable) to alert persons to the hazards.
4. Where it is impossible to reasonably eliminate or adequately control a hazard through the design of the use of safety warning devices, procedures, and training will be used to control the hazard.

2.1.6 HAZARD TRACKING

2.1.6.1 Local Hazard Logs

Local Hazard Logs are kept by each division within UTA to track submitted hazards and are maintained by the corresponding safety committee. Department managers ensure local hazard logs are used to track hazards at the departmental level within UTA. These logs are maintained within the department and are reviewed by the local safety committee monthly. Local logs must include both open and closed hazards and be posted on department and/or service unit safety boards.

Hazards placed on the local log receive their initial and final hazard rating using UTA's 21-box hazard rating matrix. Reporting employees, with the assistance of their manager or supervisor, will give hazards their initial rating and final ratings (see UTA Hazard Analysis Matrix). The rail safety committee can assist in this process if needed. Hazard ratings should be changed when new information is received or as a result of data analysis. If the hazard rating is changed by new information or data analysis, then the manager or designee will be notified.

2.1.6.2 Safety Department Hazard Logs

The Safety Department Hazard Log is kept is used to track Corrective action plans, and serious/high hazards from the local hazard log. Safety Administrators are responsible for the maintenance of Safety Department Hazard Logs. The Safety Department Log will be kept digitally and be directly accessible to all Safety Administrators. Logs must include both open and closed hazards for the current reporting year.

Hazard rating can be assigned by either the Safety Administrator or the SSRC. The following are specific hazards that are identified and mitigated at the corporate level:

- a. Unacceptable hazards (HIGH Hazards)
- b. Hazards identified from audits from outside agencies (UDOT SSO, FTA, FRA, OSHA)
- c. Hazards identified from accident investigations
- d. Hazards where corrective action will cost more than \$25,000
- e. Undesirable SERIOUS hazards on local department hazard logs over 180 days
- f. When deemed necessary by the Safety Department

2.1.6.3 Corrective Action Plan (CAP)

Corrective action plans are utilized within UTA for hazards that meet certain criteria. The hazards identified in the section above require the usage of a corrective action plan (CAP). CAPs are tracked on the safety department hazard logs with electronic copies directly accessible to all Safety Administrators at all times.

For hazards that receive a MEDIUM or LOW hazard rating, the use of a corrective action plan is optional depending on the complexity and ability to correct the identified hazard, e.g. clearing shrubs or trimming branches of a tree. UTA will coordinate with the UDOT SSO to determine if a CAP is necessary for medium or low hazards.

In the following instances, light rail corrective action plans must receive prior approval by the UDOT SSO Manager before corrective action plans may be carried out:

- a. Unacceptable hazards (High Hazards)
- b. Audit findings from regulatory agencies resulting in Non-conformance (UDOT, FTA, FRA, OSHA)
- c. Audit findings from internal audits resulting in Non-compliance
- d. Accident investigations requiring corrective action
- e. Testing or audits of Industrial Hygiene that potentially exceed OSHA PEL limits

2.1.6.4 Corrective Action Plan Development

Department managers or their designee will work in conjunction with the Safety Department and associated safety committees (Local Safety Committee, SSRC, and ASSC) to develop a corrective action plan and fill out a CAP form for the identified hazard. Accident Evaluation Groups are also utilized when developing CAPs resulting from hazards identified after an accident. Safety Administrators ensure that the CAP process is followed and properly tracked until it is closed.

CAPs are assigned a specific tracking number by Safety Administrators and are placed on the Safety Department hazard log with its associated hazard. CAPs must contain at a minimum:

- a. A specific deficiency/finding/hazard with an initial hazard rating
- b. Assigned Date
- c. Process, or plan to address and resolve the deficiency/finding/hazard
- d. Proposed Implementation date
- e. Responsible department, and person
- f. Source of the CAP
- g. CAP tracking ID

- h. List of proposed documents that will be submitted as verification of implementation
- i. SSO Program Manager initial approval and date
- j. Interim milestone date(s) as appropriate or issues preventing resolution
- k. Resolution of CAP
- l. Accountable Owner Signature with completion date
- m. SSO Program Manager Verification (if applicable) that CAP was implemented

2.1.6.5 Ongoing Reporting to State Safety Oversight Agency

Each CAP developed for Serious or High hazards, from investigations, audit findings or other sources will be submitted to UDOT SSO as required for initial review and approval within 30 days of identification. The CAP form will be assigned a specific identification tracking number and placed on the safety department hazard log with its corresponding hazard for tracking purposes. A digital CAP form is maintained in the Safety Department file server for UDOT SSO access.

The Safety Administrator will monitor the current status of CAPs using the safety department hazard log and identify any issues with the resolution action and dates. Updates will be recorded on the safety department hazard log and provided to the UDOT SSO at least monthly. For CAPs that will not be completed prior to the initial completion date, refer to the SSO Procedures and Standards for extension procedures.

Upon completion of the corrective action, the safety department will submit the CAP to UDOT SSO for adoption. UDOT will notify UTA in writing of its acceptance or rejection of the corrective action plan in accordance with procedures specified in the UDOT SSO standard. The completed CAP is formally adopted by receiving the UDOT SSO's signature on the CAP form. The UTA CAP form requires the UDOT SSO to sign and date the CAP indicating the assigned resolution and completion of the CAP.

After a hazard has been resolved, it will be assigned its final hazard rating. The Hazard Log will then be updated to show the status of the identified hazard with its CAP to "CLOSED". The completed electronic CAP form will be maintained in the safety department file server.

The risk-based inspection program uses qualitative and quantitative data analysis to inform ongoing inspection activities. Risk-based inspections are designed to prioritize inspections to address safety concerns and hazards associated with the highest levels of safety risk.

In addition to the specifics outlined in this document, UTA will adopt and support Section 9 in UDOT's 2024 version of "Rail Transit State Safety Oversight Program Procedures & Standards", which outlines UDOT's Risk Based Inspections Program. This document can be found in Appendix F: Rail Transit State Safety Oversight Program Procedures & Standards (2026) – Section 9: Risk-Based Inspections.

2.1.6.6 Ongoing Monitoring

UTA recognizes that the SSO has the authority to enter facilities that they oversee to inspect infrastructure, equipment, records, personnel, and data and these inspections may be without advance notice.

The SSO will have the authority to access for the purpose of risk-based inspection:

- a) Infrastructure

- b) Equipment
- c) Records
- d) Personnel
- e) Data

Prior to the start of an inspection, UDOT inspectors will confirm receipt of needed certifications and proper personal protective equipment to ensure compliance with UTA safety protocols and requirements related to the area of inspection (i.e. Roadway Worker Protection certification.)

2.1.6.6.1 Public Spaces

UDOT staff and contractors may conduct inspections of publicly accessible areas and transit operations without notice to UTA until the inspection has concluded. Unless accompanied by UTA personnel, these may be confined to publicly accessible areas and will not interfere with transit system operations.

Publicly accessible areas include but are not limited to:

- a) Interior and exterior of rail vehicles in revenue service of areas open to the public (i.e., not behind a compartment door)
- b) Signal systems visible from the public right-of-way
- c) Public stations, platforms, and technology available for public use (i.e., announcement speakers, monitors, emergency telephones, etc.)
- d) Track, guideway, and infrastructure visible from the public right-of-way
- e) Public facility egress and emergency equipment

2.1.6.6.2 Escorted Areas

Such locations that necessitate UTA escort and oversight for access include:

- f) Dedicated guideways / right of way requiring escort under Roadway Worker Protection
- g) Traction power substations
- h) Signal houses
- i) Electrical and mechanical rooms
- j) Maintenance of shop areas outside of a designated “safe walk” zone or areas for which access requires an additional level of personal protective equipment such as inspection pits, paint rooms, etc.
- k) Locations containing confidential employee files for which access to the area would also grant access to the files (i.e., employee violation/discipline records; drug and alcohol testing records)

2.1.6.7 Scheduling Inspections

UTA will work directly with UDOT personnel to schedule announced inspections. UDOT will designate one UDOT member as the inspection scheduler for a particular inspection. This scheduler will email a UTA Safety Administrator prior to the beginning of an announced inspection. UTA will support regularly scheduled inspections, such as track inspections, as well as unscheduled inspections, whether announced or unannounced, as outlined in Appendix F: Rail Transit State Safety Oversight Program Procedures & Standards (2026) – Section 9: Risk-Based Inspections.

The UDOT SSO may also respond to the scene of an event to verify UTA’s treatment of the scene and the related investigation, or inspect assets following an event, which involved a new safety risk having a

catastrophic or critical risk-rating, to confirm the successful repair of the asset or system-wide mitigation following the safety event.

2.1.6.8 Immediate Safety Concerns

In the case that UDOT staff observe a safety concern requiring immediate action, the inspector will notify the Light Rail Control and a UTA Safety Administrator, by phone and/or email, following physical removal of themselves from imminent danger or bodily harm. If UDOT staff identify a finding that requires attention by UTA but is seen as unlikely to cause imminent physical harm to the public or personnel, UDOT will identify the issue in the inspection report.

2.1.6.9 Defects and Corrective or Remedial Action

Defects found by UDOT personnel will be addressed using UTA's Risk Management Program as outlined in section 2.1 of the TASP. See [Definitions](#) for more information on what is considered a defect.

2.1.6.10 CAP and Safety Risk Mitigation Verification

UTA supports UDOT's CAP and safety risk mitigation verification by following our Risk Management process as outlined in section 2.1 of the TASP.

2.1.6.11 Data Sharing

UTA will share safety data as outlined in the Risk-Based Inspection tool kit through established and existing polices and laws. Per UDOT's Procedures and Standards, UTA shares data at least on a quarterly basis with UDOT regarding key performance indicators and other safety-critical information. Some UTA data is also readily available through the Safety Dashboard and the UDOT Dashboard Addendum, which are transmitted at least monthly by the 15th of each month to the UDOT SSO. UTA and the SSO will collaborate to determine if the information included in this monthly needs to be adjusted in order to be responsive to changing conditions and concerns.

Some examples of data include:

- a) Records of events
- b) Hazard records
- c) Safety risk mitigation records
- d) Corrective action plans
- e) Records of near misses
- f) Inspection and maintenance records
- g) Work Orders
- h) Records of failures and defects
- i) Records of revenue vehicles out of service
- j) Adherence to maintenance schedules
- k) Records of speed restrictions
- l) Incident and Safety Risk Mitigation Verification
- m) Capital project schedules and progress

More information on data sharing can be found in Appendix F: Rail Transit State Safety Oversight Program Procedures & Standards (2026) – Section 9: Risk-Based Inspections.

2.1.7 JOB SAFETY BRIEFING

Prior to beginning work, employees that perform high risk, or non-routine job tasks are required to identify hazards and discuss controls associated with that task during job safety briefings. The job briefing should include type of work, number of involved employees, additional hazard controls, emergency communication, required PPE, review of necessary training and applicable SOPs, and any additional items deemed necessary by the supervisor overseeing the work. Identified hazards that cannot be controlled with PPE or procedures must be resolved or mitigated through the hazard management process. At any time if the conditions of work change, a follow-up job briefing is required.

2.2 HAZARDOUS MATERIALS PROGRAM

2.2.1 MANAGEMENT OF HAZARDOUS MATERIALS

For any hazardous chemical used or stored in the workplace, UTA must maintain a safety data sheet (SDS) and train employees on the chemical hazards as outlined in 29 CFR 1200 (Right to Know). An SDS is a chemical safety instruction sheet that informs employees of specific safety or health hazards of chemicals in the workplace, & gives directions to employees for Protective Equipment (PPE) i.e. goggles, gloves, respirators, safety glasses, etc.

All safety data sheets are accessible through an Intranet-based system

<http://otis.osmanager4.com/uta/rtk/uta>. A quick link to this website is available through the UTA SharePoint Site and on every UTA desktop home screen. Section ASSURANCE (PROCUREMENT) 3.11 describes the new chemical review workflow and approval process.

The UTA Environmental Department submits an annual Tier II inventory of hazardous chemicals to the state emergency response commission (SERC), local Emergency Planning Committee (LEPC), and local fire department. Tier II reporting requirements are limited by chemical quantity to any UTA facilities that are subject to reporting.

The common hazardous materials transported to or from and used by UTA that are subject to reporting as described in 49 CFR are:

- a. Diesel Fuel
- b. Gasoline
- c. New and used oil
- d. Antifreeze (ethylene glycol)
- e. Train wash (potassium hydroxide)
- f. Lead acid batteries (sulfuric acid)

The liquids are stored in tanks or drums within secondary containment. UTA also uses many hazardous chemicals contained in soaps, solvents, brake cleaners, paints, and aerosols. These hazardous materials are described in the product-specific safety data sheet.



UTA has a small quantity generator and conditionally exempt generator status of hazardous waste at various facilities. Hazardous waste, as defined in 40 CFR, is a hazardous material that has outlived its usefulness or has become contaminated through use.

Hazardous wastes can be generated by:

- a. Discarding a hazardous material (oil-based paint, pesticides, some soaps, expired products)
- b. Using a product (used batteries, fluorescent lamps, HID lamps, paint thinner, aerosol dregs)

- c. Any hazardous substance generated from a process or procedure critical to maintenance or operations of Frontrunner, TRAX, or Bus
- d. Infectious biohazardous waste from bloodborne pathogens clean-up or discarded sharps clean-up.

Hazardous wastes are stored in closed containers and can be collected in satellite accumulation areas. These containers are labeled as hazardous waste for chemicals or biohazard for red infectious waste bins and are located near where the waste is generated. The environmental compliance administrators are responsible for preparing appropriate manifests, scheduling hazardous materials transportation, and final disposal.

2.3 INFECTIOUS DISEASE CONTROL AND RESPONSE

UTA's Safety Department and Emergency Management teams monitor the reports of infectious disease transmission, as provided through the Utah Department of Health. Based on these reports UTA also coordinates with local health departments to identify control strategies to minimize the transmission of infectious diseases.

UTA Local Safety Committees and SSRC help determine the impact on UTA operations using the hazard risk matrix for the proper level of response to help prevent the spread of infectious disease. Infectious disease mitigations may be tracked on the local and corporate hazard logs following the hazard management process.

Updates regarding infectious hazards that may pose a risk to the health and safety of UTA customers and employees are provided as needed to the UTA executive team.

III ASSURANCE

Safety Assurance outlines how UTA implements, measures, and reviews UTA processes to ensure that it remains in compliance with established standards. These processes and reports will provide the confidence to UTA leadership that the organization and system are functioning within an acceptable level of safety. The audits, inspections, rules checks, and compliance verification procedures are described, required schedules are established, and acceptable measures are identified.

3.1 INTERNAL SAFETY AUDIT/REVIEW PROGRAM

49 CFR § 673 identifies requirements for planned and scheduled internal safety audits. They are performed to evaluate compliance with UTA's Transit Agency Safety Plan (TASP). All TRAX rail service departments and functions are subject to review. UTA's Internal Safety and Security Audit/Review Programs contain a comprehensive series of processes utilized to determine the compliance and effectiveness of UTA's TASP/ System Security Plan (SSP) and Emergency Preparedness Plan (EPP), which apply to all departments or functions.

The ED has delegated authority to establish and implement the TASP to the Director of Safety & Security (DSS) who oversees the safety performance functions of UTA. The DSS has the responsibility to develop and implement programs to promote safe operations to reduce or eliminate accidents and to monitor TASP compliance and maintenance.

The DSS assigns responsibility and authority to the Internal Audit's programs coordinator, the Safety Administrators, and assigned internal auditor team members to interface with UDOT SSO, to provide the internal oversight of the rail TASP compliance, and to oversee the internal safety audits.

The audits program coordinator utilizes UTA's audit team members who conduct ongoing, planned, and scheduled internal safety audits and perform reviews and inspections of UTA's departments and functions to evaluate compliance with TASP requirements. The audit coordinator also measures the overall effectiveness in achieving the goals and objectives of the TASP. UTA audit team members use a checklist approach to determine compliance based on 49 CFR 673.

UTA is committed to completing an accurate reporting of accidents, incidents, serious occurrences, and injuries in our system. We encourage employee reporting and will not tolerate harassment or intimidation to discourage reporting. UTA collects reports for reportable incidents. These incidents are reviewed at AEG's and any applicable CAPs are assigned to mitigate risks found. Reports submitted to the FRA are audited annually to ensure accurate and complete reporting.

UTA uses the "Recommended Best Practices for States Conducting Three-Year Safety Reviews" document produced by the FTA Office of Safety and Security in March 2009. This document identifies eight (8) types of verification methods that can be used by the internal auditors, which are listed below. These are the same guidelines that the State Safety Oversight (SSO) uses for UTA three-year Triennial audits. It is recommended that the internal auditors use more than one method to verify compliance. Depending on the area being inspected a field visit, which allows, observation of processes and personnel may be required.

1. **Document Review:** sampling the UTA TASP and referenced and or supporting procedures to ensure that each required element of the State's Program Standard and 49 CFR part 673 is addressed. (This reference/requirement is noted on the Internal Audit Form for the element being audited.)
2. **Rules Review:** Sampling of UTA operating rules and bulletins and maintenance rules and procedures to determine if they have been reviewed and updated regularly if they have been distributed to appropriate UTA personnel as specified in the TASP, if training has been offered, and if this process has been tracked. Rules compliance is verified by supervisors. Auditors should ask supervisor personnel and or Safety personnel to provide examples of rule checks that have been accomplished during the previous audit period. Safety personnel observe/audit supervisors to verify that they are conducting Rules Checks. Auditors should verify that these processes are occurring.
3. **Records Review:** Sampling of the UTA records for evidence of implementation of the TASP and referenced or supporting procedures. Records reviewed and or sampled may include but are not limited to, training records, records of employee rules compliance checks, internal safety audit reports, maintenance inspection reports, minutes of safety committee meetings, etc.
4. **Interviews with UTA Senior Management:** discussions held with senior UTA management, including the UTA Executive Director and Chief Officers, to assess their knowledge of the UTA safety program, as specified in the TASP and referenced or supporting procedures, and to gauge their commitment to the safety program.
5. **Interviews with UTA Safety personnel:** Discussion held with UTA safety personnel, including the Safety and Security Director, to assess the implementation of the UTA safety program, to identify issues in its implementation, and to highlight areas of compliance and non-compliance with Part 659 requirements. Safety personnel should provide evidence of system rides, and interviews with operators, mechanics, supervisors, and passengers to assess safety compliance and or hazard observations throughout the system.
6. **Interviews with other UTA personnel:** Discussions held with other UTA personnel (including a representative sample of rank-and-file operations and maintenance personnel) to verify their understanding of requirements specified in the TASP and referenced or supporting procedures.
7. **Field Observations:** Some departments and functions REQUIRE the auditors to make field or work area observations. This requirement will be noted on the Internal Audit Checklist for that specific area and auditors may be required to schedule times when specific field work is being done to allow for observations to be conducted. Observations and sampling were conducted on-site at the UTA to observe the implementation of the processes and procedures described in the TASP and supporting or referenced documents, procedures, and materials related to the UTA safety program. Although auditors are not expected to be experts in Rules or mechanical processes, they should make field observations to verify that managers and supervisors, who are technical experts, are performing and documenting technical field observations of frontline transit workers. Field observations should also certify that rules compliance, technical tests performed, repairs, etc. are being observed/documented.

8. **Inspections and Measurements:** Inspections and measurements conducted on-site at the UTA to ensure that the UTA infrastructure and equipment are maintained according to specifications identified in the UTA standards, procedures, and equipment manuals. Auditors should verify that supervisors are performing periodic rules and preventative maintenance on equipment checks. This can include reviews of the key performance indicators (KPI) matrix, preventive maintenance schedules, work orders, etc.

Note: Each of these verification methods has specific strengths and limitations. To adequately assess the implementation of each TASP element required in 673, FTA believes that more than one verification method should be used.

UTA has developed an Internal Audit Checklist for the TASP. The Checklist includes the elements to be assessed, the eight (8) on-site verification methods, and recommendations for how these methods can be applied to each of the specific elements. If a specific checklist item does not have applicability to the audit topic the auditor should note that item as not applicable (N/A), with a brief description to include personnel visited with and processes discussed.

Audit teams may conduct field observations to make observations of the work process in the area being audited. Auditors should interview supervisors to verify compliance with rules and procedures. In addition to completing audit checklists, supporting documentation for verifying compliance with rules checks and compliance verification may also be submitted to the Internal Audit Coordinator as part of the audit. This will verify that rules checks and observation are an ongoing practice within the departments. Supporting documentation may be obtained from safety personnel and department supervisors. See [APPENDIX C-3](#) for samples of the internal audit inspection checklists and schedule.

The audit team members will complete the Audit Checklist by completing all applicable verification methods of “Recommended Activities” used during the audit. Include copies of rules, processes, charts, etc. discussed as evidence of compliance or of non-compliance of specific requirements. In conjunction with the Safety Department and Internal Audit Coordinator will determine “compliance” when a department or function is substantially adhering to the TASP requirements. Determination of compliance may include recommendations for improvement of TASP process activities or prevent future determinations of non-compliance. The department or function will review the recommendation and consider measures to improve process activities. In the event the department or function is substantially not adhering to the TASP, then a finding of non-compliance, along with a corrective action plan (CAP) will be issued to the department. That department is required to sign, accepting responsibility to respond to or resolve the CAP and to provide a planned completion date. The CAP form contains a section for a proposed corrective action as well as a corrective action resolution to be filled in by the assigned department. Directors and Managers of departments have the responsibility to take corrective action plans as recommended by the audit team reports. Upon completion, the CAP must be adopted by the Safety Department, and by UDOT if required. Corrective action plans developed from audit findings of non-compliance with recommendations, and from compliance with recommendations are reviewed, accepted, and placed on the Safety Department Hazard log for tracking purposes by the Safety Department and Safety and Security Management Review Committee (SSRC) in coordination with UDOT SSO. Matters that are not resolved by the SSRC are referred to the ASSC.

Each department or function is required to be audited as per UDOT's Rail Transit State Safety Oversight Program Procedures and Standards. The Safety Administrator is responsible for developing a three-year schedule for all internal audits. This schedule is distributed to all affected departments and to the state safety oversight manager. The schedule is furnished as a separate document to UDOT SSO.

UDOT is invited to participate in all internal audits. The Safety Administrator or audit team leader notifies the UDOT State Safety Oversight office at least 30 days prior to conducting an internal audit so that UDOT may schedule and participate in those audits as desired.

The internal audit coordinator notifies all affected departments and provides the manager of the department with a current checklist of audit requirements. Sufficient time is given to the department to prepare all necessary materials for the audit.

The Safety Administrator completes individual audit reports and submits them to UDOT within 30 days of audit completion. In addition, the annual safety audit report, detailing UTA's internal safety and security review activities are submitted for the past year, with subsequent findings. The report is certified by the Executive Director, and forwarded to UDOT, on or before February 15 of the following year.

3.2 ACCIDENT NOTIFICATION, INVESTIGATION, AND REPORTING

3.2.1 NOTIFICATION THRESHOLDS

3.2.1.1 Internal Notification

Initial internal Safety Event notification is initiated by UTA control centers (TRAX, FrontRunner, bus, paratransit, and police dispatch) electronically via text message and e-mail through the UTA emergency notification list, and the go team notification list, according to corporate policies and procedures, NO.

4.3.7 "Emergency Notification", as specified by rail service SOPs and this document.

The controller will initiate internal notification resulting in the following:

- a. Events resulting in possible injury or death of persons
- b. Fire
- c. Hazardous materials spill or release
- d. Other situations that may require response by local emergency personnel

Electronic notification requires the following information:

- a. Time, date, location, and direction of travel
- b. Type of accident and description of event
- c. Number of persons injured (transported)
- d. Estimated damages

Workplace injuries that require the first report of injury form to be completed will also require department administration to notify the Safety Department at the time of the events.

3.2.1.2 Contract Services Supplementing Transit Operations Notification

Contractor services supplementing transit operations will immediately report to their UTA project managers all collisions, incidents, or accidents that are investigated by a local authority having jurisdiction. The contractor will forward copies of any police reports and associated internal accident reporting and investigations to their UTA contract project manager.

3.2.1.3 UDOT/SSO Notification

UTA has included on its emergency notification list UDOT's SSO and TOC. Following an Safety Event, the UTA Safety Department will follow up with state safety oversight, in person or by phone email, or text message within two hours of any Safety Event that results in the following: CFR 49.674.33

- a. Fatality
- b. Two or more injuries
- c. Derailment
- d. A collision resulting in one or more injuries
- e. A collision resulting in disabling damage to the rail transit vehicle
- f. Unintended train movement
- g. An evacuation onto the right-of-way or for life safety reasons as defined in 49 CFR 674
- h.
- i. Collision between two transit vehicles.

Serious Occurrences are to be investigated by the transit agency and reported to UDOT within one business day.

- a. Face up of rail vehicles: Two revenue transit vehicles enter the same block in signalized rail-exclusive territory; not including intentional moves such as coupling or vehicle storage, or street running territory.
- b. Signal violations or overruns. This includes cases where UTA has determined a signal violation occurred and violations of stop signals provided by a roadway worker.
- c. Malfunctions of safety-critical systems or equipment that could result in a catastrophic or single-point failure. Malfunction differs from "damage" under Incident criteria; would include more serious events such as loose railcar wheels or dropped underbody equipment.
- d. Grade crossing warning system activation failure. Includes failures of gate arms and signals/lights but does not include broken gate arms.
- e. Evacuation of the train into the right of way or onto the adjacent track for non-life safety reasons. Includes customer self-evacuation/transfer of passengers to rescue vehicles or alternate means of transportation due to obstructions, loss of power, mechanical breakdown and system failure, or damage. Evacuations for life safety reasons should instead be reported as an accident as described in an "accident".
- f. Incapacitated operator in service, i.e. An operator loses consciousness, falls asleep, or otherwise becomes physically incapable of operating the rail transit vehicle during revenue or non-revenue service.
- g. Runaway rail transit maintenance vehicle. Excludes runaway trains, which are defined in the Safety event category per FTA requirements
- h. Unpermitted rail vehicle encroachment into a work zone
- i. Vehicle door openings to no platform in revenue service, or opening during train movement

UDOT SSO contact information:

UDOT SSO Manager	Designated Back-Up
Peter Jager Pjager@utah.gov 801.910.2191	Tyler Schmidt tylerschmidt@utah.gov 801-698-4169

3.2.1.4 FRA Notification

FRA Contact	National Response Center (NRC)
Isaac McKeithen issac.mckeithen@dot.gov 909.973.6201	Call 1-800-424-0201

For accidents that occur within FRA designated territory (1300 South to 6100 South and from 700 West Freight spur to 5600 West on Mid-Jordan Red Line), the FRA representative and NRC will be notified of any incident/accident resulting in the following by telephone by the Safety Department as required by 49 CFR 225:

- a. Death of a rail passenger or a railroad employee
- b. Death of an employee of a contractor to a railroad performing work for the railroad on property owned, leased, or maintained by the contracting railroad
- c. Death or injury to five or more persons
- d. A train accident that results in serious injury to two or more train crewmember or passengers requiring their admission to a hospital
- e. A train accident resulting in the evacuation of a passenger train
- f. A fatality resulting from a train accident or train incident at a highway-rail crossing when death occurs within 24 hours of the accident/incident
- g. Collision occurring at a Grade Crossing
- h. A train accident resulting in damage of \$150,000 or more to railroad and non-railroad property
- i. A train accident resulting in damage of \$25,000 or more to a passenger train, including railroad and non-railroad property
- j. A collision or derailment on a main line that is used for scheduled passenger service, or that fouls a mainline used for scheduled passenger service

3.2.1.5 NTSB Notification

The UTA Safety Department will notify the NTSB, by telephone using the National Response Center (NRC) at 1-800-424-0201, within two hours of any railroad accident/incident meeting the following criteria per 49 CFR 840:

- a. A passenger or employee fatality or serious injury to two or more crew members or passengers requiring admission to a hospital
- b. The evacuation of a passenger train
- c. Damage to a tank car or container resulting in the release of hazardous materials or involving the evacuation of the general public

- d. A fatality at a grade crossing

Notification will also be made, no later than four hours after an accident, regarding any accident resulting in:

- a. Damage of \$150,000 or more for repairs or the current replacement cost, to railroad and non-railroad property
- b. Damage of \$25,000 or more to a passenger train and to railroad and non-railroad property

3.2.1.6 FTA Notification

In accordance with 49 CFR 674.33, the transit agency must provide notification to FTA of any reportable accident within two hours for the following.

- a. Fatality
- b. Two or more injuries
- c. Derailment
- d. A collision resulting in one or more injuries
- e. A collision between two rail transit vehicles
- f. A collision resulting in disabling damage to a rail transit vehicle
- g. Evacuation for life safety reasons
- h. Unintended train movement

The UTA Safety Department will notify FTA of a Safety Event by contacting the U.S. Department of Transportation, Transportation Operations Center (TOC) within two hours of a reportable accident by emailing TOC-01@dot.gov (recommended method) or by phone: 202-366-1863. Two-hour notification excludes criminal actions that result in fatalities or injuries, such as homicides and assaults.

3.2.1.7 UOSH Notification

The UTA Safety Department will notify Utah OSHA at 801-530-6901 or use the UOSH online reporting tool within 8 hrs. of any workplace accident resulting in the following:

- a. Fatalities (including heart attacks)
- b. Admittance to the hospital
- c. Amputations past the first digit on the hand or foot
- d. Heat, chemical, or electrical burns that result in temporary or permanent impairment to the body
- e. Electrical shocks
- f. Major bone fractures
- g. Any loss of consciousness in the workplace
- h. Permanent or temporary impairment where part of the body is made functionally useless
- i. Deep cuts
- j. Sight impairment
- k. Any injury or illness that may shorten the worker's life or significantly alter a normal physical or mental ability (either temporarily or permanently), such as visual or hearing impairment

3.2.2 ACCIDENT AND SERIOUS OCCURRENCE INVESTIGATION PROCESS

UDOT SSO has formally authorized UTA to conduct its own investigation of Light Rail accidents and Serious Occurrences and will utilize UTA's investigation as its own investigation unless UDOT SSO decides to conduct its own investigation. UDOT may decide to conduct an independent investigation in addition to the transit agency's investigation. Accidents and Serious Occurrences that are investigated by UTA are conducted per Corporate Policy 4.5.2 Post Incident Investigation Policy and Transit Services Rail Safety Investigation Procedure.

3.2.2.1 Accident Investigation

Rail accidents that require two-hour notification to the UDOT SSO will be investigated by the Safety Department. Rail investigation will be conducted in accordance with the Rail Safety Investigation Procedure. The Rail Safety Investigation Procedure can be found on the Safety Department share drive. A third-party investigation (contract expertise) will be assessed on a case-by-case basis in consultation with UDOT.

3.2.2.2 Workplace Injury Investigations

Workplace injuries that require employees to complete the first report of injury must be investigated at a minimum by a supervisor. If during the investigation process, a hazard is identified, the hazard identification form must be filled out and tracked until the hazard is mitigated. In the event of serious injury or death, the Safety Department will conduct a formal investigation.

- a. Fatality
- b. Fractures
- c. Injury or illness resulting in immediate admittance to the hospital
- d. Amputation
- e. Deep cuts
- f. Severe burns
- g. Electric shock
- h. Sight impairment
- i. Loss of consciousness or concussions

3.2.3 REPORTING ACCIDENTS

3.2.3.1 Reporting to UDOT SSO

Reports and corrective actions are available to UDOT which includes all events that meet reportable UDOT thresholds and are reviewed during monthly coordination meetings.

In conducting an accident or serious occurrence investigation, UTA will provide UDOT SSO with the following:

Preliminary Written Report: As soon as possible after the accident, but within three business days the transit agency must email preliminary written information, including any accident investigation summary information, preliminary reports from field personnel, and other available information.

Investigation Status Report: At the request of UDOT SSO, UTA will provide a report indicating status of the investigation, including any significant new reports or report components, and any preliminary investigation conclusions within 10 days of the accident.

Draft Final Accident Report: Within 45 days of the accident, the Safety department will submit a draft final report to UDOT SSO for acceptance. After the draft final is submitted, UDOT has 15 days to review the draft report and provide a response to UTA. This report will include the corrective action plan (CAP) as approved by the UTA Accident Evaluation Group (AEG). If UTA requires additional time to complete the investigation activities, then UTA shall request additional time from UDOT SSO.

Final Accident Report: After UDOT adopts the draft accident report, as signified by the SSO's signature, UTA will create a non-alterable version of the final report and submit it to UDOT SSO. UTA will retain final reports on the safety network drive.

The Draft Final Report must contain the following information, at a minimum:

- a. Executive summary
- b. Sequence of events, including a comprehensive description of injuries, fatalities, and property damage with estimated dollar value
- c. Clear description of events before, during, and after the accident/incident
- d. Findings and analysis, including investigation activities
- e. Description of the investigation process and methodology
- f. Description of post-accident/incident testing and research conducted
- g. Employee training, drug and alcohol testing, and fatigue considerations
- h. Information and feedback from employees interviewed
- i. Post-event inspection of infrastructure, vehicles, or facilities
- j. pre-event compliance with required maintenance
- k. Sufficiency of UTA's existing training, rules, and procedures
- l. sufficiency of existing design
- m. Conclusions, including any findings

- n. Probable and contributory causes
- o. Recommendations to prevent reoccurrence
- p. Supporting analysis to defend any recommendations made
- q. Short- and long-term actions
- r. Changes to rules, policies, or procedures
- s. CAP(s) to address any findings resulting from the investigation.

UDOT reports all reportable FTA events in an annual report.

3.2.3.2 Reporting to FRA

The UTA Safety Department will submit required reports per 49 CFR 225, for accidents/incidents using the AIRGNET reporting software, for accidents/incidents that occur within FRA operating territory.

3.2.3.3 Reporting to National Transit Database (NTD)

As part of complying with reporting requirements to the Nation Transit Database, UTA will submit monthly safety summary event reports (S&S-50) and any major event report (S&S-40) forms for both bus and light rail operations that meet reporting thresholds defined by the NTD within 30 days.

3.2.3.4 Reporting within UTA

The UTA safety reports are made available to the Director of Safety and Security (DSS), Chief Operating Officer, Director of Operations (Rail) and Regional General Managers (RGMs). Reports will be forwarded by the DSS to the ED as needed.

3.2.4 CORRECTIVE ACTION

3.2.4.1 Safety Department Review

The Safety department will initiate an investigation to determine causal or contributing factors for events it deems necessary. Findings from the investigation that identify serious or high hazards, will require a corrective action plan and will be placed on the safety department hazard log. The Safety department will then coordinate with the appropriate departments to develop a corrective action plan (CAP) and fill out a CAP for the identified hazard. The CAP form will be assigned a number and placed on the hazard log with the corresponding hazard for tracking purposes.

The corrective action plan will contain:

- a. Action to be taken
- b. Proposed completion date
- c. Individual or department responsible for implementation

3.2.4.2 UDOT Review

UTA will develop a corrective action plan (CAP) for submission to UDOT when:

- a. Results from a Safety Event investigation contain identified causal factors that are determined by UTA or UDOT as requiring corrective actions

- b. Hazards or deficiencies are identified from internal reports and audits performed by UTA or UDOT

The corrective action plan will contain:

- a. Action to be taken
- b. Proposed completion date
- c. Individual or department responsible for implementation
- d. Process or plan for implementation of plan
- e. Date Corrective action plan was opened
- f. Identify noted deficiency/finding/hazard
- g. Cost-resolving deficiency, if known or applicable

As part of developing a corrective action plan, UTA may employ the use of an accident evaluation group (AEG).

An accident evaluation group will be organized to evaluate the following events:

- a. Fatalities
- b. Incidents involving multiple medical transports from the scene
- c. Major component or system failure

The AEG will be comprised of key UTA staff from various departments that will have a role in the development of the CAP. UDOT SSO will be an invited member to applicable AEG meetings and play an active role in identifying causal or contributing factors.

Each CAP resulting from an investigation, or from hazards or deficiencies identified, will be made available to UDOT SSO for review. The CAP form will be assigned a tracking number and placed on the hazard log with its identified hazard. Upon completion of the corrective action, the Safety department will submit to UDOT the completed CAP form for adoption, signified by UDOT SSO's signature on the CAP form. The hazard log will then be updated to show the status of the identified hazard with its CAP to "CLOSED".

UTA will monitor all corrective action plans with the use of the safety department hazard log and will provide UDOT with an updated log monthly.

3.3 SAFETY DATA COLLECTION AND ANALYSIS

3.3.1 DATA COLLECTION

Safety data is collected and stored by the safety department personnel on a secured network drive (Safety Department S:\ Drive). It is reviewed, analyzed, and provided in the Agency Safety & Security Committee (ASSC) meetings to assist the organization in eliminating hazards (see [APPENDIX C-2](#)).

Safety critical hazards are identified, investigated, reviewed, resolved, and tracked by the SSRC committee through the UTA TRAX and FrontRunner Safety Department Hazard Logs. The TRAX Safety Department Hazard Log is made available to UDOT SSO at any time through the Safety Department S:\ Drive. SSO Manager has been given access to this drive to enable UDOT to have access to various data and documents.

TRAX accidents, incidents, and other safety events are recorded and tracked by the Safety Department using the light rail event tracker. The light rail event tracker is provided to the UDOT SSO quarterly prior to the quarterly meeting. It is also stored on the S:\ Drive which UDOT has access to.

In addition, UTA personnel involved in an accident or incident are required to complete UTA's accident/incident report form . On-scene supervisors file supervisor's accident /incident report forms. Copies of these documents, as well as any pictures, are copied into the Safety Department drive by the Safety Administrator. Safety Events require a UTA Safety Administrator to complete a safety department investigation form.

UTA also obtains data from the NTD, US DOT, the National Safety Council, NTSB, APTA, and other transit organizations.

The Safety Administrator(s) reviews TRAX and FrontRunner's control center's daily logs and records events involving the rail system. Events meeting minimum threshold levels are reported to UDOT, FRA, and FTA as required by current regulations.

System event data is entered monthly into the National Transit Database, Commuter rail, and TRAX accidents occurring in FRA territory are reported to the Federal Railroad Administration using the on-line AIRGNET software provided by FRA.

Other sources of data include:

- a. Control Logs
- b. Accident/Incident Reports
- c. Hazard Logs
- d. UTA Police Reports
- e. Employee Training records
- f. Maintenance Records
- g. Rules Checks Reports

3.3.2 DATA ANALYSIS

Data collected is analyzed on a regular basis and is used to evaluate safety performance and identify areas potentially requiring corrective action to reduce the number of events. Types of events that are used for this analysis are areas where there is an increase or recurrence of accidents, incidents and occurrences as defined by the FTA.

Event data collected is also used to determine goal-specific KPIs required by the FTA in specific areas including events, injuries, fatalities, and mean time between mechanical failures. Data collected is also tracked on UTA's safety dashboard and projects current accident rates while comparing them to the prior year. This data evaluation is used to determine the effectiveness of implemented mitigations and areas needing further evaluation and corrective action.

Rules checks, close calls, and interviews are used as a means of proactive risk mitigation and are tracked on UTA's safety dashboard and are used to find, fix, and follow up on hazards identified and tracked on UTA's hazard logs.

3.3.3 CONTINUOUS IMPROVEMENT

UTA uses the concepts of continuous improvement throughout its entire organization including safety. UTA's utilization of the safety department hazard log and local department hazards logs allows for this process to be utilized. Safety committees review local department hazard logs on a monthly basis and create corrective actions for identified hazards. All closed hazards are documented and kept for historical reference for the purposes of tracking reoccurring hazards that may require additional mitigation. Safety department hazard logs are also reviewed on a monthly basis by the SSRC. The effectiveness of corrective actions that have been implemented are often used to determine if a specific hazard's risk has been sufficiently reduced needed for closure.

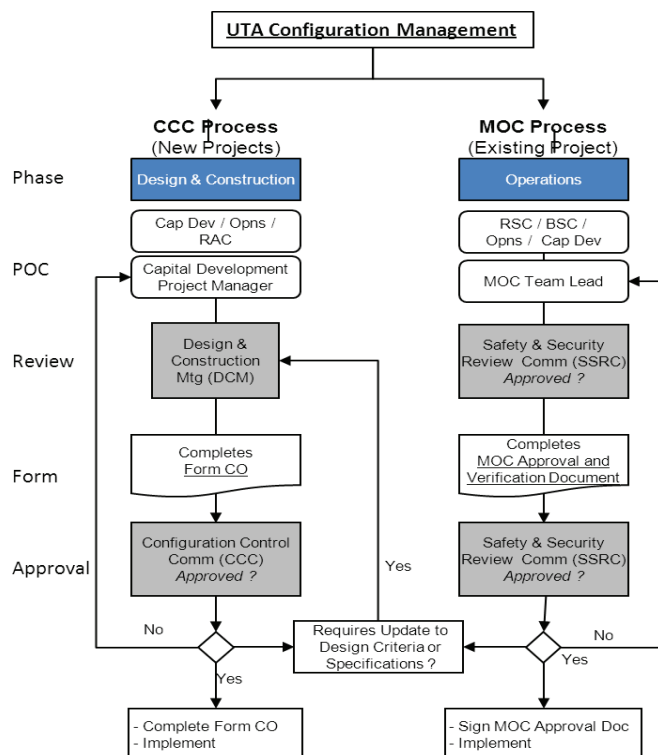
3.4 SYSTEM MODIFICATIONS (MANAGEMENT OF CHANGE)

System Modifications at UTA refer to changes in existing operating systems that require review and approval by the agency. Generally, the types of systems that operate within UTA consist of bus, light rail, and commuter rail. Included with each system type are the elements necessary to maintain revenue service operations for UTA's customers. Because existing operating systems have previously gone through UTA's rigorous safety and security verification and certification process prior to approval for beginning revenue services, system modifications at UTA utilize the Management of Change (MOC) process. The Safety and Security Review Committee (SSRC) chaired by the Safety Manager provides direction and oversight of any system modification.

The system modification process at UTA is designed to evaluate proposed changes and either mitigate entirely or minimize any impact those changes will have on the people, procedures, equipment, vehicles, and environment of the system affected by the proposed changes. The safety and security concerns for these changes will be addressed and resolved prior to initiation of the change, or implementation within the system. All modifications of rail vehicles that meet the MOC criteria must first be reviewed and approved by the Manager of Technical Services prior to being presented to the SSRC for final approval. This process is outlined in light rail SOP 4800-0300-351 "Configuration Control of Light Rail Vehicle Fleet".

Configuration Management at UTA coordinates new systems or extensions by the Capital Projects Department before they are implemented in the existing operating environment and is managed through the Configuration Control Committee (CCC) process during design and construction. The CCC process is more fully explained in the Capital Development SOP No. #003 and outlined in [Configuration Control Committee \(CCC\) \(4.1.2.8\)](#). The CCC process is managed at UTA by the Capital Projects Department and has representatives from each process involved at UTA. Capital Projects Department personnel will follow project guidance as outlined in the Project Control User Manual, Document Control (Section 4.0), and the development of files and file codes for projects as well as the electronic storage of documents in the SIRE system.

The flowchart on this page illustrates the current configuration management process.



3.4.1 MOC AUTHORITY

The authority to manage system changes is derived from the ED of the Utah Transit Authority. The responsibility for implementing and enforcing MOC processes falls under the authority of each UTA

executive and manager. Responsibility for change approvals falls under the authority of the Safety and Security Review Committee (SSRC), which is comprised of a group of experienced design, maintenance, and operational personnel from Bus, TRAX, FrontRunner, and Capital Projects Departments.

3.4.2 MANAGEMENT OF CHANGE (MOC) PROCESS

The MOC process is an internal review and approval process managed by the SSRC. Proposed configuration modifications to existing bus, rail, and facilities infrastructure, systems, equipment, or vehicles will be reviewed and formally accepted for implementation by the SSRC committee. Each proposed change must be evaluated to determine the impact on an existing system regarding the areas of maintenance, operations, safety, and environmental, and security effects prior to any changes.

The goal of the MOC process is to ensure that UTA systems continue to provide a level of safety equivalent to or better than the existing system. The MOC process applies to existing bus and rail services systems, vehicles, facilities, and equipment. This process is intended to prevent unauthorized changes that could compromise safety or introduce a hazard without approval.

The MOC process complies with UDOT SSO's program standard; FTA's general requirements, guidance, and circulars; and FRA guidelines to ensure that safety hazards and concerns are adequately addressed in modifications to existing systems, vehicles, and equipment.

The process for implementing MOC solutions is as follows:

1. During normal operations, inspections, audits, or accident evaluations the bus and rail safety committees (BSC, RSC), or Capital Projects develop corrective action plans (CAPs) or planned modifications. If the cost of the CAP requires interdepartmental, intergovernmental coordination, or exceeds \$ 5,000, the RSC/BSC will form a MOC team with a team lead (TL).
2. The TL will coordinate the resolution and complete the MOC approval and verification document (MOC document, format provided at end of this section).
3. The MOC action will be entered on the MOC log with a number assigned, as maintained by the Safety Department.
4. The issue and recommended solutions will be coordinated with the different affected departments during the development of the MOC document.
5. The MOC document, with recommended modification or corrective action, will be presented by the MOC TL at the SSRC for review and approval. It is recommended that the issue be brought to SSRC at the earliest opportunity to discuss the issue and provide direction, prior to presentation for approval.
6. The SSRC will review the proposed action, based on the considerations listed in the following section.
7. If approved by the SSRC, a minimum of two members will sign the MOC document.
8. MOC TL will implement the CAP, documenting compliance with the provisions stated.
9. When completed, the MOC TL will provide evidence to the SSRC of implementation and required integration testing or operational checks. As-built plan drawing changes and As-In-

Service software (if applicable) will be given to the department responsible for future maintenance of the change.

10. Red-line drawings and As-In-Service software (if applicable) will be received from the contractor or other worker. These drawings and software will be filed within SIRE (electronically preferred) and provided to Capital Projects Engineers and or Facilities Maintenance Drawings.

The MOC log and corresponding hazard logs will be updated with the close-out date of the completed action.

3.4.3 MOC ACTION CONSIDERATIONS

The SSRC will consider, at minimum, the following issues when evaluating a MOC action for approval:

- a. Safety issues or hazards associated with the changes, including impact to safety-functional or safety-critical hazard mitigation processes
- b. Environmental compliance issues
- c. Security issues
- d. New or modified maintenance concerns
- e. Operations impact of the change
- f. Impact on operating rule book or standard operating procedures
- g. Impact on public
- h. Impact on personnel
- i. Impact on other systems, including Positive Train Control (PTC)
- j. Funding source
- k. Schedule for implementation
- l. Effect on safety certification process and critical items list (CIL)

3.4.4 MOC LOG

The management of change log will record each requested and implemented action. A number will be assigned corresponding to the current year, then sequential number (12-001, 12-002, etc.). The MOC log will be maintained by the Safety Department on the safety drive (S:\).

3.4.5 NOTIFYING DEPARTMENTS

The MOC approval and verification document will be used to ensure notification to and coordination with affected departments. The document will provide a review of the action and recommendations to the department representative. The designated department representative will sign off on the document.

3.4.6 MOC APPROVAL AND VERIFICATION DOCUMENT

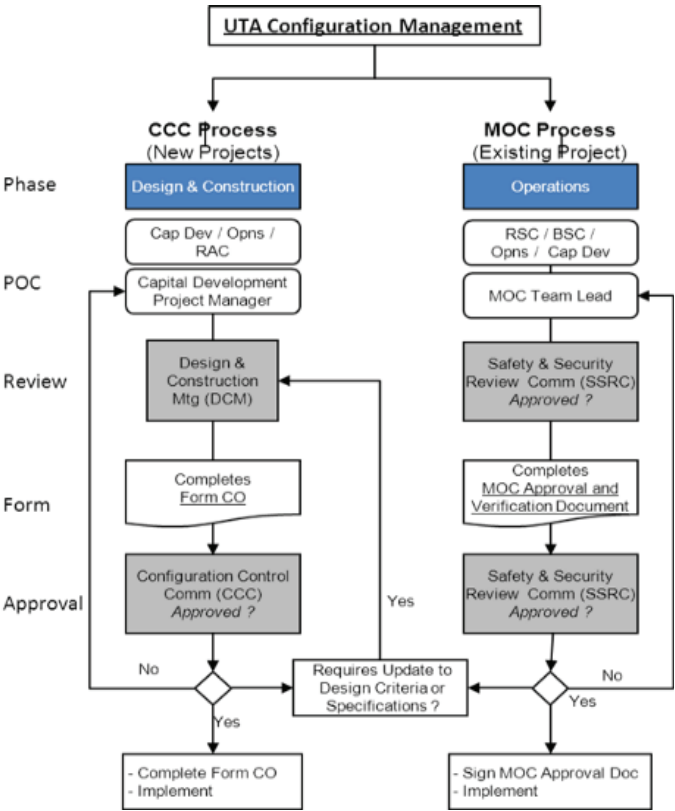
The management of change process for each action will be presented to the SSRC with an approval and verification document in the following format with the requested information. Coordination, approval, and verification of signatures will be completed at the appropriate time during the process

A sample MOC approval and verification document is provided in [APPENDIX D-5](#).

3.5 CONFIGURATION CONTROL

Configuration control within UTA is managed through the Configuration Control Committee (CCC) process during design and construction, and the O&M Change Control Committee during operations. The CCC process is managed for UTA by the Capital Projects Department. The MOC process is managed by Operations and Maintenance in coordination with the Safety and Security Director.

The CCC process is managed for UTA by Capital Projects and coordinates new systems or extensions before they are implemented in the existing operating environment. Project managers employ the Project Management Plan (PMP) to guide capital project development and implementation. The Project Management Plan (PMP) will be used in conjunction with the Project Control User Manual by the Project Control Specialist. This manual is updated periodically and contains directions for as-built and document control procedures. Specific guidance for document control procedures, File Creation (4.2), File codes, SIRE use (4.2), is provided in The Project Control User Manual Section 4.0. Smaller projects may include an abbreviated PMP specific to the project. Representatives from each involved department and safety are represented in the CCC process. Notification of project changes to existing structures or facilities that might have potential safety or security impacts to affected UTA personnel is critical. Additionally, the public or other affected groups shall be notified of any change which might have potential safety or security impacts. Affected personnel are invited to participate in project meetings and coordinate any changes. Additional training may be required. Operations and maintenance procedures, bulletins or SOPs may need to be developed. The general public may be affected. The Public Relations Department will assist with communications to outside agencies or affected groups and is an essential element of communication that must take place from the beginning of any project and at various stages of a project through completion and implementation of services impacted by a project. Any negative or hazardous impacts observed by a change must be reported to management personnel as soon as possible.



The flowchart illustrates the current configuration management process. For detailed discussion of the management of change process and documentation, see section [SYSTEM MODIFICATIONS \(MANAGEMENT OF CHANGE\) 3.4](#).

The process always asks if any modifications to the design criteria are required. If so, changes are vetted through the Design and Construction Meeting (DCM) and incorporated into the next update of the criteria.

3.6 SYSTEM SAFETY AND SECURITY CERTIFICATION

3.6.1 SAFETY AND SECURITY CERTIFICATION PROGRAM

The Safety and Security Certification (SSC) program is intended to help ensure that safety and security concerns, hazards, threats, and vulnerabilities are adequately addressed prior to the initiation of passenger operations for new rail and bus transit systems and subsequent major projects to extend, rehabilitate, or modify an existing system, or to replace vehicles and equipment. Such projects include:

- New rail and bus transit systems or system expansions
- Major reconstruction of existing lines
- Major redesign and installation of system components
- New or significantly reconstructed maintenance and operating facilities
- New vehicle procurements or mid-life overhauls
- Other projects deemed to have significant safety implications, including projects implemented by others that have a direct impact on the operations of UTA

UTA's System Security Plan and Emergency Preparedness Plan (EPP), separate documents, integrate and interacts the process for managing threats and vulnerabilities into the safety certification process.

Safety certification takes place throughout a project. It begins at the initiation of the design of a project, is carried through construction, mitigating hazards in the process, evaluated during start-up and testing, and transitioned into operations.

UTA will also ensure that UDOT is invited to participate, as appropriate, in SSC-related meetings, document reviews such as engineering/design, and on-site project activities during the construction phase. UTA understands that UDOT may issue specific findings, guidance, or directives to the transit agency to address safety and security issues related to certifiable elements, certifiable items, and potential workarounds and will include those into the project SSC program as appropriate.

3.6.1.1 Safety and Security Major Capital Project Plans and Documents

UTA will develop a Safety and Security Certification Plan (SSCP) for each major construction or installation project. If the project is light rail-related, UTA will provide a copy of the SSCP plan to UDOT for review and comment feedback.

For FTA-funded capital projects that require an SSC program, UTA will also develop a Safety and Security Management Plan (SSMP) as part of the larger Project Management Plan requirements.

For capital projects that do not require an SSC program for FTA funding, UTA will access the project scope factoring in the size and complexity of the project to determine what elements from the SSC program to apply to ensure that the necessary safety and security elements are implemented into smaller projects. The level of the SSC program implemented for each project will be documented in the project documents along with the decision to exclude certain portions of the certification program.

The following documents guide the safety certification process during a major capital project:

Project Plans (with Safety Input)	Abbreviation	UTA Owner
Activation Plan	AP	Project Dev (Cap Dev)
Bus Fleet Management Plan	BFMP	Project Manager
Construction Emergency Mgmt & Response Plan	ERP	Contractor by Project
Construction Safety Program Manual	CSPM	Contractor
Document Control Plan	DCP	Capital Projects
Emergency Preparedness Plan	EPP	Public Safety
Operation & Maintenance Plan	O&MP	Project Manager
Operational Hazard Analysis	OHA	Safety Admin.
Preliminary Hazard Analysis	PHA	Project Manager
Project Management Plan	PMP	Project Manager
Rail Fleet Management Plan	RFMP	Project Manager
Rail Service Plan	RSP	Rail Ops
Real Estate Management Plan	RAMP	Project Manager
Safety & Security Certification Plan	SSCP	Project Manager
Safety and Security Certification Verification Report	SSCVR	Mgr Qual and Const Oversight
Safety & Security Mgmt Plan	SSMP	Project Manager
System Integration Test Plan	SITP	Contractor
System Security Plan	SSP	Manager of Security

3.6.2 HAZARD ANALYSIS

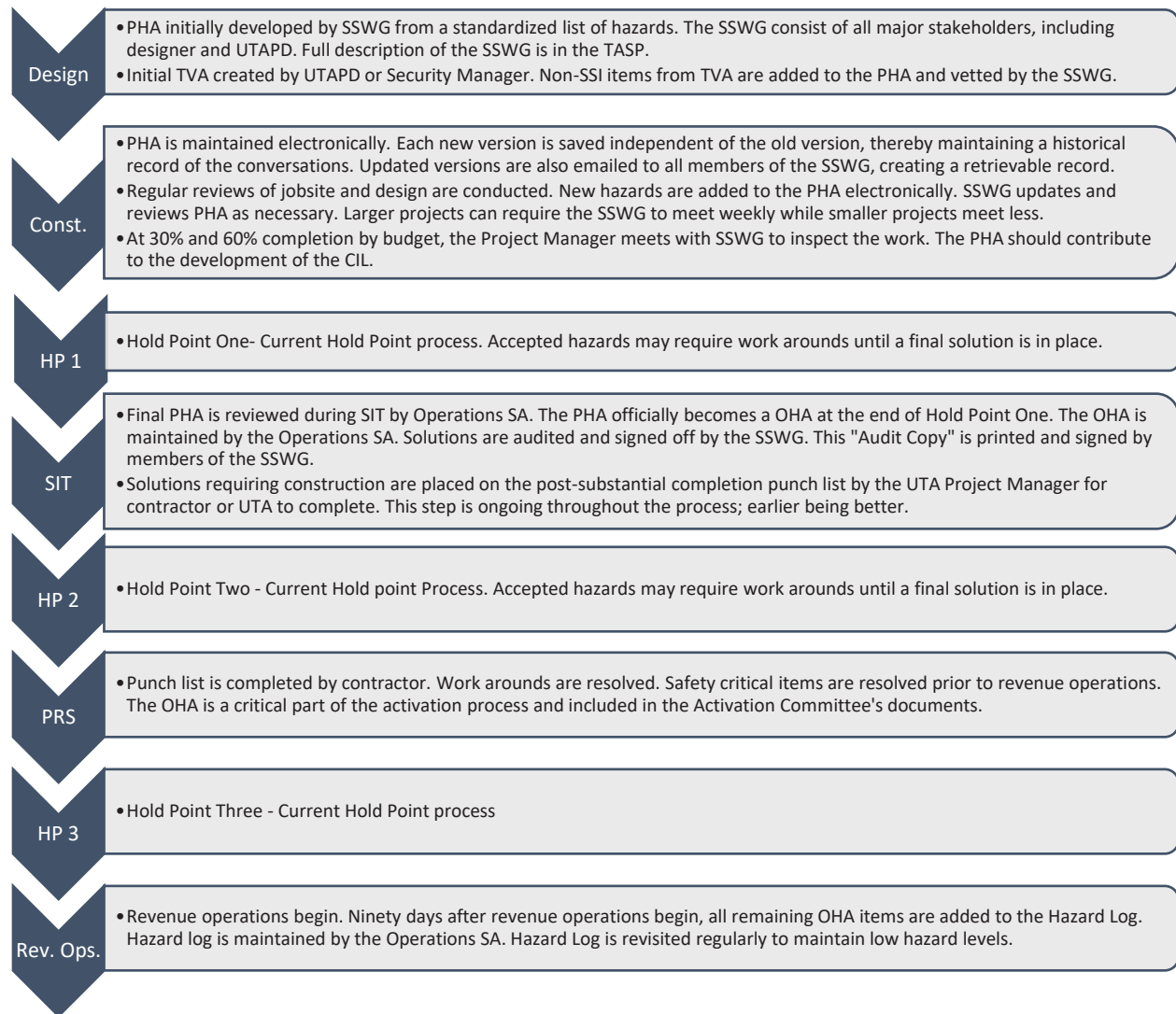
Risk analysis during the project's design and design safety reviews provides the basis for developing a preliminary hazard analysis (PHA) for the project. This PHA, typically maintained in a matrix log for the project, identifies hazards and potential hazards along the corridor, at platforms, and in park-and-ride lots. The hazards are rated based on the risk analysis matrix (see [2.1.4.3 UTA Hazard Analysis Matrix](#)) and possible solutions to these hazards are proposed. The solutions are then evaluated and incorporated into the design to mitigate or reduce the hazards to the maximum practicable extent.

Similarly for security aspects of the project, and the UTA system as a whole, a threat and vulnerability analysis (TVA) is conducted on each project. Elements identified in the TVA that can be designed out of the system, are incorporated into the construction of the project.

During the initiation of testing and systems integration, additional operating hazards are identified and incorporated into the hazard analysis matrix. This is the start of a transition from a PHA to an operating hazards analysis (OHA). Resolutions to these hazards are incorporated into the construction or testing efforts, or a procedure for operations is written to be used during operations.

At the completion of systems integration testing, and prior to pre-revenue operations, the PHA/OHA is reviewed to determine all the hazards that have been eliminated, mitigated, or accepted. The solutions implemented (design, rule, procedure) are noted on the matrix. The OHA remains active throughout pre-revenue and 90 days into revenue operations. The remaining hazards, not mitigated or accepted

after 90 days, will be incorporated into the safety department hazard log for that mode of transit (commuter rail, light rail, bus) to be tracked and resolved in the hazard management process (see [2.1.4.3 UTA Hazard Analysis Matrix](#)). An illustration of this process follows this section.



3.6.2.1 Facilities Hazard Analysis



3.6.3 PROJECT CERTIFICATION/HOLD POINT PROCESS

UTA's hold point process is important to verify that all prior steps of the certification process are complete, with any necessary hazard/open item mitigations established before the next phase begins.

UTA's "Hold Point" safety certification process is documented in the Activation Plan (AP), a separate document for each project, through the Activation Committee (AC). The AC will follow a proactive approach to examine, identify, and document safety and security critical certifiable elements and sub-elements; utilizing UTA's approved certifiable items lists (CILs) for each certifiable element.

The RAC will maintain a master safety and security certifiable items list (CIL) for internal distribution, review, consideration, and incorporation of key safety critical elements and items into the Safety and Security elements of UTA's Design Criteria and checklists. (See [APPENDIX D-3](#)). These documents are used to improve the safety and functionality of system design, promote effective and efficient use of resources, reduce the number of workarounds and change orders, and reduce hazards in service and maintenance.

Hold Points are conducted before each commissioning phase of the project. Structured reviews and associated approvals will ensure a comprehensive review of all conditions before each phase is started to minimize, mitigate, or eliminate potential safety, testing, or operating issues. These phases include the following:

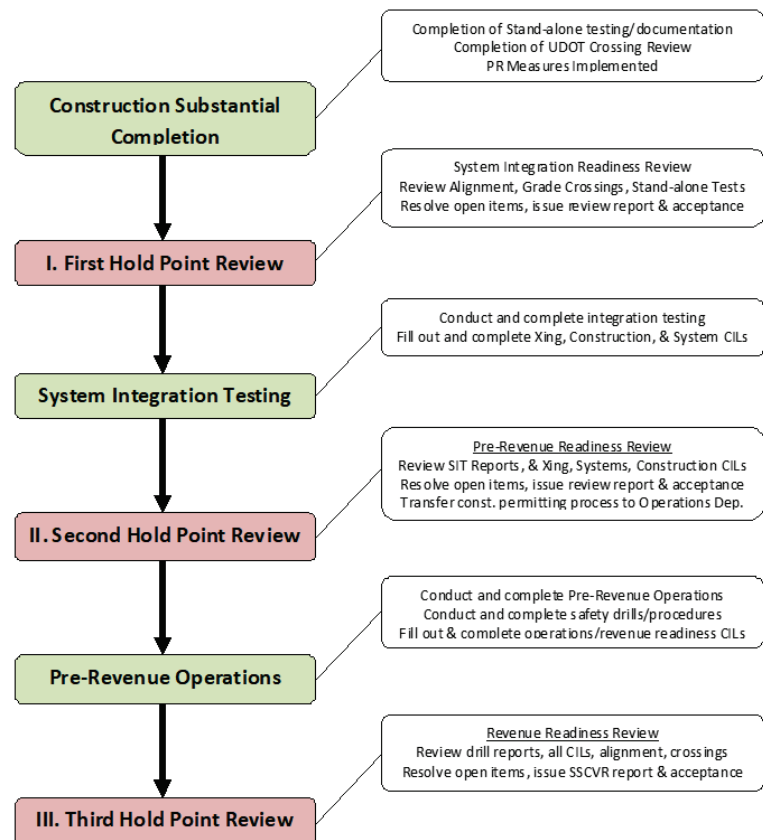
- a. System integration/testing (SIT) Hold Point 1
- b. Pre-revenue operations (PRO) Hold Point 2
- c. Revenue operations (RO) Hold Point 3

A comprehensive review of all conditions will be conducted during the hold point period to eliminate or resolve all potential safety issues. Each of the three commissioning phases of a project presents a new set of operating conditions that can introduce safety concerns and/or hazards unforeseen during the design and construction process. The rail systems activation specialist is responsible for conducting all hold point reviews. He/she will coordinate the overall safety review effort, including the issuance and distribution of each report, indicating approval, by signature, to move to the next phase of commissioning.

During the activation hold point process, a report will be generated for each of the three hold points. Generally, each report will consist of the following details:

- a. Participants - those who are required to participate in the safety review.
- b. Zones/reaches/areas which are reviewed.
- c. List and verification of items or activities (CILs, testing) required and successfully completed.
- d. Findings as a result of the review of the area, which require corrective action or approved workarounds.

Each report will be signed by the RAC members, and then by the approval authority, typically the Safety and



Security Director before moving to the next phase of commissioning. Samples of the Hold Point approval documents are provided in [APPENDIX D-4](#).

The Mgr Qual and Const oversight prepares the final project safety and security certificate verification reports (SSCVR), with an exception/restriction resolution schedule and acceptable workarounds. The reports also summarize the project readiness for revenue service by issuing certificates of compliance for each certifiable element, to the SSRC for review and acceptance. At the final hold point, the SSCVR is then submitted to the UTA ED and GM for formal approval by UTA's executive management. UTA will also make available the SSCVR testing and certification documentation for UDOT review and comment at least 120 hours (five days) prior to revenue service.

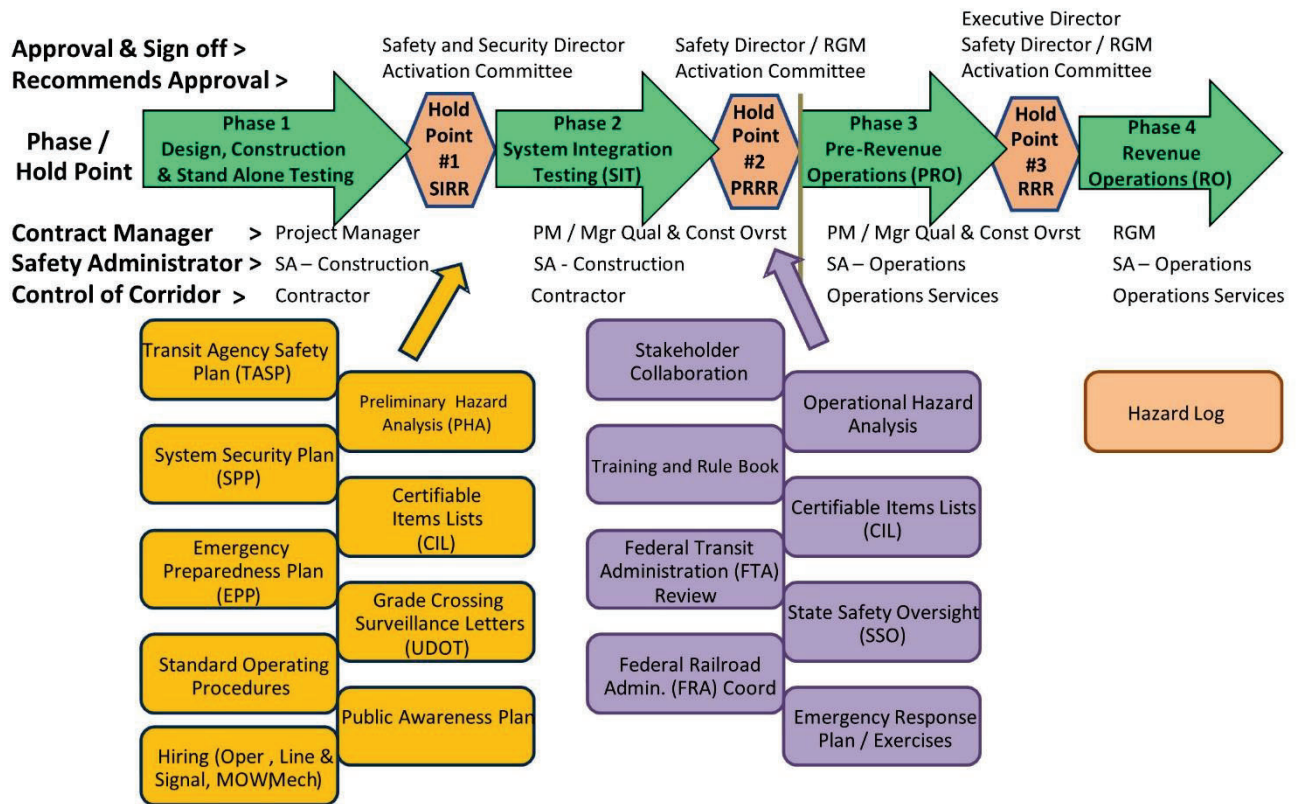
The SSCVR must include:

- Completed certificates of conformance or certificates of completion
 - Signed by all required stakeholders
 - Include an overall project certificate
 - Include individual certificates for each safety-certifiable element, such as, but not limited to, track, tunnels and structures, signaling systems, power systems, rail vehicles, facilities, stations, grade crossings, documents and plans, staffing and training
- Completed certifiable items lists with references to verification completed
- Include a list of all safety-certifiable elements that have not yet been completed, along with a description of mitigations and/or plans to complete each unfinished item

UDOT will respond with its comments no later than 48 hours (two days) before revenue service is expected to begin. If UDOT or a signatory to the SSCVR identifies open items that have not been mitigated, or testing/certification that has not been completed, revenue service cannot occur until those items have an implemented mitigation or are completed.

The ED will issue the project's final safety and security certification verification statement to the appropriate oversight agencies, authorizing UTA to commence passenger service pursuant to UTA's TASP.

Activation “Hold Point” Process



3.6.4 QUALITY ASSURANCE

Large projects at UTA have a quality assurance/quality control (QA/QC) function built into the design and construction of the project. Specific personnel are responsible for QA/QC activities. In general, QA/QC activities in large projects follow standard industry practice and are subject to review by the FTA and others. Quality control during construction projects is a requirement of the contractor and is submitted in the Quality Management Plan (QMP) and approved by UTA prior to initiation of construction. UTA retains qualified inspectors and testing firms to provide Quality Assurance by document submittal reviews and periodic testing of materials throughout the project. On large federally funded projects, UTA and construction personnel will visit the manufacturing sites of rail & bus products to ensure quality prior to these products being shipped to the site.

The Supply Chain Department handles quality assurance for day-to-day procurement, inventory, and warehouse activities. Received goods are compared to items ordered, lot numbering, or other certifications as required on safety-critical items. Where applicable, receiving personnel ensure that lot number documentation is provided before materials are received or accepted. Periodically, purchasing personnel or Safety Administrators will randomly sample hardware, slings, lifting devices, and other devices for compliance with specifications. Items will also be periodically functionally tested to ensure they meet standards.

3.7 RULES COMPLIANCE

3.7.1 TRAX RULES COMPLIANCE

3.7.1.1 Documents and Publications

3.7.1.1.1 *Light Rail Rule Book, Policies, Procedures, and Work Instructions*

The *Light Rail Rule Book, Policies, Procedures, and Work instructions* describe policies, procedures operating instructions regarding the safe operations of the UTA Light Rail system. These documents are maintained by the Light Rail Operations Department.

The *Light Rail Rule Book* is revised and reissued at an interval no greater than every five years, in line with industry standards set by the American Public Transportation Association (APTA) and LRD-00011 Operating Rule Creation and Revision Procedure.

Light Rail Policies, Procedures, and Work Instructions which pertain to the safe operation of the UTA Light Rail system are reviewed and reauthorized at an interval no greater than every five years, in line with industry standards set by the American Public Transportation Association (APTA) and LRD-00010 *Operating Instruction Creation and Revision Procedure*. Light Rail Policies, Procedures, and Work Instructions which do not pertain to the safe operation of the UTA Light Rail system are reviewed and reauthorized as necessary and are exempt from the five-year review requirement.

Changes, additions, or revisions to the *Light Rail Rule Book, Policies, Procedures, and Work Instructions* are reviewed by Light Rail stakeholders as required. Stakeholders include but are not limited to the following UTA departments: Light Rail Vehicle Maintenance, Light Rail Training, Maintenance of Way, Safety and Legal. The *Light Rail Rule Book, Policies, Procedures, and Work Instructions* are verified by the Light Rail Operations Manager or other authorized designee, approved by the Director of Rail Operations or other authorized designee, and authorized by the Chief Operations Officer or other authorized designee.

New or revised editions of the *Light Rail Rule Book, Policies, Procedures, and Work Instructions* which have been verified, approved, and authorized are provided to and acknowledged by all applicable employees, in a method specified by LRD-00010 Operating Instruction Creation and Revision Procedure or LRD-00011 Operating Rule Creation and Revision Procedure.

Train Operators and employees working in the right-of-way are required to carry a current Light Rail Rule Book.

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3.7.1.1.2 *TRAX Daily Operating Clearance:*

TRAX issues a Daily Operating Clearance (DOC) that lists and describes advisories, bulletins, work permits, and general comments. A Rule and SOP of the day are included on the Clearance. Yard and tail track movements are issued on a separate form. Employees are required to sign a daily log sheet confirming that they have read and received the daily operating clearance and yard and tail track

movements for that date. UTA complies with all FRA rules, regulations, and programs with exceptions as described in the joint use waiver.

3.7.1.2 Rule Compliance Checks

3.7.1.2.1 Operations: Operational Rule Compliance Testing

Observation tests are conducted by operations and maintenance Light Rail System Supervisors and Managers as a part of their daily supervisory role to determine if an employee is compliant with rules, procedures, and regulations. Supervisors will conduct observed (the Rail System Supervisor is in plain view of operators) and unobserved (a Rail System Supervisor is making observations from a position that is not known or cannot be seen by operators) to ensure overall compliance. Each Rail System supervisor is required to perform observation tests every week during their field shifts at random times on random days based on train operations. All observation tests will be documented on the Operational Testing Form or by entering their observations into the Rules Observation Program (ROP). All paper records of operational tests are retained for three calendar years from the day of the test. Digital storage of entries into the ROP will be retained for three years from the date of entry.

Operations Personnel Supervisors conduct biannual efficiency checks of all train operators to determine an employee's ability to comply with rules, regulations, and procedures. The efficiency check results are recorded by the Personnel Supervisor and retained in the operator's training record folder. All operator training records are maintained by the operation training supervisor.

Light Rail System Supervisors/Light Rail Control Supervisor are evaluated for rules compliance by undergoing periodic controller and system evaluations conducted by management. Applicable evaluation forms are completed by the management and signed by management. Completed and signed evaluation forms are filed in the evaluated supervisor's training record folder. All supervisor training records are maintained by the operations supervisor trainer.

3.7.1.2.2 Maintenance of Way

Maintenance employees are randomly checked for compliance with rules set forth by the FRA. As part of conducting rules compliance audits, supervisors fill out a corresponding form containing a rules compliance checklist for each employee. General safety compliance checks, passing and non-passing findings are tracked in a log maintained by the maintenance department.

Processes for compliance checks that are specific to UTA's roadway worker protection (RWP) program are outlined in the Roadway Worker Protection Manual.

3.7.1.2.3 LRV Maintenance

LRV Maintenance managers and supervisors conduct rules checks during their shift. These rules checks are documented on the LR vehicle maintenance pass down. Various items checked are employee adherence to using Blue Flag, Lockout Tag-Out, placement of chains (including forklifts), and crane inspections. This process is followed for all LRV running maintenance at each light rail shop. There is a QA/QC Supervisor that audits the weekly checks and reports the findings to the assistant managers for follow up and corrective action. This information is stored on the vehicle maintenance SharePoint page under QA/QC.

3.7.1.3 Reports and Data Analysis

Results of the operational tests are compiled on a rolling quarterly basis and reviewed by the Manager of Rail Operations or other designated person(s) and forwarded to the Safety Administrator every calendar quarter. A written form of the discussion and review will be provided to the Safety Department within 30 days after the end of the quarter. Additional information regarding operational tests is available to the Safety Administrator as needed on request.

3.7.1.4 Enforcement

3.7.1.4.1 Violations

Rule violations are addressed through the corporate positive people management process (PPM) which includes coaching, retraining, and formal discipline (performance agreement and termination) that may result in termination. See UTA Corporate Policy 6.3.1. Rail Operations maintains a log for all stop indications and wrong route violations and may further investigate any rules violation that is reported, or that may be part of an accident or incident. Additionally, all accidents and incidents are reviewed by ~~supervisors~~ Personnel Supervisors and the Safety Administrator to determine if rules have been violated, or if revisions, changes, or additions are necessary.

3.7.1.4.2 Hazard Management

The Safety Administrator may incorporate violation trends or deficiencies for any rule or procedure into the hazard management program for resolution. Hazards unresolved by the Rail Safety Committee (RSC) are directed to the SSRC committee for further tracking, review, resolution, and or correction.

Non-compliant audit findings determined to be hazardous are documented in the safety department hazard log. A date of observation, description of the hazardous condition, corrective action required, and implementation date are tracked until the hazardous condition is corrected. See the Hazard Management Program portion of the TASP for further information.

The Safety Administrator conducts ongoing and regular observations, reviews, and audits to determine the effectiveness of the rule compliance program.

Rail Service and the Rail Safety Committee review rules and procedures regularly to determine if changes, revisions, or additions are necessary.

3.7.2 FRONTRUNNER RULES COMPLIANCE

3.7.2.1 Documents and Publications

3.7.2.1.1 General Code of Operating Rules (GCOR)

FrontRunner uses the GCOR as its primary rule book for both operations and maintenance. The GCOR is updated frequently through ~~biannual~~ national committee meetings and published every five years. UTA has a representative at these meetings.

3.7.2.1.2 System Special Instructions (SSI) and General Orders

FrontRunner publishes a set of System Special Instructions (SSI) annually which are rules and instructions that are specific to operations. These changes include GCOR rule revisions, safety rules, signals, yard procedures, etc. Between publications of the SSI, a general order may be issued to add or

revise a rule if needed. All operations employees must read, sign for, and carry all issued general orders until such time as they can be incorporated in the next version of the SSI.

3.7.2.1.3 FrontRunner Timetable

Operations employees must remain aware of and familiar with the FrontRunner timetable. The timetable contains information such as speed restrictions, station locations, switch speeds, siding locations, and other specific information that pertains to FrontRunner track.

3.7.2.2 Rule Compliance Checks

3.7.2.2.1 Operations: Efficiency Testing

To enforce rule compliance all FrontRunner operators and ~~controllers~~ Dispatchers are subject to efficiency testing per 49 CFR 217. Efficiency testing is regulated by a designated testing officer and carried out by a select group of efficiency testing supervisors. Each efficiency testing supervisor is tasked to complete a minimum number of ~~four efficiency tests~~ of tests per quarter. At the end of the quarter, the designated efficiency testing officer compiles a report summarizing the results for the quarter. The report is then kept on file for review by the FRA.

All operations employees must attend yearly “rules classes.” These classes cover all rule changes, additions, deletions, and revisions. Employees must pass a test given at the end of the class with a score of at least 90 percent.

3.7.2.3 Enforcement

3.7.2.3.1 Violations

Rule violations are addressed through the corporate Positive People Management process (PPM) which includes coaching, retraining, and formal discipline (written notification and performance agreement) which may result in termination. See UTA Corporate Policy 6.3.1. De-certifiable violations are recorded in the personnel file. All accidents and incidents are reviewed by Management and the Safety Administrator to determine if rules have been violated, or if revisions, changes, or additions are necessary. Additionally, all major accidents are reviewed by an Accident Evaluation Group. Hazard Management

The Safety Administrator may incorporate violation trends or deficiencies for any rule or procedure into the hazard management program for resolution. Hazards unresolved by the Rail Safety Committee (RSC) are directed to the SSRC committee for further tracking, review, resolution, and/or correction.

Non-compliant audit findings determined to be hazardous are documented in the hazard log. A date of observation, description of the hazardous condition, corrective action required, and implementation date are tracked until the hazardous condition is corrected. See the Hazard Management Program portion of the TASP for further information.

The Safety Administrator conducts ongoing and regular observations, reviews, and audits to determine the effectiveness of the rule compliance program.

Rail Service and the Rail Safety Committee review rules and procedures regularly to determine if changes, revisions, or additions are necessary.

3.7.3 BUS RULES COMPLIANCE

3.7.3.1 Documents and Publications

3.7.3.1.1 *Bus Operations Employee Handbook and Standard Operating Procedures (SOPs)*

In the Bus System, the Bus Operations Employee Handbook and Standard Operating Procedures (SOPs) describe its policies, rules, and practices regarding the Bus system. The Employee Handbook and SOPs are maintained by Bus Operations, reviewed annually, and approved by the Chief Operating Officer and Bus Regional General Managers (BGM). Changes, additions, or revisions are circulated to all employees affected by them.

3.7.3.1.2 *Detours, Bulletins, Notices and Memos*

Route detours are issued daily to all bus operators checking out their work for the day. As needed; Bulletins, notices, and memos are issued as needed to address system issues, temporary changes to the operating system, and updates to work duties. Not all changes affect all operators therefore bulletins, notices, and memos issued do not require a signature from all operators. Employees are required to sign for critical information confirming that they have received, read, and understand the written instructions. UTA complies with all local, state, and federal requirements including, but not limited to DOT, UOSH, FTA rules, regulations, and programs.

3.7.3.2 Rule Compliance Checks

3.7.3.2.1 *Operations: Operational Rule Compliance*

Bus Operations management and supervisors are tasked with performing rules compliance checks and observations. Observations are conducted as a part of their role to determine if an employee is compliant with rules, procedures, and regulations. Managers and Supervisors spend time observing and performing compliance rules observations, accident investigation, responding to operational needs as they encounter them, etc.

When a Manager or Supervisor observes a rules violation they will address the issue with the Bus Operator immediately and complete an Observation Report (OR). The completed Operational Report form is then forwarded to the employee's immediate supervisor to address and follow up with the compliance issue.

Operational Supervisors issue an Operator Evaluation Report monthly to each of their team members. The Operator Evaluation Report addresses the following:

- a. Attendance
- b. Miss-outs
- c. Accidents (Both chargeable and non-chargeable)
- d. Complaints
- e. Commendations

3.7.4 SAFETY RULES COMPLIANCE CHECKS AND VERIFICATION

The Safety Department ensures Operations and Maintenance departments are in compliance with the rules and SOPs within their individual departments through the use of rules checks and verification audits. Findings from these checks are then forwarded to management for review and corrective action.

3.8 FACILITIES, STRUCTURES, AND EQUIPMENT INSPECTIONS

UTA's bus and rail facilities and equipment will be inspected on a regular basis according to company policies and SOPs, equipment manufacturer's guidelines and recommendations, and as required by local, state, and federal regulations.

Rail Facilities Maintenance employees utilize a "Facilities Management and Maintenance Plan". Assignments are made to individual maintenance employees to ensure the purpose and scope of the plan is fulfilled.

3.8.1 FACILITIES AND EQUIPMENT TO BE INSPECTED

Operating facilities and equipment routinely inspected and tested by employees, supervisors, management, and safety and environmental personnel include the following:

- a. Bus and rail maintenance/support shops/administrative offices, and equipment within the shops
- b. Fire system equipment
- c. Safety eyewash and shower systems
- d. Floor and portable hoist systems and cranes
- e. Heating, air conditioning, lighting, and ventilation systems
- f. Hydraulic presses, grinders, welders, wheel-truing equipment, lathes, etc.
- g. Hazardous materials handling and storage, etc.
- h. Locomotives, cab-cars, passenger cars, light rail vehicles, and buses
- i. Support equipment (i.e. rolling stock) including high-rail vehicles, track maintenance vehicles, bucket trucks, loaders, forklifts, aerial lifts, etc.
- j. Infrastructure including rail station platforms, track, switches, OCS, bridges, grade-crossing equipment, etc.

3.8.2 TECHNIQUES, SCHEDULES, AND PROCEDURES

Preventative maintenance inspection schedules are generated through the computer system per equipment manufacturer's guidelines and recommendations, and as required by local, state, and federal regulations. A maintenance supervisor identifies upcoming PM inspections and assigns the work to their crew for completion. Inspectors use checklists (see 0) to identify potential physical hazards, unsafe equipment, unsafe acts, and policy and procedural deficiencies with the facility or equipment being inspected. Completed inspection reports and checklists are returned to the supervisor for review. Each department is responsible for maintaining inspection and repair records to confirm the inspection process.

3.8.2.1 M.O.W. (Line, Signal, and Rail Maintenance) Standards and Procedures

Line and Signal use a maintenance of way plan "MOW Procedures" that outlines specific testing and maintenance procedures in accordance with FRA regulations. These are in accordance with 49 CFR parts 233 - 236.

Right-of-way rail maintenance uses a maintenance plan “rail maintenance standards” to maintain the track in accordance with FRA regulations 49 CFR part 213. The standard outlines all aspects of proper maintenance and inspections regarding the track.

3.8.3 TRACKING AND RESOLVING HAZARDS IDENTIFIED DURING INSPECTIONS

Most safety hazards and concerns are resolved immediately by employees, and supervisors, and require no formal tracking process. Safety-critical hazards that cannot receive immediate attention are forwarded to the appropriate supervision and will be reported to the Safety Administrator or safety committee. An observed safety critical hazard that cannot be corrected promptly will be entered into the safety department hazard log for tracking purposes and managed by the SSRC committee. A corrective action plan, responsible person, and completion date will be assigned. Follow-up inspections will verify that the hazard has been resolved.

3.8.4 RAILROAD BRIDGE SAFETY MANAGEMENT AND INSPECTION PROGRAM

The railroad Bridge Safety Management Program (BSMP) has been developed and implemented by UTA to minimize damages and identify and repair deficiencies in bridges carrying UTA traffic, to safeguard their ability to carry UTA traffic, and to minimize the risk of human casualties.

Capital Projects Department personnel have the responsibility to manage and inspect all rail bridges in accordance with 49 CFR Part 237, Bridge Safety Standard. Rail Bridge Engineers will ensure that each structure is scheduled, inspected and any repairs or upgrades need to take place. Prior to all inspections, personnel will obtain a Rail Access Permit (FrontRunner or TRAX). Personnel will be current in training for Roadway Worker Protection and fully implement all necessary safety procedures during the performance of bridge inspections. Safety Department personnel have the responsibility to verify on a periodic basis (two inspections per year) the safe performance of the bridge inspection program.

3.9 MAINTENANCE AUDITS AND INSPECTION PROGRAM

3.9.1 EQUIPMENT OR FACILITIES MAINTENANCE AUDITS AND/ INSPECTIONS

It has been a long-established UTA policy and goal of the organization to prevent untimely and costly equipment failures. To this end, UTA has established inspection and preventative maintenance procedures for its track, switches and structures, overhead catenary system, signal system, vehicles with their associated mechanical and electrical components, and support equipment. Plans and guides are provided by Original Equipment Manufacturer (OEM) recommendations, Fleet Management Plans, Facility Maintenance Plans, and System Operations and Maintenance Plans.

During preventative maintenance processes, hazards observed that are a safety issue that need further evaluation should be presented to the Safety Committee, and the issue or hazard placed on the Local Hazard log. If the hazard is considered high or serious it will be placed on the UTA Corporate Safety Hazard Log. Hazards not resolved within 180 days are elevated to the corporate Safety and Security Review Committee (SSRC).

Revenue vehicles have daily, monthly (or by miles), and annual inspections. Preventative maintenance work orders (PMs) ensure these failures do not occur. TRAX, Bus, and FrontRunner commuter rail personnel work very closely with vehicle and equipment manufacturers and vendors to ensure optimal operation. Applicable Federal Railroad Administration (FRA) maintenance requirements and UDOT state motor vehicle requirements are implemented into daily, weekly, monthly, and annual inspections for efficient and safe operation. For example, the LRV maintenance mechanics inspect light rail vehicles. Diesel locomotive maintenance mechanics maintain the FrontRunner equipment and bus maintenance mechanics maintain UTA's fleet of buses. They make sure all the engines, transmissions, lights, warning devices, brakes, and other safety systems are working properly before putting the vehicles into service. These same vehicles are subject to preventative maintenance (PMs), where maintenance personnel inspect fluid levels, hose and line condition, brake condition, safety equipment, and other vehicle systems to ensure that these items function properly. PMs may also call for the periodic change-out of various components to prevent failures. All applicable FRA maintenance equipment is inspected and repaired according to applicable CFR sections.

Facility maintenance personnel perform maintenance not only on facility equipment such as heating and air conditioning, elevators, or escalators, but they also are responsible for the maintenance of large equipment components used to maintain trains such as the wheel truing machine, cranes, hydraulic or electric lifts, etc. that are critical to maintaining the various transportation modes.

Defects identified during inspections may be repaired immediately if the situation allows it. For those items that cannot receive immediate attention as required by regulation, a record should be made. Items on this list should be forwarded to the appropriate line authority level of supervision and/or may be reported to the appropriate safety committee. In either case, those inspecting the same area or equipment in the next cycle should maintain the list for follow-up. Notice of defects should result in a work order being generated for each item. This will allow the work order system to track the defect until it is resolved.

3.9.2 AUDITORS OF MAINTENANCE AND OPERATIONS ACTIVITIES

Managers and or Supervisors verify that maintenance procedures are performed. Triennially, UTA conducts internal audits to verify that this process is taking place. Additionally, UDOT (SSO) accompanies internal auditors to ensure that the internal audit process is occurring. This preserves the independent nature of the audit process since other organizational units are primarily involved with the implementation of the audit items. Managers and supervisors of the areas being audited are invited to attend the audit; however, they do not conduct the internal audit. Other organizational units are required to cooperate with the rail supervisor or other designee in the conducting of internal audits.

3.9.3 AUDIT REPORT—TRACKING AND RESOLVING INTERNAL AUDIT FINDINGS

The internal auditor will schedule and conduct internal audits. UDOT is invited (with a 30-day notice) to participate in the audit functions. Upon completion, the internal auditor submits an internal audit report to the service unit general manager for review. The report will include findings, conclusions, and recommendations. A summary of all internal audits performed during the year will be included in UTA's annual report to UDOT. Reports to UDOT will include corrective action plans for hazards identified. Audit activities are reported monthly to UDOT in their monthly meetings with UTA.

3.9.4 FOLLOW-UP /ACTION PLANS

Departments and other organizational units are responsible for implementing their respective approved recommendations and corrective action plans within established time frames. Future audits will determine compliance with this requirement.

3.9.5 RESOLVING PROBLEMS AND DISAGREEMENTS

Disagreements with audit findings may be challenged by the department supervisor or manager to the internal auditor or audit group. A review of the requirements and findings/non-conformances written up will be made. A written reply will be made within 30 days. If a disagreement remains, the issue will be elevated to the ASSC meeting. A full review of the findings and disagreements will be presented at that time. The ASSC members will decide on an equitable resolution.

3.9.6 USE OF A WRITTEN CHECKLIST

Written checklists are the preferred tool for conducting an audit. Written checklists of internal audit requirements will be used when conducting all internal audits and or evaluations. The auditor will make every effort to make certain that the department manager has received a copy of the checklist prior (one week) to the audit. If areas of concern arise that are not written on the checklist, and need to be investigated, the auditor may write the questions and make it a written part of the audit process. When a final report is given to the manager, a written record of questions or issues will be given to the department manager. Written checklists aid the department manager in knowing the expectations of regulations and the auditor prior to the audit experience.

3.9.7 TRACKING AND RESOLVING HAZARDS OR CONCERNS

Defects identified during inspections may be repaired immediately, if the situation allows it, by on-site employees and supervisors. Safety critical hazards that cannot receive immediate attention will be noted on the inspection checklist (see [APPENDIX C-5](#)). Items on this list are forwarded to the appropriate line authority level of supervision and/or may be reported to the appropriate safety committee. In either case, those inspecting the same area or equipment in the next cycle should maintain the list for follow-up. Notice of defects should result in a work order being written for each item. This will allow the work order system to track the defect until it is resolved. An observed safety critical hazard that cannot be corrected promptly will be entered into the safety department hazard log and managed by the SSRC committee. A corrective action plan (CAP), responsible person, and date will be assigned, and follow-up inspections will verify that the hazard has been resolved.

The majority of safety hazards and concerns are resolved immediately by employees and supervisors, and require no formal tracking process, other than the inspection checklist to show issues have been resolved. Some hazards or concerns that are not resolved reasonably or that involve other departments or require management review are reported to the Rail Safety Committee (RSC) and Bus Safety Committee (BSC). If the matter is not resolved at this level, it is referred to the Safety and Security Management Review Committee (SSRC). Please see the pertinent sections of the TASP describing RSC, SSRC, and hazard management processes.

3.10 DRUG AND ALCOHOL PROGRAM AND MEDICAL MONITORING

3.10.1 DRUG AND ALCOHOL PROGRAM

UTA is governed by the Federal Railroad Administration (FRA), Federal Transit Administration (FTA), and US DOT Drug and Alcohol standards found in 49 CFR Parts 40, 219, and 655. It is also governed by 49 CFR Part 29, the Drug-Free Workplace Act. In response to these requirements, UTA has established a drug and alcohol policy including an addendum for FrontRunner rail services. This UTA Corporate Policy (UTA.01.05 Drug & Alcohol Policy, UTA.01.15 FRA, UTA.01.18 FTA) meets all the above standards and is administered by UTA's designated employer representative (Department of Human Resources). The FTA and FRA regularly audit this policy and its effectiveness. The UTA drug and alcohol corporate policy and addendum for FrontRunner rail services are available to all UTA employees on the UTA intranet, under corporate policies.

3.10.2 MEDICAL MONITORING

Applying appropriate medical standards for safety-critical positions extends beyond a qualifying pre-employment examination. UTA has established ongoing standards for employees who perform safety-critical functions. Medical monitoring of employees whose conditions or physical and emotional health may not be acceptable to operate transit vehicles includes bus, special services, and light rail operators, as well as commuter rail locomotive operators. If an employee reports to work in a state that is not fit for duty and is removed from service by a person performing FFD checks, they may be eligible for benefits such as personal time, family medical leave, workers' compensation, group health care, or other leave. Biannual physical examinations are required for each of these employees. Annual physicals are conducted on employees whose results fall outside the established DOT requirements. Standard DOT physicals are performed with emphasis on vision, hearing, weight, drug screening, diabetes, blood pressure vitals, sleep apnea, and a physical exam by a physician. Employee's emotional health is evaluated using the employee assistance program provider. This program allows for 24 hours-a-day, 7 days-a-week availability for employee evaluations or counseling. Evaluations include alcohol/drug abuse, marital matters, personal problems, mental health, financial issues, legal difficulties, and stress/anxiety matters.

3.10.3 FATIGUE MANAGEMENT

All employees are expected to be physically and mentally fit to perform their jobs in a safe manner when reporting for duty. If an employee feels they are not able to perform their job to the best of their ability due to fatigue, illness, stress, or any other reason, they are required to inform the person performing FFD checks immediately upon reporting for duty.

Personnel performing FFD checks are required to observe reporting Train Operators for signs of stress, illness, or fatigue that might impact or impair the Train Operator's ability to safely perform the duties of their position. A review of the Train Operator's HOS records may be appropriate if fatigue appears to be an issue. If the operator is in violation of HOS policy, they must be removed from service until their HOS has been brought back into compliance.

Per UTA.01.05 *Supplemental Drug & Alcohol Policy*, if an employee is under the influence of any type of medical drug, including over-the-counter or prescription medication, they are required to inform the person performing FFD checks immediately upon reporting for duty.

1. No employee may be permitted to operate a train while under the influence of any medication that carries a warning label containing side effects that would impair the employee's ability to safely operate a train, unless otherwise approved by the UTA Human Resources Designated Employer Representative (DER) process. Examples include, but are not limited to, medications that cause drowsiness, dizziness, impair cognitive or mental abilities, or caution against driving or operating heavy machinery.
2. When prescribed any type of medicine by a doctor that carries a safety warning, a Medication Approval Form must be submitted to the UTA Human Resources DER within 7 days of returning to work while taking the medication. The UTA Human Resources DER reserves the right to remove the employee from service if any of the reported medications pose a safety risk.
3. The person performing FFD checks must respect the privacy of the employee involved. Communication regarding employee medical information should be limited to the employee's immediate Personnel Supervisor, Light Rail Operations Management, and the UTA DER.
4. Failure to follow UTA.01.05 *Supplemental Drug & Alcohol Policy* can compromise the safety of the UTA Light Rail system and lead to disciplinary action.

3.11 PROCUREMENT

3.11.1 MEASURES AND CONTROLS FOR THE PROCUREMENT PROCESS

The Supply Chain Department facilitates and oversees all procurement activities at UTA. Supply Chain resides within the Finance Department which operates under the direction of the Chief Financial Officer, who also acts as the Chief Procurement Officer. Procurement and Contracts Specialists facilitate procurement for large projects or contracts. All other purchases are accomplished by and through the Inventory Buyers and Contract Buyers. Supply Chain also manages parts and warehousing. UTA Internal Auditing reviews purchasing procedures and practices and makes reports directly to the UTA Board of Trustees.

Employees who enter a request for goods or services using the requisition self-service portal in JD Edwards are responsible for identifying materials or services that are safety-critical in the Justification section of the request. Safety-critical items include any equipment, service, or operation with a potential for major injury or damage to UTA equipment, passengers, or employees. Requestors are responsible for including any supporting documentation to show that the requested materials or services meet Federal and State safety requirements, regulations, and standards in the Justification section of the requisition form. The requestor may enlist the help of the Safety Department to review these services or contracts for compliance with these regulations and standards prior to submitting the request. All purchasing requisitions are reviewed and approved at the department level by the requestor's direct supervisor. The safety department reviews and approves any requests for safety-critical items.

To ensure that acceptable products or services are delivered when orders are placed, vendors are provided with the specifications and required standards as supplied by the requestor in the requisition form. Prior to a contract being released, the contractor must agree to the contract language which requires personnel coming onto UTA property to follow all local, state, and federal safety and environmental laws.

All requests for the purchases of new hazardous chemical products must be recorded into a database, SafeTec, which includes a download of the chemicals safety data sheet (SDS) supplied by the vendor. Once in the database, safety and environmental administrators review the health, exposure, and other hazards for the product, and determine if the product is approved for purchase or rejected, or if safeguards should be implemented.

3.11.2 INSPECTION AND CONTROL OF MATERIALS

The Supply Chain Department handles quality assurance for day-to-day procurement activities. All materials received by UTA are inspected at the time of delivery. Receiving procedures require inspection of received goods to ensure that UTA is getting the items ordered and in the condition desired. Unauthorized hazardous chemicals or defective items are returned to the vendors and not accepted by UTA. Items and equipment received that have significant value and meet the definition of major capital assets defined in the corporate asset tracking policy are tracked in the Capital Asset Accounting System.

To further control safety, all specifications for parts and shop supplies are detailed on each part number in the item master file. Specifications include size, description, safety requirements, installation

instructions, warranty information, supplier requirements, and reorder guidelines. The information can be viewed by all maintenance and purchasing personnel but editing access to the field is tightly restricted to the Inventory Control Analysts and the Senior Supply Chain Manager to avoid accidental removal of data and/or specifications. Each time an item in inventory reaches calculated minimum reorder points, an automated requisition is generated by the inventory system. That form is printed with all the information and instructions detailed above.

Periodically, Supply Chain personnel or safety administrators will randomly sample hardware, slings, lifting devices, etc. for compliance with specifications. Periodically items will be functionally tested to ensure they meet standards.

The UTA Tools Management Program is used to maintain the inventory of UTA-owned tools and certain personal mechanics tools if the tools require periodic calibration or verification. Tools are calibrated according to the manufacturer's required specifications, and a calibration log is maintained in the tool inventory system. Supply chain parts clerks are responsible for tracking and checking out UTA-managed tools to mechanics. Any tools found outside of the manufacturer's specifications or damaged tools are sent out for repair or replacement.

IV PROMOTION

Pillar IV of the Transit Agency Safety Plan is Safety Promotion. This section describes the responsibilities of staff to the safety program, and encouragement of others to follow established policies. It describes the committee structure established to form the means of discussing, solving and if necessary, elevating safety issues and concerns to resolution. Training and certifications to enhance the qualifications and competencies of UTA staff are described, along with the reoccurring activities at UTA designed to promote and remind all employees about safety in the organization.

4.1 TASP IMPLEMENTATION ACTIVITIES AND RESPONSIBILITIES

4.1.1 TASP COMMITTEES AND POSITION RESPONSIBILITIES

UTA implements the TASP through a series of committees and department positions that have responsibility for specific areas yet work in a coordinated manner to ensure the safety of the authority. As related in section I 3.2, safety is a key responsibility of all managers at UTA. All employees have the right to present safety concerns to their immediate supervisor, manager, or Safety Administrators. Any employee, supervisor, or manager that brings an incident, accident, safety concern, or hazard, in good faith will not be adversely affected, or be subjected to harassment or intimidation. These retaliations are not tolerated by the UTA.

4.1.1.1 Safety Communication

UTA Bus, Rail and Maintenance committees communicate information regarding employee hazards and safety risks through displayed department safety boards. Hazard logs created through committees are displayed and available for employees to review. In addition, department dashboards, memos, and training may be provided to employees to communicate safety changes or hazard mitigations.

4.1.2 TASP COMMITTEES

UTA implements the TASP collaboratively through a series of committees coordinating bus and rail operation and maintenance services. Concerns, if not resolved by the manager or supervisor, will be referred to and addressed by the respective safety committee. The following hierarchy of committees at UTA is established to address all safety issues.

4.1.2.1 The Agency Safety & Security Committee (ASSC)

The Agency Safety & Security Committee is UTA's highest-level safety committee, chaired by the Executive Director (ED). The committee is alternately chaired by the Safety and Security Director. The ASSC is comprised of the UTA corporate staff, which includes the executives, and the rail and service unit general managers.

The ASSC reviews and approves safety policies, goals, and objectives. It coordinates the support and resources needed to maintain high safety standards for all aspects of service and system safety. The ED, through the ASSC, is the ultimate authority for safety certification, system modification, and

configuration management. This authority includes approving each project's safety and security certification statement.

The ASSC meets quarterly to review reports on safety, accident trends, major accidents, urgent or safety-critical concerns or hazards, internal and external audit findings, certification recommendations, items referred from the SSRC, and other items of concern to the ASSC for comment, direction, resolution, and execution. Minutes are maintained and disseminated to members of the committee.

4.1.2.2 Safety and Security Review Committee (SSRC)

The Safety and Security Review Committee is a high-level system safety and security review and coordination committee overseeing ongoing safety efforts within UTA. The committee is chaired by the Director of Safety & Security (DSS) and alternately chaired by the UTA security manager. The SSRC is comprised of the DSS, security manager, and senior managers representing Rail Services (three managers), Bus Services (three), Capital Projects (one), and information technology (one). The committee oversees or takes the following actions:

- a. Forwards unresolved safety and security issues and required certifications to the ASSC
- b. Approves corrective action plans (CAP) for major accidents and safety-critical items
- c. Decides unresolved hazards for bus and rail systems
- d. Ensures coordination of safety efforts between bus and rail systems
- e. Reviews safety and security certifications
- f. Approves solutions in the configuration management program
- g. Sets standards for and reviews results of or approves the following programs:
 - a. Hazard Management
 - b. Security
 - c. TASP updates
 - d. Project safety plans and procedures, including the following:
 - e. Rules compliance
 - f. Emergency management
 - g. Service inspection
 - h. Training and certification
 - i. Hazardous materials
 - j. Drugs and alcohol
- h. Ensures resolution of regulatory violations and non-compliance issues. (FRA, FTA, UDOT SSO, NTSB, OSHA, TSA, DHS)

Safety issues and actions are referred to the SSRC by design, construction, bus, rail, and fire/life safety committees. The SSRC may review as it selects, hazard analysis reports, risk assessments, corrective action reports, safety analysis, threat and vulnerability analysis, threat mitigations, hazard resolutions, NCRs, certification documentation, and fire/life safety concerns.

4.1.2.3 Management of Change (MOC) Teams

Configuration management within UTA consists of the CCC process during design and construction and of the management of change (MOC) process during operations. The MOC process is more extensively examined in section III 4 of this TASP.

This process is controlled by the SSRC during operations. As part of this process, MOC teams are assigned to resolve and implement corrective action plans (CAPs) to improve the system or correct an identified hazard. CAPs are developed by the respective safety committees (RSC, BSC) and approved by the SSRC. Responsible staff to lead the MOC team are recommended by the safety committee and approved by the SSRC. CAPs costing more than \$5,000 require SSRC approval.

MOC process applies to existing bus and rail services systems, vehicles, facilities, and equipment that may not require formal safety certification, but which may have safety impacts.

4.1.2.4 Bus Safety Committee (BSC)

The bus safety committees coordinate ongoing safety efforts within the operations and maintenance services of the bus system. They meet monthly to update and mitigate hazards in their facilities and on their systems. Committees are formed for the Ogden, Salt Lake, Building-8, Timpanogos, and Special Services service units.

The BSC committees are chaired by the regional general manager's delegate, the committees consist of the following:

1. Up to any manager within the unit
2. One operator and one maintenance staff from each facility:
 - a. One Admin Representative
 - b. One Union Representative
3. The Safety Administrator over Bus, who serves as a technical advisor and Co-Chair to the committee

The BSC chair position may be rotated annually, through the departments represented in the committee, with the new appointment made at the beginning of each year. The union appoints bargaining unit employees to the BSC annually to serve as safety representatives from the ranks of each department.

Committee members are granted an opportunity to speak and to present safety issues to the BSC committee through an open communication process. Minutes of discussion and action will be maintained and distributed to the members of the BSC and be available to others.

The BSC will maintain a local hazard log listing issues, corrective actions, and close-out dates. The log will include the date entered and the party responsible to correct the action. Most safety issues will be resolved within the parameters of the BSC. Issues not resolved in the BSC, or safety-critical hazards, are referred to the SSRC.

BSC actions will include the following:

- a. Reviews facility and operations system safety issues identified by members, staff, audits, or inspections
- b. Maintains local hazard log for all facility and operational hazards
- c. Assigns responsibility for correcting hazards
- d. Reviews open items for completion
- e. Ensure safety and regulatory rule compliance (FTA, OSHA)

- f. Regularly conduct inspections of facilities and operations to verify corrective actions, and to review safety in the system
- g. Report hazard log status and system safety review results to the SSRC

4.1.2.5 Joint Labor-Management Safety Committee

The joint labor-management safety committee was established in response to the Bipartisan Infrastructure Law and is responsible for approval of any revisions or updates to the UTA Transit Agency Safety Plan (TASP) prior to approval by the UTA Board of Directors. Any revision to the TASP must be approved by a majority of this committee. This committee meets quarterly and is responsible for:

1. Review and approve UTA's Safety Plan (TASP): and any updates as required under § 673.11(a)(1)(i) and to set Annual Safety Performance Targets as required under § 673.11(a)(7)(iii). Support the Safety Management System (SMS)
2. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified through UTA's safety risk assessment, including safety risk mitigations associated with any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program;
3. Identifying safety risk mitigations that may be ineffective, inappropriate, or were not implemented as intended, including safety risk mitigations associated with any instance where UTA did not meet an annual safety performance target in the safety risk reduction program; and
4. Identifying safety deficiencies for purposes of continuous improvement as required at § 673.27(d), including any instance where the transit agency did not meet an annual safety performance target in the safety risk reduction program.

This committee is comprised of an equal number of frontline bargaining unit employee representatives and management representatives. Bargaining unit representatives are appointed by the union to serve as safety representatives. Management representatives are appointed by the UTA Chief Operating Officer and UTA Safety and Security Director. Individuals serving on this committee should have a working knowledge of safety issues, both in transit generally and specific to UTA.

4.1.2.6 Rail Safety Committee (RSC)

The rail safety committees (RSC) coordinate ongoing safety efforts within the operations and maintenance services of the rail system under the direction of the Directors. They meet monthly to update and mitigate hazards in their facilities and on their systems. A committee is formed for TRAX (light rail) and for FrontRunner (commuter rail). The Directors appoints a chairman who may be a senior manager, or alternately chaired by the maintenance facility manager. The committees consist of the Operations manager or their appointed delegate, two representatives (one Union rep, one admin rep) from operations, LRV maintenance, Facility Maintenance, Maintenance of Way, and a Safety Administrator, who serves as a technical advisor and Co-Chair to the committee. The corresponding maintenance facilities (Midvale, Jordan River, and Warm Springs rail service centers) are represented respectively on their RSC. The RSC chair position is rotated annually, through operations and the department represented in the committee, with a new appointment made at the beginning of each year. The union appoints bargaining unit employees to the RSC annually to serve as safety representatives from the ranks of each department, voicing safety concerns to the RSC.

Committee members are granted an opportunity to speak and to present safety issues to the RSC committee through an open communication process. Minutes of discussion and action will be maintained and distributed to the members of the RSC and be available to others.

The RSC will maintain a local hazard log listing issues, corrective actions, and close-out dates. The log will include the date entered and the responsible party to correct the action. Most safety issues will be resolved within the parameters of the RSC. Issues not resolved in the RSC, or safety-critical hazards, are referred to the SSRC.

RSC actions are similar to those listed under the BSC above. Additionally, the RSC examines compliance with the General Code of Operating Rules (GCOR), (FRA 49 CFR Part 214, 49 CFR 200-399; FTA 49 CFR 673).

4.1.2.7 Construction Safety Committee (CSC)

The Construction Safety Committee coordinates ongoing safety efforts between construction contractors, reviews construction safety programs, conducts roadway worker protection training, and reviews claims summaries. The CSC is chaired by a Safety Administrator and alternately chaired by the UTA safety manager. The committee consists of the Capital Projects senior program manager-construction, Safety Administrators, RWP Manager, claims manager, contractor's safety managers, and construction managers. The CSC coordinates closely with the SSWG and participates in the PHA and TVA reviews.

The purpose and scope of the committee is to prevent accidents, illness, and casualties to UTA employees involved with all aspects of construction, inspection, and maintenance activities.

4.1.2.8 Configuration Control Committee (CCC)

The Configuration Control Committee (CCC) has been established as a management tool to assist in evaluating recommended changes to a particular project and providing final approval for configuration, and budget design criteria changes. The CCC's function is to address the need for continuity throughout the entire life of the project. It is essential that changes to the project be communicated through the proper channels and that all necessary personnel will be notified. More importantly, the function is to monitor, evaluate, recommend, and carry out any changes in the scope of the project through all project stages.

The Capital Development SOP No. 003 has been developed to guide the CCC process and give direction and authority from the Director of Capital Projects to monitor the progress of capital projects. This SOP also outlines the composition of the committee.

4.1.2.9 Activation Committee (AC)

The Activation Committee is a working committee of managers that meets regularly, combining safety and security verification process functions into UTA's construction, systems integration, and testing phases of new projects. The AC is made up of an activation manager and one manager from each of the following four supporting disciplines: Safety, (Capital) Civil, Systems, and Operations.

UTA has instituted the use of the Activation Committee and the Hold Point process to bring on rail, new bus and facility projects. The membership of the committee may change slightly to best fit the role of the AC. The remainder of this section describes the project activation process.

Each discipline manager will be responsible for ensuring all certified item lists (CILs), procedures, tests, filing of documents, and any other assigned activities for his/her group are completed in accordance with applicable parts of the activation plan. Three of the four discipline managers, identified above, will each be assigned coordination responsibilities for one of the three activation primary functions-safety and security certification, system integration testing, and services. The AC will oversee and approve all activation documents and activities.

The Activation Manager (AM), with help from the AC, will ensure that the project follows the activation process, that all documents are properly completed and filed correctly, and that all necessary safety and security certifications are properly completed and signed before the project enters revenue service.

The AC will meet regularly to develop and finalize details of the AP specific to the project and then manage activation activities against the plan. They will also discuss progress, issues, and concerns regarding activation activities and requirements. Meeting minutes will be recorded and filed each time the committee meets. An action items list will be included with the minutes and will be updated and discussed each time the committee meets to ensure responsibility and completion of items deemed critical to successful activation. The committee will create, maintain, and adhere to an activation-specific schedule, which will help to ensure the completion of activation and start-up activities prior to scheduled revenue service dates.

Following the commencement of revenue operations, the AC provides "lessons learned" input to planning and design teams, and for improved processes for the next activation.

4.1.2.10 Safety and Security Working Group (SSWG)

The Safety and Security Working Group (SSWG) is established by the Project Manager for each project that significantly changes the interaction of employees or patrons with the UTA system. ____The SSWG examines the design and specifications of safety and security-critical systems on the project. The SSWG is chaired by the PM, project Director, or designee. The primary responsibilities of the SSWG are to establish the preliminary hazard analysis, focus on and mitigate hazards on the project, and coordinate the project's safety elements through design, construction, and activation. The threat and vulnerability assessment (TVA), if conducted, is also coordinated by the SSWG.

The SSWG begins during the design phase and conducts regular review meetings, separate from ongoing design efforts, to focus specifically on safety issues. The project manager ensures that safety considerations are continually considered during regular design reviews. Design modifications that are recommended to be incorporated into the UTA design criteria are referred to the Capital Projects civil design manager for review at the design and construction meeting (DCM). Modifications are then forwarded to the Configuration Control Committee (CCC) for approval if the modifications are significant enough.

Core members:

- a. UTA Construction/Design Safety Admin

- b. UTA Security Manager
- c. UTA Video Security Supervisor
- d. UTA Mode Safety Admin, if applicable

Members at Large:

- a. UTA Project Manager
- b. Designer/Architect
- c. UTA Transit Police Officer
- d. End User to include, as applicable
- e. Facility Personnel

Operations

- a. MOW
- b. Admin Personnel
- c. ADA Specialist

The intent of this committee is to review systems from an end-user perspective, looking for hazards that can be 1) engineered out of the system, 2) corrected with SOP, procedures, etc., or 3) addressed with PPE. The SSWG may not change the scope of the project but may make decisions that relate directly to the remediation of specific hazards. To this end, the SSWG should be included in the scoping phase of the project plan.

UTA initiates the Safety and Security Working Group (SSWG) once 30% design plans are available. At that stage, a Preliminary Hazard Analysis (PHA) is developed and continuously updated throughout the project until it reaches Hold Point 1. After passing Hold Point 1, the PHA is transferred to the Activation Committee, where it becomes the Operational Hazard Analysis (OHA). The OHA process ensures that all unresolved hazards identified during earlier stages are tracked and managed until their resolution.

The SSWG defines the job specific CILS and creates and maintains the PHA. If the SSWG determines that the residual risk of a hazard cannot be reduced below Medium, then the SSWG presents its findings to the SSRC for final risk analysis.

4.1.2.11 Accident Evaluation Group (AEG)

The AEG is comprised of key UTA staff from various departments that would have a role in the development of a Corrective Action plan resulting in UTA-involved accidents. UDOT SSO will also be invited to applicable AEG meetings.

4.1.2.12 Accident Review Committee (ARC)

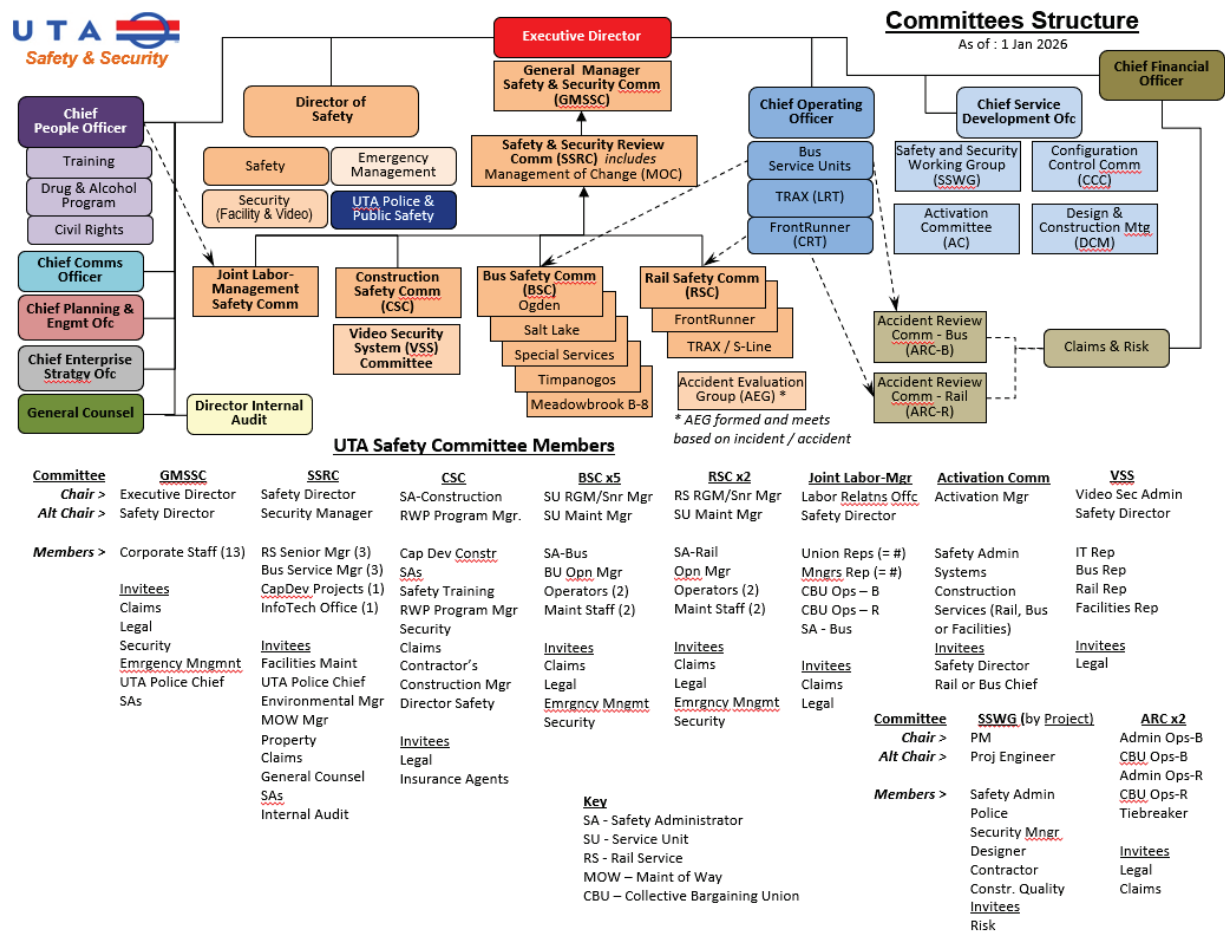
Accidents involving damage or injury are reviewed by the Accident Review Committee to determine whether it was avoidable or unavoidable. The ARC is coordinated through the claims department and consists of two members of management, and two bargaining unit employees. Each ARC will also have a tie-breaker member appointed as needed, as accepted by management and the union.

Members of the ARC committee review all the evidence for each accident individually and then render a sealed vote as to whether the accident is avoidable or unavoidable. The sealed votes are counted by the facilitator with a member of management, and a union representative. Avoidable accidents are charged

against the operator or driver and then classified for damage and injury severity, by UTA's claims unit. Avoidable severity classifications have varying degrees of disciplinary action, up to and including termination.

4.1.2.13 System Safety Committee Organizational Process Chart

UTA has formed a number of committees to combine and coordinate the efforts between system safety, rail service, capital projects, and other departments or agencies, to effectively address safety and security concerns. The current diagram of safety-related committees is provided below.



4.1.3 DEPARTMENT POSITION RESPONSIBILITIES

All employees have the right and responsibility to address safety in their work area, and on the system, and to present safety concerns to their immediate supervisor, manager, or Safety Administrators. The

Manager coordinates with safety committees and the Safety Department to ensure that hazards are quickly and effectively eliminated. Specific departments and positions within UTA have inherent safety responsibilities. These departments, illustrated in the UTA Safety Organization chart, and positions are addressed in the following matrix and sections.

4.1.3.1 System Safety and Related Tasks Matrix:

Safety Tasks	System Safety	Rail Ops.	Rail Veh. Maint	Rail MOW	Cap Dev	Fac. Maint	RSC/BSC	SSRC	ASSC	UTA Board	HR
Prepare safety policy statements	P	S	S	S	S	S	RC, A	RC, A	A		S
Approve UTA corporate policy statements	S	S	S	S	S	S	S	S	A	A	S
Update TASP	P	RC,S	RC,S	P	RC,S	RC,S	S	RC, S	RC, A		RC,S
Hazard management process	P	S	S	S	S	S	P	P	P		
System modification	P	S	S	S	P	S	S	A			
Safety certification	P	S	S	S	P	S	S	P, RC	A		
Safety data collection and analysis	P	S	S	S	S	S	P	P	RC,A		
Accident/incident investigations	P	P	P	P		P	S	RC, A	RC,A		
Emergency management	P	S	S	S	S	S	S	RC, A	RC,A		
Internal safety audits and reviews	S	S	S	S	S	S	S	RC,A	RC,A		S
Rules compliance	P	P	P	P	P	P	S	RC,A			
Facilities/ equipment inspections	S	S	P	P	S	P	S	S			
Maintenance audits/inspections	S	S	P	P	S	P	S	S			
Training/ certification program-employees and contractors	P	P	P	P	P	P	S	S			
Configuration management/ control	P	S	S	S	P	S	S	RC,A	RC,A		
Local, state, and federal requirements	P	P	P	P	P	P	S	S			
Hazardous material programs	P	S	P	P	P	P	S	S			
Drug and alcohol program	S	P	P	P	P	P	S	S			P
Procurement	S	P	P	P	P	P	S	RC,A			
Roadway worker program	P	S	P	P	P	P	S	S			
FRA rules, regulations, safety initiatives, programs	P	P	P	P	P	P	S	S			

P..... Primary
Responsibility
S..... Support
Responsibility
RC..... Review and
Comment
A..... Approval

4.1.3.2 Safety Department

The Safety Department has review responsibility for Design, Construction, Light Rail (TRAX), Commuter Rail (FrontRunner), Bus, and Paratransit safety. Safety Administrators in the department have specific responsibilities within their areas - but are coordinated to assist throughout the organization. The Safety Department also promotes safety within UTA through weekly safety messages, monthly safety posters, and involving UTA employees by rewarding good acts of safety and ideas. UTA also promotes safety within the community through ongoing education outreach through Operation Life Saver, community safety fair, and trucking association presentations.

4.1.3.2.1 Director of Safety and Security

UTA Safety Department is led by the Director of Safety and Security who has direct reporting responsibility to the ED. The DSS has been delegated specific responsibilities, by the ED, for the management of: system safety, occupational safety and health, accident and incident investigation, the continuous hazard management process, the internal safety audit process, oversight of construction safety, safety, and security certification, safety data collection and analysis, industrial hygiene, safety training, safety program implementation, regulatory compliance, and monitoring the implementation of the TASP.

The DSS typically meets with the ED weekly, typically during Corporate Staff and Executive Team meetings to provide updates on safety issues, safety priorities and hazard management, and the impacts of budget reductions and resource constraints on the performance of safety-related maintenance activities and requirements. The DSS coordinates safety activities with all other executives.

DSS leads the ASSC and the SSRC meetings, manages the Safety Administrator, and coordinates construction safety with the Capital Projects Department. DSS serves as the approving authority during the System Safety Certification Program "hold point" process.

The DSS coordinates all activities of the Safety Administrators serving the operational functions of rail and bus.

4.1.3.2.2 Safety Administrator

The Safety Administrators develop and administer system safety within UTA including Transit Systems, Construction, and Instructional Design/Training. These responsibilities include: hazard mitigation and tracking logs, rules observations and compliance, developing, updating and conducting training on OSHA, SMS programs, and roadway worker protection for all contractors and administrative staff, conducts outreach in coordination with Planning and Public Relations, oversees safety curriculum, and maintains required training assignments, certifies safety trainers, oversees record keeping across UTA, completes weekly safety reports, coordinates with safety committees, coordinates FTA, FRA, UDOT SSO, TSA, OSHA activities and audits, conducts safety training programs, conducts and leads activities and drills, enters and tracks NTD, and AIRGET accident data, oversees safety on all construction and renovation projects, conduct investigations, and inspections, verifies safety certification through activation phases of capital projects, collects safety data and prepares reports on incidents, accidents, and corrective actions plans.

4.1.3.2.3 Emergency Management Program Manager

The Emergency Management Program Manager (EMPM) has the responsibility for coordinating and implementing UTA's emergency management activities (planning, training, exercises, response, and recovery), ensuring plans, SOPs, and SOGs are relevant. Additionally, the EMPM recommends and helps coordinate UTA emergency response supplies and equipment, coordinates UTA's response plans with external agencies, and oversees UTA's Emergency Preparedness Plan, and Emergency Response Plan.

4.1.3.2.4 UTA Chief of Police/Public Safety Manager

The UTA Chief of Police/Public Safety Manager reports to the Chief Operating Officer and is responsible for the day-to-day management of the safety and security of all operations, maintenance, and administration facilities of UTA rail, bus, and paratransit systems.

4.1.3.2.5 Roadway Worker Protection Program Manager

The UTA RWP Program Manager reports to the Director of Safety and Security and is responsible for the day-to-day management of the Roadway Worker Protection Program.

4.1.3.3 Operations Department

4.1.3.3.1 Chief Operations Officer

The Chief Operating Officer reports directly to the ED and is responsible for bus, rail, special services, operations, maintenance, fleet engineering, and police — representing about 80% of UTA's workforce. The COO collaborates with the Safety and Security Director and all members of the Executive Team to effectively implement this Transit Agency Safety Plan, Safety and Security Certification Program Plan, and Security Program Plans through the development and implementation of required plans, procedures, and work instructions. The COO also ensures appropriate resources are allocated for the implementation of safety projects and plans.

4.1.3.3.2 Director Operations (Rail)

Is responsible for guiding the planning, organizing, directing and controlling of all functions and activities of TRAX light rail and streetcar, technical services including administration, development, employee relations, safety (with oversight from the Safety Department), budget, compliance, and customer service. Guides the development and implementation of procedures and work instructions, safety regulations (with oversight from the Safety Department), and fee schedules for Light Rail in compliance with federal, state, county, and municipal rules and regulations. Oversees planning and development of Light Rail programs and projects. Assists the Chief Operating Officer in developing programs to meet the needs of citizens. Helps provide a culture of employee engagement by ensuring that all labor and employee relations matters, and activities are conducted in a manner consistent with UTA goals and mission.

4.1.3.3.3 Director Operations (Rail)

Is responsible for guiding the planning, organizing, directing and controlling all functions and activities of FrontRunner Commuter Rail, technical services including administration, development, employee relations, safety (with oversight from the Safety Department), budget, compliance, and customer service, provides oversight and development and implementation of procedures and work instructions, and safety regulations, for commuter rail in compliance with federal, state, county and municipal rules and regulations. The Commuter Rail Service GM oversees planning and development of Commuter Rail

programs and projects and assists the Chief Operating Officer in developing programs to meet the needs of citizens. Additionally, Manager of Commuter Rail helps provide a culture of employee engagement by ensuring that all labor and employee relations matters, and activities are conducted in a manner consistent with UTA goals and mission,

4.1.3.3.4 Director of Maintenance Support

The Director of Maintenance Support is responsible for all rail maintenance facilities and all rail corridor and system infrastructure (Maintenance of Way). The director ensures compliance with roadway worker protection training, training for all equipment workers within facilities.

The Director coordinates with safety committees and the Safety Department to ensure that hazards are quickly and effectively eliminated.

4.1.3.3.5 Regional/Service General Managers (Bus/Special)

The Regional General Managers report to the COO and have day-to-day responsibility for the safe operation, and hazard processes of the bus and paratransit systems and maintenance facilities. The RGMs ensure compliance with driver and maintenance operations and safety training.

4.1.3.3.6 Chief Financial Officer

The Chief Financial Officer reports directly to the ED and has the responsibility for the offices of Accounting, Fares, Supply Chain, and Claims. Has responsibility for ensuring that only approved chemical and hazardous materials are procured, the requesting departments have coordinated safety and environmental requirements of contracts prior to advertisement.

4.1.3.3.7 Director of Capital Design and Construction

The Director of Capital Design and Construction reports to the Chief Capital Services Officer and has the responsibility for project development and delivery, construction, State of Good Repair projects, environmental, and grant administration. The Director has the responsibility for ensuring approved designers and contractors are retained, design criteria, and safety programs for construction are in place on all projects, and construction and systems integration testing for all new rail, bus, and facility projects.

4.1.3.3.8 Senior Program Managers

Senior Program Managers report to the Director of Capital Projects and have responsibility for Project Delivery, Construction and Quality, and Environmental compliance and mitigation. System Safety Certification Program, with "hold points", is the responsibility of the SPM project delivery.

4.1.3.3.9 Information Technology Director

The IT Director reports to the Chief of Enterprise Strategy and is responsible for developing, maintaining and securing UTA's enterprise computer systems and architecture; ensuring appropriate backup and recovery during emergency services; researching and implementing new technology systems to enhance transit services, and electronic fare collection.

4.1.3.3.10 Chief of Planning and Engagement Officer

The Chief Planning and Engagement Officer reports directly to the ED. They oversee the planning department, Community Engagement, Customer Experience, Innovative Mobility Solutions, and Customer Service.

4.1.3.3.11 Director of Planning

The Planning Director reports to the Chief of Planning and Engagement Officer. They oversee a staff that is responsible for all the agencies' long-range transit planning, strategic business planning, financial planning and funds programming, transit-oriented development planning, as well as project development and system optimization.

4.1.3.3.12 Senior Counsel to the Utah Transit Authority

The Senior Counsel reports directly to the ED, and is responsible to review and provide necessary legal advice on safety and environmental issues, managing liability and worker's compensation claims, and reviewing new safety and environmental legislation, or regulations that may impact UTA's functions or operations,

4.1.3.3.13 Chief of Enterprise Strategy Officer

The Chief of Enterprise Strategy Officer oversees the Policy & Risk departments, Information Technology, Operations Analysis & Solutions, and Culture & Continuous Improvement.

4.2 TRAINING AND CERTIFICATION PROGRAMS

4.2.1 EMPLOYEE AND CONTRACTOR SAFETY TRAINING

Training and certification are paramount concerns, and as such UTA has developed a number of educational programs. The following employee classifications perform work that requires safety training and or certification:

- a. Train operators
- b. Operations personnel (hosts, report, etc.)
- c. Vehicle maintenance
- d. Maintenance of way (infrastructure/systems)
- e. Facility maintenance
- f. Passenger facilities maintenance
- g. Controllers
- h. Other personnel and contractors that foul or potentially foul UTA's rail right of way

4.2.1.1 Line and Signal Technicians and Rail Maintenance Workers

Line and Signal technicians and Rail Maintenance workers are required to complete roadway worker training on an annual basis. Line and Signal Technicians undergo training that is conducted by Union Pacific Railroad. This training consists of 4 two-week phases and includes all elements related to signals and crossings and their maintenance, troubleshooting, and repair. In addition to signal training employees may participate in a lineman's correspondence course after completing all phases of the signalmen's school. All equipment training is conducted as on-the-job training and is provided by the employee's direct supervisor. Rail Maintenance workers participate in two correspondence training courses: "Basic Principles of track maintenance and advanced principles of track maintenance". After the completion of these courses, a track maintenance worker must complete one year of maintenance work and must obtain approval of management before becoming a track inspector. Track Maintenance Supervisors must complete the same training to be able to inspect the track. All equipment training is conducted as on-the-job training and is provided by the employee's direct supervisor.

4.2.1.2 Train Operators

Newly hired Train Operators are required to complete a UTA approved, Light Rail New Operator Training Program, of approximately 16-18 weeks of combined in-class instruction and On-the-Job-Training. Training focuses on the skills and knowledge required for New Operators to safely operate all Light Rail Vehicle models, on all lines/routes independently. (Includes, but not limited to, de-escalation training, safety concern identification and reporting training, and Roadway Worker training-basic level only).

4.2.1.3 Controllers

Newly hired Controllers are required to complete a UTA approved Qualification and Certification of Dispatchers Program, in compliance with 49 CFR 245, of approximately 10 weeks of combined in-class instruction, focused on the skills and knowledge required for Controllers to safely monitor/control all movement throughout the Light Rail corridor, on all lines/routes independently. (Includes, but is not

limited to, de-escalation training, safety concern identification and reporting training, and Roadway Worker Training-Basic level and all 5 Roadway Worker roles.)

All Controllers are required to complete an annual Recertification/Refresher course of approximately 8-10 hours of combined in-class instruction and On-the-Job-Training focused on re-enforcement of identified skills and knowledge, as well as Roadway Worker requirements (basic and 5 Roadway Worker roles). Topics vary by calendar year and are based upon recurring trends, identified violations, rules observations, and various reports from agencies providing safety oversight.

4.2.2 TRAINING AND CERTIFICATION FOR EMPLOYEES AND CONTRACTORS

UTA employees and contractor personnel, whether construction or service contractors are required to follow applicable UTA rules and standard operating procedures (SOP) as well as local, state, and federal safety regulations. Service contractors who perform specific jobs under contract are required to follow specific safety or environmental laws that are or may be affected by their work.

UTA has developed a Construction Safety Program Manual that governs contractor safety specifically for contracted construction workers for UTA. This manual outlines the procedures and responsibilities of UTA project managers and contractor personnel who contract with UTA to perform construction work activities. Additionally, the UTA safety goal is to achieve accident-free construction projects.

The UTA Construction Safety Program Manual reflects minimal standards. All general contractors, contractors, and their sub-tiers will be expected to meet or exceed the standards and good safe practices outlined in the manual and their own safety program, whichever is more stringent.

The UTA grants and contract administrator will review and implement contract language requirements for the contract employees to meet. These contracts are written and reviewed by UTA's legal counsel as well as the contract administrator to ensure that specific safety and environmental requirements for contract employees are met.

4.2.3 WORK-REQUIRED TRAINING FOR EMPLOYEES AND CONTRACTORS

All UTA employees and contractor personnel who will be working in the TRAX or FrontRunner corridors, who foul or have the potential to foul the tracks (within 10' of the centerline of the track), must receive the roadway worker protection training prior to beginning their work.

Contractors are responsible for training their employees on OSHA-required training prior to performing UTA projects. Other related training that contract employees and UTA employees will be current on include the following:

- a. Hazard communication
- b. Blood-borne pathogen awareness
- c. Hazardous energy control
- d. General safety awareness
- e. Work-required training for safety-sensitive employees and contractors

Employees and contractors, who are under a legal contract with UTA, are obligated to comply with specific safety and environmental requirements and demonstrate quality of workmanship by

observation and records reviews. Employees and or contract employees will meet the training, inspections, testing, and maintenance specifications as outlined in 49 CFR as it relates to commuter rail vehicle maintenance and personnel training. UTA supervisors, managers, and Safety Administrators are authorized to make regular observations of work being performed and will determine whether safety and environmental requirements are being complied with. The quality of materials and construction processes will also be reviewed by designated quality assurance personnel. Training courses given to employees and contractors will require that tests be completed prior to the completion of coursework. These will be the primary methods used to ensure that compliance is obtained.

UTA identified tasks related to the inspection, testing, and maintenance required by Part 238.109 that must be performed on each type of equipment that FrontRunner operates.

4.2.4 CONSTRUCTION SAFETY REQUIREMENTS

The construction safety program is developed and managed by UTA Safety Administrators. This program defines construction safety functions and responsibilities and other construction safety requirements such as safety equipment, documentation, and safety personnel. All contractors and UTA employees must comply with Occupation Safety and Health Administration (OSHA) rules and the requirements of the construction safety program, UTA Rail Services rule books, SOPs, and individual company contract agreements with UTA.

Contractors who have personnel working around rail systems may be regulated by 49 CFR Part 214, the Roadway Worker Protection Act. Responsive to that requirement, UTA has established a training and certification class for rail roadway workers. All construction and UTA employees who may work on or near the tracks are required to attend this training annually and obtain a certification card or sticker to keep on their person.

The UTA construction safety program will be reviewed and updated on a bi-annual (two-year) basis. The Safety Administrator will have primary responsibility for this update.

4.2.5 RETRAINING AND CERTIFICATION TRAINING, COURSES, EDUCATION

All safety-related courses that are conducted in a classroom environment or through computer-based delivery are maintained electronically by the Safety Administrator over Safety training or by training staff at the service unit level.

Records for the following training: lineman's course, signal certification, and basic/advanced track principles are maintained in the employee training records, in paper form and are available for audit and review. These records are available directly from the rail department managers. The training supervisor and management review the training records to determine completion. Most training is done annually, with all operators, employees, and supervisors being trained in the same month. These records are reviewed during the scheduled internal audits.

4.2.5.1 De-Escalation Training

Training on the de-escalation of potentially hostile interactions with members of the public is provided to operations and maintenance personnel. Local training groups are given the discretion to select or

develop training content to best fit the specific needs and scenarios most likely to be encountered by UTA employees in their supported areas.

4.2.5.2 Safety Administrators Certification

The Safety Department recognizes the FTA Transportation Safety Institute (TSI) to administer transit safety and security training certifications for all Safety Administrators at UTA. All Safety Administrators and Safety Director will complete the TSSP within the first three years of their safety assignment. Safety Administrators and Safety Director assigned to the Light Rail Department will complete the PTSCTP certification through TSI within the first three years of their job assignment. This certification involves the successful completion of the Transit Safety and Security Program Certificate as outlined by the TSI training manual. Courses required are:

- a. Transit Rail/Bus System Safety
- b. Transit Rail/Bus Incident Investigation
- c. Effectively Managing Transit Emergencies
- d. Safety Management Systems
- e. SMS Awareness CBT
- f. SMS Assurance Webinar

Note: Safety refresher training is typically held during safety department meetings.

UTA Safety Administrators are TSSP Certified through the Transportation Safety Institute and are eligible to receive additional safety certification through the World Safety Organization. Safety-related instruction is emphasized through UTA's corporate policies and procedures, maintained on UTA's intranet.

4.2.6 TRAINING COMPLIANCE REVIEW

UTA Safety shall conduct periodic reviews of training materials and records to ensure compliance with safety training requirements.

4.2.6.1 Review of Assignment Completion and Record-Keeping

The Safety Administrator responsible for safety training will review safety training records every six months to determine the status of safety training compliance. Other parties, such as the RWP Program Manager and additional Safety Training Administrators, may be invited to participate in the review process, based on the current needs and situation. This review will include the following actions:

1. Ascertain the level of compliance with existing safety training assignments across UTA
2. Discover and highlight any shortfalls or issues with training compliance, including a review of previously reported issues with training compliance to confirm they have been resolved
3. Forward these findings and recommendations to the Safety Committees responsible for impacted areas

Safety Committees will then be responsible for reviewing the reported safety concerns and determine the appropriate interventions using the existing Hazard Management process.

4.2.6.2 Review of Training Content

Training content shall be reviewed as part of the process in place for the review and updating of the related UTA Safety Policies and Procedures.

4.3 LOCAL, STATE, AND FEDERAL REQUIREMENTS

4.3.1 UTA SAFETY POLICIES/CORPORATE POLICIES

The board of trustees, in their Policy Operational Directive for Safety (2.1. Safety No. 1.2.1), creates the foundation that ensures the safety of employees, passengers, and the public. The following standards are incorporated into UTA’s agency-wide safety standard operating procedures and written policies that include local codes, state, federal, and OES&H standards, and other safety initiatives. Safety requirements are applicable to UTA employees, contractors, passengers, and the public.

UTA.03.01	Employee and Public Safety
4.3.2	Fire Protection and Evacuation Plans
4.3.3	Hazard Communication or Right to Know Policy (OSHA)
4.3.12	Personal Protective Equipment
4.3.6	Visitor Access
AGCY.03.01	Emergency Notification Policy
4.3.10	Bloodborne Pathogens Policy
3.xx.xx	New Chemical Approval Policy

4.3.1.1 Agency Safety Standard Operating Procedures

OSH	4.211 Machine Equipment Safety Guarding Plan
OSH	4.146 Confined Space entry
OSH	4.1030 Exposure Control (BBP)
OSH	4.22 Fall Protection
OSH	4.147 Hazard Energy Control
OSH	4.95 Hearing Protection
OSH	4.33 Hot Work
OSH	4.176 Power Industrial Truck and Forklift Safety
OSH	4.179 Overhead lifting
OSH	4.1903 Regulatory Inspection Response
OSH	4.134 Respiratory protection
OSH	4.25 Roadway Response Safety
OSH	4.5 Safety Inspections and Audits
OSH	4.94 Spray Painting Operation
OSH	4.21-30 Walk and Working Surfaces

4.3.1.2 IV 3.3 Health and Environmental

4.4.1	Environmental Protection (Renumbered 4.4.1)
4.4.1-1	Environmental Protection (SOP)
4.4.2	Battery Recycling (SOP)
4.4.3	Electronic Waste and Mercury-Containing Equipment (SOP)
4.4.4	Hazardous Waste Management (SOP)
4.4.5	Parts Washer Solution Management (SOP)
4.4.6	Industrial Waste Water (SOP)

- 4.4.7 Public Transit Shelter Cleaning (SOP)
- 4.4.8 Spill Response and Reporting (SOP)
- 4.4.9 Storm Water Pollution Prevention (SOP)
- 4.4.10 Universal Waste Management (SOP)
- 4.4.11 Used Oil Filter Management (SOP)
- 4.4.12 Used Oil Management (SOP)
- 4.4.13 Vehicle Engine Idling

4.3.2 OCCUPATIONAL, ENVIRONMENTAL, SAFETY AND HEALTH (OES&H)

An important aspect of safety compliance falls under Occupational, Environmental, Safety, and Health (OES&H) rules, regulations, guidance, and initiatives. UTA's Safety Administrators work closely with managers, supervisors, and employees to ensure an understanding of the various requirements of OES&H, as well as to other federal, state, and local rules, standards, and ordinances. All new UTA employees receive awareness training from their supervisors on department environmental procedures including, chemical safety data sheets (SDS) and hazard communication, recycling, spill response, minimizing excess idling, energy management, water conservation, and strategies to reduce UTA's carbon footprint (greenhouse gas reduction).

The UTA Environmental Corporate Policy specifically requires UTA to comply with the legal requirements of all local, state, and federal laws.

Contractors performing work at UTA facilities who bring chemicals onto UTA property must notify their UTA contract project manager of all chemicals brought on-site. Contractors are responsible for providing copies of the corresponding chemical Safety Data Sheets (SDS) to their UTA project manager. The UTA project manager will ensure that UTA is aware of the potential risks for spills, releases, and other impacts to UTA for chemicals brought on-site if they are not handled according to the manufacturer's recommendations. Contractors must also present their work plan and employee personal protection procedures for handling chemicals associated with the contracted work at UTA to the UTA project manager. Any Contractor personnel who demonstrate a lack of understanding of applicable safety rules and procedures may be removed from the work site and required to complete additional safety training. The UTA project manager is responsible for maintaining copies of all chemical SDS sheets and the contractor work plans.

4.3.2.1 Construction Safety

Construction safety is administered in accordance with contract specifications, and applicable Federal, State, and local safety requirements. The UTA Safety Administrator-Construction has primary responsibility for safety oversight of construction projects. The program is based on and complies with applicable federal, state, and local safety codes and regulations, including UOSH. Procedures have been established for the control of operating hazards, including but not limited to chemicals, noise, cut and abrasion injuries, strain, and sprain injuries. Contractors are required to comply with these requirements for the safety of their employees as well as to safeguard UTA employees, contractors, passengers, and the public.

Engineering and Project Management approves the contractor's safety program plan and supporting documentation, with the concurrence of the Safety Department. Particular emphasis is placed on work

that may affect UTA operations, passengers, facilities, and personnel. All contractors working in the UTA rail rights of way or interfacing with UTA Rail Operations are required to attend Roadway Worker Protection (RWP) safety training. This training covers track access, right-of-way flagging, and operating procedures. Audits of the contractors are conducted to ensure compliance with Federal and State Law, and the UTA requirements.

4.3.2.2 Employee and Contractor Awareness of FRA Requirements

UTA employees and contractors are required to be aware of and comply with specific FRA regulations. Roadway Worker Protection (RWP) (49 CFR 214) is a safety requirement that employees and contractors must follow. Employees and contractors who may foul the tracks or have the potential to foul the tracks while performing their work are required to receive specific Roadway Worker Protection training before they perform roadway work. The rail control centers have established a Work Permit which must be completed and submitted for approval prior to working on the tracks. Contractors and employees must receive RWP training and verify competency through testing. The Track Access Coordinator reviews and verifies training requirements prior to approving work permits. Safety personnel and Rail Supervisor personnel may remove an employee or contractor from a worksite if he/she demonstrates a lack of knowledge and understanding of applicable RWP rules and procedures.

Contracts require compliance with specific UOSH regulations and employee safety programs as applicable to the work being performed. Safety personnel and rail supervisory personally conduct inspections of contractor worksites to assess contractor employee knowledge of and compliance with regulatory and contract requirements. Deficiencies are brought to the attention of contractor project managers for corrective action.

Specific UTA employees must comply with Hours of Service requirements set forth by the FRA while in the performance of specific job duties. Currently, Train Operators, Operations Supervisor/Controllers, and Line and Signal Technicians must comply with Hours of Service requirements.

4.3.2.3 Personal Protective Equipment

Appropriate personal protective equipment (PPE) such as safety glasses, safety boots, gloves, face shields, work uniforms, etc. is provided and is required to be used in performing various work by UTA personnel. This equipment is evaluated and approved by the safety department prior to procurement. Employees who are required to wear approved safety work boots use a tool or uniform allowance or may use a UTA P-card to make the purchase. UTA provides personal protective equipment and supervisors approve purchases as needed by the employees.

4.3.2.4 Safety and Industrial Hygiene Studies and Reviews

The safety department is responsible for monitoring facility compliance with applicable UOSH standards (29 CFR 1910, General Industry and 29 CFR 1926 Construction Standards). Safety personnel work with managers and supervisors to develop programs to ensure a safe and healthful work environment. The safety department performs periodic safety audits/inspections of facilities and work equipment. The safety department develops processes for safety procedures such as confined spaces, blood-borne pathogens, hazard communication, respiratory protection, and personal protective equipment.

Industrial hygiene studies are conducted periodically to evaluate the degree of employee exposure to chemical and or physical agents encountered in the work environment. The evaluation results are utilized to determine the necessary corrective action, including the implementation of engineering and administrative controls required and the use of PPE. Examples of industrial hygiene testing performed include:

- a. Noise level monitoring
- b. Organic vapors or solvents
- c. Measuring the particulate level of air quality
- d. Concentrations of silica

4.3.2.5 Safety Training Effectiveness and Knowledge of Employees

UTA provides safety training for employees in accordance with UOSH requirements. Employees are tested on their knowledge of the course materials upon completion of the course. Supervisors are required to assess employee knowledge as necessary. Safety department personnel perform observations of employee and supervisor knowledge of safety regulatory requirements as part of facility and worksite inspections and audits and may recommend refresher training as required.

4.3.3 FEDERAL RAILROAD ADMINISTRATION AND TRAX LIGHT RAIL

UTA's light rail service (TRAX) is one of the few transit agencies in America that is also regulated by the FRA, in addition to FTA, and UDOT SSO agencies. Portions of UTA's light railroad tracks share limited freight operations with railroad operators through temporal separation, and as such come under FRA jurisdiction. UTA ensures compliance with FRA regulations, as specified by 49 CFR Parts 213 to 240. UTA has received FRA waivers for a number of the CFR parts, as defined by a number of waiver agreements.

Joint FRA/FTA policy statements explain how these agencies coordinate their safety authority.

UTA rail Safety Administrators work closely with the FRA to ensure compliance, and to develop safety initiatives and programs to satisfy regulatory requirements.

4.3.4 FEDERAL RAILROAD ADMINISTRATION AND FRONTRUNNER COMMUTER RAIL

It is the intent of this Transit Agency Safety Plan to meet all the applicable FRA requirements for commuter rail (FrontRunner) as well as the Light Rail system. This plan will not identify all the specific requirements of 49 CFR; however, it will identify the parts that will be regulated by the FRA. Specific standard operating procedures (SOP) will be developed in each of the operating areas of maintenance and operations, with the exception of waivers that have been approved by the FRA for the operation of the Light Rail system. These procedures will identify the inspection, testing, and maintenance of numerous tasks. The following is a list of the Code of Federal Railroad Administration Regulations (49 CFR) relating to commuter rail operating equipment on standard gage rail that operates on or is connected to the general railroad system. This list is taken from the Manual for the Development of System Safety Program Plans for Commuter Railroads published May 15, 2006, by APTA.

Part	49 CFR Title	Purpose or Brief Summary of the Standard
213	Track Safety Guidelines	Prescribes minimum safety requirements for railroad track maintenance.
214	Railroad Workplace Safety	Prevent accidents and injury while working on or near the track. Roadway Worker Protection Parts A, B, C, D.
217	Railroad Operating Rules	Rules and practices with respect to the operation of trains and equipment on the general railroad.
218	Railroad Operating Practices	Contains the minimum requirements for operating rules and practices, timetables, and special instructions.
219	Control of Alcohol and Drug Use	Prevent accidents in railroad operations that result from impairment of employees by alcohol or drugs.
40	Transportation Workplace Drug Testing	DOT procedures for drug and alcohol testing in the workplace.
220	Radio Guidelines and Procedures	Minimum requirements governing the use of wireless communication with railroad operations.
221	Rear-End Marking Devices	Minimum requirements governing highly visible marking devices for the trailing end of the rear car for all passenger, commuter, and freight trains.
222	Use of Locomotive Horns at Public Grade Crossings	To provide safety at public highway-rail grade crossings by requiring locomotive horn use at public highway rail-grade.
223	Safety Glazing Standards - Locomotives	Provides minimum standards for glazing materials in order to protect railroad employees and passengers from objects striking windows of locomotive, caboose, and passenger cars.
225	Railroad Accident and incidents Reports, Classifications, and Investigations	Provide FRA accurate information concerning hazards and risks that exist on the nation's railroads.
228	Hours of Service of Railroad Employees	Prescribes reporting and record keeping requirements with respect to the hours of service of certain railroad employees. (LRD-00017)
229	Railroad Locomotive Safety Guidelines	This part prescribes minimum federal safety standards for all locomotives except those propelled by steam power.
231	Railroad Safety Appliance Guidelines	Appliances such as hand braking applications, coupling, running boards, ladders, steps, clearances, roof handholds, side handholds, etc.

Part	49 CFR Title	Purpose or Brief Summary of the Standard
232	Brake System Safety Standards for Freight and Other Non-Passenger Trains and Equipment; End of Train Devices	Sub-part “E” is for passenger trains; prescribes federal safety standards for freight and other non-passenger train brake systems and equipment. Sub-part “E” of this part prescribes federal safety standards not only for freight and other non-passenger trains, but also for passenger train brake systems.
233	Signal System Reporting Requirements	This part prescribes reporting requirements with respect to methods of train operation, block signal systems, automatic train stop, train control, and cab signal systems, or other similar appliances, methods, and systems.
234	Grade Crossing Signal System Safety	This part imposes minimum maintenance, inspection, and testing standards for highway-rail grade-crossing warning systems. This part also prescribes standards for the reporting of failures of such systems and prescribes minimum actions railroads must take when such warning systems malfunction.
236	Rules the Installation, Inspection, Maintenance, and Repair of Signal and Train Control Systems,	This part establishes the minimum requirements for rules, standards, and instructions for testing, inspection, and maintenance of train signal devices and appliances.
238	Passenger Equipment Safety Standards	The purpose of this part is to establish minimum safety planning requirements that will lead to the prevention of collisions, derailments, and other occurrences involving railroad passenger equipment that causes injury or death to railroad employees, railroad passengers, or the general public; and occurrences to the extent they cannot be prevented.
239	Passenger Train Emergency Preparedness	Applies to passenger railroads and prescribes minimum federal safety standards for the preparation, adoption, and implementation of emergency preparedness plans by railroads connected with the operation of passenger trains and requires each affected railroad to instruct its employees on the provisions of its plan.
240	Qualifications and Certification of Locomotive Engineers	Applies to all railroads, and establishes the minimum federal safety standards for training, testing, certification, and monitoring of all locomotive engineers to whom it applies regardless of the fact that a person may have a job classification title other than that of locomotive engineer.

V APPENDICES

Appendix A: JOINT LABOR-MANAGEMENT SAFETY COMMITTEE

CHARTER

1. Purpose

The purpose of the Joint Labor-Management Safety Committee (JLMSC), pursuant to the federal Infrastructure Investment and Jobs Act (49 U.S.C. §5329), is to enhance the health, well-being, and safety performance of the Utah Transit Authority and its employees. The goal of the JLMSC is to eliminate and reduce identified safety risks to the lowest level practicable by reviewing safety information, performance targets, and other means necessary to recommend and make reasonable suggestions and take actions to improve safety at UTA for its employees.

2. Responsibilities

The JLMSC's responsibilities are to facilitate cooperation between UTA and the Union in safety, health, and well-being matters of the organization; to review and approve the Transit Agency Safety Plan (TASP); to set annual Safety Performance Targets as required under §673.11(a)(7)(iii); and jointly to develop RRP (Risk Reduction Plans) and support the Safety Management System (SMS).

A. Identifying and recommending safety risk mitigations necessary to reduce the likelihood and severity of potential consequences identified by the JLMSC, including safety risk mitigations associated with any instance identified by the JLMSC as not meeting an annual safety performance target set by the JLMSC in the safety risk reduction program.

B. Identifying safety risk mitigations that may be ineffective, inappropriate, or not implemented as intended, including safety risk mitigations associated with any instance in which UTA did not meet an annual safety performance target in the safety risk reduction program, as identified by the JLMSC.

C. Identifying safety deficiencies for purposes of continuous improvement as required by §673.27(d), including any instance in which the transit agency did not meet an annual safety performance target in the safety risk reduction program, as identified by the JLMSC.

3. Appointment And Term of Appointment

The JLMSC will consist of an equal number of committee members, with UTA and ATU Local 382 selecting their respective members. The term of each appointed committee member will be decided by the respective party, and UTA and the Union may replace their respective members at any time they see fit.

4. Number of Representatives; Resignations; Vacancies

Each party will elect or appoint its respective members to the committee using its own selection process. Each party will determine the length of service on this committee for its appointed members. If a current JLMSC member is unable to attend a scheduled JLMSC meeting, that party may choose an alternate to attend the meeting in the absence of the member who is unable to attend.

5. Dispute Resolution

Pursuant to 49 CFR 673.19(c)(8), or any applicable law, the Joint Labor-Management Safety Committee (JLMSC) shall maintain a documented process for resolving disputes to ensure the Committee can carry out its operations effectively. Neutral Facilitator/Tiebreaker UTA and ATU Local 382 (the Parties) shall attempt to select, by mutual agreement, a neutral individual with safety experience to serve as a Facilitator/Tiebreaker from among the names provided by the organizations listed below. No Facilitator/Tiebreaker on the list will have worked with, be seeking to work with, or have had a prior relationship with UTA, nor be affiliated with the ATU.

- University of Utah
- Weber State
- University Rocky Mountain Center for Occupational and Environmental Health

In the event the Parties cannot mutually agree on a Facilitator/Tiebreaker from the list of names provided by the organizations, the Parties shall select the Facilitator/Tiebreaker by striking names from the list. The Parties shall flip a coin to determine who shall strike a name first and alternately strike names until only one name remains. The individual whose name remains shall serve as the Facilitator/Tiebreaker. The Facilitator/Tiebreaker shall attend all meetings to be up-to-date on all aspects/issues surrounding the JLMSC. The Facilitator/Tiebreaker shall be paid by UTA.

Role of the Facilitator/Tiebreaker

In the event that the JLMSC cannot reach agreement on an issue by majority vote, the JLMSC shall refer the issue over which the JLMSC is deadlocked to the Facilitator/Tiebreaker.

- The Facilitator/Tiebreaker shall first attempt to achieve consensus by working with both Parties.
- If consensus cannot be achieved, the Facilitator/Tiebreaker shall cast the tiebreaking vote, and that decision shall be final with respect to the matter under dispute.

Annual Review

The Parties shall meet once per year to jointly evaluate the effectiveness of the Facilitator/Tiebreaker process and determine whether any adjustments are necessary to improve fairness, efficiency, and compliance.

6. Duties of the (Co) Chairpersons

An assigned UTA representative and a Union representative will both act as Co-Chairs of the JLMSC. The Co-Chairs will work together and decide who will conduct JLMSC meetings, as well as develop the agenda, on a rotating basis. Finalized agendas will be submitted to the committee at least 48 hours in advance. UTA staff will provide all materials and support requested and necessary for the members of the JLMSC. UTA staff will provide the JLMSC with, including but not limited to, the following: Provide correspondence and reports requested by members of the JLMSC; Prepare meeting minutes and recorded decisions to be approved by the JLMSC members; Provide access to necessary and required information, resources, tools, and technical experts; Provide access to submissions to the transit worker safety reporting program to support its deliberations.

7. Training

All representatives of the Committee will be trained on any new regulatory updates and changes at the first JLMSC meeting of each year. The JLMSC will determine the training necessary to support its purpose, SMS principles, responsibilities, processes, and tools to address safety concerns.

8. Meeting

The JLMSC will meet no less than quarterly. The JLMSC may meet more frequently if the members of the committee deem it necessary. Each meeting will be scheduled on the second Tuesday of the second month of each quarter from 10:00 a.m. to noon and will be adjusted as necessary by the members of the JLMSC. JLMSC members will be provided materials and given a reasonable time to prepare for upcoming JLMSC meetings.

- February
- May
- August
- November

9. Attendance and Alternatives

Regular attendance at scheduled meetings is expected of JLMSC members. Each party will provide an alternate representative to attend if necessary. UTA and the Union shall encourage cooperation and regular attendance. UTA will pay the BU representatives for attending any JLMSC or related meetings.

10. Agenda

Agendas for each JLMSC meeting will be agreed to by the JLMSC Co-Chairs.

11. Minutes

UTA will provide support staff, as agreed to by the JLMSC members, to take and maintain the minutes of JLMSC meetings and to provide and record the recommendations, decisions, and actions taken by the JLMSC. The meeting minutes will then be provided to all JLMSC members to review and amend if necessary. The final meeting minutes will then be provided to the JLMSC members for final review and approval at the next scheduled meeting. Once the minutes are approved by the JLMSC, a copy of the approved minutes will be provided to the Union President/BA and to UTA, which will retain copies of the minutes for three years or as otherwise required by 49 CFR.

12. Voting Quorum

The voting quorum will consist of the JLMSC members. All JLMSC members (or an alternate, if necessary, for an absent JLMSC member) must be present to vote on any JLMSC actions. A majority vote of all representatives is required to approve Safety Committee actions.

13. Employee Involvement

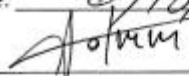
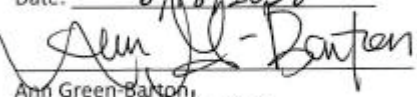
Any JLMSC member may bring hazards to the committee for discussion at any time. Hazard logs and employee concerns and incidents will be provided to and reviewed by committee members.

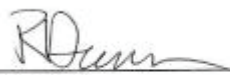
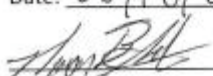
14. Language Warranty

The JLMSC and this charter are applicable and in effect only so long as required by applicable federal laws and regulations.

15. Effective Date

This Charter shall be effective on 5/14/2026. The JLMSC may amend this Charter at any time with the full agreement of both parties' appointed members.


 Travis King
 Date: 6/18/2026

 Andres Colman
 Date: 6/18/2026

 Ann Green-Barton
 Date: 06/18/2026


 Rod Dunn
 Date: 06/18/2026

 Norm Blessant
 Date: 18 June 2026

 Doug Underwood
 Date: 6-18-26

Appendix B: INTERNAL REVIEW SCHEDULE (2025-2027)

UTA TRAX Internal Review Schedule SAFETY 2025 to 2027						As of: 13 November 2024		
#	TASP (SSPP) Internal Review Item/Chapter Departments Audited	Audit Frequency	UDOT Scheduled date	UDOT Notice Y/N	Date Last Completed	UTA Next Audit Date Completed / Due Date		
						2025	2026	2027
1	Policy Statement, and Authority for Transit Agency Safety Plan (TASP) {Rail System Safety}	*Triennial			11/20			2027
2	TASP Goals and Objectives {Rail System Safety}	*Triennial			11/19		2026	
3	Overview of Management Structure {Rail System Safety}	*Triennial			11/20			2027
4	TASP Control and Update Procedure {Rail System Safety}	*Triennial			11/19		2026	
5	TASP Implementation Activities and Responsibilities {Rail System Safety}	*Triennial			11/20			2027
6	Hazard Management Process {Rail System Safety, Capital Development, Rail Safety Comm (RSC), Rail Activation Comm (RAC), Safety & Security Review Comm (SSRC)}	Triennial			11/19		2026	
7	System Modification {Capital Development, RAC, SSRC, Fire Life Safety & Security Committee (FLSSC)}	Triennial			10/18	2025		
8	Safety Certification {Capital Development, RAC, SSRC, FLSSC}	*Triennial			11/19		2026	
9	Safety Data Collection and Analysis {Rail System Safety, Rail Operations, Claims}	Triennial			11/20			2027
10	Accident/Incident Notifications Investigations – also Includes FR and TRAX FRA reporting AirgNet. {Rail System Safety, Rail Opns, MOW, Vehicle Maint}	Annual			11/20	2025	2026	2027
11	Emergency Management Program {Rail System Safety, Public Safety, Rail Operations, Special Projects}	Triennial			11/19		2026	
12	Internal Safety Audits/Reviews {Rail System Safety, Public Safety}	Triennial			11/20			2027
13	Rule Compliance {Rail Operations, MOW, Vehicle Maintenance, Passenger Services Facilities}	*Triennial			11/19		2026	
14	Facilities, and Equipment Inspections {MOW facilities, Passenger Services Facilities, SRC, Vehicle Maintenance}	*Triennial			10/18	2025		
15	Maintenance Audits, and Inspections {Vehicle Maint, Rail Systems, Rail Infrastructure}	Triennial			11/19		2026	

16	Training and Certification Program for Employees and Contractors {Rail Operation Training, Vehicle Maintenance Training, MOW Training }	Triennial			10/18	2025		
17	Configuration Management and Control {Capital Development , RAC, SSR, FLSSC}	Triennial			10/18	2025		
18	Local, State, and Federal Requirements {Rail operations, MOW, Vehicle Maintenance, Passenger Services Facilities}	Triennial			11/20			2027
19	Hazardous Materials Program {MOW, Vehicle Maintenance, Environment}	Triennial			11/20			2027
20	Drug and Alcohol Program {HR, Rail Operations}	Triennial			10/18	2025		
21	Procurement {Purchasing, Vehicle Maint, MOW, Capital Dev}	Triennial			10/18	2025		
22	System Security {Public Safety}	Triennial			See Security Below			
*was annual								

UTA Internal Review Schedule - SECURITY 2021 to 2023

Item #	System Security Plan (SSP) Internal Review Item	Date/ Frequency	UDOT Scheduled date	Notice to UDOT ?	Date Last Completed	UTA Next Audit Date Completed / Due Date	
1	Policy Statements	Triennial				2025	
2	System Description	Triennial				2025	
3	Management of the System Security Program	Triennial				2025	
4	System Security Program Components	Triennial				2025	
5	Threat and Vulnerability Identification, Assessment and Resolution	Triennial			11/20		2027
6	Implementation and Evaluation of the System Security Plan (SSP)	Triennial			11/20		2027
7	Modification of the SSP	Triennial			11/20		2027

UTA External Review Schedule - SAFETY 2019 to 2022

External Reviewing Agency	Date / Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS) OSHAS 18001	Recert: Triennial Update: Annual		NA		

UTA External Review Schedule - SECURITY 2019 to 2022

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Date next Scheduled
TSA BASE Audit	Triennial		NA		

UTA TRAX Internal Review Schedule SAFETY 2025 to 2027

As of: 13 November 2024

#	TASP (SSPP) Internal Review Item/Chapter Departments Audited	Audit Frequency	UDOT Scheduled date	UDOT Notice Y/N	Date Last Compl eted	UTA Next Audit Date Completed/Due Date		
						2025	2026	2027
UTA Policy								
1	Authority and policy Statement	Triennial					2026	
2	Goals and Objectives	Triennial				2025		
3	Overview of Management Structure	Triennial					2026	
4	TASP annual updates, Revisions and Changes	Triennial				2025		
Risk Management								
5	Risk Management Program	Triennial				2025		
6	Hazardous Materials Program	Triennial					2026	
Assurance								
7	Internal Safety Audit/Review Program	Triennial					2026	
8	Accident Notification, Investigation, and Reporting	Triennial						2027
9	Safety Data Collection and Analysis	Triennial					2026	
10	System Modifications (Management of Change)	Triennial						2027
11	Configuration Control	Triennial						2027
12	System Safety and Security Certification	Triennial				2025		
13	Rules Compliance	Triennial				2025		
14	Facilities, Structures and Equipment Inspections	Triennial				2025	2026	2027
15	Maintenance Audits and Inspection Program	Triennial				2025	2026	2027

16	Drug and Alcohol Program and Medical Monitoring	Triennial						2027
17	Procurement	Triennial						2027
Promotion								
18	TASP Implementation Activities and Responsibilities	Triennial			11/20		2026	
19	Training and Certification Program	Triennial			11/20			2027
20	Local, State, and Federal Requirements	Triennial			10/18		2026	
<i>*was annual</i>								

UTA Internal Review Schedule - SECURITY 2025 to 2027

Item #	System Security Plan (SSP) Internal Review Item	Date/ Frequency	UDOT Scheduled date	Notice to UDOT ?	Date Last Completed	UTA Next Audit Date Completed/Due Date	
1	Policy Statements	Triennial				2025	
2	System Description	Triennial				2025	
3	Management of the System Security Program	Triennial				2025	
4	System Security Program Components	Triennial				2025	
5	Threat and Vulnerability Identification, Assessment and Resolution	Triennial			11/20		2027
6	Implementation and Evaluation of the System Security Plan (SSP)	Triennial			11/20		2027
7	Modification of the SSP	Triennial			11/20		2027

UTA External Review Schedule - SAFETY 2025 to 2027

External Reviewing Agency	Date / Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS)	Recert: Triennial Update: Annual		NA		

**UTA External Review Schedule -
SAFETY 2015 to 2018**

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Expected Schedule Date
FTA	Triennial		NA		
UDOT SSO	Triennial		NA		
Safety Management System (SMS)	Recert: Triennial Update: Annual		NA		

**UTA External Review Schedule –
SECURITY 2025 to 2027**

External Reviewing Agency	Date/Frequency	Scheduled date	Notice Given UDOT SSO	Date Last Completed	Date next Scheduled
TSA BASE Audit	Triennial		NA		

Appendix C: SAMPLE DOCUMENTS

Appendix C-1 SAFETY DASHBOARD (SAMPLE)



Hazard Mitigation - Compliance - Continual Improvement


**SAFETY &
EMERGENCY MANAGEMENT
Dashboard
August 2024**

 Reactive → Proactive → Predictive
Find → Fix → Follow Up
Leading / Influencing Indicators

Safety Events	Monthly		Monthly		Monthly		YTD
	Admin	Bus	TRAX	FR	Total	%	
Safety Committee Mtgs	1	5	1	1	8	100%	74
Education Outreach	6	2	2	2	12	240%	101
# interviews	-	61	10	2	73	114%	686
# rides / observations	-	38	2	1	41	171%	356
Rules Checks-Safety	-	23	849	135	1,007	na	792
Rules Violations-Safety	-	3	17	8	28	na	501
Avg days on Hazard Log	-	155	607	206	242	180	na
# "High" open hazards	-	-	1	-	1	na	na
Hazards Closed (YTD)	-	11	16	-	27	na	27
Broken Gates	na	na	20	5	25	na	177
Trespassers	na	na	67	7	74	na	620
Emergency Brake	na	na	56	24	80	na	639
Near Miss Reports	na	na	na	0	-	na	40

Audits Rcmd / Findings
 Triennial 2021
 UDOT HOS (Aug 2022)
 Totals

Rcmd	Findings	Submt	Closed	% Closed
22	10	0	30	94%
0	2	0	2	100%
22	12	0	32	94%

Lagging Indicators

(Graphs on second page)

Bus	All Accidents		Avoidable Acc.		NTD Major		Pace
	Mo	YTD	Mo	YTD	Mo	YTD	
Meadowbrook	18	219	2	46	21%	1	14
Central	5	92	0	31	34%	1	4
Special Svcs	3	40	3	16	40%	0	0
Ogden	11	115	3	21	18%	0	11
Timpanogos	2	62	0	21	34%	1	6
All Incidents	39	528	8	135	26%	3	35

NTD Major Incidents	Monthly		Pace
	2023	2024	
NTD Major Incidents	3	35	42
NTD Major - injuries	2	9	20
Summary injuries	-	2	9
Fatalities	-	-	0

Employee Injuries	Aug-24		Pace
	2023	2024	
Lost Time Injury	10	43	73
Medical Injury	10	88	120
WC Report Only	13	109	141

Employee Assaults	YTD	
	2023	2024
Bus	2	3
Light Rail	1	3
Commuter Rail	-	-

Construction
 Depot District
 Ogden BRT

%	Lost	Recordabl	First
Comple	Time	e	Aid
99%	0	0	0
99%	0	0	1

TRAX -

Mo	YTD	Monthly	2023	2024
NTD Major Incidents	4	33	43	40
NTD Major Injuries	0	4	8	5
Summary Injuries	7	19	20	23
Fatalities	0	4	5	5

S-LINE +

Mo	YTD	Monthly	2023	2024
NTD Major Incidents	0	0	0	-
NTD Major Injuries	0	0	0	-
Summary Injuries	0	0	0	-
Fatalities	0	0	0	-

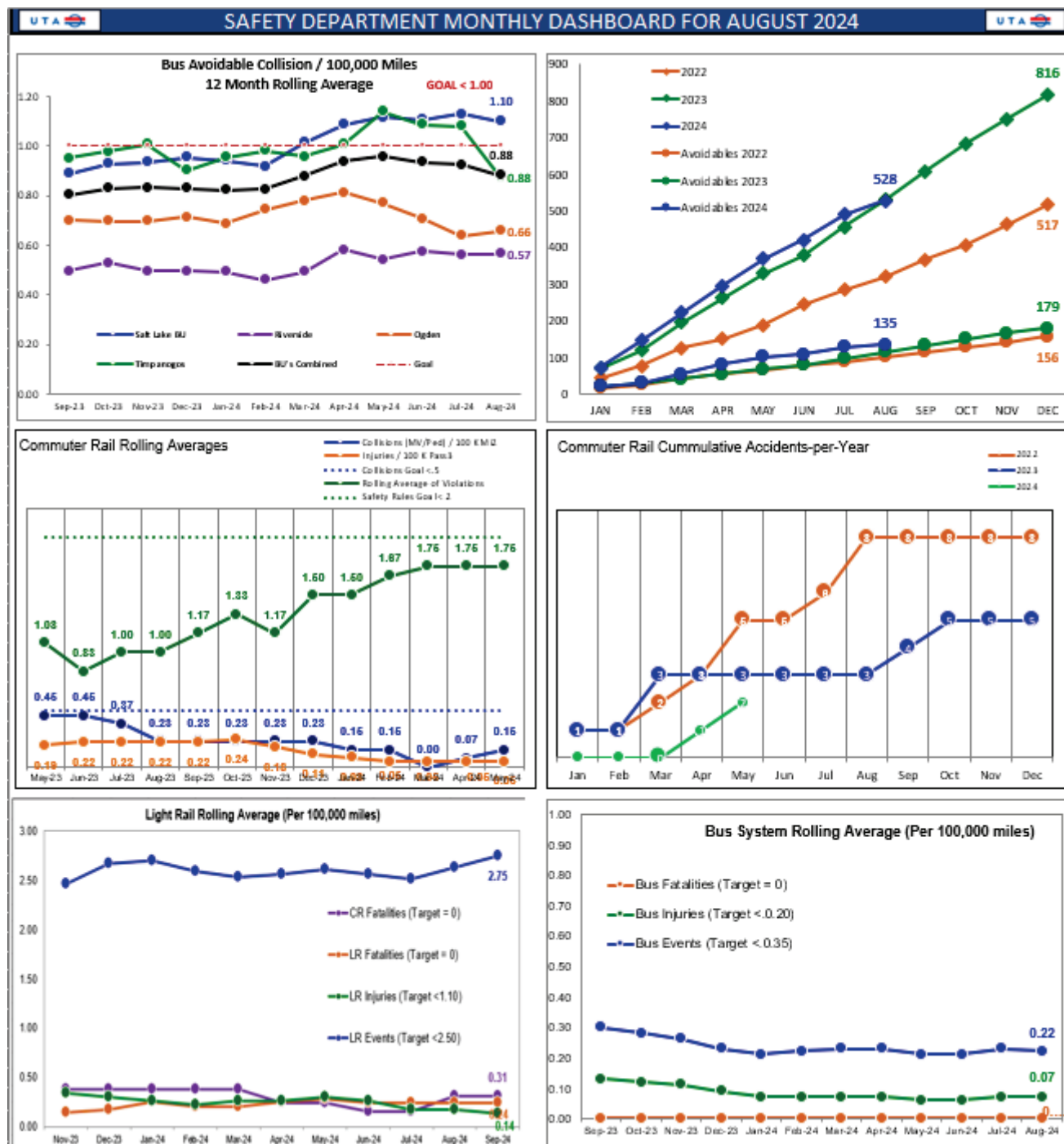
FrontRunner -

Mo	YTD	Monthly	2023	2024
FRA Major incidents	0	0	5	-
Injuries	0	0	20	-
Fatalities	0	0	5	-

Improving / Good	+
Stable / Acceptable	0
Declining / Poor	-



Appendix C-2 COLLISIONS/INJURIES ROLLING AVERAGE INDEX (SAMPLE)



Appendix C-3 INTERNAL AUDIT INSPECTION CHECKLISTS AND SCHEDULE (SAMPLE)

TASP # 1: Authority and Policy Statement

TASP # 1: Goal and Objectives Table

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the TASP

VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
Document Review	Review TASP Policy Statement, ensuring: That it endorses UTA's safety program; that it has the signature of UTAs General Manager (GM, Executive Director (ED), or Chief Executive Officer (CEO); that it describes the authority that establishes the TASP; and that it is dated.		
Rules Review	n.a.		
Records Review	n.a.		
Interviews with UTAs Senior Management	Conduct a meeting with UTAs Executive Director, Director of Safety, and Senior Management in Operations, Maintenance, Engineering, Human Resources/Training, Procurement, and Legal to discuss: - How the authority conferred in UTA's policy statement to the Safety Department is reinforced with UTA personnel during meetings, bulletins, or other methods. - How the UTA's safety policy is consistent with the commitment to safety expressed by UTA's ED and UTA Senior Management. - Whether safety is included as a regular topic at UTA Board Meetings, and whether the UTA Director of Safety gives reports. - Formal meetings that are held and attended by UTA Executive Leadership to discuss safety performance (such as ongoing evaluation of goals and targets).		

TASP # 1: Goal and Objectives Table

A policy statement signed by the agency's chief executive that endorses the safety program and describes the authority that establishes the TASP

VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
	• UTA ED and UTA Senior Management awareness of high priority safety issues and the status of corrective actions. • The UTA Safety Department's reporting relationship to UTA ED, UTA's Safety Committee Structure, and the participation of the UTA's Senior Management in this structure. • Where in the organization safety decisions are made and the involvement of UTA Senior Management in making them. • The process for the periodic review of the resources devoted to safety by the ED and UTA Senior Management. • The inclusion of safety activities and requirements in employee job descriptions and training programs at UTA. • The inclusion of safety responsibilities in job evaluations for managers, supervisors, and employees. • The implementation of UTA's internal safety audit process, to include a clearly defined scope, checklists, procedures, an effective findings resolution process, and annual certification of the TASP compliance from the UTA ED. • Use of risk assessment and hazard management as part of the overall safety program. • Efficiency and proficiency testing programs for operations and maintenance employees, and how these programs ensure compliance with safety-critical rules. • UTA's accident investigation program and its focus on cause finding and correction.		

TASP # 1: Goal and Objectives Table			
A policy statement signed by the agency’s chief executive that endorses the safety program and describes the authority that establishes the TASP			
VERIFICATION METHOD	RECOMMENDED ACTIVITIES	COMPLIANT YES/NO	COMMENTS
Interviews with UTA Safety Personnel	Interview the Director of Safety and representatives from the Safety Department to see if they feel empowered, authorized, and supported by Executive Management in carrying out the TASP, as specified in the Policy Statement. • Ask for three (3) examples of where management support has made the difference in getting a specific safety concern addressed.		
Interviews with Other UTA Personnel	Conduct interviews with a representative sample of rank-and-file UTA operations and maintenance personnel to verify their familiarity with the TASP, UTA’s safety programs and authorities, and their obligation to perform work safely and to report safety issues and potential hazards.		
Field Observations	n.a.		
Inspections and Measurements	n.a.		

Audit Date:

Auditor:

Participants

Audit Location:

Auditor:

Title/Company

Findings of Non-Compliance:

Findings of Compliance with Recommendations:

Notes:

Reference: 49 CFR Part 673 Public Transportation Agency Safety Plans

Appendix C-4 FACILITY PM INSPECTION CHECKLIST (SAMPLE)

Meadowbrook							
Unit	Description	ServiceType	Scheduled Date	Inspection Date	Status	WorkOrder	
100000	Meadowbrook Facility Yard	MONTHLY	02/01/2012	02/29/2012	On Time	798434	
111010	RUPS EMERGENCY GENERATOR	MONTHLY	02/01/2012	02/07/2012	On Time	798489	
130007	Parallelogram Platform Hoist	MONTHLY	02/01/2012	02/28/2012	On Time	798507	
130310	EMERG.GENERATOR	MONTHLY	02/01/2012	02/07/2012	On Time	798508	
130340	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798509	
130350	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798510	
130360	HYDRA RESERVOIR & PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798511	
130440	SUMP PUMP	MONTHLY	02/01/2012	02/29/2012	On Time	798512	
130450	SUMP PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798513	
130460	ENGINE COOLANT PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798514	
130470	AUTO TRANS FLUID PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798515	
130490	DIFF.OIL PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798516	
130500	ENGINE OIL PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798517	
131970	Cathodic Protection Rectifier	MONTHLY	02/01/2012	02/28/2012	On Time	798520	
132660	Rotary Screw Air Compressor	MONTHLY	02/01/2012	02/28/2012	On Time	798521	
132760	Bus Hoist (above ground post)	MONTHLY	02/01/2012	02/28/2012	On Time	798523	
132770	Bus Hoist (above ground post)	MONTHLY	02/01/2012	02/28/2012	On Time	798524	
132780	Bus Hoist (above ground hoist)	MONTHLY	02/01/2012	02/28/2012	On Time	798525	
140050	DIESEL PUMP 1A	MONTHLY	02/01/2012	02/14/2012	On Time	798527	
140070	DIESEL PUMP 1B	MONTHLY	02/01/2012	02/14/2012	On Time	798529	
140090	DIESEL PUMP 1C	MONTHLY	02/01/2012	02/14/2012	On Time	798531	
140120	Diesel Dispenser	MONTHLY	02/01/2012	02/28/2012	On Time	798533	
140140	UNLEADED PUMP2B	MONTHLY	02/01/2012	02/28/2012	On Time	798535	
140810	Cathodic Protection Rectifier	MONTHLY	02/01/2012	02/28/2012	On Time	798541	
140820	Soap Pump and Mixer	MONTHLY	02/01/2012	02/28/2012	On Time	798542	
150001	Platform Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798544	
150130	SUMP PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798545	
150190	BRUSH ARM ASSEM	MONTHLY	02/01/2012	02/28/2012	On Time	798546	
150200	MOP GEAR MOTOR	MONTHLY	02/01/2012	02/28/2012	On Time	798547	
150210	WATER PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798548	
150220	WATER PUMP	MONTHLY	02/01/2012	02/14/2012	On Time	798549	
150300	WATER RECLAIM PUMP	MONTHLY	02/01/2012	02/28/2012	On Time	798551	
150400	PARALLELOGRAM LIFT	MONTHLY	02/01/2012	02/29/2012	On Time	798552	
150630	Hot Water Pressure Washer	MONTHLY	02/01/2012	02/28/2012	On Time	798553	
150850	Parallel Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798554	
160120	Canopy A Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798556	
160130	Canopy A South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798557	
160140	Canopy B Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798558	
160150	Canopy B South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798559	
160160	Canopy C Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798560	
160170	Canopy C South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798561	
160180	Canopy D Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798562	
160190	Canopy D South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798563	
160200	Canopy E Nth Blk Reels/Lights	MONTHLY	02/01/2012	02/28/2012	On Time	798564	
160210	Canopy E South Blk Reels/Light	MONTHLY	02/01/2012	02/28/2012	On Time	798565	
170001	Emergency Generator	MONTHLY	02/01/2012	02/07/2012	On Time	798567	
180730	AMER. CLEANER STEAM CLEANER	MONTHLY	02/01/2012	02/10/2012	On Time	798582	
180740	L & A STEAM CLEANER	MONTHLY	02/01/2012	02/10/2012	On Time	798583	
180870	WATER SOFTENER	MONTHLY	02/01/2012	02/28/2012	On Time	798585	
180880	WATER SOFTENER	MONTHLY	02/01/2012	02/28/2012	On Time	798586	
182250	AIR DRYER	MONTHLY	02/01/2012	02/14/2012	On Time	798600	
183250	Oil Water Separator	MONTHLY	02/01/2012	02/28/2012	On Time	798604	
183280	Hunter Scissor Lift	MONTHLY	02/01/2012	02/28/2012	On Time	798605	
183970	Parts Washer	MONTHLY	02/01/2012	02/10/2012	On Time	798609	

Inspection Summary:

Total Inspections:	54	
Total Overdue Inspections:	0	0.00%
Total Inspections Completed Late:	0	0.00%
Total Inspections Completed Early:	0	0.00%
Total Inspections Completed on Time:	54	100.00%
Total Inspections Due this Current Month that have not been Completed Yet:		
	0	0.00%

Early: Any inspections done in the months previous to when they were scheduled to be done.
Late: Any inspections done in the months after they were scheduled to be done.
On Time: Any Inspections done within the same month they were scheduled.

Appendix D: BLANK FORMS

Appendix D-1 NON-CONFORMANCE CORRECTIVE ACTION PLAN (NCAP) FORM

UTAH TRANSIT AUTHORITY

CORRECTIVE ACTION PLAN

Accountable Manager/Owner: <i>Click to enter name. (Click to enter title)</i>		Corrective Action Plan #: <i>Click here to enter text.</i>
Category: <i>Choose an item.</i>	Issue Identified by: <i>Choose an item.</i>	IHR: <i>Enter Initial Hazard Rating.</i>
Location: <i>Click here to enter text.</i>	Business/Service Unit: <i>Enter responsible unit.</i>	FHR: <i>Enter Final Hazard Rating.</i>
Assigned to: <i>Click here to enter text.</i>		Date Assigned: <i>Click here to enter a date.</i>

Description of Non-Conformance/Safety Hazard:
Click here to enter text. Provide a detailed description of the Non-Conformity or safety hazard.

Root Cause Analysis:
Click here to enter text. Provide information regarding cause or contributing factors (if applicable).

Corrective Action Plan:
Click here to enter text. Do not copy and paste recommended corrective action plans. Provide a detailed corrective action plan and/or list of corrective actions that will be taken to correct the finding/non-compliance/safety hazard. This plan must be discussed with all affected departments prior to UDOT submission. Please consider other affected UTA documents if the procedure you've chosen to update is listed elsewhere.

UDOT Closure and Verification Documentation:
Click here to enter text. List all documents/evidence needed for the final submission to UDOT to show proof of completion of the corrective action plan. This should be in the form of a list that is directly related to your corrective action plan. Full sentences or future actions should not be here. If a procedure, new training, rulebook, or other item is referenced in your corrective action plan, then this field requires that item to be included. These documents will be emailed alongside this CAP form for UDOT closure/verification. All official documents such as new or updated procedures should be finalized with needed signatures unless draft review is needed by UDOT for corrective action plan milestone purposes. UDOT will verify your corrective action plan is complete by using these closure/verification documents.

Proposed Implementation Date: *Click here to enter a date.*

Corrective Action Plan Initial Approval by UDOT SSO: *Click here to enter a date.*

Resolution Of Corrective Action Plan:
This section is filled out after all actions are completed. Provide a detailed description of actions implemented.

Accountable Manager/Owner:	Sign and date below when CAP been completed and documented.



Name: <i>Click here to enter text.</i>	Date:	Signature:

SSO Manager: <i>(If Applicable)</i>	CAP Verification and Final Approval (Actual Implementation Date)	
Name: <i>Click here to enter text.</i>	Date:	Signature:



Safety Hazard Report/Close Call Report

Check one:

☐

Safety Hazard

☐

Close Call

Use this form to report safety hazards and close calls. After completion, please turn this form into your immediate Supervisor or Safety Administrator for proper follow up by management and your safety committee. You may also report via: Website: (www.lighthouse-services.com/rideuta-hazard), Telephone: (833.940.2874), or by E-mail: reports@lighthouse-services.com (mention Utah Transit Authority)

Safety Hazard: Name not mandatory unless you want feedback.

Close Calls: Leave name blank to maintain confidentiality,

Name: _____

Date Submitted and/or Time of Close Call: _____

Bus/Rail Route or Facility: _____

Direction: _____

Safety Hazard or Close Call: *(Be as specific as possible- what is the root cause?)*

Proposed Solution: *(Be as specific as possible-how can it be avoided in the future?)*

Response:

Would you like a response?

Yes: _____

No: _____

Appendix D-2 SAFETY SUGGESTION/HAZARD REPORT FORM

Use this form for safety questions, suggestions and reporting hazards. Your Supervisor will respond to your suggestions or forward them to your UTA Safety Committee. The Safety Committee will meet monthly to address these issues and provide feedback as soon as possible. Please be as specific as possible when describing the safety concern and making recommendations

Name: _____ Date: _____
(Not required unless you want feedback)

Bus/Rail route or Facility: _____ Direction: _____ Time: _____

Safety Question, Suggestion, or Hazard: *(Be as specific as possible)*

Proposed Solution: *(Be as specific as possible)*

Response:

Would you like a response? Yes: [] No: []

Supervisors Initials: _____ Date Received: _____ Response Date: _____

Suggestion forwarded to: _____ Forward Date: _____

Person or Committee responding: _____ Response Date: _____

Reviewed by RGM/Director: _____ Date Reviewed: _____

Date Closed: _____

Appendix D-3 SAFETY AND SECURITY CERTIFIABLE ITEMS CHECKLIST

 Certifiable Element: Revenue Readiness Sub-element: Fire, Safety and Security Documents and Training		Safety and Security Certification Certifiable Items Checklist				Verification: _____ Date: _____	
Location		Means of Verification				Status	
Discipline: Revenue Readiness Contract No: Site/Area: Sugar House Street Car		Construction CM= Measurement CT= Test CV= Visual Inspection	Design PS= Plans and Specifications S= Submittal CN/CO= Change Notice/Order	Commissioning T= Test V= Visual Inspection R= Review	C= Closed O= Open OWW= Open with identified workaround		

Item No.	Certifiable Item Description	Certifiable Item Verification				Certifiable Item Status	
		Reference Documentation (As applicable)	Verified By	Date	Means of Verification	Status	Description of Workaround
1	Fire protection & Alarm systems. (Facilities)	Local FD jurisdiction site review			T, V, R		
2	UTA Emergency Notification & Regulator Notification	SSPP section 10, UTA SOP 4.2.23			V, R		
3	Functional Response Drills	EPP, SSPP Section 11. 49 CFR 659			V, R		
4	Table Top Response Drills	EPP, SSPP Section 11. 49 CFR 659			V, R		
5	Emergency Preparedness Plan (EPP) Review	EPP, 49 CFR 659					
6	System Safety Program Plan (SSPP) Review	49 CFR 659, SSO Procedures/Stdts.			R		
7	System Security Plan (SSP) Review	SSP, 49 CFR 659 Security Haz Log			R		
8	Vehicle familiarization orientation (FD, PD, SWAT)	Familiarization Training			V, R		
9	Emergency Response Evacuation (Facilities)	EPP, 49 CFR 659			R		
10	Threat and Vulnerability Analysis (TVA)	SSP, 49 CFR 659					
11	Preliminary Hazard Analysis (PHA)	SSPP section 6. 8. SSCP, RAP			R		
12	Operations Hazard Analysis (OHA)	SSPP section 6. 8. SSCP, RAP			R		
13	Hold Points 1.2 .3 process review and verification	SSPP Section 8, RAP, SSCP			R		
14							

Appendix D-4 UTA SAFETY CERTIFICATION HOLD POINT APPROVAL FORMS

See following pages for hold point forms 1, 2, and 3.

System Integration Readiness Review Report

Hold Point #1

Project: _____

This Hold Point Review is established to verify readiness to enter the System Integration Commissioning/Testing Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Appropriate Civil, GC, Systems CILs complete (see items identified on attached index).
- ☐ 2. Appropriate Contractor Stand Alone Testing complete (see items identified on attached index).
- ☐ 3. UDOT Surveillance Reports completed and deficiencies corrected.
- ☐ 4. Public Awareness Safety Outreach Plan measures started and ongoing.
- ☐ 5. Preliminary Hazard Analysis completed/ Hazards mitigated.
- ☐ 6. TVA completed.
- ☐ 7. Rail Corridor ready for System Integration.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:
(Describe below, include responsible party).

- 1. _____
- 2. _____
- 3. _____
- 4. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Tony Berger Date

Systems Discipline Mgr. – Dean Hansen Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Travis King Date

System Integration Readiness Review Report

Hold Point #2

Project: _____

This Hold Point Review is established to verify readiness to enter the Pre-Revenue Commissioning/Testing Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Grade Crossing CILs Complete.
- ☐ 2. Systems CILs Complete.
- ☐ 3. System Integration Testing and Documentation Complete.
- ☐ 4. Operational Hazard Analysis Complete.
- ☐ 5. Transfer of permitting process (Track Access) from Contractor to UTA Operations Complete.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:

(Describe below, include responsible party).

- 5. _____
- 6. _____
- 7. _____
- 8. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Tony Berger Date

Systems Discipline Mgr. – Dean Hansen Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Travis King Date

Chf. Operating OFC- Andres Colman

System Integration Readiness Review Report

Hold Point #3

Project: _____

This Hold Point Review is established to verify readiness to enter the Revenue Operations Phase of the project. Essential pre-requisites are listed herein, along with signatures indicating both thorough review of the project in its current state and approval to move on to the next phase of commissioning.

System Integration Testing Phase Pre-requisites

- ☐ 1. Previous Hold Point Review Documents are signed and complete.
- ☐ 2. CILs are complete, with any workarounds noted, approved, and implemented.
- ☐ 3. Pre-Revenue operator training/testing/drills, Pre-Revenue Operations are complete.
- ☐ 4. Grand Opening Plan and Public Outreach Plan developed.
- ☐ 5. Agency Reviews completed and notifications given.
- ☐ 6. Safety & Security Certification Verification Report (SSCVR) is finished and ready to submit.

Areas/Integration Zones under review:

Approved Open Items, Areas and/or Hazards, with approved workaround:

(Describe below, include responsible party).

- 9. _____
- 10. _____
- 11. _____
- 12. _____

The undersigned, by signature, indicate that they have reviewed all information applicable to the Project/Areas listed above, and recommend that these areas are ready for System Integration testing.

Operations Discipline Mgr. – Tony Berger Date

Systems Discipline Mgr. – Dean Hansen Date

Safety Discipline Mgr. – Travis Shingleton Date

Civil Discipline Mgr. – Grey Turner Date

Dir. of Safety and Security – Travis King Date

Chf. Operating OFC- Andres Colman

Appendix D-5 MANAGEMENT OF CHANGE (MOC) APPROVAL AND VERIFICATION DOCUMENT

Title:	MOC #:	Date Initiated:
Team Lead/Members:		
Description:		
Evaluation/Solutions:		
Recommendation:		
Cost/Funding Source/Schedule/POC :		
Proposed changes to existing Design Criteria/Specs/Procedures:		
Enclosures/Drawings/Photos/Attachments:		

CONCURRENCE

The following UTA staff have reviewed the evaluation and concur with the recommended modifications.

Name	Position	Signature	Date
Comments/Provisions:			

APPROVAL

Indicates approval “to go do”. Requires signatures from any two SSRC members.

Name	Position	Signature	Date
SSRC Date:			
Comments/Provisions:			

COMPLETION VERIFICATION

Enclosures:	☐ Photos	☐ Drawings	☐ Specifications	☐ Other:
As Built Plans	Dated:	Copy to:	Name:	Signature:

Design Criteria updated?*	☐ Yes ☐ No	If yes, Date:

**If yes, copy must be provided.*

ACCEPTANCE

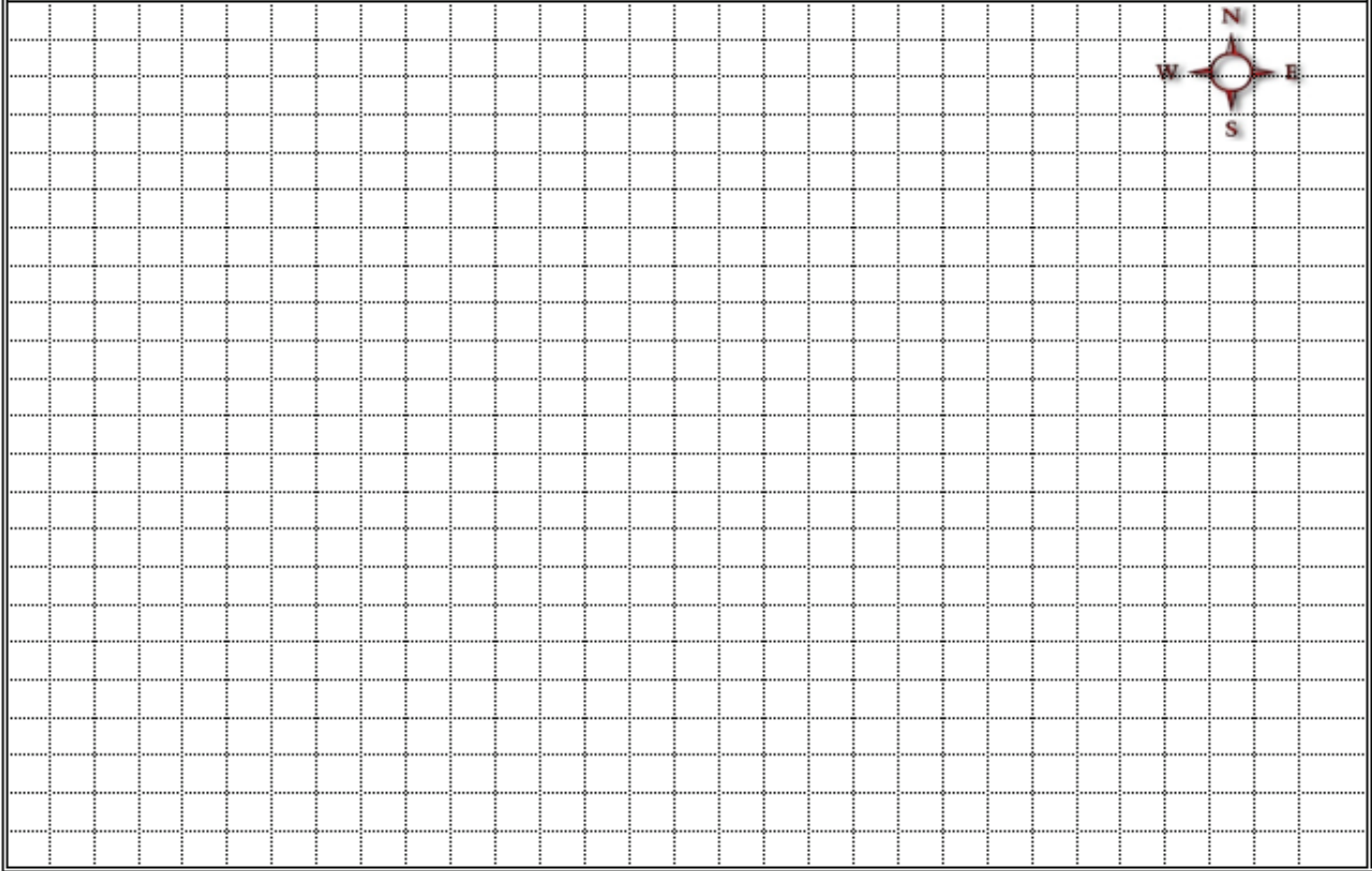
Work is completed and accepted. Requires signatures from any two SSRC members.

Name	Position	Signature	Date

SSRC Date:			

Appendix D-6 SAFETY DEPARTMENT INVESTIGATION FORM

		SAFETY INVESTIGATION FORM		Report #: Enter #	
				NTD Reportable: Yes/No/NA	
BASIC INFORMATION					
Date of Incident: enter date		Time: enter time AM or PM		Location: enter text	
Report type: Choose an item		Investigation type: Choose an item		GPS Coordinates:	
Mode: Choose an item		Train/Bus #: enter text		DOT Crossing #: enter text	
Op./Emp. #: enter text		Vehicle ID's: enter text		# of Cars in Consist:	
Weather Conditions: Clear/Cloudy, (Rain/Snow), (Wind), (Temperature)					
NOTIFICATIONS					
SSO Notified: Yes/No/NA Enter date/time		OSHA Notified: Yes/No/NA		FRA Territory: Yes/No/NA	
National Response Center (NTSB/FRA Notified): Yes/No/NA Case #: Enter NRC Case # here.					
Transportation Operations Center (FTA Notified): Yes/No/NA ; Choose an item.					
EVENT SUMMARY					
Description of Event: Provide a detailed description of the incident, including a clear sequence of events.					
INVESTIGATION					
# of Fatalities: Select #		# of Serious Injuries: Select #		# of Other Injuries: Select #	
				# Pass on Transit: Select #	
				# Pass in POV: Select #	
Were vehicles towed from the scene due to disabling damages: Yes/No/NA					
Damages to POV Veh (\$): enter text		Damages to Transit Veh (\$): enter text		Total Damages (\$): enter text	
Accident Evaluation Group Held? Yes/No/NA		AEG Members: enter text			
Give a brief review of outcomes resulting from AEG: enter text					
Corrective Action Plan: Enter the Corrective Action Plan (CAP) number.					
FACTORS					
1. Communication:		7. Ped Treatments:		13. Weather Conditions:	
2. Crossing Operation:		8. Rules/Policies:		14. Work Environment:	
3. Drug/Alcohol Use:		9. Sight Lines:		15. Distracted Behavior:	
4. Fatigue Management:		10. Train Functionality:		16. Failure to Yield:	
5. Lighting:		11. Vehicle Speeds:		17. Medical Condition:	
6. Location History:		12. Warning Signage:		18. Other:	
Give brief explanation of any contributing factors: Enter text					
DOCUMENTATION					
UTA Police Report:		Radio Recordings:		Vehicle Recorder Download:	
External Police Report:		Video Recordings:		Grade Crossing Download:	
Medical Examiners report:		Scene Photos:		Damage Estimates:	
Employee Green Sheet:		Controller Log:		Maintenance Records:	
Supervisors Report:		Drug/Alcohol Testing:		Operator Certification:	
Witness Statements:		Bulletins/Orders:		HOS of Service:	
Measurements:		Employee History:		Employee Injury Report:	
Documentation Notes or Explanations: Enter text					

INCIDENT DIAGRAM	
	

Report compiled by: (Safety)	Name: Enter text here.	Date: Select Date	Signature:
Report Adopted by: (UDOT SSO)	Name: James W. Golden	Date:	Signature:

Appendix D-7 TRAX SYSTEM SUPERVISOR’S ACCIDENT/INCIDENT REPORT FORM

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

New Supervisor Report

Save and New

Save Changes

Cancel



After you finalize this form and click 'Save Changes', you will be able to upload any files, photos, documents on the next page.

General Information

Date of accident: *

mm/dd/yyyy



Time of accident:

Accident city:

Accident location (specific)

Was there a damage estimate taken?

☐ Yes ☐ No

Were any photos taken?

☐ Yes ☐ No

Scene Supervisor: *



Start typing your employee number or last name here to pre-fill this form with information.

Scene Supervisor Email:

UTA Information

Was there an operator involved? *

☐ Yes ☐ No

Vehicle:



UTA vehicle number: *

Route number:

Block number:

Police Investigation

Did the police investigate? *

☐ Yes ☐ No

D&A Testing

If not already completed, please click this link to complete a Drug & Alcohol Post-Accident Decision-Making Form.

Description of Accident

Weather Conditions:

Light Conditions:

Road Surface Conditions:

Describe the damage to the bus:

Bus was:

Vehicle 2 was:

Vehicle 3 was:

Describe the accident in detail: *

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

Safety



This event can be determined as an unsafe condition or practice, or a combination of unsafe conditions and practices, that could exist within UTA's control, such as a risk of damage to UTA property or equipment that could be a cause of death or personal injury; or could be determined that the public interest, or employees require the avoidance or mitigation of a hazard or risk.

Did this incident involve a safety related issue per the definition above? *

☐ Yes ☐ No

Did this event result in a fire?

☐ Yes ☐ No

Did this event involve a hazardous materials spill or release?

☐ Yes ☐ No

Did this event require a response from emergency personnel (fire/ambulance)?

☐ Yes ☐ No

Were there any other UTA vehicles involved? *

☐ Yes ☐ No

Were there any non-UTA parties involved? *

☐ Yes ☐ No

Were there any non-UTA injuries? *

☐ Yes ☐ No

Were there any witnesses? *

☐ Yes ☐ No

Operator Assault



Any action of a passenger or person that negatively interferes with, disables, or incapacitates any transit worker while the transit worker is performing their duties. Examples are verbal threats of harm, spitting at the operator, throwing things, any physical contact that is negative in nature, etc. This includes any incident the police do or do not respond to.

Did this incident involve an assault on an operator per the definition above? *

☐ Yes ☐ No

Employee Assistance Program

Was EAP (Employee Assistance Program) offered to the employee? *

☐ Yes ☐ No

Comments:

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

Supervisor Accident/Incident Details

Scene Arrival Time: *

If a customer was involved
were they still on scene at
your arrival?

☐ Yes ☐ No

Comments:

10/24/25, 12:28 PM

Utah Transit - New Incident

New Incident

Complete Incident

Save Draft

Cancel

Accident/Incident Report

Employee Driver: *


Start typing your
employee
number or last
name here to
pre-fill this form
with information.

Were you operating a UTA
vehicle? *

- ☐ Yes
☐ No

Lookup Incident Address

Incident Address Line 1: *

Incident City: *

Employee Name:

Badge Number:

BU/Department: *



Your Supervisor: *

Scene Supervisor: *

Date of Incident: *



Time of Incident: *

Report Date: *



Description: *

Detailed description of what happened

Weather Condition:

- None Selected - Traffic Controls:

- None Selected -

10/24/25, 12:28 PM

Utah Transit - New Incident

Road Condition:

- None Selected - Was the driver assaulted?

☐ Yes

Light Condition:

- None Selected -

☐ No

Accident/Incident Diagram

[Edit Collision Diagram](#)

Police Investigation

Police Contacted? *

☐ Yes ☐ No

UTA Vehicle/Property Damage

Was there UTA

Vehicle/Property Damage? *

☐ Yes ☐ No

Other UTA Vehicles



Click 'Save and Continue' if there was another UTA vehicle involved.

[Save and Continue](#)

Non-UTA Involved Parties



Click 'Save and Continue' if there were non-UTA parties involved.

[Save and Continue](#)

Non-UTA Injuries



Click 'Save and Continue' if there were non-UTA injuries.

[Save and Continue](#)

Appendix D-8 BUS SUPERVISORS ACCIDENT/INCIDENT REPORT FORM

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

New Supervisor Report

Save and New

Save Changes

Cancel



After you finalize this form and click 'Save Changes', you will be able to upload any files, photos, documents on the next page.

General Information

Date of accident: *

mm/dd/yyyy



Time of accident:

Accident city:

Accident location (specific)

Was there a damage estimate taken?

☐ Yes ☐ No

Were any photos taken?

☐ Yes ☐ No

Scene Supervisor: *



Start typing your employee number or last name here to pre-fill this form with information.

Scene Supervisor Email:

UTA Information

Was there an operator involved? *

☐ Yes ☐ No

Vehicle:

UTA vehicle number: *

Route number:

Block number:

Police Investigation

Did the police investigate? *

☐ Yes ☐ No

D&A Testing

If not already completed, please click this link to complete a Drug & Alcohol Post-Accident Decision-Making Form.

Description of Accident

Weather Conditions:

- None Selected -

Light Conditions:

- None Selected -

Road Surface Conditions:

- None Selected -

Describe the damage to the bus:

Bus was:

- None Selected -

Vehicle 2 was:

- None Selected -

Vehicle 3 was:

- None Selected -

Describe the accident in detail: *

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

Safety



This event can be determined as an unsafe condition or practice, or a combination of unsafe conditions and practices, that could exist within UTA's control, such as a risk of damage to UTA property or equipment that could be a cause of death or personal injury; or could be determined that the public interest, or employees require the avoidance or mitigation of a hazard or risk.

Did this incident involve a safety related issue per the definition above? *

☐ Yes ☐ No

Did this event result in a fire?

☐ Yes ☐ No

Did this event involve a hazardous materials spill or release?

☐ Yes ☐ No

Did this event require a response from emergency personnel (fire/ambulance)?

☐ Yes ☐ No

Were there any other UTA vehicles involved? *

☐ Yes ☐ No

Were there any non-UTA parties involved? *

☐ Yes ☐ No

Were there any non-UTA injuries? *

☐ Yes ☐ No

Were there any witnesses? *

☐ Yes ☐ No

Operator Assault



Any action of a passenger or person that negatively interferes with, disables, or incapacitates any transit worker while the transit worker is performing their duties. Examples are verbal threats of harm, spitting at the operator, throwing things, any physical contact that is negative in nature, etc. This includes any incident the police do or do not respond to.

Did this incident involve an assault on an operator per the definition above? *

☐ Yes ☐ No

Employee Assistance Program

Was EAP (Employee Assistance Program) offered to the employee? *

☐ Yes ☐ No

Comments:

10/24/25, 12:31 PM

Utah Transit - New Supervisor Report

Supervisor Accident/Incident Details

Scene Arrival Time: *

If a customer was involved
were they still on scene at
your arrival?

☐ Yes ☐ No

Comments:

Appendix D-9 EMPLOYEE ACCIDENT /INCIDENT REPORT FORM PAGE

10/24/25, 12:32 PM

Utah Transit - New Supervisor Report

New Supervisor Report

Save and New

Save Changes

Cancel

After you finalize this form and click 'Save Changes', you will be able to upload any files, photos, documents on the next page.

Supervisor Information

Today's Date: 10/24/2025

Scene Supervisor: Start typing your employee number or last name here to pre-fill this form with information.

Scene Supervisor Email:

Injured Employee Information

Injured Employee: Start typing the employee number or last name here to pre-fill this form with information.

Badge Number:

Hire Date: mm/dd/yyyy

Name:

BU/Department:

Incident Information

Date of Incident:	mm/dd/yyyy	What actions, events, or conditions contributed most directly to this accident:	
Hour Shift Started:			
Time of Incident:		Do your conclusions agree with the information given on the employee's report of injury?	☐ Yes ☐ No
Have you interviewed the injured employee?	☐ Yes ☐ No	Are you aware of any related non-UTA injury or condition this employee might have?	Describe pre-existing condition or inju
Have you inspected the accident site?	☐ Yes ☐ No		
Describe how the accident occurred according to your investigation:	Describe detailed account of what happened		

10/24/25, 12:32 PM

Utah Transit - New Supervisor Report

D&A Testing

If not already completed, please click this link to complete a Drug & Alcohol Post-Accident Decision-Making Form.

Safety

"This event can be determined as an unsafe condition or practice, or a combination of unsafe conditions and practices, that could exist within UTA's control, such as a risk of damage to UTA property or equipment that could be a cause of death or personal injury; or could be determined that the public interest, or employees require the avoidance or mitigation of a hazard or risk."

Did this incident involve a safety related issue per the definition above? *

☐ Yes ☐ No

Did this event result in a fire?

☐ Yes ☐ No

Did this event involve a hazardous materials spill or release?

☐ Yes ☐ No

Did this event require a response from emergency personnel (fire/ambulance)?

☐ Yes ☐ No

Operator Assault

"Any action of a passenger or person that negatively interferes with, disables, or incapacitates any transit worker while the transit worker is performing their duties. Examples are verbal threats of harm, spitting at the operator, throwing things, any physical contact that is negative in nature, etc. This includes any incident the police do or do not respond to."

Did this incident involve an assault on an operator per the definition above? *

☐ Yes ☐ No

Action Plan

What specific action have you taken or do you plan to take to reduce the likelihood of this type of accident happening again?

Describe actions or plans.

Employee Assistance Program

Was EAP (Employee Assistance Program) offered to the employee? *

☐ Yes ☐ No

Comments:

10/24/25, 12:32 PM

Utah Transit - New Supervisor Report

Supervisor Accident/Incident Details

Scene Arrival Time: *

If a customer was involved
were they still on scene at
your arrival?

☐ Yes ☐ No

Comments:

V. PREVIOUS MEDICAL TREATMENT (providing incomplete information may constitute fraud)

Have you injured or had pain/symptoms in this area before? Yes _____ No _____

If yes, please explain: _____

Please list all medical practitioners or facilities previously involved with treatment of this area. _____

VI. EMPLOYEE SIGNATURE

WORKERS'S COMPENSATION INFORMATION

- "Any person who knowingly presents false or fraudulent underwriting information, files or causes to be filed a false or fraudulent claim for disability compensation or medical benefits, or submits a false or fraudulent report or billing for health care fees or other professional services is guilty of a crime and may be subject to fines and confinement in state prison."
- The first three days of lost time for an on-the-job injury are not compensated unless you are off duty more than two weeks. You may use accrued sick leave or vacation time for those first three days.
- If your doctor releases you to modified or light duty, and modified or light duty is available, acceptance is mandatory. Failure to accept light duty will result in loss of compensation benefits.
- It is your responsibility to contact your supervisor and dispatch regularly to let them know of your work status.
- It is your responsibility to make sure your time is properly coded for worker's compensation time, vacations, and holidays. Contact your supervisor at least weekly.

I have read and understand the above information. The information I have provided on this form is true and accurate.

Employee signature: _____ Date: _____

VII. SUPERVISOR'S VERIFICATION

I have reviewed this report. I will complete a supervisor's report and submit it to the Office of General Counsel, Claims Unit immediately.

Signature of supervisor
 verifying the report: _____ Date: _____

QUESTIONS OR CONCERNS ABOUT THIS REPORT SHOULD BE DIRECTED TO TRICIA MCDONALD ext. 2311 OR 287-4534.

Appendix D-10 RAIL SERVICE CENTER SAFETY CHECKLISTS/AUDIT FORMS

Forms on the following two pages.

The



Jordan River Rail Service Center, 2264 South 900 West, Salt Lake City, UT 84119

S70 Daily Preventive Maintenance Inspection

Vehicle Number	
Work Order Number	

Inspection Date	
Mileage	

WARNING: TO PREVENT SERIOUS INJURY, ALL PERSONNEL DIRECTLY OR INDIRECTLY INVOLVED WITH THE INSPECTION, MAINTENANCE, REPAIR, AND OPERATION OF THESE VEHICLES MUST FOLLOW THE FOLLOWING PRECAUTIONS:

1. Observe all Utah Transit Authority safety rules and regulations.
2. The vehicle must be located in the assigned maintenance area or authorized track.
3. Ensure that the wheels are chocked when working on the brake system.
4. The vehicle must be keyed down, pantograph down and auxiliary off when working on roof or under the vehicle.
5. The catenary power must be removed and low voltage isolated. The stinger and shop track disconnect switch must be locked and red tag when working on roof and when handling equipment electrical connections or when checking electrical continuity.
6. Ensure that the area is well ventilated when working with materials that produce dangerous fumes and wear protective gear when handling materials that are injurious to the skin or eyes.
7. To protect against flying debris, wear protective gear when cleaning using compressed air.
8. When handling heavy components, it is your responsibility to select a lifting apparatus of adequate type and capacity for the weight and size involved.
9. When fasteners removed from car equipment are not satisfactory for re-use, care must be taken to select replacements that match the originals.
10. Follow all WARNINGS, CAUTIONS and NOTES found throughout S70 RUNNING MAINTENANCE MANUAL.

SPECIAL INSTRUCTIONS:

1. Fill in Badge #, Name, Signature, Initial and Date in BLACK or BLUE ink in the space provided below.
2. Fill in initials in BLACK or BLUE ink besides EACH inspection task you completed.
3. Make comments in the space provided at the end of the inspection. Identify the comment to the specific inspection line number.
4. Findings requiring a repair must be reported immediately to the supervisor.
5. Report material shortages to the supervisor.
6. Report damaged or missing tools.
7. Clean up your work area.

Badge #	Inspector's Name	Signature	Initial	Date

Line	Inspection	A-End	B-End
1.	Check the Headlights and the Railroad Light for proper operation\condition.	_____	_____
2.	Check the Marker Lights and the Brake\ Tail Turn Lights for proper operation and condition.	_____	_____
3.	Check the Vehicle Fault Light (White), the Brakes Status Light (Red), and the Door Status Light (Yellow) for proper operation and condition.	_____	_____
4.	Verify proper operation of the HVAC System.	_____	_____
5.	Verify illumination and proper operation of all Destination signs and Train Number signs.	_____	_____
6.	Verify the Cab Light for proper operation.	_____	_____
7.	Check the Radio for proper operation.	_____	_____
8.	Verify the presence of the Fire Extinguisher.	_____	_____
9.	Check P.A. System, Passenger Intercom System and Automated Message System for proper operation.	_____	_____
10.	Check the VOD Display Function.	_____	_____
11.	Check the camera display for proper operation.	_____	_____
12.	Check if Bypass seals are installed and intact.	_____	_____
13.	Perform a Console Lamp Test.	_____	_____



Jordan River Rail Service Center, 2264 South 900 West, Salt Lake City, UT 84119

S70 Daily Preventive Maintenance Inspection

Line	Inspection	A-End	B-End
14.	Verify proper operation of all Cab Pushbuttons and Foot pedals (Including Horn & Gong).	_____	_____
15.	Check the Sanding system for proper operation.	_____	_____
16.	Verify the operation of the Track Brakes.	_____	_____
17.	Verify proper operation and quality of the Windshield Wipers and Washer.	_____	_____
18.	Fill washer reservoir and inspect washer tubing for damage or loose connection to nozzle.	_____	_____
19.	Verify proper operation and illumination of all Doors, Door Pushbuttons, Warning Lights & Buzzer.	_____	_____
20.	Verify all Interior and Exterior Consoles and Panels are secure.	_____	_____
21.	Check the Hand Rails and Stanchions for damage or loose fit.	_____	_____
22.	Check the Passenger Seats and Cushions for missing hardware and cuts or tears. Replace the cushions if necessary.	_____	_____
23.	Check the level of sand in Sand boxes.	_____	_____
24.	Check the Passenger Windows for damages and graffiti.	_____	_____
25.	Check the Passenger Lights for normal operation.	_____	_____
26.	Inspect Coupler's Mechanical and Electrical Head for damage.	_____	_____
27.	Visually Inspect the Wheel-sets for completeness or damage.	_____	_____
	_____ A-truck _____ C-truck _____ B-truck		

Vehicle Finding Log:

Item #	Finding	Logged By:		Status (Work Order Number)
		Badge	Initial	

This certifies that light rail vehicle # _____ was inspected and found to present no potential safety hazards. No items requiring repairs for safe operation exist except as noted. Findings found are described in the Vehicle Finding Log.

Supervisor's Signature: _____

Date: _____

Supervisors' Name: _____

Badge #: _____

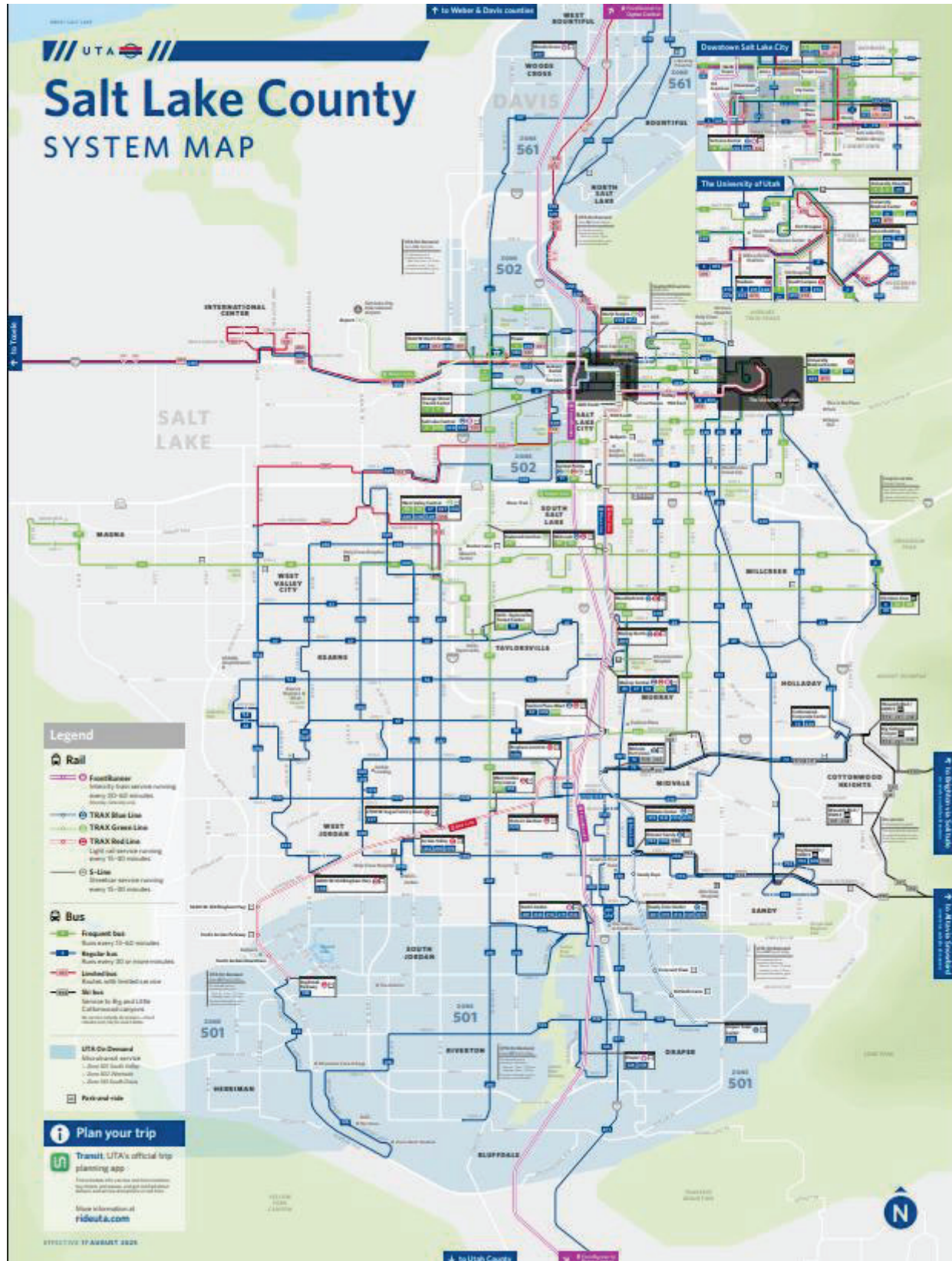
Appendix D-11 JOB SAFETY ANALYSIS (JSA) FORM

		Job Safety Analysis Form Utah Transit Authority, 200 South 669 West, Salt Lake City, UT 84101 – www.Rideuta.com	
Picture of task/equipment: 	Task:		
	Shop or Dept:		
	Reviewed by:		
	Date:		
Required PPE:			
1. 2. 3. 4.			
Required Training or Special Permits:			
1. Rail Access Work Permit		YES / NO	
2. Roadway Worker Protection (RWP) Training		YES / NO	
3. Confined Space Entry Permit		YES / NO	
4. Hot Work Permit		YES / NO	
5. Electrical / Energized Work Permit		YES / NO	
6. Lockout Tagout		YES / NO	
7. Other:			
TASK	HAZARDS	CONTROLS	
1.	1a. 1b. 1c.	1a. 1b. 1c.	
2.	2a. 2b. 2c.	2a. 2b. 2c.	
3.	3a. 3b. 3c.	3a. 3b. 3c.	
4.	4a. 4b. 4c.	4a. 4b. 4c.	
5.	5a. 5b. 5c.	5a. 5b. 5c.	
6.			

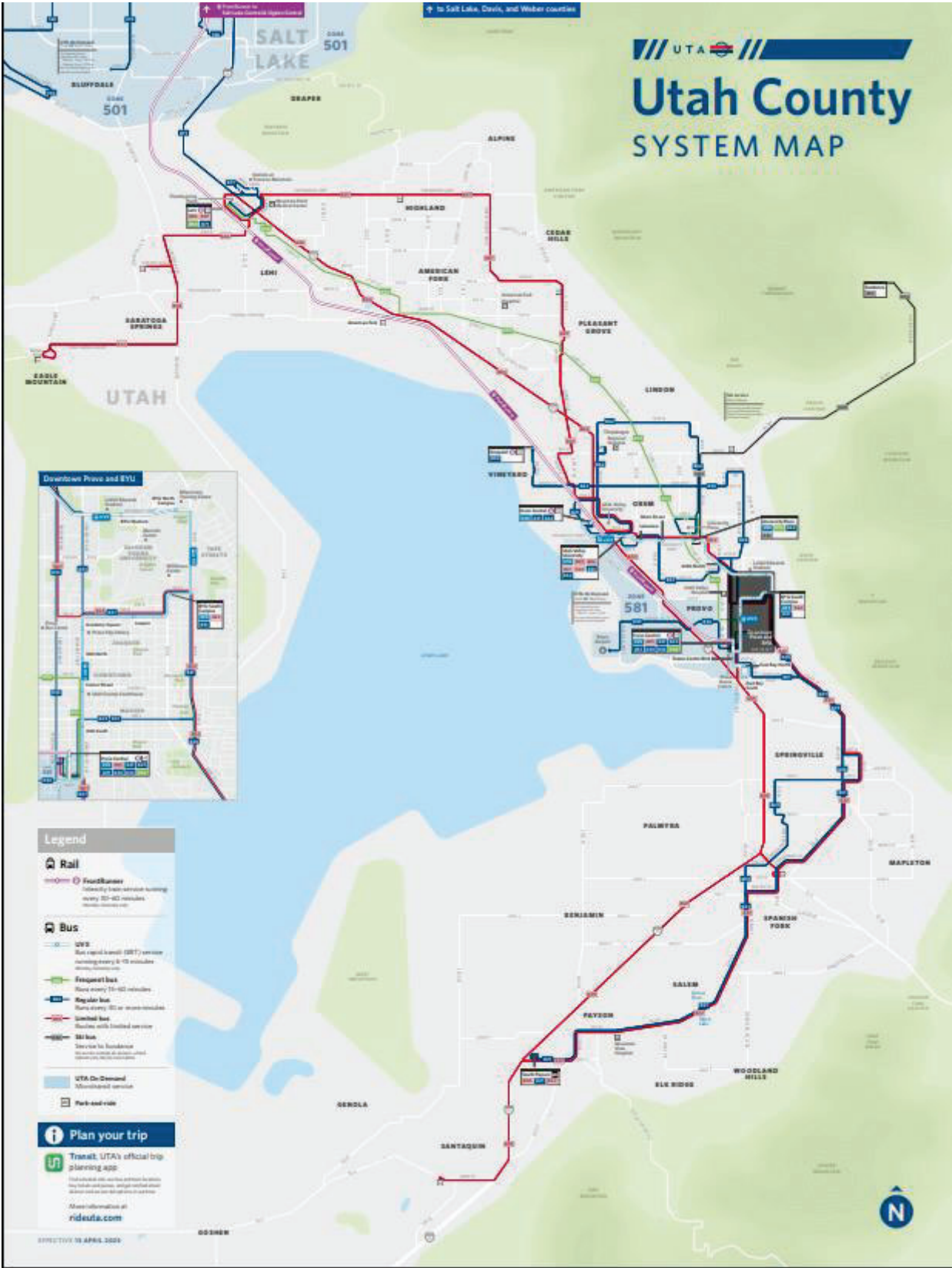
Instructions: TASK	HAZARD	CONTROLS
Task Information • Provide the task title or description, the department involved, and the job title of the person performing the task. • If available, include a photo in the upper left-hand box. • JSA can be reviewed by the Department Manager, Supervisor or a Safety Administrator. Personal Protective Equipment (PPE) & Permits: • List the required PPE for the task, along with any required Permits. Breaking Down the Task: • Break the task into distinct steps. This sequence of steps will eventually become the basis of the safe work procedure. • For each step of the task, write down everything the worker does, ensuring that essential actions are recorded. • After identifying each step, you can refine the process by combining steps or removing unnecessary detail. • Limit the number of steps to maintain clarity. If there are more than 10-15 steps in your job analysis, consider dividing the job into two job assessments. Involving Workers: • Ensure workers are involved as their input is crucial for identifying hazards and controls.	Hazard Identification For each job step, identify and list the hazards present. Examples of Hazards Safety Hazards Common safety hazards include: • Falls or slips • Pinching, Crushing • Sharp edges, Cuts • Electric shock • Suffocation • Burns • Traffic • Moving, rotating machinery • Exposure to high noise levels • Working at heights (elev. > 4') • Pressure hazards • Extreme temperatures • Fire or explosion risks • Flying objects Health Hazard Potential health hazards involve: • Chemicals (Acid, solvent, fumes) • Biological agents (Blood, virus, bacteria, fungus) Musculoskeletal Hazards Physical strain examples: • Poor body positioning • Awkward posture • Excessive body extensions • Repetitive motion or tasks Other Hazards Consider any additional hazards specific to the task not included in the categories above. Initial Hazard Rating (IHR): • Before implementing hazard controls, assess the task and assign an IHR: High, Serious, Medium, Low • Refer to the UTA Risk Assessment Matrix (21 box) from Section 6.	Control Measures For each identified hazard, specify the control measure you will use to mitigate or eliminate the risk. At the Source (Engineering Controls): Aim to control hazards at their source whenever possible. • Elimination: Remove the hazard. • Substitution: Use safer alternative • Lockout-Tagout (LOTO): Isolate energy sources • Redesign/Isolate/Automation: Modify equipment, isolate hazards, or use machine to automate tasks. Along the path (Intermediate Controls): Control hazards between the source and the worker. • Relocation: Move hazardous operations away from workers. • Barriers: Install guards or shields. • Absorption/Dilution: Use materials or ventilation to reduce exposure. At Worker's Level (Administrative & PPE Controls): • Reference SOPs, and establish clear work procedures • Emergency planning • Training & supervision • Housekeeping, hygiene practices • PPE (e.g., safety glasses, goggles, hard hats, boots, gloves, hi-vis, earplugs, respirator, etc.) Other: List any additional controls specific to the task. Final Hazard Rating (FHR): • After hazard controls are applied, reassess the tasks and assign an FHR: High, Serious, Medium, Low, Eliminated

Appendix E: SYSTEM MAPS

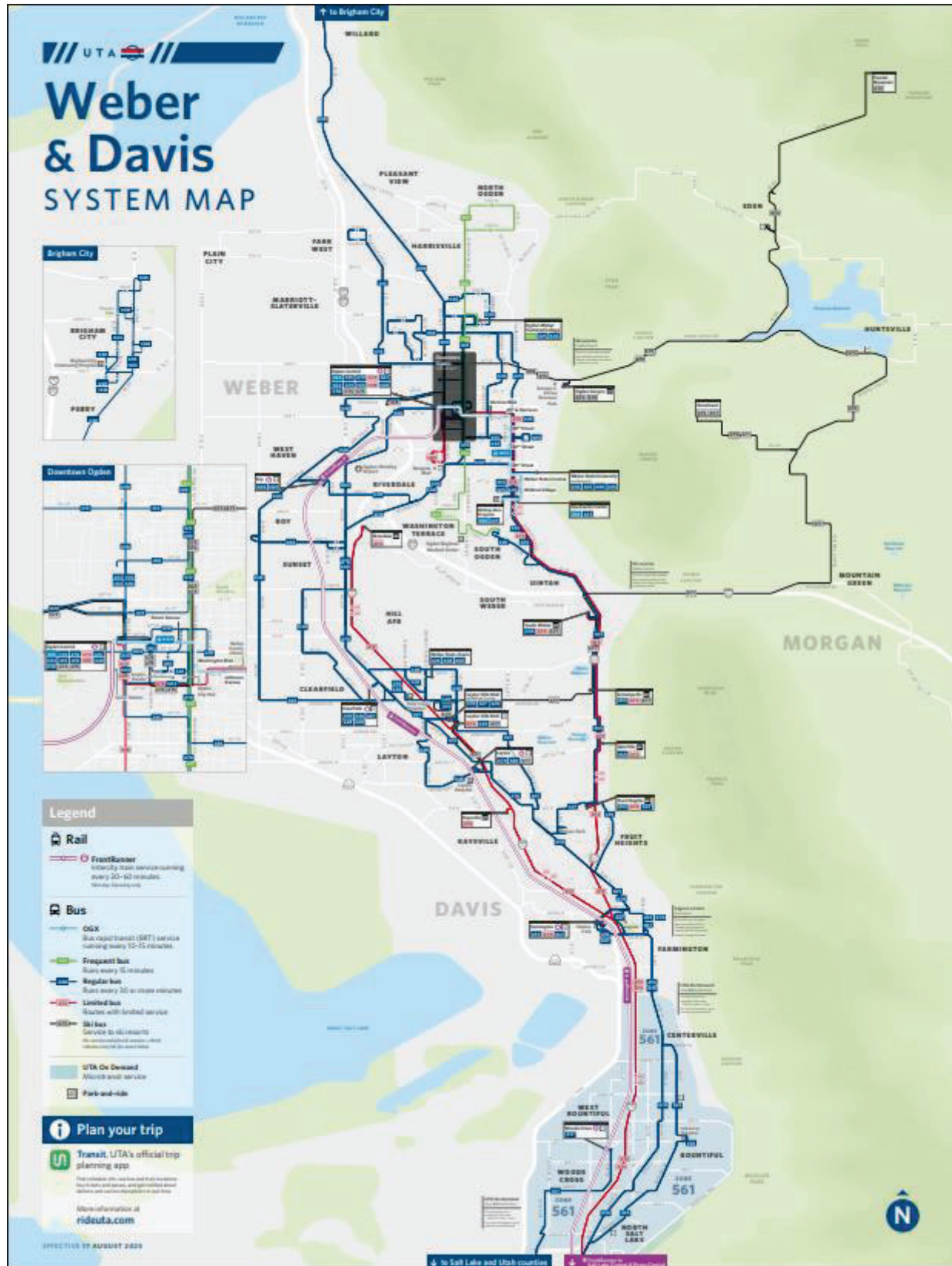
Appendix E-1 SALT LAKE BUS SYSTEM MAP



Appendix E-2 UTAH COUNTY SYSTEM MAP



Appendix E-3 WEBER, NORTH DAVIS AND BOX ELDER COUNTY SYSTEM MAP



Appendix E-4 RAIL (TRAX AND FRONTRUNNER) AND UVX MAP





Appendix F: RAIL TRANSIT STATE SAFETY OVERSIGHT PROGRAM PROCEDURES & STANDARDS (2026) – SECTION 9: RISK-BASED INSPECTIONS

Placeholder for the finalized version of the 2026 version of the “Rail Transit State Safety Oversight Program Procedures & Standards”, owned by the UDOT SSO, pending UTA’s TASP review and approval process.